

HHA Initial Certification Kit

Enter HHA facility into ASPEN

A record must exist in ASPEN for a provider before you can create certification kits, surveys, and complaint/incident intakes for that provider.

Supervisor role:

On 07/02/2015, a new provider submits an application to become a type 052, Home Health Agency (HHA). Working with the Regional Office, the State Agency application processing staff assigns a provider number and creates a record in ASPEN for the new HHA.

1 Open ACO

- Double-click the ACO icon on your desktop.

2 Add facility definition information

- On the ACO Explorer toolbar, click the **Facility** button to open the **Define New Facility** window.

Supply the following information:

- Facility ID: **HHAXX** (where XX is your assigned training letter)
- CMS Certification Number (CCN): **06K0XX**, where xx is your training number
- Type: **052 Home Health Agency (HHA) Medicaid Only**
- Operating Status: **01-Active** + enter **07/01/2015** in the Date of Status Change window, then click **Close**.
- Title: Select the checkbox to the right of: **19 (M-Caid)**

TIP: In ASPEN date fields, hold down the Ctrl key and click the down arrow next to the field to insert today's date.

Since this is a Medicaid-only HHA (052) provider type, a National Provider Identifier (NPI) can be entered. We will enter it in a later section.

- Name: **X My HHA** (where X is your assigned training letter)

When you tab out of the Name field, ASPEN copies the name to Legal Name.

- Address: **123 Main Street**
- ZIP: **80501**

When you tab out of the Zip field, ASPEN will supply the City, County, State and OSCAR State Region.

- Phone: 303-555-1234

Facility information is included when transferring data to ASPEN Survey Explorer. This means surveyors don't have to worry about making duplicate entries – it is automatically loaded by ASPEN.

3 Associations

- Select the **Associations** tab.
- Add Management Unit: Home Health and Community Based
- Add Supervisory/Work Unit: **Home Health**

4 Administration

- Go to the Administration tab.
- In the Search box, type SMITH and click Find Now.
- Highlight one of the Smiths to be your administrator.
- Select Click Here to Assign.
- In the Administrator Information window, enter **07/20/2015** for a Started date, and choose an **Administrator Type**, then click **OK**.

Note the Type you selected for use later in this scenario.

5 Ownership

- Go to the **Ownership** tab.
 - Type the letters "**Nat**" in the **Name** field to search in the Owner Directory for the owner company you want to assign, and click **Find Now**.
- Owner companies that match the search criteria are listed.
- Select the owner company you want to assign to the provider and choose the **Click Here to Assign** button.

-or-

Double-click the applicable owner company.

- In the Owner Properties window, enter the requested information and click **OK**.
- The owner company is now listed in the Owners Linked to this Facility section.
- To designate an owner company as the primary owner of the provider, select the owner company and click **Make Primary**.

An asterisk indicates the primary owner. The first owner company assigned is automatically designated the primary owner.

NOTE: The Facility Owner Name macro inserts the primary owner when form letters are generated.

6 Notes

- Click **Notes** and add some personal notes about this HHA.
- Click **OK** to save and close the Notes.

These notes are copied to the certification kit Notes area.

7 Save facility

- Click **OK** to save and close the facility record.

- Click **OK** on the warning message about NPI information.
ASPEN assigns a facility login.
- Click **OK**.

Create Certification Kit/Schedule Survey

With the HHA record entered into ACO, the SA creates an initial certification kit.

When Responsible Parties are designated in the certification kit, ASPEN can send action items and activity messages to other staff, alerting them to certification tasks.

8 Activate selection set

- In the ACO tree, expand **My Selections**.
- Right-click the **HHA OPEN** selection set, then click **Activate**.

9 Create initial Certification Kit

- Locate your HHA in ACO's tree view.
- Right-click the provider name and select **Create Certification**.

10 Assign RO Responsible Party

In ASPEN certification kits, TrackID and Category are supplied.

TIP: The TrackID is often the quickest way to locate a certification. Any surveys linked to a certification has an identifying EventID that uses the four digits of the TrackID.

- In the Certification Kit, go to the **Tracking** tab.
- Note that you are automatically added as the SA Responsible Party.
- Click **Add R.O.**, and select the RO version of yourself, and click **OK**.
Since we are adding only one Responsible Party of each type, there is no need to check the Primary check box.

11 Assign activity

- Go to the **Activities/Action Items** tab (next to the Responsible Parties tab).
- Click **Add** to create a new activity.
- Complete required fields:
 - Type: **08 Schedule Onsite Visit**
 - Sent: **Today's Date**
 - Start: **Today's Date**

- Click **Add S.A.**, then select yourself from the drop-down list as the Recipient of the activity and click **OK**.
- In the Comments section, include a note saying that the survey must be started by *Today's Date*
- Click **OK** to save the Activity.

12 Close the certification kit

- Click **Done** to save and exit the certification kit. When asked if you want to define a starting survey, click **No**.

Scheduler role:

The scheduler receives the action item and schedules the initial health survey, then exports the survey shells to a transfer file, from which survey team members can import them into ASE-Q.

13 Open the certification kit

- Press **F5** to refresh the screen.
- Locate the SCHEDULE ONSITE VISIT action item on your ACO desktop listed on the right side of your screen, right-click the action item and select **Certification Kit**.

14 Schedule initial Health survey

- On the Certification & Surveys tab, scroll to the Survey List.
- Click **New** to create a new survey.
- For Initial Survey Type, select **Health Survey** and click **OK**.
- In the Create Health Survey window:
 - Start: **Today's Date**
 - Exit (X3): **Today's Date**
 - Regulations: **Fed–Home Health Agencies**
 - Type of Survey: **E-Initial Certification** (pre-selected by ASPEN)
 - Extent: **A-Routine/Std Survey** (pre-selected by ASPEN)

15 Add survey team members

- In the Team Roster section, click **Update** to display the Staff Availability List.
- Find the SA version of yourself and two additional trainees, and select the checkbox to the left of each name.
- Click **OK** to close the Staff Availability List.
- Click **OK** to close the Create Health Survey window. Say **No** to the question about proceeding to Citation Manager.

16 Close Action Item

- In the Certification Kit, go to the **Tracking** tab.
- Go to the **Activities/Action Items** tab (next to the Responsible Parties tab).
- Select the **08 Schedule Onsite Visit** activity type and click **Modify**.
- Enter **today's date** in the Completed field.
- Click **OK** to save the change.
- Entering a completion date automatically closes the Action Item associated with the activity.
- Close certification kit
- Click **Done** to save and exit the certification kit.

17 Export surveys to transfer file

- In the **ACO** tree, locate and highlight (click on) your HHA.
- On the toolbar, click **Export**.
- In the Export window select **Other Location** and click the binoculars to Find Location.
- Browse to **C:\ASPEN Tech Training**, select it and click **Open**.
- Click **OK** to complete the export.

The export file is encrypted, and includes facility and survey information. "Transfer Location" may be anywhere – you can export to a diskette, USB drive, or to a location on your network.

- Click Continue with Export.
- In the Finalize Transfer window, click Apply.
- Click OK.

18 Export Regulation Set

To update the regulation set in ASE-Q, you can export the regulation set from ACO.

- In **ACO**, go to the Alpha tab, expand the **Regulations node**, and locate the regulation set assigned to the Health survey (Home Health Agencies Fed G).
- Right-click the **Home Health Agencies Fed-G...** regulation, and select **Send To | Export**.
- In the Export window, select **Other Location**.
- Use the Browse button (Binoculars) to select **C:\ASPEN Tech Training** and click **Open**

- Click **OK** in the Export window.
- Click **OK** to the 'Regulation export is complete' message.

NOTE: Rather than exporting and importing individual regulation sets from ACO, you can select **System | Synchronize Regulations** from the ASE-Q System menu.

Synchronize regulations verifies and imports new active regulation sets, patches to existing regulations, and regulation set status changes from the QIES state Oracle server. You must have defined an Oracle Repository in order to use Synchronize Regulations.

19 Close ACO

- Select **File** then **Exit** to close ACO.

Conduct Survey

Survey Team role:

On *Today's Date*, the survey team gets ready to perform the survey, beginning with importing the surveys from the transfer location into ASE-Q.

Using ASE-Q, surveyors can enter data while in the field, including, if they choose, printing the CMS-2567.

20 Open ASE-Q

- Locate the **ASE-Q** shortcut on your desktop, and double-click.
- Enter password (The same as the User ID) and click **Log In** to open ASE-Q.

21 Import regulation set

- Select the **Import** icon on the toolbar.
- In the Import window, select **Regulations**.
- Select **Other Zip File Location**.
- Use the **Browse** button (Binoculars) to select **C: Aspen Tech Training** and the **RegTx.zip** file.
- Click **Open**.
- Click **OK** in the Import window.
- The regulation set imports into ASE-Q.
- Expand the Regulations node and verify that the **Home Health Agencies-Fed-G** regulation set imported.

22 Import facility and survey information

- On the ASE-Q toolbar, click **Import**.
- In the Import Type section, select **Surveys**.
- Select **Zip file** then click the binoculars to find and select the file you just exported – C: Aspen Tech Training\ASPENTX.ZIP.
- Click **Open** to begin the import.
- Click **OK** in the Import window.
- In the Select Survey(s) to Import window, click **Continue with Import**.
- Click **Apply** in the Finalize Transfer windows.

When the surveys are performed, no Health deficiencies are found.

The surveyors enter initial comments into ASE-Q.

23 Specify team leader

- Locate your facility again and expand it (click the + next to it).
- Right-click the Health survey (EventID ends with 11) and select **Citation Manager**.
- In the Team Roster section, click **Roster**, select yourself, click **Leader**, and then click **Done**.

24 Enter initial comments

- Locate tag 0000 in the Regulations section, drag it to the Citations section (left pane), then release.
- In Citation Properties for Tag #, click **OK**.
- In the Citation word processor, enter Initial Comments.
- Click **OK** to save the text and return to Citation Manager.
- Click **Done** to exit Citation Manager.

25 Complete 670 Workload

- Locate the health survey in the tree again, right-click and select **CMS 670 Workload**.
- Enter hours in each column for yourself.
- Click your Staff Name to highlight it, and then click **Set All Hours** to copy these hours to other team members.
- Say **Yes** to the confirmation message.
- Click **Office Hours** and enter **1.0** hour for Total SA Supervisory / Review, and **1.0** hour for Total SA Clerical; click **OK** when done.
- Click **Close** to close the CMS 670 Workload Detail window.

Survey Team Leader role:

On *Today's Date*, the survey Team Leader (you) returns to the office and connects the ASE-Q laptop up to the local area network.

26 Export surveys to ACO

- Locate the health survey you want to export in the Tree view.
- To export the survey, select one of these options: Drag the survey to the **Export** button in the toolbar, or simply click the survey and then click the **Export** button.
- In the Export window select **Other zip file Location** and click the binoculars to Find Location.
- Browse to **C:\Aspen Tech Training**, select it and click **Open**.
- Click **OK** in the Export window.
- Click **Continue with Export**.
- Click **Continue with Transfer** for each surveyor.
- In Finalize Transfer, click **Apply**.
- Close ASE-Q.

The team leader (you) sends an Action Item to the Responsible Party (also you) to let (you) know the survey has been entered.

27 Notify SA of survey status

- Double-click the **ACO** icon on your desktop.
- Locate your provider in the Tree view, expand the node to show existing certification kit(s), right-click the certification kit and select **Certification Kit**.
- When the kit opens, go to the **Tracking** tab.
- Select the **Activities/Action Items** tab (next to the Responsible Parties tab).
- Click **Add** to create a new action item.
- In the **Define Activity** window, complete required fields:
 - Type: **09 File Review**
 - Sent: Accept the default (today)
 - Start: Accept the default (today)
- Click **Add S.A.**, select yourself from the drop-down list, and then click **OK**.

- In the Comments field, type “**Survey completed.**”
- Click **OK**.
- Click **Done** to close the certification kit.

28 Import survey to ACO

- In ACO, click **Import** in the toolbar.
- Select **Zip or mdb file** and click on the **binoculars**.
- Locate your survey transfer file **C:\Aspen_Tech_Training\ASPENTX.ZIP** and click **Open**.
- Click **OK** in the Import window.
- Click **Continue with Import**.
- Click **Continue with Transfer** for each surveyor.
- In Finalize Transfer, click **Apply**.

Review Findings/Generate CMS-2567

Responsible Party role:

On the same day, the Responsible Party can review findings, generate the CMS-2567 and associated letter, and enter SOD sent date information.

29 Review findings and print 2567

- Click the ASPEN Desktop at the top of the tree view (left pane). Then right-click the **FILE REVIEW** action item on your desktop and select **Certification Kit**.
On the Surveys tab of the Survey List section, notice the green checkmark with the text “CMS-670 Complete” above the survey grid.
- Click on the Health survey to select it, and then click **Citation Manager**.
- In Citation Manager, you can review findings by double-clicking the tag in the Citations pane. Click **OK** when done to return to Citation Manager.
- To print the CMS-2567, click the **Forms** button in the bottom left of Citation Manager, select the check box next to **CMS 2567** and click **OK**.
- Click **OK** in the Customize Survey Report Form window to accept the defaults.
- In the Crystal Reports viewer, maximize the window so you can see the report.
- We're not going to send the report to the printer, so when you have finished, select **File**, then **Close**. Click **Cancel** to close the Select Forms window.

30 Send SOD cover letter

- Still in Citation Manager, select **Letters**, then **Generate New Letter**.
- In the Form Letter pane, scroll to the letter named **Training Deficiencies Ltr** and select it.
- In the Distributions pane, scroll to Facility and make sure it has **Letter** in the Set Action column. If it does not, click **Set Action** until it does.
- Click **Preview** to view the letter.
- For Letter Created date, enter **today's date** and click **OK**.
- We're not going to send it to the printer, so when finished checking over the letter, click **Save and Exit**.
- Click **Done** to close Citation Manager.

31 Enter 2567 Issued date

- In the Survey List section, enter **Today's Date** in the 2567 Issued column.

Complete/Upload Certification kit**32 Enter CMS-1539 Data**

- Go to the **Transmittal (CMS-1539)** tab.
- On the "Survey has been flagged for revisit scheduling." window, click **OK**.
- Supply the required fields:
 - Fiscal Year Ending Date: **12/31**
 - Certified as (L12): **A – In Compliance**
 - Surveyor Sign Date (L19): **Today's Date**
 - State Agency Approval date (L20): **Today's Date**
 - Original Date of Participation (L24): **Today's Date**
 - Termination Code (L30): **00 Active**
 - Determination Approval date (L33): **Today's Date**

33 Application (CMS-1572A)

- Go to the **Application (CMS-1572A)** tab, and enter the following:
 - Type of Survey – Initial (G2): **Standard**
 - Eligibility (G7): **2 Medicaid**
 - Administrator (G8): Select the Administrator Type from the Administration tab in Facility Properties
 - Click the **Administrator** button; select the administrator linked to the facility, and click **OK**.
 - Branch Offices: Select checkbox for (G16) Has Branches
 - Click **Add** and enter the following:
 - Address: type anything
 - Zip Code: **80501**
 - Tab through City and County and it will populate according to the Zip Code.
 - Click **OK**.
 - Agency Type (G18) 03 Official Health Agency

- Control Type (G20): **03 Other**
- Services Offered (G21): Select **1 Agency Staff** for:
 - 01 Nursing Care
 - 04 Speech Therapy
 - 06 Home Health Aide
 - 08 Nutritional Guidance
- Staffing: Registered Nurse (G22): **5**
 - Lic Practical Nurse (G23): **5**
 - Speech Path/Audiologist (G26): **2**
 - Home Health Aide (G28): **2**
 - Dietician (G30): **2**
- HHA Provides Directly (G32): **4 Neither**
- Surveyor Summary (G45): **1 No evidence or need for partial...**
- Survey Frequency: **B 12-36 months**
- HHA Qualified for OPT (Outpatient Physical Therapy): **Yes**

34 Action item to RO to approve Medicare Branch

- Go to the **Tracking** tab.
- Select the **Activities/Action Items** tab.
- Click **Add** and enter the following:
 - Type: **11 Additional Information Requested**
 - Select **Add R.O.** and select the RO version of yourself
 - Click **OK**.
- Click **OK** to close Define Activity.
- Click **Done** to close the certification kit.
- Close ACO.

35 Medicare Branch ID

- Open **ARO**.
- Change the ARO Selection set to **HHA Open**.
- Expand your facility (HHAXX), right-click the certification kit and click **Certification Kit**.
- Go to the **Application** tab.
- Click the checkbox to enable **(G16) Has Branches?**
- Select the branch and click **Modify**.
- Using the information below, enter a valid 10-character alphanumeric **Medicare Branch ID**.

The Medicare Branch ID field appears to the right of the Facility/Branch ID field. The Facility/Branch ID is supplied by the system; you must reopen the Facility Relationship Manager after you add an HHA branch to see it.

The format of the Medicare Branch ID for an HHA branch is:

- first two characters of the parent provider's CCN (the State Code). **See certification kit title bar for CCN (Provider ID).**
- the letter "Q"
- last four characters of the parent provider's CCN
- sequential number for the branch, starting with 001 (**use your trainee # preceded with a 0**)

Example: 55Q7122003 (third branch record added to the database for the parent HHA with CCN = 557122)

- Hit the **Tab** key to enable the RO Approved date field, then enter **today's date**.
- Click **OK**.

36 Upload the certification kit

- Click the **Upload** tab.
- Click **Prevalidate and Upload**.

A message indicates incomplete forms on the Cert/Surveys page. Click **OK** on the Certificate Validation message.
- On the Certification & Surveys tab, click **Facility and CMS 670 Edits Not Passed**. This tells you what information is required to successfully upload the certification kit.

NPI information is required but not entered. Add The NPI number on the Facility Definition tab.
- Click **OK**, then click **Done** to close the kit.
- Right-click your facility and select **Facility Properties**.
- Click **Update NPI**.
- Click **Add NPI**, and enter NPI Number: **1234567893**, and then click **OK**.
- Highlight the row with the NPI included, and click the **Primary** button.
- Click **Return to Facility Page** and **OK** to close Facility Properties.

After you make the changes, open the certification kit and upload the kit again.

- Click **Prevalidate and Upload**.
- Click **Yes** to send the kit to ODIE.
- When finished, click **Done** to exit the certification kit.