

**1. Title page for the state’s substance use disorder (SUD) demonstration**

<b>State</b>	<b>Ohio</b>
<b>Demonstration name</b>	<b>Ohio Section 1115 Substance Use Disorder Waiver Demonstration.</b>
<b>Approval period for section 1115 demonstration</b>	<b>10/01/2019-09/30/2024.</b>
<b>SUD demonstration start date<sup>a</sup></b>	<b>10/01/2019.</b>
<b>Implementation date of SUD demonstration, if different from SUD demonstration start date<sup>b</sup></b>	N/A
<b>SUD (or if broader demonstration, then SUD -related) demonstration goals and objectives</b>	<p>During the 1115 SUD Demonstration waiver period Ohio expects to achieve the following goals:</p> <ol style="list-style-type: none"> <li>1. Increased rates of identification, initiation, and engagement in treatment for SUD;</li> <li>2. Increased adherence to and retention in treatment;</li> <li>3. Reductions in overdose deaths, particularly those due to opioids;</li> <li>4. Reduced utilization of emergency departments and inpatient hospital settings for treatment where the utilization is preventable or medically inappropriate through improved access to other continuum of care services;</li> <li>5. Fewer readmissions to the same or higher level of care where the readmission is preventable or medically inappropriate; and</li> <li>6. Improved access to care for physical health conditions among beneficiaries with SUD.</li> </ol>
<b>SUD demonstration year and quarter</b>	<b>SUD DY1Q4.</b>
<b>Reporting period</b>	<b>07/01/2020-09/30/2020.</b>

<sup>a</sup> **SUD demonstration start date:** For monitoring purposes, CMS defines the start date of the demonstration as the *effective date* listed in the state’s STCs at time of SUD demonstration approval. For example, if the state’s STCs at the time of SUD demonstration approval note that the SUD demonstration is effective January 1, 2020 – December 31, 2025, the state should consider January 1, 2020 to be the start date of the SUD demonstration. Note that the effective date is considered to be the first day the state may begin its SUD demonstration. In many cases, the effective date is distinct from the approval date of a demonstration;

that is, in certain cases, CMS may approve a section 1115 demonstration with an effective date that is in the future. For example, CMS may approve an extension request on 12/15/2020, with an effective date of 1/1/2021 for the new demonstration period. In many cases, the effective date also differs from the date a state begins implementing its demonstration.

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

## **2. Executive summary**

**Quarter four of Ohio’s SUD 1115 Demonstration Waiver included significant activity in several areas including:**

- Ohio’s Post Award Forum was completed.
- Targeted Workgroups were formed from our Stakeholder Advisory Committee to discuss and make recommendations for specific aspects of Milestones 2 and 3. The focus of these workgroups was to recommend how to better align Ohio policy with ASAM clinical guidelines. Five targeted workgroups were formed to discuss the following topics:
  - Access to Medications (to treat SUD)
  - Distinguishing ASAM level 3.1 Residential from Recovery Housing
  - Staffing requirements for various ASAM levels of care
  - Specialized treatment needs for adolescents
  - Utilization management for SUD residential services

- A review of preliminary data on Ohio’s current provider capacity for SUD treatment services across all ASAM levels of care was completed.
- Progress was made on Ohio’s Mid-Point Assessment including the development and fielding of Key Informant Interviews
- Ohio’s monitoring protocol was finalized.
- We continued exploring models for care coordination for individuals with the most severe SUDs and other co-morbid conditions.

**3. Narrative information on implementation, by milestone and reporting topic**

Prompt	State has no trends/update to report (place an X)	Related metric(s) (if any)	State response
<b>1. Assessment of need and qualification for SUD services</b>			
<b>1.1 Metric trends</b>			
1.1.1. The state reports the following metric trends, including all changes (+ or -) greater than 2 percent related to assessment of need and qualification for SUD services			Ohio will report out on metric trends from the inception of the waiver in the DY2Q1 Monitoring Report, the first reporting period after the approval of Ohio's 1115 SUD Waiver Monitoring Protocol.
<b>1.2 Implementation update</b>			
1.2.1. Compared to the demonstration design and operational details, the state expects to make the following changes to: 1.2.1.i. The target population(s) of the demonstration	X		
1.2.1.ii. The clinical criteria (e.g., SUD diagnoses) that qualify a beneficiary for the demonstration	X		
1.2.2 The state expects to make other program changes that may affect metrics related to assessment of need and qualification for SUD services	X		

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Prompt	State has no trends/update to report (place an X)	Related metric(s) (if any)	State response
<b>2. Access to Critical Levels of Care for OUD and other SUDs (Milestone 1)</b>			
<b>2.1 Metric trends</b>			
2.1.1 The state reports the following metric trends, including all changes (+ or -) greater than 2 percent related to Milestone 1			Ohio will report out on metric trends from the inception of the waiver in the DY2Q1 Monitoring Report, the first reporting period after the approval of Ohio's 1115 SUD Waiver Monitoring Protocol.
<b>2.2 Implementation update</b>			
2.2.1 Compared to the demonstration design and operational details, the state expects to make the following changes to:  2.2.1.i. Planned activities to improve access to SUD treatment services across the continuum of care for Medicaid beneficiaries (e.g. outpatient services, intensive outpatient services, medication-assisted treatment, services in intensive residential and inpatient settings, medically supervised withdrawal management)	X		
2.2.1.ii. SUD benefit coverage under the Medicaid state plan or the Expenditure Authority, particularly for residential treatment, medically supervised withdrawal management, and medication-assisted treatment services provided to individual IMDs	X		
2.2.2 The state expects to make other program changes that may affect metrics related to Milestone 1	X		

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Prompt	State has no trends/update to report (place an X)	Related metric(s) (if any)	State response
<b>3. Use of Evidence-based, SUD-specific Patient Placement Criteria (Milestone 2)</b>			
<b>3.1 Metric trends</b>			
3.1.1 The state reports the following metric trends, including all changes (+ or -) greater than 2 percent related to Milestone 2			Ohio will report out on metric trends from the inception of the waiver in the DY2Q1 Monitoring Report, the first reporting period after the approval of Ohio's 1115 SUD Waiver Monitoring Protocol.
<b>3.2. Implementation update</b>			
3.2.1 Compared to the demonstration design and operational details, the state expects to make the following changes to:  3.2.1.i. Planned activities to improve providers' use of evidence-based, SUD-specific placement criteria			There are no changes to planned activities to improve providers' use of evidence-based, SUD-specific placement criteria. Ohio is working with stakeholders to evaluate opportunities to improve provider's use of ASAM through enhanced provider standards and improved utilization management processes.
3.2.1.ii. Implementation of a utilization management approach to ensure (a) beneficiaries have access to SUD services at the appropriate level of care, (b) interventions are appropriate for the diagnosis and level of care, or (c) use of independent process for reviewing placement in residential treatment settings			There are no changes planned. Working closely with stakeholders, Ohio is continuing to evaluate and analyze current utilization management policy for SUD services.
3.2.2 The state expects to make other program changes that may affect metrics related to Milestone 2	X		

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Prompt	State has no trends/update to report (place an X)	Related metric(s) (if any)	State response
<b>4. Use of Nationally Recognized SUD-specific Program Standards to Set Provider Qualifications for Residential Treatment Facilities (Milestone 3)</b>			
<b>4.1 Metric trends</b>			
4.1.1 The state reports the following metric trends, including all changes (+ or -) greater than 2 percent related to Milestone 3  <i>Note: There are no CMS-provided metrics related to Milestone 3. If the state did not identify any metrics for reporting this milestone, the state should indicate it has no update to report.</i>			Ohio will report out on metric trends from the inception of the waiver in the DY2Q1 Monitoring Report, the first reporting period after the approval of Ohio's 1115 SUD Waiver Monitoring Protocol.
<b>4.2 Implementation update</b>			
4.2.1 Compared to the demonstration design and operational details, the state expects to make the following changes to:  4.2.1.i. Implementation of residential treatment provider qualifications that meet the ASAM Criteria or other nationally recognized, SUD-specific program standards			There are no changes planned. Working closely with stakeholders, Ohio is reviewing residential treatment provider qualifications to determine needed changes to align with ASAM Criteria.
4.2.1.ii. Review process for residential treatment providers' compliance with qualifications.			There are no changes planned. A review process approach is under development.
4.2.1.iii. Availability of medication-assisted treatment at residential treatment facilities, either on-site or through facilitated access to services off site			There are no changes planned. Working closely with stakeholders, Ohio is assessing MAT availability at residential treatment and reviewing policies to determine any needed changes.
4.2.2 The state expects to make other program changes that may affect metrics related to Milestone 3	X		

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Prompt	State has no trends/update to report (place an X)	Related metric(s) (if any)	State response
<b>5. Sufficient Provider Capacity at Critical Levels of Care including for Medication Assisted Treatment for OUD (Milestone 4)</b>			
<b>5.1 Metric trends</b>			
5.1.1 The state reports the following metric trends, including all changes (+ or -) greater than 2 percent related to Milestone 4			Ohio will report out on metric trends from the inception of the waiver in the DY2Q1 Monitoring Report, the first reporting period after the approval of Ohio's 1115 SUD Waiver Monitoring Protocol.
<b>5.2 Implementation update</b>			
5.2.1 Compared to the demonstration design and operational details, the state expects to make the following changes to:  Planned activities to assess the availability of providers enrolled in Medicaid and accepting new patients in across the continuum of SUD care			There are no changes planned. Ohio conducted a baseline provider capacity assessment and will continue to update and refine provider availability across the SUD continuum of care.
5.2.2 The state expects to make other program changes that may affect metrics related to Milestone 4	X		
<b>6. Implementation of Comprehensive Treatment and Prevention Strategies to Address Opioid Abuse and OUD (Milestone 5)</b>			
<b>6.1 Metric trends</b>			
6.1 The state reports the following metric trends, including all changes (+ or -) greater than 2 percent related to Milestone 5			Ohio will report out on metric trends from the inception of the waiver in the DY2Q1 Monitoring Report, the first reporting period after the approval of Ohio's 1115 SUD Waiver Monitoring Protocol.
<b>6.2 Implementation update</b>			

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Prompt	State has no trends/update to report (place an X)	Related metric(s) (if any)	State response
6.2.1 Compared to the demonstration design and operational details, the state expects to make the following changes to: 6.2.1.i. Implementation of opioid prescribing guidelines and other interventions related to prevention of OUD			There are no changes planned.  In early 2020, Ohio Medicaid received approval for the Medicaid Drug Utilization Review (DUR) and provisions included in Section 1004 of the Substance Use-Disorder Prevention that promotes Opioid Recovery and Treatment (SUPPORT) for Patients and Communities Act (P.L. 115-271) State Plan Amendment (SPA). The SPA also included the following: day supply limits for new starts on short-acting opioids; Morphine Equivalent Dose (MED) limits; early refill thresholds for opioid prescriptions; claims review which monitors for concerning opioid therapy treatment; claims review which monitors for concurrent utilization of opioids and benzodiazepines; and duplicate fill safety edits for opioid prescriptions. ODM continues to monitor utilization of prescription drugs for the Medicaid population.
6.2.1.ii. Expansion of coverage for and access to naloxone			There are no changes planned.  Ohio Medicaid continues to work with the Ohio Board of Pharmacy on further refinement of prescribing guidelines and initiatives to expand the availability of naloxone.
6.2.2 The state expects to make other program changes that may affect metrics related to Milestone 5	X		
<b>7. Improved Care Coordination and Transitions between Levels of Care (Milestone 6)</b>			
<b>7.1 Metric trends</b>			



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Prompt	State has no trends/update to report (place an X)	Related metric(s) (if any)	State response
7.1.1 The state reports the following metric trends, including all changes (+ or -) greater than 2 percent related to Milestone 6			Ohio will report out on metric trends from the inception of the waiver in the DY2Q1 Monitoring Report, the first reporting period after the approval of Ohio's 1115 SUD Waiver Monitoring Protocol.
<b>7.2 Implementation update</b>			
7.2.1 Compared to the demonstration design and operational details, the state expects to make the following changes to: Implementation of policies supporting beneficiaries' transition from residential and inpatient facilities to community-based services and supports			There are no changes planned.  Ohio continues to explore care coordination models for individuals with SUD, including those transitioning from residential and inpatient facilities to community-based services and supports.
7.2.2 The state expects to make other program changes that may affect metrics related to Milestone 6	X		
<b>8. SUD health information technology (health IT)</b>			
<b>8.1 Metric trends</b>			
8.1.1 The state reports the following metric trends, including all changes (+ or -) greater than 2 percent related to its health IT metrics			Ohio will report out on metric trends from the inception of the waiver in the DY2Q1 Monitoring Report, the first reporting period after the approval of Ohio's 1115 SUD Waiver Monitoring Protocol.
<b>8.2 Implementation update</b>			
8.2.1 Compared to the demonstration design and operational details, the state expects to make the following changes to:  8.2.1.i. How health IT is being used to slow down the rate of growth of individuals identified with SUD	X		

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Prompt	State has no trends/update to report (place an X)	Related metric(s) (if any)	State response
How health IT is being used to treat effectively individuals identified with SUD			<p>There are no changes planned.</p> <p>Ohio is exploring opportunities to support behavioral health providers to make improvements to their EHRs and facilitate the exchange of healthcare information to and from other community partners (e.g. hospitals, emergency departments and primary care providers) rendering services to their clients.</p>
8.2.1.ii. How health IT is being used to effectively monitor “recovery” supports and services for individuals identified with SUD	X		
8.2.1.iii. Other aspects of the state’s plan to develop the health IT infrastructure/capabilities at the state, delivery system, health plan/MCO, and individual provider levels	X		
8.2.1.iv. Other aspects of the state’s health IT implementation milestones	X		
8.2.1.v. The timeline for achieving health IT implementation milestones	X		
8.2.1.vi. Planned activities to increase use and functionality of the state’s prescription drug monitoring program	X		
8.2.2 The state expects to make other program changes that may affect metrics related to health IT	X		
<b>9. Other SUD-related metrics</b>			
<b>9.1 Metric trends</b>			

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Prompt	State has no trends/update to report (place an X)	Related metric(s) (if any)	State response
9.1.1 The state reports the following metric trends, including all changes (+ or -) greater than 2 percent related to other SUD-related metrics			Ohio will report out on metric trends from the inception of the waiver in the DY2Q1 Monitoring Report, the first reporting period after the approval of Ohio's 1115 SUD Waiver Monitoring Protocol.
<b>9.2 Implementation update</b>			
9.2.1 The state reports the following metric trends, including all changes (+ or -) greater than 2 percent related to other SUD-related metrics	X		

**4. Narrative information on other reporting topics**

Prompts	State has no update to report (Place an X)	State response
<b>10. Budget neutrality</b>		
<b>10.1 Current status and analysis</b>		
10.1.1 If the SUD component is part of a broader demonstration, the state should provide an analysis of the SUD-related budget neutrality and an analysis of budget neutrality as a whole. Describe the current status of budget neutrality and an analysis of the budget neutrality to date.		The state requested and was granted a deadline extension to submit the DY1Q4 budget neutrality workbook, which is now due January 28, 2021.
<b>10.2 Implementation update</b>		
10.2.1 The state expects to make other program changes that may affect budget neutrality	X	

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Prompts	State has no update to report (Place an X)	State response
<b>11. SUD-related demonstration operations and policy</b>		
<b>11.1 Considerations</b>		
11.1.1 The state should highlight significant SUD (or if broader demonstration, then SUD-related) demonstration operations or policy considerations that could positively or negatively affect beneficiary enrollment, access to services, timely provision of services, budget neutrality, or any other provision that has potential for beneficiary impacts. Also note any activity that may accelerate or create delays or impediments in achieving the SUD demonstration’s approved goals or objectives, if not already reported elsewhere in this document. See report template instructions for more detail.	X	
<b>11.2 Implementation update</b>		
11.2.1 Compared to the demonstration design and operational details, the state expects to make the following changes to: 11.2.1.i. How the delivery system operates under the demonstration (e.g. through the managed care system or fee for service)	X	
11.2.1.ii. Delivery models affecting demonstration participants (e.g. Accountable Care Organizations, Patient Centered Medical Homes)	X	
11.2.1.iii. Partners involved in service delivery	X	
11.2.2 The state experienced challenges in partnering with entities contracted to help implement the demonstration (e.g., health plans, credentialing vendors, private sector providers) and/or noted any performance issues with contracted entities	X	
11.2.3 The state is working on other initiatives related to SUD or OUD	X	

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Prompts	State has no update to report (Place an X)	State response
11.2.4 The initiatives described above are related to the SUD or OUD demonstration (The state should note similarities and differences from the SUD demonstration)	X	
<b>12. SUD demonstration evaluation update</b>		
<b>12.1 Narrative information</b>		
12.1.1 Provide updates on SUD evaluation work and timeline. The appropriate content will depend on when this report is due to CMS and the timing for the demonstration. There are specific requirements per Code of Federal Regulations (CFR) for annual reports. See report template instructions for more details.		Work on Ohio's 1115 SUD Waiver Demonstration Evaluation Design was finalized during DY1Q4 and submitted to CMS for review on August 5, 2020.
12.1.2 Provide status updates on deliverables related to the demonstration evaluation and indicate whether the expected timelines are being met and/or if there are any real or anticipated barriers in achieving the goals and timeframes agreed to in the STCs		<p><b>Mid-Point Assessment and Demonstration Research Metrics</b></p> <p>During the 7/1 – 9/30/20 quarter, Ohio’s research vendor The Ohio Colleges of Medicine Government Resource Center (GRC) progressed in conducting the SUD 1115 Mid-Point Assessment. GRC drafted a key informant interview guide with consultation from Ohio State University colleagues in the College of Public Health and College of Social Work. After consultation with state agency staff, the interview guide and the list of key informants was finalized. In September GRC began scheduling key informant interviews with state leadership, treatment providers, recovery advocates, and managed care plans.</p>

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Prompts	State has no update to report (Place an X)	State response
12.1.3 List anticipated evaluation-related deliverables related to this demonstration and their due dates		August 5, 2020 <ul style="list-style-type: none"> <li>• 1115 SUD Wavier Demonstration Evaluation Design due and submitted to CMS</li> </ul> 30 days from CMS approval of 1115 SUD Wavier Demonstration Evaluation Design <ul style="list-style-type: none"> <li>• Approved Evaluation Design posted to ODM website</li> </ul> December 31, 2021 <ul style="list-style-type: none"> <li>• Conduct Mid-Point Assessment</li> <li>• Provide CMS with a copy of the report to CMS no later than 60 days after 12/31/21</li> </ul> September 30, 2023 <ul style="list-style-type: none"> <li>• Interim Evaluation Draft Submission</li> </ul> 60 days from comments on Draft Interim Evaluation <ul style="list-style-type: none"> <li>• Final Interim Evaluation Submitted to CMS</li> <li>• Final Interim Evaluation posted to ODM website</li> </ul> Within 18 months after September 30, 2024 <ul style="list-style-type: none"> <li>• Draft Summative Evaluation Report is due</li> </ul> 60 days after receipt of CMS comments <ul style="list-style-type: none"> <li>• Final Summative Report is due</li> </ul>
<b>13. Other demonstration reporting</b>		
<b>13.1 General reporting requirements</b>		
13.1.1 The state reports changes in its implementation of the demonstration that might necessitate a change to approved STCs, implementation plan, or monitoring protocol	X	
13.1.2 The state anticipates the need to make future changes to the STCs, implementation plan, or monitoring protocol, based on expected or upcoming implementation changes	X	

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Prompts	State has no update to report (Place an X)	State response
13.1.3 Compared to the demonstration design and operational details, the state expects to make the following changes to: 13.1.3.i. The schedule for completing and submitting monitoring reports	X	
13.1.3.ii. The content or completeness of submitted reports and/or future reports	X	
13.1.4 The state identified real or anticipated issues submitting timely post-approval demonstration deliverables, including a plan for remediation	X	

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Prompts	State has no update to report (Place an X)	State response
<b>13.2 Post-award public forum</b>		
<p>13.2.2 If applicable within the timing of the demonstration, provide a summary of the annual post-award public forum held pursuant to 42 CFR § 431.420(c) indicating any resulting action items or issues. A summary of the post-award public forum must be included here for the period during which the forum was held and in the annual report.</p>		<p><b>Ohio’s Post Award Forum</b></p> <p>Ohio held the required waiver post award forum on July 16<sup>th</sup> via videoconference.</p> <p>Ohio staff provided a brief overview and status report of Ohio’s Medicaid waiver for SUD treatment services authorized in Federal law and invited stakeholders to offer meaningful input regarding Ohio’s SUD services and waiver implementation.</p> <p>Five individuals offered testimony. Themes included:</p> <ul style="list-style-type: none"> <li>• An increased focus was recommended on how residential providers can demonstrate their qualifications to offer co-occurring enhanced capacity for the treatment of individuals with dual diagnoses.</li> <li>• A SUD provider organization in Dayton urged the continuation of Ohio’s SUD 1115 waiver beyond 2024 in order to allow SUD residential services in settings with &gt; 16 beds. The provider urged this to meet the residential treatment needs of Medicaid enrollees with SUDs.</li> <li>• A health care provider identified the need to coordinate the many activities under Ohio’s SUD 1115 waiver with planned changes in procurement of Medicaid managed care plans as well as activities occurring in county Boards of Alcohol, Drug Addiction and Mental Health.</li> </ul> <p>The meeting slides, minutes and recording of Ohio’s Post Award Forum are posted at <a href="https://BH.Medicaid.Ohio.Gov">BH.Medicaid.Ohio.Gov</a> under the “SUD 1115 Tab” and the “Stakeholder Advisory Committee” drop down menu.</p>



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Prompts	State has no update to report (Place an X)	State response
<b>14. Notable state achievements and/or innovations</b>		
<b>14.1 Narrative information</b>		
14.1.1 Provide any relevant summary of achievements and/or innovations in demonstration enrollment, benefits, operations, and policies pursuant to the hypotheses of the SUD (or if broader demonstration, then SUD related) demonstration or that served to provide better care for individuals, better health for populations, and/or reduce per capita cost. Achievements should focus on significant impacts to beneficiary outcomes. Whenever possible, the summary should describe the achievement or innovation in quantifiable terms, e.g., number of impacted beneficiaries.	X	

\*The state should remove all example text from the table prior to submission.

Note: Licensee and states must prominently display the following notice on any display of Measure rates:

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