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State/Territory Name: Maine

State Plan Amendment (SPA) #: 17-002

This file contains the following documents in the order listed:

- 1) Approval Letter
- 2) CMS 179 Form
- 3) Approved SPA Pages

DEPARTMENT OF HEALTH & HUMAN SERVICES
Centers for Medicare & Medicaid Services
JFK Federal Building, Government Center
Room 2275
Boston, Massachusetts 02203



Division of Medicaid and Children's Health Operations / Boston Regional Office

June 13, 2017

Ricker Hamilton, Acting Commissioner
Department of Health and Human Services
11 State House Station
221 State Street
Augusta, Maine 04333-0011

Dear Commissioner Hamilton:

Enclosed is an approved copy of Maine's State Plan Amendment (SPA) 17-002 which was submitted to CMS on April 13, 2017. SPA 17-002 implements an electronic Asset Verification System (AVS) that will verify the assets of blind, aged, or disabled applicants and recipients of Medicaid as required by Section 1940 of the Social Security Act.

If you have any questions regarding this SPA, please contact Robert Cruz 617-565-1257, or at robert.cruz@cms.hhs.gov.



Sincerely,

/s/

Richard R. McGreal
Associate Regional Administrator

Enclosure

cc: Stefanie Nadeau, Director, Office of Maine Care Services
Beth Hamm, Director, Office for Family Independence
Ron Bansmer, Senior MaineCare Program Manager, Office for Family Independence

TRANSMITTAL AND NOTICE OF APPROVAL OF STATE PLAN MATERIAL		1. TRANSMITTAL NUMBER: 17-002	2. STATE Maine
FOR: HEALTH CARE FINANCING ADMINISTRATION		3. PROGRAM IDENTIFICATION: TITLE XIX OF THE SOCIAL SECURITY ACT (MEDICAID)	
TO: REGIONAL ADMINISTRATOR Centers for Medicare and Medicaid Services Department of Health and Human Services		4. PROPOSED EFFECTIVE DATE July 1, 2017	
5. TYPE OF PLAN MATERIAL (Check One): <input type="checkbox"/> NEW STATE PLAN <input type="checkbox"/> AMENDMENT TO BE CONSIDERED AS NEW PLAN <input checked="" type="checkbox"/> AMENDMENT			
COMPLETE BLOCKS 6 THRU 10 IF THIS IS AN AMENDMENT (Separate Transmittal for each amendment)			
6. FEDERAL STATUTE/REGULATION CITATION: 42 U.S.C. §1396w		7. FEDERAL BUDGET IMPACT: a. FFY 2017 \$137,000 b. FFY 2018 \$ 118,200	
8. PAGE NUMBER OF THE PLAN SECTION OR ATTACHMENT: SUPPLEMENT 16 TO ATTACHMENT 2.6-A Pages 1-5		9. PAGE NUMBER OF THE SUPERSEDED PLAN SECTION OR ATTACHMENT (If Applicable): New attachment	
10. SUBJECT OF AMENDMENT: Asset Verification System			
11. GOVERNOR'S REVIEW (Check One): <input type="checkbox"/> GOVERNOR'S OFFICE REPORTED NO COMMENT <input checked="" type="checkbox"/> OTHER, AS SPECIFIED: <input type="checkbox"/> COMMENTS OF GOVERNOR'S OFFICE ENCLOSED Director, Office of MaineCare Services <input type="checkbox"/> NO REPLY RECEIVED WITHIN 45 DAYS OF SUBMITTAL			
12. SIGNATURE OF STATE AGENCY OFFICIAL:  /s/		16. RETURN TO: Stefanie Nadeau Director, MaineCare Services #11 State House Station 242 State Street Augusta, Maine 04333-0011	
13. TYPED NAME: Mary C. Mayhew			
14. TITLE: Commissioner			
15. DATE SUBMITTED: 4/13/17			
FOR REGIONAL OFFICE USE ONLY			
17. DATE RECEIVED: 4/13/17		18. DATE APPROVED: 6/13/17	
PLAN APPROVED - ONE COPY ATTACHED			
19. EFFECTIVE DATE OF APPROVED MATERIAL: 7/1/17		20. SIGNATURE OF REGIONAL OFFICIAL:  /s/	
21. TYPED NAME: Richard R. McGreal		22. TITLE: Associate Regional Administrator, Division of Medicaid and Children's Health Operations, Boston Regional Office	
23. REMARKS: The state and CMS agreed to the following pen and ink changes to the Form 179: - In Box 6 on the 179, the citation was replaced with "42 U.S.C. §1396w" - In Box 8 on the 179, "Pages 1 - 5" was added			

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State: Maine

ASSET VERIFICATION SYSTEM

1940(a)
of the Act

1. The agency will provide for the verification of assets for purposes of determining or redetermining Medicaid eligibility for aged, blind and disabled Medicaid applicants and recipients using an Asset Verification System (AVS) that meets the following minimum requirements.
 - A. The request and response system must be electronic:
 - (1) Verification inquiries must be sent electronically via the internet or similar means from the agency to the financial institution (FI).
 - (2) The system cannot be based on mailing paper-based requests.
 - (3) The system must have the capability to accept responses electronically.
 - B. The system must be secure, based on a recognized industry standard of security (e.g., as defined by the U.S. Commerce Department's National Institute of Standards and Technology, or NIST).
 - C. The system must establish and maintain a database of FIs that participate in the agency's AVS.
 - D. Verification requests also must be sent to FIs other than those identified by applicants and recipients, based on some logic such as geographic proximity to the applicant's home address, or other reasonable factors whenever the agency determines that such requests are needed to determine or redetermine the individual's eligibility.
 - E. The verification requests must include a request for information on both open and closed accounts, going back up to 5 years as determined by the State.

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ASSET VERIFICATION SYSTEM

2. System Development

A. The agency itself will develop an AVS.

In 3 below, provide any additional information the agency wants to include.

B. The agency will hire a contractor to develop an AVS.

In 3 below provide any additional information the agency wants to include.

C. The agency will be joining a consortium to develop an AVS.

In 3 below, identify the States participating in the consortium. Also, provide any other information the agency wants to include pertaining to how the consortium will implement the AVS requirements.

D. The agency already has a system in place that meets the requirements for an acceptable AVS.

In 3 below, describe how the existing system meets the requirements in Section 1.

E. Other alternative not included in A. – D. above.

In 3 below, describe this alternative approach and how it will meet the requirements in Section 1.

STATE PLAN UNDER TITLE XIX OF THE SOCIAL SECURITY ACT

State: Maine

ASSET VERIFICATION SYSTEM

- 3. Provide the AVS implementation information requested for the implementation approach checked in Section 2, and any other information the agency may want to include.

OVERVIEW

The State of Maine will be contracting with the Public Consulting Group (PCG) to implement an Asset Verification System (AVS) as part of the state’s ongoing system modernization effort.

In April 2017, the State of Maine will rollout a project that will utilize PCG’s AVS solution in identifying current public assistance beneficiaries who are potentially ineligible due to identity, residency, income, assets, property, incarceration status, and/or household composition findings that conflict with program limits, beneficiary attestations, and/or applicable eligibility rules. Only applications that are submitted through the State’s on-line portal will be included during initial rollout.

To accomplish this objective, PCG will obtain secure beneficiary batch files from the state via Secure File Transfer Protocol (SFTP). PCG will then query commercial verification data sources to obtain third party data in order to validate the beneficiary identity, income, employment, liquid assets, residency, property, incarceration status, household composition, and date of death details associated with each beneficiary and case. Using the commercial verification data received from those queries, PCG will evaluate the likelihood that a beneficiary was ineligible and/or not who s/he claimed to be and apply predictive analytics to quantify the level of ineligibility risk of each beneficiary. Responses will be by individual submitted. PCG findings will then be transmitted back to the state via encrypted email for appropriate follow-up.

Types of financial data requested include the following: annuities, time/CD accounts, checking accounts, savings accounts, custodial accounts, burial/funeral accounts, IRAs, money market accounts, social security accounts, Keoghs, rent securities, trusts, and Christmas club accounts. A nationwide search will be conducted to identify property interests of the individuals submitted. The search will include the most recent six months history of property ownership, sale or transfer to include quit-deed claims for all non-long term care applications, and sixty months of history for all long term care applications.

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ASSET VERIFICATION SYSTEM

PROCESS AND REPORTING

The State of Maine has specific needs and expectations for the submission of asset verification requests, responses, and results reporting. Requests for asset verification will be submitted through a stand-alone web service that requires no modifications to the current eligibility data systems. Multiple users must be able to access the web services and submit requests concurrently.

Responses to requests will also be provided through a stand-alone web service that requires no modification to the current eligibility data systems, and will be displayed within the web service without the need to download data to another system for viewing. The State will have the capability to export response data when desired, and multiple users will be able to access the web service simultaneously. Responses will be provided for 90% of submissions within five days, 95% of submissions within ten days, and 99% of submissions within fifteen days. The web service will comply with all applicable federal and state requirements for data security.

A variety of reports will be available to the State, including standardized reports and ad-hoc reports. Standardized reports, which will be available on demand, are as follows: case error report, site access audit report, case access audit report, ad hoc request audit report, and duplicate case report.

IMPLEMENTATION TIMELINE

The State of Maine anticipates a partial rollout in two Regional Offices of the AVS for applications requiring asset verification submitted through the State's on-line portal. It is anticipated this partial rollout will begin on July 1, 2017. The date for a full rollout of the AVS for all applications and all reviews received from all modalities throughout the entire State requiring asset verification has yet to be determined. There will be a 30-day implementation timeline, which will begin on a date agreed upon by the State and PCG. The project setup phase will occur during days one through fifteen, when the PCG team will collaborate to define project requirements.

TN No. 17-002
Supersedes TN No.

Approval Date 6/13/17 Effective Date 7/1/17

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Documents to be developed during this phase include a communications plan, project plan, and work breakdown structure. These documents will be submitted to the State for review and approval, and will be available at any time throughout the project for review. PCG will work with the State to review and confirm the project's requirements, including the request and response file formatting, eligibility program lists and requirements, SFTP connectivity, reporting requirements, and delivery schedules.

Days fifteen through thirty of the asset verification service integrations will accomplish several tasks. These tasks include the following: finalize agency batch profile; validate firewalls, connectivity, and encryption; configure portal to agency-specific business rules; implement request and response messaging and error handling; testing; user training; product development; and PCG will provide training to State staff on the asset verification service.

Following day thirty, PCG will provide PDF asset verification service summary reports to be available within the web service portal. PCG will support the State's implementation of a PCG link to embed into Siebel to allow workers to click into a specific case within the AVS web portal directly from Siebel. PCG will also test and validate the PDF asset verification service summary report and Siebel link, and will release this report and link functionality to the production environment. PCG will support the AVS system by providing dedicated support staff, who will be available via a dedicated toll-free number, to provide technical, customer support, and financial institution support for users. This service will be available during normal business hours for the duration of this contract.