

COMMONWEALTH OF VIRGINIA



**Medicaid Enterprise System (MES) Program
Care Management Solution (CRMS)**

Home and Community-Based Services Provider User Manual

December 30, 2025

Document Version 0.2

Department of Medical Assistance Services (DMAS)

Publication Version Control	Date	Revision Description	Prepared By:
0.1	December 08, 2025	First Draft	DMAS
0.2	December 30, 2025	Second Draft	DMAS
0.3	January 23, 2026	Final Draft	DMAS

TABLE OF CONTENTS

1	HCBS Compliance Portal User Guide	5
1.1	Purpose/Overview.....	5
1.2	User Compliance.....	6
1.2.1	HIPAA:	6
1.2.1.1	Protected Health Information (PHI):	6
2	Accessing MES	7
2.1	First Steps.....	7
3	General HCBS Compliance Portal (HCP) Navigation and Functions	8
3.1	Accessing HCP from the CRMS Menu	8
3.2	Accessing the Collapsible Menu Bar:	9
3.3	Provider Document Upload.....	10
3.3.1	Compliance Search	10
3.3.1.1	Select the Compliance ID	10
3.3.1.2	Site Selection	11
3.3.1.3	Action Buttons [Action]	11
3.3.1.4	Document Category Selection	12
3.3.1.5	Document Type Selection	12
3.3.1.6	Upload a Document	13
3.4	Compliance Status Identification and Progress Flow	21
3.4.1	Status Hierarchy:	21
3.4.1.1	Document type status flow	22
3.4.1.2	Mandatory Comment:	23
3.4.2	Document Category Logic:	23
3.4.2.1	Status Flow Summary	25
3.4.3	Typical Workflow	25
3.5	Inactivation Process.....	26
3.5.1	Site Inactivation:.....	26
3.5.2	Individual In-Activation	27
3.6	Compliance Action Plan (CAP) Document Upload	28
3.6.1	Process Steps:.....	28
3.6.1.1	Provider Access to CAP:.....	29
3.6.1.2	CAP Evaluation Page:.....	31
3.6.1.3	CAP Status Flow Summary	31
3.6.1.4	Provider Notification on compliance Closure:.....	34
4	HCP User Management	35
4.1	User Access Roles	35



TABLE OF FIGURES

Figure 1: Menu page displaying the CRMS MES module	7
Figure 2: "Select a Provider" drop-down	8
Figure 3: Home/Compliance Search page with Search and Evaluation Choices	8
Figure 4: HCP - Activate Menu from the Top Bar.....	9
Figure 5: HCP - Menu Items Displayed.....	9
Figure 6: HCP Screen with Search Buttons	9
Figure 7: Compliance Search Page	10
Figure 8: Compliance ID Selection	10
Figure 9: Site Details Selection.....	11
Figure 10: Action Buttons	11
Figure 11: Document Category Selection	12
Figure 12: Document Type Selection	12
Figure 13: Upload Document Button appearance	13
Figure 14: Upload Document Pop-Up.....	13
Figure 15: MART Comments entry screen.	17
Figure 16: Document Upload Screen - Add Document.....	17
Figure 17: Document Upload Screen - Browse	18
Figure 18: Upload Screen - File Open Dialog	18
Figure 19: Status Screen - File upload complete.....	19
Figure 20: Provider Comments screen - New Comment button	19
Figure 21: Provider Comments screen - type comments	20
Figure 22: HCP Search Screen with Save and Submit buttons.....	20
Figure 23: Document Type - Drop-Down	22
Figure 24: Compliance and Site Details	26
Figure 25: Site In-Active Confirmation Pop-Up.....	26
Figure 26: In-Active Comments page	26
Figure 27: Inactive Indication.....	27
Figure 28: In-Activation - Select Individual	27
Figure 29: In-Activate Individual	27
Figure 30: Individual Confirmation Pop-up.....	27
Figure 31: Individual In-Active Indication	28
Figure 32: Provider Email	28
Figure 33: Select a Provider Dialog	29
Figure 34: HCP Screen with Search Buttons	29
Figure 35: Evaluation HCP Tile	29
Figure 36: Site Display with Active CAP – SC In Progress	30
Figure 37: Site Selection and Click Evaluate	30
Figure 38: CAP Evaluation Page	31
Figure 39: SC Open.....	32
Figure 40: SC In-Progress	32
Figure 41: SC In-Review.....	32
Figure 42: SC Complete	33
Figure 43: Doc In Correction	33
Figure 44: Doc In-Review	33



Figure 45: Doc Complete.....	34
Figure 46: Email Notification.....	34
Figure 47: Closure Letter.....	34

TABLES

Table 1: Documents list for SITE - ALL Settings.....	14
Table 2: Documents list for SITE - Individual Settings.....	15
Table 3: Documents list for SITE - Residential Settings.....	16
Table 4: Document Type Status Flow.....	22
Table 5: Status Flow Summary Table	25
Table 6: CAP Status Flow Summary	31
Table 7: Role/Permissions Matrix	35



1 HCBS COMPLIANCE PORTAL USER GUIDE

1.1 Purpose/Overview

Home and Community-Based Services (HCBS) Compliance Portal (HCP) supports the execution of required HCBS Reviews to validate ongoing compliance with the HCBS Final Rule. The Home and Community Based Settings Rule (HCBS Rule) require states to oversee that community-based providers are meeting specific standards to ensure that individuals are not having an institutional experience. The rule 42 CFR 441 further mandates that states provide ongoing monitoring to ensure that all providers maintain compliance following their initial compliance determination. The CRMS-HCP application will provide more accurate data reporting, improve reviewer fidelity and streamline communications. Users can upload the HCBS settings documents in CRMS-HCP application.

The HCBS Compliance Portal is part of the Care Management Solution (CRMS) module, and part of the overall Virginia Medicaid Enterprise System (MES).

This comprehensive system will ensure reviews are consistent and completed in a timely fashion. The HCBS Compliance Portal will better hold Providers, Reviewers, and Administrators accountable, and will reduce miscommunication by ensuring that all documentation and communication is housed in one solution. Additionally, no data is lost if staff leave their position or change their role.

This user guide outlines the steps for navigating the provider, selecting site address and document types and uploading the documents for the compliance, and managing compliances in the HCP portal in MES, including the following tasks:

- Accessing and Logging In
- How to retrieve the Provider Letter
- Navigating the NPI
- Searching HCP compliance
- Selecting compliance ID
- Selecting site details
- Selecting document category and document type
- Uploading the document.
- How to retrieve the Compliance Action Plan (CAP) document
- Uploading CAP response document
- How to retrieve the Compliance Closure Document



1.2 User Compliance

1.2.1 HIPAA:

All users of the Home and Community-Based Services (HCBS) Compliance Portal (HCP) must comply with HIPAA and laws related to protecting personal health information. The Health Insurance Portability and Accountability Act of 1996 (HIPAA – Public Law 104-191) and the HIPAA Privacy Final Rule 1 provides protection for personal health information. The regulations became effective April 14, 2003. HIPAA Privacy Policies and Procedures were developed to ensure operations are compliant with the legislative mandate. Protected Health Information (PHI) includes any health information – whether verbal, written, or electronic that is created, received, or maintained. It is health care data, plus identifying information that allows someone using the data to tie the medical information to a particular person. The Privacy Rule permits a covered entity to use and disclose PHI within certain limits and providing certain protections for treatment, payment, and health care operations activities. It also permits covered entities to disclose PHI without authorization for certain public health and workers' compensation purposes, and other specifically identified activities.

1.2.1.1 Protected Health Information (PHI):

PHI relates to the past, present, and future physical or mental health of any individual or recipient; the provision of health care to an individual; or the past, present, or future payment for the provision of health care to an individual. Claims data, prior authorization information, and attachments such as medical records and consent forms are all PHI.

2 ACCESSING MES

2.1 First Steps

HCP is part of the MES CRMS module and is accessed by first logging into the MES portal. Your organization's Primary Account Holder (PAH) or Delegate Admin (DA) needs to request access to the system and initiate the registration process for you. Once approved, your access information is part of an automated process, including the credentials required for this access.

IMPORTANT: Before you can log into MES for the first time, you will need the credentials that were emailed to you after registration. Please look for and save the email.

More complete MES access instructions are part of the MES provider reference guide MES-103. This guide should be downloaded and reviewed prior to attempting access MES. [View this guide here](#) (PDF format).

REFERENCE: Once you have your MES credentials you can use this link to login to MES: <https://login.vamedicaid.dmas.virginia.gov/>.

As the final step of the login process, your browser will display the MES *Menu* page. This page will display any MES modules you are approved to access, including CRMS:

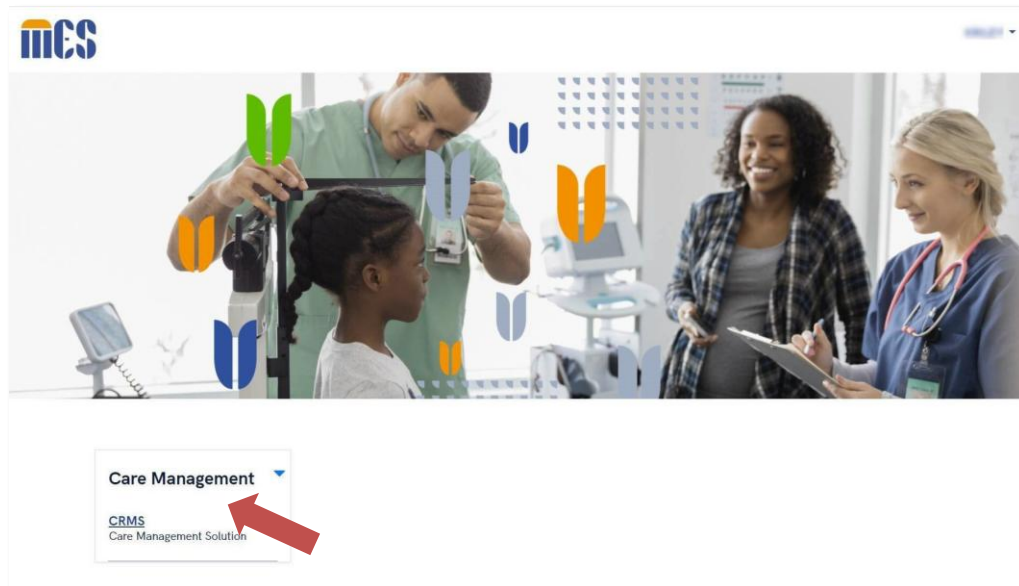


Figure 1: Menu page displaying the CRMS MES module

3 GENERAL HCBS COMPLIANCE PORTAL (HCP) NAVIGATION AND FUNCTIONS

3.1 Accessing HCP from the CRMS Menu

Once the Menu page is displayed, click on the “CRMS” link.

The Select a Provider drop-down is displayed only when a provider is associated with multiple providers. Select the authorized Provider from the Select Provider drop-down list and click *Submit*:

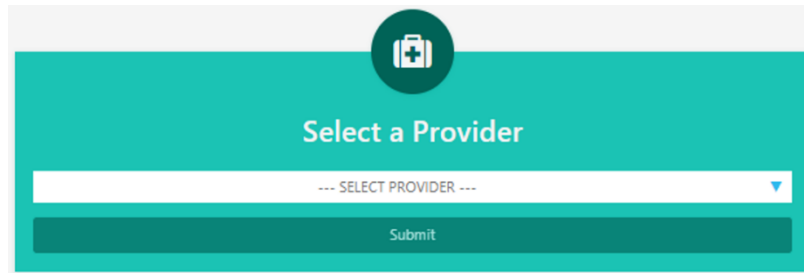


Figure 2: "Select a Provider" drop-down

When a Provider is not associated with multiple providers the Select a Provider drop-down will not be displayed, instead users will be directed to the screen below, displaying the Search and Evaluation tiles:

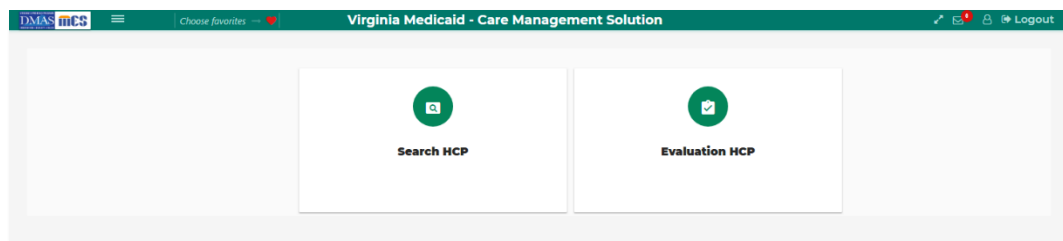


Figure 3: Home/Compliance Search page with Search and Evaluation Choices

After selecting a Provider, the HCP home/ Compliance Search page will be displayed (see above). There are a few navigational and communications controls used when in an HCP session, these include:

- Collapsible Menu– used to access functions when not on the Dashboard page.
- Mailbox Link – used to access messages within your CRMS mailbox.
- User Profile Link – used to see for which provider’s behalf you are currently working.
- Logout Function – used to log out of the CRMS portal.
- Screening Function Tiles – used to access the screening functions.

IMPORTANT: Only applicable navigation tiles are displayed, and these are based on the user’s screening role permissions.

IMPORTANT: Do not click the Back button on your browser, this may bring you out to the initial search page. Instead, try to stay with the process steps outlined below...

3.2 Accessing the Collapsible Menu Bar:

When the Compliance search page is displayed, you can access the:

- Dashboard page
- HCP Search
- Provider selection
- Mailbox

Click the horizontal lines icon to reveal the menu items (see below):

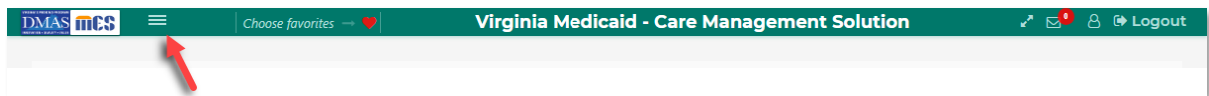


Figure 4: HCP - Activate Menu from the Top Bar

Menu items will be displayed in the Top Bar (see below):

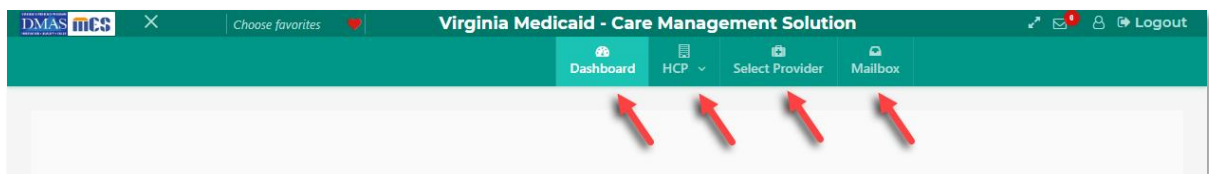


Figure 5: HCP - Menu Items Displayed

You can also access the Search HCP and Evaluate HCP screens using the buttons displayed:

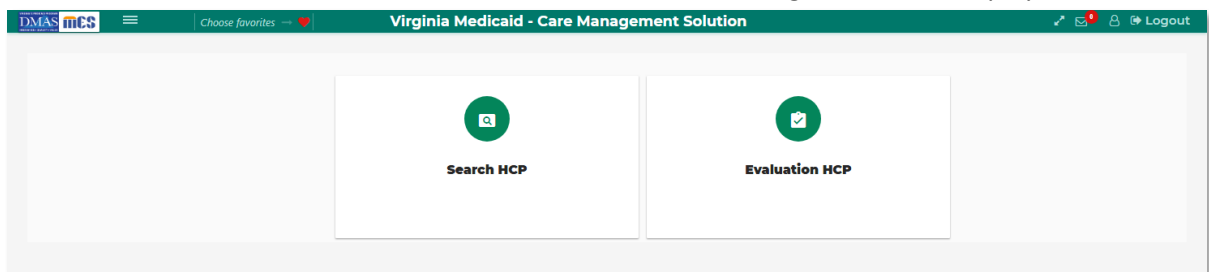


Figure 6: HCP Screen with Search Buttons

3.3.1.2 Site Selection

After selecting the Compliance ID, the Site Details field becomes active and displays all sites associated with the selected Compliance. Choose the required Site from the Dropdown list.

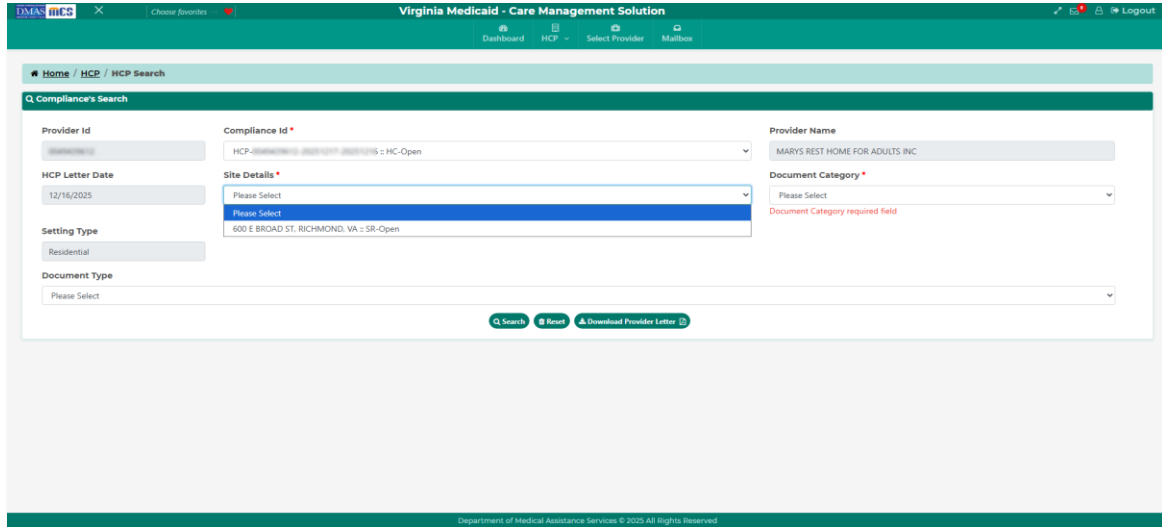


Figure 9: Site Details Selection

3.3.1.3 Action Buttons [Action]

After selecting a site, three action buttons appear at the bottom of the page

- In-Active site: Allows the user to mark selected site as inactive.
- Search: Retrieves compliance and document information based on all selections
- Reset: clears all the selected options and resets the form to its initial state.

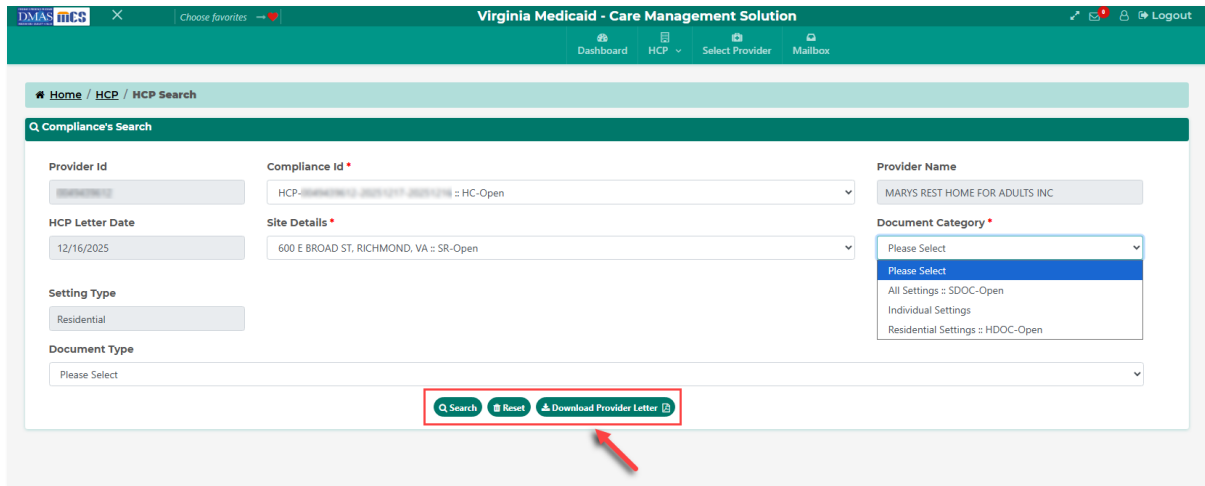


Figure 10: Action Buttons

3.3.1.4 Document Category Selection

Once site is selected, a Document category becomes active with all Document categories associated with Provider Id. To proceed, select the Document Category:

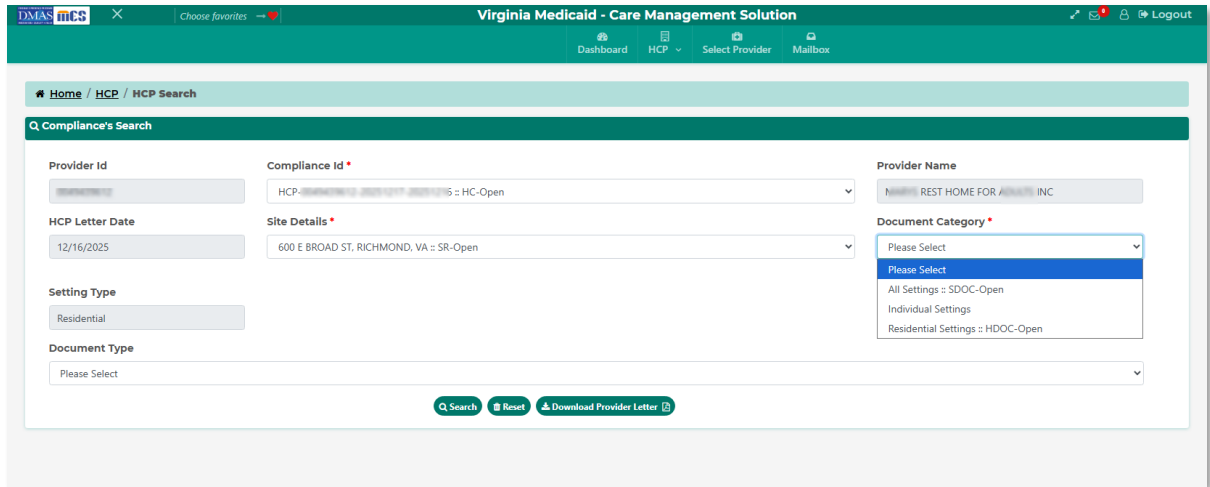


Figure 11: Document Category Selection

3.3.1.5 Document Type Selection

Based on the selected *Document Category*, the Document type dropdown is automatically populated with relevant document types. Choose the appropriate *Document Type* to complete the selection and upload the Document:

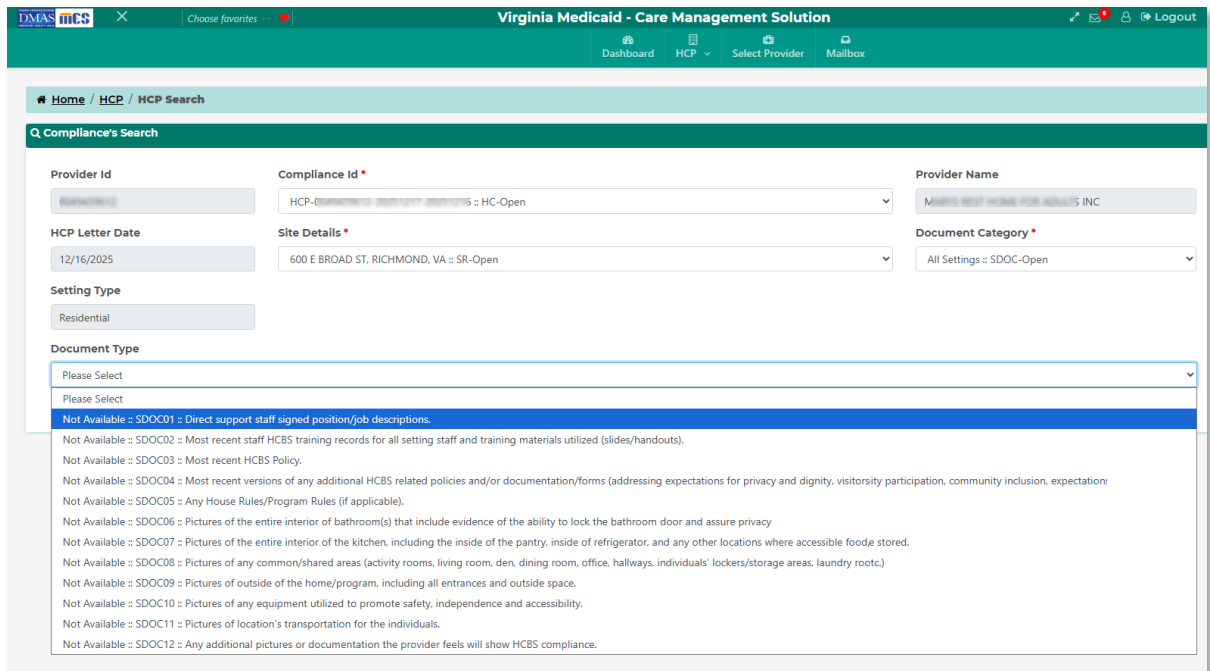
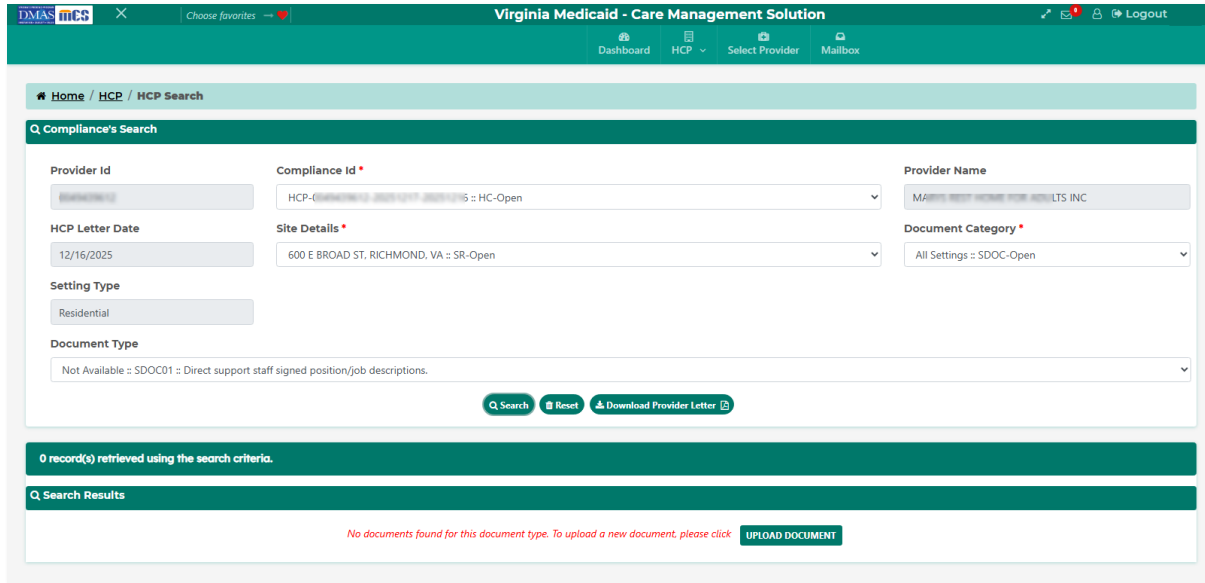


Figure 12: Document Type Selection

3.3.1.6 Upload a Document

Prior to uploading, Compliance ID, Site Details, Document category and Document Type must be selected and populated. The following message appears: “No Documents found for this document type. To upload a new document, please click [UPLOAD DOCUMENT] button:



The screenshot shows the 'HCP Search' interface. The search criteria are as follows:

- Provider Id:** [Empty]
- Compliance Id:** HCP-00000000-20251217-20251216 :: HC-Open
- Provider Name:** MARY ELLEN WHITE FROM ADULTS INC
- HCP Letter Date:** 12/16/2025
- Site Details:** 600 E BROAD ST, RICHMOND, VA :: SR-Open
- Document Category:** All Settings :: SDOC-Open
- Setting Type:** Residential
- Document Type:** Not Available :: SDOC01 :: Direct support staff signed position/job descriptions.

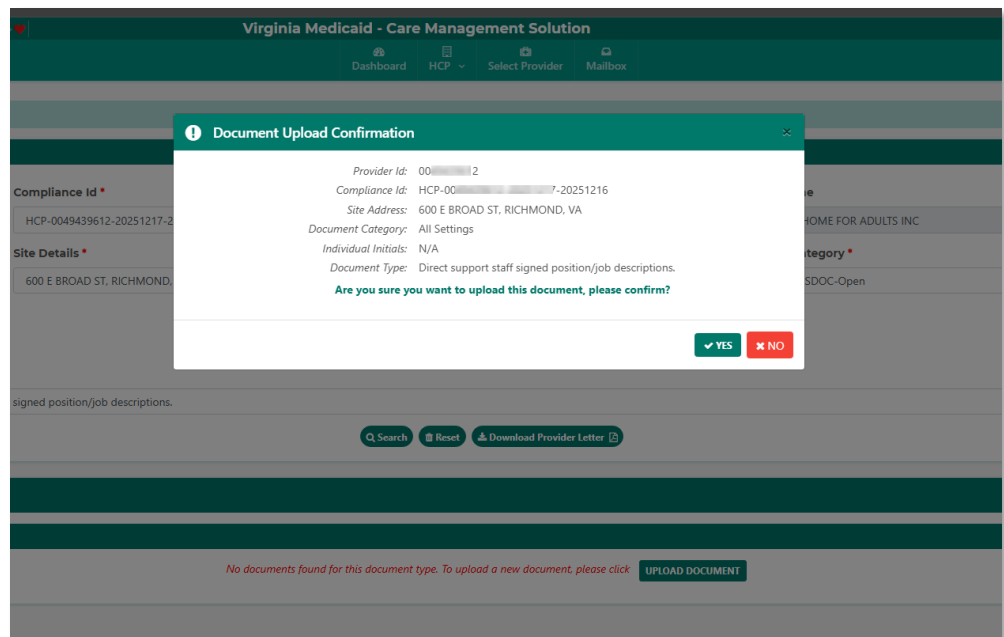
Buttons: Search, Reset, Download Provider Letter

0 record(s) retrieved using the search criteria.

No documents found for this document type. To upload a new document, please click **UPLOAD DOCUMENT**

Figure 13: Upload Document Button appearance

Click the **UPLOAD DOCUMENT** button. A confirmation pop-up will be displayed, asking for a confirmation prior to file selection. Click **YES**:



The screenshot shows the same 'HCP Search' interface as Figure 13, but with a 'Document Upload Confirmation' pop-up dialog displayed. The dialog contains the following information:

- Provider Id:** 00000000-2
- Compliance Id:** HCP-00000000-20251216
- Site Address:** 600 E BROAD ST, RICHMOND, VA
- Document Category:** All Settings
- Individual Initials:** N/A
- Document Type:** Direct support staff signed position/job descriptions.

The dialog asks: "Are you sure you want to upload this document, please confirm?" and has two buttons: **YES** and **NO**.

Figure 14: Upload Document Pop-Up



After clicking YES, the Document Upload screen is displayed, showing the following information:

- From date
- End date
- Add document
- Comments

IMPORTANT: File upload process will be blocked if required fields are empty or invalid. These will be annotated in **red**.

IMPORTANT: Certain document types follow mart system flow without a required file upload. These types include those in the below Mart System table:

Table 1: Documents list for SITE - ALL Settings

Description	Doc ID	Mandatory – Y/N	MART Y/N
Direct support staff signed position/job descriptions	SDOC01	Y	N
Most recent staff HCBS training records for all setting staff and training materials utilized(slides/handouts)	SDOC02	Y	Y
Most recent HCBS Policy	SDOC03	Y	Y
Most recent versions of any additional HCBS related policies and/or documentation/forms addressing expectations for privacy and dignity, visitors, community participation, community inclusion, expectations for program participation, etc.)	SDOC04	Y	N
Any House Rules/Program Rules (if applicable)	SDOC05	N	N
Pictures of the entire interior of bathroom(s) that include evidence of the ability to lock the bathroom door and assure privacy	SDOC06	Y	Y
Pictures of the entire interior of the kitchen, including the inside of the pantry, inside of refrigerator, and any other locations where accessible food/snacks are stored	SDOC07	Y	Y
Pictures of any common/shared areas (activity rooms, living room, den, dining room, office,	SDOC08	Y	Y



hallways, individuals' lockers/storage areas, laundry room, lofts, etc.)			
Pictures of outside of the home/program, including all entrances and outside space	SDOC09	Y	Y
Pictures of any equipment utilized to promote safety, independence, and accessibility	SDOC10	Y	Y
Pictures of location's transportation for the individuals.	SDOC11	Y	Y
Any additional pictures or documentation the provider feels will show HCBS compliance.	SDOC12	N	N

Table 2: Documents list for SITE - Individual Settings

Description	Doc ID	Mandatory – Y/N	MART – Y/N
The four (4) most recent consecutive Person-Centered Quarterly Reviews			
Q1 - Person-Centered Quarterly Review	IDOC01	Y	N
Q2 - Person-Centered Quarterly Review	IDOC02	Y (With reason this will become optional 'N')	N
Q3 - Person-Centered Quarterly Review	IDOC03	Y (With reason this will become optional 'N')	N
Q4 - Person-Centered Quarterly Review	IDOC04	Y (With reason this will become optional 'N')	N
The Behavioral Support Plans (if applicable)	IDOC05	N	N
Most recently signed (by individual and substitute decision maker) Individual HCBS Rights Disclosure form	IDOC06	Y	N
Evidence of daily activity and community access (including any activity calendars,	IDOC07	Y	N



activity/transportation logs, etc. if this information is not included in progress notes) covering dates of:	(Ask for the date range)		
Individual progress notes covering dates of:	IDOC08 (Ask for the date range)	Y	N
Documentation for any Modification of Individuals' HCBS Rights or Safety Restrictions (if applicable), including signed documentation of informed consent.	IDOC09	N	N

Table 3: Documents list for SITE - Residential Settings

Description	Doc ID	Mandatory – Y/N	MART Y/N
A signed lease or residency agreement	HDOC01	Y	N
Signed key assignment forms or other documentation that provides evidence keys were issued to individuals for the entrance doors and their bedroom door	HDOC02	Y	N
Documentation of choice of roommate (if applicable and rooms are shared)	HDOC03	N	N
Most recent menu, including evidence of individuals' input and/or evidence individuals have input in their daily food choices	HDOC04	Y	N
Pictures of bedrooms that include evidence of individualized decor, locking doorknobs, inside of closet, other furnishings in the room	HDOC05	Y	Y

If the document type is in **Mart** list, then the document type available in Mart is present, select YES for MART. A new screen is displayed allowing the user to provide *reason* comments. At least fifteen characters are required before the system will allow submission. Click Submit – No file upload is required for MART entries:

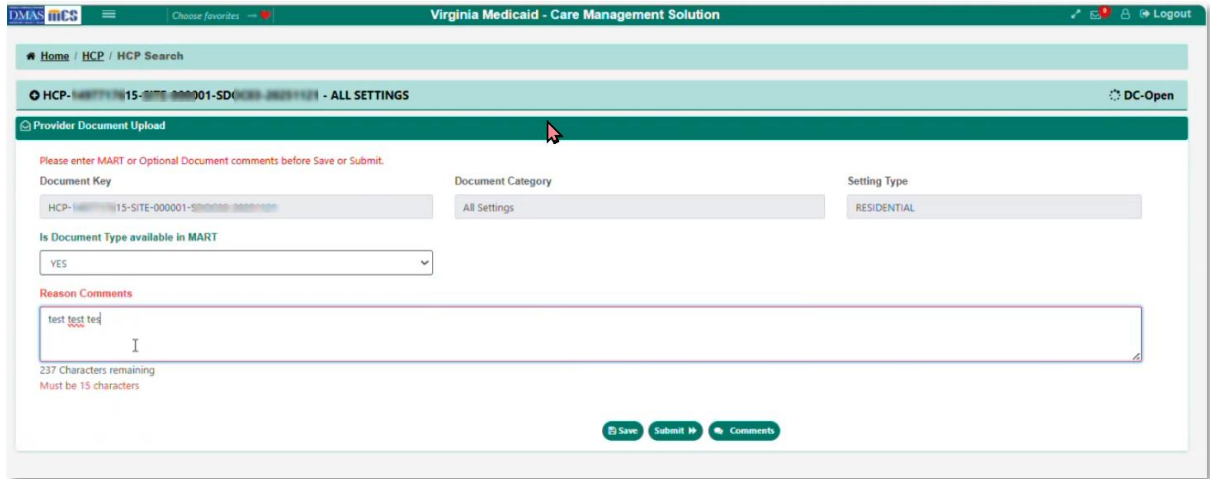


Figure 15: MART Comments entry screen.

Select No to proceed to regular upload. A new button is displayed to continue the regular (non-Mart) upload process. Click *Add Document*:

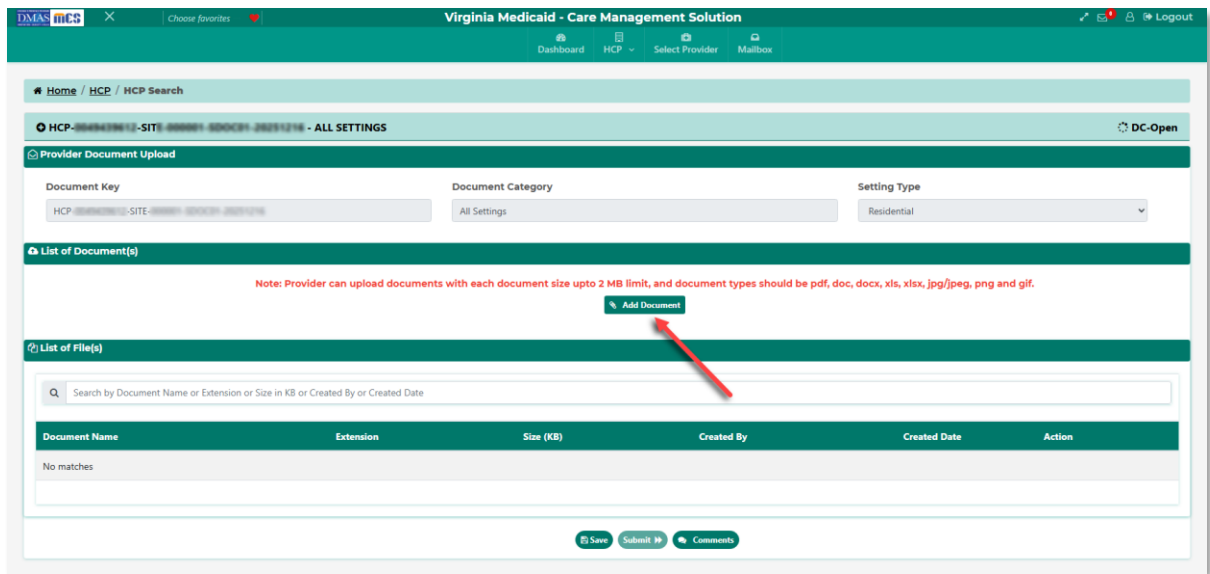


Figure 16: Document Upload Screen - Add Document

The Browse button appears, click the *Browse* button:

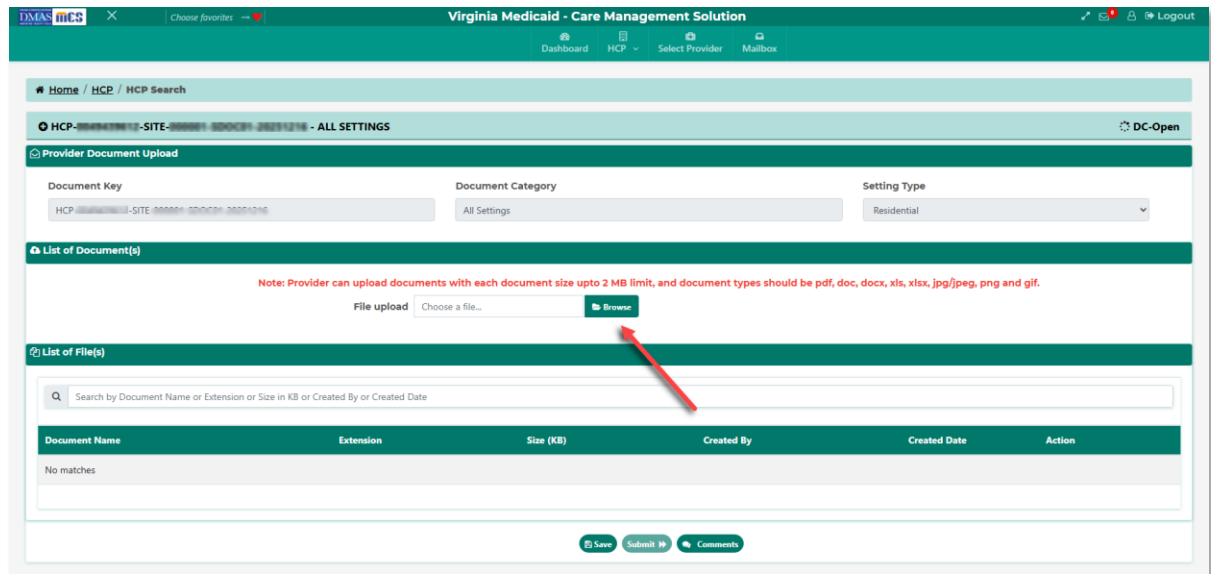


Figure 17: Document Upload Screen - Browse

A File Open dialog box opens for the user to locate and select the document you want to upload. Choose the file and click Open.

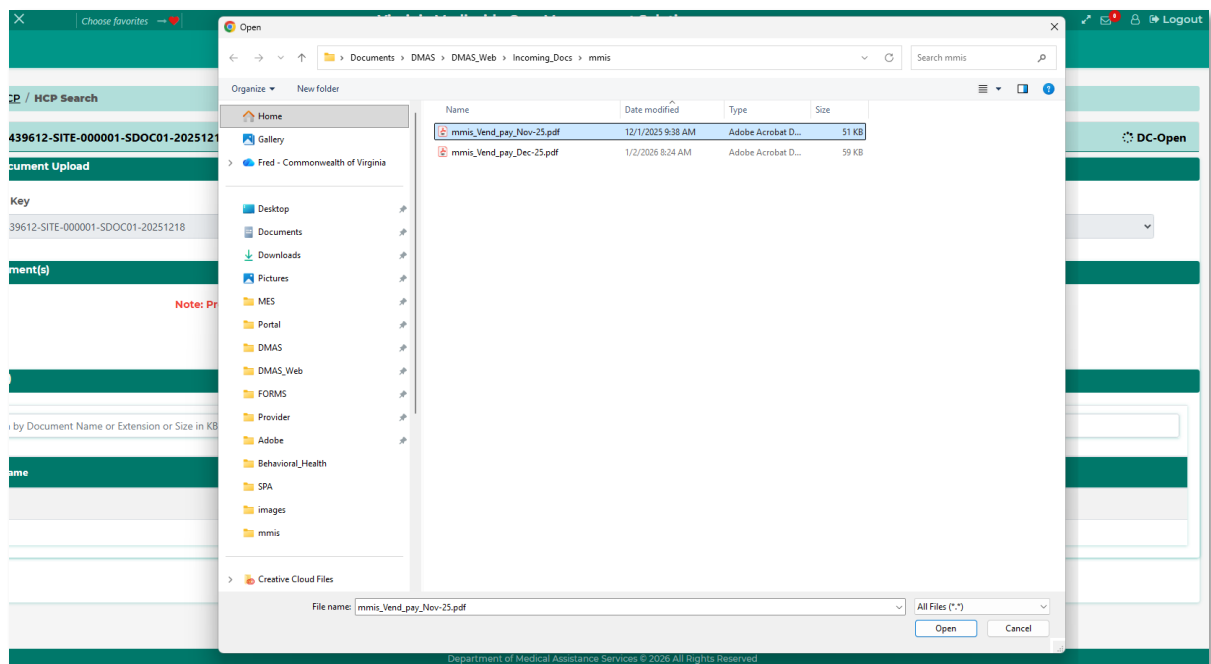


Figure 18: Upload Screen - File Open Dialog

After the file upload is complete, a status screen is displayed, listing the file(s) uploaded:

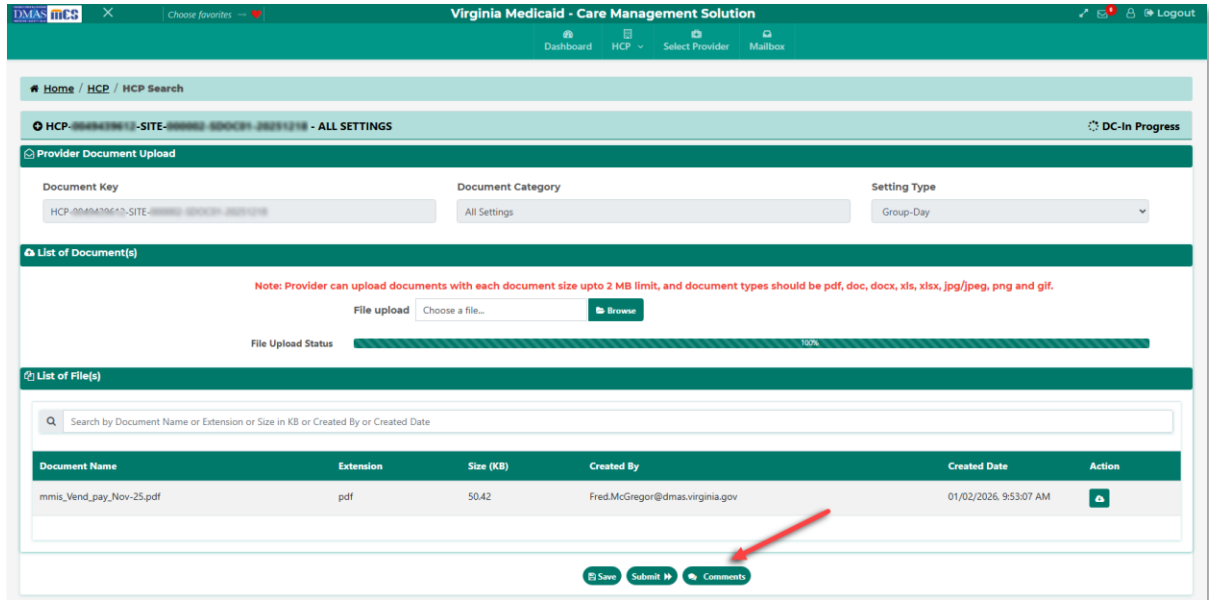


Figure 19: Status Screen - File upload complete

Click the *Comments* button, and on the next screen click *Add New Comment*:

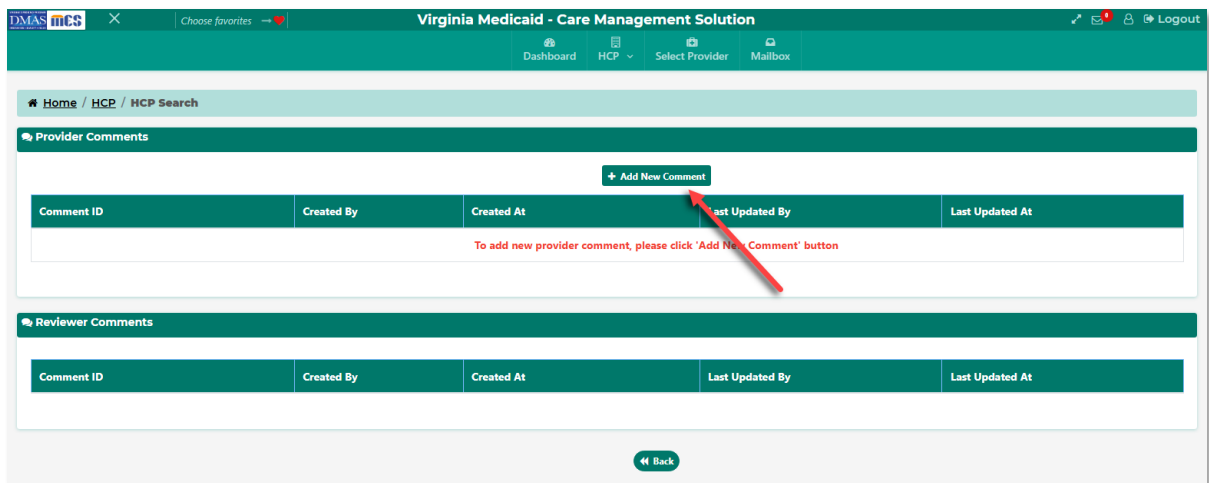
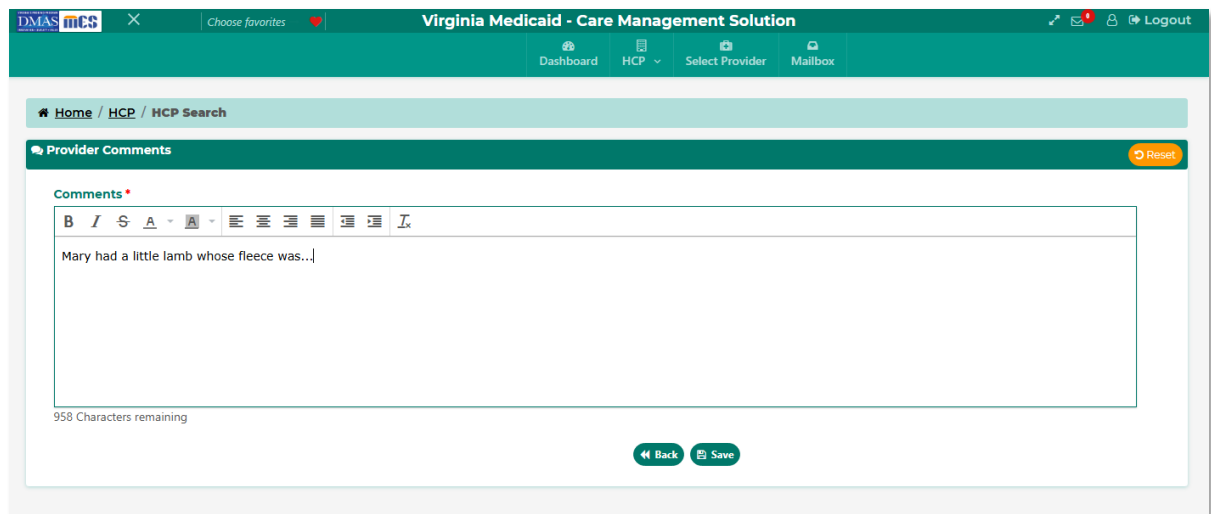


Figure 20: Provider Comments screen - New Comment button



Virginia Medicaid - Care Management Solution

Home / HCP / HCP Search

Provider Comments

Comments

Mary had a little lamb whose fleece was...

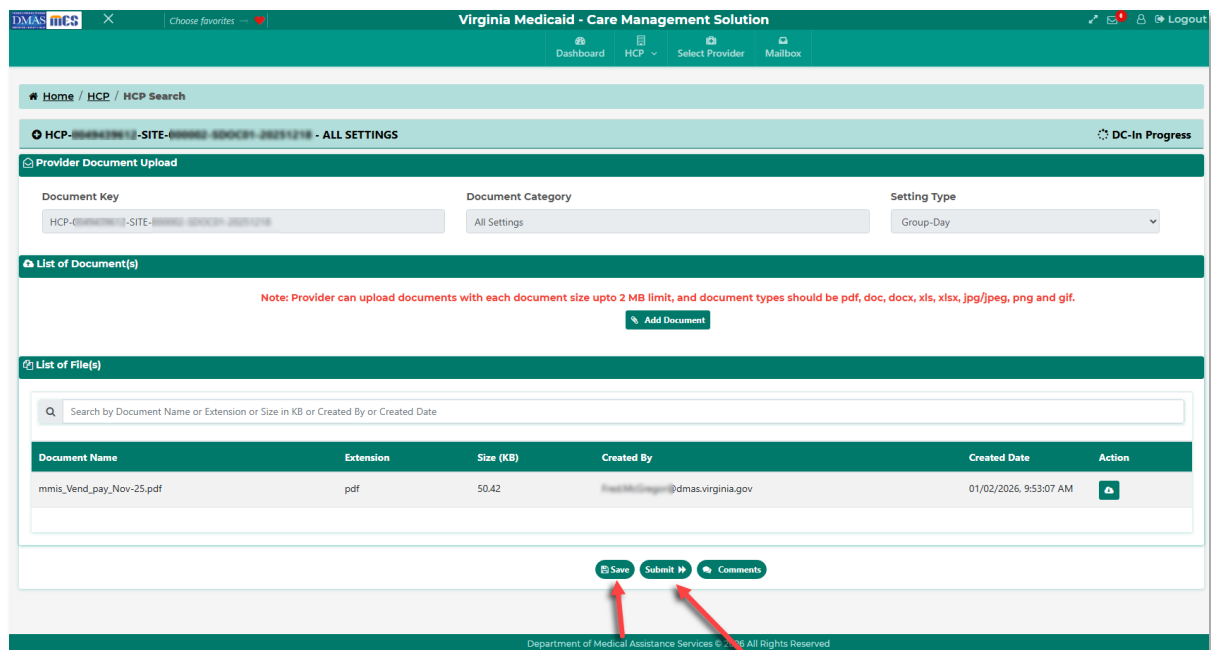
958 Characters remaining

Back Save

Figure 21: Provider Comments screen - type comments

After clicking the Save button, an acknowledgement screen will be displayed (not shown). Click the *Back* button to be returned to the HCP Search screen. Click *Save*, then click *Submit*:

NOTE: After clicking Submit, a confirmation pop-up will be displayed



Virginia Medicaid - Care Management Solution

Home / HCP / HCP Search

HCP-0000000000-SITE-0000000000-20251218 - ALL SETTINGS

DC-In Progress

Provider Document Upload

Document Key: HCP-0000000000-SITE-0000000000-20251218

Document Category: All Settings

Setting Type: Group-Day

List of Document(s)

Note: Provider can upload documents with each document size upto 2 MB limit, and document types should be pdf, doc, docx, xls, xlsx, jpg/jpeg, png and gif.

Add Document

List of File(s)

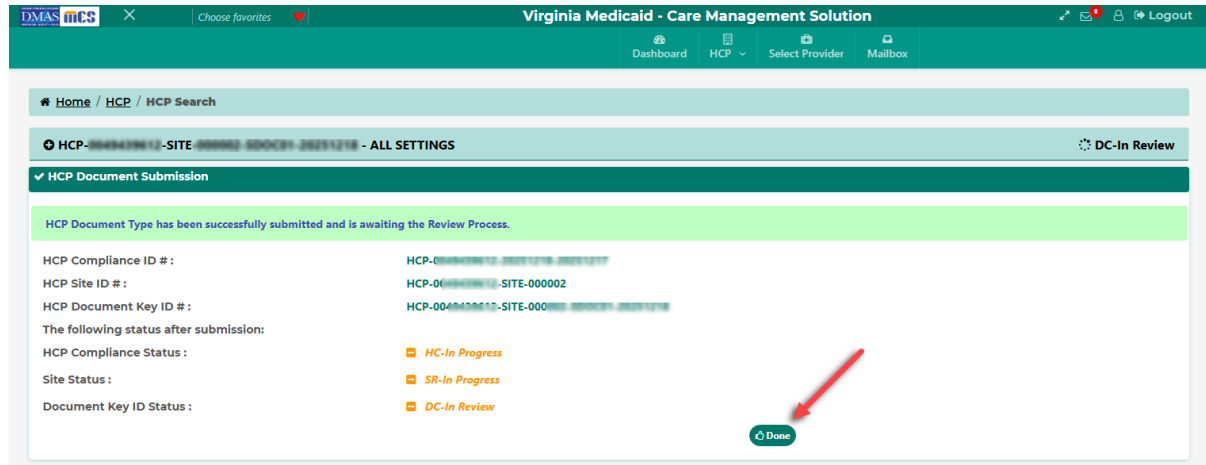
Document Name	Extension	Size (KB)	Created By	Created Date	Action
mmis_Vend_pay_Nov-25.pdf	pdf	50.42	Frank.McGregor@dmass.virginia.gov	01/02/2026, 9:53:07 AM	

Save Submit Comments

Department of Medical Assistance Services © 2025 All Rights Reserved

Figure 22: HCP Search Screen with Save and Submit buttons

The Document Submission screen will be displayed with pertinent information displayed. Click Done when ready to return to the initial search screen:



3.4 Compliance Status Identification and Progress Flow

This section defines how the system determines and updates the status of the *Compliance ID*, *Site Details*, *Document Category* and *Document type*.

Statuses automatically update based on user actions - such as *document uploads*, *submissions*, *reviews*, *corrections* and *complete*.

It also explains the unique handling of *Individual Setting* which contains an additional selection level – *Individuals*.

3.4.1 Status Hierarchy:

Statuses are maintained across four levels in the Hierarchy:

- Document type
- Document category
- Site Details
- Compliance ID

3.4.1.1 Document type status flow

The Document Selection drop-down has information about the document type on the left side of the page. These indicate one of seven types of document Statuses, see Table 2 (“Not Available” shown in the screen image):

DMAS

MCS

×

Choose favorites

▼

Virginia Medicaid - Case Management Solutions

Dashboard

HCP

Select Provider

Mailbox

Log out

Home

/

HCP

/

HCP Search

Compliance's Search

Provider Id

SEARCH

Compliance Id *

HCP-0000000000-0000-0000-0000-0000-0000 :: HC-Open

Provider Name

SEARCH

HCP Letter Date

12/16/2025

Site Details *

600 E BROAD ST, RICHMOND, VA :: SR-Open

Document Category *

All Settings :: SDOC-Open

Setting Type

Residential

Document Type

Please Select

Please Select

Not Available :: SDOC01 :: Direct support staff signed position/job descriptions.

Not Available :: SDOC02 :: Most recent staff HCBS training records for all setting staff and training materials utilized (slides/handouts).

Not Available :: SDOC03 :: Most recent HCBS Policy.

Not Available :: SDOC04 :: Most recent versions of any additional HCBS related policies and/or documentation/forms (addressing expectations for privacy and dignity, visitorsity participation, community inclusion, expectations

Not Available :: SDOC05 :: Any House Rules/Program Rules (if applicable).

Not Available :: SDOC06 :: Pictures of the entire interior of bathroom(s) that include evidence of the ability to lock the bathroom door and assure privacy

Not Available :: SDOC07 :: Pictures of the entire interior of the kitchen, including the inside of the pantry, inside of refrigerator, and any other locations where accessible food is stored.

Not Available :: SDOC08 :: Pictures of any common/shared areas (activity rooms, living room, den, dining room, office, hallways, individuals' lockers/storage areas, laundry room, etc.)

Not Available :: SDOC09 :: Pictures of outside of the home/program, including all entrances and outside space.

Not Available :: SDOC10 :: Pictures of any equipment utilized to promote safety, independence and accessibility.

Not Available :: SDOC11 :: Pictures of location's transportation for the individuals.

Not Available :: SDOC12 :: Any additional pictures or documentation the provider feels will show HCBS compliance.

Figure 23: Document Type - Drop-Down

The status Flow and Description is displayed in table 2 below. These are important for different parts of the HCP process flow:

Table 4: Document Type Status Flow

Action	Document Type Status	Description
No Document Upload	Not Available	No documents exist for this document type
Document type is Opened, and no details are saved.	DC-Open	If any document type is open and user returns to HCP search
Document uploaded (not yet submitted/ Saved)	DC-In Progress	The provider uploads a document and must enter Comments before submission
Documents submitted for Review	DC In Review	The documents have been submitted and is awaiting reviewer action (Approve/return).

Action	Document Type Status	Description
Reviewer returns document	DC-In Correction	Reviewer requests corrections: provider must reupload the required information and resubmit.
Provider resubmits the corrected document	DC-In Review	Status changes back to In Review once Resubmitted
Reviewer approves document	DC-Complete	The document is reviewed and approved

3.4.1.2 Mandatory Comment:

To upload a document, based on document type the user must enter From Date, End date and enter the comments with minimum 15 characters and can upload a document before the submission.

- The system will validate the comment length:

Note: If the comment is fewer than 15 characters, an error message will display. Additionally, the system does not allow submission of document type without a valid, saved comment.

After the comment is saved successfully, the user can proceed to submit the document type.

3.4.2 Document Category Logic:

General rules (All Settings & Residential setting). If:

- Any document type is not uploaded, status = **DOC open**
- Any document type is open, and the user returns to *HCP search*, status = **DOC open**
- Some are just saved with the *from date, end date* and *comments* but not uploaded the document or upload the document and with or without minimum 15 characters of comments saved but not submitted and save, status = **DOC In progress**.
- A document is submitted with comments and required information, status = **DOC review**
- A document is returned from reviewer with comments, status = **DOC In correction**
- Provider corrects the document or the comments, or the required information is resubmitted, status = **DOC review**
- Reviewer approves the document, Status = **DOC Complete**

Special case – Individual Setting

- When individual settings are selected, the status field shows “N/A” by default.
- A secondary dropdown labelled Individuals appears.



Status	Description
Compliance Level	
HC-Open	HCBS Compliance case is opened by the reviewer.
HC-In Progress	Provider has uploaded at least one document for a SITE.
HC-Complete	HCBS Compliance case is Complete when all sites are either Closed or Complete and at least one of the sites is in Complete status.
HC-Closed	HCBS Compliance case is closed by the reviewer. Compliance will be closed when all SITE statuses reach SR-Closed
Document Level	
Not Available	No documents exist for this document type
DC-Open	Document request is opened by the reviewer. This will be set to open when the Compliance case is opened by the reviewer.
DC-In Progress	Provider has uploaded at least one document for that SITE.
DC-In Review	Reviewer has started reviewing the uploaded document(s).
DC-In Correction	Reviewer returned the document to the provider for corrections.
DC-Complete	Reviewer completed the document review.
SITE Level	
SR-Open	SITE Review opened, Provider letter generated, and email notification sent.
SR-In Progress	Provider has uploaded documents for the SITE.
SR-In Review	Reviewer has started reviewing the documents.
SR-In Correction	Reviewer returned the documents to the provider for correction.
SR-Complete	Reviewer completed all the required document reviews for the SITE.
SI-In Progress	SITE-level individual and staff interviews are in progress.
SI-Complete	SITE-level interviews are complete.
SS-In Progress	SITE-level scoring is in progress.
SS-Complete	SITE-level scoring is complete.
SC-Open	SITE-level CAP (Corrective Action Plan) initiated by the reviewer.
SC-In Progress	Reviewer initiated the CAP response.



SC-In Review	Provider Submitted the CAP Response
SC-In Correction	Reviewer rejected the CAP response and sent it back for correction
SC-Complete	Reviewer approved the CAP response.
SR-Closed	SITE setting review is fully complete

3.4.2.1 Status Flow Summary

Table 5: Status Flow Summary Table

Level	Dependencies	Completion Rule
Document Type	Upload, review and comment	Complete once approved by reviewer with comments.
Document category (All Settings & Residential setting, Individuals)	All document types	Complete if all document types complete
Site Level	All document categories	Complete if all categories complete
Compliance	All site levels	Complete if all sites complete

3.4.3 Typical Workflow

Provider enters **From Date, End date** and **comments, upload a document**. Then:

1. Save -> In Progress
2. Submits -> In Review
3. Returns -> In Correction
4. Fixes (if necessary) and resubmits -> In Review
5. Reviewer Approves -> Complete

The following conditions must be met to complete this workflow:

- All document types under a category are complete -> Document category = Complete
- All categories complete -> Site = Complete
- All sites complete => Compliance = Complete

3.5 Inactivation Process

The *Inactivation Process* enables users to inactivate a Site or an Individual under selected compliance.

Note: The inactivation process does not work when there is only one site and one individual per site. The inactive button appears only when multiple sites exist for a compliance, and multiple individuals exist within a site.

3.5.1 Site Inactivation:

Select Compliance id and site Details:

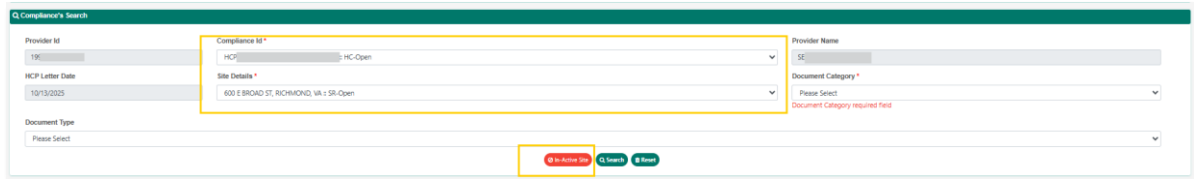


Figure 24: Compliance and Site Details

Click In-Active site at the bottom. Site In-Active confirmation pop-up will appear: “Are you sure you want to In-Active the Site, please confirm?”

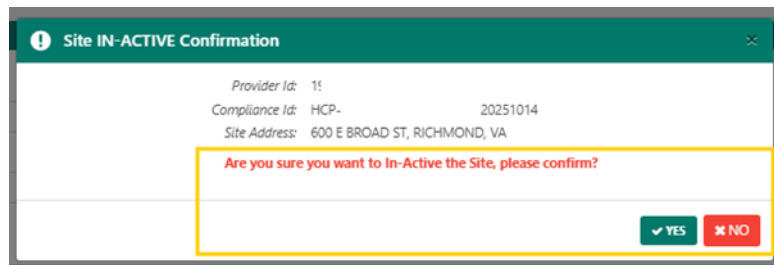


Figure 25: Site In-Active Confirmation Pop-Up

Click **Yes**: Site In-Activate confirmation page is loaded. Enter the reason comments with minimum 30 Characters. Click **Update**.

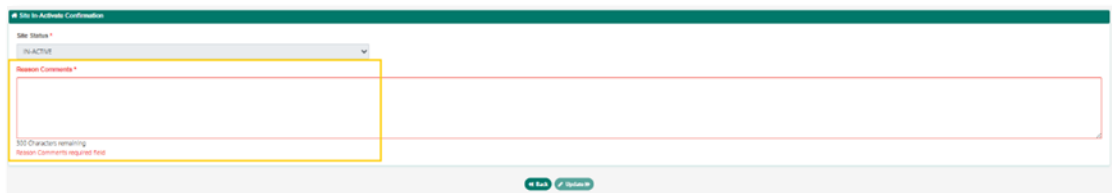
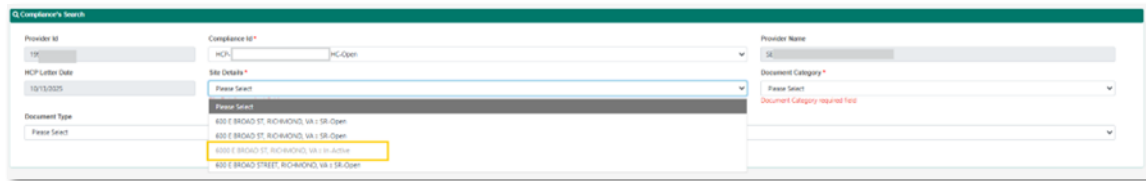


Figure 26: In-Active Comments page

Site is now marked as *Inactive*:



The screenshot shows the 'Compliance Search' form. The 'Compliance ID' field is set to 'HCP'. The 'Site Details' dropdown is open, showing a list of sites. The site '600 E BROAD ST, RICHMOND, VA 1 SR-Open' is highlighted, indicating it is the selected site. The 'Document Type' is set to 'Please Select'.

Figure 27: Inactive Indication

3.5.2 Individual In-Activation

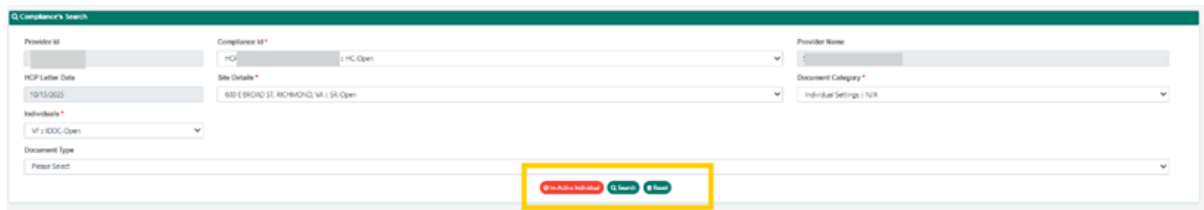
Select Compliance id, site Details, Document category – Individual settings and select Individuals:



The screenshot shows the 'Compliance Search' form. The 'Compliance ID' is 'HCP'. The 'Site Details' is '600 E BROAD ST, RICHMOND, VA 1 SR-Open'. The 'Document Category' is 'Individual Settings - N/A'. The 'Individuals' dropdown is open, showing a list of individuals. The individual 'VF - IDOC-Open' is highlighted, indicating it is the selected individual.

Figure 28: In-Activation - Select Individual

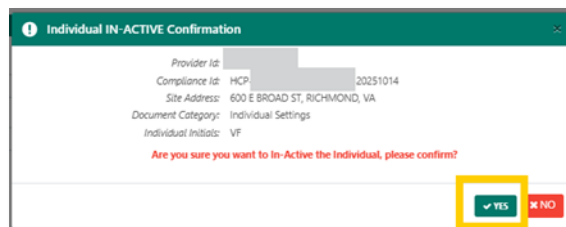
After selecting the individual, click In-Activate Individual:



The screenshot shows the 'Compliance Search' form. The 'Compliance ID' is 'HCP'. The 'Site Details' is '600 E BROAD ST, RICHMOND, VA 1 SR-Open'. The 'Document Category' is 'Individual Settings - N/A'. The 'Individuals' dropdown is open, showing a list of individuals. The individual 'VF - IDOC-Open' is highlighted. The 'In-Activate Individual' button is highlighted, indicating it is the button to click.

Figure 29: In-Activate Individual

In-Active confirmation pop-up is displayed. Click **Yes**:



The screenshot shows the 'Individual IN-ACTIVE Confirmation' pop-up. It displays the following information: Provider Id: [redacted], Compliance Id: HCP, Site Address: 600 E BROAD ST, RICHMOND, VA, Document Category: Individual Settings, Individual Initials: VF. The question 'Are you sure you want to In-Active the Individual, please confirm?' is displayed. The 'YES' button is highlighted, indicating it is the button to click.

Figure 30: Individual Confirmation Pop-up

Individual In-Activate confirmation page is displayed. Enter the reason comments with minimum 30 Characters. Click **Update**. **Individual is now marked as In-Active:**

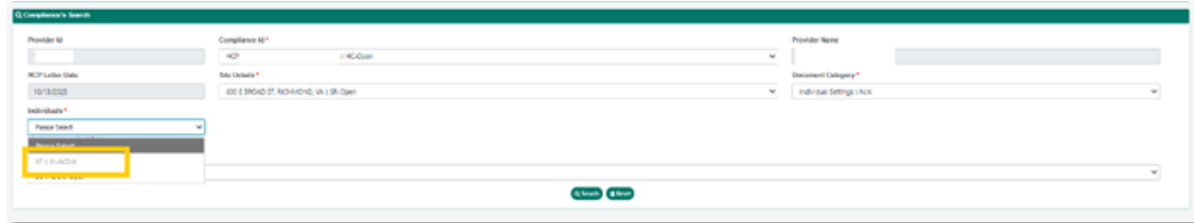


Figure 31: Individual In-Active Indication

3.6 Compliance Action Plan (CAP) Document Upload

A Compliance Action Plan (CAP) is initiated by the Reviewer when a CAP is required for a specific site. Once the CAP is initiated, reviewer will upload the CAP document, making it accessible in the Evaluation tile. An email is also sent to the Provider regarding a CAP initiation for the compliance.

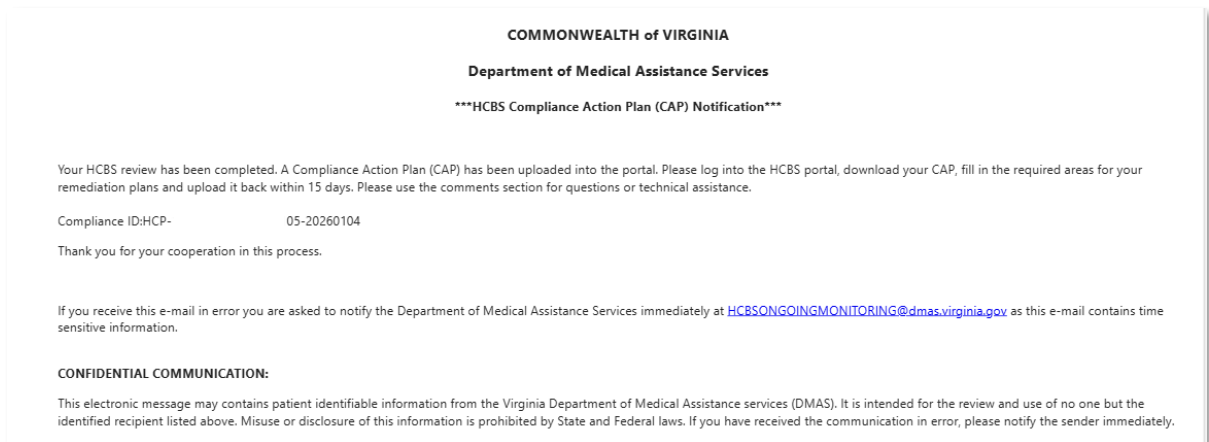


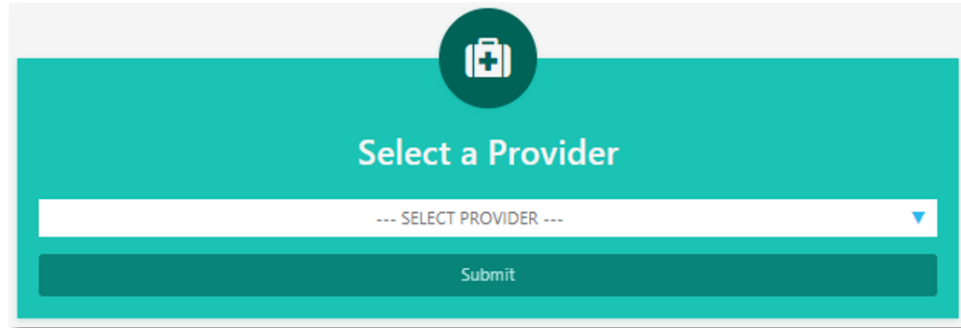
Figure 32: Provider Email

3.6.1 Process Steps:

- Reviewer initiates the CAP for a selected Compliance and SITE.
- The CAP document is uploaded by the reviewer into the portal.
- CAP Document will be available under Evaluation tile for the provider.

3.6.1.1 Provider Access to CAP:

The Select a Provider drop-down is displayed only if a provider is associated with multiple providers. Select the authorized Provider from the Select Provider drop-down list and click *Submit*:



The dialog box has a teal header with a white medical cross icon. Below the header, the text "Select a Provider" is centered. Underneath is a white dropdown menu with the text "--- SELECT PROVIDER ---" and a small teal arrow pointing down on the right. At the bottom is a teal button with the text "Submit" in white.

Figure 33: Select a Provider Dialog

When a Provider is not associated with multiple providers the Select a Provider drop-down will not be displayed, instead users will be directed to the screen below, displaying the Search and Evaluation tiles:

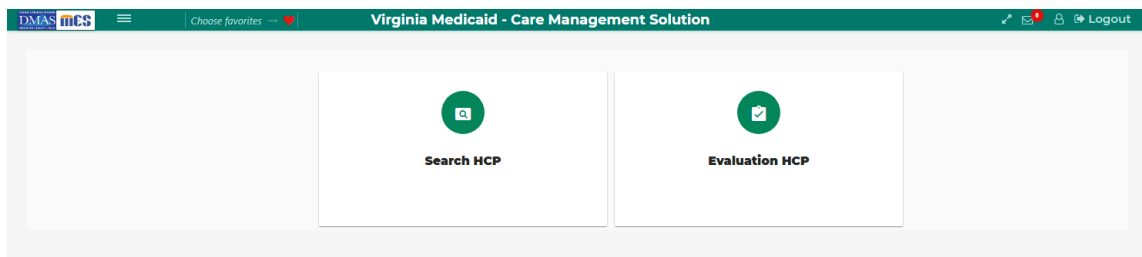


Figure 34: HCP Screen with Search Buttons

Select Evaluation HCP:

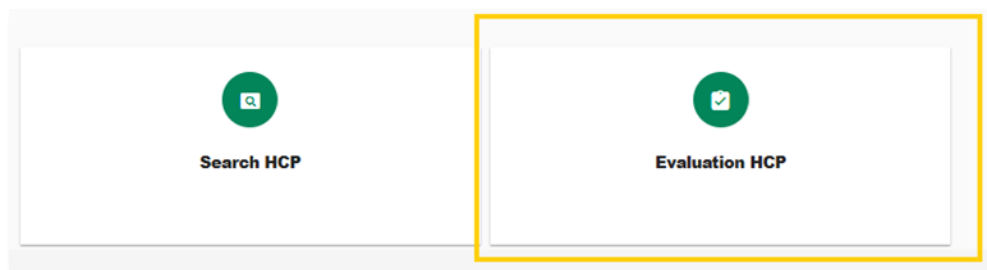


Figure 35: Evaluation HCP Tile

The system displays a list of sites with Active CAP – SC In Progress:

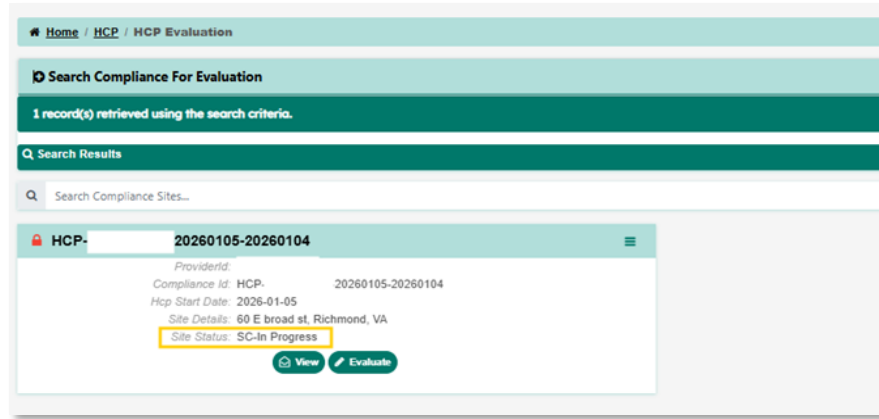


Figure 36: Site Display with Active CAP – SC In Progress

Select the relevant site and click Evaluate:

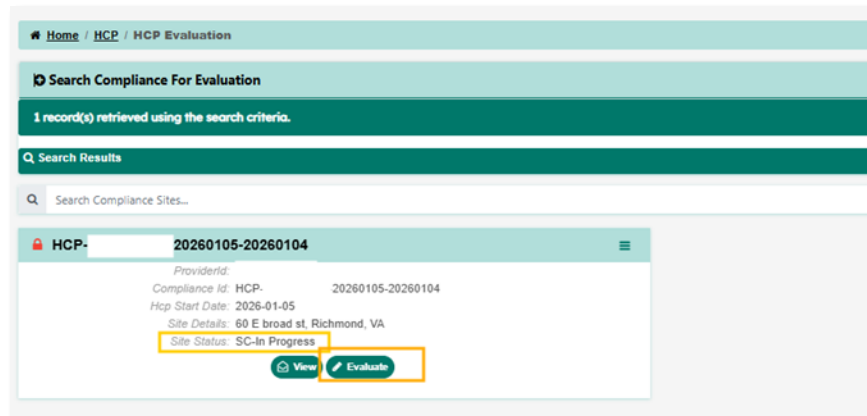


Figure 37: Site Selection and Click Evaluate

3.6.1.2 CAP Evaluation Page:

When the provider clicks Evaluate, a new page opens with the following details:

- CAP Start Date and CAP Due Date – Pre-filled (Read – only).
- List of Files – Uploaded by Reviewer and available for Download.
- Comments Section – Mandatory for Provider Input.
- Add Document – Provider Uploads the response document.
- Submit Button – Provider clicks submit to send the response document to Reviewer

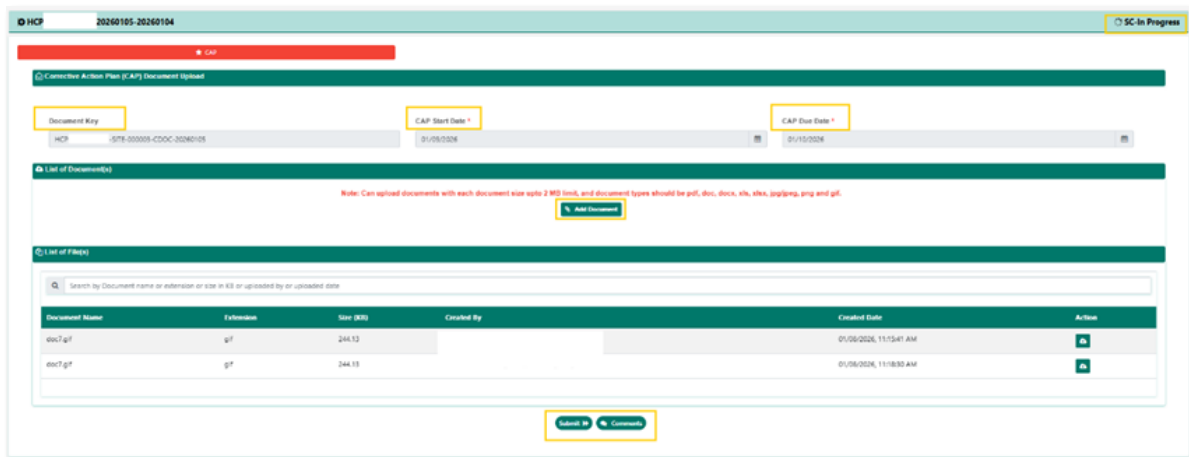


Figure 38: CAP Evaluation Page

3.6.1.3 CAP Status Flow Summary

Table 6: CAP Status Flow Summary

Action	CAP Status
CAP Initiated by Reviewer	SC-Open
CAP document submitted to provider	SC-In Progress
Provider Submits CAP document	SC-In Review
Reviewer returns CAP	SC-In Correction
Reviewer Approves CAP	SC-Complete

The following are screens depicting the various CAP statuses:

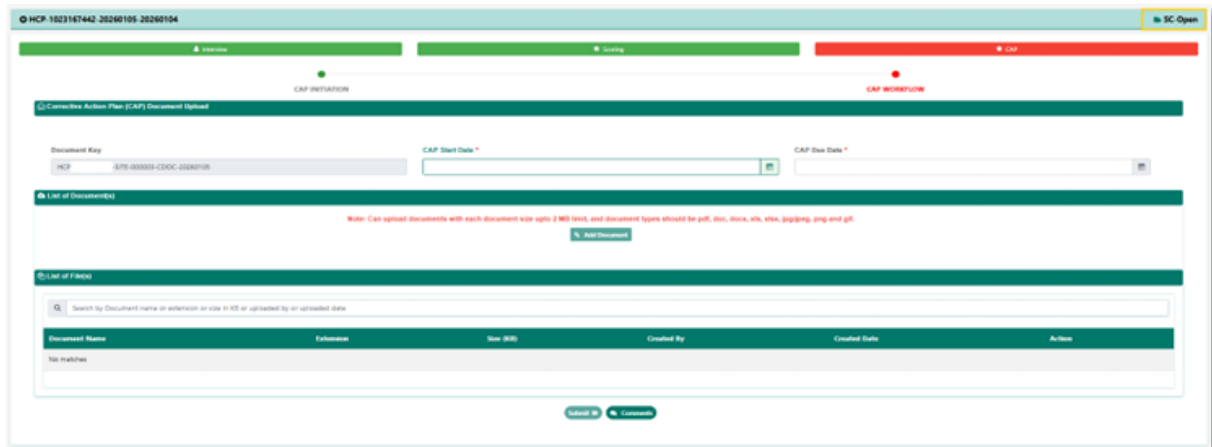
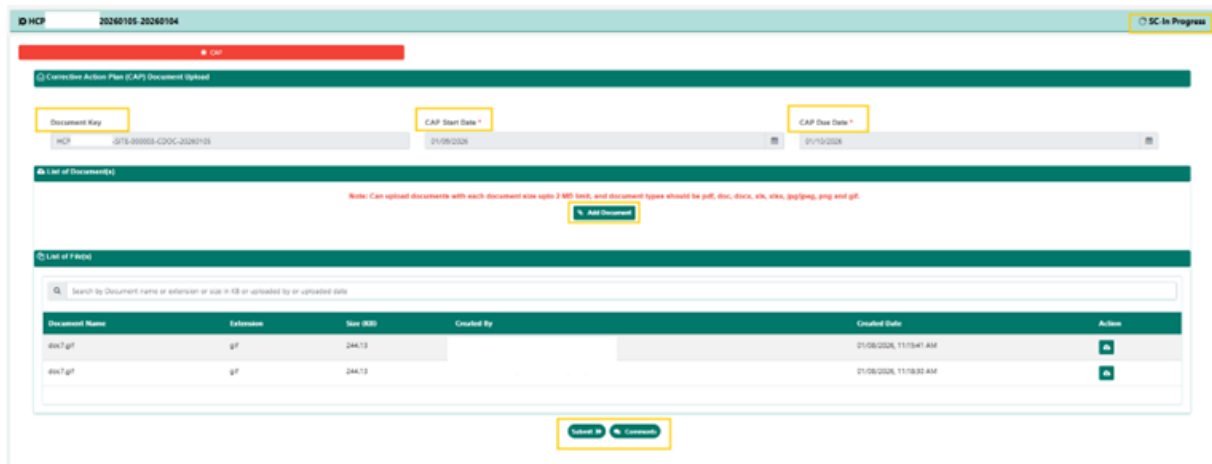
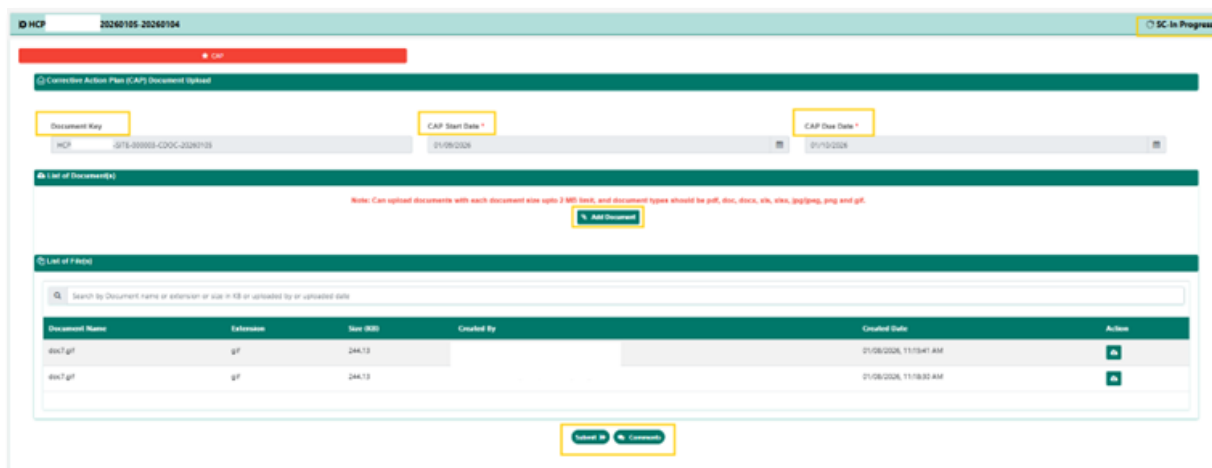


Figure 39: SC Open



Document Name	Extension	Size (KB)	Created By	Created Date	Action
doc7.gif	gif	244.73		01/09/2026, 11:05:47 AM	
doc7.gif	gif	244.73		01/09/2026, 11:06:00 AM	

Figure 40: SC In-Progress



Document Name	Extension	Size (KB)	Created By	Created Date	Action
doc7.gif	gif	244.73		01/09/2026, 11:05:47 AM	
doc7.gif	gif	244.73		01/09/2026, 11:06:00 AM	

Figure 41: SC In-Review

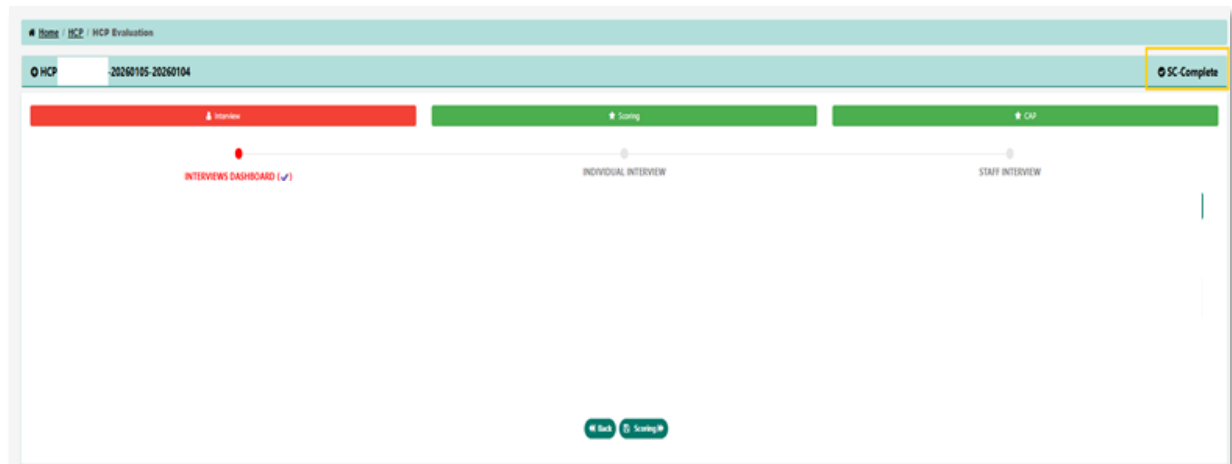


Figure 42: SC Complete

After CAP evaluation is completed (*SC-Complete*), the reviewer returns the documents. Document Category - (SDOC, IDOC, HDOC) which may require the provider re-submit specific documents for final validation to Close the Compliance (HC Closed).

Reviewer returns the document, SR – In Correction, Doc In Correction:

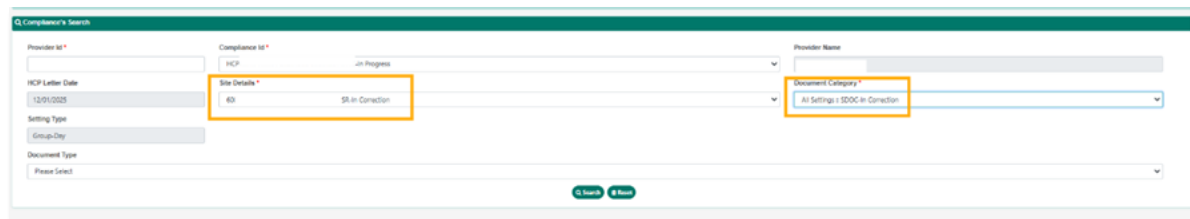


Figure 43: Doc In Correction

Provider submits the documents, SR – In Review, Doc In- Review:



Figure 44: Doc In-Review

Reviewer Approves all documents, SR-Closed, HC- closed, DOC Complete:



Figure 45: Doc Complete

3.6.1.4 Provider Notification on compliance Closure:

Once the Compliance status is HC Closed, an email notification is automatically sent to the provider with CAP Closure Letter Notification:

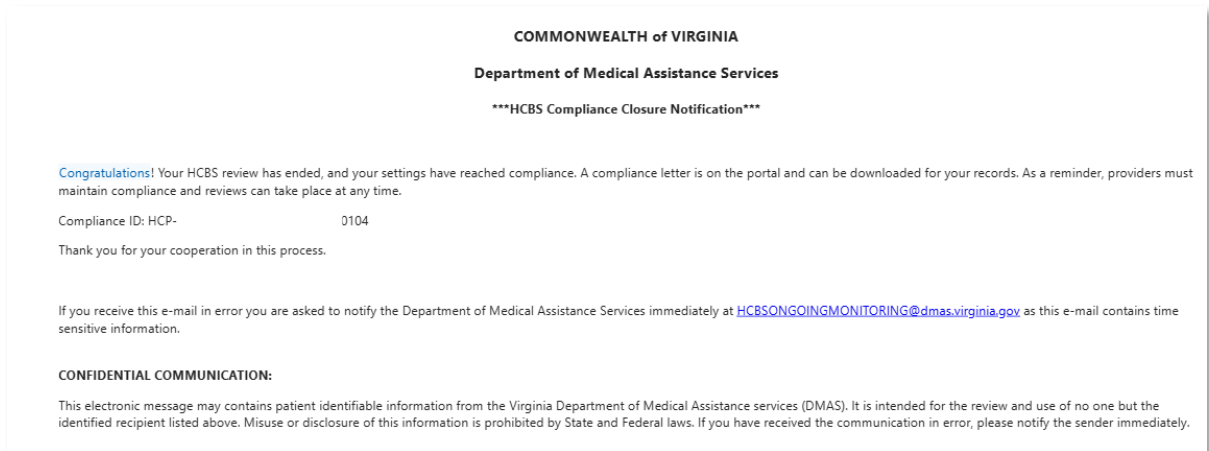


Figure 46: Email Notification

Closure letter will be available for the provider by selecting the compliance id:

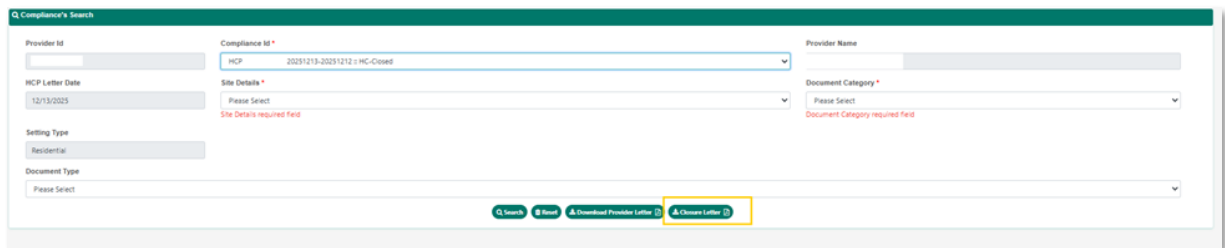


Figure 47: Closure Letter



4 HCP USER MANAGEMENT

4.1 User Access Roles

Once registered for MES, HCP users are issued role-based access for HCBS by Contract Administrators or Primary Account Holders (PAHs). Users only have access to the features and functionality that are associated with the role(s) they are assigned.

There are two Authorized User roles for HCBS Provider:

- CRMS_PRT_HCP_UPLOADER
- CRMS_PRT_HCP_VIEWER

Table 7: Role/Permissions Matrix

ACCESS/ROLE	CRMS_PRT_HCP_VIEWER	CRMS_PRT_HCP_UPLOADER
View/download Documents	☒	☒
Upload SITE Setting Documents/ CAP Response	N/A	☒
Add/Edit comments	N/A	☒
Deleting documents	N/A	N/A
Inquiry	☒	☒
HCP Interview & Scoring	N/A	N/A
HCP CAP Initiation & Closing	N/A	N/A
CAP Document Upload	N/A	☒



This page left intentionally Blank