



SCHOOL OF PUBLIC HEALTH AND TROPICAL MEDICINE

**Department of Health Policy and Management**

January 2021

**1115 Waiver (SUD) Evaluation Annual Report (DY3)**

This report includes a summary of activity on the 1115 Waiver (SUD) Evaluation project from January 2020 – December 2020.

**PROJECT ACTIVITIES**

During the period defined in this report, Tulane continued regular monthly meetings with its research team and quarterly meetings with LDH to ensure consistent project coordination. Tulane continued to work with LDH and LSU to execute the multi-year evaluation contract, which was finalized during this period.

**January – March 2020**

During the January meeting held on January 27<sup>th</sup>, there were several pending data needs raised including:

- Clarification on certain HEDIS Measures for SUD diagnosis. These clarifications included availability and location of the AOD procedures value set and how to handle the measure value sets from year to year.
- Monthly Administrative costs
- MCO Monitoring Reports
- OPH Vital Records

Following the meeting, team members reached out to LDH for guidance on each of the identified needs. Other topics also discussed during this meeting were:

- The status of the Years 2-5 SUD contract with effective date of July 1, 2019.
- Composition of the annual report template.

During the February meeting held on February 10<sup>th</sup>, the status of the data needs raised in the January meeting were discussed to determine if additional input was required.

- Clarity on the HEDIS Measures questions was obtained. LDH had advised the Tulane team to disregard the AOD procedures value set. It was decided between LDH and Tulane to use each year's specific HEDIS measure value set for the analysis of each year's data.
- The Monthly Administrative costs were still pending as of this meeting but were received the following week.

- As of this meeting, LDH advised the Tulane team that the MCO Monitoring Reports would be received in the coming weeks and were received on March 1<sup>st</sup>.
- The OPH Vital Records do not contain cause of death codes, therefore Tulane researchers assigned codes for this factor.

Other topics also discussed during this meeting were:

- The Years 2-5 SUD contract was awaiting execution by LSU.
- Proposed annual report template was under review by project PI.
- STC 23 Midpoint Assessment

During the March meeting held on March 24<sup>th</sup>, the status of the data needs raised in the February meeting were discussed to determine if additional input was required, as well as new data needs that have emerged.

- The MCO Monitoring Reports were received on March 1<sup>st</sup> and there were no questions about the materials at this time.
- Additional feedback from LDH is required to define the pre/post implementation periods.

Other topics also discussed during this meeting were:

- The Years 2-5 SUD contract was awaiting execution by LSU.
- The annual report for DY2 was submitted on March 18<sup>th</sup>.
- A subgroup was formed to design the STC 23 Midpoint Assessment.

As of March 31<sup>st</sup>, the following items were received from LDH:

- Monthly Administrative Costs are being received on the third Monday of every month.
- MCO Monitoring Reports, DY2 Q3 have been received.

### **April – June 2020**

During the April Tulane internal meeting held on April 13<sup>th</sup>, each lead researcher provided an update on their analysis and shared what information or elements were still needed. The following information was compiled:

- Format or guidelines for the Analysis Results Reports

Other topics also discussed during this meeting were:

- All baseline results and partial Year 1 results will be available for inclusion in the Baseline and Year 1 data analysis results.
- STC 23 Mid-point Assessment
- IRB application submission status
- Status of SUD contract execution

The third quarterly meeting with LDH and Tulane was held on April 13<sup>th</sup>, following the Tulane internal meeting. The needs and goals defined in the internal meeting were discussed with the LDH team and the following outcomes were documented:

- LDH has requested guidelines from CMS for the analysis results reports but did not have any information to share at this meeting.
- The Tulane Midpoint Assessment subgroup will set up a meeting with key LDH team members after their meeting with CMS on April 22<sup>nd</sup>.

During the meeting, the following updates were provided by LDH:

- MCO Improvement Projects have been suspended by CMS until further notice. This was a project in place for about a year and was having good results but was suspended March due to the State's Covid-19 response.
- CMS returned the monitoring protocol with revisions and LDH is working on implementing those revisions before returning to CMS for approval. They will keep us updated on this process. One of the major revisions requested by LDH was to shift the reporting timeline to calendar year quarters rather than demonstration year quarters.

During the May Tulane internal meeting held on May 11<sup>th</sup>, each lead researcher provided an update on their analysis and shared what information or elements were still needed. The following items were discussed:

- Analysis of Baseline quantitative data was completed on April 30<sup>th</sup> and analysis of Year 1 data is ongoing.
- STC 23 Mid-point Assessment Kick-off meeting with LDH was held on April 27<sup>th</sup>. The internal Tulane subgroup scheduled their next meeting on May 13<sup>th</sup>.

Other topics also discussed during this meeting were:

- IRB application submission status
- The SUD multi-year contract received Certification of Approval from LDH. The fully executed contract from LSU is pending.

The Tulane team met internally on June 26<sup>th</sup> to review materials provided by LDH. The goal of this meeting was to gain clarity surrounding the methodology of how each metric is measured within the evaluation versus the CMS technical specifications. The results of the document review will be discussed at the next Tulane and LDH meeting on July 13<sup>th</sup>.

As of June 30<sup>th</sup>, the following items were received from LDH:

- Monthly Administrative Costs are being received on the third Monday of every month.
- Reports submitted to CMS: DY2Q3, DY2Annual, and DY3Q1
- Section 1115 Substance Use Disorder (SUD) Service Utilization Metrics # 7-12
- SUD Implementation Plan Attachment A

### **July – September 2020**

The July Tulane internal meeting was cancelled as there was determined to be no need.

The fourth quarterly meeting with LDH and Tulane was planned for July 13<sup>th</sup>. The meeting was postponed allowing the Tulane research team more time to continue progress on the crosswalk of evaluation metrics and reporting metrics.

The Tulane STC 23 Midpoint Assessment sub-group met on August 6<sup>th</sup> to discuss progress on the work plan.

During the August Tulane internal meeting held on August 10<sup>th</sup>, each lead researcher provided an update on their analysis and shared what information or elements were still needed. The following items were discussed:

- Reporting metric codes were needed from LDH for comparison to current evaluation codes Tulane is using for analysis.
- Tulane IRB approval needed to proceed with next round of interviews. The application has been submitted and is awaiting review.
- The Mid-point Assessment draft report submission was postponed until October.

The Tulane STC 23 Midpoint Assessment subgroup met on September 3<sup>rd</sup> to discuss progress on the work plan.

During the September Tulane internal meeting held on September 17<sup>th</sup>, each lead researcher provided an update on their analysis and shared what information or elements were still needed. The following items were discussed:

- Progress on Cost Analyses is pending updated inputs from quantitative analysis.
- The quantitative research lead is working on recoding the evaluation metrics to align with the reporting metrics that LDH is utilizing. These metrics are based on the revised monitoring protocol that was finalized with CMS in August.
- The qualitative analysis for this year has been completed. The next wave of analysis will begin in January 2021.
- The results report due September 30<sup>th</sup> was postponed until October 30<sup>th</sup> due to recoding the evaluation metrics.
- Questions about the Baseline/Year 1 Results Reports sent by LDH were addressed during this meeting.
- IRB Application was resubmitted in August and researchers are waiting for further instruction from the Tulane Human Research Protection Office.
- A project research assistant presented literature review findings. The goal was to learn more about current protocols for understanding and handling the effect of Coronavirus on SUD waiver 1115.

A meeting with LDH was held on September 21<sup>st</sup> to discuss questions and comments from LDH on the baseline/year 1 results report submitted by Tulane. The key takeaways from this meeting were as follows:

- Many of the questions surrounded the variance between the Tulane evaluation metrics and the LDH reporting metrics. Once Tulane researchers have aligned these measures, we will circle back to these points to see if they have been addressed.
- Assistance with the survey distribution and promotion was requested by the research lead of the Qualitative analysis. LDH would also like to understand who the target audience of the survey was in baseline/year 1 and moving forward. A meeting will be set up to discuss these points further.

As of September 30th, the following items were received from LDH:

- Monthly Administrative Costs are being received on the third Monday of every month.
- SUD Mid-point Assessment Draft Guidance from CMS
- Approved LA SUD Monitoring Protocol Part A
- Approved LA SUD Monitoring Protocol Part B
- SUD 1115 Waiver Administrative Costs - June 2020
- CMS Comments on the Revised SUD Monitoring Protocol
- Crosswalk SUD Metrics #7-#12
- Updates to Section 1115 SUD Demonstration Monitoring Resources
- 1115 SUD Demonstration Waiver Administrative Cost Report - CY20 - July
- 1115 SUD Implementation-Milestone Timeline v1.3
- Questions/Comments on the 1115 SUD Baseline/Year 1 Evaluation
- Medicaid Section 1115 SUD and SMI/SED Demonstration Monitoring Resources Aug 2020
- 1115 SUD Monitoring Tools Aug 2020
- 1115 SUD Demonstration Waiver Administrative Cost Report - CY20 – August

### **October-December 2020**

A meeting with LDH was held on October 6<sup>th</sup> to discuss questions and comments that were raised during the September 21<sup>st</sup> meeting surrounding the quantitative analysis. The key takeaways from this meeting were as follows:

- Who is the target audience for the survey? All in-patient and residential treatment providers, excluding only outpatient providers. The list was obtained from the SAMHSA website.
- LDH team members offered support with finding 4WM providers and contacting them for future surveys and interviews.
- Tulane quantitative lead indicated that the next wave of the survey will be administered via phone and online to elicit more responses.

- LDH team agreed to endorse a letter of support for inclusion with the survey and interview requests. Tulane quantitative lead will draft one version for each type of interaction for LDH to review.
- The point was made that many providers may not be familiar with the 1115 waiver because it did not add new services or eligibility group.
- Tulane quantitative lead offered to send the interview guides to the LDH team for their review and potential guidance.

The fifth quarterly meeting with LDH and Tulane was held on October 19<sup>th</sup>. The main goal of this meeting was to discuss the timeline of the Midpoint Assessment draft and final reports, as well as standardizing the LDH and Tulane metrics. The following outcomes were documented:

- Tulane planned to submit a draft of the Midpoint Assessment report at the end of the month. There was a delay due to not being able to schedule any interviews as the individuals had not been identified by LDH. The final report submission is planned for the end of November. LDH will confirm with CMS that a delayed report submission is okay.
- A follow-up meeting is needed to clarify some coding questions surrounding the crosswalk between Tulane's evaluation metrics and LDH's reporting metrics. A meeting was scheduled for later that week.

A meeting with LDH was held on October 21<sup>st</sup> to discuss questions about the metrics crosswalk that were raised during the October 19<sup>th</sup> quarterly meeting.

The Tulane STC 23 Midpoint Assessment subgroup met on November 5<sup>th</sup> to discuss progress on the work plan. The qualitative lead researcher also attended the meeting to discuss select results that will be tied into the report.

During the November Tulane internal meeting held on November 9<sup>th</sup>, each lead researcher provided an update on their analysis and shared what information or elements were still needed. The following items were discussed:

- Preceding this meeting, the quantitative lead researcher shared most of the data analysis results with the research team for their review and discussion. The remaining pieces will be shared as they become available over the coming weeks.

During the December Tulane internal meeting held on December 14<sup>th</sup>, each lead researcher provided an update on their analysis and shared what information or elements were still needed. The following items were discussed:

- A draft of the Results Report for Year 2 was submitted to LDH on December 2<sup>nd</sup>. The project PI incorporated feedback he received and resubmitted a revised version on December 15<sup>th</sup>.

- The draft of the Midpoint Assessment report is in progress and planned for submission by the end of the week.
- The IRB application has been approved by Tulane.
- Other topics to be discussed in the new year:
  - Updating the evaluation plan metric table to align with LDH reporting metrics.
  - Meeting with LDH to address differences in how metrics are calculated.

As of December 31<sup>st</sup>, the following items were received from LDH:

- MCO Monitoring Report Summary Q4 2019 and Q1 2020
- Section 2.3 Addiction Services
- SUD Administrative Costs: September, October, and November
- Substance Use Residential Providers with LOC
- Signed Letters of Support – Survey and Interview

### **Status of analysis by topic – December 31, 2020**

Quantitative Analyses (Lead Researcher: Dr. Kevin Callison)

- Completed the crosswalk of reporting and evaluation metrics.
- In the process of aligning the metric calculation methodologies.

Cost Analyses Report (Lead researcher: Dr. Charles Stoecker):

- Completed Year 2 analyses and results report.

Care Coordination (Lead researcher: Dr. Janna Wisniewski):

- Completed Year 2 survey and interview results report.
- Preparing for the next phase of survey deployment for Year 3.

### **DELIVERABLE STATUS**

Quarterly and Annual Reports: Quarterly reports have been submitted on deadline and have summarized the evaluation feedback process with LDH and CMS. Quarterly reports for DY3 Q1 and DY2 Q2 have been invoiced to date. The DY Q3 report was submitted to LDH but has not been invoiced.

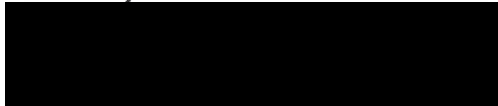
Data reports: The Baseline, Year 1, and Year 2 Data Analyses Reports were submitted on December 15<sup>th</sup>. The report will be revised according to feedback from LDH.

STC 23: The Midpoint Assessment Draft Report was submitted on December 18<sup>th</sup>. The report will be revised according to feedback from LDH.

## USE OF FUNDS

Funds have been used for this project to cover faculty and staff time to develop the initial SUD evaluation plan, define the work timetables once the evaluation plan was approved; coordinate activity with within Tulane and with LDH, and to develop reports and associated deliverables.

Respectfully submitted,



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