CENTERS FOR MEDICARE & MEDICAID SERVICES

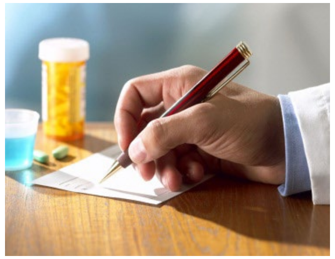
2023 HCBS Conference: Money Follows the Person Intensive
Monday, August 28, 2023

Morning Session

8:45 a.m. to 12:00 p.m.

Money Follows the Person Intensive
Agenda
Morning Session

- Welcome & Introductory Remarks
- MFP Administrative Updates
  - Updates from the Office of Acquisitions and Grants Management (OAGM)
  - Data Learning Collaborative Highlights
- Work Plan and Semi-Annual Progress Report Updates
  - Medicaid Data Collection Tool (MDCT)
- Operational Protocol Template Pilot



Money Follows the Person (MFP) Financial Compliance and Administrative Policy

Presented by:

Monica B. Anderson

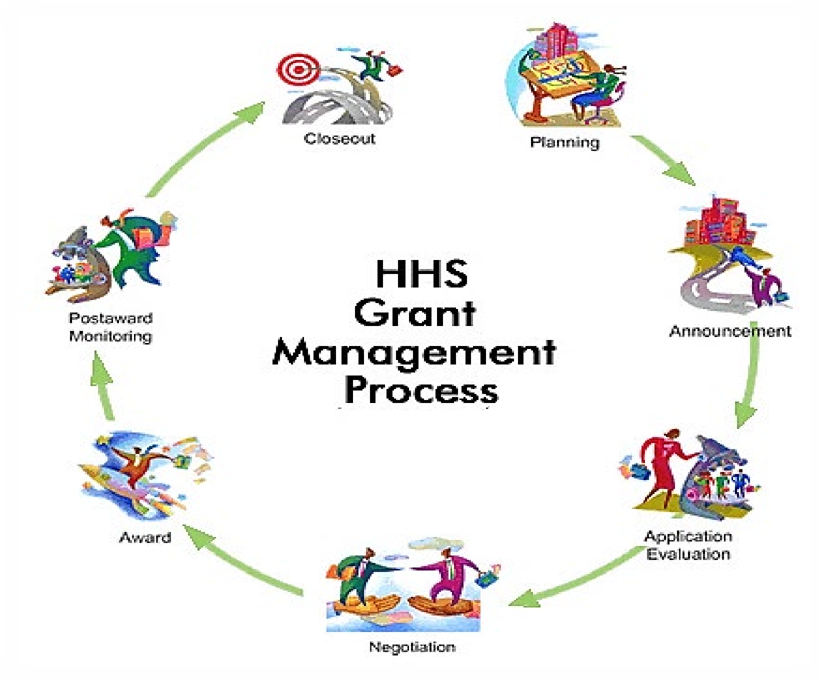
Djene Sylla

Office of Acquisitions & Grants Management (OAGM)

OAGM Administrative Updates

- CMS Grants Management Process
- Post Amendment Actions
  - Prior Approval Requirements
  - Most Common Prior Approval Requests
- Completing the MFP Budget Workbook 2023
- Financial Reporting
- Key Areas to Note
- Q&A

CMS GRANTS MANAGEMENT PROCESS


HHS Grant Management Process
Planning
Announcement
Application Evaluation
Negotiation
Award
Postaward Monitoring
Closeout

HHS Grant Management Process

1. Planning
2. Announcement
3. Application Evaluation
4. Negotiation
5. Award
6. **Post-award Monitoring**
7. Closeout

Today, let's discuss the most common questions and concerns from recipients in the past year.

Please let us know if there are other issues that are not discussed today!

Prior Approval Requirements

45 CFR §75.308 Revision of budget and program plans.

- When funding is requested or restrictions must be lifted, **A NEW NOTICE OF AWARD MUST BE ISSUED.**
- The recipient is responsible for **initiating requests in GrantSolutions within the Amendment module**. The Grants Management Specialist (**GMS**) and Project Officer (**PO**) must review and respond to the prior approval request within 30 days of receipt.
- **Typical documentation required**:
  - **Cover letter** from the Awardee's Authorizing Official.
  - **Written justification describing the need** to make any necessary changes to the grant.
  - GrantSolutions prompts for documentation as pertinent to the request
- **Prior approval requires approval from the GMO in the form of a revised Notice of Award**. No other written or oral approval will be accepted and will not be binding for CMS and/or HHS.

TYPES OF AMENDMENT REQUESTS THAT REQUIRE PRIOR APPROVAL

Budget Revision	**A request for prior approval to make changes to the original budget accepted in annual continuation or supplement.**
Carryover of Unobligated Balances	A request for prior approval from the awarding agency to “carryover” an unobligated balance of funds from a previous budget year, to cover allowable costs in a current budget year. A carryover must be requested in support of activities aligned with a grantee’s existing goals and objectives and intended to cover costs not already incurred by the recipient.
No-Cost Extension	A limited period of time beyond the end of the project period, needed to complete project activities.
Change in Scope	A change in scope occurs when the recipient proposes to change the objectives, aims, or purposes identified in the approved application.

TYPES OF AMENDMENT REQUESTS THAT REQUIRE PRIOR APPROVAL

Non-Competing Continuation (**MFP Directed Supplement**)	**Continuations are generally not competitive awards, but are based on the recipient meeting the terms of the award and therefore receiving the next installment of federal funds as envisioned in the application budget and Notice of Grant Award. However, continuation awards are always contingent on availability of funds, so if the next year's budget cuts funds for the program, it may affect current grant recipients with they apply for their continuations.**
Change in status of **PI/PD and Key Personnel** or Change of grantee organization	**Prior approval is necessary if there is a replacement of or changes in the status of the principal investigator (PI) or project director (PD), the Authorized Organizational Representative (AOR), and changes of grantee organization.**

Completing the MFP Workbook

Projecting MFP Expenditures

- There are three (3) service categories associated with projecting expenditures for service costs
  - **Qualified Home and Community-Based Services (HCBS)** – States' MFP-enhanced FMAP Rate
  - **Demonstration HCBS Services** – States' MFP-enhanced FMAP Rate
  - **Supplemental Services** – 100% Federally Funded
- MFP Budget Workbook contains a listing (blue tab) with each state's FMAP rates by year
- The Worksheet For Proposed Budget (WFPB) and WFPB Instructions, also a blue tab, are available for instruction and completion.

Projecting MFP Expenditures

- WFPB Instructions tab outlines specific directions for completing the proper FMAP rate by quarter for each year.
- WFPB CY 2007 – 2015 and CY 2016 – 2025 must be completed.
  - For **CY2007 to 2022**, please complete the ‘Population Transitions Chart’ with actual figures for each active year in MFP program.
  - For **CY2023**, please enter projected future transitions.
  - Total Expenditures will auto populate when actual and projected expenditures for each calendar year.

MFP Required Reports

- MFP recipients **must report** on each type of service cost and plans for implementation. The following forms allow recipients to report accurately.
- **MFP Financial Reports** include:
  - MFP Budget Workbook
  - Semi-Annual Federal Financial Report (FFR 425)
  - Maintenance of Effort (MOE) form
  - Travel Log
  - Negotiated Indirect Cost Rate Agreement (or State Cost Allocation Plan)
  - Attachment X – Conference participation form
- **SF-LLL** (Lobbying Form) is available online with the annual application (preferred method) or can be downloaded from Grants.gov and uploaded to the application or notes section in GrantSolutions.

MFP Financial Reporting

Section 48 of the MFP Program Terms and Conditions states: **General Financial Reporting Requirements**. The Recipient will comply with all general financial reporting requirements as stated in the "FINANCIAL REPORTING" section of the Standard Program Terms and Conditions. In addition to the **Federal Financial Report** (SF-425) (see a.), the Recipient will be required to submit the following programmatic financial reports:

- **Maintenance of Effort (MOE) Form** –Annual Submission. This form captures all LTSS expenditures (both HCBS and institutional) annually to ensure that the Recipient has maintained its financial effort, taking into account all service costs, administrative costs, and rebalancing investments.
- This form is required to be signed by a duly authorized signatory of the state or recipient agency.

Calculating the Unobligated Balance (UOB)

- **Unobligated Balance** (UOB) are funds remaining at the end of a budget period. The final FFR must show cumulative expenditures under the award and any unobligated balance of federal funds and as appropriate, all other parts of the form must be completed.
  - The UOB includes Capacity Building (CB) award funds received by any participating MFP recipient.
  - To properly calculate the UOB for the annual supplement, the total CB unobligated balance must be properly calculated. This amount is deducted from the total UOB reported on the SF-425 for period ending 12/31 to determine the amount to offset each year.
  - If an MFP recipient has not received an CB award, the total amount offset will be the UOB reported on the SF-425 for period ending 12/31.

THANK YOU

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Money Follows the Person

Data Learning Collaborative Highlights

Susan Williams, Mathematica

MFP Intensive

August 28, 2023

Agenda

- Recap of the Data Learning Collaborative (DLC) Sessions
- DLC Reflections

Recap of the DLC Sessions

Purpose: A learning collaborative to support MFP technical assistance and data needs related to:

- Building MFP program capacity for improving data quality
- Advancing Home and Community-Based Services (HCBS) quality measurement

Invitees: All MFP Project Directors, quality managers, and data and quality analysts

Timespan: June 2022 – August 2023 (6 sessions)

Recap of the DLC Sessions (cont.)

Date	Session Topic
June 30, 2022	Orientation, Logistics, and Community-Building
August 25, 2022	Strengthening MFP Data Collection and Quality
October 27, 2022	Using Data to Measure and Improve MFP Program Performance
March 22, 2023	Building MFP Staff Capacity for using Data to Measure and Improve Program Performance
May 25, 2023	Telling the Story: Using Data to Share MFP Program Successes and Challenges
August 3, 2023	DLC Experience Presentations and Wrap Up

DLC Reflections

DLC participants enjoyed sessions that included:

- Peer-to-peer learning
- State presentations
- Presentations from subject-matter experts

DLC participants want more support related to the:

- CMS HCBS Quality Measure Set
- MFP data and quality analyst position

DLC Reflections (cont.)

- DLC session materials are available on Moodle here:

  https://mathematica-mpr.remote-learner.net/

- Future opportunities for technical assistance:
  - Continuing to assess ongoing needs
  - Data and quality analyst peer group (*in development*)

Questions or Comments?

Money Follows the Person

Work Plan and Semi-Annual Progress Report Updates

Christine Fulton, Mathematica

MFP Intensive

August 28, 2023

MFP Reporting Requirements

Operational Protocol

- *Developed initially, amended at least every 3 years*

Work Plan

- *Developed initially, amended annually*

Semi-Annual Progress Reports

- *Submitted 2x year*

T-MSIS Reporting

- *Submitted monthly*

Financial Reporting

- ABCD forms
- Supplemental Budget Request Information
- CMS 64 forms
- Federal Financial Report (SF-425)
- Maintenance or Effort form

Background on Work Plan

- **Purpose**: Describes “what” each project plans to do to advance the state’s MFP Demonstration and increase the use of Medicaid home and community-based services (HCBS) rather than institutional long-term care services
- **Frequency**: Developed at the demonstration’s start; amended annually, or as needed
  - to reflect significant changes in a state initiative, its funding sources, or sustainability and
  - to reflect changes in transition benchmarks
- **Submission method:** Web-based platform integrated with the semi-annual progress report (SAR)

Background on Semi-Annual Progress Report

- **Purpose:** Monitors progress on MFP program implementation and rebalancing efforts; identifies challenges and improvement opportunities
- **Includes:** Reporting on MFP recruitment, enrollment, and transition data, progress on state-specific initiatives described in the Work Plan, changes in program administration, and additional achievements
- **Frequency:** Twice a year, within 60 days following the end of each second and fourth calendar year quarter

Crosswalk of State-Specific Initiative Reporting in the WP and SAR

Work Plan

Initiative Description

- Name
- Description
- Populations served
- Start & end date

Evaluation Plan

- Objectives with performance measures
- Targets & milestones
- Strategies to meet targets

Semi-Annual Progress Report

Automatically populates information for initiatives with start & end dates during reporting period

Report on:

- Performance measures for each objective
- Progress towards milestones
- Challenges impacting objectives

Crosswalk of State-Specific Initiative Reporting in the WP and SAR (cont'd)

Work Plan

Funding Sources

- Quarterly projected expenditures by funding source

Close-Out

- Indicate plans to complete initiative or sustain initiative with alternative funding sources

Semi-Annual Progress Report

Report on:

- Quarterly expenditures by funding source
- Unspent funds

Report on:

- Objectives met; WP changes; sustainability plans; expenditures.

Introduction to the Medicaid Data Collection Tool

What can I expect?

What is Medicaid Data Collection Tool (MDCT)?

- **MDCT** is a **web-based platform** that caters to the **data-gathering needs** for applications like MFP for groups across CMCS
- Allows users from **states and territories** to access the web application to **report their data in a web-based form**

How will I access it for MFP reporting?

- Create an **IDM account**
  - This is not the same as your EUA account
  - Skip this step if you already have an IDM account
- Request ‘**MDCT MFP State User**’ role
  - Specify the state that you work for
- Once approved, you will have **view/edit** role to the MFP reports for your state

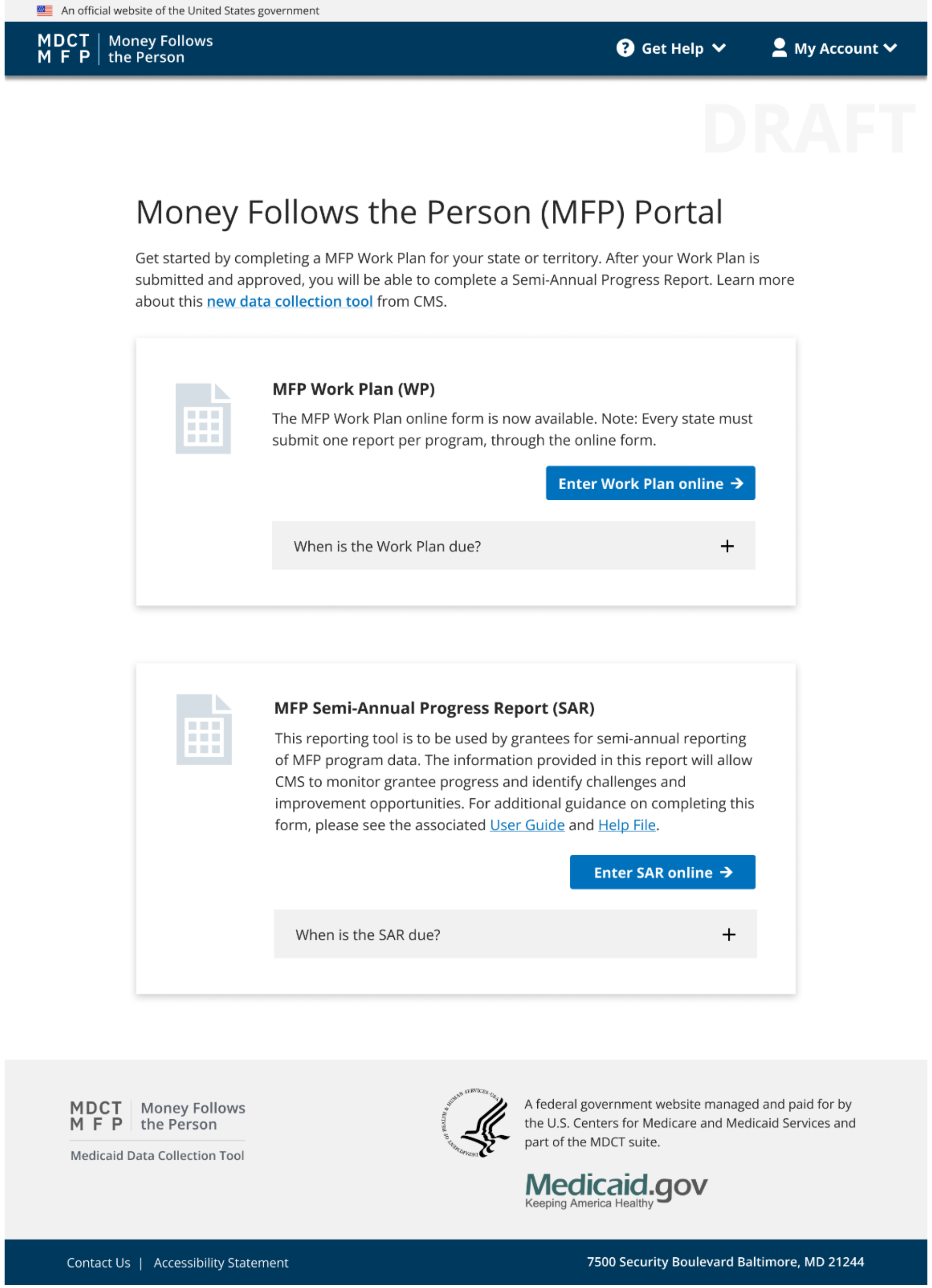
****A User Guide will be provided before we go live****

What can I expect?

- Dashboards for state users to view reports
- In-report completion status tracking
- Granular role-based access
- Auto-save functionality
- Standard suite of input components with inline and report validations
- PDF export

Preview of MDCT Prototype

Landing Page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Money Follows the Person (MFP) Portal

Get started by completing a MFP Work Plan for your state or territory. After your Work Plan is submitted and approved, you will be able to complete a Semi-Annual Progress Report. Learn more about this new data collection tool from CMS.

MFP Work Plan (WP)

The MFP Work Plan online form is now available. Note: Every state must submit one report per program, through the online form.

Enter Work Plan online →
When is the Work Plan due? +

MFP Semi-Annual Progress Report (SAR)

This reporting tool is to be used by grantees for semi-annual reporting of MFP program data. The information provided in this report will allow CMS to monitor grantee progress and identify challenges and improvement opportunities. For additional guidance on completing this form, please see the associated User Guide and Help File.

Enter SAR online →
When is the SAR due? +
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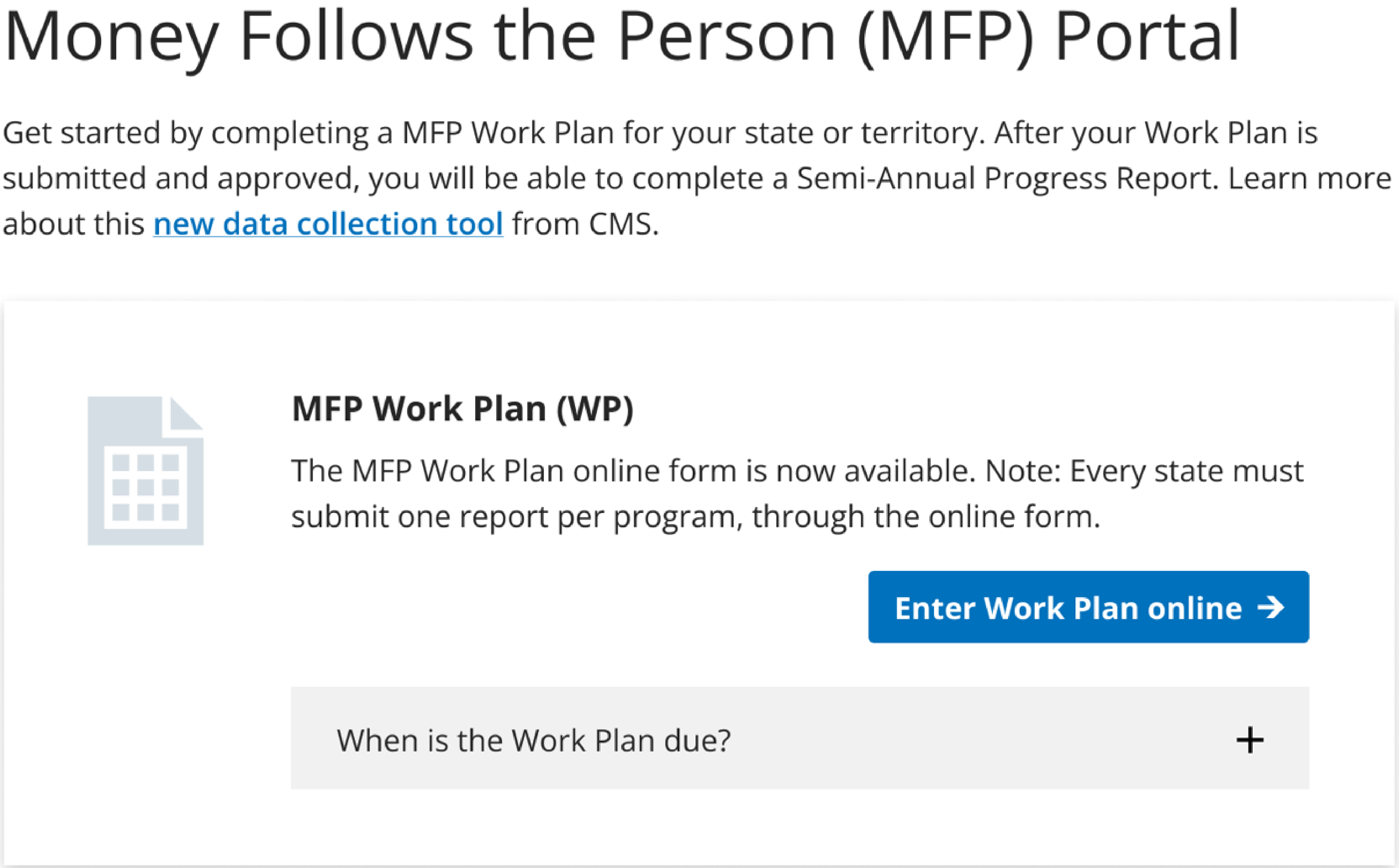
Landing Page (cont.)



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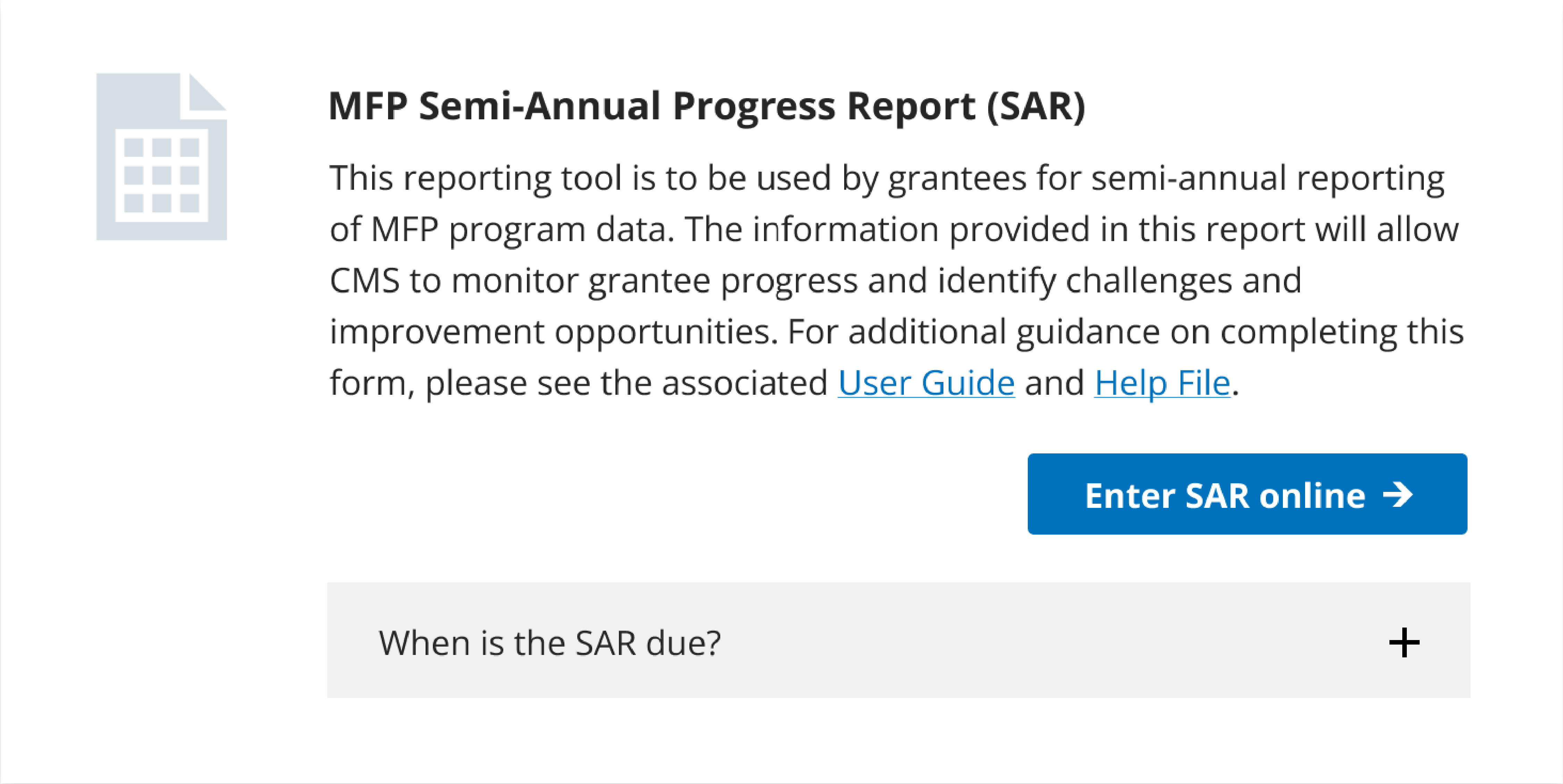

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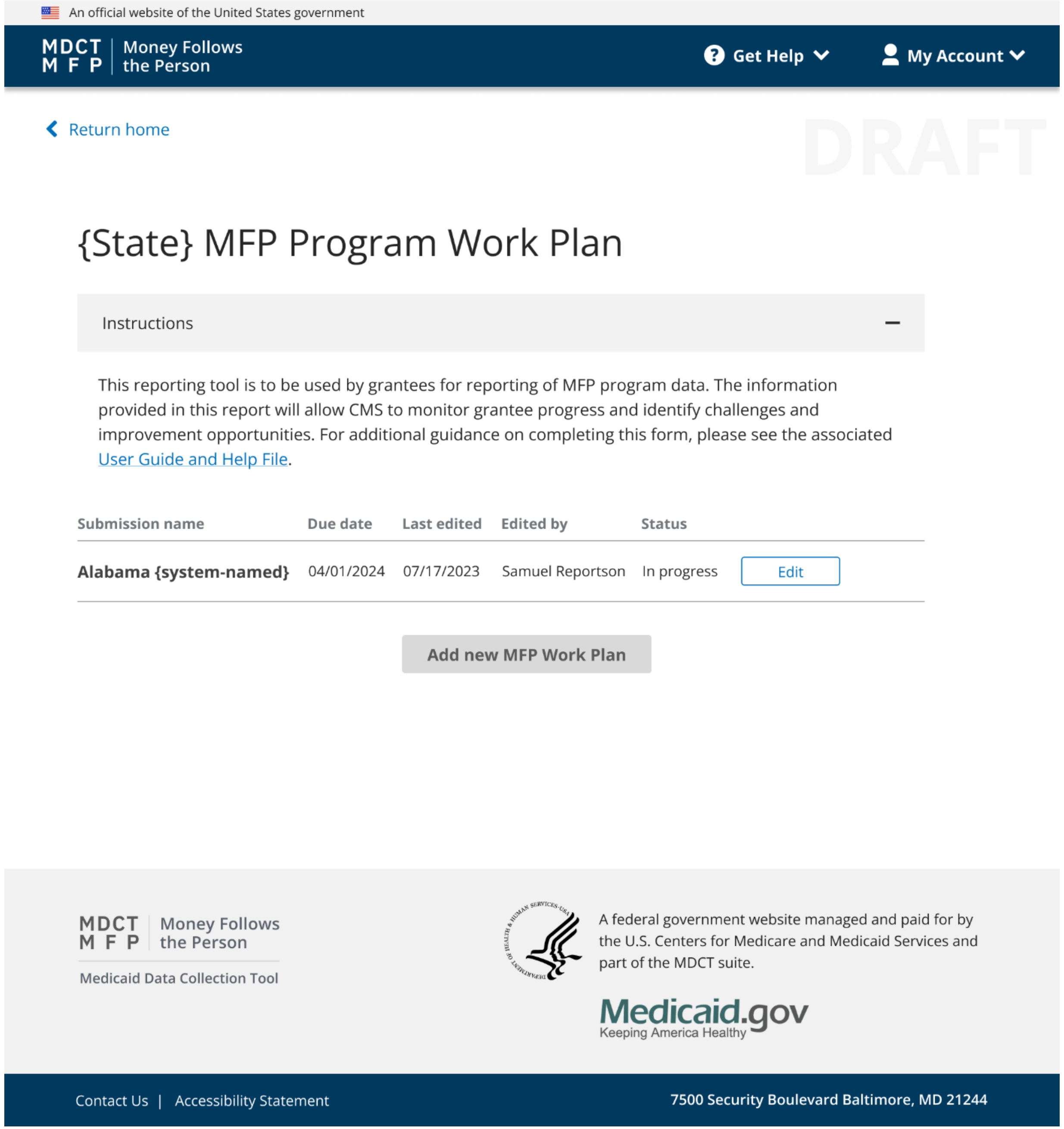
When is the SAR due? +

Dashboard View



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{State} MFP Program Work Plan

Instructions

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Submission name	Due date	Last edited	Edited by	Status	
Alabama {system-named}	04/01/2024	07/17/2023	Samuel Reportson	In progress	Edit

Add new MFP Work Plan
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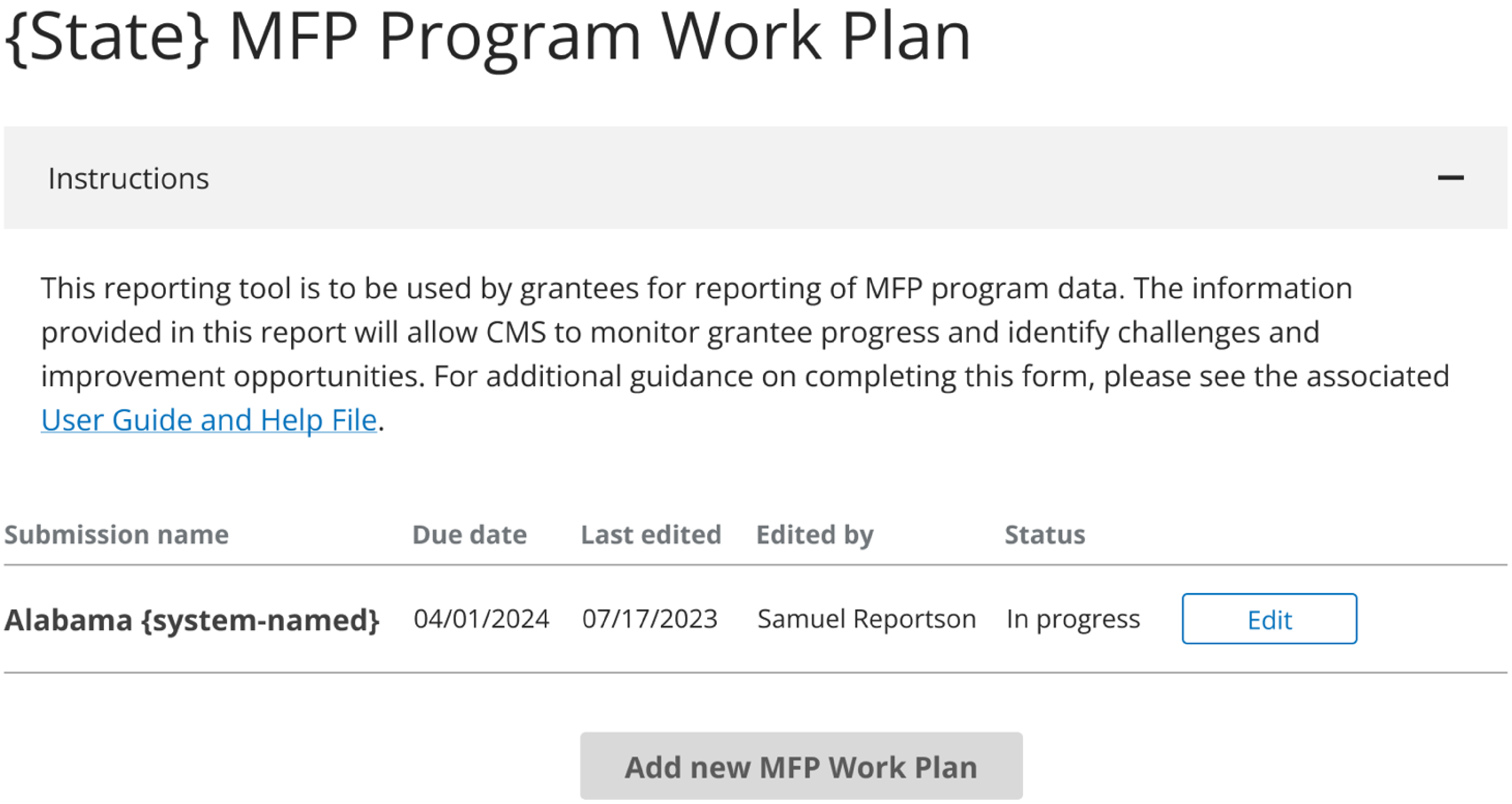
Dashboard View (cont.)



{State} MFP Program Work Plan

Instructions

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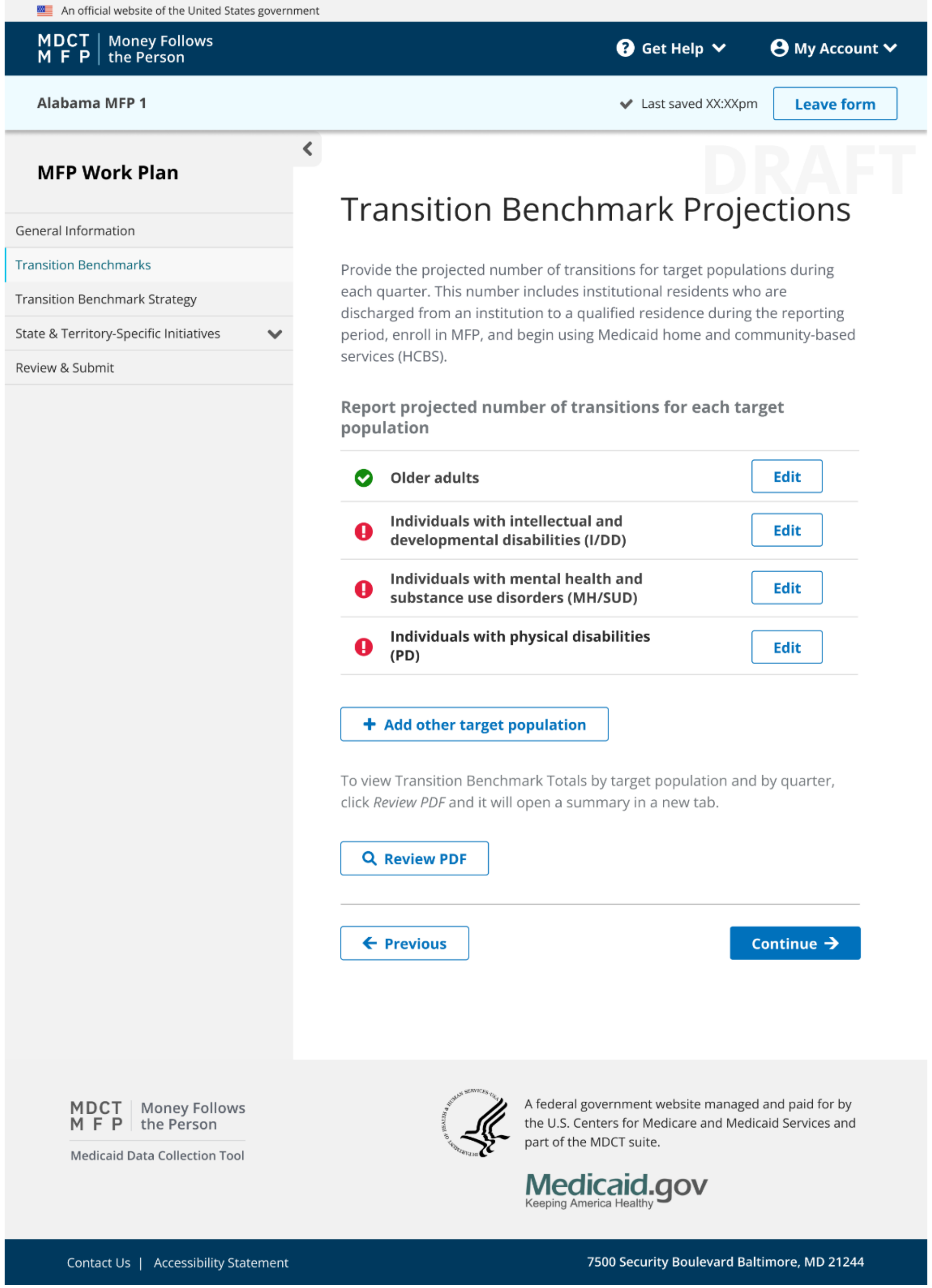
Transition Benchmark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Leave form
MFP Work Plan
General Information
Transition Benchmarks
Transition Benchmark Strategy
State & Territory-Specific Initiatives
Review & Submit
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Transition Benchmark Projections

Provide the projected number of transitions for target populations during each quarter. This number includes institutional residents who are discharged from an institution to a qualified residence during the reporting period, enroll in MFP, and begin using Medicaid home and community-based services (HCBS).

Report projected number of transitions for each target population

✓	**Older adults**	Edit
!	**Individuals with intellectual and developmental disabilities (I/DD)**	Edit
!	**Individuals with mental health and substance use disorders (MH/SUD)**	Edit
!	**Individuals with physical disabilities (PD)**	Edit

+ Add other target population

To view Transition Benchmark Totals by target population and by quarter, click *Review PDF* and it will open a summary in a new tab.

Review PDF
Previous
Continue
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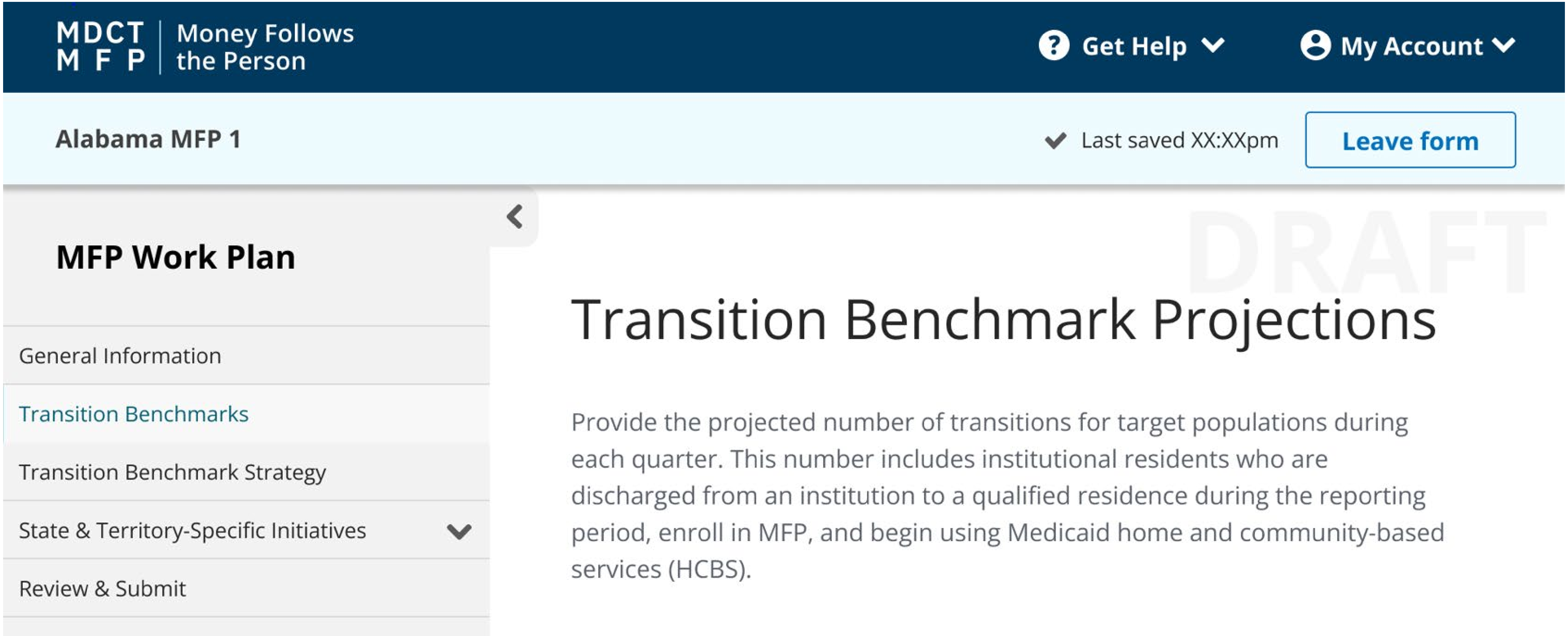
Transition Benchmark (cont.)



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MFP Work Plan

- General Information
- Transition Benchmarks
- Transition Benchmark Strategy
- State & Territory-Specific Initiatives
- Review & Submit

Transition Benchmark Projections

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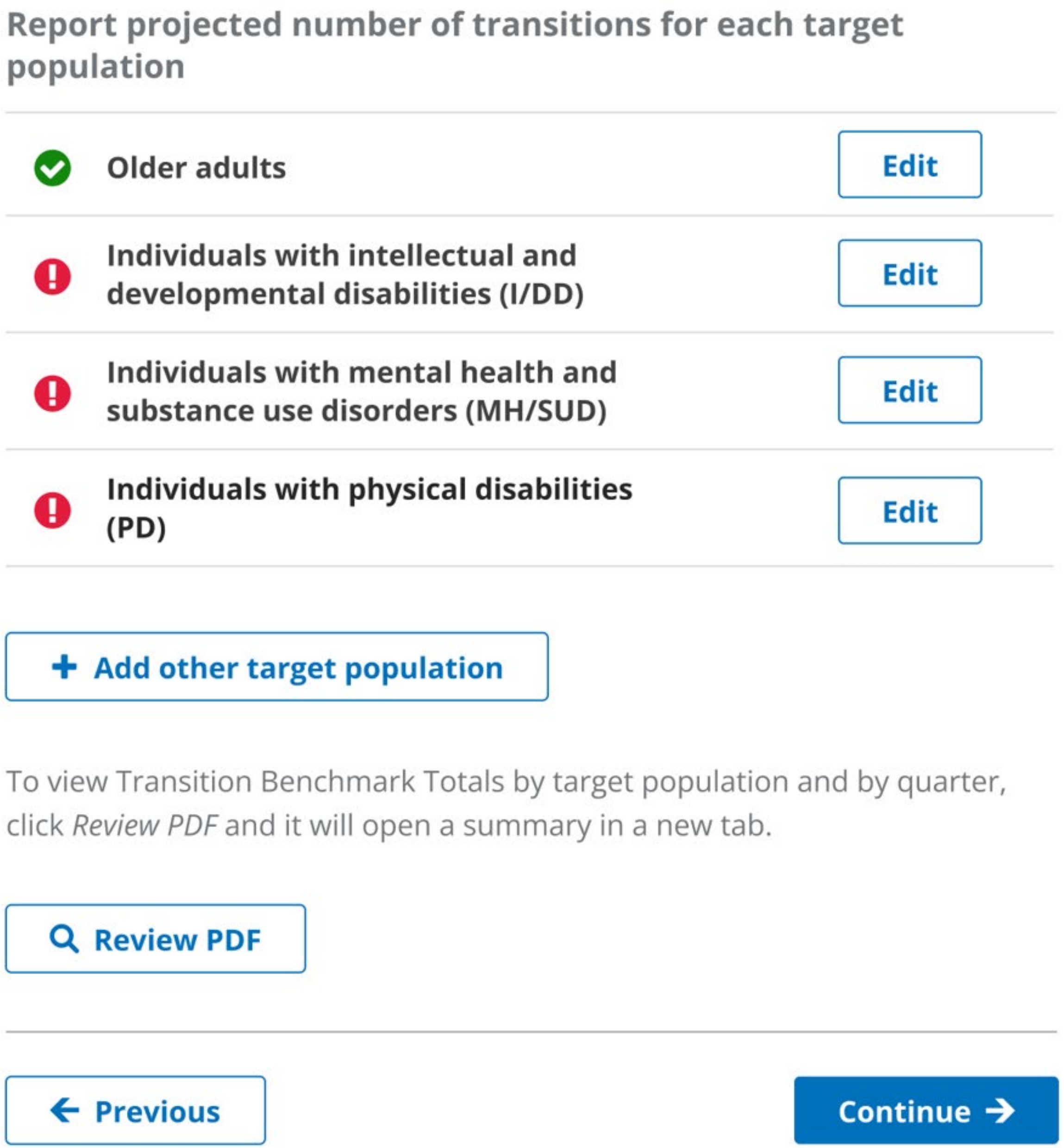

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+ Add other target population

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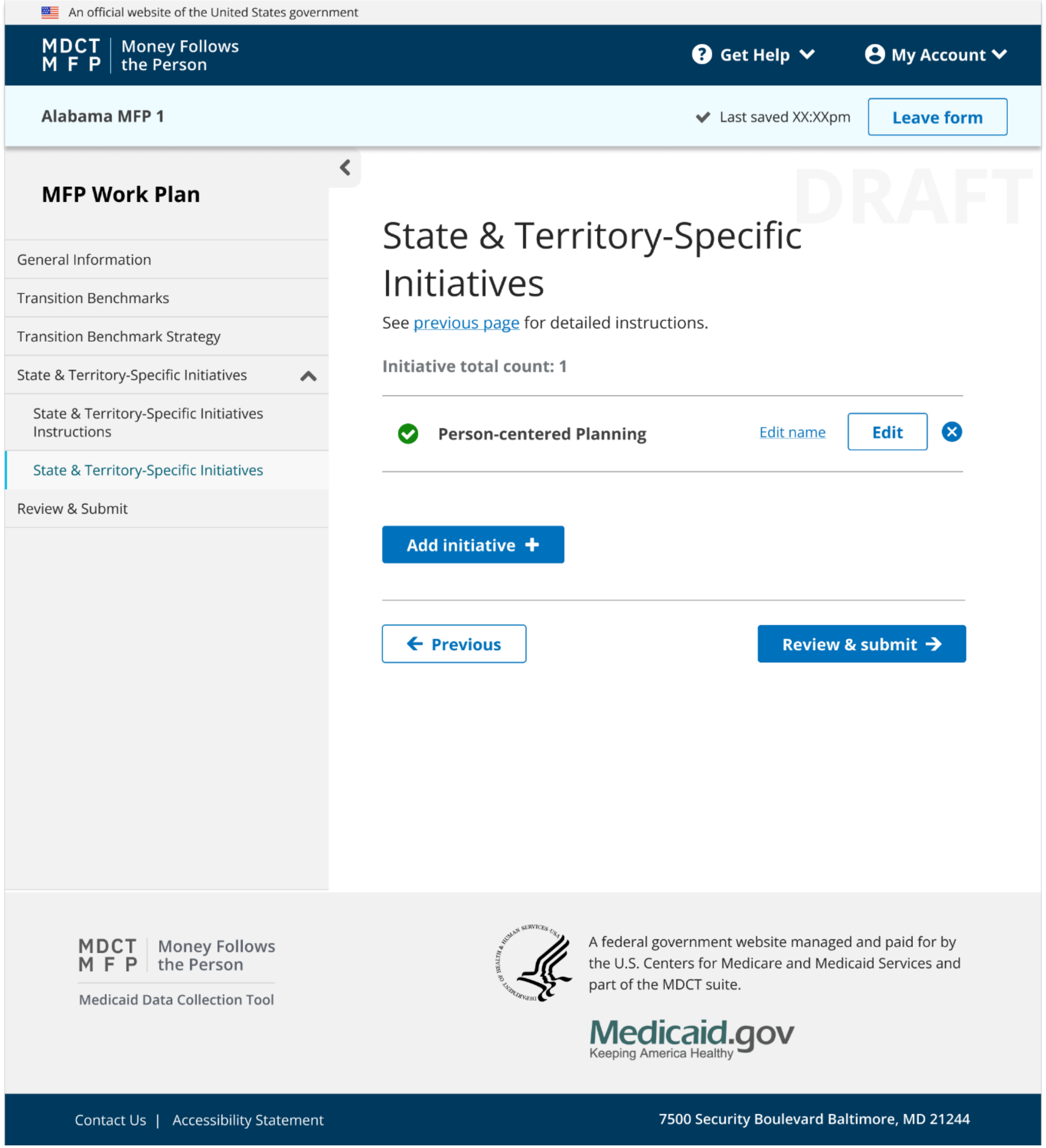
Review PDF
← Previous
Continue →

State and Territory-Specific Initiatives



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Alabama MFP 1

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Leave form

MFP Work Plan

- General Information
- Transition Benchmarks
- Transition Benchmark Strategy
- State & Territory-Specific Initiatives
  - State & Territory-Specific Initiatives Instructions
  - State & Territory-Specific Initiatives
- Review & Submit

DRAFT

State & Territory-Specific Initiatives

See previous page for detailed instructions.

Initiative total count: 1

✓ **Person-centered Planning** Edit name | Edit | ⊗

Add initiative +

← Previous | Review & submit →

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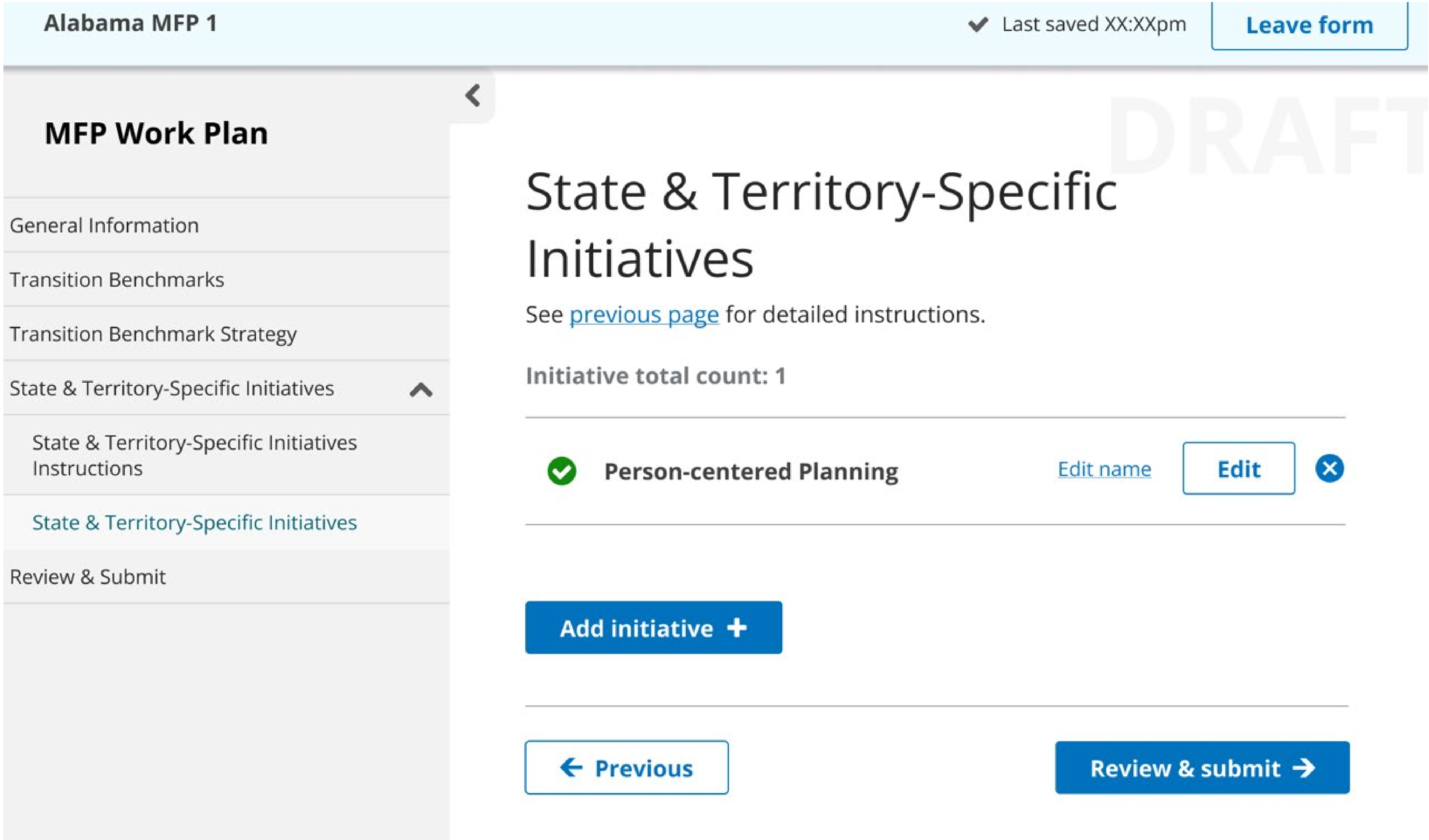
State and Territory-Specific Initiatives (cont.)



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Leave form

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MFP Work Plan

- General Information
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- State & Territory-Specific Initiatives
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  - State & Territory-Specific Initiatives
- Review & Submit

State & Territory-Specific Initiatives

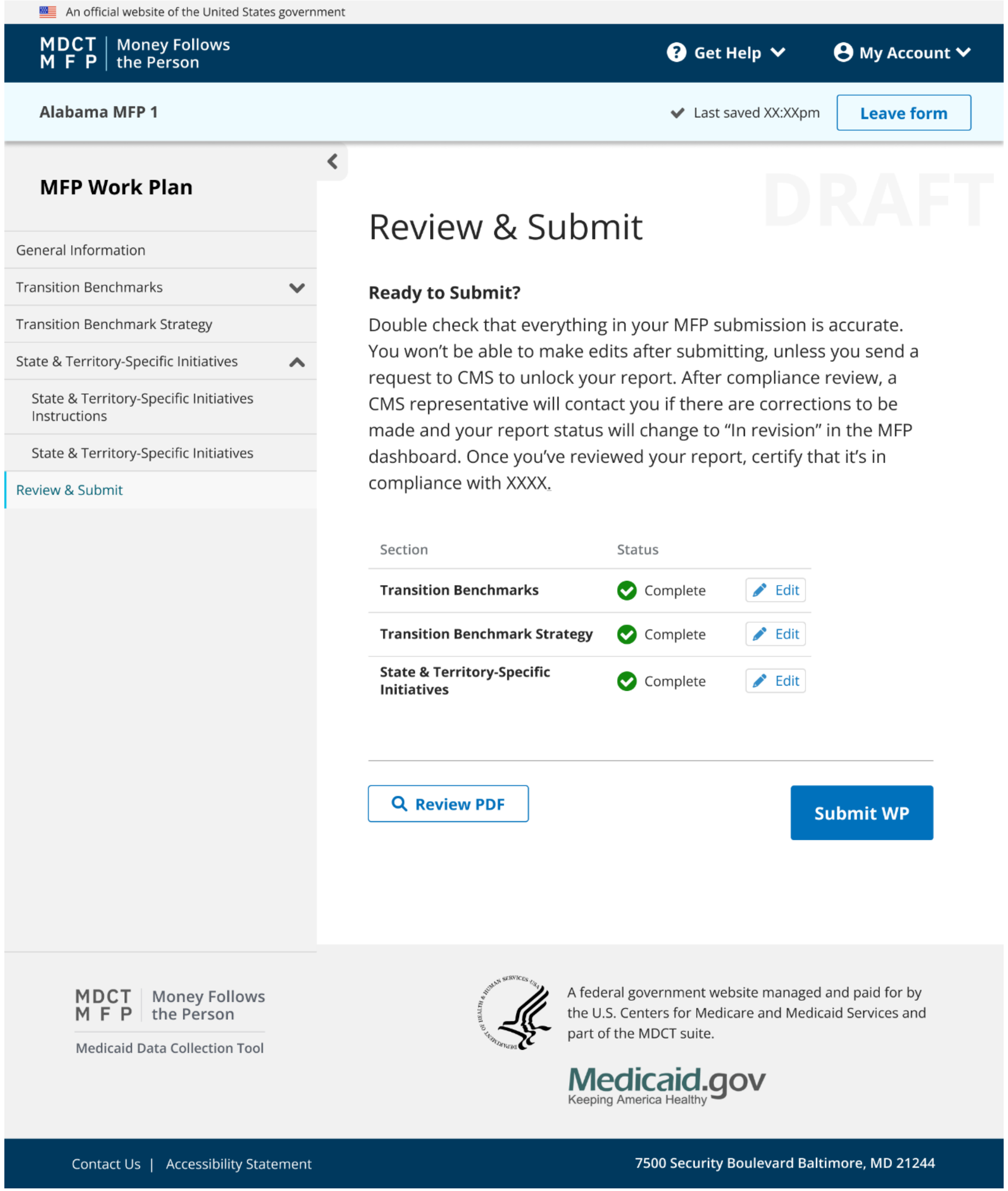
See previous page for detailed instructions.

Initiative total count: 1

✓ **Person-centered Planning**

Edit name
Edit
Add initiative +
← Previous
Review & submit →

Review and Submit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Review & Submit
DRAFT

Review & Submit

Ready to Submit?

Double check that everything in your MFP submission is accurate. You won't be able to make edits after submitting, unless you send a request to CMS to unlock your report. After compliance review, a CMS representative will contact you if there are corrections to be made and your report status will change to "In revision" in the MFP dashboard. Once you've reviewed your report, certify that it's in compliance with XXXX.

Section	Status	
Transition Benchmarks	✓ Complete	Edit
Transition Benchmark Strategy	✓ Complete	Edit
State & Territory-Specific Initiatives	✓ Complete	Edit

Review PDF
Submit WP
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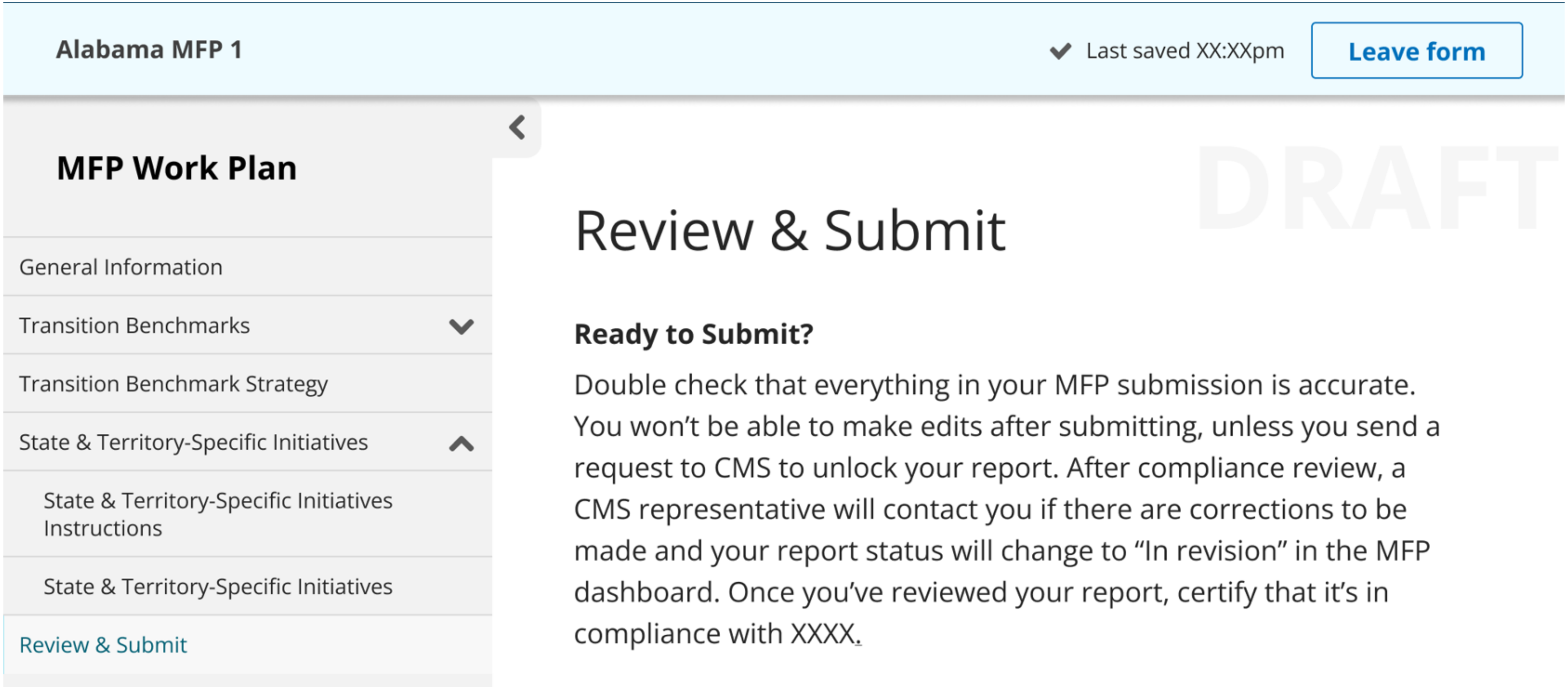

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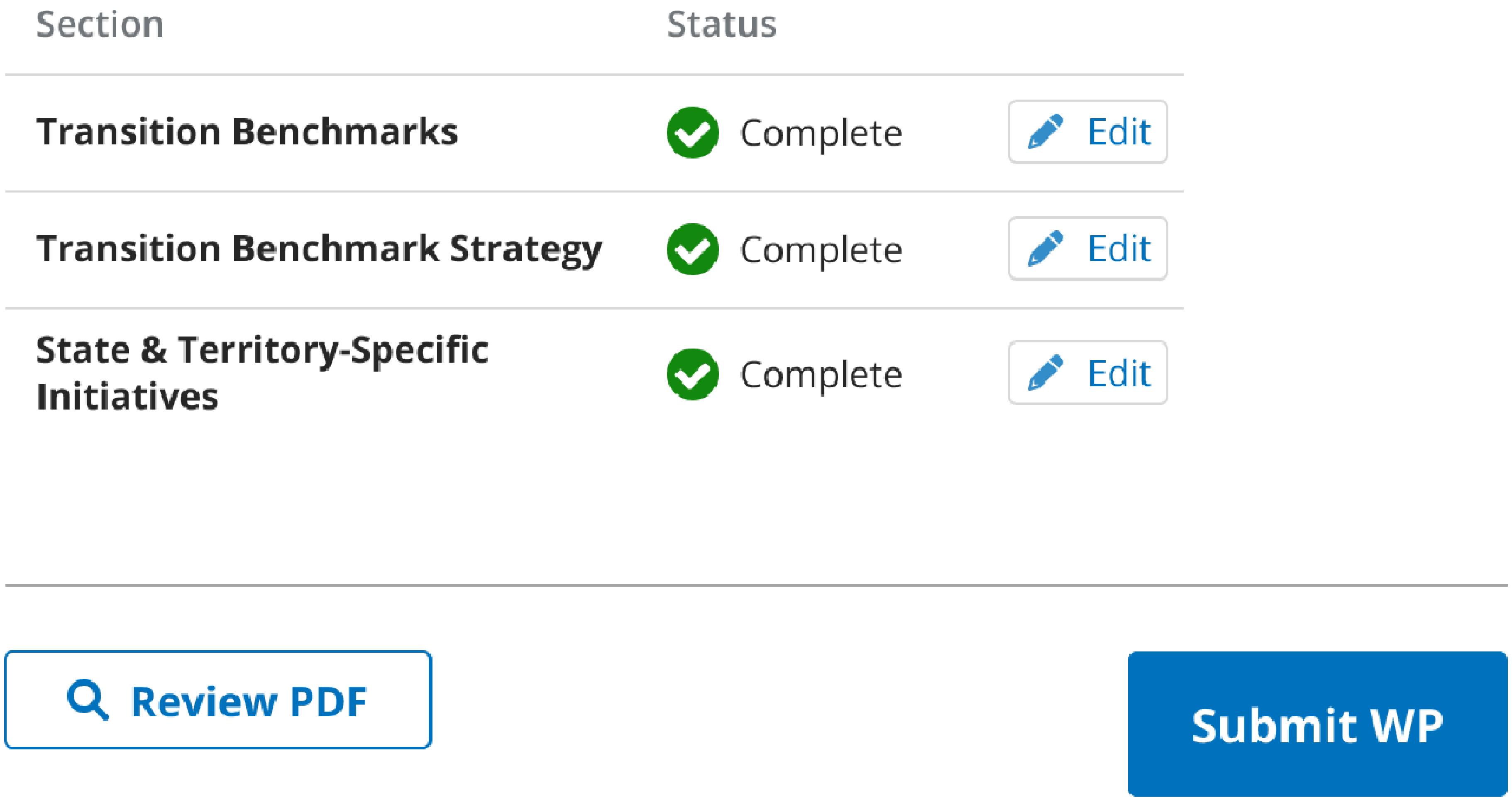
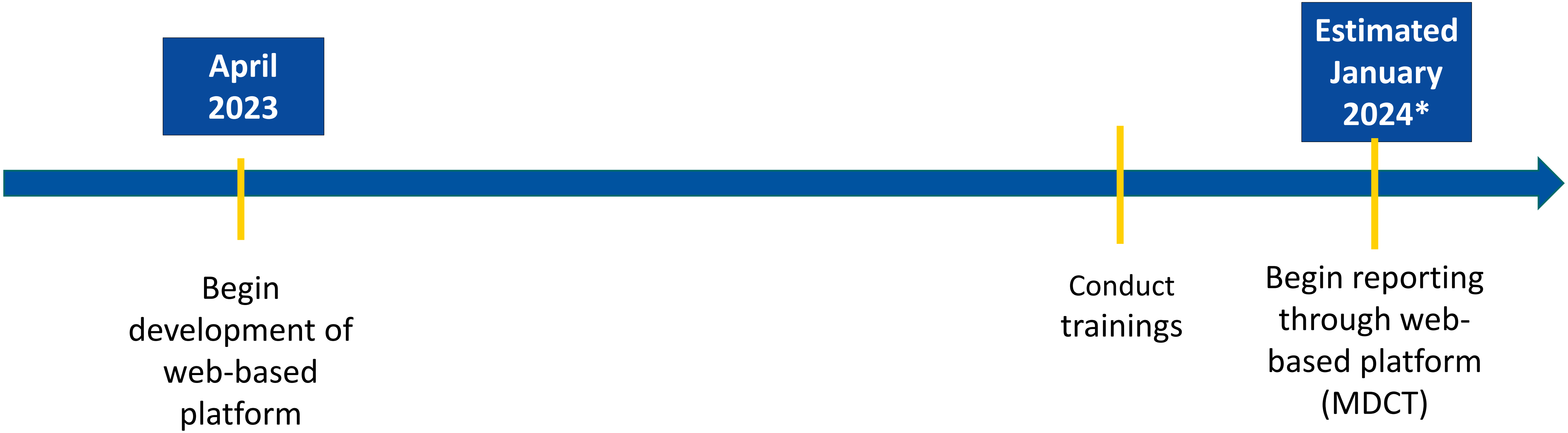


Section	Status	
Transition Benchmarks	✓ Complete	Edit
Transition Benchmark Strategy	✓ Complete	Edit
State & Territory-Specific Initiatives	✓ Complete	Edit

Review PDF
Submit WP

Timeline for the WP and SAR



April 2023

Begin development of web-based platform

Conduct trainings

Estimated January 2024*

Begin reporting through web-based platform (MDCT)

*Dependent on the CMS PRA approval process

Questions or Comments?

Money Follows the Person (MFP)

Operational Protocol (OP) Template Pilot

Cassidy Kantoris, Mathematica

Agenda

- Background Information
  - MFP reporting requirements
  - What is the MFP Operational Protocol (OP)?
  - Why did CMS develop a new OP template?
- OP Template Pilot Objectives and Process
- Panel Discussion

MFP Reporting Requirements

Operational Protocol

- *Developed initially, amended at least every 3 years*

Work Plan

- *Developed initially, amended annually*

Semi-Annual Progress Reports

- *Submitted 2x year*

T-MSIS Reporting

- *Submitted monthly*

Financial Reporting

- ABCD forms
- Supplemental Budget Request Information
- CMS 64 forms
- Federal Financial Report (SF-425)
- Maintenance or Effort form

OP Background

- Purpose of the OP
  - Describes the structure and process for state/territory implementation of the MFP Demonstration
  - Agreement to comply with statutory elements
  - Articulates program goals
- Frequency of updates
  - Amended to reflect significant operational changes
    - Such as adding an MFP target population, implementing new supplemental services, or changes in MFP program leadership
  - At a minimum, amended once every 3 years

OP Background (cont.)

- CMS contracted with Mathematica to develop an OP template
  - Goals
    - Standardize the OP format and content
    - Reduce complexity by simplifying and streamlining the OPs
    - Add new components to comply with statutory requirements and capture important concepts
    - Align OPs with MFP data collection and reporting
  - Bottom line: More usable OPs that reduce burden on states/territories and CMS

OP Template Pilot Objectives

- Six states participated in the OP template pilot between June-August 2023
- Twofold purpose:
  - To inform future technical assistance (TA) after template rollout to all MFP recipients
  - For pilot participants to share experiences during the MFP Intensive

OP Template Pilot Process

- Each state piloted six sections of the new OP template, including:
  1. Transition and Housing Services
  2. Reporting
  3. Quality Measurement, Assurance, and Monitoring
  4. Three sections of choice
- States attended regular check-ins focused on specific sections
  - Included opportunities to ask questions and share feedback

Panelists

- Cassidy Kantoris, Mathematica
- Cynthia Mester, Illinois
- Leigh Smith, Kansas
- Alicia Swihart, Maine
- Karri Henager, New Hampshire
- Kayla Trzpuc, North Dakota
- Anna Lea Cothron, Tennessee

Panel Discussion

- Reflect on the OP sections your state/territory completed for the pilot. What should MFP recipients expect from the new OP template, in terms of functionality and level of effort?
- How did your state or territory approach completing sections of the OP template? (e.g., organization, staff involvement, stakeholder involvement)
- For MFP expansion recipients, how could the OP template be used as a tool to help plan your program?
- For legacy MFP recipients, how did the template improve the process of completing your OP?
- What is one best practice you would recommend to other states/territories completing the OP?
- What is one potential challenge states/territories may face in completing the OP? How would you suggest overcoming this challenge?

Audience Q&A