

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



State Demonstrations Group

November 22, 2021

Melody Anthony
Chief State Medicaid Director
Oklahoma Health Care Authority
4345 N. Lincoln Blvd.
Oklahoma City, OK 73105

Dear Ms. Anthony:

The Centers for Medicare & Medicaid Services (CMS) completed its review of the Substance Use Disorder (SUD) and Serious Mental Illness (SMI) Monitoring Protocols, which are required by the Special Terms and Conditions (STCs), specifically STCs #19 and 24, of Oklahoma's section 1115 demonstration, "Section 1115 Institutions for Mental Diseases Waiver for Serious Mental Illness/Substance Use Disorder" (Project No: 11-W-00363/6), effective through December 31, 2025. CMS determined that the Monitoring Protocols, which were submitted on May 20, 2021 and revised on October 27, 2021, meet the requirements set forth in the STCs, and thereby approves the state's SUD and SMI Monitoring Protocols.

The Monitoring Protocols are approved for the demonstration period through December 31, 2025 and are hereby incorporated into the demonstration STCs as Attachment E (see attached). In accordance with STC #51 (Public Access), the approved SUD and SMI Monitoring Protocols may now be posted to your state's Medicaid website.

We look forward to our continued partnership on the Oklahoma Section 1115 Institutions for Mental Diseases Waiver for Serious Mental Illness/Substance Use Disorder demonstration. If you have any questions, please contact your CMS demonstration team.

Sincerely,

Danielle Daly
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Danielle Daly
Director
Division of Demonstration Monitoring and Evaluation

cc: Michala Walker, State Monitoring Lead, CMS Medicaid and CHIP Operations Group

**CENTERS FOR MEDICARE & MEDICAID SERVICES
EXPENDITURE AUTHORITY**

NUMBER: 11-W-00363/6

TITLE: Section 1115 Institutions for Mental Diseases Waiver for Serious Mental Illness/Substance Use Disorder

AWARDEE: Oklahoma Health Care Authority

Under the authority of section 1115(a)(2) of the Social Security Act (“the Act”), expenditures made by Oklahoma for the items identified below, which are not otherwise included as expenditures under section 1903 of the Act shall, for the period from December 22, 2020 through December 31, 2025, unless otherwise specified, be regarded as expenditures under the state’s title XIX plan.

As discussed in the Centers for Medicare & Medicaid Services’ (CMS) approval letter, the Secretary of Health and Human Services has determined that the Section 1115 Institutions for Mental Diseases Waiver for Serious Mental Illness/Substance Use Disorder demonstration, including the granting of the expenditure authority described below, is likely to assist in promoting the objectives of title XIX of the Act.

The following expenditure authorities may only be implemented consistent with the approved Special Terms and Conditions (STC) and shall enable Oklahoma to operate the above-identified section 1115(a) demonstration.

- 1. Residential and Inpatient Treatment for Individuals with Substance Use Disorder (SUD), Serious Mental Illness (SMI), or Severe Emotional Disturbance (SED).**
Expenditures for otherwise covered Medicaid services furnished to otherwise eligible individuals who are primarily receiving treatment and withdrawal management services for substance use disorder (SUD) or a serious mental illness (SMI) or severe emotional disturbance (SED) who are short-term residents in facilities that meet the definition of an institution for mental diseases (IMD).

**CENTERS FOR MEDICARE & MEDICAID SERVICES
SPECIAL TERMS AND CONDITIONS**

NUMBER: 11-W-00363/6

TITLE: Section 1115 Institutions for Mental Diseases Waiver for Serious Mental Illness/Substance Use Disorder

AWARDEE: Oklahoma Health Care Authority

I. PREFACE

The following are the Special Terms and Conditions (STC) for the “Section 1115 Institutions for Mental Diseases Waiver for Serious Mental Illness/Substance Use Disorder” section 1115(a) Medicaid demonstration (hereinafter “demonstration”), to enable the Oklahoma Health Care Authority (hereinafter “state”) to operate this demonstration. The Centers for Medicare & Medicaid Services (CMS) has granted expenditure authority authorizing federal matching of demonstration costs not otherwise matchable, which are separately enumerated. These STCs set forth conditions and limitations on the expenditure authority, and describe in detail the nature, character, and extent of federal involvement in the demonstration and the state’s obligations to CMS related to the demonstration. The demonstration will be statewide and is approved for a five-year period, from December 22, 2020 through December 31, 2025.

The STCs have been arranged into the following subject areas:

- I. Preface
- II. Program Description and Objectives
- III. General Program Requirements
- IV. Eligibility and Enrollment
- V. SUD Programs and Benefits
- VI. SMI Program and Benefits
- VII. Cost Sharing
- VIII. Delivery System
- IX. General Reporting Requirements
- X. Monitoring
- XI. Evaluation of the Demonstration
- XII. General Financial Requirements Under Title XIX
- XIII. Monitoring Budget Neutrality for the Demonstration
- XIV. Schedule of Deliverables for the Demonstration Period

Additional attachments have been included to provide supplementary information and guidance for specific STCs.

Attachment A: Developing the Evaluation Design

Attachment B: Preparing the Interim and Summative Evaluation Reports

Attachment C: SMI/SED Implementation Plan and Financing Plan

Attachment D: SUD Implementation Plan
Attachment E: Reserved for SMI/SED/SUD Monitoring Protocol
Attachment F: Reserved for SMI/SED/SUD Evaluation Design

II. PROGRAM DESCRIPTION AND OBJECTIVES

This demonstration will provide the state with authority to provide medically necessary residential treatment, facility-based crisis stabilization, and inpatient treatment services within qualified Institutions for Mental Diseases (IMD), for Medicaid beneficiaries with serious mental illness (SMI), serious emotional disturbance (SED) and/or substance use disorder (SUD) diagnoses. It will also include Qualified Residential Treatment Programs (QRTPs) that meet the definition of an IMD for beneficiaries under age 21. The demonstration will test whether this authority will increase access to evidence-based treatment services and improve overall health and long-term outcomes for those with SMI, SED and SUD when a full continuum of care is provided. The SUD treatment continuum of care shall be based on the American Society of Addiction Medicine (ASAM) criteria and/or other nationally recognized assessment and placement tools that reflect evidence-based clinical treatment guidelines.

During the demonstration period, the state seeks to achieve the following goals:

SUD Goals:

1. Increased rates of identification, initiation, and engagement in treatment for SUD;
2. Increased adherence to and retention in treatment;
3. Reductions in overdose deaths, particularly those due to opioids;
4. Reduced utilization of emergency departments and inpatient hospital settings for treatment, where the utilization is preventable or medically inappropriate, through improved access to other continuum of care services;
5. Fewer readmissions to the same or higher level of care, where the readmission is preventable or medically inappropriate; and
6. Improved access to care for physical health conditions among beneficiaries with SUD.

SMI/SED Goals:

1. Reduced utilization and lengths of stay in EDs among beneficiaries with SMI or SED while awaiting mental health treatment in specialized settings;
2. Reduced preventable readmissions to acute care hospitals and residential settings;
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;
4. Improved access to community-based services to address the chronic mental health care needs of beneficiaries with SMI, including through increased integration of primary and behavioral health care; and

5. Improved care coordination, especially continuity of care in the community following episodes of acute care in hospitals and residential treatment facilities.

III. GENERAL PROGRAM REQUIREMENTS

1. **Compliance with Federal Non-Discrimination Statutes.** The state must comply with all applicable federal statutes relating to non-discrimination. These include, but are not limited to, the Americans with Disabilities Act of 1990 (ADA), Title VI of the Civil Rights Act of 1964, section 504 of the Rehabilitation Act of 1973 (Section 504), the Age Discrimination Act of 1975, and section 1557 of the Patient Protection and Affordable Care Act (Section 1557).
2. **Compliance with Medicaid and Children’s Health Insurance Program (CHIP) Law, Regulation, and Policy.** All requirements of the Medicaid and CHIP programs expressed in federal law, regulation, and policy statement, not expressly waived or identified as not applicable in the waiver and expenditure authority documents (of which these terms and conditions are part), apply to the demonstration.
3. **Changes in Medicaid and CHIP Law, Regulation, and Policy.** The state must, within the timeframes specified in federal law, regulation, or written policy, come into compliance with any changes in law, regulation, or policy affecting the Medicaid or CHIP programs that occur during this demonstration approval period, unless the provision being changed is expressly waived or identified as not applicable. In addition, CMS reserves the right to amend the STCs to reflect such changes and/or changes as needed without requiring the state to submit an amendment to the demonstration under STC 7. CMS will notify the state 30 business days in advance of the expected approval date of the amended STCs to allow the state to provide comment. Changes will be considered in force upon issuance of the approval letter by CMS. The state must accept the changes in writing.
4. **Impact on Demonstration of Changes in Federal Law, Regulation, and Policy.**
 - a. To the extent that a change in federal law, regulation, or policy requires either a reduction or an increase in federal financial participation (FFP) for expenditures made under this demonstration, the state must adopt, subject to CMS approval, a modified budget neutrality agreement as necessary to comply with such change, as well as a modified allotment neutrality worksheet as necessary to comply with such change. The trend rates for the budget neutrality agreement are not subject to change under this subparagraph. Further, the state may seek an amendment to the demonstration (as per STC 7 of this section) as a result of the change in FFP.
 - b. If mandated changes in the federal law require state legislation, unless otherwise prescribed by the terms of the federal law, the changes must take effect on the earlier of the day such state legislation becomes effective, or on the last day such legislation was required to be in effect under the law, whichever is sooner.
5. **State Plan Amendments.** The state will not be required to submit title XIX or XXI state plan amendments (SPAs) for changes affecting any populations made eligible solely through the demonstration. If a population eligible through the Medicaid or CHIP state plan is

affected by a change to the demonstration, a conforming amendment to the appropriate state plan is required, except as otherwise noted in these STCs. In all such cases, the Medicaid and CHIP state plans govern.

- 6. Changes Subject to the Amendment Process.** Changes related to eligibility, enrollment, benefits, beneficiary rights, delivery systems, cost sharing, sources of non-federal share of funding, budget neutrality, and other comparable program elements must be submitted to CMS as amendments to the demonstration. All amendment requests are subject to approval at the discretion of the Secretary in accordance with section 1115 of the Act. The state must not implement changes to these elements without prior approval by CMS either through an approved amendment to the Medicaid or CHIP state plan or amendment to the demonstration. Amendments to the demonstration are not retroactive and no FFP of any kind, including for administrative or medical assistance expenditures, will be available under changes to the demonstration that have not been approved through the amendment process set forth in STC 7 below, except as provided in STC 3.
- 7. Amendment Process.** Requests to amend the demonstration must be submitted to CMS for approval prior to the planned date of implementation of the change and may not be implemented until approved. CMS reserves the right to deny or delay approval of a demonstration amendment based on non-compliance with these STCs, including but not limited to the failure by the state to submit required elements of a complete amendment request as described in this STC, and failure by the state to submit required elements of a complete amendment request as described in this STC, and failure by the state to submit required reports and other deliverables according to the deadlines specified therein. Amendment requests must include, but are not limited to, the following:

 - a. An explanation of the public process used by the state, consistent with the requirements of STC 12. Such explanation must include a summary of any public feedback received and identification of how this feedback was addressed by the state in the final amendment request submitted to CMS;
 - b. A detailed description of the amendment, including impact on beneficiaries, with sufficient supporting documentation;
 - c. A data analysis which identifies the specific “with waiver” impact of the proposed amendment on the current budget neutrality agreement. Such analysis must include current total computable “with waiver” and “without waiver” status on both a summary and detailed level through the current approval period using the most recent actual expenditures, as well as summary and detailed projections of the change in the “with waiver” expenditure total as a result of the proposed amendment, which isolates (by Eligibility Group) the impact of the amendment;
 - d. An up-to-date CHIP allotment worksheet, if necessary;
 - e. The state must provide updates to existing demonstration reporting and quality and evaluation plans. This includes a description of how the evaluation design and annual progress reports will be modified to incorporate the amendment provisions, as well as the oversight, monitoring and measurement of the provisions.
- 8. Extension of the Demonstration.** States that intend to request an extension of the demonstration must submit an application to CMS from the Governor of the state in

accordance with the requirements of 42 Code of Federal Regulations (CFR) 431.412(c). States that do not intend to request an extension of the demonstration beyond the period authorized in these STCs must submit phase-out plan consistent with the requirements of STC 9.

- 9. Demonstration Phase-Out.** The state may only suspend or terminate this demonstration in whole, or in part, consistent with the following requirements.
- a. Notification of Suspension or Termination. The state must promptly notify CMS in writing of the reason(s) for the suspension or termination, together with the effective date and a transition and phase-out plan. The state must submit a notification letter and a draft transition and phase-out plan to CMS no less than six months before the effective date of the demonstration's suspension or termination. Prior to submitting the draft transition and phase-out plan to CMS, the state must publish on its website the draft transition and phase-out plan for a thirty 30-day public comment period. In addition, the state must conduct tribal consultation in accordance with STC 12, if applicable. Once the thirty 30-day public comment period has ended, the state must provide a summary of the issues raised by the public during the comment period and how the state considered the comments received when developing the revised transition and phase-out plan.
 - b. Transition and Phase-out Plan Requirements. The state must include, at a minimum, in its phase-out plan the process by which it will notify affected beneficiaries, the content of said notices (including information on the beneficiary's appeal rights), the process by which the state will conduct administrative reviews of Medicaid or CHIP eligibility prior to the termination of the demonstration for the affected beneficiaries, and ensure ongoing coverage for eligible beneficiaries, as well as any community outreach activities the state will undertake to notify affected beneficiaries, including community resources that are available.
 - c. Transition and Phase-out Plan Approval. The state must obtain CMS approval of the transition and phase-out plan prior to the implementation of transition and phase-out activities. Implementation of transition and phase-out activities must be no sooner than 14 calendar days after CMS approval of the transition and phase-out plan.
 - d. Transition and Phase-out Procedures. The state must comply with all applicable notice requirements found in 42 CFR, part 431 subpart E, including sections 431.206, 431.210 and 431.213. In addition, the state must assure all applicable appeal and hearing rights are afforded to beneficiaries in the demonstration as outlined in 42 CFR, part 431 subpart E, including sections 431.220 and 431.221. If a beneficiary in the demonstration requests a hearing before the date of action, the state must maintain benefits as required in 42 CFR §431.230. In addition, the state must conduct administrative renewals for all affected beneficiaries in order to determine if they qualify for Medicaid or CHIP eligibility under a different eligibility category prior to termination, as discussed in October 1, 2010, State Health Official Letter #10-008 and as required under 42 CFR 435.916(f)(1). For individuals determined ineligible for Medicaid, the state must determine potential eligibility for other insurance affordability programs and comply with the procedures set forth in 42 CFR 435.1200(e).

- e. Exemption from Public Notice Procedures 42 CFR Section 431.416(g). CMS may expedite the federal and state public notice requirements under circumstances described in 42 CFR 431.416(g).
- f. Enrollment Limitation during Demonstration Phase-Out. If the state elects to suspend, terminate, or not extend this demonstration, during the last six months of the demonstration, enrollment of new individuals into the demonstration must be suspended. The limitation of enrollment into the demonstration does not impact the state's obligation to determine Medicaid eligibility in accordance with the approved Medicaid state plan.
- g. Federal Financial Participation (FFP). If the project is terminated or any relevant waivers are suspended by the state, FFP must be limited to normal closeout costs associated with the termination or expiration of the demonstration including services, continued benefits as a result of beneficiaries' appeals, and administrative costs of disenrolling beneficiaries.

10. Withdrawal of Waiver or Expenditure Authority. CMS reserves the right to withdraw waivers and/or expenditure authorities at any time it determines that continuing the waiver or expenditure authorities would no longer be in the public interest or promote the objectives of title XIX and title XXI. CMS will promptly notify the state in writing of the determination and the reasons for the withdrawal, together with the effective date, and afford the state an opportunity to request a hearing to challenge CMS' determination prior to the effective date. If a waiver or expenditure authority is withdrawn, FFP is limited to normal closeout costs associated with terminating the waiver or expenditure authority, including services, continued benefits as a result of beneficiary appeals, and administrative costs of disenrolling beneficiaries.

11. Adequacy of Infrastructure. The state will ensure the availability of adequate resources for implementation and monitoring of the demonstration, including education, outreach, and enrollment; maintaining eligibility systems; compliance with cost sharing requirements; and reporting on financial and other demonstration components.

12. Public Notice, Tribal Consultation, and Consultation with Interested Parties. The state must comply with the state notice procedures as required in 42 CFR section 431.408 prior to submitting an application to extend the demonstration. For applications to amend the demonstration, the state must comply with the state notice procedures set forth in 59 Fed. Reg. 49249 (September 27, 1994) prior to submitting such request. The state must also comply with the Public Notice Procedures set forth in 42 CFR 447.205 for changes in statewide methods and standards for setting payment rates.

The state must also comply with tribal and Indian Health Program/Urban Indian Organization consultation requirements at section 1902(a)(73) of the Act, 42 CFR 431.408(b), State Medicaid Director Letter #01-024, or as contained in the state's approved Medicaid State Plan, when any program changes to the demonstration, either through amendment as set out in STC 7 or extension, are proposed by the state.

- 13. Federal Financial Participation (FFP).** No federal matching funds for expenditures for this demonstration, including for administrative and medical assistance expenditures, will be available until the effective date identified in the demonstration approval letter, or if later, as expressly stated within these STCs.
- 14. Administrative Authority.** When there are multiple entities involved in the administration of the demonstration, the Single State Medicaid Agency must maintain authority, accountability, and oversight of the program. The State Medicaid Agency must exercise oversight of all delegated functions to operating agencies, MCOs, and any other contracted entities. The Single State Medicaid Agency is responsible for the content and oversight of the quality strategies for the demonstration.
- 15. Common Rule Exemption.** The state must ensure that the only involvement of human subjects in research activities that may be authorized and/or required by this demonstration is for projects which are conducted by or subject to the approval of CMS, and that are designed to study, evaluate, or otherwise examine the Medicaid or CHIP program – including public benefit or service programs, procedures for obtaining Medicaid or CHIP benefits or services, possible changes in or alternatives to Medicaid or CHIP programs and procedures, or possible changes in methods or levels of payment for Medicaid benefits or services. CMS has determined that this demonstration as represented in these approved STCs meets the requirements for exemption from the human subject research provisions of the Common Rule set forth in 45 CFR 46.104(d)(5).

IV. ELIGIBILITY AND ENROLLMENT

- 16. Eligibility Groups Affected by the Demonstration.** Under the demonstration, there is no change to Medicaid eligibility. Standards and methodologies for eligibility remain set forth under the state plan.

V. SUD PROGRAM AND BENEFITS

- 17. SUD Program Benefits.** Effective upon CMS' approval of the SUD Implementation Plan, the demonstration benefit package for Medicaid beneficiaries will include SUD treatment services, including services provided in residential and inpatient treatment settings that qualify as an IMD, which are not otherwise matchable expenditures under section 1903 of the Act. The state will be eligible to receive FFP for Medicaid beneficiaries who are short-term residents in IMDs under the terms of this demonstration for coverage of medical assistance, including OUD/SUD services, that would otherwise be matchable if the beneficiary were not residing in an IMD once CMS approves the state's Implementation Plan. The state will aim for a statewide average length of stay of 30 days or less in residential treatment settings, to be monitored pursuant to the SUD Monitoring Protocol as outlined in STC 19, to ensure short-term residential stays.

Under this demonstration beneficiaries will have access to high quality, evidence-based OUD/SUD treatment services across a comprehensive continuum of care, ranging

from residential and inpatient treatment to ongoing chronic care for these conditions in cost-effective community-based settings.

18. SUD Implementation Plan and Health IT Plan.

- a. The state must submit the SUD Implementation Plan within 90 calendar days after approval of this demonstration. The state must submit the revised SUD Implementation Plan within sixty (60) days after receipt of CMS's comments. The state may not claim FFP for services provided in IMDs to beneficiaries who are primarily receiving SUD treatment and withdrawal management services until CMS has approved the SUD Implementation Plan. Once approved, the SUD Implementation Plan will be incorporated into the STCs as Attachment D and, once incorporated, may be altered only with CMS approval. After approval of the applicable implementation plans required by these STCs, FFP will be available prospectively, not retrospectively.
- b. Failure to submit a SUD Implementation Plan will be considered a material failure to comply with the terms of the demonstration project as described in 42 CFR 431.420(d) and, as such, would be grounds for termination or suspension of the SUD program under this demonstration. Failure to progress in meeting the milestone goals agreed upon by the state and CMS will result in a funding deferral as described in STC 33.
- c. At a minimum, the SUD Implementation Plan must describe the strategic approach and detailed project implementation plan, including timetables and programmatic content where applicable, for meeting the following milestones which reflect the key goals and objectives for the program:
 - i. Access to Critical Levels of Care for OUD and other SUDs. Coverage of OUD/SUD treatment services across a comprehensive continuum of care including: outpatient; intensive outpatient; medication assisted treatment (medication as well as counseling and other services with sufficient provider capacity to meet needs of Medicaid beneficiaries in the state); intensive levels of care in residential and inpatient settings; and medically supervised withdrawal management, within 12-24 months of demonstration approval.
 - ii. Use of Evidence-based SUD-specific Patient Placement Criteria. Establishment of a requirement that providers assess treatment needs based on SUD-specific, multidimensional assessment tools, such as the American Society of Addiction Medicine (ASAM) Criteria or other assessment and placement tools that reflect evidence-based clinical treatment guidelines within 12-24 months of demonstration approval;
 - iii. Patient Placement. Establishment of a utilization management approach such that beneficiaries have access to SUD services at the appropriate level of care and that the interventions are appropriate for the diagnosis and level of care, including an independent process for reviewing placement in residential treatment settings within 12-24 months of demonstration approval;
 - iv. Use of Nationally Recognized SUD-specific Program Standards to set Provider Qualifications for Residential Treatment Facilities. The state must establish residential treatment provider qualifications in licensure, policy or provider manuals, managed care contracts or credentialing, or other

requirements or guidance that meet program standards in the ASAM Criteria or other nationally recognized, SUD-specific program standards regarding in particular the types of services, hours of clinical care, and credentials of staff for residential treatment settings within 12-24 months of demonstration approval;

- v. Standards of Care. Establishment of a provider review process to ensure that residential treatment providers deliver care consistent with the specifications in the ASAM Criteria or other comparable, nationally recognized SUD program standards based on evidence-based clinical treatment guidelines for types of services, hours of clinical care, and credentials of staff for residential treatment settings within 12-24 months of demonstration approval;
 - vi. Standards of Care. Establishment of a requirement that residential treatment providers offer MAT on-site or facilitate access to MAT off-site within 12-24 months of demonstration approval;
 - vii. Sufficient Provider Capacity at each Level of Care including Medication Assisted Treatment for SUD/ODU. An assessment of the availability of providers in the critical levels of care throughout the state, or in the regions of the state participating under this demonstration, including those that offer MAT within 12 months of demonstration approval;
 - viii. Implementation of Comprehensive Treatment and Prevention Strategies to Address Opioid Abuse and SUD/ODU. Implementation of opioid prescribing guidelines along with other interventions to prevent prescription drug abuse and expand coverage of and access to naloxone for overdose reversal as well as implementation of strategies to increase utilization and improve functionality of prescription drug monitoring programs;
 - ix. Improved Care Coordination and Transitions between levels of care. Establishment and implementation of policies to ensure residential and inpatient facilities link beneficiaries with community-based services and supports following stays in these facilities within 24 months of demonstration approval.
 - x. SUD Health IT Plan. Implementation of the milestones and metrics as detailed in Attachment D
- d. SUD Health Information Technology Plan (“Health IT Plan”). The SUD Health IT plan applies to all states where the Health IT functionalities are expected to impact beneficiaries within the demonstration. As outlined in SMDL #17-003, states must submit to CMS the applicable Health IT Plan(s), to be included as a section(s) of the associated Implementation Plan(s) (see STC 18(a) and 18(c)), to develop infrastructure and capabilities consistent with the requirements outlined in each demonstration-type.

The Health IT Plan must detail the necessary health IT capabilities in place to support beneficiary health outcomes to address the SUD goals of the demonstration. The plan(s) will also be used to identify areas of health IT ecosystem improvement. The Plan must include implementation milestones and projected dates for achieving them (see Attachment D), and must be aligned with the state’s broader State Medicaid

Health IT Plan (SMHP) and, if applicable, the state’s Behavioral Health (BH) IT Health Plan

- i. The state must include in its Monitoring Protocol (see STC 19(a)) an approach to monitoring its SUD Health IT Plan which will include performance metrics to be approved in advance by CMS.
- ii. The state must monitor progress, each DY, on the implementation of its SUD Health IT Plan in relationship to its milestones and timelines—and report on its progress to CMS in an addendum to its Annual Report (see STC 36).
- iii. As applicable, the state should advance the standards identified in the ‘Interoperability Standards Advisory—Best Available Standards and Implementation Specifications’ (ISA) in developing and implementing the state’s SUD Health IT policies and in all related applicable State procurements (e.g., including managed care contracts) that are associated with this demonstration.
- iv. Where there are opportunities at the state- and provider-level (up to and including usage in MCO or ACO participation agreements) to leverage federal funds associated with a standard referenced in 45 CFR 170 Subpart B, the state should use the federally-recognized standards, barring another compelling state interest.
- v. Where there are opportunities at the state- and provider-level to leverage federal funds associated with a standard not already referenced in 45 CFR 170 but included in the ISA, the state should use the federally-recognized ISA standards, barring no other compelling state interest.
- vi. Components of the Health IT Plan include:
 - 1) The Health IT Plan must describe the state’s goals, each DY, to enhance the state’s prescription drug monitoring program (PDMP).¹
 - 2) The Health IT Plan must address how the state’s PDMP will enhance ease of use for prescribers and other state and federal stakeholders.² This must also include plans to include PDMP interoperability with a statewide, regional or local Health Information Exchange. Additionally, the SUD Health IT Plan must describe ways in which the state will support clinicians in consulting the PDMP prior to prescribing a controlled substance—and reviewing the patients’ history of controlled substance prescriptions—prior to the issuance of a Controlled Substance Schedule II (CSII) opioid prescription.
 - 3) The Health IT Plan will, as applicable, describe the state’s capabilities to leverage a master patient index (or master data management service, etc.) in support of SUD care delivery. Additionally, the Health IT Plan must describe

¹ Prescription drug monitoring programs (PDMP) are electronic databases that track controlled substance prescriptions in states. PDMPs can provide health authorities timely information about prescribing and patient behaviors that contribute to the “opioid” epidemic and facilitate a nimble and targeted response.

² *Ibid.*

current and future capabilities regarding PDMP queries—and the state’s ability to properly match patients receiving opioid prescriptions with patients in the PDMP. The state will also indicate current efforts or plans to develop and/or utilize current patient index capability that supports the programmatic objectives of the demonstration.

- 4) The Health IT Plan will describe how the activities described in (i), (ii) and (iii) above will support broader state and federal efforts to diminish the likelihood of long-term opioid use directly correlated to clinician prescribing patterns.³
- 5) The Health IT Plan will describe the state’s current and future capabilities to support providers implementing or expanding Health IT functionality in the following areas: 1) Referrals, 2) Electronic care plans and medical records, 3) Consent, 4) Interoperability, 5) Telehealth, 6) Alerting/analytics, and 7) Identity management.
- 6) In developing the Health IT Plan, states should use the following resources:
 1. States may use federal resources available on Health IT.Gov (<https://www.healthit.gov/topic/behavioral-health>) including but not limited to “Behavioral Health and Physical Health Integration” and “Section 34: Opioid Epidemic and Health IT” (<https://www.healthit.gov/playbook/health-information-exchange/>).
 2. States may also use the CMS 1115 Health IT resources available on “Medicaid Program Alignment with State Systems to Advance HIT, HIE and Interoperability” at <https://www.medicaid.gov/medicaid/data-and-systems/hie/index.html>. States should review the “1115 Health IT Toolkit” for health IT considerations in conducting an assessment and developing their Health IT Plans.
 3. States may request from CMS technical assistance to conduct an assessment and develop plans to ensure they have the specific health IT infrastructure with regards to PDMP interoperability, electronic care plan sharing, care coordination, and behavioral health-physical health integration, to meet the goals of the demonstration.

19. SUD Monitoring Protocol. The state must submit a Monitoring Protocol for the SUD programs authorized by this demonstration within 150 calendar days after approval of the demonstration. The Monitoring Protocol Template must be developed in cooperation with CMS and is subject to CMS approval. The state must submit a revised Monitoring Protocol within sixty (60) calendar days after receipt of CMS’s comments. Once approved, the SUD Monitoring Protocol will be incorporated into the STCs, as Attachment E. Progress on the

³ Shah, Anuj, Corey Hayes and Bradley Martin. *Characteristics of Initial Prescription Episodes and Likelihood of Long-Term Opioid Use — United States, 2006–2015*. MMWR Morb Mortal Wkly Rep 2017;66.

performance measures identified in the Monitoring Protocol must be reported via the quarterly and annual monitoring reports. Components of the Monitoring Protocol include:

- a. An assurance of the state's commitment and ability to report information relevant to each of the program implementation areas listed in STC 18(a) and (c) and reporting relevant information to the state's Health IT plan described in STC 18(d);
- b. A description of the methods of data collection and timeframes for reporting on the state's progress on required measures as part of the general reporting requirements described in Section VIII of the demonstration; and
- c. A description of baselines and targets to be achieved by the end of the demonstration. Where possible, baselines will be informed by state data, and targets will be benchmarked against performance in best practice settings.

20. Evaluation. The SUD Evaluation will be subject to the same requirements as the overall demonstration evaluation, as described in Sections VIII (General Reporting Requirements) and XI (Evaluation of the Demonstration) of these STCs.

21. Unallowable Expenditures Under the SUD Expenditure Authority. In addition to the other unallowable costs and caveats already outlined in these STCs, the state may not receive FFP under any expenditure authority approved under this demonstration for any of the following:

- a. Room and board costs for residential treatment service providers unless they qualify as inpatient facilities under section 1905(a) of the Act.

VI. SERIOUS MENTAL ILLNESS PROGRAM AND BENEFITS

22. SMI Program Benefits. Under this demonstration, beneficiaries will have access to, the full range of otherwise covered Medicaid services, including SMI treatment services. These SMI services will range in intensity from short-term acute care in inpatient settings for SMI, to ongoing chronic care for such conditions in cost-effective community-based settings. The state will work to improve care coordination and care for co-occurring physical and behavioral health conditions. The state must achieve a statewide average length of stay of no more than 30 days in IMD treatment settings for beneficiaries receiving coverage through this demonstration's SMI Program, to be monitored pursuant to the SMI Monitoring Plan as outlined in STCs 24-27 below.

23. SMI Implementation Plan.

- a. The state must submit the SMI Implementation Plan within ninety (90) calendar days after approval of the demonstration for CMS review and comment. If applicable, the state must submit a revised SMI Implementation Plan within sixty (60) calendar days after receipt of CMS's comments. The state may not claim FFP for services provided to beneficiaries residing in IMDs primarily to receive treatment for SMI under this expenditure authority until CMS has approved the SMI implementation plan and the SMI financing plan described in STC 23. After approval of the required implementation plan and financing plan, FFP will be available prospectively, but not retrospectively.
- b. Once approved, the SMI Implementation Plan will be incorporated into the STCs as Attachment C, and once incorporated, may be altered only with CMS approval. Failure

to submit an SMI Implementation Plan, within 90 calendar days after approval of the demonstration, will be considered a material failure to comply with the terms of the demonstration project as described in 42 CFR 431.420(d) and, as such, would be grounds for termination or suspension of the SMI program under this demonstration. Failure to progress in meeting the milestone goals agreed upon by the state and CMS will result in a funding deferral as described in STC 33.

- c. At a minimum, the SMI Implementation Plan must describe the strategic approach, including timetables and programmatic content where applicable, for meeting the following milestones which reflect the key goals and objectives for the program:

1. **Ensuring Quality of Care in Psychiatric Hospitals and Residential Settings.**

- A. Hospitals that meet the definition of an IMD in which beneficiaries receiving demonstration services under the SMI program are residing must be licensed or approved as meeting standards for licensing established by the agency of the state or locality responsible for licensing hospitals prior to the state claiming FFP for services provided to beneficiaries residing in a hospital that meets the definition of an IMD. In addition, hospitals must be in compliance with the conditions of participation set forth in 42 CFR Part 482 and either: a) be certified by the state agency as being in compliance with those conditions through a state agency survey, or b) have deemed status to participate in Medicare as a hospital through accreditation by a national accrediting organization whose psychiatric hospital accreditation program or acute hospital accreditation program has been approved by CMS.
- B. Residential treatment providers that meet the definition of an IMD in which beneficiaries receiving demonstration services under the SMI program are residing must be licensed, or otherwise authorized, by the state to primarily provide treatment for mental illnesses. They must also be accredited by a nationally recognized accreditation entity prior to the state claiming FFP for services provided to beneficiaries residing in a residential facility that meets the definition of an IMD.
- C. Establishment of an oversight and auditing process that includes unannounced visits for ensuring participating psychiatric hospitals and residential treatment settings meet state licensure or certification requirements as well as a national accrediting entity's accreditation requirements;
- D. Use of a utilization review entity (for example, a managed care organization or administrative service organization) to ensure beneficiaries have access to the appropriate levels and types of care and to provide oversight to ensure lengths of stay are limited to what is medically necessary and only those who have a clinical need to receive treatment in psychiatric hospitals and residential treatment settings are receiving treatment in those facilities;
- E. Establishment of a process for ensuring that participating psychiatric hospitals and residential treatment settings meet applicable federal program integrity requirements, and establishment of a state process to conduct risk-based screening of all newly enrolling providers, as well as revalidation of existing providers (specifically, under existing regulations, the state must screen all newly enrolling providers and reevaluate existing providers pursuant to the rules in 42 CFR Part

- 455 Subparts B and E, ensure providers have entered into Medicaid provider agreements pursuant to 42 CFR 431.107, and establish rigorous program integrity protocols to safeguard against fraudulent billing and other compliance issues);
- F. Implementation of a state requirement that participating psychiatric hospitals and residential treatment settings screen beneficiaries for co-morbid physical health conditions and SUDs and demonstrate the capacity to address co-morbid physical health conditions during short-term stays in residential or inpatient treatment settings (e.g., with on-site staff, telemedicine, and/or partnerships with local physical health providers).
2. **Improving Care Coordination and Transitions to Community-Based Care.**
 - A. Implementation of a process to ensure that psychiatric hospitals and residential treatment facilities provide intensive pre-discharge, care coordination services to help beneficiaries transition out of those settings into appropriate community-based outpatient services, including requirements that facilitate participation of community-based providers in transition efforts (e.g., by allowing beneficiaries to receive initial services from a community-based provider while the beneficiary is still residing in these settings and/or by engaging peer support specialists to help beneficiaries make connections with available community-based providers and, where applicable, make plans for employment);
 - B. Implementation of a process to assess the housing situation of a beneficiary transitioning to the community from psychiatric hospitals and residential treatment settings and to connect beneficiaries who may experience homelessness upon discharge or who would be discharged to unsuitable or unstable housing with community providers that coordinate housing services, where available;
 - C. Implementation of a requirement that psychiatric hospitals and residential treatment settings have protocols in place to ensure contact is made by the treatment setting with each discharged beneficiary within 72 hours of discharge and to help ensure follow-up care is accessed by individuals after leaving those facilities by contacting the individuals directly and, as appropriate, by contacting the community-based provider they were referred to;
 - D. Implementation of strategies to prevent or decrease the length of stay in emergency departments among beneficiaries with SMI or SED (e.g., through the use of peer support specialists and psychiatric consultants in EDs to help with discharge and referral to treatment providers);
 - E. Implementation of strategies to develop and enhance interoperability and data sharing between physical, SUD, and mental health providers, with the goal of enhancing coordination so that disparate providers may better share clinical information to improve health outcomes for beneficiaries with SMI or SED.
 3. **Increasing Access to Continuum of Care Including Crisis Stabilization Services.**
 - A. Establishment of a process to annually assess the availability of mental health services throughout the state, particularly crisis stabilization services, and updates on steps taken to increase availability;
 - B. Commitment to implementation of the SMI/SED financing plan described in STC 23;

- C. Implementation of strategies to improve the state’s capacity to track the availability of inpatient and crisis stabilization beds to help connect individuals in need with that level of care as soon as possible;
 - D. Implementation of a requirement that providers, plans, and utilization review entities use an evidence-based, publicly available patient assessment tool, preferably endorsed by a mental health provider association (e.g., LOCUS or CASII) to determine appropriate level of care and length of stay.
4. **Earlier Identification and Engagement in Treatment and Increased Integration**
- A. Implementation of strategies for identifying and engaging individuals, particularly adolescents and young adults, with SMI/SED in treatment sooner, including through supported employment and supported education programs;
 - B. Increasing integration of behavioral health care in non-specialty care settings, including schools and primary care practices, to improve identification of SMI/SED conditions sooner and improve awareness of and linkages to specialty treatment providers;
 - C. Establishment of specialized settings and services, including crisis stabilization services, focused on the needs of young people experiencing SMI or SED.
5. **SMI/SED Health Information Technology (Health IT) Plan.** The Health IT plan is intended to apply only to those State Health IT functionalities impacting beneficiaries within this demonstration and providers directly funded by this demonstration. The state will provide CMS with an assurance that it has a sufficient health IT infrastructure/ ”ecosystem” at every appropriate level (i.e. state, delivery system, health plan/MCO and individual provider) to achieve the goals of the demonstration. If the state is unable to provide such an assurance, it will submit to CMS a Health IT Plan, to be included as a section of the applicable Implementation Plan (see STC 18(b) and 18(c)), to develop the infrastructure/capabilities of the state’s health IT infrastructure.

The Health IT Plan will detail the necessary health IT capabilities in place to support beneficiary health outcomes to address the SMI/SED goals of the demonstration. The plan(s) will also be used to identify areas of health IT ecosystem improvement. The Plan must include implementation milestones and projected dates for achieving them (see Attachment C), and must be aligned with the state’s broader State Medicaid Health IT Plan (SMHP) and, if applicable, the state’s Behavioral Health (BH) IT Health Plan.

The state will include in its Monitoring Plans (see STC 19)an approach to monitoring its SMI/SED Health IT Plan which will include performance metrics to be approved in advance by CMS.

The state will monitor progress, each DY, on the implementation of its SMI/SED Health IT Plan in relationship to its milestones and timelines—and report on its progress to CMS in in an addendum to its Annual Report (see STC 23).

As applicable, the state should advance the standards identified in the ‘Interoperability Standards Advisory—Best Available Standards and Implementation

Specifications' (ISA) in developing and implementing the state's SMI/SED Health IT policies and in all related applicable State procurements (e.g., including managed care contracts) that are associated with this demonstration.

Where there are opportunities at the state- and provider-level (up to and including usage in MCO or ACO participation agreements) to leverage federal funds associated with a standard referenced in 45 CFR 170 Subpart B, the state should use the federally-recognized standards, barring another compelling state interest.

Where there are opportunities at the state- and provider-level to leverage federal funds associated with a standard not already referenced in 45 CFR 170 but included in the ISA, the state should use the federally-recognized ISA standards, barring no other compelling state interest.

Components of the Health IT Plan include:

- A. The Health IT Plan will, as applicable, describe the state's capabilities to leverage a master patient index (or master data management service, etc.) in support of *SED/SMI* care delivery. The state will also indicate current efforts or plans to develop and/or utilize current patient index capability that supports the programmatic objectives of the demonstration.
 - i. The Health IT Plan will describe the state's current and future capabilities to support providers implementing or expanding Health IT functionality in the following areas: 1) Referrals, 2) Electronic care plans and medical records, 3) Consent, 4) Interoperability, 5) Telehealth, 6) Alerting/analytics, and 7) Identity management.
 - ii. In developing the Health IT Plan, states should use the following resources:
 1. States may use federal resources available on Health IT.Gov (<https://www.healthit.gov/topic/behavioral-health>) including but not limited to "Behavioral Health and Physical Health Integration" and "*Section 34: Opioid Epidemic and Health IT*" (<https://www.healthit.gov/playbook/health-information-exchange/>).
 2. States may also use the CMS 1115 Health IT resources available on "Medicaid Program Alignment with State Systems to Advance HIT, HIE and Interoperability" at <https://www.medicare.gov/medicaid/data-and-systems/hie/index.html>. States should review the "1115 Health IT Toolkit" for health IT considerations in conducting an assessment and developing their Health IT Plans.
 3. States may request from CMS technical assistance to conduct an assessment and develop plans to ensure they have the specific health IT infrastructure with regards to electronic care plan sharing, care coordination, and behavioral health-physical health integration, to meet the goals of the demonstration.
6. **SMI Financing Plan.** As part of the SMI implementation plan referred to in STC 23 the state must submit, within 90 calendar days after approval of the demonstration,

a financing plan for approval by CMS. Once approved, the Financing Plan will be incorporated into the STCs as part of the implementation plan in Attachment C and, once incorporated, may only be altered with CMS approval. Failure to submit an SMI Financing Plan within 90 days of approval of the demonstration will be considered a material failure to comply with the terms of the demonstration project as described in 42 CFR 431.420(d) and, as such, would be grounds for termination or suspension of the SMI program under this demonstration. Components of the financing plan must include:

- A. A plan to increase the availability of non-hospital, non-residential crisis stabilization services, including but not limited to the following: services made available through crisis call centers, mobile crisis units, coordinated community response services that includes law enforcement and other first responders, and observation/assessment centers; and
- B. A plan to increase availability of ongoing community-based services such as intensive outpatient services, assertive community treatment, and services delivered in integrated care settings;
- C. A plan to ensure the on-going maintenance of effort (MOE) on funding outpatient community-based services to ensure that resources are not disproportionately drawn into increasing access to treatment in inpatient and residential settings at the expense of community-based services.

24. SMI Monitoring Protocol(s). The state must submit a Monitoring Protocol for the SMI program authorized by this demonstration within 150 calendar days after approval of the implementation plan. The Monitoring Protocol Template must be developed in cooperation with CMS and is subject to CMS approval. The state must submit a revised Monitoring Protocol within sixty (60) calendar days after receipt of CMS' comments, if any. Once approved, the SMI Monitoring Protocol will be incorporated into the STCs, as Attachment E. Progress on the performance measures identified in the Monitoring Protocol must be reported via the quarterly and annual monitoring reports (as required by STC 36). Components of the Monitoring Protocol must include:

- a. An assurance of the state's commitment and ability to report information relevant to each of the program implementation areas listed in STC 24(c) , information relevant to the state's SMI financing plan described in Attachment C, and information relevant to the state's Health IT plans described in STC 18(d);
- b. A description of the methods of data collection and timeframes for reporting on the state's progress on required measures as part of the general reporting requirements described in Section VIII of the demonstration; and
- c. A description of baselines and targets to be achieved by the end of the demonstration. Where possible, baselines will be informed by state data, and targets will be benchmarked against performance in best practice settings.

25. Monitoring, Reporting, and Evaluation. The SMI Evaluation will be subject to the same requirements as the overall demonstration evaluation, as described in Sections IX (Monitoring and Reporting Requirements) and XII (Evaluation of the Demonstration) of these STCs. The

state will follow CMS guidelines to ensure the evaluation design is amended to provide a rigorous evaluation of the SMI component of the demonstration.

26. Availability of FFP for the SMI Services Under Expenditure Authority #11. Federal Financial Participation is only available for services provided to beneficiaries during short term stays for acute care in IMDs. The state may claim FFP for services furnished to beneficiaries during IMD stays of up to 60 days, as long as the state shows at its midpoint assessment that it is meeting the requirement of a 30 day or less average length of stay (ALOS). Demonstration services furnished to beneficiaries whose stays in IMDs exceed 60 days are not eligible for FFP under this demonstration. If the state cannot show that it is meeting the 30 day or less ALOS requirement within one standard deviation at the mid-point assessment, the state may only claim FFP for stays up to 45 days until such time that the state can demonstrate that it is meeting the 30 day or less ALOS requirement. The state will ensure that medically necessary services are provided to beneficiaries that have stays in excess of 60 days—or 45 days, as relevant.

27. Unallowable Expenditures Under the SMI Expenditure Authority. In addition to the other unallowable costs and caveats already outlined in these STCs, the state may not receive FFP under any expenditure authority approved under this demonstration for any of the following:

- a. Room and board costs for residential treatment service providers unless they qualify as inpatient facilities under section 1905(a) of the Act.
- b. Costs for services furnished to beneficiaries who are residents in a nursing facility as defined in section 1919 of the Act that qualifies as an IMD.
- c. Costs for services furnished to beneficiaries who are involuntarily residing in a psychiatric hospital or residential treatment facility by operation of criminal law.
- d. Costs for services provided in treatment facilities for beneficiaries under age 21 unless the facility meets the requirements for the “inpatient psychiatric services for individuals under age 21” benefit under 42 CFR 440.160, 441 Subpart D, and 483 Subpart G or the definition of a qualified residential treatment program in STC 28.

28. Qualified Residential Treatment Programs. The state may receive FFP for treatment provided to beneficiaries residing in Qualified Residential Treatment Programs (QRTP) that qualify as an IMD if the QRTPs meet the following requirements:

- a. The QRTP meets all of the requirements of the Family First Prevention Services Act (FFPSA) that was signed into law on February 9, 2018, as part of the Bipartisan Budget Act of 2018.
- b. The state performs a needs assessment for the beneficiary to assure the appropriateness of placement in the QRTP as specified in the FFPSA.
- c. QRTP meets any guidance or regulations that may be issued by the Administration for Children and Families in these settings.
- d. The billing provider is enrolled in Medicaid.
- e. The practitioner who furnishes a service meets federal and state qualifications to provide the service.
- f. QRTP complies with CMS regulations regarding seclusion and restraint found in 42 CFR Part 483 Subpart G.
- g. FFP is not available for room and board costs in QRTPs.

VII. COST SHARING

29. Cost Sharing. Cost sharing imposed upon beneficiaries enrolled in the demonstration is consistent with the provisions of the approved Medicaid state plan.

VII. DELIVERY SYSTEM

30. Delivery System. All demonstration beneficiaries will continue to receive services through the same delivery system arrangements as currently authorized in the state.

VIII. GENERAL REPORTING REQUIREMENTS

31. Deferral for Failure to Submit Timely Demonstration Deliverables. CMS may issue deferrals in accordance with 42 CFR part 430 subpart C, in the amount of \$5,000,000 per deliverable (federal share) when items required by these STCs (e.g., required data elements, analyses, reports, design documents, presentations, and other items specified in these STCs) (hereafter singly or collectively referred to as “deliverable(s)”) are not submitted timely to CMS or are found to not be consistent with the requirements approved by CMS. A deferral shall not exceed the value of the federal amount for the current demonstration period. The state does not relinquish its rights provided under 42 CFR part 430 subpart C to challenge any CMS finding that the state materially failed to comply with the terms of this agreement. The following process will be used: 1) Thirty (30) days after the deliverable was due if the state has not submitted a written request to CMS for approval of an extension as described in subsection (b) below; or 2) Thirty (30) days after CMS has notified the state in writing that the deliverable was not accepted for being inconsistent with the requirements of this agreement and the information needed to bring the deliverable into alignment with CMS requirements:

- a. CMS will issue a written notification to the state providing advance notification of a pending deferral for late or non-compliant submissions of required deliverable(s).
- b. For each deliverable, the state may submit to CMS a written request for an extension to submit the required deliverable that includes a supporting rationale for the cause(s) of the delay and the state’s anticipated date of submission. Should CMS agree to the state’s request, a corresponding extension of the deferral process can be provided. CMS may agree to a corrective action plan submitted by the state as an interim step before applying the deferral, if the state proposes a corrective action plan in the state’s written extension request.
- c. If CMS agrees to an interim corrective plan in accordance with subsection (b), and the state fails to comply with the corrective action plan or, despite the corrective action plan, still fails to submit the overdue deliverable(s) with all required contents in satisfaction of the terms of this agreement, CMS may proceed with the issuance of a deferral against the next Quarterly Statement of Expenditures reported in Medicaid Budget and Expenditure System/State Children's Health Insurance Program Budget and Expenditure System (MBES/CBES) following a written deferral notification to the state.
- d. If the CMS deferral process has been initiated for state non-compliance with the terms of this agreement with respect to required deliverable(s), and the state submits

- the overdue deliverable(s), and such deliverable(s) are accepted by CMS as meeting the requirements specified in these STCs, the deferral(s) will be released.
- e. As the purpose of a section 1115 demonstration is to test new methods of operation or service delivery, a state's failure to submit all required reports, evaluations and other deliverables will be considered by CMS in reviewing any application for an extension, amendment, or for a new demonstration.

32. Deferral of Federal Financial Participation (FFP) from IMD Claiming for Insufficient Progress Toward Milestones. Up to \$5,000,000 in FFP for services in IMDs may be deferred if the state is not making adequate progress on meeting the milestones and goals as evidenced by reporting on the milestones in the Implementation Plans and the required performance measures in the Monitoring Plan agreed upon by the state and CMS. Once CMS determines the state has not made adequate progress, up to \$5,000,000 will be deferred in the next calendar quarter and each calendar quarter thereafter until CMS has determined sufficient progress has been made. The state is expected to meet the milestones by the end of the first two years of the SMI demonstration.

33. Submission of Post-Approval Deliverables. The state must submit all deliverables as stipulated by CMS and within the timeframes outlined within these STCs.

34. Compliance with Federal Systems Updates. As federal systems continue to evolve and incorporate additional 1115 demonstration reporting and analytics functions, the state will work with CMS to:

- a. Revise the reporting templates and submission processes to accommodate timely compliance with the requirements of the new systems;
- b. Ensure all 1115, T-MSIS, and other data elements that have been agreed to for reporting and analytics are provided by the state; and
- c. Submit deliverables to the appropriate system as directed by CMS.

X. MONITORING

35. Monitoring Reports. The state must submit three (3) Quarterly Monitoring Reports and one (1) Annual Monitoring Report each DY. The fourth quarter information that would ordinarily be provided in a separate report should be reported as distinct information within the Annual Report. The Quarterly Monitoring Reports are due no later than sixty (60) calendar days following the end of each demonstration quarter. The Annual Monitoring Report is due no later than ninety (90) calendar days following the end of the DY. The reports will include all required elements as per 42 CFR 431.428, and should not direct readers to links outside the report. Additional links not referenced in the document may be listed in a Reference/Bibliography section. The Monitoring Reports must follow the framework provided by CMS, which is subject to change as monitoring systems are developed/evolve, and be provided in a structured manner that supports federal tracking and analysis.

- a. Operational Updates. The operational updates will focus on progress toward meeting the demonstration's milestones. Additionally, per 42 CFR 431.428, the Monitoring Reports must document any policy or administrative difficulties in operating the

- demonstration. The reports shall provide sufficient information to document key challenges, underlying causes of challenges, how challenges are being addressed, as well as key achievements and to what conditions and efforts successes can be attributed. The discussion should also include any issues or complaints identified by beneficiaries; lawsuits or legal actions; unusual or unanticipated trends; updates on the state's financing plan and maintenance of effort described in STC 23; legislative updates; and descriptions of any public forums held. The Monitoring Report should also include a summary of all public comments received through post-award public forums regarding the progress of the demonstration.
- b. Performance Metrics. The performance metrics will provide data to demonstrate how the state is progressing towards meeting the demonstration's milestones. Additionally, per 42 CFR 431.428, the Monitoring Reports must document the impact of the demonstration in providing insurance coverage to beneficiaries and the uninsured population, as well as outcomes of care, quality and cost of care, and access to care. This may also include the results of beneficiary satisfaction surveys, if conducted, grievances and appeals. The required monitoring and performance metrics must be included in writing in the Monitoring Reports, and will follow the framework provided by CMS to support federal tracking and analysis.
 - c. Budget Neutrality and Financial Reporting Requirements. Per 42 CFR 431.428, the Monitoring Reports must document the financial performance of the demonstration. The state must provide an updated budget neutrality workbook with every Monitoring Report that meets all the reporting requirements for monitoring budget neutrality set forth in the General Financial Requirements Section XI of these STCs, including the submission of corrected budget neutrality data upon request. In addition, the state must report quarterly and annual expenditures associated with the populations affected by this demonstration on the Form CMS-64. Administrative costs should be reported separately.
 - d. Evaluation Activities and Interim Findings. Per 42 CFR 431.428, the Monitoring Reports must document any results of the demonstration to date per the evaluation hypotheses. Additionally, the state shall include a summary of the progress of evaluation activities, including key milestones accomplished, as well as challenges encountered and how they were addressed.
 - e. SMI/SED Health IT and/or SUD Health IT. The state will include a summary of progress made in regards to SMI/SED and/or SUD Health IT requirements outlined in STC 18(d).

36. SMI/SED and/or SUD Mid-Point Assessment. The state must conduct an independent mid-point assessment by June 15, 2023. In the design, planning and conduction of the mid-point assessment, the state must require that the independent assessor consult with key stakeholders including, but not limited to: representatives of MCOs, SMI/SED and/or SUD treatment providers, beneficiaries, and other key partners.

The state must require that the assessor provide a report to the state that includes the methodologies used for examining progress and assessing risk, the limitations of the methodologies, its determinations and any recommendations. The state must provide a copy of the report to CMS no later than sixty (60) days after June 15, 2023. This timeline will

allow for the assessment report to capture approximately the first two-and-a-half years of demonstration program data, accounting for data run-out and data completeness. The state must brief CMS on the report.

For milestones and measure targets at medium to high risk of not being achieved, the state must submit to CMS modifications to the SMI/SED Implementation Plan and/or the SUD Implementation Plan, the SMI Financing Plan, and the SMI/SED Monitoring Protocol and/or SUD Monitoring Plan for ameliorating these risks. Modifications to the applicable Implementation, Financing, and Monitoring Protocol are subject to CMS approval. Elements of the mid-point assessment include:

- a. An examination of progress toward meeting each milestone and timeframe approved in the SMI/SED and/or the SUD Implementation Plans, the SMI/SED Financing Plan, and toward meeting the targets for performance measures as approved in the SMI/SED Monitoring Protocol and/or SUD Monitoring Protocol;
- b. A determination of factors that affected achievement on the milestones and performance measure gap closure percentage points to date;
- c. A determination of selected factors likely to affect future performance in meeting milestones and targets not yet met and information about the risk of possibly missing those milestones and performance targets;
- d. For milestones or targets at medium to high risk of not being met, recommendations for adjustments in the state's SMI/SED or SUD Implementation Plans or SMI/SED Financing Plan or to pertinent factors that the state can influence that will support improvement; and
- e. An assessment of whether the state is on track to meet the budget neutrality requirements.

37. Corrective Action. If monitoring indicates that demonstration features are not likely to assist in promoting the objectives of Medicaid, CMS reserves the right to require the state to submit a corrective action plan to CMS for approval. This may be an interim step to withdrawing waivers or expenditure authorities, as outlined in STC 10.

38. Close-Out Report. Within one hundred twenty (120) calendar days after the expiration of the demonstration, the state must submit a Draft Close-Out Report to CMS for comments.

- a. The draft close-out report must comply with the most current guidance from CMS.
- b. The state will present to and participate in a discussion with CMS on the close-out report.
- c. The state must take into consideration CMS' comments for incorporation into the final close-out report.
- d. The final close-out report is due to CMS no later than thirty (30) calendar days after receipt of CMS' comments.
- e. A delay in submitting the draft or final version of the close-out report may subject the state to penalties described in STC 23.

39. Monitoring Calls. CMS will convene periodic conference calls with the state.

- a. The purpose of these calls is to discuss ongoing demonstration operation, to include (but not limited to) any significant actual or anticipated developments affecting the

- demonstration. Examples include implementation activities, trends in reported data on metrics and associated mid-course adjustments, enrollment and access, budget neutrality, and progress on evaluation activities.
- b. CMS will provide updates on any pending actions, as well as federal policies and issues that may affect any aspect of the demonstration.
 - c. The state and CMS will jointly develop the agenda for the calls.

40. Post Award Forum. Pursuant to 42 CFR 431.420(c), within six (6) months of the demonstration's implementation, and annually thereafter, the state must afford the public with an opportunity to provide meaningful comment on the progress of the demonstration. At least thirty (30) days prior to the date of the planned public forum, the state must publish the date, time and location of the forum in a prominent location on its website. The state must also post the most recent annual report on its website with the public forum announcement. Pursuant to 42 CFR 431.420(c), the state must include a summary of the comments in the Monitoring Report associated with the quarter in which the forum was held, as well as in its compiled Annual Report.

XI. EVALUATION OF THE DEMONSTRATION

41. Cooperation with Federal Evaluators. As required under 42 CFR 431.420(f), the state must cooperate fully and timely with CMS and its contractors in any federal evaluation of the demonstration or any component of the demonstration. This includes, but is not limited to, commenting on design and other federal evaluation documents and providing data and analytic files to CMS, including entering into a data use agreement that explains how the data and data files will be exchanged, and providing a technical point of contact to support specification of the data and files to be disclosed, as well as relevant data dictionaries and record layouts. The state must include in its contracts with entities who collect, produce or maintain data and files for the demonstration, that they must make such data available for the federal evaluation as is required under 42 CFR 431.420(f) to support federal evaluation. The state may claim administrative match for these activities. Failure to comply with this STC may result in a deferral being issued as outlined in STC 31.

42. Independent Evaluator. Upon approval of the demonstration, the state must begin to arrange with an independent party to conduct an evaluation of the demonstration to ensure that the necessary data is collected at the level of detail needed to research the approved hypotheses. The state must require the independent party to sign an agreement that the independent party will conduct the demonstration evaluation in an independent manner in accordance with the CMS-approved draft Evaluation Design. When conducting analyses and developing the evaluation reports, every effort should be made to follow the approved methodology. However, the state may request, and CMS may agree to, changes in the methodology in appropriate circumstances.

43. Draft Evaluation Design. The draft Evaluation Design must be developed in accordance with Attachment A (Developing the Evaluation Design) of these STCs. The state must submit, for CMS comment and approval, a draft Evaluation Design with implementation timeline, no later than one hundred eighty (180) days after the approval of the demonstration.

Any modifications to an existing approved Evaluation Design will not affect previously established requirements and timelines for report submission for the demonstration, if applicable. The draft Evaluation Design must be developed in accordance with the following CMS guidance (including but not limited to):

- a. All applicable Evaluation Design guidance, including guidance about SUD/SMI/SED. Hypotheses applicable to the demonstration as a whole, and to all key policies referenced above, will include (but will not be limited to): the effects of the demonstration on health outcomes; the financial impact of the demonstration (for example, such as an assessment of medical debt and uncompensated care costs).
- b. Attachment A (Developing the Evaluation Design) of these STCs, technical assistance for developing SUD Evaluation Designs (as applicable, and as provided by CMS), and all applicable technical assistance on how to establish comparison groups to develop a Draft Evaluation Design.

44. Evaluation Budget. A budget for the evaluations must be provided with the draft Evaluation Designs. It will include the total estimated cost, as well as a breakdown of estimated staff, administrative and other costs for all aspects of the evaluations such as any survey and measurement development, quantitative and qualitative data collection and cleaning, analyses and report generation. A justification of the costs may be required by CMS if the estimates provided do not appear to sufficiently cover the costs of the design or if CMS finds that the designs are not sufficiently developed, or if the estimates appear to be excessive.

45. Evaluation Design Approval and Updates. The state must submit the revised draft Evaluation Designs within sixty (60) calendar days after receipt of CMS' comments. Upon CMS approval of the draft Evaluation Designs, the documents will be included as an attachment to these STCs. Per 42 CFR 431.424(c), the state will publish the approved Evaluation Design to the state's website within thirty (30) calendar days of CMS approval. The state must implement the evaluation designs and submit a description of its evaluation implementation progress in each of the Monitoring Reports, including any required Rapid Cycle Assessments specified in these STCs. Once CMS approves the evaluation designs, if the state wishes to make changes, the state must submit a revised evaluation design to CMS for approval.

46. Evaluation Questions and Hypotheses. Consistent with Attachments A and B (Developing the Evaluation Design and Preparing the Interim and Summative Evaluation Report) of these STCs, the evaluation documents must include a discussion of the evaluation questions and hypotheses that the state intends to test. Each demonstration component should have at least one evaluation question and hypothesis. The hypothesis testing should include, where possible, assessment of both process and outcome measures. Proposed measures should be selected from nationally-recognized sources and national measures sets, where possible. Measures sets could include CMS's Core Set of Health Care Quality Measures for Children in Medicaid and CHIP, Consumer Assessment of Health Care Providers and Systems (CAHPS), the Initial Core Set of Health Care Quality Measures for Medicaid-Eligible Adults and/or measures endorsed by National Quality Forum (NQF).

47. Interim Evaluation Report. The state must submit an Interim Evaluation Report for each evaluation design, as applicable, and for the completed years of the demonstration, and for each subsequent renewal or extension of the demonstration, as outlined in 42 CFR 431.412(c)(2)(vi). When submitting an application for renewal, the Evaluation Reports should be posted to the state's website with the application for public comment.

- a. The Interim Evaluation Report will discuss evaluation progress and present findings to date as per the approved evaluation design.
- b. For demonstration authority that expires prior to the overall demonstration's expiration date, the Interim Evaluation Report must include an evaluation of the authority as approved by CMS.
- c. If the state is seeking to renew or extend the demonstration, the draft Interim Evaluation Report is due when the application for renewal is submitted. If the state made changes to the demonstration in its application for renewal, the research questions and hypotheses and a description of how the design was adapted should be included. If the state is not requesting a renewal for the demonstration, the Interim Evaluation Report is due one (1) year prior to the end of the demonstration. For demonstration phase outs prior to the expiration of the approval period, the draft Interim Evaluation Report is due to CMS on the date that will be specified in the notice of termination or suspension.
- d. The state must submit the final Interim Evaluation Report sixty (60) calendar days after receiving CMS comments on the draft Interim Evaluation Report and post the document to the state's website.
- e. The Interim Evaluation Report must comply with Attachment B of these STCs.

48. Summative Evaluation Report. The draft Summative Evaluation Report must be developed in accordance with Attachment B (Preparing the Interim and Summative Evaluation Report) of these STCs. The state must submit the draft Summative Evaluation Report for the demonstration's current approval period within eighteen (18) months of the end of the approval period represented by these STCs. The Summative Evaluation Report must include the information in the approved Evaluation Design.

- a. Unless otherwise agreed upon in writing by CMS, the state must submit the final Summative Evaluation Report within sixty (60) calendar days of receiving comments from CMS on the draft.
- b. The final Summative Evaluation Report must be posted to the state's Medicaid website within thirty (30) calendar days of approval by CMS.

49. Corrective Action Plan Related to Evaluation. If evaluation findings indicate that demonstration features are not likely to assist in promoting the objectives of Medicaid, CMS reserves the right to require the state to submit a corrective action plan to CMS for approval. These discussions may also occur as part of a renewal process when associated with the state's Interim Evaluation Report. This may be an interim step to withdrawing waivers or expenditure authorities, as outlined in STC 10

50. State Presentations for CMS. CMS reserves the right to request that the state present and participate in a discussion with CMS on the Evaluation Design, the Interim Evaluation Report, and/or the Summative Evaluation Report.

51. Public Access. The state shall post the final documents (e.g., Monitoring Reports, Close Out Report, the approved Evaluation Design, Interim Evaluation Reports, and Summative Evaluation Reports) on the state's website within thirty (30) calendar days of approval by CMS.

52. Additional Publications and Presentations. For a period of twelve (12) months following CMS approval of the final reports, CMS will be notified prior to presentation of these reports or their findings, including in related publications (including, for example, journal articles), by the state, contractor, or any other third party directly connected to the demonstration. Prior to release of these reports, articles or other publications, CMS will be provided a copy including any associated press materials. CMS will be given ten (10) business days to review and comment on publications before they are released. CMS may choose to decline to comment on or review some or all of these notifications and reviews. This requirement does not apply to the release or presentation of these materials to state or local government officials.

XII. GENERAL FINANCIAL REQUIREMENTS UNDER TITLE XIX

53. Allowable Expenditures. This demonstration project is approved for expenditures applicable to services rendered during the demonstration approval period designated by CMS. CMS will provide FFP for allowable demonstration expenditures only so long as they do not exceed the pre-defined limits as specified in these STCs.⁴

54. Standard Medicaid Funding Process. The standard Medicaid funding process will be used for this demonstration. The state will provide quarterly expenditure reports through the Medicaid and CHIP Budget and Expenditure System (MBES/CBES) to report total expenditures for services provided under this demonstration following routine CMS-37 and CMS-64 reporting instructions as outlined in section 2500 of the State Medicaid Manual. The state will estimate matchable demonstration expenditures (total computable and federal share) subject to the budget neutrality expenditure limit and separately report these expenditures by quarter for each federal fiscal year on the form CMS-37 for both the medical assistance payments (MAP) and state and local administration costs (ADM). CMS shall make federal funds available based upon the state's estimate, as approved by CMS. Within thirty (30) days after the end of each quarter, the state shall submit form CMS-64 (Quarterly Medicaid Expenditure Report), showing Medicaid expenditures made in the quarter that just ended. If applicable, subject to the payment deferral process, CMS shall reconcile expenditures reported on form CMS-64 with federal funding previously made available to the state, and include the reconciling adjustment in the finalization of the grant award to the state.

⁴ For a description of CMS's current policies related to budget neutrality for Medicaid demonstration projects authorized under section 1115(a) of the Act, see State Medicaid Director Letter #18-009.

- 55. Extent of Federal Financial Participation for the Demonstration.** Subject to CMS approval of the source(s) of the non-federal share of funding, CMS will provide FFP at the applicable federal matching rate for the demonstration as a whole for the following, subject to the budget neutrality expenditure limits described in Section XI:
- a. Administrative costs, including those associated with the administration of the demonstration;
 - b. Net expenditures and prior period adjustments of the Medicaid program that are paid in accordance with the approved Medicaid state plan; and
 - c. Medical assistance expenditures and prior period adjustments made under section 1115 demonstration authority with dates of service during the demonstration extension period; including those made in conjunction with the demonstration, net of enrollment fees, cost sharing, pharmacy rebates, and all other types of third party liability.

56. Sources of Non-Federal Share. The state certifies that its match for the non-federal share of funds for this demonstration are state/local monies. The state further certifies that such funds must not be used to match for any other federal grant or contract, except as permitted by law. All sources of non-federal funding must be compliant with section 1903(w) of the Act and applicable regulations. In addition, all sources of the non-federal share of funding are subject to CMS approval.

- a. The state acknowledges that CMS has authority to review the sources of the non-federal share of funding for the demonstration at any time. The state agrees that all funding sources deemed unacceptable by CMS shall be addressed within the time frames set by CMS.
- b. The state acknowledges that any amendments that impact the financial status of the demonstration must require the state to provide information to CMS regarding all sources of the non-federal share of funding.

57. State Certification of Funding Conditions. The state must certify that the following conditions for non-federal share of demonstration expenditures are met:

- a. Units of government, including governmentally operated health care providers, may certify that state or local monies have been expended as the non-federal share of funds under the demonstration.
- b. To the extent the state utilizes certified public expenditures (CPE) as the funding mechanism for the state share of title XIX payments, including expenditures authorized under a section 1115 demonstration, CMS must approve a cost reimbursement methodology. This methodology must include a detailed explanation of the process by which the state would identify those costs eligible under title XIX (or under section 1115 authority) for purposes of certifying public expenditures.
- c. To the extent the state utilizes CPEs as the funding mechanism to claim federal match for expenditures under the demonstration, governmental entities to which general revenue funds are appropriated must certify to the state the amount of such state or local monies that are allowable under 42 CFR 433.51 to satisfy demonstration expenditures. If the CPE is claimed under a Medicaid authority, the federal matching funds received cannot then be used as the state share needed to receive other federal

- matching funds under 42 CFR 433.51(c). The entities that incurred the cost must also provide cost documentation to support the state’s claim for federal match.
- d. The state may use intergovernmental transfers (IGT) to the extent that such funds are derived from state or local monies and are transferred by units of government within the state. Any transfers from governmentally operated health care providers must be made in an amount not to exceed the non-federal share of title XIX payments.
 - e. Under all circumstances, health care providers must retain one hundred (100) percent of the reimbursement for claimed expenditures. Moreover, consistent with 42 CFR 447.10, no pre-arranged agreements (contractual, voluntary, or otherwise) may exist between health care providers and state and/or local government to return and/or redirect to the state any portion of the Medicaid payments. This confirmation of Medicaid payment retention is made with the understanding that payments that are the normal operating expenses of conducting business, such as payments related to taxes, including health care provider-related taxes, fees, business relationships with governments that are unrelated to Medicaid and in which there is no connection to Medicaid payments, are not considered returning and/or redirecting a Medicaid payment.

58. Program Integrity. The state must have processes in place to ensure there is no duplication of federal funding for any aspect of the demonstration. The state must also ensure that the state and any of its contractors follow standard program integrity principles and practices including retention of data. All data, financial reporting, and sources of non-federal share are subject to audit.

59. Medicaid Expenditure Groups (MEG). MEGs are defined for the purpose of identifying categories of Medicaid or demonstration expenditures subject to budget neutrality, components of budget neutrality expenditure limit calculations, and other purposes related to monitoring and tracking expenditures under the demonstration. The Master MEG Chart table provides a master list of MEGs defined for this demonstration.

Table 2: Master MEG Chart					
MEG	To Which BN Test Does This Apply?	WOW Per Capita	WOW Aggregate	WW	Brief Description
FFS-SMI/SED	Hypo 1	X		X	Medicaid beneficiaries diagnosed with a SMI/SED in fee-for-service
FFS- SUD	Hypo 2	X		X	Medicaid beneficiaries diagnosed with a SUD in fee-for-service
FFS- SUD; 17 and Under	Hypo 3	X		X	Medicaid beneficiaries diagnosed with a SUD in fee-for-service

60. Reporting Expenditures and Member Months. The state must report all demonstration expenditures claimed under the authority of title XIX of the Act and subject to budget neutrality each quarter on separate forms CMS-64.9 WAIVER and/or 64.9P WAIVER, identified by the demonstration project number assigned by CMS (11-W-00339/10). Separate reports must be submitted by MEG (identified by Waiver Name) and Demonstration Year (identified by the two-digit project number extension). Unless specified otherwise, expenditures must be reported by DY according to the dates of service associated with the expenditure. All MEGs identified in the Master MEG Chart as WW must be reported for expenditures, as further detailed in the MEG Detail for Expenditure and Member Month Reporting table below. To enable calculation of the budget neutrality expenditure limits, the state also must report member months of eligibility for specified MEGs.

- a. Cost Settlements. The state will report any cost settlements attributable to the demonstration on the appropriate prior period adjustment schedules (form CMS-64.9P WAIVER) for the summary sheet line 10b, in lieu of lines 9 or 10c. For any cost settlement not attributable to this demonstration, the adjustments should be reported as otherwise instructed in the State Medicaid Manual. Cost settlements must be reported by DY consistent with how the original expenditures were reported.
- b. Premiums and Cost Sharing Collected by the State. The state will report any premium contributions collected by the state from demonstration enrollees quarterly on the form CMS-64 Summary Sheet line 9D, columns A and B. In order to assure that these collections are properly credited to the demonstration, quarterly premium collections (both total computable and federal share) should also be reported separately by DY on form CMS-64 Narrative, and on the Total Adjustments tab in the Budget Neutrality Monitoring Tool. In the annual calculation of expenditures subject to the budget neutrality expenditure limit, premiums collected in the demonstration year will be offset against expenditures incurred in the demonstration year for determination of the state's compliance with the budget neutrality limits.
- c. Pharmacy Rebates. Because pharmacy rebates are not included in the base expenditures used to determine the budget neutrality expenditure limit, pharmacy rebates are not included for calculating net expenditures subject to budget neutrality. The state will report pharmacy rebates on form CMS-64.9 BASE, and not allocate them to any form 64.9 or 64.9P WAIVER.
- d. Administrative Costs. The state will separately track and report additional administrative costs that are directly attributable to the demonstration. All administrative costs must be identified on the forms CMS-64.10 WAIVER and/or 64.10P WAIVER. Unless indicated otherwise on the Master MEG Chart table, administrative costs are not counted in the budget neutrality tests; however, these costs are subject to monitoring by CMS.
- e. Member Months. As part of the Quarterly and Annual Monitoring Reports described in Section IX, the state must report the actual number of “eligible member months” for all demonstration enrollees for all MEGs identified as WOW Per Capita in the Master MEG Chart table above, and as also indicated in the MEG Detail for Expenditure and Member Month Reporting table below. The term “eligible member months” refers to the number of months in which persons enrolled in the demonstration are eligible to receive services. For example, a person who is eligible for three months contributes three eligible member months to the total. Two

individuals who are eligible for two months, each contribute two eligible member months, for a total of four eligible member months. The state must submit a statement accompanying the annual report certifying the accuracy of this information.

- f. Budget Neutrality Specifications Manual. The state will create and maintain a Budget Neutrality Specifications Manual that describes in detail how the state will compile data on actual expenditures related to budget neutrality, including methods used to extract and compile data from the state’s Medicaid Management Information System, eligibility system, and accounting systems for reporting on the CMS-64, consistent with the terms of the demonstration. The Budget Neutrality Specifications Manual will also describe how the state compiles counts of Medicaid member months. The Budget Neutrality Specifications Manual must be made available to CMS on request.

Table 3: MEG Detail for Expenditure and Member Month Reporting

MEG (Waiver Name)	Detailed Description	Exclusions	CMS-64.9 Line(s) To Use	How Expend. Are Assigned to DY	MAP or ADM	Report Member Months (Y/N)	MEG Start Date	MEG End Date
FFS-SMI/SED	Medicaid beneficiaries diagnosed with an SMI/SED in fee-for-service	See STC 59	Follow CMS-64.9 Base Category of Service Definition	Date of service	MAP	Y	12/15/2020	12/31/2025
FFS- SUD	Medicaid beneficiaries diagnosed with a SUD in fee-for-service	See STC 59	Follow CMS-64.9 Base Category of Service Definition	Date of service	MAP	Y	12/15/2020	12/31/2025
FFS-SUD, 17 and Under	Medicaid beneficiaries diagnosed with a SUD in fee-for-service	See STC 59	Follow CMS-64.9 Base Category of Service Definition	Date of service	MAP	Y	12/15/2020	12/31/2025

61. Demonstration Years. Demonstration Years (DY) for this demonstration are defined in the Demonstration Years table below.

Table 4: Demonstration Years		
Demonstration Year 1	December 22, 2020 to December 31, 2021	12+months
Demonstration Year 2	January 1, 2022 to December 31, 2022	12 months

Demonstration Year 3	January 1, 2023 to December 31 2023	12 months
Demonstration Year 4	January 1, 2024 to December 31, 2024	12 months
Demonstration Year 5	January 1, 2025 to December 31, 2025	12 months

62. Budget Neutrality Monitoring Tool. The state must provide CMS with quarterly budget neutrality status updates, including established baseline and member months data, using the Budget Neutrality Monitoring Tool provided through the Performance Metrics Database and Analytics (PMDA) system. The tool incorporates the “Schedule C Report” for comparing demonstration’s actual expenditures to the budget neutrality expenditure limits described in Section XI. CMS will provide technical assistance, upon request.⁵

63. Claiming Period. The state will report all claims for expenditures subject to the budget neutrality agreement (including any cost settlements) within two years after the calendar quarter in which the state made the expenditures. All claims for services during the demonstration period (including any cost settlements) must be made within two years after the conclusion or termination of the demonstration. During the latter two-year period, the state will continue to identify separately net expenditures related to dates of service during the operation of the demonstration on the CMS-64 waiver forms in order to properly account for these expenditures in determining budget neutrality.

64. Future Adjustments to Budget Neutrality. CMS reserves the right to adjust the budget neutrality expenditure limit:

- a. To be consistent with enforcement of laws and policy statements, including regulations and letters, regarding impermissible provider payments, health care related taxes, or other payments, CMS reserves the right to make adjustments to the budget neutrality limit if any health care related tax that was in effect during the base year, or provider-related donation that occurred during the base year, is determined by CMS to be in violation of the provider donation and health care related tax provisions of section 1903(w) of the Act. Adjustments to annual budget targets will reflect the phase out of impermissible provider payments by law or regulation, where applicable.
- b. To the extent that a change in federal law, regulation, or policy requires either a reduction or an increase in FFP for expenditures made under this demonstration. In this circumstance, the state must adopt, subject to CMS approval, a modified budget neutrality agreement as necessary to comply with such change. The modified agreement will be effective upon the implementation of the change. The trend rates for the budget neutrality agreement are not subject to change under this STC. The state agrees that if mandated changes in the federal law require state legislation, the

⁵ 42 CFR §431.420(a)(2) provides that states must comply with the terms and conditions of the agreement between the Secretary (or designee) and the state to implement a demonstration project, and §431.420(b)(1) states that the terms and conditions will provide that the state will perform periodic reviews of the implementation of the demonstration. CMS’s current approach is to include language in STCs requiring, as a condition of demonstration approval, that states provide, as part of their periodic reviews, regular reports of the actual costs which are subject to the budget neutrality limit. CMS has obtained Office of Management and Budget (OMB) approval of the monitoring tool under the Paperwork Reduction Act (OMB Control No. 0938 – 1148) and in states agree to use the tool as a condition of demonstration approval.

changes shall take effect on the day such state legislation becomes effective, or on the last day such legislation was required to be in effect under the federal law.

- c. The state certifies that the data it provided to establish the budget neutrality expenditure limit are accurate based on the state's accounting of recorded historical expenditures or the next best available data, that the data are allowable in accordance with applicable federal, state, and local statutes, regulations, and policies, and that the data are correct to the best of the state's knowledge and belief. The data supplied by the state to set the budget neutrality expenditure limit are subject to review and audit, and if found to be inaccurate, will result in a modified budget neutrality expenditure limit.

XIII. MONITORING BUDGET NEUTRALITY FOR THE DEMONSTRATION

65. Limit on Title XIX Funding. The state will be subject to limits on the amount of federal Medicaid funding the state may receive over the course of the demonstration approval. The budget neutrality expenditure limits are based on projections of the amount of FFP that the state would likely have received in the absence of the demonstration. The limit may consist of a Main Budget Neutrality Test, and one or more Hypothetical Budget Neutrality Tests, as described below. CMS's assessment of the state's compliance with these tests will be based on the Schedule C CMS-64 Waiver Expenditure Report, which summarizes the expenditures reported by the state on the CMS-64 that pertain to the demonstration.

66. Risk. The budget neutrality expenditure limits are determined on either a per capita or aggregate basis. If a per capita method is used, the state is at risk for the per capita cost of state plan and hypothetical populations, but not for the number of participants in the demonstration population. By providing FFP without regard to enrollment in the demonstration for all demonstration populations, CMS will not place the state at risk for changing economic conditions; however, by placing the state at risk for the per capita costs of the demonstration populations, CMS assures that the demonstration expenditures do not exceed the levels that would have been realized had there been no demonstration. If an aggregate method is used, the state accepts risk for both enrollment and per capita costs.

67. Calculation of the Budget Neutrality Limits and How They Are Applied. To calculate the budget neutrality limits for the demonstration, separate annual budget limits are determined for each DY on a total computable basis. Each annual budget limit is the sum of one or more components: per capita components, which are calculated as a projected without-waiver PMPM cost times the corresponding actual number of member months, and aggregate components, which project fixed total computable dollar expenditure amounts. The annual limits for all DYs are then added together to obtain a budget neutrality limit for the entire demonstration period. The federal share of this limit will represent the maximum amount of FFP that the state may receive during the demonstration period for the types of demonstration expenditures described below. The federal share will be calculated by multiplying the total computable budget neutrality expenditure limit by the appropriate Composite Federal Share.

68. Main Budget Neutrality Test. This demonstration does not include a Main Budget Neutrality Test. Budget neutrality will consist entirely of Hypothetical Budget Neutrality Tests. Any excess spending under the Hypothetical Budget Neutrality Tests must be returned to CMS.

69. Hypothetical Budget Neutrality. When expenditure authority is provided for coverage of populations or services that the state could have otherwise provided through its Medicaid state plan or other title XIX authority (such as a waiver under section 1915 of the Act), CMS considers these expenditures to be “hypothetical;” that is, the expenditures would have been eligible to receive FFP elsewhere in the Medicaid program. For these hypothetical expenditures, CMS makes adjustments to the budget neutrality test which effectively treats these expenditures as if they were for approved Medicaid state plan services. Hypothetical expenditures, therefore, do not necessitate savings to offset the otherwise allowable services. This approach reflects CMS’s current view that states should not have to “pay for,” with demonstration savings, costs that could have been otherwise eligible for FFP under a Medicaid state plan or other title XIX authority; however, when evaluating budget neutrality, CMS does not offset non-hypothetical expenditures with projected or accrued savings from hypothetical expenditures. That is, savings are not generated from a hypothetical population or service. To allow for hypothetical expenditures, while preventing them from resulting in savings, CMS currently applies a separate, independent Hypothetical Budget Neutrality Tests, which subject hypothetical expenditures to pre-determined limits to which the state and CMS agree, and that CMS approves, as a part of this demonstration approval. If the state’s WW hypothetical spending exceeds the supplemental test’s expenditure limit, the state agrees (as a condition of CMS approval) to refund the FFP to CMS.

70. Hypothetical Budget Neutrality Test 1: SMI/SED and/or SUD Services (see Expenditure Authority #1). The table below identifies the MEGs that are used for Hypothetical Budget Neutrality Test 1. MEGs that are designated “WOW Only” or “Both” are the components used to calculate the budget neutrality expenditure limit. The Composite Federal Share for the Hypothetical Budget Neutrality Test is calculated based on all MEGs indicated as “WW Only” or “Both.” MEGs that are indicated as “WW Only” or “Both” are counted as expenditures against this budget neutrality expenditure limit. Any expenditures in excess of the limit from Hypothetical Budget Neutrality Test are counted as WW expenditures under the Main Budget Neutrality Test.

Table 5: Hypothetical Budget Neutrality Test									
MEG	PC or Agg*	WOW Only, WW Only, or Both	BASE YEAR 2019	TREND	DY 1	DY 2	DY 3	DY 4	DY 5
FFS-SMI/SED Aged 18-64	PC	Both	\$9,373	5.6%	\$10,452	\$11,037	\$11,655	\$12,308	\$12,997
FFS-SUD Aged 18-64	PC	Both	\$4,164	5.6%	\$4,643	\$4,903	\$5,177	\$5,467	\$5,774

FFS-SUD Aged 17 and under	PC	Both	\$3,855	5.6%	\$4,299	\$4,539	\$4,794	\$5,062	\$5,345
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71. Composite Federal Share. The Composite Federal Share is the ratio that will be used to convert the total computable budget neutrality limit to federal share. The Composite Federal Share is the ratio calculated by dividing the sum total of FFP received by the state on actual demonstration expenditures during the approval period by total computable demonstration expenditures for the same period, as reported through MBES/CBES and summarized on Schedule C. Since the actual final Composite Federal Share will not be known until the end of the demonstration’s approval period, for the purpose of interim monitoring of budget neutrality, a reasonable estimate of Composite Federal Share may be developed and used through the same process or through an alternative mutually agreed to method. Each Hypothetical Budget Neutrality Test has its own Composite Federal Share, as defined in the paragraph pertaining to each particular test.

72. Exceeding Budget Neutrality. CMS will enforce the budget neutrality agreement over the life of the demonstration approval period, which extends from December 22, 2020 to December 31, 2025. If at the end of the demonstration approval period the budget neutrality limit has been exceeded, the excess federal funds will be returned to CMS. If the demonstration is terminated prior to the end of the demonstration period, the budget neutrality test will be based on the time period through the termination date.

73. Mid-Course Correction. If at any time during the demonstration approval period CMS determines that the demonstration is on course to exceed its budget neutrality expenditure limit, CMS will require the state to submit a corrective action plan for CMS review and approval. CMS will use the threshold levels in the tables below as a guide for determining when corrective action is required.

Demonstration Year	Cumulative Target Definition	Percentage
DY 1	Cumulative budget neutrality limit plus:	2.0 percent
DY 1 through DY 2	Cumulative budget neutrality limit plus:	1.5 percent
DY 1 through DY 3	Cumulative budget neutrality limit plus:	1.0 percent
DY 1 through DY 4	Cumulative budget neutrality limit plus:	0.5 percent
DY 1 through DY 5	Cumulative budget neutrality limit plus:	0.0 percent

XIV. SCHEDULE OF DELIVERABLES FOR THE DEMONSTRATION PERIOD

Table 7: Schedule of Deliverables for the Demonstration Period		
Date	Deliverable	STC
30 calendar days after approval date	State acceptance of demonstration Waivers, STCs, and Expenditure Authorities	Approval letter
90 calendar days after approval date	SUD and SMI Implementation Plans (including Health IT Plan)	STC 18(a)
60 calendar days after receipt of CMS comments	Revised SUD and SMI Implementation Plans (including Health IT Plan)	STC 18(a)
150 calendar days after Implementation Plan Completeness	Monitoring Protocol	STC 19
60 calendar days after receipt of CMS comments	Revised Monitoring Protocol	STC 19
180 calendar days after approval date	Draft Evaluation Design	STC 43
60 days after receipt of CMS comments	Revised Draft Evaluation Design	STC 45
No later than 60 calendar days after July 1, 2023	SUD Mid-Point Assessment	STC 36
June 30, 2024, or with renewal application	Draft Interim Evaluation Report	STC 47(c)
60 calendar days after receipt of CMS comments	Final Interim Evaluation Report	STC 47(d)
Within 18 months after June 30, 2025	Draft Summative Evaluation Report	STC 48
60 calendar days after receipt of CMS comments	Final Summative Evaluation Report	STC 48(b)
Monthly Deliverables	Monitoring Calls	STC 39
Quarterly monitoring reports due 60 calendar days after end of each quarter, except 4 th quarter.	Quarterly Progress Reports, including implementation updates	STC 35
	Quarterly Expenditure Reports	STC 35(c)
Annual Deliverables - Due 90 calendar days after end of each 4 th quarter	Annual Reports	STC 35

ATTACHMENT A

Developing the Evaluation Design

Introduction

For states that are testing new approaches and flexibilities in their Medicaid programs through section 1115 demonstrations, evaluations are crucial to understand and disseminate what is or is not working and why. The evaluations of new initiatives seek to produce new knowledge and direction for programs and inform both Congress and CMS about Medicaid policy for the future. While a narrative about what happened during a demonstration provides important information, the principal focus of the evaluation of a section 1115 demonstration should be obtaining and analyzing data on the process (e.g., whether the demonstration is being implemented as intended), outcomes (e.g., whether the demonstration is having the intended effects on the target population), and impacts of the demonstration (e.g., whether the outcomes observed in the targeted population differ from outcomes in similar populations not affected by the demonstration). Both state and federal governments could benefit from improved quantitative and qualitative evidence to inform policy decisions.

Expectations for Evaluation Designs

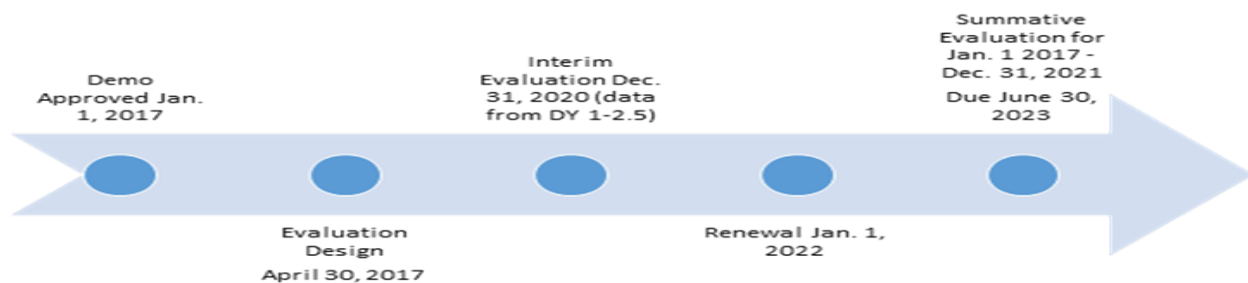
All states with Medicaid section 1115 demonstrations are required to conduct an evaluation, and the Evaluation Design is the roadmap for conducting the evaluation. The roadmap begins with the stated goals for the demonstration followed by the measurable evaluation questions and quantifiable hypotheses, all to support a determination of the extent to which the demonstration has achieved its goals.

The format for the Evaluation Design is as follows:

General Background Information;
Evaluation Questions and Hypotheses;
Methodology;
Methodological Limitations;
Attachments.

Submission Timelines

There is a specified timeline for the state's submission of Evaluation Design and Reports. (The graphic below depicts an example of this timeline). In addition, the state should be aware that section 1115 evaluation documents are public records. The state is required to publish the Evaluation Design to the state's website within thirty (30) days of CMS approval, as per 42 CFR 431.424(e). CMS will also publish a copy to the Medicaid.gov website.



Required Core Components of All Evaluation Designs

The Evaluation Design sets the stage for the Interim and Summative Evaluation Reports. It is important that the Evaluation Design explain the goals and objectives of the demonstration, the hypotheses related to the demonstration, and the methodology (and limitations) for the evaluation. A copy of the state’s Driver Diagram (described in more detail in paragraph B2 below) should be included with an explanation of the depicted information.

A. General Background Information – In this section, the state should include basic information about the demonstration, such as:

- 1) The issue/s that the state is trying to address with its section 1115 demonstration and/or expenditure authorities, the potential magnitude of the issue/s, and why the state selected this course of action to address the issue/s (e.g., a narrative on why the state submitted an 1115 demonstration proposal).
- 2) The name of the demonstration, approval date of the demonstration, and period of time covered by the evaluation;
- 3) A brief description of the demonstration and history of the implementation, and whether the draft Evaluation Design applies to an amendment, extension, renewal, or expansion of, the demonstration;
- 4) For renewals, amendments, and major operational changes: A description of any changes to the demonstration during the approval period; the primary reason or reasons for the change; and how the Evaluation Design was altered or augmented to address these changes.
- 5) Describe the population groups impacted by the demonstration.

B. Evaluation Questions and Hypotheses – In this section, the state should:

- 1) Describe how the state’s demonstration goals are translated into quantifiable targets for improvement, so that the performance of the demonstration in achieving these targets could be measured.

- 2) Include a Driver Diagram to visually aid readers in understanding the rationale behind the cause and effect of the variants behind the demonstration features and intended outcomes. A driver diagram is a particularly effective modeling tool when working to improve health and health care through specific interventions. The diagram includes information about the goal of the demonstration, and the features of the demonstration. A driver diagram depicts the relationship between the aim, the primary drivers that contribute directly to achieving the aim, and the secondary drivers that are necessary to achieve the primary drivers for the demonstration. For an example and more information on driver diagrams: <https://innovation.cms.gov/files/x/hciatwoaimsdrvrs.pdf>
- 3) Identify the state’s hypotheses about the outcomes of the demonstration:
- 4) Discuss how the evaluation questions align with the hypotheses and the goals of the demonstration;
- 5) Address how the research questions / hypotheses of this demonstration promote the objectives of Titles XIX and/or XXI.

C. Methodology – In this section, the state is to describe in detail the proposed research methodology.

The focus is on showing that the evaluation meets the prevailing standards of scientific and academic rigor, and the results are statistically valid and reliable, and that where appropriate it builds upon other published research (use references).

This section provides the evidence that the demonstration evaluation will use the best available data; reports on, controls for, and makes appropriate adjustments for the limitations of the data and their effects on results; and discusses the generalizability of results. This section should provide enough transparency to explain what will be measured and how. Specifically, this section establishes:

- 1) *Evaluation Design* – Provide information on how the evaluation will be designed. For example, will the evaluation utilize a pre/post comparison? A post-only assessment? Will a comparison group be included?
- 2) *Target and Comparison Populations* – Describe the characteristics of the target and comparison populations, to include the inclusion and exclusion criteria. Include information about the level of analysis (beneficiary, provider, or program level), and if populations will be stratified into subgroups. Additionally, discuss the sampling methodology for the populations, as well as support that a statistically reliable sample size is available.
- 3) *Evaluation Period* – Describe the time periods for which data will be included.

- 4) *Evaluation Measures* – List all measures that will be calculated to evaluate the demonstration. Include the measure stewards (i.e., the organization(s) responsible for the evaluation data elements/sets by “owning”, defining, validating; securing; and submitting for endorsement, etc.) Include numerator and denominator information. Additional items to ensure:
- a. The measures contain assessments of both process and outcomes to evaluate the effects of the demonstration during the period of approval.
 - b. Qualitative analysis methods may be used, and must be described in detail.
 - c. Benchmarking and comparisons to national and state standards, should be used, where appropriate.
 - d. Proposed health measures could include CMS’s Core Set of Health Care Quality Measures for Children in Medicaid and CHIP, Consumer Assessment of Health Care Providers and Systems (CAHPS), the Initial Core Set of Health Care Quality Measures for Medicaid-Eligible Adults and/or measures endorsed by National Quality Forum (NQF).
 - e. Proposed performance metrics can be selected from nationally recognized metrics, for example from sets developed by the Center for Medicare and Medicaid Innovation or for meaningful use under Health Information Technology (HIT).
 - f. Among considerations in selecting the metrics shall be opportunities identified by the state for improving quality of care and health outcomes, and controlling cost of care.
- 5) *Data Sources* – Explain where the data will be obtained, and efforts to validate and clean the data. Discuss the quality and limitations of the data sources.

If primary data (data collected specifically for the evaluation) – The methods by which the data will be collected, the source of the proposed question/responses, the frequency and timing of data collection, and the method of data collection. (Copies of any proposed surveys must be reviewed with CMS for approval before implementation).

- 6) *Analytic Methods* – This section includes the details of the selected quantitative and/or qualitative measures to adequately assess the effectiveness of the demonstration. This section should:
- a. Identify the specific statistical testing which will be undertaken for each measure (e.g., t-tests, chi-square, odds ratio, ANOVA, regression). Table A is an example of how the state might want to articulate the analytic methods for each research question and measure.

- b. Explain how the state will isolate the effects of the demonstration (from other initiatives occurring in the state at the same time) through the use of comparison groups.
 - c. A discussion of how propensity score matching and difference in differences design may be used to adjust for differences in comparison populations over time (if applicable).
 - d. The application of sensitivity analyses, as appropriate, should be considered.
- 7) *Other Additions* – The state may provide any other information pertinent to the Evaluation Design of the demonstration.

Table A. Example Design Table for the Evaluation of the Demonstration

Research Question	Outcome measures used to address the research question	Sample or population subgroups to be compared	Data Sources	Analytic Methods
Hypothesis 1				
Research question 1a	-Measure 1 -Measure 2 -Measure 3	-Sample e.g. All attributed Medicaid beneficiaries -Beneficiaries with diabetes diagnosis	-Medicaid fee-for-service and encounter claims records	-Interrupted time series
Research question 1b	-Measure 1 -Measure 2 -Measure 3 -Measure 4	-sample, e.g., PPS patients who meet survey selection requirements (used services within the last 6 months)	-Patient survey	Descriptive statistics
Hypothesis 2				
Research question 2a	-Measure 1 -Measure 2	-Sample, e.g., PPS administrators	-Key informants	Qualitative analysis of interview material

D. Methodological Limitations – This section provides detailed information on the limitations of the evaluation. This could include the design, the data sources or collection process, or analytic methods. The state should also identify any efforts to minimize the limitations. Additionally, this section should include any information about features of the demonstration that effectively present methodological constraints that the state would like CMS to take into consideration in its review. For example:

- 1) When the state demonstration is:
 - a. Long-standing, non-complex, unchanged, or
 - b. Has previously been rigorously evaluated and found to be successful, or
 - c. Could now be considered standard Medicaid policy (CMS published regulations or guidance)
- 2) When the demonstration is also considered successful without issues or concerns that

would require more regular reporting, such as:

- a. Operating smoothly without administrative changes; and
- b. No or minimal appeals and grievances; and
- c. No state issues with CMS-64 reporting or budget neutrality; and
- d. No Corrective Action Plans (CAP) for the demonstration.

E. Attachments

- 1) **Independent Evaluator.** This includes a discussion of the state’s process for obtaining an independent entity to conduct the evaluation, including a description of the qualifications that the selected entity must possess, and how the state will assure no conflict of interest. Explain how the state will assure that the Independent Evaluator will conduct a fair and impartial evaluation, prepare an objective Evaluation Report, and that there would be no conflict of interest. The evaluation design should include “No Conflict of Interest” signed by the independent evaluator.
- 2) **Evaluation Budget.** A budget for implementing the evaluation shall be provided with the draft Evaluation Design. It will include the total estimated cost, as well as a breakdown of estimated staff, administrative, and other costs for all aspects of the evaluation. Examples include, but are not limited to: the development of all survey and measurement instruments; quantitative and qualitative data collection; data cleaning and analyses; and reports generation. A justification of the costs may be required by CMS if the estimates provided do not appear to sufficiently cover the costs of the draft Evaluation Design or if CMS finds that the draft Evaluation Design is not sufficiently developed.
- 3) **Timeline and Major Milestones.** Describe the timeline for conducting the various evaluation activities, including dates for evaluation-related milestones, including those related to procurement of an outside contractor, if applicable, and deliverables. The Final Evaluation Design shall incorporate an Interim and Summative Evaluation. Pursuant to 42 CFR 431.424(c)(v), this timeline should also include the date by which the Final Summative Evaluation report is due.

ATTACHMENT B

Preparing the Interim and Summative Evaluation Reports

Introduction

For states that are testing new approaches and flexibilities in their Medicaid programs through section 1115 demonstrations, evaluations are crucial to understand and disseminate what is or is not working and why. The evaluations of new initiatives seek to produce new knowledge and direction for programs and inform Medicaid policy for the future. While a narrative about what happened during a demonstration provide important information, the principal focus of the evaluation of a section 1115 demonstration should be obtaining and analyzing data on the process (e.g., whether the demonstration is being implemented as intended), outcomes (e.g., whether the demonstration is having the intended effects on the target population), and impacts of the demonstration (e.g., whether the outcomes observed in the targeted population differ from outcomes in similar populations not affected by the demonstration). Both state and federal governments could benefit from improved quantitative and qualitative evidence to inform policy decisions.

Expectations for Evaluation Reports

Medicaid section 1115 demonstrations are required to conduct an evaluation that is valid (the extent to which the evaluation measures what it is intended to measure), and reliable (the extent to which the evaluation could produce the same results when used repeatedly). To this end, the already approved Evaluation Design is a map that begins with the demonstration goals, then transitions to the evaluation questions, and to the specific hypotheses, which will be used to investigate whether the demonstration has achieved its goals. States should have a well-structured analysis plan for their evaluation. As these valid analyses multiply (by a single state or by multiple states with similar demonstrations) and the data sources improve, the reliability of evaluation findings will be able to shape Medicaid policy in order to improve the health and welfare of Medicaid beneficiaries for decades to come. When submitting an application for renewal, the interim evaluation report should be posted on the state's website with the application for public comment. Additionally, the interim evaluation report must be included in its entirety with the application submitted to CMS.

Intent of this Guidance

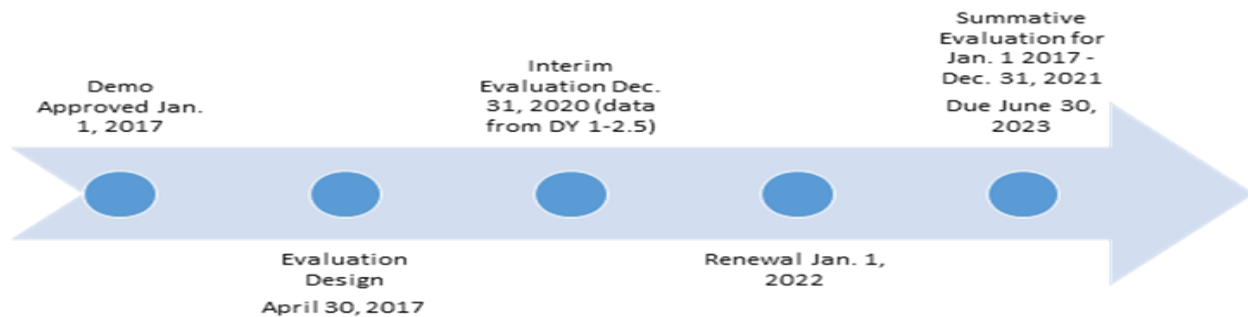
The Social Security Act (the Act) requires an evaluation of every section 1115 demonstration. In order to fulfill this requirement, the state's submission must provide a comprehensive written presentation of all key components of the demonstration, and include all required elements specified in the approved Evaluation Design. This Guidance is intended to assist states with organizing the required information in a standardized format and understanding the criteria that CMS will use in reviewing the submitted Interim and Summative Evaluation Reports.

The format for the Interim and Summative Evaluation reports is as follows:

- A. Executive Summary;
- B. General Background Information;
- C. Evaluation Questions and Hypotheses;
- D. Methodology;
- E. Methodological Limitations;
- F. Results;
- G. Conclusions;
- H. Interpretations, and Policy Implications and Interactions with Other State Initiatives;
- I. Lessons Learned and Recommendations; and
- J. Attachment(s).

Submission Timelines

There is a specified timeline for the state’s submission of Evaluation Designs and Evaluation Reports. These dates are specified in the demonstration Special Terms and Conditions (STCs). (The graphic below depicts an example of this timeline). In addition, the state should be aware that section 1115 evaluation documents are public records. In order to assure the dissemination of the evaluation findings, lessons learned, and recommendations, the state is required to publish to the state’s website the evaluation design within thirty (30) days of CMS approval, and publish reports within thirty (30) days of submission to CMS , pursuant to 42 CFR 431.424. CMS will also publish a copy to Medicaid.gov.



Required Core Components of Interim and Summative Evaluation Reports

The section 1115 Evaluation Report presents the research about the section 1115 Demonstration. It is important that the report incorporate a discussion about the structure of the Evaluation Design to explain the goals and objectives of the demonstration, the hypotheses related to the demonstration, and the methodology for the evaluation. A copy of the state's Driver Diagram (described in the Evaluation Design guidance) must be included with an explanation of the depicted information. The Evaluation Report should present the relevant data and an interpretation of the findings; assess the outcomes (what worked and what did not work); explain the limitations of the design, data, and analyses; offer recommendations regarding what (in hindsight) the state would further advance, or do differently, and why; and discuss the implications on future Medicaid policy. Therefore, the state's submission must include:

- A. Executive Summary** – A summary of the demonstration, the principal results, interpretations, and recommendations of the evaluation.
- B. General Background Information about the Demonstration** – In this section, the state should include basic information about the demonstration, such as:
 - 1) The issues that the state is trying to address with its section 1115 demonstration and/or expenditure authorities, how the state became aware of the issue, the potential magnitude of the issue, and why the state selected this course of action to address the issues.
 - 2) The name of the demonstration, approval date of the demonstration, and period of time covered by the evaluation;
 - 3) A brief description of the demonstration and history of the implementation, and if the evaluation is for an amendment, extension, renewal, or expansion of, the demonstration;
 - 4) For renewals, amendments, and major operational changes: A description of any changes to the demonstration during the approval period; whether the motivation for change was due to political, economic, and fiscal factors at the state and/or federal level; whether the programmatic changes were implemented to improve beneficiary health, provider/health plan performance, or administrative efficiency; and how the Evaluation Design was altered or augmented to address these changes.
 - 5) Describe the population groups impacted by the demonstration.
- C. Evaluation Questions and Hypotheses** – In this section, the state should:
 - 1) Describe how the state's demonstration goals were translated into quantifiable targets for improvement, so that the performance of the demonstration in achieving these targets could be measured. The inclusion of a Driver Diagram in the Evaluation Report is highly encouraged, as the visual can aid readers in understanding the rationale behind the demonstration features and intended outcomes.

- 2) Identify the state’s hypotheses about the outcomes of the demonstration;
 - a. Discuss how the goals of the demonstration align with the evaluation questions and hypotheses;
 - b. Explain how this Evaluation Report builds upon and expands earlier demonstration evaluation findings (if applicable); and
 - c. Address how the research questions / hypotheses of this demonstration promote the objectives of Titles XIX and XXI.

D. Methodology – In this section, the state is to provide an overview of the research that was conducted to evaluate the section 1115 demonstration consistent with the approved Evaluation Design.

The evaluation design should also be included as an attachment to the report. The focus is on showing that the evaluation builds upon other published research (use references), and meets the prevailing standards of scientific and academic rigor, and the results are statistically valid and reliable.

An interim report should provide any available data to date, including both quantitative and qualitative assessments. The Evaluation Design should assure there is appropriate data development and collection in a timely manner to support developing an interim evaluation.

This section provides the evidence that the demonstration evaluation used the best available data and describes why potential alternative data sources were not used; reported on, controlled for, and made appropriate adjustments for the limitations of the data and their effects on results; and discusses the generalizability of results. This section should provide enough transparency to explain what was measured and how. Specifically, this section establishes that the approved Evaluation Design was followed by describing:

1. *Evaluation Design* – Will the evaluation be an assessment of: pre/post, post-only, with or without comparison groups, etc.?
2. *Target and Comparison Populations* – Describe the target and comparison populations; include inclusion and exclusion criteria.
3. *Evaluation Period* – Describe the time periods for which data will be collected
4. *Evaluation Measures* – What measures are used to evaluate the demonstration, and who are the measure stewards?
5. *Data Sources* – Explain where the data will be obtained, and efforts to validate and clean the data.
6. *Analytic methods* – Identify specific statistical testing which will be undertaken for each measure (t-tests, chi-square, odds ratio, ANOVA, regression, etc.).
7. *Other Additions* – The state may provide any other information pertinent to the evaluation of the demonstration.

A. Methodological Limitations - This section provides sufficient information for discerning the strengths and weaknesses of the study design, data sources/collection, and analyses.

B. Results – In this section, the state presents and uses the quantitative and qualitative data to show to whether and to what degree the evaluation questions and hypotheses of the demonstration were achieved. The findings should visually depict the demonstration results (tables, charts, graphs). This section should include information on the statistical tests conducted.

C. Conclusions – In this section, the state will present the conclusions about the evaluation results.

- 1) In general, did the results show that the demonstration was/was not effective in achieving the goals and objectives established at the beginning of the demonstration?
- 2) Based on the findings, discuss the outcomes and impacts of the demonstration and identify the opportunities for improvements. Specifically:
 - a. If the state did not fully achieve its intended goals, why not? What could be done in the future that would better enable such an effort to more fully achieve those purposes, aims, objectives, and goals?

D. Interpretations, Policy Implications and Interactions with Other State Initiatives – In this section, the state will discuss the section 1115 demonstration within an overall Medicaid context and long range planning. This should include interrelations of the demonstration with other aspects of the state’s Medicaid program, interactions with other Medicaid demonstrations, and other federal awards affecting service delivery, health outcomes and the cost of care under Medicaid. This section provides the state with an opportunity to provide interpretation of the data using evaluative reasoning to make judgments about the demonstration. This section should also include a discussion of the implications of the findings at both the state and national levels.

E. Lessons Learned and Recommendations – This section of the Evaluation Report involves the transfer of knowledge. Specifically, the “opportunities” for future or revised demonstrations to inform Medicaid policymakers, advocates, and stakeholders is just as significant as identifying current successful strategies. Based on the evaluation results:

1. What lessons were learned as a result of the demonstration?
2. What would you recommend to other states which may be interested in implementing a similar approach?

F. Attachment - Evaluation Design: Provide the CMS-approved Evaluation Design

ATTACHMENT C

SMI/SED Implementation Plan and Financing Plan

Overview: The implementation plan documents the state’s approach to implementing SMI/SED demonstrations. It also helps establish what information the state will report in its quarterly and annual monitoring reports. The implementation plan does not usurp or replace standard CMS approval processes, such as advance planning documents, verification plans, or state plan amendments.

This template only covers SMI/SED demonstrations. The template has three sections. Section 1 is the uniform title page. Section 2 contains implementation questions that states should answer. The questions are organized around six SMI/SED reporting topics:

1. Milestone 1: Ensuring Quality of Care in Psychiatric Hospitals and Residential Settings
2. Milestone 2: Improving Care Coordination and Transitioning to Community-Based Care
3. Milestone 3: Increasing Access to Continuum of Care, Including Crisis Stabilization Services
4. Milestone 4: Earlier Identification and Engagement in Treatment, Including Through Increased Integration
5. Financing Plan
6. Health IT Plan

State may submit additional supporting documents in Section 3.

Implementation Plan Instructions: This implementation plan should contain information detailing state strategies for meeting the specific expectations for each of the milestones included in the State Medicaid Director Letter (SMDL) on “Opportunities to Design Innovative Service Delivery Systems for Adults with [SMI] or Children with [SED]” over the course of the demonstration. Specifically, this implementation plan should:

1. Include summaries of how the state already meets any expectation/specific activities related to each milestone and any actions needed to be completed by the state to meet all of the expectations for each milestone, including the persons or entities responsible for completing these actions; and
2. Describe the timelines and activities the state will undertake to achieve the milestones.

The tables below are intended to help states organize the information needed to demonstrate they are addressing the milestones described in the SMDL. States are encouraged to consider the evidence-based models of care and best practice activities described in the first part of the SMDL in developing their demonstrations.

The state may not claim FFP for services provided to Medicaid beneficiaries residing in IMDs, including residential treatment facilities, until CMS has approved a state’s implementation plan.

State Point of Contact:

Name and Title: Traylor Rains, Deputy State Medicaid Director

Telephone Number: (405) 522-9564

Email Address: Traylor.Rains@okhca.org

Name and Title: Sandra Puebla, Senior Director of Federal & State Authorities

Telephone Number: (405) 522-7270

Email Address: Sandra.Puebla@okhca.org

1. Title page for the state’s SMI/SED demonstration or SMI/SED components of the broader demonstration

State	<i>Oklahoma</i>
Demonstration name	<i>Section 1115 Institutions for Mental Diseases Waiver for Serious Mental Illness/Substance Use Disorder</i>
Approval date	<i>12/15/2020</i>
Approval period	<i>12/15/2020 through 12/31/2025</i>
Implementation date	<i>12/15/2020</i>

Prompts	Summary
SMI/SED. Topic 1. Milestone 1: Ensuring Quality of Care in Psychiatric Hospitals and Residential Settings	
<p><i>To ensure that beneficiaries receive high quality care in hospitals and residential settings, it is important to establish and maintain appropriate standards for these treatment settings through licensure and accreditation, monitoring and oversight processes, and program integrity requirements and processes. Individuals with SMI often have co-morbid physical health conditions and substance use disorders (SUDs) and should be screened and receive treatment for commonly co-occurring conditions particularly while residing in a treatment setting. Commonly co-occurring conditions can be very serious, including hypertension, diabetes, and substance use disorders, and can also interfere with effective treatment for their mental health condition. They should also be screened for suicidal risk.</i></p> <p><i>To meet this milestone, state Medicaid programs should take the following actions to ensure good quality of care in psychiatric hospitals and residential treatment settings.</i></p>	
Ensuring Quality of Care in Psychiatric Hospitals and Residential Treatment Settings	
<p>1.a Assurance that participating hospitals and residential settings are licensed or otherwise authorized by the state primarily to provide mental health treatment; and that residential treatment facilities are accredited by a nationally recognized accreditation entity prior to participating in Medicaid</p>	<p><i>Current Status:</i> The Medical Facilities Division of the Oklahoma State Department of Health licenses and certifies health care facilities in accordance with State and Federal laws. This division has responsibility for inspection, licensure and Medicare re-certification of all non-long-term care medical facilities in Oklahoma.</p> <p>Oklahoma Administrative Code 317:30-5-95 requires: Psychiatric hospitals and psychiatric units of general hospitals. To be eligible for payment under this Part, inpatient psychiatric programs must be provided to eligible SoonerCare members in a hospital that:</p> <ol style="list-style-type: none"> (1) is a psychiatric hospital that: <ol style="list-style-type: none"> (A) successfully underwent a State survey to determine whether the hospital meets the requirements for participation in Medicare as a psychiatric hospital per 42 C.F.R. § 482.60; or (B) is accredited by a national organization whose psychiatric accrediting program has been approved by CMS; or (2) is a general hospital with a psychiatric unit that: <ol style="list-style-type: none"> (A) successfully underwent a State survey to determine whether the hospital meets the requirements for participation in Medicare as a hospital as specified in 42 C.F.R. Part 482; or (B) is accredited by a national accrediting organization whose accrediting program has been approved by CMS; and (3) meets all applicable federal regulations, including, but not limited to: <ol style="list-style-type: none"> (A) Medicare Conditions of Participation for Hospitals (42 C.F.R. Part 482), including special provisions applying to psychiatric hospitals (42 C.F.R. §§ 482.60-.62); (B) Medicaid for Individuals Age 65 or over in Institutions for Mental Diseases (42 C.F.R. Part 441, Subpart C); (C) Inpatient Psychiatric Services for Individuals under Age 21 in Psychiatric Facilities or Programs (42 C.F.R. Part 441, Subpart D); and/or (D) Utilization Control [42 C.F.R. Part 456, Subpart C (Utilization Control: Hospitals) or Subpart D (Utilization Control: Mental Hospitals)]; and (4) is contracted with the OHCA

Prompts	Summary
	<p>The provider is required to maintain all programs and services according to applicable Code of Federal Regulations (CFR) requirements, TJC/AOA standards for Behavioral Health care, State Department of Health's Hospital Standards for Psychiatric Care, and State of Oklahoma Department of Human Services Licensing Standards for Residential Treatment Facilities.</p> <p>Facility-based crisis units must have certification from ODMHSAS as a Community-Based Structured Crisis Center (CBSCC) and be contracted with ODMHSAS. Provider qualifications are established in OAC 450:23 and providers are limited to CMHCs, CCARCs (Certified Comprehensive Addiction Recovery Centers), or state operated entities by state law. All CBSCCs currently in the state are also CMHCs. CBSCCs must provide 24/7 crisis triage services, 24/7 physician supervision, and 24/7 emergency examination, evaluation, and observation.</p> <p><i>Future Status:</i> Continuation of current requirements. QRTPs will be required to have licensure from the Oklahoma Department of Human Services in accordance with current state requirements for child care facilities. QRTPs will also be required to obtain national accreditation with either CAO, CARF, or JCAHO and to meet CMS standards to become a Medicaid enrolled provider, including compliance with 42 CFR Part 483 Subpart G and QRTP staffing requirements. In addition, participating QRTPs will meet all relevant federal requirements, including requirements regarding needs assessments and assurance of appropriateness of placement in those settings as well as any guidance or regulations that may be issued by the Administration for Children and Families for these settings. In addition, the State will ensure all participating IMD crisis units are nationally accredited by CARF, the Joint Commission, or the Council on Accreditation through the Medicaid enrollment process to ensure compliance with this milestone.</p> <p><i>Summary of Actions Needed:</i> Implement national accreditation enrollment requirement for IMD crisis units by 01.01.2022. Develop administrative rules, contract provisions, and enrollment processes for QRTPs by 12.01.2021. Develop compliance protocols and hire necessary compliance staff by 12.01.2021. Provide outreach/education to potential QRTP providers regarding qualifications by 10.01.2021. Provide technical assistance to current providers transitioning to QRTPs starting 10.01.21.</p>

Prompts	Summary
<p>1.b Oversight process (including unannounced visits) to ensure participating hospital and residential settings meet state’s licensing or certification and accreditation requirements</p>	<p><i>Current Status:</i> The OHCA conducts onsite service quality reviews (SQR) of facilities providing behavioral health services to SoonerCare members. The audited facilities include acute free-standing psychiatric facilities, psychiatric units within acute general care hospitals, psychiatric residential treatment facilities (PRTFs), community-based treatment (CBT) units and therapeutic foster care (TFC) agencies.</p> <p>The reviews are conducted pursuant to federal regulations requiring the periodic inspection of institutions for mental diseases and Oklahoma regulations requiring these facilities to “maintain all programs and services according to applicable Code of Federal Regulations (CFR) requirements, TJC/AOA standards for Behavioral Health care, State Department of Health’s Hospital Standards for Psychiatric Care, and State of Oklahoma Department of Human Services Licensing Standards for Residential Treatment Facilities.”</p> <p>The overarching purpose of these periodic reviews is to verify that facilities are safe for residents, as verified through physical inspections, and that they provide medically necessary care, as documented through patient records. Safety issues and other areas of non-compliance are subject to corrective action plans or, in extreme cases, termination; services not shown to be medically necessary are subject to recoupment.</p> <p>ODMHSAS conducts regular certification site visits for CBSCCs to ensure compliance with all requirements in OAC 450:23 and correction of any previously identified deficiencies. Failure to meet requirements results in suspension or revocation of certification. Unannounced site visits are conducted when necessary to investigate complaints and when initial certification/recertification results in compliance below a minimal threshold.</p> <p><i>Future Status:</i> Continuation of current oversight activities for hospitals and CBSCCs. Development of oversight procedures and rules for QRTPs. Specifically, OHCA plans to implement audit and oversight procedures in collaboration with Oklahoma Department of Human Services (DHS) similar to those currently in place for therapeutic foster care, including unannounced visits and SQRs. DHS will require evidence-based needs assessments, primarily the CANS, to ensure appropriate placement. OHCA will implement rules and STCs to ensure all QRTPs meet federal standards and DHS will provide ongoing oversight to ensure these standards are maintained. DHS will ensure QRTPs implement trauma-informed treatment models, have necessary nursing staff, facilitate family participation in the child’s treatment, and provide discharge planning and family based aftercare support for at least 6 months post discharge in alignment with federal guidelines.</p> <p><i>Summary of Actions Needed:</i> Develop administrative rules, contract provisions, and enrollment processes for QRTPs by 12.01.2021. Develop compliance protocols for ongoing monitoring of provider qualifications, staffing, treatment planning and discharge planning by 02.01.2022.</p>
<p>1.c Utilization review process to ensure beneficiaries have access</p>	<p><i>Current Status:</i> Medical necessity criteria and prior authorization requirements for acute psychiatric admissions are stated in Oklahoma Administrative Code 317:30-5-95.1. Facility-based crisis services are currently authorized by</p>

Prompts	Summary
to the appropriate levels and types of care and to provide oversight on lengths of stay	<p>ODMHSAS through an instant prior authorization process. OHCA currently provides utilization review for enrolled adults aged 21-64 receiving inpatient services. ODMHSAS requires providers to complete a Client Assessment Record (CAR) for each member to assist in identifying the level of care need. This standardized tool captures information across multiple domains including cognition, mood, substance use, and self-care.</p> <p><i>Future Status:</i> Prior authorization will be required for all newly eligible inpatient stays for adults and residential stays for adolescents authorized within the waiver through a process developed by OHCA in partnership with ODMHSAS (for adult inpatient) and DHS (for QRTPs). OHCA will incorporate QRTPs into current prior authorization processes/review and develop QRTP-specific medical necessity criteria and prior authorization requirements. Within 60 days of the start of each placement in a QRTP, a family or juvenile court of jurisdiction must consider the CANS assessment, determination and documentation made by the qualified individual in approving the placement.</p> <p><i>Summary of Actions Needed:</i> OHCA will update Administrative Code 317:30-5-41.1 and 317:30-5-95 to reflect reimbursement for acute psychiatric services in IMDs under this demonstration. OHCA will create a reporting structure for purposes of monitoring the ALOS in IMDs. Actions will be completed by October 1, 2021. In partnership with DHS, OHCA will develop QRTP prior authorization processes/requirements, medical necessity criteria, and administrative rules by 12.01.2021.</p>
1.d Compliance with program integrity requirements and state compliance assurance process	<p><i>Current Status:</i> In order to receive reimbursement under Medicaid, participating psychiatric hospitals and facility-based crisis units must be enrolled to participate in Oklahoma Medicaid. Provider enrollment processes fully comply with 42 CFR Part 455 Subparts B&E. The OHCA Program Integrity (PI) division spearheads an agency wide effort to identify, recover and prevent inappropriate provider billings and payments. This effort includes the full continuum of behavioral health services. OHCA ensures proper payment to providers and recovers misspent funds leveraging staff in three PI units to perform or assist in provider record review audits. These PI units are Clinical Provider Audits, Behavioral Health Audits, and Data Analytics and Payment Accuracy.</p> <p><i>Future Status:</i> Continued operation of current requirements for psychiatric hospital and crisis units. QRTPs will be required to enroll as a Medicaid provider and comply with DHS licensing provisions set forth in OAC 340:110-3, as well as all national standards for QRTPs. QRTPs will also be included providers under oversight of the OHCA PI division as well as DHS Program Assessment.</p> <p><i>Summary of Actions Needed:</i> Develop and/or integrate procedures and promulgate necessary administrative rules for compliance monitoring of QRTPs by 12.01.2021.</p>
1.e State requirement that psychiatric hospitals and residential settings screen beneficiaries for co-morbid physical health conditions, SUDs, and suicidal ideation, and	<p><i>Current Status:</i> OAC 317:30-5-95.4 requires an individual plan of care for adults aged twenty-one (21) to sixty-four (64) based on a thorough assessment immediately before or upon admission. This plan of care is reviewed every seven (7) days. The plan must incorporate information from required medical, psychiatric, and social evaluations that review physical health, substance use disorders, and suicide ideation. Discharge plans are required to include recommendations for follow-up and aftercare, to include referral to medication management, outpatient behavioral health counseling, and/or case management, to include the specific appointment information (time, date, and name, address, and telephone</p>

Prompts	Summary
<p>facilitate access to treatment for those conditions</p>	<p>number of provider and related community services); and a summary of the member's condition at discharge (317:30-5-95.10).</p> <p>OAC 450:23-3-3 requires emergency triage, screening for co-occurring disorders, and integrated mental health and SUD examination for facility based crisis stabilization providers.</p> <p><i>Future Status:</i> Continued operation of current requirements for hospitals. For QRTPs, DHS via a contracted qualified individual will assess any child placed in a QRTP within 30 days of the start of each placement in a QRTP utilizing the CANS, and in conjunction with the family of, and permanency team for, the child. This assessment will include screening for cormorbid physical conditions, SUD and suicide ideation, and will include concrete plans to address these conditions, including the place of service, the type of service, required goals, objectives, evaluative criteria, implementers, and time lines. .</p> <p><i>Summary of Actions Needed:</i> Develop and/or integrate procedures and compliance monitoring of discharge planning by 12.01.2021. Provide technical assistance and outreach to providers by 10.01.2021.</p>
<p>1.f Other state requirements/policies to ensure good quality of care in inpatient and residential treatment settings.</p>	<p><i>Current Status:</i> Quality of care issues are also identified through client satisfaction surveys. For example, Griffin Memorial Hospital and Tulsa Center for Behavioral Health use a mutual client satisfaction survey which is administered at discharge to everyone leaving the facility. Many of the items were taken from the Mental Health Statistics Improvement Program (MHSIP) Consumer Survey. Other inpatient facilities use similar surveys. CBSCCs have developed a survey for discharging clients as well.</p> <p><i>Future Status:</i> Continued administration of client satisfaction surveys. For QRTPs, a contract will be developed for the qualified individual completing the CANS assessment with similar contractual monitoring and review procedures as to the compliance and quality of assessment being completed.</p> <p>DHS through any authorized representatives will have the right at reasonable times, to inspect, investigate, or otherwise evaluate the services performed at QRTPs. Interventions may include a 1) Plan for Immediate Safety (PFIS) to immediately control any significant and clearly observable condition that is present and endangering or threatening to endanger a resident; 2) Corrective Action Plan (CAP) with steps, actions, or strategies taken to correct or address behaviors or conditions associated with an individual employee related to abuse, neglect, misconduct, or areas of concerns; or 3) Facility Action Step (FAS) to address actions or strategies needed to correct areas of concern identified within the broader agency's culture, services, or contract compliance.</p> <p><i>Summary of Actions Needed:</i> Develop and/or integrate procedures for monitoring and oversight of good quality of care in QRTPs by 12.1.2021. Develop contract by 01.01.2021 with award by 07.01.2021 for qualified individuals completing the CANS assessments.</p>

Prompts	Summary
SMI/SED. Topic 2. Milestone 2: Improving Care Coordination and Transitioning to Community-Based Care	
<i>Understanding the services needed to transition to and be successful in community-based mental health care requires partnerships between hospitals, residential providers, and community-based care providers. To meet this milestone, state Medicaid programs, must focus on improving care coordination and transitions to community-based care by taking the following actions.</i>	
Improving Care Coordination and Transitions to Community-based Care	
<p>2.a Actions to ensure psychiatric hospitals and residential settings carry out intensive pre-discharge planning, and include community-based providers in care transitions.</p>	<p><i>Current Status:</i> Oklahoma administrative code requires that each adult member aged twenty-one (21) to sixty-four (64) must have a discharge plan that includes a recapitulation of the member's hospitalization; recommendations for follow-up and aftercare, to include referral to medication management, outpatient behavioral health counseling, and/or case management, to include the specific appointment information (time, date, and name, address, and telephone number of provider and related community services); and a summary of the member's condition at discharge. All discharge and aftercare plans must be documented in the member's medical records. Individual plan of care for members under the age of twenty-one (21) must include specific discharge and after care plans that are appropriate to the member's needs and effective on the day of discharge. At the time of discharge, after care plans will include referral to medication management, outpatient behavioral health counseling, and case management, to include the specific appointment date(s), names, and addresses of service provider(s) and related community services to ensure continuity of care and reintegration for the member into his or her family, school, and community.</p> <p>State operated inpatient hospitals providing acute short term stabilization must provide a written discharge plan to address the basic needs of the consumer including but not limited to housing, income maintenance and social support as well as specific provisions for ongoing community based mental health or substance abuse treatment needs. When treatment for co-occurring substance abuse and mental health disorders is indicated, discharge planning includes arrangements to continue treatment for the co-occurring disorders. In addition, regular communication including meetings with all community mental health centers and alcohol or drug programs within the state-operated psychiatric inpatient unit service area pursuant to appropriately signed releases by the consumer to support the continuation of care on behalf of the consumer in post- inpatient settings.</p> <p>OAC 450:23-5-8 requires all CBSCCs to complete an aftercare plan upon discharge at the earliest possible point in the discharge process, as well as referral and linkage procedures to ensure transition to the least restrictive setting. OAC 450:23-3-8 also requires specific referrals and linkages for homeless individuals, including housing authorities, shelters, and food banks. Further, since all CBSCCs are also CMHCs, they provide direct access and linkage to outpatient and community-based providers.</p> <p><i>Future Status:</i> Continued operation of current requirements and implementation of QRTP requirements. Each QRTP resident's treatment plan will, at minimum, address plans for the provision of services on discharge planning and post-discharge goal and supports. QRTPs must engage the caretaker and coordinate with the CW Specialist. Within thirty</p>

Prompts	Summary
	<p>(30) calendar days after discharge, a written discharge summary will be provided to the CW specialist and added to the case record. The summary will include a synopsis of treatment and educational services, progress toward treatment goals, reason for discharge, and recommendations toward future treatment, educational and placement needs. QRTPs also must have documented evidence of a relationship with foster care and therapeutic foster care (TFC) agencies under DHS contract to develop transition and discharge options for residents meeting TFC criteria and continuing to need out-of-home placement. QRTPs will also provide discharge planning and family-based aftercare support with the involvement of community-based providers for at least 6 months post-discharge.</p> <p><i>Summary of Actions Needed:</i> Develop and/or integrate procedures and promulgate necessary administrative rules for QRTPs to provide discharge planning and family-based aftercare support by 12.01.2021.</p>
<p>2.b Actions to ensure psychiatric hospitals and residential settings assess beneficiaries' housing situations and coordinate with housing services providers when needed and available.</p>	<p><i>Current Status:</i> State Hospitals providing acute inpatient services are required under OAC 450:30-9-8 to provide continued treatment planning which begins with the consumer and, pursuant to releases signed by the consumer, the family and the local community mental health center as soon as the consumer is admitted to the state-operated psychiatric inpatient unit. Discharge planning must also include a written discharge plan to address the basic needs of the consumer including but not limited to housing, income maintenance and social support as well as specific provisions for ongoing community based mental health or substance abuse treatment needs. CMHCs who partner in the discharge planning are also required to provide services to individuals with housing insecurity, including linkage and contacts with local housing authorities to assist with accessing income benefit programs and housing programs, among other services (OAC 450:17-3-161).</p> <p>OAC 450:23-3-8 requires CBSCCs to make specific referrals and linkages for homeless individuals, including housing authorities, shelters, and food banks.</p> <p>See response in 2.a for information regarding QRTPs.</p> <p><i>Future Status:</i> Continue policy with monitoring by ongoing review of documentation of linkage activities and agreements; clinical records; PICIS reporting data; and CMHC policy and procedures. See response in 2.a for information regarding QRTPs.</p> <p><i>Summary of Actions Needed:</i> N/A –milestone requirements already met. See response in 2.a for information regarding QRTPs.</p>
<p>2.c State requirement to ensure psychiatric hospitals and residential settings contact beneficiaries and community-based providers through most effective means possible, e.g., email, text, or phone call within 72 hours post discharge</p>	<p><i>Current Status:</i> ODMHSAS administrative code 450:17-3-103 requires CMHC case management services for consumers admitted to higher levels of care including: (a) Case managers shall maintain contact with existing CMHC consumers, and establish contact with newly referred persons who are receiving services in inpatient psychiatric settings, Community Based Structured Crisis Centers, (CBSCC), or 24-hour settings providing substance use disorder treatment; and (b) Each CMHC shall assign at least one (1) staff member who is responsible for linkage between psychiatric inpatient units, CBSCCs, and/or the substance use disorder treatment facility and the CMHC.</p> <p>In addition, CMHCs are required to maintain regular visits or communication with the psychiatric inpatient unit,</p>

Prompts	Summary
	<p data-bbox="548 232 1957 423">CBSCC, and/or substance use disorder treatment facility to monitor progress of those consumers hospitalized and/or in facility-based substance use disorder treatment from the CMHC's service area. CMHCs must also provide knowledge and communication to other CMHC staff regarding psychiatric inpatient unit admission, CBSCC and/or substance use disorder treatment facility and discharge procedures. For admissions, case managers from the CMHC to which the consumer will be discharged must assist the consumer and psychiatric inpatient unit, CBSCC, and/or substance use disorder treatment facility with discharge planning for consumers returning to the community.</p> <p data-bbox="548 456 1957 748">Individuals discharging from an inpatient psychiatric unit setting, CBSCC, and/or substance use disorder treatment facility, who have not already been engaged, shall be offered case management and other supportive services by CMHCs. This must occur as soon as possible but shall be offered no later than one (1) week post-discharge. CMHCs, which are statewide, are also required to assign designated staff and provide ongoing visits and communication with inpatient psychiatric units, CBSCCs, and substance use disorder treatment facilities. CCBHCs must make and document reasonable attempts to contact all consumers who are discharged from these settings within 24 hours of discharge. The CCBHC is also required to collaborate with all parties involved including the discharging/admitting facility, primary care physician, and community providers to ensure a smooth discharge and transition into the community and prevent subsequent re-admission(s).</p> <p data-bbox="548 781 1957 943">Compliance is monitored by a review of the following: clinical records; staff interviews; information from ODMHSAS operated psychiatric inpatient units; CBSCC facilities, substance use disorder treatment facilities; meetings minutes (CMHC or state-operated psychiatric inpatient unit); and a review of a minimum of ten (10) clinical records of consumers who received services at an inpatient unit, CBSCC, and/or 24-hour setting providing substance use disorder treatment within the past twelve (12) months.</p> <p data-bbox="548 1008 1957 1138"><i>Future Status:</i> Continuation of existing requirements for CMHCs. . Statewide expansion of CCBHCs. The State is aiming for this to be achieved by Year 3 of the demonstration. Steps will include ongoing technical assistance to CMHCs, including continuation of regular meetings with these providers. QRTPs will be required to provide a follow up contact within 72 hours of discharge from the QRTP. See response in 2.a for other information regarding QRTPs.</p> <p data-bbox="548 1146 1957 1211"><i>Summary of Actions Needed:</i> N/A - Milestone criteria is met. Develop requirements and procedures for required post-discharge follow up by 10.01.2021. See response in 2.a for information regarding QRTPs.</p>
2.d Strategies to prevent or decrease lengths of stay in EDs among beneficiaries with SMI or SED prior to admission	<p data-bbox="548 1222 1957 1404"><i>Current Status:</i> Oklahoma implemented a Behavioral Health Home (BHH) program. Oklahoma's BHH service delivery model is designed to improve care coordination and service integration, with the goal to improve health outcomes and control future health care costs for individuals with serious mental illness (SMI) or serious emotional disturbance (SED). Care is delivered using an integrated team that comprehensively addresses physical, mental health and substance use disorder treatment needs to ensure access to appropriate services, improve health outcomes, reduce preventable hospitalizations and emergency room visits, promote the use of Health Information Technology (HIT), and</p>

Prompts	Summary
	<p>avoid unnecessary care. There are 21 Health Homes for adults with SMI and 20 Health Homes for children with SED within the provider network; all CMHCs are certified as Health Homes. These Health Homes are required to provide care coordination and care management to ensure integrated behavioral health and health care.</p> <p><i>Future Status:</i> Continued operation of current programming.</p> <p><i>Summary of Actions Needed:</i> N/A-milestone met</p>
<p>2.e Other State requirements/policies to improve care coordination and connections to community-based care</p>	<p><i>Current Status:</i> In addition to CMHCs, Oklahoma currently certifies Certified Community Behavioral Health Centers (CCBHC), with four CCBHCs serving a significant portion of the state and two additional CCBHCs in the process of being certified. CCBHCs must develop contracts or memoranda of understandings (MOUs) with regional hospital(s), Emergency Departments, Psychiatric Residential Treatment Facilities (PRTF), ambulatory and medical withdrawal management facilities or other system(s) to ensure a formalized structure for transitional care planning, to include communication of inpatient admissions and discharges of BHH participants. Transitional care will be provided by the CCBHC for consumers who have been hospitalized or placed in other non-community settings, such as psychiatric residential treatment facilities. The CCBHC will make and document reasonable attempts to contact all consumers who are discharged from these settings within 24 hours of discharge. The CCBHC is also required to collaborate with all parties involved including the discharging/admitting facility, primary care physician, and community providers to ensure a smooth discharge and transition into the community and prevent subsequent re-admission(s). Transitional care is not limited to institutional transitions but applies to all transitions that will occur throughout the development of the enrollee and includes transition from and to school-based services and pediatric services to adult services. The CCBHC must document transitional care provided in the clinical records.</p> <p>Oklahoma implemented a Behavioral Health Home (BHH) program. BHHs must develop contracts or memoranda of understandings (MOUs) with regional hospital(s), Psychiatric Residential Treatment Facilities (PRTF) or other system(s) to ensure a formalized structure for transitional care planning, to include communication of inpatient admissions and discharges of BHH participants. May 2017 outcomes measures for Health Homes indicate that follow up rates after hospitalization for Mental Illness within 7 days after discharge have gone from 33.8% in June 2016 to 84.2% in March 2017.</p> <p><i>Future Status:</i> Expansion of CCBHCs throughout the demonstration through support and certification of additional facilities.</p> <p><i>Summary of Actions Needed:</i> Expansion of CCBHCs statewide throughout the course of the demonstration. The State is aiming for this to be achieved by Year 3 of the demonstration. Steps will include ongoing technical assistance to CMHCs, including continuation of regular meetings with these providers.</p>
<p>SMI/SED. Topic 3. Milestone 3: Increasing Access to Continuum of Care, Including Crisis Stabilization Services</p>	
<p><i>Adults with SMI and children with SED need access to a continuum of care as these conditions are often episodic and the severity of symptoms can vary over time. Increased availability of crisis stabilization programs can help to divert Medicaid beneficiaries from unnecessary visits to EDs and admissions to inpatient facilities as well as criminal justice involvement. On-going treatment in outpatient settings can help address less acute symptoms and help</i></p>	

Prompts	Summary
	<p><i>beneficiaries with SMI or SED thrive in their communities. Strategies are also needed to help connect individuals who need inpatient or residential treatment with that level of care as soon as possible. To meet this milestone, state Medicaid programs should focus on improving access to a continuum of care by taking the following actions.</i></p>
<p>Access to Continuum of Care Including Crisis Stabilization</p>	
<p>3.a The state’s strategy to conduct annual assessments of the availability of mental health providers including psychiatrists, other practitioners, outpatient, community mental health centers, intensive outpatient/partial hospitalization, residential, inpatient, crisis stabilization services, and FQHCs offering mental health services across the state, updating the initial assessment of the availability of mental health services submitted with the state’s demonstration application. The content of annual assessments should be reported in the state’s annual demonstration monitoring reports. These reports should include which providers have waitlists and what are average wait times to get an appointment</p>	<p><i>Current Status:</i> Oklahoma provides a comprehensive statewide service array as described in the availability assessment.</p> <p><i>Future Status:</i> OHCA, in partnership with ODMHSAS, will annually monitor the provider network through completion of the CMS-designated Mental Health Availability Assessment. Where geographic shortage areas are identified, targeted outreach to non-Medicaid enrolled providers in those areas will be conducted. In addition, the state will add the capability to assess the number of providers accepting new patients with implementation of managed care (anticipated 10.01.2021).</p> <p><i>Summary of Actions Needed:</i> Annual completion of the CMS-designated Mental Health Availability Assessment and provider outreach, as applicable. Review of managed care RFP responses to ensure entities can provide data on providers accepting new patients, as required in the RFP, by 03.01.2021. Monitor to ensure this data is captured within overall data required to be submitted by managed care entities on an ongoing basis, beginning 04.01.2022.</p>
<p>a. 3.b Financing plan – See additional guidance in Attachment A</p>	<p><i>Current Status:</i> Please refer to Financing Plan below.</p> <p><i>Future Status:</i> Please refer to Financing Plan below.</p> <p><i>Summary of Actions Needed:</i> Please refer to Financing Plan below.</p>
<p>3.c Strategies to improve state tracking of availability of inpatient and crisis stabilization</p>	<p><i>Current Status:</i> ODMHSAS tracks, in real-time, state operated acute psychiatric and crisis stabilization bed availability.</p> <p><i>Future Status:</i> The current functionality will be expanded to track all Medicaid-contracted inpatient facilities.</p> <p><i>Summary of Actions Needed:</i> ODMHSAS, in partnership with OHCA, will implement these system changes by July</p>

Prompts	Summary
beds	2021.
3.d State requirement that providers use a widely recognized, publicly available patient assessment tool to determine appropriate level of care and length of stay	<p><i>Current Status:</i> ODMHSAS requires providers to complete a Client Assessment Record (CAR) for each member to assist in identifying the level of care need. This standardized tool captures information across multiple domains including cognition, mood, substance use, and self-care. DHS will require age-appropriate, evidence-based, validated, functional assessment to ensure appropriate placement.</p> <p><i>Future Status:</i> Continue required use of CAR including submission with inpatient PA requests. DHS, via a contracted qualified individual will assess any child placed in a QRTP within 30 days of the start of each placement in a QRTP utilizing the CANS, and in conjunction with the family of, and permanency team for, the child. This assessment will entail determining the appropriateness of a placement in a QRTP for the purpose of approving the case plan and the case system review procedures for the child; assessing the strengths and needs of a child and determining the appropriate level of care for the child in the least restrictive environment and be consistent with the short- and long-term goals for the child, as specified in the permanency plan for the child. This assessment may be conducted prior to the placement in the QRTP, but must be completed no later than the end of the 30-day period.</p> <p><i>Summary of Actions Needed:</i> N/A Milestone is met. Develop and/or integrate procedures and promulgate necessary administrative rules for compliance of the federal regulation of an assessment for placement in a QRTP by 12.01.2021.</p>
3.e Other state requirements/policies to improve access to a full continuum of care including crisis stabilization	<p><i>Current Status:</i> A tiered support system is currently in place to ensure every effort is made to use inpatient and residential beds only when clinically indicated and to support successful outcomes with outpatient services and community supports. ODMHSAS data show that 90% of urgent care clients are diverted from needing a crisis care bed; approximately 93% of individuals receiving crisis care do not move to a hospital bed; and approximately 95% of crisis care recipients are engaged with outpatient service follow-up within seven days of leaving crisis care.</p> <p>In the adult system, CMHCs provide emergency assessments to individuals within their communities, largely via telehealth in rural areas. During this process, Licensed Behavioral Health Professionals (LBHPs) have the opportunity to stabilize a potential mental health crisis. Seven CMHCs currently serve adults within their mobile crisis teams. There are 11 Programs of Assertive Community Treatment, all of whom respond to their clients 24/7 (some leveraging technology such as iPads) to de-escalate crisis situations and help individuals maintain independence within their own home, in their own community. ODMHSAS data shows that the average number of inpatient days for CMHC clients has gone from 29.9 in SFY 2015 to 18.7 in SFY 2019.</p> <p>There are nine crisis centers for adults located in the state. Currently the state has only one facility-based crisis center with 16 or more beds; however, the state requests authority under this demonstration to include eligibility for Medicaid reimbursement for such facilities that qualify as IMDs. Crisis centers serve as an important component of the continuum of care, often preventing need for inpatient admission and allowing for diversion of individuals in behavioral health crisis from emergency departments when clinically appropriate.</p> <p>The 13 CMHCs also participate in the Oklahoma Systems of Care (SOC) Initiative. Currently, Oklahoma has 80 local</p>

Prompts	Summary
	<p>SOC sites that cover 72 counties. The SOC sites work in equal partnership with local teams and community organizations to ensure that children with SED and their families have access to the full array of services they need and want. The SOC initiative includes mobile crisis response and coordinated community response for children across most of the state, as well as community-based assessment to ensure children are placed in appropriate settings and supported in the community whenever possible. Community Based Structured Crisis Centers for children, located in Oklahoma City and Tulsa, address the emergent needs of children and their families.</p> <p><i>Future Status:</i> Expanded access to facility-based crisis centers through increased beds within existing facilities as well as new facilities.</p> <p><i>Summary of Actions Needed:</i> Waiver approval and implementation.</p>
<p>SMI/SED. Topic_4. Milestone 4: Earlier Identification and Engagement in Treatment, Including Through Increased Integration</p>	
<p><i>Critical strategies for improving care for individuals with SMI or SED include earlier identification of serious mental health conditions and focused efforts to engage individuals with these conditions in treatment sooner. To meet this milestone, state Medicaid programs must focus on improving mental health care by taking the following actions.</i></p>	
<p>Earlier Identification and Engagement in Treatment</p>	
<p>b. 4.a Strategies for identifying and engaging beneficiaries with or at risk of SMI or SED in treatment sooner, e.g., with supported education and employment</p>	<p><i>Current Status:</i> OHCA reimburses for behavioral health services provided within a school setting, including screening, psychological evaluation and testing, psychotherapy, and therapeutic behavioral services. These school-based services are available statewide. In addition, the 13 CMHCs participate in the Oklahoma Systems of Care (SOC) Initiative. Currently, Oklahoma has 80 local SOC sites that cover 72 counties. The SOC sites work in equal partnership with local teams and community organizations to ensure that children with SED and their families have access to the full array of services they need and want. The SOC initiative includes mobile crisis response and coordinated community response for children across most of the state, as well as community-based assessment to ensure children are placed in appropriate settings and supported in the community whenever possible. Community Based Structured Crisis Centers for children, located in Oklahoma City and Tulsa, address the emergent needs of children and their families. In addition, there are 2 RAISE NAVIGATE programs to assist individuals who are experiencing First Episode of Psychosis (FEP), along with 1 early Serious Mental Illness (eSMI) Crisis Care program, and 13 statewide early Serious Mental Illness (eSMI) Outreach Programs provided through CMHCs. These programs develop and maintain collaborative partnerships with local higher education institutions and local hospitals to increase exposure to young adults within the age range that is most at risk for eSMI.</p> <p>Special Education. Under the provision of the Individuals with Disabilities Education Act, children who are placed in a special education program because of a SED must have an Individual Education Plan (IEP). Many CMHC staff and programs particularly affiliated with local Systems of Care are actively involved in supporting families and children for whom an IEP is needed.</p>

Prompts	Summary
	<p>Supported Education: Adult basic education, like GED classes, is offered on site at two clubhouse programs, and at some CMHCs. CMHCs and other providers also offer advocacy and support services to assist consumers with accessing GED classes within the community, as well as, other community based educational opportunities (i.e., technology centers, trade schools, colleges, universities) and promoting ongoing educational success. Through the ODMHSAS Individual Placement Services (IPS) program, training on “How to Get a GED” is offered for providers and other community stakeholders.</p> <p>Employment Services. CMHC case managers assist adults age 18 and older with job location and placement. These activities are funded by the ODMHSAS and specific service codes provide claims and reimbursement data for this. In addition, HOPE Community Services offers a supported employment program. Transitional employment programs are provided by Thunderbird Clubhouse and Crossroads Clubhouse. Both clubhouses are accredited by Clubhouse International (formerly the International Center for Clubhouse Development). The ODMHSAS and the Oklahoma Department of Rehabilitation Services (OKDRS) assist with funding various activities within this array of employment services and utilize a memorandum of understanding to coordinate and monitor related activities.</p> <p>The Oklahoma Department of Mental Health and Substance Abuse Services (ODMHSAS) has adopted Individual Placement and Supports (IPS) as their standard evidence-based supported employment and education model. The ODMHSAS believes that the best way to support self-sufficiency for those assisted with employment is to reinforce rapid entry into the competitive labor market integrated with supportive services as soon as the person feels ready. This focus on the participant’s choice and strengths aligns closely with other evidence-based practices models followed by the ODMHSAS and affiliated providers and has allowed for better service provision for Oklahoma’s most vulnerable. IPS has expanded to twelve teams serving 23 counties across the state of Oklahoma funded through various different grants, including the Mental Health Block Grant; State Opioid Response grant, Oklahoma Now is the Time grant, and the Assisted Outpatient Treatment grant. On July 1, 2018, the ODMHSAS activated IPS specific billing codes, and the IPS credential process for IPS employment specialists and supervisors. This allows for providers to submit payment claims for delivery of IPS services to ODMHSAS.</p> <p>Housing Supports: Assuring satisfactory access to safe, sanitary, and affordable housing for adults with mental illness continues to be a challenge to the state. Specific housing services for people with mental illness are available in urban and rural settings and are funded through the ODMHSAS, the U.S. Department of Housing and Urban Development (HUD), public housing authorities and private sources. Housing models include transitional housing and permanent supported housing (both congregate and scattered site). Although some housing continues to be developed in settings specifically for persons with mental illness (i.e., HUD funded Section 811 and HUD SHP projects), the ODMHSAS continues to place an emphasis on creating opportunities for more integrated housing, including permanent scattered site housing with available support services. Some stakeholders continue to encourage the development of transitional housing services to meet the needs of consumers whose current level of recovery would make it difficult to have</p>

Prompts	Summary
	<p>success in a supported housing model.</p> <p>The state currently has multiple Housing First programs that support individuals with SMI. These programs are the result of multiagency partnerships at the local level between behavioral health providers and housing authorities. OHCA and ODMHSAS support these programs through reimbursement for medical and case management services, including screening and referral to needed behavioral health treatment.</p> <p>Additional housing related service and supports embedded in the system for adults with SMI include flexible funds available to each CMHC that can be used to augment a variety of housing supports, including rental and utility deposits; a Discharge Planning Housing Subsidy specifically for adults discharging from psychiatric inpatient care, Department of Corrections, or aging out of the foster care system; a Transition Youth Housing Subsidy program to assist very low-income young adults ages 17 – 24; a smaller subsidy program for transition youth living in rural areas (added through grant funding in FY 2014); and Residential Care Facilities can receive a higher rate for services if they successfully meet criteria for designation as a Recovery Home.</p> <p>DHS is partnering with the Building Bridges Initiative (BBI) to support QRTP programs in engagement with families and quality discharge planning. Discharge planning will include any identified services and supports for the child to maintain the gains that were made while in treatment (See comments in 2.a). Efforts to improve Oklahoma’s continuum of care have resulted in the development of the Enhanced Foster Care (EFC) program to support the identification of children and youth who have complex needs and get them engaged in treatment sooner to ensure that children and families have access to evidence-based treatments and specialized supports. DHS has partnered with Oklahoma’s CMHC providers in the coordination of EFC services, which includes Oklahoma Systems of Care, mobile crisis response, and evidence-based treatment. Currently, there are around 120 children in the Enhanced Foster Care Program. Additionally, DHS is collaborating with ODMHSAS and other private providers to address the service gaps within rural areas of the state through quality service mapping.</p> <p><i>Future Status:</i> Continued operation of current programming.</p> <p><i>Summary of Actions Needed:</i> N/A - Milestone criteria is met.</p>
<p>4.b Plan for increasing integration of behavioral health care in non-specialty settings to improve early identification of SED/SMI and linkages to treatment</p>	<p><i>Current Status:</i> A basic package of primary and preventive behavioral services, such as screenings for depression, anxiety and substance abuse is available to every SoonerCare member without prior authorization for services delivered by a Patient-Centered Medical Homes, Indian/Tribal/Urban (I/T/U) Clinics, and Federally Qualified Health Centers. Part of the responsibilities of SoonerCare Choice medical homes is to conduct behavioral health screenings for members age 5 and older for all tiers. OHCA has put together a Behavioral Health Screening Toolkit of available resources to help providers accomplish this task. OHCA has identified validated public domain screening tools that are available to assist physicians and behavioral health professional with screening and assessing mental health issues. OHCA has also created a behavioral health referral guide and well as a web-based Behavioral Health Provider</p>

Prompts	Summary
	<p>Directory for use by non-specialty providers.</p> <p>The SoonerCare Psychiatric Consultation Program provides primary care physicians with access to free informal telephonic consultation with board certified psychiatrists. Consultation is available to assist with psychotropic medication management for children, adolescents and adults.</p> <p>ODMHSAS is building an early childhood SOC network statewide. The goal of this network is to work with local partners from the early childhood community to expand the expertise of the OKSOC providers to better serve children ages 0-5 and their families. Training in the following EBPs has been, and will continue to be, provided: Infant Massage, Circle of Security and Child Parent Psychotherapy.</p> <p><i>Future Status:</i> Continued operation of current programming.</p> <p><i>Summary of Actions Needed:</i> N/A - Milestone criteria is met.</p>
<p>c. 4.c Establishment of specialized settings and services, including crisis stabilization, for young people experiencing SED/SMI</p>	<p><i>Current Status:</i> Oklahoma utilizes a system of coordinated community response and mobile crisis response within the Systems of Care network to ensure children in crisis are connected with the appropriate level of care. Community-based assessments (CBAs) are completed by licensed behavioral health professionals (LBHPs) to ensure children in crisis are diverted from more restrictive inpatient settings if other community-based services are available to meet their needs. This system covers the majority of the state outside of the metropolitan areas, and Oklahoma is potentially pursuing expansion of this service to currently unserved areas. The CBA process involves a strong partnership between ODMHSAS and OHCA. CBA providers complete the assessment and work closely with OHCA to locate a proper placement for the child if medically necessary. Once placed in an inpatient setting, requests for extensions of care are provided to the CBA provider from OHCA. A determination from the CBA provider with a clinical rationale for denial or approval, as well as number of days if approved, is then given to OHCA within two hours.</p> <p><i>Future Status:</i> Continued operation of current programming. Potential pursuit of expansion of CBA to metropolitan areas.</p> <p><i>Summary of Actions Needed:</i> Implement expansion of CBA, pending analysis of how the implementation of managed care in 2021 will integrate/affect this process. If pursued, the state aims to achieve this by Year 2 of the demonstration. Steps include the development and award of an RFP and coordination with providers.</p>
<p>4.d Other state strategies to increase earlier identification/engagement, integration, and specialized programs for young people</p>	<p><i>Current Status:</i> Oklahoma has twenty (20) Health Homes for children with Serious Emotional Disturbance (SED) within the provider network. In addition, there are 2 RAISE NAVIGATE programs to assist individuals who are experiencing First Episode of Psychosis (FEP), along with 1 early Serious Mental Illness (eSMI) Crisis Care program, and 13 statewide early Serious Mental Illness (eSMI) Outreach Programs provided through CMHCs. These programs develop and maintain collaborative partnerships with local higher education institutions and local hospitals to increase</p>

Prompts	Summary
	<p>exposure to young adults within the age range that is most at risk for eSMI.</p> <p>The Now Is The Time – Healthy Transitions (NITT-HT) grant, referred to in Oklahoma as the Oklahoma Now Is The Time (ONIT) grant, focuses on integrated services and supports for youth and young adults ages 16 through 25 with serious mental health conditions and their families. ONIT’s developmentally appropriate and effective youth-guided local Systems of Care have been designed to improve outcomes in education, employment, housing, mental health and co-occurring disorders, and decrease contact with the juvenile and criminal justice systems. ONIT programs focus on a blended model of Wraparound and Transition to Independence Process (TIP). Currently ONIT has five lab sites; three in Oklahoma County, one in Okmulgee County and one in Washington County. During FY17, 693 youth and young adults were outreached; 948 were screening for behavioral health needs; and 320 were referred to services. Drawing on best practices from our Now is the Time Initiative, SOC2 has implemented successful outreach approaches to identify youth and young adults with early signs and symptoms of SED, SMI, or first episode psychosis (FEP). The goal is to engage youth into effective services and connect them with all needed supports early, thereby greatly increasing their chances of full recovery and a life of their choice.</p> <p><i>Future Status:</i> Continued operation of current programming.</p> <p><i>Summary of Actions Needed:</i> N/A - Milestone criteria is met.</p>
<p>SMI/SED.Topic 5. Financing Plan</p>	
<p><i>State Medicaid programs should detail plans to support improved availability of non-hospital, non-residential mental health services including crisis stabilization and on-going community-based care. The financing plan should describe state efforts to increase access to community-based mental health providers for Medicaid beneficiaries throughout the state, including through changes to reimbursement and financing policies that address gaps in access to community-based providers identified in the state’s assessment of current availability of mental health services included in the state’s application.</i></p>	
<p>5.a Increase availability of non-hospital, non-residential crisis stabilization services, including services made available through crisis call centers, mobile crisis units, observation/assessment centers, with a coordinated community crisis response that involves collaboration with trained law enforcement and other first responders.</p>	<p><i>Current Status:</i> CMHCs and CCBHCs are required to provide crisis intervention services, including mobile crisis response as part of their certification requirements. The CMHCs have statewide coverage and are responsible for mental health crises in their service areas. In the adult system, CMHCs provide emergency assessments to their communities, largely via telehealth in rural communities. During this process, LBHPs have the opportunity to stabilize a potential mental health crisis. Seven CMHCs currently serve adults within their mobile crisis teams, with LMHPs connected 24/7 either in person or through telehealth in all but one. There are 11 Programs of Assertive Community Treatment (PACT), all of whom respond to their clients 24/7 (some via iPads) to de-escalate crisis situations and help individuals maintain in their own home in their own community. All but one is operated within a CMHC. Additionally, one CMHC that covers the northeastern corner of the state provides every client with an iPad that can be used for 24/7 emergent or non-emergent needs. This CMHC also provides iPads to law enforcement in its service area, allowing law enforcement to access a mental health professional without transporting the individual to a facility, reducing police transports and emergency room utilization. In addition, there are nine crisis centers for adults located in the state. Three more (including two for mental health and one for SUD) are planned for Oklahoma City within the next several years as part of a city improvement ballot initiative passed in December 2019.</p>

Prompts	Summary
	<p>A tiered support system is currently in place to ensure every effort is made to use inpatient and residential beds only when clinically indicated and to support successful outcomes with outpatient services and community supports. ODMHSAS data show that 90% of urgent care clients are diverted from needing a crisis care bed; approximately 93% of individuals receiving crisis care do not move to a hospital bed; and approximately 95% of crisis care recipients are engaged with outpatient service follow-up within seven days of leaving crisis care.</p> <p>Currently, Oklahoma has 80 local SOC sites that cover 72 counties. The SOC sites work in equal partnership with local teams and community organizations to ensure that children with SED and their families have access to the full array of services they need and want. The SOC initiative includes mobile crisis response and coordinated community response for children across most of the state, as well as community-based assessment to ensure children are placed in appropriate settings and supported in the community whenever possible. Community Based Structured Crisis Centers for children, located in Oklahoma City and Tulsa, address the emergent needs of children and their families.</p> <p>As noted in milestone 4.x, Oklahoma utilizes a system of coordinated community response and mobile crisis response within the SOC network to ensure children in crisis are connected with the appropriate level of care. Community-based assessments (CBAs) are completed by licensed behavioral health professionals (LBHPs) to ensure children in crisis are diverted from more restrictive inpatient settings if other community-based services are available to meet their needs. This system covers the majority of the state outside of the metropolitan areas, and Oklahoma is potentially pursuing expansion of this service to currently unserved areas.</p> <p>Crisis Intervention Training (CIT) is a community effort partnering both law enforcement officers and the community together for common goals of safety, understanding, and service to individuals with mental illness and their families. Officers participate in a 5-day, 40-hour CIT program hosted by ODMHSAS. The training program consists of sections taught by mental health and substance abuse treatment experts, specially trained officers, local Community Mental Health Centers, and representatives from the National Alliance on Mental Illness (NAMI). The training prepares officers to safely de-escalate a crisis, determine the need for emergency treatment, and get the individual to professional treatment as quickly as possible. Since 2002, ODMHSAS and all supporting CIT partners, have trained around 1,200 law enforcement officers throughout the state. In Oklahoma County alone, CIT-trained officers have saved nearly \$1,000,000 in jail costs and over \$500,000 in hospital costs through deescalating mental health crisis and diverting individuals to crisis centers.</p> <p><i>Future Status</i> With approval of the waiver crisis stabilization units will be able to expand capacity by adding additional beds while maintaining eligibility for Medicaid reimbursement. Additionally, the State has plans to continue building upon the crisis system that has been developing over the past several years. This includes an expanded, statewide system of: crisis call centers, mobile crisis teams, and urgent care centers strategically placed in each region.</p> <p><i>Summary of Actions Needed:</i> Expansion of non-residential crisis services is anticipated by January 1, 2023. Necessary</p>

Prompts	Summary
	steps include identification of funding sources, identification of strategic locations/providers, and provision of technical assistance to current and/or new providers.
<p>5.b Increase availability of on-going community-based services, e.g., outpatient, community mental health centers, partial hospitalization/day treatment, assertive community treatment, and services in integrated care settings such as the Certified Community Behavioral Health Clinic model.</p>	<p><i>Current Status:</i> Three CMHCs are part of the original CCBHC federal demonstration program, with current funding extended through November 2020. Additionally, a state plan amendment to move forward with new CCBHCs was approved by CMS June 4, 2019. One CMHC is certified to date, with two having active applications and one nearing application. ODMHSAS holds monthly technical assistance meetings to support and promote providers in transitioning to CCBHCs. Within the next two years, the state anticipates CCBHC implementation statewide. This model requires 24/7 mobile crisis response, as well as ability for crisis response up to 23 hours 59 minutes to stabilize every crisis possible and divert as many individuals as possible from the necessity of crisis center admissions and/or inpatient admissions.</p> <p>The State has implemented several community-based initiatives aimed at reducing inpatient admissions and readmissions such as Health Homes for Children with Serious Emotional Disturbance and Adults with Serious Mental Illness, reimbursement for transitional case management and mobile response and stabilization. The State believes that at least a portion of the decreases in the utilization of freestanding psychiatric hospital services post implementation can be attributed to these initiatives.</p> <p>In the adult system, CMHCs provide emergency assessments to their communities, largely via telehealth in rural communities. During this process, LBHPs have the opportunity to stabilize a potential mental health crisis. Seven CMHCs currently serve adults within their mobile crisis teams, with LMHPs connected 24/7 either in person or through telehealth in all but one. There are 11 Programs of Assertive Community Treatment (PACT), all of whom respond to their clients 24/7 (some via iPads) to de-escalate crisis situations and help individuals maintain in their own home in their own community. All but one is operated within a CMHC. Additionally, one CMHC that covers the northeastern corner of the state provides every client with an iPad that can be used for 24/7 emergent or non-emergent needs. This CMHC also provides iPads to law enforcement in its service area, allowing law enforcement to access a mental health professional without transporting the individual to a facility, reducing police transports and emergency room utilization.</p> <p><i>Future Status:</i> Continued operation of current programming. Promote and implement statewide expansion of CCBHCs, expand CBA to unserved areas, and explore additional opportunities for supported employment and housing.</p> <p><i>Summary of Actions Needed:</i> Implement additional supports by Year 3. Necessary steps include the provision of ongoing technical assistance to support new CCBHCs, identification of funding sources for expanded supported employment and housing supports, and obtaining necessary federal approvals if Medicaid funding is pursued for supported employment and/or housing supports.</p>
SMI/SED. Topic 6. Health IT Plan	
<i>As outlined in State Medicaid Director Letter (SMDL) #18-011, “[s]tates seeking approval of an SMI/SED demonstration ... will be expected to submit a Health IT Plan (“HIT Plan”) that describes the state’s ability to leverage health IT, advance health information exchange(s), and ensure health IT</i>	

Prompts	Summary
	<p><i>interoperability in support of the demonstration’s goals.”⁶ The HIT Plan should also describe, among other items, the:</i></p> <ul style="list-style-type: none"> <i>• Role of providers in cultivating referral networks and engaging with patients, families and caregivers as early as possible in treatment; and</i> <i>• Coordination of services among treatment team members, clinical supervision, medication and medication management, psychotherapy, case management, coordination with primary care, family/caregiver support and education, and supported employment and supported education.</i> <p><i>Please complete all Statements of Assurance below—and the sections of the Health IT Planning Template that are relevant to your state’s demonstration proposal.</i></p>
Statements of Assurance	
<p>Statement 1: Please provide an assurance that the state has a sufficient health IT infrastructure/ecosystem at every appropriate level (i.e. state, delivery system, health plan/MCO and individual provider) to achieve the goals of the demonstration. If this is not yet the case, please describe how this will be achieved and over what time period</p>	<p>OHCA made great strides in the adoption of electronic health records (EHRs) through the Electronic Health Record Incentive Program. Unfortunately, behavioral health provider facilities were not eligible for the incentive payments. To bolster interoperability for behavioral health providers, the ODMHSAS applied for and received a grant through SAMHSA’s Center for Integrated Health Solutions. Through a voucher program, behavioral health providers work with a certified health information organization (HIO) to connect via a secure, electronic means to communicate, share medical records, perform referrals, obtain lab and pharmacy data electronically, submit reportable data to the Oklahoma State Department of Health (OSDH), and establish interconnectivity to facilitate care coordination. The voucher funding offsets the initial cost of signing up with a certified HIO to electronically exchange health information. Because of the wide variation in the degree of health information technology and the confidentiality regulations around sharing substance use disorder data, the behavioral health voucher program was two tiered. The first tier allowed the providers to see the HIE data through a web portal and share information via DIRECT Secure Messaging to other providers using the messaging system. The second tier allowed them to share data from their EHR or other systems of records.</p> <p>Prior to the award there were 21 behavioral health providers linked to an HIE in the State. These providers were associated with primary care hospitals or large health centers. There were no safety net behavioral health providers who serve individuals with no resources to pay for treatment. Through this project, funding was made available to 27 behavioral health agencies for 365 clinical connections with HIEs. This is a 34% penetration rate of eligible providers. Tier 1 vouchers were used to connect 23 individual clinicians to an HIE through DIRECT and a web portal at seven agencies, and Tier 2 vouchers provided full interfaces to 20 agencies, with 342 individuals clinicians having connections. All of the providers participating in the voucher program serve individuals through Medicaid, state or federal block grant funding. Due to the lack of a statewide HIE, providers experienced barriers in identifying data for their clients. As described further below, this barrier should be remedied with the OHCA’s RFP for a statewide HIE. The Office of Management and Enterprise Services, on behalf of the Oklahoma Health Care Authority (OHCA), issued an RFP in October 2019 to solicit proposals for a Supplier to provide a statewide health information exchange (HIE) to be called the Oklahoma Statewide Health Information Network and Exchange (OKSHINE). Oklahoma is looking to</p>

⁶ See SMDL #18-011, “Opportunities to Design Innovative Service Delivery Systems for Adults with a Serious Mental Illness or Children with a Serious Emotional Disturbance.” Available at <https://www.medicare.gov/federal-policy-guidance/downloads/smd18011.pdf>.

Prompts	Summary
	<p>achieve statewide health information exchange to allow health information to flow seamlessly to and from authorized organizations and individuals in Oklahoma. OKSHINE is intended to meet the needs of end users, allowing providers and their patients, hospitals and health systems, purchasers and payers, state health agencies and local health departments, health information business associates, and an increasingly inclusive ecosystem of human service organizations to have secure, accurate data available at the right time and place, for the right purposes. All CMHCs are health homes and therefore are required to have a meaningful use certified EHR, utilize HIE and a population care management system.</p> <p>The State of Oklahoma has a sufficient health IT infrastructure/ecosystem at every appropriate level (i.e. state, delivery system, health plan/MCO and individual provider) to achieve the goals of the demonstration.</p>
<p>Statement 2: Please confirm that your state’s SUD Health IT Plan is aligned with the state’s broader State Medicaid Health IT Plan and, if applicable, the state’s Behavioral Health IT Plan. If this is not yet the case, please describe how this will be achieved and over what time period.</p>	<p>The OKSHINE solution will include an organization, with Oklahoma State oversight, to manage and operate the processes and technology to enable Oklahoma healthcare providers to meet the CMS Meaningful Use, Promoting Interoperability Program (PIP) requirements and Medicaid Information Technology Architecture (MITA) 3.0 and Seven Standards and Conditions.</p> <p>OKSHINE will include interoperability with existing state systems including the state agency interoperability system (Health-e Oklahoma), Medicaid, behavioral health and public health to support state initiatives and surveillance, Public Health Reporting including Immunizations, Electronic Laboratory Reports (ELR), Cancer Case Reports, and electronic case reports for reportable diseases. The system will also include a centralized data repository with integration of clinical and claims data to support value-based care initiatives and population health management including tracking trends and preventative care, identify health disparities, and help with management of chronic medical conditions; state use database for analytics and research.</p> <p>The state’s SED/SPMI Health IT Plan is aligned with the state’s broader State Medicaid Health IT Plan and, as applicable, the state’s Behavioral Health IT Plan.</p>
<p>Statement 3: Please confirm that the state intends to assess the applicability of standards referenced in the <u>Interoperability Standards Advisory (ISA)</u>⁷ and 45 CFR 170 Subpart B and, based on that assessment, intends to include them as appropriate in subsequent iterations of the</p>	<p>Oklahoma does not currently have Medicaid managed care contracts. The state plans to work with the OKSHINE vendor to create a sustainability plan for ongoing operations in Oklahoma; and have or obtain full Electronic Healthcare Network Accreditation Commission (EHNAC) Health Information Exchange Accreditation Program (HIEAP) accreditation.</p> <p>The OKSHINE contract will require the supplier to work within the parameters of:</p> <ul style="list-style-type: none"> • All relevant HITECH State Medicaid Director letters. • CMS Final Rule, Medicare and Medicaid Programs; Electronic Health Record Incentive Program, released by CMS on July 28, 2010 (42 CFR Parts 412, 413, 422, & 495) and any subsequent amendments or updates.

⁷ Available at <https://www.healthit.gov/isa/>.

Prompts	Summary
<p>state’s Medicaid Managed Care contracts. The ISA outlines relevant standards including but not limited to the following areas: referrals, care plans, consent, privacy and security, data transport and encryption, notification, analytics and identity management.</p>	<ul style="list-style-type: none"> • Health Insurance Portability and Accountability Act (HIPAA) of 1996 and any subsequent amendments or updates. • 42 CFR Part 2 and any subsequent amendments or updates • The Trusted Exchange Framework and Common Agreement (TEFCA). • CMS Medicaid Information Technology Architecture (MITA) 3.0 and Seven Standards and Conditions. • Requirements of the 21st Century Cures Act related to interoperability and information blocking. • Federal Information Security Management Act (FISMA)- National Institute of Technology Standards. <p>The state intends to assess the applicability of standards referenced in the Interoperability Standards Advisory (ISA)^[1] and 45 CFR 170 Subpart B and, based on that assessment, intends to include them as appropriate in relevant State procurements.</p> <p>^[1] Available at https://www.healthit.gov/isa/.</p>
<p><i>To assist states in their health IT efforts, CMS released SMDL #16-003 which outlines enhanced federal funding opportunities available to states “for state expenditures on activities to promote health information exchange (HIE) and encourage the adoption of certified Electronic Health Record (EHR) technology by certain Medicaid providers.” For more on the availability of this “HITECH funding,” please contact your CMS Regional Operations Group contact.⁸</i></p> <p><i>Enhanced administrative match may also be available under MITA 3.0 to help states establish crisis call centers to connect beneficiaries with mental health treatment and to develop technologies to link mobile crisis units to beneficiaries coping with serious mental health conditions. States may also coordinate access to outreach, referral, and assessment services—for behavioral health care--through an established “No Wrong Door System.”⁹</i></p>	
<p>Closed Loop Referrals and e-Referrals (Section 1)</p>	
<p>1.1 Closed loop referrals and e-referrals from physician/mental health provider to physician/mental health provider</p>	<p><i>Current State:</i> The State of Oklahoma currently has two private sector regional HIEs which have closed loop referrals/e-referral systems to varying degrees. However, the regional HIEs are not interoperable and therefore cannot share e-referrals between providers outside their respective HIEs. All CMHCs are health homes and therefore are required to have a meaningful use certified EHR, utilize HIE and a population care management system.</p> <p><i>Future State:</i> The RFP for the OKSHINE Contract included a requirement that the vendor have experience in bidirectional exchange of clinical and behavioral health data in the latest standardized HL7 message formats in at least one (1) state for a minimum of five (5) years. OKSHINE will include a provider onboarding program including a</p>

⁸ See SMDL #16-003, “Availability of HITECH Administrative Matching Funds to Help Professionals and Hospitals Eligible for Medicaid EHR Incentive Payments Connect to Other Medicaid Providers.” Available at <https://www.medicare.gov/federal-policy-guidance/downloads/smd16003.pdf>.

⁹ Guidance for Administrative Claiming through the “No Wrong Door System” is available at <https://www.medicare.gov/medicaid/finance/admin-claiming/no-wrong-door/index.html>.

Prompts	Summary
	<p>website and processes for registration, document exchange and management, outreach, testing and implementing transport connections, and testing secure data exchange of clinical data in standard Health L7 formats; integration with existing state systems including the master person index and provider directory; admission, discharge, transfer (ADT) notifications to physicians and care management teams; care coordination through exchange of patient clinical records quickly, securely, and electronically across participating Oklahoma healthcare providers and other state and national health information exchanges; production and analytics of electronic clinical quality measures (eCQMs).</p> <p>The State will evaluate closed loop referrals and e-Referrals once a vendor for the OKSHINE contract is awarded. The State plans to pursue this functionality and will collaborate with the OKSHINE HIE vendor to assess and determine the necessary resources needed to implement a closed loop e-referral system.</p> <p><i>Summary of Actions Needed:</i> Award and implementation of OKSHINE contract. See ATTACHMENT 1, <i>Schedule of Activities for State HIE (OKSHINE) Procurement</i></p>
<p>1.2 Closed loop referrals and e-referrals from institution/hospital/clinic to physician/mental health provider</p>	<p><i>Current State:</i> The State of Oklahoma currently has two private sector regional HIEs which have closed loop referrals/e-referral systems to varying degrees. However, the regional HIEs are not interoperable and therefore cannot share e-referrals between providers outside their respective HIEs. Patient-Centered Medical Homes (PCMH) currently have electronic referral capabilities with specialty health care providers.</p> <p><i>Future State:</i> The OKSHINE system will promote care coordination through the exchange of patient clinical records quickly, securely, and electronically across participating Oklahoma healthcare providers and other state and national health information exchanges. Supplier will implement an Oklahoma statewide clinical health information exchange of patient clinical summaries and continuity of care documents in compliance with current ONC-endorsed interoperability standards. This includes the ability to provide a patient-level clinical summary document that is transferred between healthcare providers when a patient is, at a minimum, referred to a specialist, admitted or discharged from a hospital, or transitioned to a long term care or acute care facility. Healthcare providers can view a clinical document architecture (CDA), or other accepted formats, from other healthcare providers through the statewide HIE via portal, EHR interface or browser-based secure messaging and make a CDA from their patients available to other healthcare providers.</p> <p>OKSHINE award is anticipated in February 2021, with implementation anticipated to be complete within 6-8 months.</p> <p><i>Summary of Actions Needed:</i> Award and implementation of OKSHINE contract. Onboarding of Community Mental Health Programs, Certified Community Behavioral Health Centers, Certified Addiction and Recovery Centers, Opioid Treatment Programs, Behavioral Health Homes, Assertive Community Treatment teams, mobile crisis teams, and other state-licensed behavioral health organizations along with Medicaid providers who participate in Patient-Centered Medical Homes (PCMH), Federally Qualified Health Centers (FQHC), Rural Health Centers, IHS, tribal and urban health clinics, and community health centers will occur within the second year of the contract.</p> <p>See ATTACHMENT 1, <i>Schedule of Activities for State HIE (OKSHINE) Procurement</i></p>

Prompts	Summary
1.3 Closed loop referrals and e-referrals from physician/mental health provider to community based supports	<p><i>Current State:</i> The State of Oklahoma currently has two private sector regional HIEs which have closed loop referrals/e-referral systems to varying degrees. However, the regional HIEs are not interoperable and therefore cannot share e-referrals between providers outside their respective HIEs. Referrals from physicians and mental health providers to community-based supports are currently conducted via non-electronic processes. Enrollees are connected telephonically and/or through informal case management strategies to community-based supports.</p> <p><i>Future State:</i> OHCA anticipates incorporating the tracking of electronic referrals to community-based supports once the OKSHINE HIE vendor is selected.</p> <p><i>Summary of Actions Needed:</i> The timeline for development of this new programming and functionality is currently under development. See ATTACHMENT 1, <i>Schedule of Activities for State HIE (OKSHINE) Procurement</i></p>
Electronic Care Plans and Medical Records (Section 2)	
2.1 The state and its providers can create and use an electronic care plan	<p><i>Current State:</i> Health homes utilize HIT to create, document, execute and update the comprehensive, person-centered service plan for every member that is accessible to the interdisciplinary team of providers when external partners have the capability to receive structured, electronic records.</p> <p>The State of Oklahoma has participated in the Promoting Interoperability Program (formally the EHR Incentive Program) January 3, 2011, being one of the first in the nation to launch. To date, Oklahoma has had 3,969 Eligible Professionals (EP) and 138 Eligible Hospitals (EH) participate in the PIP. The purpose of the incentive is to provide a financial incentive to assist eligible providers (both EP& EH) to adopt (acquire and install), implement (train staff, deploy tools, exchange data), upgrade (expand functionality or interoperability) or meaningfully use certified EHR technology. All current participants must use the 2015 Edition of certified electronic health record technology (CEHRT). The more up-to-date standards and functions in 2015 Edition CEHRT better support interoperable exchange of health information and improve clinical workflows.</p> <p>Benefits to using 2015 CEHRT are:</p> <ul style="list-style-type: none"> • Improves interoperability by adopting new and updated vocabulary and content standards for the structured capture and exchange of health information, including a Common Clinical Data Set (CCDS) composed primarily of data expressed using adopted standards; and rigorously tested and identified content exchange standard (Consolidated Clinical Document Architecture (C-CDA)). Standards-based electronic exchange supports patient care by ensuring that health care data is consistently available to the right person, at the right place, and at the right time. • Includes “application access” certification criteria that requires health IT to demonstrate it can provide application access to the CCDS via an application programming interface (API). • Supports patient electronic access to health information through new functionalities and a range of potential technologies including the use of APIs. These technologies allow patients greater flexibility and choice in how they access and share their health information. • Includes a revised View, Download, and Transmit criterion that continues to support patient access to their

Prompts	Summary
	<p>health information, including via email transmission to any third party the patient chooses (including to any email address, so long as the patient is properly advised of the risks of doing so) and through a second encrypted method of transmission.</p> <p><i>Future State:</i> Continue to expand uptake of the Promoting Interoperability Program.</p> <p><i>Summary of Actions Needed:</i> See response for 1.1 and 1.2. Continue promotion/outreach; integrate functionality into OKSHINE project.</p>
<p>2.2 E-plans of care are interoperable and accessible by all relevant members of the care team, including mental health providers</p>	<p><i>Current State:</i> Health Homes utilize HIT to communicate with health facilities and other systems and to facilitate interdisciplinary collaboration among all providers, the member, family, caregivers and local supports when external partners have the capability to send and receive electronic, structured records. Health Homes are required to join a certified health information exchange and make a commitment to share information with all providers.</p> <p><i>Future State:</i> Transition CMHC health homes into CCBHCs and continue to support Health Home/CCBHC HIT functionality with state HIE.</p> <p><i>Summary of Actions Needed:</i> Continue promotion/outreach; integrate functionality into OKSHINE project.</p>
<p>2.3 Medical records transition from youth-oriented systems of care to the adult behavioral health system through electronic communications</p>	<p><i>Current State:</i> The Child’s Passport is a web application that allows Bridge families and other resource providers access to SoonerCare (Oklahoma’s Medicaid) and education information for all children who enter care, children placed for adoption and for youth exiting care. SoonerCare records are maintained by the OHCA and education records are maintained by the OSDE; in turn these records are made available through the Child’s Passport. These records include, but are not limited to:</p> <ul style="list-style-type: none"> • Health care providers; • Early periodic, screening, diagnosis and treatment recommendations; • Diagnosis; • Immunizations; and • Previous and current prescription medications. <p>The Child’s Passport was specifically designed to help providers for children in the custody of OKDHS and the tribes gain current and updated information regarding the child in their care. The child’s health history is based on SoonerCare claims, educational information and other pertinent information and is available 24 hours a day, seven days a week through a web-based platform. Guardians can print information and provide to a primary care physician, emergency room provider or therapist.</p> <p><i>Future State:</i> See response for 1.1 and 1.2</p> <p><i>Summary of Actions Needed:</i> See response for 1.1 and 1.2</p>

Prompts	Summary
2.4 Electronic care plans transition from youth-oriented systems of care to the adult behavioral health system through electronic communications	<i>Current State:</i> See response for 2.3
	<i>Future State:</i> See response for 1.1 and 1.2
	<i>Summary of Actions Needed:</i> See response for 1.1 and 1.2
2.5 Transitions of care and other community supports are accessed and supported through electronic communications	<i>Current State:</i> All CMHCs have electronic health records and provide services to both youth and adults. As an individual transitions to adult programs within these agencies, records remain available to staff who meet the applicable HIPPA criteria. Health homes are encouraged to use wireless technology as available to improve coordination and management of care and member adherence to recommendations made by their provider. This may include the use of telemedicine, cell phones, peripheral monitoring devices, and access member care management records, as feasible.
	<i>Future State:</i> See response for 1.1 and 1.2; During the OKSHINE implementation, the State of Oklahoma will collaborate with the OKSHINE vendor and pursue statewide integration of community supports .
	<i>Summary of Actions Needed:</i> See response for 1.1 and 1.2 See ATTACHMENT 1, <i>Schedule of Activities for State HIE (OKSHINE) Procurement</i>
Consent - E-Consent (42 CFR Part 2/HIPAA) (Section 3)	
3.1 Individual consent is electronically captured and accessible to patients and all members of the care team, as applicable, to ensure seamless sharing of sensitive health care information to all relevant parties consistent with applicable law and regulations (e.g., HIPAA, 42 CFR part 2 and state laws)	<i>Current State:</i> All CMHCs have electronic health records. These EHR systems maintain electronic consent information for use within the organization and prior to releasing information to external stakeholders.
	<i>Future State:</i> OKSHINE may have a consent registry repository capable of storing and managing the consent directives issued or withdrawn by health care clients regarding the collection, use, or disclosure of their PHI, with an accompanying policy store/rules engine to enable enforcement based on roles and access rules. This repository will be compliant with 42 CFR Part 2 consent requirements.
	<i>Summary of Actions Needed:</i> Award and implementation of OKSHINE contract. During the OKSHINE implementation, the State of Oklahoma will collaborate with the OKSHINE vendor and pursue a secure, private patient portal as well as ensuing a patient consent registry is utilized. See ATTACHMENT 1, <i>Schedule of Activities for State HIE (OKSHINE) Procurement</i>
Interoperability in Assessment Data (Section 4)	
4.1 Intake, assessment and screening tools are part of a structured data capture process so that this information is interoperable with the rest of the HIT ecosystem	<i>Current State:</i> ODMHSAS has maximized technology and increased the capacity to deliver services by developing an online screening tool. The On-line Assessment Tool System (OATS) allows a provider to make a screening tool available through an email link or on a tablet within the practice. Through the use of this screening tool the client is receives a series of screening tools that look for alcohol abuse, drug abuse, depression and suicidality. Once the client completes the screening tool the provider is able to use the OATS system to pull client screening results into a report for review with the client and to be used to determine possible referral needs. This information is also then available to be kept in the client record as a part of the client’s permanent record. The OATS tool is free for providers to use and the ODMHSAS provides all Technical Assistance to the practices using this tool at no cost.

Prompts	Summary
	<p>All CMHCs/Health Homes/CCBHCs have EHRs that capture screening and assessment data.</p> <p><i>Future State:</i> See response for 1.1 and 1.2</p> <p>During the OKSHINE implementation, the State of Oklahoma will pursue resourcing and integrating the OATS with OKSHINE infrastructure to promote a statewide solution for intake, assessment and screening. See ATTACHMENT 1, <i>Schedule of Activities for State HIE (OKSHINE) Procurement</i></p> <p><i>Summary of Actions Needed:</i> See response for 1.1 and 1.2</p>
Electronic Office Visits – Telehealth (Section 5)	
<p>5.1 Telehealth technologies support collaborative care by facilitating broader availability of integrated mental health care and primary care</p>	<p><i>Current State:</i> The SoonerCare Psychiatric Consultation Program provides primary care physicians with access to free informal telephonic consultation with board certified psychiatrists. Consultation is available to assist with psychotropic medication management for children, adolescents and adults. In addition, OHCA reimburses for an extensive list of behavioral health services provided via telemedicine.</p> <p>Additionally, ODMHSAS maintains a statewide telemedicine network using Polycom Real Presence. Units are placed in CMHCs and satellite locations covering the entire state. These units increase access to services and information including, medication clinics conducted by psychiatrists, therapy sessions, court commitment hearings, and administrative meetings. In CY2019 (pre COVID-19), 526,289 telehealth behavioral health services were provided to 108,288 unique clients and paid for through Medicaid or state funding.</p> <p>Since the beginning of the COVID-19 pandemic, the State has been working with providers at all levels of care, including inpatient and residential, to promote and expand the use of telehealth as appropriate.</p> <p><i>Future State:</i> Continued operation of current programming and continued promotion of telehealth services for IMD and other providers.</p> <p><i>Summary of Actions Needed:</i> Evaluate long-term flexibility for the provision of services by telehealth. Utilize emergency and other funding mechanisms to support needed infrastructure for providers to offer services by telehealth, particularly in rural areas of the state.</p>
Alerting/Analytics (Section 6)	
<p>6.1 The state can identify patients that are at risk for discontinuing engagement in their treatment, or have stopped engagement in their treatment, and can notify their care teams in order to ensure treatment continues or resumes (Note:</p>	<p><i>Current State:</i> As documented in the State’s current Health Homes State Plan, for children with SED, the SOC Wraparound teams are required to access data from the MMIS to monitor use of psychotropic medications. Health homes providers are also encouraged to utilize HIT to monitor member outcomes, initiate changes in care and follow up on member testing, treatments, services and referrals.</p> <p><i>Future State:</i> Continued operation of Health Homes program and CCBHCs.</p> <p><i>Summary of Actions Needed:</i> Expansion of CCBHCs statewide throughout the course of the demonstration. The State is aiming for this to be achieved by Year 3 of the demonstration. The State is also developing its Medicaid managed care RFP to include provisions for care coordination, member engagement during transitions between levels of care,</p>

Prompts	Summary
research shows that 50% of patients stop engaging after 6 months of treatment ¹⁰⁾	and identification of individuals accessing behavioral health services who are at risk for hospitalization. The State aims to complete the RFP by October 2020 and implement managed care by October 2021.
6.2 Health IT is being used to advance the care coordination workflow for patients experiencing their first episode of psychosis	<i>Current State:</i> As documented in the State’s current Health Homes State Plan, for children with SED, the SOC Wraparound teams are required to access data from the MMIS to monitor use of psychotropic medications. Health homes providers are also encouraged to utilize HIT to monitor member outcomes, initiate changes in care and follow up on member testing, treatments, services and referrals.
	<i>Future State:</i> Continued operation of Health Homes program and transition of CMHC health homes to CCBHCs.
	<i>Summary of Actions Needed:</i> Expansion of CCBHCs statewide throughout the course of the demonstration. The State is aiming for this to be achieved by Year 3 of the demonstration. Specific steps include: 1) continued technical assistance provided to potential CCBHCs, 2) identification of new entities for transition to CCBHC functionality, and 3) continued analysis of provider performance and expenditures.
Identity Management (Section 7)	
7.1 As appropriate and needed, the care team has the ability to tag or link a child’s electronic medical records with their respective parent/caretaker medical records	<i>Current State:</i> The State’s eligibility and enrollment system can link children and parents on the same case. All CMHCs have EMRs. As comprehensive providers, multiple family members may be receiving services within the same agency. It is assumed that these records are linked based on demographic information.
	<i>Future State:</i> Continue with current programming.
	<i>Summary of Actions Needed:</i> N/A Milestone is met.
7.2 Electronic medical records capture all episodes of care, and are linked to the correct patient	<i>Current State:</i> EMRs assign case numbers to individual patients. Patients are registered and linked to this number with each service.
	<i>Future State:</i> Continue with current programming.
	<i>Summary of Actions Needed:</i> N/A - Milestone is met.

¹⁰ Interdepartmental Serious Mental Illness Coordinating Committee. (2017). *The Way Forward: Federal Action for a System That Works for All People Living With SMI and SED and Their Families and Caregivers*. Retrieved from https://www.samhsa.gov/sites/default/files/programs_campaigns/ismicc_2017_report_to_congress.pdf

Section 3: Relevant documents

Please provide any additional documentation or information that the state deems relevant to successful execution of the implementation plan. This information is not meant as a substitute for the information provided in response to the prompts outlined in Section 2. Instead, material submitted as attachments should support those responses.

ATTACHMENT 1

Schedule of Activities for State HIE (OKSHINE) Procurement

Task Name	Responsible	% Complete	Start	Finish
HITECH 10.0 APD w/HIE APP D		55%	10/1/19	11/10/21
HITECH 9.2 Approval	CMS	100%	10/1/19	10/1/19
Concept Development Phase	OHCA, OSDH	50%	10/21/19	1/24/20
RFP & Contract Approval		45%	10/22/19	2/10/21
Modify current draft & obtain Req #	OHCA Contracts	100%	10/22/19	10/23/19
Coordinate changes with OMES	OHCA Contracts	100%	10/24/19	10/24/19
OMES approval to release	OMES	100%	10/25/19	10/28/19
Release of RFP	OMES	100%	10/28/19	10/29/19
Field and answer bidder questions	OMES/OHCA	100%	10/30/19	11/27/19
HIE RFP out for bids	OMES	100%	10/29/19	12/31/19
Bidding Closed	OMES	100%	12/31/19	12/31/19
Evaluate Bid for Responsivness	OMES	100%	1/1/20	1/13/20
Proposals submitted to Evaluation Committee	Eval Team	100%	1/14/20	1/14/20
Evaluators submit questions to contracts for bidders	Eval Team	100%	1/14/20	1/24/20
Bidders respond to Evaluators questions	OMES	100%	1/15/20	1/24/20
Clarification Items Due to OMES	OHCA Contracts	100%	1/27/20	1/27/20
Evaluators	Eval Team	100%	2/7/20	2/14/20

calculate initial bid scores				
Evaluators send scores to OHCA	Evaluators	100%	2/14/20	2/14/20
OHCA verifies initial scores	Susan Geyer	100%	2/14/20	2/14/20
Evaluators collaborate on discrepancies	Evaluators	100%	2/17/20	2/24/20
OMES validate evaluator initial scores	OMES	100%	2/25/20	3/3/20
Top bidders selected for Demonstrations	OHCA	100%	3/3/20	3/3/20
Bidders notified of Demonstration	OHCA	100%	3/4/20	3/18/20
Coordination of Demonstration w/ vendors and evaluators	OHCA	100%	3/4/20	3/18/20
Bidder Demonstration	Bidders + Eval Team + select others	100%	4/1/20	4/1/20
Pause	All	100%	4/2/20	5/29/20
Vendor clarifications	OMES	100%	6/1/20	6/12/20
Clarifications requested, received & Evaluators review clarifications	Eval Team	100%	6/15/20	7/24/20
decision for second group of demos & Coordinate second set of demos		100%	7/27/20	9/11/20
Second set of demos	Vendors, Eval Tm	100%	9/11/20	9/11/20
Evaluators recommend vendor for award	Eval Team	0%	9/14/20	10/1/20
Final scores entered	OHCA Contracts	0%	10/2/20	10/5/20
Selection of vendor		0%	10/6/20	10/19/20
Security review for	OMES, OHCA	0%	10/20/20	11/16/20

Selected Vendor				
Legal review for Selected Vendor	OMES, OHCA	0%	10/20/20	11/16/20
Vendor Registration with SOS and OMES	OMES, OHCA, SOS	0%	10/20/20	11/9/20
OK Tax permit/exemption obtained	OMES	0%	10/20/20	10/26/20
Vendor BAFO	OMES/OHCA	0%	11/17/20	11/23/20
Vendor registration in PeopleSoft if Necessary	OMES	0%	11/17/20	11/17/20
HIE Contract template development	OHCA	0%	10/20/20	11/23/20
Final Draft Contract developed	OMES/OHCA	0%	11/24/20	11/30/20
Final Draft Contract Complete	OMES/OHCA	0%	12/1/20	12/1/20
Final Draft Contract sent to CMS for approval	OHCA HIE staff	0%	12/1/20	1/30/21
Contract finalized/signed	OHCA	0%	2/1/21	2/3/21
Signed contract sent to CMS	OHCA HIE staff	0%	2/3/21	2/3/21
Start of Contract Implementation	OHCA HIE staff, HIE	0%	2/10/21	2/10/21

ATTACHMENT D: SUD Implementation Plan

CMS' Opioid and Other SUDs 1115 Demonstration Initiative:

Goals and Milestones to be Addressed in State Implementation Plan Protocols

CMS is committed to working with states to provide a full continuum of care for people with opioid use disorder (OUD) and other SUDs and in supporting state-proposed solutions for expanding access and improving outcomes in the most cost-effective manner possible.

Goals:

1. Increased rates of identification, initiation and engagement in treatment for OUD and other SUDs;
2. Increased adherence to and retention in treatment for OUD and other SUDs;
3. Reductions in overdose deaths, particularly those due to opioids;
4. Reduced utilization of emergency departments and inpatient hospital settings for OUD and other SUD treatment where the utilization is preventable or medically inappropriate through improved access to other continuum of care services;
5. Fewer readmissions to the same or higher level of care where readmissions is preventable or medically inappropriate for OUD and other SUD; and
6. Improved access to care for physical health conditions among beneficiaries with OUD or other SUDs.

Milestones:

1. Access to critical levels of care for OUD and other SUDs;
2. Widespread use of evidence-based, SUD-specific patient placement criteria;
3. Use of nationally recognized, evidence-based, SUD program standards to set residential treatment provider qualifications;
4. Sufficient provider capacity at each level of care, including MAT;
5. Implementation of comprehensive treatment and prevention strategies to address opioid abuse and OUD; and
6. Improved care coordination and transitions between levels of care.

Section I – Milestone Completion

Milestones

1. Access to Critical Levels of Care for OUD and Other SUDs

Specifications:

To improve access to OUD and SUD treatment services for Medicaid beneficiaries, it is important to offer a range of services at varying levels of intensity across a continuum of care since the type of treatment or level of care needed may be more or less effective depending on the individual beneficiary. To meet this milestone, state Medicaid programs must provide coverage of the following services:

- Outpatient Services;
- Intensive Outpatient Services;
- Medication assisted treatment (medications as well as counseling and other services);
- Intensive levels of care in residential and inpatient settings; and
- Medically supervised withdrawal management

Current state

Oklahoma's SUD treatment and recovery network currently provides services across the state and includes Community Mental Health Centers (CMHCs) and other Oklahoma Department of Mental Health and Substance Abuse Services (ODMHSAS) funded and/or Medicaid enrolled providers. Under the Medicaid State Plan, the Oklahoma Health Care Authority (OHCA) provides an array of SUD services that include: Screening, Brief Intervention, and Referral to Treatment (SBIRT); crisis intervention; mobile crisis; assessment; service plan development; individual, group and family counseling; peer support; case management; ambulatory detox; medically monitored withdrawal management (ASAM level 4.0); and telemedicine for applicable services. Intensive outpatient level of care is provided through the delivery of an array of SUD services that meet intensive outpatient level of care.

ODMHSAS funded services are primarily purchased through contracts with private, for-profit and non-profit, certified agencies to provide multiple levels of care. These agencies include SUD treatment facilities, community mental health centers, community action agencies, youth and family services agencies, and schools.

All CMHCs are also certified as substance use disorder service providers and receive both mental health and substance use disorder funding for persons with SMI and co-occurring substance use disorders. Specialty substance use disorder treatment providers also collaborate with CMHCs for mental health assessment and other CMHC services as needed. Individualized, gender and culturally specific substance use disorder treatment is required of all providers.

ODMHSAS currently has 18 specific outpatient contracts for adolescent substance use. All outpatient contractors are eligible to provide early intervention, outpatient, and intensive outpatient as well as other ancillary services such as outreach, peer recovery for individuals ages 16 and up. All contracted treatment agencies, whether a community mental health center or a substance use

disorder treatment agency, provide integrated co-occurring services for children and adolescents.

Residential services (ASAM levels 3.1, 3.3, 3.5, and 3.7) are available through ODMHSAS certified residential providers, many of which are contracted with ODMHSAS. ODMHSAS directly operates three SUD residential treatment facilities staffed with state employees.

A strength of the system is the manner by which services are delivered to target populations including persons who inject drugs, adolescents, underserved persons from minority and LGBT communities, pregnant and/or parenting women, and persons who are at risk of communicable diseases.

Currently, Oklahoma's Medicaid program provides coverage for two MAT medications – buprenorphine/naloxone and naltrexone. Medicaid compensable inpatient services are largely administered by the OHCA, while Medicaid compensable outpatient behavioral health services and other state-funded supports are largely administered by the ODMHSAS.

ODMHSAS, through its provider certification division, provides certification for SUD providers across the state, with the exception of tribal entities located on land not subject to state jurisdiction. Oklahoma's substance use disorder treatment and recovery services network currently provides services within all 77 Oklahoma counties. Facilities can be certified as a basic Alcohol and Drug Treatment Program providing a specific service set or as a Certified Comprehensive Addiction Recovery Center (CCARC) providing a full continuum of care, including intensive outpatient services. There are currently 16 opioid treatment programs (OTPs) in the state.

Future state

As part of this waiver, the State will add residential SUD services for Medicaid reimbursement. This will include ASAM levels 3.1, 3.3, 3.5, and 3.7; as well as adolescent residential SUD services. Additionally, the State will be requesting a waiver to provide these services and ASAM levels 3.7 medically monitored withdrawal management services and 4.0 medically managed withdrawal management services in IMDs. OHCA intends to add 2.5 Partial Hospitalization to the state plan through a SPA.

A SPA will be submitted adding Medicaid coverage of methadone for MAT. Under this demonstration, the state will require all Medicaid-enrolled residential substance abuse providers to provide MAT or have a relationship with a MAT provider to ensure access to medication for their residents. ODMHSAS has made recent improvements to the residential SUD waiting list in response to the addition of residential beds made possible through a legislative appropriation in 2019. These additional beds were added within the last year and have essentially eliminated the waiting list. ODMHSAS has transitioned the waiting list system to an online bed availability list, which requires residential providers to update their bed availability every 24-48 hours and lists the types of services available/populations served from each provider. This allows outpatient providers to access the list and make the most appropriate and timely referral to residential services if a client is assessed to meet ASAM residential/Level 3 criteria.

Milestone Criteria	Current State	Future State	Summary of Actions Needed
Coverage of outpatient services	ASAM Level 1 Outpatient services currently covered under the OHCA state plan include: SBIRT; crisis intervention; mobile crisis; assessment; service plan development; individual, group and family counseling; peer support; case management; ambulatory detox; includes delivery through telemedicine for applicable services.	No changes	No action needed
Coverage of intensive outpatient services	ASAM Level 2.5 services currently are not covered under the OHCA state plan for adults. Intensive outpatient (2.1) is not covered as a discrete service model for adults but can be reimbursed through provision of a combination of services, including psychotherapy, targeted case management, and psychosocial rehabilitation.	OHCA intends to add 2.5 Partial Hospitalization for adults to the state plan through a SPA No change	The State will draft and engage in applicable public notice requirements for SPA submission between 03.01.2022 – 07.30.2022; The State will submit a SPA with a requested effective date of October 2022; the submission will take place no later than the quarter of the requested effective date.

Milestone Criteria	Current State	Future State	Summary of Actions Needed
<p>Coverage of medication assisted treatment (medications as well as counseling and other services with sufficient provider capacity to meet needs of Medicaid beneficiaries in the state)</p>	<p>Current coverage of Buprenorphine, Naloxone, and Vivitrol</p>	<p>Adding coverage of Methadone for MAT</p>	<p>The State will submit a SPA with a requested effective date of 10/1/2020; the SPA will be submitted no later than the end of the quarter of the requested effective date or 12/31/2020.</p> <p>Support OTPs to enroll as Medicaid providers starting 10/1/2020.</p>
<p>Coverage of intensive levels of care in residential and inpatient settings</p>	<p>Residential treatment (Levels 3.1, 3.3, 3.5) are currently not covered in the State Plan but they are certified and funded through ODMHSAS; Level 3.7 Medically Monitored detox within residential settings is also covered by ODMHSAS.</p>	<p>Adding Medicaid coverage of 3.1, 3.3 and 3.5 and 3.7 and adolescent residential SUD services through the state plan and 1115 waiver demonstration</p>	<p>Approval of 1115 waiver application for implementation; Approval of residential SUD SPA with effective date of 10/1/2020</p>

Milestone Criteria	Current State	Future State	Summary of Actions Needed
Coverage of medically supervised withdrawal management	Level 3.7 Medically Monitored withdrawal management within residential settings is also covered by ODMHSAS. ASAM Level 4 Medically Managed Withdrawal inpatient services are currently covered in the State Plan	Level 3.7 Medically Monitored withdrawal management and ASAM level 4 Medically Managed withdrawal services provided in an IMD will be covered by the waiver Adding Medicaid coverage of ASAM Level 3.7 through the state plan	Approval of 1115 Waiver application for 10/1/2020 implementation; Approval of residential SUD SPA with effective date of 10/1/2020

2. Use of Evidence-based, SUD-specific Patient Placement Criteria

Specifications:

Implementation of evidence-based, SUD-specific patient placement criteria is identified as a critical milestone that states are to address as part of the demonstration. To meet this milestone, states must ensure that the following criteria are met:

- Providers assess treatment needs based on SUD-specific, multi-dimensional assessment tools, e.g., the ASAM Criteria, or other patient placement assessment tools that reflect evidence-based clinical treatment guidelines; and
- Utilization management approaches are implemented to ensure that (a) beneficiaries have access to SUD services at the appropriate level of care, (b) interventions are appropriate for the diagnosis and level of care, and (c) there is an independent process for reviewing placement in residential treatment settings.

Current state

ODMHSAS contractually requires SUD treatment providers to address both substance use and mental health needs of consumers for state funded services. To aid providers in screening clients for co-occurring disorders, screening tools are recommended but treatment providers may use the co-occurring instruments of their choice. Oklahoma currently uses an evidence-based SUD patient placement level process as well as utilization management to ensure placement in the appropriate level of care. Each consumer presenting for SUD treatment level of care is assessed according to ASAM criteria. To determine level of care and to guide treatment planning, all ODMHSAS contracted and certified SUD providers are required to complete the Addiction Severity Index (ASI). In addition, residential and SUD inpatient providers complete an ASAM-based level of service tool to support placement. Prior authorization (PA) for SUD residential services is provided by ODMHSAS. To ensure ongoing appropriate placement, ODMHSAS applies ASAM guidelines as part of the placement decision-making process.

Future state

To ensure clinically driven treatment placement across the SUD service array, OHCA/ODMHSAS will require completion of an ASAM-based level of service tool for all level of care determinations. The OHCA will work in partnership with the ODMHSAS to administer PAs for SUD services across the continuum.

Milestone Criteria	Current State	Future State	Summary of Actions Needed
Implementation of requirement that providers assess treatment needs based on SUD-specific, multi-dimensional assessment tools that reflect evidence-based clinical treatment guidelines	OHCA/ODMHSAS currently requires provider use of the Addiction Severity Index (ASI) to inform level of care and treatment planning. Residential and SUD inpatient providers are also required to determine ASAM level of care. The ASI informs the ASAM level of care determination, though the ASAM level of care determination can be completed independently without an ASI.	OHCA/ODMHSAS will require ASAM level of care determination for all level of care decision making. The State is developing an online, streamlined ASAM level of care determination tool that will automatically calculate the level of care based upon the ASAM criteria met and integrate with the PA process. This tool can either: 1) be completed using ASI information already completed or 2) be completed through a more lengthy process that gathers the needed information if an ASI has not been previously completed.	Development/ modification of tool for use in all level of care decision making (January 1, 2021); updates to prior authorization manual by 1/1/2021

Milestone Criteria	Current State	Future State	Summary of Actions Needed
<p>Implementation of a utilization management approach such that (a) beneficiaries have access to SUD services at the appropriate level of care</p>	<p>ODMHSAS currently administers PA for SUD residential services. OHCA currently administers PAs for inpatient services.</p> <p>OHCA has removed prior authorization requirements for MAT medications.</p>	<p>OHCA will adopt ODMHSAS residential PA requirements and applicable practice guidelines.</p> <p>ODMHSAS will work collaboratively with the OHCA to administer PAs for all Medicaid beneficiaries.</p> <p>OHCA will continue to administer PAs for inpatient services.</p>	<p>Updates to state rules no later than November 1, 2021.</p> <p>Develop provider education materials outlining PA requirements for applicable services. Updates to provider manual by 01/01/2021</p>
<p>Implementation of a utilization management approach such that (b) interventions are appropriate for the diagnosis and level of care</p>	<p>ODMHSAS applies ASAM guidelines as part of the decision-making process</p>	<p>OHCA will work collaboratively with the ODMHSAS to administer PAs for Medicaid beneficiaries.</p>	<p>ODMHSAS will streamline PA process and integrate with ASAM LOC tool by 1/1/2021; updates to PA manual will be completed by 1/1/2021.</p> <p>OHCA will develop additional PA oversight process by 1/1/2021.</p>

3. Use of Nationally Recognized SUD-specific Program Standards to Set Provider Qualifications for Residential Treatment Facilities

Specifications:

Through the new Section 1115 initiative, states will have an opportunity to receive federal financial participation (FFP) for a continuum of SUD services, including services provided to Medicaid enrollees residing in residential treatment facilities that qualify as institutions for mental diseases. To meet this milestone, states must ensure that the following criteria are met:

- Implementation of residential treatment provider qualifications (in licensure requirements, policy manuals, managed care contracts, or other guidance) that meet the ASAM Criteria or other nationally recognized, SUD-specific program standards regarding the types of services, hours of clinical care and credentials of staff for residential treatment settings;
- Implementation of a state process for reviewing residential treatment providers to assure compliance with these standards; and
- Implementation of a requirement that residential treatment facilities offer MAT on-site or facilitate access off site.

Current state

Under current administrative rules, ODMHSAS is responsible for certifying SUD residential providers and maintains SUD residential provider manuals. ODMHSAS may accept accreditation granted by The Joint Commission, Commission on Accreditation of Rehabilitation Facilities, or the Council on Accreditation of Services for Families and Children as compliance with certain standards; however, national accreditation is not required and may not be substituted for certification by ODMHSAS. The certification standards include requirements for staff qualifications, types of services, hours of clinical care, and discharge that align with the ASAM criteria. Rules provide requirements for staff qualifications, types of services, hours of clinical care, and discharge requirements. Ongoing compliance with state certification standards is monitored through announced and unannounced site reviews conducted by ODMHSAS certification staff.

Future state

For all residential SUD service providers, OHCA will require ODMHSAS certification as a component of Medicaid provider enrollment (with the exception of certain tribal facilities; these entities are exempt from ODMHSAS certification). If exempt from ODMHSAS certification, tribal or other entities will still be required to meet all other requirements within Milestone 3, including MAT access. Medicaid-enrolled residential SUD service providers will be required to have accreditation by a national body. Current residential treatment providers will have an opportunity to obtain accreditation and new residential treatment providers enrolling as Medicaid providers will be required to be accredited upon their initial enrollment. OHCA and ODMHSAS will develop a timeline for current residential providers to achieve national accreditation and communicate this new requirement to all current providers.

Provision of medication assisted treatment for opioid use disorder is not a current requirement for residential treatment providers. ODMHSAS and OHCA will add MAT requirements for Medicaid enrolled SUD residential providers.

ODMHSAS will develop a CON or similar process for the addition of new SUD residential service providers entering the network. Agency rules will be updated to reflect this requirement.

Milestone Criteria	Current State	Future State	Summary of Actions Needed
<p>Implementation of residential treatment provider qualifications in licensure requirements, policy manuals, managed care contracts, or other guidance.</p> <p>Qualification should meet program standards in the ASAM Criteria or other nationally recognized, SUD-specific program standards regarding, in particular, the types of services, hours of clinical care, and credentials of staff for residential treatment settings.</p>	<p>ODMHSAS currently certifies SUD residential providers (administrative rule 450:18-13) as well as maintains SUD residential provider manuals.</p> <p>The ODMHSAS may accept accreditation granted by The Joint Commission (TJC), the Commission on Accreditation of Rehabilitation Facilities (CARF), or the Council on Accreditation of Services for Families and Children, Inc. as compliance with certain specific ODMHSAS standards, but such accreditation does not supplant ODMHSAS certification. Accredited entities must also be ODMHSAS certified, with the exception of certain tribal facilities.</p> <p>Oklahoma has a Certificate of Need (CON) process for any new psychiatric or chemical</p>	<p>Medicaid-enrolled residential SUD service providers will be required to have accreditation by a national body.</p> <p>ODMHSAS will develop a CON or similar process for the addition of new SUD residential service providers entering the network.</p>	<ul style="list-style-type: none"> • Addition of SUD residential service to OHCA provider manual by 01/01/2021. • Develop timeline for national accreditation by 10/1/2020. • Communicate new accreditation requirement. • Develop CON or similar process for SUD residential providers by 12/1/2020. • Update agency rules to reflect need for CON by 01/01/2021.

	dependency beds in the state.		
Implementation of a state process for reviewing residential treatment providers to ensure compliance with these standards	Continued certification through current process. ODMHSAS may conduct a site review or visit, or an investigation, which may or may not be unannounced. The OHCA conducts onsite service quality reviews of facilities providing behavioral health services to members. The reviews are conducted pursuant to federal regulations requiring the periodic inspection of IMDs.	OHCA will adopt the current service quality reviews for SUD residential providers.	Begin Medicaid provider enrollment by 1/1/2021 & contract monitoring for SUD residential providers by 10/01/2021.
Implementation of requirement that residential treatment facilities offer MAT on-site or facilitate access off site.	Effective 11.16.2020 ODMHSAS provider certification rules require access to MAT for ASAM Level 3 providers.	ODMHSAS and/or OHCA will add MAT requirement to rules and/or contractual requirements.	Amend OHCA rules by January 2021. System changes for contractual purposes are currently underway. Communicate new requirement to providers as well as timeline for compliance starting October 2020.

4. Sufficient Provider Capacity at Critical Levels of Care including for Medication Assisted Treatment for OUD

Specifications:

To meet this milestone, states must complete an assessment of the availability of providers enrolled in Medicaid and accepting new patients in the critical levels of care listed in Milestone 1. This assessment must determine availability of treatment for Medicaid beneficiaries in each of these levels of care, as well as availability of MAT and medically supervised withdrawal management, throughout the state. This assessment should help to identify gaps in availability of services for

beneficiaries in the critical levels of care.

Current state

Oklahoma's SUD treatment and recovery services network currently provides services across the state and includes CMHCs and other ODMHSAS funded and/or Medicaid enrolled providers. Facilities can be certified as a basic Alcohol and Drug Treatment Program providing a specific service set, an Opioid Treatment Program, or as a Certified Comprehensive Addiction Recovery Center (CCARC) providing a full continuum of care, including intensive outpatient services and ambulatory withdrawal management. The ODMHSAS funded services are primarily purchased through contracts with private, for-profit and non-profit, certified agencies to provide multiple levels of withdrawal management, residential treatment, halfway house, outpatient, intensive outpatient, and early intervention services with substance abuse block grant funds and state appropriations. Currently, 11 CCARCs operate across 11 counties, with 26 site locations. Eighteen Opioid Treatment Program locations cover 10 counties in the state.

Residential programs are contractually required to report their capacity and waiting list information to the ODMHSAS daily. Residential programs utilize an on-line capacity reporting system to provide ODMHSAS with a daily accounting of bed availability.

Future state

Oklahoma will add expanded service coverage to the Medicaid service array through a state plan amendment. These services include ASAM 2.5 adult partial hospitalization, and methadone dispensed for opioid use disorder at an OTP. Through the waiver the state will add ASAM levels 3.1, 3.3, 3.5, and 3.7 residential services; as well as adolescent residential SUD services. Oklahoma is requesting waiver authority for Medicaid reimbursement for residential treatment as well as short-term medically monitored withdrawal management services delivered in an IMD.

Milestone Criteria	Current State	Future State	Summary of Actions Needed
<p>Completion of assessment of the availability of providers enrolled in Medicaid and accepting new patients in the following critical levels of care throughout the state (or at least in participating regions of the state) including those that offer MAT:</p> <p>Outpatient Services;</p> <p>Intensive Outpatient Services;</p> <p>Medication Assisted Treatment (medications as well as counseling and other services);</p> <p>Intensive Care in Residential and Inpatient Settings;</p> <p>Medically Supervised Withdrawal Management.</p>	<p>144 certified outpatient providers/94 enrolled in Medicaid.</p> <p>20 intensive outpatient providers/20 enrolled in Medicaid.</p> <p>16 OTPs and 280 DATA waived practitioners.</p> <p>Residential/inpatient services:</p> <p>3.1 – 27 providers</p> <p>3.3 – 2 providers</p> <p>3.5 – 7 providers</p> <p>3.7 – 1 provider</p> <p>4.0 - 1 provider with 10 beds; Medicaid-enrolled psychiatric units.</p>	<p>Expanded Medicaid services to include Intensive ASAM Level 2.5 Partial Hospitalization; and ASAM Levels 3.1, 3.3, 3.5, and 3.7 Residential Services.</p> <p>Add adolescent residential SUD services to Medicaid array.</p> <p>Add ASAM Level 4 coverage in IMDs.</p> <p>Enrollment of providers and mid-level clinicians currently not serving Medicaid beneficiaries.</p>	<p>Medicaid waiver and expenditure authority requested with an effective date of 10.01.2020.</p> <p>State plan amendment to add ASAM Levels 3.1, 3.3, 3.5, and 3.7 Residential Services effective 10.01.2020.</p> <p>State plan amendment to add partial hospitalization for adults effective 10.01.2022.</p> <p>Education and engagement of new Medicaid providers begins upon waiver approval beginning no later than 01.01.2021.</p>

5. Implementation of Comprehensive Treatment and Prevention Strategies to Address Opioid Abuse and OUD

Specifications:

To meet this milestone, states must ensure that the following criteria are met:

- Implementation of opioid prescribing guidelines along with other interventions to prevent prescription drug abuse;
- Expanded coverage of and access to naloxone for overdose reversal; and
- Implementation of strategies to increase utilization and improve functionality of prescription drug monitoring programs.

Current state

Oklahoma's public health approach for substance abuse prevention services utilizes the Strategic Prevention Framework and focuses on decreasing risk and causal factors, such as the availability of alcohol and drugs, community norms regarding the acceptability of high-risk behaviors, the promotion of alcohol products, reducing family conflict, and youth impulsiveness. ODMHSAS contracts with organizations to plan and implement a public health-based prevention strategy in multiple high-need communities and sectors on data-driven alcohol and other drug priorities.

Oklahoma has implemented strategies for the prevention of OUD as well as improving treatment access. The State has established opioid prescribing and dispensing guidelines, and the ODMHSAS offers continuing education courses for healthcare practitioners. The OHCA has published a pain management tool kit that contains treatment protocols, guidelines for prescriptions, practice tools, and protocols for substance abuse screening and referral for treatment. The ODMHSAS and OHCA have provided practitioner education of evidence-based guidelines that have improved pain management and prescribing practices. The ODMHSAS and OHCA provide pain management practice facilitation to primary care practices across the state, including medical home sites. The ODMHSAS implements Screening, Brief Intervention, and Referral to Treatment (SBIRT) practice dissemination services in healthcare settings across the state.

Oklahoma leveraged a portion of their State Opioid Response (SOR) grant to support and expand efforts related to OUD prevention and treatment, including overdose education and naloxone distribution. From April 2019 to March 2020, ODMHSAS trained and provided naloxone to over 335 law enforcement officers in more than 100 agencies statewide and provided more than 3,000 replacement kits to agencies previously trained in naloxone administration; another 8,400 individuals were equipped through expanded prevention hubs, of which there are 70 in the state. More than 1,400 kits were distributed to schools, youth-serving organizations, and individuals specifically to protect youth 19 and under through a partnership with the OHCA and through Title XXI Health Service Initiative funding. Continued partnerships with pharmacies and community-based agencies throughout the state have promoted the availability of naloxone for general public access to naloxone medication and overdose prevention education. Naloxone is available without a prescription.

By Oklahoma law, it is mandatory that providers check the Oklahoma Prescription Monitoring Program (PMP) prior to prescribing and every 180 days prior to authorizing refills for opiates, synthetic opiates, semi-synthetic opiates, benzodiazepines, or carisoprodol. Dispensers of

controlled substances are required to submit prescription information within 5 minutes of dispensing a scheduled medication. An ongoing statewide integration project allows providers to access PMP information through their electronic health records. OHCA, ODMHSAS, and the Department of Health continue to partner on collaborative efforts to strategically use PMP data for continuous system improvement, provider education, and public health intervention design.

Future state

Milestone met. The state will continue to support wide availability of naloxone as well as robust provider use of the PMP.

Milestone Criteria	Current State	Future State	Summary of Actions Needed
<p>Implementation of opioid prescribing guidelines along with other interventions to prevent opioid abuse.</p>	<p>Prescribing guidelines are posted at: https://www.ok.gov/health2/documents/Oklahoma_Opioid_Prescribing_Guidelines_2017.pdf</p> <p>In partnership with University of Oklahoma, the state has improved pain management and prescribing practices through re-education of evidence-based guidelines and practice dissemination efforts; State provides pain management practice facilitation to PCMH sites.</p> <p>Oklahoma Medicaid has implemented step edits and prior authorization criteria which can be found here: http://www.okhca.org/providers.aspx?id=12090#34. In addition, quantity limits and an MME limit of 90 per day have also been put in place.</p> <p>SB 1446 (effective 11/1/2018) mandates an initial supply for a new patient of no more than 7 days and the lowest effective dose.</p>	<p>Milestone met.</p>	<p>No action needed.</p>

Milestone Criteria	Current State	Future State	Summary of Actions Needed
Expanded coverage of, and access to, naloxone for overdose reversal	<p>The state has operated an overdose education and naloxone distribution program since 2014 with thousands of Naloxone kits distributed.</p> <p>ODMHSAS has partnered with medical licensure boards and associations to provide CME courses to Oklahoma prescribers on controlled substance prescribing, patient safety and behavioral health.</p> <p>Ongoing work with pharmacies to make naloxone available statewide.</p>	Milestone met.	No action needed.

Milestone Criteria	Current State	Future State	Summary of Actions Needed
<p>Implementation of strategies to increase utilization and improve functionality of prescription drug monitoring programs.</p>	<p>The Oklahoma PMP requires dispensers of controlled substances to submit prescription information within five minutes of dispensing a scheduled narcotic.</p> <p>ODMHSAS receives PMP data and has utilized data for epidemiological risk assessments, planning overdose prevention and primary care practice improvement programs, and informing state and community-level opioid prevention and treatment efforts.</p> <p>The OHCA, ODMHSAS, and the State Department of Health have partnered on collaborative efforts to strategically utilize PMP data for prescriber, dispenser, and patient education.</p> <p>Continuing statewide integration efforts allows providers immediate access to the PMP through their EHR.</p>	<p>The OHCA, ODMHSAS, and the State Department of Health will continue to convene an ad hoc PMP advisory committee to solve problems, share information, plan partnership projects, and discuss system needs or enhancements.</p> <p>A current RFP is underway to provide a statewide HIE. The new system will establish interoperability with existing state systems including state agency interoperability system (Health-e Oklahoma) and the Oklahoma Prescription Drug Monitoring Program (PDMP) to support Medicaid and behavioral health initiatives and increase capability to integrate PDMP data into Provider EHRs.</p>	<p>Following award of HIE contract on or about January February 1, 2021 with implementation of it occurring approximately 1-2 weeks after contract is signed.</p>

Milestone Criteria	Current State	Future State	Summary of Actions Needed
Other	Through the federal grant programs prevention and treatment providers were trained in SUD EBPs, including MAT and other best practices.	Continue to support provider education and skill development.	N/A

6. Improved Care Coordination and Transitions between Levels of Care

Specifications:

To meet this milestone, states must implement policies to ensure residential and inpatient facilities link beneficiaries, especially those with OUD, with community-based services and supports following stays in these facilities.

Current state

Oklahoma has policies and practices to ensure care coordination and linkage to resources throughout their SUD care continuum. Through provider contracts and administrative rules, care coordination and transition across levels of care are required. Requirements for SUD providers include screening and referral as well as case management to connect persons with the right level of care and community supports. Case management is offered to all persons to ensure access to needed services.

In addition, policies exist that address care coordination for co-occurring physical and mental health conditions. CMHCs have contractual requirements to engage with discharged patients within 7 days and are eligible for a supplemental payment based on outcome measures including patient follow up within 7 days of discharge. Four Certified Community Behavioral Health Centers (CCBHCs) operate in the state and provide transitional care for hospitalized persons. CCBHCs document attempts to contact persons within 24 hours of discharge. Inpatient psychiatric providers are required by state administrative rules to have a discharge plan for adults that documents the individual’s hospitalization, recommendations for follow-up and aftercare, to include referral to medication management, outpatient behavioral health counseling, and/or case management, and a summary of the beneficiary's condition at discharge.

Future state

Milestone met. Oklahoma will continue to provide linkage and care coordination as persons transition across levels of care.

Milestone Criteria	Current State	Future State	Summary of Actions Needed
<p>Implementation of policies to ensure residential and inpatient facilities link beneficiaries with community-based services and supports following stays in these facilities.</p>	<p>Care coordination services and transition across levels of care are integrated within ODMHSAS contracts and administrative rules for providers.</p> <p>The Addiction Severity Index (ASI) and ASAM criteria are used to determine level of care including discharge decisions.</p> <p>Community based SUD providers are required to offer case management within one week of discharge.</p>	<p>Milestone met.</p>	<p>N/A</p>
<p>Additional policies to ensure coordination of care for co-occurring physical and mental health conditions.</p>	<p>State protocols – have discharge planning requirements on inpatient providers & CMHCs have to engage within 7 days (CMHC contractual requirement). CMHC supplemental payment program based on outcome measures; one measure is 7-day follow up.</p>	<p>Milestone met.</p>	<p>N/A</p>

Milestone Criteria	Current State	Future State	Summary of Actions Needed
	<p>State rules require certified SUD providers discharge planning and continuing care plans with referrals as needed.</p> <p>Targeted case management is available for individuals at risk for SUD or SMI hospitalizations.</p> <p>Four CCBHCs operating in OK provide integrated care, including SBIRT and care management (covers NE region of state, OK city metro area, Tulsa metro area). Transitional care is provided by the CCBHC for persons who have been hospitalized or placed in other non-community settings. The CCBHC will make and document reasonable attempts to contact all consumers who are discharged from these settings within 24 hours of discharge.</p>		

Section II – Implementation Administration

Please provide the contact information for the state’s point of contact for the Implementation plan.

Name and Title: Traylor Rains, Deputy State Medicaid Director
 Telephone Number: (405) 522-9564
 Email Address: Traylor.Rains@okhca.org

Name and Title: Sandra Puebla, Senior Director of Federal & State Authorities
Telephone Number: (405) 522-7270
Email Address: Sandra.Puebla@okhca.org

Section III – Relevant Documents

Please provide any additional documentation or information that the state deems relevant to successful execution of the implementation plan.

Attachment A – Template for SUD Health Information Technology (IT) Plan

Section I.

Specifications

SUD Demonstration Milestone 5.0, Specification 3: Implementation of Strategies to Increase Utilization and Improve Functionality of PDMP

The specific milestones to be achieved by developing and implementing an SUD Health IT Plan include:

- Enhancing the health IT functionality to support PDMP interoperability; and
- Enhancing and/or supporting clinicians in their usage of the state's PDMP.

Enhancing the Health IT Functionality to Support PDMP Interoperability

Oklahoma began efforts to achieve statewide interoperability with funds appropriated through the State Health Information Exchange Cooperative Agreement Program (SHIECAP) beginning in 2011. There are currently two private HIEs exchanging data with Oklahoma healthcare providers; three large healthcare systems using EPIC; and an unknown number of health information service providers (HISPs).

OHCA made great strides in the adoption of EHRs through the Electronic Health Record Incentive Program. Unfortunately, behavioral health provider facilities were not eligible for the incentive payments. To bolster interoperability for behavioral health providers, the ODMHSAS applied for and received a grant through SAMHSA's Center for Integrated Health Solutions. Through a voucher program, behavioral health providers work with a certified health information organization (HIO) to connect via a secure, electronic means to communicate, share medical records, perform referrals, obtain lab and pharmacy data electronically, submit reportable data to the Oklahoma State Department of Health (OSDH), and establish interconnectivity to facilitate care coordination. The voucher funding offsets the initial cost of signing up with a certified HIO to electronically exchange health information. Because of the wide variation in the degree of health information technology and the confidentiality regulations around sharing substance use disorder data, the behavioral health voucher program was two tiered. The first tier allowed the providers to see the HIE data through a web portal and share information via DIRECT Secure Messaging to other providers using the messaging system. The second tier allowed them to share data from their EHR or other systems of records.

Prior to the award there were 21 behavioral health providers linked to an HIE in the State. These providers were associated with primary care hospitals or large health centers. There were no safety net behavioral health providers who serve individuals with no resources to pay for treatment. Through this project, funding was made available to 27 behavioral health agencies for 365 clinical connections with HIEs. This is a 34% penetration rate of

eligible providers. Tier 1 vouchers were used to connect 23 individual clinicians to an HIE through DIRECT and a web portal at seven agencies, and Tier 2 vouchers provided full interfaces to 20 agencies, with 342 individuals clinicians having connections. All of the providers participating in the voucher program serve individuals through Medicaid, state or federal block grant funding. Due to the lack of a statewide HIE and the two existing HIEs being regional, many providers who had the ability to connect to an HIE, found data of only a few of their clients and eventually stopped looking. This barrier should be remedied with the OHCA's RFP for a statewide HIE.

In 2014, the Oklahoma Health and Human Services cabinet, comprised of top agency officials, chartered the Deliver Interoperable Components Utilizing Shared Services (DISCUSS) committee to collaboratively share resources among the Oklahoma Health and Human Services agencies for the development and implementation of shared information technology products, services, and technology frameworks. Members of DISCUSS include the Department of Health, Department of Human Services, Department of Mental Health and Substance Abuse Services, Department of Rehabilitation Services, and the Health Care Authority. Members agreed to create a shared-services state agency interoperability system that would facilitate the sharing of the state's data across agencies, connect the disparate state systems together for increased efficiencies of reporting by providers and health systems, increase the effectiveness of program operations across the health and social service agencies that are serving needy Oklahomans, and protect public health interests in the state. The state agency solution strategy protects the privacy of individuals in Oklahoma by protecting sensitive state health data that can't be shared outside of explicit purpose-of-use under state program rules through tight protocols that allow access only to authorized state agency staff with appropriate public health and program management purposes.

Enhancing and/or Supporting Clinicians in their Usage of the State's PDMP

In October 2019 OHCA and the Office of Management and Enterprise Services solicited for proposals for a statewide health information exchange called the Oklahoma Statewide Health Information Network and Exchange (OKSHINE). Oklahoma is looking to achieve statewide health information exchange to allow health information to flow seamlessly to and from authorized organizations and individuals in Oklahoma.

The overall scope of work (SOW) for this engagement encompasses the a provider onboarding program; integration with existing state systems including the master person index and provider directory; admission, discharge, transfer (ADT) notifications to physicians and care management teams; care coordination through exchange of patient clinical records; production and analytics of electronic clinical quality measures (eCQMs); interoperability with existing state systems including state agency interoperability system (Health-e Oklahoma), Medicaid, behavioral health and public health to support state initiatives and surveillance.

Major components of this project include:

- Develop a provider onboarding program to establish a connection for bi-directional exchange with Medicaid and other non-Medicaid provider EHRs
- Provide integration with existing state systems including the master person index and provider directory
- Establish an ADT-based notification system to provide physicians and care management teams with necessary clinical information to improve transitions of care
- Promote care coordination through the exchange of patient clinical records quickly, securely, and electronically across participating Oklahoma healthcare providers and other state and national health information exchanges
- Provide production and analytics of electronic clinical quality measures (eCQMs)
- Establish interoperability with existing state systems including state agency interoperability system (Health-e Oklahoma) and the Oklahoma Prescription Drug Monitoring Program (PDMP) to support Medicaid and behavioral health initiatives and care
- Develop capability to integrate PDMP data into Provider EHRs
- Connect current eligible professionals registered in the SoonerCare EHR Program and additional providers in the following categories:
 - Critical physical health: Medicaid providers who participate in: Patient-Centered Medical Homes (PCMH), Federally Qualified Health Centers (FQHC), Rural Health Centers, IHS, tribal and urban health clinics, and community health centers.
 - Major Trading Partners: Major trading Partners include hospitals, health systems, multispecialty clinics, laboratories and radiology, especially those that affect the value of HIE for smaller and rural/frontier providers.
 - Oral health: Clinics and providers serving Medicaid members.
 - Behavioral health: Community Mental Health Programs, Certified Community Behavioral Health Centers, Certified Addiction and Recovery Centers, Opioid Treatment Programs, Behavioral Health Homes, Assertive Community Treatment teams, mobile crisis teams, and other state licensed behavioral health organizations.

Table 1. State’s HIT PDMP Assessment & Plan

Statements of Assurance:

Assurance 1: The State has a sufficient health IT infrastructure/ecosystem at every appropriate level (i.e. state, delivery system, health plan/MCO and individual provider) to achieve the goals of the demonstration.

Assurance 2: The State’s SED/SPMI Health IT Plan is aligned with the state’s broader State Medicaid Health IT Plan and, as applicable, the state’s Behavioral Health IT Plan

Assurance 3: The State intends to assess the applicability of standards referenced in the [Interoperability Standards Advisory \(ISA\)](#) and 45 CFR 170 Subpart B and, based on that assessment, intends to include them as appropriate in relevant State procurements.

Prescription Drug Monitoring Program (PDMP) Functionalities			
Milestone Criteria	Current State	Future State	Summary of Actions Needed
Enhanced interstate data sharing in order to better track patient specific prescription data.	State law allows for the sharing of PMP information with other states' PMP when a reciprocal data-sharing agreement is in place. Partnerships are in place with the VA and IHS.	Milestone met.	N/A
Enhanced "ease of use" for prescribers and other state and federal stakeholders.	Statewide integration allows provider immediate access to the PMP through their electronic health records.	Continue to support PMP integration with provider EHRs. In accordance with the State HIE RFP and subsequent contract, the OKSHINE vendor is required to, "... establish Interoperability with existing state systems including state agency interoperability system (Health-e Oklahoma) and the Oklahoma Prescription Drug Monitoring Program (PDMP) to support Medicaid and behavioral health initiatives and care coordination, and public health surveillance. Activities will include, at a minimum: Develop an execution plan with scope definition; objectives and activities; quality and technical specifications	Ongoing provider training and access to web-based manuals ; award, implementation, and monitoring of State HIE contract. See also Attachment 1, Schedule of Activities for State HIE (OKSHINE) Procurement

		including a technical architectural diagram, resources/staffing, timeline, risks and mitigation strategy, and organizational considerations; Implement the exchange of information with the state agency interoperability system (Health-e Oklahoma) for state use. Develop capability to integrate PDMP data into Provider EHRs.”	
Enhanced connectivity between the state’s PDMP and any statewide, regional or local health information exchange.	On a regional basis the PMP has real-time reporting and HIE integration. ODMHSAS has partnered with the OHCA and the State Department of Health on collaborative efforts to strategically utilize PMP data for prescriber, dispenser, and patient education	New statewide HIE will enhance the PDMP integration with provider networks and EHRs. Also see previous “future state” text.	Following award of HIE contract on or about February 2021 with implementation of it occurring approximately 1-2 weeks after contract is signed. See also Attachment 1, Schedule of Activities for State HIE (OKSHINE) Procurement
Enhanced identification of long-term opioid use directly correlated to clinician prescribing patterns ³ (see also “Use of PDMP” #2 below).	ODMHSAS has partnered with the OHCA and the State Department of Health on collaborative efforts to strategically utilize PMP data for prescriber, dispenser, and patient education.	Continued partnerships for data sharing and strategic use.	N/A
Current and Future PDMP Query Capabilities			

<p>Facilitate the state’s ability to properly match patients receiving opioid prescriptions with patients in the PDMP (i.e. the state’s master patient index (MPI) strategy with regard to PDMP query).</p>	<p>ODMHSAS has partnered with the OHCA and the State Department of Health on collaborative efforts to strategically utilize PMP data for prescriber, dispenser, and patient education. Also see Master Patient Index / Identity Management section below.</p>	<p>New statewide HIE will provide integration with existing state systems including the master person index and provider directory. Also see Master Patient Index / Identity Management section below.</p>	<p>Following award of HIE contract on or about February 2021 with implementation of it occurring approximately 1-2 weeks after contract is signed. See also Attachment 1, Schedule of Activities for State HIE (OKSHINE) Procurement</p>
<p>Use of PDMP – Supporting Clinicians with Changing Office Workflows / Business</p>			
<p>Develop enhanced provider workflow / business processes to better support clinicians in accessing the PDMP prior to prescribing an opioid or other controlled substance to address the issues which follow.</p>	<p>Statewide integration initiative allows provider immediate access to the PMP through their electronic health records.</p>	<p>New statewide HIE will connect additional providers in the following categories: Physical health Oral health Health systems Behavioral health.</p>	<p>Following award of HIE contract on or about February 2021 with implementation of it occurring approximately 1-2 weeks after contract is signed. See also Attachment 1, Schedule of Activities for State HIE (OKSHINE) Procurement</p>
<p>Develop enhanced supports for clinician review of the patients’ history of controlled substance prescriptions provided through the PDMP—prior to the issuance of an opioid prescription.</p>	<p>Statewide integration allows provider immediate access to the PMP through their electronic health records.</p>	<p>New statewide HIE will connect additional providers in the following categories: Physical health Oral health Health systems Behavioral health.</p>	<p>Following award of HIE contract on or about February 2021 with implementation of it occurring approximately 1-2 weeks after contract is signed. See also Attachment 1, Schedule of Activities for State HIE (OKSHINE) Procurement</p>

Master Patient Index / Identity Management			
Enhance the master patient index (or master data management service, etc.) in support of SUD care delivery.	The State currently utilizes a platform called OKDHSLive! (https://www.okdhslive.org/); however, efforts are underway to connect with the Oklahoma State Department of Health's (OSDH) NextGate eMPI. Refer to next column.	It is the state's intent to utilize the OSDH's Nextgate enterprise Master Person Index (eMPI). The Nextgate eMPI will interface with all existing identification systems in order to retrieve data from all other state data sources. The NextGate eMPI is already operational at the OSDH and is in the midst of connecting to other state agencies.	Following award of HIE contract on or about February 2021 with implementation of it occurring approximately 1-2 weeks after contract is signed. State HIE vendor will perform configuration and system mapping when taking over the eMPI. See also Attachment 1, Schedule of Activities for State HIE (OKSHINE) Procurement
Overall Objective for Enhancing PDMP Functionality & Interoperability			
Leverage the above functionalities / capabilities/supports (in concert with any other state health IT, TA or workflow effort) to implement effective controls to minimize the risk of inappropriate opioid overprescribing—and to ensure that Medicaid does not inappropriately pay for opioids.	On a regional basis the PMP has real-time reporting and HIE integration. Statewide integration allows provider immediate access to the PMP through their electronic health records. ODMHSAS has partnered with the OHCA and the State Department of Health on collaborative efforts to strategically utilize PMP data for prescriber, dispenser,	New statewide HIE will include a centralized data repository with integrated clinical and claims data to support value-based care initiatives and population health management including tracking trends and preventative care, identifying health disparities, and helping patients manage chronic medical conditions. Integrated clinical and claims data will provide an integrated, longitudinal health record used to	Following award of HIE contract on or about February 2021 with implementation of it occurring approximately 1-2 weeks after contract is signed. See also Attachment 1, Schedule of Activities for State HIE (OKSHINE) Procurement

	and patient education.	<p>identify gaps in clinical data and identify additional services (dental, optical, etc.) and filled prescriptions to support Medicaid providers in meeting Meaningful Use requirements beyond HITECH funding.</p> <p>It is the State’s long-term goal to have the statewide HIE acting as the main data source to support SUD monitoring and evaluation activities. However, as it will take time for the statewide HIE to connect to all relevant data sources, MMIS, OKPDMP and other supporting data sources will be used initially to meet this criteria.</p>	
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Attachment A, Section II – Implementation Administration

Please provide the contact information for the state’s point of contact for the SUD Health IT Plan.

Name and Title: Traylor Rains, Deputy State Medicaid Director

Telephone Number: (405) 522-9564

Email Address: Traylor.Rains@okhca.org

Attachment A, Section III – Relevant Documents

Please provide any additional documentation or information that the state deems relevant to successful execution of the implementation plan.

ATTACHMENT 1

Schedule of Activities for State HIE (OKSHINE) Procurement

Task Name	Responsible	% Complete	Start	Finish
HITECH 10.0 APD w/HIE APP D		55%	10/1/19	11/10/21
HITECH 9.2 Approval	CMS	100%	10/1/19	10/1/19
Concept Development Phase	OHCA, OSDH	50%	10/21/19	1/24/20
RFP & Contract Approval		45%	10/22/19	2/10/21
Modify current draft & obtain Req #	OHCA Contracts	100%	10/22/19	10/23/19
Coordinate changes with OMES	OHCA Contracts	100%	10/24/19	10/24/19
OMES approval to release	OMES	100%	10/25/19	10/28/19
Release of RFP	OMES	100%	10/28/19	10/29/19
Field and answer bidder questions	OMES/OHCA	100%	10/30/19	11/27/19
HIE RFP out for bids	OMES	100%	10/29/19	12/31/19
Bidding Closed	OMES	100%	12/31/19	12/31/19
Evaluate Bid for Responsivness	OMES	100%	1/1/20	1/13/20
Proposals submitted to Evaluation Committee	Eval Team	100%	1/14/20	1/14/20
Evaluators submit questions to contracts for bidders	Eval Team	100%	1/14/20	1/24/20
Bidders respond to Evaluators questions	OMES	100%	1/15/20	1/24/20
Clarification Items Due to	OHCA Contracts	100%	1/27/20	1/27/20

OMES				
Evaluators calculate initial bid scores	Eval Team	100%	2/7/20	2/14/20
Evaluators send scores to OHCA	Evaluators	100%	2/14/20	2/14/20
OHCA verifies initial scores	Susan Geyer	100%	2/14/20	2/14/20
Evaluators collaborate on discrepancies	Evaluators	100%	2/17/20	2/24/20
OMES validate evaluator initial scores	OMES	100%	2/25/20	3/3/20
Top bidders selected for Demonstrations	OHCA	100%	3/3/20	3/3/20
Bidders notified of Demonstration	OHCA	100%	3/4/20	3/18/20
Coordination of Demonstration w/ vendors and evaluators	OHCA	100%	3/4/20	3/18/20
Bidder Demonstration	Bidders + Eval Team + select others	100%	4/1/20	4/1/20
Pause	All	100%	4/2/20	5/29/20
Vendor clarifications	OMES	100%	6/1/20	6/12/20
Clarifications requested, received & Evaluators review clarifications	Eval Team	100%	6/15/20	7/24/20
decision for second group of demos & Coordinate second set of demos		100%	7/27/20	9/11/20
Second set of demos	Vendors, Eval Tm	100%	9/11/20	9/11/20
Evaluators recommend vendor for award	Eval Team	0%	9/14/20	10/1/20
Final scores entered	OHCA Contracts	0%	10/2/20	10/5/20
Selection of		0%	10/6/20	10/19/20

vendor				
Security review for Selected Vendor	OMES, OHCA	0%	10/20/20	11/16/20
Legal review for Selected Vendor	OMES, OHCA	0%	10/20/20	11/16/20
Vendor Registration with SOS and OMES	OMES, OHCA, SOS	0%	10/20/20	11/9/20
OK Tax permit/exemption obtained	OMES	0%	10/20/20	10/26/20
Vendor BAFO	OMES/OHCA	0%	11/17/20	11/23/20
Vendor registration in PeopleSoft if Necessary	OMES	0%	11/17/20	11/17/20
HIE Contract template development	OHCA	0%	10/20/20	11/23/20
Final Draft Contract developed	OMES/OHCA	0%	11/24/20	11/30/20
Final Draft Contract Complete	OMES/OHCA	0%	12/1/20	12/1/20
Final Draft Contract sent to CMS for approval	OHCA HIE staff	0%	12/1/20	1/30/21
Contract finalized/signed	OHCA	0%	2/1/21	2/3/21
Signed contract sent to CMS	OHCA HIE staff	0%	2/3/21	2/3/21
Start of Contract Implementation	OHCA HIE staff, HIE	0%	2/10/21	2/10/21

**Medicaid Section 1115 Serious Mental Illness and Serious
Emotional Disturbance Demonstrations
Monitoring Protocol Template**

Note: PRA Disclosure Statement to be added here

1. Title page for the state’s serious mental illness and serious emotional disturbance (SMI/SED) demonstration or the SMI/SED component of the 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. Definitions for certain rows are below the table.

State	<i>Oklahoma</i>
Demonstration name	<i>Institutions for Mental Diseases Waiver for Serious Mental Illness/Substance Use Disorder</i>
Approval period for section 1115 demonstration	<i>12/22/2020-12/31/2025</i>
SMI/SED demonstration start date^a	<i>12/22/2020</i>
Implementation date of SMI/SED demonstration, if different from SMI/SED demonstration start date^b	<i>12/22/2020</i>
SMI/SED (or if broader demonstration, then SMI/SED - related) demonstration goals and objectives	<i>Reduced utilization of emergency departments; Reduced preventable readmissions to acute care hospitals and residential settings; Improved availability of crisis stabilization services; Improved access to community-based services; Improved care coordination</i>

^a **SMI/SED demonstration start date:** For monitoring purposes, CMS defines the start date of the demonstration as the *effective date* listed in the state’s STCs at time of SMI/SED demonstration approval. For example, if the state’s STCs at the time of SMI/SED demonstration approval note that the SMI/SED demonstration is effective January 1, 2020 – December 31, 2025, the state should consider January 1, 2020 to be the start date of the SMI/SED demonstration. Note that the effective date is considered to be the first day the state may begin its SMI/SED demonstration. In many cases, the effective date is distinct from the approval date of a demonstration; that is, in certain cases, CMS may approve a section 1115 demonstration with an effective date that is in the future. For example, CMS may approve an extension request on 12/15/2020, with an effective date of 1/1/2021 for the new demonstration period. In many cases, the effective date also differs from the date a state begins implementing its demonstration.

^b **Implementation date of SMI/SED demonstration:** The date the state began claiming federal financial participation for services provided to individuals in institutions of mental disease.

2. Acknowledgement of narrative reporting requirements

The state has reviewed the narrative questions in the Monitoring Report Template provided by CMS and understands the expectations for quarterly and annual monitoring reports. The state will provide the requested narrative information (with no modifications).

3. Annual Assessment of the Availability of Mental Health Services reporting

The state will use data as of the following month and day of each calendar year to conduct its Annual Assessment of the Availability of Mental Health Services: *February 28*

4. Acknowledgement of budget neutrality reporting requirements

The state has reviewed the Budget Neutrality Workbook provided by the CMS demonstration team and understands the expectations for quarterly and annual monitoring reports. The state will provide the requested budget neutrality information (with no modifications).

5. Retrospective reporting

The state is not expected to submit metrics data until after monitoring protocol approval, to ensure that data reflects the monitoring plans agreed upon by CMS and the state. Prior to monitoring protocol approval, the state should submit quarterly and annual monitoring reports with narrative updates on implementation progress and other information that may be applicable, according to the requirements in its STCs.

For a state that has monitoring protocols approved after one or more initial quarterly monitoring report submissions, it should report metrics data to CMS retrospectively for any prior quarters of the section 1115 SMI/SED demonstration that precede the monitoring protocol approval date. A state is expected to submit retrospective metrics data—provided there is adequate time for preparation of these data—in its second monitoring report submission that contains metrics. The retrospective report for a state with a first SMI/SED DY of less than 12 months should include data for any baseline period quarters preceding the demonstration, as described in Part A of the state’s monitoring protocol (see Appendix B of the instructions for further guidance determining baseline periods for first SMI/SED DYs that are less than 12 months). If a state needs additional time for preparation of these data, it should propose an alternative plan (i.e., specify the monitoring report that would capture the data) 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 its demonstration through the end of the current reporting period. The state should report this information in Part B of its report submission (Section 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. Unlike other monitoring report submissions, for instance, the state is not required to describe all metrics changes (+ or - greater than 2 percent). Rather, the assessment is an opportunity for the state to provide context for its

retrospective metrics data, to support CMS’s review and interpretation of these data. 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 monitoring 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.

For further information on how to compile and submit a retrospective report, the state should review Section B of the Monitoring Report Instructions document.

The state will report retrospectively for any quarters prior to monitoring protocol approval as described above, in the state’s second monitoring report submission that contains metrics after monitoring protocol 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. The state should provide justification for its proposed alternative plan.*

1. Title page for the state’s substance use disorder (SUD) demonstration or the SUD component of the broader demonstration

The state should complete this title page as part of its 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. Definitions for certain rows are below the table.

State	<i>Oklahoma</i>
Demonstration name	<i>Institutions for Mental Diseases Waiver for Serious Mental Illness/Substance Use Disorder</i>
Approval period for section 1115 demonstration	<i>12/22/2020-12/31/2025</i>
SUD demonstration start date^a	<i>12/22/2020</i>
Implementation date of SUD demonstration, if different from SUD demonstration start date^b	<i>01/18/2021</i>
SUD (or if broader demonstration, then SUD-related) demonstration goals and objectives	<i>Increased rates of identification, initiation and engagement in treatment for SUD/OD; Increased adherence to and retention in treatment for SUD/OD; Reduced utilization of emergency department and inpatient hospital settings where utilization is preventable or medically inappropriate; Improved access to care for physical health conditions; Fewer preventable/medically inappropriate readmissions to the same or higher level of care; Reduction in overdose death, particularly those due to opioids.</i>

^a **SUD demonstration start date:** For monitoring purposes, CMS defines the start date of the demonstration as the *effective date* listed in the state’s STCs at time of SUD demonstration approval. For example, if the state’s STCs at the time of SUD demonstration approval note that the SUD demonstration is effective January 1, 2020 – December 31, 2025, the state should consider January 1, 2020 to be the start date of the SUD demonstration. Note that the effective date is considered to be the first day the state may begin its SUD demonstration. In many cases, the effective date is distinct from the approval date of a demonstration; that is, in certain cases, CMS may approve a section 1115 demonstration with an effective date that is in the future. For example, CMS may approve an extension request on 12/15/2020, with an effective date of 1/1/2021 for the new demonstration period. In many cases, the effective date also differs from the date a state begins implementing its demonstration.

^b **Implementation date of SUD demonstration:** The date the state began claiming federal financial participation for services provided to individuals in institutions for mental disease.

2. Acknowledgement of narrative reporting requirements

The state has reviewed the narrative questions in the Monitoring Report Template provided by CMS and understands the expectations for quarterly and annual monitoring reports. The state will provide the requested narrative information (with no modifications).

3. Acknowledgement of budget neutrality reporting requirements

The state has reviewed the Budget Neutrality Workbook provided by the CMS demonstration team and understands the expectations for quarterly and annual monitoring reports. The state will provide the requested budget neutrality information (with no modifications).

4. Retrospective reporting

The state is not expected to submit metrics data until after protocol approval, to ensure that data reflects the monitoring plans agreed upon by CMS and the state. Prior to monitoring protocol approval, the state should submit quarterly and annual monitoring reports with narrative updates on implementation progress and other information that may be applicable, according to the requirements in its STCs.

For a state that has monitoring protocols approved after one or more initial quarterly monitoring report submissions, it should report metrics data to CMS retrospectively for any prior quarters of the section 1115 SUD demonstration that precede the monitoring protocol approval date. A state is expected to submit retrospective metrics data—provided there is adequate time for preparation of these data—in its second monitoring report submission that contains metrics. The retrospective report for a state with a first SUD DY of less than 12 months, should include data for any baseline period quarters preceding the demonstration, as described in Part A of the state’s monitoring protocols (see Appendix B of the instruction for further guidance determining baseline periods for first SUD DYs that are less than 12 months.) If a state needs additional time for preparation of these data, it should propose an alternative plan (i.e., specify the monitoring report that would capture the data) for reporting retrospectively on its section 1115 SUD 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 its demonstration through the end of the current reporting period. The state should report this information in Part B of its report submission (Section 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 the metrics data. Unlike other

monitoring report submissions, for instance, the state is not required to describe all metric changes (+ or - greater than 2 percent). Rather, the assessment is an opportunity for a state to provide context on its retrospective metrics data and to support CMS's review and interpretation of these data. For example, consider a state that submits data showing an increase in the number of medication-assisted treatment (MAT) providers (Metric #14) over the course of the retrospective reporting period. This state may decide to highlight this trend for CMS in Part B of its report (under Milestone 4) by briefly summarizing the trend and explaining that during this period, a grant supporting training for new MAT providers throughout its state was implemented.

For further information on how to compile and submit a retrospective report, the state should review Section B of the Monitoring Report Instructions document.

- The state will report retrospectively for any quarters prior to monitoring protocol approval as described above, in the state's second monitoring report submission that contains metrics after protocol approval.
- The state proposes an alternative plan to report retrospectively for any quarters prior to monitoring protocol approval: *Insert narrative description of proposed alternative plan for retrospective reporting. The state should provide justification for its proposed alternative plan.*

What follows are the planned metrics tabs from the SMI and SUD monitoring protocol workbook (part A). The full workbook is available in spreadsheet format on Medicaid.gov.

Section 1115 Institutions for Mental Diseases Waiver for Serious Mental Illness/Substance Use Disorder

State: Oklahoma

Demonstration Name: Oklahoma Institutions for Mental Diseases Waiver for Serious Mental Illness/Substance Use Disorder

Standard information on CMS-provided metrics		Baseline, annual goals, and demonstration target										Alignment with CMS-provided technical specifications manual			Planned metrics reporting		
#	Metric name	Metric description	Milestone or reporting type	Metric type	Reporting category	Data source	Measurement period	Reporting frequency	Reporting priority	State will report (Y/N)	Baseline Reporting Period (MM/DD/YYYY - MM/DD/YYYY)	Annual goal	Demonstration target	Explanation of any deviations from the CMS-provided technical specifications manual (different data source, definition, codes, target)	State plans to phase in reporting (Y/N)	Report in which metrics will be phased in (SMI, SED, OUD, or DPCD)	Explanation of any plans to phase in reporting over time
1	SUD Screening of Beneficiaries Admitted to Psychiatric Hospital or Residential Treatment Settings (SUD-2)	The rates will be reported for this measure: 1. SUD-2: Patients who screened positive for unhealthy alcohol use who received or refused a brief intervention during the hospital stay. 2. SUD-2a: Patients who received the brief intervention during the hospital stay.	Milestone 1	Established quality measure	Annual metrics that are an established quality measure	Medical record review or claims	Year	Annually	Recommended	Y							
2	Use of First-Line Psychotropic Care for Children and Adolescents on Antipsychotics (APP-01)	Percentage of children and adolescents ages 1 to 17 who had a new prescription for an antipsychotic medication and had documentation of psychosocial care as a first-line treatment.	Milestone 1	Established quality measure	Annual metrics that are an established quality measure	Claims	Year	Annually	Required	Y	01/01/2022 - 12/31/2021	Increase	Increase	Y			
3	All-Cause Emergency Department Utilization Rate for Medical Beneficiaries who are Beneficiaries from Integrated Physical and Behavioral Health Care (PHB-01)	Number of all-cause ED visits per 1,000 beneficiary months among adult Medicaid beneficiaries age 18 and older who meet the eligibility criteria of beneficiaries with SMI.	Milestone 2	Established quality measure	Annual metrics that are an established quality measure	Claims	Year	Annually	Required	Y	01/01/2022 - 12/31/2021	Decrease	Consistent	Y			
4	30-Day All-Cause (Unplanned) Readmission Following Psychiatric Hospitalization in an Inpatient Psychiatric Facility (PF)	The rate of unplanned, 30-day readmission for demonstration beneficiaries with a primary diagnosis of a psychotic disorder or dementia/Alzheimer's disease. The measurement period used to identify cases in the measure population is 12 months from January 1 through December 31.	Milestone 2	Established quality measure	Annual metrics that are an established quality measure	Claims	Year	Annually	Required	Y	01/01/2022 - 12/31/2021	Decrease	Decrease	Y			
5	Medication Reconciliation Upon Admission	Percentage of patients for whom a designated party to admission (PTA) medication list was generated by referencing one or more external sources of PTA medications and for which all PTA medications have a documented reconciliation action by the end of Day 2 of the hospitalization.	Milestone 2	Established quality measure	Annual metrics that are an established quality measure	Electronic/upper medical records	Year	Annually	Recommended	Y							
6	Medication Continuation Following Inpatient Psychiatric Discharge	The measure assesses whether psychiatric patients admitted to an inpatient psychiatric facility (PF) for major depressive disorder (MDD), schizophrenia, or bipolar disorder filed a prescription for evidence-based medication within 2 days prior to discharge and 30 days post-discharge.	Milestone 2	Established quality measure	Annual metrics that are an established quality measure	Claims	Year	Annually	Required	Y	01/01/2022 - 12/31/2021	Increase	Increase	Y			
7	Follow-up After Hospitalization for Mental Illness, Ages 17 (FUA-17)	Percentage of discharges for children ages 0 to 17 who were hospitalized for treatment of selected mental illness or intentional self-harm diagnosis and who had a follow-up visit with a mental health professional. Two rates are reported: • Percentage of discharges for which the child received follow-up within 30 days after discharge. • Percentage of discharges for which the child received follow-up within 7 days after discharge.	Milestone 2	Established quality measure	Annual metrics that are an established quality measure	Claims	Year	Annually	Required	Y	01/01/2022 - 12/31/2021	Increase	Increase	Y			
8	Follow-up After Hospitalization for Mental Illness, Age and Older (FUA-18)	Percentage of discharges for beneficiaries age 18 years and older who were hospitalized for treatment of selected mental illness or intentional self-harm and who had a follow-up visit with a mental health professional. Two rates are reported: • Percentage of discharges for which the beneficiary received follow-up within 30 days after discharge. • Percentage of discharges for which the beneficiary received follow-up within 7 days after discharge.	Milestone 2	Established quality measure	Annual metrics that are an established quality measure	Claims	Year	Annually	Required	Y	01/01/2022 - 12/31/2021	Increase	Increase	Y			
9	Follow-up After Emergency Department Visit for Alcohol and Other Drug Abuse (FUA-AD)	Percentage of emergency department (ED) visits for beneficiaries age 18 and older with a primary diagnosis of alcohol or other drug (AOD) abuse dependence who had a follow-up visit for AOD abuse or dependence. Two rates are reported: • Percentage of ED visits for AOD abuse or dependence for which the beneficiary received follow-up within 30 days of the ED visit. • Percentage of ED visits for AOD abuse or dependence for which the beneficiary received follow-up within 7 days of the ED visit.	Milestone 2	Established quality measure	Annual metrics that are an established quality measure	Claims	Year	Annually	Required	Y	01/01/2022 - 12/31/2021	Increase	Increase	Y			
10	Follow-up After Emergency Department Visit for Mental Illness (FUA-AD)	Percentage of emergency department (ED) visits for beneficiaries age 18 and older with a primary diagnosis of mental illness or intentional self-harm and who had a follow-up visit for mental illness. Two rates are reported: • Percentage of ED visits for mental illness for which the beneficiary received follow-up within 30 days of the ED visit. • Percentage of ED visits for mental illness for which the beneficiary received follow-up within 7 days of the ED visit.	Milestone 2	Established quality measure	Annual metrics that are an established quality measure	Claims	Year	Annually	Required	Y	01/01/2022 - 12/31/2021	Increase	Increase	Y			
11	Suicide or Overdose Death Within 7 and 30 Days of Discharge From an Inpatient Facility or Residential Treatment for Mental Health Among Beneficiaries With SMI or SED (outlet)	Number of suicide or overdose deaths among Medicaid beneficiaries with SMI or SED within 7 and 30 days of discharge from an inpatient facility or residential stay for mental health.	Milestone 2	CLAIM-constructed	Other annual metrics	State data on cause of death	Year	Annually	Recommended	Y							
12	Suicide or Overdose Death Within 7 and 30 Days of Discharge From an Inpatient Facility or Residential Treatment for Mental Health Among Beneficiaries With SMI or SED (inlet)	Rate of suicide or overdose death among Medicaid beneficiaries with SMI or SED within 7 and 30 days of discharge from an inpatient facility or residential stay for mental health.	Milestone 2	CMS-constructed	Other annual metrics	State data on cause of death	Year	Annually	Recommended	Y							
13	Mental Health Services Utilization - Inpatient	Number of beneficiaries in the demonstration population who use inpatient services related to mental health during the measurement period.	Milestone 3	CMS-constructed	Other monthly and quarterly metrics	Claims	Month	Quarterly	Required	Y	01/01/2022 - 12/31/2021	Increase	Consistent	Y			It is anticipated the number of beneficiaries going inpatient will increase due to Medicaid expansion occurring 7/1/2022, however, the rate should decrease.
14	Mental Health Services Utilization - Intensive Outpatient and Partial Hospitalization	Number of beneficiaries in the demonstration population who used intensive outpatient and/or partial hospitalization services related to mental health during the measurement period.	Milestone 3	CMS-constructed	Other monthly and quarterly metrics	Claims	Month	Quarterly	Required	Y	01/01/2022 - 12/31/2021	Increase	Increase	N			CMHS use a variety of POSs so all CMHC services eligible for the measure were used. Additional mental health professionals meeting the definition were added to the MHI Practitioner value set (1017400000.LMPF, 1017500000.LPC, 1017600000.LSR, 1017700000.LN, 1017800000.LP, 1017900000.LS, 1018000000.LM, 1018100000.LN, 1018200000.LP, 1018300000.LS, 1018400000.LM, 1018500000.LN, 1018600000.LP, 1018700000.LS, 1018800000.LM, 1018900000.LN, 1019000000.LP, 1019100000.LS, 1019200000.LM, 1019300000.LN, 1019400000.LP, 1019500000.LS, 1019600000.LM, 1019700000.LN, 1019800000.LP, 1019900000.LS, 1020000000.LM, 1020100000.LN, 1020200000.LP, 1020300000.LS, 1020400000.LM, 1020500000.LN, 1020600000.LP, 1020700000.LS, 1020800000.LM, 1020900000.LN, 1021000000.LP, 1021100000.LS, 1021200000.LM, 1021300000.LN, 1021400000.LP, 1021500000.LS, 1021600000.LM, 1021700000.LN, 1021800000.LP, 1021900000.LS, 1022000000.LM, 1022100000.LN, 1022200000.LP, 1022300000.LS, 1022400000.LM, 1022500000.LN, 1022600000.LP, 1022700000.LS, 1022800000.LM, 1022900000.LN, 1023000000.LP, 1023100000.LS, 1023200000.LM, 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ID	Standard information on CMS-provided metrics										Baseline, annual goals, and demonstration target			Alignment with CMS-provided technical specifications manual		Phased in metrics reporting		
	Metric name	Metric description	Milestone or reporting topic	Metric type	Reporting category	Data source	Measurement period	Reporting frequency	Reporting priority	State will report (Y/N)	Baseline Reporting Period (MM/DD/YYYY - MM/DD/YYYY)	Annual goal	Overall demonstration target	Aligns that planned reporting matches the CMS-provided technical specifications manual (Y/N)	Explanation of any deviations from the CMS-provided technical specifications manual (different data source, definition, codes, target population, etc.)	State plans to phase in reporting (Y/N)	Report in which metrics will be phased in (Formal SMI/SED OIG; Ex. OIG/OS)	Explanation of any plans to phase in reporting over time
29	Metabolic Monitoring for Children and Adolescents on Antipsychotics	EXAMPLE: Percentage of beneficiaries age 18 and older screened for depression on the date of the prescription date for any antipsychotic medication. Depression screening tool: PHQ-9 Positive	Milestone 4	Established quality measure	EXAMPLE: Annual metrics that are an established quality measure	EXAMPLE: Claims	Year	Annually	Required	Y	01/01/2021 - 12/31/2021	Increase	Increase	Y			EXAMPLE: We are transitioning to a new tool to screen for depression in adults (i.e., we are transitioning from the Duke Anxiety-Depression Scale (DADS) to the Patient Health Questionnaire (PHQ-9) tool). We anticipate that PHQ-9 data will be available in 2022.	
30	Follow-Up Care for Adult Medicaid Beneficiaries Who are Newly Prescribed an Antipsychotic Medication	EXAMPLE: Percentage of Medicaid beneficiaries age 18 years and older with new antipsychotic prescriptions who have completed a follow-up visit with a provider with prescribing authority within four weeks (28 days) of prescription of an antipsychotic medication.	Milestone 4	Established quality measure	EXAMPLE: Annual metrics that are an established quality measure	EXAMPLE: Claims	Year	Annually	Required	Y	01/01/2021 - 12/31/2021	Increase	Increase	Y				
31	Total Costs Associated With Mental Health Services Among Beneficiaries With SMI/SED - Inpatient or Residential	The sum of all Medicaid spending for mental health services not in inpatient or residential settings during the measurement period.	Other SMI/SED metrics	CMS-constructed	Other annual metrics	EXAMPLE: Claims	Year	Annually	Required	Y	01/01/2021 - 12/31/2021	Increase	Increase	N			CMS has a variety of POS to all CMS services eligible for the measure.	
32	Total Costs Associated With Mental Health Services Among Beneficiaries With SMI/SED - Inpatient or Residential	The sum of all Medicaid costs for mental health services in inpatient or residential settings during the measurement period.	Other SMI/SED metrics	CMS-constructed	Other annual metrics	EXAMPLE: Claims	Year	Annually	Required	Y	01/01/2021 - 12/31/2021	Increase	Increase	N				
33	Per Capita Costs Associated With Mental Health Services Among Beneficiaries With SMI/SED - Inpatient or Residential	Per capita costs for non-inpatient, non-residential services for mental health, among beneficiaries in the demonstration population during the measurement period.	Other SMI/SED metrics	CMS-constructed	Other annual metrics	EXAMPLE: Claims	Year	Annually	Required	Y	01/01/2021 - 12/31/2021	Consistent	Consistent	Y				
34	Per Capita Costs Associated With Mental Health Services Among Beneficiaries With SMI/SED - Inpatient or Residential	Per capita costs for inpatient or residential services for mental health among beneficiaries in the demonstration population during the measurement period.	Other SMI/SED metrics	CMS-constructed	Other annual metrics	EXAMPLE: Claims	Year	Annually	Required	Y	01/01/2021 - 12/31/2021	Consistent	Consistent	Y				
35	Gravities Related to Services for SMI/SED	Number of gravities filed during the measurement period that are related to services for SMI/SED.	Other SMI/SED metrics	CMS-constructed	Gravities and appeals	EXAMPLE: Administrative records	Quarter	Quarterly	Required	Y	01/01/2021 - 12/31/2021	Consistent	Consistent	Y				
36	Appeals Related to Services for SMI/SED	Number of appeals filed during the measurement period that are related to services for SMI/SED.	Other SMI/SED metrics	CMS-constructed	Gravities and appeals	EXAMPLE: Administrative records	Quarter	Quarterly	Required	Y	01/01/2021 - 12/31/2021	Consistent	Consistent	Y				
37	Critical Incidents Related to Services for SMI/SED	Number of critical incidents filed during the measurement period that are related to services for SMI/SED.	Other SMI/SED metrics	CMS-constructed	Gravities and appeals	EXAMPLE: Administrative records	Quarter	Quarterly	Required	Y	01/01/2021 - 12/31/2021	Consistent	Consistent	Y				
38	Total Costs Associated With Treatment for Mental Health in an IMD Among Beneficiaries With SMI/SED	Total Medicaid costs for beneficiaries in the demonstration population who had claims for inpatient or residential treatment for mental health in an IMD during the reporting year.	Other SMI/SED metrics	CMS-constructed	Other annual metrics	EXAMPLE: Claims	Year	Annually	Required	Y	01/01/2021 - 12/31/2021	Increase	Increase	Y				
39	Per Capita Costs Associated With Treatment for Mental Health in an IMD Among Beneficiaries With SMI/SED	Per capita Medicaid costs for beneficiaries in the demonstration population who had claims for inpatient or residential treatment for mental health in an IMD during the reporting year.	Other SMI/SED metrics	CMS-constructed	Other annual metrics	EXAMPLE: Claims	Year	Annually	Required	Y	01/01/2021 - 12/31/2021	Consistent	Consistent	Y				
Q1	Connecting behavioral and mental health providers to health information exchange (HIE)	Number of mental health providers connected to HIE	Health IT	State-specific	Other annual metrics	HE	Year	Annually	Required	Y	01/01/2021 - 12/31/2021	Consistent	Consistent	Y				
Q2	Access to additional services using provider directory connecting primary care to mental health service offerings	Number of mental health providers managed in provider directory	Health IT	State-specific	Other annual metrics	HE	Year	Annually	Required	Y	10/01/2021 - 09/30/2022	Increase	Increase	Y	The state will not retroactively report on this measure.	Y	DP20	We are implementing a statewide HIE which will go live in the fall of 2021 (DP1).
Q3	Creation of statewide functionalities for possible use by case team members	Number of ADT (admission, discharge, transfer) electronic messages	Health IT	State-specific	Other annual metrics	HE	Year	Annually	Required	Y	10/01/2021 - 09/30/2022	Increase	Increase	Y	The state will not retroactively report on this measure. The State will utilize the ADT (admission, discharge, transfer) feature in the data point. The ADT is an electronic message sent from a hospital to the HIE; the HIE then pushes out a notification to behavioral health providers that have subscribed to this service on the status of their member. It also provides other information that allows for increased care coordination opportunities. The ADT data point will measure the State's request to report "functionalities for the possible use by case team members" and as a means for better care coordination.	Y	DP20	We are implementing a statewide HIE which will go live in the fall of 2021 (DP1).
State-specific metrics																		
<i>Add rows for any additional state-specific metrics</i>																		
51	SMI-AD (Diabetes Screening for People with Schizophrenia or Bipolar Disorder Who Are Using Antipsychotic Medications)	Alternative data collection point for Metric #23 due to data limitations; approved by CMS.	Milestone 4	State-specific	Annual metrics that are an established quality measure	EXAMPLE: Claims, Medical records	Year	Annually	Required	Y	01/01/2021 - 12/31/2021	Increase	Increase	N	Based on the data currently available, the State will use this measure as a deviation from Metric #23 - Diabetes Care for Patients with Serious Mental Illness, Hemoglobin A1c (HbA1c) (Peer-Care) (S-02) (HPCAR-AD).		DP20	

Substance Use Disorder (SUD) Planned Metrics

Standard information on CMS-provided metrics										Baseline, annual goals, and demonstration target				Aligns with CMS-provided included qualification period				Planned metrics reporting			
EXAMPLE	EXAMPLE	EXAMPLE	Milestone or reporting period	Metric	Reporting	Data	Reporting	Reporting	State ID (Y/N)	Baseline reporting period (MM/DD/YYYY)	Annual goal	Demonstration target	Aligns with CMS-provided included qualification period (Y/N)	Explanation of any deviations from the CMS-provided included qualification period (different data source, definition, metric, target, etc.)	Start phase in phase in calendar year	Report in which metrics will be phased in (Planned SUD DPO)	Reporting in which metrics will be phased in (Planned SUD DPO)	Estimation of any data in the SUD reporting period			
EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE	EXAMPLE			
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19			
17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35			
36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54			

Standard information on CMS-provided metrics										Baseline, trend graph, and documentation target			Alignment with CMS-provided technical specifications manual		Phase in metrics reporting	
QID	Category	Technical description	Milestones or reporting	Reporting	Data source	Measurement period	Reporting period	Reporting frequency	State will report (Y/N)	Baseline reporting period (MM/DD/YYYY)	Overall documentation target	Alignment with CMS-provided technical specifications manual	Explanation of any deviations from the CMS-provided technical specifications manual	State phase in completion (Y/N)	Report in which metrics will be shown in format (Y/N) (Y/N)	Start/stop of reporting (MM/DD/YYYY)
Q1	Care management/coordination of care plan accessibility	Number of direct cases managing for sharing behavioral health treatment data used by behavioral health providers	Health IT	State-specific	Other annual metric	HR	Year	Annually	Required	Y	10/01/2021-9/30/2022	Increase	Increase	Y	Y	10/01/2021

All rows for any additional case-specific metrics

*There are no CMS-provided metrics related to substance use.
 † Rows 1 and 2 reported for Metric #172 categorized as rows 1 and 2 for Metric #17 from Version 1.1 of the Medicaid Section 1115 Substance Use Disorder Demonstration Technical Specifications for Monitoring Metrics.
 ‡ Rows 1 and 2 reported for Metric #172 categorized as rows 1 and 2 for Metric #17 from Version 1.1 of the Medicaid Section 1115 Substance Use Disorder Demonstration Technical Specifications for Monitoring Metrics.

ATTACHMENT F
Reserved for SMI/SED/SUD Evaluation Design