



2020
ANNUAL REPORT SECTION 1115
State of Indiana

END STAGE RENAL DISEASE (ESRD) DEMONSTRATION

PROJECT NUMBER: 11-W-00237/5

PROJECT NUMBER: 11-W-0030/5

REPORTING PERIOD:

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Federal Fiscal Quarter: 4/2020 (7/20-9/20)

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The State of Indiana respectfully submits the 2020 Annual End Stage Renal Disease (ESRD) 1115 Demonstration Report.

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

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INDIANA FAMILY AND SOCIAL SERVICES ADMINISTRATION

END STAGE RENAL DISEASE (ESRD) 2020 ANNUAL REPORT

1/1/20 - 12/31/20

CENTERS FOR MEDICARE & MEDICAID SERVICES

NUMBER: 11-W-00303/5

TITLE: End Stage Renal Disease

“According to the [U.S. Renal Data System Annual Data Report](#), chronic kidney failure, also called end-stage renal disease, or ESRD affects almost 650,000 people per year in the United States. Often progressing slowly over a period of years, kidney failure is measured in five stages - and ESRD is the final stage when kidneys no longer function on their own. The job of healthy kidneys is to filter waste and fluids from building up in the body. However, when kidneys fail, patients must undergo lifelong dialysis treatments to replace the kidney’s filtering function. The other choice for an ESRD patient, if eligible, is a kidney transplant, which requires a donor match, major surgery, and a lifetime of medications to prevent rejection”
(<https://www.medicare.gov/pubs/pdf/10128-medicare-coverage-esrd.pdf>).

ANNUAL REPORT

Goal of Report

The goal of this **END STAGE RENAL DISEASE (ESRD) ANNUAL REPORT** is to provide a progress report for the ESRD activities conducted from January 1, 2020 through December 31, 2020 required by the Centers for Medicare & Medicaid Services (CMS) and outlined in the ESRD Special Terms and Conditions (STC’s). This report focuses on operational, enrollment, and fiscal accomplishments and summarizes the four Quarterly Reports provided to CMS in this year. This Annual Report provides data changes and updates to the 2020 enrollment numbers.

Executive Summary

In Q2 2020, CMS amended the STCs to include the Workforce Bridge Account. This program provides up to \$1,000 for eligible individuals for the purpose of paying health insurance premiums, cost sharing, and/or the direct costs of prescription drugs and services otherwise coverable under section 1905(a) of the Social Security Act. More information about eligibility for this program can be found in the background section.

In addition, throughout CY2020, enrollment in the ESRD demonstration decreased compared to CY2019. Preventive care utilization remained stable in 2020, however ambulatory care and flu vaccinations decreased compared to 2019.

Background

Indiana’s Healthy Indiana Plan (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 (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 and the demonstration was operated on a temporary extension until its approval on July 28, 2016. It was 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. With this demonstration extension, Indiana expects to achieve program objectives.

On July 25, 2019, Indiana submitted the Workforce Bridge Account amendment, to the state's section 1115 demonstration entitled, Healthy Indiana Plan (HIP). During the review process, it was decided to instead seek to amend its current ESRD section 1115 demonstration (rather than HIP) to include the Workforce Bridge Account program. This would permit the state to reinvest budget neutrality savings achieved in the ESRD demonstration to support this initiative.

On June 1, 2020, CMS amended the ESRD demonstration STCs to include the Workforce Bridge Account. This program provides up to \$1,000 for eligible individuals for the purpose of paying health insurance premiums, cost sharing, and/or the direct costs of prescription drugs and services otherwise coverable under section 1905(a) of the Social Security Act. The state may claim as allowable expenditures under the demonstration funds as described below. This assistance is expected to act as a bridge to commercial insurance coverage. While individuals would be made aware that this resource would be available to them if they took steps that could raise their income enough to lose Medicaid eligibility, the accounts would only be activated when an individual is no longer Medicaid eligible. To be eligible for the Workforce Bridge Account, an individual must have been eligible for Medicaid under section 1902(a)(10)(A)(i)(VIII) of the Act¹ and now no longer eligible under this category or any other Medicaid category due to increased income. Individuals who have been most recently disenrolled for failure to meet conditions of eligibility, such as payment of premiums, will not qualify.

The End Stage Renal Disease (ESRD) 1115 demonstration waiver provides Medicare-enrolled individuals with ESRD, who are otherwise ineligible for Medicaid, with wrap-around fee-for-service coverage including supplemental coverage for kidney transplant services. The participants in the demonstration receive services through a fee-for-service delivery system and will be subject to the same cost sharing as described in the approved Medicaid state plan.

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.
- Through the Workforce Bridge Account program, support for the successful transition from Medicaid to commercial insurance will be provided to mitigate disincentives associated with increasing income and losing access to Medicaid coverage, and reduce healthcare coverage gaps and improve overall access to care.

Program Statistics

Total enrollment is composed of two populations. Demonstration Population 1 is defined as individuals who were “Former Spend Down Individuals/Number of Enrollees”, and Demonstration Population 2 is defined as “Number of New Enrollees”.

Decreased Enrollment

As seen in Table 1, ESRD enrollment decreased throughout 2020 for both Population 1 and Population 2 enrollees. This trend is also seen in 2019 as seen in Table 2. Overall, DY 2020 enrollment is lower than DY 2019. This decrease can be attributed to the COVID Maintenance of Effort rules which do not allow members to downgrade coverage during the federal public health emergency and thus limiting new enrollment in the ESRD waiver. Unfortunately, this decrease can also be attributed to a small number of members who passed away during this time but is mainly due to the lack of new enrollment into this waiver. In addition, starting in 2021, individuals with ESRD are now eligible to sign up for Medicare Advantage. The state is set to explore the impact of enrolling in Medicare Advantage on ESRD enrollment in future reports.

<i>Table 1 2020</i>				
ESRD-Enrollment				
Source: Family & Social Services Administration (FSSA) Data and Analytics				
Report the unduplicated count of members enrolled as of the last day of the reporting quarters.				
Population	Total by Quarter			
	3/20	6/20	9/20	12/20
Demonstration Population 1 – Former Spend Down Individuals/Number of Enrollees	39	37	34	33
Demonstration Population 2 - Number of New Enrollees	341	331	329	316
Demonstration Population Total Number of Enrollees	380	368	363	349

<i>Table 2 2019</i>				
ESRD-Enrollment				
Source: Family & Social Services Administration (FSSA) Data and Analytics				
Report the unduplicated count of members enrolled as of the last day of the reporting quarters.				
Population	Total by Quarter			
	3/19	6/19	9/19	12/19
Demonstration Population 1 – Former Spend Down Individuals/Number of Enrollees	42	41	40	39
Demonstration Population 2 - Number of New Enrollees	348	341	335	327
Demonstration Population Total Number of Enrollees	390	382	375	366

Continued Accessibility

Eligible ESRD enrollees covered under this demonstration waiver are Medicare beneficiaries in need of supplemental health care coverage. Continuing this coverage through the demonstration, beneficiaries can access fee-for-service kidney transplant and related services that they might not be able to afford by meeting the following conditions:

- Member is dually eligible for Medicare and Medicaid,
- Income is between 150% and 300% of the Federal Poverty Level (FPL),
- 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, and
- Member age is below 65 years.

Non-Emergency Medical Transportation (NEMT)

Access is also facilitated by the demonstration with the provision of Non-Emergency Medical Transportation (NEMT). Individuals affected by this demonstration shall receive benefits in the form of an administrative activity or service to assure non-emergency transportation to and from providers.

Quantitative Findings/Utilization data

Budget Neutrality

<i>Table 3 2020</i>					
ESRD Budget Neutrality Calculations					
Source: FSSA Data and Analytics					
Report the member-months for budget neutrality for each quarter of the 2020 Demonstration Year.					
Eligibility Group	Member Months Total Quarter 1 1-3/31	Member Months Total Quarter 2 4-6/30	Member Months Total Quarter 3 7-9/30	Member Months Total Quarter 4 10-12/31	Total Member Months 01/20- 12/31/20
Demonstration Population 1 – Former Spend Down Individuals	115	107	100	93	415
Demonstration Population 2 – New Enrollees	995	974	963	927	3,859
Total	1,110	1,081	1,063	1,020	4,274
<i>Table 4 2018</i>					
ESRD Budget Neutrality Calculations					
Source: FSSA Data and Analytics					
Report the member-months for budget neutrality for each quarter of the 2019 Demonstration Year.					
Eligibility Group	Member Months Total Quarter 1 1-3/31	Member Months Total Quarter 2 4-6/30	Member Months Total Quarter 3 7-9/30	Member Months Total Quarter 4 10-12/31	Total Member Months 01/19- 12/31/19
Demonstration Population 1 – Former Spend Down Individuals	125	122	119	115	481
Demonstration Population 2 – New Enrollees	1002	994	977	955	3,928
Total	1,127	1,116	1,096	1,070	4,409

Kidney Transplant List

<i>Table 5 2020</i>					
Measurement and Analysis					
Source: FSSA Data and Analytics					
Report the number of members on the kidney transplant list for each quarter and total for the 2020 Demonstration Year.					
Eligibility Group	Number of Members Quarter 1	Number of Members Quarter 2	Number of Members Quarter 3	Number of Members Quarter 4	Total Members for DY 2019 1/20 to 12/31/20
Demonstration Population 1 – Former Spend Down Individuals	1	0	1	0	2
Demonstration Population 2 – New Enrollees	4	1	7	7	18
Total	5	1	8	7	20

<i>Table 6 2019</i>					
Measurement and Analysis					
Source: FSSA Data and Analytics					
Report the number of members on the kidney transplant list for each quarter and total for the 2019 Demonstration Year.					
Eligibility Group	Number of Members Quarter 1	Number of Members Quarter 2	Number of Members Quarter 3	Number of Members Quarter 4	Total Members for DY 2018 1/19 to 12/31/19
Demonstration Population 1 – Former Spend Down Individuals	1	0	1	0	2
Demonstration Population 2 – New Enrollees	4	3	6	5	16
Total	5	3	7	5	18

As displayed above in Tables 5 and 6 the number of members on the kidney transplant list remained stable from 2019 to 2020. There was a slight increase in 2020 compared to 2019.

Kidney Transplant Recipients

<i>Table 7 2020</i>					
Measurement and Analysis					
Source: FSSA Data and Analytics					
Report the number of members who received a kidney transplant for each quarter and total for 2020 Demonstration Year.					
Eligibility Group	Number of Members Quarter 1	Number of Members Quarter 2	Number of Members Quarter 3	Number of Members Quarter 4	Total Members for DY 2019 1/20 to 12/31/20
Demonstration Population 1 – Former Spend Down Individuals	13	11	11	10	17
Demonstration Population 2 – New Enrollees	41	39	44	51	69
Total	54	50	55	61	86

<i>Table 8 2019</i>					
Measurement and Analysis					
Source: FSSA Data and Analytics					
Report the number of members who received a kidney transplant for each quarter and total for 2019 Demonstration Year.					
Eligibility Group	Number of Members Quarter 1	Number of Members Quarter 2	Number of Members Quarter 3	Number of Members Quarter 4	Total Members for DY 2019 1/19 to 12/31/19
Demonstration Population 1 – Former Spend Down Individuals	11	12	13	11	14
Demonstration Population 2 – New Enrollees	41	36	46	41	68
Total	52	48	59	52	82

Tables 7 and 8 display the number of ESRD members who received a kidney transplant. Overall, the number of members receiving kidney transplants remained stable. The number of Population 1 members who received a kidney transplant had a slight increase compared to 2019.

ESRD Mortality Figures

<i>Table 9 2020</i>					
Measurement and Analysis					
Source: FSSA Data and Analytics					
Report the number of members who expired due to ESRD each quarter and total for the 2020 Demonstration Year.					
Eligibility Group	Number of Members Quarter 1	Number of Members Quarter 2	Number of Members Quarter 3	Number of Members Quarter 4	Total Members for DY 2020 1/20 to 12/31/20
Demonstration Population 1 – Former Spend Down Individuals	1	3	1	2	7
Demonstration Population 2 – New Enrollees	13	7	14	14	48
Total	14	10	15	16	55

<i>Table 10 2019</i>					
Measurement and Analysis					
Source: FSSA Data and Analytics					
Report the number of members who expired due to ESRD each quarter and total for the 2019 Demonstration Year.					
Eligibility Group	Number of Members Quarter 1	Number of Members Quarter 2	Number of Members Quarter 3	Number of Members Quarter 4	Total Members for DY 2019 1/19 to 12/31/19
Demonstration Population 1 – Former Spend Down Individuals	1	1	1	0	3
Demonstration Population 2 – New Enrollees	12	14	9	15	50
Total	13	15	10	15	53

The health and survival of individuals with ESRD is dependent upon access to regular transplant and related care services. From Demonstration Year 2019 to 2020 the number of members who expired increase by 3.6% as shown in Tables 9 and 10.

Preventative and Ambulatory Services

Preventative Services

Table 11 2020

Measurement and Analysis

Source: FSSA Data and Analytics

Report the number of members 20 years and older who received a preventive care visit for each quarter and total for the 2020 Demonstration Year.

Eligibility Group	Number of Members Quarter 1	Number of Members Quarter 2	Number of Members Quarter 3	Number of Members Quarter 4	Total Members for DY 2020 1/20 to 12/31/20
Demonstration Population 1 – Former Spend Down Individuals	36	34	30	30	130
Demonstration Population 2 – New Enrollees	270	270	270	268	1,078
Total	306	304	300	298	1,192

Table 12 2019

Measurement and Analysis

Source: FSSA Data and Analytics

Report the number of members 20 years and older who received a preventive care visit for each quarter and total for the 2019 Demonstration Year.

Eligibility Group	Number of Members Quarter 1	Number of Members Quarter 2	Number of Members Quarter 3	Number of Members Quarter 4	Total Members for DY 2019 1/19 to 12/31/19
Demonstration Population 1 – Former Spend Down Individuals	38	38	37	36	149
Demonstration Population 2 – New Enrollees	260	265	266	268	1,059
Total	298	303	303	304	1,208

Ambulatory Services

<i>Table 13 2020</i>					
Measurement and Analysis					
Source: FSSA Data and Analytics					
Report the number of members 20 years and older who received an ambulatory care visit for each quarter and total for the 2020 Demonstration Year.					
Eligibility Group	Number of Members Quarter 1	Number of Members Quarter 2	Number of Members Quarter 3	Number of Members Quarter 4	Total Members for DY 2020 1/20 to 12/31/20
Demonstration Population 1 – Former Spend Down Individuals	34	24	26	24	118
Demonstration Population 2 – New Enrollees	257	218	239	221	935
Total	291	242	265	245	1,053

<i>Table 14 2019</i>					
Measurement and Analysis					
Source: FSSA Data and Analytics					
Report the number of members 20 years and older who received an ambulatory care visit for each quarter and total for the 2019 Demonstration Year.					
Eligibility Group	Number of Members Quarter 1	Number of Members Quarter 2	Number of Members Quarter 3	Number of Members Quarter 4	Total Members for DY 2019 1/19 to 12/31/19
Demonstration Population 1 – Former Spend Down Individuals	33	37	32	32	134
Demonstration Population 2 – New Enrollees	253	284	276	260	1,073
Total	286	321	308	292	1,207

Continuous monitoring of a member who has end stage renal disease and has or has yet to have a kidney transplant is an important element in slowing the progress of the disease as well as associated conditions such as high blood pressure, high blood lipids and cardiovascular disease. A comparison between Tables 11 and 12 above which show the number of waiver participants 20 years and older who received a preventive care visit from Demonstration Years 2019 to 2020. Preventive care visits remained stable over the course of 2020 and compared to 2019. This is noteworthy since the COVID-19 pandemic and the Public Health Emergency response, ESRD enrollees continued accessing and receiving preventive care throughout this unprecedented time. Tables 13 and 14 show the number of waiver participants who received an ambulatory care visit. Overall, ambulatory care visits decreased 12.8% in 2020 compared to 2019. This decrease can be seen starting in Q2 2020.

Flu Vaccination Enrollees

<i>Table 15 2020</i>					
Measurement and Analysis					
Source: FSSA Data and Analytics					
Report the number of older adult members 45 to 64 years who received a flu vaccination for each quarter and total for the 2020 Demonstration Year.					
Eligibility Group	Number of Members Quarter 1	Number of Members Quarter 2	Number of Members Quarter 3	Number of Members Quarter 4	Total Members for 2020 Ending 12/31/20
Demonstration Population 1 – Former Spend Down Individuals	0	0	0	0	0
Demonstration Population 2 – New Enrollees	6	6	7	7	7
Total	6	6	7	7	7

<i>Table 16 2019</i>					
Measurement and Analysis					
Source: FSSA Data and Analytics					
Report the number of older adult members 45 to 64 years who received a flu vaccination for each quarter and total for the 2019 Demonstration Year.					
Eligibility Group	Number of Members Quarter 1	Number of Members Quarter 2	Number of Members Quarter 3	Number of Members Quarter 4	Total Members for 2019 Ending 12/31/19
Demonstration Population 1 – Former Spend Down Individuals	13	13	0	0	13
Demonstration Population 2 – New Enrollees	54	52	51	50	54
Total	67	65	63	62	67

“Vaccination of Dialysis Patients and Patients with Chronic Kidney Disease (CKD)” is important “because incidence or severity of some vaccine-preventable diseases is higher in persons who are immunocompromised; therefore, certain vaccines (e.g., inactivated influenza vaccine and pneumococcal vaccines) are recommended specifically for persons with immune compromise.” Tables 15 and 16 above show older adult members 45 to 64 years who received a flu vaccination from DY 2019 to DY 2020. There was a large decrease in flu vaccinations in 2020 compared to 2019.

(https://www.cdc.gov/dialysis/PDFs/Vaccinating_Dialysis_Patients_and_Patients_dec2012.pdf).