

DEPARTMENT OF HEALTH & HUMAN SERVICES  
Centers for Medicare & Medicaid Services  
7500 Security Boulevard, Mail Stop S2-25-26  
Baltimore, Maryland 21244-1850



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## State Demonstrations Group

December 9, 2020

Allison Taylor  
Medicaid Director  
Indiana Family and Social Services Administration  
402 W. Washington Street, Room W461, MS25  
Indianapolis, IN 46204

Dear Ms. Taylor:

The Centers for Medicare & Medicaid Services (CMS) has completed its review of the serious mental illness (SMI) monitoring protocol, which is required by the Special Terms and Conditions (STC) of Indiana's section 1115 demonstration, "Healthy Indiana Plan (HIP)" (Project No. 11-W-00296/5). CMS has determined that the monitoring protocol, which was submitted on December 3, 2020, meets the requirements set forth in the STCs, and thereby approves Indiana's SMI monitoring protocol.

The monitoring protocol is approved for the demonstration period through December 31, 2020 and is hereby incorporated into the demonstration STCs as Attachment H. In accordance with STC 42 (Public Access), the approved SMI monitoring protocol may now be posted to your state's Medicaid website.

If you have any questions, please contact your CMS project officer, Ms. Rachel Nichols. Ms. Nichols is available to answer any questions concerning your section 1115 demonstration and may be reached by email at [Rachel.Nichols@cms.hhs.gov](mailto:Rachel.Nichols@cms.hhs.gov).

We look forward to our continued partnership on Indiana’s HIP section 1115 Medicaid demonstration.

Sincerely,

**Danielle Daly**  
-S

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Danielle Daly -S  
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Danielle Daly  
Director  
Division of Demonstration  
Monitoring and Evaluation

**Jennifer L.  
Kostesich** -S

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Jennifer L. Kostesich -S  
Date: 2020.12.09  
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Andrea J. Casart  
Director  
Division of Eligibility and Coverage  
Demonstrations

cc: Mai Le-Yuen, State Monitoring Lead, CMS Medicaid and CHIP Operations Group

**1. Title Page for the State’s SMI/SED Demonstration or SMI/SED Components of Broader Demonstration**

*The state should complete this Title Page as part of its SMI/SED Monitoring Protocol. This form should be submitted as the title page for all Monitoring Reports. The content of this table should stay consistent over time.*

<b>State</b>	<i>Indiana</i>
<b>Demonstration name</b>	<i>Healthy Indiana Plan and the Serious Mental Illness Amendment</i>
<b>Approval date for demonstration</b>	<i>02/01/2018</i>
<b>Approval period for SMI/SED</b>	<i>01/01/2020- 12/31/2020</i>
<b>Approval date for SMI/SED, if different from above</b>	<i>12/20/2019</i>
<b>Implementation date of SMI/SED, if different from above</b>	<i>01/01/2020</i>
<b>SMI/SED (or if broader demonstration, then SMI/SED -related) demonstration goals and objectives</b>	<ol style="list-style-type: none"> <li>1. Reduced utilization and length of stay in emergency departments (EDs) among Medicaid beneficiaries with SMI/SED while awaiting mental health treatment in specialized settings;</li> <li>2. Reduced preventable readmissions to acute care hospitals and residential settings;</li> <li>3. Improved availability of crisis stabilization services, including services made available through call centers and mobile crisis units, intensive outpatient services, as well as services provided during acute short-term stays in residential crisis stabilization programs, psychiatric hospitals, and residential treatment settings throughout the state;</li> <li>4. Improved access to community-based services to address the chronic mental health care needs of beneficiaries with SMI/SED, including through increased integration of primary and behavioral health care; and</li> <li>5. Improved care coordination, especially continuity of care in the community following episodes of acute care in hospitals and residential treatment facilities.</li> </ol>

## 2. Proposed Modifications to SMI/SED Narrative Information on Implementation, by Milestone or Reporting Topic

Summary of proposed modification	Related metric (if any)	Justification for modification
<b>1. Ensuring Quality of Care in Psychiatric Hospitals and Residential Settings (Milestone 1)</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		
<b>2. Improving Care Coordination and Transitions to Community-Based Care (Milestone 2)</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		
<b>3. Increasing Access to Continuum of Care, Including Crisis Stabilization Services (Milestone 3)</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		
<b>4. Earlier Identification and Engagement in Treatment, Including Through Increased Integration (Milestone 4)</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		
<b>5. SMI/SED Health Information Technology (Health IT)</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		
<b>6. Other SMI/SED-related Metrics</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		

Summary of proposed modification	Related metric (if any)	Justification for modification
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		
<b>7. Annual Assessment of the Availability of Mental Health Providers</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		
<b>8. SMI/SED Financing Plan</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		
<b>9. Budget Neutrality</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		
<b>10. SMI/SED-Related Demonstration Operations and Policy</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		
<b>11. SMI/SED Demonstration Evaluation Update</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		

Summary of proposed modification	Related metric (if any)	Justification for modification
<b>12. Other Demonstration Reporting</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		
<b>13. Notable State Achievements and/or Innovations</b>		
<input type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information with the modifications described above.		
<input checked="" type="checkbox"/> The state has reviewed the corresponding prompts for narrative information in the SMI/SED Monitoring Report Template and confirms that it will report the narrative information as requested (no modifications).		

### **3. Annual Assessment of the Availability of Mental Health Providers Reporting**

The state will use the following time period for reporting of its Annual Assessment of the Availability of Mental Health Providers: **February 1**

### **4. Acknowledgement of Budget Neutrality Reporting**

The state has reviewed the Budget Neutrality workbook provided by the project officer and understands the expectations for quarterly and annual monitoring reports. The state will provide the requested budget neutrality information (no modifications).

### **5. Retrospective reporting**

If a state's monitoring protocol is approved after its first quarterly monitoring report submission date, the state should report data to CMS retrospectively for any prior quarters of SMI/SED demonstration implementation. States are expected to submit retrospective metrics data in the state's second monitoring report submission after monitoring protocol approval, or propose an alternative plan for reporting retrospectively on its SMI/SED demonstration.

In the monitoring report submission containing retrospective metrics data, the state should also provide a general assessment of metrics trends from the start of the state's demonstration through the end of the current reporting period. The state should report this information in Part B of its report submission (Table 3: Narrative Information on Implementation, by Milestone and Reporting Topic). This general assessment is not intended to be a comprehensive description of every trend observed in metrics data (for example, unlike other monitoring report submissions, the state is not required to describe all metrics changes (+ or) greater than 2 percent). Rather, the assessment is an opportunity for states to provide context for its retrospective metrics data, to support CMS's review and interpretation. For example, consider a state that submits data showing an increase in the utilization of telehealth services for mental health (metric #15) over the course of the retrospective reporting period. The state may decide to highlight this trend to CMS in Part B of its report (under Milestone 3) by briefly summarizing the trend and providing context that during this period, the state implemented a grant to improve access to mental health treatment in rural areas through the use of telemedicine.

The state will report retrospectively for any quarters prior to monitoring protocol approval as described above, in the state's second monitoring report submission after approval.

The state proposes an alternative plan to report retrospectively for any quarters prior to monitoring protocol approval: *Insert narrative description of proposed changes to retrospective reporting. State should provide justification for any proposed deviation.*

### **6. Reporting SMI Demonstration Metrics and Narrative Information**

The state should review the guidance in Appendix A of the instructions document in order to attest it will follow CMS's guidance on reporting metrics and narrative information, or propose any deviations. The state should complete Table A below to reflect its proposed reporting schedule for the duration of its SMI/SED demonstration approval period.

The state has completed the table below according to the guidance in Appendix A of the instructions document and attests to reporting metrics and narrative information in its quarterly and annual reports as described.

The state has reviewed Appendix A of the instructions document and completed the table below with the following deviations: *Due to a delay in data acquisition, grievance and appeal data will not be available until the DY1 Q4 report to be submitted on 3/31/2021. Critical incidence data will be available in the DY1 Q1 report to be submitted on 11/30/2020.*



**Table A. Indiana reporting in quarterly and annual monitoring reports**

Dates of reporting quarter	Broader 1115 DY (if applicable)*	SMI/SED DY	Report due (per STCs schedule)	Measurement period associated with SMI/SED information in report, by reporting category
January 1, 2020 – March 31, 2020	DY6 Q1	DY1 Q1	5/30/2020	<ul style="list-style-type: none"> <li>• Narrative information: SMI/SED DY1 Q1</li> <li>• Grievances and appeals: Only Critical Incidents, SMI/SED DY1 Q1</li> <li>• Other monthly and quarterly metrics: None</li> <li>• Annual metrics that are established quality measures: None</li> <li>• Other annual metrics: None</li> </ul>
April 1, 2020 – June 30, 2020	DY6 Q2	DY1 Q2	8/29/2020	<ul style="list-style-type: none"> <li>• Narrative information: SMI/SED DY1 Q2</li> <li>• Grievances and appeals: Only Critical Incidents, SMI/SED DY1 Q2</li> <li>• Other monthly and quarterly metrics: SMI/SED DY1 Q1</li> <li>• Annual metrics that are established quality measures: None</li> <li>• Other annual metrics: None</li> </ul>
July 1, 2020 – September 30, 2020	DY6 Q3	DY1 Q3	11/29/2020	<ul style="list-style-type: none"> <li>• Narrative information: SMI/SED DY1 Q3</li> <li>• Grievances and appeals: Only Critical Incidents, SMI/SED DY1 Q3</li> <li>• Other monthly and quarterly metrics: SMI/SED DY1 Q2</li> <li>• Annual metrics that are established quality measures: None</li> <li>• Other annual metrics: None</li> </ul>
October 1, 2020 – December 31, 2020	DY6 Q4	DY1 Q4	3/31/2021	<ul style="list-style-type: none"> <li>• Narrative information: SMI/SED DY1 Q4</li> <li>• Grievances and appeals: SMI/SED DY1 Q4</li> <li>• Other monthly and quarterly metrics: SMI/SED DY1 Q3</li> <li>• Annual metrics that are established quality measures: None</li> <li>• Other annual metrics: None</li> </ul>
January 1, 2021 – March 31, 2021	DY7 Q1	DY2 Q1	5/30/2021	<ul style="list-style-type: none"> <li>• Narrative information: None</li> <li>• Grievances and appeals: None</li> <li>• Other monthly and quarterly metrics: SMI/SED DY1 Q4</li> </ul>

Dates of reporting quarter	Broader 1115 DY (if applicable)*	SMI/SED DY	Report due (per STCs schedule)	Measurement period associated with SMI/SED information in report, by reporting category
April 1, 2021 – June 30, 2021	DY7 Q2	DY2 Q2	8/29/2021	<ul style="list-style-type: none"> <li>• Annual metrics that are established quality measures: None</li> <li>• Other annual metrics: SMI/SED DY1 (calculated for DY1, CY 2020)</li> </ul> <ul style="list-style-type: none"> <li>• Narrative information: None</li> <li>• Grievances and appeals: None</li> <li>• Other monthly and quarterly metrics: None</li> <li>• Annual metrics that are established quality measures: SMI/SED DY1 (calculated for CY 2020)</li> <li>• Other annual metrics: None</li> </ul>

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