

# The Role of Collaboration in Transforming Systems of Care

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# Transformation's Call for Collaboration

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- New Freedom Commission on Mental Health
  - ◆ Call to identify better ways to work together at the Federal State, and local levels to leverage human and economic resources and put them to their best use for children, adults, and older adults living with- or at risk for-mental disorders
- Federal Mental Health Action Agenda
  - ◆ Principle B: Focus on community-level models of care that effectively coordinate the health and human service providers and public and private payers involved in mental health treatment and delivery of services

# Study Purpose

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- Purpose: To increase our understanding of how various public policy implementation strategies facilitate or inhibit collaboration in systems of care
- Assumptions:
  - ◆ Collaboration is a key factor in developing systems of care
  - ◆ The policy implementation strategies that states use have an impact on levels of collaboration
  - ◆ Effective collaboration produces outcomes, such as improved relationships among agencies, families, and providers; and improved service delivery



# Policy Approaches

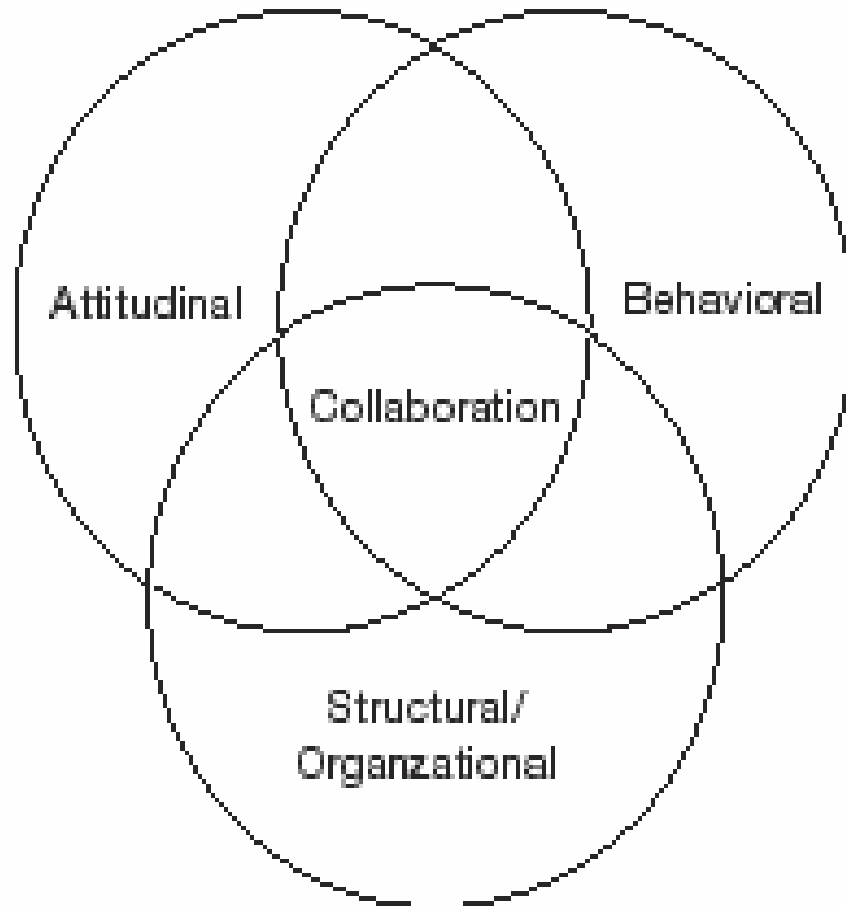
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- Legislative mandates: rules governing the behavior of individuals and agencies
- Inducements: transfers of money on a conditional basis in return for the performance of activities
- Capacity building: the conditional transfer of money in order to invest in human or material resources
- System change approaches: the transfer of authority among individuals and agencies in order to change the service system
  - *Elmore, 1987*



# Domains that Affect Policy Implementation

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# Study Method

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- National survey of state mental health agencies to collect data on types of policy instruments used
- Coding of documents; cluster analysis to identify groups of states similar on types of policy instruments, agencies involved, and system of care principles
- Cluster analysis produced 5 clusters of states with similar approaches
- Site visits to two states from each cluster
- Analysis and synthesis of qualitative and quantitative data



# Findings: Facilitative Structural/ Organizational Factors

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- A tiered infrastructure of interagency coordinating entities at the state, regional and local levels
- Policies that support local/regional level autonomy and flexibility regarding how financial and human resources are distributed
- When new resources are available, include policies that make local collaboration a funding mandate
- Factors such as lawsuits, or a strong family organization may be used strategically to support collaboration

# Findings: Facilitative Structural/ Organizational Factors

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- A coordinating entity at the state level with Commissioner-level representation, legislative authority, and a mandate to promote collaboration
- Consent decrees may promote cross-agency establishment of common values and the introduction of evidence-based practices
- The number of organizational entities involved, or the integration of children's systems into one state agency, may or may not result in high levels of collaboration



# Findings: Inhibiting Structural/ Organizational Factors

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- Two or more different state entities that fund local collaborative infrastructures
- Two or more state entities with mandates and resources for children with mental health problems
- Financing systems, including managed care arrangements and Medicaid waivers, with funding levels that are not able to support a comprehensive service array or flex funds

# Findings: Inhibiting Structural/ Organizational Factors

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- Diffused responsibility and accountability for a target population
- Frequent changes in administration and leadership at the state levels
- The absence of a statewide family organization that can facilitate collaboration and advocate for system of care development
- Lack of an infrastructure for convening child-serving agencies at the state level

# Findings: Facilitative Behavioral Factors

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- A series of consistent policies and initiatives that provide moderate resources for collaboration and system of care development
- Strong leadership by at least one state agency that promotes a shared vision and strategic cross-agency activities
- Moderate resources to support local interagency coordinating infrastructures
- Creative use of human resources, such as placement of personnel in school districts, child welfare, and juvenile justice settings to provide consultation and skill development



# Findings: Facilitative Behavioral Factors

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- Policies with clear accountability mechanisms, including data collection on outcomes, evaluation, and quality assurance activities
- Shared, active use of data by policymakers to drive decision-making, planning, and problem solving
- Development of a cross-agency strategy for the integration of activities into a comprehensive, coordinated approach to system of care development



# Findings: Inhibiting Behavioral Factors

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- System of policies developed at different times by various legislative bodies and state agencies, with conflicting policy interpretations
- Policies of child-serving agencies that do not reflect system of care values, such as family involvement and collaboration

# Findings: Inhibiting Behavioral Factors

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- Conflicting policies and/or mandates in various child-serving systems
- Too much money, too soon. E.g. statewide implementation when some localities have less history of collaboration and less readiness to implement systems of care



# Facilitating Attitudinal Factors

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- Shared cross-system support for system of care values and principles, including collaboration
- Mutual respect among system partners at the state and local levels
- Long-term cross-agency focus on barrier reduction at the state and local levels
- A perception among stakeholders that there is a shared willingness to compromise regarding goals and strategies for the system of care

# Facilitating Attitudinal Factors

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- Adequate local authority to “do whatever it takes” to serve children in their homes and communities
- A common belief in shared decision making and cross system responsibility and ownership
- Parents’ perception that services provided by local agencies are coordinated



# Inhibiting Attitudinal Factors

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- Lack of a shared cross-agency vision for the development of local systems of care
- The absence of strong state level leadership
- Child-serving agencies that operate as “closed systems” and fail to share resources and data
- Belief systems that focus on blaming and deficits discourage family involvement
- Mistrust among system partners, including mistrust of parent’s perceptions about the system of care



# Policy Recommendations

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- Infrastructures such as tiered coordinating entities, a Children's Cabinet, or super agencies that include several child serving systems
- Strong, visionary, committed, and consistent leadership at all levels
- Funding, even at modest levels, and leverage of funding
- Local autonomy in the use of human and financial resources



# Policy Recommendations

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- Policies that include shared, cross-agency goals, such as prevention of out-of-home placements
- Policies that facilitate the placement of mental health personnel in schools, juvenile justice, and child welfare settings
- Resources for the support of local infrastructures to promote collaboration
- Clear accountability policies and standards that define cross-agency data collection activities



# Policy Recommendations

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- The use of data by interagency structures to guide decision making and allocation of new resources
- Clear state-level responsibility for a target population
- Policies that mandate family attendance and participation at service planning meetings
- Policies that promote cross-system pooling of resources
- The rotation of leadership for interagency collaborative infrastructures and activities

# Policy Recommendations

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- Policies that balance promotion of a broad policy framework, local autonomy for how the vision is carried out, and a reasonable level of statewide standardization and accountability
- Policy mandates with modest funding can get stakeholders to the table more quickly
- Support by state policymakers for initiatives that strengthen interagency collaboration, whether these efforts are initiated at the state or local level

