

2020 Indiana Civil Money Penalty State Plan

Introduction

This plan describes how Indiana will use Civil Money Penalty Funds for the 2020 calendar year. Questions about this plan should be directed to the point of contact listed below.

Abbreviations

CMP – Civil Money Penalty
CMS – Centers for Medicare & Medicaid Services
CY – Calendar Year
FTE – Full Time Equivalent
ISDH – Indiana State Department of Health
LTC – Long Term Care
QAPI – Quality Assurance and Performance Improvement
RFP – Request for Proposals

1. Timeline

Plan Start Date: January 1, 2020
Plan End Date: December 31, 2020
Date of Submission to CMS: October 31, 2019

2. State Points of Contact

| <i>Primary Point of Contact</i> | <i>Secondary Point of Contact</i> |
|---|--|
| <p>Nancy Adams Director of Quality Improvement Projects Indiana State Department of Health</p> <p>2 North Meridian Street Selig 4 Indianapolis, IN 46204</p> <p>(317) 233-7119 nadams1@isdh.in.gov</p> | <p>Burton Garten Director of Program Development Indiana State Department of Health</p> <p>2 North Meridian Street Selig 4 Indianapolis, IN 46204</p> <p>(317) 233-7948 bgarten@isdh.in.gov</p> |

3. Current CMP Balance

The state's projected CMP funds balance as of January 1, 2020 is \$13,340,000.

4. CMPs Returned to the State

The amount of CMP funds returned to the State in 2019 was approximately \$2,900,000.

5. Emergency Reserve Fund Plan

For the planned calendar year, the state will reserve a portion of CMP funds for emergency situations such as relocation of residents during a closure. This amount will be the minimum of \$1,000,000.

We plan to reserve \$1,000,000 for emergency relocation of residents due to the possibility of natural disasters or facility closures. We have approximately 537 Medicare and Medicaid certified facilities. Tornadoes and floods frequently occur in this state sometimes damaging facilities or causing relocation of residents. In the past ten years we have had no requests for use of CMP funds for emergency relocation of residents, but as severe weather becomes more common these needs may occur.

6. Annual Administrative Use

Indiana estimates \$113,700 of CMP funds will be used for administrative use during the calendar year 2020. These funds will cover the salary and benefits for four staff, one staff member (0.67 FTE), one (.35 FTE), and two (0.05 FTE). The two staff spending the most time on CMP matters will be writing CMP grant opportunities, evaluating CMP grant proposals, managing contracts with grantees, planning and developing future CMP project ideas and providing education about CMP Project requirements. Time will also be spent monitoring about 6 projects currently approved, and possibly 10 to 12 projects not yet approved, to see that CMP funds are being used appropriately in each project. The two 0.05 FTEs will provide administrative support, data tracking, and website maintenance.

7. Obligated Funds Plan

The Projects listed are approved by CMS for use of CMP funds during CY 2019.

| Project Title | Amount Obligated CY 2020 | Contract Start/End Dates | Recipient of Funds |
|--|-----------------------------|--------------------------|-----------------------------------|
| Advanced Care Conversations End of Life, Quality of Life | \$44,000 | 10/1/2017 – 9/30/2020 | University of Southern Indiana |
| Emergency Preparedness Training | \$115,000 | 9/1/2018 – 6/30/2020 | University of Indianapolis |
| Dementia Competent Workforce | \$441,000 | 9/1/2018 – 8/30/2021 | University of Southern Indiana |
| Infection Prevention in LTC | \$213,000 | 10/1/2018 – 9/30/2021 | University of Indianapolis |

| | | | |
|---------------------------------------|-----------|----------------------|-----------------------------|
| Abuse and Neglect Prevention Training | \$190,000 | 11/1/2018–10/31/2021 | University of Indianapolis |
| Healthcare Leadership Conferences | \$397,025 | 7/1/2019 -12/31/2021 | Travel Leaders Indianapolis |

The total amount of obligated CMP funds for continuing and/or new projects planned for CY 2020 is estimated to be \$1,400,025.

7a. Unobligated and Unapproved Projects Planned for CY 2020

| Proposed Project for CY 2020 | Amount only for CY 2020 | Length of Project | Approval Status |
|--|-------------------------|-------------------|-----------------|
| Advanced Care Planning Cultural Integration | \$443,334 | 3 year | Unapproved |
| Sepsis Awareness, Detection and Education | \$180,000 | 3 year | Unapproved |
| Antimicrobial Stewardship for “At Risk” nursing homes | \$350,100 | 3 year | Unapproved |
| Statewide Learning Communities of Practice | \$243,334 | 3 year | Unapproved |
| Mobility and Falls | \$413,334 | 3 year | Unapproved |
| Certified Nurse Aides Statewide Educational Conference | \$21,525 | 1 year | Unapproved |
| Memory Cafes | \$65,334 | 30 months | Unapproved |
| Reduction of Falls | \$413,334 | 3 year | Unapproved |
| Music and Movement | \$61,000 | 28 months | Unapproved |
| Reducing Falls through Artificial Intelligence | \$400,000 | 3 year | Unapproved |
| Certified Nurse Aide recruiting and training | \$458,334 | 3 year | Unapproved |
| Improving Engagement and Patient Centered Care | \$152,334 | 3 year | Unapproved |

When approved, the above projects would obligate another \$3,201,963 for CY 2020.

8. Available Funds

The state’s available funds (as of January 1, 2020) for new CMP projects is \$10,826,275.

9. Plan Summary Chart

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|----|---|--------------|
| 1. | Estimated CMP funds balance as of January 1, 2020 | \$13,340,000 |
|----|---|--------------|

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|----|---|--------------|
| 2. | Amount of emergency CMP funds held in reserve for CY 2020 | \$1,000,000 |
| 3. | Projected administrative use for CY 2020 | \$113,700 |
| 4. | Total obligated CMP funds for continuing and/or new projects planned and approved for CY 2020 | \$1,400,025 |
| 5. | Available funds for CMP projects in CY 2020 | \$10,826,275 |

10. Public Posting of Funded CMP Projects

On an annual basis (at a minimum), Indiana will post the following information about each project funded to the Indiana State Department of Health website on the Indiana Nursing Home Civil Money Penalty (CMP) Project Center. The page can be found at:

<https://www.in.gov/isdh/26655.htm>. The information available will include:

- a. Project title
- b. Project summary, purpose and goals
- c. Project duration
- d. Dollar amount awarded each project
- e. Awardee name
- f. Project results (e.g., outcome measures, outcomes and lessons learned)

11. Solicitation Methods

Indiana will solicit CMP projects that benefit nursing home resident with goals of improving quality of life, quality of care and quality of place. CMP project selection criteria will focus on current trends or patterns identified by ISDH Consumer Services and Health Care Regulation Commission staff. This includes concerns or issues identified by facility needs assessment, survey deficiencies, regulatory changes, ombudsman concerns, provider organizations or other stakeholder identified issues. The target audience for solicitation will include individuals or organizations that have experience and expertise in LTC and QAPI, education, availability of subject matter experts and healthcare resources, and successful experiences with grants / proposals.

The Director of Quality Improvement Projects and Director of Program Development will coordinate the selection, management and oversight of the CMP projects. This will include the identification of project topics, application process, review and selection of projects, submission of projects for CMS approval, and project permissible uses and prohibition. Oversight of current projects includes the assurance that goals, deliverables, and expected outcomes are being met. Finally, assisting with identifying solutions to challenges or problems that arise during the project course.

For CMP funded projects, there are two processes that may be used. First, the ISDH may fund projects through a grant process. Second, the ISDH may fund projects through the state contract process. In either process, the ISDH issues either a Request for Grant Applications (grant) or a Request for Proposals (contract).

The following is a general description of the process for funding of CMP projects:

1. The Commission issues a request for proposals on projects that will benefit the quality of care or quality of life of nursing home residents.
2. If the project is to be a grant the ISDH will post the CMP Reinvestment Application. This form will be completed by grant applicants.
If the project is to be a contract, the ISDH will release a Request for Proposals through the Department of Administration web site.
3. After the deadline for applications / proposals, the ISDH reviews and selects projects for funding. The selection is based on an established scoring process.
4. CMS approval of projects is required. Once a project is selected, the ISDH submits a project proposal to the CMS Region V Office for approval. By its policy and procedure, CMS has 45 days to review or request additional information.
5. Once CMS approves, the ISDH completes the state grant / contract process with the selected grantee/contractor.

12. Review Methods

CMP Proposal Review & Submission to CMS Process Timeframe

| Process Step | Responsible Person | Timeframe | Explanation |
|---|--|---|--|
| Project topic received for CMP fund usage | -Director of Quality Improvement Projects -Director of Program Development -*Other relevant staff | Determine Grant/ Proposal posting within 30 days | Topics include all that directly benefit the resident. |
| Post Grant / RFP | -Director of Quality Improvement Projects -Director of Program Development | Post for up to 90 days | Grants/ RFPs will be posted on the appropriate website |
| Review received grant proposal/ RFP(s) for CMS submission | -Director of Quality Improvement Projects -Director of Program Development - *Other relevant staff | Complete review & determine proposals for CMS submission within 60 days | Scoring based on a possible 100 points based on the these categories: a. Grantee Capabilities b. Project Description c. Outcomes and Measures d. Monitor and Evaluation e. Sustainability f. Benefit to Resident g. Stakeholders h. Budget |

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|---|---|---|---|
| Notification of results of review approve/deny | -Director of Quality Improvement Projects -Director of Program Development | Within 3 days of determination | Letter of approval / denial |
| Prepare grant/ RFP proposal for submission to CMS Region V | -Director of Quality Improvement Projects -Director of Program Development | After proposal review prepare for CMS submission within 30 days | Projects will be formatted to meet the CMS guidelines |
| Submit proposal(s) to CMS for approval / denial & respond to request for additional information | -Director of Quality Improvement Projects -Director of Program Development | CMS - approve / deny or additional information request within 45 days | Based on CMS – CMP RP policy |
| Notification to grantees/contractors of CMS approval / denial of proposal | -Director of Program Development -Director of Quality Improvement Projects | 3 days | Letter of approval and begin ISDH contract process/ letter of denial of project |
| Initiate ISDH contract process | Director of Program Development | 5 days | Scope of Work and budget finalized |
| Completion of contract | Director of Program Development | 30-45 days | Preparation of contract by ISDH and state signature process completed |
| Contract approval notification to grantees/contractors | -Director of Program Development -Director of Quality Improvement Projects | 3 days | Notification of executed contract |

*Other relevant staff is defined as current ISDH employees that have expertise related to the specific project subject matter. This expertise can be from education, specific knowledge, experience or competence.

13. Monitoring and Tracking Methods

To ensure that CMP monies are used appropriately by Indiana CMP Projects, ISDH Director of Program Development tracks project invoices, and receipts. No CMP funds will be paid without appropriate invoice and/or receipts and approval from the Director of Program Development.

Meetings either telephonically or in-person with CMP project directors are conducted as needed. In addition, semiannual reports are required to be submitted by the projects Directors. ISDH staff also periodically attend project meetings or events. The ISDH Director of Quality Improvement Projects participates in projects meetings and conference calls. In addition both ISDH directors, are active on project advisory committees and provide resources and guidance to project directors related to maintaining compliance with proposal content and CMS guidelines.

CMP administrative costs allowed by agreement with CMS are recorded throughout the year on a weekly or monthly basis. Indiana uses an electronic time and labor system for reporting time worked along with codes indicating the funding for the particular hours of

work. The number of hours spent on CMP work and the description of the work done is maintained on forms stored electronically. All ISDH staff that are eligible for CMP administrative funds are required to submit a monthly log designating date, amount of time, CMP project, and activity. These logs are submitted to Director of Program Development.

The outcomes of CMP projects are submitted by each grantee/contractor as part of semiannual, annual, and final project reports. Periodically the ISDH Directors may discuss measures and outcomes with project staff. Discussion may include the focus of sustainability of the projects. Often this refers to the project deliverables such as, toolkit or education modules that will be posted on the ISDH Healthcare Quality Resource Center.