

## Appendix RI: Self-Evaluation Contract Scope of Work

### A. Service Description

The Department of Health and Human Services, in 2013, established a partnership to align MaineCare with Medicare and commercial payers to lower costs for Medicaid, Medicare, and Children’s Health Insurance Program (CHIP) populations while improving quality of care and member satisfaction and experiences with care. The Maine State Innovation Model advances health care delivery system and payment reform initiatives that impact the State’s public payer sector on cost reduction, quality improvement, and informed patient engagement – the Triple Aim goals. The contracted services to be provided pertain to the design and implementation of a comprehensive evaluation of the Maine State Innovation Model. The core evaluation goals include:

- Coordinating Maine’s participation in Centers for Medicare and Medicaid Innovation (CMMI) three-part evaluation strategy, including 1) evaluation design and data collection, 2) rapid cycle evaluation of Maine’s State model, and 3) an impact evaluation.
- Providing leadership and coordination to describe and implement a State-specific self-evaluation that includes continuous quality improvement and performance reporting.
- Designing and establishing the local infrastructure necessary to support a sustainable research and evaluation collaborative.

The evaluation will include participation in a Federal cross-site evaluation and the design and implementation of a State specific, self-evaluation that includes the following core components:

#### 1. Implementation/Process Evaluation

**Objective:** Conduct an implementation study that will comprehensively describe the characteristics of communities and health care settings where SIM will be implemented and gather qualitative and quantitative data from providers, consumers, and health systems to assess perceptions, identify challenges and develop strategies for success.

#### Key Research Question(s) to be addressed:

- What factors influence the adoption and spread of SIM model innovations?
- To what extent are SIM model components implemented consistently and with fidelity?
- What system, practice, and beneficiary level factors are associated with SIM outcomes?

#### Outcomes:

	Year One Contract Target	Year Two Contract Target	Year Three Contract Target
Implementation and process evaluation	Design detailed study proposal, including	Implement study-initiate data	Implement Study: Continued, data

	data collection, evaluation methods and rapid cycle feedback protocols.	collection and rapid cycle review and feedback of study findings and results.	collection and rapid cycle review and feedback of study findings and results.
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**The Provider shall:**

<b>Task #</b>	<b>Description</b>
EV1	Develop implementation/process evaluation design plan and present to the Department within the first three months of the initiation of the service agreement
EV2	Develop and implement rapid cycle improvement protocols for review and feedback of evaluation results to SIM partners and stakeholders.
EV3	Initiate data collection for Implementation/Process Evaluation - Convene provider/practice site visits, key informant interviews, consumer engagement forums, and stakeholder meetings as outlined in evaluation design.
EV4	Prepare and lead committee-based review of evaluation goals based on key informant interviews to clarify and prioritize goals and build a common understanding of SIM goals and priorities.
EV5	Develop quarterly implementation data reports to document progress and update status of SIM model implementation to inform and guide the implementation process.
EV6	Using implementation study data, facilitate ongoing strategic planning sessions with SIM partners and stakeholders to identify implementation challenges and guide rapid cycle improvements.
EV7	Prepare and facilitate training/learning sessions for SIM partners and stakeholders on rapid cycle improvement processes.
EV8	Develop annual report and presentation on the SIM implementation/process study status and findings.

**2. Cost Effectiveness Evaluation**

**Objective:** Support the State of Maine by analyzing changes in health care service utilization, costs and returns on investment linked to SIM initiatives, including planned primary care and behavioral health practice innovations.

**Key Research Question(s) to be addressed:**

- Does the SIM model implementation lead to changes in service utilization patterns and reduced costs, including: 1) per member per month, 2) total, 3) medical, and 4) behavioral health care costs? If so, to what extent?

**Outcomes:**

Contract Objectives	Year One Contract Target	Year Two Contract Target	Year Three Contract Target
Cost Effectiveness Study Design and Implementation	Design cost effectiveness study plan, including: data collection protocols, evaluation measures, study methods and feedback and reporting plan.	Implement cost effectiveness study: data collection, and initiate feedback and reporting of findings using rapid cycle improvement methods.	Implement Study: Continued data collection and ongoing feedback and reporting using rapid cycle improvement methods.

**The Provider shall:**

EV9	Develop Cost Effectiveness Study design plan and present to the Department within the first three months of the initiation of the service agreement
EV10	Obtain necessary Business Associate (BA) and Data Use Agreements (DUA) for all data required for evaluation from all related parties
EV11	Develop data specifications and obtain All Payer Claims Data (APCD) and other data necessary for study.
EV12	Identify and obtain approval from the Department on measures and data sources that will provide a comprehensive and complete view of the impact SIM innovations have on reducing health care costs utilization and costs.
EV13	Implement data collection/extraction protocols as specified in study plan for cost effectiveness study.
EV14	Prepare utilization and cost data sets and perform analyses to measure change in service utilization, expenditures, per capita expenditures, savings and ROI.
EV15	Perform periodic review and assessment to ensure that the evaluation design accounts for outside drivers of costs and utilization that might affect the assessment of cost effectiveness.
EV16	Using the data analytical files, prepare a series of reports providing multiple views of impacts in each intervention on spending and utilization trends over the 33 month testing period.

**3. Impact and Effectiveness Evaluation**

**Objectives:** Design and implement multiple investigations aimed at testing the impact and effectiveness of SIM interventions.

**Key Research Question(s) to be addressed:**

- Does the model lead to improvements in care coordination and less fragmentation of care and, if so, for what populations and to what extent?
- Does the model lead to improvements in quality and processes of care and, if so, to what extent?

- To what extent does the model improve the level of integration of physical and behavioral health across Maine’s health care system?
- Does the model lead to improvements in beneficiary health, well-being, function, and reduced health risk behaviors, and if so, to what extent?

**Outcomes:**

Contract Objectives	Year One Contract Target	Year Two Contract Target	Year Three Contract Target
Impact and Effectiveness Study	Design detailed study proposal and implementation plan, including: data collection protocols and rapid cycle feedback and reporting procedures.	Implement Study Plan: Initiate data collection and rapid cycle feedback and reporting.	Implement Study Plan: Ongoing data collection and rapid cycle review and feedback of results.

**The Provider shall:**

EV17	Develop Impact and Effectiveness Study design plan and present to the Department within the first three months of the initiation of the service agreement.
EV18	Obtain necessary Business Associate (BA) and Data Use Agreements (DUA) for all data required for evaluation from all related parties.
EV19	Develop revised evaluation logic model for approval by SIM leadership, partners, and stakeholders
EV20	Identify and obtain agreement on study measures and data sources for use in assessing the impact and effectiveness of SIM interventions.
EV21	Implement data collection/extraction for Impact and Effectiveness study to assess the effects of the planned Innovation Model interventions on process of care, clinical quality outcomes, and member experiences of care.
EV22	Develop study analytic files and perform data analysis including: pre and post-analyses using quality, process and member experience of care measures. Analyses will employ difference-in-difference (DID) modeling techniques and assess pre-participation clinical, process and quality measures with post participation data.
EV23	Based on data analyses, create data summaries and reports that provide multiple views of the effectiveness of SIM innovations on clinical, quality of care and patient experience outcomes.
EV24	Develop quarterly performance monitoring reports for SIM leadership, partners and stakeholders. using decision support software. The software will collect quality measures, identify, implement and evaluate data-driven opportunities for provider focused quality improvements projects.

#### 4. Project Management, Reporting and Infrastructure Development

**Objectives:** Establish project management and required evaluation infrastructure to ensure timely completion of required objectives and outcomes. Provide all necessary and requested reports on a monthly, quarterly and annual basis in a variety of formats.

**Outcomes:**

D. Contract Objectives	E. Year One Contract Target	E. Year Two Contract Target	E. Year Three Contract Target
Evaluation infrastructure development, Project Management, and report development and submission.	Establish and refine project management, communication, and reporting processes. Develop operational plan for Research/Evaluation Collaborative.	Implement ongoing project management and reporting activities. Launch Research/Evaluation Collaborative.	Implement ongoing project management, reporting and Research/Evaluation Collaborative activities.

**The Provider shall:**

EV25	Convene kickoff meeting to establish study priorities and goals, identify next steps, acknowledge potential challenges and identify mitigation strategies.
EV26	Develop comprehensive Evaluation Operational Plan for review and approval by Maine DHHS with 60 days of contract initiation. Plan shall include evaluation goals, key objectives/milestones and associated tasks, performance targets and timeline as well as anticipated cost to achieve each objective. See appendix A for required template for use in developing the Operation Plan.
EV27	Establish schedule of standing meeting/check-ins with DHHS staff, Steering Committee and other interested parties. Specify availability for ad hoc teleconference meetings as needed.
EV28	In consultation with DHHS establish, convene and assist in the facilitation of a monthly SIM Evaluation and Performance Reporting Sub-Committee.
EV29	Provide monthly progress reports listing: activities, meetings and deliverables. The report will also list any issues and proposed solutions to them. Reporting time frame is listed in Rider A, Section II, A, a and b
EV30	Provide Quarterly evaluation reports outlining the progress of the evaluation, key findings to date and other relevant information. Assist in developing and updating quarterly SIM performance dashboards on identified core quality/ performance measures.
EV31	Provide comprehensive annual report. Report will provide information on progress and finding across all aspects of the SIM grant. Additional elements should include: challenges encountered during evaluation, risks identified and related mitigation strategies, lessons learned and best practices, and recommendations for additional

	measures and future evaluation opportunities.
EV32	Schedule annual meeting after submission of annual report. Contact DHHS staff to develop agenda for meeting and provide progress report highlighting best practices, lessons learned and other beneficial topics for SIM partners
EV33	<p>In collaboration with SIM and Office of Continuous Quality Improvement (OCQI) leadership, develop a sustainable research infrastructure and collaborative of health care researchers, both in-state and out-of-state, to incubate and stimulate research ideas, enhance in-state research expertise, increase access to specialized research methodology and analytic expertise, and launch focused and innovative studies to test the effectiveness of various components of the State Innovation Model and provide dissemination/translation of research results broadly across the state.</p> <p>Tasks include:</p> <ul style="list-style-type: none"> <li>• Develop operational plan for management and implementation of the Research/Evaluation Collaborative.</li> <li>• Identify researchers/evaluators to participate in collaborative &amp; convene meetings.</li> <li>• Develop strategies to evaluate and approve potential research/evaluation projects.</li> </ul>