

**FFQ4 2017**

**END STAGE RENAL DISEASE (ESRD) DEMONSTRATION**

PROJECT NUMBER: 11-W-00237/5

PROJECT NUMBER: 11-W-0030/5

**SECTION 1115 QUARTERLY REPORT**

**State of Indiana**

**REPORTING PERIOD:**

Demonstration Year: 1 (1/01/16 - 12/31/16)

Federal Fiscal Quarter: 2/2016 (1/16 - 3/16)

Federal Fiscal Quarter: 3/2016 (4/16 - 6/16)

Federal Fiscal Quarter: 4/2016 (7/16 - 9/16)

Federal Fiscal Quarter: 1/2017 (10/16–12/16)

Demonstration Year: 2 (1/01/17 - 12/31/17)

Federal Fiscal Quarter: 2/2017 (1/17 - 3/17)

Federal Fiscal Quarter: 3/2017 (4/17 – 6/17)

Federal Fiscal Quarter: 4/2017 (7/17 – 9/17)

Federal Fiscal Quarter: 1/2018 (10/17 – 12/17)

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Date Submitted to CMS: 00/00/0000



## **END STAGE RENAL DISEASE (ESRD) DEMONSTRATION**

### Introduction:

The End Stage Renal Disease (ESRD) 1115 demonstration waiver will allow Indiana to provide Medicare-enrolled individuals with ESRD, who are otherwise ineligible for Medicaid, with supplemental wrap-around coverage including supplemental coverage for kidney transplant services.

The goals of this approved demonstration are to:

- Increase overall coverage of low-income individuals with a diagnosis of ESRD; and
- Ensure access to comprehensive coverage for low-income individuals with a diagnosis of ESRD and primary coverage through Medicare.

Questions that will be addressed are:

1. How many enrollees are on the kidney transplant list during enrollment?
2. How many enrollees received a kidney transplant during enrollment?
3. How many enrollees no longer have Medicare coverage?
4. How many enrollees expired due to ESRD during enrollment?

Question #3 was originally submitted as “How many enrollees no longer have a diagnosis of ESRD?” After further review of the waiver requirements and Medicare coverage requirements, this question was changed to “How many enrollees no longer have Medicare coverage?”

Question #4 was originally submitted as “How many enrollees expired due to ESRD during enrollment? The question was modified due to the goals of the waiver being to increase coverage for low-income individuals with a diagnosis of ESRD and primary coverage through Medicare and to ensure access to comprehensive coverage. The goals of the Waiver do not include preventing the enrollees from expiring.

Indiana’s HIP 1.0 demonstration began in 1994 to supplement state plan benefits for Medicaid eligible children and otherwise eligible adults who are not aged, blind or disabled. HIP 1.0 was scheduled to expire at the end of 2013, but was extended for an additional year through December 31, 2014.

In May 2014, CMS approved an amendment to include former spend down enrollees diagnosed with End Stage Renal Disease (ESRD) as a HIP 1.0 demonstration population. ESRD enrollees are Medicare beneficiaries in need of supplemental health care coverage. By providing coverage through HIP, beneficiaries were able to access kidney transplant and related services that they might not be able to afford without the additional supplemental benefits.

In January 2015, CMS approved the Healthy Indiana Plan 2.0 (HIP 2.0) demonstration whereby former HIP 1.0 enrollees transitioned into the HIP 2.0 demonstration; the ESRD enrollees were the only population remaining in the HIP 1.0 demonstration. The HIP 1.0 demonstration with only the ESRD enrollees operated on a temporary extension until its approval on July 28, 2016 and renamed the End Stage Renal Disease (ESRD) Demonstration

This demonstration will continue to provide coverage for individuals with ESRD that are not currently eligible under the Medicaid state plan. The demonstration originally covered approximately 350 individuals with ESRD, who would otherwise be unable to access kidney transplant services. Corrections made with data processing showed there were 694 enrollees in Population 1. With this demonstration extension, Indiana expects to achieve program objectives.

### Overview:

The State of Indiana respectfully submits FFQ4 2017 End Stage Renal Disease 1115 Demonstration report

If there are any questions or comments regarding these changes please do not hesitate to contact the State contacts listed below.

### State Contacts

| Primary Contact   | Secondary Contact  |
|---|--|
| Vickie Trout<br>Quality and Outcomes Director<br>Office of Medicaid Policy and Planning<br>Family and Social Services Administration<br>W374 IGC-S MS 07<br>402 W Washington St.<br>Indianapolis, IN 46204-2739<br>Telephone: 317- 234-3804<br><a href="mailto:Vickie.Trout@fssa.in.gov">Vickie.Trout@fssa.in.gov</a> | Ron Smith<br>Quality Analyst<br>Office of Medicaid Policy and Planning<br>Family and Social Services Administration<br>W374 IGC-S, MS 07<br>402 W Washington St.<br>Indianapolis, IN 46204-2739<br>Telephone: 317-233-1662<br><a href="mailto:Ronald.Smith3@fssa.in.gov">Ronald.Smith3@fssa.in.gov</a> |

*Table 1*

| <b>ESRD-Enrollment</b>  |       |
|---|-------|
| Source: Family & Social Services Administration (FSSA) Data and Analytics                     |       |
| Report the unduplicated count of members enrolled as of the last day of the reporting quarter |       |
| Item  | Total |
| Demonstration Population 1 – Former Spend Down Individuals/Number of Enrollees                | 474   |
| Demonstration Population 2 - Number of New Enrollees  | 910   |
| Demonstration Population Total Number of Enrollees  | 1,384 |

*Table 2*

| <b>ESRD Budget Neutrality Calculations</b>  |                          |                          |                          |   |
|---|--------------------------|--------------------------|--------------------------|---|
| Source: FSSA Data and Analytics   |                          |                          |                          |   |
| Report the member-months for budget neutrality for each month of the quarter and the total for the quarter. |                          |                          |                          |   |
| Eligibility Group   | Member Months<br>Month 1 | Member Months<br>Month 2 | Member Months<br>Month 3 | Total Member Months<br>for Quarter Ending 09/17 |
| Demonstration Population 1 – Former Spend Down Individuals  | 485                      | 469                      | 474                      | 1,428   |
| Demonstration Population 2 – New Enrollees  | 876                      | 891                      | 910                      | 2,677   |
| Total   | 1,361                    | 1,360                    | 1,384                    | 4,105   |

*Table 3*

| <b>Outreach/Innovative Activities:</b>  |
|---|
| Source: FSSA  |
| Summarize outreach activities and/or promising practices for the current quarter.   |
| FSSA provided the following training about the ESRD waiver: <ul style="list-style-type: none"> <li>• to additional case workers in northeast Indiana</li> <li>• to the Work One center in northeast Indiana</li> <li>• to the public at the Community Harves event in northern Indiana</li> <li>• at the Samaritan Center in southwest Indiana</li> </ul> |

Table 4

| <b>Operational/Policy Developments/Issues:</b>  |
|---|
| Source: FSSA  |
| Identify all significant program developments/issues/problems that have occurred in the current quarter, including, but not limited to, approval and contracting with new plans, benefit changes, legislative activity, and non-emergency medical transportation. |
| There is nothing new to report this quarter.  |

Table 5

| <b>Financial/Budget Neutrality Developments/Issues:</b>  |
|--|
| Source: FSSA/OMPP Finance  |
| Identify all significant developments/issues/problems with financial accounting, budget neutrality, and CMS-64 reporting for the current quarter. Identify the state's actions to address these issues.  |
| The State is reviewing its internal controls related to budget neutrality and CMS64 reporting. The State is working to re-tool our reporting logic to assure compliance with the Special Terms and Conditions set forth in the 1115 demonstration waiver.  |
| Below, please find the OMPP Finance process to achieve control objectives of accurate, timely and complete reporting in compliance with the Special Terms and Conditions:  |
| <ul style="list-style-type: none"> <li>• Budget neutrality submissions will be developed utilizing CMS64 data.</li> <li>• Budget neutrality and CMS64 reporting will be reconciled quarterly prior to submitting reports to CMS.</li> <li>• Federal Funding Director/OMPP Controller will be the final approver on all budget neutrality submissions.</li> </ul> |
| Reconciliation documentation will be maintained to support quarterly submissions.  |

Table 6

| <b>Budget Neutrality-Member Months</b>   |         |         |         |         |       |
|--|---------|---------|---------|---------|-------|
| Source: Family & Social Services Administration Data and Analytics   |         |         |         |         |       |
| This table contains the number of member months for each population of enrollees. Information was obtained from the Social Services Warehouse and the Data Warehouse. Demonstration Population 1 and 2 are defined by: Federal Poverty Level (FPL) is between 150% and 300%, resource limit is below \$1,500 per individual or \$2,250 per married couple, member is not assigned to Level of Care during the month, member is not in long term care during the month, member is not assigned to managed care, member is dually eligible for Medicare and Medicaid, <b>and</b> member age is below 65 years. |         |         |         |         |       |
| Medicaid Eligibility Group (MEG)   | Period  | Month 1 | Month 2 | Month 3 | Total |
| Demonstration Population 1 – Former Spend Down Individuals   | Quarter | 485     | 469     | 474     | 1,428 |
| Demonstration Population 2 – New Enrollees   | Quarter | 876     | 891     | 910     | 2,677 |

Table 7

| <b>Consumer Issues</b>  |
|---|
| Source: FSSA Communications Services  |
| A summary of the types of complaints or problems consumers identified about the program in the current quarter. Include any trends discovered, the resolution of complaints, and any actions taken or to be taken to prevent other occurrences. |
| Each Division of Family Resources (DFR) region has a mailbox that providers can contact for specific issues that they feel the Regional Management may be able to assist with resolution.   |
| In southwest Indiana, members report that their liability is too high for them to be helped financially from the program. OMPP continues to reach out to DFR to determine how to resolve this issue.  |

Table 8

| <b>Quality Assurance/Monitoring Activity</b>  |
|---|
| Source: OMPP Quality & Outcomes   |
| Identify any quality assurance/monitoring activity in current quarter.                    |
| Ongoing meetings with Data and Analytics to discuss problems and remedies regarding data. |

Table 9

| <b>Demonstration Evaluation</b>   |
|---|
| Source: FSSA/OMPP Quality & Outcomes  |
| Discuss progress of evaluation design and planning.   |
| Northwest Indiana has specifically mandated that workers consult their State Eligibility Manager prior to taking any adverse actions. Whenever an ESRD case is worked, notes are to be included that the member has ESRD and the case should not be closed. |

Table 10

| <b>Measurement and Analysis</b>   |                           |                           |                           |  |
|---|---------------------------|---------------------------|---------------------------|--|
| Source: FSSA Data and Analytics   |                           |                           |                           |  |
| Report the number of members on the kidney transplant list for each month of the quarter and the total for the quarter. |                           |                           |                           |  |
| Eligibility Group   | Number of Members Month 1 | Number of Members Month 2 | Number of Members Month 3 | Total Members for Quarter Ending 09/17 |
| Demonstration Population 1 – Former Spend Down Individuals  | 0                         | 0                         | 0                         | 0                                      |
| Demonstration Population 2 – New Enrollees  | 4                         | 1                         | 0                         | 5                                      |
| Total   | 4                         | 1                         | 0                         | 5                                      |

Table 11

| <b>Measurement and Analysis</b>   |                           |                           |                           |  |
|---|---------------------------|---------------------------|---------------------------|--|
| Source: FSSA Data and Analytics   |                           |                           |                           |  |
| Report the number of members who received a kidney transplant for each month of the quarter and the total for the quarter |                           |                           |                           |  |
| Eligibility Group   | Number of Members Month 1 | Number of Members Month 2 | Number of Members Month 3 | Total Members for Quarter Ending 09/17 |
| Demonstration Population 1 – Former Spend Down Individuals  | 39                        | 38                        | 37                        | 47                                     |
| Demonstration Population 2 – New Enrollees  | 33                        | 24                        | 25                        | 39                                     |
| Total   | 72                        | 62                        | 62                        | 86                                     |

Table 12

| <b>Measurement and Analysis</b>   |                           |                           |                           |  |
|---|---------------------------|---------------------------|---------------------------|--|
| Source: FSSA Data and Analytics   |                           |                           |                           |  |
| Report the number of members who no longer have a diagnosis of ESRD for each month of the quarter and the total for the quarter |                           |                           |                           |  |
| Eligibility Group   | Number of Members Month 1 | Number of Members Month 2 | Number of Members Month 3 | Total Members for Quarter Ending 09/17 |
| Demonstration Population 1 – Former Spend Down Individuals  | 0                         | 0                         | 0                         | 0                                      |
| Demonstration Population 2 – New Enrollees  | 0                         | 0                         | 0                         | 0                                      |
| Total   | 0                         | 0                         | 0                         | 0                                      |

Table 13

| <b>Measurement and Analysis</b>  |                           |                           |                           |  |
|--|---------------------------|---------------------------|---------------------------|--|
| Source: FSSA Data and Analytics  |                           |                           |                           |  |
| Report the number of members who expired due to ESRD each month of the quarter and the total for the quarter |                           |                           |                           |  |
| Eligibility Group  | Number of Members Month 1 | Number of Members Month 2 | Number of Members Month 3 | Total Members for Quarter Ending 09/17 |
| Demonstration Population 1 – Former Spend Down Individuals   | 3                         | 2                         | 3                         | 8                                      |
| Demonstration Population 2 – New Enrollees   | 4                         | 4                         | 4                         | 12                                     |
| Total  | 7                         | 6                         | 7                         | 20                                     |

Table 14

| <b>Measurement and Analysis</b>  |                           |                           |                           |  |
|--|---------------------------|---------------------------|---------------------------|--|
| Source: FSSA Data and Analytics  |                           |                           |                           |  |
| Report the number of members 20 years and older who received a preventive care visit each month of the quarter and the total for the quarter |                           |                           |                           |  |
| Eligibility Group  | Number of Members Month 1 | Number of Members Month 2 | Number of Members Month 3 | Total Members for Quarter Ending 09/17 |
| Demonstration Population 1 – Former Spend Down Individuals   | 317                       | 304                       | 309                       | 347                                    |
| Demonstration Population 2 – New Enrollees   | 803                       | 813                       | 828                       | 962                                    |
| Total  | 1,120                     | 1,117                     | 1,137                     | 1,309                                  |

Table 15

| <b>Measurement and Analysis</b>  |                           |                           |                           |  |
|--|---------------------------|---------------------------|---------------------------|--|
| Source: FSSA Data and Analytics  |                           |                           |                           |  |
| Report the number of adult members age 20 to 44 years who received a flu vaccination each month of the quarter and the total for the quarter |                           |                           |                           |  |
| Eligibility Group  | Number of Members Month 1 | Number of Members Month 2 | Number of Members Month 3 | Total Members for Quarter Ending 09/17 |
| Demonstration Population 1 – Former Spend Down Individuals   | 0                         | 0                         | 0                         | 0                                      |
| Demonstration Population 2 – New Enrollees   | 0                         | 0                         | 0                         | 0                                      |
| Total  | 0                         | 0                         | 0                         | 0                                      |

Table 16

| <b>Measurement and Analysis</b>  |                           |                           |                           |  |
|--|---------------------------|---------------------------|---------------------------|--|
| Source: FSSA Data and Analytics  |                           |                           |                           |  |
| Report the number of older adult members age 45 to 64 years who received a flu vaccination each month of the quarter and the total for the quarter |                           |                           |                           |  |
| Eligibility Group  | Number of Members Month 1 | Number of Members Month 2 | Number of Members Month 3 | Total Members for Quarter Ending 09/17 |
| Demonstration Population 1 – Former Spend Down Individuals   | 0                         | 2                         | 13                        | 15                                     |
| Demonstration Population 2 – New Enrollees   | 0                         | 6                         | 38                        | 44                                     |
| Total  | 0                         | 8                         | 51                        | 59                                     |

Table 17

| <b>Measurement and Analysis</b>  |                           |                           |                           |  |
|--|---------------------------|---------------------------|---------------------------|--|
| Source: FSSA Data and Analytics  |                           |                           |                           |  |
| Report the number of members who received an ambulatory care visit each month of the quarter and the total for the quarter |                           |                           |                           |  |
| Eligibility Group  | Number of Members Month 1 | Number of Members Month 2 | Number of Members Month 3 | Total Members for Quarter Ending 09/17 |
| Demonstration Population 1 – Former Spend Down Individuals   | 33                        | 32                        | 34                        | 81                                     |
| Demonstration Population 2 – New Enrollees   | 103                       | 96                        | 75                        | 213                                    |
| Total  | 136                       | 128                       | 109                       | 294                                    |

Table 18

| <b>Enclosures/Attachments</b>   |
|---|
| Source: FSSA/OMPP Quality & Outcomes  |
| Identify by title any attachments along with a brief description of what information the document contains. |
| None  |