

BIOGRAPHICAL SKETCH

NAME Shailender Swaminathan	POSITION TITLE DIRECTOR, SAPIEN LABS CENTRE FOR HUMAN BRAIN AND MIND, CHENNAI, TAMIL NADU, INDIA
Date of Birth: October 1971	

<i>EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing,</i>			
INSTITUTION AND LOCATION	DEGREE <i>(if applicable)</i>	MM/YY	FIELD OF STUDY
Delhi University, India	BA	05/1992	Economics
Delhi University, India	MA	05/1994	Economics
University of Southern California	PhD	07/2001	Economics

**A. Personal Statement**

Shailender Swaminathan, Ph.D, has a background in economics and training in applied econometrics. The focus of his recent work is on examining the impact of health insurance on health care utilization and health outcomes. Common to all of the work is the application of various quasi-experimental research designs. One recent study, funded by the NIDDK has examined the impact of Medicare’s shift to a bundled payment method for dialysis services on the quality of services provided. In another, current NIDDK funded study, he and his colleagues (all a part of this proposed project) examine the effect of ACA expansions on the quality of care and health outcomes of ESRD patients undergoing dialysis. As part of previous work, he has also served on a panel in India that sought to understand the costs versus benefits of alternate technologies used in treating disease.

His current research interests include an understanding of how the social determinants of health affect brain physiology-as measured by the EEG, and mental health. He collaborates with neuroscientists and data scientists as part of his work at the centre. The strength of the EEG measurement is that it allows a broad outreach since the particular device now being used by the centre-EMOTIV Plus- allows for measurements that are taken in the household rather than a visit to a clinic. The random sample thereby drawn could provide statistically generalizable results on the effects of social determinants on brain health.

He is also involved in work that uses claims data to assess performance of the healthcare system in India.

**B. Positions and Honors**

**Positions**

2022-present	Director, Centre for Human Brain and Mind, Krea University
2021-2022	Dean, Division of Social Sciences, Sai University, Chennai
2015-2020	Research Scientist, Public Health Foundation of India, and Adjunct Professor, Brown University Department of Health Policy, Services, and Practice
2007–2015	Research Fellow and Assistant Professor, Department of Health Services, Policy and Practice, Brown University
2002–2007	Assistant Professor, University of Alabama, Birmingham School of Public Health

## **Honors**

Article of the Year Award, Academy Health 2009 for the JAMA paper on Health Insurance Parity and Outpatient Mental Health Care

## **C. PEER REVIEWED PUBLICATIONS**

1. Jaquet D, Swaminathan S, Alexander GR, Czernichow P, Collin D, et al. Significant paternal contribution to the risk of small for gestational age. *BJOG : an international journal of obstetrics and gynaecology*. 2005; 112(2):153-9.
2. Scanlon DP, Swaminathan S, Chernew M, Bost JE, Shevock J. Competition and health plan performance: evidence from health maintenance organization insurance markets. *Medical care*. 2005; 43(4):338-46.
3. Swaminathan S, Alexander GR, Boulet S. Delivering a very low birth weight infant and the subsequent risk of divorce or separation. *Maternal and child health journal*. 2006; 10(6):473-9.
4. Scanlon DP, Swaminathan S, Chernew M, Lee W. Market and plan characteristics related to HMO quality and improvement. *Medical care research and review : MCRR*. 2006; 63(6 Suppl):56S-89S.
5. Scanlon DP, Chernew M, Swaminathan S, Lee W. Competition in health insurance markets: limitations of current measures for policy analysis. *Medical care research and review : MCRR*. 2006; 63(6 Suppl):37S-55S.
6. Mulvihill BA, Altarac M, Swaminathan S, Kirby RS, Kulczycki A, et al. Does access to a medical home differ according to child and family characteristics, including special-health-care-needs status, among children in Alabama? *Pediatrics*. 2007; 119 Suppl 1:S107-13.
7. Sen B, Swaminathan S. Maternal prenatal substance use and behavior problems among children in the U.S. *The journal of mental health policy and economics*. 2007; 10(4):189-206.
8. Scanlon DP, Swaminathan S, Lee W, Chernew M. Does competition improve health care quality? *Health Services Research* 2008;43(6):1931-51.
9. Swaminathan S, Chernew M, Scanlon DP. Persistence of HMO performance measures. *Health services research*. 2008; 43(6):2033-49.
10. Nabukera SK, Wingate MS, Kirby RS, Owen J, Swaminathan S, et al. Interpregnancy interval and subsequent perinatal outcomes among women delaying initiation of childbearing. *The journal of obstetrics and gynaecology research*. 2008; 34(6):941-7.
11. Trivedi AN, Swaminathan S, Mor V. Insurance parity and the use of outpatient mental health care following a psychiatric hospitalization. *JAMA*. 2008;

12. Nabukera SK, Wingate MS, Owen J, Salihu HM, Swaminathan S, et al. Racial disparities in perinatal outcomes and pregnancy spacing among women delaying initiation of childbearing. *Maternal and child health journal*. 2009; 13(1):81-9.
13. Wingate MS, Swaminathan S, Alexander GR. The influence of maternal mobility on birth outcomes of non-hispanic blacks. *Maternal and child health journal*. 2009; 13(1):48-55.
14. Nabukera SK, Wingate MS, Salihu HM, Owen J, Swaminathan S, et al. Pregnancy spacing among women delaying initiation of childbearing. *Archives of gynecology and obstetrics*. 2009; 279(5):677-84.
15. Swaminathan S, Mor V, Mehrotra R, Trivedi A. Medicare's payment strategy for end-stage renal disease now embraces bundled payment and pay-for-performance to cut costs. *Health affairs (Project Hope)*. 2012; 31(9):2051-8. NIHMSID: NIHMS505730 PubMed [journal] PMID: 22949455, PMCID: PMC3766315
16. Thomas KS, Dosa D, Hyer K, Brown LM, Swaminathan S, et al. Effect of forced transitions on the most functionally impaired nursing home residents. *Journal of the American Geriatrics Society*. 2012; 60(10):1895-900.
17. Dore DD, Swaminathan S, Gutman R, Trivedi AN, Mor V. Different analyses estimate different parameters of the effect of erythropoietin stimulating agents on survival in end stage renal disease: a comparison of payment policy analysis, instrumental variables, and multiple imputation of potential outcomes. *Journal of clinical epidemiology*. 2013; 66(8 Suppl):S42-50
18. Leung LA, Swaminathan S, Trivedi AN. Diabetes diagnosis and exercise initiation among older Americans. *Preventive medicine*. 2014; 65:128-32.
19. Swaminathan S, Mor V, Mehrotra R, Trivedi AN. Effect of medicare dialysis payment reform on use of erythropoiesis stimulating agents. *Health services research*. 2015; 50(3):790-808.
20. Swaminathan S, Mor V, Mehrotra R, Trivedi AN. Initial session duration and mortality among incident hemodialysis patients. *American Journal of Kidney Diseases*. February 2017
21. Radhika J, Subramanian C, Swaminathan S. Are there social returns to education in developing countries: evidence from Indonesia. Forthcoming. *Economic Development and Cultural Change*
22. Bhattacharjee A, Shin JK, Subramanian C, Swaminathan S. Healthcare Investment and Income Inequality. *Journal of Health Economics*. December 2017.
23. Gordon S., Lee Y., Ndumule C., Vivier P., Gutman R., Swaminathan S., Gadbois E., Shield R., Kind A., Trivedi A. "The Impact of Medicaid Managed Care Plan Type on Continuous Medicaid Enrollment: A Natural Experiment" *Health Services Research*, October 2018
24. Kim D., Kanghyock K., Swaminathan S., Trivedi A., "Association of Diabetes Diagnosis with Dietary Changes and Weight Reduction" *Expert Review of Pharmacoeconomics & Outcomes Research*, 2018

25. Swaminathan S, Sommers BD, Thorsness R, Mehrotra R, Lee Y, Trivedi AN. Association of Medicaid Expansion With 1-Year Mortality Among Patients With End-Stage Renal Disease. *Journal of the American Medical Association JAMA*. 2018;320(21):2242–2250.
26. Maricruz R, Swaminathan S, Thorsness R, Lee Y, Mehrotra R, Sommers BD, Trivedi AN. Trends in Mortality Among Incident Patients with End Stage Renal Disease in Puerto Rico Compared to the US: 2006-2015. *AJKD*. 2019; 75(2):
27. Wang W, Swaminathan S, Corneau E, Maciejewski M, Trivedi A, O’Hare A, Mor V. Association of VA Payment Reform with Spending, Access to Care, and Outcomes of Veterans with End Stage Kidney Disease, *CJASN*, September 2020.
28. Swaminathan S, Gordon S, Chima N, Lee Y, Trivedi A. Effects of Medicaid-Focused or Commercial Medicaid Managed Care Plan Type on Outpatient and Acute Care: A Randomized Policy Experiment. *JAMA Internal Medicine*, October 2020.
29. Nguyen KH, Thorsness R, Swaminathan S, Mehrotra R, Patzer RE, Lee Y, Kim D, Rivera-Hernandez M, Trivedi AN. Despite National Declines In Kidney Failure Incidence, Disparities Widened Between Low- And High-Poverty US Counties. *Health Aff (Millwood)*. 2021 Dec;40(12):1900-1908.
30. Nguyen KH, Thorsness R, Hayes S, Kim D, Mehrotra R, Swaminathan S, Baranwal N, Lee Y, Rivera-Hernandez M, Trivedi AN. Evaluation of Racial, Ethnic, and Socioeconomic Disparities in Initiation of Kidney Failure Treatment During the First 4 Months of the COVID-19 Pandemic. *JAMA Netw Open*. 2021 Oct 1;4(10):e2127369.
31. Kim D, Lee Y, Swaminathan S, Mehrotra R, Rivera-Hernandez M, Thorsness R, Nguyen KH, Trivedi AN. Comparison of mortality between Medicare Advantage and traditional Medicare beneficiaries with kidney failure. *Am J Manag Care*. 2022 Apr;28(4):180-186
32. Trivedi AN, Jiang L, Miller DR, Swaminathan S, Johnson CA, Wu WC, Greenberg K. Association of Disability Compensation With Mortality and Hospitalizations Among Vietnam-Era Veterans With Diabetes. *JAMA Intern Med*. 2022 Jul 1;182(7):757-765
33. Nguyen KH, Lee Y, Thorsness R, Rivera-Hernandez M, Kim D, Swaminathan S, Mehrotra R, Trivedi AN. Medicaid Expansion and Medicare-Financed Hospitalizations Among Adult Patients With Incident Kidney Failure. *JAMA Health Forum*. 2022 Nov 4;3(11):e223878.
34. Rivera-Hernandez M, Kim D, Nguyen KH, Thorsness R, Lee Y, Swaminathan S, Mehrotra R, Trivedi AN. Changes in Migration and Mortality Among Patients With Kidney Failure in Puerto Rico After Hurricane Maria. *JAMA Health Forum*. 2022 Aug 5;3(8):e222534.

## Books & Book Chapters

1. Jeffrey Nugent and Shailender Swaminathan *Poverty, Household Investments in Education and Income Inequality at the Community Level* (2006) *Inequality and Development: Essays in Honor of Erik Thorbecke, Kluwer*
2. Nugent, JB; Swaminathan, S (2005) “Voluntary Contributions to Informal Activities Producing Public Goods: Can These be Induced by Government and other Formal Sector Agents? Some Evidence from Indonesian Posyandus in "Unlocking Human Potential: Concepts and Policies for Linking the Informal and Formal Sectors". *Oxford University Press*

## **Working Papers (under preparation)**

Hospital Insurance, Utilization and Old-Age Mortality: Medicare's Impact in Its First Decade (With Kenneth Chay and Daeho Kim)

Social Status, Baseball Hall of Fame and Mortality (with Kenneth Chay and David Becker)

## **D. TEACHING**

### **1. Brown University (Department of Economics, 2007-2010)**

Undergraduate: Health Economics, Economic Development

Graduate: Applied Research Methods

### **2. University of Alabama, Birmingham (School of Public Health, 2002-2006)**

Graduate: Issues in Maternal and Child Health, Secondary Data Analysis for Public Health Practitioners

Doctoral Seminar

### **3. University of Southern California (Department of Economics, Summer 2016)**

Undergraduate: Intermediate Macroeconomics, Advanced Econometrics

## **E. RESEARCH SUPPORT**

### **Ongoing Research Support**

Title: Impact of Randomized Payment Incentives on Disparities in Home Dialysis and Kidney Transplantation

Project Number: R01MD017080

12/01/21 – 11/30/26

Source of Support: NIMHD

Medicaid Expansion, Coverage Loss, and Disparities in Kidney health in the COVID-19 Era

Project Number: R01DK113298 renewal

07/08/21 – 04/30/24

Name of PD/PI: Trivedi

Source of Support: NIDDK

Role: Co-Investigator

Agency for Healthcare Research and Quality (AHRQ) Trivedi (PI)

01/01/2021- 12/31/23

Infection Control Measures in Dialysis Facilities after COVID-19: Disparities in Adoption and Impact on Hospitalization and Mortality. RO1.

To assess the extent to which dialysis facilities adopted infection-control measures in their facilities in the wake of the COVID-pandemic.

Role: Co-Investigator

### **Completed Research Support**

Veterans Administration

Impact of VA Disability and Health Benefits on Long-Term Diabetes Outcomes Among Vietnam-Era Veterans

Merit Award 04/01/2019 – 03/01/2021

Role: Co-Investigator

R01 (Trivedi) 2/1/2017 – 1/31/2021

NIDDK. Impact of Medicaid Expansion on Racial and Socioeconomic Disparities in ESRD

Role: Co-Investigator

CIN 13-419 (Friedmann)

10/1/14-9/30/15 Providence VAMC

Center of Innovation (COIN) on Long-Term Services and Support for Vulnerable Veterans

This proposed Center of Innovation (COIN) will build on our strong partnership with VA's Geriatric and Extended Care (GEC); infrastructure developed by the GEC Data Analysis Center (GEC DAC) and HSR&D Research Enhancement Award Program (REAP); collaborations with VA LTSS researchers nationwide established through our recently-funded Long-Term Care CREATE; and long-standing collaborations with long-term care research and training programs at Brown University to facilitate partnered health services research that improves access, quality and value of LTSS for vulnerable Veterans. The goal is to conduct high-quality, partner health services research in LTSS that will benefit both Veteran and civilian populations. Role: Investigator

1 R01 AG047180-01 (Co-PI, Mor PI) 7/1/14 - 4/30/17

NIA

Emerging Role of Medicare Advantage in Nursing Home Care

To inform policy efforts to improve the quality, outcomes of care for vulnerable nursing home residents.

1R01AD044374-02 (Co-PIM Trivedi (PI)) 6/1/13 – 5/31/16

NIA

Cost-Sharing, Use and Outcomes of Post-Acute Care in Medicare Advantage

Evaluate the impact of changes in cost-sharing on the use and outcomes of post-acute care using a quasi-experimental research design and a national sample of Medicare enrollees in managed care plans.

R21DK095485 Swaminathan (Principal Investigator)

9/30/11 -8/31/15

NIH, NIDDK

Treatment of Anemia in End Stage Renal Disease: Effect of Warnings and Incentives

In this project, the impact of two policies that have been used to curb the use of the drug Epoetin (EPO) - a drug used to treat anemia among all individuals with the End Stage Renal Disease has been evaluated

R21 AG042302-01 Swaminathan (Principal Investigator)

9/30/11 -8/31/15

NIH, NIA

Effects of Health Insurance Coverage for Preventive Care: Evidence from Medicare

In the current proposal, we seek to understand the casual impact of preventive health care measures introduced as part of the MMA. Two important changes in Medicare effective January 1,2005 were explicitly preventive in nature: i) Lipid profile blood screening tests to ascertain the risk of cardiovascular disease, and ii) Fasting glucose blood tests to screen individuals at "risk" for diabetes. Medicare fully reimbursed providers for the costs of the test.

2T32 HS000011 (Mor)

9/1/08-8/31/13

AHRQ National Research Service Award

The Specific aims of this training program are to recruit highly qualified socio-demographically diverse post-and pre-doctoral trainees. To develop scientists experienced in the use of state-of-the-art health services research methods, with specific foci in evidence-based medicine, comparative effectiveness research, chronic disease and aging, etc. To develop scientists skilled in the communication of scientific knowledge who are able

to work in multidisciplinary teams in academia, government and the private sector. To provide didactic as well as "hands on" supervised experience in research by matching trainees with externally funded research teams; and, to develop scientists equipped with the leadership skills to improve health care delivery and influence health policy. Role: Mentor

Mor (PI)

6/1/09 – 12/31/13

Sub w/Quality Partners of RI

Performance Excellence in Kidney Care

Selecting comparison samples between KCP and non-KCP dialysis facilities. Creating Baseline Mortality and Quality files for comparison. Review, Examine and Create Clinical Performance Measures and Examine Potential Composite Benchmarks. Recommend Appropriate Clinical Performance Measures.

Role :Investigator

R40 (Trivedi)

4/1/15 – 3/31/18

Health Resources and Service Administration (HRSA)

Medicaid Managed Care and the Quality of Care for Women and Children: Evaluating a Randomized Trial of Enrollment in a Medicaid-Focused or Commercial Health Insurance Plan

The proposed research is innovative and rigorous, as we employ mixed-methods and randomized trial design and assess widely-used, validated quality measures, such as ambulatory care-sensitive admission and emergency department visits, use of effective preventive services, well-child care, and recommend care processes for chronic health conditions. This research should help inform policy decisions regarding the improved organization and financing of health systems serving MCH populations in the Medicaid program.

Role: Co-Investigator

**The Effect of Reduction and Standardization of Reimbursements in the VA Fee-Basis Program: Impact on Quality of Care and Health Outcomes**

The purpose of this study is to assess how the national dialysis contract payment model changed the distribution of quality among facilities participating in the VA Fee Basis program and affected Veterans' outcomes. We will conduct a longitudinal (pre-post) retrospective cohort study of all VA-financed end-stage renal disease (ESRD) providers and patients before (pre-period: 2006-2008) and after (post-period: 2011-2016) implementation of national dialysis contracts. This study will estimate the impact of these policy changes on Veterans and to determine whether a geographically contingent, value based model for purchasing dialysis services from non-VA vendors could improve the overall outcomes experienced by Veterans requiring dialysis.

Role: Co-Investigator

**F. PROFESSIONAL SERVICE:**

Peer-Reviewer for academic journals:

Journal of Health Economics, Journal of the American Medical Association, Health Services Research, Health Services Research and Outcomes Methodology, Public Health Reports, American Journal of Managed Care, Maternal and Child Health Journal, Inquiry