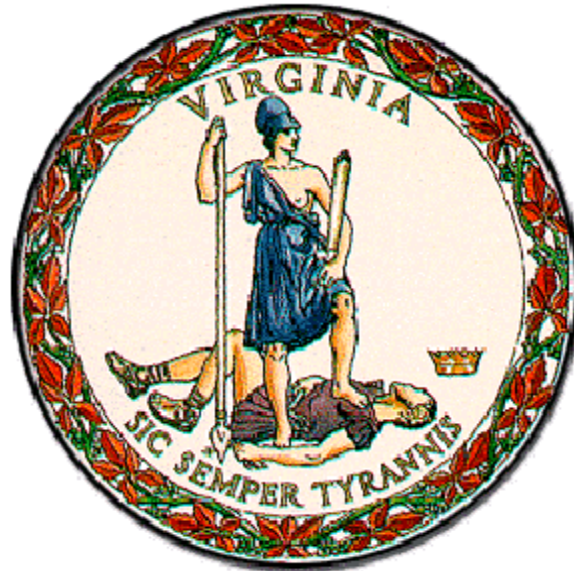


COMMONWEALTH OF VIRGINIA



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

Home and Community-Based Services Provider User Manual

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Department of Medical Assistance Services (DMAS)

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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:

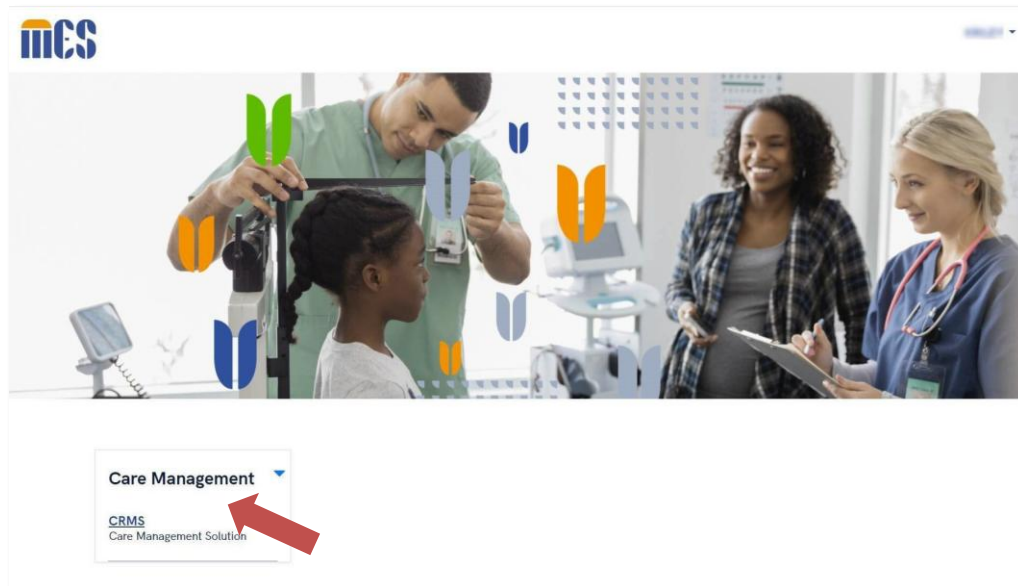


Figure 1: Menu page displaying the CRMS MES module

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*:

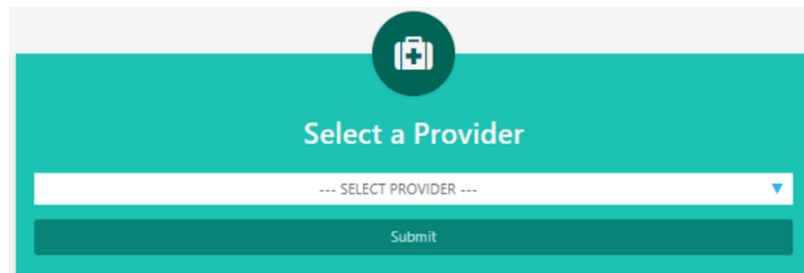


Figure 2: "Select a Provider" drop-down

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:

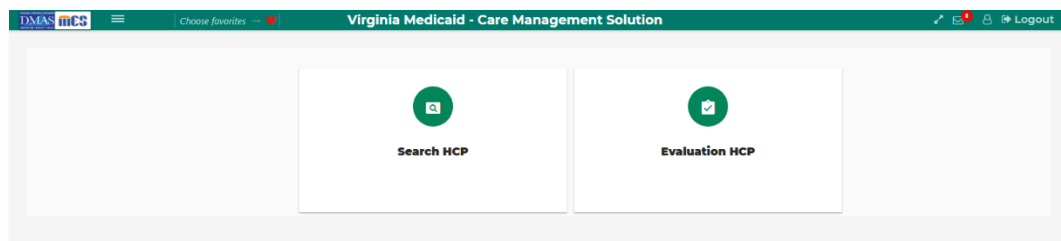


Figure 3: Home/Compliance Search page with Search and Evaluation Choices

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):

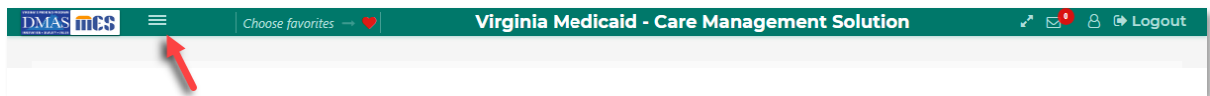


Figure 4: HCP - Activate Menu from the Top Bar

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:

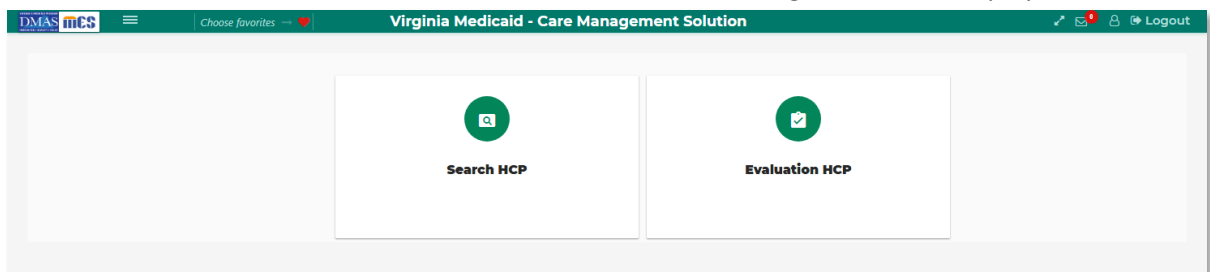


Figure 6: HCP Screen with Search Buttons

3.3 Provider Letter Download

To Download a provider letter, Click the Search HCP tile and Select the Compliance Id and Click the Download Provider letter Button.

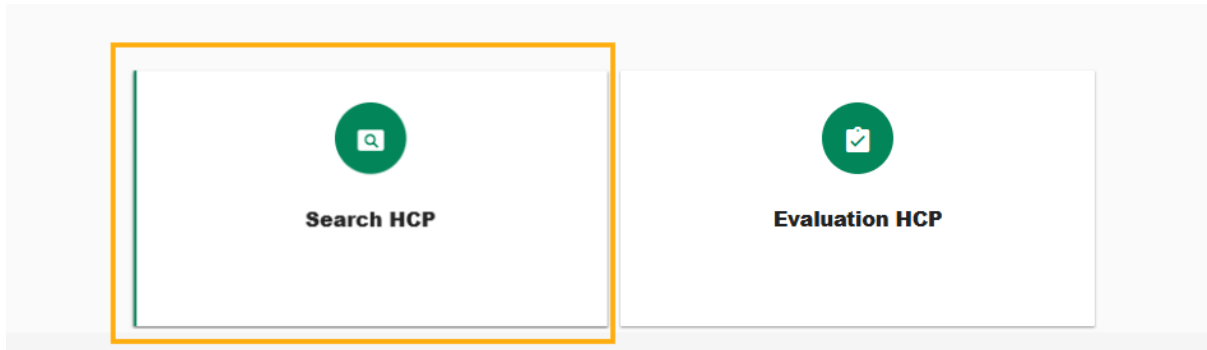


Figure 7: Search HCP tile

Figure 8: Download Provider Letter

3.4 Provider Document Upload

3.4.1 Compliance Search

To initiate a Compliance search, click the *Search HCP* tile. The Compliance Search page will be displayed. The Provider ID is automatically populated, and is based on the previously selected provider:

Figure 9: Compliance Search Page

3.4.1.3 Action Buttons

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.
- Download Provider Letter

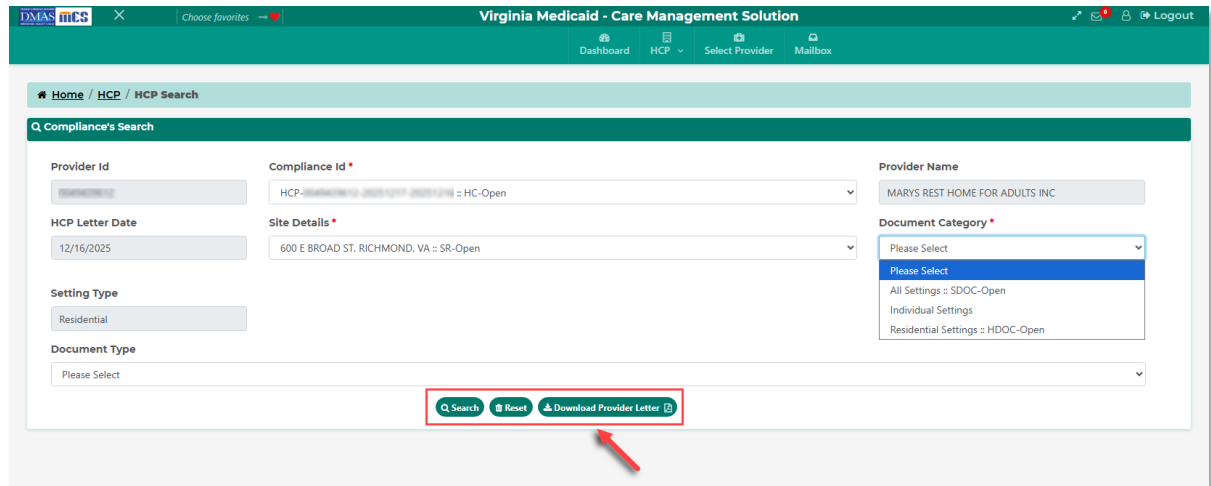


Figure 12: Action Buttons

3.4.1.4 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:

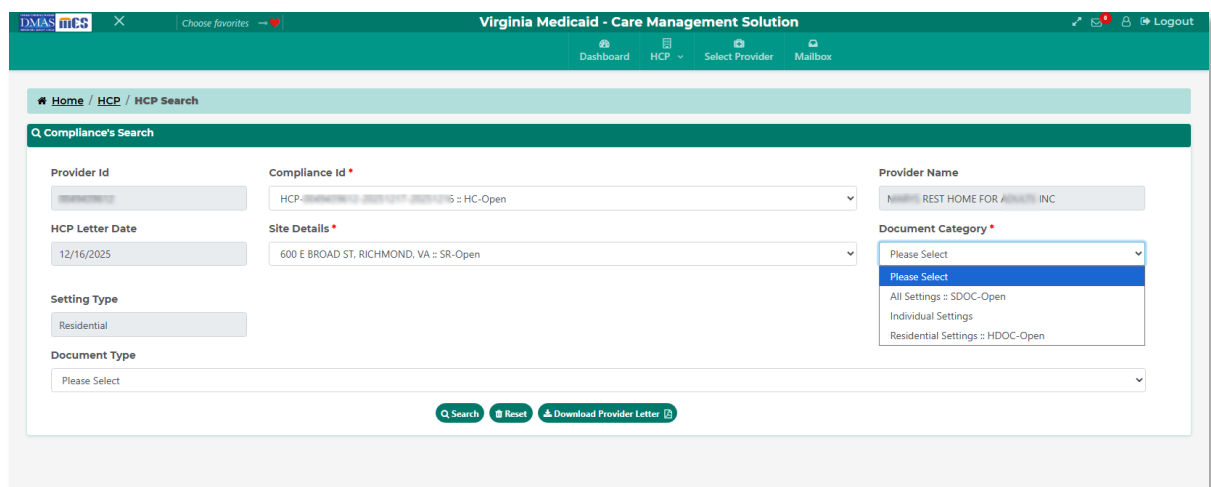


Figure 13: Document Category Selection

3.4.1.5 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:

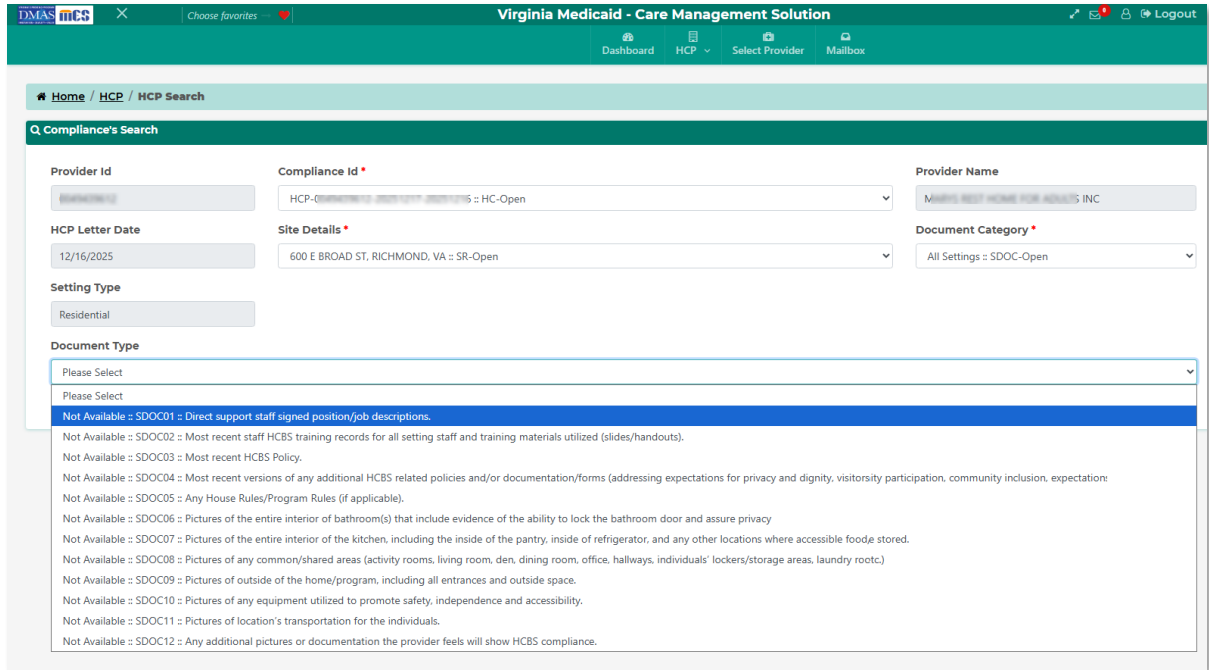


Figure 14: Document Type Selection

3.4.1.6 Upload a Document

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

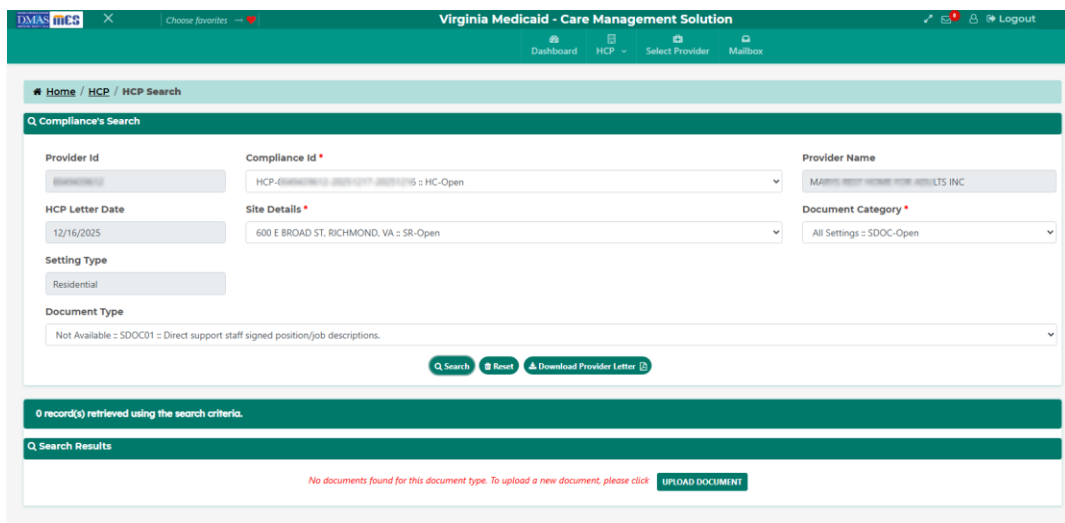


Figure 15: Upload Document Button appearance

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

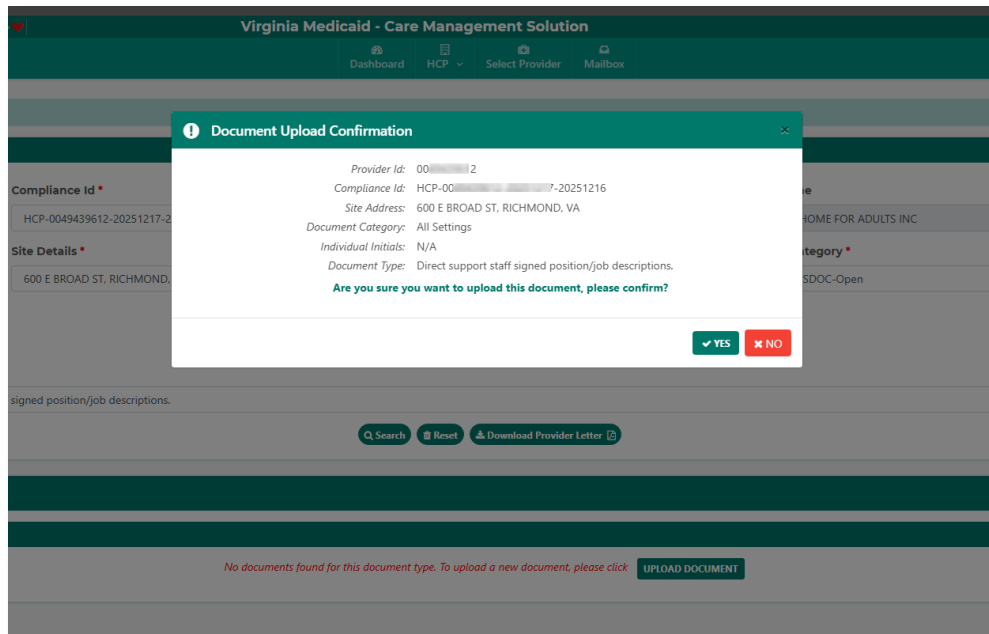


Figure 16: Upload Document Pop-Up

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**.
- Accepted File types - pdf, txt, xml, docx, doc, doc, xls, xlsx, jpg/jpeg, gif, png, csv and zip.
- Maximum File Size – 20 MB.
- Google Chrome is a recommended browser to use when uploading and downloading the files.

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



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, hallways, individuals’ lockers/storage areas, laundry room, lofts, etc.)	SDOC08	Y	Y
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 transportation location 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, activity/transportation logs, etc. if this information is not included in progress notes) covering dates of:	IDOC07 (Ask for the date range)	Y	N
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

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

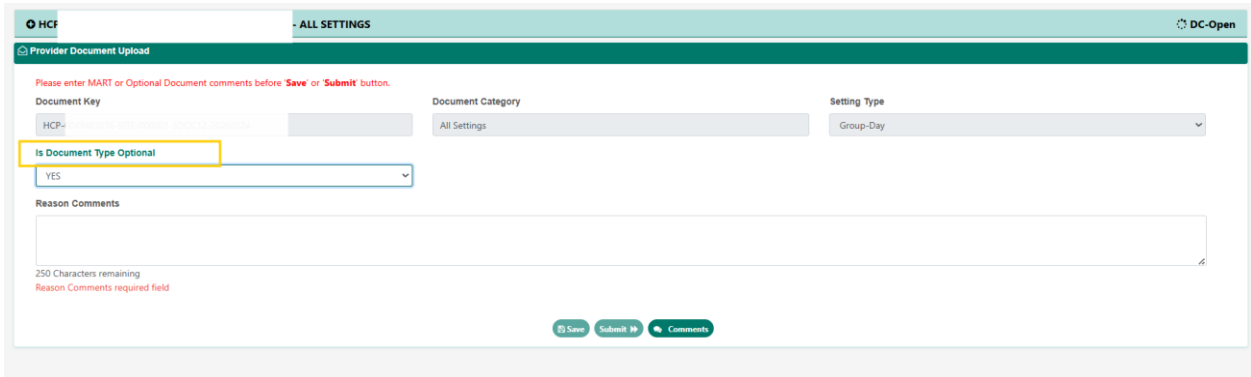


Figure 18: OPTIONAL Comments entry screen.

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

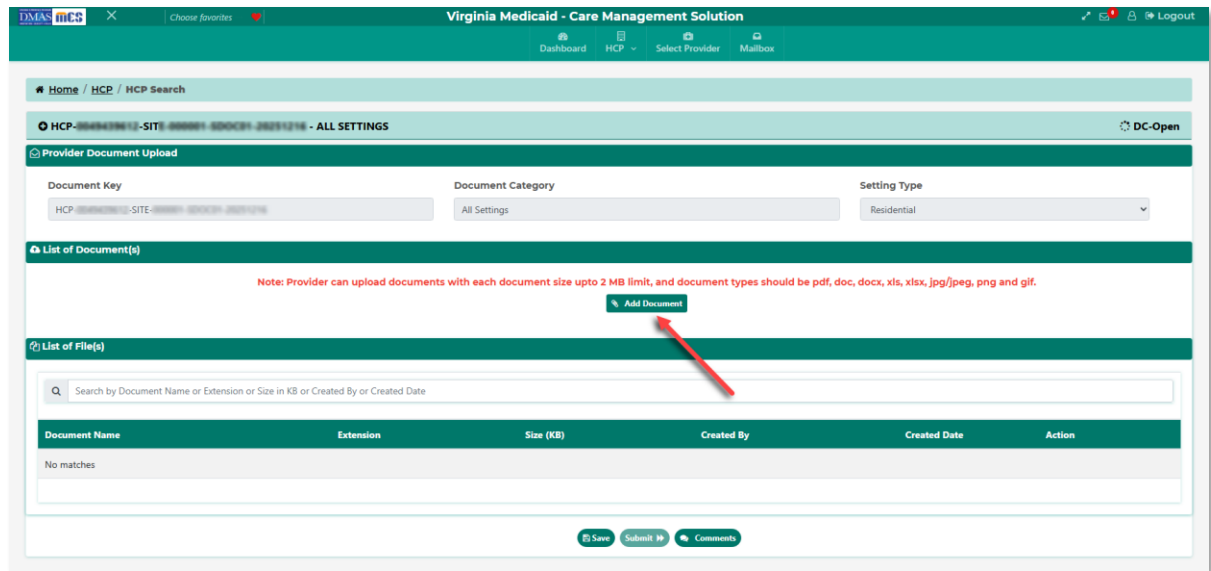


Figure 19: Document Upload Screen - Add Document

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

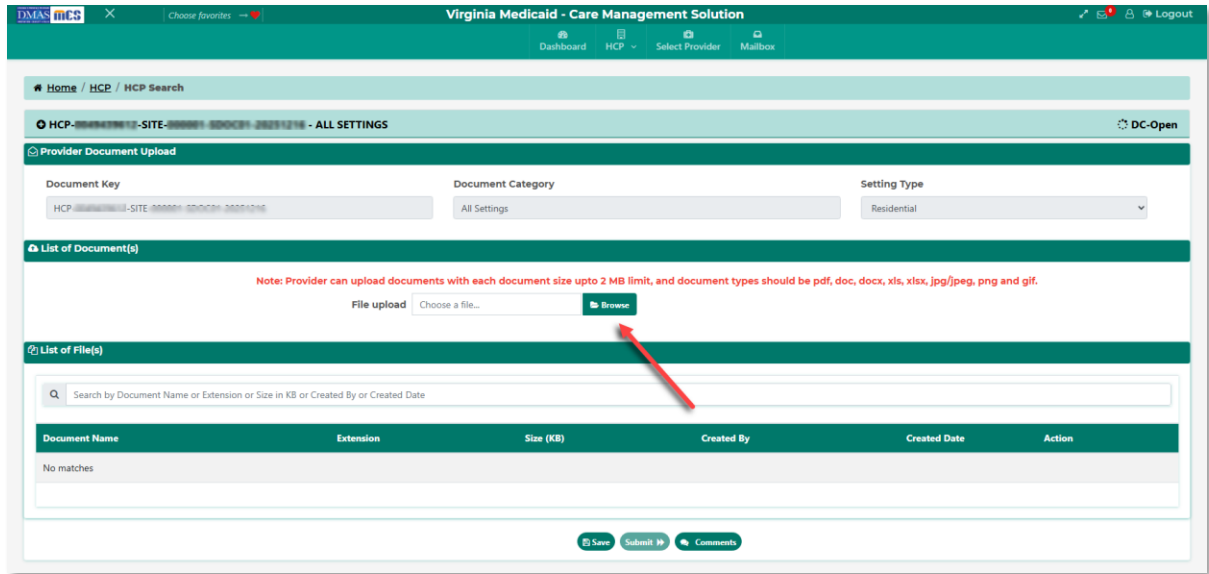


Figure 20: Document Upload Screen – Browse

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.

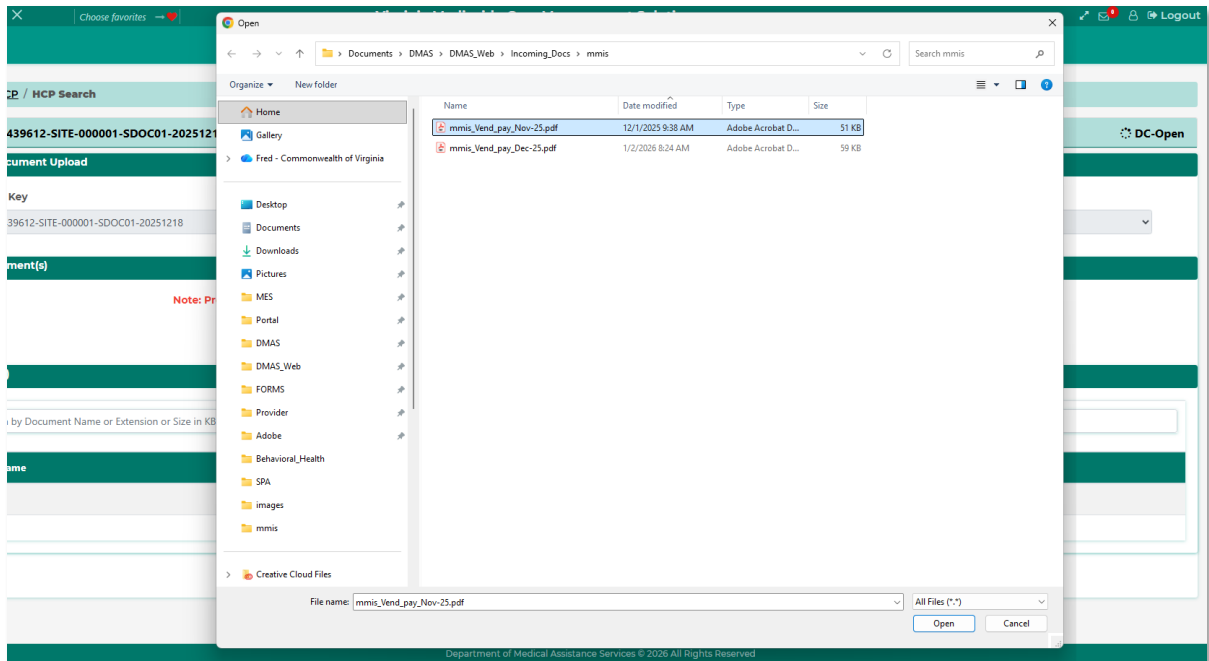


Figure 21: Upload Screen - File Open Dialog

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

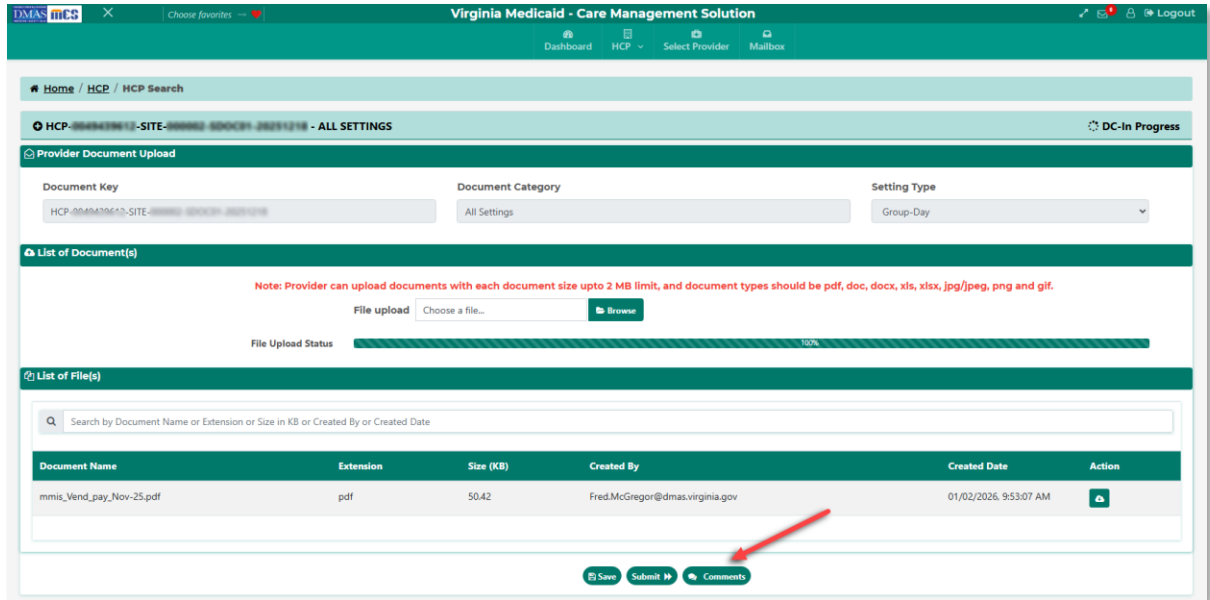


Figure 22: Status Screen - File upload complete

During the document submission process, Provider Comments are optional, if Provider wants to add a comment, Click the *Comments* button, and on the next screen click *Add New Comment*:

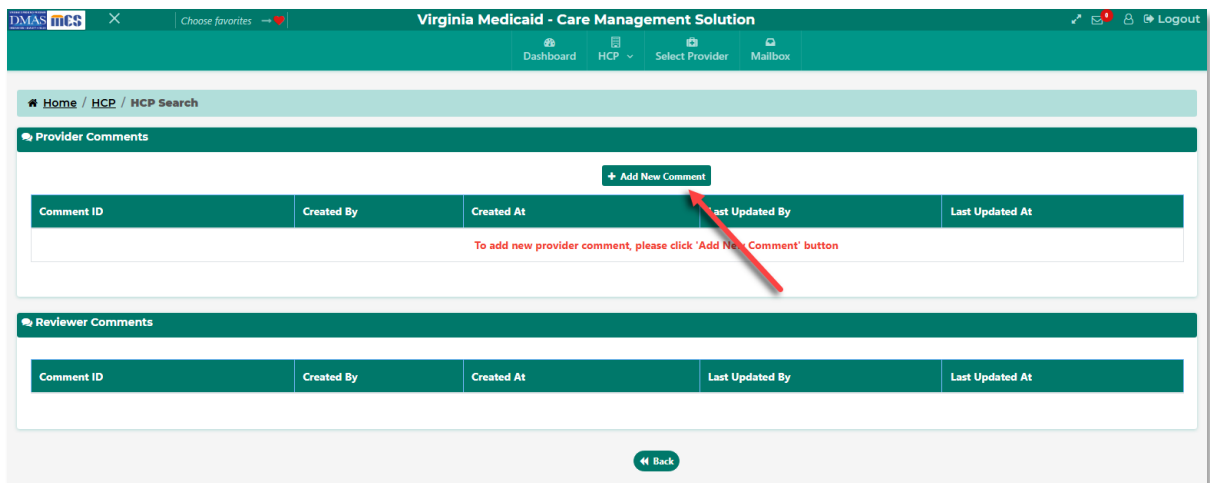


Figure 23: Provider Comments screen - New Comment button

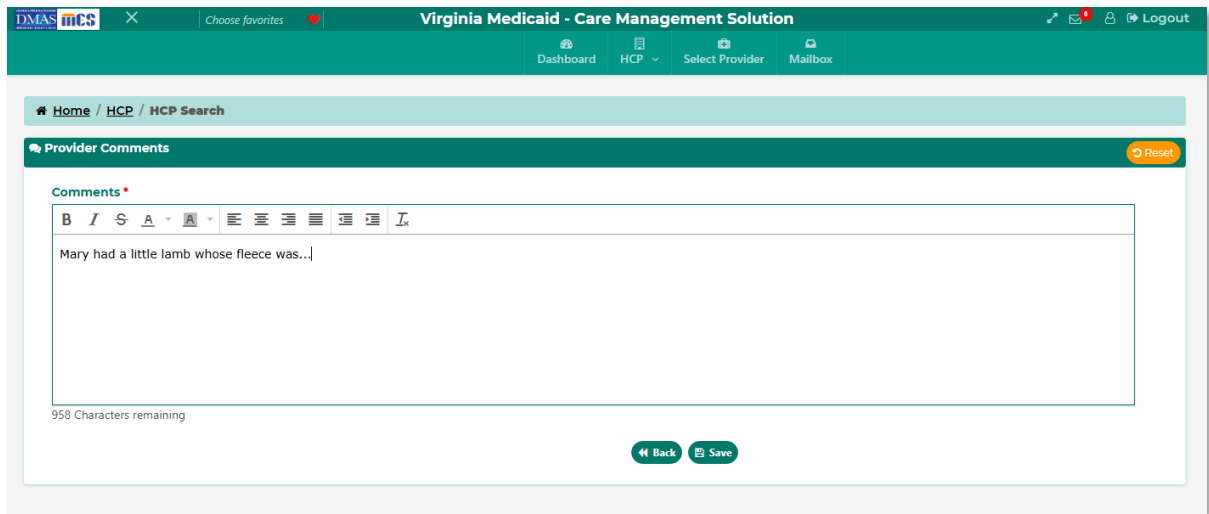


Figure 24: Provider Comments screen - type comments

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

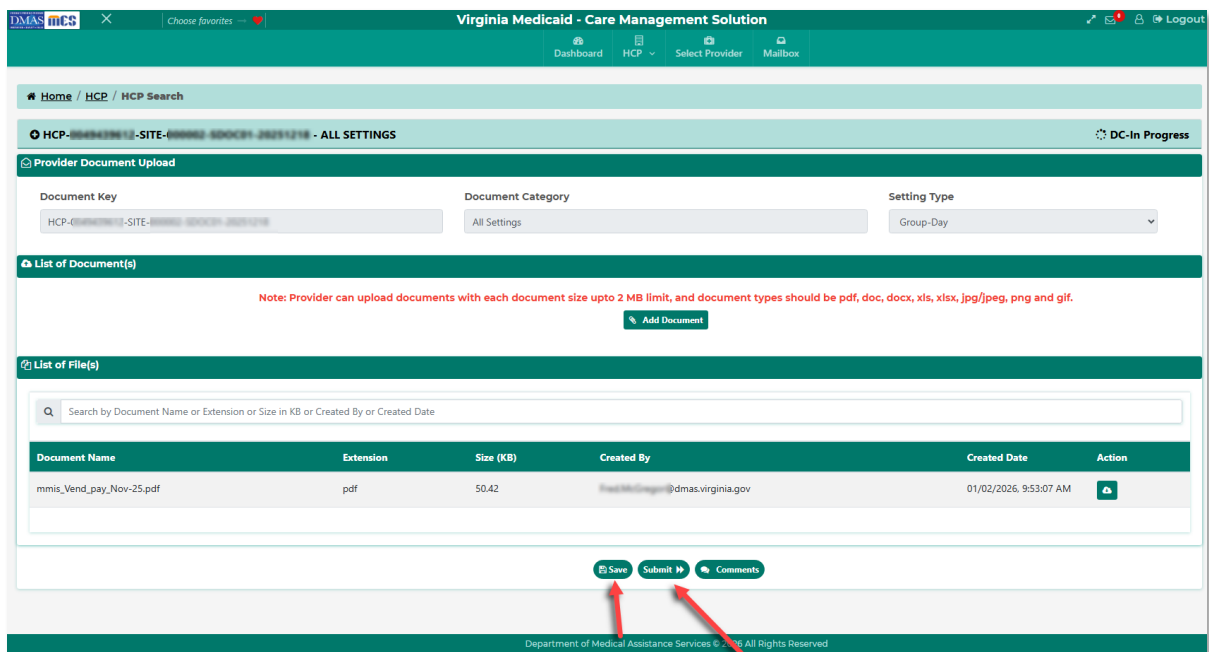


Figure 25: HCP Search Screen with Save and Submit buttons

3.4.1.7 Post – Submission Confirmation Tile

After a document successfully submitted, the system displays a confirmation tile Providing navigation options for the user. This tile shows the completed document type details and shows Two buttons which allows the user to either continue uploading another document type or return to main Search HCP and Evaluation tiles.

- Done
- HCP Search Continue

3.4.1.7.1 Done

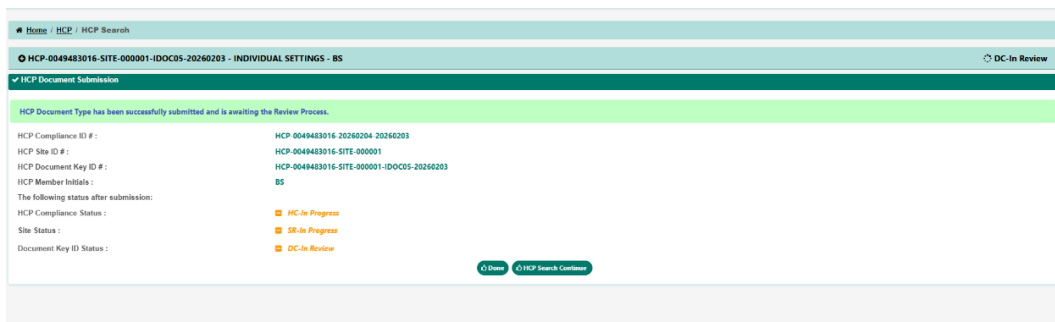


Figure 26: HCP Document Submission Confirmation Tile

If the user selects done, the system navigates back to the main HCP Navigation page.

From this the user can access Search HCP or Evaluation HCP. The user can select either option to continue submitting documents.

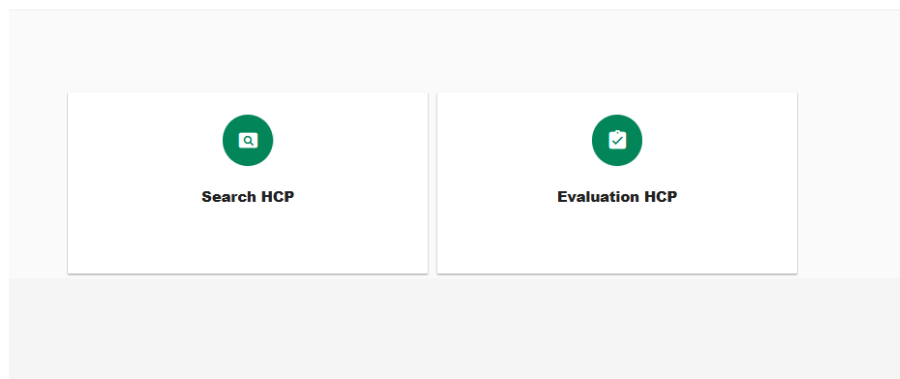


Figure 27: Done Button redirecting to Search HCP and Evaluation HCP

3.4.1.7.2 HCP Search Continue:

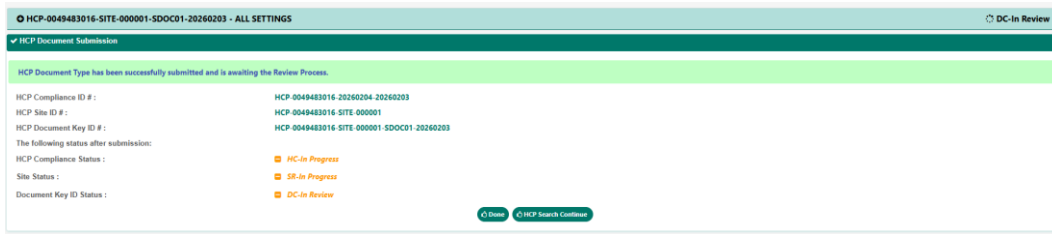


Figure 28: Successful Document Submission message

The HCP Search continue button enables the user to continue submitting additional documents without restarting from Search HCP.

When the user clicks HCP Search Continue, a confirmation Pop Up appears with the following Yes or No options.

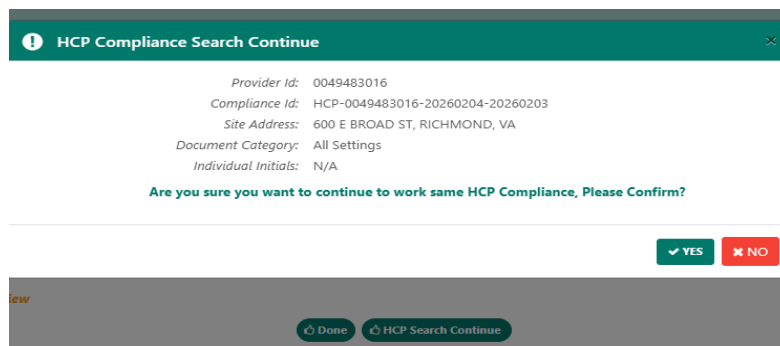


Figure 29: HCP Compliance Search Continue confirmation Pop Up

Yes: When the user selected Yes, the system navigates back to the document upload page with previously selected values pre – populated, including:

- Compliance Id
- Site
- Document category
- Document Type (Last submitted).

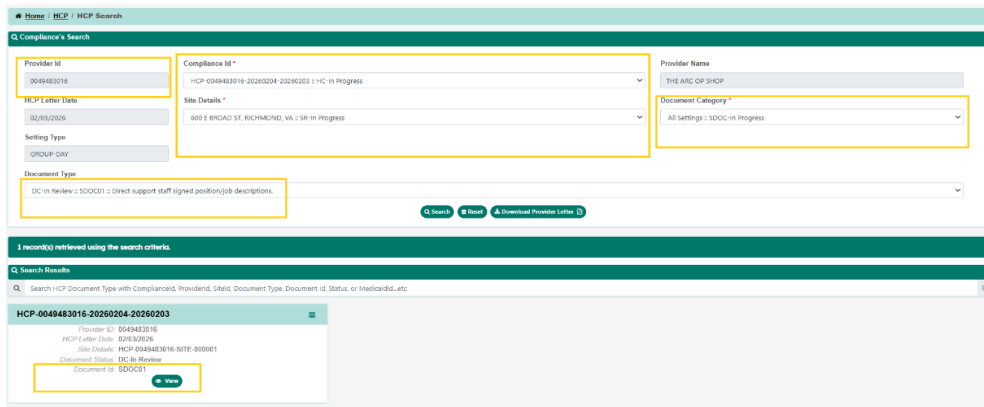


Figure 30: Pre-Populated fields when using HCP Search Continue

From this Page, the user may:

- Change document type and submit another document.
- Change the Compliance ID, Site, Document category, Document Type.
- Continue Uploading Additional documents by changing Document type.

No: When the user selected No, no navigation occurs. The system keeps the user on the same page and the confirmation tile remains displayed.

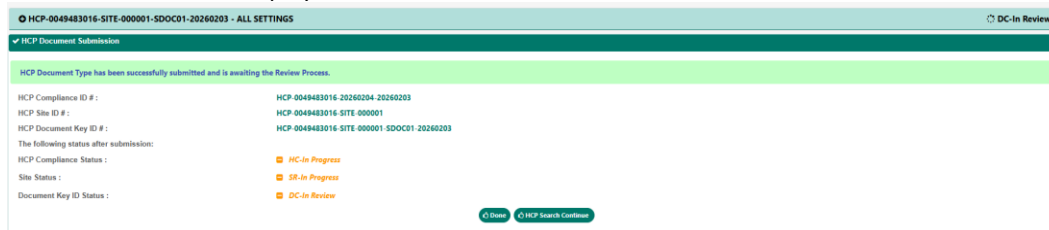


Figure 31: HCP Document submission confirmation tile

3.5 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*.

3.5.1 Status Hierarchy:

Statuses are maintained across four levels in the Hierarchy:

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

3.5.1.1 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):

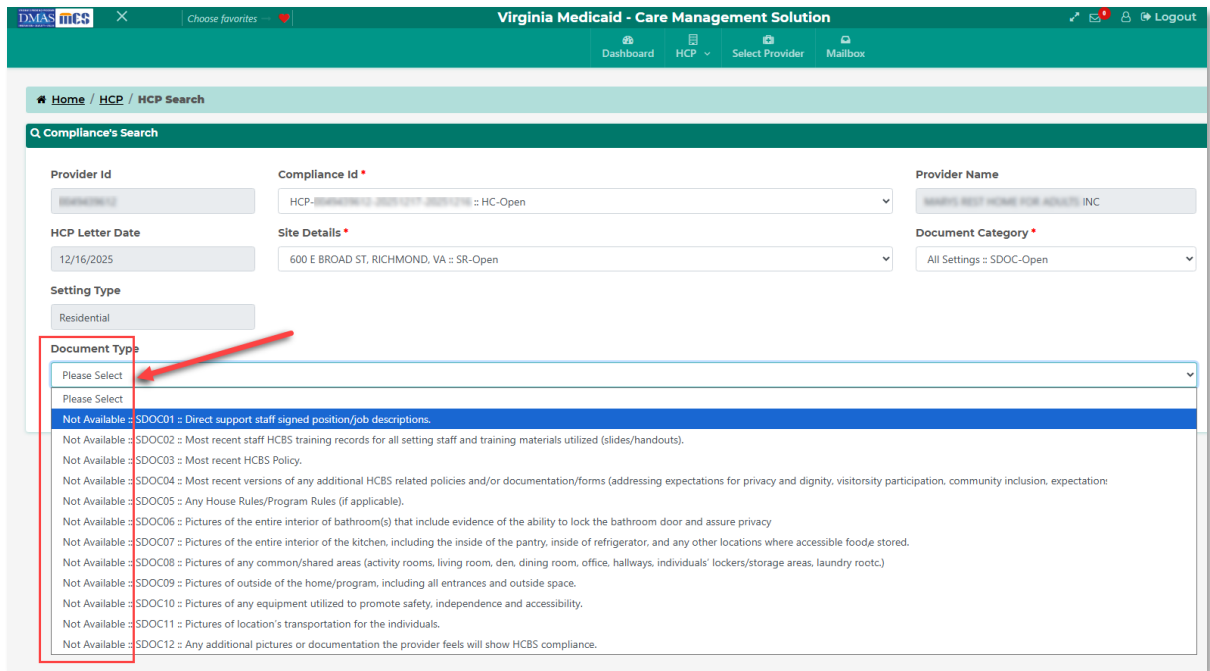


Figure 32: Document Type - Drop-Down

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 may enter Comments Optionally before submission
Documents submitted for Review	DC In Review	The documents have been submitted and is awaiting reviewer action (Approve/return).
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

Action	Document Type Status	Description
Reviewer approves document	DC-Complete	The document is reviewed and approved

3.5.1.2 Provider Comments during Document Submission:

During the document submission process, Provider Comments are optional.

When a provider submits a document:

- Provider may submit the documents with comments (Minimum 15 characters), or
- Provider may submit the document without entering the comments.

Note: If the comment is fewer than 15 characters, an error message will display. Additionally, the system does not allow us to save comment.

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

3.5.2 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 uploaded 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**
 1. When a reviewer returns the document after review, the system sends an email notification to Provider to inform that the document has been returned for Correction
 2. The email notification with Subject Line **Action Required – Document Returned for Correction**, HCP Compliance id and Site Address.

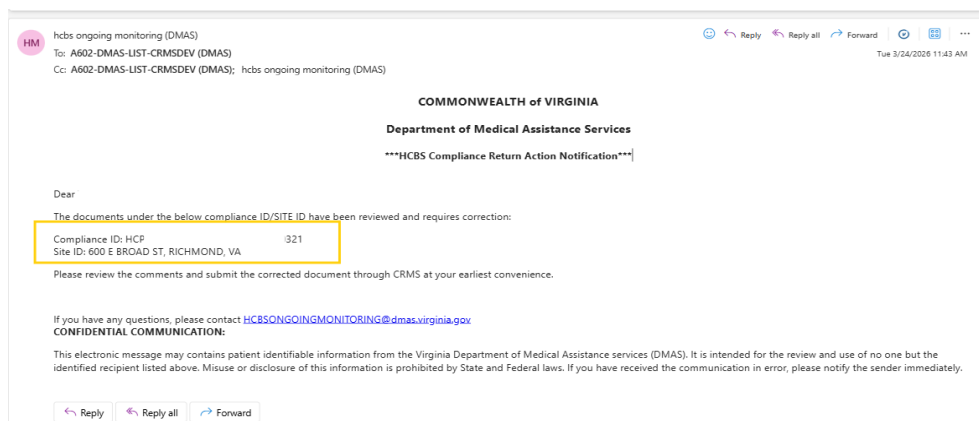


Figure 33: Email notification of Returned document - DOC In Correction



- 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

3.5.2.1 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

3.5.3 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

3.6 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.

3.6.1 Site Inactivation:

Select Compliance id and site Details:

Figure 34: 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 35: 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 36: In-Active Comments page

Site is now marked as *Inactive*:

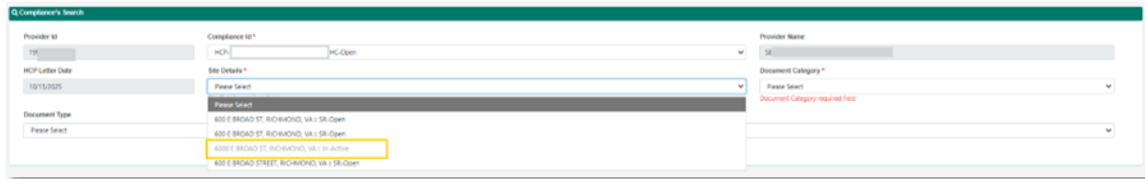


Figure 37: Inactive Indication

3.6.2 Individual In-Activation

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

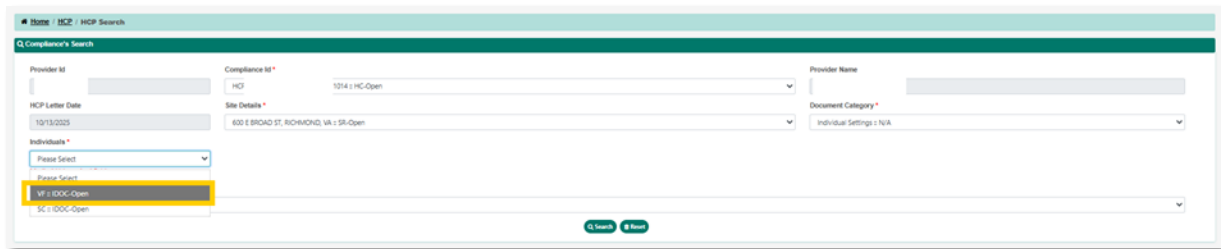


Figure 38: In-Activation - Select Individual

After selecting the individual, click In-Activate Individual:

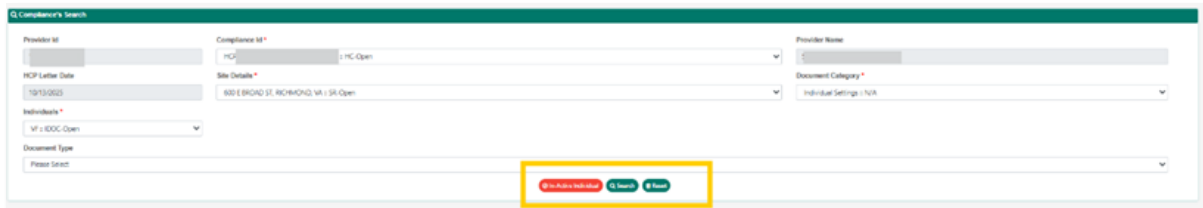


Figure 39: In-Activate Individual

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

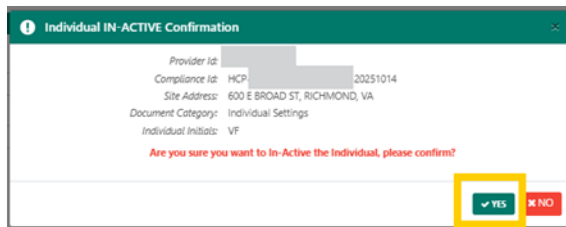


Figure 40: Individual Confirmation Pop-up

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

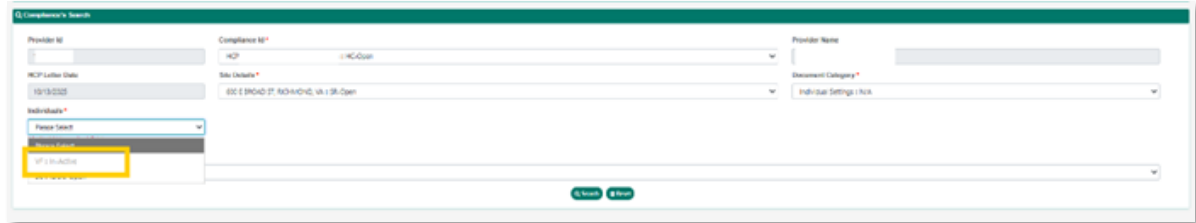


Figure 41: Individual In-Active Indication

3.7 Compliance Action Plan (CAP) Document Download

To Download the Compliance Action Plan (CAP) Document. Click On Evaluation Tile and Select the active CAP – SC In Progress and Click Evaluate.

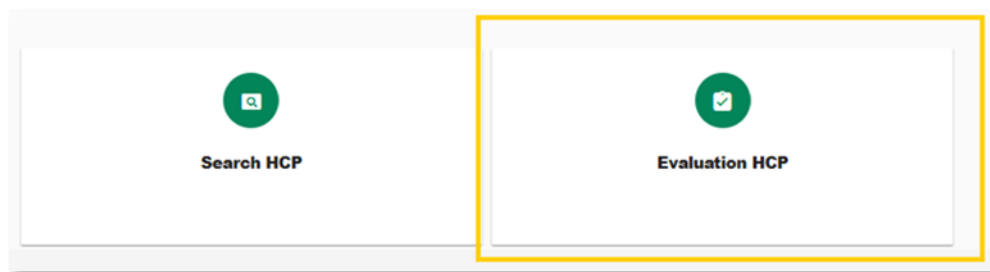


Figure 42: Select Evaluation HCP Tile

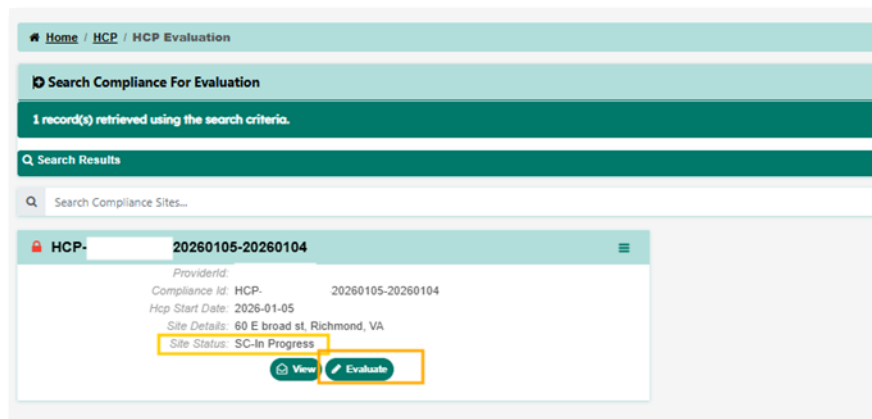


Figure 43: Select Evaluate Button

Click On Download button to view the CAP document Sent by Reviewer

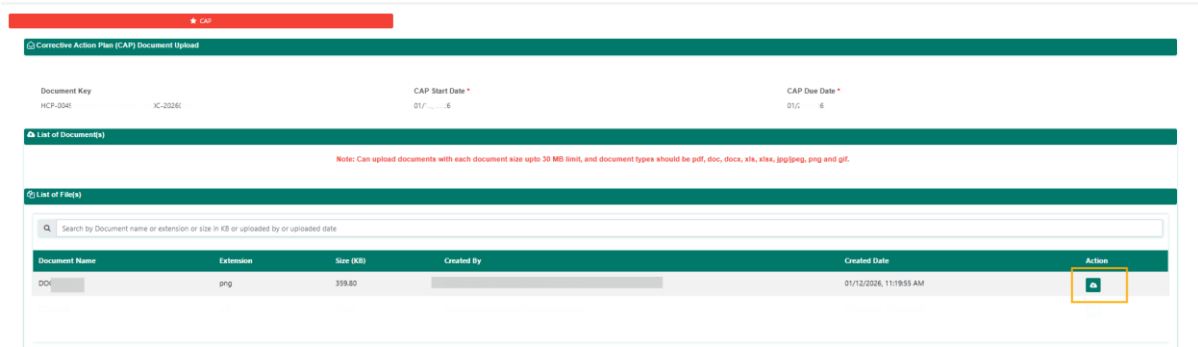


Figure 44: Download CAP Document sent by Reviewer

3.8 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.

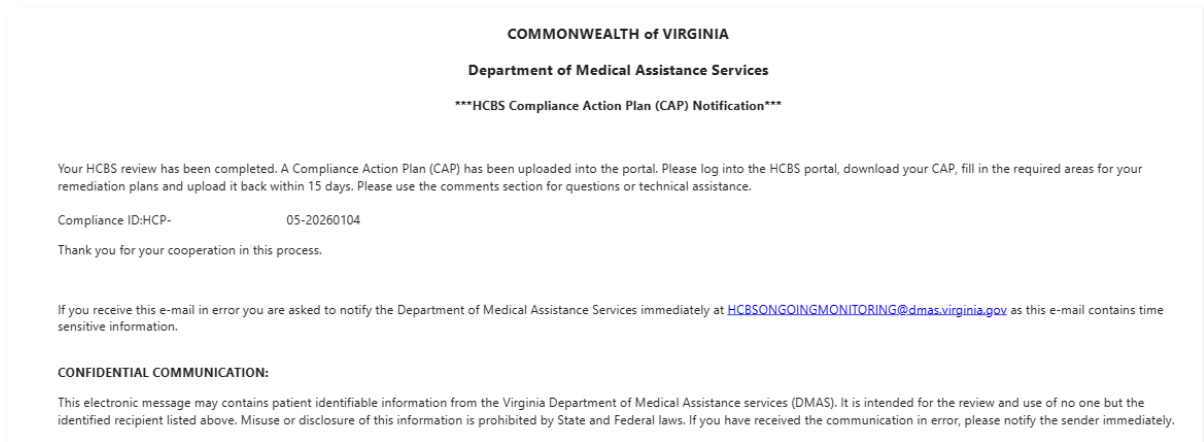


Figure 45: Provider Email

3.8.1 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.

3.8.1.1 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*:

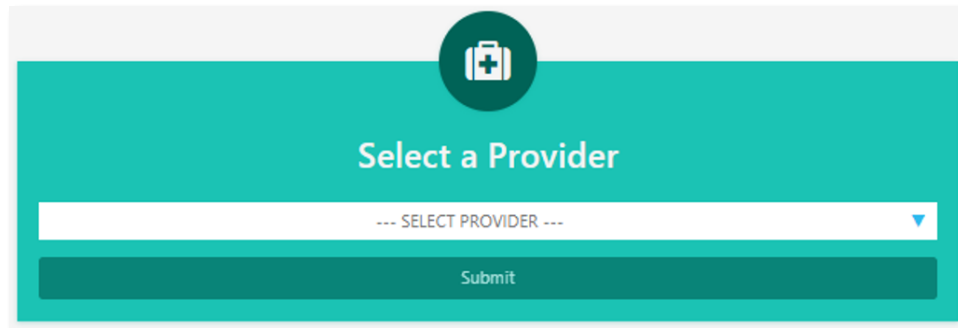


Figure 46: Select a Provider Dialog

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:

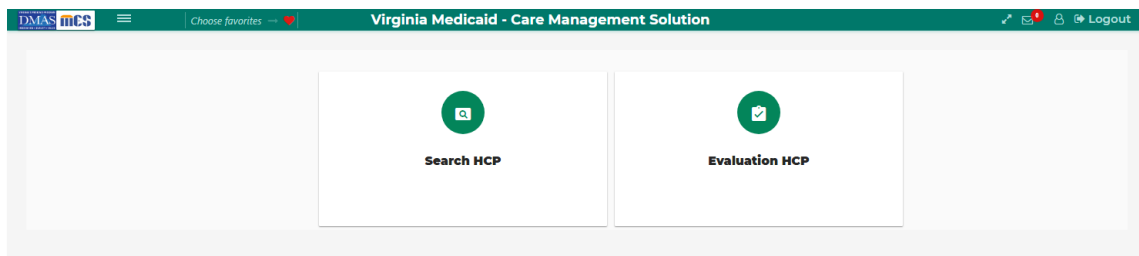


Figure 47: HCP Screen with Search Buttons

Select Evaluation HCP:

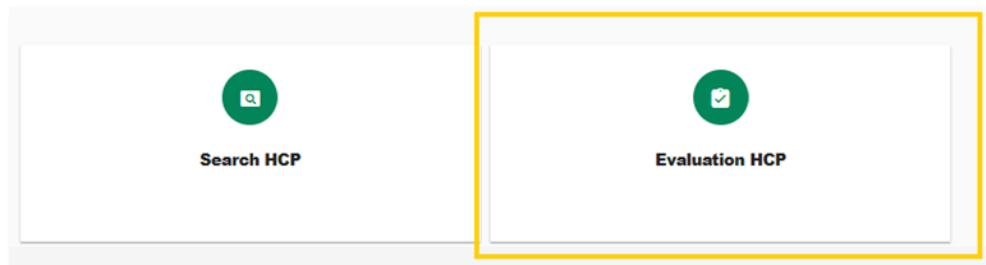


Figure 48: Evaluation HCP Tile

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

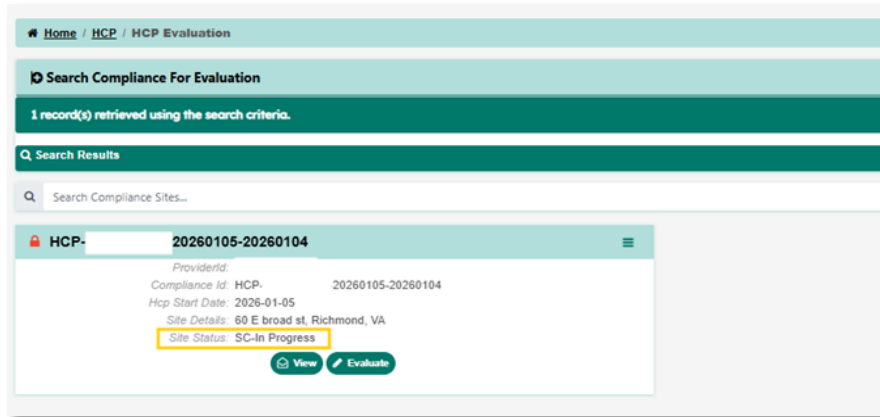


Figure 49: Site Display with Active CAP – SC In Progress

Select the relevant site and click Evaluate:

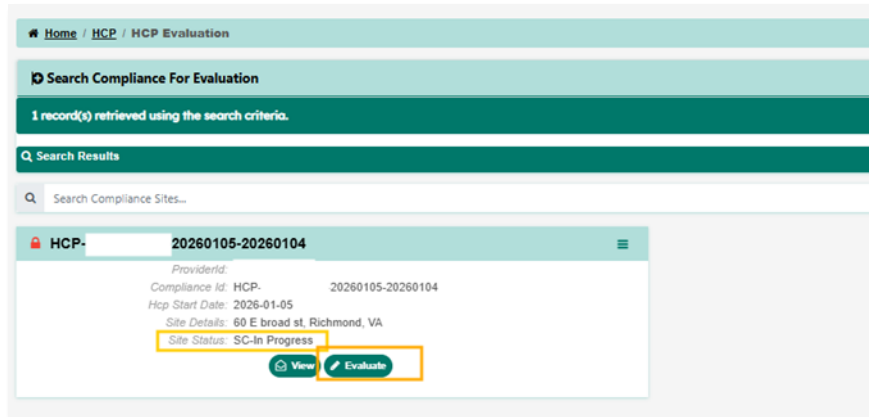


Figure 50: Site Selection and Click Evaluate

3.8.1.2 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 CAP response document.
- Submit Button – Provider clicks submit to send the CAP response document to Reviewer.
- Accepted file types – pdf, txt, xml, docx, doc, xls, xlsx, jpg/jpeg, gif, png, csv, and zip.
- Maximum File Size – 20 MB.
- Google Chrome is a recommended browser to use when uploading and downloading the files.

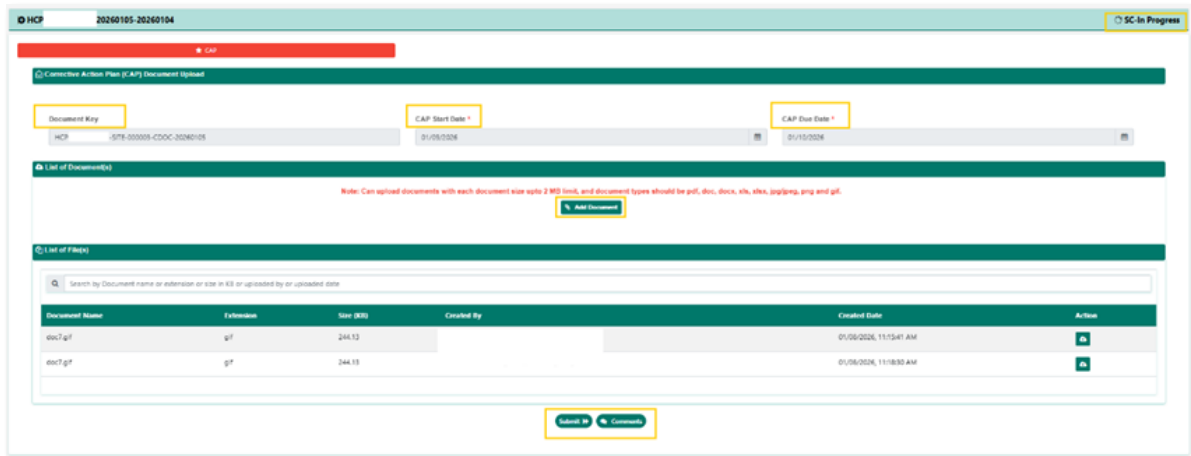


Figure 51: CAP Evaluation Page

3.8.1.3 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:

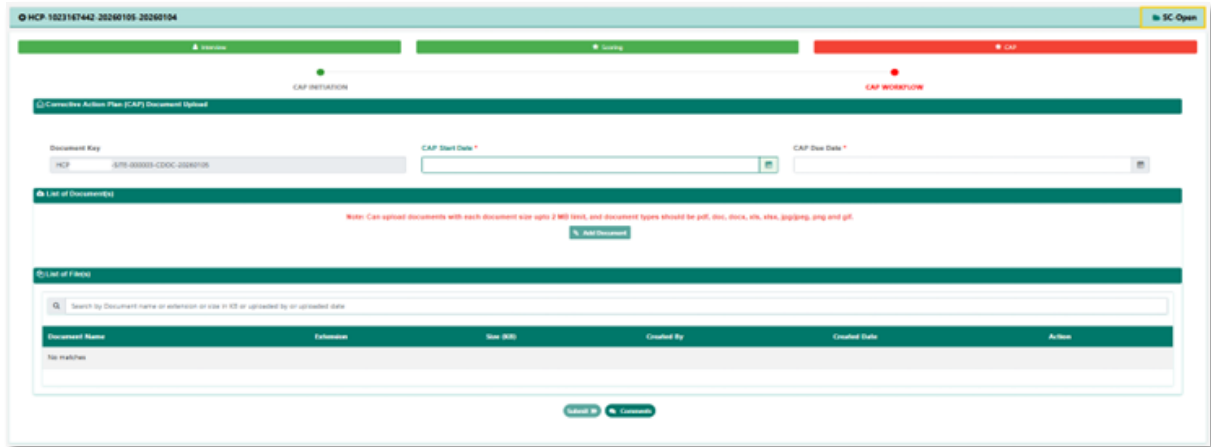


Figure 52: SC Open

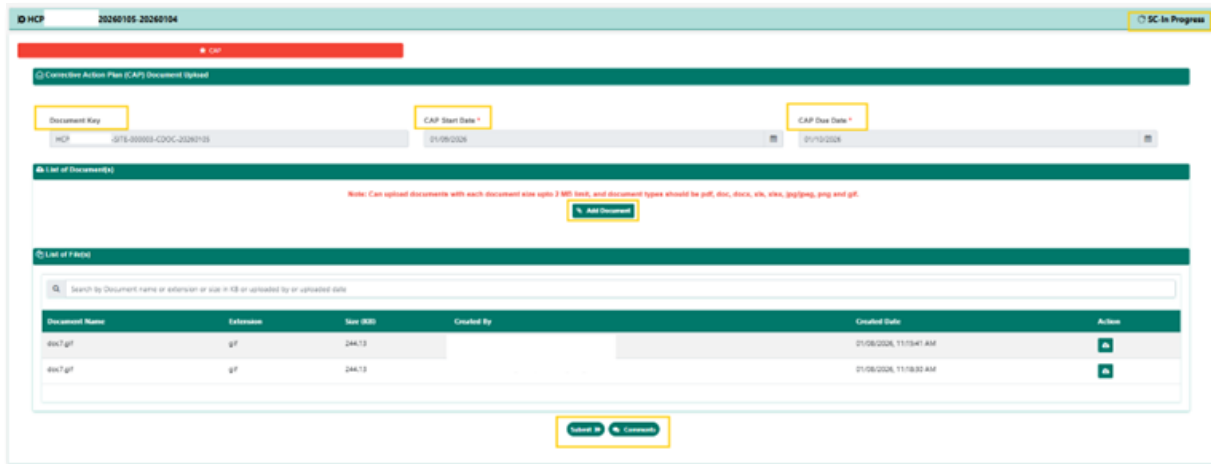


Figure 53: SC In-Progress

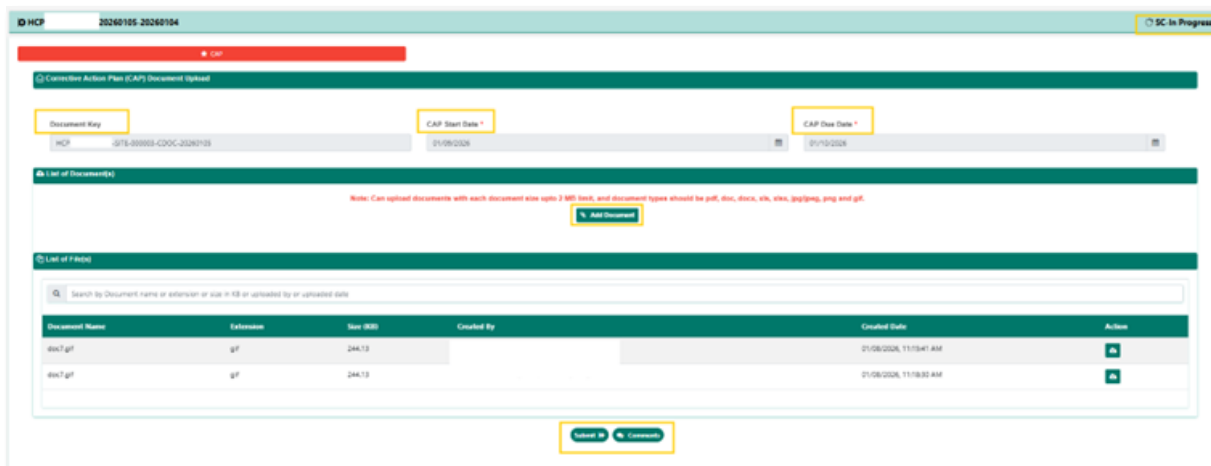


Figure 54: SC In-Review

3.8.1.3.1 Email Notification when Reviewer Returns a CAP Document

When a reviewer returns a CAP Document during the review Process, the system sends an email notification with Subject Line **Action Required – CAP Response Returned for Correction**, HCP Compliance ID and SITE address.

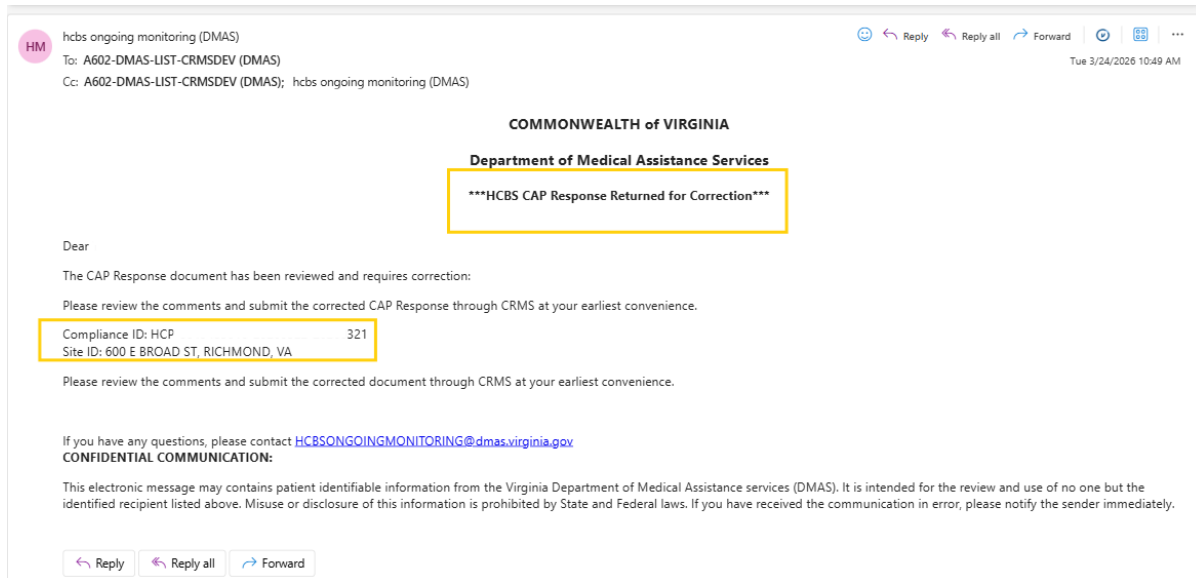


Figure 55: Email notification for CAP Response Returned for Correction

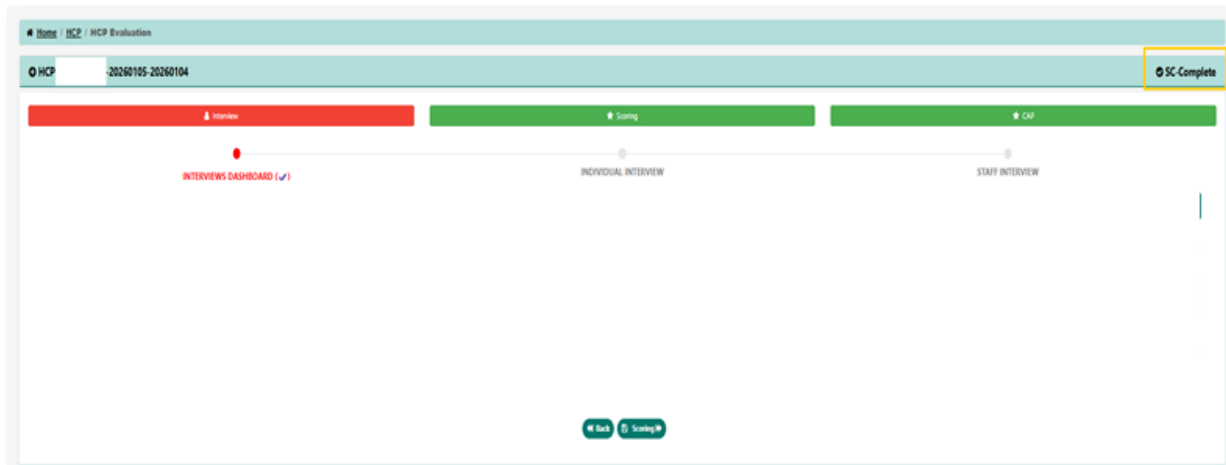


Figure 56: SC Complete

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

After CAP Evaluation, Reviewer returns the Provider documents -

1. When a reviewer returns the document after review, the system sends an email notification to Provider to inform that the document has been returned for Correction

2. The email notification with Subject Line **Action Required – Document Returned for Correction**, HCP Compliance id and Site Address.

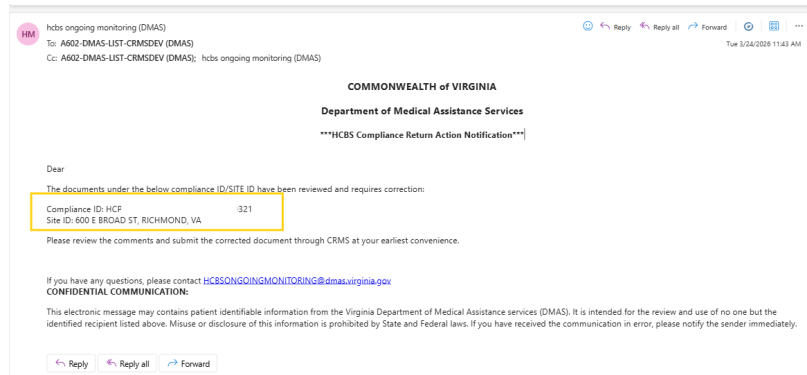


Figure 57: Email Notification for Document Returned

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



Figure 58: Doc In-Review

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



Figure 59: Doc Complete

3.8.1.4 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:

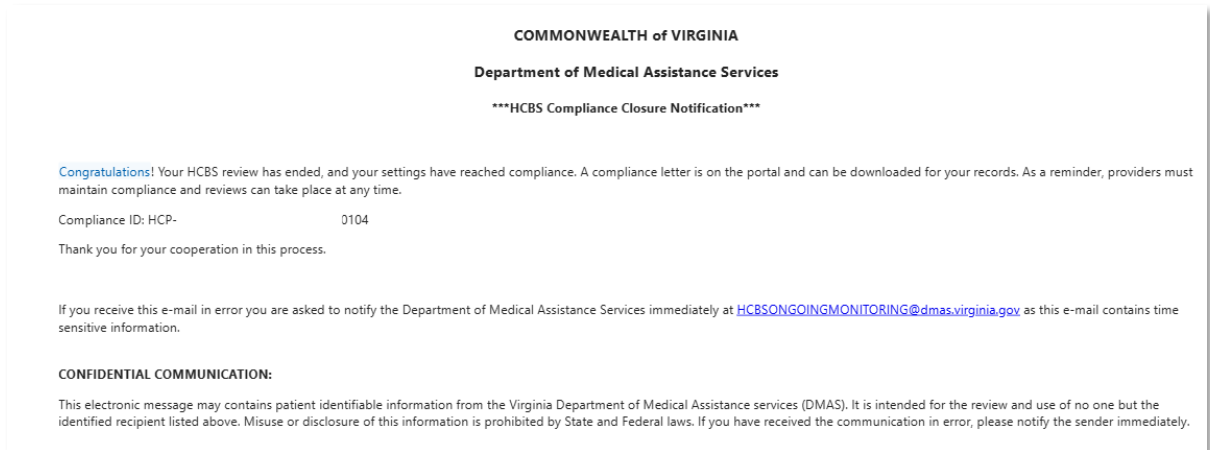


Figure 60: Email Notification

3.9 Compliance Closure Letter Download

To Download a Compliance Closure letter, Click the Search HCP tile and Select the Compliance Id and Click the Closure letter Button.

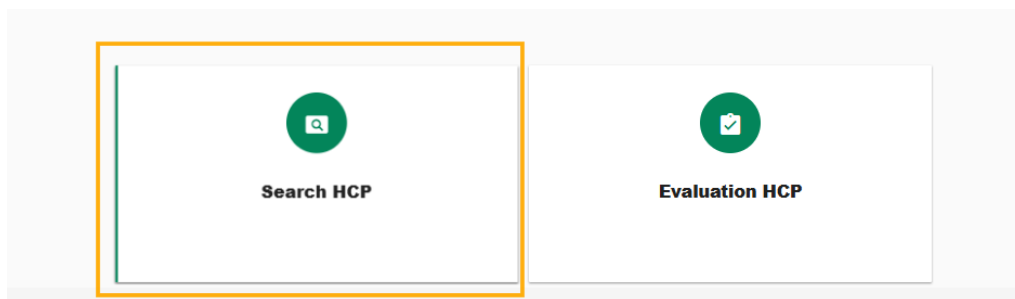


Figure 61: Search HCP tile

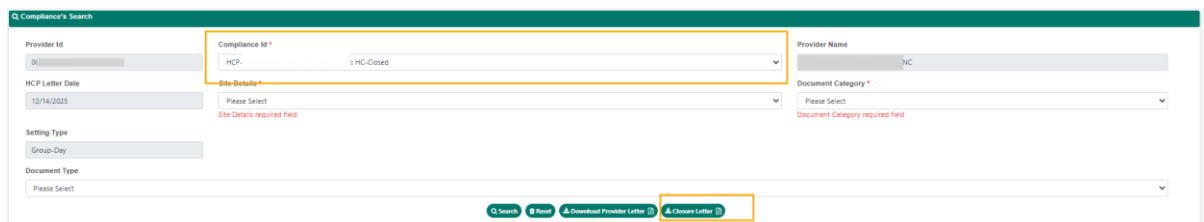


Figure 62: Download Closure Letter



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	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Upload SITE Setting Documents/ CAP Response	N/A	<input checked="" type="checkbox"/>
Add/Edit comments	N/A	<input checked="" type="checkbox"/>
Deleting documents	N/A	N/A
Inquiry	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
HCP Interview & Scoring	N/A	N/A
HCP CAP Initiation & Closing	N/A	N/A
CAP Document Upload	N/A	<input checked="" type="checkbox"/>