Outcome Management Report 2019

SINCE 1953

UCP Heartland

BBB Accredited Charity

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Proud member of United Way
United Way of Greater St. Louis

Agency Highlights

- Purchase of new 20,000 square foot building in Berkeley to serve as the Community Services North location. Planned 2 million in renovations.
- Opened Oak Tree respite location in Webster Groves.
- Substantially higher rates negotiated for new out of home respite and youth day respite services.
- Expansion of vehicle fleet for residential homes
- Shari Clay appointed interim CEO

Agency Highlights

- Direct care staffing shortage: Regretted attrition is less than 1/3 the national average
- Navigator Services: Parent Advocacy & Support
- Employment Department hits breakeven for the first time in many, many years!
- Old Bonhomme listed for sale – negotiation in process.

Community Need

Geo-political Area	Estimated Population	Estimated Prevalence of CP (.28%)	Estimated Prevalence of DD (13.87%)
City of St. Louis	318,500	891	44,176
St. Louis County	1,000,000	2,800	138,700
Boone County Columbia MO	171,000	479	23,717
Cole County Jefferson City, MO	76,700	215	10,638
Madison County Maryville, IL	268,000	750	37,172
Totals	**1,834,200**	**5,135**	**254,403**

UCP Heartland

PLB Needs Assessment for All Ages

Top 5 Needs for *All Ages* – 1,872 Participants

Table 2
Survey - Top 5 Current Needs of High Importance for All Ages
(N=1,872)

Importance	Current Needs	Current *Unmet* Needs	Future Needs
1	Living with Parent/Family	Fitness/Wellness Activities or Programs	Living with Parent/Family
2	Social Skills Training	Healthy Relationship Training	Social Skills Training
3	Fitness/Wellness Activities or Programs	Community Membership in Organizations or Clubs	Fitness/Wellness Activities or Programs
4	Self-Advocacy & Self-Determination	Parks and Recreation Activities	Self-Advocacy & Self-Determination
5	Healthy Relationship Training	Social Skills Training	Independent Living Skills Training

Community Need

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Community Need

Table 4 Survey - Top 5 Current Needs of High Importance for Ages 6-15 *(N=517)*			
Importance	**Current Needs**	**Current *Unmet* Needs**	**Future Needs**
1	Living with Parent/Family	Social Skills	Living with Parent/Family
2	Social Skills Training	Summer Recreation	Social Skills Training
3	Summer Recreation	Self-Advocacy & Self-Determination	Self-Advocacy & Self-Determination
4	Self-Advocacy and Self-Determination	Behavioral Supports	Summer Recreation
5	Fitness and Wellness	Relationship Training	Healthy Relationship Training

See Table 19, page 80 for a complete list

Table 5 Survey - Top 5 Current Needs of High Importance for Ages 16 – 21 (*N=390*)			
Importance	**Current Needs**	**Current *Unmet* Needs**	**Future Needs**
1	Living with Parent/Family	Planning for Transition from School to Work/Adult Life	Working with Supports in the Community
2	Planning for Transition from School to Work/Adult Life	Independent Living Skills Training	Planning for Transition from School to Work/Adult Life
3	Social Skills Training	Social Skills Training	Independent Living Skills Training
4	Independent Living Skills Training	Self-Advocacy and Self-Determination	Social Skills Training
5	Pre-Employment Training	Relationship Training	Support with a Meaningful Day Activity

See Table 19, page 80 for a complete list

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Community Need

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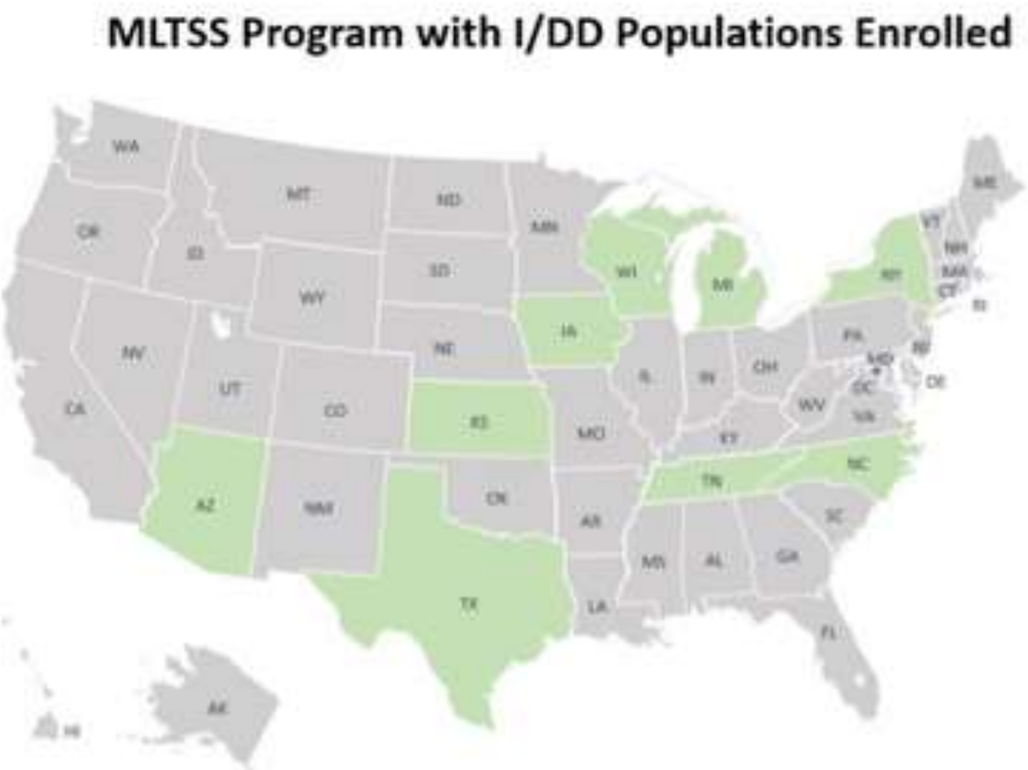
What is Managed Care?

- Currently: Funding flows from Federal Government to State (DMH- 67% of UCP Heartland revenues) to 1,300 providers in MO
- If Managed Care: Funding flows would flow from Fed to State (DMH) to “For Profit” Insurance companies to providers
- Likely outcome: consolidation of service providers - favors larger agencies with strong management systems, statewide presence, broad service lines (include behaviors) with rates fixed at typically lower levels
- When? Can be simply signed into practice by executive order



Medicaid Long Term Services and Supports (MLTSS)

National Association of States United for Aging and Disabilities. (2017). June 2017 MLTSS Map retrieved from: http://nasuad.org/initiatives/managed-long-term-services-and-supports/mltss-map

New Populations of Need;
New Definitions of Services

- In anticipation of cuts in Medicaid funding from the federal government, states are studying ways to reduce benefits to people MARF said, "Community providers offer a variety of quality community-based resources to promote individual empowerment and reduce reliance on state services and facilities."
- Vocational rehab is changing how it's funding employment services
- In Missouri as of April 2018: people not already receiving Medicaid lost eligibility for case management services
- Adult day services are being transformed by CMS regulations (38% of UCP Heartland's current services) effective 2019

Programs Overview

- New Service Definitions for Adult Day Programs
- Increasing emphasis on community participation
- Funding streams fluctuating
- Continuing wage pressure in direct care positions
- Rate of reimbursement doesn't keep up with costs
- United Way funding helps sustain quality services

Programs: Adult Day

30% of agency expenses

- **Goal: Provide continued learning opportunities to develop independent living skills and increase participation in the community.**

  - **130 consumers served in 3 locations across MO; most with severe disabilities**
  - **Outcomes: manage disabilities, develop friendships, enhanced community integration**

Programs: Adult Day

- **Growth in community integration**
- **New program partnerships**
- **High School Seniors welcomed to complete service hours from 3 schools**
- **Interactive on-site activities:**

  -Eye Gaze Technology

  -Promethean Boards

  -Washington University Occupational Therapist training staff

  -Partnership with St. Louis University for program redesign

Programs: Adult Day

Persons Served are acquiring skills:

- 100% of persons served reduce social isolation
- 95.7% Maintain/Improve level of functioning
- 99% Maintain/improve physical health conditions
- Satisfaction remains very high!

Programs: Employment

6% of Agency Expenses

Goal: provide supports to obtain and maintain employment allowing for increased economic self sufficiency

- Assess and establish goals
- Job readiness
- Job search
- On the job training
- Ongoing support
- Support 240 clients through ongoing services
- GROWTH OF 51 clients

Programs: Employment

High School Graduate Transitions

Vocational Rehabilitation:
46 case managers with an average caseload of 115

WIOA:

- Redirecting funds from low need to high need
- High school graduates must now have real experience in market rate employment prior to sheltered work options
- VR must demonstrate in customized pilot programs employment supports in partnership with DMH - *UCP one of three sites chosen*

-Difficult to obtain waiver for habilitation programming
-Adult "Day Care" question of appropriate placements and waitlists

Programs: Early Intervention

6% of Agency Expenses

Goal: Through early identification, families and children learn skills to minimize developmental delays

- 93 families provided services in home and school environments in Missouri
- Fee for service summer camp in Columbia, MO
- 100% of delays have been caught through screenings and referred to additional services

Programs: Early Intervention

Service Trends

- We know that high quality early learning leads to positive outcomes for later in life. Our early intervention program is not only licensed by the state, UCP Heartland is one of the few providers in Missouri who holds accreditation through the National Association for the Education of Young Children (NAEYC)
- NAEYC guidelines take our care beyond State licensing compliance to a holistic approach. We incorporate advanced curriculum and teaching, build upon community resources, invest in family involvement.

Programs: Residential

24% of agency expenses

Goal: people with severe and or multiple disabilities live with supports independently in their own home with roommates of their choice.

- Two programs: Independent Supported Living (ISL) and Independent Supported Living Assistance (ISLA) ISL: 10 accessible homes throughout St. Louis- 19 clients provided direct care staffing 24 hours per day
- ISLA: 13 homes throughout St. Louis – 15 clients provided skills training 2 to 10 hours per week
- Two new homes: Bent Pine and Colonial Grant

Programs: Residential

- Program funded by Department of Mental Health and the Productive Living Board
- Rates fixed at time services are initiated
- 64 Skilled direct care staff: turnover reduced from more than two years; a historical high of 75%, to 25.9% this year
- Stabilized staffing improves program quality
- UCP Heartland part of provider coalition seeking rate rebasing
- 98% of clients achieve medical outcomes

Programs: Residential

- Trend is to move people out of institutional care into community based, appropriate services
- Goal is to grow this program by 20% annually – Plan is to expand into Jefferson City next year.
- Program growth will strengthen the overall agency's financial results-economies of scale
- New market of private pay clients- average annual staffing costs of $90,000/year
- Program is mission-rich but requires supplemental funding to break even.

Programs: Respite

14% of Agency Expenses

Goal: Provide families with temporary overnight services that allows them an evening or weekend of relief as needed

248 program participants, three funding sources:

- **Productive Living Board**
- **Developmental Disability Resources**
- **Department of Mental Health**

Introducing Oak Tree Respite
an example of program evaluation

- Oak Tree respite opened in June 2019 replacing a worn, dated facility
- Home features 4 bedrooms with fully accessible Jack and Jill bathrooms.
- Covered rear patio with fenced accessible yard
- Raised accessible vegetable gardens

BEAUTIFUL!

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Programs: Respite

- Respite is #1 service families need as evidenced by PLB and DMH surveys
- One of our toughest programs, consumers and needed levels of care can change dramatically day by day-improved operationally
- Facility accepts consumers being removed from situations of abuse or neglect and/or who otherwise would be homeless
- Funding rules governing provision of care, are complex and extensive: consumers often caught up in regulations-especially in time sensitive situations
- Management staff advocates for our consumers, sometimes many hours on the phone to get approval to serve

Programs: Respite

- Respite direct care staff turnover decreased from 162% to 38.4% over three years
- Restructured, streamlined management of program, increased base wage for CNA to $14 /hour plus benefits
- Continued staffing nurses to enhance outcomes.

Programs: Respite

Respite Outcomes:

- 100% of clients in emergency placement have immediate basic needs met (food, clothing, shelter etc.)
- 98% of clients experience no unwanted out-of-home placements and remain in a stable living situation
- 100% of clients gain/maintain independent living skills

Programs: Services Navigator

- DMH reduced services for all Non-Medicaid eligible consumers July 2018
- UCP Heartland researched all available support options to compliment available services
- Currently providing one on one counseling and guidance on an as needed basis
- Tracking types and location of requests, duration of relationship and outcomes
- Partnered with PLB and United Way 211 on IDD Help

Programs: Services Navigator

Agency acts to implement ongoing improvements in services. Progress is reviewed on programmatic goals and analyzed monthly.

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Incident Reporting

	FY 2018 (Jul 17-Jun 18)				FY 2019 YTD (Jul 18-Jun 19)			
	Significant		Sentinel		Significant		Sentinel	
Program	Preventable	Non-Preventable	Preventable	Non-Preventable	Preventable	Non-Preventable	Preventable	Non-Preventable
Adult Day	21	4	3	5	39	4	2	12
Residential	46	2	4	8	55	22	5	11
Employment	1	3	0	0	0	3	0	1
Early Intervention	0	0	0	0	0	0	0	0
Family Support	5	1	1	1	14	5	1	0
	73	10	8	14	108	34	8	24

Operational Risk

Governance – Strategic Direction

- The Board of Directors’ first priority is providing the highest quality of care for our program participants
- Employee survey highlighted need for increased recognition
- Work in partnership with other agencies and funding sources
- Build relationships with employer sponsored volunteer groups
- Engage staff as enthusiastic ambassadors

Governance – Strategic Direction

- 18 members – staggered terms
- Executive Committee meets bi-monthly
- Full Board meets 5 times per year
- Board has complete understanding of needs, threats, program structures and challenges

Governance – Strategic Direction

Board Orientation and Ongoing Training

- Mission & History
- Field of disability services
- Program delivery models
- Upcoming regulatory changes
- Finances
- Roles and duties
- Signed code of ethics
- Annual self assessment

Governance – Strategic Direction

- 5 Committees – all chaired by a member of the board
- Programmatic dashboard that is reviewed monthly
- Board reviews and approves annual operating budget: monitors actual to budget
- Executive committee annually reviews executive structure and compensation

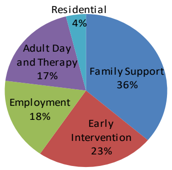
Service

Consumer Demographics - from United Way 2015 report (as of June 2014)

Service Type	Consumers	Regions	Consumers	Gender	Consumers
Direct	806	St. Louis City	75	Male	513
Indirect	5,977	St. Louis County	563	Female	293
Total	6,783	Columbia, MO	68	**Total**	806
2016 Report		Jefferson City, MO	38		
Direct	878	Maryville, IL	62		
Indirect	4547	**Total**	806		
Total	5425				

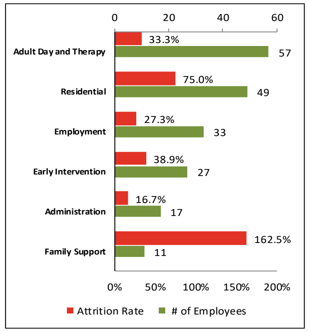
Service Usage by Consumer

Program	Consumers	2016 REPORT
Family Support	292	357
Early Intervention	188	218
Employment	141	160
Adult Day -Therapy (52 duplicate)	153	163
Residential	32	32
	806	930
Columbia		90
Jeff City		36
Total (less Therapy duplicates)		**1004**

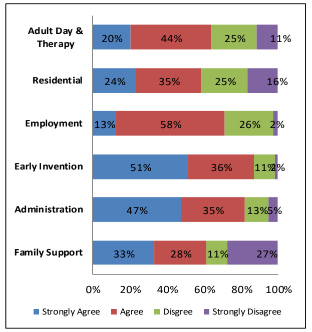


Human Capital

2014-15 Attrition



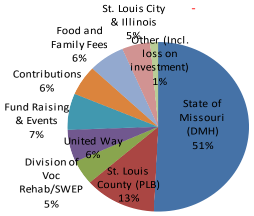
Employee Engagement (Jan 2014)

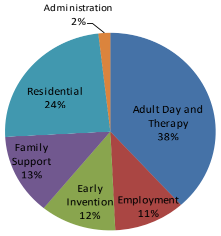


Financial

Budget for 2016

Funding Sources (Budget)	Amount	YTD	Program Expenses (Budget)	Amount
State of Missouri (DMH)	4,058,721	3,313,931	Adult Day and Therapy	$ 3,180,221
St. Louis County (PLB)	1,023,076	705,448	Employment	908,599
Division of Voc Rehab/SWEP	374,110	144,738	Early Invention	966,306
United Way	491,360	392,845	Family Support	1,099,957
Fund Raising & Events	553,360	291,469	Residential	1,994,218
Contributions	457,250	523,994	Administration (mostly allocated)	151,392
Food and Family Fees	516,005	450,171		$ 8,300,693
St. Louis City & Illinois	401,962	117,059		
Other (Incl. loss on investment)	115,096	193,261		
Total	7,990,940	6,132,916		
	-	-		





Operating Reserves- Per United Way

Year	2013	2014	2015	2016
% of 12 Mos	129%	132%	141%	145%

Risk

Operational Risk

Program	Incidents 2015	Incidents Per Consumer	
Adult Day and Therapy	74	0.48	
Residential	71	2.22	
Employment	5	0.04	
Early Intervention	48	0.26	
Family Support	21	0.07	
	219	0.27	2015YTD
JULY-APRIL 2016	12 sentinel events require emergency services - 4 preventable falls, others medical		15=1 fall,12med 2deat
	38 significant preventable events (27 med errors, 10 falls, 1 abuse neglect)		46-23 falls 20 med,3 A

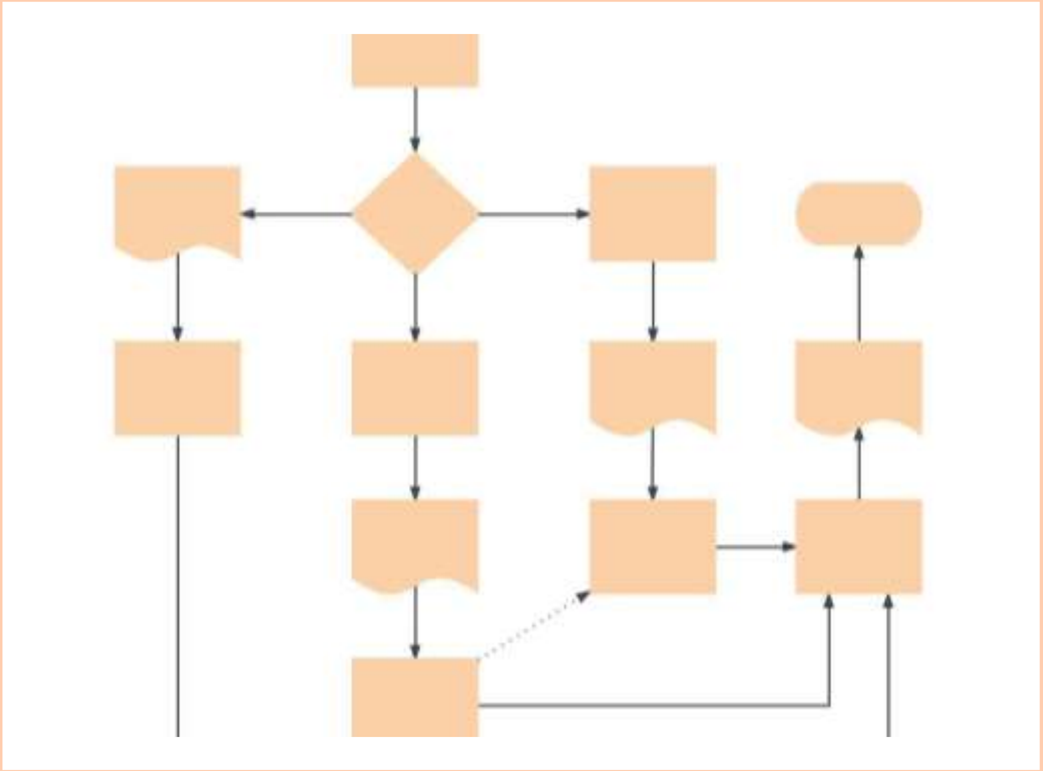
Financial Risk (Funding Utilization)

Fiscal Year	St. Louis County (PLB) Allocated	Used	% Used	City of St. Louis (DDR) Allocated	Used	% Used
2011	1,057,812	936,794	89%	84,812	46,001	54%
2012	1,023,330	854,071	83%	87,265	49,573	57%
2013	1,119,463	907,639	81%	87,265	25,451	29%
2014	1,147,150	912,533	80%	68,911	27,907	40%
2015	1,174,690	915,445	78%	69,901	25,451	36%
2016	1,023,076	705,448	69%	178,575	53,770	30%

Financial Risk (Funding Source)

Top 5 Funding Sources	2012	2013	2014	2015	2016 (est)
State of Missouri (DMH)	3,458,494	3,741,360	3,754,008	3,796,316	$ 4,058,721
St. Louis County (PLB)	955,945	926,327	927,543	934,646	1,023,076
Division of Voc Rehab	98,712	64,240	67,583	70,323	653,840
Fund Raising & Events		194,772	277,520	313,768	553,360
United Way	539,445	544,011	544,011	535,899	491,360
M&G%	15%	15%	15%	14.96%	17.40%

Governance – Strategic Direction



- Quality: Program Evaluation
- Quality: Adult Day Relocation and Transformation
- Growth: Development
- Growth: Employment
- Growth: Central Missouri Hub
- Growth: New Program Initiatives
- Talent: Direct Care Staffing
- Systems & Facilities: Relocation and Renovation
- Visibility: Marketing and Brand Recognition, Advocacy

Governance – Diversity Plan Update

- **Board Matrix**
- **Partnerships with local universities to expand reach**
- **Partnerships include local training expertise: FOCUS, RGA Executive training on supervisory skill sets,**
- **Management training in change management**
- **Shared learning experiences across departments**

- 63% of our staff and 48% of our consumers are members of a minority. Many of our families, both client and staff are single moms struggling to survive economically

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Finance: Overview

- FY 20 budget $11.7 million revenue: 79% government fees
- Fiscal year 2019 closed with an unrestricted loss of ($545) against a budgeted $110,464 surplus
- Agency cash flow: 8.5 months of liquidity
- Investing in Direct Care staff - 2% COLA and 2% merit raise pool
- 2-million-dollar renovation Planned for LaGuardia

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Finance: Overview

Financial Stability

- Agency revenue includes proceeds from trusts that depend on how the market performs
- Beginning FY19 budget includes earnings from investments as a budgeted line item
- Conservative budgeting - Program managers accountable for program budgets
- Annual audit by Clifton Larson Allen

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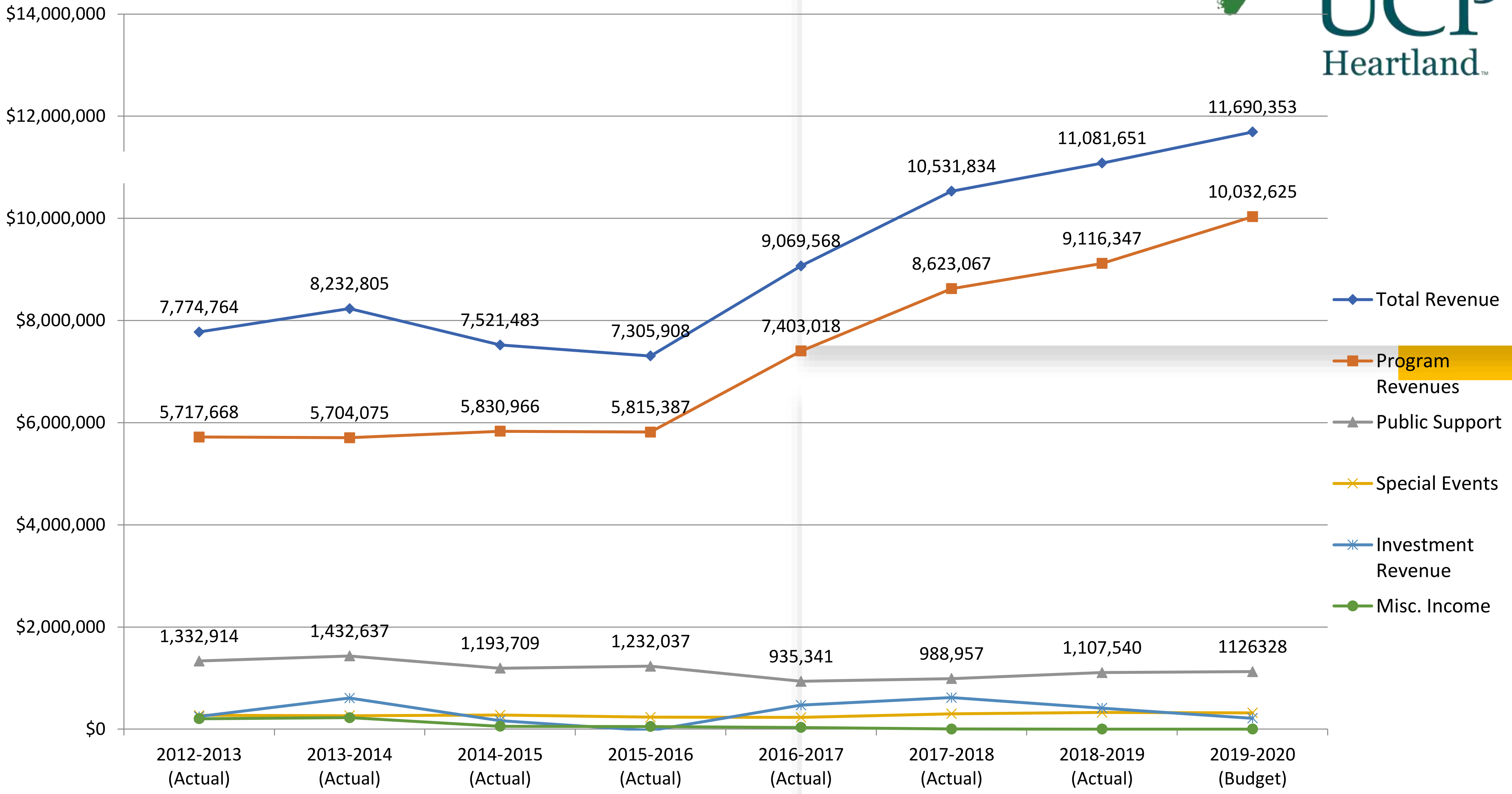
Finance: Budget Trends



Finance: Current Year Budget

		FY 20 Budget	FY19 Final	Variance
Revenue				
	Public Support	1,126,328	1,107,540	18,788
	Event Revenue	318,400	325,570	(7,170)
	Program Revenue	10,032,625	9,116,347	916,278
	Investment Revenue	212,000	524,178	(312,178)
	Misc. Revenue	1,000	8,017	(7,017)
TOTAL REVENUE		11,690,353	11,081,652	608,701
Expenses				
	Payroll/Taxes/Benefits	9,145,350	8,329,690	815,660
	Occupancy/Repairs & Maintenance	505,683	471,584	34,099
	General Operating Expense	1,398,262	1,956,583	(558,321)
	Depreciation	500,072	218,464	281,608
	Event Related Expenses	95,000	104,786	(9,786)
TOTAL EXPENSES		11,644,367	11,081,107	563,260
	GAIN/LOSS	45,986	545	45,441

Finance: Overview

- Finance Committee meets monthly
- Board members’ expertise includes CPAs, corporate finance, bankers, investment fund managers, employee benefits analysts
- Finance Committee actively involved in development of annual budget

Finance: Overview

- Reserves at 99%, a reduction of 25%, as UCP invested in critical software and real estate
- Invested in 8 new accessible vehicles over the last 2 years to comply with changing CMS regulations
- Completed extensive remodeling of Oak Tree including ceiling mounted bedroom to bathroom lifts
- Purchased LaGuardia to serve as Community Services North Location.

Finance: Overview

Approved Capital Budget FY 17-18

			Approved Budget	Actual to Date	Remaining to Spend	Notes
Jefferson City						
	Renovate	6343 sq ft. at $94.26 per sq ft / Architect fee	$645,153	*$591,364*	$53,789	
	Furniture for renovated space (instead of purchasing with year end surplus)		$75,145	*$0*	$75,145	**to be expensed**
	Total		**$720,298**	**$591,364**	**$128,934**	
Vehicles						
	Adult Day	$40,000-$50,000 each	$150,000	*$145,740*	$4,260	**complete**
	Truck for Maintenance		$27,000	$28,060	-$1,060	**complete**
	Vans for Jeff City/Columbia	(approved March 2018)	$131,000	$110,489	$20,511	**complete**
	Total		**$308,000**	**$284,289**	**$23,711**	
Other (approved March 2018)						
	2 new servers		$34,000	$23,019	$10,981	**purchased in June**
	Total		**$34,000**	**$23,019**	**$10,981**	
TOTAL - CAPITAL BUDGET		**NOT TO EXCEED**	**$1,062,298**	**$898,672**	**$163,626**	

Request for Capital Budget FY 18-19

Vehicles						
	Adult Day (2)	$40,000-$50,000 each	$100,000		$100,000	
Buildings						
	Perry House	not to exceed	$700,000	*$679,853*	$20,147	**closed on Oak Tree - Sept 18**
TOTAL PROPOSED CAPITAL BUDGET FY18-19			**$800,000**		**$120,147**	

Administration: Overview

- Respected 501C3, current with all registrations, ongoing audits from multiple funding sources, awarded an A+ rating from the BBB
- Succession planning: focus on depth in program management
- Added new online training mechanism- Relias. Allows direct care staff more flexibility in accessing over 20 required trainings.
- Operations committee conducted overall review of personnel policies, wrote new employee handbook issued January 2018

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Administration: Headwinds and Tailwinds

Tailwinds

Regretted Attrition
2014-15 – **49%**
2015-16 - **29%**
2016-17 - **22%**
2017-18 **14.02%**
2018-19 **31.2%**

National Core Indicator:
44.8%

Avg pay $13.58

$12.59 last year
53% taking health insur

National Core Indicator $10.72 avg starting

Mo Avg $12.74 2016

Poverty level $13.43 Family of Four (May 2016 DOL)

Demographics

84%
Female
16%
Male

30 Salaried
193 Hourly

164 Direct Care Staff
Avg age = 36.33 *dropping*
57% African American
87% Female

Headwinds

Managed Care: Uncertainties in timing, impact and revenue generation

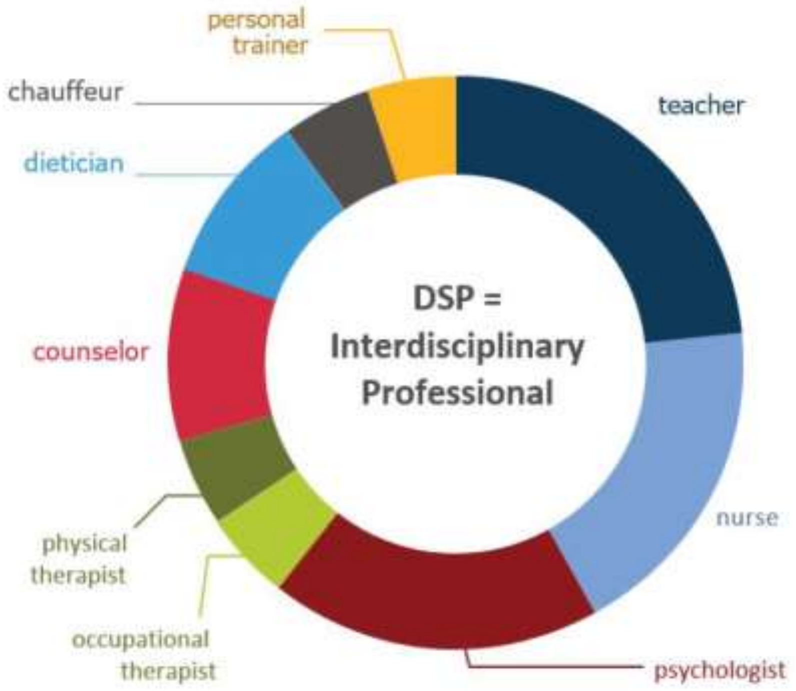
DMH
64%
of total budget
3% cut 2017

United Way
4%

99% reserves
Down from 135% last year
United Way 25-75%

Real Estate
North location closing June 1, 2019
Oak Tree renovation complete.
Occupancy June 1 2019

Figure 1. DSP Scope of Practice



Direct Support Staff Workforce Crisis

Report to the President 2017: America's Direct Support Workforce Crisis

Direct Support Staff Workforce Crisis

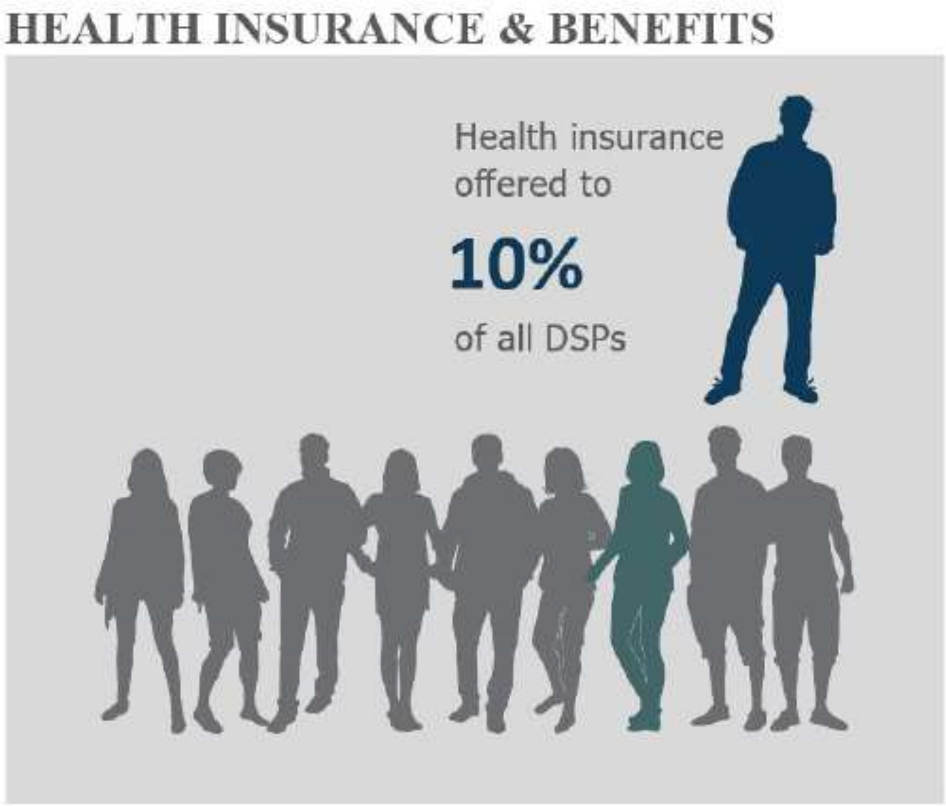
The crisis stems from the following factors:

1. High staff turnover
2. Growing demand for services due to the growth and aging of the U.S. population in general
3. Increased survival rates for people with complex health needs found among persons with ID/DD
4. Demographic shifts resulting in fewer people moving into the DSP workforce
5. The persistently non-competitive aspects of direct support employment, including low wages, poor access to health insurance and lack of paid time off (PTO) and other benefits
6. The high stress and demands of direct support employment, including round-the-clock, seven-days-a-week work
7. Insufficient training and preparation for DSP roles
8. Lack of professional recognition and status for skilled DSPs

Report to the President 2017: America's Direct Support Workforce Crisis

Administration: Direct Care Workforce Crisis

UCP Heartland compensates direct care staff well above national averages. The agency studies national core indicators and adjusts compensation to attract and retain highly skilled workers.



Report to the President 2017: America's Direct Support Workforce Crisis

A Summary of National Core Indicator Staff Stability Key Statistics

Report to the President 2017: America's Direct Support Workforce Crisis

Workforce Conditions that Deter Entry Into Working as a Direct Support Professional

Report to the President 2017: America's Direct Support Workforce Crisis

Strategies to Reduce Regretted Attrition

- Agency wide bonus plan discontinued – ineffective in affecting change
- Residential beginning base raised to $12: cost $121,987 in 2018-19 budget
- Employee appreciation:

  -DSP week - $10,000

  -Employee of the month - $100 gift card

  -holiday gift cards - $10,000

- Staff satisfaction survey results and follow up
- Monthly newsletter includes responses to suggestion boxes
- Investments in supervisory training and development

Administration: Risk Management

- Unknown timeline of managed care
- Strength in leadership to execute change
- Potential cuts to Medicaid
- Real estate investments & program relocation
- Maintaining Health Insurance benefit
- Completed facilities assessment- Purchased LaGuardia
- Prioritizing retention of direct care staff

You Make this Possible!

You Make this Possible!

Your support is fundamental in helping us to continue offering the highest quality programs and services for people living with disabilities. On behalf of our mission, we thank you

UCP

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