1997-98 SURVEY OF STATE HEALTH CARE REFORM INITIATIVES AFFECTING BEHAVIORAL HEALTH SERVICES FOR CHILDREN AND ADOLESCENTS AND THEIR FAMILIES

State: ____________________________ Respondent: ____________________________
Date: ____________________________ Title: ____________________________
Phone: ____________________________

Check the types of health care reform in which your state is engaged. (Check all that apply.)

_____ None
_____ Medicaid reform for physical health only (no behavioral health)
_____ Medicaid reform for behavioral health only (includes mental health only or mental health and substance abuse)
_____ Medicaid reform for physical health and behavioral health services
_____ Insurance reform
_____ Comprehensive health care reform for entire state population
_____ Other, Specify _____________________________________________

Please duplicate this form and complete a separate survey form for each type of reform, if your state is engaged in more than one type.

GENERAL INFORMATION ABOUT STATE HEALTH CARE REFORM

(If necessary, feel free to add a brief explanation to any of your responses.)

1. Which of the following types of health care reform are you describing on this survey form? (Check only one.)

_____ Medicaid reform for physical health only (no behavioral health)
_____ Medicaid reform for behavioral health only (includes mental health only or mental health and substance abuse)
_____ Medicaid reform for physical health and behavioral health services
_____ Insurance reform
_____ Comprehensive health care reform for entire state population
_____ Other, Specify _____________________________________________

2. What are the stated goals of this reform? (Check all that apply.)

_____ Cost containment
_____ Increase access
_____ Expand service array
_____ Improve quality
_____ Improve accountability
_____ Other, Specify _____________________________________________

Return completed survey to: Mary Ann Kershaw
Research & Training Center for Children’s Mental Health
13301 Bruce B. Downs Blvd. Tampa, FL 33612
3. Briefly describe this reform.

4. Is this reform a statewide reform or limited to certain geographic areas? (Check only one.)
   _____ Statewide reform
   _____ Limited geographic areas with intent to phase in statewide
   _____ Limited geographic areas

   If statewide, did it begin in limited geographic areas?
   Yes _____ No _____

5. Does this reform involve the use of a Medicaid waiver?
   Yes _____ No _____

   If yes, specify type of waiver ________________________________

6. Does this reform include substance abuse services?
   _____ Yes _____ No

7. If this reform includes both physical health and behavioral health services, is there parity between physical and behavioral health services?
   _____ Yes _____ No

   If no, check all of the following choices that apply.
   _____ Mental health services are subject to higher co-payments and deductibles
   _____ Substance abuse services are subject to higher co-payments and deductibles
   _____ There are lifetime limits on mental health services
   _____ There are lifetime limits on substance abuse services
   _____ There are day and/or visit limits on mental health services
   _____ There are day and/or visit limits on substance abuse services
8. At what stage of implementation is the state with respect to this reform? (Check only one.)

_____ Proposal
_____ Proposal approved, planning underway
_____ Early implementation (less than one year)
_____ Middle implementation (one to three years)
_____ Late implementation (more than three years)

Specify the start date of the implementation of the reform:
___________________________________

9. Who at the state level has the lead responsibility for planning and overseeing implementation of behavioral health services for this reform? (Check all that apply.)

_____ Governor's office
_____ State health agency
_____ State Medicaid agency
_____ State mental health agency
_____ State substance abuse agency
_____ Other, Specify _____________________________________________

10. In your judgment, to what extent were each of the following involved in the initial planning and implementation of this reform?

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<tr>
<th></th>
<th>Not Involved</th>
<th>Some Involvement</th>
<th>Significant Involvement</th>
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<tbody>
<tr>
<td>Families</td>
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<tr>
<td>State child mental health staff</td>
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<tr>
<td>State substance abuse staff</td>
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<td>State child welfare staff</td>
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<tr>
<td>Other child-serving agencies</td>
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</table>

11. In your judgment, to what extent are each of the following involved in current refinements and implementation of this reform?

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<th></th>
<th>Not Involved</th>
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<td>Other child-serving agencies</td>
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12. Briefly describe how families of children and adolescents with emotional and substance abuse disorders are currently involved in refinements and implementation of the reform.
13. Is the state funding a family organization to play some role in the reform?

Yes _____ No _____

If yes, specify role.

14. For which of the following populations has the reform included a discrete planning process?

_____ Adolescents with substance abuse disorders
_____ Children and adolescents with serious emotional disorders
_____ Children and adolescents involved with the child welfare system
_____ Culturally diverse children and adolescents

15. Briefly describe the major changes, if any, the state has made in its reform since initial implementation that affect children and adolescents with emotional and substance abuse disorders and their families?

POPULATION AND SERVICES

1. What is the population affected by this reform? (Check all that apply.)

_____ Entire state population
_____ Uninsured
_____ Total Medicaid population
_____ Portion of Medicaid population

If the total Medicaid population is not covered, which of the following subgroups are covered? (Check all that apply.)

_____ AFDC population
_____ Poverty related population
_____ Aged, blind, and disabled population (SSI)
_____ Pregnant women and children
_____ Children and adolescents in the child welfare system
_____ Children and adolescents in the juvenile justice system
_____ Other, Specify ________________________________

2. What age group is affected by this reform?

_____ All ages
_____ Children and adolescents only
_____ Adults only

3. Does the reform include coverage for behavioral health services for children and adolescents that is different from behavioral health coverage for adults?

_____ Yes _____ No

Explain
4. For each type of service, indicate how the service is covered. (Check all that apply.)

<table>
<thead>
<tr>
<th>Service</th>
<th>Covered Under Reform</th>
<th>Covered By Another Funding Source</th>
<th>Not Covered By the State Through any Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>MENTAL HEALTH SERVICES</td>
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<tr>
<td>Assessment and diagnosis</td>
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<tr>
<td>Outpatient psychotherapy</td>
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<td>Medical management</td>
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<td>Home-based services</td>
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<td>Day treatment/partial hospitalization</td>
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<td>Crisis services</td>
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<td>Behavioral aide services</td>
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<td>Therapeutic foster care</td>
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<td>Therapeutic group homes</td>
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<td>Residential treatment centers</td>
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<td>Crisis residential services</td>
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<td>Inpatient hospital services</td>
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<td>Case management services</td>
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<td>School-based services</td>
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<td>Respite services</td>
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<td>Wraparound services</td>
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<td>Other, Specify</td>
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<tr>
<td>Service</td>
<td>Covered Under Reform</td>
<td>Covered By Another Funding Source</td>
<td>Not Covered By the State Through any Source</td>
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<td>SUBSTANCE ABUSE SERVICES</td>
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<td>Assessment and Diagnostic Evaluation</td>
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<td>Intensive Outpatient Services</td>
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<td>Outpatient Individual Counseling</td>
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<td>Outpatient Group Counseling</td>
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<td>Outpatient Family Counseling</td>
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<td>School-Based Services</td>
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<td>Day Treatment</td>
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<td>Ambulatory Detoxification</td>
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<td>Residential Detoxification</td>
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<td>Inpatient Detoxification</td>
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<td>Residential Treatment</td>
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<td>Inpatient Hospital Services</td>
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<td>Partial Hospitalization</td>
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<td>Methadone Maintenance</td>
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<td>Relapse Prevention</td>
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<tr>
<td>Case Management</td>
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</table>

5. Does the reform expand the array of home and community-based services for children and adolescents with emotional and substance abuse disorders that are covered?
   _____ Yes       _____ No

6. Does the reform include coverage for both acute (i.e., episodic, short-term) and extended (long-term) behavioral health care services?
   _____ Acute care only
   _____ Acute and extended care
7. If the reform covers acute care only, who is primarily responsible for providing extended behavioral health care services to children and adolescents? (Check all that apply.)

_____ Public child mental health system
_____ Public child welfare system
_____ Other public child-serving systems
_____ Public substance abuse system
_____ Other, Specify ____________________________________________________________________

8. Does the reform include behavioral health services to infants, toddlers, and preschool children and their families?

_____ Yes _____ No

9. Does the reform incorporate EPSDT requirements?

_____ Yes _____ No

10. Does the reform include differential coverage for behavioral health services for children and adolescents with serious behavioral health disorders and/or adults with serious and persistent behavioral health disorders? (Check all that apply.)

_____ Behavioral health coverage is different for children and adolescents with serious behavioral health disorders
_____ Behavioral health coverage is different for adults with serious and persistent behavioral health disorders

11. If there is differential coverage for children and adolescents with serious behavioral health disorders, what does it involve? (Check all that apply.)

_____ Expanded service array
_____ Intensive case management
_____ Interagency treatment and service planning
_____ Wraparound services or flexible service dollars
_____ Family support services
_____ Higher capitation or case rate
_____ Other, Specify ____________________________________________________________________

12. Does the reform build on previous or ongoing efforts to develop community-based systems of care for children and adolescents with serious and complex disorders and their families?

_____ Yes _____ No

13. From the following list, check the system of care values and principles that are incorporated into the reform’s RFPs, contracts, and service delivery protocols.

_____ Broad array of community-based services
_____ Family involvement
_____ Individualized, flexible care
_____ Interagency treatment and service planning
_____ Case management
_____ Cultural competence
DESIGN AND MANAGEMENT

1. Which of the following best characterizes the design of this reform? (Check only one.)
   _____ Integrated design (i.e., administration and financing of physical health and behavioral health are integrated, including instances where physical health plans subcontract with behavioral health plans)
   _____ “Divided” design (i.e., some behavioral health services are integrated with the physical health system while splitting out others for separate management and financing)
   _____ Behavioral health carve out (i.e., behavioral health financing and administration are separate from physical health financing and administration)

2. If you checked “behavioral health carve out,” how are the administration and financing of substance abuse services handled?
   _____ There is a separate substance abuse carve out
   _____ The behavioral health carve out includes mental health and substance abuse
   _____ Substance abuse is integrated with physical health
   _____ Substance abuse remains fee for service

3. What types of entities are used as managed care organizations (MCOs) for behavioral health services under the reform? (Check all that apply.)
   _____ For-profit managed health care organizations
   _____ Nonprofit managed health care organizations
   _____ For-profit behavioral health managed care organizations
   _____ Nonprofit behavioral health managed care organizations
   _____ Private, nonprofit agencies
   _____ Government entities, Specify ________________________________
   _____ Other, Specify ________________________________

4. Has the type of MCO been changed since the initial implementation of the reform?
   _____ Yes _____ No

   Explain

5. How many MCOs are used in the reform to manage behavioral health services?
   _____ One MCO statewide
   _____ One MCO per region
   _____ Multiple MCOs

6. In conjunction with the reform, has training and orientation been provided to MCOs and providers related to serving the following populations? (Check all that apply.)
   _____ No training
   _____ Training related to children and adolescents with serious emotional disorders
   _____ Training related to adolescents with substance abuse disorders
   _____ Training related to children and adolescents involved with the child welfare system
   _____ Training related to the Medicaid population in general
7. In conjunction with the reform, has training and orientation about the goals and operation of the managed care system been provided to any of the following groups? (Check all that apply.)

_____ No training
_____ Families
_____ Providers
_____ Public child welfare system
_____ Other child-serving systems
_____ Other, Specify ___________________________________________________

8. Which management mechanisms, if any, are utilized in the delivery of behavioral health services under this reform? (Check all that apply.)

_____ Screeners/gatekeepers
_____ Case management
_____ Prior authorization
_____ Utilization management
_____ Preferred and/or exclusive provider arrangements
_____ Other, Specify ___________________________________________________

9. If case management is utilized in the reform, is the primary focus service authorization and utilization management or accessing, brokering, coordinating, and advocacy?

_____ Primary focus on service authorization and utilization management
_____ Primary focus on service accessing, brokering, coordinating, and advocacy
_____ Both

10. Are there additional or special management mechanisms that this reform requires for children and adolescents with serious behavioral health disorders because they are a more complex and costly patient population?

_____ Yes  _____ No

If yes, specify type of mechanisms.

11. Are there additional or special management mechanisms that this reform requires for children and adolescents involved with the child welfare system?

_____ Yes  _____ No

If yes, specify type of mechanisms.
12. Does this reform involve the designation of essential providers for behavioral health service delivery?
   _____ Yes _____ No
   If yes, specify the types of agencies designated as essential providers.

13. Does the reform incorporate provisions to ensure the inclusion of culturally diverse and indigenous providers in provider networks?
   _____ Yes _____ No

14. Has this reform involved the use of criteria for determining “medical necessity” or “clinical necessity” for accessing behavioral health services?
   Yes _____ No _____

15. Have medical necessity criteria been changed since initial implementation of the reform?
   Yes _____ No _____
   If yes, explain how and why.

16. Does the reform incorporate clinical decision making criteria specific to behavioral health care services for children and adolescents?
   _____ Level of care criteria/patient placement criteria
   _____ Practice guidelines
   _____ No criteria specific to children and adolescents

17. Does this reform involve the use of a grievance and appeals process?
   Yes _____ No _____
   If yes, which of the following groups is the major source of grievance and appeals? (Check only one.)
   _____ Families
   _____ Behavioral health care providers
   _____ Child welfare system
   _____ Other child-serving systems

18. Does this reform involve the use of some type of trouble-shooting system or mechanism (e.g., 800 #, ombudsman, etc.) for consumers and/or providers of behavioral health services?
   Yes _____ No _____
   If yes, specify type of mechanism.
19. Does the reform incorporate new or revised standards, licensure or credentialing requirements for behavioral health professionals or programs?

    Yes _____    No _____

FINANCING AND RISK

1. Does this reform involve use of capitation or case rate financing?

    _____ Capitation
    _____ Case rates
    _____ Neither

2. Have the capitation or case rates changed since initial implementation of the reform?

    _____ Yes    _____ No

    If yes, explain how and why.

3. Does the reform incorporate built-in mechanisms to reassess and adjust capitation and case rates at specific intervals?

    _____ Yes    _____ No

4. Which of the following agencies contribute to the financing of behavioral health services for children and adolescents in the reform? (Check all that apply.)

    _____ Mental health
    _____ Health
    _____ Medicaid
    _____ Child Welfare
    _____ Education
    _____ Juvenile Justice
    _____ Substance Abuse
    _____ Other, Specify ________________________________________________________
5. If capitation or case rates are used, please complete the following matrix as applicable.

<table>
<thead>
<tr>
<th>Population</th>
<th>Amount of Capitation Rate (Specify if annual or monthly)</th>
<th>Amount of Case Rate (Specify if annual or monthly)</th>
<th>Basis for Rate (e.g. prior utilization, etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adults and children and adolescents-physical and behavioral health</td>
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<tr>
<td>Children and adolescents – physical and behavioral health</td>
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<td>Adults and children and adolescents – behavioral health only</td>
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<tr>
<td>Children and adolescents – behavioral health only</td>
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<tr>
<td>Adults – behavioral health only</td>
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<tr>
<td>Children and adolescents with serious emotional disorders</td>
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<tr>
<td>Adults with serious and persistent mental illnesses</td>
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<tr>
<td>Adolescents with substance abuse disorders</td>
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<tr>
<td>Children and adolescents in state custody (i.e., child welfare)</td>
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<td>Other, Specify</td>
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</table>

6. If capitation or case rates include both physical and behavioral health, does the state require that a specified percentage of the rate be allocated to behavioral health care?

   _____ Yes       _____ No

   If yes, specify percentage

7. Does this reform involve use of a risk adjustment mechanism?

   _____ Yes       _____ No

   If yes, specify the risk adjustment mechanisms used.

8. If risk adjustment is used, what is the purpose of the risk adjustment? (Check all that apply.)

   _____ To guard against underservice for children and adolescents with serious disorders
   _____ To protect service providers who are sharing the risk
   _____ Other, Specify
9. In what way do the state and MCOs share the financial risks and benefits?

_____ MCOs have all the benefit and all the risk
_____ State has all the benefit and all the risk
_____ MCOs and state share risk and share benefit
_____ MCO and state share risk only
_____ MCO and state share benefit only

10. Do MCOs push risk down to providers?

_____ Yes  _____ No

11. Does the state put a limit on MCO profits?

_____ Yes  _____ No

12. Does the state put a limit on MCO administrative costs?

_____ Yes  _____ No

13. Does the state require reinvestment of savings back into the behavioral health system for children and adolescents?

_____ Yes  _____ No

If yes, how are savings reinvested? (Check all that apply.)

_____ Creating new or more services
_____ Serving more children and adolescents
_____ Other, Specify ___________________________________________________

14. Besides reinvestment of savings, is the state investing in service capacity development for behavioral health services for children and adolescents and their families?

_____ Yes  _____ No

QUALITY AND OUTCOME MEASUREMENT

1. Does this reform incorporate a quality measurement system?

Yes _____  No _____

If yes, does it include measures specific to behavioral health services for children and adolescents and their families?

Yes _____  No _____

2. How are families involved in the quality measurement process?

_____ Not involved
_____ Focus groups
_____ Surveys
_____ Involved in the design of the quality measures and/or process
_____ Involved in monitoring the quality measurement process
_____ Other, Specify ___________________________________________________
3. What types of outcomes does this reform measure specific to behavioral health services for children and adolescents and their families? (Check all that apply.)

- Cost
- Access
- Service utilization patterns
- Clinical and functional outcomes
- Parent satisfaction
- Youth satisfaction
- Other, Specify ____________________________
- None

4. What sources of information are used to measure behavioral health outcomes for children and adolescents and their families under the reform? (Check all that apply.)

- Families
- Providers
- Child welfare system
- Major child-serving systems
- Family organizations
- Other, Specify ____________________________
- None

5. Are there mechanisms to track the impact of the reform on other child-serving systems (e.g., cost shifting)?

Yes _____ No _____

6. If there is a formal evaluation of the reform, does it include a focus on children and adolescents with emotional and substance abuse disorders and their families?

Yes _____ No _____

**CHILD WELFARE MANAGED CARE**

1. In your state, is the child welfare system implementing or planning to implement reform related to the management, financing, or delivery of child welfare services at the state or county levels?

   Yes _____ No _____

   Is this reform initiative defined as “managed care?”

   Yes _____ No _____

2. Is this reform initiative coordinated with the state health care reform (i.e., Medicaid managed care)?

   Yes _____ No _____

3. Briefly describe any child welfare reform initiative that is defined as managed care.
4. Contact person for information about the child welfare managed care initiative.

Name: _______________________________________ Phone: ___________________
Title: _______________________________________ Fax:     ___________________
Agency: _______________________________________  

TECHNICAL ASSISTANCE MATERIALS/INFORMATION

On the list below, please indicate the types of material/information related to behavioral health service delivery for children and adolescents that you have in your state that may be useful to other states undertaking health care reforms.

_____ Requests for proposals
_____ Medical/clinical necessity criteria
_____ Standards for professionals
_____ Standards for programs
_____ Level of care criteria
_____ Quality measurement criteria
_____ Grievance and appeals procedures
_____ Capitation or case rate setting methods
_____ Risk adjustment methods
_____ Contracts with managed care entities
_____ Health care reform legislation
_____ Outcome measures for children and adolescents with emotional and substance abuse disorders and their families
_____ Outcome “report card”
_____ Medicaid waiver applications

PLEASE INCLUDE WITH YOUR RESPONSE ANY OF THE ABOVE ITEMS THAT YOU HAVE CHECKED AND WOULD BE WILLING TO SHARE WITH OTHER STATES
Appendix A

1997–98 Survey of State Health Care Reform Initiatives Affecting Behavioral Health Services for Children and Adolescents and their Families