

States Advancing All-Payer Health Equity Approaches and Development (AHEAD) Model Notice of Funding Opportunity (NOFO) Webinar

Center for Medicare and Medicaid Innovation
November 16, 2023

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Agenda

This webinar provides detailed information related to the AHEAD Model application process. The following topics will be discussed:

1 | Welcome and Introductions

2 | AHEAD Model Background

3 | AHEAD Model NOFO Overview

4 | Eligibility Requirements

5 | Federal Award Information

6 | Application Process

7 | Federal Award Administration

8 | Post Award Milestone Requirements

9 | Question and Answer Session

10 | Closing & Resources

Welcome and Introductions

Today's Presenters



Laura Snyder
AHEAD Model Co-Lead



Emily Moore
AHEAD Model Co-Lead



Jamie Atwood
Grants Management Officer

AHEAD Model Background

AHEAD Model At-A-Glance

The States Advancing All-Payer Health Equity Approaches and Development Model, or the AHEAD Model, is a flexible framework designed to improve health outcomes across multiple states.

Statewide Accountability Targets

Total Cost of Care Growth (Medicare & All-Payer)
Primary Care Investment (Medicare & All-Payer)
Equity and Population Health Outcomes via State Agreements with CMS

Components



Cooperative Agreement
Funding



Hospital Global Budgets
(facility services)



Primary Care AHEAD

Strategies

Equity Integrated
Across Model

Behavioral Health
Integration

All-Payer
Approach

Medicaid
Alignment

Accelerating
Existing State
Innovations

AHEAD Model NOFO Overview

Notice of Funding Opportunity (NOFO) Overview

CMS, through its CMS Innovation Center, seeks applications for the AHEAD Model. The voluntary model will test state accountability for controlling the growth in health care costs and increasing primary care investment while improving population health and health equity in a state or sub-state region.



Purpose

The NOFO is intended to articulate the specific requirements of the AHEAD Model and help applicants understand how to apply. It includes the components below:



Application Process

- Application and Submission Information
- Application Review Information
- Federal Award Information
- CMS Contacts



Model Overview

- Model Components
- Model Eligibility
- Payment Methodology
- Model Requirements
- Model Timeline



Award Information and Implementation

- Award Recipient Information
- Funding Available
- Model Performance Periods

Eligibility Requirements

Eligibility Requirements

All 50 states, Washington, D.C., and territories are eligible to apply to the AHEAD Model. Applicants may select to participate at the state level or designate a sub-state region, subject to CMS approval during the application review.



Who is Eligible?*

To be eligible, applicants must have at least 10,000 resident beneficiaries enrolled in Medicare Parts A and B residing in the applicant state or sub-state region

*States participating in Making Care Primary (MCP) statewide may not participate in AHEAD. If MCP operates only in a sub-state region of a state, the state may apply to participate in a different sub-state region, as long as there is no geographic overlap.



Who Can Apply?

Eligible applicants for the AHEAD Model are state agencies that have the authority to accept the Cooperative Agreement award funding. For example:

- State Medicaid agency (SMA)
- State public health agency
- State insurance agency

Federal Award Information

Federal Award Information

The type of award issued under this NOFO is a Cooperative Agreement (CoAg), which differs from a grant in that it has a higher degree of federal programmatic involvement rather than the type of administrative requirements imposed. A CoAg provides for substantial involvement between the federal awarding agency and the non-federal entity (e.g., state) in carrying out the activity contemplated by the federal award.

AHEAD Cooperative Agreement

CMS anticipates awarding up to eight CoAg awards of **up to \$12 million** each, pending federal availability of funds. The amount of each award* will depend on the following:



Total Budget

The total proposed budget submitted by the state in response to the NOFO



Available Funds

The model will have up to \$96 million to support states, subject to availability of funds



Costs Proposed

Funding amounts will be determined based on the allowability and reasonableness of the costs proposed



Funding Need

State need for CoAg funding as demonstrated in the application submitted in response to the NOFO

*The state Medicaid agency or other state agency (e.g., state public health agency, state insurance agency) with the authority and capacity to accept the award funding can be the recipient of the cooperative agreement.

AHEAD Timeline

The AHEAD Model will operate from 2024 through 2034. The timeline includes the Pre-Implementation Period, the Model Implementation Period, and the Cooperative Agreement Period of Performance. Each Cohort has a unique timeline.

Cohort Timeline	Cohort 1	Cohort 2	Cohort 3
Pre-Implementation Period	18 months (7/1/2024 – 12/31/2025)	30 months (7/1/2024 – 12/31/2026)	24 months (1/1/2025 – 12/31/2026)
Model Implementation Period	9 years (1/1/2026 – 12/31/2034)	8 years (1/1/2027 – 12/31/2034)	8 years (1/1/2027 – 12/31/2034)
Cooperative Agreement Period of Performance	5.5 years (Ends 12/21/2029)	5.5 years (Ends 12/31/2029)	6 years (Ends 12/31/2030)

The Cooperative Agreement Period of Performance spans the Pre-Implementation Period and includes some years in the Implementation Period.

Funding by Budget Period

All award recipients will receive an initial Cooperative Agreement award (reflected as Budget Period 1 on the Notice of Award), followed by subsequent awards through a non-competing continuation application process (reflected as Budget Periods 2-5 or 2-6 on each respective Notice of Award).*

	Cohort 1		Cohort 2		Cohort 3	
	Duration	Maximum Funding Available	Duration	Maximum Funding Available	Duration	Maximum Funding Available
Budget Period 1	18 Months	\$4M	18 Months	\$2.5M	12 Months	\$2M
Budget Period 2	12 Months	\$2M	12 Months	\$2.5M	12 Months	\$2M
Budget Period 3	12 Months	\$2M	12 Months	\$2.33M	12 Months	\$2M
Budget Period 4	12 Months	\$2M	12 Months	\$2.33M	12 Months	\$2M
Budget Period 5	12 Months	\$2M	12 Months	\$2.33M	12 Months	\$2M
Budget Period 6	N/A	N/A	N/A	N/A	12 Months	\$2M

Note: Budget Period 1 begins at the start of the Pre-Implementation Period. Please review, *Cohort 1-3 Performance Timelines* for Cohort-specific dates. [Notice Of Funding Opportunity Section B]

*States will have the opportunity to apply for a no-cost extension at the end of their last Budget Period.

AHEAD Application Process

Application Submission Process

HHS strongly recommends that you do not wait until the application due date to begin the application submission process.



Application Materials

- All application materials are available at <http://www.grants.gov>



Registration Process

- You may start the registration process by visiting <http://www.grants.gov>

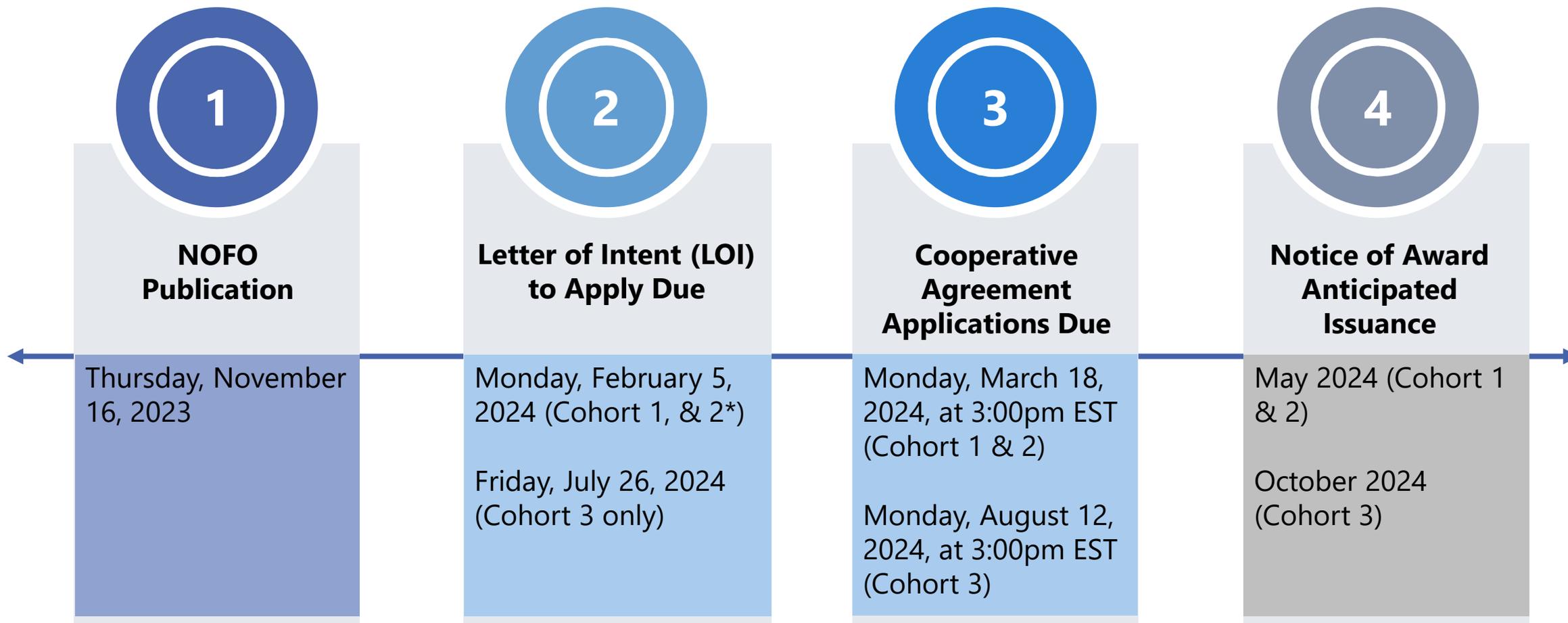


Application Due Dates

- Optional Letter of Intent (LOI) for Cohort 1 and 2 during the first NOFO application period are due February 5, 2024
- Submit applications to <http://www.grants.gov> for Cohort 1 and 2 by the deadline date of March 18, 2024

Application Timeline

HHS strongly recommends that you do not wait until the application due date to begin the application submission process.



Potential applicants can submit their Letters of Intent by email at: AHEAD@cms.hhs.gov

**Potential applicants considering Cohort 3 may submit their LOI before February 5, 2024, and do not have to wait until the July 26, 2024, deadline.*

Application Submission

The Authorized Organizational Representative (AOR) who will officially submit an application on behalf of the organization must register with Grants.gov to obtain a username and password.

Application Submission Requirements



Application Requirements

- Have a valid Employer Identification Number (EIN) / Taxpayer Identification Number (TIN)
- Have a Unique Entity Identifier (UEI).
- Register in the System for Award Management (SAM) database to be able to submit an application. This registration must be annually renewed.
- Have a Login.gov account.



Electronic Signature

The electronic signature of the individual who is logged in and submits the application to Grants.gov will automatically populate throughout the application. The electronic signature must match the AOR named on the SF-424.

The AOR must submit the application to Grants.gov. The AOR is the individual, named by the applicant/recipient organization, who is authorized to act for the applicant/recipient and to assume the obligations imposed by the federal laws, regulations, requirements, and conditions that apply to grant applications or awards.

Application Submission (continued)

Please reference the NOFO sections highlighted below for application submission criteria and formatting requirements.



Applicants should review **Section D AND Appendix II** of the Notice of Funding Opportunity for instructions on how to submit a complete application. Please follow the application instructions.

Application Instructions



Applicants should review **Section E1** for application review criteria. This section explains how applications will be assessed.

Application Criteria Review

Formatting Requirements



Applicants must adhere to the formatting and content requirements included in **Section D2**. (e.g., font size, formatting, page limitations, required forms and documents, etc.) to ensure that you have an eligible application.

Application Submission (continued)

All applications must include the following standard forms:



Project Abstract Summary

A one-page abstract serves as a succinct description of the proposed project and includes the goals of the project, the total budget, a description of how the funds will be used, and the proposed Model geographic service area (e.g., state, or sub-state region).



SF424: Official Application for Federal Assistance

Used to apply for Federal grants. The Federal awarding agencies and OMB use information reported on this form for general management of Federal assistance awards programs. The Authorized Organizational Representative (AOR) completes and signs this form.



SF424A: Budget Information Non-Construction

Used to budget and request grant funds for non-construction programs. The Federal awarding agencies and OMB use information reported on this form for general management of Federal assistance awards programs.

Application Submission (continued)

All applications must include the following standard forms:



SF LLL: Disclosure of Lobbying Activities

All applicants must submit this SF-LLL form. If your entity does not engage in lobbying, please insert "Non-Applicable" on the form and include the required AOR name, contact information, and signature.



Project / Performance Site Location

All applicants must submit this Project/Performance Site Location form.

Application Submission (continued)

All applications must have the following additional forms:

 Project Narrative	The applicant provides a Project Narrative that articulates in detail the proposed goals, measurable objectives, and milestones in accordance with the instructions and content requirements provided in this section of the NOFO, consistent with the criteria described in section A4, <i>Program Requirements</i> . Maximum 60 pages.
 Budget Narrative	Applicants supplement Form SF-424A with a Budget Narrative that includes a breakdown of costs, for each line item outlined in the SF-424A, according to the budget period. Applicants include a clear description of the proposed set of services covered with award funds for each activity/cost within the line item. Maximum of 15 pages.
 Business Assessment of Applicant Organization	As required by 45 CFR §75.205 for Cooperative Agreements, CMS evaluates the risk posed by an applicant before they receive an award. This analysis of risk includes items such as financial stability, quality of management systems, internal controls, and the ability to meet the management standards prescribed in 45 CFR Part 75.

Application Submission (continued)

All applications must have the following additional forms:



Negotiated Indirect Cost Rate Agreement (NICRA)

If the applicant entity has a current negotiated indirect cost rate agreement (NICRA) and is requesting indirect costs, a copy of the current NICRA must be submitted with the application.



Appendices

- Maximum of 35 pages
- Letter of support from SMA (required only if applicable)
- Resumes and/or curriculum vitae (**required** for identified managers, Project Director, and all other Key Personnel identified at the time of application; applicant should cross-reference to the Project Narrative, as appropriate)
- Job Descriptions, if not included in the Projective Narrative
- Organization Chart, if not included in the Project Narrative
- Letters of Support (from Governor or state legislators, hospitals, primary care providers, others) (optional)
- Proposal for state-designed Medicare FFS Hospital Global Budget Methodology (optional)
- LOIs from hospitals (required)

Federal Award Administration Information

If successful, applicants will receive a Notice of Award (NoA) signed and dated by the CMS Grants Management Officer.

The NoA is the legal document authorizing the Cooperative Agreement award and issued to the applicant as listed on the SF-424.



NoA

NoA Administration

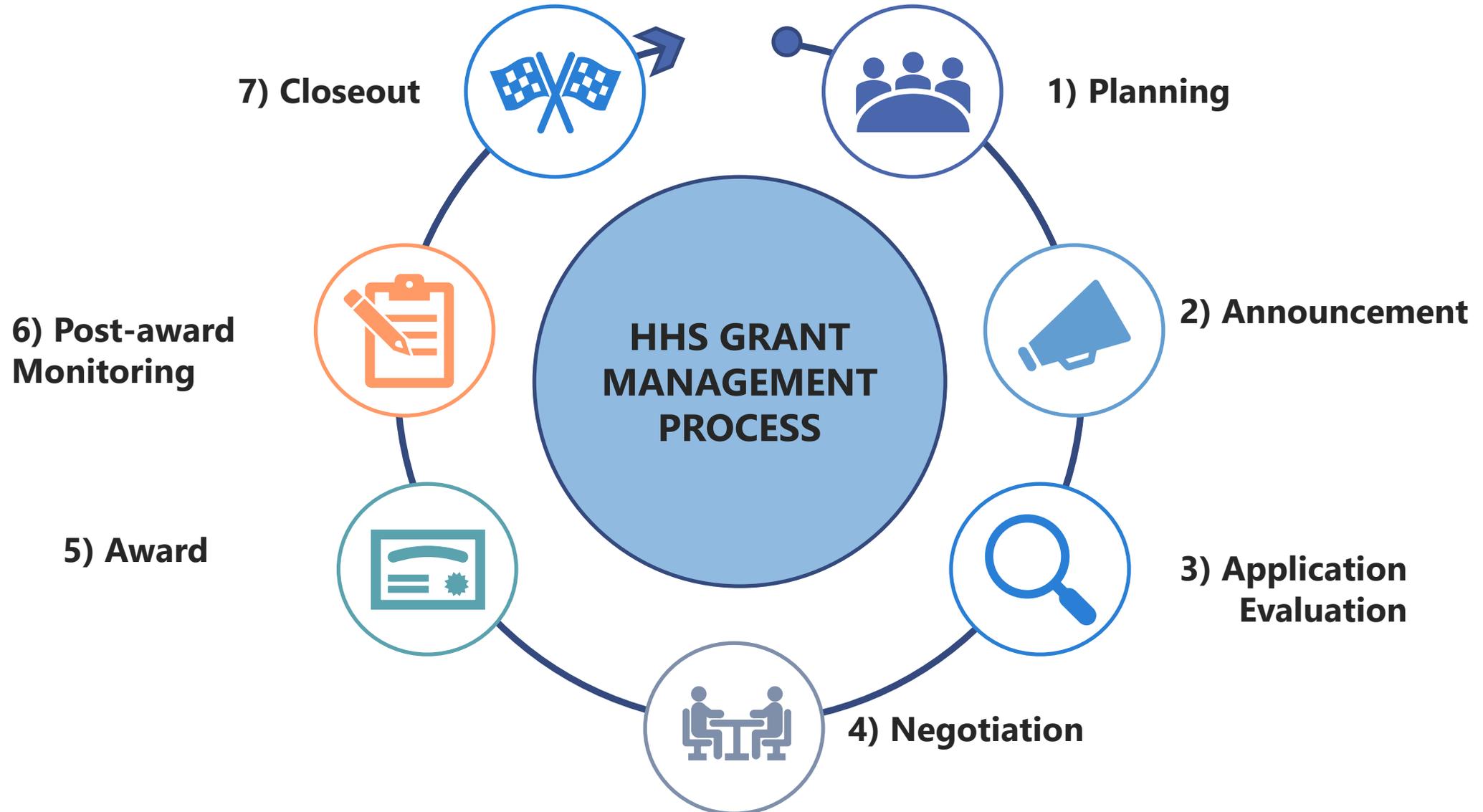
- The NoA is available to the applicant organization through the online grants management system used by CMS and Recipient Organizations, GrantSolutions.
- Any communication between CMS and applicant prior to issuance of the NoA is not an authorization to begin performance of a project.

If unsuccessful, CMS notifies the applicant electronically via the email address listed on its SF-424, within 30 days of the award date.

Federal Award Administration

HHS Grant Management Process

The Grant Management Process describes the steps related to the management of competitive grant awards.



Grants Regulation and Policy

The sources cited below address regulatory and policy requirements which apply to federal grant and cooperative agreement awards.

Grant Reg/Policy



- **Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards**
 - 45 CFR Subpart 75 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards
- **HHS Grants Policy Statement**
- **SAM.gov**
 - Entity Information
 - Exclusions
 - Responsibility/Qualification – previously FAPIIS
 - Reps/Certs (Financial Assistance)

Post Award Milestone Requirements

Operational Milestones

The NOFO includes operational milestones for the pre-implementation and implementation period related to model components that will be a requirement by the Cooperative Agreement, and to the extent applicable, will also be included in the State Agreement for the remainder of the Model.*

Operational Milestones



State Agreement Negotiation and Signature by State Leadership and CMS

Final Milestone: Execution of State Agreement **6 months prior to PY1**



Creation and Implementation of All-Payer TCOC and Primary Care Investment Targets

Final Milestone 1: Creation of Targets (Or Process to Determine Target) via State Executive Order, Statute, or Regulatory Change **90 days before PY1**

Final Milestone 2: Finalization of Targets in an Amended State Agreement **90 days before PY2**



Successful Recruitment of Hospitals to Participate in Medicare FFS Hospital Global Budgets

Final Milestone 1: Hospitals Agree to Participate such that 10% of Medicare FFS Net Patient Revenue (NPR) Would Be Under Medicare FFS HGBs **by PY1**

Final Milestone 2: See Above, 30% of Medicare FFS NPR in an HGB **for PY3 for each subsequent PY**



Implementation of Medicaid Primary Care APM

Final Milestone: Implementation of Medicaid Primary Care APM with Participation from Primary Care Practices **by the beginning of PY1**



Implementation of Medicaid Hospital Global Budgets

Final Milestone: Implementation of Medicaid Hospital Global Budgets **by the end of PY1**



Commercial Payer Alignment with Hospital Global Budgets

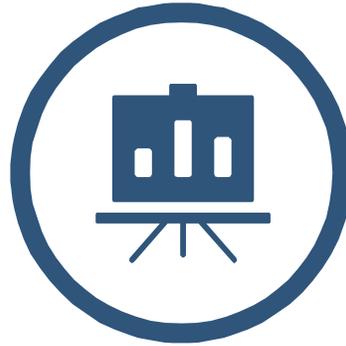
Final Milestone: At Least One Commercial Payer Participating in Hospital Global Budgets **by the start of PY2**

*See Notice of Funding Opportunity: Appendix XII for more information.

Question and Answer Session

Audience Poll

Please respond to the live poll using the Zoom platform.



To Which NOFO Application Do You Intend to Apply?

- a. NOFO (Cohort 1)
- b. NOFO (Cohort 2)
- c. NOFO (Cohort 3)
- d. I intend on applying, but am unsure of which Cohort to apply to
- e. I do not intend on applying

Frequently Asked Questions



Please submit questions via the Q&A pod to the right of your screen.



Question #1

How are states selected to participate in the AHEAD Model?*

States interested in participating in the model **must apply during the NOFO period**. This will be a competitive application process, including a merit review of all applications. The merit review panel will score applications using a **detailed rubric**, which will be made available to all applicants as part of the NOFO.

Interested states **can submit an optional Letter of Intent** to express their interest in applying. **Letters of Intent are due at least 45 calendar days** before NOFO applications are due (i.e., February 5, 2024, for Cohorts 1 and 2).



How can Cooperative Agreement funding be used?*

Applicants selected to participate in the model will receive up to **\$12 million** in Cooperative Agreement funding.

Specific parameters around how these funds can be used are included in the NOFO. Generally, funding is intended to **support model planning and implementation activities**, including but not limited to:

- Recruiting primary care providers and hospitals to participate in the model
- Setting statewide total cost of care (TCOC) cost growth targets and primary care investment targets
- Building behavioral health infrastructure and capacity
- Supporting Medicaid and commercial payer alignment
- Hiring new staff to support the model
- Investing in new technology
- Supporting demographic data collection
- Developing Medicaid hospital global budget methodology

CMS will review **budget narratives** submitted in the applications to ensure accordance with HHS grant guidelines on uses of federal funds.



**Question
#3**

What are CMS' expectations for participating states to demonstrate funding sustainability?*

States interested in participating in the model should include a **detailed sustainability plan** as part of the **budget narrative** included in their application. The Cooperative Agreement funding issued to AHEAD Model participants during the **first five and a half years for Cohorts 1 and 2** and for the **first 6 years for Cohort 3** is intended to support the most time and resource-intensive portion of model implementation. CMS recommends states consider strategies to sustain funding and Model activities throughout the **Implementation Period**.



How do I know whether my Medicaid program as an APM that qualifies? What information should I include in the application about my current or proposed program?*

An Applicant's Medicaid primary care APM or Patient-Centered Medical Home program should focus on enhanced care coordination services, including **behavioral health integration** and **health-related social needs** interventions. It should focus on delivery of whole-person, team-based, anticipatory primary care services. CMS plans to allow for some variation between these **state Medicaid primary care APMs and PCMH programs** and has designed **Primary Care AHEAD** to be tailored to the specific care transformation priorities of the state.

Applications must include:

- Description of the applicant's current primary care transformation initiatives and goals under Medicaid Primary Care APM.
- Description of applicant's plan for aligning Primary Care AHEAD Enhanced Primary Care Payment care transformation to current Medicaid primary care initiatives.
- Description of specific tools that will be used to increase primary care investment in Medicaid.
- Identification of specific policy tools that will be used to increase access to primary care services.
- Description of existing or planned programs for state Medicaid Primary Care APM that will be implemented by the start of PY1.



Question #5

What level of detail is needed to describe the state regulatory changes, federal flexibilities, or waiver authorities required to implement hospital global budgets for Medicaid?*

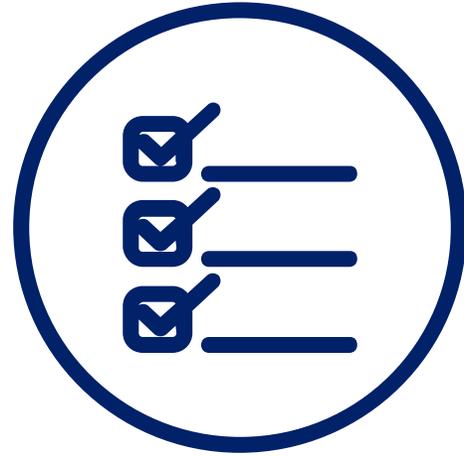
Applicants will need to **describe the state's capacity to develop and implement** Medicaid hospital global budget methodology by the end of PY1. This would include the proposed authority or mechanism for making payments and considerations for the state's unique Medicaid context (e.g., population in managed care or FFS). Please see the NOFO for more information about the **Medicaid Alignment Criteria for Hospital Global Budgets**, the associated **Model Milestones**, and the process for obtaining the required federal authorities.

Live Question & Answer



Please submit questions via the Q&A pod to the right of your screen.

Please Complete Our Survey



We appreciate your input!

Please click the link posted in the chat to take our survey.

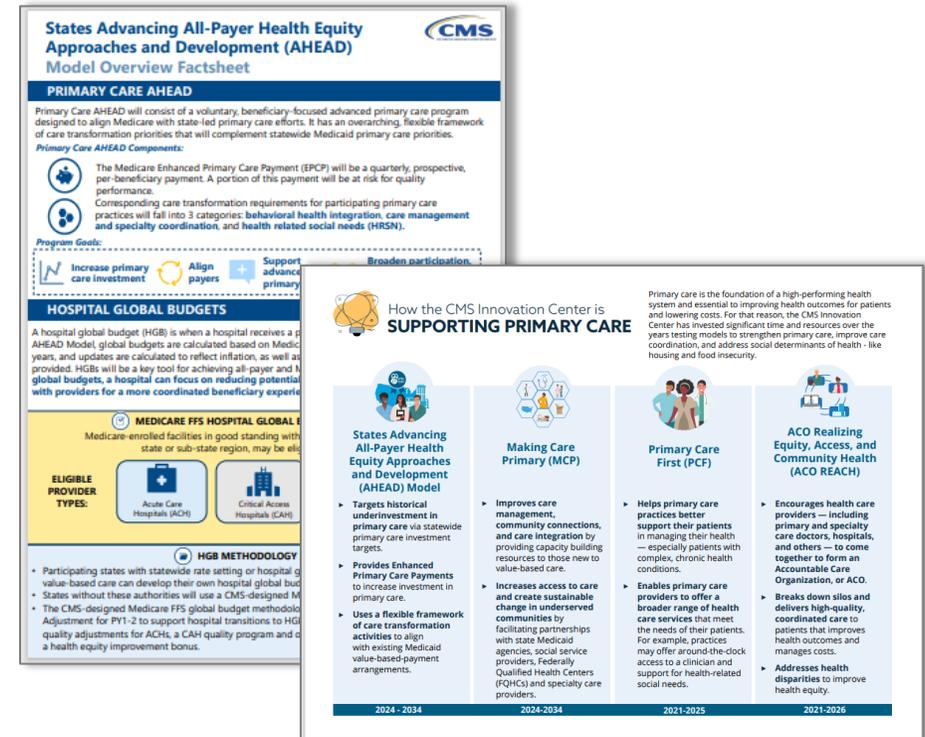
We would love to learn how to make our events better.

Closing and Resources

Applicant Resources

The AHEAD Model team has created many resources to support Applicants. To access them, visit the Model's webpage at <https://www.cms.gov/priorities/innovation/innovation-models/ahead>.

- [Grants.gov](#)
- [Model Overview Factsheet](#)
- [AHEAD Model Infographic](#)
- [Frequently Asked Questions](#)
- [CMS Innovation Center Primary Care Models Comparison](#)
- AHEAD Mailbox: AHEAD@cms.hhs.gov



All states interested in applying to participate in the AHEAD Model will submit applications through <http://grants.gov>. Stay tuned for upcoming events to learn more about the AHEAD Model!



We appreciate your time and interest!

Please take the survey following this webinar so we can learn how to make our events better.

Do you have questions? Email your comments and feedback to AHEAD@cms.hhs.gov with subject line ***AHEAD Model NOFO Webinar***

THANK YOU!