Quality of Care for Children: Assessment Through Statewide Agency-Academic Partnership

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➢Lessons Learned

≻Major Findings

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Penny Knapp, M.D. Medical Director California Dept Mental Health

	Fin	ancial	Dis	closu	re	
	<u>Source</u>	<u>Consultant</u>	Advisory <u>Board</u>	Stock Equity > \$10,000	Speaker's <u>Bureau</u>	Research <u>Contract</u>
CA D	ept of Mental Health	NA	NA	NA	NA	NA
NIMH	I (P30 MH068639)	NA	NA	NA	NA	NA
	Minority Research wship (Chung)	NA	NA	NA	NA	NA
Klinge (Chur	enstein Foundation ng)	NA	NA	NA	NA	NA

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California Mental Health Directors Association

California Mental Health Planning Council

Publications

Zima BT, Hurlburt M, Knapp P, Ladd H, Tang L, Duan N, Wallace P, Rosenblatt A Landsverk J, Wells K. Quality of publicly-funded outpatient specialty mental health care for common childhood psychiatric disorders in California. J Am Acad Child and Adolescent Psychiatry. 2005; 44:130-144.

Knapp PK, Hurlburt M, Kostello EC, Ladd H, Tang L, Zima BT. Child sociodemographic and common childhood psychiatric diagnoses in Medicaid encounter data: are they valid? J Behavioral Health Services Research.2006;33:444-52. Available at www.springerlink.com

Chung B, Zima BT, Knapp P, Liu G, Zhang L, Belin T. Treatment patterns for common childhood psychiatric disorders in California's publicly-funded outpatient mental health clinics (under review).

What Were We Asked to Do?

Examine quality of care for children served by DMH in California

- 2 years (2000-2002)
 \$1.5 million
- Partner with DMH and 4 NIMH-funded health services research centers
- Two annual reports due June 30th

Agency-Academic Partnership

- Proposal submitted in 1 month
- State DMH contracts with UCLA
- UCLA subcontracts to other universities in academic consortium
- DMH facilitates introduction to county directors organization and Planning Council



Agency-Academic Partnership

- Technical Advisory Committee
 Multi-stakeholders
 - - SOC child coordinators, Quality Improvement Committee, parent/family reps, county directors, Planning Council
 Monthly conference call
- Minutes circulated by email
 Study team available by email/phone
 PI meetings with CMHDA and Planning Council
- About quarterly
- Monthly research meetings

 Rotated at DMH and each university
- DMH Medical Director on research team Study Task Work Groups

 - Integration of agency experts
 Assignment of researcher based on expertise not site

Questions Addressed

1. If DMH relied solely on Medicaid encounter data to report clients served, how well does information on age, gender, race/ethnicity and diagnosis match with the client record?

Questions Addressed

- 2. How often are indicators of quality of care for common child mental health problems documented in the client record?
 - rural vs. urban?
 - county wealth?
 - contracted out clinics vs. directly operated?

Questions Addressed

- 3. What proportion of children receive psychosocial treatments, medication, or both?
 - type of disorder?
 - clinical severity?

Agency-Academic Partnership

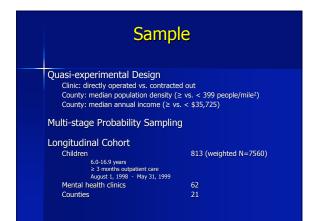
Early impressions/concerns

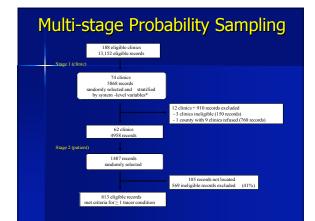
- audit of individual counties - comparison to be used to shift funding
- effectiveness study of system of care for children
 first step that leads to cut in major source of funding
- highly detailed process of care study
 - high clinician and staff burden with no return on information provided
- establishing standards of care
 - research will lead to making programs legally liable

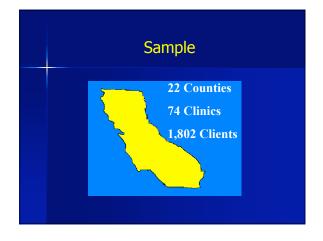
Agency-Academic Partnership

Sampling

- Test differences in quality of care across shared county and program characteristics
- Children selected not representative of program or county
- Weight sample back to statewide distribution of children served
 - Snapshot
 - the test of te
- Medical record data







Agency-Academic Partnership

Recruitment

- Research is part of DMH Quality Assurance Activities
- County program recruitment letters on DMH letterhead
- PI follow-up telephone appointments with county directors or designee
 - describe project
 - clarify county research approval protocol
 identify contact person for programs selected
- Records remain in clinic

Record Abstraction

- Manualized abstraction guidelines
- 4-month period
- 12 quality assurance nurses
- Inter-rater reliability (5% charts) ^{M=.87 (.15)} r=.78 (.39) - .96 (.15)
- Most or all of key elements could be read (96%, n=1296 records)

Protection of Human Subjects (n=33)

California Committee for the Protection of Human Subjects

5 Universities UCLA, UC Davis, UC San Francisco, UC Berkeley, Children's Hospital San Diego

22 Counties IRB +/or County Mental Health Director approval

5 Hospitals or clinics

Agency-Academic Partnership

- Agency Partner co-presenter to State IRB
- Obtain approval from university IRB first
- IRB approvals from State, university or agency are independent
 - Policy implications: need for developing coordinated IRB approval across partners

Did Agency and Medical Record Data Match?

	Medicaid Encounter Data (%)							
		ucasian 1=291)		Af-Am 1=116)		Hispanic (n=166)		Other (n=46
		%ª (SE)		%ª (SE)		%ª (SE)	%	%ª (SE)
Medical Record								
Caucasian (n=216)	205	71.8 (5.6)		2.0 (2.0)		3.8 (2.8)		8.7 (4.0)
African-American (n=141)	28	6.4 (2.1)	102	90.5 (3.4)		0.4 (0.3)		19.5 (6.3)
Hispanic (n=192)		6.9 (2.5)		1.3 (1.0)	148	89.7 (5.3)		23.8 (7.5)
Other (n=22)		7.0 (4.9)				0.1 (0.03)	12	30.8 (8.1)
Bi-/Multi-racial (n=48)		7.9 (3.1)		6.2 (2.4)		5.9 (3.2)		17.2 (10.4)
*weighted %								

Did Sociodemographic Data Match?

Almost all data sets matched on gender.

- If excluded bi-/multiracial children (10.8%) 90% match on race/ethnicity
- Caucasian misidentified in agency data as Af-Am or Hispanic than minority peers (p=.05)

Did Clinic	al [s Mat		?
		ADHD =238)	D	onduct isorder i=181)	Dej	Major pression n=254)
		% ^a (SE)		% ^a (SE)		% ^a (SE)
Medical Record						
Clinical diagnosis	223	<mark>98.1</mark> (0.7)	167	<mark>89.0</mark> (3.3)	238	<mark>92.0</mark> (1.5)
Supportive documentation						
≥ 3 DSM-IV symptoms + impairment	194	85.4 (3.6)	162	88.3 (2.8)	111	45.1 (3.4)
First-line medication RX						
Any stimulant	141	55.8 (5.4)				
^{*weighted %} Any antidepressant	-	_	-	-	163	62.9

Conclusions

Validity of Medicaid encounter data is high

Misclassification of race/ethnicity in agency data can underestimate service delivery to children from African-American and Hispanic backgrounds if DMH relies solely on encounter data

Policy Recommendations

Investment in improving admin data infrastructure

Standardize data entry procedures Expand race/ethnicity to include bi-/multiracial Integrate capacity to validate clinical characteristics Informational technology dx criteria impairment psychosocial complexity

What were characteristics
of the children?

Sociod	emog	graph	ic Cł	naract	eristi	cs
		tual 813)		i <mark>ghted</mark> 7560)		
	n	%	%	(SE)	М	(SE)
Age (yrs) ^a					10.6	(.20)
6-11	358	44.7	58.6	(2.51)		
12-17	443	55.3	41.4	(2.51)		
Male	547	67.3	70.9	(3.43)		
*12 cases missing; ^b 15 cas	es missing					

Sociodemo			5		
		ctual =813)	Weig (n=7		
	n	%	%	(SE)	
Ethnicity ^b					
Caucasian	27 4	34.3	36.7	(4.48)	
African-American	18 9	23.7	25.7	(2.50)	
Latino	24 2	30.3	25.2	(3.42)	
Asian-American	18	2.3	2.1	(0.81)	
Native-American	4	0.5	0.5	(0.31)	
Bi- or Multi-racial	58	7.2	6.8	(1.67)	

13

1.6

3.1

(2.26)

Other

Sociodemographic Characteristic

Tracer Conditions					
		tual 813) %		ghted 7560) (SE)	
ADHD	397	48.8	75.5	(1.61)	
Conduct Disorder	361	44.4	31.5	(2.89)	
Major Depression	308 impairments or CAI	37.9 ™	21.4	(1.71)	

Clinical	inical Severity				
		tual 813)		<mark>ghted</mark> 7560)	
High DSM-IV symptoms (≥75 th)ª	n 445	% 54.7	% 51.3	(SE) (3.51)	
$^{a}ADHD$: ≥ 6 , CD: ≥ 4 , MD: ≥ 3					

	Clini	cal S	Seve	erity	/		
			ual 313)		ghted 7560)		
			%	%	(SE)	М	(SE)
	High fxn impairment (≥75 th) ⁶	458	56.3	51.3	(3.42)		
	CAFAS ≥70 (marked- severe) ^c	183	36.7	28.3	(2.52)	50.5	(1.56)
	≥ DSM-V impairment					2.5	(0.11)
	Academic	657	80.8	82.8	(2.82)		
	Social	552	67.9	62.8	(3.78)		
	Home/occupational	81	10.0	12.2	(2.52)		
-A	ADHD: ≥ 6 , CD: ≥ 4 , MD: ≥ 3 ; ^b ≥ 3 functional in	pairments or C.	AFAS≥70; ≌	1=498			

Psychosocial Complexity

		tual 813)		<mark>ghted</mark> 7560)	
	n	%	%	(SE)	
Out-of-home placement	139	17.1	15.9	(2.03)	
Hx physical/sexual abuse	313	38.5	29.1	(2.54)	

	Psychosocial Complexity						
			tual 813)		g <mark>hted</mark> 7560)		
			%	%	(SE)		
	Serious parental problem						
	Maternal serious MI/lifetime ^a	97	11.9	9.7	(2.06)		
	Parental substance abuse/life	378	46.5	49.8	(2.32)		
	Parental incarceration/lifetime	183	22.5	22.5	(2.07)		
	≥ 2 psychosocial problems	351	43.2	41.2	(2.40)		
*eli	nical diagnosis of Major Depression, Bipolar Disorder, Schizopl	urenia, or Psyc	hotic Disorder N	lot Otherwise S	Specified		



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Main Findings

Relatively high quality (78-95%) of care for basic clinical assessment

Moderate-low documented adherence to quality indicators related to Service linkage (39-63%) Basic treatment principles (25-75%) Patient protection (46-74%) Informed medication decision (33-75%) Medication safety monitoring (70-78%) Medication-specific monitoring (28-33%)

Main Findings

26% of records of children prescribed psychotropic medication had documented probable acceptable monitoring of ≥ 1 target symptom or ≥ 1 side effect or ≥ 1 side effect or ≥ 1 clinically indicated VS or lab

Average 48.5% (SE=19.8) records documented probable acceptable care across all eligible domains

Documented adherence to QI varied little by child sociodemographic or clinic factors

Implications for Improving Quality

Improve documentation of:

Service linkage and parental involvement information technologies caseworker outreach

Patient protection and informed consent child abuse screening suspect child abuse reporting referral to restrictive treatment settings for high risk children informed parental consent for medication

Medication-specific monitoring technical medical support information technologies

Policy Recommendations

Efforts to improve care should be directly broadly across patient groups and clinics

Documentation of safe practices is highest priority

Children receiving psychotropic medication

What types of treatment were provided?

Related to clinical indications?

	ADHD only (n=189)	CD only (n=178)	ADHD + CD (n=117)	MD only (n=154)	Total (n=638)		
	%	%	%	%	%	X ²	P
Any treatment							
Psychosocial	83.8	85.5	78.5	89.3	83.5	2.1	0.5
Individual	75.6	73.2	70.1	85.9	75.3	8.5	0.0
Behavior	8.4	4.7	9.0	3.5	7.6	3.4	0.3
Family	49.0	31.8	44.2	46.9	45.8	10.3	0.0
Group	21.3	35.1	25.5	20.3	23.6	4.9	0.1
Medication	75.3	37.0	78.9	60.5	70.1	24.5	0.0
Case Management	44.3	48.4	48.8	41.6	45.4	1.6	0.6

Treatment Patterns

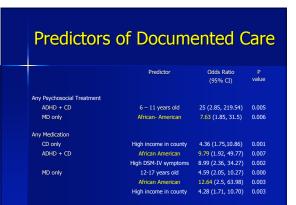
Trea	Treatment Patterns									
	ADHD only (n=189)	CD only (n=178)	ADHD + CD (n=117)	MD only (n=154)	Total (n=638)					
Treatment patterns										
Psychosocial only	22.9	54.2	16.7	34.9	26.4	17.7	0.002			
Individual only	4.0	20.9	5.6	15.8	7.6	12.0	0.012			
Family only	1.2	3.2	0.3	0.6	1.2	5.23	0.171			
Group only	0.7	4.1		1.9	1.0	8.1	0.056			
Case Management only	0.7	3.9	0.1	2.2	1.1	15.0	0.004			
Psychosocial only + case management	9.2	23.5	9.3	9.0	10.8	8.4	0.050			
Medication only	14.4	5.7	17.1	6.1	13.1	5.9	0.130			
Psychosocial only + case management	1.7	2.5	3.5	3.1	2.3	2.1	0.554			
*weighted %										

Tre	Treatment Patterns							
	ADHD only (n=189)	CD only (n=178)	ADHD + CD (n=117)	MD only (n=154)	Total (n=638)			
Combined treatment								
Psychosocial + meds	60.9	31.3	61.8	54.4	57.0	18.2	0.001	
Individual + meds	24.7	7.9	22.0	14.6	21.1	5.2	0.170	
Behavior + meds			0.1					
Family + meds	2.5	1.8	3.4	0.2	2.3	5.5	0.151	
Group + meds	0.3			0.5	0.2	2.6	0.462	
Any Combined + case management	32.7	18.5	35.9	27.4	31.2	9.1	0.038	
≈weighted %								

Medication Treatment									
	ADHD only (n=189)	CD only (n=178)	ADHD + CD (n=117)	MD only (n=154)	Total (n=638)				
	%	%	%	%	%	X²	Р		
Any stimulants	52.5	7.6	43.5	3.5	39.8	49.9	<0.0 0		
Pemoline	2.5	1.2	6.6		3.0	10.5	0.02		
Methylphenidate	39.5	4.6	36.5	0.2	30.4	23.5	0.00		
Dextroamphetamine	14.7	3.2	6.5	3.3	10.3	10.7	0.02		
Methamphetamine	0		0.2						
Any Alpha-agonist	6.8	3.4	10.1	0.4	6.4	11.4	0.01		

Medication Treatment								
	ADHD only (n=189)	CD only (n=178)	ADHD + CD (n=117)	MD only (n=154)	Total (n=638)			
Any antidepressants	13.3	17.0	42.6	45.8	23.8	24.2	0.000	
Any SSRI	8.5	8.7	13.3	36.3	12.7	38.7	<0.000	
Citalopram				1.5	0.2			
Fluoxetine	3.1	4.2	11.7	18.1	6.8	22.5	0.000	
Fluvoxamine		1.2	0.3	3.3	0.6	5.4	0.161	
Paroxetine	2.1	1.7	1.1	11.9	2.9	4.9	0.192	
Sertraline	1.6	1.6	10.3	7.9	4.2	24.9	0.000	
Venlafaxine	2.3		0.3	3.4	1.7	5.7	0.141	
Any tricyclic	6.1	3.5	14.1	5.1	7.4	4.9	0.195	
Antidepressant-unspec	3.7	7.6	18.1	19.7	9.1	18.7	0.001	
"weighted %								

Mec							
	ADHD only (n=189)	CD only (n=178)	ADHD + CD (n=117)	MD only (n=154)	Total (n=638)		
Any benzodiazepines			0.3	2.9	0.4	4.7	0.210
Any anticonvulsant	1.2	8.2	10.4	8.5	4.8	21.0	0.001
Any antipsychotic	4.0	5.4	18.5	12.0	8.2	13.8	0.006
Any typical	1.8	0.6	12.5	0.7	3.9	3.9	0.288
Any atypical	2.2	5.0	6.2	11.4	4.5	10.7	0.021
Lithium	0.2	1.8		0.2	0.4	5.9	0.132
*weighted %							



Predictors	of Docume	nted Ca	re
	Predictor	Odds Ratio (95% CI)	P value
Any Case Management			
CD only	African American	8.3 (2.18, 31.58)	0.003
ADHD + CD	6 – 11 years old	10.69 (2.13, 53.71)	0.005
	Low population in county	9.82 (2.79, 34.49)	0.001

Conclusions Documented provision of any psychosocial tx was not related to disorder, clinical severity or psychosocial complexity Documentation of family or behavior tx was moderate to poor Documented provision of case management was not related to psychosocial complexity Medication treatment not overused

Policy Recommendation

Quality improvement interventions to support clinician documentation that links delivery of evidence-based practices to clinical indications for children are merited.

Agency-Academic Partnership

- Feasible approach for examining quality of care for children in publicly-funded mental health programs.
- Future: Together, we strive to apply clinical practice evidence research methodologies for improving the quality of care for children in partnership.

Quality Indicators

Initial Clinical Assessment (1st 3 months)

	PASSED						
	Actual		Weig	ghted			
		%	%	(SE)			
\geq 1 child strength (n=813) ^a	711	87.5	90.6	(1.83)			
≥ target symptom by primary caregiver (n=813)	770	94.7	94.7	(1.53)			
≥ parent report of classroom behavior, parent conference feedback or teacher reported symptom (n=813)	697	85.7	86.7	(1.95)			
actual number of cases eligible for the indicator, brestricted	to youth > 12 yea	rs of age					

Initial Clinical Assessment	(1st 3 months)

	PASSED				
	Act	tual	Weig	ghted	
		%	%	(SE)	
Presence/absence \geq 1 indicator of academic functioning (n=813)	757	93.1	92.8	(1.81)	
Presence/absence \geq psychosocial stressor (n=813)	780	95.9	94.1	(1.61)	
Presence/absence \geq mental health problem in family (n=813) "actual number of cases eligible for the indicator, "restricted to youth of case	633 1> 12 years	77.9	77.5	(2.98)	

Initial Clinical Assessment (1st 3 months)

	PASSED				
	Act	ual	Weig	phted	
		%	%	(SE)	
Presence/absence \geq 1 suicide risk factor (n=813)	697	85.7	82.4	(2.08)	
Presence/absence \geq 1 aggressive behavior symptom (n=813)	680	83.6	84.4	(2.26)	
Presence/absence of alcohol or illicit drug use $(n=448)^{b}$	371	82.8	76.4	(5.76)	
$\begin{array}{l} \mbox{Presence/absence} \geq 1 \mbox{ medical} \\ \mbox{problem (n=813)} \\ "actual number of cases eligible for the indicator, "restricted to youth$	684 1 > 12 years of	84.1 ^{'age}	85.3	(2.25)	

Service I	_inka	age		
		PAS	SED	
	Ac	tual	Wei	ghted
		%	%	(SE)
If ADHD, ≥ 1 parent or teacher reported behavior or symptom ratings are obtained (n=397)	212	53.4	56.3	(8.18)
If poor academic functioning or classroom behavior problems, ≥ 1 contact with school or school records requested/ obtained (n=677)	390	57.6	63.4	(3.05)
Physical exam in past year or referral, or done in the 3-month assessment period (n=813)	255	31.4	39.5	(3.51)

Basic Treatment Principles

	PASSED						
	Act	ual	Weig	ghted			
		%	%	(SE)			
Parent or primary caregiver informed of child's diagnosis and given information about child's mental health problem (n=674)	142	21.1	25.5	(5.40)			
Mental health visits at least monthly (n=616)	306	49.7	46.9	(3.42)			

Basic Treatment Principles						
		PAS	SED			
	Ac	tual	Weig	ghted		
		%	%	(SE)		
If clinical information released, informed consent obtained prior to sending information to outside provider or agency (n=469)	326	69.5	74.7	(3.11)		
≥1 family intervention (family, conjoint or parent therapy) or parent referral made (n=760)	386	50.8	49.9	(4.85)		

Psychosocial Treatment						
		PAS	SED			
	Act	tual	Weig	ghted		
		%	%	(SE)		
≥1 psychosocial treatment recommended in first 90 days unless child receiving psychotherapy at another program (n=668)	629	94.2	92.7	(1.78)		
If ADHD or CD, \geq 1 behavior therapy session (n=610)	45	7.4	8.0	(2.26)		
If MD, ≥ 1 psychosocial treatment monthly for 6-9 months (n=249)	127	51.0	54.0	(4.84)		

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Medication Referral						
	PASSED					
	Ac	tual	Weig	ghted		
		%	%	(SE)		
If ADHD or MD, referral for medication evaluation or rationale for why not medication referral is not indicated (n=655)	515	78.6	83.0	(1.95)		

Safety: Patient Protection

		PAS	SED		
	Act	ual	We	ighted	
		%	%	(SE)	
Screen for history of physical or sexual abuse in first 3 months (n=813)	491	60.4	51.5	(3.66)	
If current abuse suspected, report filed (n=53)	40	75.5	63.9	(12.01)	

Safety: Patient Protection						
PASSED						
	Act	ual	Wei	ighted		
		%	%	(SE)		
If current suicidal ideation in past 4 weeks, ≥ 1 follow-up assessment of suicide risk in the first 3-months (n=115)	81	70.4	74.1	(6.41)		
If imminent risk of harm to self or others, more restrictive treatment setting recommended (n=157)	88	56.1	46.3	(5.79)		

Safety: Informed Medication Decision							
PASSED							
	Actual Weighted						
		%	%	(SE)			
Written consent from primary caregiver obtained prior to starting medication $(n=332)^{a}$	252	75.9	75.4	(4.48)			
Primary caregiver informed of mandated medication information (n=332)	139	41.9	32.7	(6.31)			

Safety: Medication Monitoring

	PASSED				
	Actual		Weighter		
	n	%	%	(SE)	
≥ monthly monitoring during first 3 treatment months	187	61.7	69.7	(5.22)	
(n=303) Pionitoring conducted by provider licensed to prescribe (n=377)	294	78.0	77.8	(5.58)	

Safety: Medication-Specific Monitoring

	PASSED				
	Actual		Weig	ghted	
		%	%	(SE)	
Status of ≥ 1 target symptom noted each medication visit (n=377)	123	32.6	28.1	(4.08)	
Status of ≥ 1 side effect noted each medication visit (n=377)	129	34.2	32.5	(5.28)	
≥ 1 vital sign monitored or laboratory study ordered or result noted, as clinically indicated for particular medications (n=402)	102	25.4	28.3	(5.67)	