

Civil Money Penalty (CMP) Reinvestment State Plan Submission Template

Introduction

This plan describes how _____ 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.

1. Timeline

Plan Start Date:

Plan End Date:

Plan Year (relevant calendar year):

Date of Submission to CMS:

2. State Points of Contact

<i>Primary Point of Contact</i>	<i>Secondary Point of Contact</i>
Name:	Name:
Title:	Title:
Office:	Office:
Office Address:	Office Address:
Phone Number:	Phone Number:
Email Address:	Email Address:

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 \$.

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.

The amount (actual or projected) of CMPs returned to the state for the calendar year prior to the current plan year is \$.

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.

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

Describe below how the state will use Emergency Reserve Funds and how the requested amount was determined. Include adequate justification for the requested amount, such as history of emergency uses, number of certified beds in the state, and corresponding expenses resulting from past emergencies. **See the CMP Reinvestment State Plan Resource Guide for further guidance.**

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 \$. 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 will need to submit an amended plan.

If using CMP funds for Administrative Use, describe below how the funds will be used. Include adequate detail 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 [1 FTE] to oversee the evaluation of approximately 60 submitted CMP applications 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.

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 (continuing and/or new projects).

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

Include a list of continuing projects and/or new projects **approved for the calendar year covered by the plan**. List each project title, amount obligated for approved projects, start and end dates of the project, and recipient of funds. For multi-year projects or projects that are one year or less but span multiple years (e.g., 11/05/2018 - 08/05/2019), 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>Project Title</i>	<i>Amount Approved for the Plan Year</i>	<i>Start and End Dates</i>	<i>Recipient of Funds</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)	\$
2.	Emergency Reserve Fund (from section 5)	\$
3.	Annual Administrative Use (from section 6)	\$
4.	Obligated Funds (from section 7)	\$
5.	Available Funds (automatically calculated)	\$

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;
3. Dollar amount awarded for each approved project;
4. Project summary (i.e., purpose/goals and objectives);
5. Awardee name;
6. Results of projects (i.e. the outcome of completed projects); and
7. Other key information, such as whether improvements have been institutionalized as a result of the project.

CMS will obtain this information from states historically through the CMP Project Tracking Sheets and will post it 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.

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 CMP projects that benefit nursing home residents and that protect or improve their quality of care or quality of life.

Include relevant details to describe the solicitation methods: who is responsible, when, where, and 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.

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 review timeframe, and process for submitting applications to CMS.

12. Monitoring and Tracking Methods

Describe how the state will monitor and track projects that use CMP funds, as well as funds used 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 visit, invoices, time cards, 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).

13. Extended Sheet for Obligated Funds

If applicable, use this space for additional project information from section 7. Please make sure the total amount of Obligated Funds in section 7 reflects the projects included in this extended sheet.

<i>Project Title</i>	<i>Amount Approved for the Plan Year</i>	<i>Start and End Dates</i>	<i>Recipient of Funds</i>

14. CMP Project Tracking Sheet

By February 1st of each year, states must complete and submit the CMP Project Tracking Sheet to the Centers for Medicare & Medicaid Services (CMS) Regional Office (RO) and the CMPRP mailbox at CMP-info@cms.hhs.gov. The CMP Project Tracking Sheet should contain information on projects that took place during the previous year. For example, the CMP Project Tracking Sheet for the projects funded in 2019 is due to the CMS RO and the CMPRP mailbox on February 1, 2020. **See the CMP Reinvestment State Plan Resource Guide for further guidance.**