



CO L O R A D O

**Department of Health Care
Policy & Financing**

Fiscal Year 2016–2017 PIP Validation Report
Improving Transitions of Care for Individuals
Recently Discharged from a Corrections
Facility
for
Rocky Mountain Health Plans Medicaid
Prime

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For Validation Year 3

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1. Background

The Balanced Budget Act of 1997 (BBA), Public Law 105-33, requires that states conduct an annual evaluation of their managed care organizations (MCOs) and prepaid inpatient health plans (PIHPs) to determine the MCOs' and PIHPs' compliance with federal regulations and quality improvement standards. According to the BBA, the quality of health care delivered to Medicaid members in MCOs and PIHPs must be tracked, analyzed, and reported annually. The Colorado Department of Health Care Policy & Financing (the Department) has contractual requirements with each MCO, and behavioral health organization (BHO) to conduct and submit performance improvement projects (PIPs) annually.

As one of the mandatory external quality review activities under the BBA, the Department is required to validate the PIPs. To meet this validation requirement, the Department contracted with Health Services Advisory Group, Inc. (HSAG), as the external quality review organization. The primary objective of the PIP validation is to determine compliance with requirements set forth in the Code of Federal Regulations (CFR) at 42 CFR §438.240(b)(1), including:

- Measurement of performance using objective quality indicators.
- Implementation of system interventions to achieve improvement in quality.
- Evaluation of the effectiveness of the interventions.
- Planning and initiation of activities to increase or sustain improvement.

In its PIP evaluation and validation, HSAG used the Department of Health and Human Services, Centers for Medicare & Medicaid Services (CMS) publication, *EQR Protocol 3: Validating Performance Improvement Projects (PIPs): A Mandatory Protocol for External Quality Review (EQR)*, Version 2.0, September 2012.¹⁻¹

HSAG evaluates the following components of the quality improvement process:

1. The technical structure of the PIPs to ensure the MCO designed, conducted, and reported PIPs using sound methodology consistent with the CMS protocol for conducting PIPs. HSAG's review determined whether a PIP could reliably measure outcomes. Successful execution of this component ensures that reported PIP results are accurate and capable of measuring real and sustained improvement.
2. The outcomes of the PIPs. Once designed, a PIP's effectiveness in improving outcomes depends on the systematic identification of barriers and the subsequent development of relevant interventions. Evaluation of each PIP's outcomes determined whether the MCO improved its rates through the implementation of effective processes (i.e., barrier analyses, intervention design, and evaluation of

¹⁻¹ Department of Health and Human Services, Centers for Medicare & Medicaid Services. *EQR Protocol 3: Validating Performance Improvement Projects (PIPs): A Mandatory Protocol for External Quality Review (EQR)*, Version 2.0, September 2012. Available at: <http://www.medicaid.gov/Medicaid-CHIP-Program-Information/By-Topics/Quality-of-Care/Quality-of-Care-External-Quality-Review.html>. Accessed on: Feb 19, 2013.

results) and, through these processes, achieved statistically significant improvement over the baseline rate. Once statistically significant improvement is achieved across all study indicators, HSAG evaluates whether the MCO was successful in sustaining the improvement. The goal of HSAG’s PIP validation is to ensure that the Department and key stakeholders can have confidence that reported improvement in study indicator outcomes is supported by statistically significant change and the MCO’s improvement strategies.

PIP Rationale

The purpose of a PIP is to achieve, through ongoing measurements and interventions, significant improvement sustained over time in clinical or nonclinical areas.

For fiscal year (FY) 2016–2017, **Rocky Mountain Health Plans Medicaid Prime (RMHP Prime)**, continued its *Improving Transitions of Care for Individuals Recently Discharged from a Corrections Facility* PIP. The topic selected addressed CMS’ requirements related to quality outcomes—specifically, the quality and timeliness of care and services.

PIP Summary

For this FY 2016–2017 validation cycle, the PIP received an overall validation score of 89 percent and a *Met* validation status. The focus of this PIP is to improve the transition of care by assisting members who have been paroled with accessing a primary care provider within 90 days of enrollment into RMHP Medicaid Prime. The PIP had one study question **RMHP Prime** stated: “Do targeted interventions to improve transitions of care for individuals released from prison into parole increase the percentage of paroled members that have a visit with a primary care provider within 90 days of Medicaid Prime enrollment?” The following table describes the study indicator for this PIP.

Table 1–1—Study Indicator

PIP Topic	Study Indicator
<i>Improving Transitions of Care for Individuals Recently Discharged from a Corrections Facility</i>	The percentage of members paroled to Mesa County, DOC [Department of Corrections] Adult Parole-Grand Junction Office, and enrolled into RMHP Medicaid Prime during the measurement year and had a visit with a primary care provider within 90 days of enrollment into Prime.

Validation Overview

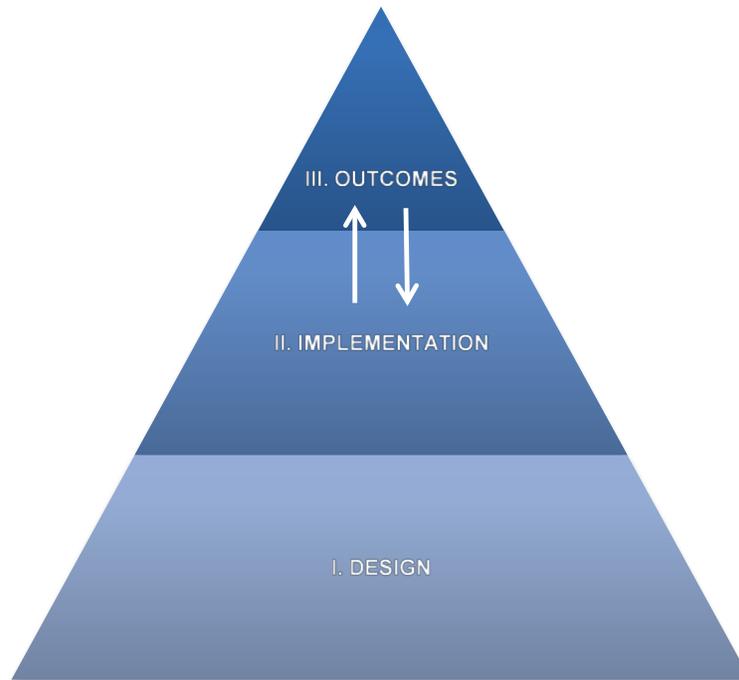
HSAG obtained the information needed to conduct the PIP validation from **RMHP Prime**'s PIP Summary Form. This form provided detailed information about the MCO's PIP related to the activities completed and HSAG evaluated for the FY 2016–2017 validation cycle.

Each required activity was evaluated on one or more elements that form a valid PIP. The HSAG PIP Review Team scored each evaluation element within a given activity as *Met*, *Partially Met*, *Not Met*, *Not Applicable*, or *Not Assessed (NA)*. HSAG designated some of the evaluation elements pivotal to the PIP process as critical elements. For a PIP to produce valid and reliable results, all critical elements had to be *Met*. Given the importance of critical elements to the scoring methodology, any critical element that received a *Not Met* score resulted in an overall validation rating for the PIP of *Not Met*. A MCO would be given a *Partially Met* score if 60 percent to 79 percent of all evaluation elements were *Met* or one or more critical elements were *Partially Met*. HSAG provided a *Point of Clarification* when enhanced documentation would have demonstrated a stronger understanding and application of the PIP activities and evaluation elements.

In addition to the validation status (e.g., *Met*), HSAG gave each PIP an overall percentage score for all evaluation elements (including critical elements). HSAG calculated the overall percentage score by dividing the total number of elements scored as *Met* by the total number of elements scored as *Met*, *Partially Met*, and *Not Met*. HSAG also calculated a critical element percentage score by dividing the total number of critical elements scored as *Met* by the sum of the critical elements scored as *Met*, *Partially Met*, and *Not Met*.

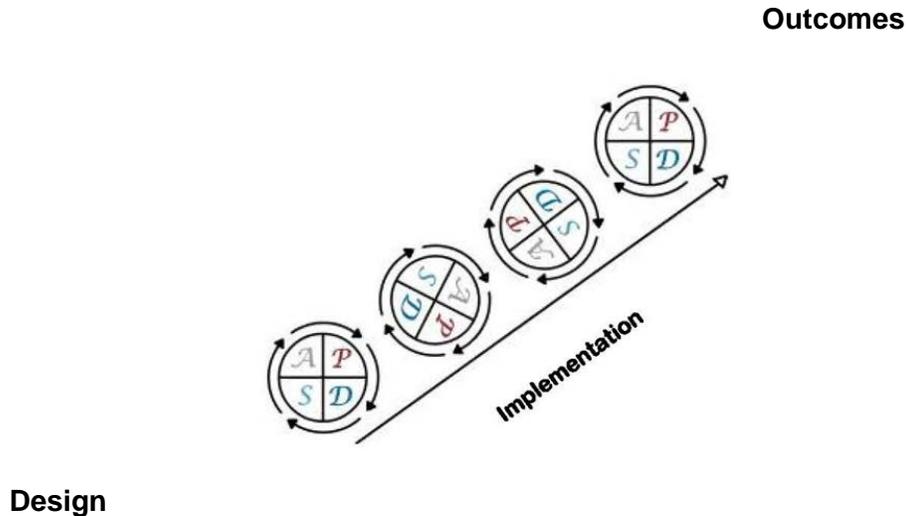
Figure 1–1 illustrates the three study stages of the PIP process—i.e., Design, Implementation, and Outcomes. Each sequential stage provides the foundation for the next stage. The Design stage establishes the methodological framework for the PIP. The activities in this section include development of the study topic, question, indicators, population, sampling, and data collection. To implement successful improvement strategies, a strong study design is necessary.

Figure 1-1—PIP Stages



Once **RMHP Prime** establishes its study design, the PIP process moves into the Implementation stage. This stage includes data analysis and interventions. During this stage, the MCOs analyze data, identify barriers to performance, and develop interventions targeted to improve outcomes. The MCOs should incorporate a continuous or rapid cycle improvement model such as the Plan-Do-Study-Act (PDSA) to determine the effectiveness of the implemented interventions. The implementation of effective improvement strategies is necessary to improve PIP outcomes.

Figure 1–2—PIP Stages Incorporating the PDSA Cycle



The PDSA cycle includes the following actions:

- **Plan**—conduct barrier analyses; prioritize barriers; develop targeted intervention(s) to address barriers; and develop an intervention evaluation plan for each intervention
- **Do**—implement intervention; track and monitor the intervention; and record the data
- **Study**—analyze the data; compare results; and evaluate the intervention’s effectiveness
- **Act**—based on the evaluation results, standardize, modify, or discontinue the intervention

The final stage is Outcomes, which involves the evaluation of real and sustained improvement based on reported results and statistical testing. Sustained improvement is achieved when outcomes exhibit statistical improvement over time and multiple measurements. This stage is the culmination of the previous two stages. The MCO should regularly evaluate interventions to ensure they are having the desired effect. A concurrent review of the data is encouraged. If the MCO’s evaluation of the interventions, and/or review of the data, indicates that the interventions are not having the desired effect, the MCO should revisit its causal/barrier analysis process; verify the proper barriers are being addressed; and discontinue, revise, or implement new interventions as needed. This cyclical process should be used throughout the duration of the PIP and revisited as often as needed.

2. Findings

This year, the PIP validation process evaluated the technical methods of the PIP (i.e., the study design), as well as the implementation of quality improvement activities. Based on its technical review, HSAG determined the overall methodological validity of the PIP.

Table 2–1 summarizes the PIP validated during the review period with an overall validation status of *Met*, *Partially Met*, or *Not Met*. In addition, Table 2–1 displays the percentage score of evaluation elements that received a *Met* score, as well as the percentage score of critical elements that received a *Met* score. Critical elements are those within the validation tool that HSAG has identified as essential for producing a valid and reliable PIP. All critical elements must receive a *Met* score for a PIP to receive an overall *Met* validation status. A resubmission is an MCO’s update of a previously submitted PIP with modified/additional documentation.

MCOs have the opportunity to resubmit the PIP after HSAG’s initial validation to address any deficiencies identified. The PIP received a *Not Met* overall validation status when originally submitted. The MCO had the opportunity to receive technical assistance, incorporate HSAG’s recommendations, and resubmit the PIP. After resubmission, the MCO improved the *Met* percentages of its overall and critical evaluation elements; however, the validation status remains *Not Met* due to the lack of statistically significant improvement achieved for the study indicator.

Table 2–1—FY 2016–2017 Performance Improvement Project Validation for Rocky Mountain Health Plans Medicaid Prime

Name of Project	Type of Annual Review ¹	Percentage Score of Evaluation Elements <i>Met</i> ²	Percentage Score of Critical Elements <i>Met</i> ³	Overall Validation Status ⁴
<i>Improving Transitions of Care for Individuals Recently Discharged from a Corrections Facility</i>	Submission	74%	73%	<i>Not Met</i>
	Resubmission	89%	82%	<i>Not Met</i>

¹ **Type of Review**—Designates the PIP review as an annual submission, or resubmission. A resubmission means the MCO was required to resubmit the PIP with updated documentation because it did not meet HSAG’s validation criteria to receive an overall *Met* validation status.

² **Percentage Score of Evaluation Elements *Met***—The percentage score is calculated by dividing the total elements *Met* (critical and non-critical) by the sum of the total elements of all categories (*Met*, *Partially Met*, and *Not Met*).

³ **Percentage Score of Critical Elements *Met***—The percentage score of critical elements *Met* is calculated by dividing the total critical elements *Met* by the sum of the critical elements *Met*, *Partially Met*, and *Not Met*.

⁴ **Overall Validation Status**—Populated from the PIP Validation Tool and based on the percentage scores.

Validation Findings

Table 2–2 displays the validation results for the **RMHP Prime** PIP validated during FY 2016–2017. This table illustrates the MCO’s overall application of the PIP process and achieved success in implementing the studies. Each activity is composed of individual evaluation elements scored as *Met*, *Partially Met*, or *Not Met*. Elements receiving a *Met* score have satisfied the necessary technical requirements for a specific element. The validation results presented in Table 2–2 show the percentage

of applicable evaluation elements that received each score by activity. Additionally, HSAG calculated a score for each stage and an overall score across all activities. This was the third validation year for the PIP with HSAG validating Activities I through IX.

Table 2–2—Performance Improvement Project Validation Results for Rocky Mountain Health Plans Medicaid Prime

Stage	Activity		Percentage of Applicable Elements		
			Met	Partially Met	Not Met
Design	I.	Appropriate Study Topic	100% (2/2)	0% (0/2)	0% (0/2)
	II.	Clearly Defined, Answerable Study Question(s)	100% (1/1)	0% (0/1)	0% (0/1)
	III.	Correctly Identified Study Population	100% (1/1)	0% (0/1)	0% (0/1)
	IV.	Clearly Defined Study Indicator(s)	100% (2/2)	0% (0/2)	0% (0/2)
	V.	Valid Sampling Techniques (if sampling was used)	<i>Not Applicable</i>	<i>Not Applicable</i>	<i>Not Applicable</i>
	VI.	Accurate/Complete Data Collection	100% (2/2)	0% (0/2)	0% (0/2)
Design Total			100% (8/8)	0% (0/8)	0% (0/8)
Implementation	VII.	Sufficient Data Analysis and Interpretation	100% (3/3)	0% (0/3)	0% (0/3)
	VIII.	Appropriate Improvement Strategies	100% (5/5)	0% (0/5)	0% (0/5)
Implementation Total			100% (8/8)	0% (0/8)	0% (0/8)
Outcomes	IX.	Real Improvement Achieved	33% (1/3)	0% (0/3)	67% (2/3)
	X.	Sustained Improvement Achieved	<i>Not Assessed</i>	<i>Not Assessed</i>	<i>Not Assessed</i>
Outcomes Total			33% (1/3)	0% (0/3)	67% (2/3)
Percentage Score of Applicable Evaluation Elements Met			89% (17/19)	0% (0/19)	11% (2/19)

Overall, 89 percent of all applicable evaluation elements validated received a score of *Met*.



Design

RMHP Prime reported and interpreted its first remeasurement data accurately and used appropriate quality improvement tools to identify and prioritize barriers. Interventions implemented were logically linked to the barriers. As the PIP progresses, **RMHP Prime** will need to make data-driven decisions based on intervention evaluation results for interventions to continue, be revised, or be abandoned.

Implementation

RMHP Prime reported and interpreted its baseline data accurately. The MCO completed its initial causal/barrier analysis using the appropriate quality improvement tools. The MCO indicated that the two barriers identified were equal in their priority ranking; therefore, as **RMHP Prime** implements interventions, it will target both of these barriers.

Outcomes

For Remeasurement 1, the study indicator demonstrated a non-statistically significant improvement when compared to the baseline. Due to the eligible population criteria, the RCCO had to exclude 15 members from the numerator because they were not yet enrolled in the RCCO; however, these members received the interventions and had a primary care visit. Had these members not been excluded, the rate would have been 53.4 percent for the first remeasurement, which would have exceeded the goal of 35 percent and would have achieved statistically significant improvement.

Analysis of Results

Table 2–3 displays Remeasurement 1 data for **RMHP Prime**'s *Improving Transitions of Care for Individuals Recently Discharged from a Corrections Facility* PIP. **RMHP Prime**'s goal is to increase the percentage of paroled members who have a visit with a primary care provider within 90 days of enrollment into RMHP Medicaid Prime.

**Table 2–3—Performance Improvement Project Outcomes
for Rocky Mountain Health Plans Medicaid Prime**

PIP Study Indicator	Baseline Period (7/1/2014–6/30/2015)	Remeasurement 1 (7/1/2015–6/30/2016)	Remeasurement 2 (7/1/2016–6/30/2017)	Sustained Improvement
The percentage of members paroled to Mesa County, DOC Adult Parole-Grand Junction Office, and enrolled into RMHP Medicaid Prime during the measurement year and had a visit with a primary care provider within 90 days of enrollment into Prime.	20.3%	32.9%		<i>Not Assessed</i>

The baseline rate for paroled members who had a visit with a primary care provider within 90 days of enrollment into RMHP Medicaid Prime was 20.3 percent. This rate was 14.7 percentage points below the first remeasurement goal of 35 percent.

For Remeasurement 1, the rate increased to 32.9 percent. This increase was not statistically significant as evidenced by a *p* value of 0.0951. The goal remains at 35 percent. **RMHP Prime** indicated in its analysis of findings that it believes very strongly that individuals involved in the criminal justice system should receive care as soon as possible after their release date to ensure continuity of care for chronic medical and behavioral health conditions. While the MCO could not count all individuals as part of the official numerator criteria, **RMHP Prime** feels that this project has been successful in connecting recently released parolees with a primary care visit.

Barriers/Interventions

The identification of barriers through barrier analysis and the subsequent selection of appropriate interventions to address these barriers are necessary steps to improve outcomes. The MCO’s choice of interventions, combination of intervention types, and sequence of implementing the interventions are essential to the MCO’s overall success in improving PIP rates.

For the *Improving Transitions of Care for Individuals Recently Discharged from a Corrections Facility* PIP, **RMHP Prime** identified the following barriers to address:

- Parolees having an urgent/emergent medical or behavioral health need and lacking the ability to navigate the system independently.
- Parolees’ inability to identify a primary care medical provider (PCMP) with which to schedule a visit.



- Parolees' lack of reliable forms of communication—either no communication or limited telephonic communication.
- Lack of education and awareness of the importance of regularly visiting a PCMP to manage chronic health conditions or to maintain health.

To address these barriers, **RMHP Prime** implemented the following interventions:

- Parole office or parole office behavioral health specialist contacts the MCO when parolees have an identified urgent need. The MCO assigns a care coordinator to immediately assess needs and help coordinate care and services.
- Parole officer or parole office behavioral health specialist contacts the MCO with the parolee present and provides a warm hand-off referral to the care coordinator.
- Assigned a care coordinator to each parolee to assess for health needs and help coordinate primary care, schedule the initial appointment, and ensure the parolee attends the appointment.
- Developed a health literacy module for the required parole orientation after release from prison.

3. Conclusions and Recommendations

Conclusions

RMHP Prime designed a methodologically sound project. The sound study design allowed the MCO to progress to collecting data and implementing interventions. **RMHP Prime** accurately reported and summarized the first remeasurement study indicator results and used appropriate quality improvement tools to identify and prioritize barriers. The interventions developed and implemented were logically linked to the barriers and have the potential to impact study indicator outcomes.

Recommendations

As the PIP progresses, HSAG recommends the following:

- **RMHP Prime** revisits the causal/barrier analysis and quality improvement processes at least annually to reevaluate barriers and develop new, active interventions, as needed.
- **RMHP Prime** continues to evaluate the effectiveness of each individual intervention and report the results in the next annual submission.
- **RMHP Prime** makes data-driven decisions when revising, continuing, or discontinuing interventions.
- **RMHP Prime** changes any RCCO references to MCO references in Activity VIII.
- **RMHP Prime** seeks technical assistance from HSAG, as needed.