

**APPENDIX D:
PROTOCOL**

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Introduction

Thank you for taking the time to meet with us today. Our discussion should take about 90 minutes.

As you know, CMS has contracted with RTI to conduct formative research on the Systems Change for Community Living Grants Program. A primary purpose of this research is to gain an understanding of how systems change occurs and to share this information with Grantees and other interested parties. In particular, formative research is focused on “lessons learned”—what works and what does not work.

As part of this formative research, we are preparing a paper on Grantee initiatives that address long-term care workforce issues. Your Grant was one of 20 identified with at least one initiative in this area.

We will be in (State) over the next few days conducting interviews with several people working on the Grant’s workforce initiatives. We have reviewed your semiannual and annual reports and would like to gather more in-depth information about your workforce initiatives.

We will summarize the information and prepare a paper on our findings, which we will distribute to the Grantees and make available on two Web sites: CMS and HCBS.org. Nothing that you say to us will be attributed to you personally in the paper. We will identify our findings only by Grantee. All information you provide to us will be kept confidential.

To get started, could you tell us what agency (organization) you work for—or are affiliated with—and in what capacity? We would also like to know your specific role in the Grant’s workforce initiatives.

FILL IN FOR ALL BEING INTERVIEWED

Name: _____

Title: _____

Affiliation/Organization Name: _____

Ask for business card for contact info: _____

[If no card—obtain information at end of interview]

Role in workforce initiatives: _____

Questions

1. In your (type of) Grant application, you mentioned that (x *fill in*) issues were a major LTC system problem in your state. Can you tell us more about these issues?

PROBES: Why do you feel they are a major problem?
Who do these problems affect and how?

***Complete questions 2 – 12 for each major Grant initiative.
The three categories are recruitment, retention, and training.***

Your state has a number of initiatives to address workforce issues. We would like to discuss each of these initiatives separately. Starting with ...

2. Please describe the initiative. We are particularly interested in what you think are its most important elements, and why.

PROBES: How did you develop the initiative? What steps were involved?
Who were the major players in the initiative and what roles did they play?

3. Have you encountered any problems implementing your initiative thus far, and if so, how have you addressed them?

PROBES: What actions were successful (and not successful) in addressing problems?
What created barriers?

4. Did you seek technical assistance from the Exchange Collaborative or any other source to help you with any aspect of the initiative?

If so, Please describe the assistance received and how it helped (or did not help) the initiative.

5. Do you think you'll need additional technical assistance to complete the initiative or to assure that it will be sustained after the Grant ends?

6. Now that you are halfway through the Grant period, do you think you are on the right track to achieve the goal you set for this initiative, or do you think you need to make changes in the initiative to achieve your goal?

7. How will you determine whether the initiative has successfully addressed the problem it is designed to address?

PROBE: Are you conducting an informal or formal evaluation?

Ask one or more of the following questions as applicable to a particular initiative. Some initiatives are expected to result in systems change during the 3-year Grant period. Others are not. Ask the question that makes sense for the particular initiative.

- 8.a. What steps are you taking to assure that the initiative will continue after the Grant ends?

- 8.b. Will this initiative continue after the Grant ends?
If yes, Who will fund and manage the initiative?

- 8.c. What steps are you taking to assure that the results of this initiative will endure after the Grant ends?

9. If another state wanted to replicate your initiative, what would you tell them?

PROBES: Essential components or features
Barriers/problems to anticipate

10. Are there specific products you have developed—for example, recruitment brochures, training materials—that would be useful to other States?

11. Is there any other information about your initiative that would be helpful for other States looking for ways to address the same workforce issues?