

Department of Health & Human Services  
Centers for Medicare & Medicaid Services  
61 Forsyth Street, SW, Suite 4T20  
Atlanta, Georgia 30303-8909



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**IMPORTANT NOTICE – PLEASE READ CAREFULLY**  
**(Receipt of this Notice is Presumed to be August 26, 2016 -Date Notice E-mailed)**

August 26, 2016

Ruth M. Tappen, Ed.D., R.N., F.A.A.N  
Christine E. Lynn Eminent Scholar and Professor  
Florida Atlantic University  
777 Glades Road, Building NU84, Room 307  
Boca Raton, Florida 33431-0991

**Re: Request for State Use of CMP Funds**  
**Regional CMP Project**  
**Reducing Avoidable Hospitalizations Across the Continuum of Care**  
**CMP Fund Request Approved**

Dear Dr. Ruth Tappen:

The Florida Atlantic University (FAU) submitted an application to CMS seeking \$800,000.33 in civil money penalty (CMP) funds over a two-year period to assist Region IV states in reducing avoidable hospitalizations and to educate residents, family members, staff and community partners on best practices in reducing avoidable hospitalizations. This is a regional CMP request, and training would be provided in the participating states of Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina and Tennessee.

Congratulations, the CMP request has been reviewed and approved by the CMS Atlanta Regional Office in partnership Region IV State Survey Agencies, State Medicaid Agencies, the LTC Ombudsman, associated Culture Change organizations and Nursing Home Associations. **This letter constitutes your notice of approval for FAU to receive \$800,000.33 in Federal civil money penalty (CMP) funds.** The CMP allocations are for a two-year period. The reducing avoidable hospitalizations project can begin in each state upon completion of contracts to release funding to FAU. The reducing avoidable hospitalization project in South Carolina may begin after January 1, 2017. The reducing avoidable hospitalization project in Florida may commence thirty (30) days after execution of the contract with the state. The table below specifies the budget for each state.

<b>Region IV State</b>	<b>CMP Project Number</b>	<b>Total CMP Amount Over Two Years</b>
Alabama	2016-04-AL-FAU-0426	\$ 88,089.90
Florida	2016-04-FL-FAU-0426	\$119,255.10
Georgia	2016-04-GA-FAU-0426	\$115,094.90
Kentucky	2016-04-KY-FAU-0426	\$ 91,956.40
Mississippi	2016-04-MS-FAU-0426	\$ 86,714.90
North Carolina	2016-04-NC-FAU-0426	\$ 109,887.73
South Carolina	2016-04-SC-FAU-0426	\$ 85,600.60
Tennessee	2016-04-TN-FAU-0426	\$103,400.80
<b>Grand Total</b>		<b>\$800,000.33</b>

In accordance with S&C transmittal 12-13-NH, and based on review of the proposal, FAU will provide CMS:

- A modified Resident and Family Decision Guide, entitled, “Go to the Hospital or Stay Here?” The updated decision guide will incorporate the feedback provided to FAU by CMS federal and state partners. The amended decision guide shall be reviewed by the Region IV State Agency Directors and other clinicians before dissemination to any nursing home.
- The amended Resident and Family Decision Guide shall be piloted in seven of eight, Region IV states, i.e. AL, GA, KY, MS, NC, SC, and TN.
- Pilot facilities shall be diverse and represent nursing homes:
  - with less than 100 beds
  - nursing homes with 101 beds or more,
  - represent rural, suburban and urban nursing homes;
  - state owned, hospital based and free standing nursing homes, and
  - for profit, not-for-profit and state-owned facilities;
- Following the pilot, copies of the amended decision guide, “Go to the Hospital or Stay Here?” and related training materials shall be provided to nursing home residents, family members, administrators, admission coordinators, Medical Director’s, Directors of Nursing Services (DON) and other clinicians;
- Develop a video for nursing homes that explains the purpose of the decision guide in reducing avoidable hospitalizations. The video shall demonstrate through vignettes the use of the decision guide.
- Assure that videos developed can be uploaded from an electronic file onto a tablet or shown on closed circuit television for residents and family members;
- Assure that all materials edited or created for this project are available in downloadable electronic versions as well as print;
- Send a complete package of decision guides and training materials to every SNF, SNF/NF or NF facility in the eight states of Region IV;
- Upon request, provide the amended decision guide to certified nursing homes in other languages than English. Based on your project proposal, the decision guide will be available in Spanish, French, Chinese, Tagalog (Filipino) and Haitian Creole.

- Send a cover letter to participating nursing homes at the beginning of project explaining the project and seeking their help and participation. State Survey Agencies shall provide a quality j-peg of the state's logo within 15 days of receipt of this letter for FAU to incorporate into the nursing home letter announcing the project.
- Develop webinars and conduct workshops discussing best practices on how to reduce avoidable hospitalizations in the eight states that comprise Region IV. Invited attendees to the workshops shall include, but are not limited to, staff from state survey agencies, hospital associations, state nursing home associations, major nursing home corporations in each state, representatives from the QIOs, nurse practitioner and physician assistant associations, resident and family council representatives and up to 50 LTC Ombudsman in each state.
- FAU shall maintain records of team meetings, Advisory committee meetings and evaluative comments from stakeholders throughout the two-year project. A copy of Power Point presentations shall be provided to CMS.

Acceptance of the CMP funds requires FAU to submit quarterly reports and a final report summarizing best practices identified during the project. CMP funds shall be disbursed for Year #2 is contingent upon FAU submitting all reports.

Reporting on the CMP project is an important and integral aspect of receiving civil money penalty (CMP) funds from CMS. Reports should provide information on the specified deliverables and activities stated in the CMP proposal and addendum, along with any new findings, pitfalls, successes and updates arising from the dissemination of the resident and family decision guide and training on reducing avoidable hospitalizations. Quarterly reports should also address the effect of the decision guide on hospital transfers and any substantive findings resulting from using the Quality Improvement (QI) Review tool that will be completed on hospital transfers. The quarterly reports will help CMS to understand the impact of this project on the lives of Medicare beneficiaries and to learn from your organization's experience. FAU shall submit quarterly reports to the address listed below. The CMP request project number specific to each state shall be referenced in quarterly reports. Please address correspondence for CMS to:

Stephanie M. Davis, MS., RD  
Chief, LTC Certification & Enforcement Branch  
Centers for Medicare & Medicaid Services  
Sam Nunn Atlanta Federal Center  
61 Forsyth Street, Suite 4T20  
Atlanta, Georgia 30303-8909  
[Stephanie.Davis@cms.hhs.gov](mailto:Stephanie.Davis@cms.hhs.gov)

State use of civil money penalty fund requests are not subject to an appeal. CMP funds may only be utilized for nursing homes certified to participate in Medicare and/or Medicaid programs. This CMP request was made possible by the Centers for Medicare and Medicaid Services (CMS) in partnership with Region IV State Survey Agencies, State Medicaid Agencies, State Long Term Ombudsman, Culture Change Organizations and Nursing Home Associations.

If you have any questions regarding this matter, please contact Stephanie Davis, Chief, LTC Enforcement Branch at (404) 562-7471.

Sincerely,



Sandra M. Pace  
Associate Regional Administrator  
Division of Survey & Certification

Enclosures

cc: Stephanie M. Davis  
Dr. Rick Wild  
Dr. W.T Geary  
Bernard Hudson  
Polly Weaver  
Kimberly Smoak  
LaKeisha Porter  
Melanie Simon  
Sandra Houchen  
Michelle Mitchell  
Marilynn Winborne  
Gail Townsend  
Phyllis A. Caudill  
Cindy Deporter  
Becky Wertz  
Mary Jo Roue  
Porscha Rogers  
Vincent Davis  
Marsha Neuenschwander  
Carol Mace  
Becky Kurtz

PI Name: Ruth Tappen						
Sponsor: CMS						
Project Title: Dissemination of Resident and Family Decision Guide, Go to the Hospital or Stay Here?						
Project Period: 8/1/2016 - 7/31/2018						
TENNESSEE BUDGET				Year # 1	Year # 2	Cumulative Total
				08/01/2016 07/31/2017	08/01/2017 07/31/2018	
<b>PERSONNEL/SALARIES:</b>		of worksheet for details				
<b>A. Key Personnel</b>						
Name	Title / Project Role	% Effort	Cal. Mnths			
Ruth Tappen	Principal Investigator	25%		\$4,147.34	\$4,147.34	\$8,294.68
	Total Fringe Benefits @	31.0%		\$1,285.68	\$1,285.68	\$2,571.35
			<b>Sub-Total</b>	\$5,433.02	\$5,433.02	\$10,866.03
<b>3. Other Key Personnel</b>						
Name	Title / Project Role	% Effort	Cal. Mnths			
Janielle Neimark	Coordinator	20%		\$900.00	\$900.00	\$1,800.00
	Total Fringe Benefits @	34.0%		\$306.00	\$306.00	\$612.00
				\$1,206.00	\$1,206.00	\$2,412.00
<b>Students</b>						
Name	Title					
BA	5 Research Assistants @ \$20/hr, 20hrs/wk			\$11,745.00	\$11,745.00	\$23,490.00
				\$0.00	\$0.00	\$0.00
		Total	3%	\$352.35	\$352.35	\$704.70
				\$12,097.35	\$12,097.35	\$24,194.70
			<b>Total Personnel</b>	\$18,736.37	\$18,736.37	\$37,472.73
<b>C. Consultant</b>						
	Dr. Taylor, North Carolina: 75 hours per year @			\$938.00	\$937.00	\$1,875.00
				\$938.00	\$937.00	\$1,875.00
<b>D. Travel</b>						
	Year 1: 2 trips @ \$1,00/trip; Year 2: 3 trips @ \$1,000/trip			\$2,000.00	\$3,000.00	\$5,000.00
				\$2,000.00	\$3,000.00	\$5,000.00
<b>E. Participant/Trainee Support Costs</b>						
						\$0.00
				\$0.00	\$0.00	\$0.00
<b>F. Other Direct Costs</b>						
	Workshop Costs			\$0.00	\$13,500.00	\$13,500.00
	Translation			\$375.00	\$375.00	\$750.00
	GoToMeeting			\$75.00	\$75.00	\$150.00
	Med Pass: printing & shipping			\$19,123.00	\$0.00	\$19,123.00
	videographer			\$1,875.00	\$0.00	\$1,875.00
	Graphic Design			\$125.00	\$125.00	\$250.00
	Website Maintenance			\$125.00	\$125.00	\$250.00
				\$6,877.00	\$6,878.00	\$13,755.00
			<b>Total Other Direct Costs</b>	\$28,575.00	\$21,078.00	\$49,653.00
<b>G. Direct Costs</b>						
			<b>Total Direct Costs (A thru F)</b>	\$50,249.37	\$43,751.37	\$94,000.73
<b>H. Indirect Costs (10%)</b>						
			<b>Indirect Costs</b>	\$5,024.94	\$4,375.14	\$9,400.07
			<b>TOTAL COSTS</b>	\$55,274.30	\$48,126.50	\$103,400.80