Primary Care, Mental Health, and Substance Use Integration
A Webinar Series Sponsored by:
California Institute of Mental Health, Alcohol and Drug Policy Institute,
and Integrated Behavioral Health Project

Creating Partnerships That Support Integrated Care
May 6, 2010

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This free webinar series is supported through MHSA funding under contract with
the CA State Department of Mental Health as well funding from the Alcohol and Drug Policy Institute.
IBHP participation is supported by The California Endowment.
Creating Partnerships that Support Integrated Care
CiMH
Primary Care, Mental Health, and Substance Use Integration
Webinar Series 5/6/10

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Context for Partnerships

- Healthcare Reform and California Medi-Cal 1115 Waiver
  - Universal Coverage and Parity
  - Patient-Centered Medical Home
  - Accountable Care organizations
  - Payment Reform and Financing Integrated Care

- Structural Models for Integrated Care
  - Fully integrated, co-located care provided by a single organization
  - A partnership model in which care is shared
  - A facilitated referral approach

- Four Quadrant Model and Care Model

- California Integration Policy Initiative (IPI) and Consensus Guidelines
Patient-Centered Medical Home Principles

• **Ongoing Relationship** with a PCP
• **Care Team** who collectively take responsibility for ongoing care
• Provides all healthcare or makes **Appropriate Referrals**
• Care is **Coordinated and/or Integrated**
• **Quality and Safety** are hallmarks
• **Enhanced Access** to care is available
• **Payment** appropriately recognizes the **Added Value**

See the [www.pcpcc.net](http://www.pcpcc.net) site for more information
Accountable Care Organizations (ACOs)

- Congress and CMS: an ACO would have at least one hospital, a minimum of 50 physicians (primary care and specialists), commit to be in business for at least 3-5 years, and serve at least 5,000 patients
  - If the ACO met pre-established quality goals, it would receive an incentive payment
  - Penalties would be assessed if care did not meet the quality goals established
  - Incentive payments and penalties would be split between the members of the ACO
  - The providers in the ACO would follow best practices, be patient-centered and contribute to the development of best clinical practices to build standards of evidenced-based medicine

- Medicare: Allow providers organized as ACOs that voluntarily meet quality thresholds to share in the cost savings they achieve (2012)

- Medicaid demonstration projects: Pay bundled payments for episodes of care that include hospitalizations (2010-2016); make global capitated payments to safety net hospital systems (FY2010-2012); Allow pediatric medical providers organized as ACOs to share in cost-savings (2012-2016)
Accountable Care Organizations (ACOs)

- ACOs may be able to analyze patient experiences across a population and inform quality improvement strategies
  - Vertical integration of primary care, specialty, hospital providers who share risk for quality and total healthcare costs
- ACOs would achieve this by addressing three, key barriers to improved value for healthcare
  - Tackle a fragmented payment and delivery system by fostering local, organizational accountability for the continuum of patients’ care including outcomes, quality and costs
  - Focusing provider payments on improved health and outcomes, better quality, and reduced costs
  - Support patient choice by providing information on the risks and benefits of treatment options
- MH/SU providers must prepare to be a part of ACOs and advocate for bi-directional integration
Accountable Care Organizations (ACOs)

- A separate legal entity, with ownership and, more importantly, governance, shared by the hospital and the physicians
  - Have a robust information technology system to track patient health care, which would be accessible to all participants in the ACO
  - Provide primary and multi-specialty care for the patients assigned to it as the recipient of a bundled payment from Medicare or another payor
  - Have an administrative staff separate from the hospital and the physicians, which would establish protocols and monitor patient care both within and outside the hospital
  - Integrate and align the interests of the hospital and the physicians, absorbing the financial risk of the care model
  - Be designed as a profit center to distribute the excess of revenue over expenses to be derived from providing for patient care and the costs of administration of the ACO
**Financing**

- New funding mechanisms will be utilized to better fund services that manage total healthcare expenditures—Medicare, Medicaid and commercial insurer pilots.
- Many PCMHs will be funded with a 3-layer reimbursement mechanism.

<table>
<thead>
<tr>
<th>Case Rate</th>
<th>Fee for Service/PPS</th>
<th>Bonus</th>
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</table>
| - Prevention, Early Intervention, Care Management for Chronic Medical Conditions | - Per Service Payment  
- Prospective Payment System (PPS) Settlement (FQHC model) to cover shortfalls | - Share in Savings from Reduced Total Healthcare Expenditures (bending the curve) |

Note: PPS = Prospective Payment System, the FQHC cost-based reimbursement system.
Financing Integrated Care

• Parity will be a requirement for most health plans in the new healthcare reform legislation and a broader behavioral health benefit will be available for most people with coverage, and …

• Drawing on the California Integration Policy Initiative framework of Mild, Moderate, Serious and Severe Levels of Care, and …

Untangling the MH/SU Funding

- General Healthcare System Funds MH/SU Services for Mild & Moderate Levels of Care (mostly in Primary Care Settings)
- Specialty MH/SU System Funds MH/SU Services for Serious & Severe Levels of Care (mostly in Specialty Care Settings)
**California: Align with Healthcare Reform**

- California Medi-Cal Waiver activities must be grounded in the healthcare reform legislation and concepts
  - New designs must lead to *Improved Quality* and better management of *Total Healthcare Expenditures*
  - Effective mental health and substance use treatment are key components of managing *Total Health Expenditures* and *bending the cost curve*
  - This involves treating the *healthcare needs of persons with MH/SU conditions* and the *MH/SU conditions of all Americans*
  - Requires creating *PCMHs*

- California’s public mental health, substance use and general healthcare delivery systems, financing and management structures need to be better aligned and integrated into Organized Systems of Care (e.g., ACOs) to achieve these aims
California: 1115 Concept Paper

• Focus on High Need/High Cost Enrollees
  – 10% of Medi-Cal beneficiaries account for 74% of the total program costs. Within this population, 4% account for 60% of the costs (Public Policy Institute of California)
  – Approximately 30% of Medi-Cal beneficiaries with disabilities have received treatment throughout the year for a mental health condition, while close to 9% are diagnosed with schizophrenia
  – These individuals are also far more costly than persons with disabilities who do not have a mental health condition

• Promote Organized Delivery Systems of Care in 4 Phases

| Seniors & Persons with Disabilities and Children & Families in Rural Counties | Children with Special Health Care Needs | Dual Eligible Beneficiaries | Adults with Severe Mental Illness |

Note: All four priority groups include persons with MH/SU conditions
California: Address the Three Components of Integration in 1115 Waiver Recommendations

- Waiver pilots should be grounded in a Clinical Design, as described in the IPI Report, and address the Financial and Management Structures needed to support the Clinical Design
  - Clinical integration focuses on what people need and what services look like “on the ground”
  - Financial (all the money in the same pot) or structural (all the services under the same organization and/or in the same building) integration does not assure clinical integration
  - BUT clinical integration requires financial and structural supports in order to be successful
Structural Models for Integrated Care

• Three broad approaches:
  – Fully integrated, co-located care provided by a single organization
  – A partnership model in which care is shared across two different organizations via co-located staff
  – A facilitated referral approach in which a site helps clients coordinate care occurring at multiple different clinics or sites

• None of these organizational approaches guarantees or precludes the structural or process elements of care found to be important for improving clinical integration
Structural Models for Integrated Care

- In *fully integrated medical and MH/SU healthcare*, staff within a single organization provides primary and MH/SU healthcare
  - Primarily used in large, quasi-integrated systems such as staff model HMOs and the VA, which include physical facilities that provide co-location of mental health, substance use, and medical services and an integrated electronic medical record (EMR)
    - These systems have administrative and fiscal responsibility for mental health, substance use, and medical care of a defined group of patients, providing a rationale and financial mechanism for them to support these models
  - Cherokee Health Systems in Tennessee, which is both a Community Mental Health Center and a Federally Qualified Health Center, is an exemplar system that fully integrates services
    - However, it took nearly 20 years and a unique series of circumstances, including a charismatic leader and funding from a lawsuit with a managed care company, to allow it to financially support its mission of integrated care
Structural Models for Integrated Care

- In *partnerships between community MH/SU organizations and primary care*, primary care staff are embedded in a community MH/SU organization and/or MH/SU staff are embedded in the primary care setting.
  - These partnerships provide not only the staff member but also can link to the full range of expertise at their home agency via supervision, consultation, and referrals.
  - Onsite clinicians can bill under the license of their home organization, overcoming some of the financial obstacles that primary care sites face in providing MH/SU services and vice versa.
  - Challenges include identifying another site that has the requisite staffing and expertise to provide care, and is willing and able to successfully collaborate.
Structural Models for Integrated Care

• Community MH/SU organizations can establish *linkages to primary care (or vice versa)* in which primary care staff are not physically present in the MH/SU organization but the MH/SU organization conducts physical health screenings, coordinates referrals to primary care, and shares information with primary care
  – Alternatively MH/SU staff is not physically present in primary care but the primary care provider conducts MH/SU screenings and coordinates referrals to MH/SU specialty settings

• Ideally a care manager ensures that patients can obtain access to, and follow-up with, care outside the organization
  – With care managers and other mechanisms ensuring follow-up and transfer of information across the organizations, these models can improve quality and outcomes of depression in primary care and also primary medical care among patients with serious mental illnesses

• However, this model can only be as successful as the access to and quality of care across a range of community locations
The National Council’s Four Quadrant Clinical Integration Model (MH/SU)

Quadrant II
MH/SU †  PH ‡
- Outstationed medical nurse practitioner/physician at MH/SU site (with standard screening tools and guidelines) or community PCP
- MH/SU clinician/case manager w/ responsibility for coordination w/ PCP
- Specialty outpatient MH/SU treatment including medication-assisted therapy
- Residential MH/SU treatment
- Crisis/ED based MH/SU interventions
- Detox/sobering
- Wellness programming
- Other community supports

Quadrant III
MH/SU ‡  PH †
- PCP (with standard screening tools and MH/SU practice guidelines for psychotropic medications and medication-assisted therapy)
- PCP-based BHC/care manager (competent in MH/SU)
- Specialty prescribing consultation
- Wellness programming
- Crisis or ED based MH/SU interventions
- Other community supports

Quadrant IV
MH/SU †  PH †
- Outstationed medical nurse practitioner/physician at MH/SU site (with standard screening tools and guidelines) or community PCP
- Nurse care manager at MH/SU site
- MH/SU clinician/case manager
- External care manager
- Specialty medical/surgical
- Specialty outpatient MH/SU treatment including medication-assisted therapy
- Residential MH/SU treatment
- Crisis/ED based MH/SU interventions
- Detox/sobering
- Medical/surgical inpatient
- Nursing home/home based care
- Wellness programming
- Other community supports

Persons with serious MH/SU conditions could be served in all settings. Plan for and deliver services based upon the needs of the individual, personal choice and the specifics of the community and collaboration.
The Care Model
Enhancing the Continuum of Care: Integrating Behavioral Health and Primary Care through Affiliations with FQHCs

CHECKLIST OF CONSIDERATIONS FOR AFFILIATION AGREEMENTS

Community Mental Health Centers (CMHCs) and Federally Qualified Health Centers (FQHCs) are increasingly affiliating to provide their patients with comprehensive and integrated primary and behavioral health services.

This checklist is intended to guide discussions among partnering CMHCs and FQHCs drafting comprehensive affiliation agreements that are compliant with federal laws, regulations, and guidance. Although there is a broad range of affiliation models, this tool specifically addresses key terms pertaining to:

- referral arrangements;
- co-location arrangements; and
- purchase of services arrangements.

For additional information, please visit the National Council Resource Center for Primary Care and Behavioral Health Collaboration at www.thenationalcouncil.org/resourcecenter.

REFERRAL AGREEMENT

What is a referral arrangement?

A referral arrangement is a partnership under which a provider agrees to furnish services to those patients who are referred to it by another provider. The referring provider agrees to utilize the other provider as its preferred, albeit not exclusive, provider of choice for particular services. There is no change in location or purchase of services. Each party is only accountable for the services it directly furnishes to patients.

Referral relationships may serve as a useful precursor to a more collaborative model, providing both parties with the opportunity to evaluate the partnership prior to implementing a co-location or purchase of services arrangement.

What are referral arrangement options for CMHCs and FQHCs?

- FQHC refers its patients to the CMHC for behavioral health services; and/or
- CMHC refers its patients to the FQHC for primary and preventive care services.
California: The Primary Care, Mental Health, and Substance Use Services Integration Policy Initiative (IPI)

Vision: *Overall health and wellness is embraced as a shared community responsibility*

- To achieve individual and population health and wellness (physical, mental, social/emotional/developmental and spiritual health), healthcare services for the whole person (physical, mental and substance use healthcare) must be:
  - seamlessly integrated
  - planned for and provided through collaboration at every level of the healthcare system, as well as coordinated with the supportive capacities within each community
- Ten principles in support of the vision and integrated care
- IPI Continuum as clinical framework for community dialogue
## The IPI Continuum:

**A Collaborative MH/SU/Primary Care Continuum for the Safety Net Population**

(This Continuum details the vertical MH/SU axis of the 4Q Model and does not attempt to span the horizontal axis, which considers the range of general healthcare services from prevention/health promotion to specialty medical/surgical and inpatient services. The supportive services and systems in the community are also not detailed here, however it is anticipated that development of a locally specific IPI Continuum would describe these as a part of defining seamless services.)

<table>
<thead>
<tr>
<th>Mild MH/SU Complexity</th>
<th>Moderate MH/SU Complexity</th>
<th>Serious MH/SU Complexity</th>
<th>Severe MH/SU Complexity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Characteristics of the population with MH/SU needs to be served in each level— for all ages (children, youth, adults, older adults)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>No comorbidities</td>
<td>Medical comorbidity, including pain, or MH/SU comorbidity, and/or Isolated or chaotic family/community environment</td>
<td>Multiple, complex medical, MH/SU comorbidities, and/or Isolated or chaotic family/community environment, and/or Previous treatment ineffective</td>
</tr>
<tr>
<td></td>
<td>Standardized assessment tool$^{12}$ indicates mild to moderate symptoms or developmental concern</td>
<td>Standardized assessment tool$^{12}$ indicates moderate to severe symptoms and their impact on functioning</td>
<td>Standardized assessment tool$^{12}$ indicates severe symptoms and their impact on functioning</td>
</tr>
<tr>
<td></td>
<td>Diagnostic examples include V-codes, mild depression, mild anxiety, sleep disorder, somatic disorder, SU disorder</td>
<td>Diagnostic examples include moderate depression, moderate anxiety (including PTSD), sleep disorder, somatic disorder, SU disorder (abuse)</td>
<td>Diagnostic examples include severe depression, severe anxiety (including PTSD), schizophrenia, bipolar disorder, schizoaffective disorder, personality disorders, SU disorder (abuse/dependence)</td>
</tr>
</tbody>
</table>

$^{12}$ Diagnostic and Statistical Manual of Mental Disorders (5th ed.)
California IPI Continuum

- Characteristics of the population with MH/SU needs to be served in each level (mild, moderate, serious, severe MH/SU complexity)
- Estimated population needing MH/SU services
- Healthcare Home physical health services to be made available
- Optimal MH/SU services for each MH/SU level
- Examples of evidence-based/effective MH/SU interventions
- MH/SU measurement of process, capacity and/or outcome measures (with individual and population examples)
Consensus Guidelines

• Methods
  – Review of the literature
  – Convened group of 25 statewide experts (MH and PC)
  – Collaboration with concurrent IPI planning process
  – Visits to best practice sites

• Guidelines
  – Continuum of Care
  – Care Settings
  – Clinical Care Guidelines
  – Bi-Directional Transitions
  – Determining Levels of Care

Neal Adams, MD, MPH
Former Director of Special Projects, CiMH

Resources:
Enhancing the Continuum of Care: Integrating Behavioral Health and Primary Care through Affiliations with FQHCs (checklist)

*Behavioral Health/Primary Care Integration and The Person-Centered Healthcare Home, April 2009*

*Substance Use Disorders and the Person-Centered Healthcare Home, March 2010*

http://www.thenationalcouncil.org

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Santa Clara County’s Integration Experience

Tiffany Ho, MD
Bruce Copley, MA

Santa Clara Co. Mental Health Department
Santa Clara County Health & Hospital System
Mental Health Department and
Ambulatory and Managed Care

• MOU to outline the collaboration between Mental Health Department (MHD) and Ambulatory & Managed Care (AMC)

• Shared MHD and AMC vision: to achieve individual and population health and wellness, health care services for the whole person (physical, mental, & substance use health care) must be seamlessly integrated, planned for and provided through collaboration at every level of the health care system (Adopted from the Integration Policy Initiative sponsored by the California Institute of Mental Health)
**Program Concept & Target Population**

- **Program Concept:** Three FQHCs will expand to include behavioral health services provided by Psychiatrists & Licensed Clinical Social Workers

- **Target Population** – the Integrated Outpatient Services’ target population includes:
  - Persons who have mental illnesses that do not require intensive case management referred through the MHD Call Center.
  - Persons who require behavioral health services or outreach/support referred through AMC primary care providers
Tiered Approach

Four levels or categories of care will be provided

- Telephone/Email/Curbside consultation
- Face to face psychiatric consultation
- Ongoing psychiatric treatment
- Non physician behavioral health services
Leadership & Management Authority

- **MHD Roles and Responsibilities:**
  - Oversight: MHD will provide oversight of the role, conduct, & outcomes of mental health services and will collaborate with AMC regarding integration of these services with primary care
  - Clinic Operations: MHD will be responsible for day to day management of clinic operations
  - Staff supervision: MHD will be responsible for day to day supervision of mental health staff

- **AMC Roles and Responsibilities:**
  - Oversight: AMC will collaborate with MHD to oversee integration of primary care with mental health services
MHD Roles and Responsibilities:

- MHD is responsible to assure mental health staff comply with AMC policies and procedures related to budgeting, accounting, reporting, documentation, coding, and billing.

AMC Roles and Responsibilities:

- AMC is responsible to provide policies and procedures for mental health staff related to budgeting, accounting, reporting, documentation, coding, and billing.
Registration, Record Keeping Pharmacy & Labs

- **Registration:**
  - Same medical records numbers

- **Medical Records:**
  - Medical records keeping is in the same integrated paper chart used by both AMC and MHD. Progress notes are typed. MHD has two separate tabs to file notes.

- **Pharmacy and Labs:**
  - Conveniently located on the same site.
  - Results are available electronically to both AMC and MHD doctors
Lessons Learned

- **Budgeting:**
  - Need to allow for start up time. Our financial goal of generating $10 M was too ambitious.
  - Need to take into account no show rate and budget for about 20% of no shows.

- **Clinical Operations:**
  - LCSWs have to move from the case management model with substantial phone work to 9 face to face visits per day for our revenue model. Currently, they are at only 50% of their capacity.
Lessons Learned

- **Partnership with Primary Care:**
  - Though we anticipated a higher level of needs, despite 10 months into the operations, we have only received about 150 referrals so far.
  - Primary care at one of the clinics is also trying to build up their caseload and they are learning themselves to move from a traditional medical clinic to a medical home.
  - Our collaboration was both a financial response to budget cuts and also a strong desire to coordinate/integrate care. Need more time for advanced planning and testing.
San Diego County’s Integration Experience

Marshall Lewis, MD
Alfredo Aguirre, LCSW
County of San Diego,
Health & Human Services Agency
Behavioral and Physical Health Integration

Marshall Lewis, MD, DFAPA – Clinical Director
Alfredo Aguirre, LCSW – Mental Health Director

Behavioral Health Division
Health and Human Services Agency
County of San Diego
Background

• Early efforts
• Recognizing importance of relationships
  – Fostering community synergies
  – The Tour
The Vision

Health Strategy Agenda – HHSA

1. Prevention
2. Access
3. Care & Treatment
Local Models

• Fully integrated – co-located
• Partnership – shared across two organizations and co-located staff
• Coordinated care – linkage
Current Strategies

• Mental Health and Primary Care (PC) Integration Services (CCC)
• SAMHSA grant
• Integrated Health Care pilot
• Rural Integrated BH & PC Services
Chronic Care Model

Community
Resources and Policies
Self-Management Support
Informed, Activated Patient
Improved Outcomes

Health System
Health Care Organization
Delivery System Design
Decision Support
Clinical Information Systems
Prepared, Proactive Practice Team
Productive Interactions

HHSA Health and Human Services Agency
COUNTY OF SAN DIEGO
Integrated Care System

Bi-directional, seamless flow of clients & information

RN Care Coordinator

Behavioral Health Consultant

MD Only

FQHC BH Program

Severity / Acuity

Recovery / Stability

Community / Peer Supports

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2009
SAMHSA Grant Project

- San Diego Primary and Behavioral Health Care Initiative
- Council of Community Clinics – fiscal lead
- Partnership model
- Two mental health agencies
- Two primary care clinic sites
Integrated Health Care Pilot

- Behavioral Health Services, Federally Qualified Health Center, mental health clinic
- Stable SMI clients
- Presenting health issues
- Psychototropic medication management
- Overall health & wellness
Rural Health Project

- Rural family practice clinics
- Behavioral health prevention, education, & intervention services
- Treatment of SMI within the primary care team
- Expansion of PC formulary
Lessons Learned

• Structure is everything!
• Respect cultures
• Be explicit in contracting
Questions
## Primary Care, Mental Health, and Substance Use Integration
### Upcoming Webinars

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
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<tbody>
<tr>
<td>Addressing Substance Use Issues in Primary Care: SBIRT and Emerging Opportunities</td>
<td>May 13, 2010</td>
</tr>
<tr>
<td>Addressing Mental Health Issues in Primary Care: IMPACT Model</td>
<td>June 3, 2010</td>
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<tr>
<td>Bridging Differences in the “Cultures” of PC/MH/SU</td>
<td>June 10, 2010</td>
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<tr>
<td>Paying for integrated Services: FQHC, Medi-Cal and Other Funding Strategies</td>
<td>June 24, 2010</td>
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Please go to [http://www.cimh.org/Learning/Online-Learning/Webcasts.aspx](http://www.cimh.org/Learning/Online-Learning/Webcasts.aspx) for more information and to register for future webinars.

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