

**VT Health Care Innovation Project  
Core Team Meeting Agenda  
November 14, 2016 3:00pm-4:00pm  
Elm Conference Room, Waterbury State Office Complex, Waterbury  
Call-In Number: 1-877-273-4202; Passcode: 8155970**

Item #	Time Frame	Topic	Presenter	Relevant Attachments
1	3:00-3:05	Welcome and Chair's Report <ul style="list-style-type: none"> <li>a. Sustainability Plan Update</li> <li>b. Follow-up from last Core Team meeting: Financial Information</li> </ul>	Lawrence Miller	Attachment 1a: Myers & Stauffer Monthly Sustainability Update-October 2016.  Attachment 1b: Financial Breakdown on HIT and ACO spending to-date ( <i>to be distributed at a later date</i> ).  <i>Update.</i>
<b>Core Team Processes and Procedures:</b>				
2	3:05-3:10	Approval of meeting minutes	Lawrence Miller	Attachment 2: October 31, 2016 Meeting Minutes  <i>Decision needed.</i>
<b>Core Team Updates:</b>				
3	3:10-3:50	Population Health Plan	Tracy Dolan	Attachment 3: Population Health Plan  <i>Decision needed.</i>
4	3:50-4:00	<i>Public Comment</i>	Lawrence Miller	
5	4:00	Next Steps, Wrap-Up and Future Meeting Schedule: December 20, 2016 from 2pm-4pm, Waterbury	Lawrence Miller	



Attachment 1a: Myers & Stauffer  
Monthly Sustainability Update-  
October 2016

**State of Vermont (SOV) State Innovation Model (SIM)  
Development of Final Sustainability Plan  
Myers and Stauffer LC Monthly Progress Report to Vermont SIM Core Team**

**Progress Summary - October 2016**

This progress report provides a summary of the work performed in October by Myers and Stauffer LC (MSLC) as the contractor assisting the state in the development of the Sustainability Plan for the Vermont State Innovation Model (SIM) Testing Grant.

*First Draft of the Sustainability Plan*

MSLC delivered the first draft of the SIM Sustainability Plan to the State on October 24, 2016. The plan serves to inform the reader of the recommendations made for the sustainability of the projects implemented under SIM. Data obtained from the State, Sustainability Sub-Group, on-line survey, and key informant interviews were utilized to inform the plan. The plan contains the following sections: Executive Summary, Introduction, Background and Overview, Research and Methods, Sustainability Recommendations by Focus Areas, Conclusion and Appendices. Below is a brief summary of each plan section.

*Executive Summary*

This section of the plan provides a summary of the plan's vital information including an overview of the Vermont Health Care Innovation Project (VHCIP) work completed to date. Specific examples of SIM work accomplished by project year is also included as well as the work accomplished on the All-Payer Model. Sustainability investment definitions are also provided.

Additionally, this section refers readers to the in-depth recommendations found in the *Sustainability Recommendations per Focus Area* plan section, and a high-level summary of the recommendations located in Appendix A.

*Introduction*

The introduction provides a brief history of the SIM Initiative stating the purpose of SIM, noting these health care payment and service delivery models were designed to improve health system performance, foster quality of care, and decrease costs for all citizens including Medicare, Medicaid, and Children's Health Insurance Program (CHIP) recipients.

*Background and Overview*

A definition of sustainability, and the elements of sustainability are contained in this section of the plan. A link (<http://healthcareinnovation.vermont.gov/>) is provided to readers who want to learn more about the work accomplished by the SOV SIM initiative.

*SIM Governance*

This section provides an overview of the three distinct governance structures that oversee program development for SIM activities. Feedback from stakeholders stressing the value of the

governance structure, particularly the work groups, in the overall SIM experience is included in this section of the plan.

### *Research and Methods*

Summarized information gathered by MSLC from document reviews, key informant interviews, sustainability sub-group meetings, and other research to further refine the sustainability framework is contained in this section. More comprehensive findings are located in Appendices B-D.

### *Sustainability Recommendations by Focus Areas*

This section provides a description of the projects by focus area, their current status, and the recommendation for sustaining the project beyond the SIM funding opportunity. Sustainability recommendations fall into three main categories:

- **One-time investments** to develop infrastructure or capacity, with limited ongoing costs.
- **New or ongoing activities** which will be supported by the State after the end of the Model Testing period; and
- **New or ongoing activities** which will be supported by private sector partners after the end of the Model Testing period.

Some projects remain ongoing at the time of the delivery of the initial draft plan. For these cases, it is indicated sustainability status is pending a project's completion.

### *Conclusion*

The conclusion emphasizes the State continues to build on existing success and modify programs for sustainability, and is well-positioned to identify and reevaluate program viability. Also acknowledged are obstacles facing Vermont as the State continues to build the infrastructure to support a health care system poised to achieve better health, better care, and lower costs.

### *Sustainability Sub-Group Meeting*

The Sustainability Sub-group met twice in the month of October. The October 5, 2016 Sustainability Sub-Group meeting topic was Health Data Infrastructure (HDI). During the meeting, the following was discussed/noted:

- The on-line survey results relating to the HDI focus area.
- The State has had an HIT Strategic Plan for about 10 years and will continue to be guided by the recommendations in this plan.
- There is an HIT Governance working group which includes public and private sector partners convening now.
- The HIT Fund includes an assessment which sunsets next year, which the State expects to be renewed.
- Walk through of the HDI SIM project recommendations made by SOV staff. The intent of the recommendations was to serve as a starting point for the discussion.

The discussion topic for the October 28, 2016 meeting was an overview of the 1<sup>st</sup> draft of the SIM Sustainability Plan. Lawrence Miller noted that these are recommendations to the Sub-Group; he offered an opportunity for anyone to express concerns or differences of opinion on these initial recommendations. Sub-Group members noted they would like to see more in the plan on sustainability of the governance structures and communications modeled in the SIM initiative. Additionally, another member felt the plan should emphasize how far the SOV has come since the start of SIM initiative.

The remainder of the meeting was spend discussing and making recommendations on who the Lead Entity and Key Partners should be for each project. The Lead Entity is the Executive Champion where the project resides now who can provide leadership after SIM ends. This approach will preserve continuity. The Key Partners are stakeholders who will participation in the various aspects of the project.

#### [SIM Core Team December Meeting](#)

An overview of the first draft of the Sustainability Plan will be presented by MSLC to the Core Team during the December meeting.

Attachment 2: October 31,  
2016 Meeting Minutes

## Vermont Health Care Innovation Project Core Team Meeting Minutes

### Pending Core Team Approval

**Date of meeting:** Monday, October 31, 2016, 1:30-3:00pm, 4<sup>th</sup> Floor Conference Room, Pavilion Building, 109 State Street, Montpelier.

Agenda Item	Discussion	Next Steps
<b>1. Welcome and Chair's Report</b>	<p>Robin Lunge called the meeting to order at 1:31. A roll-call attendance was taken and a quorum was not present. Lawrence Miller was late for the meeting due to a conflict; Robin Lunge opened the meeting in his absence. Lawrence arrived during Agenda Item 1.</p> <p><i>Chair's Report:</i> Robin Lunge provided an update:</p> <ul style="list-style-type: none"> <li>• <u>Annual Report Submitted:</u> The SIM Year 2 Annual Report was submitted at the end of September. The report was also distributed to all VHCIP participants and was posted on the VHCIP website.</li> <li>• <u>Population Health Plan Update:</u> The Population Health Plan is a core deliverable of the SIM Grant. The Plan is out for stakeholder review through 11/2. Thanks to all who have contributed comments; the draft plan will be revised and distributed to the Core Team next week for review and discussion at the 11/14 meeting. Georgia Maheras thanked Sarah Kinsler and Heidi Klein for their work on this.</li> <li>• <u>PP2 Carryover Approved:</u> We did a Carryover request for PP2 which was approved by CMMI in October. We are submitting another Carryover request to close out remaining items. Georgia thanked Diane Cummings for her work on this, noting that this Carryover request will allow us to draw down additional funds for PP2 activities (see Item 3).</li> </ul>	
<b>2. Approval of Meeting Minutes</b>	<p>Paul Bengtson moved to approve minutes from the previous meeting. Hal Cohen seconded. A roll call vote was taken and the minutes were approved with one abstention (Monica Hutt).</p>	
<b>3. Financial Update: Budget to Actuals PP3</b>	<p>Diane Cummings provided an update:</p> <ul style="list-style-type: none"> <li>• Performance Period 1 is now closed out; just over \$300,000 unspent.</li> <li>• Performance Period 2 is not yet closed out. We have spent nearly \$14 million (of \$17 million total); just over \$400,000 left unobligated some of which can be drawn down through Carryover (Item 4). Georgia Maheras added that Actuals column will be updated prior to next meeting as invoices are processed.</li> <li>• Performance Period 3 spending is on track.</li> </ul>	



Agenda Item	Discussion	Next Steps
	<p>The group discussed the following:</p> <ul style="list-style-type: none"> <li>Paul Bengtson asked how much total money has gone to the ACOs across all performance periods. Georgia replied that this figure is not called out in these materials. Paul suggested that this is an item of interest on which he would like additional information. Lawrence asked whether Paul wants additional information by year and by grantee or whether he wants additional detail for activity area? Paul is particularly interested in health data infrastructure spending and support to the ACOs to help them function.</li> </ul>	
<p><b>4. Financial Request: PP3 Reallocation</b></p>	<p>Lawrence Miller introduced this item. Reallocations are necessitated by the approval of our PP2 Carryover – expenses previously budgeted for PP3 are now covered by PP2 funds, which frees up some money in the PP3 budget.</p> <p>Georgia Maheras presented proposed PP3 budget reallocations, as detailed in Attachment 4. Her goal is to submit a budget reallocation request to CMMI in early November to support timely execution of contracts (start date 1/1/17) due to lengthy federal contract approval process.</p> <ul style="list-style-type: none"> <li>Reallocation and increase are within PP3 Contractual line. May later request a reduction in Equipment expenses (running slightly low). Within Attachment 4: blue text = decreases, red text = increases.</li> </ul> <p><i>Reallocations: Evaluation and Project Management</i></p> <ul style="list-style-type: none"> <li>UMass: Reduction due to personnel departure. (Holly Stone, previously funded through this contract, has moved to a different role with the State’s HIE program.)</li> <li>Datastat: Reduction to reflect low spending to date.</li> <li>Self-Evaluation Plan: Increase requested to support learning dissemination and data visualization. Learning dissemination activities will support development of materials to spread lessons learned in a variety of formats and for a variety of audiences. Kate O’Neill noted that data visualization activities were discussed during contract negotiations but excluded from original contract; they will be re-proposed by the vendor soon for review. This could include development of a website application to support interactive visualization of evaluation data. <ul style="list-style-type: none"> <li>Paul Bengtson asked how sub-grant program activities would be included. Georgia noted that the evaluation, including data collection (site visits, key informant interviews, focus groups, etc.) is still in progress, though the Learning Dissemination Plan has been distributed to the Core Team.</li> <li>Lawrence noted that it’s challenging to have evaluation activities occurring at the same time as sustainability planning, but that this is the nature of a three-year grant cycle.</li> </ul> </li> </ul> <p><i>Reallocations: Practice Transformation</i></p> <ul style="list-style-type: none"> <li>Vermont Developmental Disabilities Council: Activities were delayed from June 2016 (PP2) to July 2016 (PP3), which requires shifting funds into new budget year. In addition, increase will fund e-learning</li> </ul>	

Agenda Item	Discussion	Next Steps
	<p>platform to sustain Core Competency Training activities, as well as a fourth section of the Learning Collaborative added as a result of high provider interest. Georgia noted that toolkits and training materials for Core Competency Trainings will be added to the VHCIP website in the coming weeks.</p> <ul style="list-style-type: none"> <li>• Bi-State/CHAC: The Core Team previously approved an increase in funding for Bi-State/CHAC due to an increase in attributed lives. CHAC has requested an extension through 6/30/17 along with a reduction of \$100,000. In returning the funds, CHAC requested they be used to support similar activities.</li> <li>• Policy Integrity: Reduction to reflect low spending to date.</li> <li>• IHSGlobal: Requesting no-cost extension to accommodate project delays due to data acquisition delays.</li> </ul> <p>Health Data Infrastructure:</p> <ul style="list-style-type: none"> <li>• VITL (Home Health Agency Project): Requesting 6-month no-cost extension to accommodate project delays. Work with Home Health Agencies requires HHAs to work with their EHR vendors to perform updates and work with VITL. <ul style="list-style-type: none"> <li>○ Paul Bengtson asked about the interfaces being developed through this project. Georgia replied that these include ADT feeds as well as CCD interfaces (less structured). Paul commented that his organization still struggles with bi-directional exchange. Georgia noted that the other piece of this project, which is on-time, is to allow HHAs to look into the VHIE to view patient information as appropriate.</li> </ul> </li> <li>• Stone Environmental: Reduction to reflect low spending to date.</li> </ul> <p>Payment Model Design and Implementation:</p> <ul style="list-style-type: none"> <li>• Bailit Health Purchasing: No-cost extension to continue to support APM and Medicaid Pathway efforts.</li> <li>• Burns and Associates: Reduction to \$280,000 – this was a PP2 activity and CMMI has allowed us to draw PP2 funds for this. No-cost extension through 6/30/17.</li> <li>• PHPG: No-cost extension.</li> <li>• DLB: Julie Wasserman asked whether this contract could be extended. Georgia noted that this contract is not under-spending at the moment, so would need to allocate additional funds. Lawrence noted that the Core Team has been willing to consider any proposal.</li> </ul> <p>Sustainability and Population Health Plan:</p> <ul style="list-style-type: none"> <li>• Hester: Reduction to reflect low spending to date.</li> <li>• Amount remaining in sustainability: \$1,460,477.87. Georgia is requesting for \$260,477.87 to remain unspent in this category to deal with any unanticipated needs in the future.</li> </ul> <p>Georgia noted that she had been tasked to identify any remaining unallocated funds. She has identified three potential discussion points in addition to the reallocation described above:</p>	

Agenda Item	Discussion	Next Steps
	<ol style="list-style-type: none"> <li>1. <i>Self-Evaluation Plan</i>: Retain \$200,000 earmarked for data visualization, but come back to the Core Team with a full proposal within 60 days.</li> <li>2. <i>Terminology Services Phase 2</i>: This scope of work was previously presented to the Core Team. Staff recommendation is to use HITECH funds to cover these expenditures, which would allow the State to receive 90/10 federal match and spend flexible SIM funds in other ways.</li> <li>3. <i>Friedman</i>: This contract includes data analysis and Learning Collaborative work on the Integrating Family Services program.</li> </ol> <ul style="list-style-type: none"> <li>• Paul Bengtson asked for an update on IFS. Georgia replied that the State is leveraging the learnings from IFS for the Medicaid Pathway effort and using Medicaid Pathway to spread IFS concepts statewide. Hal Cohen added that IFS is continuing, but AHS is working to integrate it further into the Medicaid Pathway project to ensure alternative payment models aren't redundant. Care redesign and teaming efforts will remain active. Paul noted that this sounds like an Accountable Health Community.</li> <li>• Paul asked what happens to all State-Led Evaluations from a CMMI perspective – how does CMMI use results in developing new programs? Lawrence replied that his interactions with CMMI suggest that they read every document submitted by states and work hard to integrate these learnings and spread them across states; they are fully engaged with this process. Lawrence noted that the we submit very detailed reports, and that the questions asked by CMMI policy staff are incredibly detailed and thoughtful. Paul commented that some recent CMMI programs feel like a backward step for Vermont. Robin Lunge commented that this is sometimes the case, where Vermont is ahead of the rest of the nation.</li> </ul> <p>Sustainability: Proposed New Expenditures. Proposed that \$1.2 million (of \$1,460,477.87 total remaining in the sustainability category) be expended on an APM-related contract with VCO, and that the remainder remain unallocated in anticipation of future needs.</p> <ul style="list-style-type: none"> <li>• Paul asked for more information on how VCO will work and what the proposed funds would support. Lawrence replied that his understanding is that this will support willing providers who choose to contract with or merge into VCO. The Medicaid contract for ACO services for 2017 is still under negotiation; it might result in one contract with VCO or individual contracts with each ACO. <ul style="list-style-type: none"> <li>○ The Global Commitment Waiver negotiations are complete. The State received the authorization from CMS on Monday, and has 30 days to sign.</li> <li>○ ACO funding sources within waivers: Provision for funding of Blueprint and SASH, as well as some ACO infrastructure money. This will be a grant agreement between CMMI and AHS. There is funding capacity in the Managed Care Investments area, as well as in IAPDs for HIE/HIT activities. ACOs are also receiving funds from previously approved SIM activities, money from hospitals. The commercial contract for 2017 unknown at this point. There is also administrative cost worked into the Medicaid contract, and related funding to VITL and others.</li> </ul> </li> </ul>	

Agenda Item	Discussion	Next Steps
	<ul style="list-style-type: none"> <li>○ This proposed \$1.2 million would cover January 1-June 30. In the past, SIM has funded support of the Regional Collaborations (also known as Community Collaboratives), Learning Collaboratives, and quality measurement activities. Georgia noted that the ACO(s) will have many funding sources, but that SIM funds can be used for any patient population (not payer-specified) unlike funds from Medicare or Medicaid. <ul style="list-style-type: none"> <li>▪ Medicare to ACO in 2017: \$2 million, limited to activities to support Medicare enrollees.</li> <li>▪ Medicaid to ACO in 2017: DVHA/AHS will have a project-specific application process. There is capacity in the Global Commitment waiver that sets up available federal funds for various purposes. There are multiple steps to allow for draw-down. Capacity is ~\$209 million gross over five years, requiring State match (a potentially limiting factor). ACO dollars are specific to APM activities, but no dollars are specifically carved out within this. Robin emphasized that capacity is different from funding, and commented that this amount is over 5 years in a system that spends \$1.6 billion per year.</li> </ul> </li> <li>○ Monica Hutt asked for clarification on how the \$1.2 million will be spent. Lawrence clarified that this vote is for the purposes of submitting a revised PP3 budget to CMMI for approval. Lawrence noted that the Core Team would review and approve specific activities within this total amount as it does for other projects. She commented that she wants to avoid leaving funds unexpended at the end of the grant period. She added that she is struggling to understand what the ACOs need these funds for, noting that we need to ensure that money is wisely spent. Lawrence replied that payments to ACOs would be predicated on ACOs meeting contractual requirements, as always. He noted that it is challenging to deal with moving parts at the moment, but that there will likely be some portion of funding for citizens that are not otherwise coverable by Medicare, Medicaid, or commercial – SIM is a place where we have flexibility to add capacity. Overall funding requirements will come from the provider network, some have been capitalized into ACOs already, some will come through rates, some will come through restricted programs in Medicaid or Medicare. These funds anticipate costs that have no good funding source. Actual ACO contracts and attribution model will allow us to make more granular decisions in this area.</li> <li>○ Robin noted that the Sustainability Sub-Group is a private-sector group looking at where previously SIM-supported activities will be sustained. Robin noted that these funds would be one way to support these activities. Georgia added that we will have a draft proposal from the Sub-Group next week, which will be sent to all SIM participants.</li> <li>○ Robin added that non-FFS payment models require significantly different infrastructure than FFS; infrastructure is critical to success, and is one factor DVHA will look at in its readiness review. Monica added that community providers also need to build infrastructure and readiness, but the limited time period is a challenge. Robin agreed, noting that the SIM grant ends on 6/30/17. Robin added that the State has negotiated additional time for community providers to prepare and build infrastructure and readiness through the APM. In approving any budget request, CMMI would want to ensure these funds work toward the goals within the APM framework.</li> </ul>	

Agenda Item	Discussion	Next Steps
	<ul style="list-style-type: none"> <li>○ Ed Paquin noted that it sounds like reallocating these funds soon is necessary to be able to use them at all. Could we shift them to other activities later? Georgia replied that it takes at least 60 days for federal contract approval, and all funds must be expended by June 30. We must have federal contract approval (and State contract approval) soon enough to expend these funds within the time period.</li> <li>○ Paul asked what level of specificity this request needs to have. He doesn't want to slow the process, but also wants to make thoughtful decisions. Lawrence and Robin noted that these funds wouldn't be made openly available to VCO; this wouldn't meet federal or State contracting requirements. Paul suggested that these funds will create the delivery system that is in place, and noted that he doesn't believe every community has an accountable health community. Paul asked whether there is a way to reword this proposal so that this money isn't just going to VCO. Robin replied that CMMI will have some expectation that this money would go to VCO in accordance with the APM agreement. Paul agreed.</li> <li>○ Georgia noted that there are two steps to the budget reallocation process: We give CMMI early notice of a request in this area, which allows them to prepare for a full contract request. Later, we submit a detailed contract approval request including full scope and budgetary language.</li> <li>○ Georgia suggested language could be: "Give permission to allocate and engage in express conversations to plan and negotiate..." Paul wants approvable language to get the State where it needs to go which provides clear indications of where the money would go. Hal suggested "to APM-related contracts" rather than specifying VCO. What specificity will CMMI require for approval? Robin noted that from CMMI's perspective, sustainability is about moving successfully into the APM. Paul commented that in his view, this is only part of the project. Robin agreed with Hal's wording suggestion. Georgia concurred, noting that this language is sufficient for initial conversations with CMMI, but that she would need the Core Team's authorization to discuss additional details and develop budgets.</li> </ul> <p>Paul Bengtson moved to approve all budget adjustments discussed in Attachment 4 as presented, except for Slide 10, change to "Propose to expend \$1.2 million on APM-related contract." Robin Lunge seconded.</p> <ul style="list-style-type: none"> <li>● Julie Wasserman noted that this is complicated, and a large amount of money to spend within 6 months. She suggested that a written proposal would help members understand the proposal. Lawrence replied that if CMMI approves this reallocation, more detailed requests will come back to the Core Team for approval as usual, noting that the project is governed by the federal requirements.</li> <li>● Susan Aranoff commented that she is confused by the Sustainability bucket. She asked whether the \$1.2 million come out of the Sustainability bucket. Lawrence replied that this is true, and leaves \$260,477.87 in the Sustainability bucket to deal with future needs. Susan asked how this relates to the Sustainability Plan. Lawrence replied that the Sustainability Plan process has focused on which activities have been</li> </ul>	

Agenda Item	Discussion	Next Steps
	<p>successful and which have not, and identifying lead organizations to take on SIM activities when SIM ends. He noted that the Plan will not be approved until next Spring.</p> <ul style="list-style-type: none"> <li>Georgia asked for clarification: The Core Team briefly discussed Slide 9. Does the Core Team want to make specific decisions on these recommendations? Staff recommendations are to approve the Self-Evaluation Plan request, to shift the Terminology Services Phase 2 activity to HITECH funds, and to approve the Friedman request. The motion was amended to incorporate these changes.</li> </ul> <p>A rollcall was taken and the motion carried unanimously.</p>	
<b>5. Public Comment</b>	There was no public comment.	
<b>6. Next Steps, Wrap Up and Future Meeting Schedule</b>	<p><b>Next Meeting:</b> Monday, November 14, 2016, 1:00-3:00pm, 4<sup>th</sup> Floor Conference Room, 109 State St., Montpelier</p> <p>Georgia noted that the December Core Team meeting will be rescheduled.</p>	

## VHCIP Core Team Participant List

Attendance:

10/31/2016

C	Chair
IC	Interim Chair
M	Member
MA	Member Alternate
A	Assistant
S	VHCIP Staff/Consultant
X	Interested Party

First Name	Last Name		Organization
Susan	Aranoff	here	AHS - DAIL
Ena	Backus		GMCB
Susan	Barrett		GMCB
Paul	Bengston	here	Northeastern Vermont Regional Hospital
Beverly	Boget		VNAs of Vermont
Harry	Chen		AHS - VDH
Hal	Cohen	here	AHS-CO
Amy	Coonradt		AHS - DVHA
Alicia	Cooper		AHS - DVHA
Steven	Costantino		AHS - DVHA, Commissioner
Mark	Craig		
Diane	Cummings	here	AHS - Central Office
John	Evans		VITL
Jaime	Fisher		GMCB

Erin	Flynn		AHS - DVHA
Lucie	Garand		Downs Rachlin Martin PLLC
Christine	Geiler		GMCB
Martita	Giard		OneCare Vermont
Al	Gobeille		GMCB
Sarah	Gregorek		AHS - DVHA
Mike	Hall		V4A
Carrie	Hathaway		AHS - DVHA
Selina	Hickman		AHS - Central Office
Monica	Hutt	phone	AHS - DAIL
Kate	Jones		AHS - DVHA
Pat	Jones		GMCB
Joelle	Judge	here	UMASS
Sarah	Kinsler	here	AHS - DVHA
Heidi	Klein		AHS - VDH
<del>Leah</del>	<del>Korce</del>		AHS - DVHA
<del>Kelly</del>	<del>Lange</del>		Blue Cross Blue Shield of Vermont
Robin	Lunge	here	AOA
Carole	Magoffin	phone	AHS - DVHA
Georgia	Maheras	here	AOA
Lawrence	Miller	here	AOA - Chief of Health Care Reform
Meg	O'Donnell	phone	UVM Medical Center
Kate	O'Neill	here	GMCB
Luann	Poirer		AHS - DVHA
Frank	Reed		AHS - DMH
Lila	Richardson	here	VLA/Health Care Advocate Project
Larry	Sandage		AHS - DVHA
Suzanne	Santarcangelo		PHPG
Julia	Shaw	phone	VLA/Health Care Advocate Project
Kate	Simmons		Bi-State Primary Care
Karen	Sinor	phone	AHS - DVHA
<del>Holly</del>	<del>Stone</del>		UMASS
Steve	Voigt		ReThink Health



Julie	Wasserman	new	AHS - Central Office
Kendall	West		Bi-State Primary Care
James	Westrich		AHS - DVHA
Katie	Whitney		AHS - Central Office
Jason	Williams		UVM Medical Center
Sharon	Winn		Bi-State Primary Care

Ed Paquin - phone  
Erin Mansfield - new

# VHCIP Core Team Member List

Roll Call: 10/31/2016

*1<sup>o</sup> Paul  
2<sup>o</sup> Hal*      *1<sup>o</sup> Paul  
2<sup>o</sup> Robin*

Member		Sept Minutes	Financial Proposals	
First Name	Last Name			Organization
Paul	Bengston ✓	✓	✓	Northeastern Vermont Regional Hospital
Hal	Cohen ✓	✓	✓	AHS -CO
Steven	Costantino	—	—	AHS - DVHA
Al	Gobeille	—	—	GMCB
Monica	Hutt ✓	<i>Abstain</i>	✓	AHS - DAIL
Robin	Lunge ✓	✓	✓	AOA - Director of Health Care Reform
Lawrence	Miller ✓	✓	✓	AOA - Chief of Health Care Reform
Steve	Voigt	—	—	ReThink Health

Attachment 3:  
Population Health Plan

# State Innovation Model Population Health Plan

Prepared by the State of Vermont for the Centers for Medicare and Medicaid Services

DRAFT FOR PUBLIC COMMENT

NOVEMBER 7, 2016



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SPECIAL THANKS TBD

## What is Health?

Health is a state of complete physical, mental, and social well-being and not merely the absence of disease or infirmity.<sup>1</sup>

## What is Population Health?

The health outcomes (morbidity, mortality, quality of life) of a group of individuals, including the distribution of such outcomes within the group.<sup>2</sup>

## Defining Population

“Population” is often defined differently by different groups

- **For Health Care Providers...**  
Managing the health outcomes of the patients in their practice
- **For Payers...**  
Managing the clinical outcomes of enrolled patients and attributed lives
- **For Community Members...**  
Supporting health and well-being for people who live in a geographic area, either local, regional, state, or national

## What are Population Health Strategies?

- **Traditional Clinical Approaches** focus on individual health improvement for patients who use their provider-based services;
- **Innovative Patient Centered Care and/or Community Linkages** include community services for individual patients; and
- **Community-Wide Strategies** focus on improving health of the overall population or subpopulations.

# I. Introduction

Vermont’s strategic vision for health care reform is to achieve better care, better health, and lower costs through the implementation of ACO-based delivery reforms. Vermont’s Population Health Plan is intended for use in future State policymaking efforts to support this strategic vision. It describes key principles and strategic policy options for integrating population health and community-wide prevention into health reform efforts, with the ultimate goal of improving the health and well-being of Vermonters throughout the lifespan. This document builds on the work of the State Innovation Models (SIM) Population Health Work Group and the activities performed over the life of the SIM Grant in Vermont.

Section II of the Population Health Plan presents a case for integrating population health and prevention into future reform efforts, and describes the many factors which contribute to health and well-being. Section III outlines five principles to guide future State health reform efforts. Section IV outlines policy options by which the State and/or regions and communities could pursue these principles. Section V describes how Vermont can measure successful implementation of the Population Health Plan.

### *The plan:*

- » Leverages and builds upon existing priorities, strategies, and interventions included in Vermont’s State Health Improvement Plan (SHIP) (see sidebars on pages 5 and 10) and other state initiatives;
- » Addresses the integration of public health and health care delivery;
- » Leverages payment and delivery models as part of the existing and planned health care transformation efforts;
- » Includes a data-driven implementation plan that identifies measurable goals, objectives, and interventions that will enable the state to improve the health of the entire state population; and
- » Includes elements to ensure the long-term sustainability of identified interventions.

We need to shift from focusing on health care to focusing on health. This means looking **longer** (over time), **earlier** (in terms of upstream interventions and the well-being of children and their families), **broader** (in terms of populations and partnerships), and **wider** (in terms of health determinants).

*The SIM Grant, also known as the Vermont Health Care Innovation Project, provided Vermont with a unique opportunity to test its ability to transform the health care system in support of the Triple Aim:*

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- ✓ Better care;
- ✓ Better health; and
- ✓ Lower costs.

*In order to achieve this, the SIM grant has:*

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- » Designed value-based payment models for all payers;
- » Supported provider readiness for increased accountability; and
- » Improved our health data infrastructure to enable all to use timely information for clinical decision-making and policy-making.

A hallmark of these activities has been collaboration between the public and private sectors. The SIM process has created commitment to change and synergy between public and private cultures, policies, and behaviors. Vermont's SIM activities have invested significant resources in transforming our health care system by changing the way care is paid for and delivered, and by building critical health data infrastructure to support these changes. These efforts seek to achieve payment and delivery system reform goals found in Act 48, Vermont's landmark health reform legislation enacted in 2011.

Vermont's payment and delivery system efforts are occurring within the context of significant federal reforms. Since the passage of the Affordable Care Act in 2010, there have been major shifts across the country not only in the way providers think about health care, but in efforts to improve quality and moderate system costs.

Additionally, the Affordable Care Act sets expectations for key federal and state reforms and has put new momentum behind actions to address the social determinants of health which shape life expectancy and health status across the lifespan and drive population health outcomes (see sidebar on pg. 6).

## All-Payer Model

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Vermont's strategic vision for health care reform is to achieve better care, better health, and lower costs through the implementation of ACO-based delivery reforms. The Vermont All-Payer ACO Model will build on existing all-payer alternative payment models to better support and promote a more integrated system of care and a sustainable rate of overall health care cost growth. Value-based payments that shift risk onto health care providers and that are aligned across all payers encourage collaboration across the care continuum and with non-health care system partners that can improve health.

## State Health Improvement Plan – Priorities for Population Health Improvement

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Vermont's State Health Improvement Plan (SHIP) is a five-year blueprint that sets the top priorities for population health improvement for 2013-2017. The Plan includes three broad Healthy Vermonters 2020 goals, thirteen indicators, and recommended evidence-based strategies and interventions. The development committee, led by the Vermont Department of Health, utilized the following set of guiding principles to create the Plan:

- Determination of priority areas based on available data;
- Prevention as the highest priority for improving population health;
- Addressing conditions that impact social determinants of health;
- Achieving health equity among population groups;
- Choosing evidence-based interventions that incorporate policy and environmental approaches; and
- Monitoring progress of interventions through a strong performance management system.



"Population health initiatives aim to improve the health of populations by focusing the health care system on prevention and wellness rather than illness."<sup>3</sup>

*Crawford, McGinnis, Auerbach, and Golden*

## Social Determinants of Health<sup>6</sup>

The social determinants of health are the circumstances in which people are born, grow up, live, work, and age, as well as the systems put in place to deal with illness. These circumstances are in turn shaped by a wider set of forces: economics, social policies, and politics.

## II. Background

Statewide health care payment and delivery system reforms focused on individual and clinical solutions have demonstrated their ability to help slow health care cost growth of and improve health care quality. However, these reforms alone cannot fully attain the Triple Aim goals and often fall short of creating equal opportunity for health and well-being across all populations and across the lifespan.

To improve population health outcomes, policies and strategies must address the social, economic, and environmental factors that contribute far more to premature death and poor quality of life than access to, and quality of, health care. Improvement of health necessarily involves early intervention and working across sectors to ensure that the collective policy environment becomes one that supports health and well-being.

To achieve the Triple Aim, many state and federal health policymakers are partnering with communities to implement population health initiatives that engage new community partners to address both health behaviors and the social factors influencing health such as housing, food, work, and community life. Improvements in the determinants rely on structural and systemic adjustments to our health care system and expanded accountability for health.

This plan offers policymakers and payers options to more fully engage the health care sector in prevention and incentivize partnerships that align goals and strategies across clinical care, social services, and population health improvement efforts, and increase broad accountability for the health of a community.

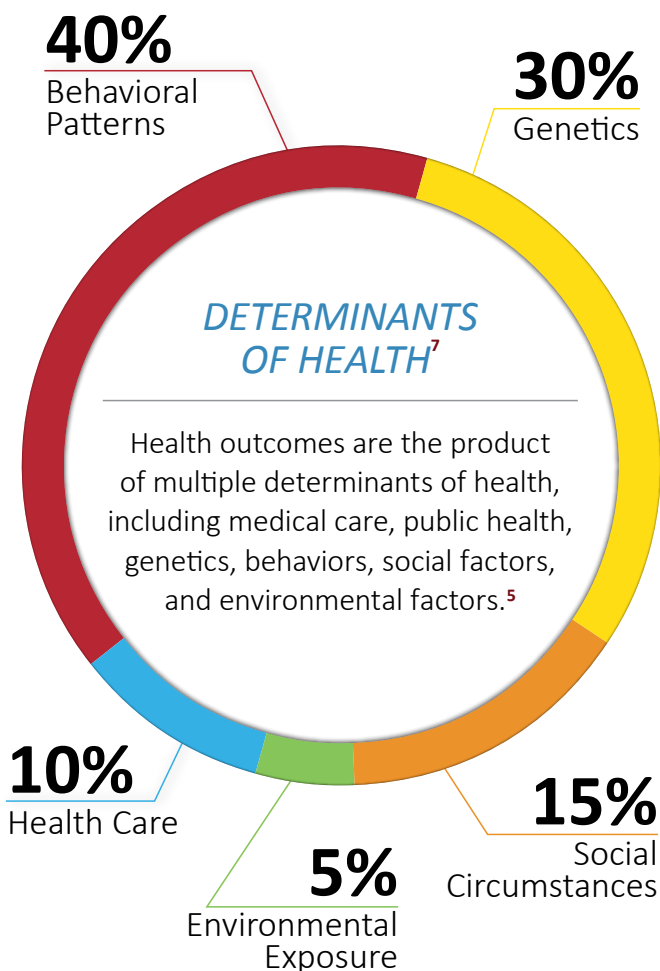
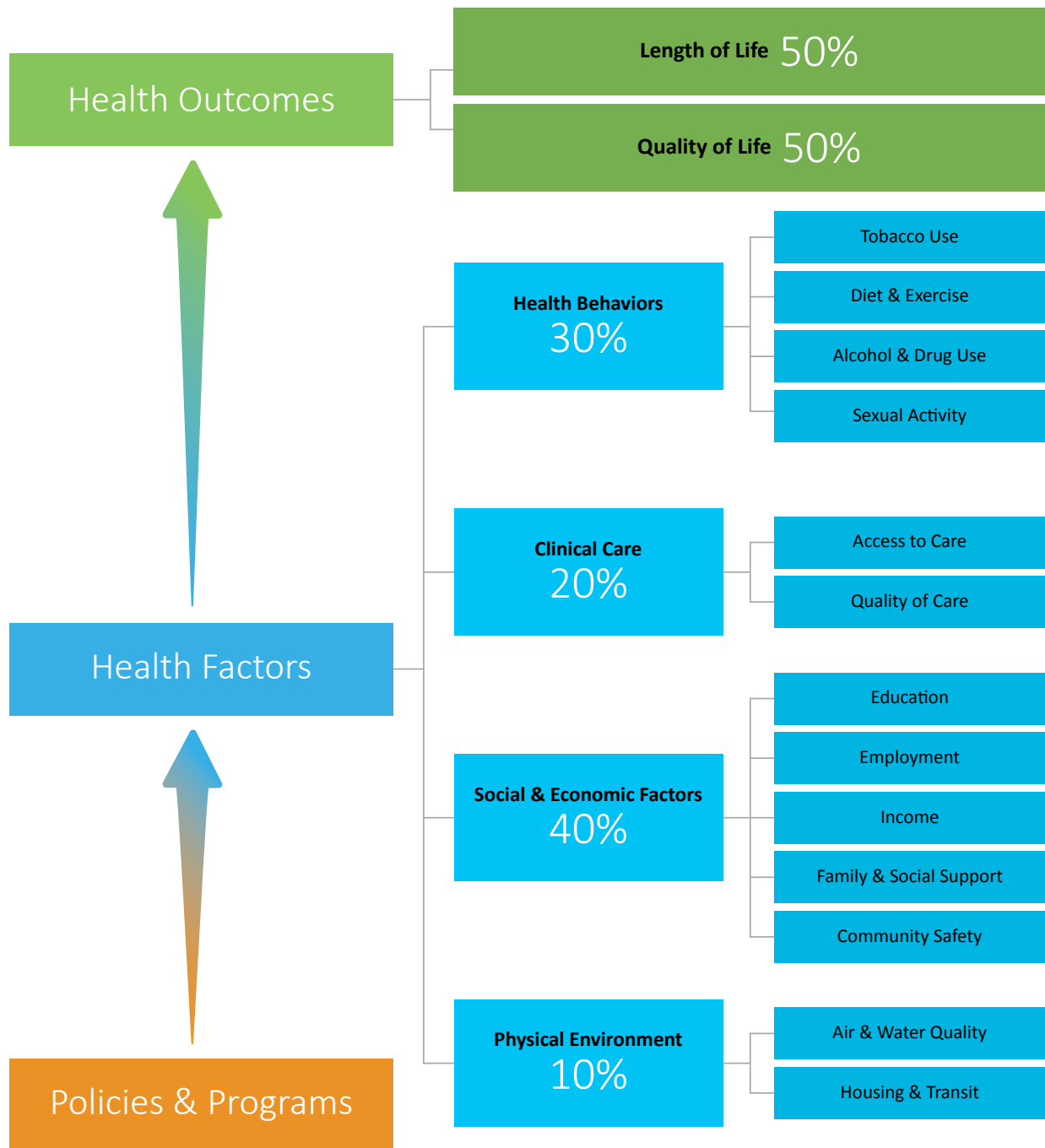


FIG. 1

## County Health Rankings<sup>11</sup>

The County Health Rankings Model of population health emphasizes the many factors that, if improved, can help make communities healthier places to live, learn, work and play.

FIG. 2



# III. Five Principles for Improving Population Health

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Vermont's Population Health Plan seeks to integrate population health and community prevention into the reforms that will shape Vermont's future health system. The five principles below are intended to guide State efforts to meet this goal, and should act as a framework by which to assess State policy options and efforts.

These principles are based on efforts by the SIM Population Health Work Group, a public-private partnership of health care, public health, community, and consumer leaders which met from 2014 to 2016.

## 1. Use Population-Level Data on Health Trends and Burden of Illness to Identify Priorities and Target Action.

Focus on identified state priorities given burden of illness, known preventable diseases, and evidence-based actions that have proven successful in changing health outcomes. Consider the health outcomes of a group of individuals, including the distribution of such outcomes within the group, in order to develop priorities and target action.

## 2. Support Prevention, Wellness, and Well-Being at All Levels—Individual, Health Care System, and Community.

Focus on actions taken to maintain wellness rather than solely on identifying and treating disease and illness. Particular focus should be on strategies to address mental health issues, substance use disorder, long-term services and supports, and childhood health and wellness. Prevention can be woven into all levels of the health system to improve health outcomes.

## 3. Address Social Determinants of Health.

Identify the circumstances in which people are born, grow up, live, work, and age. These circumstances are in turn shaped by a wider set of forces, or root causes, including race, class, gender, economics, and social policies. Consider risk factors that lower the likelihood of positive outcomes, as well as protective factors that enhance the likelihood of positive outcomes while lessening the likelihood of negative consequences from exposure to risk.

## 4. Engage Community Partners in Integrating Clinical Care and Service Delivery with Community-Wide Prevention Activities.

Build upon existing infrastructure (Community Collaborations, Accountable Care Organizations, and public health programs), to connect a broad range of community-based resources, and to address the interrelationships among physical health, mental health, and substance use.

## 5. Create Sustainable Funding Models Which Support and Reward Improvements in Population Health, including Primary Prevention and Wellness.

Direct savings, incentives, and investments at efforts aimed at primary prevention, self-care, and maintaining wellness. Ensure funding priorities explicitly demonstrate spending and/or investments in prevention and wellness activities.

## Accountable Communities for Health

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The Accountable Community for Health (ACH) is an aspirational model where the ACH is accountable for the health and well-being of the entire population in its defined geographic area, and not limited to a defined group of patients. An ACH supports the integration of high-quality medical care, mental health services, substance use disorder treatment, and long-term services and supports, and incorporates social services (governmental and non-governmental) for those in need of care. It also supports community-wide primary and secondary prevention efforts across its defined geographic area to reduce disparities in health and wellness.

### The 9 Core Elements of an ACH are:

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1. Mission
2. Multi-Sectoral Partnership
3. Integrator Organization
4. Governance
5. Data and Indicators
6. Strategy and Implementation
7. Community Member Engagement
8. Communications
9. Sustainable Financing

In many Vermont communities, ACHs are explicitly building on the governance structures and partnerships developed by the Community Collaboratives (see sidebar on pg. 12), bringing in partners to integrate population health and prevention (including VDH, public health and community prevention coalitions, ACOs, and additional partners from the social and community services sector), as well as a new framework and set of tools to help Community Collaboratives develop and meet population health goals. A visual model showing the relationship between ACHs and Community Collaboratives is shown in Figure 3 (see pg. 13). ACHs are one way to embody the principles for improving population health described in this Population Health Plan in Vermont's regions.

## Prevention Strategies Framework: The 3 Buckets

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The Centers for Disease Control and Prevention (CDC) has developed a framework which identifies opportunities to incorporate prevention activities to improve population health outcomes through simultaneous action in three different domains:

### Traditional Clinical Approaches

This category includes increasing the use of prevention and screening activities routinely conducted by clinical providers. Examples include: annual influenza vaccination, use of aspirin for those at increased risk of a cardiovascular event, screening for tobacco use, screening for substance use, and screening for domestic or other violence.

### Innovative Patient-Centered Care and/or Community Linkages

This category includes innovative, evidence-based strategies offered within the community that are not typically leveraged by health care systems under fee-for-service payment models. Examples include: community-based preventive services, health education to promote health literacy and individual self-management, and routine use of community health teams, medication assistance treatment teams, and community health workers.

### Community-Wide Strategies

This category includes specific system-wide action steps demonstrating investment in total population health. Examples include: funding for smoking-cessation groups and chronic disease self-management groups in the larger community, supporting legislation that addresses public health issues (i.e., smoking bans in bars and restaurants), and providing healthier food options at State-operated and other public venues (i.e., State offices, public schools) and in all meetings, whomever the host.

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The Prevention Change Packets, developed by the Vermont Department Health in partnership with Vermont's ACOs, use this CDC framework. The Packets are intended to provide users with suggested evidence-based and best practices to include prevention in addressing health issues through simultaneous action in the three domains.

## The State Health Improvement Plan Goals

The State Health Improvement Plan is a five-year blueprint that sets three broad [Healthy Vermonters 2020](#) goals and thirteen indicators as the top public health priorities for 2013-2017, with recommended evidence-based strategies and interventions.

- **GOAL 1:**  
Reduce the prevalence of chronic disease (e.g., heart disease, diabetes, cancer, and respiratory diseases)
- **GOAL 2:**  
Reduce the prevalence of individuals with or at risk of substance use or mental illness (e.g., suicide, prescription drug use, and opioid use)
- **GOAL 3:**  
Improve childhood immunization rates (vaccinate against preventable diseases)

## Health in All Policies

Health in All Policies approaches seek to more fully integrate health considerations into all programs and policies, and promote better health outcomes through cross-sector collaboration and partnership. Health in All Policies considers potential impacts of every policy on health and well-being, and utilizes all available authorities, policies, budgets, and programs to improve health.

## IV. Policy Options

Vermont has historically been on the leading edge of health reform across the nation. The State has a strong role in policy development, implementation, funding, and regulation which sets the necessary foundation for statewide reforms. Many of these reforms include changes that must be adopted by partners both at the state and regional levels. The State recognizes the need for reform efforts to be responsive to the needs of each community or region's unique population, noting that success depends on building upon local resources and partnerships. Flexibility to allow for local innovation and community leadership have been a key thread running through many reforms implemented over the past decade.

This section of the Population Health Plan identifies four strategic levers utilized in health systems reform: governance requirements, care delivery requirements and incentives, measurement, and payment and financing methodologies.<sup>13</sup> It also offers policy options for each lever to support integration of population health and prevention, in line with the five principles described in Section III of the Population Health Plan.

- » **Governance:** Who participates in decision-making? Governance can include: setting strategic vision and direction; formulating high-level goals and policies; overseeing management and organizational performance; and ensuring that an organization or project is achieving the desired outcomes while acting prudently, ethically, and legally.
- » **Care Delivery Requirements and Incentives:** How is care delivered? Care delivery requirements and incentives can push health care providers and organizations to change their behavior to better support population health improvement goals.
- » **Measurement:** What is the impact? By integrating measurement of population health outcomes, Vermont can increase provider, policymaker, and community attention to priority community health concerns and the factors that drive them. Additionally, measuring population health outcomes can allow for payment incentives or penalties tied to population health goals.
- » **Payment and Financing Methodologies:** How are population health and prevention activities funded? Payment and financing methodologies can incentivize providers and the system as a whole to increase their focus on population health goals and social determinants of health.

Table 1 summarizes these four levers and identifies Vermont-specific policy options which are described in the remainder of Section IV.<sup>15</sup>

**Table 1:  
Levers and Policy Options to Promote Integration of Population Health and Prevention into Health Reform**

Lever	Descriptions and Examples of Potential Levers	Vermont-Specific Policy Options
<b>Governance Requirements</b>	<ul style="list-style-type: none"> <li>» Require public health representatives on regional and statewide governance or advisory structures.</li> <li>» Require or encourage partnerships across sectors, including criminal justice, transportation, recreation, food system and education.</li> </ul>	<ul style="list-style-type: none"> <li>» Ensure public health and prevention representation in state-level payment &amp; delivery system reforms like the Blueprint for Health, Medicaid Pathway, All-Payer Model oversight and monitoring.</li> <li>» Ensure public health representation in regional governance like the Community Collaboratives.</li> <li>» Maintain a statewide stakeholder group that makes recommendations to State health policy leadership to encourage population health integration and coordination.</li> <li>» Expand partnerships like the Governor's Health in All Policies Task Force and sponsor local Health in All Policies efforts.</li> </ul>
<b>Care Delivery Requirements and Incentives</b>	<ul style="list-style-type: none"> <li>» Create opportunities for integration of primary care, mental health services, substance use disorder treatment, and long-term services and supports (as described in the Vermont Model of Care, see pg. 14).</li> <li>» Increase referrals to specific public health programs, such as tobacco cessation.</li> <li>» Offer comprehensive preventive and social services.</li> <li>» Include non-medical services that can improve health, such as housing, in total cost of care calculations.</li> <li>» Support programs that bridge medical care with efforts to impact social determinants.</li> </ul>	<ul style="list-style-type: none"> <li>» Embed integration requirements into regulation, contracting, and evaluation and monitoring activities for all state-level payment and delivery system reforms.</li> <li>» Utilize Prevention Change Packets to incorporate prevention strategies into clinical care settings.</li> <li>» Incentivize regional efforts to support population health improvement goals. Examples include: Accountable Communities for Health, Community Collaboratives, and Learning Collaboratives.</li> </ul>
<b>Measurement</b>	<ul style="list-style-type: none"> <li>» Begin the development process by identifying the most significant contributors to the health outcomes that drive morbidity and mortality – (physical activity, tobacco use, and diet lead to diabetes, heart disease, respiratory disease, and cancer).</li> <li>» Develop population health metrics that incorporate both short-term actions/processes and longer-term outcomes.</li> <li>» Develop and require metrics that capture population health interventions.</li> <li>» Leverage existing data sources to identify population health needs and support collaborations.</li> </ul>	<ul style="list-style-type: none"> <li>» Include statewide measures of population health to measure success of major reforms, and to drive priority-setting for improvement initiatives.</li> <li>» Include screening measures for key conditions in payment and reporting measure sets for payment reforms.</li> <li>» Use local data to assess community health needs within each Hospital Service Area.</li> <li>» Provide region-specific data like Blueprint Profiles and Health Department Community Assessments to each region.</li> </ul>
<b>Payment and Financing Methodologies</b>	<ul style="list-style-type: none"> <li>» Use financing to help provider groups address social determinants of health and initiatives that impact future health status.</li> <li>» Employ value-based payment mechanisms that hold providers financially accountable for community-level performance to encourage partnerships across provider organizations and with prevention and public health.</li> </ul>	<ul style="list-style-type: none"> <li>» Utilize existing regulatory oversight mechanisms — like Certificate of Need, Health Resource Allocation Planning, Insurance Rate Review, and Hospital Budget Review — to support investment in population health and prevention activities.</li> <li>» Embed public health accountability requirements into payment, monitoring, and evaluation activities for all state-level payment and delivery system reforms.</li> <li>» Encourage alternative, region-specific financing and funding activities. Examples include recent investments in Chittenden County to provide support for the homeless population.</li> </ul>

## Community Collaboratives

Community Collaboratives are local structures within each of Vermont's 14 Hospital Service Areas<sup>17</sup>, which support provider collaboration and alignment between Blueprint and ACO quality measurement, data analysis, clinical priorities, and improvement efforts. They convene leaders from the health care provider community, as well as social service and community organizations. These collaboratives seek to build an integrated health system including: care for individuals with substance use disorders, mental health needs, and/or those who are in need of long-term services and supports. Integrated care would provide necessary programs, services, and infrastructure to address the circumstances in individuals' lives which contribute to health.

Many Community Collaboratives include representatives from the public health and prevention sector, which has been promoted by participation in the Accountable Communities for Health Peer Learning Laboratory, and are increasingly engaging in strategic planning for community-based prevention activities as a result of Peer Learning Laboratory participation. A visual model showing the relationship between ACHs and Community Collaboratives is shown in Figure 3.

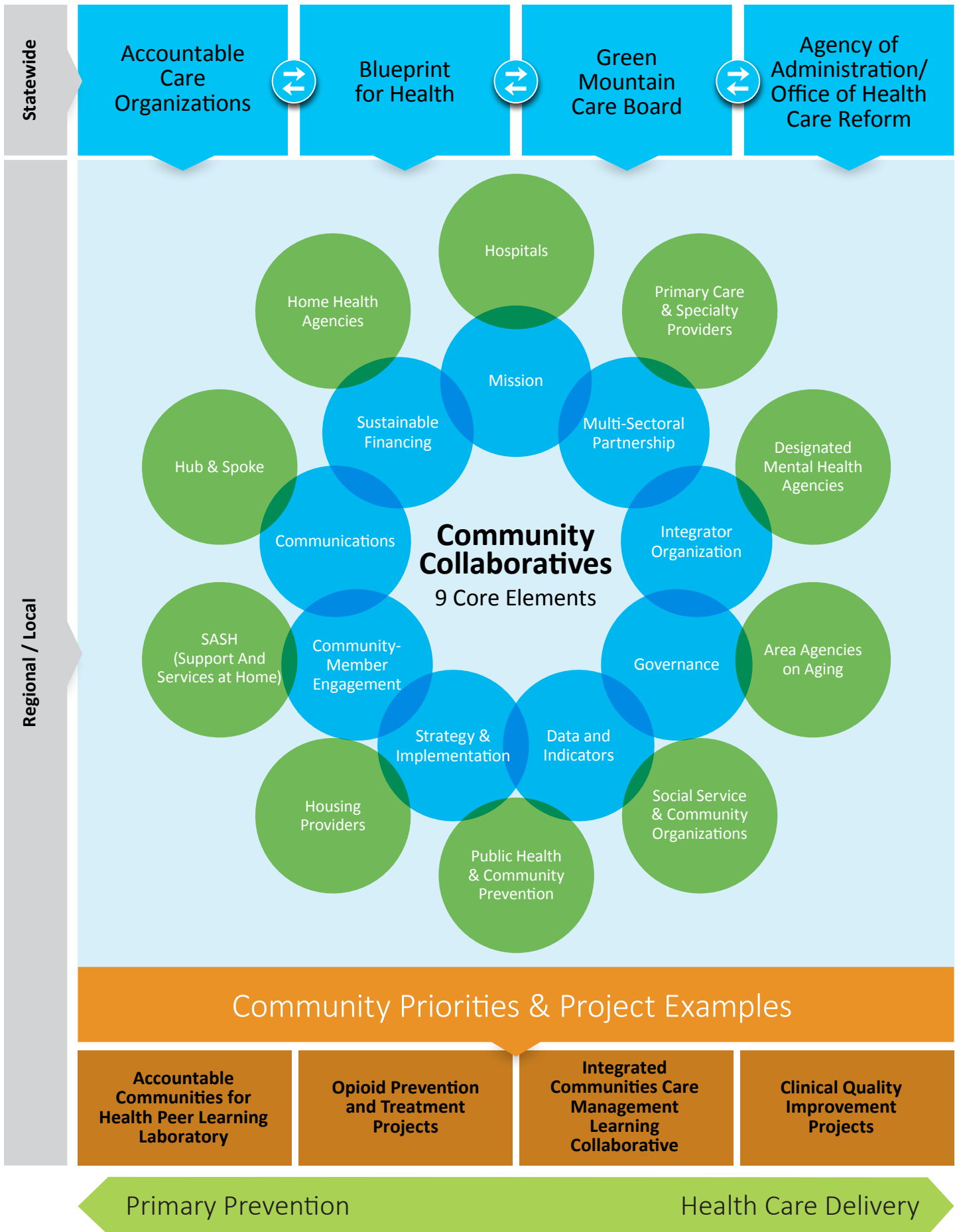
## Governance Requirements

Governance dictates which partners are included in decision-making for projects and organizations through formal boards or through informal advisory structures. State regulation or other actions can outline expectations for governance of entities utilizing government funding or requiring governmental licensing and approval. Increased public health and prevention participation in governance structures can add meaningful authority, and can ensure integration of data and community-wide strategies to impact the factors that contribute to positive health and well-being.

### *Policy Options: Governance Requirements*

- » Require organizations or projects to have public health and social services organization representatives on their boards. Embed governance requirements in Medicaid contracts with ACOs and other providers, and require ACOs, through Act 113 of 2016, to include public health and prevention leaders in their governing entities.
- » Encourage continued engagement of public health and prevention partners in the Community Collaboratives (see sidebar) to support regional priority-setting and foster relationships between public health, clinical care, and social services.
- » Maintain a statewide public/private stakeholder group that recommends activities that improve health to State health policy leadership and encourages coordination and alignment across population health efforts throughout the state.
- » Expand partnerships to other sectors that impact health. Build upon the efforts of the Governor's Health in All Policies Task Force, which brings together nine core state agencies charged with considering potential impacts to health and well-being, and with utilizing available authorities, policies, budgets, and programs to improve health.

FIG. 3





## The Vermont Model of Care<sup>19</sup>

The Vermont Model of Care is the foundation for care delivery transformation in Vermont. It was developed and endorsed by a broad, multi-sectoral group of stakeholders.

### Key elements of the Vermont Model of Care are:

1. Person/Family Centered and/or Directed Services and Supports
2. Access to Independent Options Counseling & Peer Support
3. Involved Primary Care Provider (PCP)
4. Single Point of Contact (Case Manager)
5. Medical Assessments and Disability and Long-Term Services and Support Screening by PCPs, Medical Specialists
6. Disability and Long-Term Services and Support Specific Assessments
7. Comprehensive Care Plan
8. Individual Care Team
9. Support During Care Transitions
10. Use of Technology for Information-Sharing

## Policy Levers: Care Delivery Requirements and Incentives

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Care delivery requirements and incentives can push health care providers and organizations to change their behavior to better support population health goals.<sup>18</sup> For over a decade, Vermont has been working to shift from a fragmented care delivery system to one that provides more coordinated care. These policy options could support efforts to build on that foundation by developing a health system that further integrates social services, public health, and community-wide prevention.

### Policy Options: Care Delivery Requirements and Incentives

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- » Create expectations within regulatory processes and contract vehicles that require entities to demonstrate how they will support achieving the components of Healthy Vermonters 2020, the All-Payer Model population health measures, and the Vermont Model of Care (see sidebar below).
- » Utilize the strategies in the Prevention Change Packets – developed by VDH in collaboration with Vermont’s ACOs for the main ACO measures using the Prevention Strategies Framework (sidebar at left) – to assist clinical and community providers, Community Collaborative leaders, and public health partners in working across systems to incorporate prevention strategies to improve population health and well-being.
- » Incentivize Community Collaboratives to fully develop into Accountable Communities for Health, resulting in an expanded focus that includes community-wide primary and secondary prevention efforts which affect broad policy changes and key community infrastructure, and which promote inclusion a broader set of partners (see Governance).

## Measurement

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By integrating measurement of population health outcomes and well-being, Vermont can increase provider, policymaker, and community attention to priority community health concerns and the factors that drive them.<sup>20</sup>

### Policy Options: Measurement

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- » Use statewide measures of population health to measure success of major reforms, as Vermont will do through the All-Payer Model.
- » Use population health measures to drive statewide priority setting for improvement initiatives.
- » Continue to include screening measures for key conditions like obesity, tobacco use, and cancer into the payment and reporting quality measures for payment reforms, using already collected for other purposes wherever possible. This practice, as part of the Medicaid and commercial Shared Savings Program, has driven priority setting by Vermont’s ACOs, Blueprint practices, and Community Collaboratives.
- » Assess needs and resources at the community and regional levels through tools like Community Health Needs Assessments (CHNAs) (see sidebar).
- » Provide region-specific data, like that through the Blueprint Profiles and the Health Department Community Assessments, to each hospital service area and Community Collaborative.

## Key Data Sources

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Vermont uses a variety of key data resources to inform State and regional planning and priority-setting for public health, prevention, and health care reform activities. These include Healthy Vermonters 2020, the VDH Data Encyclopedia, Blueprint for Health Hospital Service Area (HSA) Health Care Data Profiles, and the Health Care Expenditure Analysis. These reports build on a variety of datasets, including the Behavioral Risk Factor Surveillance Survey (BRFSS), the Vermont Health Care Uniform Reporting and Evaluation System (VHCURES, Vermont's all-payer claims database), the Vermont Health Information Exchange (VHIE, operated by Vermont Information Technology Leaders), and the Vermont Uniform Hospital Discharge Data Set. (For more information on health datasets, see the Vermont Health Data Inventory Report).

### [Healthy Vermonters 2020](#)

This is the state health assessment plan published in 2012 by the Vermont Department of Health that documents the health status of Vermonters and will guide the work of public health through 2020. This [report](#) presents more than 100 public health indicators and goals for 2020 in 21 focus areas organized into five thematic chapters. In addition to the plan, there is a [Data Explorer](#) web page that allows for the user to search the 21 focus areas by County, Health District Offices, and Hospital Service Areas from 2001 thru 2009.

### [Data Encyclopedia: A Review of Data Sources and Resources Available at The Vermont Department of Health](#)

This publication provides an overview of the commonly-used data sources to assess and track population health outcomes as well as contributors to disease in Vermont. The data sources include surveys, registries (birth, death, disease, and immunization), health care claims data, discharge data, and licensing data. Public use data sets have been developed for many of these sources. This Encyclopedia includes the Behavioral Risk Factor Surveillance Survey, Immunization Registry, Vital Records for Birth and Death, Vital Records for Marriage/Divorce/Civil Unions/Dissolutions/ITDPS, and the Youth Risk Behavior Survey.

### [Blueprint Hospital Service Area \(HSA\) Health Care Data Profiles](#)

The Vermont Blueprint for Health's Hospital Service Area (HSA) Profiles, provide policymakers, health care providers, and other stakeholders with information on health care expenditures, utilization, and care quality measures at the HSA level. These Profiles are created using claims data and clinical data from the Blueprint Clinical Registry.

### [Health Care Expenditure Analysis](#)

This is an analytical data source and provides the history of spending by year, payer, and provider since 1992. It is a combination of two separate reports: 1) health care spending for services delivered in Vermont; and 2) health care spending for services provided to Vermont residents within Vermont and in other states.

## Community Health Needs Assessments (CHNAs)

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Federal law requires non-profit hospitals to conduct CHNAs every three years, and to develop an implementation strategy to meet identified needs. The Green Mountain Care Board has instructed Vermont's hospitals to submit their CHNAs as part of the budget review process and has established a Policy on Community Health Needs Assessments to guide their use in the budget review process. They are used by hospitals to identify areas of focus and are an integral resource for a community-benefit plan. Public health agencies are critical partners in the CHNA community engagement process, provide much of data used by Vermont hospitals and can assist in developing community-wide strategies to address identified needs.

## Community Spotlight:

### Mt. Ascutney Hospital and Health Center

#### Mission, Vision, and Goals from the Community Health Needs Assessment

##### **MISSION:**

To improve the lives of those we serve.

##### **VISION:**

Development of programs based on community need and sustainability.

Overarching community goals:

1. Attain high-quality, longer lives free of preventable disease, disability, injury, and premature death;
2. Achieve health equity, eliminate disparities, and improve the health of all groups;
3. Create social and physical environments that promote good health for all; and
4. Promote quality of life, healthy development, and healthy behaviors across all life stages.

“Viewing community health as a long-term, capital-investment venture will be essential to realize population health improvement.”

*Centers for Disease Control and Prevention*

## Payment and Financing Methodologies

The biggest single barrier to improving the health of Vermont’s population is the lack of a sustainable financial model which supports and rewards improvements in population health. In the past, population health interventions have been financed primarily by grants and limited-term awards, which resulted in the termination of successful programs when their funding ended. Payment methodologies (how health care providers and other organizations are paid for their work) and financing methodologies (how funds move through the health system) can support population health goals by creating alternative paths to funding sustainability.

Some actions to support investment in population health services (including non-clinical services) that maximize health outcomes include pursuing alternative payment models<sup>21</sup> such as all-inclusive population-based payments, medical home payments and other pay-for-performance arrangements, Community Health Team payments, and bundled or episodic payments

In addition to value-based payment models currently being pursued, Vermont could explore alternative financing models for population health. A conceptual model for sustainable population health financing includes the following elements:

##### **1. Diverse financing vehicles:**

A more diverse set of financing vehicles population health interventions so that interventions are not funded solely by grants.

##### **2. Balanced portfolio of interventions:**

Meeting the needs of a community requires implementing a combination of different programs, which are balanced in terms of time horizon for producing results, risk of failure, scale, and financing vehicle.

##### **3. Integrator or backbone organization:**

The integrator brings together key community stakeholders to assess needs and build a consensus of priorities. It then builds the balanced portfolio over time, matching each intervention with an appropriate financing vehicle and an implementer organization.

##### **4. Reinvestment of savings:**

One of the basic principles of long-term sustainability is capturing a portion of the savings of each intervention and returning it to the community for reinvestment. A community wellness fund is a useful repository for these captured savings.<sup>22</sup>

## Policy Options: Payment and Financing Methodologies

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- » Include accountability for the health of populations in payment, monitoring, and evaluation activities for state-level payment and delivery system reforms.
- » Continue to support hospital investment in population health initiatives through the Green Mountain Care Board's Policy on Community Health Needs Assessments.
- » Increase payments and funding for referrals to activities that support population health improvement (e.g., by allowing physician payment for smoking cessation classes or medications).
- » Incorporate mechanisms that encourage or require accountability for the health of populations in value-based contracts from the Agency of Human Services and its Departments.
- » Pool resources within regions or communities to support specific initiatives like food security or ending homelessness.
- » Utilize additional state regulatory and procurement activities to support population health goals:
  - Certificate of Need;
  - Health Resource Allocation Plan;
  - Insurance Rate Review;
  - Hospital Budget Review;
  - Professional Licensure; and
  - Contracting.
- » Utilize existing State resources, through the State budget process, to support optimal population health investments across State government.

“There is growing recognition among state policymakers that improving health outcomes is as much about addressing the social determinants of poor health as it is about providing high-quality medical care. ... [T]he traditional fee-for-service (FFS) payment system does not support the kinds of reforms that would enable states to focus on the nonmedical factors influencing health. A number of states are...finding ways to use payment models that reward good outcomes over greater volume and allow providers to invest in nonmedical interventions that improve health.”<sup>23</sup>

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*Crawford, McGinnis, Auerbach, and Golden*

### Community Spotlight:

#### University of Vermont Medical Center Housing for the Homeless

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The University of Vermont Medical Center (UVM Medical Center) has forged partnerships with community organizations across Vermont to develop efficient and creative solutions for long-term, sustainable housing options. Starting in the fall of 2013, UVM Medical Center granted funds to Harbor Place, a motel that offers temporary, emergency housing and connects guests to case management and health care services to community members who lack stable housing. Since then, they have also paid for over 600 bed nights for patients. Through partnerships and collaborations with community organizations, they developed upstream approaches to combat the effects of poverty in Vermont. Over the past two years, they have supported an emergency warming shelter in Burlington through direct funding and a daily linen service. In the spring of 2015, UVM Medical Center collaborated with the Champlain Housing Trust, Burlington Housing Authority, Safe Harbor Health Center's Homeless Healthcare Program and others to support Beacon Apartments, a permanent housing site that will provide apartments for chronically homeless adults. The result has been significant savings in health care services, as individuals are better-connected to services to keep them well and stable.

## V. Measuring Successful Plan Implementation

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To achieve the Triple Aim – better care, better health, and lower cost – Vermont must use multiple policy levers guided by the principles of population health improvement and prevention.

### **We will know we are on the path to success when:**

- » Health system actions are primarily driven by data about population health outcomes; goals and targets are tied to statewide data and priorities identified in the State Health Improvement Plan.
- » The health system creates health and wellness opportunity across the care and age continuum and utilizes approaches that recognize the interconnection between physical health, mental health and substance use, and the underlying societal factors and determinants of health.
- » Payment and financing mechanisms are in place to: support use of prevention strategies in the clinical setting; increase clinical/community partnerships; and invest in community-wide infrastructure and action.
- » An expanded number of entities are accountable for the health of the community including: health care providers, public health, community providers, and others who affect health through their work on housing, education, early childhood, economic development, transportation, and more.
- » Action is taken to address the underlying social determinants of health which influence the opportunities for health and wellness for all Vermonters.

# Appendix A: RESOURCES

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# Appendix B: GLOSSARY

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## **Determinants of Health**

Factors affecting the health of individuals in a population or subpopulation, such as the social and physical environment, behaviors, and healthcare.<sup>24</sup>

## **Health**

A state of complete physical, mental, and social well-being and not merely the absence of disease or infirmity.<sup>25</sup>

## **Health Disparities**

Differences in health status or health outcomes within a population.<sup>26</sup>

## **Health Equity**

The absence of systematic disparities in health or major social determinants of health between groups with different underlying social or economic advantages/disadvantages.<sup>27</sup>

## **Health Inequity**

Differences in health status between groups with varying social and economic advantage/disadvantage (e.g., socioeconomic status, gender, age, physical disability, sexual orientation and gender identity, race and ethnicity) that are caused by inequitable, systemic differences in social conditions (i.e., policies and circumstances that contribute to health determinants).

## **Population (also, Total Population)**

All individuals in a specified geopolitical area.<sup>28</sup>

## **Population Health**

The health of a population, including the distribution of health outcomes and disparities in the population.<sup>29</sup>

## **Subpopulation**

A group of individuals that is a smaller part of a population. Subpopulations can be defined by geographic proximity, age, race, ethnicity, occupations, schools, health conditions, disabilities, interests, or other shared characteristics.<sup>30</sup>

# Appendix C: ACRONYMS

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<b>ACA</b> Affordable Care Act	<b>CON</b> Certificate of Need	<b>SIM</b> State Innovation Models
<b>ACH</b> Accountable Community for Health	<b>DMH</b> Department of Mental Health (VT)	<b>SHIP</b> State Health Improvement Plan
<b>ACO</b> Accountable Care Organization	<b>DVHA</b> Department of Vermont Health Access	<b>VCO</b> Vermont Care Organization
<b>AHS</b> Agency of Human Services (VT)	<b>FFS</b> Fee-for-Service	<b>VDH</b> Vermont Department of Health
<b>APHA</b> American Public Health Associations	<b>HDI</b> Health Data Infrastructure	<b>VHCIP</b> Vermont Health Care Innovation Project
<b>CAHPS</b> Consumer Assessment of Healthcare Providers and Systems	<b>HEDIS</b> Health Plan Employer Data and Information Set	<b>VHCURES</b> Vermont Healthcare Claims Uniform Reporting and Evaluation System
<b>CHNA</b> Community Health Needs Assessment	<b>HIT</b> Health Information Technology	
<b>CHW</b> Community Health Worker	<b>HST</b> ???	
<b>CMMI</b> Center for Medicare and Medicaid Innovation (federal)	<b>OCV</b> OneCare Vermont	
<b>CMS</b> Centers for Medicare & Medicaid Services (federal)	<b>PHWG</b> Population Health Work Group	



# Appendix D: REFERENCES (Note: In Draft Form)

- <sup>1</sup> Preamble to the Constitution of the World Health Organization as adopted by the International Health Conference, New York, 19-22 June, 1946; signed on 22 July 1946 by the representatives of 61 States (Official Records of the World Health Organization, no. 2, p. 100) and entered into force on 7 April 1948.
- <sup>2</sup> Kindig & Stoddart's original figure, published in 2003 in the American Journal of Public Health.
- <sup>3</sup> T.R. Frieden. "A framework for public health action: the health impact pyramid." American Journal of Public Health 100.4 (2010): 590-595. AND National Prevention Council. "National Prevention Strategy." 2011. Available at <http://www.surgeongeneral.gov/initiatives/prevention/strategy/index.html> (accessed February 11, 2015). As cited in Population Health in Medicaid Delivery System Reforms (Crawford).
- <sup>4</sup> The social determinants of health are the circumstances in which people are born, grow up, live, work, and age, as well as the systems put in place to deal with illness. These circumstances are in turn shaped by a wider set of forces: economics, social policies, and politics <http://www.cdc.gov/socialdeterminants/>.
- <sup>6</sup> The social determinants of health are the circumstances in which people are born, grow up, live, work, and age, as well as the systems put in place to deal with illness. These circumstances are in turn shaped by a wider set of forces: economics, social policies, and politics <http://www.cdc.gov/socialdeterminants/>.
- <sup>7</sup> Schroeder, S. A. (2007). We Can Do Better — Improving the Health of the American People. *New England Journal of Medicine* N Engl J Med, 357(12), 1221-1228. doi:10.1056/nejmsa073350  
Adapted from: McGinnis JM, et.al. The Case for More Active Policy Attention to Health Promotion. *Health Aff (Millwood)* 2002;21(2):78-93.
- <sup>8</sup> Institute of Medicine, Roundtable on Population Health Improvement. For more information, see: <http://iom.nationalacademies.org/Activities/PublicHealth/PopulationHealthImprovementRT/VisionMission>.
- <sup>11</sup> Graphic adapted from County Health Rankings: <http://www.countyhealthrankings.org/our-approach>.
- <sup>13</sup> Center for Health Care Strategies, Inc. (2015). Population Health Integration Framework. Burlington, VT: Heflin, Katherine and McGinnis, Tricia.
- <sup>15</sup> This framework is adapted from Center for Health Care Strategies, Inc. (2015). Population Health Integration Framework. Burlington, VT: Heflin, Katherine and McGinnis, Tricia Some examples have been adapted from: Manatt, Phelps & Phillips (2015). "Policy Levers Template."
- <sup>17</sup> Health Service Area definitions can be found here: <http://www.healthvermont.gov/GIS/>.
- <sup>18</sup> Ibid.
- <sup>19</sup> The Vermont Model of Care can be found here: <http://healthcareinnovation.vermont.gov/content/vt-integrated-model-care-overview-may-2016>.
- <sup>20</sup> Center for Health Care Strategies, Inc. (2015). Population Health Integration Framework. Burlington, VT: Heflin, Katherine and McGinnis, Tricia.
- <sup>21</sup> The Learning and Action Network White Paper provides more information on alternative payment models: The Health Care Payment and Learning & Action Network (HCP LAN). Accelerating and Aligning Population-based Payment Models: Financial Benchmarking. 2016. <https://hcp-lan.org/groups/pbp/fb-final-whitepaper/>.
- <sup>22</sup> Hester, J. A., Stange, P. V., Seeff, L. C., Davis, J. B., & Craft, C. A. (2015). Towards sustainable improvements in population health overview of community integration structures and emerging innovations in financing. Atlanta: United States, Centers for Disease Control and Prevention.
- <sup>23</sup> Auerbach, J., Crawford, M., Golden, K., & McGinnis, T. (2015, March). Population Health in Medicaid Delivery System Reforms. The Reforming States Group, 1-17. Retrieved September 18, 2016, from [http://www.milbank.org/uploads/documents/papers/CHCS\\_PopulationHealth\\_IssueBrief.pdf](http://www.milbank.org/uploads/documents/papers/CHCS_PopulationHealth_IssueBrief.pdf).

- <sup>24</sup> World Health Organization (WHO). Health impact assessment: the determinants of health website. Available at <http://www.who.int/hia/evidence/doh/en/>. Last accessed July 2016.
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- <sup>26</sup> Institute of Medicine (IOM). *Unequal Treatment: Confronting Racial and Ethnic Disparities in Health Care*. Washington, DC: National Academies Press; 2002.
- <sup>27</sup> Adapted from Braveman P. Health disparities and health equity: concepts and measurement. *Annu Rev Public Health*. 2006;27:167-194.
- <sup>28</sup> Adapted from Recommendation #1 in: Jacobson DM, Teutsch S. *An Environmental Scan of Integrated Approaches for Defining and Measuring Total Population Health by the Clinical Care System, the Government Public Health System, and Stakeholder Organizations*. Washington, DC: NQF; 2012.
- <sup>29</sup> Adapted from definition of population health in Kindig D, Stoddart G. What is population health? *Am J Public Health*. 2003;93(3):380-383.
- <sup>30</sup> Drawn from the definition of “community” in Turnock BJ. *Public Health: What It Is and How It Works*. Fourth Edition. Burlington, MA: Jones and Bartlett, 2008.



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