

Provider Survey

Summary Report on Staff Stability and Board
Representation Data Reported in NCI Phases II, III,
and IV



A Collaboration of
the National Association of State Directors of Developmental Disabilities
Services and Human Services Research Institute

HUMAN SERVICES RESEARCH INSTITUTE

2336 Massachusetts Avenue
Cambridge, MA 02140

**NATIONAL ASSOCIATION OF STATE DIRECTORS
OF DEVELOPMENTAL DISABILITIES SERVICES**

113 Oronoco Street
Alexandria, VA 22314

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Project Background

In December 1996, the NASDDDS Board of Directors launched the National Core Indicators (NCI). The project's aim is to support state developmental disabilities authorities (SDDAs) in developing and implementing performance/outcome indicators and related data collection strategies that will enable them to measure service delivery system performance. The project strives to provide SDDAs with sound tools in support of their efforts to improve system performance and thereby to better serve people with developmental disabilities and their families. The Association's active sponsorship of NCI facilitates states pooling their knowledge, expertise and resources in this endeavor.

NCI Phase I began in January 1997. In August 1997, the Phase I Steering Committee selected a "candidate" set of 61 performance/outcome indicators in order to test their utility/feasibility. Six states agreed to conduct a field test of these indicators, including administering the project's consumer and family surveys and compiling other data. Field test data were transmitted to project staff during the summer of 1998. The results were compiled, analyzed and reported to participating states in September 1998.

NCI Phase II was launched in January 1999. Phase II data collection wrapped up in June 2000 and set the stage for continuation and further expansion of the project. During Phase II, the Phase I indicators were revised and project data collection tools and methods were improved. The "Version 2.0" indicator set consists of 60 performance and outcome indicators. Going forward, the project expanded its scope to include services for children with developmental disabilities and their families, continued to develop and refine the indicators, and recruited additional states to participate in the project. Phase II data is considered baseline project data. Phase II technical reports and other selected documents are available online at www.hsri.org/cip/core.html.

Twelve states (AZ, CT, KY, MA, MN, NE, NC, PA, RI, VA, VT, WA) participated in Phase II. Four additional states joined the project during the following year (DE, IA, MT, UT), and seven states joined in 2001 (AL, HI, IL, IN, OK, WV, WY). Virginia and Minnesota are now on hiatus from the project. South Dakota and South Carolina will begin collecting data in 2002. At the time of this writing, twenty-three states are actively participating in NCI, plus the local DD authority in Orange County, CA. State participation in the project is entirely voluntary.

This report summarizes provider survey data submitted by states in the last three reporting periods. Since states generally report data from the preceding year, these figures represent the following years: 1998-1999 (reported in Phase II), 1999-2000 (reported in Phase III), and 2000-2001 (reported in Phase IV).

Introduction

Eight states participating in Phase II of the National Core Indicators (NCI) collected performance indicator data through provider surveys. These states include: Arizona, Connecticut, Massachusetts, Nebraska, Pennsylvania, Rhode Island, Vermont, and Washington. In Phase III, Delaware and Hawaii submitted these data, and in Phase IV, Indiana, Orange County, and Wyoming joined in. This report summarizes provider survey data related to (a) indicators of staff stability and (b) consumer and family representation on boards.

The purpose of this report is:

- to summarize the methods used to collect and report provider survey data;
- to present results by state and in aggregate; and
- to present results by indicator

In general, the provider survey asks agencies to supply information at the "person-level." This means that providers fill out a spreadsheet with each line representing one consumer (or one staff member, for the stability data). The state, in turn, reports "provider-level" data to the national project, meaning that each line on their spreadsheet represents totals for one provider. Thus, **state by state** results represent the **average figures across all providers** who (1) answered the survey in that state and (2) supplied both the appropriate numerator and denominator for that specific indicator. (Please note that in the data tables below, the N's vary depending on how many providers supplied information for a particular indicator.) **Aggregate** results are computed by using the **totals across all providers who answered the survey in all states**. These non-weighted, absolute values provide the numerator and denominator for the aggregate indicators.

Direct Contact Staff Turnover, Length of Employment, and Vacancy Rates

Indicators

Data compiled by NCI states enables the calculation of direct contact staff turnover rates, vacancy rates, and employment stability (length of employment). These are three different ways to measure concerns about workforce stability. The results of each measure are not directly linked to one another.

Concern: Direct contact staff turnover ratios and absentee rates are low enough to maintain continuity of supports and efficient use of resources.

Indicators:

- The crude separation rate, defined as the proportion of direct contact staff separated in the past year.
- The average length of service for all direct contact staff who separated in the past year, and for all currently employed direct contact staff.
- The vacancy rate, defined as the proportion of direct contact positions that were vacant as of a specified date.
- The proportion of direct contact hours paid in overtime hours.

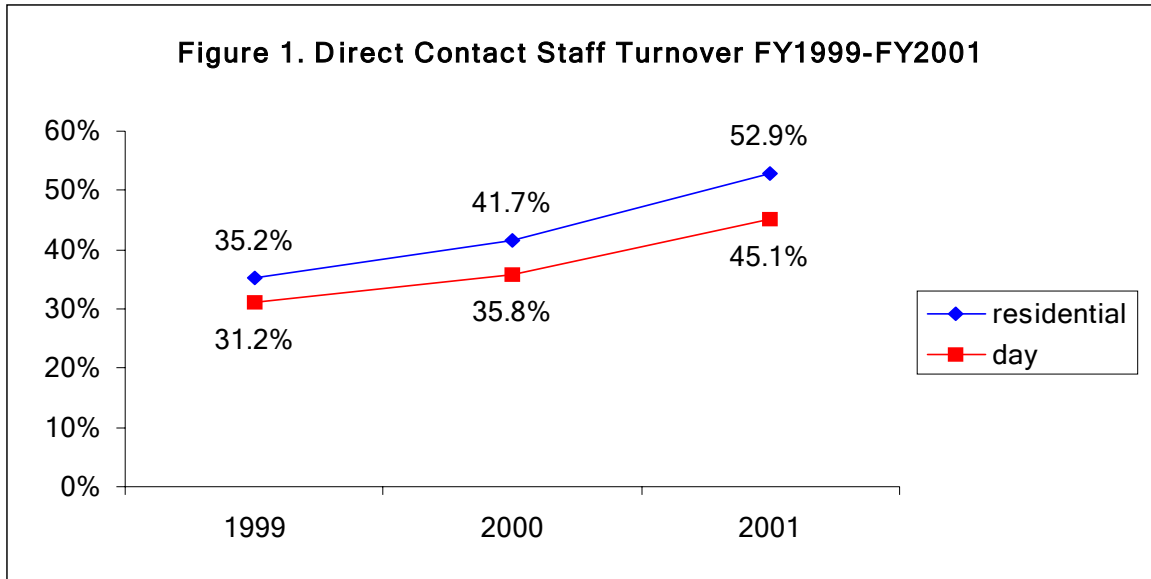
With respect to direct contact staff stability, state developmental disabilities authorities have expressed that the most critical area of concern lies in the arena of residential services and supports. Thus, NCI states are asked to collect staff stability data from agencies that provide such services. Optionally, states may decide to furnish information on day supports as well. Although the residential and day results are reported separately, it is important to note that there is some overlap in the results since many agencies submitted both types of data.

Note: Arizona's results were excluded due to insufficient data. Although 24 agencies reported data, fewer than ten agencies supplied data for any one indicator.

The proposed overtime indicator was not calculated. The data requested does not supply the correct denominator (total direct contact hours paid out in past month).

Agencies derived this information from payroll data. For the purposes of this survey, direct contact staff were defined as employees whose primary duties include hands-on, face-to-face contact with consumers. This may exclude psychologists, nurses, and managers whose responsibilities are primarily supervisory in nature.

Figure 1 below displays direct contact staff turnover rates for the last three years. Although only a small number of states submitted data each year (4-5 states per year), and the combination of states differed from year to year, the results show a clearly increasing trend in direct contact staff turnover. Residential services consistently report higher turnover rates than day services.



Methods and Results: Phase II

Turnover Rates

Turnover rates for each agency were calculated based on the number of direct support staff (regardless of whether they were full- or part-time employees) who left the agency during the previous twelve months for any reason, divided by the total number of direct support staff who were on the agency's payroll as of the end of June 1999. Unless otherwise noted, all data were compiled using provider surveys.

Table 1. Turnover rates in agencies providing residential supports. (1998-1999)		
State	Number of Agencies Reporting	Separation (Turnover) Rate
CT	48	28.73%
MA	63	36.08%
NE	34	39.93%
PA	72	36.93%
WA	66	46.53%
TOTAL (aggregate)	N = 283	35.20%

Table 2. Turnover rates in agencies providing day supports. (1998-1999)		
State	Number of Agencies Reporting	Separation (Turnover) Rate
CT	51	23.11%
MA	64	35.63%
NE	32	32.56%
PA	78	28.02%
WA	56	35.97%
VT ¹	13	23.22%
TOTAL (aggregate)	N = 294	31.20%

¹ Vermont's day support provider data does not include day staff who are employed directly by people with disabilities, family members, or contracted home providers.

Length of Employment

Length of employment of current and “separated” staff (staff who left in the past year) was calculated as follows. For each current employee, the agency determined how many months the person had been employed in a direct support capacity (of any type) on a continuous basis. The aggregate or total number of months of employment for all current employees was reported on the provider survey. The average length of employment was computed by dividing the aggregate number of months of employment by the total number of direct support staff on the agency’s payroll at the end of June 1999. For staff who left in the past year, agencies reported the number of months they had been employed up until the point they left the agency, and their average length of employment was calculated by dividing the total number of months of employment by the number of separated staff.

Table 3. Length of employment in agencies providing residential supports. (1998-1999)				
State	Separated Staff		Current Staff	
	Number of Agencies Reporting	Average # of Months Employed	Number of Agencies Reporting	Average # of Months Employed
CT	41	22.4	47	38.8
MA	61	27.7	62	30.2
NE	30	13.9	31	33.1
PA	66	18.8	69	37.5
WA	61	46.5	63	42.9
TOTAL (aggregate)	N = 259	19.5	N = 272	37.8

Table 4. Length of employment in agencies providing day supports. (1998-1999)

State	Separated Staff		Current Staff	
	Number of Agencies Reporting	Average # of Months Employed	Number of Agencies Reporting	Average # of Months Employed
CT	38	33.4	51	47.6
MA	55	19.6	62	38.8
NE	27	18.0	30	37.1
PA	63	31.8	75	59.9
WA	47	25.4	59	33.8
VT	12	23.9	13	46.0
TOTAL (aggregate)	N = 242	19.4	N = 290	40.3

Vacancy Rates

Agencies reported the number of full-time direct support staff positions (defined as 32 or more hours per week) and part time direct support staff positions (defined as less than 32 hours per week) on their payroll as of June 1999. They also indicated the number of vacant full-time and part-time positions as of June 1999. Vacancy rates are computed by dividing the number of vacant positions by the total number of positions. If the agency was unable to distinguish between full- and part-time positions, they were asked to calculate vacancy rates based on the number of FTE (full-time equivalent) positions. Therefore, results for FTE Positions should be viewed as an alternative way to look at vacancy rates, not as a third category of positions.

Note: One state collected number of "staff" rather than number of "positions." In this case, we added number of staff plus number of vacant positions to get the denominator (total number of positions).

State	Full-Time Positions		Part-Time Positions	
	Number of Agencies Reporting	Mean Vacancy Rate	Number of Agencies Reporting	Mean Vacancy Rate
CT	38	5.59%	37	16.35%
MA	43	10.80%	37	17.47%
NE	26	8.24%	25	30.12%
PA	56	11.89%	50	33.05%
WA	54	6.74%	50	15.78%
TOTAL (aggregate)	N = 217	9.93%	N = 199	18.93%

Table 6. Vacancy rates in agencies providing day supports. (1998-1999)				
State	Full-Time Positions		Part-Time Positions	
	Number of Agencies Reporting	Mean Vacancy Rate	Number of Agencies Reporting	Mean Vacancy Rate
CT	42	3.89%	32	8.10%
MA	48	6.81%	36	14.52%
NE	26	4.87%	21	5.36%
PA	60	7.54%	41	12.32%
WA	46	5.70%	37	7.70%
TOTAL (aggregate)	N = 222	5.87%	N = 167	8.74%

In summary, the staff stability figures suggest that:

- Turnover is lower in day support programs than in residential programs.
- Staff who left within the last year were employed on average about 19 months.
- Overall, there seems to be more longevity of employment in day support programs as compared to residential programs.
- Full-time vacancy rates are almost twice as high in residential programs as compared to day programs.
- Part-time position vacancies appear to be much higher than full-time position vacancies, for both residential and day support programs.

Methods and Results: Phase III

In Phase III, a few changes were made to the provider survey form. Revisions included:

- ♦ Combining the residential and day survey forms into one.
- ♦ Adding questions about profile information up front (number of people served, etc.).
- ♦ Specifying ranges of length of employment (less than six months, 6-12 months, over 12 months) rather than requesting total number of months employed.
- ♦ Dropping the question about overtime hours.
- ♦ Asking for definition of full-time employment rather than specifying 32 hours per week.

The configuration of provider agencies represented in this data set varies by state. For example, some states have a high percentage of agencies that provide both residential and day supports. The size of the organization is another important variable to consider. What follows is some basic descriptive information about the providers surveyed in each state. These profiles should be considered when comparing results across states.

Note: Given that only four states submitted data for Phase III, the “TOTAL” or aggregate figures should be interpreted with caution.

Delaware:

- 24% (4 out of 17) agencies reporting provide both residential and day supports.
- Agencies reporting serve an average of 39 (range of 7 to 98) individuals in residential services, and an average of 97 (range of 1 to 268) individuals in day supports.
- Most agencies reporting (35%) define “full-time” as 32 hours per week. Other definitions reported include: 30, 35, 36, and 40 hours per week.

Hawaii:

- 46% (6 out of 13) agencies reporting provide both residential and day supports.
- Agencies reporting serve an average of 31 (range of 1 to 80) individuals in residential services, and an average of 71 (range of 2 to 228) individuals in day supports.
- Most agencies reporting (46%) define “full-time” as 40 hours per week. Other definitions reported include: 20, 30, 32, 35, and 37.5 hours per week.

Nebraska:

- 80% (37 out of 46) agencies reporting provide both residential and day supports.
- Agencies reporting serve an average of 62 (range of 1 to 466) individuals in residential services, and an average of 60 (range of 2 to 547) individuals in day supports.
- 48% of agencies reporting define “full-time” as 32 hours per week. 35% use the definition of 40 hours per week.

Vermont:

- Only those agencies providing day supports were surveyed. A total of 12 day support providers are included in the results.
- These agencies serve an average of 151 (range of 24 to 269) individuals in day supports.
- All agencies reporting define “full-time” as 32 hours per week.

Turnover Rates

Table 7. Turnover rates in agencies providing residential supports. (1999-2000)		
State	Number of Agencies Reporting	Separation (Turnover) Rate
DE	11	31.53%
HI	7	24.53%
NE	41	47.19%
TOTAL (aggregate)	N = 59	41.66%

Table 8. Turnover rates in agencies providing day supports. (1999-2000)		
State	Number of Agencies Reporting	Separation (Turnover) Rate
DE	10	31.57%
HI	11	19.30%
NE	42	44.01%
VT ²	12	23.93%
TOTAL (aggregate)	N = 75	35.82%

² Vermont's day support provider data does not include day staff who are employed directly by people with disabilities, family members, or contracted home providers.

Length of Employment

Note: Due to changes in data collection methodology, length of employment results for Phase III (1999-2000) can not be compared to results for Phase II.

Table 9. Length of employment in agencies providing residential supports. (1999-2000)								
State	% Separated Staff Employed...				% Current Staff Employed...			
	N of Agencies Reporting	< 6 months	6-12 months	Over 12 months	N of Agencies Reporting	< 6 months	6-12 months	Over 12 months
DE	11	36.9%	30.0%	35.1%	11	24.3%	16.0%	59.7%
HI	7	44.8%	17.9%	37.3%	7	31.3%	27.1%	41.6%
TOTAL (aggregate)	18	30.2%	25.0%	44.8%	18	28.8%	14.6%	56.6%

Table 10. Length of employment in agencies providing day supports. (1999-2000)								
State	% Separated Staff Employed				% Current Staff Employed			
	N of Agencies Reporting	< 6 months	6-12 months	Over 12 months	N of Agencies Reporting	< 6 months	6-12 months	Over 12 months
DE	8	27.2%	23.4%	49.5%	10	19.3%	9.8%	70.9%
HI	10	28.6%	26.5%	44.9%	10	24.2%	29.5%	46.3%
VT	12	8.4%	24.7%	66.9%	12	17.1%	14.7%	68.1%
TOTAL (aggregate)	30	18.8%	22.1%	58.9%	30	23.9%	14.8%	60.2%

Vacancy Rates

Note: Due to changes in data collection methodology, vacancy rate results for Phase III (1999-2000) can not be compared to results for Phase II.

Table 11. Vacancy rates in agencies providing residential supports. (1999-2000)				
State	Full-Time Positions		Part-Time Positions	
	Number of Agencies Reporting	Mean Vacancy Rate	Number of Agencies Reporting	Mean Vacancy Rate
DE	10	9.17%	10	19.59%
HI	6	0.68%	5	1.74%
NE	30	5.35%	29	12.26%
TOTAL (aggregate)	46	6.19%	44	11.68%

Table 12. Vacancy rates in agencies providing day supports. (1999-2000)				
State	Full-Time Positions		Part-Time Positions	
	Number of Agencies Reporting	Mean Vacancy Rate	Number of Agencies Reporting	Mean Vacancy Rate
DE	9	10.19%	7	19.89%
HI	10	2.05%	7	1.24%
NE	31	4.79%	29	10.89%
TOTAL (aggregate)	50	5.94%	43	9.23%

Methods and Results: Phase IV

As in Phase III, the configuration of provider agencies represented varies by state. Basic profiles of the providers surveyed in each state are presented below.

Hawaii:

- 31% (5 out of 16) agencies reporting provide both residential and day supports.
- Agencies reporting serve an average of 44 (range of 1 to 153) individuals in residential services, and an average of 67 (range of 3 to 195) individuals in day supports.
- Most agencies reporting (54%) define “full-time” as 40 hours per week. Other definitions reported include: 20, 30, 32, and 37.5 hours per week.

Indiana:

- 60% (36 out of 60) agencies reporting provide both residential and day supports.
- Agencies reporting serve an average of 79 (range of 2 to 390) individuals in residential services, and an average of 183 (range of 5 to 642) individuals in day supports.
- 30% of agencies reporting define “full-time” as 30 hours per week, and another 30% use 32 hours per week. Other definitions reported include: 20, 35, 36, 37.5, and 40 hours per week.

Orange County, CA:

- 21% (8 out of 38) agencies reporting provide both residential and day supports.
- Agencies reporting serve an average of 45 (range of 1 to 500) individuals in residential services, and an average of 37 (range of 1 to 137) individuals in day supports.
- 55% of agencies reporting define “full-time” as 40 hours per week. Other definitions reported include: 20, 24, 30, 31, 32, 35, 36, and 37.5 hours per week.

Vermont:

- Only those agencies providing day supports were surveyed. A total of 15 day support providers are included in the results.
- These agencies serve an average of 159 (range of 21 to 380) individuals in day supports.
- All agencies reporting define “full-time” as 35 hours per week.

Washington:

- 24% (61 out of 259) agencies reporting provide both residential and day supports.
- Agencies reporting serve an average of 23 (range of 1 to 118) individuals in residential services, and an average of 55 (range of 1 to 400) individuals in day supports. **Note:** In Phase II, Washington State surveyed only those providers serving 10 or more persons. In Phase IV, all providers were surveyed.
- Washington did not submit vacancies data.

Turnover Rates

Table 13. Turnover rates in agencies providing residential supports. (2000-2001)		
State	Number of Agencies Reporting	Separation (Turnover) Rate
HI	5	32.58%
IN	53	54.11%
RCOC	21	39.03%
WA	164	49.00%
WY ³	16	52.20%
TOTAL (aggregate)	N = 243	52.91%

Table 14. Turnover rates in agencies providing day supports. (2000-2001)		
State	Number of Agencies Reporting	Separation (Turnover) Rate
HI	11	30.52%
IN	43	53.35%
RCOC	17	31.38%
VT ⁴	14	16.60%
WA	107	39.44%
TOTAL (aggregate)	N = 192	45.05%

³ Source: Report to the Joint Appropriations Committee on Study of Nonprofessional Direct Care Staff Recruitment, Retention, and Wages. State of Wyoming, Department of Health. December 2001. [<http://ddd.state.wy.us/Documents/wagedoc.htm>]

⁴ Vermont's day support provider data does not include day staff who are employed directly by people with disabilities, family members, or contracted home providers.

Length of Employment

Table 15. Length of employment in agencies providing residential supports. (2000-2001)								
State	% Separated Staff Employed...				% Current Staff Employed...			
	N of Agencies Reporting	< 6 months	6-12 months	Over 12 months	N of Agencies Reporting	< 6 months	6-12 months	Over 12 months
HI	3	35.7%	31.6%	32.6%	4	25.9%	21.4%	52.7%
IN	42	48.7%	18.1%	33.2%	42	22.5%	18.1%	59.4%
RCOC	14	36.8%	30.6%	32.6%	14	13.2%	12.1%	74.7%
WA	148	39.3%	25.4%	34.6%	170	17.8%	16.9%	65.3%
TOTAL (aggregate)	230	47.4%	22.6%	30.0%	221	22.0%	18.1%	59.9%

Table 16. Length of employment in agencies providing day supports. (2000-2001)								
State	% Separated Staff Employed				% Current Staff Employed			
	N of Agencies Reporting	< 6 months	6-12 months	Over 12 months	N of Agencies Reporting	< 6 months	6-12 months	Over 12 months
HI	7	28.7%	39.9%	31.4%	8	28.2%	23.9%	47.9%
IN	36	43.8%	18.0%	38.2%	36	19.6%	18.0%	62.4%
RCOC	11	28.7%	19.5%	51.8%	13	9.4%	11.9%	78.7%
VT	13	12.0%	22.7%	65.3%	12	13.4%	12.7%	73.9%
WA	97	25.6%	27.9%	42.5%	137	13.2%	14.1%	72.7%
TOTAL (aggregate)	181	41.5%	21.8%	36.7%	206	19.0%	16.1%	64.9%

Vacancy Rates

Table 17. Vacancy rates in agencies providing residential supports. (2000-2001)				
State	Full-Time Positions		Part-Time Positions	
	Number of Agencies Reporting	Mean Vacancy Rate	Number of Agencies Reporting	Mean Vacancy Rate
HI	3	0.0%	3	9.5%
IN	53	7.3%	46	11.2%
RCOC	14	1.6%	11	1.3%
TOTAL (aggregate)	70	7.3%	70	11.2%

Table 18. Vacancy rates in agencies providing day supports. (2000-2001)				
State	Full-Time Positions		Part-Time Positions	
	Number of Agencies Reporting	Mean Vacancy Rate	Number of Agencies Reporting	Mean Vacancy Rate
HI	9	2.8%	8	3.6%
IN	43	5.2%	35	10.6%
RCOC	13	2.7%	11	1.3%
TOTAL (aggregate)	66	7.1%	66	11.0%

Consumer and Family Representation on Boards of Directors

Indicators

Several NCI states reported information about the representation of consumers and families on provider agencies' boards of directors. Specifically, providers were asked to supply information about: (a) the number of people on the board of directors, (b) the number of voting members, and (c) the number of voting members who are primary consumers or family members of primary consumers.

PRIMARY CONSUMERS are defined as persons with mental retardation or other developmental disabilities who are receiving services, not necessarily from the provider that is reporting.

FAMILY MEMBERS include parents, siblings, or other relatives of primary consumers (as defined above).

Concern: The system is sensitive to consumer preferences and demands.

Indicators:

- The proportion of voting members on provider agency boards of directors who are primary consumers.
- The proportion of voting members on provider agency boards of directors who are family members of primary consumers.

Results: Phase II, III, and IV

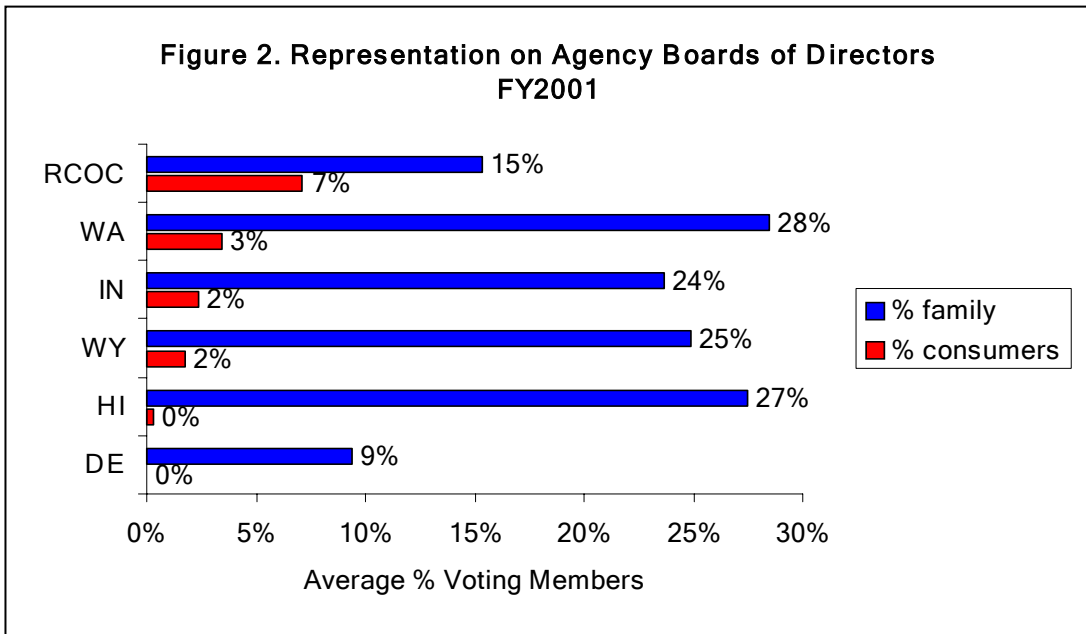
Table 19. Consumer and family representation on agency boards of directors.⁵ (1998-1999)			
State	N of Agencies Reporting	Average % of Voting Members who are Consumers	Average % of Voting Members who are Family
AZ	11	0.98%	11.73%
CT	69	2.29%	18.91%
MA	85	4.28%	21.89%
NE	21	2.14%	14.73%
PA	84	2.59%	18.49%
RI	26	13.08%	25.23%
WA	91	3.27%	15.85%
TOTAL (aggregate)	N = 387	3.47%	19.71%

Table 20. Consumer and family representation on agency boards of directors. (1999-2000)			
State	N of Agencies Reporting	Average % of Voting Members who are Consumers	Average % of Voting Members who are Family
DE	5	0.00%	19.72%
HI	13	0.31%	36.74%
NE	23	4.49%	14.88%
RI	25	12.13%	27.80%
VT ⁶	17	23.65%	52.67%
TOTAL (aggregate)	83	9.14%	28.99%

⁵ Some of these figures may include advisory boards as well as governing boards. In Phases III and IV, advisory boards were excluded from results. Thus, Phase II results are not comparable with Phases III and IV.

⁶ Many of Vermont's service agencies serve multiple populations. State law stipulates that the disability status of board members of these agencies remain confidential. However, Vermont's Developmental Services regulations require each agency to have a "standing committee" to provide oversight of the DD-funded portion of the agency's services. The disability status of the standing committee members is not confidential. Vermont reported the composition of their standing committees in lieu of boards of directors.

Table 21. Consumer and family representation on agency boards of directors. (2000-2001)			
State	N of Agencies Reporting	Average % of Voting Members who are Consumers	Average % of Voting Members who are Family
DE	5	0.00%	9.37%
RCOC	19	7.09%	15.38%
HI	16	0.31%	27.46%
IN	56	2.36%	23.70%
WY	11	1.77%	24.92%
WA	143	3.45%	28.46%
TOTAL (aggregate)	250	2.84%	26.03%



Summary

These states put an enormous effort into collecting and compiling the system data required by the national NCI. Provider agencies' cooperation and willingness to supply information were essential to the process, which was laborious and sometimes confusing. Agencies were asked to report information that, for the most part, had never been requested in any systematic way. Their efforts and input are tremendously appreciated.

One of the most difficult aspects of collecting this type of data is ensuring consistency of information, not only across states but also across provider agencies. The national NCI has worked hard to establish comparable definitions and measures for the purposes of benchmarking performance data and making cross-state comparisons. The data collected by individual states for this project will be useful for performance monitoring and strategic planning. In addition, the lessons learned about the process of collecting the data will be factored in to the redesign and improvement of the surveys in future years, easing the burden on providers and improving the reliability of the information.