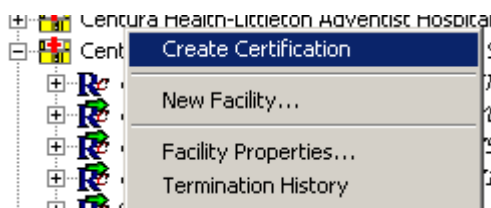


Deemed Scenarios

Deeming Stories

Deeming Scenario #1: Current Participating, Non-deemed Provider Becomes Deemed – Option 1: Selected for Representative Sample Validation

- CMS Receives notice from AO of AO's plan to survey provider/supplier. Per direction from CMS-CO, CMS-RO directs state agency to perform validation survey via CMS-2802.
- 1 RO Creates new certification kit for provider. Since provider is already certified, the Type of Action field is set as 2 – Recertification.



- 2 On Deemed/2802 tab of new kit, the RO creates a CMS-2802 by pressing the Start 2802 Process button. The RO adds a Primary State Representative, selects JC for AO Name, None for the Currently Deemed By value, INIT AO SURVEY FOR PARTICIPATING NON-DEEMED FAC for the Accreditation Survey Type, and enters the Scheduled End Date of Accreditation Survey, based on information from CMS-CO.

A screenshot of the 'Authorization for State Validation Survey (CMS 2802)' form. The form includes fields for '2802 Process Started', 'Date Issued By RO' (06/09/2015), 'Region' (04), and a 'Send 2802 to State' button. Below this is a table for 'Regional/State Representatives' with columns for Name, Email Address, SA/RO, and Primary. The table contains one entry: KENNIS, JEREMY, with SA/RO as RO and Primary checked. To the right of the table are buttons for '+ Add S.A.', '+ Add R.O.', and '- Delete'. Below the table is a 'Comments' field. Further down, there are radio buttons for '60-Day' (selected) and 'Midcycle'. A 'Currently Deemed By' section contains checkboxes for NONE (checked), AOA/HFAP, CIHQ, JC, DNV, and OTHER. To the right of this is an 'AO Name' dropdown menu set to 'JC'. Below the dropdown are two date fields: 'Scheduled End Date of Accreditation Survey' (06/09/2015) and '60 Days after Accreditation Survey' (08/08/2015). At the bottom, the 'Accreditation Survey Type' dropdown is set to 'INIT AO SURVEY FOR PARTICIPATING NON-DEEMED FAC'.

The following rules apply to this screen:

When the RO first selects **INIT AO SURVEY FOR PARTICIPATING NON-DEEMED FAC** in the Accreditation Survey Type field;

- The 60-Day survey type is selected automatically.
- The RO is required to complete the Accreditation Survey Type, Primary State Representative, Currently Deemed By, AO Name, and Scheduled End Date of Accreditation Survey fields in order for the 2802 to be sent.

ASPEN performs the following based on Deemed/2802 Tab updates:

- Sends an Action Item/Email to the designated state contact when the **Send 2802 to State** button is pressed
 - Updates the Type of Action (L80) field value on the Transmittal (CMS-1539) tab to **5 - Validation**
- State Performs Validation:
- 3 Within 60 days of the AO survey end date, the state creates a validation survey in ASPEN's certification kit, performs the survey, and completes the required forms (e.g. SA sections on the Transmittal (CMS-1539), and Application Worksheet tabs).
 - 4 After the state completes a validation survey, the certification kit may be uploaded.
 - 5 The RO is notified of the survey results.
- The RO receives notice from the AO of their recommendation for a deemed status of a provider/supplier who is not currently participating in Medicare, and forwards the notice to the SA. The RO then reviews the recommendation and determines whether to accept or reject it (The SA survey results may play a role in this determination). The Deemed status is not changed if the RO rejects the AO's recommendation.
- 6 If the RO accepts the deeming recommendation, the RO updates the Deemed/2802 tab in the certification kit to indicate JC is currently deeming provider/supplier. The RO then clicks Add to place JC into Currently Deemed By grid. The RO also completes the Deeming Effective Date (M4) column.

Deemed By			
	AO	Deeming Effective Date (M4)	AO Termination Date
▶	JC	02/08/2014	

ASPEN does the following based on Deemed/2802 tab updates:

- Adds **JC** to the Accreditation Status (L10) field on the Transmittal (CMS-1539) tab
- Sets Deemed field on Transmittal (CMS-1539) tab to **Yes**
- If hospital, updates the Effective Date of Accreditation (M4) field on the Application Worksheet tab
- If hospital, updates JC to checked in the Multiple Accreditation Status section (Multiple Accreditation Indicator set to **No**)
- Provider now shows as Deemed in ASPEN tree views and will upload as such

Deeming Scenario #1: Current Participating, Non-deemed Provider Becomes Deemed – Option 2: NOT Selected for Rep. Sample/Validation Survey

- CMS Receives notice from AO of AOs plan to survey provider. Certification process proceeds with no direction to SA for Validation survey.
No action required in ASPEN at this time.
- Deeming Determination: CMS receives and accepts deeming recommendation from AO.
 - 1 RO or SA creates new certification kit for provider. Since provider is already certified, Type of Action field is set as 2 – Recertification.
 - 2 RO or SA Updates Deemed/2802 tab in ASPEN to indicate JC is currently deeming provider. Clicks Add to place JC into Currently Deemed By grid. The M4 column is completed by RO or SA.

Deemed By			
	AO	Deeming Effective Date (M4)	AO Termination Date
▶	JC	02/08/2014	

ASPEN does the following based on Deemed/2802 Tab updates

- Adds **JC** to the Accreditation Status (L10) field on Transmittal (CMS-1539) tab
- Sets Deemed field on Transmittal (CMS-1539) tab to **Yes**
- If hospital, updates the Effective Date of Accreditation (M4) field on the Application Worksheet tab
- If hospital, updates JC to checked in the Multiple Accreditation Status section (Multiple Accreditation Indicator set to **No**)
- Provider now shows as Deemed in ASPEN tree views and will upload as such

Deeming Scenario #2: Not Currently Participating Provider Seeks Initial Certification with Deemed Status – Option 1: Selected for Representative Sample Validation Survey

Option 1 is not permitted in practice. A system edit will prevent starting a 2802 process in Option 1 of this scenario.

Deeming Scenario #2: Not Currently Participating Provider Seeks Initial Certification with Deemed Status – Option 2: Not Selected for Rep. Sample/Validation Survey

- CMS Receives notice from AO of AO's plan to survey provider. Certification process proceeds with no direction to SA for Validation survey.

No action required in ASPEN at this time.

- RO receives notice from AO of AO's recommendation for deemed status of a provider/supplier that is not currently participating in Medicare and forwards notice to SA. RO/SA are usually already aware of an application by this provider/supplier to enroll, possibly including its intentions to participate via deemed status.

No action required in ASPEN at this time.

- Deeming Determination: RO completes certification process after receiving all required documentation from the SA and determining that all certification requirements have been met.

- 1 RO or SA creates new certification kit for provider. Since provider is not currently certified, this is a Type of Action = 1 – Initial Certification kit.
- 2 RO or SA Updates Deemed/2802 tab in ASPEN to indicate JC is currently deeming provider. Clicks Add to place JC into Currently Deemed By grid. The M4 column is completed by RO or SA.

Deemed By			
	AO	Deeming Effective Date (M4)	AO Termination Date
▶	JC	02/08/2014	

ASPEN does the following based on Deemed/2802 tab updates:

- Adds **JC** to the Accreditation Status (L10) field on Transmittal (CMS-1539) tab
- Sets Deemed field on Transmittal (CMS-1539) tab to **Yes**
- If hospital, updates the Effective Date of Accreditation (M4) field on the Application Worksheet tab
- If hospital, updates JC to checked in the Multiple Accreditation Status section (Multiple Accreditation Indicator set to **No**)
- Provider now shows as Deemed in ASPEN tree views and will upload as such
- When certification process is complete:
 - RO/SA completes CMS-1539 and assigns Original Participation date
 - Certification may be uploaded to national database as participating deemed provider

**Deeming Scenario #3: Participating, Deemed Provider Adds a New AO – Option 1:
Selected for Representative Sample Validation Survey
(Example provider is deemed by JC and is adding DNV GL as Deeming Authority)**

- CMS Receives notice from DNV GL of AOs plan to survey provider that is currently a participating provider deemed by JC. Per direction from CMS-CO, CMS-RO directs state agency to perform validation survey via 2802.
 - 1 RO Creates new certification kit for provider. Since provider is already participating, Type of Action field is set as 2 – Recertification.
 - 2 On Deemed/2802 tab of new kit, RO creates 2802 indicating new AO conducting survey (DNV GL).

The following rules apply to this screen:

When the RO first selects the Accreditation Survey Type of "INIT AO SURVEY FOR NEW AO; DEEMED BY ANOTHER AO":

- The 60-Day survey type is automatically selected
- The RO is required to enter Accreditation Survey Type, Primary State Representative, Currently Deemed By, AO Name, Scheduled End Date of Accreditation Survey in order for the 2802 to be sent

ASPEN does the following based on Deemed/2802 tab updates:

- Sends Action Item/Email to designated state contact when Send 2802 to State button pressed
- Updates CMS-1539 L8 Type of Action to 5 – Validation

- State Performs Validation
 - 3 Within 60 days of AO survey, state creates validation survey in ASPEN's certification kit and performs survey
 - 4 After state completes validation survey, certification kit may be uploaded
 - 5 RO notified of survey results
- Deeming Determination: RO receives notice from AO of AO's recommendation for deemed status of a provider/supplier. RO forwards notice to SA. If SA survey had condition-level findings and RO review concurs with findings, or changes findings to condition-level, RO takes appropriate enforcement action. Addition of the new AO to the deemed status tab is not made until and unless the RO accepts the new AO's recommendation. (If enforcement action is taken, it may choose not to accept.)
 - 6 If the RO accepts the deeming recommendation, RO Updates Deemed/2802 tab in ASPEN to indicate DNV GL is now also currently deeming provider along with JC. Clicks Add to place DNV GL into Currently Deemed By grid. The M4 column is completed by RO.

AO	Deeming Effective Date (M4)	AO Termination Date
DNV	06/24/2015	
JC	06/24/2015	

Buttons: Add, Modify, Delete

ASPEN does the following based on Deemed/2802 Tab updates

- L10 on CMS-1539 set to AO with earliest Deeming Effective Date (remains JC in this case)
 - Deemed indicator on CMS-1539 remains Yes
 - If hospital, updates JC and DNV GL to checked in Multiple Accreditation Status section (Multiple Accred. Indicator set to 'Yes')
 - If hospital, updates M4 on Application Worksheet, to latest Deeming Effective Date (DNV GL's Deeming Effective Date in this case)
- 7 Certification kit showing 2 deeming AOs may be uploaded to national database
- RO does not accept the AO's deeming recommendation
- If the RO does not accept the deeming recommendation, no action is necessary. The RO/SA does not update the Deemed/2802 tab in ASPEN.

Deeming Scenario #3: Participating, Deemed Provider Adds a New AO – Option 2: Not Selected for Representative Sample Validation Survey
(Example provider is deemed by JC and is adding DNV GL as Deeming Authority)

- CMS Receives notice from new AO of AOs plan to survey provider.
No action required in ASPEN at this time.
- Deeming Determination: RO receives notice from AO of AO's recommendation for deemed status of a provider/supplier. RO forwards notice to SA after the RO determines whether to accept or reject the deemed status recommendation.
 - 1 If the RO accepts the AO's deemed status recommendation, RO or SA updates Deemed/2802 tab of most current certification in ASPEN and adds DNV GL to the list of "Deemed By" AOs on Deemed/2802 tab.

Deemed By			
	AO	Deeming Effective Date (M4)	AO Termination Date
▶	DNV	06/24/2015	
	JC	06/24/2015	

ASPEN does the following based on Deemed/2802 tab updates:

- L10 on CMS-1539 set to AO with earliest Deeming Effective Date (remains JC in this case)
- Deemed indicator on CMS-1539 remains Yes
- If hospital, updates JC and DNV GL to checked in Multiple Accreditation Status section (Multiple Accred. Indicator set to 'Yes')
- If hospital, updates M4 on Application Worksheet, to latest Deeming Effective Date (DNV GL's Deeming Effective Date in this case)

Certification may be uploaded to national database as participating deemed provider with DNV GL and JC as deeming AOs.

- RO does not accept the AO's deeming recommendation

If the RO does not accept the deeming recommendation, no action is necessary. The RO/SA does not update Deemed/2802 tab in ASPEN.

Deeming Scenario #4: Participating, Deemed Provider Undergoes Re-Accreditation Survey by AO – Option 1: Selected for Representative Sample Validation Survey

- CMS Receives notice from JC of AO's plan to survey for purpose of re-accrediting provider that is currently participating and deemed. Per direction from CMS-CO, CMS-RO directs state agency to perform validation survey via 2802.
 - 1 RO creates new certification kit for provider. Since provider is already participating, this is a Type of Action = 2 – Recertification kit
 - 2 On Deeming/2802 tab of new kit, RO creates 2802 indicating existing AO conducting survey.

The following rules apply to this screen:

When the RO first selects the Accreditation Survey Type of “AO RE-ACCREDITATION SURVEY”:

- The 60 Day survey type is automatically selected
- The RO is required to enter Accreditation Survey Type, Primary State Representative, Currently Deemed By, AO Name, Scheduled End Date of Accreditation Survey in order for the 2802 to be sent

ASPEN does the following based on Deemed/2802 tab updates:

- Sends Action Item/Email to designated state contact when Send 2802 to State button pressed
- Updates CMS-1539 L8 Type of Action to 5 – Validation
- State Performs Validation
 - 3 Within 60 days of AO survey end date, state creates validation survey in ASPEN's certification kit and performs survey.
 - 4 After state completes validation survey, RO reviews the survey and proceeds, as applicable, with enforcement actions. Certification kit may be uploaded.
- Deeming Determination: RO receives notice from AO of AO's renewal of accreditation and continued recommendation for deemed status of a provider/supplier. RO forwards notice to SA. If SA survey had condition-level findings and RO review concurs with findings, or changes findings to condition level, RO takes appropriate enforcement action. Deemed status is not changed in ASPEN until and unless the RO terminates the provider agreement/supplier approval.

- 5 RO updates the Deemed/2802 tab to change Deeming Effective Date. If Hospital, new Deeming Effective Date updates M4 on the Application Worksheet and SA/RO to update Deeming Expiration Date on Application Worksheet, which is now an optional field.

AO	Deeming Effective Date (M4)	AO Termination Date
JC	02/08/2014	

Add Modify Delete

ASPEN does the following based on Deemed/2802 tab updates:

- Updates M4 on Hospital Worksheet.
- 6 Certification kit showing validation survey and deeming AO uploaded to national database.
- RO does not accept the AO's deeming recommendation.
- 7 RO Updates the Deemed/2802 tab to remove the AO from the Deemed By List (JC is removed from the Deemed By List). If Hospital, M4 is updated on the Application Worksheet tab and SA/RO to update Deeming Expiration Date on Application Worksheet, which is now an optional field.

AO	Deeming Effective Date (M4)	AO Termination Date
JC	02/08/2014	

Add Modify Delete

ASPEN does the following based on Deemed/2802 tab updates:

- Blanks out M4 on Hospital Worksheet.
- If no other AO is deeming this provider, ASPEN updates the CMS-1539 to remove Deemed? Indicator and change L10 to Not Accredited. If a hospital, the Multiple Accreditation section of the Worksheet is updated to reflect the current deeming status.

Certification kit showing validation survey and no deeming AO (if no remaining deemed AOs) uploaded to national database.

Deeming Scenario #4: Participating, Deemed Provider Undergoes Re-Accreditation Survey by AO – Option 2: Not Selected for Representative Sample Validation Survey

If not selected for RSS/validation survey, only action performed in ASPEN for providers is for ROs to update the Deemed/2802 tab to change Deeming Effective Date. If Hospital, new Deeming Effective Date updates M4, and the SA/RO to update Deeming Expiration Date on Application Worksheet tab, which is now an optional field, and upload the certification kit.

Deeming Scenario #5: Participating, Deemed Provider Undergoes Re-Accreditation Survey by AO – AO does not recommend Deeming – Option 1: Selected for Representative Sample Validation Survey

- CMS receives notice from JC of AOs plan to survey for purpose of re-accrediting provider that is currently participating and deemed. Per direction from CMS-CO, CMS-RO directs state agency to perform validation survey via 2802.
 - 1 RO creates new certification kit for provider. Since provider is already participating, this is a Type of Action = 2 – Recertification kit.
 - 2 On Deemed/2802 tab of new kit, RO creates 2802 by pressing the Start 2802 Process button. RO adds Primary State Representative, chooses JC for AO Name, Currently Deemed By value of 'JC', 'AO RE-ACCREDITATION SURVEY' for Accreditation Survey Type and enters the Scheduled End Date of Accreditation Survey, based on information from CMS-CO.

The following rules apply to this screen:

When the RO first selects the Accreditation Survey Type of “AO RE-ACCREDITATION SURVEY”

- The 60-Day survey type is automatically selected
 - The RO is required to enter Accreditation Survey Type, Primary State Representative, Currently Deemed By, AO Name, Scheduled End Date of Accreditation Survey in order for the 2802 to be sent
 - Updates CMS-1539 L8 Type of Action to 5 – Validation
- State Performs Validation
 - Within 60 days of AO survey, state creates validation survey in ASPEN’s certification kit and performs survey
 - After state completes validation survey, certification kit may be uploaded
 - Deeming Determination: CMS receives not-deeming/termination status from AO.

RO Updates the Deemed/2802 tab to add AO Termination Date.

Deemed By

	AO	Deeming Effective Date (M4)	AO Termination Date
▶	JC	06/24/2015	12/31/2015

Add Modify Delete

ASPEN does the following based on Deemed/2802 tab updates

- Changes deemed to Not Deemed on the 1539 (Note: The type of action remains 5-Validation)
- 1539 L10 set to Not Accredited
- If hospital, M4/M5 removed from Application Worksheet tab
- If hospital, JC removed from Multiple Accreditation Status on Hospital/CAH Database Worksheet

Deeming Scenario #5: Participating, Deemed Provider Undergoes Re-Accreditation Survey by AO – AO does not recommend Deeming – Option 2: Not Selected for Representative Sample Validation Survey

- CMS Receives notice from JC of AOs notification of Termination of Accreditation.
No action required in ASPEN at this time.
- Deeming Determination: CMS receives not-deeming/termination status from AO.
The RO updates the Deemed/2802 tab to add AO Termination Date.

	AO	Deeming Effective Date (M4)	AO Termination Date
▶	JC	06/24/2015	12/31/2015

Add Modify Delete

ASPEN does the following based on Deemed/2802 tab updates:

- Changes deemed to Not Deemed on the CMS-1539
- L10 set to Not Accredited on CMS-1539
- If hospital, M4/M5 removed from Application Worksheet tab
- If hospital, JC removed from Multiple Accreditation Status on Hospital/CAH Database Worksheet

Deeming Scenario #6: Participating, Deemed Provider: Selected for Midcycle Survey

- Per direction from CMS-CO, CMS-RO directs state agency to perform Midcycle survey via 2802
 - 1 RO creates new certification kit for provider. Since provider is already participating, this is a Type of Action = 2 – Recertification kit
 - 2 On Deemed/2802 tab of new kit, RO creates 2802 indicating existing AO conducting survey.

Authorization for State Validation Survey (CMS 2802)

2802 Process Started Date Issued By RO: 06/24/2015 Region: 04 Send 2802 to State

Regional/State Representatives

Name	Email Address	SA/RO	Primary
KENNIS, JEREMY	JEREMY.KENNIS@ALPINETG.CO	RO	<input checked="" type="checkbox"/>
KENNIS, JEREMY	JEREMY.KENNIS@ALPINETG.CO	SA	<input checked="" type="checkbox"/>

R.O. =

+ Add S.A.
+ Add R.O.
- Delete

Comments

Currently Deemed By:

☐ 60-Day
☒ Midcycle

☐ NONE ☐ AOA/HFAP ☐ CIHQ
☒ JC ☐ DNV ☐ OTHER

AO Name: JC

Scheduled End Date of Accreditation Survey: 06/25/2015

60 Days after Accreditation Survey: 08/24/2015

Accreditation Survey Type:

- The RO selects the Midcycle survey type
- The AO Name, Scheduled End Date of Accreditation Survey and 60 Days After Accreditation Survey date are disabled

ASPEN does the following based on Deemed/2802 tab updates:

- Sends Action Item/Email to designated state contact when Send 2802 to State button pressed
- Updates CMS-1539 L8 Type of Action to 5 - Validation

- State Performs Validation
 - 3 State creates validation survey in ASPEN's certification kit and performs survey
 - 4 After state completes validation survey, RO reviews the survey and proceeds, as applicable, with enforcement actions. Certification kit may be uploaded

Participating, Deemed Provider Adds a New AO

CMS Receives notice from DNV GL of Accrediting Organization's (AO) plan to survey provider. Provider is currently a participating provider deemed by JC. Per direction from CMS-CO, CMS-RO directs state agency to perform validation survey via 2802.

1 Open ARO

- Use your desktop shortcut to launch ARO.
- Activate the HOSP OPEN selection set.
- Locate the hospital, <A> DEEMED NEW AO (where "A" is your training letter).

2 Create Certification kit

- Right-click the facility and select **Create Certification**.
Since the provider is already participating, this is a Type of Action = 2 – Recertification.

3 Select Responsible Parties

- Go to the **Tracking** tab.
- In the Responsible Parties section, select **Add S.A.** to add the SA version of yourself (<#>, Trainee).

4 Update Deemed info

- Go to the Deemed/2802 tab.
- Select Start 2802 Process and enter the following.
 - Accreditation Survey Type: **INIT AO SURVEY FOR THIS AO; DEEMED BY ANOTHER AO.**
 - In the Regional/State Representatives section, select the **Primary** checkbox for the RO and SA.
 - 60-Day is automatically selected.
 - Currently Deemed By: **JC**
 - AO Name: **DNV GL.**
 - Scheduled End Date of Accreditation Survey: **10/31/2015.**
 - Select **Send 2802 to State.**

ASPEN does the following based on Deemed/2802 tab updates:

- Sends Action Item to designated SA/RO.
- Updates CMS-1539 L8 Type of Action to 5 – Validation.
- Click **Done**.
- Click **No** to Define a starting survey?, and close ARO.

The State will perform the validation survey. Within 60 days of AO survey end date, a validation survey is created and performed in ASPEN.

After the validation survey is complete, the certification kit may be uploaded and the RO is notified of survey results.

5 Create and perform survey

- Open ACO.
- For the ACO Selection (in the toolbar), select **HOSP OPEN**.
- Locate **<A> Deemed New AO**, where A is your training letter.
- Expand your facility, right-click the validation certification and select **Certification Kit**.
- In the Survey list section, click **New**.
- Click **OK** to create a Health survey.
- Note the date of the AO survey and date your survey within 60 days – use **11/15/2015** for the Start and Exit dates.
- Select the **Federal Acute Care Hospital** regulation set.
- Click **Update** in the Team Roster section and add the SA version of yourself, and click **OK**.
- Click **OK** to close the Survey Properties.
- Click **Yes** to the Outside Date Range message.
- Click **Yes** to proceed to Citation Manager.
- Double-click on **0000 Initial Comments**.
- Click **OK** in Citation Properties.
- Enter some findings and click **OK**.
- Click **Done** to close Citation Manager.
- Click **Done** to close the certification kit.
- Close ACO.

Deeming Determination: RO receives notice from AO of AO's recommendation for deemed status of a provider/supplier. RO forwards notice to SA. If SA survey had condition-level findings and RO review concurs with findings, or changes findings to condition-level, RO takes appropriate enforcement action. Addition of the new AO to the deemed status tab is not made until and unless the RO accepts the new AO's recommendation.

In this case the RO accepts the deeming recommendation, and the RO updates the Deemed/2802 tab in ASPEN to indicate DNV GL is now also currently a deeming provider along with JC.

6 Update Deemed info

- Open ARO.
- Expand <A> **Deemed New AO**, right-click the validation kit, and select **Certification Kit**.
- Go to the **Deemed/2802** tab.
- In the Deemed By section, click **Add**.
- For AO, select **DNV GL**.
- For Deeming Effective Date (M4) enter **10/31/2015** and click **OK**.
- Click **OK** in the Deemed By Detail window and click **OK** to the mismatch warning.
 - ASPEN does the following based on Deemed/2802 tab updates:
 - The Accreditation Status (L10) field on Transmittal CMS-1539 tab is set to AO with earliest Deeming Effective Date (remains JC in this case).
 - Deemed indicator on CMS-1539 remains **Yes**.
 - If hospital, updates JC and DNV GL to checked in Multiple Accreditation Status field of Application Worksheet tab (Multiple Accred. Indicator set to **Yes**).
 - If hospital, updates M4 on the Application Worksheet tab to latest Deeming Effective Date (DNV GL's Deeming Effective Date in this case).

Completed certification kit showing 2 deeming AOs may be uploaded to national database.

- Click **Done** to close certification kit. Click **Yes to All** to override any messages.

Deemed Provider Undergoes Re-Accred Survey by AO

CMS receives notice from the JC of the AO's plan to perform a survey for the purpose of re-accrediting a currently participating and deemed provider. Per direction from CMS-CO, CMS-RO directs the state agency to perform a validation survey.

1 Open ARO

- Use your desktop shortcut to launch ARO.
- Activate the **HOSP OPEN** selection set.

2 Locate the Hospital

- Locate the hospital, <**A**> **DEEMED REACCRED** (where "A" is your training letter).

3 Create Certification kit

- Right-click the facility and select **Create Certification**.
- Select **Yes** to override any messages.

Since the provider is already participating, this is a Type of Action = 2 – Recertification kit.

4 Select Responsible Parties

- Go to the **Tracking** tab.
- In the Responsible Parties section, select **Add S.A.** to add the SA version of yourself (<#>, Trainee).

5 Start 2802 Process

- Go to the **Deemed/2802** tab.
- Select **Start 2802 Process**.
 - In the Regional/State Representatives section, select the **Primary** checkbox for the RO and SA.
 - Select Accreditation Survey Type: **AO RE-ACCREDITATION SURVEY**
 - 60-day is automatically selected
 - Select Currently Deemed By: **JC**
 - Select AO Name: **JC**
 - Enter Scheduled End Date of Accreditation Survey: **10/31/2015**.
 - Select **Send 2802 to State**

ASPEN does the following based on Deemed/2802 tab updates:

- Sends Action Item to designated SA/RO contacts.
- Updates CMS-1539 Type of Action (L8) to 5 – Validation.
- Click **Done** to close the certification kit.
- Click **Yes to All** to override the edit checks.
- Click **No** to Define a starting survey?
- Close ARO.

In this case, the SA performs the validation survey.

Within 60 days of AO survey end date, a validation survey is created and performed in ASPEN.

After validation survey is complete, RO reviews the survey and proceeds, as applicable, with enforcement actions. Certification kit may be uploaded.

After completion of the hospital worksheet and CMS-1539, this kit can be uploaded.

6 Create and perform survey

- Open ACO.
- Activate the **HOSP OPEN** selection set.
- Expand <A> Deemed Reaccred, right-click the Validation kit, and select **Certification Kit**.
- In the Survey list section of the Certification & Surveys tab, click **New**.
- Click **OK** to create a Health survey.
- Note the date of the AO survey, and date your survey within 60 days – use **11/15/2015** for the Start and Exit dates.
- Select the **Federal Acute Care Hospital** regulation set.
- Click **Update** in the Team Roster section and add the SA version of yourself.

If a warning message appears notifying you the surveyor has other scheduled activities, click **Continue with Assignment**.

- Click **OK**.
- Click **OK** to close the Survey Properties.
- Click **Yes** to the Outside Date Range message.

- Click **Yes** to proceed to Citation Manager.
- Enter **0713** in Quick Find and drag into Citations.
- Click **OK** in Citation Properties.
- Enter some findings and click **OK**.
- Click **Done** to close Citation Manager.
- Close ACO.

Deeming Determination: RO receives notice from AO of AO's renewal of accreditation and continued recommendation for deemed status of a provider/supplier. RO forwards notice to SA.

7 Update Deeming info

- Open ARO.
- Locate <A> Deemed Reaccred and open the validation kit.
- On the Deemed/2802 tab, in the Deemed By field, highlight JC and select **Modify**. Update the Deeming Effective Date (M4) to **10/31/2015**, and click **OK**.
- Click **OK** to the mismatch message.

ASPEN updates the Effective Date of Accreditation (M4) field on the Application Worksheet tab.

Also on the Application Worksheet tab, you can optionally update the Expiration Date of Accreditation (M5).

8 Upload

After completing the Transmittal CMS-1539 and Application Worksheet tabs, the kit is ready for upload.

Pretend there were serious deficiencies and the RO decides to terminate deeming status for this provider.

9 Update Deeming info

- On the Deemed/2802 tab, highlight the AO in the Deemed By list and select **Modify**.
- Enter the **AO Termination Date** as **11/01/2015** and click **OK**.
- ASPEN does the following:
 - Blanks out M4 on Application Worksheet.
 - If no other AO is deeming this provider, ASPEN updates the CMS-1539 to remove Deemed? indicator and changes L10 to Not Accredited. If a hospital, Multiple Accreditation Status is updated to reflect the current deeming status.

10 Upload

Completed certification kit showing validation survey and no deeming AO (if no remaining deemed AOs) is uploaded to national database.

11 Close cert kit

- Click **Done** to close the certification kit. Override any messages.
- Close ARO.

Not Currently Participating Provider Seeks Initial Certification with Deemed Status – Option 2: Not Selected for Rep. Sample/Validation Survey

CMS Receives notice from AO of AO's plan to survey provider. Certification process proceeds with no direction to SA for Validation survey.

No action required in ASPEN at this time.

RO receives notice from AO of AO's recommendation for deemed status of a provider/supplier that is not currently participating in Medicare and forwards notice to SA. RO/SA are usually already aware of an application by this provider/supplier to enroll, possibly including its intentions to participate via deemed status.

No action required in ASPEN at this time.

Deeming Determination: RO completes certification process after receiving all required documentation from the SA and determining that all certification requirements have been met.

RO or SA creates new certification kit for provider. Since provider is not currently certified, this is a Type of Action = 1 – Initial Certification kit.

1 Create and perform survey

- Open **ACO**.
- Activate the **HOSP OPEN** selection set.
- Locate <**A**> **Deemed Initial**, where A is your training letter.
- Right-click the facility name and select **Create Certification**.

RO or SA Updates the Deemed/2802 tab in ASPEN to indicate JC is currently deeming provider. Clicks **Add** to place JC into Currently Deemed By grid. The M4 column is completed by RO or SA.

2 Update Deeming info

- Select the **Deemed/2802** tab.
- In the Deemed By section, click **Add**.
- For AO, select **JC**.
- For Deeming Effective Date: **06/15/2015**.
- Click **OK** and **OK** to mismatch warning.

ASPEN does the following based on Deemed/2802 tab updates:

- Adds JC to L10 Accredited By field on CMS-1539
 - Sets Deemed field on CMS-1539 to Yes
 - If hospital, updates M4 on Application Worksheet tab
 - If hospital, updates JC to checked in Multiple Accreditation Status section (Multiple Accred. Indicator set to 'No')
 - Provider now shows as Deemed in ASPEN tree views and will upload as such.
- Click **Done** to close the certification kit.
 - Click **Yes to All** to override the edits.
 - Close ACO.