

# **Attachment I**

## **Regional Healthcare Partnership (RHP) Planning Protocol**

### **I. PREFACE**

#### **A. Delivery System Reform Incentive Payment Program**

Special Terms and Conditions (STC) 45 of the Demonstration authorizes Texas to establish a Delivery System Reform Incentive Payment (DSRIP) program. Initiatives under the DSRIP program are designed to provide incentive payments to hospitals and other providers for investments in delivery system reforms that increase access to health care, improve the quality of care, and enhance the health of patients and families they serve.

The program of activity funded by the DSRIP shall be based on Regional Healthcare Partnerships (RHPs). Each RHP shall have geographic boundaries and will be coordinated by a public hospital or local governmental entity with the authority to make intergovernmental transfers. The public hospital or local governmental entity shall collaborate with hospitals and other potential providers to develop an RHP Plan that will accelerate meaningful delivery system reforms that improve patient care for low-income populations. The RHP Plans must be consistent with regional shared mission and quality goals of the RHP and CMS's triple aims to improve care for individuals (including access to care, quality of care, and health outcomes); improve health for the population; and lower costs through improvements (without any harm whatsoever to individuals, families, or communities).

#### **B. RHP Planning Protocol and Program Funding and Mechanics Protocol**

In accordance with STC 45(a) and 45(d)(ii)(A) & (B), the RHP Planning Protocol (Attachment I) defines the specific initiatives that will align with the following four categories: (1) Infrastructure Development; (2) Program Innovation and Redesign; (3) Quality Improvements; and (4) Population-focused Improvements. The Program Funding and Mechanics Protocol (Attachment J) describes the State and CMS review process for RHP Plans, incentive payment methodologies, RHP and State reporting requirements, and penalties for missed milestones.

Each RHP must submit an RHP Plan that identifies the projects, outcomes, population-focused objectives, and specific milestones and metrics in accordance with these attachments and STCs.

#### **C. Organization of "Attachment I: RHP Planning Protocol"**

Attachment I has been organized into the following sections:

- I. Preface
- II. Key Principles
- III. Required RHP Plan Elements
- IV. Format of this Document
- V. Category 1 Infrastructure Development
- VI. Category 2 Program Innovation and Redesign
- VII. Category 3 Quality Improvements
- VIII. Category 4 Population Focused Improvements
- Appendix: CMS-Provided Key Elements for Learning Collaboratives and Continuous Quality Improvement

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

This document is supplemented by a *metric specification guide* developed by the state in consultation with CMS that provides more detail on the Category 1, 2, 3, and 4 metrics, including the data source for each measure, the measure steward, and the high performance level or other target setting methodology that will be used to determine targets for Category 3 metrics. The metric specification guide will be made available on the state's website.

## **II. Key Principles**

### **A. Responding to the Needs and Challenges of the Texas Health Care Delivery System**

Texas faces many unique health challenges. For example, rates of obesity and chronic diseases are some of the highest in the nation, and many Texans do not have a regular source of care to help manage and prevent these diseases. Many Texans do not receive regular treatment for mental health issues, and as a result, mental health problems account for a large percentage of admissions to hospitals that could have been avoided. These challenges and many more disproportionately affect safety net providers who serve Medicaid beneficiaries and the uninsured.

DSRIP provides an unprecedented opportunity to improve patient care for low-income populations by incentivizing delivery system reforms that increase access to health care, improve the quality of care, and enhance the health of patients and families they serve. These investments not only contribute to the triple aim, but they can also help position safety net providers for the emerging healthcare market, in which data-based quality performance and cost-efficiency drive competition.

This protocol presents a “menu” of evidence-based projects that can be incentivized through DSRIP. These projects were selected by HHSC and CMS to have the maximum impact on the health system challenges facing Texas.

Since health system reform requires regional collaboration, providers must select projects that relate to the community needs identified by the RHP, and RHPs must engage stakeholders in the development of RHP plans. The requirements for the community needs assessment and stakeholder engagement are described in section 10 of the Program Funding and Mechanics Protocol (Attachment J).

### **B. Interconnection and Shared Orientation of Projects**

DSRIP activities are divided into four categories, which are interrelated and complementary:

- Category 1 Infrastructure Development lays the foundation for delivery system transformation through investments in technology, tools, and human resources that will strengthen the ability of providers to serve populations and continuously improve services.
- Category 2 Program Innovation and Redesign includes the piloting, testing, and replicating of innovative care models.

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

- Category 3 Quality Improvements includes outcome reporting and improvements in care that can be achieved within four years.
- Category 4 Population-focused Improvements is the reporting of measures that demonstrate the impact of delivery system reform investments under the waiver.

Multiple, complementary initiatives will be occurring in the same RHP simultaneously, reinforcing each other in the transformation of care delivery. The selected projects for the RHP plan should possess the following qualities:

- While they are highly related projects, each improvement project is distinct;
- All of the proposed projects are oriented to creating more effective and coordinated care provision; and
- There is a coordinated approach to supporting improved patient experience, population health, quality improvement, and cost control.

In order to achieve meaningful change by the end of the demonstration, every performing provider must link each of its Category 1 and 2 projects to a related Category 3 outcome. The outcomes shall assess the results of care experienced by patients, including patients' clinical events, patients' recovery and health status, patients' experiences in the health system, and efficiency/cost. Additional information about category 3 outcomes and the setting of outcome targets is provided in section 11.d of the Program Funding and Mechanics Protocol (Attachment J).

#### **C. Fostering Continuous Quality Improvement**

In order to achieve and sustain success at responding to community needs, providers and communities will need to apply best practices in continuous quality improvement. Most notably, learning collaboratives are essential to the success of high quality health systems that have achieved the highest level of performance. Performing providers are strongly encouraged to form learning collaboratives to promote sharing of challenges and testing of new ideas and solutions by providers implementing similar projects in each RHP. These regionally-focused learning collaboratives also can inform the learning collaborative conducted annually during DYs 3-5 to share learning, experiences, and best practices acquired from the DSRIP program across the State. For the Key Elements for Learning Collaboratives provided by CMS, please see Attachment 1.

RHPs can be a natural hub for this type of shared learning by connecting providers who are working together on common challenges in the community, but providers and RHPs are also encouraged to connect with others across Texas to form a "community of communities" that can connect on an ongoing basis to share best practices, breakthrough ideas, challenges and solutions. This will allow regions to learn from each other's challenges and develop shared solutions that can accelerate the spread of breakthrough ideas across Texas.

### **III. Required Plan Elements**

Based on the projects and measures listed in this Protocol and the requirements for plan development defined in the *Program Funding and Mechanics Protocol* (Attachment J), RHPs

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

will submit five-year RHP plans that describe: (1) the reasons for the selection of the projects, based on local data, gaps, community needs, and key challenges; (2) how the projects included in the plan are related to each other and how, taken together, the projects support broad delivery system reform relevant to the patient population; and (3) the progression of each project year-over-year, including the specifics and exact data source needed per project per milestone per metric per year.

Each RHP must submit an RHP Plan using a State-approved template that identifies the projects, objectives, and specific milestones, metrics, measures, and associated DSRIP values. The plan must meet all requirements pursuant to Standard Terms and Conditions (STCs) 45 and 46 and follow the format outlined in the *Program Funding and Mechanics Protocol* (Section III, Key Elements of Proposed RHP Plans).

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

#### **Organization of Projects and Measures**

The RHP five-year plan will include sections on each of the four categories included in this Protocol.

**Categories 1-2 Requirements:** For each project selected from Category 1 and 2, RHP Plans must include a narrative that has the following subsections:

- **Identifying Information:** Identification of the DSRIP Category, name of the project, project element, and RHP Performing Provider name and Texas Provider Identifier (TPI) involved with the project. Each project shall be implemented by one Performing Provider only.
- **Project Goal:** The goal(s) for the project, which describes the challenges or issues of the Performing Provider and brief description of the major delivery system solution identified to address those challenges by implementing the particular project; the starting point of the Performing Provider related to the project and based on that, the 5-year expected outcome for the Performing Provider and the patients.
- **Rationale:** As part of this subsection, each Performing Provider will provide the reasons for selecting the project, milestones, and metrics based on relevancy to the RHP's population and circumstances, community need, and RHP priority and starting point with available baseline data, as well as a description of how the project represents a new initiative for the Performing Provider or significantly enhances an existing initiative, including any initiatives that may have related activities that are funded by the U.S. Department of Health and Human Services. These projects should be data-driven and based on community needs and local data that demonstrate the project is addressing an area of poor performance and/or disparity that is important to the population (i.e. a provider selecting a project to implement a chronic care model for diabetes should discuss local data such as prevalence of diabetes in the community and rates of preventable admissions for diabetes and describe why diabetes is an important health challenge for the community).
- **Related Category 3 Outcome Measure(s):** The Performing Provider will indicate the Category 3 Outcome Measure(s) and reasons/rationale for selecting the outcome measure(s). The rationale should be data-driven, including:
  - Data supporting why these outcomes are a priority for the RHP;
  - Validated, evidence-based rationale describing how the related Category 1 or 2 project will help achieve the Category 3 outcome measure selected; and/or
  - Explanation of how focusing on the outcomes will help improve the health of low-income populations.
- **Relationship to Other Projects and Measures:** A description of how this project supports, reinforces, enables, and is related to other Category 1 and 2 projects and Category 4 population-focused improvement measures within the RHP Plan
- **Milestones and Metrics Table:** For each project, RHP Plans shall include milestones and metrics adopted in accordance with this Protocol. In a table format, the RHP Plan will indicate by demonstration year when project milestones will be achieved and indicate the data source that will be used to document and verify achievement.
  - For each project from Category 1 and 2, the Performing Provider must include at least one milestone based on a Process Milestone and at least one milestone based on an Improvement Milestone over the 4-year period.

## Attachment I

### Regional Healthcare Partnership (RHP) Planning Protocol

- Since Quality Improvement (QI) activities are essential to the provider's success implementing Category 1 and 2 projects and achieving Category 3 outcome measures, Quality Improvement (QI) is a core project component for all project options for most Category 1 and 2 projects (except 1.1 Expand Primary Care Capacity, 1.2 Increase Training of Primary Care Workforce, 1.9 Expand Specialty Care Capacity, 1.12 Enhance Service Availability, and 1.14 Develop Workforce Enhancement). Category 1 and 2 project areas contain recommended process milestones designed to support providers that are engaging in meaningful quality improvement work to improve performance and achieve outcomes. Performing Providers are strongly encouraged to include process milestones reflecting their Quality Improvement activities for all 4 years of the DSRIP.
- For each milestone, the estimated DSRIP funding must be identified as the maximum amount that can be received for achieving the milestone. For each year, the estimated available non-federal share must be included and the source (Intergovernmental Transfer (IGT) Entity) of non-federal share identified.
- Relationship to Other Providers' Projects in the RHP: If applicable, a list of other providers in the RHP that are proposing similar projects and will be members of a learning collaborative to support this project and share best practices, new ideas, and solutions across the RHP.
- Plan for Learning Collaborative: If applicable, describe plans for participating in a RHP-wide learning collaborative with other providers with similar projects. Describe how the learning collaborative will promote sharing of challenges and testing of new ideas and solutions between providers implementing similar projects.

**Category 3 Requirements:** Category 3 involves outcomes associated with Category 1 and 2 projects. All Performing Providers (both hospital and non-hospital providers) shall select outcomes and establish improvement targets that tie to their projects in Categories 1 and 2. RHP Plans must include:

- Identifying Information: Identification of the Category 3 outcomes and RHP Performing Provider name and Texas Provider Identifier that is reporting the measure.
- Narrative Description: Each Performing Provider shall provide a narrative describing the Category 3 outcomes.
- Outcomes Table: In a table format, the RHP Plan shall include the outcomes selected by each Performing Provider.
  - For each outcome, the RHP Plan may include process milestones described in 11.d.ii of the *Program Funding and Mechanics Protocol* in DY 2-3 only that support the development of the outcomes.
  - For each outcome, the RHP Plan shall include improvement targets beginning no later than DY 4. In DY 4 and 5, incentive payments will only be received for achieving improvement targets (pay-for-performance) in Category 3.
  - For each milestone or outcome improvement target, the estimated DSRIP funding must be identified as the maximum amount for achieving the milestone or outcome target. For each year, the estimated non-federal share must be included and the source (IGT Entity) of non-federal share identified.

## Attachment I

### Regional Healthcare Partnership (RHP) Planning Protocol

**Category 4 Requirements:** Category 4 involves population-focused improvements associated with Category 1 and 2 projects and Category 3 outcomes. Each hospital-based Performing Provider shall report on all Category 4 measures, unless the hospital-based performing provider either is exempt from all measures or from certain measures in accordance with *Program Funding and Mechanics Protocol*, Sections 11.e. and 11.f. For Category 4, RHP Plans must include:

- **Identifying information:** Identification of the DSRIP Category 4 measures and the name and Texas Provider Identifier of the RHP Performing Provider that is reporting the measure.
- **Narrative description:** A narrative description of the Category 4 measures.
- **Table Presentation:** In a table format, the RHP Plan will include, starting in DY 3:
  - List of Category 4 measures the Performing Provider will report on by domain;
  - For each measure, the estimated DSRIP funding must be identified as the maximum amount that can be received for reporting on the measure. For each year, the estimated available non-federal share must be included and the source of non-federal share identified.

#### IV. Explanation of the Format of this Document

Each RHP will follow the guidelines in this document and provide specificity in its plan. The Categories 1 and 2 projects that follow include the following components, which guide the RHPs in what to include in the plan:

- **Project Area:** The overarching subject matter the project addresses.
- **Project Goal:** This component describes the purpose of performing a project in the project area.
- **Project Option:** This component describes a comprehensive intervention a Performing Provider may undertake to accomplish the project goal.
- **“Other” Project Options:** Each Category 1 and 2 project area includes an “other” project option. Providers that wish to implement an innovative, evidence-based project that is not included on the list of project options for a project area may choose the “other” project option. Providers implementing an innovative, evidence-based project using the “Other” project option may design their project using the process and improvement milestones specified in the project area or may include one or more customizable process milestones P-X and/or improvement milestones I-X, as appropriate for their project. “Other” project options will be subject to additional scrutiny during the plan review and approval process.
- **Project Component:** Activities that may occur in conjunction with one another to carry out a project option. Project components may be required core components or optional components. Required core components are listed with the project options with which they must be completed. Providers either must incorporate all required core components in their plan narrative or they must provide justification for why they are not including a core component (e.g., the provider was at a more advanced stage with the project and had already completed one or more core components).

The metric specification guide, which is a compendium to this protocol, provides the following additional information:

- **Milestone:** An objective for DSRIP performance comprised of one or more metrics.

## Attachment I

### Regional Healthcare Partnership (RHP) Planning Protocol

- **Process Milestones:** Objectives for completing a process that is intended to assist in achieving an outcome. These include objectives for continuous quality improvement, rapid-cycle testing, and collaborative learning that are intended to help providers share best practices, spread breakthrough ideas, and test new solutions with the goal of performing at a higher level and achieving outcomes within the 5 years.
- **Improvement Milestones:** Objectives, such as outputs, to assist in achieving an outcome.
- **Metric:** Quantitative or qualitative indicator of progress toward achieving a milestone from a baseline. There are one or more metrics associated with each milestone. The RHP participants may tailor the targets in the metric, as appropriate.
- **Data Source:** The data source often lists multiple options that could be used for the data being measured by the metric. Please note that these options identify appropriate sources of information, but as allowed, Performing Providers may identify alternative sources that are more appropriate to their individual systems and that provide comparable or better information. The RHP plans will specify the exact data source being used for the metric each year.
- **Rationale:** This component describes why the metric is appropriate, including academic citations, descriptions of how widely used the metric is in the industry, and other reasons why the metric is seen as the appropriate data to meaningfully measure progress toward achieving the milestone.

#### Additional Process Milestones

In an effort to avoid repetition, it is permissible for each project to include any one of the following as process milestones, in addition to or in lieu of the other process milestones listed. Each is in the spirit of continuous improvement and applying and sharing learning. If a Performing Provider elects to use one or more of these process milestones, the RHP plan would describe the related specifics for the milestone, such as the metric and data source, using customizable process milestone P-X, which is included in each project area:

- Participate in a learning collaborative (e.g., in DY 2, join the Hospital Engagement Network, as documented by the appropriate participation document) Conduct a needs/gap analysis, in order to inform the establishment or expansion of services/programs (e.g., in DY2, conduct a gap analysis of high-impact specialty services to identify those in most demand by the local community in order to expand specialty care capacity targeted to those specialties most needed by patients)
- Pilot a new process and/or program
- Assess efficacy of processes in place and recommend process improvements to implement, if any (e.g., in DY 4, evaluate whether the primary care redesign methodology was as effective as it could be, by: (1) performing at least two team-based Plan-Do-Study-Act workshops in the primary care clinics; (2) documenting whether the anticipated metric improvements were met; (3) identifying opportunities, if any, to improve on the redesign methodology, as documented by the assessment document capturing each of these items)
- Redesign the process in order to be more effective, incorporating learnings (e.g., in DY 4, incorporate at least one new element into the process based on the assessment, using the



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

process modification process to include the specificity needed as new learnings are discovered in DY 3)

- Implement a new, improved practice piloted in one or more Performing Providers within an RHP (e.g., in DY 5, implement improved practices across the Performing Provider's ambulatory care setting)
- Establish a baseline, in order to measure improvement over self
- Complete a planning process/submit a plan, in order to do appropriate planning for the implementation of major infrastructure development or program/process redesign (e.g., in DY 2, complete a planning process for a care navigation program to provide support to patient populations who are most at risk of receiving disconnected and fragmented care)
- Designate/hire personnel or teams to support and/or manage the project/intervention
- Implement, adopt, upgrade, or improve technology to support the project
- Develop a new methodology, or refine an existing one, based on learnings
- Incorporate patient experience surveying

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1 Infrastructure Development**

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**Category 1 Table of Contents**

<u>1.1</u>	<u>Expand Primary Care Capacity</u> .....	12
<u>1.2</u>	<u>Increase Training of Primary Care Workforce</u> .....	13
<u>1.3</u>	<u>Implement a Chronic Disease Management Registry</u> .....	15
<u>1.4</u>	<u>Enhance Interpretation Services and Culturally Competent Care</u> .....	17
<u>1.5</u>	<u>Collect Valid and Reliable Race, Ethnicity, and Language (REAL) Data to Reduce Disparities</u> .....	20
<u>1.6</u>	<u>Enhance Urgent Medical Advice</u> .....	23
<u>1.7</u>	<u>Introduce, Expand, or Enhance Telemedicine/Telehealth</u> .....	25
<u>1.8</u>	<u>Increase, Expand, and Enhance Dental Services</u> .....	31
<u>1.9</u>	<u>Expand Specialty Care Capacity</u> .....	34
<u>1.10</u>	<u>Enhance Performance Improvement and Reporting Capacity</u> .....	36
<u>1.11</u>	<u>Implement technology-assisted services (telehealth, telemonitoring, telementoring, or telemedicine) to support, coordinate, or deliver behavioral health services</u> .....	40
<u>1.12</u>	<u>Enhance service availability (i.e., hours, locations, transportation, mobile clinics) to appropriate levels of behavioral health care</u> .....	44
<u>1.13</u>	<u>Development of behavioral health crisis stabilization services as alternatives to hospitalization.</u> .....	46
<u>1.14</u>	<u>Develop Workforce enhancement initiatives to support access to behavioral health providers in underserved markets and areas (e.g., psychiatrists, psychologists, LMSWs, LPCs and LMFTs.)</u> .....	48

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**1.1 Expand Primary Care Capacity**

**Project Goal:**

Expand the capacity of primary care to better accommodate the needs of the regional patient population and community, as identified by the RHP needs assessment, so that patients have enhanced access to services, allowing them to receive the right care at the right time in the right setting. Projects plans related to access to primary care services should address current challenges to the primary care system and patients seeking primary care services, including: expanded and/or enhanced system access points, barriers to transportation, and expanded or enhanced primary care services to include urgent care.

**Project Options:**

- a) Establish more primary care clinics
- b) Expand existing primary care capacity  
Required core project components:
  - a) Expand primary care clinic space
  - b) Expand primary care clinic hours
  - c) Expand primary care clinic staffing
- c) Expand mobile clinics
- d) “Other” project option: Implement other evidence-based project to expand primary care capacity in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-15 includes suggestions for improvement metrics to use with this innovative project option.

**Rationale:**

In our current system, more often than not, patients receive services in urgent and emergent care settings for conditions that could be managed in a more coordinated manner if provided in the primary care setting. This often results in more costly, less coordinated care and a lack of appropriate follow-up care. Patients may experience barriers in accessing primary care services secondary to transportation, cost, lack of assigned provider, physical disability, inability to receive appointments in a timely manner and a lack of knowledge about what types of services can be provided in the primary care setting. By enhancing access points, available appointment times, patient awareness of available services and overall primary care capacity, patients and their families will align themselves with the primary care system resulting in better health outcomes, patient satisfaction, appropriate utilization and reduced cost of services.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**1.2 Increase Training of Primary Care Workforce**

**Project Goal:**

Texas has a growing shortage of primary care doctors and nurses due to the needs of an aging population, a decline in the number of medical students choosing primary care, and thousands of aging baby boomers who are doctors and nurses looking towards retirement. The shortage of primary care workforce personnel in Texas is a critical problem that we have the opportunity to begin addressing under this waiver. It is difficult to recruit and hire primary care physicians. The shortage of primary care providers has contributed to increased wait times in hospitals, community clinics, and other care settings. Expanding the primary care workforce will increase access and capacity and help create an organized structure of primary care providers, clinicians, and staff. Moreover, this expansion will strengthen an integrated health care system and play a key role in implementing disease management programs. The extended primary care workforce will also be trained to operate in patient-centered medical homes. A greater focus on primary care will be crucial to the success of an integrated health care system. Furthermore, in order to effectively operate in a medical home model, there is a need for residency and training programs to expand the capabilities of primary care providers and other staff to effectively provide team-based care and manage population health. Therefore, the need to expand the responsibilities of primary care workforce members will be even more important. In summary, the goal for this project is to train more workforce members to serve as primary care providers, clinicians, and staff to help address the substantial primary care workforce shortage and to update training programs to include more organized care delivery models. This project may apply to primary care physicians (including residents in training), nurse practitioners, physician assistants, and other clinicians/staff (e.g., health coaches, community health workers/promotoras) in the following service areas: family medicine, internal medicine, obstetrics and gynecology, geriatrics, and pediatrics.

In 2010, Texas had 176 patient care physicians per 100,000 population and 70 primary care physicians per 100,000 population with a state ranking of 46 and 47, respectively. (Comparable ratios for US Total are 219.5 and 90.5, respectively.) From 2001 to 2011, the Texas physician workforce grew 32.3%, exceeding the population growth of 25.1%. Primary care physician workforce grew only 25% in the same period. From 2002 to 2011, Texas increased medical school enrollment 31% from 1,342 to 1,762 in line with the national call by the Association of American Medical Colleges to increase medical school enrollments by 30%. In 2011, there were 1,445 medical school graduates. Coincidentally, there were 1,445 allopathic entry-level GME positions offered in the annual National Resident Matching program. (There were 31 osteopathic slots.) The Texas Higher Education Coordinating Board recommends a ratio of 1.1 entry-level GME positions for each Texas medical school graduate. The number of Texas medical school graduates is expected to peak at over 1,700 in 2015. This implies a need for 400 additional GME positions by 2015. The shortage of GME positions or residency slots may be

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

the single most problematic bottleneck in Texas' efforts to alleviate the state's physician shortage.<sup>1</sup>

The rate of Primary Care Physicians per 100,000 Population varies by region from 43 (South Texas) to 78 (Central Texas). Resident physicians provide low-cost care to needy populations and tend to remain in the state in which they complete their residency training.

**Project Options:**

- a) Update primary care training programs to include training on the medical home and chronic care models, disease registry use for population health management, patient panel management, oral health, and other identified training needs and/or quality/performance improvement
- b) Increase the number of primary care providers (i.e., physicians, residents, nurse practitioners, physician assistants) and other clinicians/staff (such as health coaches and community health workers/promotoras).
- c) Increase the number of residency/training program for faculty/staff to support an expanded, more updated program
- d) Establish/expand primary care training programs, with emphasis in communities designated as health care provider shortage areas (HPSAs)
- e) "Other" project option: Implement other evidence-based project to increase training of the primary care workforce in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the "Other" project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

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<sup>1</sup> 2010 physician supply extracted from "Physician Characteristics and Distribution in the U.S., " 20122012 Edition, published by American Medical Association. U.S. and Texas population estimates, 2010, extracted from U.S. Census Bureau American Fact Finder Website. Prepared by: Medical Education Dept., Texas Medical Association, 2/2012.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**1.3 Implement a Chronic Disease Management Registry**

**Project Goal:**

Implement a disease management registry for one or more patient populations diagnosed with a selected chronic disease(s) or with Multiple Chronic Conditions (MCCs). By tracking key patient information, a disease registry can help physicians and other members of a patient's care team identify and reach out to patients who may have gaps in their care in order to prevent complications, which often lead to more costly care interventions. A disease registry can assist physicians in one or more key processes for managing patients with a chronic disease, including:

- Prompt physicians and their teams to conduct appropriate assessments and deliver condition-specific recommended care;
- Identify patients who have missed appointments, are overdue for care, or are not meeting care management goals;
- Provide reports about how well individual care teams and overall provider organizations are doing in delivering recommended care to specific patient populations;
- Stratify patients into risk categories in order to target interventions toward patients with highest needs.

**Project Options:**

- a) Implement/enhance and use chronic disease management registry functionalities  
Required core project components:
  - a) Enter patient data into unique chronic disease registry
  - b) Use registry data to proactively contact, educate, and track patients by disease status, risk status, self-management status, community and family need.
  - c) Use registry reports to develop and implement targeted QI plan
  - d) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying "lessons learned," opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- b) "Other" project option: Implement other evidence-based project to implement a chronic disease management registry in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the "Other" project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-23 includes suggestions for improvement metrics to use with this innovative project option.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

Note: All of the project options in project area 1.3 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Rationale:**

Utilization of registry functionalities helps care teams to actively manage patients with targeted chronic conditions because the disease management registry will include clinician prompts and reminders, which should improve rates of preventive care.



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**1.4 Enhance Interpretation Services and Culturally Competent Care**

**Project Goal:**

Patients have access to timely, qualified health care interpreter services in their primary language, thereby increasing the likelihood of safe and effective care, open communication, adherence to treatment protocols, and better health outcomes. This Project Area applies to both written and oral interpretation services.

Cultural competence in health care describes the ability of systems to provide care to patients' with diverse values, beliefs and behaviors, including tailoring care delivery to meet patients' social, cultural, and linguistic needs. Cultural competence can be described both as a vehicle to increase access to quality care for all patient populations and as a business strategy to attract new patients and market share.

To achieve **organizational cultural competence** within the health care leadership and workforce, it is important to maximize diversity.

To achieve **systemic cultural competence** (e.g., in the structures of the health care system) it is essential to address such initiatives as conducting community assessments, developing mechanisms for community and patient feedback, implementing systems for patient racial/ethnic and language preference data collection, developing quality measures for diverse patient populations, and ensuring culturally and linguistically appropriate health education materials and health promotion and disease prevention interventions.

To attain **clinical cultural competence**, health care providers must: (1) be made aware of the impact of social and cultural factors on health beliefs and behaviors; (2) be equipped with the tools and skills to manage these factors appropriately through training and education; and (3) empower their patients to be more of an active partner in the medical management.

**Project Options:**

- a) Expand access to written and oral interpretation services  
Required core project components:
  - a) Identify and address language access needs and/or gaps in language access
  - b) Implement language access policies and procedures (in coordination with statewide and federal policies to ensure consistency across the state)
  - c) Increase training to patients and providers at all levels of the organization (and organization-wide) related to language access and/or cultural competency/sensitivity
  - d) Increase interpretation staff
- b) Enhance Organizational Cultural Competence  
Required core project components:
  - a) Hire, promote, and retain minorities at all levels of the organization to increase diversity in the health care workforce.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

- b) Develop a program that actively involves community representatives in the health care organization's planning and quality improvement meetings, whether as part of the board or as part of focus groups.
- c) Enhance Systemic Cultural Competence  
Required core project components:
  - a) Develop policies and procedures to measure systemic culture competence, or use existing evidence-based culturally competency assessment tool (e.g., CAHPS Cultural Competency Supplement).
  - b) Adopt and implement all 14 CLAS standards, including those that are not federal mandates.<sup>2</sup> Conduct CLAS Standards trainings at facilities
  - c) Identify federal and state reimbursement strategies for interpreter services and identify community resources and partnerships to develop the needed workforce.
  - d) Provide staff training around Title VI requirements mandating the provision of interpreter services in health care settings.
  - e) Identify and use tools to detect medical errors that result from lack of systemic cultural competence, including those stemming from language barriers (e.g., taking a prescribed medication incorrectly); misunderstanding health education materials, instructions, or signage (e.g., inappropriately preparing for a diagnostic or therapeutic procedure, resulting in postponement or delay); and misunderstanding the benefits and risks of procedures requiring informed consent.
  - f) Implement projects to address medical errors resulting from systemic cultural competency.
- d) Clinical Cultural Competence: Develop cross-cultural training program that is a required, integrated component of the training and professional development of health care providers at all levels. The curricula should:
  - increase awareness of racial and ethnic disparities in health and the importance of socio-cultural factors on health beliefs and behaviors;
  - address the impact of race, ethnicity, culture, and class on clinical decision making;
  - develop tools to assess the community members' health beliefs and behaviors
  - Develop human resource skills for cross-cultural assessment, communication, and negotiation.
- e) Implement Quality improvement efforts that include culturally and linguistically appropriate patient survey methods as well as process and outcome measures that reflect the needs of multicultural and minority populations.
- f) Clinical Cultural Competence: Develop programs to help patients navigate the health care system and become a more active partner in the clinical encounter.
- g) "Other" project option: Implement other evidence-based project to enhance interpretation services and culturally competent care in an innovative manner not

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<sup>2</sup> <http://minorityhealth.hhs.gov/assets/pdf/checked/finalreport.pdf>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-18 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 1.4 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Rationale:**

The 2010 United States Census confirmed that our nation’s population has become more diverse than ever before, and this trend is expected to continue over this century. As we become a more ethnically and racially diverse nation, health care systems and providers need to reflect on and respond to patients’ varied perspectives, values, beliefs, and behaviors about health and well-being. Failure to understand and manage socio-cultural differences may have significant health consequences for minority groups in particular.

Various systemic issues have been identified in the literature and by the health care experts. While this was more obvious in poorly constructed and complicated systems that are not responsive to the needs of diverse patient populations, the issue of language discordance between provider and patient was of foremost importance. Systems lacking interpreter services or culturally and linguistically appropriate health education materials lead to patient dissatisfaction, poor comprehension and adherence, and lower-quality care. According to various studies, care experts in government, managed care, academia, and community health care make a clear connection between cultural competence, quality improvement, and the elimination of racial/ethnic disparities.

## Attachment I Regional Healthcare Partnership (RHP) Planning Protocol

### Category 1

#### 1.5 Collect Valid and Reliable Race, Ethnicity, and Language (REAL) Data to Reduce Disparities

In 2002, the Institute of Medicine report *Unequal Treatment: Confronting Racial and Ethnic Disparities in Health Care*<sup>3</sup>, signified a new era of national attention to racial and ethnic disparities in the American health care system. Corroborating that report, many research studies have established that Americans do not all have equal access to health care, or experience similar health care quality and outcomes. Low-income, racial and ethnic minority, limited-English proficient, and other underserved populations often have higher rates of disease, fewer treatment options, reduced access to care, and lower satisfaction with care. A key prerequisite for measuring equity of care and addressing disparities is to collect valid and reliable patient demographic data on race, ethnicity, and preferred language (REAL data). These data elements must be effectively linked to data systems used in health care service delivery (to tailor care to patient needs), as well as data systems used in quality improvement (to identify disparities). Creating organizational systems for capturing REAL data is a long and resource-intensive process. Currently, the processes for analyzing equity of care are mostly piecemeal and limited in scope, taxing organizational resources. However, in the state of Texas there are significant barriers to effective collection and utilization of these patient demographic data for public hospitals. To address these barriers, key next steps for public hospitals systems include developing tools, HIT protocols and training curricula to improve the collection and utilization of REAL data elements, which is the foundation for achieving significantly greater efficiency and cost-effectiveness in measuring equity of care, thus enabling the designs of more successful efforts to eliminate health care disparities.

##### **Project Goal:**

To improve the collection of valid and reliable self-reported data on the demographics of patients receiving care, the quality of care delivered, and implementing stratification capabilities to stratify clinical/quality data, and analyzing data by relevant demographic categories: race, ethnicity, sex, primary language and disability status.<sup>4</sup> Recently finalized data collection standards for surveys of demographic categories were released by HHS and will be used in the process of developing standards for administrative data collection for the same 5 categories. RHPs will work to implement initiatives, promote training, and accelerate capacity building, community engagement and empowerment. The project focuses on efforts to reduce health and mental health disparities, disparities among racial/ethnic groups, women, seniors, children, rural populations, and those with disabilities and their families.

##### **Project Options:**

- a) Train patients and staff on the importance of collecting REAL data (For project option 1.5.1, the provider must do both subpart (i) and subpart (ii), If the provider is not using existing curriculum. If the provider is using existing curriculum, only subpart (ii) is required.):

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3 <http://www.iom.edu/Reports/2002/Unequal-Treatment-Confronting-Racial-and-Ethnic-Disparities-in-Health-Care.aspx>

4 <http://minorityhealth.hhs.gov/templates/browse.aspx?lvl=2&lvlid=208>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

- i. Develop curriculum that includes effective strategies to explain relevance of collecting REAL data to patients and staff. Education about the value of the information for patient care, with clear examples of the benefits of data collection is central to an effective training.
  - ii. Train patients and staff on the importance of collecting REAL data using developed or existing curricula.
- b) Implement intervention that involves collaborating/partnering/ instituting data sharing agreements with Medicaid agencies, public health departments, academic research centers, other agencies, etc. to better assess patient populations and aid in the evaluation of health disparities
- c) Implement project to enhance collection, interpretation, and / or use of REAL data.
  - Required core project components:
- a) Redesign care pathways to collect valid and reliable data on race, ethnicity, and language at the point of care
- b) Implement system to stratify patient outcomes and quality measures by patient REAL demographic information in order to identify, analyze, and report on potential health disparities and develop strategies to address goals for equitable health outcomes. NOTE: Providers are encouraged to stratify outcomes and measures using both two-way and three-way interactions (race and quality; gender, race, and quality)
- c) Develop improvement plans, which include a continuous quality improvement plan, to address key root causes of disparities within the selected population.
- d) Use data to undertake interventions aimed at reducing health and health care disparities (tackling “the gap”) for target patient populations through improvements in areas such as preventive care, patient experience, and/or health outcomes.
- d) “Other” project option: Implement other evidence-based project to implement and use REAL data in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-12 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 1.5 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Rationale:**

Several RHPs within Texas focus on health disparities in communities through research, education, and community relations. To build upon the existing infrastructure to address health

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

disparities in Texas, RHPs will select projects appropriate to specific populations based on relevancy to the RHP needs assessment. Some populations experience disparities in health, quality of care, health outcomes, and incidence as related to conditions such as: tuberculosis, congestive heart failure, stroke, COPD, Chlamydia, cervical cancer, liver cancer, stomach cancer, gallbladder cancer, child and adolescent leukemia, neural tube defects, other birth defects, obesity, diabetes, and pesticide poisoning. Disparities can be seen among groups based on race and ethnicity, language, economic factors, education, insurance status, geographic location (rural vs. urban, zip code) , gender, sexual orientation and many other social determinants of health. The collection of REAL data helps providers to delineate potential categories of differences in observed health status.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**1.6 Enhance Urgent Medical Advice**

**Project Goal:**

Provide urgent medical advice so that patients who need it can access it telephonically, and an appropriate appointment can be scheduled so that access to urgent medical care is increased and avoidable utilization of urgent care and the ED can be reduced. The advice line provides callers with direct access to a registered nurse who can address their specific health needs with an on-demand service.

**Project Options:**

- a) Expand urgent care services
- b) Establish/expand access to medical advice and direction to the appropriate level of care to reduce Emergency Department use for non-emergent conditions and increase patient access to health care.  
Required core project components:
  - a) Develop a process (including a call center) that in a timely manner triages patients seeking primary care services in an ED to an alternate primary care site. Survey patients who use the nurse advice line to ensure patient satisfaction with the services received.
  - b) Enhance linkages between primary care, urgent care, and Emergency Departments in order to increase communication and improve care transitions for patients.
  - c) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- c) “Other” project option: Implement other evidence-based project to implement and use urgent medical advice in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-17 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 1.6 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**Rationale:**

Several RHPs within Texas implemented an urgent medical advice line to serve patients within selected populations. To facilitate the diffusion of practices among RHPs, RHPs will have the opportunity to implement an urgent medical advice line to underserved and under privileged areas.

Implementation across Texas for an urgent medical advice line is not consistent between RHPs. As such, Texas will promote the implementation of an **urgent medical advice line** for underserved and underprivileged populations (i.e. rural areas with limited access to healthcare, or areas where cultural differences may disincentivize the use of automated telephone services).



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**1.7 Introduce, Expand, or Enhance Telemedicine/Telehealth**

**Project Goal:**

Provide electronic health care services to increase patient access to health care. Telemedicine is the use of medical information exchanged from one site to another via electronic communications to improve patients' health status. Closely associated with telemedicine is the term "telehealth," which is often used to encompass a broader definition of remote healthcare that does not always involve clinical services. Videoconferencing, transmission of still images, remote monitoring of vital signs with a focus on the specialty care access challenges in rural communities, and continuing medical education are all considered part of telemedicine and telehealth.<sup>5</sup>

Telehealth is the use of electronic information and telecommunications technologies to support long-distance clinical health care, patient and professional health-related education, public health and health administration. Technologies include videoconferencing, the internet, store-and-forward imaging, streaming media, and terrestrial and wireless communications.<sup>6</sup>

Telemedicine is viewed as a cost-effective alternative to the more traditional face-to-face way of providing medical care (e.g., face-to-face consultations or examinations between provider and patient) that states can choose to cover under Medicaid. This definition is modeled on Medicare's definition of telehealth services (42 CFR 410.78). Note that the federal Medicaid statute does not recognize telemedicine as a distinct service.<sup>7</sup>

Telemedicine is not a separate medical specialty. Products and services related to telemedicine are often part of a larger investment by health care institutions in either information technology or the delivery of clinical care. Even in the reimbursement fee structure, there is usually no distinction made between services provided on site and those provided through telemedicine and often no separate coding required for billing of remote services. Telemedicine encompasses different types of programs and services provided for the patient. Each component involves different providers and consumers.<sup>8</sup>

**Telemedicine Services:**

*Specialist referral services* typically involves of a specialist assisting a general practitioner in rendering a diagnosis. This may involve a patient "seeing" a specialist over a live, remote consult or the transmission of diagnostic images and/or video along with patient data to a specialist for viewing later. Recent surveys have shown a rapid increase in the number of specialty and subspecialty areas that have successfully used telemedicine. Radiology continues to make the greatest use of telemedicine with thousands of images "read" by remote providers each year. Other major specialty areas include: dermatology, ophthalmology, mental health, cardiology and

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<sup>5</sup> <http://www.americantelemed.org/i4a/pages/index.cfm?pageid=3333>

<sup>6</sup> <http://www.hrsa.gov/ruralhealth/about/telehealth/>

<sup>7</sup> <http://www.medicaid.gov/Medicaid-CHIP-Program-Information/By-Topics/Delivery-Systems/Telemedicine.html>

<sup>8</sup> <http://www.americantelemed.org/i4a/pages/index.cfm?pageid=3333>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

pathology. According to reports and studies, almost 50 different medical subspecialties have successfully used telemedicine.

***Patient consultations*** using telecommunications to provide medical data, which may include audio, still or live images, between a patient and a health professional for use in rendering a diagnosis and treatment plan. This might originate from a remote clinic to a physician's office using a direct transmission link or may include communicating over the Web.

***Remote patient monitoring*** uses devices to remotely collect and send data to a monitoring station for interpretation. Such "home telehealth" applications might include a specific vital sign, such as blood glucose or heart ECG or a variety of indicators for homebound patients. Such services can be used to supplement the use of visiting nurses.

***Medical education*** provides continuing medical education credits for health professionals and special medical education seminars for targeted groups in remote locations.

***Consumer medical and health information*** includes the use of the Internet for consumers to obtain specialized health information and on-line discussion groups to provide peer-to-peer support.

**Delivery Mechanisms:**

***Networked programs*** link tertiary care hospitals and clinics with outlying clinics and community health centers in rural or suburban areas. The links may use dedicated high-speed lines or the Internet for telecommunication links between sites. Studies by the several agencies within the U.S. Department of Health and Human Services, private vendors and assessments by ATA of its membership place the number of existing telemedicine networks in the United States at roughly 200. These programs involve close to 2,000 medical institutions throughout the country. Of these programs, it is estimated that about half (100) are actively providing patient care services on a daily basis. The others are only occasionally used for patient care and are primarily for administrative or educational use.

***Point-to-point connections using private networks*** are used by hospitals and clinics that deliver services directly or contract out specialty services to independent medical service providers at ambulatory care sites. Radiology, mental health and even intensive care services are being provided under contract using telemedicine to deliver the services.

***Primary or specialty care to the home connections*** involves connecting primary care providers, specialists and home health nurses with patients over single line phone-video systems for interactive clinical consultations.

***Home to monitoring center links*** are used for cardiac, pulmonary or fetal monitoring, home care and related services that provide care to patients in the home. Often normal phone lines are used

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

to communicate directly between the patient and the center although some systems use the Internet.

*Web-based e-health patient service sites* provide direct consumer outreach and services over the Internet. Under telemedicine, these include those sites that provide direct patient care.

**Project Options:**

- a) Implement telemedicine program to provide or expand specialist referral services in an area identified as needed to the region.  
Required core project components:
  - a) Provide patient consultations by medical and surgical specialists as well as other types of health professional using telecommunications
  - b) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- b) Implement remote patient monitoring programs for diagnosis and/or management of care. Providers should demonstrate that they are exceeding the requirements of the EHR incentive program.
- c) Use telehealth to deliver specialty, psychosocial, and community-based nursing services
- d) Develop a teledentistry infrastructure and use telehealth to provide dental and oral health services.
- e) Use telehealth services to provide medical education and specialized training for targeted professionals in remote locations.
- f) Implement an electronic consult or electronic referral processing system to increase efficiency of specialty referral process by enabling specialists to provide advice and guidance to primary care physicians that will address their questions without the need for face-to-face visits when medically appropriate.
- g) “Other” project option: Implement other evidence-based project to expand/establish telemedicine/telehealth program to help fill significant gaps in services in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-18 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 1.7 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts,

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

#### **Category 1**

“lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

#### **Rationale<sup>9</sup>:**

One of the greatest challenges facing the U.S. healthcare system is to provide quality care to the large segment of the population, which does not have access to specialty physicians because of factors such as geographic limitations or socioeconomic conditions. The use of technology to deliver health care from a distance, or telemedicine, has been demonstrated as an effective way of overcoming certain barriers to care, particularly for communities located in rural and remote areas. In addition, telemedicine can ease the gaps in providing crucial care for those who are underserved, principally because of a shortage of sub-specialty providers.

The use of telecommunications technologies and connectivity has impacted real-world patients, particularly for those in remote communities. This work has translated into observable outcomes such as:

- improved access to specialists
- increased patient satisfaction with care
- improved clinical outcomes
- reduction in emergency room utilization
- cost savings

Nowhere are these benefits more evident than in Texas. With a land mass area of 268,820 square miles and a growing population of 25.1 million, Texas is the second largest US state by area and population.<sup>1</sup> Its population growth rose more than 18.8 percent between 2000 to 2009, reflecting an increase that is more than double the national growth in this period.<sup>2</sup> This rapid growth is attributed to a diversity of sources such as natural increases from the total of all births minus all deaths and to a high rate of net in-migration from other states and countries. Along with the increase in population, an ever-growing aging population (the state's older population, 65+, is expected to double that of the previous 8 years) has significantly affected the demand on the healthcare workforce as demands for quality care increased.

In its Statewide Health Plan 2011-2016 report<sup>10</sup>, the Texas Statewide Health Council concluded: “Texas faces particular challenges with respect to physician and other healthcare workforces not primarily because of an overall shortage, but because of sharp disparities in the allocation of healthcare resources to different parts of the state. In the metropolitan areas outside the border, there is one physician in direct patient care for each 573 county residents. In the 32-county border region and in non-metropolitan Texas, the ratios are 2 to 3 times as high.”

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<sup>9</sup> [http://telehealth.utmb.edu/presentations/Benefits\\_Of\\_Telemedicine.pdf](http://telehealth.utmb.edu/presentations/Benefits_Of_Telemedicine.pdf)

<sup>10</sup> Texas Statewide Health Coordinating Council. 2011-2016 Texas State Health Plan Update. Texas Department of State Health Services. <http://www.dshs.state.tx.us/chs/shcc/>. Retrieved February 28, 2011

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

Although the overall supply of physicians has increased in Texas since 2000 from in-migration, the vast majority of these healthcare professionals resides and practices within four primary areas of Texas: Dallas, Houston, Austin, and San Antonio. Moreover, Texas has consistently lagged behind the US average in the ratio of physician supply per 100,000 of population, and the gap between the two appears to be increasing. In 2009, there were 25 counties with no physicians, and the counties with lowest ratios of providers to populations were by and large in West Texas, South Texas and the Panhandle.

Theoretically, resources such as healthcare would be distributed across the state in accordance with population density and needs. Realistically, however, geographical and economic barriers create significant disparities across the state, with rural and underserved communities enduring significantly greater barriers to accessing the care continuum. The supply ratios for a number of health professionals, including primary care physicians and mental health professionals, are lowest in rural, border and other health professional shortage areas. Data for 2009 indicated that out of the 254 counties in Texas, 118 counties are designated as whole county primary care Health Professional Shortage Areas (HPSAs) due to primary care doctor to patient ratios of 1:3500 or less, and 173 counties (68 percent of the state) are designated as whole county mental health HPSAs<sup>2</sup>

In Texas, communities are struggling to care for an increasing number of underserved, disadvantaged, and at-risk populations. In most communities, especially in rural areas, care is not organized to promote prevention and early intervention, coordinate services, or monitor access to and quality of care. Moreover, public and private funding to subsidize care remains inadequate, despite growing community needs associated with increases in the uninsured and aging populations. Consequently, many people are left to seek care in emergency rooms, often as a last resort, in an unmanaged and episodic manner. The costs of such care are borne by care-giving institutions, local governments, and, ultimately, taxpayers, many of whom are already burdened with the costs of meeting health-related costs of their own.

Given the various benefits observed through the provision of health care via telemedicine, there is a tremendous amount of momentum toward increasing access to care through the use of health information technologies, thereby creating an exciting and central role for innovation and implementation of new and advanced platforms for service delivery. Two such platforms include the use of wireless and telemonitoring technologies. It is our belief that healthcare delivery is about to make a significant leap forward. The development and installation of high-speed wireless telecommunications networks coupled with large-scale search engines and mobile devices will change healthcare delivery as well as the scope of healthcare services. It will allow for real-time monitoring and interactions with patients without bringing them into a hospital or a specialty care center. This real/near-time monitoring and interacting could enable a healthcare team to address patient problems before they require major interventions, creating a potentially patient-centered approach that could undoubtedly change our expectations of our healthcare system.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

In conclusion, the overall goal of the proposed telehealth projects is to reduce disparities in access, outcome, cost and satisfaction that are created by geographic barriers. Specifically, we hope to achieve the following goals for the state's Medicaid population:

- 1.) increase the knowledge and capacity of rural primary care physicians to manage complex chronic conditions
- 2.) increase patients' timely access to specialty care and reduce geographic barriers;
- 3.) create the ability for specialists to provide direct patient consults to patients based at rural clinics
- 4.) improve efficiency in the referral process by letting specialists divert unnecessary referrals and decreasing the wait time for urgent referrals
- 5.) provide services in HPSAs
- 6.) enhance access to other health care services (case management, education, etc.)

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**1.8 Increase, Expand, and Enhance Oral Health Services**

**Project Goal:**

Dental health is a key component of overall health. Oral disease can lead to poor nutrition; serious systemic illnesses and conditions such as poor birth outcomes, diabetes, and cardiovascular disease; and a diminished quality of life and life expectancy.<sup>11</sup> Inadequate access to oral health services compounds other health issues. It can result in untreated dental disease that not only affects the mouth, but can also have physical, mental, economic, and social consequences.<sup>12</sup> Fortunately, many of the adverse effects associated with poor oral health can be prevented with quality regular dental care, both at home and professionally. Increasing, expanding, and enhancing oral health services will improve health outcomes.

**Barriers to Oral Health Care:**

- Distribution of dental providers/lack of dental providers in underserved areas
- Inconvenient hours and location of dental clinic/services
- Transportation issues
- Low oral health literacy within the community
- Cultural and language competency of dental providers
- Cost of services/health insurance coverage
- Providers' limited experience treating special groups (medically compromised, elderly, special needs, pregnant women, young children)

**Specific Project Goals:**

- Close gaps/disparities in access to dental care services
- Enhance the quality of dental care
- Increase and enhance the dental workforce
- Redistribute and retain the dental workforce to/in underserved areas

**Project Options:**

**Increase dental provider training, education, recruitment and/or retention, as well as expand workforce capacity through one of the following project options:**

- a) The development of academic linkages with the three Texas dental schools, to establish a multi-week externship program for fourth year dental students to provide exposure and experience in providing dental services within a rural setting during their professional academic preparation.
- b) The establishment of a clinical rotation, continuing education within various community settings for dental residents to increase their exposure and experience providing dental services to special populations such as the elderly, pregnant women, young children, medically compromised, and/or special needs patients.

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<sup>11</sup> <http://www.perio.org/consumer/media/releases.htm#pregnancy>

<sup>12</sup> Building Better Oral Health: A Dental Home for All Texans. A Report Commissioned by the Texas Dental Association. Fall 2008

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

- c) The establishment of a loan repayment program or scholarships for advanced training/education in a dental specialty with written commitments to practice in underserved markets after graduation for fourth year dental students, new dental and dental hygiene graduates, and dental residents.

**Increase interdisciplinary training and education opportunities for dentists and other health care providers to promote an interdisciplinary team approach to addressing oral health through one of the following project options:**

- d) Grand rounds, in-service trainings, and other continuing education events that integrate information on oral health issues and implications as related to chronic diseases, such as diabetes and cardiovascular disease, and the importance of good oral health during pregnancy and perinatal period.
- e) Establishing a referral system/network that provides medically complex patients with coordinated care between dental and medical providers such as cardiologists, pediatricians, OB/GYNs, endocrinologists, oncologists, etc.

**Increase and expand services by increasing clinics, clinic hours, using satellite mobile clinics with an affiliated fixed-site dental clinic location, school-based/school-linked health centers or other approaches to increase oral health services to underserved populations through one of the following project options:**

- f) The expansion of existing dental clinics, the establishment of additional dental clinics, or the expansion of dental clinic hours.
- g) The expansion or establishment of satellite mobile dental clinics with an affiliated fixed-site dental clinic location.
- h) The development of a tele-dentistry infrastructure including Medicaid reimbursement to expand access to dental specialty consultation services in rural and other limited access areas.
- i) The implementation or expansion of school-based sealant and/or fluoride varnish programs that provide sealant placement and/or fluoride varnish applications to otherwise unserved school-aged children by enhancing dental workforce capacity through collaborations and partnerships with dental and dental hygiene schools, local health departments (LHDs), federally qualified health centers (FQHCs), and/or local dental providers.
- j) The addition or establishment of school-based health centers that provide dental services for otherwise unserved children by enhancing dental workforce capacity through collaborations and partnerships with dental and dental hygiene schools, LDHs, FQHCs, and/or local dental providers.
- k) The implementation of dental services for individuals in long-term care facilities, intermediate care facilities, and nursing homes, and for the elderly, and/or those with special needs by enhancing dental workforce capacity through collaborations and partnerships with dental and dental hygiene schools, LHDs, FQHCs, and/or local dental providers.
- l) “Other” project option: Implement other evidence-based project to enhance oral health services in an innovative manner not described in the project options



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

Note 1: All of the project options in project area 1.8 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

Note 2: The following project components to implement or enhance efforts to improve quality of care and quality assurance in the delivery of dental care may be included as a part of the above project options:

- Integrating oral health information with electronic medical record.
- Establishing dental care coordination collaboratives where dental case studies are reviewed by dental and medical healthcare providers in an effort to identify best practices and to evaluate health outcomes as a result of the dental interventions and services provided.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**1.9 Expand Specialty Care Capacity**

**Project Goal:**

To increase the capacity to provide specialty care services and the availability of targeted specialty providers to better accommodate the high demand for specialty care services so that patients have increased access to specialty services. With regard to specialty areas of greatest need, the recent report of the Committee on Physician Distribution and Health Care Access cites psychiatry, general/preventive medicine, and child/adolescent psychiatry where the ratios per 100,000 population are 56.7%, 60.2%, and 67% of the US ratios, respectively. Federal funding (Medicare Direct Graduate Medical Education or DGME) for residency training is capped at 1996 levels for the direct support of graduate medical education. The cap only supports a third of the costs of 4,056 of the 4,598 actual positions in Texas, leaving the residency programs to cover the cost of two-thirds of the 4,056 positions and the full cost of 542 positions. Texas is currently over its Medicare cap by 13%.

Residency programs require 3 to 8 years of training, depending on the specialty. Medicare funding only covers years 1 through 3. In 2011, Texas had more than 550 residency programs, offering a total of 6,788 positions. Only 22% (1,494) of these were first-year residency positions. According to the Coordinating Board, conservative estimates indicate that the cost to educate a resident physician for one year is \$150,000.

Hence, a great need for extended residency programs in Texas and increase in the number of specialists.

**Project Options:**

- a) Expand high impact specialty care capacity in most impacted medical specialties  
Required core project components:
  - a) Identify high impact/most impacted specialty services and gaps in care and coordination
  - b) Increase the number of residents/trainees choosing targeted shortage specialties
  - c) Design workforce enhancement initiatives to support access to specialty providers in underserved markets and areas (recruitment and retention)
  - d) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- b) Improve access to specialty care  
Required core project components:
  - a) Increase service availability with extended hours
  - b) Increase number of specialty clinic locations
  - c) Implement transparent, standardized referrals across the system.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

- d) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- c) “Other” project option: Implement other evidence-based project to expand specialty care capacity in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-33 includes suggestions for improvement metrics to use with this innovative project option.

**Rationale:**

Inadequate access to specialty care has contributed to the limited scope and size of safety net health systems. To achieve success as an integrated network, gaps must be thoroughly assessed and addressed.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**1.10 Enhance Performance Improvement and Reporting Capacity**

**Project Goal: To expand quality improvement capacity through people, processes and technology so that the resources are in place to conduct, report, drive and measure quality improvement.**

The goal of this project is to implement process improvement methodologies to improve safety, quality, and efficiency. Providers may design customized initiatives based on various process improvement methodologies such as Lean, Six Sigma, Care Logistics, and Nurses Improving Care for Health system Elders (NICHE) among others.

The Lean methodology as applied to medicine evaluates the use of resources, measures the value to the patient, considers the use of resources in terms of their value to the patient, and eliminates those that are wasteful. Focus on Lean is especially valuable to safety net providers because of its emphasis on waste reduction. Denver Health a safety net hospital in Denver, Colorado has identified more than \$124 million in cost savings that the health system has achieved due to Lean Rapid Improvement Events since implementing Lean in 2005<sup>13</sup>. Using methodologies such as Lean that are proven to eliminate waste and redundancies and optimize patient flow, providers may customize a project that will develop and implement a program of continuous improvement that will increase communication, integrate system workflows, provide actionable data to providers and patients, and identify and improve models of patient-centered care that address issues of safety, quality, and efficiency. Implementation frequently requires a new “operational mindset” using tools such as Lean to identify and progressively eliminate inefficiencies while at the same time linking human performance, process performance and system performance into transformational performance in the delivery system.<sup>14</sup> The process improvement, as a further example, may include elements such as identifying the value to the patient, managing the patient’s journey, facilitating the smooth flow of patients and information, introducing “pull” in the patient’s journey (e.g. advanced access), and/or continuously reducing waste by developing and amending processes awhile at the same time smoothing flow and enhancing quality and driving down cost.<sup>15</sup>

**Rationale:**

Performance improvement and reporting is a very large component of success of all of the project areas across the categories. The necessity for quality and safety improvement initiatives permeates health care.<sup>2,3</sup> Quality health care is defined as “the degree to which health services for individuals and populations increase the likelihood of desired health outcomes and are consistent with current professional knowledge”<sup>3</sup> (p. 1161). According to the Institute of Medicine (IOM)

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<sup>13</sup> <http://denverhealth.org/LEANAcademy.aspx>

<sup>14</sup> Oujiri J, Ferrara C. “The Phoenix Project – Integrating Effective Disease Management Into Primary Care Using Lean Six-Sigma Tools.” *Duluth Clinic Presentation*. 2010.

<sup>15</sup> Bibby J. “Lean in Primary Care: The Basics – Sustaining Transformation.” *Asian Hospital and Healthcare Management* (2011) 18.

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

#### **Category 1**

report, *To Err Is Human*,<sup>16</sup> the majority of medical errors result from faulty systems and processes, not individuals.

Processes that are inefficient and variable, changing case mix of patients, health insurance, differences in provider education and experience, and numerous other factors contribute to the complexity of health care. With this in mind, the IOM also asserted that today's health care industry functions at a lower level than it can and should, and it put forth the following six aims of health care: effective, safe, patient-centered, timely, efficient, and equitable.<sup>3</sup> The aims of effectiveness and safety are targeted through process-of-care measures, assessing whether providers of health care perform processes that have been demonstrated to achieve the desired aims and avoid those processes that are predisposed toward harm. The goals of measuring health care quality are to determine the effects of health care on desired outcomes and to assess the degree to which health care adheres to processes based on scientific evidence or agreed to by professional consensus and is consistent with patient preferences.

Because errors are caused by system or process failures, it is important to adopt various process-improvement techniques to identify inefficiencies, ineffective care, and preventable errors to then influence changes associated with systems. Each of these techniques involves assessing performance and using findings to inform change. This chapter will discuss strategies and tools for quality improvement—including failure modes and effects analysis, Plan-Do-Study-Act, Six Sigma, Lean, and root-cause analysis—that have been used to improve the quality and safety of health care.<sup>17</sup>

Whatever the acronym of the method (e.g., TQM, CQI) or tool used (e.g., FMEA or Six Sigma), the important component of quality improvement is a dynamic process that often employs more than one quality improvement tool. Quality improvement requires five essential elements for success: fostering and sustaining a culture of change and safety, developing and clarifying an understanding of the problem, involving key stakeholders, testing change strategies, and continuous monitoring of performance and reporting of findings to sustain the change.

#### **Project Options:**

- a) Enhance improvement capacity within people
  - Required core project components
    - a) Provide training and education to clinical and administrative staff on process improvement strategies, methodologies, and culture.
    - b) Develop an employee suggestion system that allows for the identification of issues that impact the work environment, patient care

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<sup>16</sup> Hughes RG. Tools and Strategies for Quality Improvement and Patient Safety. In: Hughes RG, editor. *Patient Safety and Quality: An Evidence-Based Handbook for Nurses*. Rockville (MD): Agency for Healthcare Research and Quality (US); 2008 Apr. Chapter 44. Available from: <http://www.ncbi.nlm.nih.gov/books/NBK2682/>

<sup>17</sup> Hughes RG. Tools and Strategies for Quality Improvement and Patient Safety. In: Hughes RG, editor. *Patient Safety and Quality: An Evidence-Based Handbook for Nurses*. Rockville (MD): Agency for Healthcare Research and Quality (US); 2008 Apr. Chapter 44. Available from: <http://www.ncbi.nlm.nih.gov/books/NBK2682/>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

- and satisfaction, efficiency and other issues aligned with continuous process improvement.
- b) Enhance improvement capacity through technology  
Required core project components
  - a) Provide training and education to clinical and administrative staff on process improvement strategies, methodologies, and culture.
  - b) Develop an employee suggestion system that allows for the identification of issues that impact the work environment, patient care and satisfaction, efficiency and other issues aligned with continuous process improvement.
  - c) Design data collection systems to collect real-time data that is used to drive continuous quality improvement (possible examples include weekly run charts or monthly dashboards)
- c) Enhance improvement capacity within systems  
Required core project components
  - d) Provide training and education to clinical and administrative staff on process improvement strategies, methodologies, and culture.
  - e) Develop an employee suggestion system that allows for the identification of issues that impact the work environment, patient care and satisfaction, efficiency and other issues aligned with continuous process improvement.
- f) “Other” project option: Implement other evidence-based project to enhance performance improvement and reporting capacity in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

Note: All of the project options in project area 1.10 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

# Attachment I

## Regional Healthcare Partnership (RHP) Planning Protocol

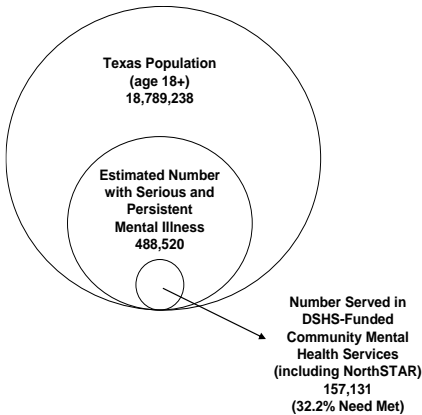
### Category 1

#### CATEGORY 1: BEHAVIORAL HEALTH INFRASTRUCTURE PROJECTS

**GOAL: Improve the infrastructure for delivery of mental health and substance use disorder (AKA behavioral health) services.**

The goals of infrastructure-related mental health and substance use disorder (behavioral health) projects are to improve the access to appropriate behavioral health interventions and specialists throughout Texas. This is an especially critical need in Texas for several reasons:

- State funding for behavioral health indigent care is limited. Texas ranks 50<sup>th</sup> in per capita funding for state mental health authority (DSHS) services and supports for people with serious and persistent mental illness and substance use disorders. Medically indigent individuals who are not eligible for Medicaid have no guarantee of access to needed services and may face extended waiting periods.
- Texas ranks highest among states in the number of uninsured individuals per capita. One in four Texans lack health insurance. People with behavioral health disorders are disproportionately affected. For example, 60 percent of seriously mentally ill adults served in the public mental health system are uninsured.<sup>18</sup>



- The supply of behavioral health care providers is inadequate in most of the State. In April of 2011, 195 (77%) of Texas' 254 counties held federal designations as whole county Health Provider Shortage Areas (HPSAs). This is an increase from the 183 counties designated in 2002.<sup>19</sup>

Projects / project elements under this heading are designed to increase the supply of behavioral health professionals practicing in the State, extend the capacity of behavioral health providers to offer expertise to other health care providers, such as primary care physicians and enhance the capacity of behavioral health and other

providers to effectively serve patients with behavioral health conditions. Examples of such projects could include training and residency programs for behavioral health providers, programs which expand access to certified peer support services, telehealth consultation programs in which behavioral health providers offer timely expertise to primary care providers and extended clinic hours / mobile clinics.

<sup>18</sup> DSHS Decision Support, 2012

<sup>19</sup> "Highlights: The Supply of Mental Health Professionals in Texas -2010", Texas Department of State Health Services Center for Health Statistics, E-Publication No. E25-12347. Accessed at: <http://www.dshs.state.tx.us/chs/hprc/publicat.shtm>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**1.11 Implement technology-assisted services (telehealth, telemonitoring, telementoring, or telemedicine) to support, coordinate, or deliver behavioral health services**

**Project Goal:**

Texas faces several access barriers that make the deployment of workable integrated health care models a challenge. Specifically, Texas is composed of 254 counties, the majority of which can be classified as either “rural” or “frontier”. The availability of health care providers is severely limited in many of these sparsely populated areas. While these shortages make access to physical healthcare difficult for those who reside in these rural areas, the impact on individuals with behavioral health needs is even more severe. For example, in 2009, 171 Texas counties did not have a psychiatrist, 102 counties did not have a psychologist, 40 counties did not have a social worker and 48 counties did not have a licensed professional counselor.

There are 195 Texas counties (77% of all Texas counties) that have been designated by the Health Resources and Services Administration (HRSA) as Health Professional Shortage Areas (HPSAs) in relation to behavioral health. Furthermore, certain specialties (such as Child Psychiatrists) are virtually non-existent in the vast majority of the rural and frontier areas of the state.

Additionally, the size of the state makes travel from these underserved areas to larger urban settings difficult. For individuals who lack reliable transportation or have disabilities that restrict driving, the challenge of accessing health care may be virtually insurmountable.

Furthermore, there are many non-rural areas of the state where the availability of health care professionals is greatly limited. For example, in Bexar county, which has one of the largest urban populations in Texas, there are 123 areas within the county that have been designated as HPSAs by HRSA. Similar shortages can be found in most Texas urban counties.

Modern communications technology holds the greatest promise of bridging the gap between medical need in underserved areas and the provision of needed services. The developments in internet-based communications that began with voice messaging have been extended to video in the form of widely available video compression technologies that allow for high quality, real time, face-to-face communications and consultations over relatively inexpensive telecommunications equipment. With this new technology, in any area of the state where high speed broadband internet access is available, access to many forms of health care can become a reality. To leverage the promise of this new technology, Texas would like to expand the use of telemedicine, telehealth, and telemonitoring to thereby increase access to, and coordination of, physical and behavioral healthcare.

Televideo technology can be used to provide a variety of what have been referred to as “Telemental Health” services. These services may include mental health assessments, treatment, education, monitoring, mentoring and collaboration. These services may be used in a variety of locations (schools, nursing facilities, and even in homes) in any geographical location where traditional service providers are in short supply. Providers can include psychiatrists, nurse



## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

#### **Category 1**

practitioners, physician assistants, social workers, pharmacists, psychologists, counselors, PCPs, and nurses. For example, telemental health could be used to provide follow-up outpatient consults with a psychiatrist or other mental health professional within 7 or 30 days of discharge from the inpatient hospital. These virtual follow-up visits could focus on monitoring for remission of symptoms, adjusting psychotropic medications, and developing a treatment plan to prevent readmissions in partnership with the primary care provider. Telemental services could also be used to provide medication management services to community mental health patients with severe mental illness to ensure appropriate medication treatment and compliance, preventing psychiatric crises which would require psychiatric hospitalization.

The use of telemedicine could provide direct video access to a psychiatrist while the use of telementoring would provide a General Practitioner with access to consultation with psychiatrists with expertise in managing complex medication regimens. Additionally, telehealth could provide direct access to Cognitive Behavioral Therapy and other evidence-based counseling protocols that have proven to be effective in addressing major depression, trauma, and even schizophrenia in some populations.

Telecommunications technology can also be used to foster peer support and mentoring efforts among providers and among consumers (e.g., support groups, peer mentors).

For example, The University of New Mexico has successfully utilized a telementoring program (Project ECHO) to successfully train and provide ongoing support to Primary Care Physicians (PCPs) who provide care to persons with addiction. This initiative provides weekly didactic sessions as well as case presentations to address challenging clinical cases and get feedback from specialists based at the University and from colleagues around the state.<sup>20</sup>

#### **Project Options:**

- a) Procure and build the infrastructure needed to pilot or bring to scale a successful pilot of the selected forms of service in underserved areas of the state (this must be combined with one of the two interventions below).  
Required core project components:
  - a) Identify existing infrastructure for high speed broadband communications technology (such as T-3 lines, T-1 lines) in rural, frontier, and other underserved areas of the state;
  - b) Assess the local availability of and need for video communications equipment in areas of the state that already have (or will have) access to high speed broadband technology.
  - c) Assess applicable models for deployment of telemedicine, telehealth, and telemonitoring equipment.

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<sup>20</sup> **Project ECHO: a model for expanding access to addiction treatment in a rural state**  
Miriam Komaromy, MD, 2010.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

- b) Implement technology-assisted behavioral health services from psychologists, psychiatrists, substance abuse counselors, peers and other qualified providers). Required core project components:
- a) Develop or adapt administrative and clinical protocols that will serve as a manual of technology-assisted operations.
  - b) Determine if a pilot of the telehealth, telemonitoring, telementoring, or telemedicine operations is needed. Engage in rapid cycle improvement to evaluate the processes and procedures and make any necessary modifications.
  - c) Identify and train qualified behavioral health providers and peers that will connect to provide telemedicine, telehealth, telementoring or telemonitoring to primary care providers, specialty health providers (e.g., cardiologists, endocrinologists, etc.), peers or behavioral health providers. Connections could be provider to provider, provider to patient, or peer to peer.
  - d) Identify modifiers needed to track encounters performed via telehealth technology
  - e) Develop and implement data collection and reporting standards for electronically delivered services
  - f) Review the intervention(s) impact on access to specialty care and identify “lessons learned,” opportunities to scale all or part of the intervention(s) to a broader patient population, and identify key challenges associated with expansion of the intervention(s), including special considerations for safety-net populations.
  - g) Scale up the program, if needed, to serve a larger patient population, consolidating the lessons learned from the pilot into a fully-functional telehealth, telemonitoring, telementoring, or telemedicine program. Continue to engage in rapid cycle improvement to guide continuous quality improvement of the administrative and clinical processes and procedures as well as actual operations.
  - h) Assess impact on patient experience outcomes (e.g. preventable inpatient readmissions)
- c) “Other” project option: Implement other evidence-based project to implement technology-assisted services to support, coordinate, or deliver behavioral health services in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

Note: All of the project options in project area 1.11 should include a component to conduct quality improvement for the project using methods such as rapid cycle

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**1.12 Enhance service availability (i.e., hours, locations, transportation, mobile clinics) of appropriate levels of behavioral health care**

**Project Goal**

Positive healthcare outcomes are contingent on the ability of the patient to obtain both routine examinations and healthcare services as soon as possible after a specific need for care has been identified. However, many Texans are unable to access either routine services or needed care in a timely manner either because they lack transportation or because they are unable to schedule an appointment due to work scheduling conflicts (or school scheduling conflicts in the case of children) or because they have obligations to provide care for children or elderly relatives during normal work hours. While such barriers to access can compromise anyone's ability to make or keep scheduled appointments, individuals with behavioral health needs may be especially negatively affected. Many individual with behavioral health needs are reticent to seek treatment in the first place and such barriers may be sufficient to prevent access entirely. Others may be easily discouraged by such barriers and may drop out of treatment. Any such delay in accessing services or any break or disruption in services may result in functional loss and the worsening of symptoms. These negative health outcomes come at great personal cost to the individual and also result in increased costs to payers when care is finally obtained.

In order to mitigate the effects of these barriers to accessing care, Texas proposes to take specific steps to broaden access to care that will include an expansion of operating hours in a select number of clinics, an expansion of community-based service options (including the development of mobile clinics), and an expanded transportation program that will support appointments that are scheduled outside of normal business hours.

**Project Options:**

- a) Establish extended operating hours at a select number of Local Mental Health Center clinics or other community-based settings in areas of the State where access to care is likely to be limited.  
Required core project component:
  - a) Evaluate existing transportation programs and ensure that transportation to and from medical appointments is made available outside of normal operating hours. If transportation is a significant issue in care access, develop and implement improvements as part of larger project.
  - b) Review the intervention(s) impact on access to behavioral health services and identify "lessons learned," opportunities to scale all or part of the intervention(s) to a broader patient population, and identify key challenges associated with expansion of the intervention(s), including special considerations for safety-net populations.
- b) Expand the number of community based settings where behavioral health services may be delivered in underserved areas
- c) Develop and staff a number of mobile clinics that can provide access to care in very remote, inaccessible, or impoverished areas of Texas.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

- d) “Other” project option: Implement other evidence-based project to enhance service availability of appropriate levels of behavioral health care in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

## Attachment I Regional Healthcare Partnership (RHP) Planning Protocol

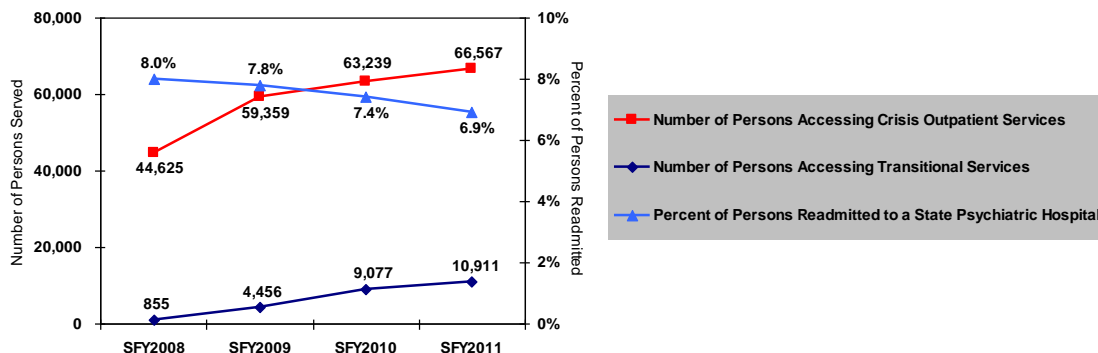
### Category 1

#### 1.13 Development of behavioral health crisis stabilization services as alternatives to hospitalization.

##### Project Goal

When a consumer lacks appropriate behavioral health crisis resolution mechanisms, first responders are often limited in their options to resolve the situation. Sometimes the choice comes down to the ER, jail or an inpatient hospital bed. Crisis stabilization services can be developed that create alternatives to these less desirable settings. Building on existing systems, communities can develop crisis alternatives such as sobering units, crisis residential settings and crisis respite programs with varying degrees of clinical services based on the needs of clients. While hospitalization provides a high degree of safety for the person in crisis, it is very expensive and is often more than what is needed to address the crisis. Community-base crisis alternatives can effectively reduce expensive and undesirable outcomes, such as preventable inpatient stays. For example, state psychiatric hospital recidivism trended downward coincident with implementation of crisis outpatient services in some Texas communities. The percent of persons readmitted to a Texas state psychiatric hospital within 30 days decreased from 8.0% in SFY2008 (before implementation of alternatives) to 6.9% in SFY2011.<sup>21</sup>

*Figure 2. Number of persons accessing crisis outpatient services and transitional services at DSHS-funded community mental health centers compared to percent of persons readmitted to a state psychiatric hospital within 30 days, SFY2008-2011.*



##### Project Options

- a) Develop and implement crisis stabilization services to address the identified gaps in the current community crisis system

Required core project components:

- a) Convene community stakeholders who can support the development of crisis stabilization services to conduct a gap analysis of the current community crisis system and develop a specific action plan that identifies specific crisis stabilization services to address identified

<sup>21</sup> Behavioral Health NEWS BRIEF Vol. 7 Issue 3 - May 25, 2012 ,  
[http://www.dshs.state.tx.us/sa/\\_BHNB/](http://www.dshs.state.tx.us/sa/_BHNB/)

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

gaps (e.g. for example, one community with high rates of incarceration and/or ED visits for intoxicated patients may need a sobering unit while another community with high rates of hospitalizations for mild exacerbations mental illness that could be treated in community setting may need crisis residential programs).

- b) Analyze the current system of crisis stabilization services available in the community including capacity of each service, current utilization patterns, eligibility criteria and discharge criteria for each service.
  - c) Assess the behavioral health needs of patients currently receiving crisis services in the jails, EDs, or psychiatric hospitals. Determine the types and volume of services needed to resolve crises in community-based settings. Then conduct a gap analysis that will result in a data-driven plan to develop specific community-based crisis stabilization alternatives that will meet the behavioral health needs of the patients (e.g. a minor emergency stabilization site for first responders to utilize as an alternative to costly and time consuming Emergency Department settings)
  - d) Explore potential crisis alternative service models and determine acceptable and feasible models for implementation.
  - e) Review the intervention(s) impact on access to and quality of behavioral health crisis stabilization services and identify “lessons learned,” opportunities to scale all or part of the intervention(s) to a broader patient population, and identify key challenges associated with expansion of the intervention(s), including special considerations for safety-net populations
- b) “Other” project option: Implement other evidence-based project to develop behavioral health crisis stabilization services in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

Note: All of the project options in project area 1.13 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

**1.14 Develop Workforce enhancement initiatives to support access to behavioral health providers in underserved markets and areas (e.g., psychiatrists, psychologists, LMSWs, LPCs and LMFTs.)**

**Project Goal:**

The goal of this project is to enhance access and reduce shortages in specialty behavioral health care to improve local integration of behavioral health care into the overall health delivery system; improve consumer choice and increase availability of effective, lower-cost alternatives to inpatient care, prevent inpatient admissions when possible and promote recovery from behavioral health disorders. The supply of behavioral health care providers is inadequate in most of the State. In 2011, 195 (77%) of Texas' 254 counties held federal designations as whole county Health Provider Shortage Areas (HPSAs) in relation to behavioral health.<sup>22</sup> Indeed, Texas ranks far below the national average in the number of mental health professionals per 100,000 residents. These shortages are even greater in rural, poor and Texas – Mexico border communities.

**Project Options:**

- a) Implement strategies defined in the plan to encourage behavioral health practitioners to serve medically indigent public health consumers in HPSA areas or in localities within non-HPSA counties which do not have access equal to the rest of the county. Examples of strategies could include marketing campaigns to attract providers, enhanced residency programs or structured financial and non-financial incentive programs to attract and retain providers, identifying and engaging individual health care workers early in their studies/careers and providing training in identification and management of behavioral health conditions to other non-behavioral health disciplines (e.g., ANPs, PAs).  
Required core project components:
  - a) Conduct a qualitative and quantitative gap analysis to identify needed behavioral health specialty vocations lacking in the health care region and the issues contributing to the gaps.
  - b) Develop plan to remediate gaps identified and data reporting mechanism to assess progress toward goal. This plan will specifically identify:
    - The severity of shortages of behavioral health specialists in a region by type (psychiatrists, licensed psychologists, nurse practitioners, physicians assistants, nurses, social workers, licensed professional counselors, licensed marriage and family therapists, licensed chemical dependency counselors, peer support specialists, community health workers etc.)
    - Recruitment targets by specialty over a specified time period.

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<sup>22</sup> “Highlights: The Supply of Mental Health Professionals in Texas -2010”, Texas Department of State Health Services Center for Health Statistics, E-Publication No. E25-12347. Accessed at: <http://www.dshs.state.tx.us/chs/hprc/publicat.shtm>



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 1**

- Strategies for recruiting healthcare specialists
  - Strategies for developing training for primary care providers to enhance their understanding of and competency in the delivery of behavioral health services and thereby expand their scope of practice.
- c) Assess and refine strategies implemented using quantitative and qualitative data. Review the intervention(s) impact on behavioral health workforce in HPSA areas and identify “lessons learned,” opportunities to scale all or part of the intervention(s) to a broader patient population, and identify key challenges associated with expansion of the intervention(s), including special considerations for safety-net populations
- b) “Other” project option: Implement other evidence-based project to develop workforce enhancement initiatives to support access to behavioral health providers in underserved markets in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**Category 2 Innovation and Redesign**

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**Category 2 Table of Contents**

2.1	Enhance/Expand Medical Homes .....	52
2.2	Expand Chronic Care Management Models .....	56
2.3	Redesign Primary Care .....	59
2.4	Redesign to Improve Patient Experience .....	61
2.5	Redesign for Cost Containment .....	63
2.6	Implement Evidence-based Health Promotion Programs .....	65
2.7	Implement Evidence-based Disease Prevention Programs.....	67
2.8	Apply Process Improvement Methodology to Improve Quality/Efficiency .....	69
2.9	Establish/Expand a Patient Care Navigation Program.....	75
2.10	Use of Palliative Care Programs .....	77
2.11	Conduct Medication Management .....	80
2.12	Implement/Expand Care Transitions Programs .....	83
2.13	Provide an intervention for a targeted behavioral health population to prevent unnecessary use of services in a specified setting (i.e., the criminal justice system, ER, urgent care etc.). ....	91
2.14	Implement person-centered wellness self-management strategies and self directed financing models that empower consumers to take charge of their own health care. ....	95
2.15	Integrate Primary and Behavioral Health Care Services .....	98
2.16	Provide virtual psychiatric and clinical guidance to all participating primary care providers delivering services to behavioral patients regionally.....	102
2.17	Establish improvements in care transition from the inpatient setting for individuals with mental health and / or substance abuse disorders. ....	105
2.18	Recruit, train and support consumers of mental health services to provide peer support services.....	108
2.19	Develop Care Management Function that integrates primary and behavioral health needs of individuals .....	110

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**2.1 Enhance/Expand Medical Homes**

**Project Goal:**

The goal of projects under this heading is to expand or enhance the delivery of care provided through the Patient-Centered Medical Home (PCMH) model<sup>23</sup>. The PCMH provides a primary care "home base" for patients. Under this model, patients are assigned a health care team who tailors services to a patient's unique health care needs, effectively coordinates the patient's care across inpatient and outpatient settings, and proactively provides preventive, primary, routine and chronic care.

**Project Options:**

- a) Develop, implement, and evaluate action plans to enhance/eliminate gaps in the development of various aspects of PCMH standards.  
Required core project components:
  - a) Utilize a gap analysis to assess and/or measure hospital-affiliated and/or PCPs' NCQA PCMH readiness.
  - b) Conduct feasibility studies to determine necessary steps to achieve NCQA PCMH status
  - c) Conduct educational sessions for primary care physician practice offices, hospital boards of directors, medical staff and senior leadership on the elements of PCMH, its rationale and vision.
  - d) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying "lessons learned," opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- b) Collaborate with an affiliated Patient-Centered Medical Home to integrate care management and coordination for shared, high-risk patients.  
Required core project components:
  - a) Improve data exchange between hospitals and affiliated medical home sites.
  - b) Develop best practices plan to eliminate gaps in the readiness assessment.
  - c) Hire and train team members to create multidisciplinary teams including social workers, health coaches, care managers, and nurses with a diverse skill set that can meet the needs of the shared, high-risk patients
  - d) Implement a comprehensive, multidisciplinary intervention to address the needs of the shared, high-risk patients

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23 [http://www.aafp.org/online/etc/medialib/aafp\\_org/documents/about/pcmh.Par.0001.File.dat/PCMH.pdf](http://www.aafp.org/online/etc/medialib/aafp_org/documents/about/pcmh.Par.0001.File.dat/PCMH.pdf)

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- e) Evaluate the success of the intervention at decreasing ED and inpatient hospitalization by shared, high-risk patients and use this data in rapid-cycle improvement to improve the intervention.
  - f) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- c) Implement medical homes in HPSA and other rural and impoverished areas using evidence-based change concepts for practice transformation developed by the Commonwealth Fund’s Safety Net Medical Home Initiative: Required core project components:
- a) Empanelment: Assign all patients to a primary care provider within the medical home. Understand practice supply and demand, and balance patient load accordingly.
  - b) Restructure staffing into multidisciplinary care teams that manage a panel of patients where providers and staff operate at the top of their license. Define roles and distribute tasks among care team members to reflect the skills, abilities, and credentials of team members.
  - c) Link patients to a provider and care team so both patients and provider/care team recognizes each other as partners in care.
  - d) Assure that patients are able to see their provider or care team whenever possible.
  - e) Promote and expand access to the medical home by ensuring that established patients have 24/7 continuous access to their care teams via phone, e-mail, or in-person visits.
  - f) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- d) “Other” project option: Implement other evidence-based project to enhance/expand medical home in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-19 includes suggestions for improvement metrics to use with this innovative project option.

## Attachment I Regional Healthcare Partnership (RHP) Planning Protocol

### Category 2

Note: All of the project options in project area 2.1 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

Note: PCMH models include investments in projects that are the foundation of delivery system change and a complete package of change. Therefore, it is preferable to pursue a full continuum of projects (PCMH readiness preparations, the establishment or expansion of medical homes which may include gap analyses and eventual application for PCMH recognition<sup>24</sup> to a nationally recognized organization such as NCQA, as well as educating various constituent groups within hospitals and primary care practices about the essential elements of the NCQA medical home standards).<sup>25,26,27,28,29,30,31</sup>

#### **Rationale:**

Federal, state, and health care providers share goals to promote more patient-centered care focused on wellness and coordinated care. In addition, the PCMH model is viewed as a foundation for the ability to accept alternative payment models under payment reform. PCMH development is a multi-year transformational effort and is viewed as a foundational way to deliver care aligned with payment reform models and the Triple Aim goals of better health, better patient experience of care, and ultimately better cost-effectiveness. By providing the right care at the right time and in the right setting, over time, patients may see their health improve, rely less on costly ED visits, incur fewer avoidable hospital stays, and report greater patient satisfaction. These projects all are focused on the concepts of the PCMH model; yet, they take different shapes for different providers.<sup>32</sup>

This initiative aims to eliminate fragmented and uncoordinated care, which can lead to emergency department and hospital over-utilization. The projects associated with Medical Homes establish a foundation for transforming the primary care landscape in Texas by emphasizing enhanced chronic disease management through team-based care.

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24 [http://www.medicalhomeinfo.org/national/recognition\\_programs.aspx](http://www.medicalhomeinfo.org/national/recognition_programs.aspx)

25 <http://www.commonwealthfund.org/Topics/Patient-Centered-Care.aspx>

26 <http://www.qhmedicalhome.org/pcmh-qualis-health/change-concepts>

27 [http://www.pcmh.ahrq.gov/portal/server.pt/community/pcmh\\_\\_home/1483](http://www.pcmh.ahrq.gov/portal/server.pt/community/pcmh__home/1483)

28 <http://www.medicalhomeforall.com/>

29 [http://www.acponline.org/running\\_practice/pcmh/](http://www.acponline.org/running_practice/pcmh/)

30 <http://www.pediatricmedhome.org/>

31 Transformed: <http://www.transformed.com/index.cfm>

32 <http://www.pcpcc.net/content/pcmh-vision-reality>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

## **2.2 Expand Chronic Care Management Models<sup>33</sup>**

### **Project Goal:**

The goal of this project is to develop and implement chronic disease management interventions that are geared toward improving effective management of chronic conditions and ultimately improving patient clinical indicators, health outcomes and quality, and reducing unnecessary acute and emergency care utilization. Chronic disease management initiatives use population-based approaches to create practical, supportive, evidence-based interactions between patients and providers to improve the management of chronic conditions and identify symptoms earlier, with the goal of preventing complications and managing utilization of acute and emergency care. Program elements may include the ability to identify one or more chronic health conditions or co-occurring chronic health conditions that merit intervention across a patient population, based on an assessment of patients' risk of developing complications, co-morbidities or utilizing acute or emergency services. These chronic health conditions may include diabetes, congestive heart failure, chronic obstructive pulmonary disease, among others, all of which are prone to co-occurring health conditions and risks.

### **Project Options:**

- a) Redesign the outpatient delivery system to coordinate care for patients with chronic diseases  
Required core project components:
  - a) Design and implement care teams that are tailored to the patient's health care needs, including non-physician health professionals, such as pharmacists doing medication management; case managers providing care outside of the clinic setting via phone, email, and home visits; nutritionists offering culturally and linguistically appropriate education; and health coaches helping patients to navigate the health care system
  - b) Ensure that patients can access their care teams in person or by phone or email
  - c) Increase patient engagement, such as through patient education, group visits, self-management support, improved patient-provider communication techniques, and coordination with community resources
  - d) Implement projects to empower patients to make lifestyle changes to stay healthy and self-manage their chronic conditions
  - e) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying "lessons learned," opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion

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<sup>33</sup> Some chronic diseases addressed by chronic care management models in RHP plans may include diabetes, hypertension, heart failure, asthma, post-secondary stroke, community-acquired pneumonia (CAP), HIV/AIDS, and chronic pain.



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

of the project, including special considerations for safety-net populations.

- b) Apply evidence-based care management model to patients identified as having high-risk health care needs
- c) Redesign rehabilitation delivery models for persons with disabilities
- d) Develop a continuum of care in the community for persons with serious and persistent mental illness and co-occurring disorders
- e) Develop care management functions that integrate the primary and behavioral health needs of individuals
- f) “Other” project option: Implement other evidence-based project to expand chronic care management models in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-21 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 2.2 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Rationale:**

Promoting effective change in provider groups to support evidence-based clinical and quality improvement across a wide variety of health care settings. There are many definitions of "chronic condition", some more expansive than others. We characterize it as any condition that requires ongoing adjustments by the affected person and interactions with the health care system. The most recent data show that more than 145 million people, or almost half of all Americans, live with a chronic condition. That number is projected to increase by more than one percent per year by 2030, resulting in an estimated chronically ill population of 171 million. Almost half of all people with chronic illness have multiple conditions. As a result, many managed care and integrated delivery systems have taken a great interest in correcting the many deficiencies in current management of diseases such as diabetes, heart disease, depression, asthma and others. Those deficiencies include:

- Rushed practitioners not following established practice guidelines
- Lack of care coordination
- Lack of active follow-up to ensure the best outcomes
- Patients inadequately trained to manage their illnesses

Overcoming these deficiencies will require nothing less than a transformation of health care, from a system that is essentially reactive - responding mainly when a person is sick - to one that is proactive and focused on keeping a person as healthy as possible. To speed the transition,

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

Improving Chronic Illness Care created the Chronic Care Model, which summarizes the basic elements for improving care in health systems at the community, organization, practice and patient levels. Evidence on the effectiveness of the Chronic Care Model has recently been summarized.<sup>34</sup>

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34 <http://content.healthaffairs.org/content/28/1/75.full>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

### **2.3 Redesign Primary Care**

**Project Goal:**

Increase efficiency and redesign primary care clinics programs to be oriented around the patient so that primary care access and the patient experience can be improved.

**Project Options:**

- a) Redesign primary care in order to achieve improvements in efficiency, access, continuity of care, and patient experience  
Required core project components:
  - a) Implement the patient-centered scheduling model in primary care clinics
  - b) Implement patient visit redesign
  - c) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- b) “Other” project option: Implement other evidence-based project to redesign primary care in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-18 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 2.3 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Rationale:**

Primary care in the United States faces serious challenges. Many physician practices struggle to ensure that their patients have prompt access to care, consistently high-quality chronic and preventative services, and adequate coordination of care. This struggle impacts patients who may experience barriers in accessing primary care services secondary to transportation, the lack of an assigned provider, inability to receive appointments in a timely manner and a lack of knowledge about what types of services can be provided in the primary care setting. By enhancing access points, available appointment times, patient awareness of available services

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

and overall primary care capacity, patients and their families will align themselves with the primary care system resulting in improved health access, improved health outcome and reduced costs of services.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

## **2.4 Redesign to Improve Patient Experience**

### **Project Goal:**

Improve how the patient experiences the care and the patient's satisfaction with the care provided. The state healthcare transformation is counting on a robust primary care sector to improve quality, reduce costs, and improve patient experience. This will require a redesign of primary care to meet the needs of patients for timely, patient-centered, continuous, and coordinated care to enhance access to care regardless of type of insurance. The overall approach to redesigning patient experience will be centered on cultural change at the organizational level. This will involve the practitioners in a clinic as well as the patients and their families or caregivers. An organizational strategy will be developed so that entities will manage patient experience and create avenues to implement the strategic plan/vision. Providers' performance will be measured, among other factors, by the extent to which patient experience improves systematically.

Patient experience with care will be assessed through focused surveys. The architecture for patient focused surveys should be modeled after the Consumer Assessment of Healthcare Providers and Systems (CAHPS) tool, which includes the following domains: patients are getting timely care, appointments, and information; how well providers communicate with patients; patients' rating of provider; and assessment office staff.<sup>35</sup> The Clinician and Group Consumer Assessment of Health Care Providers and Systems (CG CAHPS) survey<sup>36</sup> can be used to assess patient and caregiver experience of care in outpatient settings while HCAHPS can be employed to measure patient experience in the hospital setting. Certain supplemental modules for the adult survey CG-CAHPS may be used to establish additional outcomes: Health Literacy, Cultural Competence, Health Information Technology, and Patient Centered Medical Home.

These surveys will be mandatory, and will be administered at the end of the medical episode, six weeks after the visit (to avoid recall bias) and six months if no other episode of care intervened.

### **Project Options:**

- a) Implement processes to measure and improve patient experience  
Required core project components:
  - a) Organizational integration and prioritization of patient experience
  - b) Data and performance measurement will be collected by utilizing patient experience of care measures from the Hospital Consumer Assessment of Healthcare Providers and Systems (HCAHPS) in addition to CAHPS and/or other systems and methodologies to measure patient experience;
  - c) Implementing processes to improve patient's experience in getting through to the clinical practice;
  - d) Develop a process to certify independent survey vendors that will be capable of administering the patient experience of care survey in

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35 [https://cahps.ahrq.gov/clinician\\_group/cgsurvey/patientexperiencemeasurescgsurveys.pdf](https://cahps.ahrq.gov/clinician_group/cgsurvey/patientexperiencemeasurescgsurveys.pdf)

36 [https://cahps.ahrq.gov/clinician\\_group/](https://cahps.ahrq.gov/clinician_group/)

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

accordance with the standardized sampling and survey administration procedures.

- b) Implement other evidence based project to improve patient experience in an innovative manner not described above. Note, providers opting to implement an innovative project under this option must propose relevant process metrics and report on the improvement metrics listed under milestone I-X.
- c) Project Option: Increased patient satisfaction  
Implement an innovative and evidence based intervention that will lead to improvements in patient satisfaction for providers that have demonstrated need or unsatisfactory performance in this area. This project requires reporting of specific metric(s) as associated with corresponding outcome(s) listed in **Category ,3 Outcome Domain – 6 Patient Satisfaction**. Providers selecting this project option should use process milestone(s) X, improvement milestone(s) Y and the milestone development template at the conclusion of this project area to describe how the proposed milestones relate to the specific intervention goals.
- d) “Other” project option: Implement other evidence-based project to redesign to improve patient experience in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-20 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 2.4 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Rationale:**

Over time, implemented projects have the potential to yield improvements in the level of care integration and coordination for patients and ultimately lead to better health and better patient experience of care.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

## **2.5 Redesign for Cost Containment**

### **Project Goal:**

Improve cost-effectiveness of care through improved care delivery for individuals, families, employers, and the government. Measures that provide insights both into improved opportunities for health care delivery and health care cost-effectiveness are an area of particular focus in the TX-DSRIP. Many of the projects include a specific focus on improving population health inside and outside of the walls of the hospital therefore, it will be important to examine measures that develop the capability to test methodologies for measuring cost containment. These methodologies may be subsequently applied to other projects or efforts so that the ability to measure the efficacy of these initiatives is in place, so integrated care models that use data-based cost and quality measures can be developed.

### **Project Options:**

- a) Develop an integrated care model with outcome-based payments  
Required core project components:
  - a) Implement cost-accounting systems to measure intervention impacts
  - b) Establish a method to measure cost containment
  - c) Establish a baseline for cost
  - d) Measure cost containment
- b) Implement other evidence based project to redesign for cost containment in an innovative manner not described above. Note, providers opting to implement an innovative project under this option must propose relevant process metrics and report on the improvement metrics listed under milestone I-11.
- c) Project Option: Cost Savings  
Implement an innovative and evidence based intervention that will lead to **cost savings** for providers that have demonstrated need or unsatisfactory performance in this area. This project requires reporting of specific metric(s) as associated with corresponding outcome(s) listed in **Category 3, Outcome Domain – 5 Cost of Care**<sup>37</sup>. Providers selecting this project option should use process milestone(s) X, improvement milestone(s) Y and the milestone development template at the conclusion of this project area to describe how the proposed milestones relate to the specific intervention goals.
- d) “Other” project option: Implement other evidence-based project to will impact cost efficiency in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

project. Milestone I-11 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 2.5 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Rationale:**

Health care spending for a given population might be roughly defined as a function of five basic factors<sup>38</sup>:

- Population needs or morbidity,
- Access to services,
- Propensity to seek services,
- Volume, nature, or intensity of services supplied or ordered, and
- Unit cost or price of services.

For the purpose of this project area, “cost containment” will be defined as any set of policies or measures intended to affect any one or more of these factors.

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38 <http://www.policyarchive.org/handle/10207/bitstreams/21904.pdf>



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**2.6 Implement Evidence-based Health Promotion Programs**

**Project Goal:**

Implement innovative evidence based health promotion strategies such as use of community health workers, innovations in social media and messaging for targeted populations.

**Project Options:**

- a) Engage in population-based campaigns or programs to promote healthy lifestyles using evidence-based methodologies including social media and text messaging in an identified population.
- b) Establish self-management programs and wellness using evidence-based designs.
- c) Engage community health workers in an evidence-based program to increase health literacy of a targeted population.
- d) “Other” project option: Implement other evidence-based project to implement evidence-based health promotion programs in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-8 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 2.6 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

Note: All of the project options in 2.6 should include a component to conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Rationale:**

The current prevention and treatment system is an unconnected, silo-based approach, which reduces the effectiveness and increases the cost of health care. <sup>1</sup> As the US health care system strives to deliver better health, improved care and lower costs, the potential exists for innovative evidenced based health promotion strategies to further these goals.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**Delivery Mechanisms:** Community health workers can increase access to care and facilitate appropriate use of health resources by providing outreach and cultural linkages between communities and delivery systems; reduce costs by providing health education, screening, detection, and basic emergency care; and improve quality by contributing to patient-provider communication, continuity of care, and consumer protection. Information sharing, program support, program evaluation, and continuing education are needed to expand the use of community health workers and better integrate them into the health care delivery system.

Self-Management education complements traditional patient education in supporting patients to live the best possible quality of life with their chronic condition. Whereas traditional patient education offers information and technical skills, self-management education teaches problem-solving skills. A central concept in self-management is self-efficacy—confidence to carry out a behavior necessary to reach a desired goal. Self-efficacy is enhanced when patients succeed in solving patient-identified problems. Evidence from controlled clinical trials suggests that<sup>39</sup> (1) programs teaching self-management skills are more effective than information-only patient education in improving clinical outcomes; (2) in some circumstances, self-management education improves outcomes and can reduce costs for arthritis and probably for adult asthma patients<sup>40</sup>; and (3) in initial studies, a self-management education program bringing together patients with a variety of chronic conditions may improve outcomes and reduce costs.<sup>41</sup>

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39 1Thorpe, K, The Affordable Care Act lays the groundwork for a national diabetes prevention and treatment strategy. *Health Aff* January 2012 vol. 31 no. 1 61-66

40 2A Witmer, S D Seifer, L Finocchio, J Leslie, and E H O'Neil. Community health workers: integral members of the health care work force. *American Journal of Public Health* August 1995: Vol. 85, No. 8\_Pt\_1, pp. 1055-1058. doi: 10.2105/AJPH.85.8\_Pt\_1.1055

41 Bodenheimer T, Lorig K, Holman H, Grumbach K. Patient Self-management of Chronic Disease in Primary Care. *JAMA*. 2002; 288(19):2469-2475.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**2.7 Implement Evidence-based Disease Prevention Programs**

**Project Goal:**

Implement innovative evidence-based strategies in disease prevention areas including the following: diabetes, obesity, tobacco use, prenatal care, birth spacing, and health screenings.

**Project Options:**

- a) Implement innovative evidence-based strategies to increase appropriate use of technology and testing for targeted populations (e.g., mammography screens, colonoscopies, prenatal alcohol use, etc.)
- b) Implement innovative evidence-based strategies to reduce tobacco use.
- c) Implement innovative evidence-based strategies to increase early enrollment in prenatal care.
- d) Implement innovative evidence-based strategies to reduce low birth weight and preterm birth.
- e) Implement innovative evidence-based strategies to reduce and prevent obesity in children and adolescents.
- f) “Other” project option: Implement other evidence-based project to implement evidence-based disease prevention programs in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-7 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 2.7 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Rationale:**

Disease management emphasizes prevention of disease-related exacerbations and complications using evidence-based guidelines and patient empowerment tools. It can help manage and improve the health status of a defined patient population over the entire course of a disease.<sup>1</sup>

By concentrating on the causes of chronic disease, the community moves from a focus on sickness and disease to one based on wellness and prevention. The National Prevention Council strategy for Disease Prevention focuses on four areas: building healthy and safe community environments, expanding quality preventive services in clinical and community settings, helping people make healthy choices, and eliminating health disparities. To achieve these aims, the

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

strategy identifies seven evidence-based recommendations that are likely to reduce the leading causes of preventable death and major illness, including tobacco-free living, drug- and excessive alcohol-use prevention, healthy eating, active living, injury and violence-free living, reproductive and sexual health, and mental and emotional well-being.<sup>2</sup>

Delivery Mechanisms: (note this list is not inclusive of all delivery mechanisms)

- Establish and use patient registry systems to enhance the provision of patient follow-up, screenings for related risk factors and to track patient improvement.
- Establish and implement clinical practice guidelines.
- Adopt the Chronic Care Model
- Develop a mapping process linking patients treated in the emergency rooms with RFPs to improve the continuum of care and standardized procedures and outcome measures.
- Promote RHP health system supports such as reminders of care, development of clinical performance measures, and the use of case management services to increase patient's adherence to health care guidelines.
- Establish evidence-based disease and disability prevention programs for targeted populations to reduce their risk of disease, injury, and disability.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**2.8 Apply Process Improvement Methodology to Improve Quality/Efficiency**

**Project Goal:**

The goal of this project is to implement process improvement methodologies to improve safety, quality, patient experience and efficiency. Providers may design customized initiatives based on various process improvement methodologies such as Lean, Six Sigma, Continuous Improvement, Rapid Cycle, Care Logistics, Nurses Improving Care for Healthsystem Elders (NICHE) among others.

For example, the Lean methodology as applied to medicine evaluates the use of resources, measures the value to the patient, considers the use of resources in terms of their value to the patient, and eliminates those that are wasteful. Using methodologies such as Lean that are proven to eliminate waste and redundancies and optimize patient flow, hospitals may customize a project that will develop and implement a program of continuous improvement that will increase communication, integrate system workflows, provide actionable data to providers and patients, and identify and improve models of patient-centered care that address issues of safety, quality, and efficiency.

Implementation frequently requires a new “operational mindset” using tools such as Lean to identify and progressively eliminate inefficiencies while at the same time linking human performance, process performance and system performance into transformational performance in the delivery system.<sup>42</sup>

The process improvement, as a further example, may include elements such as identifying the value to the patient, managing the patient’s journey, facilitating the smooth flow of patients and information, introducing “pull” in the patient’s journey (e.g. advanced access), and/or continuously reducing waste by developing and amending processes awhile at the same time smoothing flow and enhancing quality and driving down cost.<sup>43</sup>

Furthermore, projects designed and implemented using the Care Logistics™ patient-centered, care coordination model involves managing the simultaneous logistics of a patient moving through the hospital. It may be used to help hospitals transform their operations to improve patient flow into cross departmental hubs and provide actionable data in real-time on key performance indicators, such as, but not limited to, length of stay, patient flow times, discharge process times, re-admission rates, and patient, provider and staff satisfaction.<sup>44</sup>

In addition, hospitals may design a process improvement initiative utilizing the NICHE program framework, which aims to facilitate the infusion of evidence-based geriatric best practices throughout institutions to improve nursing care for older adult patients. NICHE is based on the

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42 Oujiri J, Ferrara C. “The Phoenix Project – Integrating Effective Disease Management Into Primary Care Using Lean Six-Sigma Tools.” Duluth Clinic Presentation. 2010.

43 Bibby J. “Lean in Primary Care: The Basics – Sustaining Transformation.” Asian Hospital and Healthcare Management (2011) 18.

44 <http://www.carelogistics.com/>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

use of principles and tools to support a systemic change in nursing practice and in the culture of healthcare facilities to achieve patient-centered care.<sup>45</sup>

**Project Options:**

- a) Design, develop, and implement a program of continuous, rapid process improvement that will address issues of safety, quality, and efficiency.  
Required core project components:
  - a) Provide training and education to clinical and administrative staff on process improvement strategies, methodologies, and culture.
  - b) Develop an employee suggestion system that allows for the identification of issues that impact the work environment, patient care and satisfaction, efficiency and other issues aligned with continuous process improvement.
  - c) Define key safety, quality, and efficiency performance measures and develop a system for continuous data collection, analysis, and dissemination of performance on these measures ((i.e. weekly or monthly dashboard).
  - d) Develop standard workflow process maps, staffing and care coordination models, protocols, and documentation to support continuous process improvement.
  - e) Implement software to integrate workflows and provide real-time performance feedback.
  - f) Evaluate the impact of the process improvement program and assess opportunities to expand, refine, or change processes based on the results of key performance indicators.
- b) “Other” project option: Implement other evidence-based project to apply process improvement methodology to improve quality/efficiency in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-16 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 2.8 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

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45 <http://www.nicheprogram.org/>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**Project Options tied to a customized outcome in a specified Category 3 domain**

- c) Project Option: Reduction in Potentially Preventable Admission Rates (PPAs)  
Implement an innovative and evidence based intervention that will lead to **reductions** in Potentially Preventable Admissions (PPAs) for providers that have demonstrated need or unsatisfactory performance in this area. This project requires reporting of specific metric(s) as associated with corresponding outcome(s) listed in **Category 3, Outcome Domain -2, Potentially Preventable Admissions**<sup>46</sup>. Providers selecting this project option should use process milestone(s) X, improvement milestone(s) Y, and the milestone development template listed at the conclusion of this project area to describe how the proposed milestones relate to the specific intervention goals.
- d) Project Option: Reduction in 30-Day Hospital Readmission Rates (Potentially Preventable Readmissions)<sup>47</sup>  
Implement an innovative and evidence based intervention that will lead to reductions in 30 Day Readmissions for providers that have demonstrated need or unsatisfactory performance in this area. This project requires reporting of specific metric(s) as associated with corresponding outcome(s) listed in **Category 3, Outcome Domain- 3, Potentially Preventable Readmissions**<sup>1</sup>. Providers selecting this project option should use process milestone(s) X, improvement milestone(s) Y, and the milestone development template listed at the conclusion of this project area to describe how the proposed milestones relate to the specific intervention goals.
- e) Project Option: Reduction in Potentially Preventable Complications (PPC)  
Implement an innovative and evidence based intervention that will lead to **reductions** in Potentially Preventable Complications (PPCs) for providers that have demonstrated need or unsatisfactory performance in this area. This project requires reporting of specific metric(s) as associated with corresponding outcome(s) listed in **Category 3, Outcome Domain-4, Potentially Preventable Complications**<sup>1</sup>. Providers selecting this project option should use process milestone(s) X, improvement milestone(s) Y and the milestone development template listed at the conclusion of this project area to describe how the proposed milestones relate to the specific intervention goals.
- f) Project Option: Reduce Inappropriate ED Use  
Implement an innovative and evidence based intervention that will lead to **reductions** in inappropriate Emergency Department use for providers that have demonstrated need or unsatisfactory performance in this area. This project requires reporting of specific metric(s) as associated with corresponding outcome(s) listed in **Category 3, Outcome Domain -9, Right Care, Right Setting**<sup>1</sup>. Providers selecting this project option should use process milestone(s) X, improvement milestone(s) Y and the milestone

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46 Category 3 Outcome Measures document

47 <http://www.hhsc.state.tx.us/reports/2012/potentially-preventable-readmissions.pdf>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- development template listed at the conclusion of this project area to describe how the proposed milestones relate to the specific intervention goals.
- g) Project Option: Improved Clinical Outcome for Identified Disparity Group  
Implement an innovative and evidence based intervention that will lead to **improvements** in clinical outcomes for an identified disparity group for providers that have demonstrated need or unsatisfactory performance in this area. This project requires reporting of specific metric(s) as associated with corresponding outcome(s) listed in **Category 3, Outcome Domain -11, Addressing Health Disparities in Minority Population**<sup>48</sup>. Providers selecting this project option should use process milestones X, improvement milestones Y and the milestone development template listed at the conclusion of this project area to describe how the proposed milestones relate to the specific intervention goals.
- h) Project Option: Improved Access to Care  
Implement an innovative and evidence based intervention that will lead to **increase** in access to care for providers that have demonstrated need or unsatisfactory performance in this area. This project requires reporting of specific metric(s) as associated with corresponding outcome(s) listed in **Category 3, Outcome Domain -1, Primary Care and Chronic Disease Management**<sup>3</sup>. Providers selecting this project option should use process milestone(s) X, improvement milestone(s) Y and the milestone development template listed at the conclusion of this project area to describe how the proposed milestones relate to the specific intervention goals.
- i) Project Option: Improvement in Perinatal Health Indicator(s)  
Implement an innovative and evidence based intervention that will lead to **improvements** in perinatal health outcomes for providers that have demonstrated need or unsatisfactory performance in this area. This project requires reporting of specific metric(s) as associated with corresponding outcome(s) listed in **Category 3, Outcome Domain - 8, Perinatal Care Outcomes**<sup>3</sup>. Providers selecting this project option should use process milestones X, improvement milestones Y and the milestone development template listed at the conclusion of this project area to describe how the proposed milestones relate to the specific intervention goals.
- j) Project Option: Improve Clinical Indicator/Functional Status for Target Population  
Implement an innovative and evidence based intervention that will lead to **improvements** in a selected clinical indicator for a targeted population for providers that have demonstrated need or unsatisfactory performance in this area. This project requires reporting of specific metric(s) as associated with corresponding outcome(s) listed in **Category 3, Outcome Domain - 10, Quality of Life/Functional Status**<sup>3</sup>. Providers selecting this project option should use process milestone(s) X, improvement milestone(s) Y and the



## Attachment I Regional Healthcare Partnership (RHP) Planning Protocol

### Category 2

- milestone development template listed at the conclusion of this project area to describe how the proposed milestones relate to the specific intervention goals.
- k) Project Option: Sepsis  
Implement an innovative and evidence based intervention that will lead to **reductions** in Sepsis Complications (mortality, prevalence and incidence) for providers that have demonstrated need or unsatisfactory performance in this area. This project requires reporting of specific metric(s) as associated with corresponding outcome(s) listed in **Category 3, Outcome Domain -3, Potentially Preventable Complications**<sup>49</sup>. Providers selecting this project option should use process milestone(s) X, improvement milestone(s) Y and the milestone development template listed at the conclusion of this project area to describe how the proposed milestones relate to the specific intervention goals.
- l) Project Option: Other  
Implement an innovative and evidence based intervention that will lead to improvements in a health outcome not include elsewhere for providers that have demonstrated need or unsatisfactory performance in this area. This project requires reporting of specific metric(s) as associated with corresponding outcome(s) titled Other Outcome Improvement Target listed in each **Outcome Domain** in **Category 3**. Providers selecting this project option should use process milestones X, improvement milestones Y and the milestone development template listed at the conclusion of this project area to describe how the proposed milestones relate to the specific intervention goals.

### **Rationale:**

Every day, millions of Americans receive high-quality health care that helps to maintain or restore their health and ability to function. However, far too many do not. Quality problems are reflected in a wide variation in the use of health care services, underuse of some services, overuse of other services, and misuse of services, including an unacceptable level of errors. A central goal of health care quality improvement is to maintain what is good about the existing health care system while focusing on the areas that need improvement. Several types of quality problems in health care have been documented through peer-reviewed research.<sup>50</sup>

**Variation in services.** There continues to be a pattern of wide variation in health care practice, including regional variations and small-area variations. This is a clear indicator that health care practice has not kept pace with the evolving science of health care to ensure evidence-based practice in the United States.

**Underuse of services.** Millions of people do not receive necessary care and suffer needless complications that add to costs and reduce productivity. Each year, an estimated 18,000 people die because they do not receive effective interventions.

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<sup>49</sup> Category 3 Outcome Measures document

<sup>50</sup> <http://www.ahrq.gov/news/qualfact.htm>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**Overuse of services.** Each year, millions of Americans receive health care services that are unnecessary, increase costs, and may even endanger their health. Research has shown that this occurs across all populations.

**Misuse of services.** Too many Americans are injured during the course of their treatment, and some die prematurely as a result.

**Disparities in quality.** Although quality problems affect all populations, there may be specific groups identified that have marked differences in quality of care and health outcome. These group may be defined by racial/ethnic differences, income states, geographic area or other social determinants of health.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**2.9 Establish/Expand a Patient Care Navigation Program**

**Project Goal:**

The goal of this project is to utilize community health workers, case managers, or other types of health care professionals as patient navigators to provide enhanced social support and culturally competent care to vulnerable and/or high-risk patients. Patient navigators will help and support these patients to navigate through the continuum of health care services. Patient Navigators will ensure that patients receive coordinated, timely, and site-appropriate health care services.

Navigators may assist in connecting patients to primary care physicians and/or medical home sites, as well as diverting non-urgent care from the Emergency Department to site-appropriate locations. RHPs implementing this project will identify health care workers, case managers/workers or other types of health professionals needed to engage with patients in a culturally and linguistically appropriate manner that will be essential to guiding the patients through integrated health care delivery systems.

A study on Patient Navigation funded by the National Cancer Institute was done in TX and a manual for patient navigation programs directed towards Latino audiences was released following its completion.<sup>51</sup>

**Project Options:**

- a) Provide navigation services to targeted patients who are at high risk of disconnect from institutionalized health care (for example, patients with multiple chronic conditions, cognitive impairments and disabilities, Limited English Proficient patients, recent immigrants, the uninsured, those with low health literacy, frequent visitors to the ED, and others)  
Required core project components:
  - a) Identify frequent ED users and use navigators as part of a preventable ED reduction program. Train health care navigators in cultural competency.
  - b) Deploy innovative health care personnel, such as case managers/workers, community health workers and other types of health professionals as patient navigators.
  - c) Connect patients to primary and preventive care.
  - d) Increase access to care management and/or chronic care management, including education in chronic disease self-management.
  - e) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.

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51 <http://www.redesenaccion.org/sites/www.redesenaccion.org/files/PNmanualfinal.pdf>

## Attachment I Regional Healthcare Partnership (RHP) Planning Protocol

### Category 2

- b) “Other” project option: Implement other evidence-based project to establish/expand a patient care navigation program in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-10 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 2.9 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

#### **Rationale:**

Patient navigators help patients and their families navigate the fragmented maze of doctors’ offices, clinics, hospitals, out-patient centers, payment systems, support organizations and other components of the healthcare system. Services provided by patient navigators vary by program and the needs of the patient, but often include:<sup>52</sup>

- Facilitating communication among patients, family members, survivors and healthcare providers.
- Coordinating care among providers.
- Arranging financial support and assisting with paperwork.
- Arranging transportation and child care.
- Ensuring that appropriate medical records are available at medical appointments.
- Facilitating follow-up appointments.
- Community outreach and building partnership with local agencies and groups.
- Ensuring access to clinical trials.

There is no one common definition of patient navigators and the profile of a patient navigator vary widely by program. Many use trained community health workers who may be full-time employees or volunteers. Community health workers have close ties to the local community and serve as important links between underserved communities and the healthcare system. They also possess the linguistic and cultural skills needed to connect with patients from underserved communities. Community health workers are also known as community health advisors, lay health advocates and promotoras de salud. Healthcare navigators include trained social workers, nurses and nurse practitioners as well as trained lay persons/volunteers. Some navigation programs also use a team based approach that combines community health workers with one or more professionals with experience in healthcare or social work. While there is no set education required for a patient navigator to be successful, a successful navigator should be:

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52 [http://www.altfutures.com/draproject/pdfs/Report\\_07\\_02\\_Patient\\_Navigator\\_Program\\_Overview.pdf](http://www.altfutures.com/draproject/pdfs/Report_07_02_Patient_Navigator_Program_Overview.pdf)

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

#### **Category 2**

- Compassionate, sensitive, culturally attuned to the people and community being served and able to communicate effectively.
- Knowledgeable about the environment and healthcare system.
- Connected with critical decision makers inside the system, especially financial decision makers.

#### **2.10 Use of Palliative Care Programs**

##### **Project Goal:<sup>53</sup>**

Provide palliative care services to improve patient outcomes and quality of life. Palliative medicine represents a different model of care, focusing not on cure at any cost but on relief and prevention of suffering. Here the priority is supporting the best possible quality of life for the patient and family, regardless of prognosis. Ideally, the principles of palliative care can be applied as far upstream as diagnosis, in tandem with cure-directed treatment, although it's still associated in most people's minds with end-of-life care. There is an economic incentive for hospitals to support palliative care -- research shows significant reductions in pharmacy, laboratory, and intensive care costs -- though there's understandable reluctance to tout such benefits. After all, accusations of "death panels" effectively shut out government funding for palliative care as national debates about health care reform took shape.

Palliative care has emerged in the past decade. It takes an interdisciplinary approach – doctors, nurses, social workers and often chaplains – and blends it with curative care for seriously ill people. While palliative care is for people who are very sick, they don't have to have a six-month life expectancy. Some palliative care programs operate in hospitals; others treat people living at home. Growing numbers of community-based hospices also have palliative care services now. Pediatric palliative care is not available everywhere, although it's becoming more common at the major children's hospitals. In addition, hospices nationwide, which traditionally were often unwilling to treat dying children, have also become more open to pediatric care. The new health reform law allows dying children on Medicaid or the state Children's Health Insurance Program to get hospice or palliative care without halting other treatment<sup>54</sup>.

Health care reform has the potential to improve palliative care by implementing care coordination (in hospitals and community) evidence-based programs that are already proven to be working. Within palliative care, patients receive dignified and culturally appropriate end-of-life care, which is provided for patients with terminal illnesses in a manner that prioritizes pain control, social and spiritual care, and patient/family preferences

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<sup>53</sup> The Center to Advance Palliative Care (CAPC) [www.capc.org/reportcard](http://www.capc.org/reportcard)

<sup>54</sup> <http://www.kaiserhealthnews.org/>

<sup>55</sup> Cost savings associated with US hospital palliative care consultation programs.

Morrison RS, Penrod JD, Cassel JB, Caust-Ellenbogen M, Litke A, Spragens L, Meier DE; Palliative Care Leadership Centers' Outcomes Group. Arch Intern Med. 2008 Sep 8; 168(16):1783-90.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**Project Options:**

- a) Implement a Palliative Care Program to address patients with end-of-life decisions and care needs  
Required core project components:
  - a) Develop a business case for palliative care and conduct planning activities necessary as a precursor to implementing a palliative care program
  - b) Transition palliative care patients from acute hospital care into home care, hospice or a skilled nursing facility
  - c) Implement a patient/family experience survey regarding the quality of care, pain and symptom management, and degree of patient/family centeredness in care and improve scores over time
  - d) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- b) “Other” project option: Implement other evidence-based project to implement use of palliative care programs in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-14 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 2.10 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Rationale:**

While end-of-life care was once associated almost exclusively with terminal cancer, today people receive end-of-life care for a number of other conditions, such as congestive heart failure, other circulatory conditions, COPD, and dementia<sup>56</sup>. Further, some experts have suggested that palliative and hospice care could be more widely embraced for many dying patients. However, these experts say that overly rigid quality standards and poorly aligned reimbursement incentives discourage appropriate end-of-life care and foster incentives to provide inappropriate restorative

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

care and technologically intensive treatments. These experts note that hospitals, nursing homes, and home health agencies need stronger incentives to provide better access to palliative care and care coordination either directly, themselves, or by contract with outside suppliers of hospice services<sup>57</sup>. It seems clear that improving care coordination near the end of life can improve care for patients with chronic conditions, however, in addition to the elderly with multiple chronic conditions and terminal illnesses, palliative care should also allow children who are enrolled in either Medicaid or CHIP to receive hospice services without foregoing curative treatment related to a terminal illness.

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57 Zerzan, Stearns, & Hanson, 2000; Hanley, 2004

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

## **2.11 Conduct Medication Management**

### **Project Goal:**

The goal of conducting Medication Management is to provide information that facilitates the appropriate use of medications in order to control illness and promote health<sup>58</sup>. Medication management is the monitoring of medications a patient takes to confirm that the patient is complying with a medication regimen, while also ensuring the patient is avoiding potentially dangerous drug interactions and other complications. This is especially important for patients taking large numbers of medications to address chronic illnesses and multiple diseases. Taking numerous medications is known as polypharmacy and it is particularly common among older adults, as they are more likely to need medications to manage an array of chronic conditions.

There are a number of aspects to medication management, all of which are focused on making sure that medications are used appropriately. Keeping track of all of the medications currently in use by a patient is an important part of medication management. This can include creating printed lists describing medications, their dosages, and how they are being used. These lists can be kept in patient charts and provided to patients to help them track the drugs they use and understand why various medications are being prescribed.

Monitoring medication administration is also key. Medications usually need to be taken in specific doses at set intervals. Missing doses or timing doses incorrectly can cause complications. Medication management can include everything from using devices that issue reminders to patients to take their medications to filling pill cases for patients and marking the lid of each compartment to indicate when the contents need to be taken<sup>59</sup>.

The specific purpose of this project area is to provide the platform to conduct Medication Management so that patients receive the right medications at the right time across the Performing Provider in order to reduce medication errors and adverse effects from medication use.

### **Project Options:**

- a) Implement interventions that put in place the teams, technology, and processes to avoid medication errors  
Required core project components:
  - a) Develop criteria and identify targeted patient populations; e.g. chronic disease patient populations that are at high risk for developing complications, co-morbidities, and/or utilizing acute and emergency care services.
  - b) Develop tools to provide education and support to those patients at highest risk of an adverse drug event or medication error.
  - c) Conduct root cause analysis of potential medication errors or adverse drug events and develop/implement processes to address those causes

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<sup>58</sup> The Patient-Centered Medical Home: Integrating Comprehensive Medication Management to Optimize Patient Outcomes. 2nd ed, 2012.

<sup>59</sup> <http://www.wisegeek.com/>



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- d) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- b) Evidence-based interventions that put in place the teams, technology and processes to avoid medication errors. This project option could include one or more of the following components:
  - a) Implement a medication management program that serves the patient across the continuum of care targeting one or more chronic disease patient populations
  - b) Implement Computerized Physician Order Entry (CPOE)
  - c) Implement pharmacist-led chronic disease medication management services in collaboration with primary care and other health care providers.
- c) “Other” project option: Implement other evidence-based project to conduct medication management in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-20 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 2.11 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Rationale:**

More than 3.5 billion prescriptions are written annually in the United States<sup>60</sup>, and four out of five patients who visit a physician leave with at least one prescription<sup>61</sup>. Medications are involved in 80 percent of all treatments and impact every aspect of a patient’s life. The two most commonly identified drug therapy problems in patients receiving comprehensive medication management services are: (1) the patient requires additional drug therapy for prevention, synergistic, or palliative care; and (2) the drug dosages need to be titrated to achieve therapeutic

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60 Sommers JP. Prescription drug expenditures in the 10 largest states for persons under age 65, 2005-2008. Agency for Healthcare Research and Quality. Available at: [http://meps.ahrq.gov/mepsweb/data\\_files/publications/st196/stat196.pdf](http://meps.ahrq.gov/mepsweb/data_files/publications/st196/stat196.pdf).

61 The chain pharmacy industry profile. National Association of Chain Drug Stores. 2001.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

levels that reach the intended therapy goals<sup>62</sup>. According to the World Health Organization, adherence to therapy for chronic diseases in developed countries averages 50 percent, and the major consequences of poor adherence to therapies are poor health outcomes and increased health care costs<sup>63</sup>. Drug therapy problems occur every day and add substantial costs to the health care system. Drug-related morbidity and mortality costs exceed \$200 billion annually in the U.S., exceeding the amount spent on the medications themselves<sup>64</sup>. The Institute of Medicine noted that while only 10 percent of total health care costs are spent on medications, their ability to control disease and impact overall cost, morbidity, and productivity—when appropriately used—is enormous<sup>65</sup>.

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62 Cipolle R, Strand L, Morley P. Pharmaceutical care practice: The clinician's guide. McGraw-Hill; 2004.

63 World Health Organization. Adherence to long-term therapies: Evidence for action. 2003. Available at: <http://whqlibdoc.who.int/publications/2003/9241545992.pdf>.

64 Johnson J, Bootman JL. Drug-related morbidity and mortality. Arch Intern Med. 1995; 155(18):1949-1956; Johnson JA, Bootman JL. Drug-related morbidity and mortality. Am J Health Syst Pharm. 1997; 54(5):554-558; Ernst, FR, Grizzle AJ. Drug-related morbidity and mortality: Updating the cost-of-illness model. J Am Pharm Assoc. 2001; 41(2):192-199.

65 Centers for Medicare & Medicaid Services. National Health Expenditures. January 2008.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

## **2.12 Implement/Expand Care Transitions Programs**

### **Project Goal:**

The goal of this project is to implement improvements in care transitions and coordination of care from inpatient to outpatient, post-acute care, and home care settings in order to prevent increased health care costs and hospital readmissions. Care transitions refer to the movement of patients from one health care provider or setting to another. For people with serious and complex illnesses, transitions in setting of care—for example from hospital to home or nursing home, or from facility to home- and community-based services—have been shown to be prone to errors.<sup>66</sup> Safe, effective, and efficient care transitions and reduced risk of potentially preventable readmissions require cooperation among providers of medical services, social services, and support services in the community and in long-term care facilities. High-risk patients often have multiple chronic diseases. The implementation of effective care transitions requires practitioners to learn and develop effective ways to successfully manage one disease in order to effectively manage the complexity of multiple diseases.<sup>67</sup> The discontinuity of care during transitions typically results in patients with serious conditions, such as heart failure, chronic obstructive pulmonary disease, and pneumonia, falling through the cracks, which may lead to otherwise preventable hospital readmission.<sup>68</sup> The goal is to ensure that the hospital discharges are accomplished appropriately and that care transitions occur effectively and safely.

### **Project Options:**

- a) Develop, implement, and evaluate standardized clinical protocols and evidence-based care delivery model to improve care transitions  
Required core project components:
  - a) Review best practices from a range of models (e.g. RED, BOOST, STAAR, INTERACT, Coleman, Naylor, GRACE, BRIDGE, etc.).
  - b) Conduct an analysis of the key drivers of 30-day hospital readmissions using a chart review tool (e.g. the Institute for Healthcare Improvement's (IHI) State Action on Avoidable Re-hospitalizations (STAAR) tool) and patient interviews.
  - c) Integrate information systems so that continuity of care for patients is enabled
  - d) Develop a system to identify patients being discharged potentially at risk of needing acute care services within 30-60 days
  - e) Implement discharge planning program and post discharge support program

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66 Coleman EA. "Falling Through the Cracks: Challenges and Opportunities for Improving Transitional Care for Persons with Continuous Complex Care Needs." *Journal of the American Geriatrics Society* (2003) 51:549-555

67 Rittenhouse D, Shortell S, et al. "Improving Chronic Illness Care: Findings from a National Study of Care Management Processes in Large Physician Practices." *Medical Care Research and Review Journal* (2010) 67(3): 301-320

68 Coleman, E., Parry, C., et. al. "The Care Transitions Intervention: a patient centered approach to ensuring effective transfers between sites of geriatric care." *Home Health Care Serv Q* (2003) 22 (3): 1-17

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- f) Develop a cross-continuum team comprised of clinical and administrative representatives from acute care, skilled nursing, ambulatory care, health centers, and home care providers.
  - g) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- b) Implement one or more pilot intervention(s) in care transitions targeting one or more patient care units or a defined patient population. Examples of interventions include, but are not limited to, implementation of:
- Discharge checklists
  - “Hand off” communication plans with receiving providers
  - Wellness initiatives targeting high-risk patients
  - Patient and family education initiatives including patient self-management skills and “teach-back”
  - Post-discharge medication planning
  - Early follow-up such as homecare visits, primary care outreach, and/or patient call-backs.
- c) “Other” project option: Implement other evidence-based project to implement/expand care transitions program in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project. Milestone I-15 includes suggestions for improvement metrics to use with this innovative project option.

Note: All of the project options in project area 2.12 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Note:** Providers selecting one of these project options should ensure that overlaps do not exist with the EHR Incentive Program or other available demonstration funding.

**Rationale<sup>69</sup>:**

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69 <http://www.ihl.org/offerings/Training/ReduceReadmissions/July2011ReducingReadmissions/Pages/default.aspx>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

When a patient's transition is less than optimal, the repercussions can be far-reaching — hospital readmission, an adverse medical event, and even mortality. Without sufficient information and an understanding of their diagnoses, medication, and self-care needs, patients cannot fully participate in their care during and after hospital stays. Additionally, poorly designed discharge processes create unnecessary stress for medical staff causing failed communications, rework, and frustrations. A comprehensive and reliable discharge plan, along with post-discharge support, can reduce readmission rates, improve health outcomes, and ensure quality transitions. Patient transition is a multidimensional concept and may include transfer from the hospital to home, or nursing home, or from facility to home- and community-based services, etc.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**CATEGORY 2 BEHAVIORAL HEALTH INFRASTRUCTURE PROJECTS**

**GOAL: Integrate behavioral health with physical health and other evidence-based services and supports.**

The goals of the projects under this heading are to create service delivery models, which engage / integrate behavioral, physical and other community-based services and supports to provide services to individuals with a broad range of behavioral health conditions in the most appropriate community-based settings and to empower the individual to better manage their health / wellness.

According to a recent study released by the Robert Wood Johnson Foundation, only 33% of patients with BH conditions (24% of the adult population) receive adequate treatment.<sup>70</sup> Patients with BH issues experience higher risk of mortality and poor health outcomes, largely due to a lack of preventive health services and poorly controlled co-morbid medical disease. Risk increases with the severity of the behavioral health diagnoses. In Texas for example, persons with severe mental illness live over 29 years less, on average, than the general population.<sup>71</sup> Behavioral health conditions, also account for increased health care expenditures such as higher rates of potentially preventable inpatient admissions. Texas Medicaid data on potentially preventable inpatient readmissions demonstrates that behavioral health conditions are a significant driver of inpatient costs. Mental health and substance abuse conditions comprise 8 percent of initial inpatient readmissions to general acute and specialty inpatient hospitals but represent 24 percent of potentially preventable admissions.<sup>72</sup>

Complex medical and social issues including multiple chronic health conditions, low income, housing insecurity, social isolation, and lack of natural supports systems severely impact health and social functioning for persons with more severe behavioral health diagnoses such as schizophrenia, bipolar disorder and major depressive disorder. Substance use disorders, alone or in combination with mental health conditions, have significant physical consequences, leading to disability and increased acute and long term service expenditures.

Gaps in the service delivery system have far reaching costs and consequences. For example, the Texas state psychiatric hospital system is in crisis -- nearing or already over capacity, in large part due to gaps in the continuum of services and supports for individuals with more complex chronic mental health conditions. These individuals require a stable, supportive housing,

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70 Druss BG, Reisinger Walker E., "Mental Disorders and Medical Co-Morbidity." Robert Wood Johnson Foundation, The Synthesis Project: Issue 21 (2011).

71 Parks, J, Svendsen, D, et. al. "Morbidity and Mortality in People with Serious Mental Illness", National Association of State Mental Health Program Directors, 2006.

72 Potentially Preventable Readmissions in the Texas Medicaid Population, Fiscal Year 2010, Texas Health and Human Services Commission (2012)

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

#### **Category 2**

integrated with community-based clinical and psychosocial services to prevent continual cycling through the street, to emergency room, jail and inpatient hospital.<sup>73</sup>

Providing adequate health care to people with behavioral health conditions requires a comprehensive, person-centered approach within an integrated, “no wrong door” access, and delivery system. The system should include early and accurate assessment. It should facilitate access to acute and long term services as well as short term, community-based alternatives for stabilizing individuals in a behavioral health crisis; discharge planning to transition the individual back to the community from the inpatient setting; and post-discharge support services.

Evidence-based and evidence-informed strategies exist which can facilitate person-centered care for people with behavioral health conditions.

These approaches include:

- organizational realignment and process improvements to better integrate behavioral and physical health care and ensure that there is “no wrong door” to accessing needed treatment;
- self-management and wellness programs which empower individuals to better manage their chronic physical and behavioral health conditions; and
- specialized services and supports directed at high need / high cost populations which integrate clinical and other interventions to address the complex needs of persons with more severe illnesses and social challenges.

#### ***Integration: Organizational Realignment and Process Improvement***

Health care systems which successfully integrate behavioral health and primary care services demonstrate improved care, cost savings, increased provider and consumer satisfaction.<sup>74</sup> This is especially important for medically indigent populations, which have co-occurring chronic health and mental health conditions. Treatments for individuals who present with mental health and/or substance abuse concerns are integrated with physical health via person-centered approaches.

The Four Quadrant Clinical Integration Model provides a promising, person-centered conceptual framework for organizational realignment.

Each quadrant considers the behavioral health and physical health risk and complexity of the population and suggests the major system elements that would be utilized to meet the needs of the individuals within that subset of the population. The Four Quadrant model is not intended to be prescriptive about what happens in each quadrant, but to serve as a conceptual framework for collaborative planning in each local system. Ideally it would be used as a part of collaborative planning for each new HRSA BH site, with the CHC and the local provider(s) of public BH

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**73 Continuity of Care Task Force Final Report, DSHS, (2010)**

74 Integrating Publicly Funded Physical and Behavioral Health Services: A Description of Selected Initiatives, Health Management Associates (2007).

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

#### **Category 2**

services using the framework to decide who will do what and how coordination for each person served will be assured.

The use of the Four Quadrant Model to consider subsets of the population, the major system elements and clinical roles would result in the following broad approaches:

- Quadrant I: Low BH-low physical health complexity/risk, served in primary care with BH staff on site; very low/low individuals served by the PCP, with the BH staff serving those with slightly elevated health or BH risk.
- Quadrant II: High BH-low physical health complexity/risk, served in a specialty BH system that coordinates with the PCP.
- Quadrant III: Low BH-high physical health complexity/risk, served in the primary care/medical specialty system with BH staff on site in primary or medical specialty care, coordinating with all medical care providers including disease managers.
- Quadrant IV: High BH-high physical health complexity/risk, served in both the specialty BH and primary care/medical specialty systems; in addition to the BH case manager, there may be a disease manager, in which case the two managers work at a high level of coordination with one another and other members of the team.

Other integration models include the IMPACT Model<sup>75</sup> and Wagner's Chronic Care Model.

Process improvements, such as adoption of evidence-based clinical practice guidelines for detection and treatment of depression and other conditions and for assessment of suicide risk can improve outcomes in both primary and specialty behavioral clinical settings. For example, one effective evidence-based strategy that has been shown to improve outcomes for depression, the most prevalent BH disorder, is the DIAMOND/IMPACT model of care. Key elements of such care models are screening for high prevalence mental health conditions, co-location of BH clinicians into primary care settings, collaborative meetings held by primary care and BH team members to discuss cases, training of primary care and BH staff on effective screening and collaborative care, the presence of tracking systems and registries to support effective monitoring of patients, the "Stepped Care" approach for appropriate level of treatment, care management for the highest risk patients with mental health and substance abuse disorders, and relapse prevention, among others.<sup>76</sup> Other examples of evidence-base practices include Screening, Brief Intervention and Referral to Treatment (SBIRT) for substance use disorders. SBIRT employs a brief assessment, performed by physical health providers in settings such as hospital emergency rooms and clinics to determine the presence of substance use issues, intervene and refer the individual to appropriate treatment. Independent evaluation of Texas SBIRT study

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<sup>75</sup> Excerpted from the IMPACT website at the University of Washington at <http://impact-uw.org/about/key.html>.

<sup>76</sup> Katon W., MD. "The Diamond Model." (based on Katon's Collaborative Care Model for depression) and Unutzer J., MD. "IMPACT Study." (as well as numerous other controlled trials). Institute for Clinical Systems Improvement and Minnesota Family Health Services. Presentation to the Institute for HealthCare Improvement Annual Forum, Dec. 2010.



## Attachment I Regional Healthcare Partnership (RHP) Planning Protocol

### Category 2

determined that it resulted in significant inpatient / emergency department savings and increased appropriate use of services in the state's largest public hospital district.<sup>77</sup>

#### Self-Management and Wellness Programs

Successfully engaging the individual consumer in disease self-management and wellness activities related to chronic physical and behavioral health conditions empowers person-centered recovery and improved health outcomes. The Chronic Disease Self-Management Program developed at Stanford University to help people manage physical conditions such as diabetes and chronic pain, and Wellness Recovery Action Planning (WRAP) which is directed toward managing severe mental illness<sup>78</sup>, are two prominent examples of evidenced-based, self-management models. Giving the individual consumer control over health resources is another complementary promising practice.

Health navigation and individual health planning are related practices. The Texas and Minnesota Demonstrations to Maintain Independence and Employment (DMIE) studies which focused on medically indigent adults with behavioral health disorders, used health care navigation to achieve positive results in health care utilization and wellness measures.<sup>79</sup> In Texas DMIE, health navigation and support from case managers trained in Motivational Interviewing resulted in increased access to and use of appropriate health services, including: more use of preventative care; more outpatient, more mental health and dental visits; greater adherence and persistence in taking prescribed medications for chronic conditions such as hypertension, respiratory conditions, diabetes, high cholesterol; more medical stability for chronic conditions and greater satisfaction with healthcare.<sup>80</sup>

Self-directed resource use models empower the individual to purchase goods and services to promote wellness and recovery. There is an evidence base for these models. For example, adults with severe mental illness and co-occurring physical disabilities in the Arkansas Cash and Counseling program were less likely to fall, have respiratory infections, develop bed sores, or spend a night in hospital or a nursing home if they had access to individual budgets than if they did not<sup>81</sup>. Similarly, an evaluation of the New Jersey Cash and Counseling program found that it was equally successful for participants with SMI as those with other types of disabilities<sup>82</sup>.

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77 Insight Project Research Group (2009). SBIRT outcomes in Houston: Final report on InSight, a hospital district-based program for patients at risk for alcohol or drug use problems. *Alcoholism: Clinical and Experimental Research*, 33(8): 1-8.

78 Copeland, M.E. "Wellness recovery action plan: a system for monitoring, reducing and eliminating uncomfortable or dangerous physical symptoms and emotional feelings." *Occupational Therapy in Mental Health*. 17, 127-150 (2002).

79 Ozaki, R., Schneider, J., Hall, J., Moore, J., Linkins, K., Brya, J., Oelschlaeger, A., Bohman, T., Christensen, K., Wallisch, L., Stoner, D., Reed, B., Ostermeyer, B. (2011). Personal navigation, life coaching, and case management: Approaches for enhancing health and employment support services. *Journal of Vocational Rehabilitation*, (34)2, 83-95.

80 Bohman, T., Wallisch, L., Christensen, K., Stoner, D., Pittman, A., Reed, B., Ostermeyer, B. (2011). Working Well – The Texas Demonstration to Maintain Independence and Employment: 18-month outcomes. *Journal of Vocational Rehabilitation*, (34)2, 97-106.

81 Shen, C., Smyer, M.A., Mahoney, K.J., Loughlin, D.M. et al., (2008). Does Mental Illness Affect Consumer Direction of Community-Based Care? Lessons From the Arkansas Cash and Counseling Program. *The Gerontologist*, 48(1), 93-104.

82 Shen, C., Smyer, M., Mahoney, K.J., Simon-Rusinowitz, L. et al., (2008). Consumer-Directed Care for Beneficiaries With Mental Illness: Lessons From New Jersey's Cash and Counseling Program. *Psychiatric Services*, 59, 1299-1306.

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

#### **Category 2**

In the Texas Self-Directed Care study (SDC), individuals with severe mental illness are empowered to manage a flexible fund to purchase goods and services with assistance from an advisor. Consumers have broad latitude for making substitutions of traditional services and supports within a typical maximum budget of \$4,000 / year. Experience during the first year of the SDC indicates that individuals in the intervention group are making significant gains in recovery, wellness and employment relative to the control group.

#### **Specialized Services and Supports for High Need Sub-Populations**

The Texas Continuity of Care Task Force<sup>83</sup> analyzed needs and recommendations for improving services to severely mentally ill individuals who move repeatedly through multiple systems, such as criminal justice, general acute inpatient and mental health. Among the recommendations was the development of:

- supported housing,
- assisted living,
- smaller, community-based living options, and
- services, such as cognitive rehabilitative modalities, to address the individual's limitations in organizing, planning and completing activities.

Services could be provided in a variety of settings, including individual homes, apartments, adult foster homes, assisted living facilities, and small group (three- to four-bed) community-supported residential settings. Examples of services could include cognitive and psychosocial rehabilitation; supported employment; transition assistance to establish a residence; peer support; specialized therapies; medical services, transportation medications and personal assistance.

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<sup>83</sup>See Continuity of Care Task Force Report at: <http://www.dshs.state.tx.us/mhsa/continuityofcare/>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**2.13 Provide an intervention for a targeted behavioral health population to prevent unnecessary use of services in a specified setting (i.e., the criminal justice system, ER, urgent care etc.).**

**Project Goal:**

Provide specialized services to complex behavioral health populations such as people with severe mental illnesses and/or a combination of behavioral health and physical health issues. These populations often have multiple concomitant issues such as substance use, traumatic injuries, homelessness, cognitive challenges, and lack of daily living skills and lack of natural supports. The State's mental health system provides rehabilitative services and pharmacotherapy to people with certain severe psychiatric diagnoses and functional limitations, but can serve only a fraction of the medically indigent population. It does not serve other high risk behavioral health populations and does not provide the range of services needed to deal with complex psychiatric and physical needs. These complex populations become frequent users of local public health systems.

The goal of this project is to avert outcomes such as potentially avoidable inpatient admission and readmissions in settings including general acute and specialty (psychiatric) hospitals; to avert disruptive and deleterious events such as criminal justice system involvement; to promote wellness and adherence to medication and other treatments; and to promote recovery in the community. This can be done by providing community based interventions for individuals to prevent them from cycling through multiple systems, such as the criminal justice system; the general acute and specialty psychiatric inpatient system; and the mental health system. Examples of interventions could include integrated medical and non-medical supports such as transition services to help individuals establish a stable living environment, peer support, specialized therapies, medical services, personal assistance, and short or long term residential options.

Residential options linked to a range of support services can effectively improve health outcomes for vulnerable individuals, such as the long-term homeless with severe mental illness. One such model in Colorado demonstrated a drastic 80 percent decrease in overnight hospital stays and a 76 percent decrease in nights in jail (Wortzel, 2007). Research indicates that among residents of permanent supportive housing:

- Rates of arrest and days incarcerated are reduced by 50%;
- Emergency room visits decrease by 57%;
- Emergency detoxification services decrease by 85%; and
- Nursing home utilization decreased by 50%.<sup>84</sup>

**Project Options:**

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<sup>84</sup> Lewis, D., Corporation for Supportive Housing, Permanent Supportive Housing Program & Financial Model for Austin/Travis County, TX, 2010. Retrieved from <http://www.caction.org/homeless/documents/AustinModelPresentation.pdf>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- a) Design, implement, and evaluate research-supported and evidence-based interventions tailored towards individuals in the target population.  
Required core components:
- a) Assess size, characteristics and needs of target population(s) (e.g., people with severe mental illness and other factors leading to extended or repeated psychiatric inpatient stays. Factors could include chronic physical health conditions; chronic or intermittent homelessness, cognitive issues resulting from severe mental illness and/or forensic involvement.
  - b) Review literature / experience with populations similar to target population to determine community-based interventions that are effective in averting negative outcomes such as repeated or extended inpatient psychiatric hospitalization, decreased mental and physical functional status, nursing facility admission, forensic encounters and in promoting correspondingly positive health and social outcomes / quality of life.
  - c) Develop project evaluation plan using qualitative and quantitative metrics to determine outcomes.
  - d) Design models which include an appropriate range of community-based services and residential supports.
  - e) Assess the impact of interventions based on standardized quantitative measures and qualitative analysis relevant to the target population. Examples of data sources include: standardized assessments of functional, mental and health status (such as the ANSA and SF 36); medical, prescription drug and claims/encounter records; participant surveys; provider surveys. Identify “lessons learned,” opportunities to scale all or part of the intervention(s) to a broader patient populations, and identify key challenges associated with expansion of the intervention(s), including special considerations for safety-net populations.
- b) “Other” project option: Implement other evidence-based project to provide an intervention for a targeted behavioral health population to prevent unnecessary use of services in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

Note: All of the project options in project area 2.13 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

#### **Category 2**

population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

Note: Community-based interventions should be comprehensive and multispecialty. They should incorporate two or more components, such as those listed below depending on the needs of the target populations being served. These interventions should have significant flexibility to add more components if they are appropriate to meet the needs of the target population. Community-based components may include (but are not limited to):

- Residential Assistance (Foster/Companion Care, Supervised Living, Residential Support Services)
- Assisted living;
- Cognitive Adaptation Training (CAT) – an evidence-based service that uses tools and motivational techniques to establish and refine daily living skills;
- Psychosocial Rehabilitation;
- Supported employment;
- Minor home modifications;
- Home delivered meals;
- Transition assistance – assistance to establish a basic household, including security deposits, essential furnishings, moving expenses, bed and bath linens;
- Adaptive aids (e.g., medication-adherence equipment, communication equipment, etc.);
- Transportation to appointments and community-based activities;
- Specialized behavioral therapies:
  - Cognitive Behavioral Therapy – An empirically supported treatment that focuses on maladaptive patterns of thinking and the beliefs that underlie such thinking; and
  - Dialectical Behavior Therapy – A manualized treatment program (derived from cognitive behavioral therapy) that provides support in managing chronic crisis and stress to keep individuals in outpatient treatment settings;
- Prescription medications;
- Peer support – A service that models successful health and mental health behaviors. It is provided by certified peer specialists who are in recovery from mental illness and/or substance use disorders and are supervised by mental health professionals;
- Respite care (short term);
- Substance abuse services (specialized for individuals who have experienced prolonged or repeated institutionalization);
- Visiting Nursing and / or community health worker services;
- Employment supports

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- Nutritional counseling
- Occupational therapy; Speech and language therapy; and Physical therapy.

Components must be articulated into a system which uses a CQI design such as the CMS Quality Framework for HCBS services. (Anita Yuskas, 2010) and/or be informed by guidance such as the SAMHSA evidence-based toolkit for permanent supported housing (<http://store.samhsa.gov/product/Permanent-Supportive-Housing-Evidence-Based-Practices-EBP-KIT/SMA10-4510>) or other evidence-based system

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**2.14 Implement person-centered wellness self-management strategies and self directed financing models that empower consumers to take charge of their own health care.**

**Project Goal:**

Create wellness, self-management programs that employ research supported interventions singly or in combination to help individuals manage their chronic physical and behavioral health conditions. Examples of research-supported individual wellness self management strategies include Wellness Recovery Action Planning (WRAP), the Chronic Disease Self Management Program; Motivational Interviewing; client-managed wellness accounts; and health navigation / individual health planning models to empower the individual to achieve their health goals. These interventions should be closely coordinated with the patient's medical home.

Successfully engaging the individual consumer in disease self management and wellness activities related to chronic physical and behavioral health conditions empowers person-centered recovery and improved health outcomes. The Chronic Disease Self Management Program, developed at Stanford University to help people manage physical conditions such as diabetes and chronic pain, and Wellness Recovery Action Planning (WRAP) which is directed toward managing severe mental illness<sup>85</sup>, are two prominent examples of evidenced-based, self-management models. Giving the individual consumer control over health resources is another complementary promising practice.

Health navigation and individual health planning are related practices. The Texas and Minnesota Demonstrations to Maintain Independence and Employment (DMIE), which focused on medically indigent adults with behavioral health disorders, used health care navigation to achieve positive results in health care utilization and wellness measures.<sup>86</sup> In Texas DMIE, health navigation and support from case managers trained in Motivational Interviewing resulted in increased access to and use of appropriate health services, including: more use of preventative care; more outpatient, more mental health and dental visits; greater adherence and persistence in taking prescribed medications for chronic conditions such as hypertension, respiratory conditions, diabetes, high cholesterol; more medical stability for chronic conditions and greater satisfaction with healthcare.<sup>87</sup>

Self directed resource use models empower the individual to purchase goods and services to promote wellness and recovery. There is an evidence base for these models. For example, adults with severe mental illness and co-occurring physical disabilities in the Arkansas Cash and Counseling program were less likely to fall, have respiratory infections, develop bed sores, or spend a night in hospital or a nursing home if they had access to individual budgets than if they

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85 Copeland, M.E. "Wellness recovery action plan: a system for monitoring, reducing and eliminating uncomfortable or dangerous physical symptoms and emotional feelings." *Occupational Therapy in Mental Health*. 17, 127–150 (2002).

86 Ozaki, R., Schneider, J., Hall, J., Moore, J., Linkins, K., Brya, J., Oelschlaeger, A., Bohman, T., Christensen, K., Wallisch, L., Stoner, D., Reed, B., Ostermeyer, B. (2011). Personal navigation, life coaching, and case management: Approaches for enhancing health and employment support services. *Journal of Vocational Rehabilitation*, (34)2, 83-95.

87 Bohman, T., Wallisch, L., Christensen, K., Stoner, D., Pittman, A., Reed, B., Ostermeyer, B. (2011). Working Well – The Texas Demonstration to Maintain Independence and Employment: 18-month outcomes. *Journal of Vocational Rehabilitation*, (34)2, 97-106.

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

#### **Category 2**

did not<sup>88</sup>. Similarly, an evaluation of the New Jersey Cash and Counseling program found that it was equally successful for participants with SMI as those with other types of disabilities<sup>89</sup>.

In the Texas Self-Directed Care study (SDC), individuals with severe mental illness are empowered to manage a flexible fund to purchase goods and services with assistance from an advisor. Consumers have broad latitude for making substitutions of traditional services and supports within a typical maximum budget of \$4,000 / year. Experience during the first year of the SDC indicates that individuals in the intervention group are making significant gains in recovery, wellness and employment relative to the control group.

#### **Project Options:**

- a) Establish interventions to promote person-centered wellness self-management strategies and train staff / contractors to empower consumers to take charge of their own health care.  
Required core project components:
  - a) Develop screening process for project inclusion
  - b) Identify population for intervention using claims and encounter data, clinical records, or referrals from providers.
  - c) Recruit eligible individuals based on administrative and diagnostic data
  - d) Establish interventions and train staff / contractors
  - e) Hire staff (including the following minimum qualifications):
    - Wellness and Health Navigation: Bachelors level professional with experience in mental health and/or wellness initiatives or a peer specialist who has successfully completed the DSHS certification program for peer specialists
    - WRAP Facilitator: an individual trained and credentialed as a WRAP facilitator using the WARP model developed by Mary Ellen Copeland (See: <http://www.mentalhealthrecovery.com/wrap/>).
  - f) Train staff in motivational interviewing and person-centered planning
  - g) Assess project outcomes. Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.

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88 Shen, C., Smyer, M.A., Mahoney, K.J., Loughlin, D.M. et al., (2008). Does Mental Illness Affect Consumer Direction of Community-Based Care? Lessons From the Arkansas Cash and Counseling Program. *The Gerontologist*, 48(1), 93-104.

89 Shen, C., Smyer, M., Mahoney, K.J., Simon-Rusinowitz, L. et al., (2008). Consumer-Directed Care for Beneficiaries With Mental Illness: Lessons From New Jersey's Cash and Counseling Program. *Psychiatric Services*, 59, 1299-1306.



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- b) Implement self-directing financing models including wellness accounts. Note: If selected, this must be implemented as part of a person-centered wellness project as described in 2.14.1.  
Required core project components:
  - a) Establish wellness account funding mechanisms.
  - b) Establish policies and procedures for program operations.
  - c) Establish accountability systems to track outcomes and expenditures.
  - d) Implement interventions.
  - e) Assess project outcomes.
- c) “Other” project option: Implement other evidence-based project to implement person-centered wellness self-management strategies and self-directed financing models that empower consumers to take charge of their own health care in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

Note: All of the project options in project area 2.14 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**2.15 Integrate Primary and Behavioral Health Care Services**

**Project Goal**

Integrate primary care and behavioral health care services in order to improve care and access to needed services.

The concept of a medical home that can address the needs of the whole person is increasingly recognized as a key in improving both access to care, continuity of care, improved outcomes. The importance of simultaneously addressing the physical health needs and the behavioral health needs of individuals has become recognized over the past three decades.

A recent study of adults discharged from psychiatric hospitals found 20% with chronic and serious conditions such as HIV infection, brain trauma, cerebral palsy and heart disease. As many as 75% of individuals with schizophrenia have been found to have high rates of serious physical illnesses, such as diabetes, respiratory, heart and/or bowel problems and high blood pressure. High rates were also seen for vision (93%), hearing (78%), and dental (60%) problems ... the effects of atypical antipsychotic medications, which exacerbate this predisposition, individuals with schizophrenia have especially high rates of diabetes. Cardiovascular diseases are also very prevalent among people with mental illnesses. Again, psychiatric medications exacerbate the problem because they are associated with obesity and high triglyceride levels, known risk factors for cardiovascular disease. Adults with serious mental illnesses are known to have poor nutrition, high rates of smoking and a sedentary lifestyle—all factors that place them at greater risk for serious physical disorders, including diabetes, cardiovascular disease, stroke, arthritis and certain types of cancers. Despite such extensive medical needs, adults with serious mental illnesses often do not receive treatment... Among people with schizophrenia, fewer than 70% of those with co-occurring physical problems were currently receiving treatment for 10 of 12 physical health conditions studied.<sup>90</sup>

Medical Homes and similar collaborative care approaches have been determined to be beneficial in the treatment of mental illness in a variety of controlled studies.<sup>91</sup>

Behavioral health problems are often cyclical in nature meaning that over a course of months or years a person may experience periods of time when symptoms are well controlled (or in remission) while at other times symptoms can range from moderate to severe. The concept of a Medical home where physical and behavioral health care is integrated and provides supports for individuals who are in any quadrant of the National Council for Community Behavioral Health (NCCBH) Four Quadrant Clinical Integration Model at a given time.

The use of the Four Quadrant Model to consider subsets of the population, the major system elements and clinical roles would result in the following broad approaches:

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90 Bazelon Center for Mental Health Law (2004), GET IT TOGETHER How to Integrate Physical and Mental Health Care for People with Serious Mental Disorders

91 Thielke, S., Vannoy, S. & Unützer, J. (2007). Integrating mental health and primary care. Primary Care: Clinics in Office Practice, 34

## Attachment I Regional Healthcare Partnership (RHP) Planning Protocol

### Category 2

- Quadrant I: Low BH-low physical health complexity/risk, served in primary care with BH staff on site; very low/low individuals served by the PCP, with the BH staff serving those with slightly elevated health or BH risk.
- Quadrant II: High BH-low physical health complexity/risk, served in a specialty BH system that coordinates with the PCP.
- Quadrant III: Low BH-high physical health complexity/risk, served in the primary care/medical specialty system with BH staff on site in primary or medical specialty care, coordinating with all medical care providers including disease managers.
- Quadrant IV: High BH-high physical health complexity/risk, served in both the specialty BH and primary care/medical specialty systems; in addition to the BH case manager, there may be a disease manager, in which case the two managers work at a high level of coordination with one another and other members of the team.

Other integration models include the IMPACT Model<sup>92</sup> and Wagner's Chronic Care Model.

Through the integration of behavioral health and physical health care services, opportunities to address both conditions during a single visit are vastly increased. Co-location, when coupled with protocols, training, technology and team building has the potential to improve communications between providers and enhance coordination of care. Additionally, access to care is enhanced because individuals do not have to incur the cost or inconvenience of arranging transportation or making multiple trips to different locations to address physical and behavioral health needs.

Finally, given the ever-increasing cost of transportation, a "one stop shopping" approach for health care improves the chances that individuals with multiple health needs will be able to access the needed care in a single visit and thereby overcome the negative synergy that exists between physical and behavioral health conditions.

Co-location alone is not synonymous with integration. Levels of interaction between physical and behavioral health providers may range from traditional minimally collaborative models to fully integrated collaborative models.

1. **Minimal Collaboration:** mental health providers and primary care providers work in separate facilities, have separate systems, and communicate sporadically.
2. **Basic Collaboration at a Distance:** separate systems at separate sites; periodic communication about shared patients, typically by telephone or letter.
3. **Basic Collaboration On-site:** separate systems, but shared facility; more communication, but each provider remains in his/her own professional culture.

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<sup>92</sup> Excerpted from the IMPACT website at the University of Washington at <http://impact-uw.org/about/key.html>.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

4. **Close Collaboration in a Partly Integrated System:** providers share the same facility and have some systems in common (scheduling appointments, medical records); regular face-to-face communication; sense of being part of a team.
5. **Close Collaboration in a Fully Integrated System:** providers are part of the same team and system; the patient experiences mental health treatment as part of their regular primary care or vice versa.

Delivery system reform projects proposed under this category should be structured to achieve level 4 or, preferably level 5 levels of interaction.

**Project Options:**

- a) Design, implement, and evaluate projects that provide integrated primary and behavioral health care services.  
Required core components:
  - a) Identify sites for integrated care projects, which would have the potential to benefit a significant number of patients in the community. Examples of selection criteria could include proximity/accessibility to target population, physical plant conducive to provider interaction; ability / willingness to integrate and share data electronically; receptivity to integrated team approach.
  - b) Develop provider agreements whereby co-scheduling and information sharing between physical health and behavioral health providers could be facilitated.
  - c) Establish protocols and processes for communication, data-sharing, and referral between behavioral and physical health providers
  - d) Recruit a number of specialty providers (physical health, mental health, substance abuse, etc. to provide services in the specified locations.
  - e) Train physical and behavioral health providers in protocols, effective communication and team approach. Build a shared culture of treatment to include specific protocols and methods of information sharing that include:
    - Regular consultative meetings between physical health and behavioral health practitioners;
    - Case conferences on an individualized as-needed basis to discuss individuals served by both types of practitioners; and/or
    - Shared treatment plans co-developed by both physical health and behavioral health practitioners.
  - f) Acquire data reporting, communication and collection tools (equipment) to be used in the integrated setting, which may include an integrated Electronic health record system or participation in a health information exchange – depending on the size and scope of the local project.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- g)** Explore the need for and develop any necessary legal agreements that may be needed in a collaborative practice.
  - h)** Arrange for utilities and building services for these settings
  - i)** Develop and implement data collection and reporting mechanisms and standards to track the utilization of integrated services as well as the health care outcomes of individual treated in these integrated service settings.
  - j)** Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- b)** “Other” project option: Implement other evidence-based project to integrate primary and behavioral health care services in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

Note: All of the project options in project area 2.15 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**2.16 Provide virtual psychiatric and clinical guidance to all participating primary care providers delivering services to behavioral patients regionally.**

**Project Goal**

Provide ready access to psychiatric consultation in primary care to enhance and improve treatment for individuals with behavioral health conditions. Virtual psychiatric consultation may include (but is not limited to) the following modalities of communication: telephone, instant message, video conference, facsimile, and e-mail. Primary Care Providers (PCPs) tend to be the first (and often last) stop for services for individuals with mental illness and substance use disorders. Indeed, more than 1/3 of all patients rely solely on PCPs to treat psychiatric disorders. These individuals may have medical conditions that are created or exacerbated by untreated or under-treated mental illness and substance abuse. This trend means PCPs should have adequate resources and expertise to treat behavioral health conditions. Treating behavioral health conditions during a PCP visit reduces the chances of losing the patient during the referral process.

The goal of this project is to provide PCPs delivering services regionally with the necessary resources and guidance to adequately treat patients who present with behavioral health conditions. Clinical guidance will be provided remotely via the following communication methods: telephone, instant message, video conference, facsimile, and e-mail. Access to these services will allow the medical treatment team to utilize behavioral health expertise in areas including, but not limited to: diagnostic impressions, psychiatric medication administration, trajectory and outcomes of mental health diagnoses, cultural considerations relevant to behavioral health treatment, and referral recommendations for ongoing treatment, and behavioral health self-management resources. PCPs will increase their knowledge base about behavioral health conditions while also having quick access to cutting edge and research based behavioral health interventions over several communication methods. This effort will bridge the often disparate disciplines of behavioral and physical health, providing better outcomes for patients who increasingly rely on primary care settings for treatment of their behavioral health conditions.

**Project Options:**

- a) Design, implement, and evaluate a program to provide remote psychiatric consultative services to all participating primary care providers delivering services to patients with mental illness or substance abuse disorders  
Required core project components:
  - a) Establish the infrastructure and clinical expertise to provide remote psychiatric consultative services.
  - b) Determine the location of primary care settings with a high number of individuals with behavioral health disorders (mental health and substance abuse) presenting for services, and where ready access to behavioral health expertise is lacking. Identify what expertise primary care providers lack and what they identify as their greatest needs for psychiatric and/or substance abuse treatment consultation via survey or other means.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- c) Assess applicable models for deployment of virtual psychiatric consultative and clinical guidance models
- d) Build the infrastructure needed to connect providers to virtual behavioral health consultation. This may include:
  - Procuring behavioral health professional expertise (e.g., Psychiatrists, Psychologists, Psychiatric Nurses, Licensed Professional Counselors, Masters level Social Workers, Licensed Chemical Dependency Counselors, Licensed Marriage and Family Therapists, Certified Peer specialists, and Psychiatric Pharmacists,). This will include expertise in children and adolescents (e.g. Child and Adolescent Psychiatrists, Psychologists, Nurses, and Pharmacists); expertise in psychotropic medication management in severe mental illness.
- e) Ensuring staff administering virtual psychiatric consultative services are available to field communication from medical staff on a 24-hour basis.
- f) Identify which medical disciplines within primary care settings (nursing, nursing assistants, pharmacists, primary care physicians, etc.) could benefit from remote psychiatric consultation.
- g) Provide outreach to medical disciplines in primary care settings that are in need of telephonic behavioral health expertise and communicate a clear protocol on how to access these services.
- h) Identify clinical code modifiers and/or modify electronic health record data systems to allow for documenting the use of telephonic behavioral health consultation.
- i) Develop and implement data collection and reporting standards for remotely delivered behavioral health consultative services.
- j) Review the intervention(s) impact on access to telephonic psychiatric consults and identify “lessons learned,” opportunities to scale all or part of the intervention(s) to a broader patient population, and identify key challenges associated with expansion of the intervention(s), including special considerations for safety-net populations

**Optional Project Components:**

- k) Develop a database or information resource center for behavioral health professionals to ensure appropriate research based interventions are being communicated to providers.
- l) Develop or adapt best practice resources and research based literature to medical professions on a range of behavioral health topics that frequently occur in primary care settings (including guidelines for best practices for administration of psychotropic medications for specific mental health conditions and monitoring of these medications).
- b) “Other” project option: Implement other evidence-based project to provide virtual psychiatric and clinical guidance to all participating primary care providers delivering services to behavioral health patients regionally in an innovative

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

Note: All of the project options in project area 2.16 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**2.17 Establish improvements in care transition from the inpatient setting for individuals with mental health and / or substance abuse disorders.**

**Project Goals:**

The goal of this project is to implement improvements in care transitions and coordination of care from inpatient to outpatient, post-acute care, and home care settings in order to prevent increased health care costs and hospital readmissions of individuals with mental health and substance use (behavioral health) disorders. For people with mental health and substance use disorders, these transitions are especially critical in reducing the risk of readmission. Texas Medicaid data on potentially preventable inpatient readmissions demonstrates that behavioral health conditions are a significant driver of inpatient costs. Mental health and substance abuse conditions comprise 8 percent of initial inpatient readmissions to general acute and specialty inpatient hospitals but represent 24 percent of potentially preventable admissions.<sup>93</sup> The implementation of effective care transitions requires that providers learn and develop effective ways to successfully manage one disease in order to effectively manage the complexity of multiple diseases.<sup>94</sup> Preventable admissions in Texas are commonly indicative of “the absence of excellent care, especially during the transition from inpatient care to care at home or in a post-acute facility.”<sup>95</sup>

Relatively simple steps can make a real difference. These include scheduling the follow-up appointment before discharge, voice-to-voice transfer of care between the attending physician and the primary care physician / provider community-based services, reconciling medication instructions, and follow-up phone calls or visits after discharge. More complex populations with severe behavioral health disorders and other issues, such as homelessness may require more intensive follow-through post discharge. Strategies, such as Critical Time Intervention (CTI), are designed to prevent recurrent adverse outcomes, such as readmissions among persons with severe mental illness. Such interventions may include pre-transition planning, intensive transition support, assessment and adjustment of support and transfer to community sources of care. Peer support can be an important strategy for individuals transitioning from inpatient to community settings. In Texas, the Department of State Health Services, has developed a peer certification program which could be leveraged by partnerships to develop peer support capacity.

**Project Options:**

- a) Design, implement, and evaluate interventions to improve care transitions from the inpatient setting for individuals with mental health and/or substance abuse disorders.  
Required core project components:

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93 Potentially Preventable Readmissions in the Texas Medicaid Population, Fiscal Year 2010, Texas Health and Human Services Commission (2012)

94 Rittenhouse D, Shortell S, et al. “Improving Chronic Illness Care: Findings from a National Study of Care Management Processes in Large Physician Practices.” *Medical Care Research and Review Journal* (2010) 67(3): 301-320

95 Ibid.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- a) Develop a cross-continuum team comprised of clinical and administrative representatives from acute care, ambulatory care, behavioral health and community-based non-medical supports
  - b) Conduct an analysis of the key drivers of 30-day hospital readmissions for behavioral health conditions using a chart review tool (e.g. the Institute for Healthcare Improvement's (IHI) State Action on Avoidable Re-hospitalizations (STAAR) tool) and patient and provider interviews.
  - c) Identify baseline mental health and substance abuse conditions at high risk for readmissions, (example include schizophrenia, bipolar disorder, major depressive disorder, chemical dependency).
  - d) Review best practices for improving care transitions from a range of evidence-based or evidence-informed models
  - e) Identify and prioritize evidence-based strategies and clinical protocols that support seamless care transitions and reduce preventable 30-day readmissions.
  - f) Implement two or more pilot intervention(s) in care transitions targeting one or more patient care units or a defined patient population. Examples of interventions include, but are not limited to, implementation of:
  - g) Conduct quality improvement for project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, identifying "lessons learned," opportunities to scale all or part of the project to a broader patient population, and identifying key challenges associated with expansion of the project, including special considerations for safety-net populations.
- b) "Other" project option: Implement other evidence-based project to establish improvement in care transition from the inpatient setting for individuals with mental health and / or substance abuse disorders in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the "Other" project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

Note: All of the project options in project area 2.17 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, "lessons learned," opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

Examples of interventions include, but are not limited to, implementation of:

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- Discharge checklists
- “Hand off” communication plans with receiving medical and behavioral health providers
- Wellness initiatives targeting high-risk behavioral health patients, such as WRAP, health planning and motivation strategies, Screening, Brief Intervention and Referral to Treatment (SBIRT) for substance use disorders,
- Individual and family education initiatives including self-management skills.
- Post-discharge medication planning
- Early follow-up such as homecare visits, primary care outreach, and/or patient call-backs.
- Transition and wellness support from certified peer specialists for mental health and /or substance use disorders.
- More intensive follow-through programs, such as CTI or other evidence-informed practices, for individuals with more severe behavioral health disorders and other challenges, such as homelessness.
- Electronic data exchange for critical clinical information to support excellent continuity of care.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**2.18 Recruit, train, and support consumers of mental health services to provide peer support services**

**Project Goal:**

The goal of this project is to use consumers of mental health services who have made substantial progress in managing their own illness and recovering a successful life in the community to provide peer support services. These services are supportive and not necessarily clinical in nature. Building on a project originally established under the State's Mental Health Transformation grant, consumers are being trained to serve as peer support specialists. In addition to the basic peer specialist training and certification, an additional training is provided to certified peers specialists in "whole health". With the whole health training peer specialists learn to work with other consumers to set achievable goals to prevent or self-manage chronic diseases such as diabetes and COPD. While such training currently exists, very limited numbers of peers are trained due to resource limitations. Evidence exists that such an approach can work with particularly vulnerable populations with serious mental illness<sup>96</sup>. The need for strategies to improve the health outcomes for people with behavioral health disorders is evidenced by their disparate life expectancy (dying 29 years younger than the general population<sup>97</sup>), increased risk of mortality and poor health outcomes as severity of behavioral health disorders increase<sup>98</sup>

**Project Options**

- a) Design, implement, and evaluate whole health peer support for individuals with mental health and /or substance use disorders.  
Required core project components:
  - a) Train administrators and key clinical staff in the use of peer specialists as an essential component of a comprehensive health system.
  - b) Conduct readiness assessments of organization that will integrate peer specialists into their network.
  - c) Identify peer specialists interested in this type of work.
  - d) Train identified peer specialists in whole health interventions, including conducting health risk assessments, setting SMART goals, providing educational and supportive services to targeted individuals with specific disorders (e.g. hypertension, diabetes, or health risks (e.g. obesity, tobacco use, physical inactivity).
  - e) Implement health risk assessments to identify existing and potential health risks for behavioral health consumers.

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96 Benjamin G. Druss, MD, MPH, Liping Zhao, MSPH, Silke A. von Esenwein, PhD, Joseph R. Bona, MD, MBA, Larry Fricks, Sherry Jenkins-Tucker, Evelina Sterling, MPH, CHES, Ralph DiClemente, PhD, and Kate Lorig, RN, DrPH, The Health and Recovery Peer (HARP) Program: A peer-led intervention to improve medical self-management for persons with serious mental illness, Schizophrenia Research, Volume 118, Issue 1, Pages 264-270, May 2010

97 Parks, J, Svendsen, D, et. al. "Morbidity and Mortality in People with Serious Mental Illness", National Association of State Mental Health Program Directors, 2006.

98 Druss BG, Reisinger Walker E., "Mental Disorders and Medical Co-Morbidity." Robert Wood Johnson Foundation, The Synthesis Project: Issue 21 (2011).

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- f)** Identify patients with serious mental illness who have health risk factors that can be modified.
  - g)** Implement whole health peer support.
  - h)** Connect patients to primary care and preventive services.
  - i)** Track patient outcomes. Review the intervention(s) impact on participants and identify “lessons learned,” opportunities to scale all or part of the intervention(s) to a broader patient population, and identify key challenges associated with expansion of the intervention(s), including special considerations for safety-net populations.
- b)** “Other” project option: Implement other evidence-based project to recruit, train, and support consumers of mental health services to provide peer support services in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

Note: All of the project options in project area 2.18 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

**2.19 Develop Care Management Function that integrates primary and behavioral health needs of individuals**

**Project Goal:**

Provide a targeted care management intervention program for the population of people with co-occurring mental health, substance use and chronic physical disorders to increase use of primary and specialty care and reducing the use of ER, crisis and jail diversion services. The prevalence of co-occurring mental health, substance use and chronic physical disorders is high in the indigent population. This is due to the lack of access to and the complexity of navigating primary care and specialty care services. These individuals end up consuming a great deal of community resources due to ER visits, involvement of crisis response systems and often unnecessary incarcerations when routine treatment would be a better alternative. Early engagement in appropriate services to address the multiple conditions for these individuals, as well as their needs for housing and social support, requires both behavioral health case managers and chronic disease care managers working closely to make service settings accessible and to track progress.

**Project Options:**

- a) Design, implement, and evaluate care management programs and that integrate primary and behavioral health needs of individual patients  
Required core project components:
  - a) Conduct data matching to identify individuals with co-occurring disorders who are:
    - not receiving routine primary care,
    - not receiving specialty care according to professionally accepted practice guidelines,
    - over-utilizing ER services based on analysis of comparative data on other populations,
    - over-utilizing crisis response services.
    - Becoming involved with the criminal justice system due to uncontrolled/unmanaged symptoms.
  - b) Review chronic care management best practices such as Wagner's Chronic Care Model and select practices compatible with organizational readiness for adoption and implementation.
  - c) Identification of BH case managers and disease care managers to receive assignment of these individuals.
  - d) Develop protocols for coordinating care; identify community resources and services available for supporting people with co-occurring disorders.
  - e) Identify and implement specific disease management guidelines for high prevalence disorders, e.g. cardiovascular disease, diabetes, depression, asthma.
  - f) Train staff in protocols and guidelines.
  - g) Develop registries to track client outcomes.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 2**

- h)** Review the intervention(s) impact on quality of care and integration of care and identify “lessons learned,” opportunities to scale all or part of the intervention(s) to a broader patient population, and identify key challenges associated with expansion of the intervention(s), including special considerations for safety-net populations.
- b)** “Other” project option: Implement other evidence-based project to develop care management function that integrates primary and behavioral health needs in an innovative manner not described in the project options above. Providers implementing an innovative, evidence-based project using the “Other” project option may select among the process and improvement milestones specified in this project area or may include one or more customizable process milestone(s) P-X and/or improvement milestone(s) I-X, as appropriate for their project.

Note: All of the project options in project area 2.19 should include a component to conduct quality improvement for the project using methods such as rapid cycle improvement. Activities may include, but are not limited to, identifying project impacts, “lessons learned,” opportunities to scale all or part of the project to a broader patient population, and key challenges associated with expansion of the project, including special considerations for safety-net populations.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 3**

**Category 3 Quality Improvements**



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

**Category 3 Overview**

**a. Introduction**

The overall objective of Category 3 is to assess the effectiveness of Category 1 and 2 interventions in improving outcomes in the Texas healthcare delivery system. As described in the Program Funding and Mechanics (PFM) Protocol, each project selected in Categories 1 and 2 will have one or more associated outcome measures from Category 3.

For the purposes of the RHP Planning and PFM Protocols, outcome measures are defined as *“measures that assess the results of care experienced by patients, including patients’ clinical events, patients’ recovery and health status, patients’ experiences in the health system, and efficiency/cost.”*

All Category 3 outcome measures must be reported to specifications, except that a Performing Provider may customize the population measured by an outcome as allowed by CMS and HHSC to more closely reflect the patient population targeted in the related Category 1 or 2 project.

**b. Pay for Performance Measures**

The Category 3 menu of measures contains a large proportion of Pay for Performance (P4P) measures that providers may select from to receive incentive payments for demonstrating incremental improvements in the selected outcome. These measures are considered the stronger, more validated measures. If there is a P4P measure appropriate to the Category 1 or 2 project that the provider can report to the specifications in the attached Compendium (Appendix C), then the provider must select a P4P measure.

There will be standard achievement levels for P4P measures to earn Category 3 funds in demonstration year (DY) 4 and DY 5. In October 2014, providers may request to deviate from the standard achievement levels based on extenuating circumstances to be determined by the Texas Health and Human Services Commission (HHSC) and Centers for Medicare and Medicaid Services (CMS), such as if the intervention population is much smaller, significantly different than the denominator required in the measure specifications or if the benchmarks provided are not an appropriate fit for the denominator population (e.g., with the use of denominator subsets for age). Providers may request a deviation from the standard achievement levels established during the October 2014 baseline reporting period within parameters as agreed to by HHSC and CMS.

**c. Pay for Reporting Measures**

The Category 3 menu also contains some measures that are designated as Pay for Reporting (P4R). To accommodate the wide variety of Texas DSRIP providers and projects, these P4R measures were approved for inclusion in the menu as “exploratory” measures even though they do not have the strongest rigor of validation or evidence.

All P4R measures require prior authorization by HHSC and CMS. The prior authorization process will determine a) if the measure was a previously selected by the provider and was approved for use for a Category 1 or 2 project (if so, this serves as the authorization) and b) if not

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

previously approved, whether there is a P4P measure that would be an appropriate fit for the project that the provider can report to specifications.

Providers that need to use a P4R measure will not receive payment for improving its rate, but instead will receive payment for reporting the measure to the associated specifications. Providers may still demonstrate improvement in these measures; however, that improvement will not be the basis for incentive payment. For these reporting only or "exploratory" measures providers must engage in an alternate improvement activity - either a Population-Focused Priority Measure or a Stretch Activity. These alternate improvement activities are detailed in Appendix (A).

For Hospital, Community Mental Health Center, and Physician Group provider types, providers with a P4R measure should select an outcome from the Population-Focused Priority Measure list. These outcomes do not have to be tied to the associated Category 1 or 2 project and instead represent a larger health priority for the health system.

For Local Health Department providers and for those providers above who cannot identify a measure to report from the Population-Focused Priority Measure list, providers may select a Stretch Activity. These activities are intended to improve data infrastructure and capacity.

**d. Minimum Category 3 Requirements for Each Category 1 or 2 Project**

Each outcome measure (IT-X.X) is labeled as a standalone measure or non-standalone measure. Providers can select among the following methods to meet Category 3 requirements for each Category 1 or 2 project:

- **At least one standalone measure:** Providers can select a standalone measure from any outcome domain listed in the table below for Category 1 and 2 projects. Cost-related outcomes may be used as the standalone outcome only for project area 2.5 (Cost Containment). Cost outcomes can be selected as non-standalone measures for other project areas.
- **At least one standalone measure and additional non-standalone measure(s):** One or more non-standalone measures from any outcome domain can be combined with at least one standalone measure.
- **A combination of at least 3 non-standalone measures:** A provider can select a combination of 3 non-standalone measures for a Category 1 or 2 project and these measures may be from different outcome domains if needed.

The measures selected for each Category 1 or 2 project may be a combination of P4P and P4R measures. Each measure is treated separately for reporting and payment purposes.

**e. Types of Category 3 Milestones**

The terms "process milestone" and "achievement milestone" are used to classify Category 3 milestones in each demonstration year. Process milestones will be those milestones in which a provider is not earning DSRIP funds based on reaching a goal achievement level over baseline, i.e., it will be used for DY2 and DY3 planning activities to prepare for Category 3 reporting, in DY4 and DY5 for reporting to specifications (for P4R measures), and in DY5 for stretch activities. Achievement milestones will be used for milestones in which the provider will earn

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

funds based on progress towards a goal achievement level for the measure, i.e., for P4P measures in DY4 and DY5 and Population-Focused Priority Measures in DY5.

The table below describes the milestones each year for both P4P and P4R outcomes.

	<b>Pay for Performance (P4P) outcome measures</b>	<b>Pay for Reporting (P4R) outcome measures</b>
DY2	Each provider selected process milestones from the original menu (P-1 through P-7) and designated the valuation per milestone; a status update was allowed in lieu of specific milestone documentation for DY2	
DY3	2 process milestones (P-8 & P-9) - DY3 Category 3 status update (50% of DY3 allocation) and establishing baseline (50% of DY3 allocation)	
DY4	Process Milestone 10 - 50% of DY4 allocation for reporting P4P measure to specifications  Achievement Milestone 1 - 50% of DY4 allocation for demonstrating improvement in P4P measure over baseline	Process Milestone 10 - 100% of DY4 allocation for reporting P4R measure to specifications
DY5	Achievement Milestone 1 - 100% of DY5 allocation for demonstrating improvement in P4P measure over baseline	Process Milestone 10 - 50% of DY5 allocation for reporting P4R measure to specifications  <u>Alternate Improvement Activity</u> EITHER Achievement Milestone 2 – 50% of DY5 allocation for demonstrating improvement in a Population Focused Priority Measure OR Process Milestone 11 – 50% of DY5 allocation for reporting as required on a stretch activity

\*Per the PFM Protocol, all Category 3 milestones are eligible for carry forward into the subsequent year and achievement milestones only are eligible for payment for partial achievement.

**Category 3 Outcome Measures**

All of the measures included in the Category 3 menu have been approved by CMS. Often the source of these measures is an authoritative agency around outcome measurement (e.g., AHRQ, NCQA, CDC, NQF). Most of these measures have been validated and tested to ensure that the outcomes are measuring what they purport to measure. In some instances, these evidence based measures are modified in order to be used by DSRIP providers to change the specifications to describe a provider focus as opposed to a health plan focus. These modifications are described

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

in detail within the compendium document (Appendix C). In some cases, where validated measures did not previously exist, measures were created based on evidence based guidelines and practices. These measures were included in the menu to reflect outcomes pertinent to approved Category 1 and 2 projects. The outcomes are salient to aspects of patient care that reflect better health and satisfaction with services, improved efficiencies in health care delivery and cost savings.

**Outcome Domains**

All of the Category 3 outcome measures are organized into 15 Outcome Domains (ODs) to facilitate measure selection.

- OD-1: Primary Care and Chronic Disease Management
- OD-2: Potentially Preventable Admissions
- OD-3: Potentially Preventable Readmissions (PPRs) – 30-day Readmission Rates
- OD-4: Potentially Preventable Complications, Healthcare Acquired Conditions, and Patient Safety
- OD-5: Cost of Care
- OD-6: Patient Satisfaction
- OD-7: Oral Health
- OD-8: Perinatal Outcomes and Maternal Child Health
- OD-9: Right Care, Right Setting
- OD-10: Quality of Life/Functional Status
- OD-11: Behavioral Health/Substance Abuse Care
- OD-12: Primary Prevention
- OD-13: Palliative Care
- OD-14: Healthcare Workforce
- OD-15: Infectious Disease Management

**List of Category 3 Outcome Measures**

The table below lists the outcome measures from which providers may choose. The Compendium (Appendix C) contains further details on how each measure is to be reported and the Category 3 Companion (Appendix D) contains guidance for providers selection of their Category 3 outcome measures in March 2014 based on the revised Category 3 framework agreed to by CMS and HHSC in February 2014 and reflected in this protocol and the PFM Protocol.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

OD	IT reference number	Measure type	Performance Type	Prior Authorization Required	Title of measure
1	IT-1.1	Non-Standalone (NSA)	P4P	No	Third next available appointment
1	IT-1.2	Non-Standalone (NSA)	P4P	No	Annual monitoring for patients on persistent medications - Angiotensin Converting Enzyme (ACE) inhibitors or Angiotensin Receptor Blockers (ARBs)
1	IT-1.3	Non-Standalone (NSA)	P4P	No	Annual monitoring for patients on persistent medications - Digoxin
1	IT-1.4	Non-Standalone (NSA)	P4P	No	Annual monitoring for patients on persistent medications- Diuretic
1	IT-1.5	Non-Standalone (NSA)	P4P	No	Annual monitoring for patients on persistent medications - Anticonvulsant
1	IT-1.6	Standalone (SA)	P4P	No	Cholesterol management for patients with cardiovascular conditions
1	IT-1.7	Standalone (SA)	P4P	No	Controlling high blood pressure
1	IT-1.8	Non-Standalone (NSA)	P4P	No	Depression management: Screening and Treatment Plan for Clinical Depression
1	IT-1.9	Standalone (SA)	P4P	No	Depression management: Depression Remission at Twelve Months
1	IT-1.10	Standalone (SA)	P4P	No	Diabetes care: HbA1c poor control (>9.0%)
1	IT-1.11	Standalone (SA)	P4P	No	Diabetes care: BP control (<140/90mm Hg)
1	IT-1.12	Non-Standalone (NSA)	P4P	No	Diabetes care: Retinal eye exam
1	IT-1.13	Non-Standalone (NSA)	P4P	No	Diabetes care: Foot exam
1	IT-1.14	Non-Standalone (NSA)	P4P	No	Diabetes care: Nephropathy
1	IT-1.15	Standalone (SA)	P4P	No	Peritoneal Dialysis Adequacy Clinical Performance Measure III
1	IT-1.16	Standalone (SA)	P4P	No	Hemodialysis Adequacy Clinical Performance Measure III
1	IT-1.17	Standalone (SA)	P4P	No	Hemodialysis Adequacy for Pediatric Hemodialysis Patients
1	IT-1.18	Standalone (SA)	P4P	No	Follow-Up After Hospitalization for Mental Illness
1	IT-1.19	Standalone (SA)	P4P	No	Antidepressant Medication Management
1	IT-1.20	Non-Standalone (NSA)	P4P	No	Comprehensive Diabetes Care LDL Screening
1	IT-1.21	Non-Standalone (NSA)	P4P	No	Adult Body Mass Index (BMI) Assessment

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

OD	IT reference number	Measure type	Performance Type	Prior Authorization Required	Title of measure
1	IT-1.22	Standalone (SA)	P4P	No	Asthma Percent of Opportunity Achieved
1	IT-1.23	Non-Standalone (NSA)	P4P	No	Tobacco Use: Screening & Cessation
1	IT-1.24	Standalone (SA)	P4R	Yes	Adolescent tobacco use
1	IT-1.25	Standalone (SA)	P4R	Yes	Adult tobacco use
1	IT-1.26	Non-Standalone (NSA)	P4P	No	Seizure type(s) and current seizure frequency(ies)
1	IT-1.27	Non-Standalone (NSA)	P4P	No	Pain Assessment and Follow-up
1	IT-1.28	Non-Standalone (NSA)	P4P	No	Preventive Care and Screening: Screening for High Blood Pressure and Follow-Up Documented
1	IT-1.29	Non-Standalone (NSA)	P4P	No	Weight Assessment and Counseling for Nutrition and Physical Activity for Children/Adolescents
1	IT-1.30	Non-Standalone (NSA)	P4P	No	Hemoglobin A1c (HbA1c) Testing for Pediatric Patients
1	IT-1.31	Standalone (SA)	P4P	No	Medication Management for People with Asthma (MMA)
1	IT-1.32	Standalone (SA)	P4P	No	Asthma Medication Ratio (AMR)
1	IT-1.33	Non-Standalone (NSA)	P4P	No	Medical Assistance With Smoking and Tobacco Use Cessation
1	IT-1.34	Standalone (SA)	P4P	No	Appropriate Testing for Children With Pharyngitis
2	IT-2.1	Standalone (SA)	P4R	Yes	Congestive Heart Failure (CHF) Admission rate
2	IT-2.2	Standalone (SA)	P4P	No	Risk Adjusted Congestive Heart Failure (CHF) Admission rate
2	IT-2.3	Standalone (SA)	P4R	Yes	End-Stage Renal Disease (ESRD) Admission Rate
2	IT-2.4	Standalone (SA)	P4P	No	Risk Adjusted End-Stage Renal Disease (ESRD) Admission Rate
2	IT-2.5	Standalone (SA)	P4R	Yes	Hypertension (HTN) Admission Rate
2	IT-2.6	Standalone (SA)	P4P	No	Risk Adjusted Hypertension (HTN) Admission Rate
2	IT-2.7	Standalone (SA)	P4R	Yes	Behavioral Health/Substance Abuse (BH/SA) Admission Rate
2	IT-2.8	Standalone (SA)	P4P	No	Risk Adjusted Behavioral Health/Substance Abuse (BH/SA)
2	IT-2.9	Standalone (SA)	P4R	Yes	Chronic Obstructive Pulmonary Disease (COPD) Admission Rate
2	IT-2.10	Standalone (SA)	P4P	No	Risk Adjusted Chronic Obstructive Pulmonary Disease (COPD) Admission Rate

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

OD	IT reference number	Measure type	Performance Type	Prior Authorization Required	Title of measure
2	IT-2.11	Standalone (SA)	P4R	Yes	Adult Asthma Admission Rate
2	IT-2.12	Standalone (SA)	P4P	No	Risk Adjusted Adult Asthma Admission Rate
2	IT-2.13	Standalone (SA)	P4R	Yes	Diabetes Short Term Complication Admission Rate
2	IT-2.14	Standalone (SA)	P4P	No	Risk Adjusted Diabetes Short Term Complication Admission Rate
2	IT-2.15	Standalone (SA)	P4R	Yes	Diabetes Long Term Complications Admission Rate
2	IT-2.16	Standalone (SA)	P4P	No	Risk Adjusted Diabetes Long Term Complications Admission Rate
2	IT-2.17	Standalone (SA)	P4R	Yes	Uncontrolled Diabetes Admissions Rate
2	IT-2.18	Standalone (SA)	P4P	No	Risk Adjusted Uncontrolled Diabetes Admissions Rate
2	IT-2.19	Standalone (SA)	P4R	Yes	Flu and pneumonia Admission Rate
2	IT-2.20	Standalone (SA)	P4P	No	Risk Adjusted Flu and pneumonia Admission Rate
2	IT-2.21	Standalone (SA)	P4P	No	Ambulatory Care Sensitive Conditions Admissions Rate
2	IT-2.22	Standalone (SA)	P4P	No	Prevention Quality Indicators (PQI) Composite Measure Potentially Preventable Hospitalizations for Ambulatory Care Sensitive Conditions
2	IT-2.23	Standalone (SA)	P4R	Yes	Pediatric Asthma Admission Rate
2	IT-2.24	Standalone (SA)	P4P	No	Risk Adjusted Pediatric Asthma Admission Rate
2	IT-2.25	Standalone (SA)	P4R	Yes	Pain Admission Rate
2	IT-2.26	Standalone (SA)	P4P	No	Risk Adjusted Pain Admission Rate
2	IT-2.27	Standalone (SA)	P4R	Yes	Cancer Admission Rate
2	IT-2.28	Standalone (SA)	P4P	No	Risk Adjusted Cancer Admission Rate
2	IT-2.29	Standalone (SA)	P4R	Yes	Cellulitis Admission Rate
2	IT-2.30	Standalone (SA)	P4P	No	Risk Adjusted Cellulitis Admission Rate
3	IT-3.1	Standalone (SA)	P4P	No	Hospital-Wide All-Cause Unplanned Readmission Rate
3	IT-3.2	Standalone (SA)	P4R	Yes	Congestive Heart Failure (CHF) 30-day Readmission Rate
3	IT-3.3	Standalone (SA)	P4P	No	Risk Adjusted Congestive Heart Failure (CHF) 30-day Readmission Rate
3	IT-3.4	Standalone (SA)	P4R	Yes	Diabetes 30-day Readmission Rate
3	IT-3.5	Standalone (SA)	P4P	No	Risk Adjusted Diabetes 30-day Readmission Rate

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

OD	IT reference number	Measure type	Performance Type	Prior Authorization Required	Title of measure
3	IT-3.6	Standalone (SA)	P4R	Yes	Renal Disease 30-day Readmission Rate
3	IT-3.7	Standalone (SA)	P4P	No	Risk Adjusted Renal Disease 30-day Readmission Rate
3	IT-3.8	Standalone (SA)	P4R	Yes	Acute Myocardial Infarction (AMI) 30-day Readmission Rate
3	IT-3.9	Standalone (SA)	P4P	No	Risk Adjusted Acute Myocardial Infarction (AMI) 30-day Readmission Rate
3	IT-3.10	Standalone (SA)	P4R	Yes	Coronary Artery Disease (CAD) 30-day Readmission Rate
3	IT-3.11	Standalone (SA)	P4P	No	Risk Adjusted Coronary Artery Disease (CAD) 30-day Readmission Rate
3	IT-3.12	Standalone (SA)	P4R	Yes	Stroke (CVA) 30-day Readmission Rate
3	IT-3.13	Standalone (SA)	P4P	No	Risk Adjusted Stroke (CVA) 30-day Readmission Rate
3	IT-3.14	Standalone (SA)	P4R	Yes	Behavioral Health /Substance Abuse 30-day Readmission Rate
3	IT-3.15	Standalone (SA)	P4P	No	Risk Adjusted Behavioral Health /Substance Abuse 30-day Readmission Rate
3	IT-3.16	Standalone (SA)	P4R	Yes	Chronic Obstructive Pulmonary Disease (COPD) 30-day Readmission Rate
3	IT-3.17	Standalone (SA)	P4P	No	Risk Adjusted Chronic Obstructive Pulmonary Disease (COPD) 30-day Readmission Rate
3	IT-3.18	Standalone (SA)	P4R	Yes	Adult Asthma 30-day Readmission Rate
3	IT-3.19	Standalone (SA)	P4P	No	Risk Adjusted Adult Asthma 30-day Readmission Rate
3	IT-3.20	Standalone (SA)	P4R	Yes	Pediatric Asthma 30-day Readmission Rate
3	IT-3.21	Standalone (SA)	P4P	No	Risk Adjusted Pediatric Asthma 30-day Readmission Rate
3	IT-3.22	Standalone (SA)	P4P	No	Risk Adjusted All-Cause Readmission
3	IT-3.23	Standalone (SA)	P4R	Yes	Ventricular Assist Device 30-day Readmission Rate
3	IT-3.24	Standalone (SA)	P4P	No	Risk Adjusted Ventricular Assist Device 30-day Readmission Rate
3	IT-3.25	Standalone (SA)	P4R	Yes	Post-Surgical 30-day Readmission Rate
3	IT-3.26	Standalone (SA)	P4P	No	Risk Adjusted Post-Surgical 30-day Readmission Rate
3	IT-3.27	Standalone (SA)	P4R	Yes	Cancer Related 30-day Readmission Rate
3	IT-3.28	Standalone (SA)	P4R	Yes	Medication Complication 30-day Readmission Rate



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

OD	IT reference number	Measure type	Performance Type	Prior Authorization Required	Title of measure
3	IT-3.29	Standalone (SA)	P4P	No	Risk Adjusted Medication Complication 30-day Readmission Rate
4	IT-4.1	Standalone (SA)	P4P	No	Improvement in risk adjusted Potentially Preventable Complications rate(s)
4	IT-4.2	Standalone (SA)	P4P	No	Central line-associated bloodstream infections (CLABSI) rates
4	IT-4.3	Standalone (SA)	P4P	No	Catheter-associated Urinary Tract Infections (CAUTI) rates
4	IT-4.4	Standalone (SA)	P4P	No	Surgical site infections (SSI) rates
4	IT-4.5	Standalone (SA)	P4P	No	Patient Fall Rate
4	IT-4.6	Standalone (SA)	P4P	No	Incidence of Hospital-acquired Venous Thromboembolism (VTE)
4	IT-4.7	Standalone (SA)	P4P	No	Pressure Ulcer Rate
4	IT-4.8	Standalone (SA)	P4R	Yes	Sepsis mortality
4	IT-4.9	Non-Standalone (NSA)	P4R	Yes	Average length of stay: Sepsis
4	IT-4.10	Standalone (SA)	P4P	No	Sepsis bundle (NQF 0500)
4	IT-4.11	Non-Standalone (NSA)	P4P	No	Risk-Adjusted Average Length of Inpatient Hospital Stay
4	IT-4.12.1	Non-Standalone (NSA)	P4P	No	Average Length of Stay for patients of Medication Errors
4	IT-4.13	Non-Standalone (NSA)	P4R	Yes	Patients receiving language services supported by qualified language services providers
4	IT-4.14	Standalone (SA)	P4P	No	Intensive Care: In-hospital mortality rate
4	IT-4.15	Standalone (SA)	P4P	No	Venous Thromboembolism Prophylaxis Bundle
4	IT-4.16	Standalone (SA)	P4R	Yes	Reduce Unplanned Re-operations
4	IT-4.12.2	Non-Standalone (NSA)	P4P	No	Adverse drug events
4	IT-4.17	Non-Standalone (NSA)	P4P	No	Stroke - Thrombolytic Therapy
4	IT-4.18	Non-Standalone (NSA)	P4P	No	Warfarin management: percentage of patients on warfarin with an international normalized ratio (INR) result of 4 or above whose dosage has been adjusted or reviewed prior to the next warfarin dose, during the 6 month time period

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

OD	IT reference number	Measure type	Performance Type	Prior Authorization Required	Title of measure
4	IT-4.19	Non-Standalone (NSA)	P4P	Yes	Falls: Screening, Risk-Assessment, and Plan of Care to Prevent Future Falls
5	IT-5.1 a	SA for project area 2.5, NSA for all other project areas	P4P	Yes	Improved Cost Savings: Demonstrate cost savings in care delivery - Cost of Illness Analysis
5	IT-5.1 b	SA for project area 2.5, NSA for all other project areas	P4P	Yes	Improved Cost Savings: Demonstrate cost savings in care delivery - Cost Minimization Analysis
5	IT-5.1 c	SA for project area 2.5, NSA for all other project areas	P4P	Yes	Improved Cost Savings: Demonstrate cost savings in care delivery - Cost Effectiveness Analysis
5	IT-5.1 d	SA for project area 2.5, NSA for all other project areas	P4P	Yes	Improved Cost Savings: Demonstrate cost savings in care delivery - Cost Utility Analysis
5	IT-5.1 e	SA for project area 2.5, NSA for all other project areas	P4P	Yes	Improved Cost Savings: Demonstrate cost savings in care delivery - Cost Benefit Analysis
5	IT-5.2	SA for project area 2.5, NSA for all other project areas	P4P	Yes	Per Episode Cost of Care
5	IT-5.3	SA for project area 2.5, NSA for all other project areas	P4P	Yes	Total Cost of Care
6	IT-6.1.a.i	Standalone (SA)	P4P	No	HCAHPS Communication with Doctors
6	IT-6.1.a.ii	Standalone (SA)	P4P	No	HCAHPS Communication with Nurses
6	IT-6.1.a.iii	Standalone (SA)	P4P	No	HCAHPS Responsiveness of Hospital Staff
6	IT-6.1.a.iv	Standalone (SA)	P4P	No	HCAHPS Pain Control
6	IT-6.1.a.v	Standalone (SA)	P4P	No	HCAHPS Communication about Medicine
6	IT-6.1.a.vi	Standalone (SA)	P4P	No	HCAHPS Cleanliness of Hospital Environment
6	IT-6.1.a.vii	Standalone (SA)	P4P	No	HCAHPS Quietness of Hospital Environment

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

<b>OD</b>	<b>IT reference number</b>	<b>Measure type</b>	<b>Performance Type</b>	<b>Prior Authorization Required</b>	<b>Title of measure</b>
6	IT-6.1.a.viii	Standalone (SA)	P4P	No	HCAHPS Discharging Information
6	IT-6.1.a.ix	Standalone (SA)	P4P	No	HCAHPS Overall Hospital Rating
6	IT-6.1.a.x	Standalone (SA)	P4P	No	HCAHPS Likelihood to Recommend
6	IT-6.1.b.i	Standalone (SA)	P4P	No	CG-CAHPS 12-month: Timeliness of Appointments, Care, & Information
6	IT-6.1.b.ii	Standalone (SA)	P4P	No	CG-CAHPS 12-month: Provider Communication
6	IT-6.1.b.iii	Standalone (SA)	P4P	No	CG-CAHPS 12-month: Office Staff
6	IT-6.1.b.iv	Standalone (SA)	P4P	No	CG-CAHPS 12-month: Overall Provider Rating
6	IT-6.1.b.v	Standalone (SA)	P4P	No	CG-CAHPS 12-month: Provider's Attention to Child's Growth and Development(Pediatric)
6	IT-6.1.b.vi	Standalone (SA)	P4P	No	CG-CAHPS 12-month: Provider's Advice on Keeping Child Safe and Healthy(Pediatric)
6	IT-6.1.c.i	Standalone (SA)	P4P	No	CG-CAHPS 12-month: Cultural Competence Survey Supplement
6	IT-6.1.c.ii	Standalone (SA)	P4P	No	CG-CAHPS 12-month: Health Information Technology Supplement
6	IT-6.1.c.iii	Standalone (SA)	P4P	No	CG-CAHPS 12-month: Health Literacy Supplement
6	IT-6.1.c.iv	Standalone (SA)	P4P	No	CG-CAHPS 12-month: PCMH Supplement (includes Shared Decision Making)
6	IT-6.1.d.i	Standalone (SA)	P4P	No	CG-CAHPS Visit Survey 2.0: Timeliness of Appointments, Care, & Information
6	IT-6.1.d.ii	Standalone (SA)	P4P	No	CG-CAHPS Visit Survey 2.0: Provider Communication
6	IT-6.1.d.iii	Standalone (SA)	P4P	No	CG-CAHPS Visit Survey 2.0: Office Staff
6	IT-6.1.d.iv	Standalone (SA)	P4P	No	CG-CAHPS Visit Survey 2.0: Overall Provider Rating
6	IT-6.1.d.v	Standalone (SA)	P4P	No	CG-CAHPS Visit Survey 2.0: Provider's Attention to Child's Growth and Development (Pediatric)
6	IT-6.1.d.vi	Standalone (SA)	P4P	No	CG-CAHPS Visit Survey 2.0: Providers Advice on Keeping Child Safe and healthy (Pediatric)
6	IT-6.2.a	Standalone (SA)	P4P	No	Client Satisfaction Questionnaire 8 (CSQ-8)
6	IT-6.2.b	Standalone (SA)	P4P	No	Visit-Specific Satisfaction Instrument (VSQ-9)

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

OD	IT reference number	Measure type	Performance Type	Prior Authorization Required	Title of measure
6	IT-6.2.c	Standalone (SA)	P4R	Yes	Health Center Patient Satisfaction Survey
6	IT-6.2.d.i	Standalone (SA)	P4P	No	PSQ-III General Satisfaction
6	IT-6.2.d.ii	Standalone (SA)	P4P	No	PSQ-III Technical Quality
6	IT-6.2.d.iii	Standalone (SA)	P4P	No	PSQ-III Interpersonal Aspects
6	IT-6.2.d.iv	Standalone (SA)	P4P	No	PSQ-III Communication
6	IT-6.2.d.v	Standalone (SA)	P4P	No	PSQ-III Financial Aspects
6	IT-6.2.d.vi	Standalone (SA)	P4P	No	PSQ-III Time Spent w/ Doctors
6	IT-6.2.d.vii	Standalone (SA)	P4P	No	PSQ-III Access, Availability, & Convenience
6	IT-6.2.d.viii	Standalone (SA)	P4P	No	PSQ-18 General Satisfaction
6	IT-6.2.d.ix	Standalone (SA)	P4P	No	PSQ-18 Technical Quality
6	IT-6.2.d.x	Standalone (SA)	P4P	No	PSQ-18 Interpersonal Aspects
6	IT-6.2.d.xi	Standalone (SA)	P4P	No	PSQ-18 Communication
6	IT-6.2.d.xii	Standalone (SA)	P4P	No	PSQ-18 Financial Aspects
6	IT-6.2.d.xiii	Standalone (SA)	P4P	No	PSQ-18 Time Spent w/ Doctors
6	IT-6.2.d.xiv	Standalone (SA)	P4P	No	PSQ-18 Access, Availability, & Convenience
6	IT-6.2.e	Standalone (SA)	P4R	Yes	Experience of Care and Health Outcomes (ECHO) 3.0
7	IT-7.1	Non-Standalone (NSA)	P4P	Yes	Dental Sealant: Children
7	IT-7.2	Standalone (SA)	P4P	Yes	Cavities: Children
7	IT-7.3	Non-Standalone (NSA)	P4P	Yes	Early Childhood Caries – Fluoride Applications
7	IT-7.4	Non-Standalone (NSA)	P4P	Yes	Topical Fluoride application
7	IT-7.5	Standalone (SA)	P4P	Yes	Proportion of older adults aged 65 to 74 years who have lost all their natural teeth
7	IT-7.6	Standalone (SA)	P4P	Yes	Urgent Dental Care Needs in Children: Percentage of children with urgent dental care needs
7	IT-7.7	Standalone (SA)	P4P	Yes	Urgent Dental Care Need in Older Adults
7	IT-7.8	Standalone (SA)	P4P	Yes	Chronic Disease Patients Accessing Dental Services
7	IT-7.9	Standalone (SA)	P4P	Yes	Dental Treatment Needs Among Chronic Disease Patients
7	IT-7.10	Standalone (SA)	P4P	No	Cavities: Adults
7	IT-7.11	Non-Standalone (NSA)	P4P	No	Utilization of Services: Children
7	IT-7.12	Non-Standalone (NSA)	P4P	No	Oral Evaluation: Children

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

<b>OD</b>	<b>IT reference number</b>	<b>Measure type</b>	<b>Performance Type</b>	<b>Prior Authorization Required</b>	<b>Title of measure</b>
7	IT-7.13	Non-Standalone (NSA)	P4P	No	Prevention: Sealants for 6 – 9 year-old Children at Elevated Risk
7	IT-7.14	Non-Standalone (NSA)	P4P	No	Prevention: Sealants for 10 – 14 year-old Children at Elevated Risk
7	IT-7.15	Non-Standalone (NSA)	P4P	No	Prevention: Topical Fluoride Intensity for Children at Elevated Caries Risk
7	IT-7.16	Non-Standalone (NSA)	P4P	No	Preventive Services for Children at Elevated Caries Risk
7	IT-7.17	Non-Standalone (NSA)	P4P	No	Treatment Services: Children
7	IT-7.18	Non-Standalone (NSA)	P4P	No	Usual Source of Services
7	IT-7.19	Non-Standalone (NSA)	P4P	No	Care Continuity: Children
7	IT-7.20	Non-Standalone (NSA)	P4P	No	Per Member Per Month Cost of Clinical Services (PMPM Cost): Children
7	IT-7.21	Non-Standalone (NSA)	P4P	No	Annual Dental Visit
7	IT-7.22	Non-Standalone (NSA)	P4R	Yes	Diabetes mellitus: percent of patients who obtained a dental exam in the last 12 months (NQMC:1600)
8	IT-8.1	Non-Standalone (NSA)	P4P	No	Timeliness of Prenatal/Postnatal Care
8	IT-8.2	Standalone (SA)	P4P	No	Percentage of Low Birth- weight births
8	IT-8.3	Standalone (SA)	P4P	No	Early Elective Delivery
8	IT-8.4	Non-Standalone (NSA)	P4P	No	Antenatal Steroids
8	IT-8.5	Non-Standalone (NSA)	P4P	No	Frequency of ongoing prenatal care
8	IT-8.6	Non-Standalone (NSA)	P4P	No	Cesarean Rate for Nulliparous Singleton Vertex
8	IT-8.7	Non-Standalone (NSA)	P4P	No	Birth Trauma Rates
8	IT-8.8	Standalone (SA)	P4P	Yes	Neonatal Mortality
8	IT-8.9	Standalone (SA)	P4R	Yes	Youth Pregnancy Rate

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

OD	IT reference number	Measure type	Performance Type	Prior Authorization Required	Title of measure
8	IT-8.10	Standalone (SA)	P4R	Yes	Pregnancy Rate
8	IT-8.11	Standalone (SA)	P4R	Yes	Healthy term newborn
8	IT-8.12	Standalone (SA)	P4P	No	Pre-term birth rate
8	IT-8.13	Standalone (SA)	P4R	Yes	NICU days/delivery
8	IT-8.14	Non-Standalone (NSA)	P4R	Yes	Exclusive Breastfeeding at 3 Months
8	IT-8.15	Non-Standalone (NSA)	P4R	Yes	Exclusive Breastfeeding at 6 Months
8	IT-8.16	Non-Standalone (NSA)	P4R	Yes	Any Breastfeeding at 6 Months
8	IT-8.17	Non-Standalone (NSA)	P4R	Yes	Any Breastfeeding at 12 Months
8	IT-8.18	Non-Standalone (NSA)	P4P	No	Rate of Exclusive Breastfeeding
8	IT-8.19	Standalone (SA)	P4P	No	Post-Partum Follow-Up and Care Coordination
8	IT-8.20	Non-Standalone (NSA)	P4P	No	Developmental Screening in the First Three Years of Life
8	IT-8.21	Non-Standalone (NSA)	P4P	No	Well-Child Visits in the First 15 Months of Life (6 or more visits)
8	IT-8.22	Non-Standalone (NSA)	P4P	No	Well-Child Visits in the Third, Fourth, Fifth and Sixth Years of Life
8	IT-8.23	Non-Standalone (NSA)	P4P	No	Children and Adolescents' Access to Primary Care Practitioners (CAP)
8	IT-8.24	Non-Standalone (NSA)	P4P	No	Adolescent Well-Care Visits (AWC)
8	IT-8.25	Non-Standalone (NSA)	P4R	Yes	Sudden Infant Death Syndrome Counseling
8	IT-8.26	Non-Standalone (NSA)	P4R	Yes	Routine prenatal care: percentage of pregnant patients who receive counseling about aneuploidy screening in the first trimester (NQMC:8031)
8	IT-8.27	Non-Standalone (NSA)	P4R	Yes	Behavioral health risk assessment (for pregnant women)
9	IT-9.1	Standalone (SA)	P4P	Yes	Decrease in mental health admissions and readmissions to criminal justice settings such as jails or prisons
9	IT-9.2	Standalone (SA)	P4P	No	Reduce Emergency Department (ED) visits for Ambulatory Care Sensitive Conditions (ACSC) per 100,000

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

<b>OD</b>	<b>IT reference number</b>	<b>Measure type</b>	<b>Performance Type</b>	<b>Prior Authorization Required</b>	<b>Title of measure</b>
9	IT-9.3	Standalone (SA)	P4P	No	Reduce Pediatric Emergency Department (ED) visits for Ambulatory Care Sensitive Conditions (ACSC) per 100,000
9	IT-9.2.a	Standalone (SA)	P4P	No	Emergency Department (ED) visits per 100,000
9	IT-9.3.a	Standalone (SA)	P4P	No	Pediatric Emergency Department (ED) visits per 100,000
9	IT-9.4.a	Standalone (SA)	P4P	No	Reduce Emergency Department visits for Congestive Heart Failure
9	IT-9.4.b	Standalone (SA)	P4P	No	Reduce Emergency Department visits for Diabetes
9	IT-9.4.c	Standalone (SA)	P4P	No	Reduce Emergency Department visits for End Stage Renal Disease
9	IT-9.4.d	Standalone (SA)	P4P	No	Reduce Emergency Department visits for Angina and Hypertension
9	IT-9.4.e	Standalone (SA)	P4P	No	Reduce Emergency Department visits for Behavioral Health/Substance Abuse
9	IT-9.4.f	Standalone (SA)	P4P	No	Reduce Emergency Department visits for Chronic Obstructive Pulmonary Disease
9	IT-9.4.g	Standalone (SA)	P4P	No	Reduce Emergency Department visits for Asthma
9	IT-9.4.i	Standalone (SA)	P4P	No	Reduce Emergency Department visits for Dental Conditions
9	IT-9.4.h	Standalone (SA)	P4P	No	Pediatric/Young Adult Asthma Emergency Department Visits
9	IT-9.5	Non-Standalone (NSA)	P4R	Yes	Reduce low acuity ED visits
9	IT-9.6	Non-Standalone (NSA)	P4P	No	Emergency department (ED) visits where patients left without being seen
9	IT-9.7	Non-Standalone (NSA)	P4P	No	Emergency department (ED) visits where patients with a mental health complaint without being seen
9	IT-9.8	Non-Standalone (NSA)	P4P	No	Care Transition: Transition Record with Specified Elements Received by Discharged Patients (Emergency Department Discharges to Ambulatory Care [Home/Self Care] or Home Health Care)



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

OD	IT reference number	Measure type	Performance Type	Prior Authorization Required	Title of measure
9	IT-9.9	Non-Standalone (NSA)	P4P	No	Transition Record with Specified Elements Received by Discharged Patients (Inpatient Discharges to Home/Self Care or Any Other Site of Care)
9	IT-9.10	Standalone (SA)	P4P	No	ED throughput Measure bundle
9	IT-9.10.a	Non-Standalone (NSA)	P4P	No	Median Time from ED Arrival to ED Departure for Discharged ED Patients
9	IT-9.10.b	Non-Standalone (NSA)	P4P	No	Median time from admit decision time to time of departure from the ED for ED patients admitted to inpatient status
9	IT-9.10.c	Non-Standalone (NSA)	P4P	No	Median time from ED arrival to time of departure from the emergency room for patients admitted to the facility from the ED
10	IT-10.1.a.i	Standalone (SA)	P4P	No	Assessment of Quality of Life (AQoL-4D)
10	IT-10.1.a.ii	Standalone (SA)	P4P	No	Assessment of Quality of Life (AQoL-6D)
10	IT-10.1.a.iii	Standalone (SA)	P4P	No	Assessment of Quality of Life (AQoL-7D)
10	IT-10.1.a.iv	Standalone (SA)	P4P	No	Assessment of Quality of Life (AQoL-8D)
10	IT-10.1.a.v	Standalone (SA)	P4P	No	Pediatric Quality of Life Inventory (PedsQL)
10	IT-10.1.b.i	Standalone (SA)	P4P	No	RAND Medical Outcomes Study: Measures of Quality of Life Survey Core Survey (MOS)
10	IT-10.1.b.ii	Standalone (SA)	P4P	No	RAND Short Form 12 (SF-12v2) Health Survey
10	IT-10.1.b.iii	Standalone (SA)	P4P	No	RAND Short Form 36[1] (SF-36) Health Survey
10	IT-10.1.c	Standalone (SA)	P4R	Yes	Quality of Life Enjoyment and Satisfaction Questionnaire (Q-LES-Q)
10	IT-10.1.d	Standalone (SA)	P4P	No	McGill Quality of Life (MQOL) Index
10	IT-10.1.e.i	Standalone (SA)	P4P	No	Palliative Care Outcome Scale (POSv1)
10	IT-10.1.e.ii	Standalone (SA)	P4P	No	Palliative Care Outcome Scale (POSv2)
10	IT-10.1.f	Standalone (SA)	P4P	No	Functional Assessment of Cancer Therapy (FACT-G)
10	IT-10.1.g	Standalone (SA)	P4P	No	Missoula-VITAS Quality of Life Index (MVQOLI)
10	IT-10.1.h	Standalone (SA)	P4P	No	CDC Health-Related Quality of Life (HRQoL) Measures
10	IT-10.1.i.i	Standalone (SA)	P4R	Yes	Child Health Questionnaire Parent CHQ-PF50
10	IT-10.1.i.ii	Standalone (SA)	P4R	Yes	Child Health Questionnaire Parent CHQ-PF28



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

<b>OD</b>	<b>IT reference number</b>	<b>Measure type</b>	<b>Performance Type</b>	<b>Prior Authorization Required</b>	<b>Title of measure</b>
10	IT-10.1.i.iii	Standalone (SA)	P4R	Yes	Child Health Questionnaire Child Form (CHQ-CF87)
10	IT-10.1.j	Standalone (SA)	P4R	Yes	Family Experiences Interview Schedule (FEIS)
10	IT-10.2.a	Standalone (SA)	P4R	Yes	Supports Intensity Scale (SIS)
10	IT-10.2.b	Standalone (SA)	P4P	No	Lawton Instrumental Activities of Daily Living (IADLs) Scale
10	IT-10.3.a	Standalone (SA)	P4P	No	Activity Measure for Post-Acute Care (AMPAC)
10	IT-10.3.b	Standalone (SA)	P4R	Yes	The Duke Health Profile (Duke)
10	IT-10.3.d	Standalone (SA)	P4P	No	Battelle Development Inventory-2 (BDI-2)
10	IT-10.3.e	Standalone (SA)	P4P	No	Problem Areas in Diabetes (PAID) Scale
10	IT-10.4.a	Standalone (SA)	P4R	Yes	Developmental Profile 3 (DP-3)
10	IT-10.4.b	Standalone (SA)	P4R	Yes	Vineland Adaptive Behavior Scales, 2nd Edition (VABS II)
10	IT-10.5	Standalone (SA)	P4R	Yes	Bayley Scales of Infant and Toddler Development-Third Edition (Bayley-III)
11	IT-11.1	Non-Standalone (NSA)	P4R	Yes	Adult Mental Health Facility Admission Rate
11	IT-11.2	Non-Standalone (NSA)	P4R	Yes	Youth Mental Health Facility Admission Rate
11	IT-11.3	Non-Standalone (NSA)	P4R	Yes	IDD/ICF Admissions to a Care Facility
11	IT-11.4	Non-Standalone (NSA)	P4R	Yes	IDD/SPMI Admissions and Readmissions to State Institutions
11	IT-11.5	Standalone (SA)	P4P	No	Adherence to Antipsychotic Medications for Individuals with Schizophrenia
11	IT-11.6	Standalone (SA)	P4P	No	Follow-up Care for Children Prescribed ADHD Medication (ADD)
11	IT-11.7	Non-Standalone (NSA)	P4P	No	Initiation of Depression Treatment
11	IT-11.8	Standalone (SA)	P4P	No	Initiation and Engagement of Alcohol and Other Drug Dependence Treatment
11	IT-11.9	Non-Standalone (NSA)	P4P	No	Care Planning for Dual Diagnosis
11	IT-11.10	Non-Standalone (NSA)	P4R	Yes	Diabetes Screening for People with Schizophrenia or Bipolar Disorder Prescribed Antipsychotic Medications (SSD)
11	IT-11.11	Non-Standalone (NSA)	P4R	Yes	Diabetes Monitoring for People With Diabetes and Schizophrenia

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

<b>OD</b>	<b>IT reference number</b>	<b>Measure type</b>	<b>Performance Type</b>	<b>Prior Authorization Required</b>	<b>Title of measure</b>
11	IT-11.12	Non-Standalone (NSA)	P4P	No	Cardiovascular monitoring for people with cardiovascular disease and schizophrenia (SMC)
11	IT-11.13	Non-Standalone (NSA)	P4R	Yes	Assignment of Primary Care Physician to Individuals with Schizophrenia
11	IT-11.14	Non-Standalone (NSA)	P4R	Yes	Annual Physical Exam for Persons with Mental Illness
11	IT-11.15	Non-Standalone (NSA)	P4R	Yes	Depression Screening by 18 years of age
11	IT-11.16	Non-Standalone (NSA)	P4P	Yes	Assessment for Substance Abuse Problems of Psychiatric Patients
11	IT-11.17	Non-Standalone (NSA)	P4P	Yes	Assessment of Risk to Self/Others
11	IT-11.18	Non-Standalone (NSA)	P4R	Yes	Bipolar Disorder (BD) and Major Depression (MD): Appraisal for alcohol or substance use
11	IT-11.19	Non-Standalone (NSA)	P4P	Yes	Assessment for Psychosocial Issues of Psychiatric Patients
11	IT-11.20	Non-Standalone (NSA)	P4R	Yes	Bipolar Disorder and Major Depression: Assessment for Manic or hypomanic behaviors
11	IT-11.21	Non-Standalone (NSA)	P4R	Yes	Assessment of Major Depressive Symptoms
11	IT-11.22	Non-Standalone (NSA)	P4R	Yes	Child and Adolescent Major Depressive Disorder: Suicide Risk Assessment
11	IT-11.27	Non-Standalone (NSA)	P4P	No	Vocational Rehabilitation for Schizophrenia
11	IT-11.28	Non-Standalone (NSA)	P4R	Yes	Housing Assessment for Individuals with Schizophrenia
11	IT-11.29	Non-Standalone (NSA)	P4R	Yes	Independent Living Skills Assessment for Individuals with Schizophrenia
11	IT-11.23.a	Standalone (SA)	P4R	Yes	Texas Adult Mental Health (AMH) Consumer Survey
11	IT-11.23.b	Standalone (SA)	P4R	Yes	Quick Inventory of Depressive Symptomatology (QIDS)
11	IT-11.24	Standalone (SA)	P4R	Yes	Generalized Anxiety Disorder (GAD-7)
11	IT-11.25	Standalone (SA)	P4R	Yes	Daily Living Activities (DLA-20)
11	IT-11.26.a	Standalone (SA)	P4R	Yes	Positive Symptom Rating Scale (PSRS)
11	IT-11.26.b	Standalone (SA)	P4R	Yes	Aberrant Behavior Checklist (ABC)
11	IT-11.26.c	Standalone (SA)	P4R	Yes	Adult Needs and Strength Assessment (ANSA)

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

OD	IT reference number	Measure type	Performance Type	Prior Authorization Required	Title of measure
11	IT-11.26.d	Standalone (SA)	P4R	Yes	Children and Adolescent Needs and Strengths Assessment (CANS-MH)
11	IT-11.26.e.i	Standalone (SA)	P4P	No	Patient Health Questionnaire 9 (PHQ-9)
11	IT-11.26.e.ii	Standalone (SA)	P4P	No	Patient Health Questionnaire 15 (PHQ-15)
11	IT-11.26.e.iii	Standalone (SA)	P4P	No	Patient Health Questionnaire: Somatic, Anxiety, and Depressive Symptoms (PHQ-SADS)
11	IT-11.26.e.iv	Standalone (SA)	P4P	No	Patient Health Questionnaire 4 (PHQ-4)
11	IT-11.26.e.v	Standalone (SA)	P4R	Yes	Edinburg Postpartum Depression Scale
12	IT-12.1	Non-Standalone (NSA)	P4P	No	Breast Cancer Screening
12	IT-12.2	Non-Standalone (NSA)	P4P	No	Cervical Cancer Screening
12	IT-12.3	Non-Standalone (NSA)	P4P	No	Colorectal Cancer Screening
12	IT-12.4	Non-Standalone (NSA)	P4P	No	Pneumonia vaccination status for older adults
12	IT-12.5	Non-Standalone (NSA)	P4P	No	Pneumococcal Immunization- Inpatient
12	IT-12.6	Non-Standalone (NSA)	P4P	No	Influenza Immunization -- Ambulatory
12	IT-12.7	Non-Standalone (NSA)	P4P	No	Influenza Immunization- Inpatient
12	IT-12.8	Non-Standalone (NSA)	P4P	No	Immunization for Adolescents- Tdap/TD and MCV
12	IT-12.9	Non-Standalone (NSA)	P4P	No	Childhood immunization status
12	IT-12.10	Non-Standalone (NSA)	P4P	No	Adults (18+ years) Immunization status
12	IT-12.11	Non-Standalone (NSA)	P4P	No	HPV vaccine for adolescents
12	IT-12.12	Non-Standalone (NSA)	P4R	Yes	Immunization and Recommended Immunization Schedule Education
12	IT-12.13	Standalone (SA)	P4P	No	Mammography follow-up rate
12	IT-12.14	Non-Standalone (NSA)	P4R	Yes	Prostate Cancer: Avoidance of Overuse Measure – Bone Scan for Staging Low-Risk Patients
12	IT-12.15	Standalone (SA)	P4P	No	Abnormal Pap test follow-up rate
12	IT-12.16	Standalone (SA)	P4P	No	High-risk Colorectal Cancer Follow-up rate within one year
12	IT-12.17	Non-Standalone (NSA)	P4R	Yes	Intensive behavioral dietary counseling for adult patients with hyperlipidemia and other known risk factors for cardiovascular and diet-related chronic disease

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

<b>OD</b>	<b>IT reference number</b>	<b>Measure type</b>	<b>Performance Type</b>	<b>Prior Authorization Required</b>	<b>Title of measure</b>
12	IT-12.18	Non-Standalone (NSA)	P4R	Yes	ABI Screening for Peripheral Arterial Disease
12	IT-12.19	Non-Standalone (NSA)	P4P	No	Osteoporosis: Screening or Therapy for Women Aged 65 Years and Older
13	IT-13.1	Non-Standalone (NSA)	P4P	Yes	Hospice and Palliative Care – Pain assessment
13	IT-13.2	Non-Standalone (NSA)	P4P	No	Hospice and Palliative Care – Treatment Preferences
13	IT-13.3	Standalone (SA)	P4P	Yes	Hospice and Palliative Care – Proportion with more than one emergency room visit in the last days of life
13	IT-13.4	Standalone (SA)	P4P	Yes	Hospice and Palliative Care – Proportion admitted to the ICU in the last 30 days of life
13	IT-13.5	Non-Standalone (NSA)	P4P	No	Hospice and Palliative Care – Percentage of patients receiving hospice or palliative care services with documentation in the clinical record of a discussion of spiritual/religions concerns or documentation that the patient/caregiver did not want to discuss
13	IT-13.6	Non-Standalone (NSA)	P4P	No	Palliative Care: Percent of patients who have documentation in the medical record that an interdisciplinary family meeting was conducted on or before day five of ICU admission
13	IT-13.7	Standalone (SA)	P4R	Yes	Oncology: Pain Intensity Quantified – Medical Oncology and Radiation Oncology
13	IT-13.8	Non-Standalone (NSA)	P4R	Yes	Oncology: Plan of Care for Pain – Medical Oncology and Radiation Oncology
14	IT-14.1	Standalone (SA)	P4R	Yes	Number of practicing primary care practitioners per 1000 individual in HPSAs or MUAs
14	IT-14.2	Standalone (SA)	P4R	Yes	Number of practicing nurse practitioners and physician assistants per 1000 individuals in HPSAs or MUAs
14	IT-14.3	Standalone (SA)	P4R	Yes	Number of practicing psychiatrists per 1000 individuals in HPSAs or MUAs
14	IT-14.4	Non-Standalone (NSA)	P4R	Yes	Percent of graduates who practice in a HPSA or MUA

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

OD	IT reference number	Measure type	Performance Type	Prior Authorization Required	Title of measure
14	IT-14.5	Non-Standalone (NSA)	P4R	Yes	Percent of graduates who work in a practice that has a high Medicaid share that reflects the distribution of Medicaid in the population
14	IT-14.6	Non-Standalone (NSA)	P4R	Yes	Percent of trainees who have spent at least 5 years living in a health- professional shortage area (HPSA) or medically underserved area
14	IT-14.7	Non-Standalone (NSA)	P4R	Yes	Percent of trainees who report that they plan to practice in HPSAs or MUAs based on a systematic survey
14	IT-14.8	Non-Standalone (NSA)	P4R	Yes	Percent of trainees who report that they plan to serve Medicaid populations based on a systematic survey
14	IT-14.9	Standalone (SA)	P4R	Yes	Number of practicing specialty care practitioners per 1000 individuals in HPSA or MUA
15	IT-15.1	Non-Standalone (NSA)	P4P	No	HIV medical visit frequency
15	IT-15.2	Standalone (SA)	P4P	No	Prescription of Antiretroviral Medications
15	IT-15.3	Non-Standalone (NSA)	P4P	No	HIV Screening: Patients at High Risk of HIV
15	IT-15.4	Non-Standalone (NSA)	P4P	No	HIV/AIDS: Tuberculosis (TB) Screening
15	IT-15.5	Non-Standalone (NSA)	P4P	No	HIV/AIDS: Sexually Transmitted Diseases - Screening for Chlamydia, Gonorrhea, and Syphilis
15	IT-15.6	Non-Standalone (NSA)	P4P	No	Chlamydia screening in women
15	IT-15.7	Non-Standalone (NSA)	P4P	No	Chlamydia Screening and Follow up in adolescents
15	IT-15.8	Standalone (SA)	P4R	Yes	Follow-up testing for C. trachomatis among recently infected men and women
15	IT-15.9	Non-Standalone (NSA)	P4R	Yes	Syphilis screening
15	IT-15.10	Non-Standalone (NSA)	P4P	No	Syphilis positive screening rates
15	IT-15.11	Standalone (SA)	P4P	No	Follow-up after Treatment for Primary or Secondary Syphilis
15	IT-15.12	Non-Standalone (NSA)	P4R	Yes	Gonorrhea screening rates
15	IT-15.13	Non-Standalone (NSA)	P4P	No	Gonorrhea Positive Screening Rates
15	IT-15.14	Standalone (SA)	P4P	No	Follow-up testing for N. gonorrhoeae among recently infected men and women

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

<b>OD</b>	<b>IT reference number</b>	<b>Measure type</b>	<b>Performance Type</b>	<b>Prior Authorization Required</b>	<b>Title of measure</b>
15	IT-15.15	Non-Standalone (NSA)	P4R	Yes	High Intensity Behavioral Counseling to prevent STIs for all sexually active adolescents and for adults at increased risk for STIs
15	IT-15.16	Standalone (SA)	P4P	No	Curative Tuberculosis (TB) treatment rate
15	IT-15.17	Standalone (SA)	P4P	No	Latent Tuberculosis Infection (LTBI) treatment rate
15	IT-15.18	Standalone (SA)	P4P	No	Hepatitis C Cure Rate

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 4**

**Grouping Patients for Outcomes**

For the purpose of Category 3 outcomes, there are three main groups of patients to consider.

**Intervention population** - This is the group of individuals that receives the intervention outlined in the Category 1 or 2 project. In almost all cases (and based on measure specifications), a provider will not report on the intervention-level population for the purposes of Category 3 reporting.

**Target population** - This is the group of individuals that is eligible to receive the intervention (the broader group of individuals the intervention is designed to serve). While Category 3 must be reported to measure specifications, providers may narrow the measure denominator based on certain criteria to more closely represent the Category 1 or 2 project's target population.

**Outcome population** - This is the group of patients that meet the criteria for outcome measurement based on the specifications for each measure. This often is a broader population than the project target population.

**Allowable Denominator Subsets**

All Category 3 outcome measures are required to be reported to the specifications required for the measure as outlined in the menu and the compendium. However, as appropriate to the Category 1 or 2 project, the provider can propose a more narrow denominator (a subset of the outcome population) based on one or more of the following criteria:

- Payer source (Medicaid or Indigent or both),
- Target condition (including co-morbid condition/diagnosis)
- Demographic factors - age, race/ethnicity, and/or gender, or
- Clinic or other location where the Category 1 or 2 project is taking place.

Using allowable denominator subsets is a way to more closely reflect the target population for each project (which will still be broader than the intervention population in almost all cases).

**Establishing a Baseline for Each Category 3 Measure**

Each DSRIP provider will need to establish a baseline for all Category 3 outcome measures, both P4P and P4R. Baselines also must be established for any selected Population-Focused Priority measures used as an alternative performance activity. The baseline will be specific to the patients served by that provider. Baselines will be formally reported in October 2014 or later if needed.

The provider's baseline for each measure will determine both the achievement goals for the measure in DY4 and DY5. The baseline period should be as recent as possible, DY3 is preferred, and will generally be a 12-month or 6-month period. The DY4 measurement period will be set as the 12 months immediately following the end of baseline period and the DY5 measurement period will be the 12 months immediately following the end of DY4 measurement

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

period. Providers should review the measure specifications to help determine the appropriate baseline period.

If providers need to request an earlier baseline measurement period than DY2, provider will need to submit justification as to why DY2 or DY3 baseline is not appropriate or available. HHSC will review these on a case by case basis and make a determination on appropriate DY4 and DY5 measurement periods.

**Standard Achievement Target Methodology for Achievement Milestones**

For achievement milestones for P4P measures in DY4-5 and Population-Focused Priority Measures in DY5, providers will receive incentive payments for demonstrating improvements in rate performance towards an achievement target. Achievement targets are determined based on a provider's baseline performance in the measure and are calculated by one of the two methodologies described below. Achievement milestones are eligible for partial achievement in increments of 25% as outlined in the PFM Protocol.

**Quality Improvement System for Managed Care (QISMC):** For those P4P measures where the improvement methodology is designated as QISMC, providers will receive incentive payments for closing the gap between their baseline performance and the benchmark rates listed. For DSRIP, Texas is using a hybrid of this system used for managed care, and the benchmarks are a proxy for performance based on national or state data and may not be an exact match to the population or delivery system for a DSRIP project. If a provider, at baseline, is performing above the high performance benchmark it is required to select another measure unless the provider can make a compelling justification for how improvement can be demonstrated beyond the high performance benchmark.

The achievement level goal for DY4 will be determined as follows:

- IF a provider's reported baseline rate falls below the low performance benchmark (also called minimum performance level or MPL) the DY4 Achievement Target is equal to the rate listed for the MPL.
- IF a provider's reported baseline rate falls above the MPL but below the high performance level (HPL) benchmark, the provider must close the gap between baseline performance and the HPL rate by 10%.

The achievement level goal for DY5 will be determined as follows.

- IF a provider's reported baseline rate falls below the low performance benchmark (also called minimum performance level or MPL) the DY5 Achievement Target is equal to a 10% gap reduction between the MPL and HPL.
- IF a provider's reported baseline rate falls above the MPL but below the high performance level (HPL) benchmark providers must close the gap between baseline performance and the HPL rate by 20%.

**Example:**

IT-1.10 A1C poor control (>9%)			MPL = 50.7%	HPL = 28.95%
Baseline performance	DY4 Achievement Target (goal)	DY5 Achievement target (goal)	DY4 performance/ payment	DY5 performance/ payment



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

Scenario 1: <b>63.4%</b>	50.7% (= MPL)	48.53% = MPL – ([HPL-MPL] * 10%)	53.4%: 78% achievement towards goal- earns 75% of allocation	47.50%: 100% achievement towards goal- earns 100% of allocation
Scenario 2: <b>36.7%</b>	35.93% (= (baseline - HPL)* 10% improvement over baseline)	35.15% (= (baseline - HPL)* 20% improvement over baseline)	35.50%: 100% achievement towards goal- earns 100% of allocation	35.40%: 84% achievement towards goal- earns 75% of allocation

**Improvement over Self (IOS)**: There are some P4P measures where QSMIC appropriate benchmarks (HPL and MPL) are not available. For these P4P measures, the improvement methodology is designated as “IOS”, or Improvement over self, providers earn incentive payments for demonstrating improvement over baseline performance.

The achievement level goals will be determined as follows:

- DY4 achievement level goal is equal to a 5% improvement over the provider’s baseline and is calculated as a 5% gap reduction between baseline performance and highest possible performance in the measure (e.g., 0% or 100% depending on the directionality of a rate-based measure).
- DY5 achievement level goal is equal to 10% improvement over the provider’s baseline and is calculated as a 10% gap reduction between baseline performance and highest possible performance in the measure.

The IOS methodology is further described and specified in Appendix B for measures that are categorized as rates, frequencies or counts and survey scores

Example of IOS achievement methodology for a rate-based measure:

IT-1.9	Depression Management: Depression Remission at 12 months			No high and low performing benchmark information available, therefore assume highest possible performance (100%) as performance gap upper limit.
Baseline	DY4 Achievement target (goal)	DY4 performance/payment	DY5 Achievement target (goal)	DY5 performance/payment
<b>40.25%</b>	5% * (100- 40.25) + baseline = <b>43.24%</b>	<b>42.5%:</b> ((performance – baseline)/(goal – baseline)) = 2.25/2.99 * 100 = 75.25% achievement towards	10% * (100- 40.25) + baseline = <b>46.23%</b>	<b>47.5%:</b> ((performance – baseline)/(goal – baseline)) = 7.25/5.98 * 100 = 121%

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

		goal - earns 75% of allocation		achievement towards goal - earns 100% of allocation.
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**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

**Category 3 Reporting**

**i. DY2 Reporting**

For DY2, providers were able to select their Category 3 process milestones from the below options and also designate the valuation for each milestone as long as their total Category 3 valuation met the minimum percentage level required in the PFM Protocol. Metrics, data sources, goals and rationale were specified by the performing provider for each of the selected process milestones listed below.

- P- 1 Project planning - engage stakeholders, identify current capacity and needed resources, determine timelines and document implementation plans
- P- 2 Establish baseline rates
- P- 3 Develop and test data systems
- P- 4 Conduct Plan Do Study Act (PDSA) cycles to improve data collection and intervention activities
- P- 5 Disseminate findings, including lessons learned and best practices, to stakeholders
- P- 7 Other activities not described above

HHSC and CMS also allowed performing providers in DY2 to provide a Category 3 status update in lieu of documentation specific to the milestones above since the revised Category 3 menu and framework was not final by the end of DY2.

**ii. DY3 Reporting**

For all Category 3 measures, there will be two process milestones in DY3 - providers will be eligible to earn 50% of the funding for each Category 3 measure based on a status report and the other 50% during the based on establishing or validating the baseline for each measure.

**iii. DY4 Reporting**

Reporting in DY4 will vary depending on the type of outcome selected (P4P or P4R).

<b>Measure and performance type</b>	<b>Milestone type and % fund allocation</b>	<b>Successful Achievement</b>
P4P – QISMC	Process Milestone (PM) - 50% allocation Achievement Milestone (AM) - 50% allocation	PM - accurate reporting of DY4 rate per approved measure specifications. AM - achievement of DY4 goal (MPL achieved or 10% gap reduction between baseline rate and HPL benchmark)
P4P- IOS	Process Milestone (PM) - 50% allocation Achievement Milestone (AM) - 50% allocation	PM - accurate reporting of DY4 rate per approved measure specifications. AM - achievement of DY4 goal (5% improvement over baseline rate)

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 3**

P4R	Process Milestone (PM) - 100% allocation	PM - accurate reporting of DY4 rate per approved measure specifications.
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**iv. DY5 Reporting**

DY5 reporting will vary depending on the type of outcome selected (P4P or P4R) as well as the type of Alternate Improvement Activity selected.

<b>Measure and performance type</b>	<b>Milestone type and % fund allocation</b>	<b>Successful Achievement</b>
P4P - QISMC	Achievement Milestone - 100% allocation	AM- achievement of DY5 goal (improvement over MPL goal by a 10% gap reduction between MPL and HPL or 20% gap reduction between baseline rate and HPL benchmark)
P4P – IOS	Achievement Milestone - 100% allocation	AM- achievement of DY5 goal (10% improvement over baseline rate)
P4R	Process Milestone - 50% allocation  <u>Alternate Improvement Activity</u> – 50% allocation for Achievement Milestone for Population-Focused Priority Measure improvement OR Process Milestone for Stretch Activity	PM - accurate reporting of DY5 rate per approved measure specifications.  AM - for Population-Focused Priority measures- achievement of DY5 goal OR PM- successful reporting of Stretch Activity

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**  
**Category 4**

**Category 4 Population-focused Improvements**

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

#### ***The Category 4 measures are:***

- Aligned with the low-income, Medicaid, and uninsured population;
- Identified as high priority given the health care needs and issues of the patient population served; and
- Viewed as valid health care indicators to inform and identify areas for improvement in population health within the health care system.

#### ***Category 4 Structure:***

- Required Reporting Domains: Category 4 contains five domains on which hospital performing providers must report, as specified in the *Program Funding and Mechanics Protocol*. The required reporting domains include:
  - Potentially Preventable Admissions (PPAs)
  - Potentially Preventable Readmissions (PPRs) - 30-day
  - Potentially preventable Complications (PPCs)
  - Patient-centered healthcare, including patient satisfaction and medication management
  - Emergency department
- Optional Reporting Domain: At their option, hospital performing providers may report on Reporting Domain (RD) 6, which is the CMS Initial Core Set of Measures for Adults and Children in Medicaid/CHIP. While reporting on this domain is optional, participation in Domain 6 reporting is required to value Category 4 at the 15 percent maximum (see *Category 4 Valuation* below.)
- Hospital performing providers, with the exception of those that are exempt from Category 4 reporting in accordance with paragraph 11.f of the *Program Funding and Mechanics Protocol*, must report on Category 4 measures in the required reporting domains. Each hospital performing provider subject to required Category 4 reporting must report on all measures in the required reporting domains, unless for certain measures the provider does not have statistically valid data, as defined in paragraph 11.e of the *Program Funding and Mechanics Protocol*. Hospitals designated as Institutes of Mental Disease (IMDs) report on an alternate set of measures listed at the end of this section.
- HHSC will collect all Category 4 data for each hospital, but based on Texas statutory requirements pertaining to the confidentiality of individual hospital data for some of the Category 4 measures, HHSC will summarize certain data related to Category 4 for CMS at the RHP level rather than at the individual provider level.
- Each performing provider subject to Category 4 required reporting will include Category 4 measures for PPCs (RD-3) during DY 4-5 and for all other required reporting domains during DY 3-5.
- The Category 4 emphasis is on the reporting of population health measures to gain information on and understanding of the health status of key populations and to build the capacity for reporting on a comprehensive set of population health metrics; therefore, hospital performing providers will not be required to achieve improvement in Category 4.

#### ***Category 4 Valuation:***

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

- Maximum valuation: In order to value Category 4 up to the 15 percent maximum for DY 3-5, hospital performing providers must report on the optional reporting domain (RD-6) in addition to the five required reporting domains.
- 10 percent valuation: Hospital performing providers that do not report on the optional reporting domain (RD-6) only may value Category 4 at the minimum 10 percent for DY 3-5. Performing providers that only report on the required reporting domains may designate to Categories 1, 2, or 3 the 5 percent valuation they are unable to obtain in Category 4 by foregoing reporting on the optional domain.

**Category 4 Reporting Measures by Domain:**

**RD-1: Potentially Preventable Admissions**

Texas Medicaid's External Quality Review Organization (EQRO) supplies Potentially Preventable Admissions (PPA) reports for DSRIP participating hospital providers for the duration of the Waiver. These PPA reports are produced with the 3M methodology and describe admissions for the providers Medicaid and CHIP populations. For reporting in this domain, providers submit the PPA data on the following categories:

<b>Category</b>
<b>Congestive Heart Failure</b>
<b>Diabetes</b>
<b>Behavioral Health or Substance Abuse</b>
<b>Chronic Obstructive Pulmonary Disease</b>
<b>Adult Asthma (Age&gt;18yrs)</b>
<b>Pediatric Asthma (Age&lt;=18yrs)</b>
<b>Angina and Coronary Artery Disease</b>
<b>Hypertension</b>
<b>Cellulitis</b>
<b>Bacterial PNA (Respiratory Infection)</b>
<b>Pulmonary Edema and Respiratory Failure</b>
<b>Others</b>

Additional technical specifications are available in the DSRIP Provider Reporting Potentially Preventable Events Technical Notes (Appendix E), including APR-DRGs associated with these categories.

**RD-2: Potentially Preventable Readmission - 30-day**

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

Texas Medicaid's External Quality Review Organization (EQRO) supplies Potentially Preventable 30-day Readmissions (PPR) reports for the duration of the waiver. These PPR reports are produced with the 3M methodology and describe readmissions for the providers Medicaid and CHIP populations. For reporting in this domain, providers submit PPR data on the following categories:

Category
<b>Congestive Heart Failure</b>
<b>Diabetes</b>
<b>Behavioral Health or Substance Abuse</b>
<b>Chronic Obstructive Pulmonary Disease</b>
<b>Cerebrovascular Accident</b>
<b>Adult Asthma (Age&gt;18yrs)</b>
<b>Pediatric Asthma (Age&lt;=18yrs)</b>
<b>Acute Myocardial Infarction</b>
<b>Angina and Coronary Artery Disease</b>
<b>Hypertension</b>
<b>Cellulitis</b>
<b>Renal Failure</b>
<b>Cesarean delivery</b>
<b>Sepsis</b>
<b>Others</b>

Additional technical specifications are available in the DSRIP Provider Reporting Potentially Preventable Events Technical Notes (Appendix E), including APR-DRGs associated with these categories.

**RD-3: Potentially Preventable Complications (PPCs)**

Hospital performing providers subject to required Category 4 reporting must report on the 64 PPC measures listed below in DY 4-5. Texas Medicaid's External Quality Review Organization (EQRO) supplies PPC reports for the duration of the waiver.

- **Metric:** Risk-adjusted PPC rates for the 64 PPCs below. (As calculated by the 3M software.<sup>99</sup>)

PPC	PPC Description
1	Stroke & Intracranial Hemorrhage
2	Extreme CNS Complications

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<sup>99</sup>For measure specifications see 3M's Users Manual.



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

3	Acute Pulmonary Edema and Respiratory Failure without Ventilation
4	Acute Pulmonary Edema and Respiratory Failure with Ventilation
5	Pneumonia & Other Lung Infections
6	Aspiration Pneumonia
7	Pulmonary Embolism
8	Other Pulmonary Complications
9	Shock
10	Congestive Heart Failure
11	Acute Myocardial Infarction
12	Cardiac Arrhythmias & Conduction Disturbances
13	Other Cardiac Complications
14	Ventricular Fibrillation/Cardiac Arrest
15	Peripheral Vascular Complications except Venous Thrombosis
16	Venous Thrombosis
17	Major Gastrointestinal Complications without Transfusion or Significant Bleeding
18	Major Gastrointestinal Complications with Transfusion or Significant Bleeding
19	Major Liver Complications
20	Other Gastrointestinal Complications without Transfusion or Significant Bleeding
21	Clostridium Difficile Colitis
23	GU Complications except UTI
24	Renal Failure without Dialysis
25	Renal Failure with Dialysis
26	Diabetic Ketoacidosis & Coma
27	Post-Hemorrhagic & Other Acute Anemia with Transfusion
28	In-Hospital Trauma and Fractures
29	Poisonings except from Anesthesia
30	Poisonings due to Anesthesia
31	Decubitus Ulcer
32	Transfusion Incompatibility Reaction
33	Cellulitis
34	Moderate Infections
35	Septicemia & Severe Infections
36	Acute Mental Health Changes
37	Post-Operative Infection & Deep Wound Disruption without Procedure
38	Post-Operative Wound Infection & Deep Wound Disruption with Procedure
39	Reopening Surgical Site
40	Post-Operative Hemorrhage & Hematoma without Hemorrhage Control Procedure or I&D Procedure
41	Post-Operative Hemorrhage & Hematoma with Hemorrhage Control Procedure or I&D Procedure

## Attachment I

### Regional Healthcare Partnership (RHP) Planning Protocol

42	Accidental Puncture/Laceration during Invasive Procedure
43	Accidental Cut or Hemorrhage during Other Medical Care
44	Other Surgical Complication - Moderate
45	Post-procedure Foreign Bodies
46	Post-Operative Substance Reaction & Non-O.R. Procedure for Foreign Body
47	Encephalopathy
48	Other Complications of Medical Care
49	Iatrogenic Pneumothorax
50	Mechanical Complication of Device, Implant & Graft
51	Gastrointestinal Ostomy Complications
52	Inflammation & Other Complications of Devices, Implants or Grafts except Vascular Infection
53	Infection, Inflammation and Clotting Complications of Peripheral Vascular Catheters and Infusions
54	Infections due to Central Venous Catheters
55	Obstetrical Hemorrhage without Transfusion
56	Obstetrical Hemorrhage with Transfusion
57	Obstetric Lacerations & Other Trauma Without Instrumentation
58	Obstetric Lacerations & Other Trauma With Instrumentation
59	Medical & Anesthesia Obstetric Complications
60	Major Puerperal Infection and Other Major Obstetric Complications
61	Other Complications of Obstetrical Surgical & Perineal Wounds
62	Delivery with Placental Complications
63	Post-Operative Respiratory Failure with Tracheostomy
64	Other In-Hospital Adverse Events
65	Urinary Tract Infection
66	Catheter-Related Urinary Tract Infection

- Additional technical specifications will be available in the DSRIP Provider Reporting Potentially Preventable Events Technical Notes (Appendix E).

#### **RD-4: Patient-centered Healthcare**

##### **1. Patient Satisfaction**

The reporting of the measures is limited to the inpatient setting only utilizing Hospital Consumer Assessment of Healthcare Providers and Systems (HCAHPS) survey. IMDs and children's facilities not eligible to use HCAHPs report any other relevant survey results in the qualitative reporting section.

Additional guidance is available in the Category 4 compendium. (Appendix F)

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**2. Medication management**

***1.***

*Reconciled Medication List Received by Discharged Patients (Discharges from an Inpatient Facility to Home/Self Care or Any Other Site of Care) (NQF 0646)*

STEWARDS: American Medical Association - Physician Consortium for Performance Improvement (AMA-PCPI),

<http://www.qualitymeasures.ahrq.gov/content.aspx?id=28139>

Detailed measure specifications are described in Category 4 compendium (Appendix F).

***i.***

**RD-5: Emergency Department**

*Emergency department throughput time—admitted patients: admit decision time to ED departure time for admitted patients (NQF 0497)*

Measure Steward Information: Center for Medicare and Medicaid Services;

<http://www.qualitymeasures.ahrq.gov/hhs/content.aspx?id=44602#.U1-9VvldWCU>

Additional guidance is available in the Category 4 compendium (Appendix F).

**RD-6. (Optional Domain) Initial Core Set of Measures for Adults and Children in Medicaid/CHIP**

**Initial Core Set for Children in Medicaid/CHIP:** <http://www.medicaid.gov/Medicaid-CHIP-Program-Information/By-Topics/Quality-of-Care/Downloads/ChildCoreMeasures.pdf>

**Child Core Set Technical Specifications:** <http://www.medicaid.gov/Medicaid-CHIP-Program-Information/By-Topics/Quality-of-Care/Downloads/Medicaid-and-CHIP-Child-Core-Set-Manual.pdf>

**Initial Core Set for Adults in Medicaid:** <http://www.medicaid.gov/Medicaid-CHIP-Program-Information/By-Topics/Quality-of-Care/Downloads/AdultCoreMeasures.pdf>

**Adult Core Set Technical Specifications:** <http://www.medicaid.gov/Medicaid-CHIP-Program-Information/By-Topics/Quality-of-Care/Downloads/Medicaid-Adult-Core-Set-Manual.pdf>

Measures designed for health plans and will require minor modifications of specifications for reporting by hospital providers.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

Hospital providers will report measures appropriate to settings of care. Hospitals that provide inpatient services only are not required to report measures that are specific to ambulatory settings. Hospitals that have outpatient clinics are required to report measures appropriate to ambulatory care settings. HHSC and CMS will jointly agree on a minimum data set for inpatient and outpatient providers (Appendix G)

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

#### **Alternate Measures for Institutes of Mental Disease (IMDs) :**

Public and private Institutes for Mental Disease (IMDs) report an alternative set of Category 4 measures:

##### **RD-1**

1. – Potentially Preventable Admissions for behavioral health/ substance abuse conditions (with a preference for distinguishing behavioral health and substance abuse)
2. All-cause Potentially Preventable Admissions

##### **RD-2**

1. Behavioral health/ substance abuse readmission rates (with a preference for distinguishing behavioral health and substance abuse)
2. All-cause Potentially Preventable Readmissions

##### **RD-4**

1. - Patient satisfaction
  - Psychiatric facilities for which using HCAHPS is not appropriate should report “0” in the HCAHPS reporting section. Facilities should include all relevant data from their satisfaction surveys in the qualitative reporting section.
2. - Medication reconciliation (NQF 0646 specifications)

#### **Additional Measures:**

##### **Bacterial pneumonia immunization**

- Pneumococcal Immunization (PPV23) – Overall Rate (CMS IQR/Joint Commission measure IMM-1a)  
Specifications Found Here:  
[http://www.jointcommission.org/specifications\\_manual\\_for\\_national\\_hospital\\_in\\_patient\\_quality\\_measures.aspx](http://www.jointcommission.org/specifications_manual_for_national_hospital_in_patient_quality_measures.aspx)

##### **Influenza Immunization**

- Influenza Immunization (CMS IQR/Joint Commission measure IMM-2)  
Specifications Found Here:  
[http://www.jointcommission.org/specifications\\_manual\\_for\\_national\\_hospital\\_in\\_patient\\_quality\\_measures.aspx](http://www.jointcommission.org/specifications_manual_for_national_hospital_in_patient_quality_measures.aspx)

The Texas state IMDs will be able to report on the Category 4 measures suggested by CMS above with the following caveats:

- State mental health hospitals will have admission rates for BH and not substance abuse as a separate reportable item.
- The “all cause PPAs” will only report on mental health PPA since that is the only diagnosis the state admits a patient to a state mental health facility.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

- State mental health hospitals can report on mental health readmission rates but not substance abuse, since patients would have not been admitted for only substance abuse disorders.
- The “all cause PPRs” will only report on mental health PPR since that is the only diagnosis DSHS admits a patients into a state mental health facility.

## **Attachment I**

### **Regional Healthcare Partnership (RHP) Planning Protocol**

Attachment I -Regional Healthcare Partnership (RHP) planning protocol is amended for Demonstration Year (DY) 6A as follows:

### **Category 1 and 2**

- All Process and Improvement Milestones in all Category 1 and 2 project areas are replaced with the following milestones under each project area:

#### **DY6A Milestones:**

1. Milestone: Total Quantifiable Patient Impact (QPI)
  - Q.1.1 Number of individuals served or encounters provided over pre-DSRIP baseline
2. Milestone: Medicaid and Low-Income Uninsured (MLIU) QPI
  - MQ. 1.1 Number of MLIU individuals served or MLIU encounters provided over MLIU pre-DSRIP baseline
3. Milestone: Project Summary and Core Components
  - 3.1. Project Overview: Accomplishments
  - 3.2. Project Overview: Challenges
  - 3.3. Project Overview: Lessons Learned
  - 3.4. Progress on Core Components, including quality improvement activities
  - 3.5. Description of other federal funding sources available for the project
  - 3.6. Participation in learning collaboratives, stakeholder forum, or other stakeholder meeting during DY6A
  - 3.7. The progress and completion of the next step taken (if required for a particular project)
4. Milestone: Sustainability Planning
  - Responses to questions related to sustainability planning efforts:
    - 4.1 Collaboration with Medicaid Managed Care
    - 4.2 Value Based Purchasing and/or Alternative Payment Models
    - 4.3 Availability of other funding sources
    - 4.4 Project Evaluation
    - 4.5 Health Information Exchange (HIE)

- Project areas and project options remain unchanged.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

- Reporting for the DY6A milestones should be done in the manner specified in the Program Funding and Mechanics (PFM) Protocol.
- This amendment does not apply to any of the DY5 carryforward milestones, which should be reported based on the milestones in the RHP Planning Protocol (initially approved or updated for 3-year projects).



**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 3**

- Category 3 updates include a DY6 milestone structure for Category 3 measures, DY6 goal calculation, measurement period, partial payment calculation, stretch activities, and the listing of Population Focused Priority Measure (PFPM) Menu.

**DSRIP Category 3 Milestones for DY6**  
**(based on DYs 3 - 5 milestone structure)**

<b>Standard P4P Milestone Structure (baseline ending by 09/30/2014)</b>			
Year	Milestone	Milestone Description	Payment
DY3	PM-8	<i>Submission of Category 3 DY3 Status Report</i>	<i>50% of Cat 3 DY3 Value</i>
	PM-9	<i>Validation and submission of baseline performance</i>	<i>50% of Cat 3 DY3 Value</i>
DY4	PM-10	<i>Successful reporting to approved measure specifications</i>	<i>50% of Cat 3 DY4 Value</i>
	AM-1.x*	<i>Achievement of PY1 performance goal</i>	<i>50% of Cat 3 DY4 Value</i>
DY5	AM-2.x*	<i>Achievement of PY2 performance goal</i>	<i>100% of Cat 3 DY5 Value</i>
DY6	AM-3.x*	<i>Achievement of PY3 performance goal</i>	<i>100% of Cat 3 DY6 Value</i>

<b>Standard P4R w/ PFPM Milestone Structure (baseline ending by 09/30/2014)</b>			
Year	Milestone	Milestone Description	Payment
DY3	PM-8	<i>Submission of Category 3 DY3 Status Report</i>	<i>50% of Cat 3 DY3 Value</i>
	PM-9	<i>Validation and submission of baseline performance</i>	<i>50% of Cat 3 DY3 Value</i>
DY4	PM-10	<i>Successful reporting to approved measure specifications</i>	<i>100% of Cat 3 DY4 Value</i>
DY5	PM-10	<i>Successful reporting to approved measure specifications</i>	<i>50% of Cat 3 DY5 Value</i>
	AM-3.x*	<i>Achievement of DY5 PFPM Goal</i>	<i>50% of Cat 3 DY5 Value</i>
DY6	AM-3.x*	<i>Achievement of DY6 PFPM Goal</i>	<i>100% of Cat 3 DY6 Value</i>

<b>Standard P4R w/ Stretch Activity Milestone Structure (baseline ending by 09/30/2014)</b>			
Year	Milestone	Milestone Description	Payment

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

DY3	PM-8	Submission of Category 3 DY3 Status Report	50% of Cat 3 DY3 Value
	PM-9	Validation and submission of baseline performance	50% of Cat 3 DY3 Value
DY4	PM-10	Successful reporting to approved measure specifications	100% of Cat 3 DY4 Value
DY5	PM-10	Successful reporting to approved measure specifications	50% of Cat 3 DY5 Value
	PM-11	Successful Achievement of Stretch Activity	50% of Cat 3 DY5 Value
DY6	PM-10	Successful reporting to approved measure specifications	50% of Cat 3 DY6 Value
	PM-11	Successful Achievement of Stretch Activity	50% of Cat 3 DY6 Value
	<i>or</i>		
	AM-3.x*	Achievement of DY6 PFPM PY3 Goal	100% of Cat 3 DY6 Value

Standard Maintenance w/ PFPM Milestone Structure (baseline ending by 09/30/2014)			
Year	Milestone	Milestone Description	Payment
DY3	PM-8	Submission of Category 3 DY3 Status Report	50% of Cat 3 DY3 Value
	PM-9	Validation and submission of baseline performance	50% of Cat 3 DY3 Value
DY4	PM-10	Successful reporting to approved measure specifications	50% of Cat 3 DY4 Value
	PM-12	Maintain Baseline High Performance Level	50% of Cat 3 DY4 Value
DY5	PM-12	Maintain Baseline High Performance Level	50% of Cat 3 DY5 Value
	AM-3.x*	Achievement of DY5 PFPM Goal	50% of Cat 3 DY5 Value
DY6	AM-3.x*	Achievement of DY6 PFPM Goal	100% of Cat 3 DY6 Value

Standard Maintenance w/ Stretch Activity Milestone Structure (baseline ending by 09/30/2014)			
Year	Milestone	Milestone Description	Payment
DY3	PM-8	Submission of Category 3 DY3 Status Report	50% of Cat 3 DY3 Value
	PM-9	Validation and submission of baseline performance	50% of Cat 3 DY3 Value
DY4	PM-10	Successful reporting to approved measure specifications	50% of Cat 3 DY4 Value
	PM-12	Maintain Baseline High Performance Level	50% of Cat 3 DY4 Value
DY5	PM-12	Maintain Baseline High Performance Level	50% of Cat 3 DY5 Value
	PM-11	Successful Achievement of Stretch Activity	50% of Cat 3 DY5 Value
DY6	PM-12	Maintain Baseline High Performance Level	100% of Cat 3 DY6 Value
DY4 Baseline P4P Milestone Structure (baseline established with DY4 data)			
Year	Milestone	Milestone Description	Payment
DY3	PM-8	Submission of Category 3 DY3 Status Report	50% of Cat 3 DY3 Value

## Attachment I

### Regional Healthcare Partnership (RHP) Planning Protocol

	<i>PM-9</i>	<i>Validation and submission of baseline performance (functions as a status update)</i>	<i>50% of Cat 3 DY3 Value</i>
<i>DY4</i>	<i>PM-10</i>	<i>Successful reporting to approved measure specifications (functions as a final baseline)</i>	<i>100% of Cat 3 DY4 Value</i>
<i>DY5</i>	<i>AM-2.x*</i>	<i>Achievement of PY2 performance goal</i>	<i>100% of Cat 3 DY5 Value</i>
<i>DY6</i>	<i>AM-3.x*</i>	<i>Achievement of PY3 performance goal</i>	<i>100% of Cat 3 DY6 Value</i>

<b>DY4 Baseline P4R w/ Stretch Activity Milestone Structure (baseline established with DY4 data)</b>			
Year	Milestone	Milestone Description	Payment
<i>DY3</i>	<i>PM-8</i>	<i>Submission of Category 3 DY3 Status Report</i>	<i>50% of Cat 3 DY3 Value</i>
	<i>PM-9</i>	<i>Validation and submission of baseline performance (functions as a status update)</i>	<i>50% of Cat 3 DY3 Value</i>
<i>DY4</i>	<i>PM-10</i>	<i>Successful reporting to approved measure specifications (functions as a final baseline)</i>	<i>100% of Cat 3 DY4 Value</i>
<i>DY5</i>	<i>PM-10</i>	<i>Successful reporting to approved measure specifications</i>	<i>50% of Cat 3 DY5 Value</i>
	<i>PM-11</i>	<i>Successful Achievement of Stretch Activity</i>	<i>50% of Cat 3 DY5 Value</i>
<i>DY6</i>	<i>PM-10</i>	<i>Successful reporting to approved measure specifications</i>	<i>50% of Cat 3 DY6 Value</i>
	<i>PM-11</i>	<i>Successful Achievement of Stretch Activity</i>	<i>50% of Cat 3 DY6 Value</i>
	<i>or</i>		
	<i>AM-3.x*</i>	<i>Achievement of DY6 PFPM Goal</i>	<i>100% of Cat 3 DY6 Value</i>

<b>DY4 Baseline P4R w/ PFPM Milestone Structure (baseline established with DY4 data)</b>			
Year	Milestone	Milestone Description	Payment
<i>DY3</i>	<i>PM-8</i>	<i>Submission of Category 3 DY3 Status Report</i>	<i>50% of Cat 3 DY3 Value</i>
	<i>PM-9</i>	<i>Validation and submission of baseline performance (functions as a status update)</i>	<i>50% of Cat 3 DY3 Value</i>
<i>DY4</i>	<i>PM-10</i>	<i>Successful reporting to approved measure specifications (functions as a final baseline)</i>	<i>100% of Cat 3 DY4 Value</i>
<i>DY5</i>	<i>PM-10</i>	<i>Successful reporting to approved measure specifications</i>	<i>50% of Cat 3 DY5 Value</i>
	<i>AM-3.x</i>	<i>Achievement of DY5 PFPM Goal</i>	<i>50% of Cat 3 DY5 Value</i>
<i>DY6</i>	<i>AM-3.x</i>	<i>Achievement of DY6 PFPM Goal</i>	<i>100% of Cat 3 DY6 Value</i>

<b>DY4 Baseline Maintenance w/ Stretch Activity Milestone Structure (baseline established with DY4 data)</b>			
Year	Milestone	Milestone Description	Payment
<i>DY3</i>	<i>PM-8</i>	<i>Submission of Category 3 DY3 Status Report</i>	<i>50% of Cat 3 DY3 Value</i>

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

	PM-9	Validation and submission of baseline performance (functions as status update)	50% of Cat 3 DY3 Value
DY4	PM-10	Successful reporting to approved measure specifications (functions as final baseline)	100% of Cat 3 DY4 Value
DY5	PM-12	Maintain Baseline High Performance Level	50% of Cat 3 DY5 Value
	PM-11	Successful Achievement of Stretch Activity	50% of Cat 3 DY5 Value
DY6	PM-12	Maintain Baseline High Performance Level	100% of Cat 3 DY6 Value

**DY6 goal calculations**

The following goal calculations apply to Category 3 outcomes and PFPM outcomes in DY6. P4P outcomes approved to use a standard baseline, outcomes approved to use a DY4 baseline, and PFPM outcomes will all use the same goal calculations to determine goals for DY6 milestone AM-3.x.

PY3 QISM Goal Setting for Category 3 P4P Outcomes		
Direction	Baseline	PY3 Goal
Positive	Below the MPL	$MPL + .15 \times (HPL - MPL)$
	Between the MPL & HPL	the greater of: baseline + $.25 \times (HPL - \text{baseline})$ ; or baseline + $.10 \times (HPL - MPL)$ †
	Above the HPL	the lesser of: baseline + $.125 \times (1 - \text{baseline})$ ; or baseline + $.10 \times (HPL - MPL)$ †
Negative	Above the MPL	$MPL - .15 \times (MPL - HPL)$
	Between the MPL & HPL	the lesser of: baseline - $.25 \times (\text{baseline} - HPL)$ ; or baseline - $.10 \times (MPL - HPL)$ †
	Below the HPL	the greater of: baseline - $.125 \times (\text{baseline})$ ; or baseline - $.10 \times (MPL - HPL)$ †
† Goal set using the improvement floor		

PY3 IOS Goal Setting for Category 3 P4P Outcomes	
Direction	PY3 Goal
Positive	baseline + $.125 \times (\text{perfect} - \text{baseline})$

## Attachment I Regional Healthcare Partnership (RHP) Planning Protocol

Negative	$\text{baseline} - .125 * (\text{baseline})$
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PY3 IOS - Survey Goal Setting for Category 3 P4P Outcomes		
Direction	Reporting Scenario	PY3 Goal
Positive	Scenario 1	$\text{Posttest baseline} + .125 * (\text{posttest baseline} - \text{pretest baseline})$
	Scenario 2 & Scenario 3	$\text{Baseline} + .125 * (\text{max score} - \text{baseline})$
Negative	Scenario 1	$\text{Posttest baseline} - .125 * (\text{pretest baseline} - \text{posttest baseline})$
	Scenario 2 & Scenario 3	$\text{Baseline} - .125 * (\text{baseline} - \text{min score})$

### Alternate Achievement Requests

If an outcome has an HHSC approved alternate achievement request in DY5, the performer must submit to HHSC, by a date determined by HHSC in a form determined by HHSC, a request to use a PY3 goal that is a continuation of the goals approved in DYs 4-5. Such requests will be approved by HHSC on a case-by-case basis.

If an outcome, including a PFPM outcome, is designated as QISMC in DY5, with a baseline that is below the MPL, and the performer is measuring a population substantially dissimilar from the population used to establish the MPL benchmark, the performer may submit, by a date determined by HHSC in a form determined by HHSC, an alternate achievement request to set the PY3 goal as a 12.5 percent gap closure towards perfect over the baseline.

### Measurement Periods

If a Category 3 outcome is designated as P4P or maintenance in DY5, performance year (PY) 3 is the 12-month period immediately following the PY2 approved for use in DYs 3-5, or a performer may request, by a date to be determined by HHSC, to use DY6A as PY3. PY4 is the 12-month period immediately following PY3. The selected PY3 is used to report achievement of DY6 milestones AM-3.x and PM-12, and PY4 is used to report any partial achievement carried forward from DY6 milestone AM-3.x.

If a Category 3 outcome is designated as P4R in DY5, PY3 is the 12-month period immediately following the PY2 approved for use in DYs 3-5, and is used for reporting achievement of DY6 milestone PM-10.

### Partial Payment Calculations

Partial payment for a Category 3 P4P outcome is available in quartiles as defined in the RHP Planning Protocol, measured between the outcome's PY1 goal and PY3 goal.

## Attachment I Regional Healthcare Partnership (RHP) Planning Protocol

Each Category 3 P4P outcome has an associated achievement milestone that is assigned an achievement value based on the performer's achievement of the outcome's goal as follows:

- if 100 percent of the goal is achieved, the achievement milestone is assigned an achievement value of 1.0;
- if at least 75 percent of the goal is achieved, the achievement milestone is assigned an achievement value of 0.75;
- if at least 50 percent of the goal is achieved, the achievement milestone is assigned an achievement value of 0.5;
- if at least 25 percent of the goal is achieved, the achievement milestone is assigned an achievement value of 0.25; or
- if less than 25 percent of the goal is achieved, the achievement milestone is assigned an achievement value of 0.

The percent of the goal achieved for DY6 milestones AM-3.x is determined as follows:

<u>Percent of Goal Achieved for Category 3 P4P Outcomes</u>			
<u>PY</u>	<u>Milestone</u>	<u>Positive Direction (higher rates indicate improvement)</u>	<u>Negative Direction (lower rates indicate improvement)</u>
<u>PY3</u>	<u>DY6A AM-3.x</u>	<u>(PY3 achieved - PY1 goal or equivalent)/(PY3 goal - PY1 goal or equivalent)</u>	<u>(PY1 goal or equivalent - PY3 achieved)/(PY1 goal or equivalent - PY3 goal)</u>
<u>PY4</u>	<u>Carry forward of DY6A AM-3.x</u>	<u>(PY4 achieved - PY1 goal or equivalent)/(PY3 goal - PY1 goal or equivalent)</u>	<u>(PY1 goal or equivalent - PY4 achieved)/(PY1 goal or equivalent - PY3 goal)</u>

### PY1 Equivalent Goals

For P4P outcomes where there is no PY1 goal or where the PY3 goal is set using a different methodology than used to determine the PY1 goal, partial payment will be measured as the percent of goal achieved between PY3 goal and a PY1 equivalent goal, as defined below.

If a category 3 outcome is approved to use a baseline established in DY4 and does not have a DY4 achievement milestone, partial payment will be measured over a PY1 equivalent goal. For PFPM outcomes, partial payment will be measured over a PY1 equivalent goal. The PY1 equivalent goal

## Attachment I Regional Healthcare Partnership (RHP) Planning Protocol

for category 3 outcomes without and DY4 achievement milestone and for PFPM outcomes will follow the QISMC or IOS goal calculations for PY1 as approved in the RHP Planning Protocol.

If a QISMC outcome has a PY3 goal that was determined using the improvement floor, partial payment will be measured over the PY1 equivalent goal. If a higher rate indicates improvement for the outcome, the PY1 equivalent goal is the baseline plus 40 percent of the improvement floor. If a lower rate indicates improvement for the outcome, the PY1 equivalent goal is the baseline minus 40 percent of the improvement floor.

If an IOS - Survey outcome is using reporting scenario 2 or reporting scenario 3, partial payment will be over the PY1 equivalent goal. If a higher rate indicates improvement for the outcome, the PY1 equivalent goal is the baseline plus a five percent gap closure towards the maximum score. If a lower rate indicates improvement for the outcome, the PY1 equivalent goal is the baseline minus a five percent gap closure towards the minimum score.

### **DY6 Stretch Activities**

If a Category 3 outcome is designated as P4R with an associated stretch activity in DY5, the Performing Provider must choose one of the following options by a date determined by HHSC in a form determined by HHSC:

- A. The Performing Provider may maintain the Category 3 outcome designated as P4R from DY5 and select a new stretch activity that does not duplicate the DY5 stretch activity; or
- B. The Performing Provider may select a PFPM to replace the Category 3 outcome designated as P4R. If a Performing Provider chooses this option, 100 percent of the Category 3 outcome's value is P4P of the newly selected PFPM.

If the Performing Provider chooses option A, the Performing Provider must select a stretch activity from the following:

- a) Program evaluation (SA-3: Alternate approaches to program and outcome linkages).
- b) New participation in Health Information Exchange (HIE), or improvement of existing HIE structure.
- c) Cost analysis and value-based purchasing planning

<b>DY6 Category 3 Stretch Activities</b>	
<b>Activity</b>	<b>Description</b>
SA-3 Program Evaluation	Submission of a report evaluating one or more aspects of the project intervention and its outcomes. The program evaluation may include a quantitative and/or qualitative analysis of the project. Providers have discretion in determining the components and framework of the program evaluation. The end product/output should be beneficial and useful to the provider. Providers will submit the final program evaluation along with a one-page HHSC coversheet that includes fields for providers to input

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

	provider/project information and respond to qualitative questions related to the program evaluation.
SA-7 New Participation or Improvement in Health Information Exchange	<p>Demonstration of new participation in a community-based HIE program (such as the Local HIE Program or the Texas White Space Program), or demonstration of improvements or enhancements in the use of health information exchanges (HIE). Providers will submit a report detailing one or more of the following:</p> <p>Participation activities  Partnerships developed (i.e. treating physicians, hospitals, healthcare payers, and other health care providers involved in the care of the patient and exchange of health-related information)  The impact to the provider's data infrastructure and the usefulness of data  System improvements (specifically how involvement improved data infrastructure and reporting capabilities)  The number of times a portion (such as medication history) or all of a patient's health record was either received or transmitted by a practice for the purpose of care (this could include pre and post HIE-participation or improvement)  Detailed plans for further enhancement</p> <p>For additional details on HIE, please visit the following websites:  <a href="http://www.hietexas.org">http://www.hietexas.org</a>  <a href="http://linktexas.healthcare/">http://linktexas.healthcare/</a></p>
SA-9 Cost-Benefit analysis of Project to move towards Value-based purchasing plan	Submission of cost-benefit analysis (CBA) or return-on-investment analysis of the project. Costs could include, but would not be limited to, costs associated with ongoing overhead needs, staff/labor, supplies and equipment costs. Savings/benefits could include, but would not be limited to, reduced utilization of healthcare services and improved health outcomes. The CBA or ROI would function as a way to demonstrate that a project is a worthwhile investment to payors (MCOs, community, health systems etc...) to include as a value-based service.

**Population Focused Priority Measure Menu**

Final Selection PFP ID	PFP Measure Description	Related Cat 3 Outcome	Related Cat 3 Outcome Title	Methodology
PPR.1	Risk Adjusted CHF PPR	IT-3.3	Risk Adjusted Congestive Heart Failure (CHF) 30-day Readmission Rate	IOS
PPR.2	Risk Adjusted DM PPR	IT-3.5	Risk Adjusted Diabetes 30-day Readmission Rate	IOS
PPR.3	Risk Adjusted BH/SA PPR	IT-3.15	Risk Adjusted Behavioral Health /Substance Abuse 30-day Readmission Rate	IOS



## Attachment I

### Regional Healthcare Partnership (RHP) Planning Protocol

PPR.4	Risk Adjusted Pediatric Asthma PPR	IT-3.21	Risk Adjusted Pediatric Asthma 30-day Readmission Rate	IOS
PPR.5	Risk Adjusted Chronic Obstructive Pulmonary Disease Related PPR	IT-3.17	Risk Adjusted Chronic Obstructive Pulmonary Disease (COPD) 30-day Readmission Rate	IOS
PPR.6	Risk Adjusted Cerebrovascular Accident (Stroke) Related PPR	IT-3.13	Risk Adjusted Stroke (CVA) 30-day Readmission Rate	IOS
PPR.7	Risk Adjusted Acute Myocardial Infarction (AMI) Related PPRs	IT-3.9	Risk Adjusted Acute Myocardial Infarction (AMI) 30-day Readmission Rate	IOS
PPR.8	Risk Adjusted Angina and Coronary Artery Disease related PPR	IT-3.11	Risk Adjusted Coronary Artery Disease (CAD) 30-day Readmission Rate	IOS
PPR.10	Risk Adjusted Renal Failure Related PPR	IT-3.7	Risk Adjusted Renal Disease 30-day Readmission Rate	IOS
PPR.12	Risk Adjusted All Cause PPR	IT-3.22	Risk Adjusted All-Cause Readmission	IOS
CMHC.1	Follow-up after hospitalization for mental illness	IT-1.18	Follow-Up After Hospitalization for Mental Illness	QISMC
CMHC.2	Follow-up care for children prescribed ADHD medication	IT-11.6	Follow-up Care for Children Prescribed ADHD Medication (ADD)	QISMC
CMHC.3	Antidepressant Medication Management - Effective Acute Phase Treatment	IT-1.19	Antidepressant Medication Management	QISMC
CMHC.4	Depression Remission at 12-months	IT-1.9	Depression management: Depression Remission at Twelve Months	IOS
CMHC.5	Adherence to Antipsychotic Medications	IT-11.5	Adherence to Antipsychotic Medications for Individuals with Schizophrenia	IOS
CMHC.6	Depression Management: Screening and Treatment Plan for Clinical Depression	IT-1.8	Depression management: Screening and Treatment Plan for Clinical Depression	IOS
PP.1	Medication Management for People with Asthma	IT-1.31	Medication Management for People with Asthma (MMA)	IOS
PP.2	Follow-up Care for Children Prescribed ADHD Medication	IT-11.6	Follow-up Care for Children Prescribed ADHD Medication (ADD)	QISMC
PP.4	Heart Failure Admission Rate	IT-2.2	Risk Adjusted Congestive Heart Failure (CHF) Admission rate	IOS
PP.6	Weight Assessment and Counseling for Nutrition and Physical Activity for Children/Adolescents	IT-1.29	Weight Assessment and Counseling for Nutrition and Physical Activity for Children/Adolescents	QISMC
PP.7	Adult Body Mass Index (BMI) Assessment	IT-1.21	Adult Body Mass Index (BMI) Assessment	QISMC
PP.8	Immunization Status for Adolescents	IT-12.8	Immunization for Adolescents-Tdap/TD and MCV	QISMC
PP.9	Prenatal and Postnatal Care	IT-8.1	Timeliness of Prenatal/Postnatal Care	QISMC
PP.10	Live Births Weighing Less than 2,500 grams	IT-8.2	Percentage of Low Birth- weight births	IOS
PP.11	Cesarean Rate for Nulliparous Singleton Vertex	IT-8.6	Cesarean Rate for Nulliparous Singleton Vertex	IOS

## Attachment I Regional Healthcare Partnership (RHP) Planning Protocol

PP.12	Annual Percentage of Asthma Patients 2 Through 20 Years Old with One or More Asthma-related Emergency Room Visits	IT-9.4.h	Pediatric/Young Adult Asthma Emergency Department Visits	IOS
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Note: Providers can select to report on a Potentially Preventable Admission rate for all-causes or for a specific diagnosis with prior approval from HHSC.

### Selecting a new PFPM to replace a P4R outcome and Stretch Activity and Establishing a Baseline

Providers who are newly selecting a PFPM in DY6 must select one of the above PFPM outcomes and report a baseline by a date determined by HHSC in a form determined by HHSC.

### PFPM Measurement Periods

For providers with a newly selected PFPM in DY6, the baseline should be a 12-month measurement period aligned with either DY4 (ending by 9/30/2014) or DY5 (ending by 9/30/2016), with some exceptions to be confirmed with HHSC prior to reporting a PFPM baseline. For these providers, the first opportunity to report performance of the PFPM will be called performance year (PY) 3, to align with other Category 3 outcomes. PY3 will be DY6 (10/1/2016 to 9/30/2017), and PY4 will be the 12 months following PY3. PY3 is used to report achievement of DY6 milestone AM-3.x., and PY4 is used to report any partial achievement carried forward from DY6 milestone AM-3.x

Example: if a provider with a newly selected PFPM in DY6 reports a baseline with a measurement period of 10/1/2014 to 9/30/2015, their PY3 measurement period would be from 10/1/2016 to 9/30/2017.

Example of PFPM Measurement Periods for newly selected PFPM	
Baseline (DY4)	10/1/2014 to 9/30/2015
PY2/DY5 milestones	Not applicable
PY3/ DY6 milestones	10/1/2016 to 9/30/2017
PY4/DY7 milestones	10/1/2017 to 9/30/2018

The protocols related to goal calculations, partial payment calculations and alternate achievement requests that apply to Category 3 outcomes will also apply to PFPM outcomes in DY6.

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Category 4 Population-focused Improvements**

- Reporting on Optional Domain RD-6 is eliminated for DY6A. The following language is removed from the RHP Planning Protocol.

**~~RD-6. (Optional Domain) Initial Core Set of Measures for Adults and Children in Medicaid/CHIP~~**

**~~Initial Core Set for Children in Medicaid/CHIP: <http://www.medicaid.gov/Medicaid-CHIP-Program-Information/By-Topics/Quality-of-Care/Downloads/ChildCoreMeasures.pdf>~~**

**~~Child Core Set Technical Specifications: <http://www.medicaid.gov/Medicaid-CHIP-Program-Information/By-Topics/Quality-of-Care/Downloads/Medicaid-and-CHIP-Child-Core-Set-Manual.pdf>~~**

**~~Initial Core Set for Adults in Medicaid: <http://www.medicaid.gov/Medicaid-CHIP-Program-Information/By-Topics/Quality-of-Care/Downloads/AdultCoreMeasures.pdf>~~**

**~~Adult Core Set Technical Specifications: <http://www.medicaid.gov/Medicaid-CHIP-Program-Information/By-Topics/Quality-of-Care/Downloads/Medicaid-Adult-Core-Set-Manual.pdf>~~**

**~~Measures designed for health plans and will require minor modifications of specifications for reporting by hospital providers.~~**

~~Hospital providers will report measures appropriate to settings of care. Hospitals that provide inpatient services only are not required to report measures that are specific to ambulatory settings. Hospitals that have outpatient clinics are required to report measures appropriate to ambulatory care settings. HHSC and CMS will jointly agree on a minimum data set for inpatient and outpatient providers (Appendix G)~~

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**Appendix**

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

**CMS-Provided Key Elements for Learning Collaboratives and Continuous Quality Improvement**

**Learning Collaboratives** – The key elements in the design of any learning collaborative include:

1. *It should review data and respond to it - with tests of new solutions and ideas - every week.*
2. *It should bring all participating sites together by phone or webinar on a weekly or bi-weekly basis to learn from one another. All sites should share results of their testing, a breakthrough idea, and a challenge each week at the start of each call and they should leave with a public commitment to test a new idea the following week.*
3. *It should set one or two quantifiable, project-level goals, with a deadline, preferably defined in terms of outcomes, related to the project's area of work. Participants should actively manage toward this goal over the course of the work.*
4. *It should invest more in learning than in teaching. Huge proportional investments in web sites and conferences do not typically result in performance improvement or transformation of care delivery. It is more effective to get out into the field and support learning and exchange at the front lines where care is delivered.*
5. *It should support a small, lightweight web site to help site share ideas and simple data over time. The website should not be developed from scratch for the program. Rather, it should be possible to “rent” space on a portal already designed to support this kind of improvement work.*
6. *It should set up simple, interim measurement systems, based on self-reported data and sampling, that can be shared at the local level and are sufficient for the purposes of improvement.*
7. *It should employ individuals (regional “innovator agents”) to travel from site to site in the network to (a) rapidly answer practical questions about implementation and (b) harvest good ideas and practices that they systematically spread to others. The regional “innovator agents” should all attend the same initial training in improvement tools and skills organized by the State or RHP and should receive periodic continuing education on improvement.*
8. *It should set up face-to-face learning (meetings or seminars) at least a couple of times a year.*
9. *It should celebrate success every week.*

**Attachment I**  
**Regional Healthcare Partnership (RHP) Planning Protocol**

10. *It should mandate some improvements (simple things that everyone can do to "raise the floor" on performance) and it should unleash vanguard sites to pursue previously unseen levels ("raise the bar" on performance).*
11. *It should use metrics to measure its success such as:*
- Rate of testing
  - Rate of spread
  - Time from idea to full implementation
  - Commitment rate (rate at which 50% of organizations take action for any specific request)
  - Number of questions asked per day
  - Network affinity/reported affection for the network

**Continuous Quality Improvement:**

In order to incentivize engagement in meaningful quality improvement (QI) activities that can lead to successful projects, this protocol includes optional process milestones and metrics for quality improvement activities. The process milestones and metrics for quality improvement activities listed below (which are also included as process milestone in the relevant project areas) further reflect CMS thinking on the type of QI activities that should be part of the QI core component for projects and provide direct insight into how CMS will review projects for this core element.