

FFY 2020 MEDICAID FEE-FOR-SERVICE (FFS)
DRUG UTILIZATION REVIEW (DUR) ANNUAL SURVEY

ABOUT THE SURVEY

Section 1927(g)(3)(D) of the Social Security Act (the Act) requires each state to submit an annual report on the operation of its Medicaid Drug Utilization Review (DUR) program. Such reports are to include: descriptions of the nature and scope of the prospective and retrospective DUR programs; a summary of the interventions used in retrospective DUR and an assessment of the education program; a description of DUR Board activities; and an assessment of the DUR program's impact on quality of care as well as any cost savings generated by the program. Covered Outpatient Drugs (COD) are referenced throughout this survey and refers to participating labelers in the Medicaid Drug Rebate Program (MDRP).

This report covers the period October 1, 2019 to September 30, 2020 and is **due for submission to CMS Central Office by no later than July 1, 2021. Answering the attached questions and returning the requested materials as attachments to the report will constitute compliance with the above-mentioned statutory requirement.**

If you have any questions regarding the DUR Annual Report, please contact CMS via email at: CMSDUR@cms.hhs.gov.

PRA DISCLOSURE STATEMENT (CMS-R-153)

This mandatory information collection (section 4401 of the Omnibus Budget Reconciliation Act of 1990 and section 1927(g) of the Social Security Act) is necessary to establish patient profiles in pharmacies, identify problems in prescribing and/or dispensing, determine each program's ability to meet minimum standards required for Federal financial participation, and ensure quality pharmaceutical care for Medicaid patients. State Medicaid agencies that have prescription drug programs are required to perform prospective and retrospective DUR in order to identify aberrations in prescribing, dispensing and/or patient behavior. Under the Privacy Act of 1974 any personally identifying information obtained will be kept private to the extent of the law. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid Office of Management and Budget (OMB) control number. The control number for this information collection request is 0938-0659 (Expires: 11/30/2022). Public burden for all of the collection of information requirements under this control number is estimated at 64 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to CMS, 7500 Security Boulevard, Attn: Paperwork Reduction Act Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850.

I have read the information about this survey.

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I. **DEMOGRAPHIC INFORMATION**

State Abbreviation: _____

Medicaid Program Information

Identify state person responsible for DUR Annual Report Preparation.

First Name: _____

Last Name: _____

Email Address: _____

Area Code/Phone Number: _____

1. On a monthly average, how many of your state's Medicaid beneficiaries are enrolled in your state's Medicaid Fee-For-Service (FFS) program that have a pharmacy benefit?

_____ Beneficiaries

2. On a monthly average, how many of your state's Medicaid beneficiaries are enrolled in managed care plan(s)?

_____ Beneficiaries

II. **PROSPECTIVE DUR (ProDUR)**

1. Indicate the type of your pharmacy point of service (POS) vendor.

- State-Operated
 Contractor
 Other

- a. Vendor Name

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b. Who processes the state's National Council for Prescription Drug Programs (NCPDP) transactions?

- POS vendor is the fiscal agent (FA)
- POS vendor is a separate Pharmacy Benefits Manager (PBM)
- None

2. Identify your ProDUR table driven criteria source. This would be initial ratings such as drug to drug interactions, dose limits based on age and pregnancy severity. Check **all** that apply.

- First Databank
- Medi-Span
- Micromedex
- Other, please specify _____

3. When the pharmacist receives a ProDUR alert message that requires a pharmacist's review, does your system allow the pharmacist to override the alert using the "NCPDP drug use evaluation codes" (reason for service, professional service and resolution)?

- Yes
- Varies by alert type
- No

If "Yes" or "Varies by Alert Type," check **all** that apply.

- Alerts can be overridden ahead of time
- Alerts can be overridden with standard professional codes
- Alerts need Prior authorization (PA) to be overridden
- Other, please explain.

4. Does your state receive periodic reports providing individual pharmacy providers DUR alert override activity in summary and/or in detail?

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- Yes
- No

a. How often does your state receive reports?

- Monthly
- Quarterly
- Annually
- Ad hoc (on request)
- Other, please explain.

b. If you receive reports, does your state follow up with those providers who routinely override with interventions?

- Yes

By what method does your state follow up?

- Contact Pharmacy
- Refer to Program Integrity for Review
- Other, please explain.

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- No, please explain.

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5. **Early Refill**

a. At what percent threshold does your state set your system to edit?

i. Non-controlled drugs:

_____ %

ii. Schedule II controlled drugs:

_____ %

iii. Schedule III through V controlled drugs:

_____ %

b. **For non-controlled drugs:**

When an early refill message occurs, does your state require a PA?

- Yes
- No
- Dependent on medication or situation

If “Yes” or “*Dependent on medication or situation,*” who obtains authorization?

- Pharmacist
- Prescriber
- Pharmacist or Prescriber

If “No,” can the pharmacist override at the POS?

- Yes
- No

c. **For controlled drugs:**

When an early refill message occurs, does your state require a PA?

- Yes
- No

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If “Yes,” who obtains authorization?

- Pharmacist
- Prescriber
- Pharmacist or Prescriber

If “No,” can the pharmacist override at the POS?

- Yes
- No

6. When the pharmacist receives an early refill DUR alert message that requires the pharmacist’s review, does your state’s policy allow the pharmacist to override for situations such as:

a. Lost/stolen Rx

- Yes
- No
- Overrides are only allowed by a pharmacist through a PA

b. Vacation

- Yes
- No
- Overrides are only allowed by a pharmacist through a PA

c. Other, please explain.

7. Does your system have an accumulation edit to prevent patients from continuously filling prescriptions early?

- Yes
- No

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If “Yes,” please explain your edit.

If “No,” does your state plan to implement this edit?

- Yes
- No

8. Does the state Medicaid program have any policy prohibiting the auto-refill process that occurs at the POS (i.e. must obtain beneficiary's consent prior to enrolling in the auto-refill program)?

- Yes
- No

9. For drugs not on your Preferred Drug List (PDL), does your Medicaid program have a documented process (i.e. PA) in place, so that the Medicaid beneficiary or the Medicaid beneficiary's prescriber may access any covered outpatient drug when medically necessary?

- Yes

Please check **all** that apply.

- Automatic PA based on diagnosis codes or systematic review
- Trial and failure of first or second-line therapies
- Pharmacist or technician reviews
- Direct involvement with Pharmacy and/or Medical Director
- Other, please explain.

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No, please explain.

a. Does your program provide for the dispensing of at least a 72-hour supply of a covered outpatient drugs (COD) in an emergency situation?

Yes

Please check **all** that apply.

- Real-time automated process
- Retrospective PA
- Other process, please explain.

No, please explain.

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10. Please list the requested data in each category in *Table 1 – Top Drug Claims Data Reviewed by the DUR Board* below.

Column 1 – Top 10 PA Requests by Drug Name, report at generic ingredient level

Column 2 – Top 10 PA Requests by Drug Class

Column 3 – Top 5 Claim Denial Reasons (i.e. Quantity Limits (QL), Early Refill (ER), PA, Therapeutic Duplications (TD), and Age Edits (AE))

Column 4 – Top 10 Drug Names by Amount Paid, report at generic ingredient level

Column 5 – From Data in column 4, determine the Percentage of Total Drug Spend

Column 6 – Top 10 Drug Names by Claim Count, report at generic ingredient level

Column 7 – From Data in Column 6, determine the Percentage of Total Claims

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Table 1: Top Drug Claims Data Reviewed by the DUR Board

Column 1 Top 10 Prior Authorization (PA) Requests by Drug Name, report at generic ingredient level	Column 2 Top 10 Prior Authorization (PA) Requests by Drug Class	Column 3 Top 5 Claim Denial Reasons (i.e. Quantity Limits (QL), Early Refill (ER), PA, Therapeutic Duplications (TD) and Age Edits (AE))	Column 4 Top 10 Drug Names by Amount Paid, report at generic ingredient level	Column 5 % of Total Spent for Drugs by Amount Paid (From data in Column 4, Determine the % of total drug spend)	Column 6 Top 10 Drug Names by Claim Count, report at generic ingredient level	Column 7 Drugs by Claim Count % of Total Claims (From data in Column 6, Determine the % of total claims)
				%		%
				%		%
				%		%
				%		%
				%		%
				%		%
				%		%
				%		%
				%		%
				%		%

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11. Section 1927(g) (A) of the Social Security Act (the Act) requires that the pharmacist offer patient counseling at the time of dispensing. Who in your state has responsibility for monitoring compliance with the oral counseling requirement? Check **all** that apply.

- Medicaid Program
- State Board of Pharmacy
- Other, please explain.

III. **RETROSPECTIVE DUR (RetroDUR)**

1. Indicate the type of vendor that performed your RetroDUR activities during the time period covered by this report.

- Company
- Academic Institution
- Other Institution

a. Identify, by name, your RetroDUR vendor.

b. Is the RetroDUR vendor the Medicaid Management Information System (MMIS) fiscal agent?

- Yes
- No

c. Is the RetroDUR vendor the developer/supplier of your retrospective DUR criteria?

- Yes
- No

Please explain "Yes" or "No" response.

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d. Does your state customize your RetroDUR vendor criteria?

- Yes
- No
- Ad hoc based on state-specific needs

2. How often does your state perform retrospective practitioner-based education?

- Monthly
- Bi-monthly
- Quarterly
- Other, please specify.

a. How often does your state perform retrospective reviews that involve communication of client specific information to healthcare practitioners (through messaging, fax, or mail)? Check **all** that apply.

- Monthly
- Bi-Monthly
- Quarterly
- Other, please specify.

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b. What is the preferred mode of communication when performing RetroDUR initiatives? Check **all** that apply.

- Mailed letters
- Provider phone calls
- Near real-time fax
- Near real-time messaging
- Other new technologies such as apps or Quick Response (QR) codes
- Focused workshops, case management, or WebEx training
- Newsletters or other non-direct provider communications
- Other, please specify _____

3. **Summary 1 – RetroDUR Educational Outreach Summary**

Summary 1: RetroDUR Educational Outreach is a year-end summary report on retrospective screening and educational interventions. This year-end summary should be limited to the most prominent problems with the largest number of exceptions. The results of RetroDUR screening and interventions should be included and detailed below.

IV. DUR BOARD ACTIVITY

1. **Summary 2 – DUR Board Activities Summary**

Summary 2: DUR Board Activities Summary should be a brief descriptive on DUR activities during the fiscal year reported. Please provide a summary below:

- Indicate the number of DUR Board meetings held.
- List additions/deletions to DUR Board approved criteria:
 - For ProDUR, list problem type/drug combinations added or deleted.
 - For RetroDUR, list therapeutic categories added or deleted.

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- Describe Board policies that establish whether and how results of ProDUR screening are used to adjust RetroDUR screens.
- Describe policies that establish whether and how results of RetroDUR screening are used to adjust ProDUR screens.
- Describe DUR Board involvement in the DUR education program (i.e. newsletters, continuing education, etc.).
- Describe policies adopted to determine mix of patient or provider specific intervention types (i.e. letters, face-to-face visits, increased monitoring).

2. Does your state have an approved Medication Therapy Management (MTM) Program?
- Yes
- No

V. **PHYSICIAN ADMINISTERED DRUGS (PAD)**

The Deficit Reduction Act required collection of national drug code (NDC) numbers for covered outpatient physician administered drugs. These drugs are paid through the physician and hospital programs. Has your MMIS been designed to incorporate this data into your DUR criteria for:

- ProDUR?
1. Yes
- No

If “No,” does your state have a plan to include this information in your DUR criteria in the future?

- Yes

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No

2. RetroDUR?

Yes

No

If “No,” does your state have a plan to include this information in your DUR criteria in the future?

Yes

No

VI. GENERIC POLICY AND UTILIZATION DATA

1. **Summary 3 – Generic Drug Substitution Policies**

Summary 3: Generic Drug Substitution Policies should summarize factors that could affect your generic utilization percentage. In describing these factors, please explain any formulary management or cost containment measures, preferred drug list (PDL) policies, educational initiatives, technology or promotional factors, or other state specific factors that affects your generic utilization rate.

2. In addition to the requirement that the prescriber write in his own handwriting “Brand Medically Necessary” for a brand name drug to be dispensed in lieu of the generic equivalent, does your state have a more restrictive requirement?

Yes

No

If “Yes,” check **all** that apply.

Require that a MedWatch Form be submitted

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- Require the medical reason(s) for override accompany the prescription(s)
- Prior authorization (PA) is required
- Other, please explain.

Table 2: Generic Drug Utilization Data

Computation Instructions

KEY

Single Source (S) – Drugs having an FDA New Drug Application (NDA), and there are no generic alternatives available on the market.

Non-Innovator Multiple-Source (N) – Drugs that have an FDA Abbreviated New Drug Application (ANDA), and generic alternatives exist on the market.

Innovator Multiple-Source (I) – Drugs which have an NDA and no longer have patent exclusivity.

1. **Generic Utilization Percentage:** To determine the generic utilization percentage of all covered outpatient drugs paid during this reporting period, use the following formula:

$$N \div (S + N + I) \times 100 = \text{Generic Utilization Percentage}$$

2. **Generic Expenditures Percentage of Total Drug Expenditures:** To determine the generic expenditure percentage (rounded to the nearest \$1000) for all covered outpatient drugs for this reporting period use the following formula:

$$\$N \div (\$S + \$N + \$I) \times 100 = \text{Generic Expenditure Percentage}$$

CMS has developed an extract file from the Medicaid Drug Rebate Program Drug Product Data File identifying each NDC along with sourcing status of each drug: S, N, or I, which can be found at [Medicaid.gov](https://www.Medicaid.gov) (Click on the link “an NDC and Drug Category file [ZIP],” then open the Medicaid Drug Product File 4th Qtr. 2020 Excel file).

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Please provide the following utilization data for this DUR reporting period for all covered outpatient drugs paid. Exclude Third Party Liability (TPL).

	Single Source (S) Drugs	Non-Innovator (N) Drugs	Innovator Multi-Source (I) Drugs
Total Number of Claims			
Total Reimbursement Amount Less Co-Pay			

3. Indicate the generic utilization percentage for all covered outpatient drugs (COD) paid during this reporting period, using the computation instructions in **Table 2 – Generic Drug Utilization Data**.

Number of Generic Claims: _____
 Total Number of Claims: _____
 Generic Utilization Percentage: _____ %

4. How many multi-source drugs have the innovator as the preferred drug product based on net pricing?

5. Indicate the percentage dollars paid for generic CODs in relation to all COD claims paid during this reporting period using the computation instructions in **Table 2: Generic Drug Utilization Data**.

Generic Dollars: \$ _____
 Total Dollars: \$ _____
 Generic Expenditure Percentage: _____ %

6. Does your state have any policies related to Biosimilars? Please explain.

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VII. PROGRAM EVALUATION/COST SAVINGS/COST AVOIDANCE

1. Did your state conduct a DUR program evaluation of the estimated cost savings/cost avoidance?

- Yes
- No

If “Yes,” identify, by name and type, the institution that conducted the program evaluation.

Institution Type

- Company
- Academic Institution
- Other Institution

Institution Name

2. Please provide your ProDUR and RetroDUR program cost savings/cost avoidance in the chart below.

	Cost in Dollars
ProDUR Total Estimated Avoided Costs	
RetroDUR Total Estimated Avoided Costs	
Other Cost Avoidance	
Grand Total Estimated Avoided Costs	

3. The Estimated Percent Impact was generated by dividing the Grand Total Estimated Avoided Costs from Question 2 above by the Total Dollar Amount provided in Section VI, Question 5, then multiplying this value by 100.

Estimated Percent Impact: _____ %

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4. **Summary 4 – Cost Savings/Cost Avoidance Methodology**

Summary 4 Cost Savings/Cost Avoidance Methodology includes program evaluations/cost savings estimates prepared by the state or contractor. Please provide detailed summary below.

VIII. **FRAUD, WASTE AND ABUSE DETECTION**

A. **LOCK-IN or PATIENT REVIEW AND RESTRICTION PROGRAMS**

1. Does your state have a documented process in place that identifies potential fraud or abuse of controlled drugs by **beneficiaries**?

- Yes
 No

If “Yes,” what actions does this process initiate? Check **all** that apply:

- Deny claims
 Require prior authorization (PA)
 Refer to Lock-In Program
 Refer to Program Integrity Unit (PIU) and/or Surveillance Utilization Review (SUR) Unit for audit/investigation
 Refer to Office of Inspector General (OIG)
 Other, please explain.

2. Does your state have a Lock-In program for beneficiaries with potential misuse or abuse of controlled substances?

- Yes
 No

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If "Yes," please continue.

a. What criteria does your state use to identify candidates for Lock-In? Check **all** that apply:

- Number of controlled substances (CS)
- Different prescribers of CS
- Multiple pharmacies
- Days' supply of CS
- Exclusivity of short acting (SA) opioids
- Multiple emergency room (ER) visits
- Prescription Drug Monitoring Program (PDMP) data
- Other, please explain.

b. Does your state have the capability to restrict the beneficiary to:

i) Prescriber only

- Yes
- No

ii) Pharmacy only

- Yes
- No

iii) Prescriber and pharmacy

- Yes
- No

c. What is the usual Lock-In time period?

- 12 months

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- 18 months
- 24 months
- As determined by the state on a case-by-case basis
- Lock-in time period is based on number of offences
- Other, please explain.

d. On average, what percentage of the FFS population is in Lock-In status annually?

_____ %

e. Please provide an estimate of the savings attributed to the Lock-In program for the fiscal year under review.

\$ _____

3. Does your state have a documented process in place that identifies possible FWA of controlled drugs by **prescribers**?

Yes

What actions does this process initiate? Check **all** that apply:

- Deny claims written by this prescriber
- Refer to Program Integrity Unit (PIU) and/or Surveillance Utilization Review (SUR) Unit for audit/investigation
- Refer to the appropriate Medical Board
- Other, please explain.

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No, please explain.

4. Does your state have a documented process in place that identifies potential FWA of controlled drugs by **pharmacy providers**?

Yes

What actions does this process initiate? Check **all** that apply:

- Deny claim
- Refer to Program Integrity Unit (PIU) and/or Surveillance Utilization Review (SUR) Unit for audit/investigation
- Refer to Board of Pharmacy
- Other, please explain.

No, please explain.

5. Does your state have a documented process in place that identifies and/or prevents potential FWA of non-controlled drugs by **prescribers, pharmacy providers and beneficiaries**?

Yes

Please explain your program for FWA of non-controlled substances.

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No, please explain.

B. PRESCRIPTION DRUG MONITORING PROGRAM (PDMP)

Note: Section 5042 of the SUPPORT for Patients and Communities Act requires states to report metrics in reference to their state's PDMP. CMS has included questions to reference these metrics to help your state establish processes to be in compliance with provisions outlined in Section 5042 and CMS reporting, beginning in FFY 2023. Please complete applicable questions below in this section of the survey.

1. Does your Medicaid program have the ability to query the state's PDMP database?

Yes, receive PDMP data

Daily

Weekly

Monthly

Other _____

Yes, have direct access to the database

Can query by client

Can query by prescriber

Can query by dispensing entity

No, please explain.

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If “Yes,” please continue.

- a. Please explain how the state applies this information to control FWA of controlled substances.

- b. Does your state also have access to Border States’ PDMP information?

- Yes
 No

- c. Does your state also have PDMP data integrated into your point-of-sale (POS) edits?

- Yes
 No

2. Does your state or your professional board require prescribers to access the PDMP patient history before prescribing controlled substances?

- Yes
 No, please explain.

If “Yes,” please continue.

- a. Are there protocols involved in checking the PDMP?

- Yes, please explain.

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No

b. Are providers required to have protocols for responses to information from the PDMP that is contradictory to the direction that the practitioner expects from the client?

Yes

No

c. If a provider is not able to conduct PDMP check, does your state require the prescriber to document a good faith effort, including the reasons why the provider was not able to conduct the check?

Yes

No, please explain.

If "Yes," does your state require the provider to submit, upon request, documentation to the State?

Yes

No, please explain.

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3. Does the State require pharmacists to check the PDMP prior to dispensing?

- Yes
- No, please explain.

If "Yes," are there protocols involved in checking the PDMP?

- Yes, please explain.

- No

4. In the State's PDMP system, which of the following pieces of information with respect to a beneficiary is available to prescribers as close to real-time as possible? Check **all** that apply.

- PDMP drug history
- The number and type of controlled substances prescribed to and dispensed to the beneficiary during at least the most recent 12-month period
- The name, location, and contact information, or other identifying number, such as a national provider identifier, for previous beneficiary fills
- Other, please explain.

- a. Are there barriers that hinder the Medicaid agency from fully accessing the PDMP that prevent the program from being utilized the way it was intended to be to curb FWA?

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- Yes, please explain the barriers (i.e. lag time in prescription data being submitted, prescribers not accessing, pharmacists unable to view prescription history before filling script).

- No

5. Please specify below the following information for the 12-month reporting period for this survey. Note: Mandatory reporting will be required in FFY2023 under section 1927(g)(3)(D) of the Act.

- a. The percentage of covered providers who checked the prescription drug history of a beneficiary through a PDMP before prescribing a controlled substance to such an individual:

_____ %

- b. Average daily MME prescribed for controlled substances per covered individual who are receiving opioids.

_____ MMEs

- c. Please complete Tables 3, 4, 5 and 6 below. Specify the controlled substances prescribed based on claim count (by generic ingredient(s)) and within each population during this FFY reporting period.

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Table 3: Opioid Controlled Substances by

Population	Column 1 Total Number of Beneficiaries Within Each Age Group	Column 2 Total Number of Unique Beneficiaries Within Each Age Group Receiving an Opioid Controlled Substance in the 12 Month Reporting Period	Column 3 Percentage of Unique Beneficiaries Within Each Age Group Receiving an Opioid Controlled Substances in the 12 Month Reporting Period	Column 4 Top 3 Opioid Controlled Substances Received Within Each Age Group (Generic Ingredient) in the 12 Month Reporting Period	Column 5 Number of Unique Beneficiaries Within Each Age Group Receiving the Opioid Controlled Substance (Specified in Column 4) in the 12 Month Reporting Period	Column 6 Percentage of Unique Beneficiaries Within Each Age Group Receiving the Top 3 Opioid Controlled Substance (Specified in Column 4) in the 12 Month Reporting Period
0-18 yrs.						
19-29 yrs.						
30-39 yrs.						
40-49 yrs.						
50-59 yrs.						
60-69 yrs.						
70-79 yrs.						
80+ yrs.						
Individuals with Disabilities Utilizing State Eligibility Categories						

Table 4: Top Sedative/Benzodiazepines Controlled Substances by Population

When listing the controlled substances in different drug categories, for the purpose of Table 4 below, please consider long and short acting benzodiazepines to be in the same category.

Population	Column 1 Total Number of Beneficiaries Within Each Age Group	Column 2 Total Number of Unique Beneficiaries Within Each Age Group Receiving a Sedative/Benzodiazepine in the 12 Month Reporting Period	Column 3 Percentage of Unique Beneficiaries Within Each Age Group Receiving a Sedative/Benzodiazepine in the 12 Month Reporting Period	Column 4 Top 3 Sedative/Benzodiazepine Received Within Each Age Group (Generic Ingredient) in the 12 Month Reporting Period	Column 5 Number of Unique Beneficiaries Within Each Age Group Receiving the Sedative/Benzodiazepine (Specified in Column 4) in the 12 Month Reporting Period	Column 6 Percentage of Unique Beneficiaries Within Each Age Group Receiving the Top 3 Sedative/Benzodiazepine (Specified in Column 4) in the 12 Month Reporting Period
0-18 yrs.						
19-29 yrs.						
30-39 yrs.						
40-49 yrs.						
50-59 yrs.						
60-69 yrs.						
70-79 yrs.						
80+ yrs.						
Individuals with Disabilities Utilizing State Eligibility Categories						

Table 5: Top Stimulant/ADHS Controlled Substances by Population

When listing the controlled substances in different drug categories, for the purpose of Table 5 below, please consider long and short acting ADHD medications to be in the same category.

Population	Column 1 Total Number of Beneficiaries Within Each Age Group	Column 2 Total Number of Unique Beneficiaries Within Each Age Group Receiving a Stimulant/ADHD in the 12 Month Reporting Period	Column 3 Percentage of Unique Beneficiaries Within Each Age Group Receiving a Stimulant/ADHD in the 12 Month Reporting Period	Column 4 Top 3 Stimulant/ADHD Received Within Each Age Group (Generic Ingredient) in the 12 Month Reporting Period	Column 5 Number of Unique Beneficiaries Within Each Age Group Receiving the Stimulant/ADHD (Specified in Column 4) in the 12 Month Reporting Period	Column 6 Percentage of Unique Beneficiaries Within Each Age Group Receiving the Top 3 Stimulant/ADHD (Specified in Column 4) in the 12 Month Reporting Period
0-18 yrs.						
19-29 yrs.						
30-39 yrs.						
40-49 yrs.						
50-59 yrs.						
60-69 yrs.						
70-79 yrs.						
80+ yrs.						
Individuals with Disabilities Utilizing State Eligibility Categories						

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Table 6: Populations on 2 or more Controlled Substances in Different Drug Categories

When listing the controlled substances in different drug categories, for the purpose of Table 6 below, please consider long and short acting opioids to be in the same category. Please follow this approach for long and short acting ADHD medications and benzodiazepines in this table as well.

Population	Column 1 Total Number of Beneficiaries within Each Age Group	Column 2 Number of Unique Beneficiaries in Each Age Group Receiving 2 or more Controlled Substances in Different Drug Categories per Month Averaged for the 12 Month Reporting Period	Column 3 Percentage of Age Group Receiving 2 or more Controlled Substances Averaged for the 12 Month Reporting Period	Column 4 Number of Unique Beneficiaries in Each Age Group Receiving 3 or more Controlled Substances in Different Drug Categories per Month Averaged for the 12 Month Reporting Period	Column 5 Percentage of Age Group Receiving 3 or more Controlled Substances Averaged for the 12 Month Reporting Period
0-18 yrs.					
19-29 yrs.					
30-39 yrs.					
40-49 yrs.					
50-59 yrs.					
60-69 yrs.					
70-79 yrs.					
80+ yrs.					
Individuals with Disabilities Utilizing State Eligibility Categories					

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- i. If there is additional information you want to provide for the previous 12-month reporting period, please explain below.

- ii. If any of the information requested is not being reported above, please explain below.

6. Have you had any changes to your state's PDMP during this reporting period that have improved the Medicaid program's ability to access PDMP data?

Yes, please explain.

No

7. In this reporting period, have there been any data or privacy breaches of the PDMP or PDMP data?

Yes

No

If "Yes," please summarize the breach, the number of individuals impacted, a description of the steps the State has taken to address each such breach, and if law enforcement or the affected individuals were notified of the breach.

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C. OPIOIDS

1. Does your state currently have a POS edit in place to limit the quantity dispensed of an initial opioid prescription?

- Yes, for **all** opioids
- Yes, for some opioids
- No, for **all** opioids

Please explain response above

If the answer to question 1 is “*Yes, for all opioids*” or “*Yes, for some opioids,*” please continue.

a. Is there more than one quantity limit for various opioids? Additionally, please explain ramifications when addressing COVID-19 if applicable?

- Yes, please explain.

- No

b. What is the maximum number of days allowed for an initial opioid prescription for an opioid naïve patient?

_____ # of days

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c. Does this days' supply limit apply to **all** opioid prescriptions?

- Yes, for **all** opioids
- Yes, for some opioids
- No

Please explain above response.

2. For subsequent prescriptions, does your state have POS edits in place to limit the quantity dispensed of short-acting (SA) opioids?

- Yes, please explain

- No, please explain.

3. Does your state currently have POS edits in place to limit the quantity dispensed of long-acting (LA) opioids?

- Yes, please explain

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No, please explain.

4. Does your state have measures other than restricted quantities and days' supply in place to either monitor or manage the prescribing of opioids?

Yes

No

If "Yes," check **all** that apply.

- Pharmacist override
- Deny claim and require PA
- Intervention letters
- MME daily dose program
- Step therapy or clinical criteria
- Requirement that patient has a pain management contract or Patient-Provider agreement
- Requirement that prescriber has an opioid treatment plan for patients
- Require documentation of urine drug screening results
- Require diagnosis
- Require PDMP checks

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- Workgroups to address opioids
- Other, please specify.

Please provide details on these opioid prescribing controls in place.

If “No,” please explain what you do in lieu of the above or why you do not have measures in place to either manage or monitor the prescribing of opioids.

5. Does your state have POS edits to monitor duplicate therapy of opioid prescriptions? This excludes regimens that include a single extended-release product and a breakthrough short acting agent?

- Yes
- No

Please explain above response.

6. Does your state have POS edits to monitor early refills of opioid prescriptions dispensed?

- Yes
- No

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Please explain your response.

7. Does your state have a comprehensive automated retrospective claims review process to monitor opioid prescriptions exceeding these state limitations (early refills, duplicate fills, quantity limits and days' supply)?"

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- Yes, please explain in detail scope and nature of these retrospective reviews.

- No, please explain.

8. Does your state currently have POS edits in place or automated retrospective claims review to monitor opioids and benzodiazepines being used concurrently?

- Yes, POS edits only
 Yes, Automated retrospective claims review
 Yes, both POS edits and automated retrospective claims review

Please explain above response and detail the scope and nature of these reviews and edits. Additionally, please explain any potential titration processes utilized for those patients chronically on benzodiazepines and how the state justifies pain medications, i.e. Oxycodone/APAP, for breakthrough pain without jeopardizing patient care (i.e. quantity limits/practitioner education titration programs).

- No, please explain.

9. Does your state currently have POS edits in place or automated retrospective claims review to monitor opioids and sedatives being used concurrently?

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- Yes, POS edits only
- Yes, Automated retrospective claim reviews
- Yes, both POS edits and automated retrospective claim reviews

Please explain response above and detail scope and nature of reviews and edits.

- No, please explain.

10. Does your state currently have POS edits in place or automated retrospective claims review to monitor opioids and antipsychotics being used concurrently?

- Yes, POS edits only
- Yes, Automated retrospective claim reviews
- Yes, both POS edits and automated retrospective claims review

Please explain in detail scope and nature of reviews and edits.

- No, please explain.

11. Does your state have POS safety edits or perform automated retrospective claims review and/or provider education in regard to beneficiaries with a diagnosis history of opioid use disorder (OUD) or opioid poisoning diagnosis?

- Yes, POS edits

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- Yes, Automated retrospective claims review and/or provider education
- Yes, both POS edits and automated retrospective claims review and/or provider education
- No

If Yes, Automated retrospective claims reviews and/or provider education, please indicate how often.

- Monthly
- Quarterly
- Semi-Annually
- Annually
- Ad hoc
- Other, please specify.

Please explain nature and scope of edits, reviews and/or provider education reviews performed.

If "No," does your state plan on implementing automated retrospective claims review and/or provider education in regard to beneficiaries with a diagnosis history of OUD or opioid poisoning in the future?

- Yes, when does your state plan on implementing?

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- No, please explain.

12. Does your state Medicaid program develop and provide prescribers with pain management or opioid prescribing guidelines?

- Yes
 No

If "Yes," please check **all** that apply.

- Your state Medicaid program refers prescribers to the Center for Disease Control (CDC) Guideline for Prescribing Opioids for Chronic Pain.
- Other guidelines, please identify.

If "No," please explain why no guidelines are offered.

13. Does your state have a drug utilization management strategy that supports abuse deterrent opioid use to prevent opioid misuse and abuse (i.e. presence of an abuse deterrent opioid with preferred status on your preferred drug list)?

- Yes, please explain.

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No

D. MORPHINE MILLIGRAM EQUIVALENT (MME) DAILY DOSE

1. Have you set recommended maximum MME daily dose measures?

Yes

No

If "Yes," please continue.

a. What is your maximum morphine equivalent daily dose limit in milligrams?

Less than 50 MME, please specify: _____ mg per day

50 MME

70 MME

80 MME

90 MME

100 MME

120 MME

200 MME

Greater than 200 MME, please specify _____ mg per day

b. Please explain nature and scope of dose limit (i.e. who does the edit apply to? Does the limit apply to **all** opioids? Are you in the process of tapering patients to achieve this limit?).

If "No," please explain the measure or program you utilize.

2. Does your state have an edit in your POS system that alerts the pharmacy provider that the MME daily dose prescribed has been exceeded?

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- Yes
- No

If “Yes,” does your state require PA if the MME limit is exceeded?

- Yes
- No

3. Does your state have automated retrospective claims review to monitor the MME total daily dose of opioid prescriptions dispensed?

- Yes
- No

Please explain.

4. Do you provide information to your prescribers on how to calculate the morphine equivalent daily dosage or do you provide a calculator developed elsewhere?

- Yes
- No

If “Yes,” please continue.

a. Please name the developer of the calculator:

- CDC
- Academic Institution
- Other, please specify.

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b. How is the information disseminated? Check all that apply.

- Website
- Provider notice
- Educational seminar
- Other, please explain.

E. OPIOID USE DISORDER (OUD) TREATMENT

1. Does your state have utilization controls (i.e. preferred drug list (PDL), PA, quantity limit (QL)) to either monitor or manage the prescribing of Medication Assisted Treatment (MAT) drugs for OUD?

Yes, please explain.

No

2. Does your Medicaid program set total mg per day limits on the use of buprenorphine and buprenorphine/naloxone combination drugs?

Yes

No

If "Yes," please specify the total mg/day:

- 12 mg
- 16 mg
- 24 mg
- 32 mg

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Other, please explain.

3. What are your limitations on the allowable length of this treatment?

- No limit
- 3 months or less
- 6 months
- 12 months
- 24 months
- Other, please explain.

4. Does your state require that the maximum mg per day allowable be reduced after a set period of time?

- Yes
- No

If "Yes," please continue.

a. What is your reduced (maintenance) dosage?

- 8 mg
- 12 mg
- 16 mg
- Other, please explain.

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b. What are your limitations on the allowable length of the reduced dosage treatment?

- No limit
- 6 months
- 12 months
- Other, please explain.

5. Does your state have at least one buprenorphine/naloxone combination product available without PA?

- Yes
- No

6. Does your state currently have edits in place to monitor opioids being used concurrently with any buprenorphine drug or any form of MAT?

- Yes
- No
- Other, please explain.

If "Yes," can the POS pharmacist override the edit?

- Yes
- No

7. Is there at least one formulation of naltrexone for OUD available without PA?

- Yes

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No

8. Does your state have at least one naloxone opioid overdose product available without PA?

Yes

No

9. Does your state retrospectively monitor and manage appropriate use of naloxone to persons at risk of overdose?

Yes

No, please explain.

10. Does your State Board of Professional Regulations/Board of Pharmacy/Board of Medicine and/or state Medicaid program allow pharmacists to dispense naloxone prescribed independently or by collaborative practice agreements, standing orders, or other predetermined protocols?

Yes, State Board of Professional Regulations/Board of Pharmacy/Board of Medicine and/or state Medicaid program under protocol

Yes, prescribed independently

No

F. OUTPATIENT TREATMENT PROGRAMS (OTP)

1. Does your state cover OTPs that provide Behavioral Health (BH) and MAT services?

Yes

No, please explain.

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If "Yes", is a referral needed for OUD treatment through OTPs?

Yes

No

Please explain.

2. Does your state Medicaid program cover buprenorphine or buprenorphine/naloxone for diagnoses of OUD as part of a comprehensive MAT treatment plan through OTPs?

Yes

No, please explain.

3. Does your state Medicaid program cover naltrexone for diagnoses of OUD as part of a comprehensive MAT treatment plan?

Yes

No, please explain.

4. Does your state Medicaid program cover Methadone for a substance use disorder (i.e. OTPs, Methadone Clinics)?

Yes

No

G. ANTIPSYCHOTICS /STIMULANTS

ANTIPSYCHOTICS

1. Does your state currently have restrictions in place to limit the quantity of antipsychotics?

- Yes
- No

Please explain restrictions or N/A.

2. Does your state have a documented program in place to either manage or monitor the appropriate use of antipsychotic drugs in children?

- Yes
- No

If "Yes," please continue.

a. Does your state either manage or monitor:

- Only children in foster care
- All children
- Other, please explain.

b. Does your state have edits in place to monitor (check **all** that apply):

- Child's age
- Dosage
- Indication

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- Polypharmacy
- Other, please explain.

- c. Please briefly explain the specifics of your documented antipsychotic monitoring program(s).

If "No," please continue.

Does your state plan on implementing a program in the future?

- Yes, please specify when you plan on implementing a program to monitor the appropriate use of antipsychotic drugs in children.

- No, please explain why you will not be implementing a program to monitor the appropriate use of antipsychotic drugs in children.

STIMULANTS

3. Does your state currently have restrictions in place to limit the quantity of stimulants?

- Yes

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No

4. Does your state have a documented program in place to either manage or monitor the appropriate use of stimulant drugs in children?

Yes

No

If "Yes," please continue.

a. Does your state either manage or monitor:

Only children in foster care

All children

Other, please explain.

b. Does your state have edits in place to monitor (check **all** that apply):

Child's age

Dosage

Indication

Polypharmacy

Other, please explain.

c. Please briefly explain the specifics of your documented stimulant monitoring program(s).

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If “No,” please continue.

Does your state plan on implementing a program in the future?

- Yes, please specify when you plan on implementing a program to monitor the appropriate use of stimulant drugs in children.

- No, please explain why you will not be implementing a program to monitor the appropriate use of stimulant drugs in children.

IX. INNOVATIVE PRACTICES

1. Does your state participate in any demonstrations or have any waivers to allow importation of certain drugs from Canada or other countries that are versions of FDA-approved drugs for dispensing to Medicaid beneficiaries?

- Yes, please explain.

- No

2. Summary 5 – Innovative Practices

Summary 5: Innovative Practices should discuss development of innovative practices during the past year (i.e. Substance Use Disorder, Hepatitis C, Cystic Fibrosis, MME, and Value Based Purchasing). Please describe in detailed narrative below any innovative practices that you believe have improved the administration of your DUR program, the appropriateness of prescription drug use and/or have helped to control costs (i.e., disease management, academic detailing, automated PA, continuing education programs).

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X. MANAGED CARE ORGANIZATIONS (MCOs)

1. How many MCOs are enrolled in your state Medicaid program?

_____ MCO(s) (Insert the number of MCOs in the space provided including 0 if none)

If “Zero” or “None”, please skip the rest of this section.

2. Is your pharmacy program included in the capitation rate (carved in)?

- Yes
- No
- Partial

Please specify the drug categories that are carved out.

3. Contract updates between state and MCOs addressing DUR provisions in Section 1004 Support for Patients and Communities Act are required based on 1902(o). If covered outpatient drugs are included in an MCO’s covered benefit package, has the State updated their MCOs’ contracts for compliance with Section 1004 of the SUPPORT for Patients and Communities Act?

- Yes, contracts are updated to address each provision. Please specify effective date:

- No, contracts are not updated, please explain.

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a. Is the state complying with Federal law and monitoring MCO compliance on the SUPPORT for Patients and Communities Act provisions?

- Yes, state is complying with Federal law and monitoring MCO compliance on SUPPORT for Patients and Communities Act provisions. Please explain monitoring activities.

- No, please explain.

4. Does the state set requirements for the MCO's pharmacy benefit (i.e. same preferred drug list (PDL), same ProDUR/RetroDUR)?

- Yes
 No

If "Yes," please continue.

a. Please check **all** requirements that apply below:

- Formulary Reviews
 Same PDL
 Same ProDUR
 Same RetroDUR
 No state PDL

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b. Please briefly explain your policy.

If "No," does your state plan to set standards in the future?

- Yes
- No, please explain.

5. Is the RetroDUR program operated by the state or by the MCOs or does your state use a combination of state interventions as well as individual MCO interventions?

- State operated
- MCO operated
- State uses a combination of state interventions as well as individual MCO interventions

6. Indicate how the State oversees the FFS and MCO RetroDUR programs?
Please explain oversight process.

7. How does the state ensure MCO compliance with DUR requirements described in Section 1927(g) of the Act and 42 CFR part 456, subpart K?

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8. Did **all** of your managed care plans submit their DUR reports?

- Yes
- No, please explain.

XI. EXECUTIVE SUMMARY

Summary 6: Executive Summary should provide a brief overview of your program. It should describe 2020 highlights of the program, FFS initiatives, improvements, program oversight of managed care partners when applicable, and statewide (FFS and MCO) initiatives.

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