

# 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:

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.

*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  
\$ .

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 number of certified beds in the state.* 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 must submit the request to the CMPPR 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.

**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 \$ .

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 *each* approved project, 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/*2022* - 08/05/*2023*), 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 (*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.

## 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.

**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.



**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 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). *Describe how the state will track monies expended for Administrative Use purposes.*

**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 1<sup>st</sup> of each year, states must complete and submit the CMP Project Tracking Sheet (Excel spreadsheet) to the Centers for Medicare & Medicaid Services (CMS) Branch and the CMPRP mailbox at [CMP-info@cms.hhs.gov](mailto: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 in **2022** is due to the CMS Branch and the CMPRP mailbox on February 1, **2023**. **See the CMP Reinvestment State Plan Resource Guide for further guidance.**