
State Demonstrations Group

September 29, 2021

Dana Hittle
Interim Medicaid Director
Oregon Health Authority
500 Summer Street NE
Salem, Oregon 97301

Dear Ms. Hittle:

The Centers for Medicare & Medicaid Services (CMS) is issuing technical corrections to the Oregon section 1115 Medicaid demonstration, entitled, “Oregon Health Plan Substance Use Disorder 1115 Demonstration” (Project Number 11-W-00362/10)”, which was approved on April 8, 2021, under the authority of section 1115(a) of the Social Security Act (the Act). CMS has issued the following technical corrections, in accordance with Oregon’s request:

- The effective date of the demonstration approval was changed from “March 31, 2021” to “April 8, 2021” on the Expenditure Authority page as well in Table 3: Demonstration Years to reflect the correct date of approval.
- In Table 6: Schedule of Deliverables for the Demonstration Period, the due date for the submission of the Draft Summative Evaluation Report from “March 31, 2025” to “March 31, 2026” to be consistent with the terms set forth in special terms and condition (STC) 49.

To reflect the agreed terms between the state and CMS, CMS has incorporated the technical changes into the latest version of the STCs. Please find enclosed the updated STCs.

Your project officer for this demonstration is Mr. Thomas Long. He is available to answer any questions concerning your section 1115 demonstration. Mr. Long’s contact information is as follows:

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Center for Medicaid and CHIP Services
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Sincerely,

9/29/2021

X Andrea J. Casart

Signed by: Andrea J. Casart -A

Andrea J. Casart
Director
Division of Eligibility and Coverage
Demonstrations

Enclosure

cc: Nikki Lemmon, State Monitoring Lead, Medicaid and CHIP Operations Group

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

NUMBER: 11-W00362/10

TITLE: Oregon Health Plan Substance Use Disorder 1115 Demonstration

AWARDEE: Oregon Health Authority

Under the authority of section 1115(a)(2) of the Social Security Act (“the Act”), expenditures made by Oregon for the items identified below, which are not otherwise included as expenditures under section 1903 of the Act shall, for the period from April 8, 2021 through March 31, 2026, 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 Oregon Health Plan 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 authority may only be implemented consistent with the approved Special Terms and Conditions (STC) and shall enable Oregon to operate the above-identified section 1115(a) demonstration.

- 1. Residential and Inpatient Treatment for Individuals with Substance Use Disorder (SUD).** 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) who are short-term residents in facilities that meet the definition of an institution for mental diseases (IMD).

- 2. Community Integration Services (CIS).** Expenditures for community integration services which consists of housing transition and tenancy sustaining and employment supports to assist individuals transitioning back into the community from an inpatient or other residential setting where they have received SUD treatment.

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

NUMBER: 11-W-00362/10

TITLE: Oregon Health Plan Substance Use Disorder 1115 Demonstration

AWARDEE: Oregon Health Authority

I. PREFACE

The following are the Special Terms and Conditions (STC) for the “Oregon Health Plan Substance Use Disorder” section 1115(a) Medicaid demonstration (hereinafter “demonstration”), to enable the Oregon Health 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. These STCs neither grant additional waivers or expenditure authorities, nor expand upon those separately granted. The demonstration will be statewide and is approved for a five-year period, from April 8, 2021 through March 31, 2026, unless otherwise specified.

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. Substance Use Disorder Program and Benefits
- VI. High Needs Supports
- 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: SUD Implementation Plan and SUD Health IT Plan

II. PROGRAM DESCRIPTION AND OBJECTIVES

This demonstration will provide the state with authority to provide high-quality, clinically appropriate treatment to beneficiaries with substance use disorder (SUD) while they are short-term residents in residential and inpatient treatment settings that qualify as Institutions for Mental Diseases (IMDs). It will also support state efforts to implement models of care focused on increasing support for individuals in the community and home, outside of institutions, and improve access to a continuum of SUD evidence-based services at varied levels of intensity. This 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. This demonstration will also allow the state to provide community integration services which consists of housing and employment supports to individuals transitioning back into the community from an IMD or other residential setting.

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

SUD Demonstration Goals:

1. Assist Oregon in increasing identification, initiation, and engagement of Medicaid beneficiaries diagnosed with SUD;
2. Assist the state in increasing beneficiary adherence to, and retention in, SUD treatment programs;
3. Assist Oregon in reducing inappropriate or preventable utilization of emergency departments and inpatient hospital settings through improved access to a continuum of care services; and
4. Provide a continuum of care to increase the chances of Medicaid beneficiaries of having a successful recovery process.

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 thirty (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) 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 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 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 or Chief Executive Officer of the state in accordance with the requirements of 442 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 fourteen (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. This demonstration will apply to otherwise-eligible Medicaid beneficiaries residing in an IMD for diagnoses of substance use disorder (SUD).

V. SUBSTANCE USE DISORDER 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 20, 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. Community Integration Services. Under this demonstration, the state also intends to provide Community Integration Services (CIS) which consists of housing and employment supports to assist individuals who meet a risk factor identified in the CIS needs-based criteria. The state will be subject to the terms and conditions for these services as outlined in section VI.

19. SUD Implementation Plan and Health IT Plan.

- a. The state must submit the SUD Implementation Plan within ninety (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 C 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/OU. 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/OU. 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 STC 19(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 Plans, to be included as sections of the associated Implementation Plans (see STC 19 (a) and 19(c)), to develop infrastructure and capabilities consistent with the requirements outlined.

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 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.

- i. The state must include in its Monitoring Protocol (see STC 20) 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 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

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.*

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.

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.
- 7) 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.

20. SUD Monitoring Protocol. The state must submit a Monitoring Protocol for the SUD programs authorized by this demonstration within one hundred fifty (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’ comments. Once approved, the SUD Monitoring Protocol will be incorporated into the STCs, as Attachment D. Progress on the 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 19(c) and reporting relevant information to the state’s Health IT plan described in STC 19(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 IX 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.

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

VI. COMMUNITY INTEGRATION SERVICES

22. Overview. The state will provide a limited set of housing and employment supports to Medicaid beneficiaries with a SUD diagnosis, who also require assistance with activities of daily living (ADLs), or a complex physical health need who are transitioning out of an

inpatient or other residential setting. Qualifying beneficiaries must be expected to benefit from supports necessary to obtain and maintain stable housing.

23. CIS Benefits. The state will provide housing and employment supports otherwise allowable under a 1915(i) SPA, including the services below, and described in greater detail in Attachment F:

- a. Individual housing and pre-tenancy services, individual housing and tenancy sustaining services, and community transition services.
- b. Pre-employment and employment support services

24. CIS Eligibility. Medicaid beneficiaries who are eligible under the Medicaid state plan and who have a SUD diagnosis will be eligible for the benefits described in this section, provided they meet the needs-based criteria and risk factors, as outlined in Attachment F.

25. CIS Eligibility and Services. Eligibility and Services describes the services and requirements that would otherwise be documented in a 1915(i) SPA, including needs-based eligibility criteria, risk factors, covered services, service definitions, payment methodology, administrative approach, and minimum provider qualifications.

26. CIS Home and Community Based Services (HCBS) Requirements. For CIS HCBS, the state assures that its MCO Quality Assessment and Performance Improvement program must encompass long-term services and supports (LTSS) specific measures set forth in the federal managed care rule at 42 CFR 438.330, and will assess and improve performance as described below in the following areas:

- a. Administrative Authority: A performance measure must be developed and tracked for authorities that the State Medicaid Agency (SMA) delegates to another agency or MCOs, unless already captured in another performance measure, including: the review and monitoring of interagency agreements (IAG)/contract evaluations and the MCO quality management review (QMR) reports submitted in accordance with requirements. The SMA is responsible for operations and oversight, and will monitor and track the MCOs' delegated activities.
- b. Eligibility Based on 1115 Requirements: A performance measure is required for the following: tracking of all new enrollees who receive an evaluation for HCBS eligibility prior to receiving services. While a performance measure to track annual eligibility determinations is not required since the state is not required to report to CMS, the state is expected to ensure annual eligibility determinations are completed.
- c. Qualified Providers: The state must have performance measures that track that providers meet licensure/certification standards, that non-certified providers are monitored to assure adherence to demonstration requirements, and that the state verifies that training is given to providers in accordance with the demonstration.
- d. Service Plan: The state must demonstrate it has designed and implemented an effective system for reviewing the adequacy of service plans for HCBS participants. Performance measures are required for individuals who have support plans that address their assessed needs, capabilities and desired outcomes; individuals whose service plan was updated/revised at least annually; and individual records that

- indicate that a risk assessment was completed as required.
- e. Health and Welfare: The state must assure that it has designed and implemented an effective system for assuring HCBS participants' health and welfare. The state must have performance measures that track participants for whom critical incidents were reported in which appropriate action was taken; unexplained deaths in which appropriate action was taken; and critical incidents reported to the MCO within the required timeframes.
 - f. Financial Accountability: The state must demonstrate that it has designed and implemented an adequate system for ensuring financial accountability of the HCBS program. The state must demonstrate actuarial soundness on an annual basis pursuant to 42 CFR 438.
 - g. HCBS Settings Requirements: The state must assure compliance with the HCBS settings requirements for those services that could be authorized under section 1915(i) in accordance with 42 CFR 441.710.

27. CIS Reporting. The state must submit a report to CMS as an attachment to its quarterly and annual monitoring reports described in STC 36 that includes performance measure evidence of compliance at or above 86 percent with the HCBS quality assurances and measures.

28. CIS Reporting Deficiencies. The state must report, as an attachment to its quarterly and annual monitoring report described in STC 36 the deficiencies found below 86 percent compliance during the monitoring and evaluation of the HCBS demonstration assurances, an explanation of how these deficiencies have been or are being corrected, as well as the steps that have been taken to ensure that these deficiencies do not reoccur. The state must also report on the number of substantiated instances of abuse, neglect, exploitation and/or death, the actions taken regarding the incidents, and how they were resolved.

29. CIS Beneficiary Protections.

- a. The state assures there is a person-centered service plan for each individual determined to be eligible for HCBS. The person-centered service plan is developed using a person-centered service planning process in accordance with 42 CFR 441.725(a), and the written person-centered service plan meets federal requirement at 42 CFR 441.725(b). The person-centered service plan is reviewed, and revised upon reassessment of functional need as required by 42 CFR 441.725(c), at least every 12 months, when the individual's circumstances or needs change significantly, or at the request of the individual.
- b. The state agrees that the entity that authorizes the services is external to the agency or agencies that provide the HCBS services. The state also agrees that appropriate separation of assessment, treatment planning and service provision functions are incorporated into the state's conflict of interest policies.
- c. The state, either directly or through its MCO contracts, must ensure that participants' engagement and community participation is supported to the fullest extent desired by each participant.
- d. Beneficiaries may change MCOs if their residential or employment support provider is no longer available through their current plan.

VII. COST SHARING

30. Cost Sharing. Cost sharing imposed upon individuals enrolled in the demonstration is consistent with the provisions of the approved state plan.

VIII. DELIVERY SYSTEM

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

IX. GENERAL REPORTING REQUIREMENTS

32. 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.

33. 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.

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

35. 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

36. 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; 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 XII 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. SUD Health IT. The state will include a summary of progress made in regards to SUD Health IT requirements outlined in STC 19(d).

37. SUD Mid-Point Assessment. The state must conduct an independent mid-point assessment by September 30, 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, 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 September 30, 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 SUD Implementation Plan, and the SUD Monitoring Protocol 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 SUD Implementation Plans and toward meeting the targets for performance measures as approved in the 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 SUD Implementation 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.

38. 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.

39. 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 32.

40. 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.

41. 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

42. 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 32.

43. 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.

44. 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. 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.

45. 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.

46. 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.

47. 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).

48. 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.

49. 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.

50. 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.

51. 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.

52. 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.

53. 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

54. 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

55. Unallowable Expenditures. 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.

56. 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.

57. 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

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. Oregon Health Plan Substance Use Disorder 1115 Demonstration Approval Period: April 8, 2021 through March 31, 2026

applicable federal matching rate for the demonstration as a whole for the following, subject to the budget neutrality expenditure limits described in Section XII:

- 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.

58. 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.

59. 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.

60. 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.

61. 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 1: Master MEG Chart					
MEG	To Which BN Test Does This Apply?	WOW Per Capita	WOW Aggregate	WW	Brief Description
SUD-IMD	Hypo 1	X		X	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) who are short-term residents in facilities that meet the definition of an institution for mental diseases (IMD).

CIS	Hypo 2	X		X	Expenditures for community integration services which consists of housing and employment supports to assist individuals transitioning back into the community from a residential treatment setting.
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62. 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-0036/2). 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 2: 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
SUD-IMD	See Expenditure Authority #1	See STC 55	Follow CMS-64.9 Base Category of Service Definition	Date of service	MAP	Y	3/31/2021	3/31/2026
CIS/RSS	See Expenditure Authority #2See expenditure authority #2.	See STC 55	Follow CMS-64.9 Base Category of Service Definition	Date of service	MAP	Y	3/31/2021	3/31/2026

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

Table 3: Demonstration Years		
Demonstration Year 1	April 8, 2021 to March 31, 2022	12 months
Demonstration Year 2	April 1 2022 to March 31, 2023	12 months
Demonstration Year 3	April 1, 2023 to March 31, 2024	12 months
Demonstration Year 4	April 1, 2024 to March 31, 2025	12 months
Demonstration Year 5	April 1, 2025 to March 31, 2026	12 months

64. 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 XIII. CMS will provide technical assistance, upon request.⁵

65. 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.

66. 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.

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.

- 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 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

67. 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.

68. 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.

69. 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.

70. 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.

71. 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.

72. Hypothetical Budget Neutrality Test 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 4: Hypothetical Budget Neutrality Test

MEG	PC or Agg*	WOW Only, WW Only, or Both	TREND	DY 1	DY 2		DY 4	DY 5
SUD-IMD	PC	Both	4.5%	\$1864	\$1948	\$2036	\$2127	\$2223
CIS	PC	Both	4.5%	\$0	\$193	\$201	\$211	\$220

73. 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.

74. Exceeding Budget Neutrality. CMS will enforce the budget neutrality agreement over the life of the demonstration approval period, which extends from April 8, 2021 until March 31, 2026. 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.

75. 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.

Table 5: Hypothetical Budget Neutrality Test Mid-Course Correction Calculations

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 6: 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 Implementation Plan	STC 19
60 calendar days after receipt of CMS comments	Revised SUD Implementation Plan and SUD Health IT Plan	STC 19
150 calendar days after Implementation Plan Completeness	SUD Monitoring Protocol	STC 20
60 calendar days after receipt of CMS comments	Revised SUD Monitoring Protocol	STC 20
180 calendar days after approval date 10/5/2021	Draft Evaluation Design	STC 44
60 days after receipt of CMS comments	Revised Draft Evaluation Design	STC 46
No later than 60 calendar days after May 30, 2023	SUD Mid-Point Assessment	STC 37
March 31, 2024, or with renewal application	Draft Interim Evaluation Report	STC 48
60 calendar days after receipt of CMS comments	Final Interim Evaluation Report	STC 48
Within 18 months after March 31, 2026	Draft Summative Evaluation Report	STC 49
60 calendar days after receipt of CMS comments	Final Summative Evaluation Report	STC 49
Monthly Deliverables	Monitoring Calls	STC 40
Quarterly monitoring reports due 60 calendar days after end of each quarter, except 4 th quarter.	Quarterly Monitoring Reports, including implementation updates	STC 36
	Quarterly Expenditure Reports	STC 36
Annual Deliverables - Due 90 calendar days after end of each 4 th quarter	Annual Reports	STC 36

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

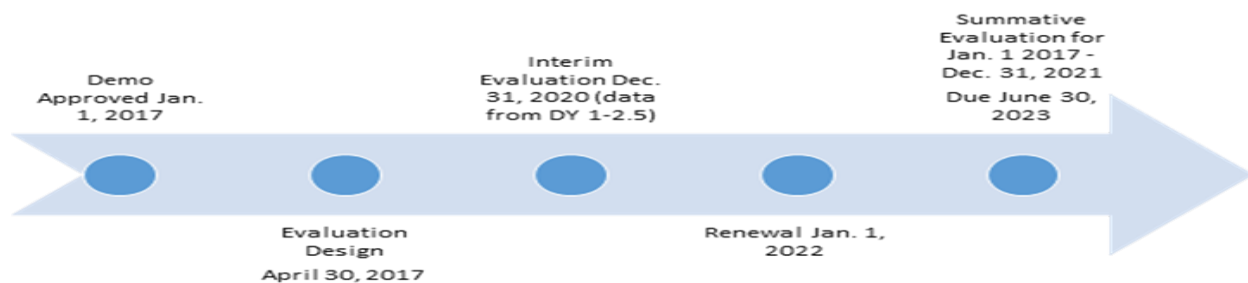
All states with Medicaid section 1115 demonstrations are required to conduct an evaluation, and the Evaluation Design is the roadmap for conducting the evaluation. The roadmap begins with the stated goals for the demonstration followed by the measurable evaluation questions and quantifiable hypotheses, 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

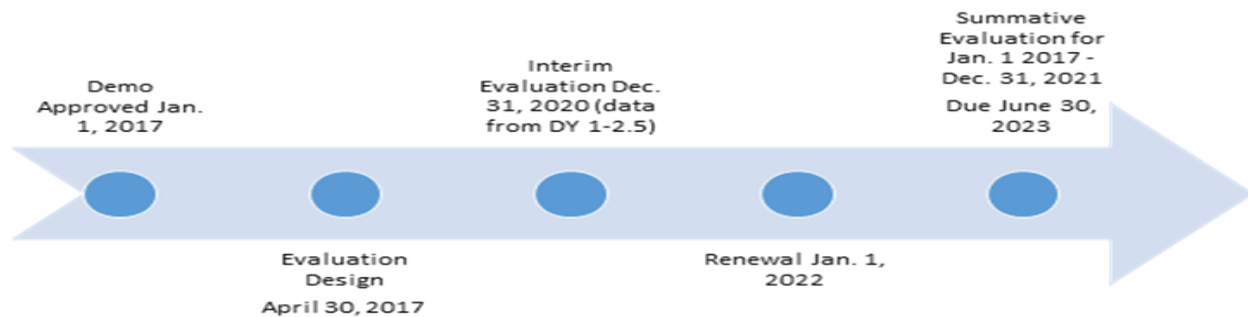
The Social Security Act (the Act) requires an evaluation of every section 1115 demonstration. In order to fulfill this requirement, the state's submission must provide a comprehensive written presentation of all key components of the demonstration, and include all required elements specified in the approved 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

Section 1115 Waiver Implementation Plan

**Oregon Health Plan
Substance Use Disorder
Demonstration**

Medicaid and Children's Health Insurance Program

Submitted: May 29, 2020



Oregon
Health
Authority



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INTRODUCTION

Oregon is among many states facing a public health crisis relating to substance use disorders (SUD). Of individuals accessing SUD treatment in Oregon, 33.5% (2017) had a primary diagnosis of opioid use disorder (OUD); this rate more than doubled over a four-year period from 2013 to 2017⁶. Oregon's opioid-related overdose deaths have increased during the past decade from 73 total deaths during 2000 to its high at 336 in 2011. In 2017 there were 6.8 deaths per 100,000 Oregon residents (276 total deaths)². All deaths related to all drugs in Oregon have remained high, increasing slightly from 13.760 deaths per 100,000 population in 2009 (529) to 14.18 deaths in 2017 (578)⁷. The need is clear for continued system improvement across all substances of use.

In order to improve health outcomes and reduce deaths related to substance use disorders, Oregon must improve access to substance use disorder (SUD) treatment, increase provider capacity, and implement effective standards of care. Oregon proposes to transform the SUD delivery system through evidence-based practices, tribal-based practices, and comprehensive care. Through the SUD waiver, Oregon will bolster existing programs and initiatives and implement new strategies to build comprehensive, continuum of care services and supports.

Specifically, Oregon has requested the waiver authority to:

- a) Claim Federal reimbursement for services provided in an Institution for Mental Disease (IMD) with more than 16 beds, for the duration of time clinically deemed necessary.
- b) Expand the full SUD continuum of care to include prevention, early intervention, and crisis intervention .

¹ "SUD MMIS Treatment Data." *Oregon Health Authority*, November 28, 2018. Internal Data review

² "Prescribing and Overdose Data for Oregon." *Oregon Department of Education: 2018 Social Sciences Standards SBE First Reading Draft: Social Sciences: State of Oregon*, 2018, www.oregon.gov/oha/ph/preventionwellness/substanceuse/opioids/pages/data.aspx.

- c) Develop housing support services that will provide transition assistance and skill building for individuals with SUD.

This implementation plan provides details on OHA’s strategic approach and how this project addresses CMS’s goals and required milestones to ensure the full continuum of care succeeds in improving quality, accessibility, and outcomes for SUD/ODU treatment in the most cost-effective manner over the course of the five-year waiver period from July 1, 2021 to June 30, 2026.

SECTION 1- MILESTONE CRITERIA

1. ACCESS TO CRITICAL LEVELS OF CARE FOR OUD AND OTHER SUDS

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
Criteria for completion of milestone	Provide an overview of current SUD treatment services covered by the state in each level of care. For services currently covered in the state plan, list the benefit category and page location; for services currently covered in a	Provide an overview of planned SUD treatment services to be covered by the state in each level of care: indicate whether planned services will be added to the state plan or	Provide a list of action items needed to be completed to meet milestone requirements, if any. Include persons or entities responsible for completion of each action item. Include timeframe for completion of each action item.

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
	demonstration, include the program name and Special Term and Condition number.	authorized through the 1115.	
Coverage of outpatient services	Outpatient services are currently covered under Oregon’s Medicaid State Plan. (ASAM 1.0) State Plan: SUD services- Attachment 3.1-A, section 13.d- Rehabilitation, page 6-d.10 thru 6-d.19 Adult benefit Plan- TN 17-0003 form ABP 5	OHA has robust monitoring and evaluation services Capacity of the Peer Delivered Services workforce has been increased (State Plan). OHP SUD system benefits provide full continuum of	Develop robust quarterly report for internal quality improvement strategies for SUD services (All levels) (0-6 months); Addiction Treatment, Recovery & Prevention Services; Medicaid; and Health Policy & Analytics within OHA. Set scope of work for the workforce regarding prevention, early intervention, and crisis intervention services

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
	<p>coverages outpatient hospital SUD services, Physician services.</p> <p>TCM- Targeted group: <u>Substance Abusing Pregnant Women and Substance Abusing Parents with Children under Age 18.</u></p> <p>Supplement 1 to Attachment 3.1-A, pages 19-22.a</p> <p>Additional services covered under State Plan:</p> <p>Individual/Group counseling therapy/Individual family and/or couple</p>	<p>care to include prevention, early intervention, and crisis intervention services (State Plan)</p> <p>Each year we will improve rates of identification, initiation, and engagement</p> <p>Provider capacity has expanded to adequate level for these services</p> <p>Develop provider review</p>	<p>and establish reimbursement rate. (12-24months);</p> <p>Addiction Treatment Recovery & Prevention unit with Health Systems Division</p> <p>Set standards for identification, initiation, and engagement.</p> <p>Educate and engage providers around these standards and implementation. (12-24 months); Health Systems Division</p> <p>Develop requirement for CCOs to have a mechanism to ensure that they have adequate capacity to</p>

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
	<p>counseling: Attachment 3.1-A, section 13.d-SUD rehab, page 6.d.11</p> <p>Acupuncture: Attachment 3.1-A, section 13.d-SUD rehab, page 6.d.13.</p> <p>Adult benefit Plan- TN 17-0003 form ABP 5</p> <p>Peer Delivered Services (PDS) are a covered available benefit. (All levels of treatment)</p>	<p>process around staffing levels</p> <p>Each provider will have been reviewed and confirmed has adequate staffing for this level of care</p> <p>The number and diversity of culturally specific peers within the workforce has been expanded</p>	<p>serve those in their region around SUD services (12-24 months); Health Systems Division</p> <p>Develop standard range of client to clinician ratio (12-24 months); Addiction Treatment Recovery & Prevention unit with Health Systems Division</p> <p>Develop provider review process around staffing levels; (12-24 months); Addiction Treatment Recovery & Prevention unit with Health Systems Division</p>

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
			<p>Develop more culturally relevant training for PDS workers, including a tribal- specific course and Latino- specific course (12-24 months); Office of Equity & Inclusion & Behavioral Health</p> <p>Expand the number and diversity of culturally specific peers within the workforce (12-24 months); Health Systems division & Office of Equity and Inclusion</p>
Coverage of intensive outpatient services	Intensive outpatient services are currently covered	OHA has robust monitoring and	Develop robust quarterly report for internal quality

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
	<p>under Oregon’s Medicaid State Plan. (ASAM 2.1; 2.5)</p> <p>State Plan: SUD services- Attachment 3.1-A, section 13.d- Rehabilitation, page 6-d.10 thru 6-d.19</p> <p>Adult benefit Plan- TN 17-0003 form ABP 5 coverages outpatient hospital SUD services, Physician services.</p> <p>TCM- Targeted group: <u>Substance Abusing Pregnant Women and Substance Abusing</u></p>	<p>evaluation services</p> <p>Capacity of the Peer Delivered Services workforce has been increased (State Plan).</p> <p>OHP SUD system benefits provide full continuum of care to include prevention, early intervention, and crisis intervention services (State Plan)</p>	<p>improvement strategies for SUD services (All levels) (0-6 months); Addiction Treatment, Recovery & Prevention Services; Medicaid; and Health Policy & Analytics within OHA.</p> <p>Set scope of work for the workforce regarding prevention, early intervention, and crisis intervention services and establish reimbursement rate. (12-24 months); Health Systems Division</p> <p>Set standards for identification, initiation, and engagement.</p> <p>Educate and engage</p>

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
	<p><u>Parents with Children under Age 18.</u></p> <p>Supplement 1 to Attachment 3.1-A, pages 19-22.a</p> <p>Peer Delivered Services are a covered available benefit. (All levels of treatment)</p> <p>Oregon and The Nine Federally Recognized Tribes of Oregon and the Urban Indian Program developed Tribal- Specific Curriculum for the Family Support Peers including some SUD work</p>	<p>Each year we will improve rates of identification, initiation, and engagement</p> <p>Provider capacity has expanded to adequate level for these services</p> <p>Develop provider review process around staffing levels</p> <p>Each provider will have been reviewed and confirmed has adequate staffing</p>	<p>providers around these standards and implementation. (12-24 months); Health Systems Division</p> <p>Require CCOs to have a mechanism to ensure that they have adequate capacity to serve those in their region around SUD services (12-24 months); Health Systems Division</p> <p>Develop alternative payment methodologies for Day Treatment Services (12-24months); Health Systems Division</p>

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
		<p>for this level of care</p> <p>The number and diversity of culturally specific peers within the workforce has been expanded</p>	<p>Develop standard range of client to clinician ratio (12-24 months); Health Systems Division</p> <p>Develop more culturally relevant training for PDS workers, including a tribal- specific course and Latino- specific course (12-24 months); Office of Equity & Inclusion & Behavioral Health</p> <p>Expand the number and diversity of culturally specific peers within the workforce (12-24 months); Health Systems division &</p>

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
			Office of Equity and Inclusion
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)	Medication Assisted Treatment services are currently covered under Oregon’s Medicaid State Plan. (All levels of Care) State Plan: MAT- Attachment 3.1-A, section 13.d-SUD rehab, page 6.d.12 Also covered under State Plan: Medication management and monitoring: Attachment 3.1-A,	OHA has robust monitoring and evaluation services Capacity of the Peer Delivered Services workforce has been increased (State Plan). OHP SUD system benefits provide full continuum of care to include prevention, early intervention, and	Develop robust quarterly report for internal quality improvement strategies for SUD services (All levels) (0-6 months); Addiction Treatment, Recovery & Prevention Services; Medicaid; and Health Policy & Analytics within OHA. Set standards for identification, initiation, and engagement. Educate and engage providers around these standards and implementation (12-24

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
	<p>section 13.d-SUD rehab, page 6.d.12</p> <p>Peer Delivered Services are a covered available benefit. (All levels of treatment)</p>	<p>crisis intervention services (State Plan)</p> <p>Each year we will improve rates of identification, initiation, and engagement</p> <p>Increase rates of identification, initiation, and engagement</p> <p>Provider capacity has been increased adequately at varying clinical settings (such as</p>	<p>months); Health Systems Division</p> <p>Develop requirement for CCOs to have a mechanism to ensure that they have adequate capacity to serve those in their region around SUD services (12-24 months); Health Systems Division</p> <p>Develop standard range of client to clinician ratio (12-24 months); Health Systems Division</p> <p>Engage with CCOs around adequate capacity levels for MAT and their service areas.</p>

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
		<p>office-based, Emergency Department, Primary Care, Tele-health, bridge clinics, residential etc.)</p> <p>Increased qualified workforce</p> <p>Each provider will have been reviewed and confirmed has adequate staffing for this level of care</p> <p>The number and diversity of culturally</p>	<p>(12-24 months); Health Systems Division</p> <p>Develop provider review process around staffing levels (12-24 months); Health System Division</p> <p>Develop more culturally relevant training for peer workers, including a tribal- specific course and Latino- specific course (12-24 months); Office of Equity & Inclusion & Behavioral Health</p> <p>Expand the number and diversity of culturally specific peers within the workforce</p>

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
		specific peers within the workforce has been expanded	(12-24 months); Health Systems division & Office of Equity and Inclusion
Coverage of intensive levels of care in residential and inpatient settings	Residential and inpatient services are currently covered under Oregon’s Medicaid State Plan. (ASAM 3.1,3.3,3.5, 3.7, 4) Currently, State funding supplements treatment that is not Medicaid-covered due to the IMD exclusion. State Plan: Attachment 3.1-A, section 13.d-SUD rehab, page 6.d.12	OHA has robust monitoring and evaluation services Increase the Peer Delivered Services workforce Each year we will improve rates of identification, initiation, and engagement Increase provider capacity	Develop robust quarterly report for internal quality improvement strategies for SUD services (All levels) (0-6 months); Addiction Treatment, Recovery & Prevention Services; Medicaid; and Health Policy & Analytics within OHA. Set scope of work for the workforce regarding SUD crisis intervention services and establish reimbursement rate.

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
	Peer Delivered Services are a covered available benefit. (All levels of treatment)	Each provider will have been reviewed and confirmed has adequate staffing for this level of care The number and diversity of culturally specific peers within the workforce has been expanded	(12-24 months); Health Systems Division Set standards for identification, initiation, and engagement. Educate and engage providers around these standards and implementation (12-24 months); Health Systems Division Develop requirement for CCOs to have a mechanism to ensure that they have adequate capacity to serve those in their region around SUD services (12-24 months); Health Systems Division

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
			<p>Develop standard range of client to clinician ratio (12-24 months); Health Systems Division</p> <p>Develop provider review process around staffing levels (12-24 months); Health System Division</p> <p>Develop more culturally relevant training for PDS workers, including a tribal- specific course and Latino- specific course (12-24 months); Office of Equity & Inclusion & Behavioral Health</p>

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
			Expand the number and diversity of culturally specific peers within the workforce (12-24 months); Health Systems division & Office of Equity and Inclusion
Coverage of medically supervised withdrawal management	<p>Medical Withdrawal services are currently covered under Oregon’s Medicaid State Plan. (ASAM 3.7, 4)</p> <p>Currently, State funding supplements treatment that is not Medicaid-covered due to the IMD exclusion.</p> <p>State Plan:</p>	<p>OHA has robust monitoring and evaluation services</p> <p>Each year we will improve rates of identification, initiation, and engagement</p> <p>Each provider will</p>	<p>Develop robust quarterly report for internal quality improvement strategies for SUD services (All levels) (0-6 months); Addiction Treatment, Recovery & Prevention Services; Medicaid; and Health Policy & Analytics within OHA.</p> <p>Set scope of work for the workforce</p>

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
	<p>Detox- Attachment 3.1-A, section 13.d-SUD rehab, page 6.d.13.</p> <p>Adult benefit Plan- TN 17-0003 form ABP 5</p>	<p>have been reviewed and confirmed has adequate staffing for this level of care</p> <p>Each provider will have been reviewed and confirmed has adequate staffing for this level of care</p>	<p>regarding SUD crisis intervention services and establish reimbursement rate. (12-24 months); Health Systems Division</p> <p>Set standards for identification, initiation, and engagement. Educate and engage providers around these standards and implementation (12-24 months); Health Systems Division</p> <p>Develop requirement for CCOs to have a mechanism to ensure that they have adequate capacity to serve those in their</p>

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
			<p>region around SUD services (12-24 months); Health Systems Division</p> <p>Develop standard range of client to clinician ratio (12-24 months); Health Systems Division</p> <p>Develop provider review process around staffing levels (12-24 months); Health System Division</p>
<p>Parity of Coverage in SUD service array.</p>	<p>Case Management Services for individuals with only SUD are not a covered Oregon</p>	<p>A SPA and OAR changes are completed to expand the use of case management for pre and post treatment and for</p>	<p>Oregon will meet with agencies that provide these services (funded through state funds and federal grants) to develop a structure and draft</p>

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
	<p>Medicaid State Plan benefit.</p> <p>State Plan: Peer Delivered Services: Attachment 3.1-A, section 13.d-SUD rehab, page 6.d.14.</p> <p>Case Management Services (listed as care coordination) 3.1-A, section 13.d-SUD rehab, page 6.d.12</p>	<p>community-based services and supports such as skills restoration and employment</p>	<p>regulations for this service. (12-24 months); Behavioral Health & Medicaid</p> <p>Develop reimbursement rates for agencies to provide this service (12-24 months; Actuarial Services & Addiction Treatment, Recovery & Prevention Services</p> <p>Implement service by 24 months past start (12-24 months); Health Systems Division</p> <p>The state will pursue a SPA and OAR changes to expand the use of case management for pre and post</p>

Milestone 1 Criteria	Current State	Future State	Summary of Actions Needed
			treatment and for community-based services and supports such as housing and employment (12-24 months); Health Systems Division

2. USE OF EVIDENCE-BASED, SUD SPECIFIC PATIENT PLACEMENT CRITERIA

Milestone 2 Criteria	Current State	Future State	Summary of Actions Needed
Criteria for completion of milestone	Provide an overview of current state use of evidence-based, SUD-specific patient placement criteria and utilization management approach to ensure placement in appropriate level of	Provide an overview of planned state implementation of requirement that providers use an evidence-based, SUD-specific patient placement criterion and use of utilization management to	Specify a list of action items needed to be completed to meet milestone requirements. Include persons or entities responsible for completion of each action item. Include timeframe for completion of each action item

Milestone 2 Criteria	Current State	Future State	Summary of Actions Needed
	care and receipt of services recommended for that level of care	ensure placement in appropriate level of care and receipt of services recommended for that level of care.	
Implementation of requirement that providers assess treatment needs based on SUD-specific, multi-dimensional assessment tools that reflect evidence-based clinical treatment guidelines	Current State OARs 309-018 and 309-019 require SUD outpatient (O/P) and residential assessments to include all ASAM PPC dimensions.	State OARs 309-018 and 309-019 continue to require SUD O/P and residential assessments to include all ASAM PPC dimensions.	None
Implementation of a utilization management approach such that (a) beneficiaries have	For over 20 years Oregon has required, and continues to require, SUD Providers to assess	CCOs will be monitored to ensure prior authorization staff are adequately trained in ASAM	Refine contract language with CCOs to include ASAM (12-24 months); Health Systems Division

Milestone 2 Criteria	Current State	Future State	Summary of Actions Needed
<p>access to SUD services at the appropriate level of care</p>	<p>treatment needs based on multi-dimensional ASAM assessment tools that reflect evidence-based clinical guidelines for all levels of care, per licensing regulation and state contracts</p> <p>SUD services for individuals on Fee for Service (FFS) are retrospectively reviewed for appropriateness but do not require prior authorization. The provider is responsible to ensure the client meets the criteria for the</p>	<p>criteria and SUD treatment services</p>	<p>Monitor CCOs to ensure prior authorization staff are adequately trained in ASAM criteria and SUD treatment services</p>

Milestone 2 Criteria	Current State	Future State	Summary of Actions Needed
	<p>appropriate level of care and the OARS are followed. These are reviewed during the Licensing and Certification staff and Medicaid Program Integrity staff as appropriate, or as the OARs require for licensing or certification.</p> <p>Within contracts, the CCOs are required to ensure prior authorization is no more stringent than the FFS implementation but may operationalize this differently.</p>		

Milestone 2 Criteria	Current State	Future State	Summary of Actions Needed
	<p>Providers and staff are to be adequately trained in ASAM Criteria and SUD treatment services</p>		
<p>Implementation of a utilization management approach such that (b) interventions are appropriate for the diagnosis and level of care</p>	<p>Current State</p> <p>OARs 309-018 and 309-019 require SUD outpatient and residential service plans to reflect information included in the assessment.</p> <p>Health Services Division (HSD) reviews a sample of the plans for compliance during renewal reviews.</p>	<p>State OARs 309-018 and 309-019 will be revised to specify services that must be provided for each ASAM level of care.</p> <p>State licensing/certification site reviews will include assessment of compliance with this requirement to ensure that service plans reflect appropriate interventions for the</p>	<p>Consult with DOJ – (3-6 months); Health Systems Division</p> <p>Consult with providers and other stakeholders – (6-12 months); Health Systems Division</p> <p>Develop and implement policy and OAR amendments – (12-18 months); Health Systems Division</p> <p>Provide training to providers regulated by the new rules (in person, onsite technical assistance and webinar.) – (12-24 months); Health Systems Division</p>

Milestone 2 Criteria	Current State	Future State	Summary of Actions Needed
		diagnosis and the ASAM level of care.	
Implementation of a utilization management approach such that (c) there is an independent process for reviewing placement in residential treatment settings	HSD's Licensing and Compliance Unit conducts site visits and clinical review of charts and notes every 2 years to determine compliance with OARs.	Continue to monitor placement criteria within the site and clinical reviews.	None

3. USE OF NATIONALLY RECOGNIZED SUD-SPECIFIC PROGRAM STANDARDS TO SET PROVIDER QUALIFICATIONS FOR RESIDENTIAL TREATMENT FACILITIES

Milestone 3 Criteria	Current State	Future State	Summary of Actions Needed
Criteria for completion of milestone	Provide an overview of current provider qualifications for	An overview of planned use of nationally recognized SUD-	Specify a list of action items needed to be completed to meet milestone requirements.

Milestone 3 Criteria	Current State	Future State	Summary of Actions Needed
	residential treatment facilities and how these compare to nationally recognized SUD-specific program standards, e.g., the ASAM Criteria	specific program standards in improving provider qualifications for residential treatment facilities is provided.	Include persons or entities responsible for completion of each action item. Include timeframe for completion of each action item
Implementation of residential treatment provider qualifications in licensure requirements, policy manuals, managed care contracts, or other guidance. Qualification should meet program standards in the ASAM Criteria or other nationally recognized,	Current Oregon OARs 309-018 and 309-019 specify qualifications and competencies that must be met to qualify to provide SUD treatment. There is no distinction in the	State OARs 309-018 and 309-019 will be revised to specify requirements for qualifications and competencies for individuals providing treatment services in each level of	Consult with DOJ – (3-6 months)); Health Systems Division Consult with providers and other stakeholders – (6-12 months); Health Systems Division Develop and implement policy and OAR amendments – (12-18 months); Health Systems Division Provide training to providers regulated by the new rules (in person, onsite technical assistance and webinar.) – (18-24 months);

Milestone 3 Criteria	Current State	Future State	Summary of Actions Needed
<p>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>qualifications or competencies pertaining to levels of care.</p> <p>Current Oregon OAR 309-018 identifies some types of services in residential settings including smoking cessation, parenting and some life skills.</p> <p>There are no staffing ratios, or number of hours specified.</p>	<p>care, consistent with ASAM.</p> <p>OAR 309-018 and 309-019 will be revised to specify requirements and standards for clinical care including comprehensive services that address clinical needs and social determinants of health, staffing ratios and total hours of care provided in each level of care,</p>	<p>Health Systems Division</p>

Milestone 3 Criteria	Current State	Future State	Summary of Actions Needed
		consistent with ASAM.	
Implementation of a state process for reviewing residential treatment providers to ensure compliance with these standards	OARs 309-008 and 415-012 specify processes and standards for certification and licensure of SUD O/P and residential programs. Current licensure allows programs to provide all levels of residential services. Current certification allows programs to provide all levels of	OARs 309-008 and 415-012 will be revised to specify the process and standards for certification and licensure of each ASAM level of care in both O/P and residential programs. OHA/HSD-issued certificates and licenses will identify specific levels of care for each provider.	<p>Update and implement the process for initial and renewal certification and licensure – (6-12 months); Licensing and Certification Unit</p> <ul style="list-style-type: none"> Licensing and Certification Unit: Develop certificate and license types for each level of care – (6-12 months) <p>Update licensing and certification data base – (6-12 months); Licensing and Certification Unit:</p>

Milestone 3 Criteria	Current State	Future State	Summary of Actions Needed
	outpatient services.		
Implementation of requirement that residential treatment facilities offer MAT on-site or facilitate access to MAT off-site	In residential programs, current OAR requires that providers assist individuals to access MAT by coordinating services and making transportation available. O/P programs are not required to provide this service, although they are not permitted to deny entry to individuals who	OAR will be revised to require that residential providers make MAT available on-site or provide coordination services to off-site MAT services including assisting with access, payment issues, transportation and daycare.	Consult with DOJ – (3-6 months); Health Systems Division Consult with providers and other stakeholders – (6-12 months); Health Systems Division Develop and implement policy and OAR amendments – (12-25 months); Health Systems Division

Milestone 3 Criteria	Current State	Future State	Summary of Actions Needed
	currently receive MAT.		

4. SUFFICIENT PROVIDER CAPACITY AT CRITICAL LEVELS OF CARE INCLUDING FOR MEDICATION ASSISTED TREATMENT OF OUD

Milestone 4 Criteria	Current State	Future State	Summary of Actions Needed
Criteria for completion of milestone	Provide an overview of current provider capacities throughout the state to provide SUD treatment at each of the critical levels of care listed in Milestone 1.	An overview of planned improvements to provider availability and capacity intended to improve Medicaid beneficiary access to treatment throughout the State at each of the critical levels of care listed in	Specify a list of action items needed to be completed to meet milestone requirements. Include persons or entities responsible for completion of each action item. Include timeframe for completion of each action item

Milestone 4 Criteria	Current State	Future State	Summary of Actions Needed
		Milestone 1 is provided.	
<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>Oregon is conducting a provider capacity study for key levels of care in the state.</p> <p>A capacity management and referral tracking data base is currently being implemented through a contract with a vendor: Lines for Life. In 2019 the focus will be on SUD Outpatient services including Office</p>	<p>Provider capacity study will be completed and used to identify areas of high need. SUD services are available at appropriate client to provider ratios including reasonable access, admittance times, and reasonable geographic distances for patients to travel to clinically appropriate services.</p>	<p>Create action plan to address deficits within the delivery system identify within the capacity study. (6- 12 Months); Health Systems Division</p> <p>Implement the plan to address the delivery system deficits (12-24 months); Health Systems Division</p> <p>Assess current client to provider ratios for all levels of treatment (0-6 months); Health Systems Division</p> <p>Develop the appropriate client to provider ratios (6-12 months); Health Systems Division</p> <p>Develop a plan to address any gaps in provider</p>

Milestone 4 Criteria	Current State	Future State	Summary of Actions Needed
<p>Intensive Outpatient Services; Medication Assisted Treatment (medications as well as counseling and other services); Intensive Care in Residential and Inpatient Settings; Medically Supervised Withdrawal Management.</p>	<p>Based Opioid Treatment (OBOT) settings and Opioid Treatment Program (OTP) as well as MAT services Oregon has identified statewide Opioid Use Disorder treatment capacity in both OBOT settings and OTP settings.</p>	<p>The capacity management and referral tracking data base will be implemented statewide for all critical levels of care Regional needs have been identified and addressed for MAT in both OTP and OBOT treatments.</p>	<p>ratio (12-18 months); Health System Division Begin to implement changes addressing the gaps in provider ratios that were identified in service areas (18-24 months); Health Systems Division Implement the capacity management and referral tracking data base for all SUD residential services (ASAM levels 3-4) including MAT and withdrawal management (12-24); vendor: Lines for Life. Identify needs for MAT in OTP and OBOT settings. (6-12 months); Health Systems Division</p>

Milestone 4 Criteria	Current State	Future State	Summary of Actions Needed
			<p>Develop plan to meet needs of MAT in OTP and OBOT settings (12-18 months); Health Systems Division</p> <p>Implement plan to address needs of MAT in OTP and OBOT settings (18-24 months); Health Systems Division</p> <p>Assess the number of covered lives, availability of prevalence, incidents and diagnosis rates by region/CCO (12-24 months); Health Systems Division</p>
<p>Increase provider capacity across all levels</p>	<p>Oregon has contracted with the Farley Center to conduct a Healthcare</p>	<p>The Healthcare workforce needs will be identified and addressed.</p>	<p>Asses the needs of the Healthcare workforce identified in the assessment. (12-24 Months); Health Systems Division</p> <p>Develop the plan to address workforce issues to include activities such as (focus groups, partnerships</p>

Milestone 4 Criteria	Current State	Future State	Summary of Actions Needed
	Workforce Assessment was completed March 2019		with providers and CCOs, etc....) (12-24 months); Health Systems Division

5. IMPLEMENTATION OF COMPREHENSIVE TREATMENT AND PREVENTION STRATEGIES TO ADDRESS OPIOID ABUSE AND OUD

Milestone 5 Criteria	Current State	Future State	Summary of Actions Needed
Criteria for completion of milestone	Provide an overview of current treatment and prevention strategies to reduce opioid abuse and OUD in the state.	Provide an overview of planned strategies to prevent and treat opioid abuse and OUD.	Specify a list of action items needed to be completed to meet milestone requirements as detailed above. Include persons or entities responsible for completion of each action item. Include timeframe for completion of each action item

Milestone 5 Criteria	Current State	Future State	Summary of Actions Needed
Implementation of opioid prescribing guidelines along with other interventions to prevent opioid abuse	<p>In 2016, the Oregon Health Authority (OHA) convened a task force to develop opioid prescribing guidelines around chronic pain and for dentists. These guidelines include recommendations for working directly with patients on treatment planning, emphasis on non-pharmacologic and non-opioid pharmacolites.</p> <p>OHA adopted the opioid</p>	<p>OHA will continue to emphasize individualized patient care, non-pharmacologic treatment options, and awareness around OUD in the primary care as well as ED settings.</p> <p>Educated providers and implemented new guidelines and best practices around opioid use and prescribing.</p> <p>Evaluated Chronic and Acute pain prescribing</p>	<p>Provide greater behavioral health supports (TA, education, etc.) for opioid prescribers and health systems. Especially in primary care and emergency settings to both assist patients in reducing total Morphine equivalent doses (MED) and identify SUD/OUD cases which may need individualized care. (12-24 months); Transformation Center & Health Systems Division</p> <p>Health Evidence Review Commission to align payment structure with prescribing guidelines. (0-12 months); Health Systems Division</p>

Milestone 5 Criteria	Current State	Future State	Summary of Actions Needed
	<p>prescribing guidelines around chronic pain and dentistry⁸. These were implemented November 17, 2016</p> <p>In 2018, OHA convened a task force to develop guidelines around Acute pain and prescribing.</p> <p>The opioid prescribing guidelines⁹ around Acute pain were adopted by Oregon</p>	<p>guidelines for updates to treatment recommendations, if required.</p> <p>Current payment structure is aligned with recommended chronic and Acute prescribing guidelines</p>	

⁸ “Oregon Opioid Prescribing Guidelines (Chronic).” *OHA*. November 2016.
<https://www.oregon.gov/oha/PH/PREVENTIONWELLNESS/SUBSTANCEUSE/OPIOIDS/Documents/taskforce/oregon-opioid-prescribing-guidelines.pdf>

⁹ “Oregon Acute Opioid Prescribing Guidelines.” *OHA*. October 2018.
https://www.oregon.gov/OSBN/pdfs/Resource_OregonAcuteOpioidPrescribingGuidelines.pdf

Milestone 5 Criteria	Current State	Future State	Summary of Actions Needed
	Health Authority on October 20, 2018		
Expanded coverage of, and access to, naloxone for overdose reversal	Per HB3440 (2017) passage, all training requirements, special conditions, including access by social service agencies to Naloxone, and the usage of it have been removed. All Oregonians in any settings can utilize Naloxone without prior training for other conditions. Pharmacists may dispense Naloxone	Federal grants (STR/SOR) and other initiatives will continue to fund and increase access to naloxone statewide, especially in areas where there are gaps including rural, frontier and coastal areas. Continue cross- division partnerships and funding for the PDO position(s). Work together on	Continue to distribute Naloxone in areas of high need. (0- 6 Months); Health Systems Division Continue cross- divisional collaboration at state and local level (0-24 Months); Health Systems Division Increase communication between partners around the alignment of payment structure as it relates to Naloxone to increase access to and penetration of the population at greatest risk and need. (6-12 Months); Health Systems Division Continue to encourage use and provide TA around Naloxone access, use and distribution to CCOs through the Transformation Center. (0-6 months); Transformation Center

Milestone 5 Criteria	Current State	Future State	Summary of Actions Needed
	<p>at the point of sale.</p> <p>Oregon Health Plan fee-for-service program (directly administered by OHA) has no prior authorization for Naloxone; CCO coverage varies.</p> <p>Cross-division partnerships with OHA, Public Health and Health Systems Divisions as well as partnerships with local health departments to fund the Prescription Drug</p>	<p>opioid crisis response collectively to activities such as overdose outbreaks.</p> <p>Continue to support CCO engagement with the Transformation Center and other resources for technical assistance (TA) around Naloxone distribution and utilization.</p>	<p>& Health Systems Division</p>

Milestone 5 Criteria	Current State	Future State	Summary of Actions Needed
	Overdose coordinator(s) (PDO). PDOs will continue to assist in coordinating local naloxone distribution efforts.		
Implementation of strategies to increase utilization and improve functionality of Prescription Drug Monitoring Programs (PDMP)	As of January 2018, medical and pharmacy directors will be allowed access to the PDMP regarding their respective entities. As of February 2018, through HB 4143, the PDMP registration is mandatory for	Continue funding the PDMP program to data access, analysis, and improve upon the surveillance potential. Utilize this data to assess the impact of opioid use statewide and engage those communities most impacted by the	Continue to collaborate with provider licensing boards (continuous); Health Systems Division Educate and engage with provider organizations, CCOs, and healthcare prescribers to increase the number of registered individuals who utilize the system (12-24 months); Health Systems Division

Milestone 5 Criteria	Current State	Future State	Summary of Actions Needed
	<p>healthcare practitioners who are authorized to prescribe schedule II through IV controlled medications.</p> <p>Public health and education regarding the value of PDMP registration and utilization are ongoing to providers and organizations.</p>	<p>effects of the opioid crisis.</p> <p>Continue to collaborate with healthcare licensing boards within Oregon to encourage safe and appropriate controlled substance prescribing.</p> <p>The number of healthcare prescribers who use the PDMP beyond the required registration increased.</p>	
Other	In February 2018 the passage	The Opioid Rapid Response	Leverage opportunities to secure more funding (federal grants, Federal opioid

Milestone 5 Criteria	Current State	Future State	Summary of Actions Needed
	<p>of HB 4143 passed the (Opioid Rapid Response Project), provided resources to create more direct links between ED and appropriate treatment and resources including increased availability of MAT in the ED and using peer delivered services to facilitate the link between ED and appropriate treatment/ resources. This two-year pilot</p>	<p>Project was expanded statewide to other high risk and high burden counties. Coverage of community integration services and supports specifically for housing are implemented; ensuring safe housing in an appropriate recovery environment, special attention and effort around MAT housing</p>	<p>project funding, state funds etc.) to expand Opioid Rapid Response project statewide. (12-24 months); Health Systems Division</p> <p>Increase capacity of culturally-relevant PDS workforce (12-24 months); Health Systems Division</p> <p>Increase the number of culturally-relevant trainings (including tribal) to be developed and provided statewide (12-24 months); Office of Equity & inclusion & Health Systems Division</p> <p>Workforce development efforts around community integration/ housing support specialists as Medicaid participating providers (12-24 months); Health Systems Division</p>

Milestone 5 Criteria	Current State	Future State	Summary of Actions Needed
	<p>project started in January 2019 beginning in four Oregon counties.</p> <p>2. Under the Oregon State Plan currently peer delivered services are covered when delivered as part of a treatment plan under the supervision of a licensed program or provider</p>		

6. IMPROVED CARE COORDINATION AND TRANSITIONS BETWEEN LEVELS OF CARE

Milestone 6 Criteria	Current State	Future State	Summary of Actions Needed
Implementation of policies to ensure residential and inpatient facilities link beneficiaries with community-based services and supports following stays in these facilities	Provide an overview of current care coordination services and transition services across levels of care.	Provide an overview of planned improvements to care coordination services and transition services across levels of care.	Specify a list of action items needed to be completed to meet milestone requirements. Include persons or entities responsible for completion of each action item. Include timeframe for completion of each action item
Creation and implementation of additional policies to ensure coordination of care for co-occurring physical and mental health conditions	Under Oregon’s current structure, SUD services are covered under physical health services and behavioral health care coordination is the	CCOs increased their capacity to provide warmer hand offs between levels of care through enhanced coordinated care for SUD services	Provide support to CCOs through TA and training to increase capacity and quality of SUD care transitions (12-24 months) CCO 2.0 includes language requiring CCOs use hospital event notifications and make

Milestone 6 Criteria	Current State	Future State	Summary of Actions Needed
	<p>responsibility of the CCOs</p> <p>To support OHA’s ED Disparity Measure for CCOs, the hospital notifications product, The Collective (formerly called Pre-Manage), has added a flag for CCOs and their contracted clinics to alert when a Medicaid member with Severe and Persistent Mental Illness (SPMI) has a hospital event</p>	<p>OHA will continue to work on optimization and education on the ED disparity measure flags provided through The Collective.</p>	<p>them- and health information exchange for care coordinating-accessible to primary care, behavioral health and dental organizations. (12-24 months)</p>

Milestone 6 Criteria	Current State	Future State	Summary of Actions Needed
	<p>for a physical reason for coordination of care among CCOs and providers.</p> <p>Those in Medication Assisted Treatment for SUD, IV drug users, and individuals with SUD in need of withdrawal management were added as prioritized population (2020) for the CCOs in 2020</p>		

Milestone 6 Criteria	Current State	Future State	Summary of Actions Needed
	<p>An educational series, specifically for CCOs was provided in early 2019 to support improving care coordination services.</p> <p>Orgon OARs clearly dictate the expectations for a patient transfer between providers in OARs 309-018-0155 and 309-018-0210. Included in these are how to advocate for patient rights if a grievance in</p>		

Milestone 6 Criteria	Current State	Future State	Summary of Actions Needed
	<p>placement is present. Some of these guidelines are that the providers will coordinate and provide appropriate referrals, complete a transfer summary (and what is required within a summary), report all instances of transfer in the state's data system, and to provide all documentation in the service record</p>		

Milestone 6 Criteria	Current State	Future State	Summary of Actions Needed
	requested by receiving provider as well as a complete transfer summary within 30 days.		

SECTION II- IMPLEMENTATION ADMINISTRATION

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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- Milestone 5a- SUD Health Information Technology (IT) Plan

Section I.

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
<p>5. Implementation of comprehensive treatment and prevention strategies to address Opioid Abuse and OUD, that is:</p> <p>--Enhance the state's health IT functionality to support its PDMP; and</p> <p>--Enhance and/or support clinicians in their usage of the state's PDMP.</p>	<p>Provide an overview of current PDMP capabilities, health IT functionalities to support the PDMP, and supports to enhance clinicians' use of the state's health IT functionality to achieve the goals of the PDMP.</p>	<p>Provide an overview of plans for enhancing the state's PDMP, related enhancements to its health IT functionalities, and related enhancements to support clinicians' use of the health IT functionality to achieve the goals of the PDMP.</p>	<p>Specify a list of action items needed to be completed to meet the HIT/PDMP milestones identified in the first column. Include persons or entities responsible for completion of each action item. Include timeframe for completion of each action item</p>
Prescription Drug Monitoring Program (PDMP) Functionalities			
<p>Enhanced interstate data sharing to provide prescribers a more comprehensive prescription history for patients with prescriptions across state lines.</p>	<p>Oregon PDMP can share data with states that meet privacy and security standards.</p> <p>Oregon has circulated Memoranda of Understanding (MOUs) to western states.</p> <p>Interstate data sharing agreements are in place with Idaho, Kansas, Nevada, Texas, and North Dakota.</p> <p>Oregon PDMP joined the data sharing hub</p>	<p>Connection of Oregon's PDMP with contiguous states to allow secure sharing of PDMP data.</p>	<p>(6-24 months) Oregon PDMP will continue conversations states as needed and continue to participate in data hub meetings. months); At least once a year contact will be made, more as needed and available (12-24 months; ongoing); Injury Violence Prevention Promotion, Public Health Division.;</p> <p>-</p>

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
	<p>Rx Check. This will assist in resolving legal and technical barriers for interstate data sharing.</p> <p>Oregon is also a PMPI (National Association of Boards of Pharmacy) state and is an active and ongoing participant in the groups' activities. This work is ongoing, and is performed by PDMP staff, in the Public Health Division of the Oregon Health Authority, with oversight provided by the appointed Oregon PDMP Advisory Committee.</p>		
Enhanced “ease of use” for prescribers and other state and federal stakeholders	Prescribers (physicians (MD, PA, DO), Pharmacists (RPh), Nurse Practitioners (NP/CNS-PP), Dentists (DDS/DMD), and Naturopaths (ND), across Oregon, are allowed access to the PDMP system after registration.	PDMP integration with most prescriber systems. Integrated PDMP supports clinician ease of use by pulling PDMP data into their electronic workflow for “one-click” access.	(6-24 months), the PDMP will collaborate with HIT Commons and other stakeholders to: <ul style="list-style-type: none"> – Educate on certain registration and technical thresholds required for integration of prescriber health

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
	<p>Medical and Pharmacy Directors are allowed access for the purpose of overseeing prescribing and dispensing within their respective entities.</p> <p>Prescribers and Medical and Pharmacy Directors are allowed delegates.</p> <p>Oregon has a statewide initiative to integrate PDMP into health IT systems, including: EHRs, HIEs, pharmacy management systems, and the statewide hospital event notification system Edie.</p> <p>Oregon PDMP has partnered with the HIT Commons (public/private partnership) to help subsidize this connection.</p>		<p>IT systems with PDMP.</p> <p>Integrate most prescriber systems (representing 16K prescribers and 4 pharmacy chains) with PDMP. Contact will be made no less than annually but will be done as needed. (12-24 months; ongoing);</p> <p>Injury Violence Prevention Promotion, Public Health Division;</p> <p>PDMP will engage with the PDMP Advisory Council and PDMP Integration Steering Committee, no less than annually but are scheduled quarterly and as needed, to develop “ease of use” strategies (enhancements, education, etc.) for prescribers. (12-24 months; ongoing);</p> <p>Injury Violence Prevention Promotion, Public Health Division.</p>

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
<p>Enhanced connectivity between the state’s PDMP and any statewide, regional or local health information exchange</p>	<p>Under the statewide initiative to integrate PDMP into health IT systems, Community Health Information Exchanges (HIEs) can integrate with PDMP.</p> <p>Two of Oregon’s HIEs are working towards integration.</p> <p>Oregon PDMP is working with the HIT Commons (public/private partnership) to help subsidize this connection.</p>	<p>Integration of Oregon’s Community Health Information Exchanges with PDMP</p>	<p>PDMP and HIT Commons will continue to work with Oregon’s Community HIEs to integrate with PDMP. (12-24 months; ongoing); Injury Violence Prevention Promotion, Public Health Division.</p> <p>PDMP will work with the HIT Commons, PDMP Integration Steering Committee, and HIE stakeholders to continue to assess enhancements which support clinicians use of HIE to access PDMP data (delegates, training, etc.); contact will be made no less than annually but will be done as needed. Injury Violence Prevention Promotion, Public Health Division.; (12-24 months; ongoing)</p>
<p>Enhanced identification of long-term opioid uses directly correlated to clinician prescribing</p>	<p>According to statute, the Oregon PDMP may not evaluate professional practice except through licensing boards or the</p>	<p>Continued leveraging of the PDMP Advisory Commission Clinics Review Subcommittee and</p>	<p>PDMP will convene the Clinical Review Subcommittee with a quorum to redefine and update thresholds for risky prescribing</p>

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
<p>patterns¹⁰ (see also “Use of PDMP” #2 below)</p>	<p>PDMP Advisory Commission Prescribing Practice Review Subcommittee. The subcommittee provides education and resources to the highest prescribers.</p> <p>The PDMP has collaborated with the Oregon Pain Management Commission to develop a free Continuous Medical Education (CME) module on pain management; so far more than 5,000 providers have taken the course.</p>	<p>continued collaboration with Oregon Pain Management Commission to educate prescribers for informed prescribing choices.</p>	<p>at minimum once per year. (12-24 months; ongoing); Injury Violence Prevention Promotion, Public Health Division.;</p> <p>PDMP will continue to work with licensing boards to ensure that licensees are registered with the PDMP as mandated by statute; contact will be made no less than annually but will be done as needed and reviewed by the PDMP Advisory Committee quarterly. Injury Violence Prevention Promotion, Public Health Division.; (12-24 months; ongoing)</p> <p>The PDMP will continue to promote the CME resource to stakeholders and enhance education and resources provided to the highest prescribers. Injury Violence</p>

¹⁰ Shah A, Hayes CJ, Martin BC. Characteristics of Initial Prescription Episodes and Likelihood of Long-Term Opioid Use — United States, 2006–2015. MMWR Morb Mortal Wkly Rep 2017;66:265–269. DOI: <http://dx.doi.org/10.15585/mmwr.mm6610a1>.

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
			Prevention Promotion, Public Health Division.; (12-24 months; ongoing)
Current and Future PDMP Query Capabilities			
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)	States on the AWA Rx E platform share the same patient matching algorithm which uses the available data fields to determine which records should be consolidated to unique individuals. The proprietary vendor (Appriss) algorithm allows for certain non-exact matches such as common misspellings, nicknames, or changes in address.	<p>The PDMP will share information with the Governor’s Opioid Epidemic Taskforce to consider future changes to statute which allow data sharing in support of patient matching.</p> <p>Continue PDMP data quality improvement efforts with propriety vendor for patient data matching processes and analytics.</p>	<p>Oregon State Statute does not currently allow for this exchange of information – OHA Government Relations and PDMP staff continue to monitor legislation as it emerges – all potential legislative action monitored as a course of business through the PDMP Advisory Committee, quarterly.</p> <p>The PDMP will continue to engagement with the Governor’s Opioid Epidemic Taskforce, around the topic of allowing data sharing with the Medicaid program or collection of additional fields. As appropriate and in alignment with meeting agendas and topics. Injury Violence Prevention</p>

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
			<p>Promotion, Public Health Division.; (12-24 months; ongoing)</p> <p>PDMP will follow any future statute changes from the legislature to enable matching of PDMP and Medicaid data or to allow submission of additional data fields. As available. Injury Violence Prevention</p> <p>Promotion, Public Health Division.; (12-24 months; ongoing)</p> <p>The Oregon PDMP MPI strategy is developed by the AWARe platform vendor (Appriss) and is primarily the responsibility of the vendor. PDMP staff will work with the vendor to incorporate additional data fields required by any statute changes. As required and available. Injury Violence Prevention</p> <p>Promotion, Public Health Division.; (12-24 months; ongoing)</p>

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
Use of PDMP – Supporting Clinicians with Changing Office Workflows / Business Processes			
<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>Prescribers are allowed access to the PDMP system through a web portal after registration.</p> <p>Prescribers are allowed delegates to support clinician workflows.</p> <p>Oregon is in the second year of a three-year statewide initiative to integrate PDMP into health IT systems, including: EHRs, HIEs, pharmacy management systems, and the statewide hospital event notification system Edie.</p> <p>Oregon PDMP has partnered with the HIT Commons (public/private</p>	<p>PDMP integration with most prescriber systems. Integrated PDMP supports clinician ease of use by pulling PDMP data into their electronic workflow for “one-click” access.</p>	<p>PDMP will collaborate with HIT Commons, PDMP Integration Steering Committee, and other stakeholders as needed to:</p> <ul style="list-style-type: none"> – Educate on certain registration and technical thresholds required for integration of prescriber health IT systems with PDMP. – Integrate most prescriber systems (representing 16K prescribers and 4 pharmacy chains) with PDMP. – Share best practices and provide education on leveraging integrated workflows to

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
	partnership) to help subsidize this connection.		<p>support informed prescribing of controlled substances.</p> <p>a. Contact will be made no less than annually but will be done as needed and reviewed by the PDMP Advisory Committee quarterly. Injury Violence Prevention Promotion, Public Health Division.; (12-24 months; ongoing)</p> <p>b.</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>Prescribers can review individual patient records, their own prescribing history, or a threshold report listing all patients that meet certain risky prescribing thresholds (high dose, co-prescribing, etc.).</p> <p>Emergency Department (ED) physicians who have the Emergency Department Information Exchange (EDIE) integrated into their ED track boards may receive PDMP data pushed to them when a patient meets</p>	<p>PDMP integration with most prescriber health IT systems.</p> <p>PDMP pushed to all ED physicians in Oregon with integrated EDIE in their EHR.</p> <p>PDMP stakeholders are educated and receive assistance.</p>	<p>PDMP staff will collaborate with HIT Commons, PDMP Integration Steering Committee, and other stakeholders as needed to:</p> <ul style="list-style-type: none"> – Enable PDMP to be pushed through EDIE for hospitals who have already integrated the EDIE solution into their EHR – Support rural hospitals who wish to integrate EDIE into their EHR through a

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
	<p>certain criteria, prompting review of patient’s history before prescribing.</p> <p>Additionally, the PDMP allows prescribers and pharmacists to enable delegates to search the PDMP on their behalf in order to support clinician review of PDMP prior to an opioid prescription issuance.</p>		<p>grant provided by OHA and the Oregon Association for Hospitals and Health Systems</p> <p>c.</p> <p>Contact will be made no less than annually but will be done as needed and reviewed by the PDMP Advisory Committee quarterly. Injury Violence Prevention Promotion, Public Health Division.; (12-24 months; ongoing)</p> <p>d.</p>
Master Patient Index / Identity Management			
<p>Enhance the master patient index (or master data management service, etc.) in support of SUD care delivery.</p>	<p>Oregon’s PDMP collection of data fields is defined by state law.</p> <p>The Oregon PDMP MPI strategy is developed by the AWARe platform vendor (Appriss). The AWARe platform uses a proprietary patient matching algorithm which uses the available data fields to determine which records should be consolidated to unique individuals.</p>	<p>PDMP utilizes Appriss AWARe platform effectively to support SUD care delivery.</p> <p>PDMP data is pushed through EDIE notifications where hospitals have integrated EDIE into their HER.</p>	<p>Oregon State Statute does not currently allow for this exchange of information – OHA Government Relations and PDMP staff continue to monitor legislation as it emerges – all potential legislative action monitored as a course of business through the PDMP Advisory Committee, quarterly.</p>

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
	<p>The proprietary algorithm allows for certain non-exact matches such as common misspellings, nicknames, or changes in address to achieve an acceptable sensitivity and specificity.</p> <p>The EDIE vendor, used by hospitals to receive pushed PDMP notifications when a patient enters the ED who meets certain criteria, also has a defined algorithm MPI that provides match and patient record merging. This supports SUD care delivery as ED physicians are notified of PDMP data, as well as historical hospital data on the patient at the point of care.</p>		<p>The PDMP will continue engagement with the Governor’s Opioid Epidemic Taskforce, around statute changes required to allow data sharing with the Medicaid program or collection of additional fields. As available. Injury Violence Prevention Promotion, Public Health Division.; (12-24 months; ongoing)</p> <p>The PDMP will follow any future statute changes that allow data sharing between PDMP and Medicaid to enhance the state MPI in support of SUD care delivery. As available. Injury Violence Prevention Promotion, Public Health Division.; (12-24 months; ongoing)</p> <p>PDMP staff will work with the vendor to incorporate additional data fields required by any statute changes. As</p>

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
			available. Injury Violence Prevention Promotion, Public Health Division.; (12-24 months; ongoing)
Overall Objective for Enhancing PDMP Functionality & Interoperability			
<p>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</p>	<p>Oregon PDMPs mission is primarily to support clinical decision-making. Medical Directors and Pharmacy Directors are allowed access to the PDMP to perform clinical quality assurance activities for the providers they supervise.</p> <p>Oregon is in year two of a three-year statewide initiative to integrate PDMP into health IT systems, including: EHRs, HIEs, pharmacy management systems, and the statewide hospital event notification system EDie.</p> <ul style="list-style-type: none"> – Legislation in 2019 added Dental Directors and CCO Medical Directors to list of 	<p>Dental Directors and CCO Medical Directors access PDMP data in support of clinical quality assurance activities.</p> <p>PDMP integration with a majority of prescriber systems supports effective controls to minimize the risk of inappropriate opioid overprescribing by leveraging system functionalities (HIE, EDIE)</p>	<p>PDMP will collaborate with HIT Commons, PDMP Integration Steering Committee, and other stakeholders as needed to:</p> <ul style="list-style-type: none"> – Register CCO Medical Directors and Dental Directors if legislation is passed. – Educate on certain registration and technical thresholds required for integration of prescriber health IT systems with PDMP. – Integrate a majority of prescriber systems (representing 16K prescribers and 4 pharmacy chains) with PDMP.

Milestone 5a Criteria	Current State	Future State	Summary of Actions Needed
	authorized users of PDMP		<ul style="list-style-type: none"> – Share best practices and provide education on leveraging integrated workflows to support informed prescribing of controlled substances. e. Contact will be made no less than annually but will be done as needed and reviewed by the PDMP Advisory Committee quarterly. Injury Violence Prevention Promotion, Public Health Division.; (12-24 months; ongoing) f.

Section II.

- a. Oregon has an enough health IT infrastructure and ecosystem at every appropriate level to achieve the goals of the demonstration.
- b. Oregon’s SUD Health IT Plan is aligned with the state’s Medicaid Health IT Plan and is a component of Oregon’s Behavioral Health (BH) IT Plan. Oregon is currently initiating modernization efforts on its BH IT systems, including SUD IT systems, and will be building a cloud data warehouse, inbound and outbound data interfaces, and longitudinal assessment platforms. This work is a component of the broader Medicaid Health IT Plan which includes Medicaid Modularity and migration of HITECH Act funded systems into the Medicaid Enterprise System.

Section III.

- g.
- a. Oregon will include the applicable standards referenced in the ONC Interoperability Standards Advisory (ISA) and 45 CFR 170 Subpart B in a future amendment to the

CCO contract. The opportunities to add the SUD waiver requirements to the CCO contract are through an optional amendment in mid-2021 for CCOs that choose early implementation and through the annual restatement for contract year 2022 whereby implementation will be mandatory for all CCOs. Oregon's most recent procurement for CCO contracts occurred in 2019, with contracts awarded for the period of 2020-2024; Oregon does not anticipate any need to reprocure CCO contracts during the SUD waiver implementation period.

- i. Relevant examples of specific health IT standards referenced in the ISA that are relevant for this demonstration include:
 1. Electronic Prescribing – A Prescriber's Ability to Obtain a Patient's Medication History from a Prescription Drug Monitoring Program (Section II-I)
 2. "Direct" transport standards
 3. Documenting and Sharing Care Plans - Care Plan standards (CDA)
 4. Sending a Notification of a Patient's Admission, Discharge and/or want Transfer Status to Other Providers - ADT Alerting and Messaging
 5. Clinical Quality Measurement and Reporting

Demonstration Administration

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ATTACHMENT D
Reserved for SUD Monitoring Protocol

ATTACHMENT E
Reserved for SUD Evaluation Design

**ATTACHMENT F:
Community Integration Services and Eligibility**

Target Group: Housing and employment supports eligibility is targeted to Medicaid beneficiaries with a SUD diagnosis who are enrolled under the Medicaid State Plan.

Needs-Based Criteria and Risk Factors: The Oregon Health Authority (OHA) assures there are needs-based criteria for receipt of institutional services and participation in certain waivers that are more stringent than the criteria below for receipt of Community Integration Services provided through the 1115 SUD Demonstration Waiver.

An individual must meet the following health needs-based criteria and is expected to benefit from housing or employment supports:

1. Individual has a behavioral health need, which is defined as a substance use need, where an assessment using the American Society of Addiction Medicine (ASAM) Criteria (or equivalent assessment) would indicate that the individual would meet at least ASAM level 1.0, indicating the need for outpatient Substance Use Disorder (SUD) treatment.

AND The individual meets at least one of the following sets of risk factors:

1. The individual has at least one or more of the following risk factors and is expected to benefit from housing support services:
 - a. At risk of homelessness.
 - i. At risk of homelessness is defined as an individual who will lose their primary nighttime residence.
 - b. Homelessness.
 - i. Homelessness is defined as lacking a fixed, regular, and adequate nighttime residence, meaning:
 - 1) Has a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings (e.g., a car, park, abandoned building, bus or train station, airport, or camping ground).
 - 2) Living in a place not meant for human habitation, in an emergency shelter, in transitional housing (including congregate shelters, transitional housing, and hotels and motels) or exiting an institution where they temporarily resided in one of the aforementioned situations.
 - 3) Fleeing domestic violence or another dangerous situation related to violence.
 - 4) An individual living with children or unaccompanied youth unstably housed. Unstably housed is defined as an individual living with children or unaccompanied youth who have not had a lease or ownership interest in a

housing unit in the last 60 or more days, who have had two or more moves in the last 60 days, and who are likely to continue in such a state.

- c. History of frequent or lengthy stays in an institutional setting (as defined in 42 CFR435.1010) or residential setting (consistent with those settings noted in OAR Chapter 309, Division 18 for residential services and residential treatment settings).
 - i. Frequent is defined as more than one time in the past 12 months.
 - ii. Lengthy is defined as at least 28 or more consecutive days within an institutional setting, assisted living facility, or residential setting.
- d. History of frequent emergency department (ED) visits and/or hospitalizations.
 - i. Frequent is defined as more than four ED visits and/or hospitalizations in the past 12 months.
- e. History of involvement with the criminal justice system.
 - i. History of involvement with the criminal justice system is defined as an individual who has been confined to a prison, jail, halfway house, boot camp, weekend program, and other justice-involved facilities in which individuals are locked up overnight, for at least 24 hours over the past 12 months.
- f. History of frequent moves or loss of housing as a result of substance use disorder (e.g., lapsed rent payments due to substance use related residential treatment or hospitalization (including withdraw management), or psychiatric hospitalization).
 - i. Frequent is defined as more than once in the past six months.

OR

2. The individual has at least one or more of the following risk factors and is expected to benefit from CIS:

- a. More than one instance of inpatient or outpatient SUD service in the past two years.
- b. At risk of deterioration of mental illness and/or SUD, including one or more of the following:
 - i. Persistent or chronic risk factors such as social isolation due to a lack of family or social supports, poverty, criminal justice involvement, or homelessness.
 - 1) OHA will apply the same definition of homelessness as required for the housing supports risk factors, as described above.
 - ii. Care for SUD requires multiple provider types, including behavioral health, primary care, long-term services and supports, or other supportive services.
 - iii. Past psychiatric history, with ongoing treatment and supports necessary to ensure functional improvement.
 - iv. Dysfunction in role performance, including one or more of the following:
 - 1) SUD disrupts employment or schooling, or put employment at risk of termination or schooling suspension.

- 2) A history of multiple terminations from work or suspensions/expulsions from school.
- 3) Cannot succeed in a structured work or school setting without additional support or accommodations.

OR

3. The individual has at least one or more of the following risk factors and is expected to benefit from employment support services:
 - a. Unable to be gainfully employed for at least 90 consecutive days in the past 12 months due to a mental or physical impairment.
 - b. Unable to obtain or maintain employment resulting from age, physical/sensory disability, or moderate to severe brain injury.
 - c. More than one instance of inpatient or outpatient SUD service in the past two years.
 - d. At risk of deterioration of mental illness and/or SUD, including one or more of the following:
 - i. Persistent or chronic risk factors such as social isolation due to a lack of family or social supports, poverty, criminal justice involvement, or homelessness.
 - 1) DMAS will apply the same definition of homelessness as required for the housing supports risk factors, as described above.
 - ii. Care for mental illness or SUD requires multiple provider types, including behavioral health, primary care, long-term services and supports, or other supportive services.
 - iii. Past psychiatric history, with ongoing treatment and supports necessary to ensure functional improvement.
 - iv. Dysfunction in role performance, including one or more of the following:
 - 1) Behaviors that disrupt employment or schooling, or put employment at risk of termination or schooling suspension.
 - 2) A history of multiple terminations from work or suspensions/expulsions from school.
 - 3) Cannot succeed in a structured work or school setting without additional support or accommodations.
 - 4) Performance significantly below expectation for cognitive/developmental level.

Housing and Employment Supports Services

Housing Supports: Housing supports services are determined to be necessary for an individual to obtain and reside in an independent community setting and are tailored to the goal of maintaining an individual's personal health and welfare in a home and community-based setting as they are transitioning from an IMD. Housing supports services may include one or more of the following components:

Individual Housing and Pre-Tenancy Services:

1. Conducting an assessment to identify the individual's needs and preferences related to housing (e.g., type, location, living alone or with someone else, identifying a roommate, accommodations needed, or other preferences).
2. Assisting individuals with budgeting for housing/living expenses, including financial literacy education on budget basics.
3. Assisting individuals with finding and applying for housing, including filling out housing, utility, and rental assistance applications and obtaining and submitting appropriate documentation.
4. Assisting individuals with completing reasonable accommodation requests as needed to obtain housing.
5. Developing an individualized housing support plan that identifies short and long-term measurable goals, how goals will be achieved and how barriers to achieving goals will be addressed.
6. Assisting with identifying and securing resources to obtain housing.
7. Ensuring the living environment is safe (including the assessment of health risks to ensure the living environment is not adversely affecting the occupants' health) and accessible for move-in.
8. Assisting in arranging for and supporting the details and activities of the move-in.

Individual Housing and Tenancy Sustaining Services:

1. Coordination with the individual to plan, participate in, review, update and modify their individualized housing support plan on a regular basis, including at redetermination and/or revision plan meetings, to reflect current needs and preferences and address existing or recurring housing retention barriers.
2. Providing assistance with securing and maintaining entitlements and benefits (including rental assistance) necessary to maintain community integration and housing stability (e.g., assisting individuals in obtaining documentation, assistance with completing documentation, navigating the process to secure and maintain benefits, and coordinating with the entitlement/benefit assistance agency).
3. Assistance with securing supports to preserve the most independent living.
4. Monitoring and follow-up to ensure that linkages are established and services are addressing community integration needs.
5. Providing supports to assist the individual in the development of independent living skills to remain in the most integrated setting (e.g., skills coaching to maintain a healthy living environment, develop and manage a household budget, interact appropriately with neighbors or roommates, reduce social isolation, utilize local transportation).
6. Providing supports to assist the individual in communicating with the landlord and/or property manager.

7. Education and training on the role, rights, and responsibilities of the tenant and landlord.

8. Providing training and resources to assist the individual with complying with his/her lease.

9. Assisting in reducing the risk of eviction by providing services to prevent eviction (e.g., to improve conflict resolution skills; coaching; role-playing and communication strategies targeted towards resolving disputes with landlords and neighbors; communicating with landlords and neighbors to reduce the risk of eviction; addressing biopsychosocial behaviors that put housing at risk; providing ongoing support with activities related to household management; and linking the tenant to community resources to prevent eviction).

10. Providing early identification and intervention for actions or behaviors that may jeopardize housing.

11. Providing a pest eradication treatment no more than one time per year that is necessary for the individual's health and safety as documented by a health care professional. This service is not intended for monthly, routine or ongoing treatments. This service is coverable when the individual is living in their own home, when not already included in a lease, and when the pest eradication is for the management of health and safety as identified in the person-centered service plan. The service is not otherwise provided under this waiver (except as part of Community Transition Services for individuals transitioning out of institutional settings and provider-owned and operated congregate living arrangements) and the Medicaid state plan, including Early and Periodic Screening, Diagnostic and Treatment (EPSDT).

12. Modifications to improve accessibility of housing (e.g., ramps, rails) and safety (e.g., grip bars in bathtubs) when necessary to ensure occupant's health, and when modification is not covered by another entity as required by law.

13. Assistance with connecting the enrollee to expert community resources to address legal issues impacting housing and thereby adversely impacting health, such as assistance with breaking a lease due to unhealthy living conditions.

14. Shared living support services that provide for the payment for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the individual. Payment will not be made when the individual lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.

Community Transition Services:

1. Supports designed to assist individuals transitioning out of institutional settings and provider-owned and operated congregate living arrangements, not to exceed \$5,000 per member per lifetime, regardless of the number of services. Supports cover expenses

necessary to enable individuals to obtain an independent, community-based living setting. Specifically, allowable expenses may include: security deposits required to obtain a lease on an apartment or home; essential household furnishings required to occupy and use a community domicile, including furniture, window coverings, food preparation items, and bed/bath linens; set-up fees or deposits for utility or service access, including telephone, electricity, heating and water; services necessary for the individual's health and safety such as pest eradication and one-time cleaning prior to occupancy; moving expenses; necessary home accessibility adaptations; and activities to assess need, arrange for, and procure needed resources.

Services Not Included in the CIS Housing Benefit:

1. Payment of rent or other room and board costs.
2. Capital costs related to the development or modification of housing.
3. Expenses for utilities or other regular occurring bills.
4. Goods or services intended for leisure or recreation.
5. Duplicative services from other state or federal programs.
6. Services to individuals in a correctional institution or an Institution of Mental Disease (IMD) (other than services that meet the exception to the IMD exclusion).
7. Community Transition Services are furnished only to the extent that they are reasonable and necessary as determined through the service plan development process, clearly identified in the service plan and only when the person is unable to meet such expense or when the services cannot be obtained from other sources. Community Transition Services do not include monthly rental or mortgage expense, food, regular utility charges, and/or household appliances or items that are intended for purely diversional/recreational purposes.

Employment Supports: Employment supports services are determined to be necessary for an individual to obtain and maintain employment in the community. Employment supports services will be individualized and may include one or more of the following components:

Pre-Employment Services (individual and small group):

1. Pre-vocational/job-related discovery or assessment.
2. Assessment of workplace readiness (e.g., people skills, technology knowledge).
3. Person-centered employment planning.
4. Individualized job development and placement (e.g., job fairs, interviews).
5. Mentoring (e.g., on how to change cultural behavior, re-entry from incarceration).
6. Career coaching (e.g., resume coaching, interview coaching).
7. Job carving.
8. Benefits education, planning, and training.
9. Transportation (provided either as a separate transportation service to employment services or to the individual's job, or services included in the rate paid to the provider of employment services).
10. Soft skill training (e.g., interpersonal skills, customer service, answering the phone, workplace culture).

11. Volunteer work and paid internships.
12. Job preparation training (e.g., coaching on appropriate personal hygiene and attire, timeliness, workplace behavior and communication, reliability).
13. Training to improve executive functioning skills (e.g., sustaining attention, organizing, and task prioritization).
14. Behavioral modification (e.g., to increase emotional maturity, to developed alternative coping mechanisms for adverse behaviors such as alcohol/drug use).
15. Coordination with other care providers to address behavioral health needs that impact an individual's ability to secure and maintain employment.

Employment Sustaining Services (individual and small group):

1. Job coaching (including situational assessments).
2. Career advancement services.
3. Negotiation with employers.
4. Job analysis.
5. Training and systemic instruction
6. Benefits education and planning.
7. Financial and health literacy.
8. Transportation (provided either as a separate transportation service to employment services or to the individual's job, or included in the rate paid to the provider of employment services).
9. Payment for public transportation (e.g., bus passes, mass transit vouchers) to support the enrollee's ability to participate in work/community engagement and to gain access to community services, activities, and resources.
10. Account credits for cost-effective private forms of transportation (e.g., taxi, ridesharing) in areas without access to public transit in order to enable individuals to participate in work/community engagement and to gain access to community services, activities, and resources.
11. Transportation education assistance in gaining access to public or mass transit, including access locations, pilot services available via public transportation, and how to purchase transportation passes.
12. Assistance with linking to high quality child care and after-school programs and programs that increase adults' capacity to participate in work/community engagement activities.
13. Asset development.
14. Follow-along supports.
15. Peer supports for employment provided by a co-worker or other job site personnel, provided that the services furnished (e.g., emotional support, connections to resources) are not part of the normal duties of the co-worker, supervisor or other personnel and these individuals meet the pertinent qualifications for the provider of service.

Services Not Included in the Employment Supports Benefit:

1. Generalized employer contacts that are not connected to a specific enrolled individual or an authorized service.
2. Employment support for individuals in sub-minimum wage, or sheltered workshop settings.
3. Facility-based habilitation or personal care services.

4. Wage or wage enhancements for individuals.
5. Duplicative services from other state or federal programs.
6. Medicaid funds to defray the expenses associated with starting up or operating a business.

Provider Qualifications: Contracted CIS providers must assure staff providing housing and employment supports services maintain appropriate qualifications in order to effectively serve enrollees. Staff providing Community Integration Services must receive OHA approved housing supports trainings in accordance with evidence-based principles and practices, as well as other applicable trainings in accordance with the Oregon Health Authority contract. Below are the minimum provider staff qualifications. OHA and its CCOs (contingent upon OHA review and approval) may also impose licensure/certification/accreditation requirements beyond the minimum provider qualifications outlined below.

Provider type	Education and Experience	Skills	Services
Housing Supports	<ul style="list-style-type: none"> • Education (e.g., Bachelor’s degree, Associate’s degree, certificate) in a human/social services field or a relevant field; and/or • At least one year of relevant professional experience and/or training in the field of service. 	Knowledge of principles, methods, and procedures of services included under housing supports services, or comparable services meant to support an individual’s ability to obtain and maintain stable housing.	Individual Housing and Pre-Tenancy Services. <ul style="list-style-type: none"> • Individual Housing and Tenancy Sustaining Services. • Community Transition Services.
Employment Supports	Education (e.g., Bachelor’s degree, Associate’s degree, certificate) in a human/social services field or a relevant field; and/or <ul style="list-style-type: none"> • At least one year of relevant professional experience and/or training in the field of service. 	Knowledge of principles, methods, and procedures of services included under employment supports services, or comparable services meant to support an individual’s ability to obtain and maintain stable employment.	<ul style="list-style-type: none"> • Pre-Employment Services (individual and small group). • Employment Sustaining Services (individual and small group).

Administrative Approach: The state will provide a set of housing supports to

certain high need Medicaid beneficiaries enrolled in the managed care delivery system by contracting with Oregon’s CCOs to provide the approved Community Integration Services and related activities. The state will maintain authority, accountability, oversight, and evaluation of the CIS program, including oversight of delegated activities to its CCOs and any other contracted entities, as well as oversight of the CIS quality strategy described in STCs 26 – 29.

The state will leverage multiple pathways to ensure a “no wrong door” approach to identifying enrollees who may be eligible for these services. Multiple entities, including CCOs, state agencies, community organizations, and providers, will play a critical role in identifying individuals for the CIS benefit. The state will send information it receives regarding potentially eligible enrollees to the MCOs to determine eligibility for the benefit. The state will develop standardized CIS screening questions that CCOs will use to determine CIS eligibility. The state will validate the eligibility determination provided by the CCOs.

The state will develop standardized elements for a CIS assessment to be performed by CCOs, and review/approve any changes to the assessment proposed by the CCOs. The state will require the MCOs to ensure their care coordinators develop the CIS person-centered care plan that reflects enrollees’ housing and employment-related needs, goals, and preferences, and to connect enrollees to providers and services authorized by the CCO. The state will require that CCOs, in collaboration with providers, track and report the services provided to High Needs Supports enrollees, ensuring accountability for service delivery and payment. The state will conduct periodic audits of payments to verify accurate reporting and spending.

The following activities will be delegated to CCOs; the state will monitor and ensure CCO compliance and performance with respect to these functions:

- Develop, manage, and contract with a network of CIS providers to deliver and pay claims for Community Integration Services.
- Screen members to identify those potentially eligible for Community Integration Services.
- Conduct the CIS eligibility screening to determine CIS eligibility based on the eligibility criteria set forth above.
- Perform ongoing data surveillance/identification of members to monitor any changes to the member’s CIS status.
- Oversee the provision of the standardized CIS assessment and the development/maintenance of the CIS person-centered care plan by the CCO care coordinators.
- Authorize Community Integration Services and care plan modifications.
- Work with CCOs to ensure care management and monitor/track enrollees’ access to services and progress against their goals.

Payment Methodology: As applicable for any community integration services provided through managed care, the state will demonstrate that it has designed and implemented an adequate system for ensuring financial accountability of the CIS program. Working closely with the CCOs, the state will establish a payment floor for the federally-approved CIS. The services will be priced based on factors such as the intensity of services, duration of services, geography, contracted provider per unit cost, and comparable fee-for-service (FFS) service costs. The state

will allow CCOs to negotiate CIS payment rates above the payment floor. Once the CIS program is fully implemented in a manner envisioned by the state, OHA may consider revising the payment methodology approach to remove the payment floor and allow CCOs to negotiate provider payment rates. The state will require CCOs to reimburse network providers authorized to deliver these services based on the standards and requirements set forth by the state. The state will conduct periodic audits of payments to verify accurate reporting and spending. The state will work with CMS to determine if a State Directed Preprint pursuant to 42 CFR 438.6(c) is required for these payments, and if so, will submit a preprint(s) for approval prior to implementation of the payments as required under 42 CFR 438.6(c)(2). Further, the state will demonstrate actuarial soundness pursuant to 42 CFR Part 438.