

Civil Money Penalty (CMP) Reinvestment State Plan Submission Template

Introduction

This plan describes how states will use Civil Money Penalty (CMP) funds for the upcoming calendar year. Questions about this plan shall be directed to the point(s) of contact listed below in section 2.

Enter State:

1. Timeline

Plan Start Date: January 1, 20XX
Plan End Date: December 31, 20XX
Plan Year (relevant calendar year): 20XX
Date of Submission to CMS: October 13, 20XX

2. State Points of Contact

<i>Primary Point of Contact</i>	<i>Secondary Point of Contact</i>
Name: Jane Doe	Name: John Doe
Title: Director	Title: Assistant Director
Office: Long Term Care Policy Unit	Office: Long Term Care Policy Unit
Office Address: 1234 Windy Lane City Z, State X, 12345	Office Address: 1234 Windy Lane City Z, State X, 12345
Phone Number: 123-456-7891	Phone Number: 123-456-7890
Email Address: jdoe@email.com	Email Address: jdoe2@email.com

Plan for the Use of CMP Funds

3. Current CMP Balance

The state's projected CMP balance as of January 1 for the calendar year covered by this plan is \$ 5,000,000.00.

4. CMPs Returned to the State

The Current CMP Balance (section 3) includes CMP funds returned to the state in the previous year for the Medicaid portion of the CMP.

Provide the amount (actual or projected) of CMP funds returned to the state during the previous applicable calendar year. The state should enter the date the balance is obtained.

\$. . Date (format: MM/XX/20YY): . .

5. Emergency Reserve Fund

For the plan year, states should reserve a portion of the Current CMP Balance (section 3) for emergency situations, such as natural disasters and/or the relocation of residents pursuant to an involuntary termination from Medicare and Medicaid. This amount must be sufficient to indicate that a state is prepared to respond to emergencies while at the same time not maintaining a significant amount of unused CMP funds.

The amount allocated for the Emergency Reserve Fund for the calendar year covered by this plan is \$ 1,000,000.00.

Describe how the state will use emergency reserve funds, such as the relocation of residents due to natural disasters or pursuant to an involuntary termination from Medicare and Medicaid, and the number of certified beds in the state. **See the CMP Reinvestment State Plan Resource Guide for further guidance.**

We plan to reserve \$1,000,000 for emergency relocation of residents due to the possibility of natural disasters or facility closures. The state has 60 Medicare and Medicaid-certified facilities, with approximately 7,200 residents. In 20XX, we had one involuntary closure of a facility resulting in the state ultimately paying for the relocation of 150 residents and their belongings. Also, in 20XX, we had two facilities go into receivership, with the state having to pay facility expenses of \$400,000.

6. Annual Administrative Use

For the plan year, states can choose to allocate a portion of the Current CMP Balance (section 3) for Administrative Use.

The amount estimated for Administrative Use for the calendar year covered by this plan is \$ 150,000.00 . If the state does not intend to use CMP funds for Administrative Use, enter '0' (zero)

Note: Please provide an estimate that accounts for all expected administrative costs. Actual funds expended for the calendar year should not exceed the estimate provided. If additional funds are needed

for administrative use, the state must submit the request to the CMPRP Team in an amended plan for review. The amended plan must be approved by CMS prior to expending additional funds for administrative uses. If using CMP funds for Administrative Use, describe below how the funds will be used. Include adequate details and justification for the requested amount, including position description(s) and a breakdown of salary and benefits for each position (e.g., salary and benefits for one full-time staff [1FTE] to oversee the evaluation of approximately 60 CMP applications submitted for review as well as the administration and monitoring of approximately 20 CMP awards). Enter 'N/A' below if the state does not intend to use CMP funds for Administrative Use.

\$150,000 will be used for administrative use during the 20XX calendar year, which will cover the salary and benefits for one part-time staff (0.5 FTE) and one full-time staff (1.0 FTE) to oversee the evaluation of 50 submitted CMP applications as well as the administration, monitoring, and results collections of approximately 15 CMP awards. The staff will focus on an in-depth solicitation strategy.

Note: Avoid potentially prohibited or problematic costs (e.g., administrative expenses beyond those necessary to administer, monitor, evaluate, or report on the effectiveness of projects utilizing CMP funds).

7. Obligated Funds

For the plan year, states may have projects they are obligated to fund (*for the implementation or continued implementation of any continuing and/or new projects*).

The total amount of Obligated Funds for projects approved for the calendar year covered by this plan is \$ *65,000*.

Include a list of continuing projects and/or new projects **approved for the calendar year covered by the plan**. List each project title, the amount obligated for each approved project, the start and end dates of each project, and the recipient of funds. For multi-year projects or projects that are one year or less but span multiple years (e.g., 11/05/20XX - 08/05/20XX), please enter the funds obligated for the calendar year covered by this plan. If more space is needed, an extended sheet is provided in section 13. Please make sure the total amount of Obligated Funds in the extended sheet is reflected in the total above.

<i>Project Title</i>	<i>Amount Approved for the Plan Year</i>	<i>Start and End Dates</i>	<i>Recipient of Funds</i>
<i>Resident and Family Council Program</i>	<i>\$5,000</i>	<i>11/1/20XX-10/31/20XX</i>	<i>ABC Nursing and Rehab Center</i>
<i>Culture Change Project</i>	<i>\$5,000</i>	<i>11/1/20XX - 10/31/20XX</i>	<i>Institute of Patient-Centered Geriatric Care</i>

<i>Project Title</i>	<i>Amount Approved for the Plan Year</i>	<i>Start and End Dates</i>	<i>Recipient of Funds</i>
<i>Dementia Care Program</i>	<i>\$10,000</i>	<i>3/1/20XX - 2/28/20XX</i>	<i>State X Center for Dementia Research</i>
<i>Crafts Project</i>	<i>\$10,000</i>	<i>12/1/20XX- 11/30/20XX</i>	<i>Heather Hills Nursing Center</i>
<i>Training to Reduce Use of Antipsychotics</i>	<i>\$10,000</i>	<i>4/2/20XX - 4/1/20XX</i>	<i>University of State X School of Nursing</i>
<i>Consumer Information Project</i>	<i>\$5,000</i>	<i>04/02/20XX- 04/01/20XX</i>	<i>XYZ Nursing Home</i>
<i>Wound Care Project</i>	<i>\$5,000</i>	<i>10/01/20XX- 09/30/20XX</i>	<i>Seniors Choice Nursing Home</i>
<i>Horticulture and Gardening Project</i>	<i>\$15,000</i>	<i>11/01/2023- 10/31/20XX</i>	<i>Morning Pointe Nursing Facility</i>

8. Available Funds

For the plan year, states may have additional CMP funds available after accounting for funds going towards the Emergency Reserve Fund (section 5), Annual Administrative Use (section 6), and Obligated Funds (section 7).

Rows 1 through 4 will auto-populate with the amounts reported in the previous sections. **Row 5 will auto-calculate** the amount of available funds. (If needed, please manually enter the amounts or verify that the amounts are accurately reported from the previous sections. To calculate, please take the total amount provided in section 3 and subtract the total amounts in sections 5, 6, and 7.)

See the [CMP Reinvestment State Plan Resource Guide](#) for further guidance.

1.	Current CMP Balance (from section 3)	\$5,000,000.00
2.	Emergency Reserve Fund (from section 5)	\$ 1,000,000.00
3.	Annual Administrative Use (from section 6)	\$ 150,000.00
4.	Obligated Funds (from section 7)	\$ 65,000
5.	Available Funds (automatically calculated)	\$3,785,000.00

Plan for Public Posting, Solicitation and Review Methods, Monitoring and Tracking Methods

9. Posting of Funded CMP Projects

On an annual basis, states must post the following information to a publicly available location about each funded CMP Project:

1. Project title;
2. Duration of the project (*project start and end dates*);
3. Dollar amount awarded for each approved project;
4. Project summary that includes the purpose of the project, the project's quantifiable goals and/or objectives;
5. Awardee name (entity approved to receive funding);
6. Results of projects (i.e., a description of the project's outcomes, including the project's goals and/or objectives that were achieved or not achieved); and
7. Any other key information, such as whether improvements have been institutionalized as a result of the project.

CMS will obtain this information from states annually through the CMP Project Tracking Sheets and will post the project information to the CMS CMP Reinvestment website.

Describe below the publicly available location (e.g., state website, CMS CMP Reinvestment website, state newsletter) where information about CMP projects can be found. Please provide the full state/public website address if applicable.

You can find our list of funded projects on CMS's Long Term Care Facility Civil Money Penalty Reinvestment Resource webpage:

<https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertificationGenInfo/LTC-CMP-Reinvestment.html>

We also reference this website on our own state webpage, available at:

https://www.stateX.cmp_reinvestment.gov

10. Solicitation Methods

Describe where (e.g., websites, notices to the Ombudsman's office, presentations to the nursing home provider community) and how often (e.g., monthly, quarterly, annually) the state will solicit for CMP projects that benefit nursing home residents and that protect or improve their quality of care or quality of life. States must solicit for CMP projects at least annually.

Include relevant details to describe the solicitation methods: who is responsible, when, where, and the target audience. If applicable, provide information on the types of projects intended to be solicited (e.g., dementia care, music and memory) and any standard language or requirements that will be included in each solicitation notice.

The state will solicit projects that benefit nursing home residents through posting on our state website (https://www.stateX.cmp_reinvestment.gov). The Assistant Director of Long-Term Care (LTC) Policy will share a regularly maintained list of approved projects and application solicitation notices with the Ombudsman's office for posting, to help promote and solicit new applications. The LTC Policy Unit will present impactful CMP projects and explain the application process (including an explanation of prohibited and permissible uses of CMP funds) to the nursing home provider community during their bi-annual state conferences in January and June. In February, the state will solicit five projects, at a maximum of \$250,000 each, that target behavioral, non-pharmacological interventions for dementia care to reduce the use of antipsychotics. Each project will last 3 years or less, and each project must produce deliverables that can be utilized by nursing homes across the state and potentially at a national level. Our state prevalence rate of antipsychotics is high at 30% for long-stay nursing home residents and is well above the quarter 4 20XX national prevalence rate of 14.1%.

11. Review Methods

Describe methods and criteria the state will use to objectively and consistently review and evaluate incoming applications to determine if the proposal meets the criteria for acceptable uses of CMP funds.

Include relevant details that describe the application review methods, such as personnel reviewing applications, criteria to be used to evaluate applications, expected timeframe for review, and process for submitting applications to CMS.

The Assistant Director of the LTC Policy Unit will intake and review applications with their 1.5 FTE support team of LTC Policy staff. On a monthly basis, the team will present projects to a review committee, which includes the Director of the LTC Policy Unit in addition to a clinical advisor. The team will review the applications against the state X regulations (stateXregulations/website/.gov) and the federal CMP regulations (https://www.ecfr.gov/cgi-bin/text-idx?SID=7157ff43f161061a1653b5aae6d5164b&mc=true&node=se42.5.488_1433&rgn=div8).

When an application meets the aforementioned criteria, the state will submit the application to CMS within five calendar days. When an application does not meet federal and state criteria, the Assistant Director of LTC Policy reaches out to the applicant to notify them of any corrective action they can take to revise the application to meet requirements. The team then reviews the updated application. This process is performed a maximum of two times before the application is rejected. Applications are typically reviewed and approved or denied in a month timeframe.

12. Monitoring and Tracking Methods

Describe how the state will monitor and track projects that use CMP funds, as well as how the state will monitor and track CMP funds that have been allocated and expended for Administrative Use (section 6). Provide information about how the state will verify that the monies paid out for the CMP project were spent on the items identified by the CMP fund recipient (e.g., site visits, invoices, timecards, receipts for supplies, and travel).

Describe how the state will track project results (e.g., periodic or standard reporting deadlines, deliverables, final report, tracking of metrics). Describe how the state will track monies expended for Administrative Use purposes.

To ensure that monies paid out for CMP projects are spent on the items identified by the CMP funds recipient, State X will track all project invoices, time cards, and receipts and will conduct a progress check-in with the project lead to ensure they are measuring results of the CMP project. A check-in will occur before invoices are paid/funds are distributed. Staff salaries paid through CMP Administrative Use are recorded throughout the year. Administrative hours and activities are monitored to measure workflow surges and drop offs to better align staff to CMP application tasks and to continually evaluate staffing needs. To track results of each CMP project, State X will require that project leads submit a quarterly and final report for all projects with durations greater than 11 months, and a mid-way and final report for all projects with duration less than 11 months. The report will detail the progress made on the measures originally outlined by the applicant to evaluate success, emphasizing quantitative measures whenever possible.

14. CMP Project Tracking Sheet

By February 1st of each year, states must complete and submit the CMP Project Tracking Sheet (Excel spreadsheet) to the Centers for Medicare & Medicaid Services (CMS) Location and the CMPRP mailbox at CMP-info@cms.hhs.gov. The CMP Project Tracking Sheet should contain information on projects that were implemented during the previous year. For example, the CMP Project Tracking Sheet (Projects and Financial Summary) for the projects funded during the previous calendar year is due to the CMS Location and the CMPRP mailbox on or before February 1st. See the CMP Reinvestment State Plan Resource Guide for further guidance.