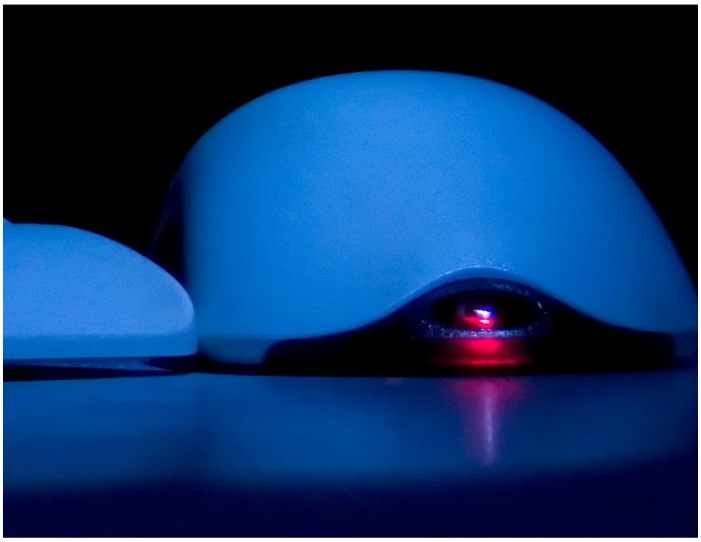
ASPEN
electronic
PLAN OF CORRECTION

ePOC
11.9.4.2
Procedures Guide



Information in this procedures guide is subject to change without notice.

All brand or product names are trade names, service marks, trademarks, or registered trademarks of their respective companies or organizations.

Systems Environment

Application Development: Microsoft Visual C++ and C# 2008 (9.0), .NET 3.51 SP1, .NET 4.6.1 or later (ASE-Q only)

Desktop Database (ASE-Q only): SQL Anywhere 11

CMS-supported operating systems and MS Internet Explorer versions are posted on the QTSO website at https://qtso.cms.gov/providers/home-health-agency-hha-providers/reference-manuals in the Minimum System Requirements document under Reference & Manuals.

Oracle Database 12c Enterprise Edition Release 12.1.0.2.0

Oracle Client 12.2.0.1

Optional System Environments

MAPI Compliant E-mail client to support e-mail transfer of survey information

---

Note: This document can be viewed online or printed in a duplex (two-sided) format. Blank pages have been automatically inserted as needed for correct pagination in the printed copy.

Contents

Introduction **7**
About this Procedures Guide **7**
View this Document Online 8
View a Printed Copy of this Document 9
Conventions 9
Accessibility Features **10**
In this Guide 10
In ePOC 11
Acceptable Date Range in ASPEN **11**
ASPEN ePOC Procedures **13**
ePOC Overview **13**
ePOC Configuration **14**
Enable ePOC in ASPEN 14
Activate ePOC for Facilities 14
Activate a Single Facility 15
Activate Multiple Facilities 15
View ASPEN Web: ePOC Users 16
Set User Permissions 17
Configure ePOC Email Recipients 17
Set up a Recipient Group 17
Specify Email Addresses of Non-Survey Specific Recipients 19
Email Recipient Group Configuration Examples 20
Core ePOC Process **23**
POC Properties **24**
POC Properties Functions 24
Open the POC Properties window 24
POC Manager **27**
POC Manager Functions 27
Open and Filter the POC Manager 27
Surveys in ePOC **29**
Create Surveys and Add Findings 29
Create Survey Letters 29
Add ePOC Responsible Parties 30
Post Surveys to ASPEN Web: ePOC 31
Unlock and Re-lock Posted Surveys 32
Remove Posted Surveys 34

Re-post Surveys 35
View Posting History 36
POC Tracking 37

POC Approval/Rejection 37
Review POCs 37
Open POC Approval and Rejection 38
Open Citation Manager 39
Generate Survey Forms 39
Print CMS-2567 40
Access ePOC Attachments 41
Approve a POC 43
Reject a POC 44
Finalize Drafts 46
Close Survey 46
View POC History 47

ePOC Special Cases 48
FMS Surveys 48
Deficiency-Free Surveys 49
A-level and PNC Tags 49
Waived tags 50
Remove Approval 50
Stop a Survey 51

ePOC Email History 52

ePOC Reports 52
Generate ePOC Management Reports 52
Customize ePOC Management Reports 55
Generate POC Reports for Single Surveys 56
Generate the POC Manager Listing 57

Audit History 58

ePOC Screens 59

Configuration Screens 60
State Customization window 60
ePOC Information 61
ePOC Web Users window 61
ePOC Facility Maintenance window 62
SA/RO Email Recipients window 63
Add/Modify Email Recipient Group window 64

ASPEN ePOC Screens 65
POC Manager window 65
POC Properties window 66
ePOC History window 67
POC Approval and Rejection window 68
POC Approval window 69
POC Rejection window 70
POC History for Tag window 71

Citation Manager 72
Select Form(s) … 72
ePOC Attachments window 73
Report Customization window 74

ePOC Fields and Buttons 77

Configuration Fields 77
State Customization 77
ePOC Information 77
ePOC Web Users 78
ePOC Facility Maintenance 78
Filter 78
ePOC Facility Maintenance: Grid 78
New Activation Date 79
SA/RO Email Recipients/Email Recipient Group 79
SA/RO Email Recipients/Email Recipient Group: Buttons 80
Recipients for 80

ASPEN ePOC Fields 81
POC Manager 81
Filter Criteria 81
POC Manager: Grid 83
POC Manager: Buttons 84
POC Properties 85
Citations for ePOC Display grid 85
POC Buttons/Dates 86
Survey Letters for ePOC Display 87
Responsible Parties 88
Status 89
Status: Buttons 90
ePOC History 90
POC Approval and Rejection 91
Deficiencies grid 91
Deficiency [tag number]: Detail 91
Plan of Correction 92
POC Approval and Rejection: Buttons (bottom of screen) 92
POC Approval 93
Comments 93
POC Approval: Buttons 93
POC Rejection 94
POC Rejection: Grid 94
Comments 94
POC Rejection: Buttons 94
POC History for Tag 95
POC History for Tag: Grid 95
POC Detail 95
Approval Comments/Rejection Detail 95
Citation Manager 95
Survey Forms 95
ePOC Attachments 96
ePOC Attachments: Grid 96
ePOC Attachments: Buttons 96

Report Customization 97
Customization Options 97
Define Selection of Records 98
Store Report Definitions 99

Supporting Materials 101

Updated POC-related Fields in ASPEN 101
ASPEN Tag Level POC Fields 101
ASPEN Survey Level POC-related Fields 102

ePOC Emails 103
Survey Results Posted - SA/RO 103
Survey Results Posted to Facility 104
Survey Results Re-Posted to Facility 105
Facility POC Initially Submitted 106
Facility POC Resubmitted for Tag Email 107
Facility POC Submitted for All Tags Email 108
POC Rejected by SA/RO 109
POC Approval by SA/RO 110
Final POC Approved 111
No Response From Facility Email 112
Tardy Survey Posting 113
Late POC Review 114
Acknowledgment Required 115
Letter Notification 116
Remove Posting from ePOC Website 117
Response Due Date Change 118
Facility Attachment Added 119
No ePOC Users For ePOC Facility 120
New ePOC Users Added 120

Windows Keyboard Shortcuts 121
Ease of Access keyboard shortcuts 121
General keyboard shortcuts 121
Dialog Box keyboard shortcuts 123

ASPEN Web: ePOC Keyboard Shortcuts 124
General 124
Grids 124
Drop-down Lists 125
Checkboxes 125

Introduction

The ASPEN electronic Plan of Correction (ePOC) system provides a convenient, centralized workplace, which enables CMS Central Office (CO), Regional Office (RO), and State Agency (SA) users to electronically manage and track POCs for ePOC-enrolled health care providers under their oversight.

About this Procedures Guide

The ASPEN *ePOC Procedures Guide* gives CMS Central Office (CO), Regional Office (RO), and State Agency (SA) users the information needed (depending on your user role) to:

- Configure ASPEN for ePOC
- Post the Statement of Deficiencies (SOD) for a survey to a care provider for review and POC submission
- Approve/Reject a submitted POC

Functions specific to ASPEN Regional Office (ARO) and differences between ACO and ARO are identified.

Note: This guide assumes that you are familiar with basic Windows operations knowledge and have received ePOC training.

This guide consists of this introduction and the following four chapters:

- ASPEN ePOC Procedures

  Provides task-based procedures to the SA/RO for completing all steps in the ePOC process. If you need more information, links to additional material are included.

- ASPEN ePOC Screens

  Contains pictures and brief descriptions of ePOC-related screens and windows in ASPEN.

- ASPEN ePOC Fields and Buttons

  Presents descriptions of the fields and buttons in the ePOC-related screens and windows in ASPEN.

- Supporting Materials

  Contains supplemental information and reference items.

View this Document Online

You must have Adobe Reader installed to view this document online. You can download the latest version from https://get.adobe.com/reader/.

On any page, you can click the Increase (+) or Decrease (-) button in the toolbar to adjust the page magnification to your comfort level. Use the bookmarks in the left pane of Adobe Reader to locate and go (click the bookmark) to relevant information in this procedures guide.

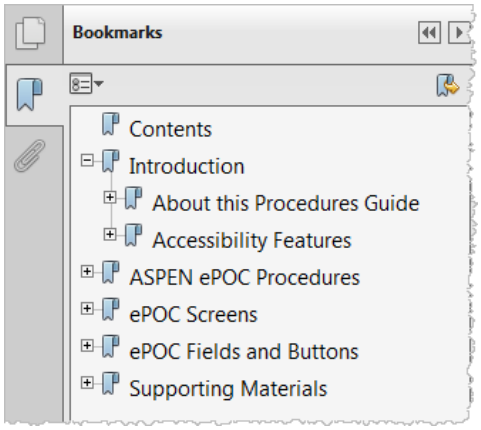


Figure 1: Bookmarks

You can also click the Contents bookmark and then click links in the table of contents to go to relevant topics.

TIP: For best viewing quality in Adobe Reader, go to Edit | Preferences | Page Display (path may vary somewhat depending on version). Select the applicable Smooth Text option.

If you need more information, links to relevant additional material in this document are included. Click a link to directly access the related information.

In the **Procedures** chapter, there are three types of links (cross-references) to additional material. They are grouped at the end of a procedure or descriptive section.

More ...

Procedure: “Activate Multiple Facilities” on page 15
Screen: "POC Manager window" on page 65
“Core ePOC Process” on page 23

➥ Click the first link to go to the indicated procedure.

➥ Click the second link to go to a graphic and description of the indicated screen or section of screen.

➥ Click the third link to go to descriptive information about the indicated topic.

In the **Screens** chapter, there is one type of link (cross-reference) to additional material:

Fields: "POC Manager", on page 81

➥ Click the link to go to the field descriptions for the indicated screen.

There may also be cross-references in the Fields and Supporting Materials chapters.

View a Printed Copy of this Document

While it is designed to be used easily online, you can print this document if you prefer. If you print this document, use the table of contents to locate the information you need. Links (cross-references) to additional material in this document include page numbers; simply go to the indicated page.

Conventions

This guide uses the following conventions:

Bold In procedures: names of screens, screen sections, windows you open; and buttons, menu options, keys you press.

ACO Generic reference to ACO and ARO. When necessary, ARO is explicitly identified.

Facility Properties

Generic reference to the Define New Facility/<FacName> Definition window.

web Generic reference to the World Wide Web.

More ...
Introduces a list of "see also" cross-references.

Note: Notes give you important information that may affect how you use a function.

TIP: Tips give you useful hints, suggestions, or alternative approaches.

WARNING! Warnings tell you actions to avoid that may cause harm, or precautions you should take to avoid causing harm.

Accessibility Features

This *ASPEN ePOC Procedures Guide* and ePOC user interface include a number of 508-compliant accessibility features, which are detailed below.

In this Guide

This procedures guide incorporates the following 508-compliant accessibility features:

- Alternate text (alt text) is defined for all graphics, which screen readers can read. In the Screens chapter, there are links (cross-references) to the field/column descriptions for the indicated screen or section of screen.

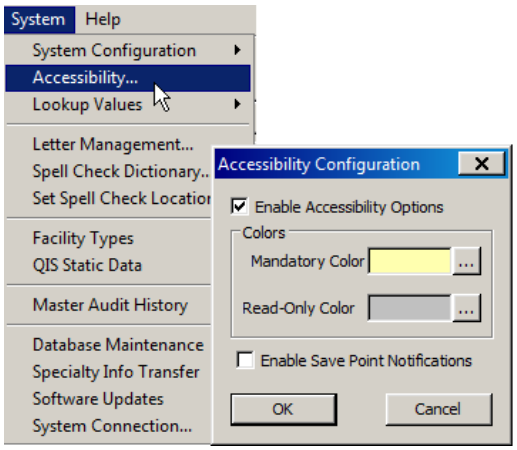


Figure 2: Accessibility

- All graphics have captions.
- Information is not conveyed by means of color alone.
- Reading order is optimized, so content is read correctly by screen readers.

- Tables are generally not used for formatting, so text is accessible to screen readers.
- Windows keyboard shortcuts are included in the Supporting Materials chapter (refer to "Windows Keyboard Shortcuts" on page 121).

In ePOC

ePOC application functionality is integrated into ASPEN, and as such, ePOC includes the following 508-compliant accessibility features:

- The Accessibility menu option on the System menu lets you specify field color preferences and enable/disable save point notification, i.e., audible confirmation upon saving.
- All fields are included in the tabbing sequence.
- Keyboard shortcuts exist for all options, so ePOC is completely keyboard-accessible (refer to "ASPEN Web: ePOC Keyboard Shortcuts" on page 124).
- All error messages are accessible to screen readers.

More ...

"Windows Keyboard Shortcuts" on page 121
"ASPEN Web: ePOC Keyboard Shortcuts" on page 124

Acceptable Date Range in ASPEN

ASPEN does not allow dates outside of the range January 1, 1890 to December 31, 2050. You will be notified of an invalid date that is outside this range when it is entered in a field or grid, or on upload to national. A message will indicate the acceptable date range and you cannot save or upload until a valid date is entered.

ASPEN ePOC Procedures

The ASPEN electronic Plan of Correction (ePOC) system offers a convenient centralized workplace for completing all steps in POC processing. States and Regional Offices will use ePOC functionality integrated into ACO and ACTS to:

- Post Statements of Deficiencies (SODs), i.e., surveys with deficiencies, to ASPEN Web: ePOC
- Post relevant letters to ASPEN Web: ePOC
- Receive POCs from the provider
- Review and accept or reject submitted POCs
- Track ePOC-related communication
- Receive timely email notification at various process points
- Generate reports to monitor timeliness and track POC history

ePOC Overview

The Plan of Correction process is the same for all surveys with one or more deficiencies whether certification, investigation, Health, Life Safety Code, Federal Monitoring Survey, or revisit. The ePOC system supports this POC process for surveys on Federal facilities, i.e., those with a CCN number.

To start the process, the SA/RO posts a survey to the ASPEN Web: ePOC website. Facility users review the Statement of Deficiencies and submit plan of correction information. The SA/RO can also post related survey, enforcement, and intake letters to the ePOC website along with the SOD. Providers can attach documentation to support their submitted POC(s) until final approval of the POC(s). The SA/RO can review these ePOC attachments even after a survey is closed upon final approval in ASPEN 11.9.4.2 or later.

Though ePOC supports display of Past Non-Compliance (PNC) and A-level Scope/Severity tags as well as deficiency-free surveys, POCs are neither required nor permitted. However, facility acknowledgement is required in all these cases. When follow-up surveys are posted to ASPEN Web: ePOC, corrected tags do not display.

To enhance communication and monitor timeliness, automated email notification is provided to specified SA/RO and facility recipients as needed throughout the ePOC life cycle.

ePOC Configuration

Each state must complete the following configuration tasks in order to use the ePOC system functions.

- Enable ePOC functionality in ASPEN.
- Activate ePOC for facilities so they can use ASPEN Web: ePOC to view deficiencies and respond with their POCs.
- Assign user permissions for ePOC windows and buttons.
- Set up recipients for SA/RO-targeted ePOC emails.

Enable ePOC in ASPEN

To enable ePOC functionality in ASPEN, you simply select an option in the State Customization window. You can enable ePOC for Health surveys, LSC surveys, both, or neither.

To enable ePOC in ASPEN:

1. Open **ACO**.
2. On the **System** menu, select **System Configuration**, then **State Customization**.
3. Enter the **Security Clearance** password if requested.
4. In the **ePOC** section, choose the appropriate **Enable POC for** option.
5. Click **OK** to save and exit.

More ...

Screen: "State Customization window" on page 60

Activate ePOC for Facilities

After you enable ePOC in ASPEN, you can activate ePOC in ACO (or ARO) for qualified facilities, either individually or in group(s). A facility must be a federally certified provider that is open, has a CMS Certification Number (CCN), and has been uploaded to national. For an activated facility, you can view a list of users with access to ASPEN Web: ePOC.

Note: Currently, only Nursing Home providers can be activated for ePOC.

Only surveys with an exit date on or after a facility's ePOC activation date can be posted to ASPEN Web: ePOC.

Activate a Single Facility

To activate ePOC for an individual facility, you simply set an activation date in Facility Properties. You can change an existing activation date if necessary.

To activate ePOC for a facility:

1. Open **ACO**.
2. Locate the facility in the **Tree** view, right-click it, and select **Facility Properties**.
3. In the **ePOC information** section (at the bottom of the **Facility Definition** tab), click the **Enable** button and enter the **ePOC Activation Date**.

   The field will be enabled only if ePOC has been activated for the state. When set, the date must be within the last 13 working days.
4. Click **OK** to save and close Facility Properties.

Note: Surveys of the facility with an exit date prior to the ePOC Activation Date cannot be posted to ASPEN Web: ePOC. If you change the date for a facility with survey(s) already posted to ePOC, a message tells you this after you press OK; the survey(s) will continue to be active on the ePOC website and in ASPEN. You *cannot* revert to the original activation date.

More ...

Screen: "ePOC Information" on page 61

Activate Multiple Facilities

The ePOC Activation Date can be set or changed for multiple facilities as a group based on provider type, team and/or management unit.

To activate ePOC for a group of facilities:

1. Open **ACO**.
2. On the **System** menu, select **System Configuration**, then **ePOC Facility Maintenance**.
3. Select a **Primary Type** and/or a **Management Unit** and/or a **Team**.

   Note: Currently, Nursing Home is the only primary type supported by the ePOC system.

   ---
4. Select the facilities for which you want to set or change the ePOC activation date. Use **Select All** to select all listed facilities, **Shift+click** to select consecutive facilities, or **Ctrl+click** to select non-consecutive facilities.
5. Enter the **New Activation Date** (at the bottom of the window).

   When set, the date must be within the last thirteen working days.

6 Click **Set for All Selected**.

The Activation Date column in the grid displays the date for all facilities that did not previously have an ePOC activation date. For facilities with a date entered but without surveys posted to ASPEN Web: ePOC, the existing date is changed.

Note: You cannot change the ePOC Activation Date here for facilities with surveys posted to ASPEN Web: ePOC. Use Facility Properties instead.

7 Close the ePOC Facility Maintenance window.

More ...

Screen: "ePOC Facility Maintenance window" on page 62

View ASPEN Web: ePOC Users

After a facility has been activated for ePOC, you can view a list of facility users with access to ASPEN Web: ePOC. An option lets you enter an ePOC Web user as the emergency contact for the facility.

To view ePOC Web users:

1 Open **ACO**.

2 Locate the facility in the **Tree** view, right-click it, and select **Facility Properties**.

3 In the **ePOC information** section (at the bottom of the **Facility Definition** tab), click the **Web Users** button.

The ePOC Web Users window opens. It lists facility staff members who can access ASPEN Web: ePOC.

To assign an ePOC Web user as the emergency contact:

1 In the **ePOC Web Users** window, select the user who is to be the contact.

2 Click the **Save As Facility Emergency Contact** button.

3 Click **Yes** in the confirmation message.

4 Click **Close** to close the ePOC Web Users window.

The selected ePOC Web user's information is entered in the Contact Information section on the Facility Definition tab. It overwrites current contact information, if any is entered.

More ...

Screen: "ePOC Information" on page 61
Screen: "ePOC Web Users window" on page 61

Set User Permissions

For detailed information and procedures related to assigning user permissions, refer to the "Set Option/Tab/Button Security" section in the latest version of the *ACO Procedures Guide*, which is posted on the QTSO website at https://qtso.cms.gov.

Configure ePOC Email Recipients

Automatic email notifications are sent at various times during the ePOC process. For an ePOC email to be generated, at least one recipient group must be specified for the email in the SA/RO Email Recipients window.

SA and RO users with appropriate permissions can set up recipient groups and enter email addresses for non-survey specific recipients (e.g. management unit) in each group. Responsible parties and survey team members can be included or excluded as survey-specific recipients. For responsible parties and/or survey team members to be eligible recipients, they must have valid email addresses in their personnel records.

Note: SA/RO-targeted emails are generated based on attributes of the facility at which a survey was performed, e.g., its assigned management unit. You must consider this when configuring recipient groups.

More ...

"ePOC Emails" on page 103 (description and text of each ePOC email)

Set up a Recipient Group

The recipients in a group can be defined variously as those assigned to:

- A primary facility type
- A primary type + a particular team (work unit)
- A primary type + a particular management unit
- A primary type + a particular management unit + a particular team (work unit).

Note: A primary facility type must always be specified for a recipient group.

To configure a recipient group:

1. Open **ACO**/**ARO**.
2. On the **File** menu, select **Email Recipients** to open the **SA/RO Email Recipients** window.

   It lists all SA/RO-targeted ePOC emails. Recipient groups are configured by default to include all management units and teams.

3. To the right of the **Email Recipient Groups** section, click the **Add** button.
4. In the **Add/Modify Email Recipient Group** window, select the appropriate **Email Type** (i.e., POC email type), **Primary Facility Type**, **Management Unit**, and **Team** (i.e., work unit).

   Primary Facility Type, Management Unit, and Team apply to the facility where the survey was performed. If, for example, the survey facility is assigned to work unit A, then, for the email to generate, at least one of the recipient groups for the email must have Team/Work Unit set to **A** or to **All**.

   Note: Currently, Nursing Home is the only primary facility type supported by the ePOC system.

5. If survey team members should not be included in the recipient group, deselect **Notify Survey Team Members** (selected by default).
6. If ePOC responsible parties should be included in the recipient group, select **Notify ePOC Responsible Parties** (not selected by default).

   Responsible parties for the survey ePOC process are assigned via POC Properties.
7. Click **OK** to close the Add/Modify Email Recipient Group window.

   The new recipient group is displayed in the **Email Recipient Groups** grid.

Note: You can define multiple recipient groups for a single ePOC email. Staff members included in more than one recipient group for an email will receive multiple copies of the email.

To modify a recipient group:

1. In the **Email Recipient Groups** grid, select the group and click **Modify**.
2. In the **Add/Modify Email Recipient Group** window, make your changes and click **OK**.

To delete a recipient group:

1. In the **Email Recipient Groups** grid, select the group and click **Delete**.
2. Click **Yes** in the confirmation message.

More ...

Screen: "SA/RO Email Recipients window" on page 63
Screen: "POC Properties window" on page 66

Specify Email Addresses of Non-Survey Specific Recipients

After setting up an email recipient group, you can add email address(es) of non-survey specific recipients in the group, e.g. management unit, whether addresses of the individual recipients or a single group address. Any valid email address is supported; thus, you can enter an externally configured group address for a management unit or team.

You should *not* add email addresses here for survey-specific recipients, i.e., survey team members and responsible parties. If they are designated as recipients, addresses from the applicable personnel records are automatically added to the emails.

Note: If an address is present, the user receives an ePOC email for any survey that matches the recipient group configuration, whether or not that person is a member of the survey team or assigned as a responsible party.

To add email addresses for non-survey specific recipients:

1. Open the **SA/RO Email Recipients** window.
2. In the **Email Recipient Groups** grid, select a group.

   Recipient specifications for the selected group, as defined in the Add/Modify Email Recipient Group window, are indicated in the Recipients for section above the Email Address grid. Observe also that Notify Survey Team Members and Notify ePOC Responsible Parties (to the right of the grid) are selected or not per Add/Modify Email Recipient Group.
3. To the right of the **Email Address** grid, click the **Add** button.
4. In the **Add Email Recipient** window, enter a valid email address.

   This could be the address of an individual recipient or a group email address.
5. Click **OK**.
6. Repeat steps 3-5 to add additional recipient addresses.

   The address(es) are displayed in the Email Address grid.

To modify an email address for a non-survey specific recipient:

1. In the **Email Address** grid, select the address (individual or group) and click **Modify**.
2. In the **Add Email Recipient** window, edit the address and click **OK**.

To delete an email address for a non-survey specific recipient:

1. In the **Email Address** grid, select the address (individual or group) and click **Delete**.
2. Click **Yes** in the confirmation message.

More ...

Screen: "SA/RO Email Recipients window" on page 63

Email Recipient Group Configuration Examples

Example 1: Survey Results Posted

You want the Survey Results Posted SA/RO email to go to your Quality Control group, ePOC responsible parties, the survey team supervisor, and yourself, but not survey team members. In this scenario, ePOC responsible parties (assigned via POC Properties) should include the supervisor, but not any survey team members.

Set up the recipient group as follows:

1. Open the **SA/RO Email Recipients** window.
2. Under **Email Type**, select **Survey Results Posted - SA/RO** and click **Modify**.
3. In the **Add/Modify Email Recipient Group** window, use the default settings for **Primary Facility Type**, **Management Unit**, and **Team/Work Unit** (**NH**, **All**, **All**).
4. Deselect **Notify Survey Team Members**.
5. Select **Notify ePOC Responsible Parties**.
6. Click **OK** to close Add/Modify Email Recipient Group.

Add email addresses of non-survey specific recipients:

1. In the **SA/RO Email Recipients** window, select the **Survey Results Posted - SA/RO** recipient group you defined (may already be selected).
2. To the right of the **Email Address** section, click the **Add** button.
3. In the **Add Email Recipient** window, enter a valid email address.

   This could be the address of an individual recipient or a group email address. Here, it could be the group address for the Quality Control group, if one is defined, the address of a Quality Control group member if there is not a group address, or your address.
4. Click **OK**.
5. Repeat steps 2-4 above to add additional addresses for non-survey specific recipients in the current recipient group.

   In this case, you need to add a Quality Control group address or individual addresses for group members, and your email address.

Note: You should *not* add email addresses for the designated responsible parties (including the survey team supervisor) as they are survey-specific recipients.

More ...

Procedure: “Add ePOC Responsible Parties” on page 30
Procedure: “Specify Email Addresses of Non-Survey Specific Recipients” on page 19
Screen: "SA/RO Email Recipients window" on page 63
Screen: "Add/Modify Email Recipient Group window" on page 64

Example 2: Late POC Review

You want the Late POC Review email to go to the survey team members and to the bureau directors of your state's two management units (East and West). In this scenario, you will need to set up two recipient groups. The bureau directors are non-survey specific recipients. ePOC responsible parties, if any, are irrelevant for the email.

Set up the recipient group for East as follows:

1. Open the **SA/RO Email Recipients** window.
2. Under **Email Type**, select **Late POC Review** and click **Modify**.
3. In the **Add/Modify Email Recipient Group** window:
   - Leave the default setting for **Primary Facility Type** (**NH**).
   - For **Management Unit**, select **East**.
   - Leave the default setting for **Team/Work Unit** (**All**).
4. Select **Notify Survey Team Members** (selected by default).
5. Deselect **Notify ePOC Responsible Parties** (not selected by default).
6. Click **OK** to close Add/Modify Email Recipient Group.

Add email address of bureau director for East:

1. In the **SA/RO Email Recipients** window, select the **Late POC Review** recipient group for East that you defined (may already be selected).
2. To the right of the **Email Address** section, click the **Add** button.
3. In the **Add Email Recipient** window, enter a valid email address for East's bureau director.
4. Click **OK**.

Note: You should *not* add email addresses for survey team members as they are survey-specific recipients.

Set up the recipient group for West as follows:

1. Open the **SA/RO Email Recipients** window (may already be open).
2. Under **Email Type**, select **Late POC Review** and click **Add**.
3. In the **Add/Modify Email Recipient Group** window:
   - Leave the default setting for **Primary Facility Type** (**NH**).
   - For **Management Unit**, select **West**.
   - Leave the default setting for **Team/Work Unit** (**All**).
4. Select **Notify Survey Team Members** (selected by default).
5. Deselect **Notify ePOC Responsible Parties** (not selected by default).
6. Click **OK** to close Add/Modify Email Recipient Group.

Add email address of bureau director for West:

1. In the **SA/RO Email Recipients** window, select the **Late POC Review** recipient group for West that you defined (may already be selected).
2. To the right of the **Email Address** section, click the **Add** button.
3. In the **Add Email Recipient** window, enter a valid email address for West's bureau director.
4. Click **OK**.

Note: You should *not* add email addresses for survey team members as they are survey-specific recipients.

More ...

Procedure: "Specify Email Addresses of Non-Survey Specific Recipients" on page 19
Screen: "SA/RO Email Recipients window" on page 63
Screen: "Add/Modify Email Recipient Group window" on page 64

Example 3: Tardy Survey Posting

You want the Tardy Survey Posting email to go to the survey team, the survey team's manager, and the director and deputy director of the Nursing Home unit. In this scenario, ePOC responsible parties (assigned via POC Properties) should include the survey team's manager, but not any survey team members. You also do not want to assign the director or deputy as ePOC responsible parties although you want them to get the email.

Set up the recipient group as follows:

1. Open the **SA/RO Email Recipients** window.
2. Under **Email Type**, select **Tardy Survey Posting** and click **Modify**.
3. In the **Add/Modify Email Recipient Group** window, use the default settings for **Primary Facility Type**, **Management Unit**, and **Team/Work Unit** (**NH**, **All**, **All**):
4. Select **Notify Survey Team Members** (selected by default).
5. Select **Notify ePOC Responsible Parties**.
6. Click **OK** to close Add/Modify Email Recipient Group.

Add email addresses of non-survey specific recipients:

1. In the **SA/RO Email Recipients** window, select the **Tardy Survey Posting** recipient group you defined (may already be selected).
2. To the right of the **Email Address** section, click the **Add** button.
3. In the **Add Email Recipient** window, enter a valid email address for the director.
4. Click **OK**.

5 Repeat steps 2-4 above to add an email address for the deputy director.

Note: You should *not* add email addresses for the survey team members or designated responsible parties (including the survey team manager) as they are survey-specific recipients.

More ...

Procedure: "Add ePOC Responsible Parties" on page 30
Procedure: "Specify Email Addresses of Non-Survey Specific Recipients" on page 19
Screen: "SA/RO Email Recipients window" on page 63
Screen: "Add/Modify Email Recipient Group window" on page 64

Core ePOC Process

The ePOC life cycle begins with the State Agency (SA) or Regional Office (RO) creating a survey and adding their findings in ASPEN (ACO/ARO or ACTS/RO). Optionally, the SA/RO can select letters to post to the ePOC website and assign ePOC responsible parties. The SA/RO then posts the survey (SOD) and letter(s) on the ASPEN Web: ePOC website. At this point, ePOC generates an email notification to all ePOC-enrolled users at the facility as well as to SA/RO recipients. The facility reviews the SOD and submits POCs for the deficiencies, which the SA/RO reviews and approves or disapproves.

The steps in the basic ePOC process are outlined below. The procedures that follow provide instructions to CMS users (SA, RO, CO) for completing the relevant steps.

1. SA/RO creates a survey in ASPEN (ACO/ARO or ACTS/RO) and adds findings.
2. SA/RO assigns ePOC responsible parties, then posts the survey and related letters (optional) to ASPEN Web: ePOC for provider response.
3. All ePOC-enrolled users at the facility and the SA/RO receive Survey Posted email with information identifying the survey.
4. The facility reviews the survey and submits POCs (with attestation) for deficiencies via ASPEN Web: ePOC.
5. SA/RO reviews POCs submitted by the facility in ACO/ACTS and approves or rejects each.
6. If SA/RO rejects a POC, facility users receive a Rejected email listing the reasons for rejection. Facility then revises and re-submits the POC.
7. Upon SA/RO approval of POCs for all deficiencies on the survey, ASPEN automatically closes the survey and facility users receive the Final Approval email.

POC Properties

After creating a survey and adding findings, the SA/RO uses the POC Properties window to initiate, manage, and track the ePOC process for the survey.

POC Properties Functions

From the POC Properties window, you can:

- Post a survey to the ASPEN Web: ePOC
- Remove a posted survey from ASPEN Web: ePOC
- Re-post a survey and indicate the reason for re-posting
- View posting history
- View and change (if necessary) SOD and POC-related dates
- Generate and post survey letters to ASPEN Web: ePOC
- Post enforcement and intake letters created in AEM and ACTS to ASPEN Web: ePOC
- Assign responsible parties for the ePOC process
- View POC status information
- Unlock the survey to permit updates by the SA/RO updates
- Lock an unlocked survey
- Stop a survey
- Open the POC Tracking window
- Open the POC Approval and Rejection window
- View facility-submitted ePOC attachments and add, view, modify, or delete your SA/RO ePOC attachments at any time including after final POC approval in ASPEN 11.9.4.2 or later
- Run the POC Audit Trail and Survey POC Information reports

Open the POC Properties window

You can access POC Properties for an eligible survey from:

- ACO or ACTS Tree view
- Intake to which the survey is linked
- Certification kit to which the survey is linked
- POC Manager

To open POC Properties from Tree view in ACO:

1. Locate the survey in the **Alpha**, **Type**, **Cert/Survey**, or **Enforcement** tree.
2. Right-click the survey and select **ePOC...** to open **POC Properties**.

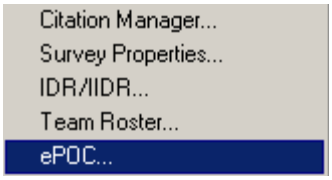


Figure 3: ePOC right-click option in ACO tree

POC Properties opens.

To open POC Properties from Tree view in ACTS:

1. Locate the survey in the **Investig** tree.
2. Right-click the survey and select **ePOC...** to open POC Properties.

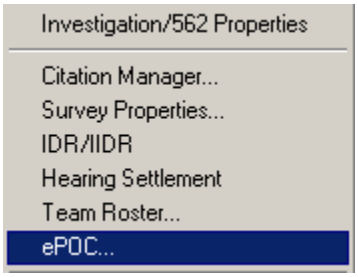


Figure 4: ePOC right-click option in ACTS tree

To open POC Properties from an intake in ACTS:

1. Locate the intake to which the survey is linked.
2. Right-click the intake and select **Modify Intake**.
3. Go to the **Investigation** tab.
4. In the **Investigation and Survey** grid, click the **POC Track** button for the survey to open **POC Properties**.

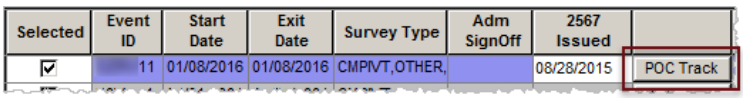


Figure 5: POC Track button on Investigation and Survey grid

POC Properties opens for:

- Surveys posted to ASPEN Web: ePOC
- Surveys of ePOC-activated facilities that have not been posted yet but with an exit date after the ePOC activation date

Note: POC Tracking opens instead for surveys of facilities not activated for ePOC and surveys of ePOC-activated facilities with an exit date prior to the ePOC activation date.

To open POC Properties from a certification kit in ACO:

1. Locate the certification to which the survey is linked.
2. Right-click the kit and select **Certification Kit**.
3. In the **Survey List**, click the **POC** button for the survey to open **POC Properties**.

   POC Properties opens for:

   - Surveys posted to ASPEN Web: ePOC
   - Surveys of ePOC-activated facilities that have not been posted yet but with an exit date after the ePOC activation date

   Note: POC Tracking opens instead for surveys of facilities not activated for ePOC and surveys of ePOC-activated facilities with an exit date prior to the ePOC activation date.

To open POC Properties from POC Manager:

1. Open **ACO** or **ACTS**.
2. In the toolbar, click the **POC** button to open **POC Manager**.
3. Set filters as desired.
4. Select the survey in the grid and click the **POC Properties** button at the bottom of the window.

   The POC Properties window is displayed.

More ...

Screen: "POC Properties window" on page 66
Screen: "POC Manager window" on page 65

For detailed information about the POC Tracking window:

Refer to the *ACO Procedures Guide* or the *ACTS Procedures Guide,* which are posted on the QTSO website at https://qtso.cms.gov.

POC Manager

The POC Manager, which is available in both ACO and ACTS, displays all surveys that have been posted to ASPEN Web: ePOC. It provides survey and POC information and serves as a central access point for managing and tracking the ePOC process for posted surveys. You can set filters to tailor the survey list to your operational needs.

POC Manager Functions

For a survey selected in the POC Manager grid, you can:

- Open the POC Approval and Rejection window
- Open POC Properties
- Stop the survey
- View facility-submitted ePOC attachments and add, view, modify, or delete your SA/RO ePOC attachments at any time including after final POC approval in ASPEN 11.9.4.2 or later
- Open Citation Manager
- Run the POC Manager Listing, POC Audit Trail, and Survey POC Information reports

Open and Filter the POC Manager

A button on the ACO and ACTS toolbars provides access to POC Manager. It lists surveys posted to ASPEN Web: ePOC and stopped surveys. The survey list reflects the current user's facility type security settings as well as selection criteria from the active My Selections filter. The default sort order is alphabetical by facility name; you can change the sort order if desired.

By default, the grid displays open surveys posted to ASPEN Web: ePOC within the last six months that have at least one tag with a Citation POC Status of SA/RO Draft or Submitted. You can filter the survey list by any of the following, or a combination:

- Facility Name
- CCN
- Facility ID (state-assigned)
- Survey Event ID
- Survey Exit Date

- Survey POC Status
- Citation POC Status
- Survey Type
- Surveyor
- Responsible Party
- FMS Survey

For example, you could set filters to display surveys with specified POC Status(es) for a specific facility within a particular exit date range. When you have set filters as desired, you refresh the list to display only the surveys meeting your criteria.

To open POC Manager:

1. Open **ACO** or **ACTS**.
2. In the toolbar, click the **POC** button.
3. To change the sort order, click the applicable column header.

To filter the survey list:

1. In the **Filter Criteria** section, set filters as desired.
   - ➥ To filter by **Facility Name**, **CCN**, **Facility ID**, or **Survey Event ID**, select the applicable button and enter some or all of the name/number in the **Text** field.
   - ➥ For **Exit Date Between**, enter the **Start Date** and **End Date** of the desired survey exit date range.
   - ➥ For **Survey POC Status** and/or **Citation POC Status**, select the desired option(s).
   - ➥ For **Survey Type** and/or **Surveyor** and/or **Responsible Party**, select the desired option.
   - ➥ For **FMS Survey**, select the desired option.
2. When you have specified all filtering criteria, click the **Refresh** button.

   The grid is refreshed to display all surveys matching the criteria. If any tags on a survey match specified Citation POC Status(es), the survey is included in the list.

More ...

Screen: "POC Manager window" on page 65

Surveys in ePOC

In order for a survey to qualify for posting to ASPEN Web: ePOC, it must meet the following criteria:

- The facility must be activated for ePOC.
- The facility must have active ePOC-enrolled users.
- The survey exit date must be on or after the facility's ePOC Activation Date and on or before today's date.
- There must be surveyor evidentiary text for all tags on the survey, including initial comments, if present.
- The survey cannot be recycled or deleted.
- At least one tag must be associated with the survey.
- The survey must not be "stopped".

After a survey is complete and findings are entered, the SA/RO can use the POC Properties window to post the survey to ASPEN Web: ePOC for provider response, optionally create and post survey letters, optionally post enforcement and intake letters created in AEM and ACTS, optionally add POC responsible parties, and print POC reports for the survey (POC Audit Trail, Survey POC Information) as needed.

Note: No POC is required for a fully corrected revisit. However, you should post it to ePOC to allow the provider to print the CMS-2567B, which is the only way the provider can view corrected deficiencies.

More ...

Procedure: "Activate ePOC for Facilities" on page 14

Create Surveys and Add Findings

To create surveys and enter findings, you use ACO or ACTS. For detailed information and procedures, refer to the latest version of the *ACO Procedures Guide* or *ACTS Procedures Guide*, which are posted at https://qtso.cms.gov.

Create Survey Letters

SOD (survey) letters can optionally be created and posted along with their associated survey to ASPEN Web: ePOC; they are not required for posting. You can generate survey letters from POC Properties or elsewhere in ASPEN. Survey letters can be added to an already-posted survey.

Note: Enforcement and intake letters created in AEM and ACTS respectively are listed in POC Properties and can be posted to ASPEN Web: ePOC. Do ***not*** generate enforcement or intake letters from POC Properties, as they will not update enforcement/intake files and will not show on reports.

To create an SOD (survey) letter from POC Properties:

1. Open **POC Properties** for the survey.
2. In the **Survey Letters for ePOC Display** section, click **New** and generate the letter.

   The letter is added to the Survey Letters for ePOC Display grid.

More ...

Procedure: "Open the POC Properties window" on page 24
Screen: "POC Properties window" on page 66

For detailed information on creating letters from POC Properties or elsewhere in ACO or ACTS:

Refer to "Generate Letters" in the latest version of the *ACO Procedures Guide* or the *ACTS Procedures Guide,* which are posted on the QTSO website at https://qtso.cms.gov.

Add ePOC Responsible Parties

To assign responsible parties for the ePOC process to a survey, you use POC Properties. Responsible parties are not required in order to post a survey to ASPEN Web: ePOC.

You can assign any combination of SA staff, RO staff, team/work unit staff (specified on the Associations tab in Facility Properties), survey team members, and intake responsible parties as ePOC responsible parties. They will receive SA/RO targeted ePOC emails if configured as recipients.

To add POC responsible parties:

1. Open **POC Properties** for the survey.
2. Add responsible parties.
   - ➥ To add SA or RO staff members, click **Add S.A**. or **Add R.O.** and select a staff member; repeat to add additional SA or RO staff.

     The staff member(s) are added to the Responsible Parties grid.
   - ➥ To add the facility team/work unit or survey team, click **Add Facility Team/Work Unit** or **Add Survey Team**.

     All members of the facility or survey team are added to the Responsible Parties grid.
   - ➥ To add responsible parties assigned to intake(s) linked to the survey, click **Add Intake Resp Parties**.

     All responsible parties assigned to intake(s) linked to the survey are added to the Responsible Parties grid. A message appears if no intakes are linked to the survey or no responsible parties are assigned to linked intakes.

To delete a responsible party:

1. In the **Responsible Parties** grid, select a staff member and click **Delete**.
2. Click **Yes** in the confirmation message.

Note: To delete a facility or survey team, you must delete each member of the team individually.

More ...

Procedure: "Open the POC Properties window" on page 24
Procedure: "Configure ePOC Email Recipients" on page 17

Post Surveys to ASPEN Web: ePOC

To post a survey to ASPEN Web: ePOC, you simply press a button in POC Properties. All tags on the survey are posted by default for facility response, but you can exclude specific tags if desired. Neither survey letters nor responsible parties are required in order to post a survey. If there are survey letters, you can choose which, if any, to post.

Once a survey is posted to ASPEN Web: ePOC, it is locked to prevent changes to core survey and citation information via ACO/ACTS or imports. However, the Staggered Survey field is enabled, and for Staggered Surveys that are locked due to ePOC posting, the Date and Time fields are also enabled in the certification kit.

Note: You cannot post surveys for a facility with no ePOC-enrolled users.

To post a survey to ASPEN Web: ePOC:

1. Open **POC Properties** for the survey.
2. In the **Citations for ePOC Display** grid, de-select any tags you do not want to post; all tags are selected by default.

   At least one tag must be selected unless all tags are fully corrected.
3. If you want to set the **POC Due** date, click **Change** and enter the desired date.

   If you do not enter this date, it is set to the SOD Sent Date plus 10 calendar days as soon as you post the survey.
4. In the **Survey Letters for ePOC Display** section, select the letter(s), if any, you want to post.

   The list comprises survey letters generated here or elsewhere in ASPEN including any enforcement letters related to the survey and intake letters linked to the survey with the facility as the recipient.

Note: Enforcement and intake letters are created in AEM and ACTS respectively. Do ***not*** generate enforcement or intake letters from POC Properties.

Once the survey is posted, you can optionally click the Alert Facility button to generate the Letter Notification email.

5 Click the **Post on ePOC Website** button.

The posting is halted if there is any error such as facility with no active ePOC users, no tags selected, no citation text for a tag, etc.

6 Click **Yes** in the confirmation message.

7 When the **Post Complete** message appears, click **OK**.

The survey has been posted to ASPEN Web: ePOC. The SOD Sent Date and Post Date have automatically been entered; the POC Due date is also automatically set if you did not enter it. The survey is now locked.

More ...

Procedure: "Open the POC Properties window" on page 24

Unlock and Re-lock Posted Surveys

If necessary, you can unlock a survey posted to ASPEN Web: ePOC via POC Properties in order to make changes. The survey remains posted on the ePOC website for facility response. Tardiness emails will still be generated for the survey as appropriate, and it will appear on tardiness reports.

Because the posting is not removed, surveys should be unlocked only on a limited basis. You can re-lock the survey at any time. For changes to display on the ePOC website, you must re-post the survey. If a survey is unlocked, you can still import core survey data to ACTS or ACO, even if the survey is still posted to ePOC. For example, if additional tags are added to a survey in ASE-Q, you can unlock the posted survey, and import the updated survey from ASE-Q into ACO/ACTS to include these additional tags in ACO/ACTS.

If you attempt to import a locked survey into ACO/ACTS, a Transfer Error notification appears with the following message:

Core survey data for <*Survey ID*> will not import since survey is posted to the ePOC website and locked. Survey posting must be removed or survey unlocked to import core survey data. Regardless, if present, QIS data will import.

One appropriate scenario for unlocking a survey would be when there is a tag that requires quick turnaround, e.g., Immediate Jeopardy (IJ) or Sub-standard Quality of Care (SQC). You could post the tag that needs quick facility response to the ePOC website, unlock the survey to add remaining tags while leaving it available to the facility for immediate response to the posted tag, then re-post the survey with the additional tags.

You may occasionally also want to unlock a survey to update the survey or make changes to already posted citations such as changing Scope/Severity or adding surveyor evidence. You can also add new citations and update un-posted citations.

The survey must be re-posted to ASPEN Web: ePOC to display changes and post new tags. When posted citations are modified while a survey is unlocked, the Posted date for the citation in the Citations for ePOC Display grid remains the same and Yes is displayed in the Changed column.

Import of QIS survey data is allowed even when the survey is locked due to ePOC web posting.

Note: When a survey is changed and re-posted, the facility receives an email notification that identifies new and changed tag(s).

To unlock a posted survey:

1. Open **POC Properties** for the survey.
2. In the **Status** section (lower right), click **Unlock Survey for SA/RO Updates**.
3. Click **Yes** in the confirmation message.

   The survey is now unlocked and you can make changes. The label on the button changes to Lock Survey to Prevent SA/RO Updates.

   Note: If the survey was closed, it is automatically re-opened. A message reminds you to close and lock the survey when finished with changes.

To re-lock an unlocked survey:

1. Open **POC Properties** for the survey.
2. In the **Status** section (lower right), click **Lock Survey to Prevent SA/RO Updates**.
3. Click **Yes** in the confirmation message.

   Note: If the survey you unlocked was automatically re-opened because it was closed, you should manually re-close the survey when you re-lock it.

More ...

Procedure: “Open the POC Properties window” on page 24
Procedure: “Re-post Surveys” on page 35
Screen: "POC Properties window" on page 66
“ePOC Emails” on page 103
“Close Survey” on page 46

Remove Posted Surveys

It may occasionally be necessary to remove a survey posted on ASPEN Web: ePOC due, for example, to Informal Dispute Resolution or Independent Informal Dispute Resolution (IDR/IIDR) or media attention. You can make changes to an un-posted survey and re-post it as necessary. The un-post/re-post process gives facilities a clean (new) copy of the CMS-2567 form if one or more deficiencies are added, changed, or removed.

When a posted survey is removed from the website, any POC information already entered on the facility ePOC website and in ASPEN is retained. Tardiness emails will still be generated for the survey as appropriate, and the survey will appear on tardiness reports.

To remove a posted survey:

1. Open **POC Properties** for the survey.
2. In the **Reason for Re-posting or Removing Posting** text box (under the grid), enter the reason you are removing the posted survey.
3. Click **Remove Posting**.

   You will receive an error message if you have not entered a reason.
4. Click **Yes** in the confirmation message.

   The survey is removed from ASPEN Web: ePOC and unlocked, allowing changes.

   If the survey includes one or more uncorrected IJ tags, the confirmation message specifically mentions it.

Note: If the survey was closed, it is automatically re-opened. A message reminds you to close and lock the survey when finished with changes.

More ...

Procedure: “Open the POC Properties window” on page 24
Procedure: “Re-post Surveys” (just below)
“ePOC Emails” on page 103

Re-post Surveys

After making changes to an unlocked or un-posted survey, you can re-post it so that data on the ePOC website matches the updated data in ACO/ACTS. You can also optionally change the SOD Sent Date and POC Due Date to allow the facility more time to submit POCs for the tags on the survey. The facility will receive an email notification of the re-posting, which identifies changed tag(s).

ePOC will compare the citation information in a re-posted survey (i.e., citation text, S/S, and PNC indicator setting) to the last posted version, if present. If a tag is removed due to IDR/IIDR and/or hearing/settlement, that tag appears with strike-through on the text displays in ACO and ACTS, and a Not Posted status when the survey is re-posted.

Existing POC information for a tag is retained in ASPEN, even if the tag is changed and re-posted. If the POC status of a revised tag is No POC, that tag's status will remain No POC. If the POC status for a revised tag is other than No POC, the tag's POC status is set to Rejected in the re-posted survey, which allows the facility to enter a new POC. The rejection reason associated with the tag is "Revised deficiency information exists"; it is included in the POC Rejected email sent to the provider.

To re-post a survey:

1. Open **POC Properties** for the survey.
2. As necessary, change **SOD Sent Date** and/or **POC Due** date; click the **Change** button next to the field(s) and enter the new date(s).
3. Enter the **Reason for Re-Posting**.

   This will be included in the Re-post notice sent to the facility.
4. Click the **Post on ePOC Website** button.

   If you have not entered a Reason for Re-Posting, you are prompted for it.

   If you are trying to re-post a survey for a facility without active ePOC users, a message appears and the posting is halted.
5. Click **Yes** in the confirmation message.

6 When the **Post Complete** message appears, click **OK**.

The survey is re-posted to ASPEN Web: ePOC. SOD Sent Date, Post Date, and POC Due date are automatically updated as appropriate in POC Properties and the survey is locked.

Note: If the survey you removed from posting was closed and therefore automatically re-opened when it was un-posted, you should manually re-close the survey when you re-post it.

More ...

Procedure: “Open the POC Properties window” on page 24
Screen: "POC Properties window" on page 66
“ePOC Emails” on page 103
“Close Survey” on page 46

View Posting History

A history of the times a survey was posted to ASPEN Web: ePOC is available from POC Properties.

To view posting history for a survey:

1 Open **POC Properties** for the survey.

2 To the right of **Post Date**, click the **hx** button.

The ePOC History window opens. It displays the date/time of each posting to ASPEN Web: ePOC along with a reason, if available.

More ...

Procedure: “Open the POC Properties window” on page 24
Screen: "POC Properties window" on page 66
Screen: "ePOC History window" on page 67

POC Tracking

POC Properties includes an option for accessing POC information entered before the facility was activated for ePOC.

To open POC Tracking from POC Properties:

1. Open **POC Properties** for a survey with POC tracking information.
2. Click the **POC Tracking** button (bottom left).

   The POC Tracking window opens and displays POC information for the survey.

More ...

Procedure: "Open the POC Properties window" on page 24

For detailed information about the POC Tracking window:

Refer to the latest version of the *ACO Procedures Guide* or the *ACTS Procedures Guide,* which are posted on the QTSO website at https://qtso.cms.gov.

POC Approval/Rejection

When the facility submits POC(s) in response to an SOD (survey) posted on ASPEN Web: ePOC, the SA/RO reviews and approves or rejects the POCs. You can enter draft or final approval or rejection for individual tags and finalize all outstanding draft approvals/rejections at one time.

Review POCs

The starting point for reviewing facility-submitted POCs for a survey is the POC Approval and Rejection window. As you review POCs, you may want to access Citation Manager; print survey forms; view facility-submitted ePOC attachments; or add, view, modify, or delete your SA/RO ePOC attachments.

From POC Manager, you can open Citation Manager. From POC Approval and Rejection, you can print survey forms. From POC Manager, POC Properties, POC Approval and Rejection, or Citation Manager, you can access ePOC attachments (facility and SA/RO).

Open POC Approval and Rejection

The POC Approval and Rejection window, which you can open from the POC Manager or POC Properties, lists all uncorrected deficiencies. For each deficiency, it displays regulation text, surveyor findings, and the facility-submitted POC. From this window, you can:

- Open the POC Approval or POC Rejection window for individual tags, where you can enter and finalize draft POC approval/rejection
- Remove approval for individual tags
- View POC history for individual tags
- Generate survey forms
- View facility-submitted ePOC attachments and add, view, modify, or delete your SA/RO ePOC attachments at any time including after final POC approval in ASPEN 11.9.4.2 or later
- Finalize all draft approvals/rejections

You can click a column header to change the sort order if desired.

When posted citations are modified while a survey is unlocked, the Posted date for the citation in the Deficiencies grid remains the same and Yes appears in the Changed column.

Tags that have been removed due to hearing/settlement appear with a strike-through line on the text in a list view. They will not appear on the following survey reports:

- CMS-2567 and CMS-2567B
- Quick Report (draft CMS-2567)
- Severity/Scope Grid
- A-form

If the completion date (X5) for a POC is more than six months after the survey exit date, a warning message is displayed under the Plan of Correction panel.

Figure 6: Completion Date warning

To open POC Approval and Rejection from POC Manager:

1. Open **POC Manager**.
2. Select a survey in the grid and click the **POC Approve/Reject** button (bottom left).

To open POC Approval and Rejection from POC Properties:

1. Open **POC Properties** for the survey.
2. Click the **POC Approve/Reject** button (bottom of window).

More ...

Procedure: "Open and Filter the POC Manager" on page 27
Procedure: "Open the POC Properties window" on page 24
Screen: "POC Properties window" on page 66
Screen: "POC Approval and Rejection window" on page 68

Open Citation Manager

From POC Manager, you can open Citation Manager for a survey in order to view deficiencies, submitted POCs, and ePOC attachments (facility and SA/RO).

To open Citation Manager:

1. Open **POC Manager**.
2. Select a survey in the grid and click the **Citation Manager** button (bottom of window).

   Citation Manager opens for the selected survey.

More ...

Procedure: "Open and Filter the POC Manager" on page 27
Screen: "Citation Manager" on page 72

Generate Survey Forms

From the POC Approval and Rejection window, you can open the Select Form(s) to print window to generate survey forms. You can generate forms for surveys that are locked for ePOC.

To open the Select Form(s) ... window:

1. Open the **POC Approval and Rejection** window.
2. Click the **Survey Forms** button (bottom left).

   The Select Form(s) to print window is displayed.

More ...

Procedure: "Open POC Approval and Rejection" on page 38
Screen: "Select Form(s) ..." on page 72

For detailed information about generating forms from the Select Form(s) . . . window:

Refer to the latest version of the *ACO Procedures Guide* or the *ACTS Procedures Guide,* which are posted on the QTSO website at https://qtso.cms.gov.

Print CMS-2567

The standard CMS-2567 report details the deficiencies found on the survey of the facility; it includes PNC tags and memo/comment tags (0000, 9999). A-level tags print separately on Form A (CMS-2567A).

The CMS 2567 Sent To Facility report (Reports | Scheduling and Tracking Reports | Tracking Reports | CMS 2567 Sent to Facilities) shows how many days after the exit date the CMS-2567 was sent. If desired, you can include surveys for which no CMS-2567 has been sent.

Note: When a facility generates the CMS-2567 from ASPEN Web: ePOC, surveyor IDs and names do not appear. If you post tag 9999 on ASPEN Web: ePOC, it will appear on the CMS-2567 when the facility prints it.

Tags that have been removed due to hearing/settlement will not appear on the following survey reports:

- CMS-2567 and CMS-2567B
- Quick Report (draft CMS-2567)
- Severity/Scope Grid
- A-form

If you generate the CMS-2567 for a survey from the Select Form(s) … window anywhere in ASPEN (except ASE-Q) during the POC review process, a POC Not Final/Pending Acknowledgement watermark displays if any POCs for tags on the survey have not been approved or acknowledged. Tags that require acknowledgement are tags with Scope/Severity level of A or PNC (Past noncompliance) tags; all other non-comment, non-waiverable tags require a POC Submission. You can choose to exclude the watermark when you print the form.

Note: A facility cannot choose to exclude the watermark. It will always appear in qualifying circumstances.

In ASE-Q, the watermark does not print on the CMS-2567, regardless of the POC status of the survey. The Exclude POC Not Final/Pending Acknowledgement watermark option is therefore not available.

To print CMS-2567:

1. Open **Select Form(s) …**
2. Select **CMS 2567** (or CMS 2567 B for a revisit) and click **OK**.

3. In the **Customize Survey Report Form** window, select the options you want. For example, select **Exclude Watermark (POC Not Final/Pending Acknowledgement)** if you do no want a watermark to print.

   Depending on your selections and tags on the screen, several other customization windows may appear.

4. Select the desired options in each additional window that appears and click **OK**.

   The CMS-2567 form(s) print according to your specifications.

Note: Tags that have been removed due to hearing/settlement appear with a strike-through line on the text in a list view.

More ...

Procedure: "Generate Survey Forms" (above)
Screen: "Select Form(s) ..." on page 72

For detailed information about generating and printing the CMS-2567 form(s):

Refer to the latest version of the *ACO Procedures Guide* or the *ACTS Procedures Guide,* which are posted on the QTSO website at https://qtso.cms.gov.

Access ePOC Attachments

Supported document types are .DOC, .DOCX, .XLS, .XLSX, .PDF, .RTF, .JPG, .JPEG, .GIF, .TIFF, .TXT, and .ZIP. File size is limited to 4MB per file. A statement in the Add an Attachment section on the Attachments window emphasizes the need to protect patient confidentiality.

The ePOC Attachments window provides access to the following attached files at any time including after final POC approval in ASPEN 11.9.4.2 or later.

- Files attached by a facility via ASPEN Web: ePOC (until final POC approval) to support POC(s) for a survey. You can view facility-submitted ePOC attachments.
- Files attached at any time by the SA/RO. You can add, view, modify, or delete your SA/RO ePOC attachments.

Note: Files are checked for viruses and will not be attached to a survey if virus-infected.

You can open the ePOC Attachments window from:

- POC Manager
- POC Properties
- POC Approval and Rejection window
- Citation Manager

To access ePOC attachments from POC Manager:

1. Open **POC Manager**.
2. Select a survey in the grid and click the **ePOC Attachments** button (bottom of window).

   When you select the survey, the ePOC Attachments button indicates the number of ePOC attachments to the survey in parentheses.

   Figure 7: ePOC Attachments button
3. In the **ePOC Attachments** window, select the **View** button to open a document.
4. When you are finished, close the document and the ePOC Attachments window.

To access ePOC attachments from POC Properties:

1. Open the **POC Properties** window.
2. Click the **ePOC Attachments** button (bottom of window).

   The number of ePOC attachments to the survey is indicated in parentheses.
3. In the **ePOC Attachments** window, select the **View** button for a document to open it.
4. When you are finished, close the document and the ePOC Attachments window.

To access ePOC attachments from POC Approval and Rejection:

1. Open the **POC Approval and Rejection** window.
2. Click the **ePOC Attachments** button (bottom of window).

   The number of ePOC attachments to the survey is indicated in parentheses.
3. In the **ePOC Attachments** window, select the **View** button for a document to open it.
4. When you are finished, close the document and the ePOC Attachments window.

To access ePOC attachments from Citation Manager:

1. Open the **Citation Manager**.
2. Click the **Attach** button.
3. In the **Survey Attachments Documents** window, click the **ePOC Attachments** button.

   The number of ePOC attachments to the survey is indicated in parentheses.

4 In the **ePOC Attachments** window, select the **View** button for a document to open it.

5 When you are finished, close the document, the ePOC Attachments window, and the Survey Attachments Documents window.

More ...

Procedure: "Open and Filter the POC Manager" on page 27
Procedure: "Open the POC Properties window" on page 24
Procedure: "Open POC Approval and Rejection" on page 38
Procedure: "Open Citation Manager" on page 39
Screen: "ePOC Attachments window" on page 73

Approve a POC

To approve the POC for a tag, the SA/RO opens the POC Approval window for individual tags from the POC Approval and Rejection window. You can issue a draft or final approval of the submitted POC. Draft approval is appropriate, e.g., when a POC approval requires internal review. The facility cannot view draft approvals. After review and any updates to the draft approval of a POC, you can finalize it.

When you give final approval to the POC for a tag, the facility receives a POC Approved email. When the SA/RO has approved the POCs for all deficiencies on the survey, ASPEN automatically closes the survey and the facility receives a Final Approval email.

Note: You will be able to access ePOC attachments (facility and SA/RO) to surveys closed after final POC approval in ASPEN 11.9.4.2 or later.

To enter draft approval of a POC:

1 Open the **POC Approval and Rejection** window.

2 In the **Deficiencies** grid, select a tag.

3 In the **Plan of Correction** area, review the facility-submitted POC.

4 Click the **Approve** button.

The POC Approval window is displayed.

5 Optionally enter **Comments** about the draft approval.

The comments are for internal SA/RO users only. The facility will not see them.

6 Click the **Save as Draft** button.

7 Click **Yes** in the confirmation message.

In the POC Approval and Rejection window, the tag's POC Status is set to Draft Approval. You can edit text in the Comments section of the POC Approval window as necessary.

To issue final approval of a POC:

1. Open the **POC Approval** window as above (steps 1-4).
2. Optionally enter **Comments** about the approval.

   The comments are for internal SA/RO users only. The facility will not see them.
3. Click the **Final Approval** button.
4. Click **Yes** in the confirmation message to proceed with the approval. In the POC Approval and Rejection window, the tag's POC Status is set to Approved and the Approve and Reject buttons are disabled.

   You cannot edit text in the Comments section of the POC Approval window for an approved POC, but you can view the comments in the POC History for Tag window.

Note: When you approve the final POC for a survey, ASPEN automatically closes the survey and a Final Approval email is sent to the facility. You will be able to access ePOC attachments (facility and SA/RO) to surveys closed after final POC approval in ASPEN 11.9.4.2 or later. The survey can be re-opened if needed (e.g., for IDR) via Survey Properties.

More ...

Procedure: "Open POC Approval and Rejection" on page 38
Screen: "POC Approval window" on page 69
"ePOC Emails" on page 103
Procedure: "Close Survey" on page 46

Reject a POC

To reject the POC for a tag, the SA/RO opens the POC Rejection window for individual tags from the POC Approval and Rejection window. At least one reason for rejection must be identified. If you select Other as a rejection reason you must enter an explanation; otherwise, an explanation is optional.

The POC Rejection email to the facility includes the selected final rejection reason(s) and any explanations, which the facility can also view in ASPEN Web: ePOC. You can optionally add comments about the rejection, which only internal SA/RO users will see.

You can issue a draft or final rejection of the submitted POC. Draft rejection is appropriate, e.g., when a POC rejection requires internal review. The facility cannot view draft rejections. After review and any updates to the draft rejection of a POC, you can finalize it. When you issue the final rejection of a POC, the facility receives a POC Rejected email and must revise and re-submit the POC.

To enter draft rejection of a POC:

1. Open the **POC Approval and Rejection** window.
2. In the **Deficiencies** grid, select a tag.
3. In the **Plan of Correction** area, review the facility-submitted POC.
4. Click the **Reject** button.

   The POC Rejection window is displayed.
5. Select one or more **Reason**(s) for the rejection.

   For Federal surveys, only federally specified reasons are listed. If a state licensure regulation set is assigned to the survey and a state tag is cited, there may be state-specific rejection reasons as well as the Federal reasons.

   When you select a Reason, the Explanation text field is enabled.
6. Enter an **Explanation** for the selected **Reason**.

   An explanation is required if Other is the reason; otherwise, it is optional.
7. Optionally enter **Comments** about the rejection.

   The comments are for internal SA/RO users only. The facility will not see them.
8. Click the **Save as Draft** button.
9. Click **Yes** in the confirmation message.

   In the POC Approval and Rejection window, the tag's POC Status is set to Draft Rejection. You can add or delete rejection reasons/explanations in the POC Rejection window as appropriate.

To issue final rejection of a POC:

1. Open the **POC Rejection** window as above (steps 1-4).
2. Select one or more reasons for the final rejection.

   For Federal and combined surveys, only federally specified reasons are listed. For licensure-only surveys, there may be state-specific rejection reasons as well as the Federal reasons.

   When you select a Reason, the Explanation text field is enabled.
3. Enter an **Explanation** for the selected **Reason**.

   An explanation is required if Other is the reason; otherwise, it is optional.
4. Optionally enter **Comments** about the final rejection.

   The comments are for internal SA/RO users only. The facility will not see them.
5. Click the **Final Rejection** button.

6 Click **Yes** in the confirmation message.

In the POC Approval and Rejection window, the tag's POC Status is set to Rejected and the Approve and Reject buttons are disabled. The rejection reasons and explanations are not displayed, but you can view them in the POC History for Tag window.

Note: The facility can view final rejection reasons and explanations in ASPEN Web: ePOC.

More ...

Procedure: "Open POC Approval and Rejection" on page 38
Screen: "POC Rejection window" on page 70
"ePOC Emails" on page 103
Procedure: "Close Survey" on page 46

Finalize Drafts

The Finalize Drafts function lets you finalize at once the approval or rejection of all POCs with a POC Status (respectively) of Draft Approval or Draft Rejection. POC Status changes immediately to Approved or Rejected.

To finalize all draft POC approvals and rejections:

1 Open the **POC Approval and Rejection** window.

2 Click the **Finalize Drafts** button (bottom of screen).

3 Click **Yes** in the confirmation message.

In the POC Approval and Rejection window, POC Status for tags that were in Draft Approval or Draft Rejection status is updated to Approved or Rejected, and the applicable emails are sent. When rejection reason/explanation text exists, it is saved and included in the POC Rejection email.

More ...

Procedure: "Open POC Approval and Rejection" on page 38
"ePOC Emails" on page 103

Close Survey

When all citations on a survey have approved POCs, the survey will be automatically closed. Both the POC status and Survey status are set to CLOSED. When a survey is closed, the facility will receive a Final Approval email.

A survey will be automatically closed in the following cases:

- SA/RO approves the POC for the last unapproved tag on a survey.
- Facility acknowledges an A-level or PNC tag and it is the last unapproved tag on the survey.

- Facility acknowledges a deficiency-free survey.
- SA/RO posts a new survey with only corrected or waived tags.
- SA/RO removes the last unapproved citation from the survey. The tag can be removed due to:
  - Deleting the citation
  - Setting the citation's correction date
  - IDR/IIDR
  - Hearing/settlement

You will be able to access ePOC attachments (facility and SA/RO) to surveys closed in ASPEN 11.9.4.2 or later. Attachments to surveys closed before 11.9.4.2 were deleted and cannot be restored.

If a closed survey is removed from posting and/or unlocked, it automatically re-opens. You can manually re-close it through Survey Properties when you re-post/re-lock it.

More ...

Procedure: "Open the POC Properties window" on page 24
Procedure: "Unlock and Re-lock Posted Surveys" on page 32
Procedure: "Remove Posted Surveys" on page 34
Screen: "POC Properties window" on page 66
Screen: "POC Manager window" on page 65

For detailed information about the Survey Properties window:

Refer to the *ACO Procedures Guide*, which is posted on the QTSO website at https://qtso.cms.gov.

View POC History

The POC History for Tag window displays POC submission information for a selected tag, staff member who performed each action, POC text, and the approval/rejection history for the POC. Approval Comments, if any, are shown for approved POCs. For rejected POCs, comments, rejection reasons and explanations are listed in the Rejection Detail section.

To view POC history for a tag:

1. Open the **POC Approval and Rejection** window.
2. In the **Deficiencies** grid, select a tag (other than 0000 or 9999).
3. In the **Plan of Correction** area, select the **History** button.

   The POC History for Tag window opens.

More ...

Screen: "POC History for Tag window" on page 71

ePOC Special Cases

The ePOC system is designed to accommodate special POC situations including the following:

- FMS surveys
- Deficiency-free surveys
- A-level and PNC tags
- Removing approvals
- Stopping surveys, i.e., removing surveys from the ePOC system

FMS Surveys

Though SA/RO users may view any FMS survey (C-Federal Monitoring included as Type of Survey in Survey Properties) and its ePOC activity in ASPEN, only RO users can post standard (i.e., non-revisit) FMS surveys to ASPEN Web: ePOC and approve/reject submitted POCs. For FMS revisit surveys, both RO and SA users can post and approve/reject POCs.

Qualifying FMS revisit surveys can be included in ePOC, regardless of whether or not they are linked to an FMS record. FMS starting surveys can be posted to ePOC if they are associated with an FMS record that is eligible for inclusion in ePOC (e.g. Comparative, Complaint, etc.), or if they are not associated with an FMS record.

- FMS Surveys associated with an FMS record that is ineligible for inclusion in ePOC (e.g. Observational) cannot be posted to ePOC.
- If an FMS survey is not yet assigned to a valid FMS record, it is still eligible for inclusion to ePOC.
- If an RO user attempts to associate an ePOC posted FMS survey with an FMS record that is ineligible for ePOC inclusion (e.g. Observational), a notice appears instructing the user they must remove the survey from the ePOC website before this association can be made.

The ePOC process for FMS surveys is the same as for other surveys except that standard FMS surveys must be posted from, and POCs approved/rejected in, ARO by RO staff. Email recipients for FMS ePOC surveys are not limited to RO staff; recipients for FMS ePOC emails are the same as for ePOC emails (i.e., responsible parties, team members, etc.).

Deficiency-Free Surveys

A survey is deficiency-free if it has only memo/comment tags (0000, 9999), or it has memo tags and all other tags are fully corrected. The posting process for deficiency-free surveys is the same as for other surveys. The facility must acknowledge the SOD for a deficiency-free survey. The same ePOC emails are generated and they are included in tardiness reports.

When a facility acknowledges a deficiency-free survey on the ePOC website by selecting the Acknowledge SOD button on the Survey Detail page, the POC status of the survey changes to Closed and the POC approval date for the survey is set to the current date. POC status for tags 0000 and 9999 is always N/A.

More ...

Procedure: "Post Surveys to ASPEN Web: ePOC" on page 31
"ePOC Emails" on page 103

A-level and PNC Tags

The posting process for surveys that include A-level Scope/Severity or PNC tags is the same as for other surveys. POCs are neither required nor supported for these tags, but the facility must acknowledge them. Attestation is not required. These tags appear in tardiness reports and emails when appropriate. PNC tags are included on the standard CMS-2567 form; A-level tags print on the separate A-form.

When a facility acknowledges A-level or PNC tags on the ePOC website by selecting the Acknowledge button on the Plan of Correction page, POC status for the tags is set to Approved. If an A or PNC tag is the last tag submitted (by acknowledging it) and the POCs for all other tags are already approved, or if the survey includes only A-level and/or PNC tags, the Final POC Approval email is sent.

Note: If the last tag a facility submits/acknowledges is A-level or PNC, the survey will automatically be closed. You will still be able to access ePOC attachments (facility and SA/RO) to surveys closed in ASPEN 11.9.4.2 or later.

More ...

Procedure: "Post Surveys to ASPEN Web: ePOC" on page 31
"ePOC Emails" on page 103

Waived tags

The status of waived tags is automatically set to Approved upon posting to ASPEN Web: ePOC. POCs are not permitted and acknowledgment of the SOD by the facility is not required for these tags. The CMS-2567 report displays waived tags, but they are not included in ePOC tardiness reports and emails.

For tags posted prior to a waiver request, the facility must submit a POC. It can be POC text and/or something like "request waiver" or "request extension of waiver". The SA/RO can choose to accept or reject the POC and/or waiver request. If a newly waived tag is included on a re-posted survey, its status will be set to Approved, regardless of its prior POC text or status.

Remove Approval

It may occasionally be necessary to undo approval of a POC. When you remove approval, the tag's POC status changes from Approved to Rejected. The facility will receive a POC Rejected email and can then revise the POC on the ePOC website.

To remove a POC's approval:

1. Open the **POC Approval and Rejection** window.
2. In the **Deficiencies** grid, select an approved tag (POC Status = Approved).
3. In the **Plan of Correction** area, select the **Remove Approval** button.
4. Click **Yes** in the confirmation message.

   The message informs you that the tag's POC status will change from Approved to Rejected and its POC will be opened on the ePOC website for the facility to update.

Tags that are Past Non-Compliance, Waived, or have a Scope/Severity of level A, do not require the facility to submit a plan of correction. For these tags, the remove approval process is not available, and the Remove Approval button is disabled on the POC Approval/Rejection screen.

More ...

Procedure: "Open POC Approval and Rejection" on page 38
"ePOC Emails" on page 103

Stop a Survey

If necessary, you can "stop" a survey in the POC Manager or POC Properties to completely remove it from ASPEN Web: ePOC. When a survey is stopped (in contrast to being "un-posted" or unlocked), tardiness emails are not generated and it does not appear on tardiness reports. You can filter POC Manager to display only stopped surveys, and there is also a Stopped Surveys report. You can "un-stop" a survey to make it available again to the facility on ASPEN Web: ePOC.

To stop a survey:

1. Open **POC Manager**, select a survey in the grid, and click the **Stop Survey** button (bottom of window).

   -or-

   Open **POC Properties** for a survey and click the **Un-stop Survey** button (bottom of Status section).

2. Click **Yes** in the confirmation message.

   The message informs you that the survey will not be displayed on ASPEN Web: ePOC and it will not appear in tardiness emails and reports, but that any ePOC posting and POC information will be retained.

3. In **POC Manager** only, click **Yes** in the **Confirm Lock** message to unlock the survey, or **No** to leave it locked.

   The SA/RO can modify a stopped survey if it is unlocked.

   The Stop Survey button toggles to Un-stop Survey for the stopped survey.

To un-stop a survey:

1. Open **POC Manager** and filter it to display stopped surveys.
2. Select a stopped survey in the grid and click the **Un-stop Survey** button (bottom of window).

   -or-

   Open **POC Properties** for a stopped survey and click the **Un-stop Survey** button (bottom of Status section).

3. Click **Yes** in the confirmation message.

   The message informs you that the survey will again be displayed on ASPEN Web: ePOC and appear in tardiness emails and reports.

More ...

Procedure: "Open and Filter the POC Manager" on page 27
Procedure: "Open the POC Properties window" on page 24
Screen: "POC Properties window" on page 66

ePOC Email History

ePOC generates automatic email notifications at various times during the ePOC process. An email history option lets you view details about the ePOC-related emails that were sent.

To view ePOC email history:

1. Open **ACO**.
2. From the **File** menu, select **Email History**.
3. In the **ASPEN Email History** window, specify **Filter Criteria**.
4. Click the **Refresh** button to display ePOC emails matching the specified criteria.
5. Click the **View** button for an email to open it.

More ...

"ePOC Emails" on page 103 (description and text of each ePOC email)

ePOC Reports

ePOC management reports are available in ACO and ACTS on the Reports menu. You can set filters to narrow the focus of a report to your requirements.

From POC Manager and POC Properties, you can print two POC reports for single surveys. You can also print information in the POC Manager grid as a report.

Generate ePOC Management Reports

In ACO/ACTS, you can generate the following ePOC reports from the ePOC Management Reports option in the Reports menu:

- Tardy SOD Issuance – Shows all ePOC-eligible surveys (excluding shell-only, and stopped surveys) that have not been posted to the ePOC website within specified time frames.

  Note: This report is available for non-ePOC provider types as well.

- Tardy POC Submission from Facility (ACO and ACTS) – Shows all deficiencies for which facilities have not submitted a POC either by the survey POC due date, or within ten days of the most recent posting of the tag, whichever is greater.

- Rejected Tags Requiring Facility Follow-Up – Shows all rejected POCs for which facilities have not re-submitted a POC either by the survey POC due date, or within three days of the most recent POC rejection date, whichever is greater.
- Facilities Pending SA/RO POC Review – Shows all facilities with newly submitted or re-submitted POCs awaiting review.
- SOD Acknowledgement Missing – Shows all deficiency-free surveys for which the facility has not acknowledged review of the SOD when acknowledgement is required.
- Re-post Required Reports:
  - Surveys Changed Since Posting – Lists all surveys containing at least one tag that has been changed since the survey was last posted to the ePOC website. Includes the following information: Facility ID, CCN, Name, Event ID, Exit Date, SOD Sent date, and POC Due date.
  - Deficiencies Not Posted – Shows all deficiencies that have not been posted.
- Plan of Correction Audit Trail – Shows all POC activities (submissions, re-submissions, rejections, approvals, etc.) for a specific facility or group of facilities and identifies staff members who performed each action. Rejection reasons/explanations, approval comments, and rejection comments are included.

  Note: This report can be printed for a selected survey from ePOC Properties and the POC Manager.

- Survey POC Information – Displays detailed POC data with Initial Submission, Latest Rejection, Last Approval, and Completion (X5) dates for each tag as well as the following information for the survey: Event ID, SOD sent date, POC Due date, POC Rcvd (Received) date (date of the first POC submission for any tag on the survey), POC Last Submitted (date of the last POC submission for any tag on the survey), POC Last Rejected date (date of the last POC rejection for any tag on the survey), and POC Final Approval date (last approval date for all non-0000 and 9999 tags on the survey).

  Note: This report can be printed for a selected survey from ePOC Properties and the POC Manager.

- Deficiency Free Surveys – Shows all deficiency-free surveys.
- Stopped Surveys – Shows all surveys that have been stopped.

- Unlocked Surveys – Shows all surveys that are unlocked. Includes the following information: Facility ID, CCN, Name, Event ID, Exit Date, SOD Sent Date and POC Due Date.
- ePOC Web Users Reports (Filterable by Facilities with CCN, without CCN, or both with and without CCN):
  - Facilities Having ePOC Users – Lists the facilities and the ePOC users at those facilities.
  - Facilities Without ePOC Users – Lists facilities with no active ePOC users.

Note: With the exception of the SOD Acknowledgment Missing and Deficiency Free Surveys report, deficiency-free surveys (those having tags 0000 and 9999 only) are not included in ePOC reports. Corrected tags and stopped surveys, except for the Stopped Surveys report, are also excluded from ePOC reports.

To generate an ePOC management report:

1. From the **Reports** menu, select **ePOC Management Reports** and choose the report you want to generate.

   ➥ For ePOC Web Users Reports, select either Facilities Having ePOC Users or Facilities Without ePOC Users.

2. In the report customization window, set report filtering criteria.
3. Click **Print Now** (bottom of screen) to generate the report.

   The report is generated and displayed in a preview window. Filtering criteria and a Survey Category Key (i.e., list) appear on the last page of pertinent reports if Print Report Definitions was selected in the report customization window.

4. To print or export the report, click **Print** or **Export** on the preview window's toolbar. Provide requested information, then click **Print** or **OK**.
5. Click **X** in the upper right corner to close the report.

More …

Screen: "Report Customization window" on page 74
Procedure: "Customize ePOC Management Reports" (just below)

Customize ePOC Management Reports

The report customization window, which opens automatically when you select an ePOC management report from the Reports menu, lets you set multiple filters to narrow the focus of the selected report. The name of the report appears in the title bar of the customization window. The generated report will reflect the filter options you choose. Default settings are used if you make no selections.

You can filter ePOC reports by survey status and type, survey date range, management unit, work unit, primary facility type, facility operating status, survey category, survey POC status, and facility ID. The Print Report Definitions option lets you include the specified filtering criteria and a Survey Category Key (i.e., list) in the report.

In ACTS, the Survey Category filtering option defaults to A-Complaint Investigation and 3-Licensure Complaint. In ACO, the default Survey Category filtering option is All.

Note: The Survey Category Key does not appear in ePOC Web Users Reports.

To customize a report:

1. To set filters in the report customization window according to a saved report specification, select it from the **Recall a Previous Report Specification** list.
2. For **ePOC Web Users Reports** only, select a **Sort By** option. To sort the report in descending order, select **Desc**.
3. Select **Survey Status** and **Survey Type**.

   These filters do not appear for ePOC Web Users Reports.
4. Select **Print Report Definitions** to include filtering criteria and a Survey Category Key (i.e., list) on the last page of the report.

   The Survey Category Key does not appear in ePOC Web Users Reports.
5. To specify a date range: select the desired **Base Timeframe On** option and enter **From Date** and **To Date**. If you do not want to set a date range, select **Show All**.

   The date range filter does not appear for ePOC Web Users Reports.

   Note: For the Tardy SOD Issuance report only, Calendar/Business Days options appear, but they are disabled unless the Facility Type filter includes any facility types not enabled for ePOC, i.e., any type other than NH.

6 To set **Management Unit**, **Work Unit**, **Facility Type**, **Operating Status**, and **Survey Category** filters: Click the applicable **Definition** button and, in the window that opens, select the desired items; click **OK** to close.

➥ Use **Select All** or **Deselect All** to select or deselect all items in the selection window.

The selected criteria are listed on the applicable Definition button.

The Survey Category filter does not appear for ePOC Web Users Reports.

7 To set the **POC Status** filter: Click the **Definition** button and in the **Citation POC Status Filter** window, select **ePOC Survey Status** and **ePOC Citation Status** option(s). Also choose whether to include **Surveys with at least one citation meeting selected status** or only **Surveys with all citations meeting selected status**.

The specified criteria are listed on the Definition button.

This filter doesn't appear for ePOC Web Users Reports.

8 To set the **Single Facility ID** filter: Click the **Definition** button and, in the **Find Facility ID** window, search for and select the desired facility.

The facility ID appears on the Definition button.

9 To change the setting for a filter on the **Definition** button back to **All**, click the little red bar in the **Set All** column.

You may have to scroll right to see the bar.

10 To save the criteria you have specified for later use, select the **Save Report Specification** checkbox and enter a **Report Specification Name**.

More ...

Screen: "Report Customization window" on page 74

Generate POC Reports for Single Surveys

From POC Manager and POC Properties, you can generate the following POC reports for individual surveys:

- POC Audit Trail - Shows all POC activities (submissions, re-submissions, rejections, approvals, etc.) for a selected survey and identifies staff members who performed each action. Rejection reasons/explanations, approval comments, and rejection comments are included. No filtering options are provided.

Note: This report can be customized and printed for a specific facility or group of facilities from the ePOC Management Reports option in the ACO/ACTS Reports menu.

- Survey POC Information - Displays detailed POC data with Initial Submission, Latest Rejection, Last Approval, and Completion (X5) dates for each tag as well as the following information for the survey: Event ID, SOD sent date, POC Due date, POC Rcvd (Received) date (date of the first POC submission for any tag on the survey), POC Last Submitted (date of the last POC submission for any tag on the survey), POC Last Rejected date (date of the last POC rejection for any tag on the survey), and POC Final Approval date (last approval date for all non-0000 and 9999 tags on the survey). No filtering options are provided.

Note: This report can be customized and printed for a specific facility or group of facilities from the ePOC Management Reports option in the ACO/ACTS Reports menu.

To generate a POC report for a single survey:

1. Open **POC Manager** and select a survey in the grid.

   -or-

   Open **POC Properties** for a survey.
2. From **Report Selection** (bottom of window), choose **POC Audit Trail** or **Survey POC Information**.
3. Click the **Report** button to generate the report.

   The report is generated and displayed in a preview window.
4. To print or export the report, click **Print** or **Export** on the preview window's toolbar. Provide requested information, then click **Print** or **OK**.
5. Click **X** in the upper right corner to close the report.

More ...

Procedure: "Open and Filter the POC Manager" on page 27
Procedure: "Open the POC Properties window" on page 24
Screen: "POC Properties window" on page 66

Generate the POC Manager Listing

You can print the information currently displayed in the POC Manager grid as the POC Manager Listing report.

Note: ACO/ACTS Reports menu.

To generate the POC Manager Listing:

1. Open **POC Manager**.
2. From **Report Selection** (bottom of window), choose **POC Manager Listing**.

3. Click the **Report** button to generate the report.

   The report is generated and displayed in a preview window.

4. To print or export the report, click **Print** or **Export** on the preview window's toolbar. Provide requested information, then click **Print** or **OK**.
5. Click **X** in the upper right corner to close the report.

More ...

Procedure: "Open and Filter the POC Manager" on page 27

Audit History

ASPEN audit history in both ACO and ACTS includes ePOC fields.

For detailed information about accessing and using the ASPEN audit history:

Refer to the latest version of the *ACO Procedures Guide* or the *ACTS Procedures Guide,* which are posted on the QTSO website at https://qtso.cms.gov.

ePOC Screens

This chapter contains screen shots and brief descriptions of ePOC-related screens and windows in ACO and ACTS.

If you are viewing this document online, take advantage of the hyperlinks—you can click the cross-reference at the top of a graphic to jump to detailed descriptions of the fields and buttons on that section of screen.

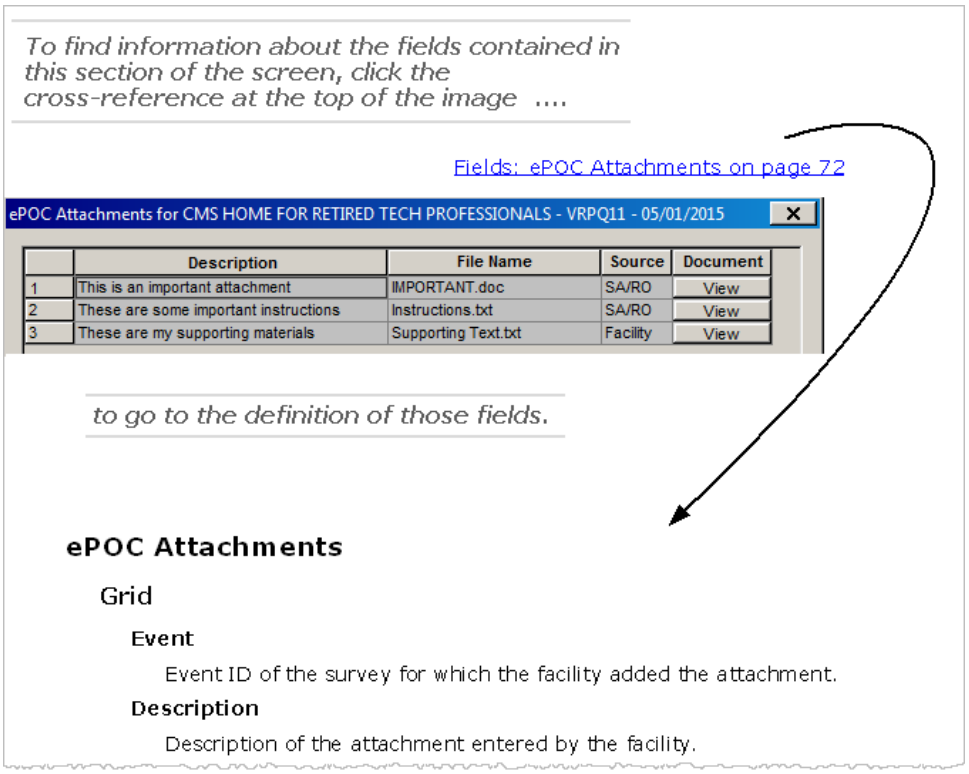


Figure 8: Cross-reference from screenshot to field descriptions

Configuration Screens

State Customization window

States can be configured to use ePOC functions for Health surveys, LSC surveys, or both.

Fields: "State Customization", on page 77

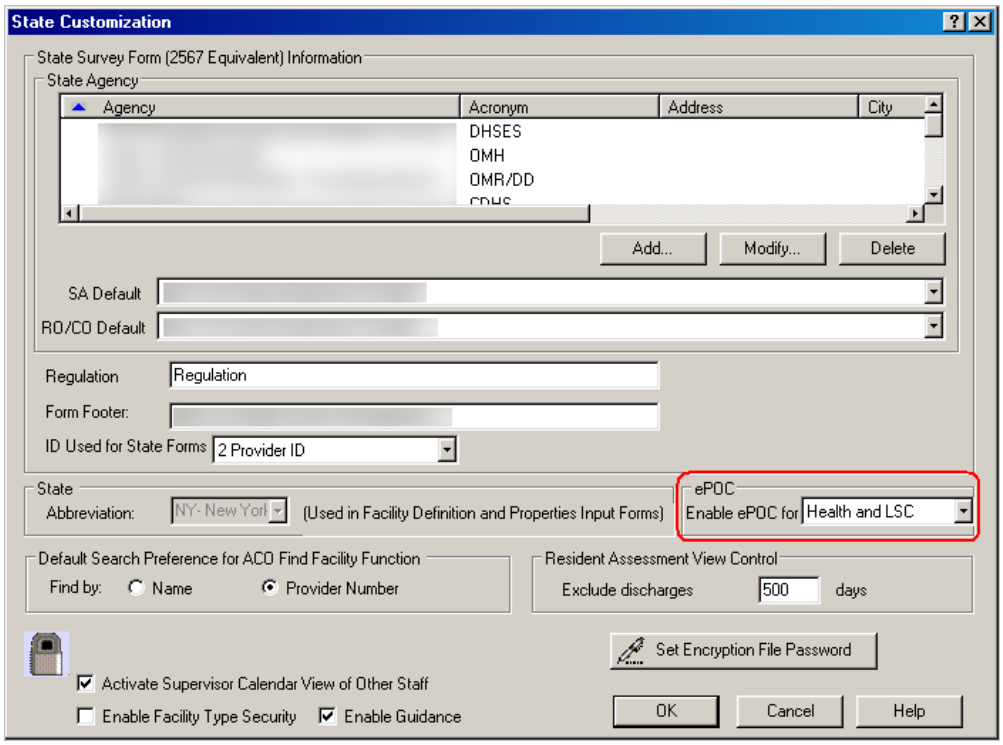


Figure 9: ePOC State Customization window

ePOC Information

In the ePOC Information section on the Facility Definition tab of Facility Properties, you can activate ePOC for a facility, change the activation date, and view the facility's ASPEN Web: ePOC users.

Fields: "ePOC Information", on page 77

Figure 10: ePOC Information section

ePOC Web Users window

This window lists staff members at the current facility who can access ASPEN Web: ePOC.

Screen: "ePOC Web Users" on page 78

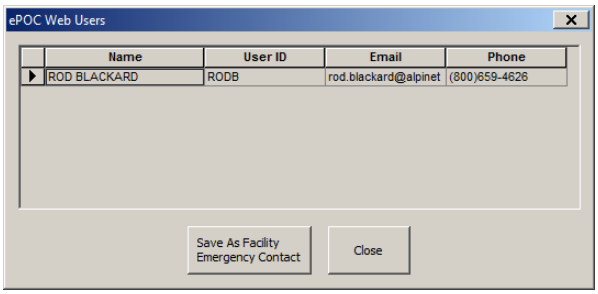


Figure 11: ePOC Web Users window

ePOC Facility Maintenance window

Use this screen to set the activation date for multiple facilities at once. You can set several filters to tailor the list of facilities to your needs.

Fields: "ePOC Facility Maintenance", on page 78

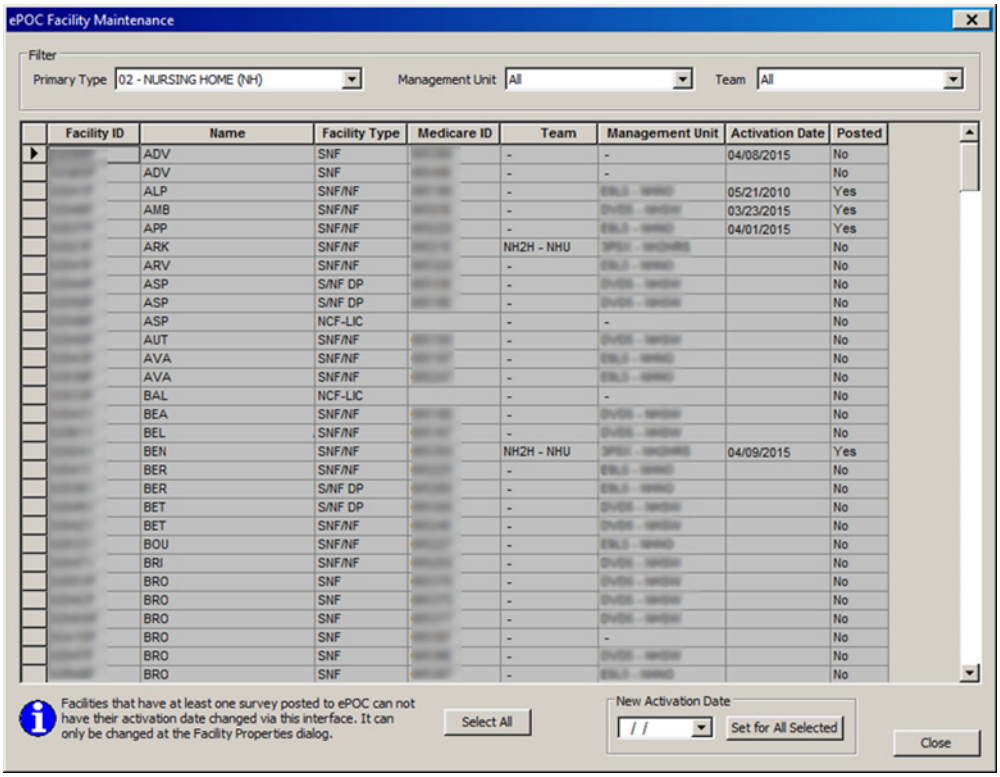


Figure 12: ePOC Facility Maintenance window

SA/RO Email Recipients window

The SA/RO Email Recipients dialog includes an Email Recipient Groups grid that lists all ePOC email types and recipient groups for each primary facility type. When a group in the grid is selected, the recipient specifications display in the Recipients section beneath.

Fields: "SA/RO Email Recipients/Email Recipient Group", on page 79

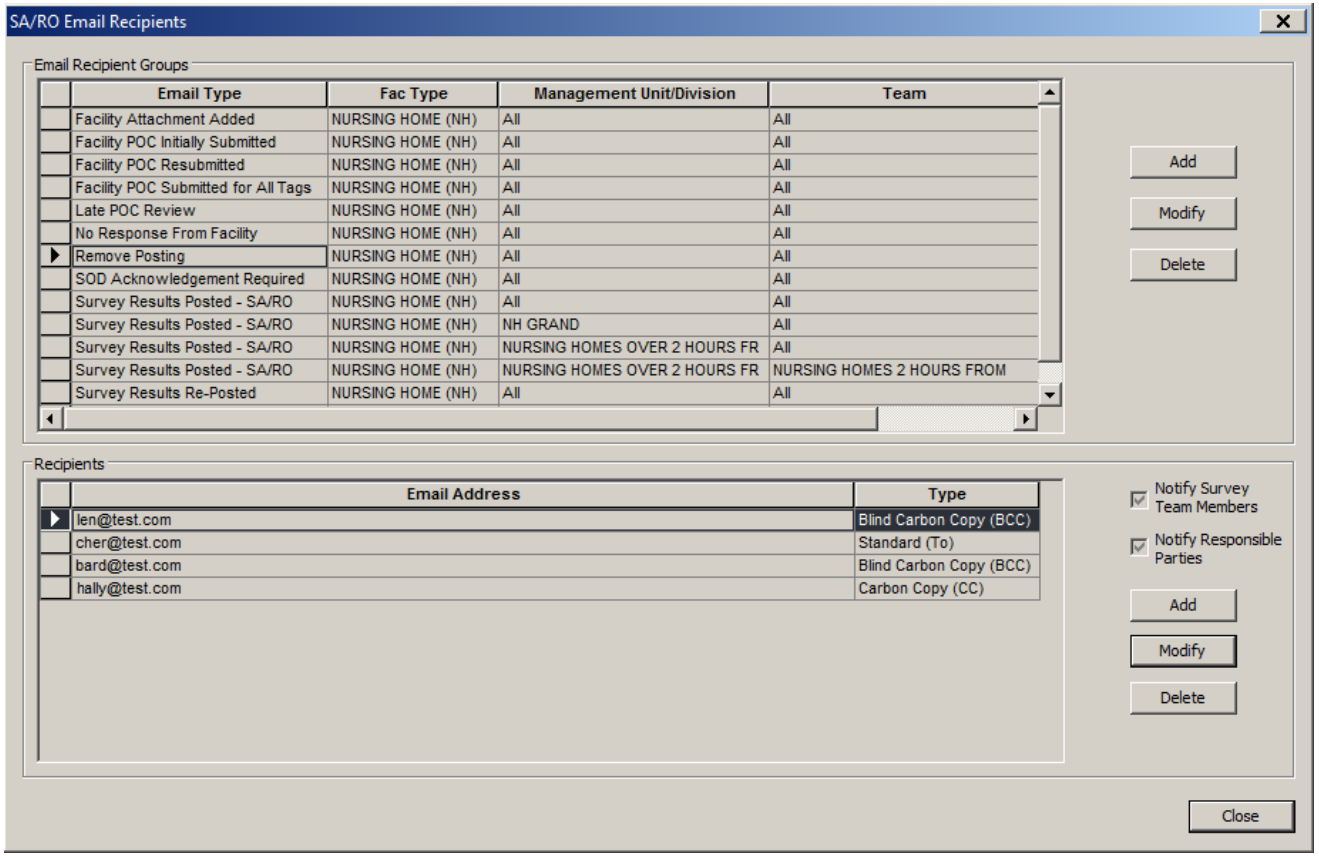


Figure 13: SA/RO Email Recipients window

Add/Modify Email Recipient Group window

Fields: "SA/RO Email Recipients/Email Recipient Group", on page 79

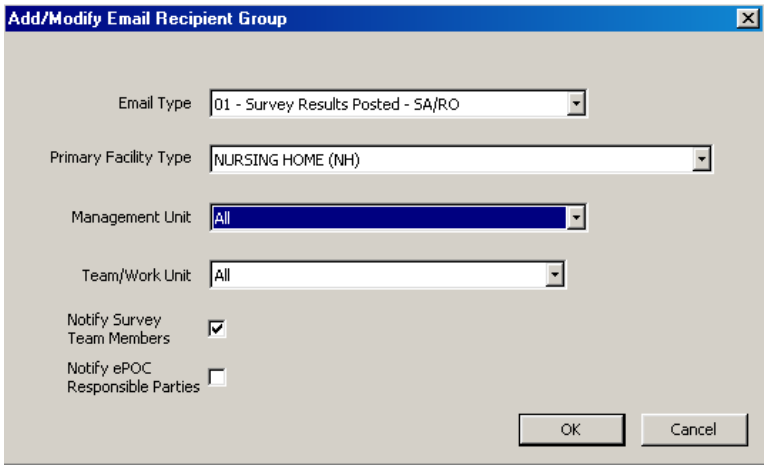


Figure 14: Add/Modify Email Recipient Group window

ASPEN ePOC Screens

POC Manager window

The POC Manager is included in both ACO and ACTS. It displays all surveys that have been posted to ASPEN Web: ePOC. From the POC Manager window, the SA/RO can access POC Properties, access facility-provided and your SA/RO ePOC attachments (including after final POC approval in ASPEN 11.9.4.2 or later), access Citation Manager, stop surveys, and access the POC Approval and Rejection window. The grid can be filtered to display the surveys the user needs to see.

The POC Manager includes survey and POC information. The default sort order is alphabetical by facility name. You can change sort order by clicking on another column header. The default POC Manager view reflects the current user's facility type security settings as well as selection criteria from the active My Selections filter.

Fields: "POC Manager", on page 81

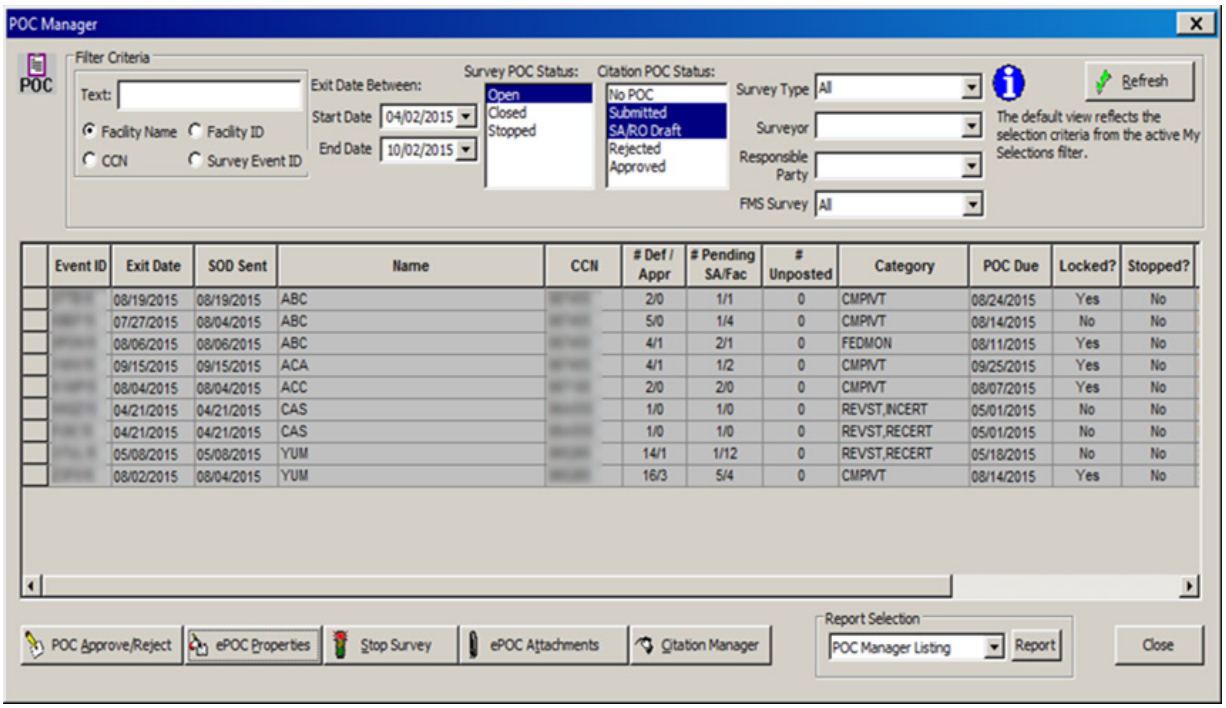


Figure 15: POC Manager window

POC Properties window

On this screen, you can perform ePOC actions for a survey such as posting the survey and letters to ASPEN Web: ePOC, and specifying ePOC Responsible Parties. You can also remove a posted survey, enter the reason for re-posting or un-posting a survey, generate survey letters, and unlock a survey to permit SA/RO updates. In addition, Post Date history can be viewed and the Sent Date, POC Due date, and Approval date can be viewed and changed. You can also view POC status information for a survey.

Fields: "POC Properties", on page 85

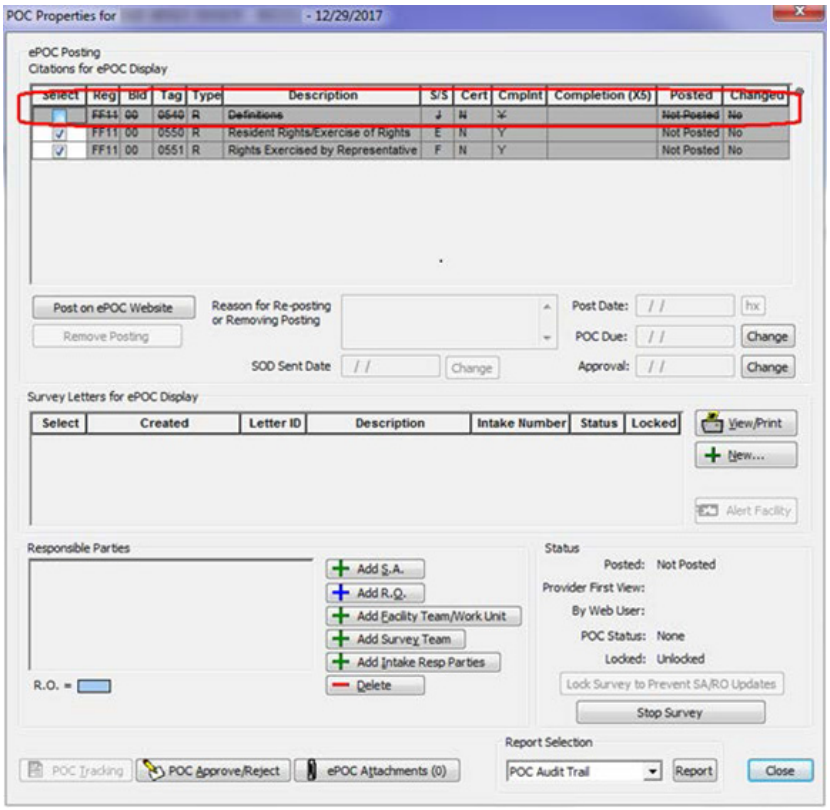


Figure 16: POC Properties window

ePOC History window

This window displays posting history for a survey with Type, Date, and Reason (if available) for each posting.

Fields: "ePOC History", on page 90

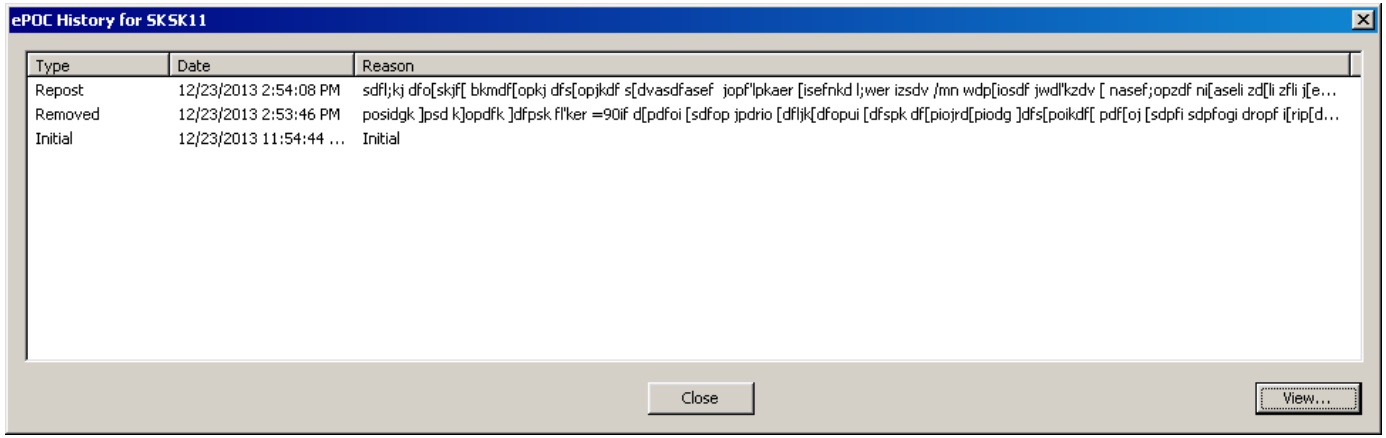


Figure 17: ePOC History window

POC Approval and Rejection window

The Deficiencies grid shows information about each uncorrected tag cited on the survey. When a tag is selected, the regulation/deficiency and Plan of Correction text (if any) for that tag displays in the text boxes below. Tags moved to another tag due to hearing/settlement will appear with a strike-through line on the text.

Fields: "POC Approval and Rejection", on page 91

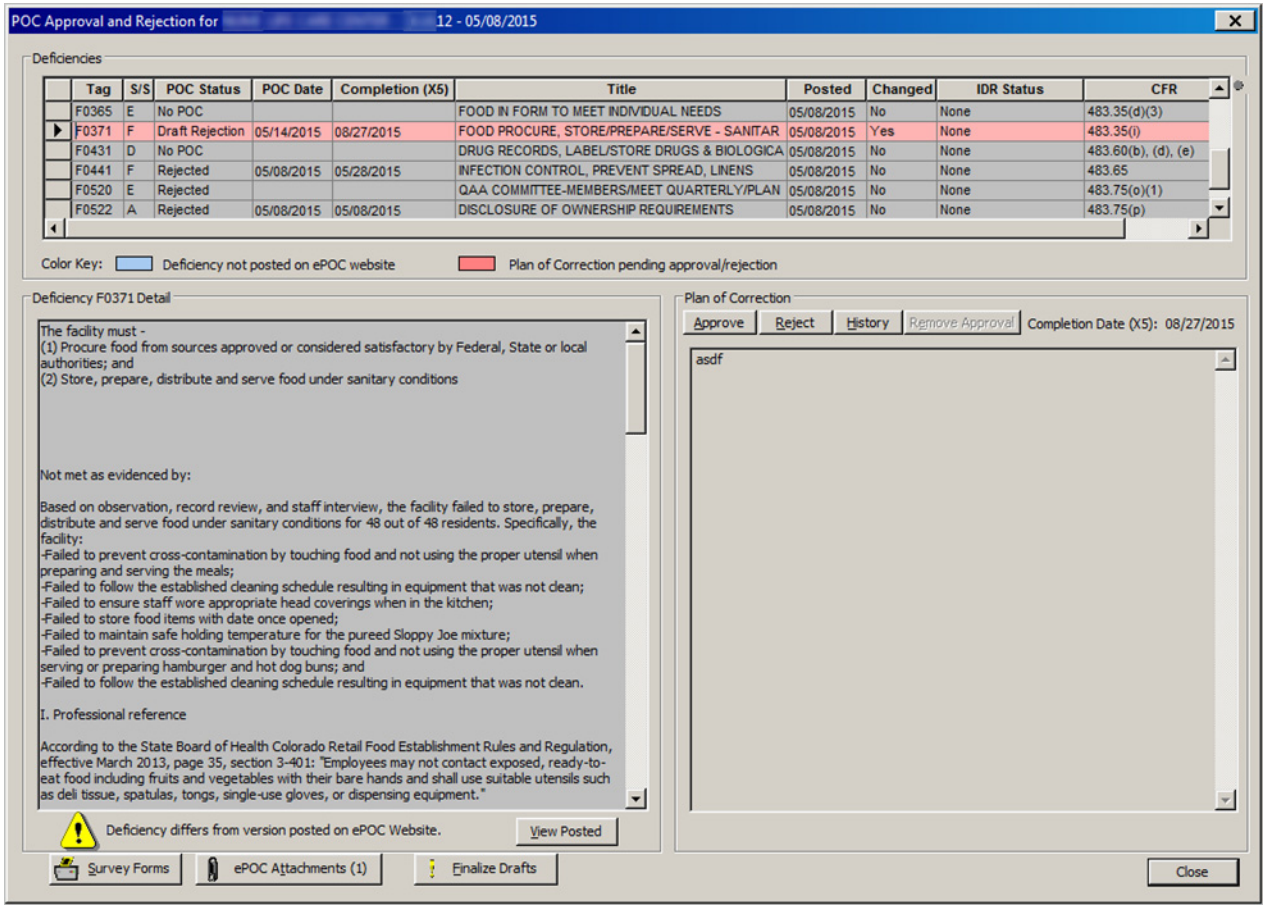


Figure 18: POC Approval and Rejection window

POC Approval window

SA/RO staff can draft or finalize approval of a tag's submitted POC. You can optionally add comments about the approval, which are for internal SA/RO users only and displayed only in the POC History for Tag window.

Fields: "POC Approval", on page 93

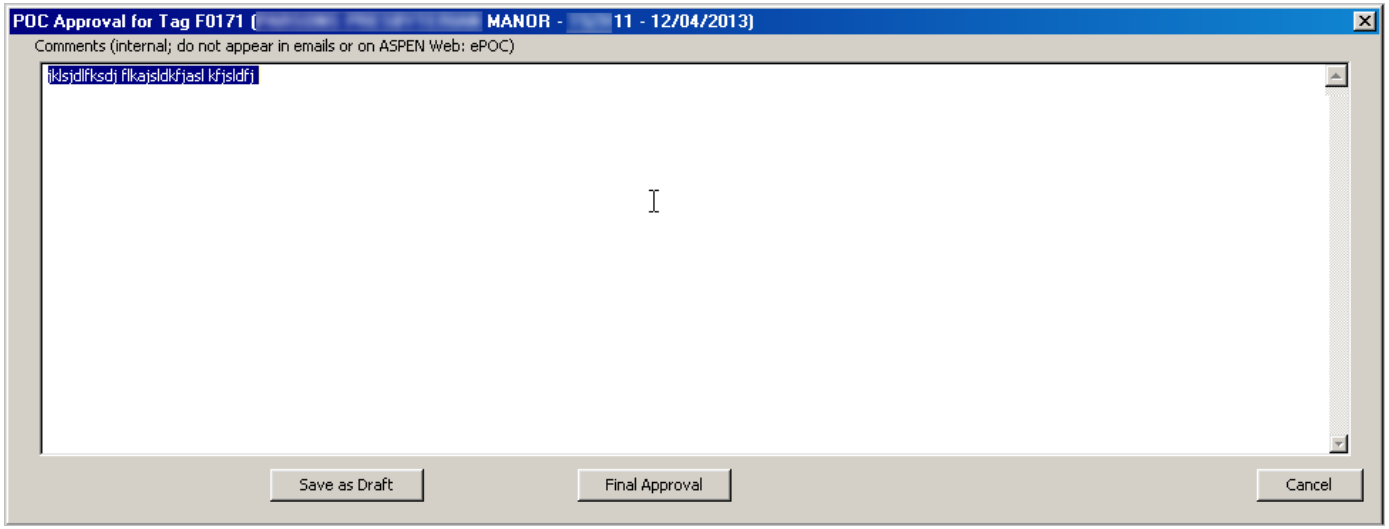


Figure 19: POC Approval window

POC Rejection window

The POC Rejection window lists common rejection reasons. The available reasons may vary by primary provider type. When the SA/RO rejects a POC, at least one rejection reason must be selected. You can type up to 200 characters in the Explanation field for each reason, and you can optionally add notes about the rejection in the Comments section, which are for internal SA/RO users only.

Note: For licensure-only surveys, state-specific rejection reasons may be included.

Fields: "POC Rejection", on page 94

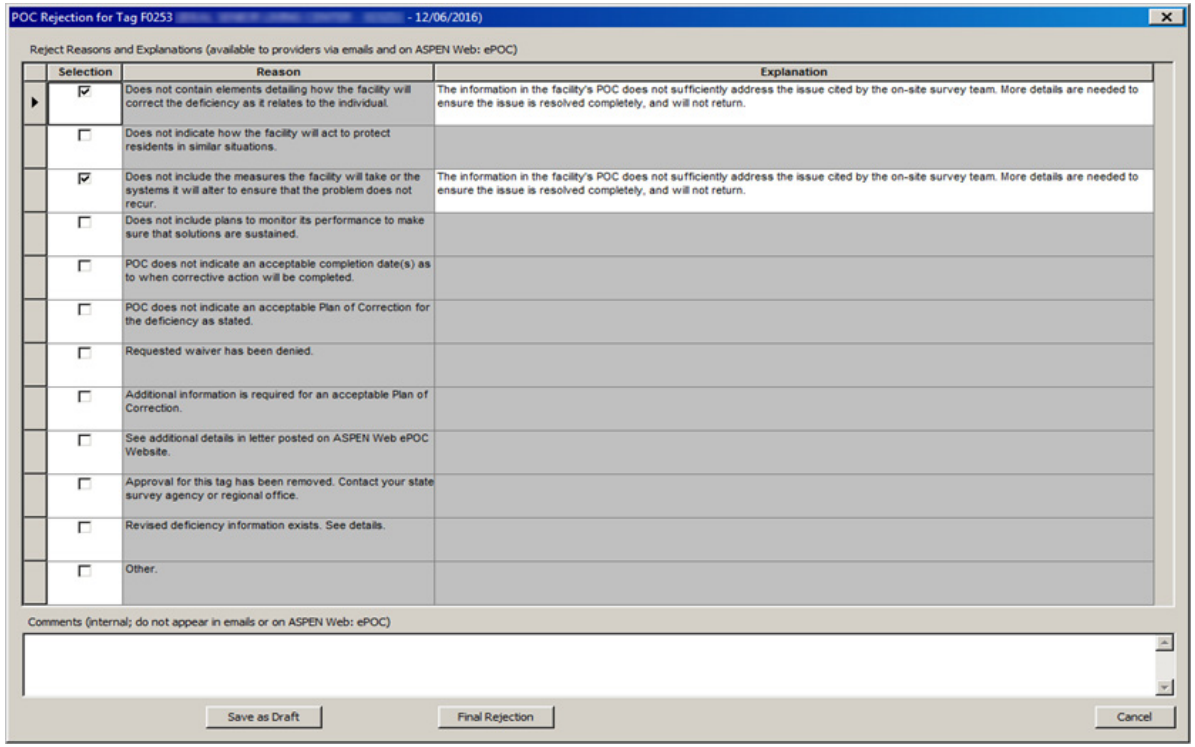


Figure 20: POC Rejection window

POC History for Tag window

This window displays the POC history for a selected tag, i.e. whether and when a POC was submitted by the facility, staff member who performed each action, POC text, and the SA/RO's approval(s)/rejection(s) of the POC.

This window displays POC submission information for a selected tag, staff member who performed each action, POC text, and the approval/rejection history for the POC. Approval comments, if any, are shown for approved POCs. For rejected POCs, rejection comments and reasons/explanations are listed in the Rejection Detail section.

Fields: "POC History for Tag", on page 95

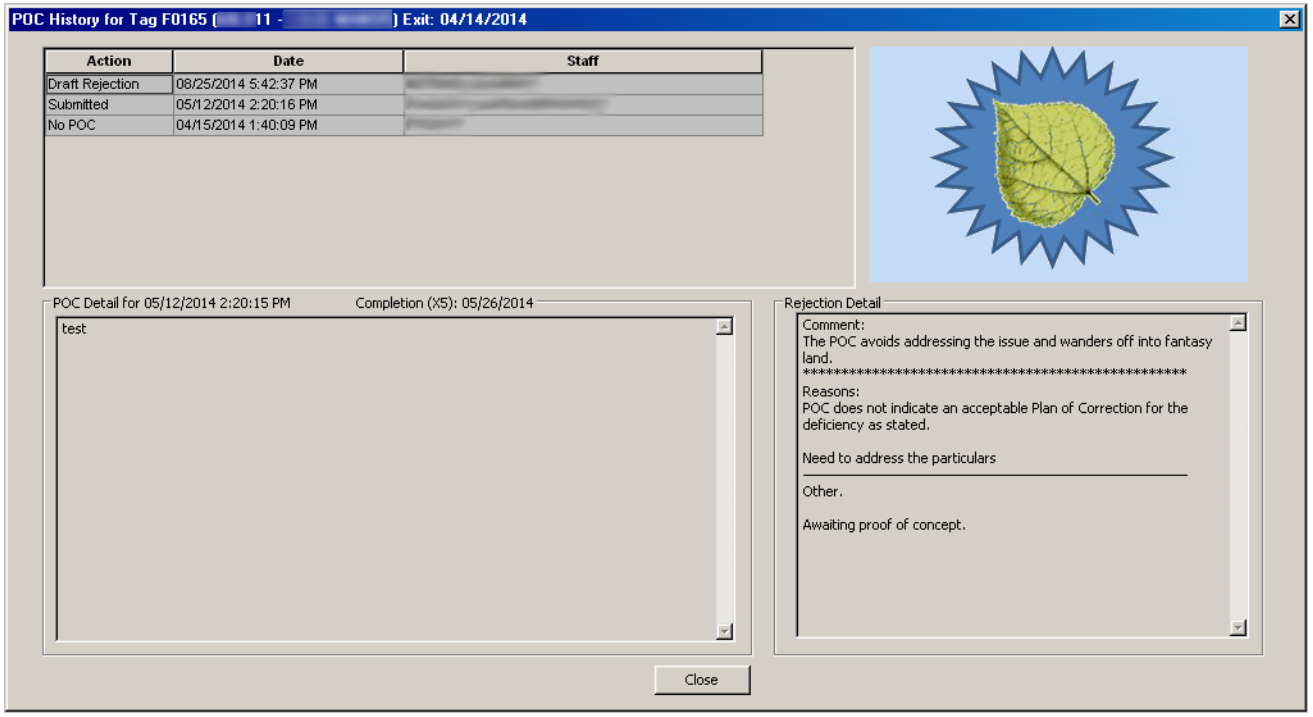


Figure 21: POC History for Tag window

Citation Manager

For detailed information about the Citation Manager, refer to the *ACO Procedures Guide*. The latest version is posted at https://qtso.cms.gov.

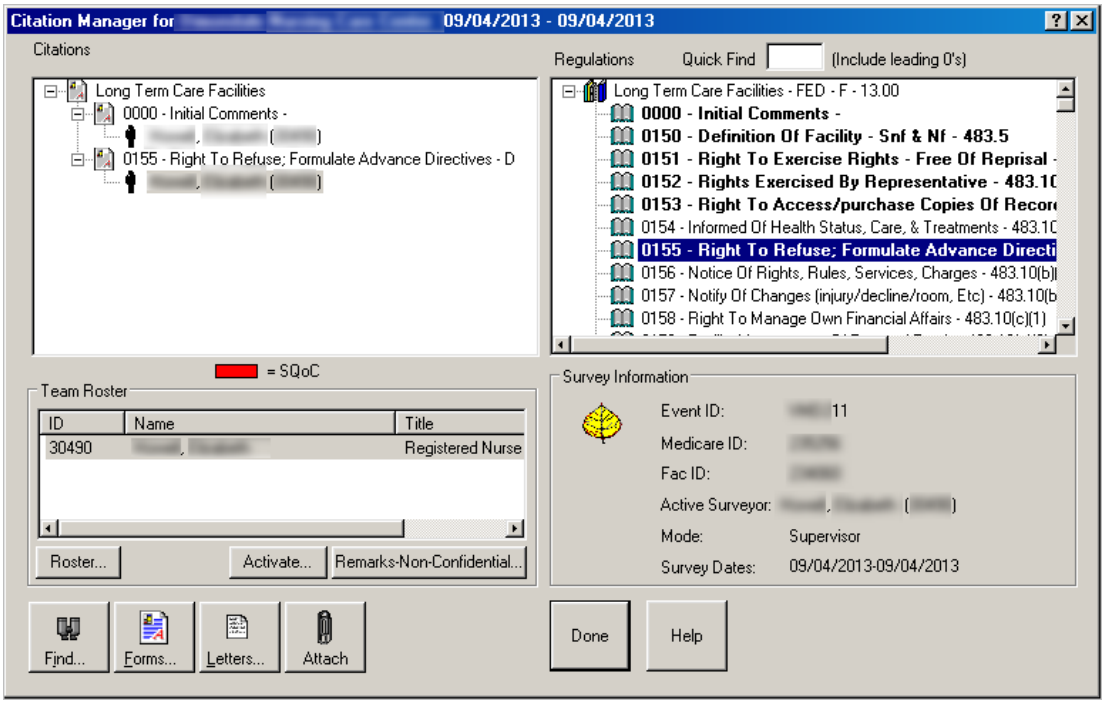


Figure 22: Citation Manager

Select Form(s) ...

For detailed information about the Select Form(s) ... screen, refer to the ACO or ACTS Procedures Guide. The latest versions are posted at https://qtso.cms.gov.

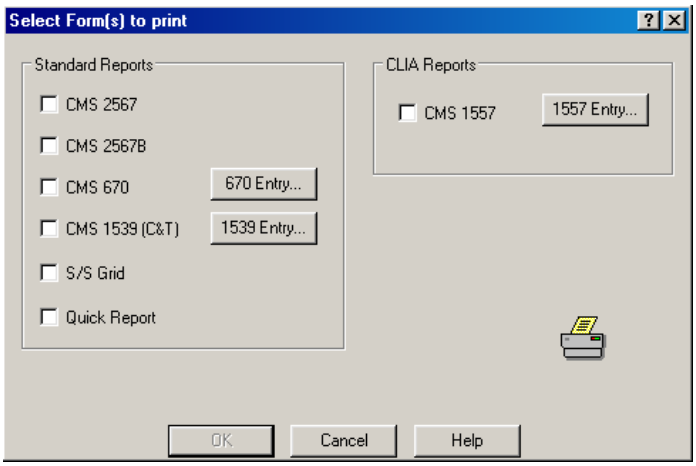


Figure 23: Survey Form(s) to print dialogue

ePOC Attachments window

This screen can be opened from POC Approval and Rejection or via Citation Manager for ePOC-enabled providers. It displays:

- Files the facility attached via ASPEN Web: ePOC to support the Plan of Correction until final POC approval
- ePOC-related files the SA/RO attached to the survey at any time

The **Save All Attachments** button allows you to save all the ePOC attachments to local or network drive at the same time.

Note: You will be able to access ePOC attachments (facility and SA/RO) to surveys closed in ASPEN 11.9.4.2 or later. Attachments to surveys closed before 11.9.4.2 were deleted and cannot be restored.

Fields: "ePOC Attachments", on page 96

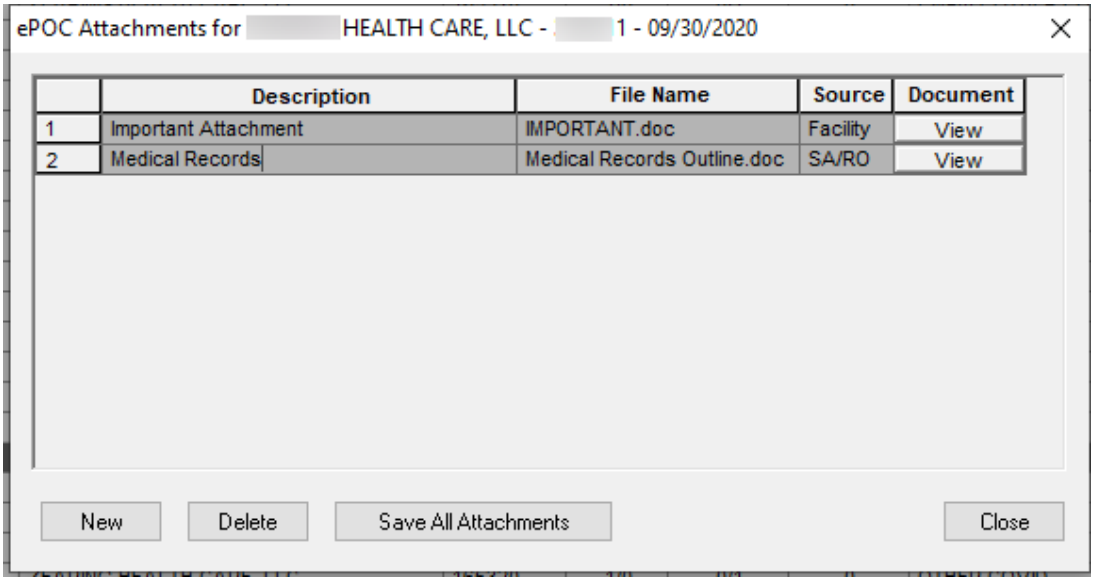


Figure 24: ePOC Attachments window

Report Customization window

This window opens automatically when you select an ePOC management report from the Reports menu. You can set multiple filters to narrow the focus of the selected report to your requirements. The name of the report appears as the title of the customization window.

Fields: "Report Customization", on page 97

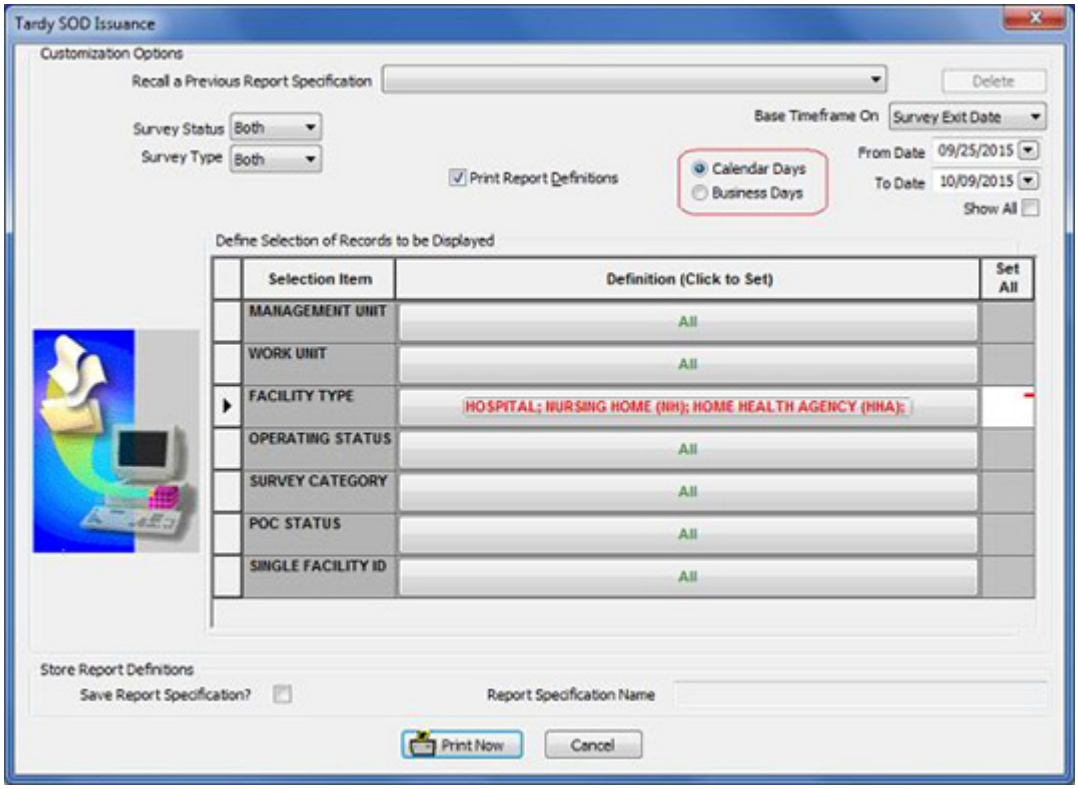


Figure 25: Report Customization window for Tardy SOD Issuance report

Note: The Calendar/Business Days options appear only for the Tardy SOD Issuance report.

The customization options are somewhat different for the ePOC Web Users Reports.

Fields: "Report Customization", on page 97

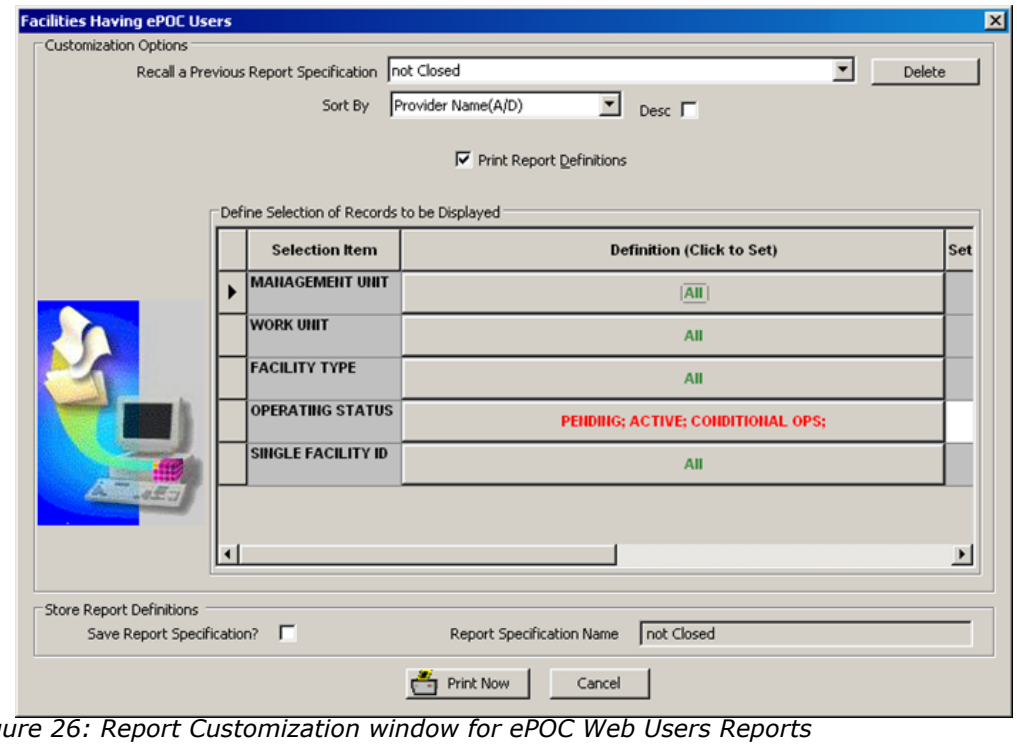


Figure 26: Report Customization window for ePOC Web Users Reports

ePOC Fields and Buttons

For each field or button in a window or section of window, the name is given followed by a description. Their order corresponds to the order of the screen graphics in the previous chapter, ePOC Screens. Function buttons not included within a section are listed under the heading Buttons.

Configuration Fields

State Customization

Enable ePOC for

You can enable ePOC for Health surveys, LSC surveys, both, or neither.

ePOC Information

This section is on the Facility Definition tab of Facility Properties.

ePOC Activation Date

Activates ePOC for an individual facility. When set, the date must be within the last 13 working days.

Disabled by default; press Enable button to enter or change the activation date.

Surveys of the facility with an exit date prior to the ePOC Activation Date cannot be posted to ASPEN Web: ePOC. If you change the date for a facility with survey(s) already posted to ePOC, a message tells you this after you press OK in Facility Properties; the survey(s) will continue to be active on the ePOC website and in ASPEN. You *cannot* revert to the original activation date.

Enable

Click to enable the ePOC Activation Date field. If ePOC has not been activated for the state, clicking this button will not enable the field.

Web Users

Opens the ePOC Web Users window, which lists facility users who have access to ASPEN Web: ePOC.

ePOC Web Users

Name

Name of the facility web user.

User ID

Facility user's ASPEN Web login ID.

Email

Email address of the facility web user.

Phone

Phone number of the facility web user.

Save As Facility Emergency Contact

Click button to enter selected facility web user's information in Contact Information section on Facility Definition tab. Current contact information, if any, is overwritten.

ePOC Facility Maintenance

This section is under **System** | **System Configuration**.

Filter

Primary Type

Displays all facilities of selected type. Nursing Home is currently the only primary type supported by ASPEN Web: ePOC.

Management Unit

Displays facilities assigned to selected Management Unit in Facility Properties.

Team

Displays facilities assigned to selected Supervisory/Work Unit in Facility Properties.

ePOC Facility Maintenance: Grid

Facility ID

Unique identifier assigned by the state for the facility.

Name

Facility name.

Facility Type

Provider Type entered from Facility Properties.

Medicare ID

CMS Certification Number entered from Facility Properties.

Team

Supervisory/Work Unit assigned in Facility Properties.

Management Unit

Management Unit assigned in Facility Properties.

Activation Date

Date ASPEN Web: ePOC was activated for facility.

Posted

At least one survey is currently posted for the facility (Yes/No).

Select All button

Selects all facilities listed in the grid.

New Activation Date

Enter desired ePOC activation date in the date field for selected facilities.

Set for All Selected button

Sets Activation Date for selected facilities to the specified New Activation Date. When set, the date must be within the last thirteen working days.

If New Activation Date is empty and this button is clicked, then existing activation dates for selected facilities will be cleared.

Note: The Activation Date is not changed or cleared for selected facilities with surveys posted to ASPEN Web: ePOC. Use Facility Properties instead to change the date for individual facilities.

SA/RO Email Recipients/Email Recipient Group

These field descriptions apply to the Email Recipient Groups grid and/or Add/Modify Email Recipient Group windows.

Email Type

POC email type for which SA/RO staff can be recipients, cc'd, or bcc'd.

Fac Type/Primary Facility Type

Primary facility type. Email generated if survey is performed at a facility of the specified type. Currently, Nursing Home is the only primary facility type supported by the ePOC system.

Management Unit/Division

Management Unit(s) that should receive the email. Select specific management unit or All (the default). You can enter the applicable email addresses (individual or group) in the Email Address grid.

Team/Work Unit

Supervisory/Work Unit that should receive the email. Select specific work unit or select All (the default).You can enter the applicable email addresses (individual or group) in the Email Address grid.

Notify Survey Team Members

If selected, sends the email to survey team members (survey specific recipients). Selected by default.

Note: Their email addresses must be specified in the applicable personnel records, *not* in the Email Address grid.

Notify ePOC Responsible Parties

If selected, sends the email to the surveys ePOC responsible parties (assigned via POC Properties, survey-specific recipients). Not selected by default.

Note: Their email addresses must be specified in the applicable personnel records, *not* in the Email Address grid.

SA/RO Email Recipients/Email Recipient Group: Buttons

Add

Select to open Add/Modify Email Recipient Group window and add a new email recipient group.

Modify

Select to open Add/Modify Email Recipient Group window and modify the selected email recipient group.

Delete

Deletes the selected email recipient group.

Recipients for

Email Address grid

Email addresses of non-survey specific recipients in the email group selected in the Email Recipients Groups grid, e.g., management unit. Enter valid individual or group email addresses as applicable in the Add Email Recipient window.

Recipients for: Buttons

Add

Opens Add Email Recipient window. Enter a valid individual or group email address for a non-survey specific recipient in the email group selected in the Email Recipients Groups grid, e.g., management unit.

Modify

Opens Add Email Recipient window, where you can modify the selected email address.

Delete

Removes the selected email address.

ASPEN ePOC Fields

POC Manager

Filter Criteria

Text

Select the appropriate option and enter all or part of the applicable alphanumeric text to filter the POC Manager grid.

Options are:

- Facility Name

  Displays only those facilities where the Facility Name matches the entered text.

- CCN

  Displays only those facilities where the CCN matches the entered text.

- Facility ID

  Displays only those facilities where the Facility ID matches the entered text.

- Survey Event ID

  Displays only those facilities where the Survey Event ID matches the entered text.

Start Date

To filter by Exit Date range, enter desired begin date of exit date range. Default is all surveys within the last six months.

End Date

To filter by Exit Date range, enter desired end date of exit date range. Default is all surveys within the last six months.

Survey POC Status

Filter options are:

- Open - survey is currently active in the ePOC process
- Closed - POCs for all tags on the survey have been approved and survey is not active in the ePOC process
- Stopped - survey has been removed from the ePOC process

Select one or more options. Default is Open.

Citation POC Status

Filter options are:

- No POC - tag (citation/deficiency) posted to ASPEN Web: ePOC but facility has not yet submitted POC
- Submitted - facility has submitted tag-level POC
- SA/RO Draft - SA/RO user has drafted approval/rejection of tag-level POC but not posted it to ASPEN Web: ePOC
- Rejected - SA/RO has rejected tag-level POC and posted rejection to ASPEN Web: ePOC
- Approved - SA/RO has approved tag-level POC and posted approval to ASPEN Web: ePOC

Select one or more options. Defaults are Submitted and SA/RO Draft.

Survey Type

Filter options are: All, Health, LSC. Default is All.

Surveyor

To display surveys that include a specific surveyor on the survey team, select that surveyor. List includes all non-terminated surveyors - SA, RO, and CO.

Responsible Party

To display surveys to which a specific staff member is assigned as an ePOC responsible party, select that responsible party. List includes all non-terminated staff - SA, RO, and CO - assigned as an ePOC responsible to any survey.

FMS Survey

Choose whether or not to display FMS surveys. Options are:

- Include Only FMS Surveys
- Exclude FMS Surveys
- All (includes FMS and other surveys)

Default is All.

Click to apply specified filter criteria.

Refresh button

Refreshes the view to display only those surveys matching the specified filter criteria.

POC Manager: Grid

Event ID

Unique identifier assigned by ASPEN when the survey is created.

Exit Date

Final date of survey as entered in Survey Properties.

SOD Sent

Date survey was posted (released) to ASPEN Web: ePOC. Automatically set to the current date as soon as the survey is posted.

Name

Name of provider.

CCN

CMS Certification Number.

Def/Appr

Number of deficiencies on survey/number of deficiencies with an approved POC. Tags not posted are excluded from the counts.

Pending SA/Fac

Number of deficiencies pending SA review/number of deficiencies pending facility submission of the POC. Tags not posted are excluded from the counts.

Unposted

Number of deficiencies on the survey that have not been posted to ASPEN Web: ePOC.

Category

Type of Survey entered from Survey Properties.

POC Due

Date by which the POC for all tags on the survey should be submitted by the provider. Set to the Sent Date plus 10 calendar days when the survey is posted to ASPEN Web: ePOC *unless* SA/RO sets this date *before* posting the survey.

Locked?

Indicates whether the survey is locked for updates.

Stopped?

Indicates whether the survey has been stopped and is not currently in the POC process.

Type

Provider Type entered from Facility Properties.

Facility ID

Unique identifier assigned by the state for the facility.

Team Desc

Short Name of Supervisory/Work Unit responsible for the provider as assigned on Associations tab of Facility Properties.

POC Manager: Buttons

POC Approve/Reject

Opens the POC Approval and Rejection window for the highlighted survey.

ePOC Properties

Opens the POC Properties window for the highlighted survey.

Stop Survey

Removes the highlighted survey from ASPEN Web: ePOC. Stopping a survey also excludes the survey from ePOC tardiness emails and reports.

Toggles to Un-stop Survey for a stopped survey.

ePOC Attachments

Opens the ePOC Attachments window from which you can access all ePOC attachments (SA/RO and facility) at any time for 11.9.4.2 and later surveys. If ePOC attachments exist, a number is displayed between parentheses on the button.

Citation Manager

Opens the Citation Manager for the highlighted survey.

Report Selection/Report

Drop-down lists available reports. Click the Report button to print the selected report. Button is disabled if changes are made to Filter Criteria at the top of the screen. Click the Refresh button to apply the filtering criteria and enable the Report button.

Close

Closes the POC Manager window.

POC Properties

Citations for ePOC Display grid

Select

Checkmark indicates tag is to be or has been posted to ASPEN Web: ePOC. All tags are initially selected by default with Posted date set to Not Posted. De-select any tags you do not want to post. When the survey/tags are posted or re-posted, the Posted field is populated with the posting date. Tags that have been removed due to hearing/settlement appear with a strike-through line on the text in a list view.

Reg

Regulation set(s) that apply to the survey, entered from Survey Properties.

Bld

Building ID for the tag cited, entered from Citation Properties. For Health surveys, 00 always displays.

Tag

Tag cited for the survey, entered from Citation Manager.

Type

Tag type, entered from Citation Manager.

Description

Tag title, entered from Citation Manager.

S/S

Scope/Severity for the tag, entered from Citation Manager.

Cert

Indicates whether the tag is included in a certification kit (Y/N).

Cmplnt

Indicates whether the tag is included in an intake (Y/N).

Completion (X5)

Date provider indicates as the deficiency correction date. If this date is more than six months after the survey exit date, an overridable message appears when the provider saves the POC as pending or submits it as final.

Posted

Date the tag was posted to ASPEN Web: ePOC. “Not Posted” appears for a tag that has not been posted or has been removed from posting.

Changed

Indicates whether the tag was changed since being posted to ASPEN Web: ePOC.

POC Buttons/Dates

Post on ePOC Website

Posts the survey to ASPEN Web: ePOC. Can also be used to re-post a survey once a Reason for Re-posting (see below) is entered and when at least one citation has been changed since posting.

Note: If you are trying to post or re-post a survey for a facility without active ePOC users, a message appears and the posting is halted.

Remove Posting

Removes the survey from ASPEN Web: ePOC once a reason for removing the posting (see below) is entered.

Note: If you remove a closed survey from posting, it is automatically re-opened. A message reminds you to close and lock the survey when finished with changes.

Reason for Re-posting or Removing Posting

Indicate reason for re-posting or un-posting the survey on ASPEN Web: ePOC. If applicable, this text is included in the Survey Results Re-Posted email.

SOD Sent Date/Change

Date the Statement of Deficiencies was sent to the provider. Automatically set to the current date as soon as the survey is posted to ASPEN Web: ePOC.

Click **Change** to change the SOD Sent Date.

Post Date/hx

Date the survey was posted to ASPEN Web: ePOC. Automatically entered when the survey is posted.

The hx button opens the ePOC History window, which displays posting history for a survey with Type, Date, and Reason (if available) for each posting.

POC Due/Change

Date by which the facility should submit the POC for all tags on the survey. Automatically set to the Sent Date plus 10 calendar days when the survey is posted to ASPEN Web: ePOC *unless* SA/RO sets this date *before* posting the survey.

Click Change to change the POC Due date. Can click Change to set POC Due date *before* survey is posted.

Approval/Change

Date of final approval of all POCs. Set to the date the POC for the last tag was approved.

Note: When the POC for the last tag is approved, ASPEN automatically closes the survey and the facility receives a Final Approval email.

Survey Letters for ePOC Display

Survey letters generated here or elsewhere in ASPEN are listed, including any enforcement letters related to the survey as well as intake letters linked to the survey with the facility as the recipient.

Note: Enforcement and intake letters are created in AEM and ACTS respectively. Do ***not*** generate enforcement or intake letters from POC Properties.

Survey Letters for ePOC Display: Grid

Select

Choose if you want the facility to see the letter on ASPEN Web: ePOC. If a letter is changed; it is automatically updated on ASPEN Web.

Created

Date the letter was created.

Letter ID

Unique identifier assigned by ASPEN when the letter was created in Letter Management.

Description

Name assigned to the letter when the letter was created in Letter Management.

Intake Number

Intake ID assigned to the letter if the letter was created for an intake in ACTS.

Status

Status of the letter (Batched/Printed).

Locked

Locked Status of the letter (Yes/No).

Survey Letters for ePOC Display: Buttons

View/Print

Opens the selected letter for viewing and printing.

New

Select to create a new survey letter. It will be added to the Survey Letters for ePOC Display list to select for posting. Survey letters can be added for a survey already posted to ASPEN Web: ePOC.

Note: Enforcement and intake letters are created in AEM and ACTS respectively. Do ***not*** generate enforcement or intake letters from POC Properties.

Alert Facility

Select to generate the Letter Notification email, which informs the provider that a new or revised survey letter has been posted to ASPEN Web: ePOC.

Enabled only for posted surveys.

Note: The button is enabled for stopped surveys although the email is not sent for stopped surveys.

Responsible Parties

Responsible Parties: Grid

To add a responsible party, click the appropriate button to the right of the Responsible Parties grid, and select an individual or team from the drop-down list. POC Responsible Parties receive SA/RO-targeted emails (if so configured via the SA/RO Email Recipients settings) throughout the POC process. Also, the POC Manager supports filtering to display only surveys solely for which the current user is a responsible party.

Responsible Parties: Buttons

Add S.A.

Displays Select SA Member window to allow users to select an SA member to be the responsible SA.

Add R.O.

Displays Select RO Member window to allow users to select an RO member to be the responsible RO.

Add Facility Team/Work Unit

Adds all members of the facility Team/Work unit (as selected in Facility Properties) as responsible parties.

Add Survey Team

Adds all members of the survey team (as selected in Survey Properties) as responsible parties.

Add Intake Resp Parties

Adds all responsible parties assigned to intake(s) linked to the survey as POC responsible parties. A message appears if no intakes are linked to the survey or no responsible parties are assigned to linked intakes.

Delete

Deletes the highlighted responsible party.

Status

Posted

POC post date.

Provider First View

Date the provider first viewed the POC.

By Web User

Read-only. Name of the facility web user who first viewed the posted survey on the ePOC website.

POC Status

Current POC status. Options are: Open, Closed, Stopped.

Locked

Locked Status of the POC (Locked/Unlocked).

Unlock Survey for SA/RO Updates button

Unlocks the survey without removing the posting to allow users to update the survey. Button toggles to Lock Survey to Prevent SA/RO Updates when the survey is unlocked.

Note: If you unlock a closed survey, it is automatically re-opened. A message reminds you to close and lock the survey when finished with changes.

Stop Survey

Removes the survey from ASPEN Web: ePOC. Stopping a survey also excludes the survey from ePOC tardiness emails and reports.

Toggles to Un-stop Survey for a stopped survey.

Status: Buttons

These buttons are at the bottom of the POC Properties window.

POC Tracking

Opens the POC Tracking window. Enabled only if POC information was entered before the facility was activated for ePOC.

POC Approve/Reject

Opens the POC Approval and Rejection window.

ePOC Attachments

Opens the ePOC Attachments window from which you can access all ePOC attachments (SA/RO and facility) at any time for 11.9.4.2 and later surveys. If ePOC attachments exist, a number is displayed between parentheses on the button.

Report Selection/Report

Drop-down lists available reports. Click the Report button to print the selected report.

Close

Closes POC Properties window.

ePOC History

Type

Type of posting: Initial, Removed, Repost.

Date

Date and time of posting.

Reason

Reason for posting. “Initial” is automatically entered as the reason for the Initial posting.

Close button

Closes ePOC History window.

View button

Opens Reason Text window with full reason text for selected posting.

POC Approval and Rejection

Deficiencies grid

Tag

Tag cited for the survey, entered from Citation Manager.

S/S

Scope/Severity for the tag, entered from Citation Properties.

POC Status

POC Status for the tag.

POC Date

Date the POC was submitted by the facility.

Completion (X5)

Date by which the provider indicates the deficiency will be corrected.

Title

Tag title.

Posted

Date the tag was posted to ASPEN Web: ePOC. If no date, the tag has not been posted and has not yet been seen by the facility.

Changed

Indicates whether the tag was changed since it was posted to ASPEN Web: ePOC.

IDR Status

Displays current IDR status of the tag. Tags that have been removed due to IDR or Hearing/Settlement appear with a strike-through line on the text.

CFR

Displays CFR for the tag.

Deficiency [tag number]: Detail

Read-only text box that displays regulation and deficiency text.

View Posted button

A warning message and this button appear if the posted version is different; click button to view the posted version.

Plan of Correction

Read-only text box that displays the facility's plan of correction text as entered on ASPEN Web: ePOC.

Note: If the POC completion date (X5) for a POC is more than 6 months after the survey exit date, a warning message is displayed under the Plan of Correction panel.

POC Buttons

Approve

Opens the POC Approval window for draft or final approval of the POC for the selected tag. Enabled if the status of the tag is Submitted, Draft Approval, or Draft Rejection. Disabled for comment/memo tags (0000 and 9999) or if there is no Posted date for the tag.

Reject

Opens the POC Rejection window for draft or final rejection of the POC for the selected tag. Enabled if the status of the tag is Submitted, Draft Approval, or Draft Rejection. Disabled for comment/memo tags (0000 and 9999), if POC Status is No POC, or if there is no Posted date for the tag.

History

Opens the POC History for Tag window with submission and approval/rejection history for the POC. Disabled for comment/memo tags (0000 and 9999), if POC Status is No POC, or if there is no Posted date for the tag.

Remove Approval

Allows a user to remove the approval for the POC. Button is enabled only for tags in Approved status. Removing the approval for a POC instantly rejects the tag, sending a POC Rejection email to the facility.

POC Approval and Rejection: Buttons (bottom of screen)

Survey Forms

Opens the Select Form(s) to print window, from which you can print survey-related forms. You can still access the Select Form(s) to print window if a survey is locked.

ePOC Attachments

Opens the ePOC Attachments window, from which you can access ePOC-related documents attached to the survey by the facility until final POC approval or by the SA/RO at any time.

Finalize Drafts

Finalizes all tags in Draft Approval or Draft Rejection status and sends the appropriate email to the facility for all tags. When rejection reason/explanation text exists, it is saved and included in the POC Rejection email.

Close

Closes the POC Approval and Rejection window.

POC Approval

Comments

Allows you to enter free-form text about the approval of the POC. The comments are for internal SA/RO users only and displayed only in the POC History for Tag window. They are not included in emails or displayed in ASPEN Web: ePOC. The facility will not see any comments.

POC Approval: Buttons

Save as Draft

Saves preliminary approval information as draft, allowing for final approval at a later time. The status of the POC is set to Draft Approval.

Final Approval

Approves the POC for the tag, setting the status of the POC to Approved.

When the SA/RO has approved the POCs for all deficiencies on the survey, ASPEN automatically closes the survey and the facility receives a Final Approval email. You will still be able to access ePOC attachments (facility and SA/RO) to surveys closed after final POC approval in ASPEN 11.9.4.2 or later. The survey can be re-opened if needed (e.g,. for IDR) via Survey Properties.

Cancel

Deletes any information entered in the Comments field and closes the POC Approval window.

POC Rejection

POC Rejection: Grid

Selection

Allows the user to select the associated rejection reason. At least one rejection reason must be selected to reject the POC for the tag.

Reason

Select one or more reasons (by clicking associated Selection checkboxes) to reject the POC for the tag. Selected reasons are included in the POC Rejected email to the facility and displayed in ASPEN Web: ePOC. When you select a Reason, the corresponding Explanation text field is enabled.

For licensure-only surveys, state-specific rejection reasons may be listed as well as federally specified reasons. They will appear only if a state licensure regulation set is assigned to the survey and a state tag is cited. State-specific rejection reasons are defined in System | Lookup Values | Dictionary | EPOC_SURVCITE_RJCT | RJCT_CD; the displayed Reason text must be entered as Extra Info in the Input Lookup Values window.

Explanation

Enter an explanation (up to 200 characters) of why the rejection reason was selected. Required for rejection reason Other; optional otherwise. Included in the POC Rejected email to the facility and displayed in ASPEN Web: ePOC.

Note: If a reason is deselected, the explanation text is removed.

Comments

Allows you to enter free-form text about a rejection of the POC. The comments are for internal SA/RO users only. The facility will not see any comments. They are not included in emails or displayed in ASPEN Web: ePOC.

POC Rejection: Buttons

Save as Draft

Saves preliminary rejection information as draft, allowing for final rejection at a later time. The status of the POC is set to Draft Rejection.

Final Rejection

Rejects the POC for the tag, setting the status of the tag to Rejected.

Cancel

Cancels any information entered and closes the POC Rejection window.

POC History for Tag

POC History for Tag: Grid

Action

POC action, e.g., No POC, Rejected. An action on a reposted tag is clearly identified, e.g., Rejected (repost).

Date

Date the action was performed.

Staff

Name or ID of staff member (facility or SA/RO) who performed the action.

POC Detail

for <Date>

Date from Date column for action selected in grid.

Completion (X5)

As applicable for the action selected in grid, completion date for associated POC as specified by facility in ASPEN Web: ePOC.

POC text

For the action selected in grid, text of associated POC (if any) entered by facility in ASPEN Web: ePOC.

Approval Comments/Rejection Detail

As applicable for the tag selected in the grid, displays approval comments or rejection comments and rejection reasons/explanations entered by the SA/RO. Neither section is displayed if not applicable, e.g., selected action is No POC.

All comments are for internal SA/RO users only; facility users will not see them. Facility users *can* view final rejection reasons/explanations in ASPEN Web: ePOC.

Citation Manager

For detailed information about the Citation Manager, refer to the *ACO Procedures Guide.* The latest version is posted at https://qtso.cms.gov.

Survey Forms

For detailed information about the Survey Forms screen and the forms, refer to the *ACO Procedures Guide*. The latest version is posted at https://qtso.cms.gov.

ePOC Attachments

ePOC Attachments: Grid

Description

Optional. User-defined description of the ePOC attachment.

File Name

File name and extension of the ePOC attachment.

Source

Indicates whether the ePOC-related file was attached by the SA/RO or Facility.

Document: View

Button opens an existing facility or SA/RO ePOC attachment. Some attachment types open minimized, so check your Task bar if you do not see the attachment item.

ePOC Attachments: Buttons

Save All Attachments

Button allows you to save all the ePOC attachments (facility and SA/RO) to a local or network drive location, in a .zip file format. The default file name is the survey eventID.zip. If you are saving the ePOC attachments to the same location where a previous version of the saved ePOC attachments file already exists, the previous file version is overwritten unless the .zip file is given a unique name.

Note: You will be able to access ePOC attachments to surveys closed after final POC approval in ASPEN 11.9.4.2 or later even if they have not been saved elsewhere.

New

Use this button to add an SA/RO ePOC attachment. The Add ePOC Attachment window opens, where you can enter the optional Description and locate the file to attach.

Delete

Button deletes the selected SA/RO ePOC attachment. You are asked to confirm the deletion.

Close

Closes the ePOC Attachments window and returns you to the Attachment Documents/Survey Attachment Documents window.

Report Customization

Customization Options

Recall a Previous Report Specification

Lists saved report specifications. Select one to set filter criteria accordingly.

Delete button

Deletes the selected report specification after confirmation.

Sort By

Appears only for ePOC Web Users Reports. Choose desired option: Facility Type(A/D) or Provider Name(A/D). A/D means the report can be sorted in ascending or descending order by the selected option.

Desc

Appears only for ePOC Web Users Reports. Select to sort the report in descending order. Not selected by default.

Survey Status

Choose desired option: Both, Open, or Closed.

Not available for ePOC Web Users Reports.

Survey Type

Choose desired option: Both, Health, or LSC.

Not available for ePOC Web Users Reports.

Print Report Definitions

Select this checkbox to print specified filter criteria and a Survey Category Key (i.e., list) on the last page of the report.

Note: The Survey Category Key does not appear in ePOC Web Users Reports.

Calendar Days/Business Days

These radio buttons appear only for the Tardy SOD Issuance report, but they are disabled unless the Facility Type filter (below) includes any facility types not enabled for ePOC, i.e. any type other than NH. When enabled, use to specify which 10-day time period to use for non-ePOC surveys to include on the report.

Base Timeframe On

Select a date to base a time range on. Options are:

Survey Exit Date

Sent, POC Due

POC Received

POC Approval

Not available for ePOC Web Users Reports.

From Date

Start date of the time range.

Not available for ePOC Web Users Reports.

To Date

End date of the time range.

Not available for ePOC Web Users Reports.

Show All

Select to include all dates of the selected type.

This option does not appear for ePOC Web Users Reports.

Define Selection of Records

Management Unit

Click the Definition button to open the Management Unit window where you can select those you want to include.

Work Unit

Click the Definition button to open the Work Unit window where you can select those you want to include.

Facility Type

Click the Definition button to open the Facility Category window where you can select those you want to include.

Operating Status

Click the Definition button to open the Operating Status window where you can select those you want to include.

Survey Category

Click the Definition button to open the Type of Actions window where you can select those you want to include.

This filter does not appear for ePOC Web Users Reports.

POC Status

Click the Definition button to open the Citation POC Status Filter window where you can select the ePOC Survey Status and ePOC Citation Status option(s) you want to include. Also choose whether to include “Surveys with at least one citation meeting selected status” or only “Surveys with all citations meeting selected status”.

This filter does not appear for ePOC Web Users Reports.

Single Facility ID

To generate a report for a particular facility, click the Definition button to open the Find Facility ID window where you can search for and select the desired facility.

Set All

To change the setting for a filter on the Definition button back to All, click the little red bar in the Set All column. You may have to scroll right to see the bar.

Set All is grayed out when Definition = All.

Store Report Definitions

Save Report Specification?

Select this checkbox to save the current set of criteria for later use.

Report Specification Name

Enter the name of current report specification, which you are saving.

Print Now

Click this button to generate the report, which will reflect the current set of filtering criteria.

Supporting Materials

The following reference items are included in this chapter:

- Updated ASPEN fields
- ePOC emails
- Windows and ASPEN Web: ePOC keyboard shortcuts

Updated POC-related Fields in ASPEN

The electronic POC process automatically updates several tag level and survey level POC-related fields in ASPEN.

ASPEN Tag Level POC Fields

ePOC updates the following ASPEN tag level POC fields when a POC is submitted. These fields are updated only upon submission of a tag. The fields are not updated when a user saves the POC as a draft. When a Revisit is created, these fields do not carry forward from the prior survey.

POC Text (SurvCite.POC)

Set to the POC text submitted by the facility.

POC Submitted Date (SurvCite.POCDate)

Set to the first date the provider submits the POC for the tag. If a tag is rejected and POC resubmitted, the POC Date is not updated.

POC Approval Date (SurvCite.POCAppr)

Set to the date the final POC for the tag is approved.

POC Complete Date (X5) (SurvCite.CompleteDt)

Set to the date the facility indicates the POC will be completed for the tag.

ASPEN Survey Level POC-related Fields

ePOC updates the following ASPEN survey level POC-related fields as indicated:

Sent Date (Survey.POCSent)

Set to the current date as soon as the SA/RO posts (releases) the survey to the ePOC facility web site.

POC Due date (Survey.POC_Due_dt)

Date the POC for all tags on the survey is due. Set to the Sent Date plus 10 calendar days when the survey is posted to ASPEN Web: ePOC *unless* SA/RO sets this date *before* posting the survey. Not reset on re-posting.

2567/B Entry Complete (SURVEY.CMPLT_2567_SW)

Indicates all 2567 or 2567B data entry in ASPEN is complete. Checkbox selected when the survey is posted to ASPEN Web: ePOC if it is not already selected.

POC Received Date (Survey.POCRecvd)

Set to the date when the facility has submitted a Plan of Correction for all deficiencies on a survey that require a POC.

Survey's POC Approval date (Survey.POCAppr)

Set to the date the final POC for the last tag is approved.

Survey's Admin Signoff (X6) date (Survey.Admsignoff)

Set to the date when the facility has submitted a Plan of Correction for all deficiencies on a survey that require a POC.

Note: Certification kits and investigations including ePOC surveys without federal tags (deficiency-free or only state tags cited) do not require a POC, but will successfully upload if a Signoff date exists.

---

ePOC Emails

This section contains descriptions and the text of the automatically generated ePOC email notices that SA/RO and/or facility users may receive. The Letter Notification email is optionally generated by the SA/RO.

The state abbreviation is included in the subject line for all ePOC emails, and the provider's CCN is included in the body of the email. The Def-free attribute indicates whether the email is generated for a deficiency-free survey, i.e., a survey with tags 0000 and 9999 only.

Note: ePOC sends facility emails to ePOC-enrolled facility users who have logged into ePOC within 180 days, whether they are now active or inactive.

Survey Results Posted - SA/RO

Recipient

SA/RO

Facility Types

Nursing Home

Frequency

Within an hour after release to provider in ASPEN.

Def-free*

Yes, if Acknowledgment required for the primary type.

Sample Email

Subject: SOD Posted to ePOC for State IA: DDD711 - ABC HEALTH CARE CENTER (Survey Completed 05/15/2013)

Facility: 111111/ABC HEALTH CARE CENTER

Facility Type: SNF/NF

Survey Category: CMPIVT

Survey Dates: 05/15/2013 - 05/15/2013

Event ID: DDD711

The Statement of Deficiencies (SOD) for this survey has been posted on the ASPEN Web: Electronic Plan of Correction (ePOC) website, and the facility has been notified via email that a SOD is available for review and Plan of Correction submission.

Please do not reply to this message.

Thank you.

Survey Results Posted to Facility

Recipient

Facility

Facility Types

Nursing Home

Frequency

Within an hour after release to provider in ASPEN.

Def-free*

Yes, if Acknowledgment required for the primary type.

Sample Email

Subject: Statement of Deficiencies Posted for State IA:

DDD711 - ABC HEALTH CARE CENTER (Survey Completed 05/15/2013)

Facility: 111111/ABC HEALTH CARE CENTER

Facility Type: SNF/NF

Survey Category: CMPIVT

Survey Dates: 05/15/2013 - 05/15/2013

Event ID: DDD711

Plan of Correction (POC) Due Date:05/25/2013

The Statement of Deficiencies for the survey completed at your facility on the above referenced date has been posted on the ASPEN Web: Electronic Plan of Correction (ePOC) website. Please login to the CMSNET VPN, click on the bookmark labeled 'CMS QIES Systems for Providers', then click on the Aspen Access (ePOC) hyperlink to review the deficiencies, and to enter Plan of Correction (POC) information, if required.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

Survey Results Re-Posted to Facility

Recipient

Facility, cc SA/RO

Facility Types

Nursing Home

Frequency

Within an hour after survey re-posting in ASPEN.

Def-free*

Yes, if Acknowledgment required for the primary type.

Sample Email

Subject: Statement of Deficiencies () Re-posted: DDD711 – ABC HEALTH CARE CENTER (Survey Completed 03/23/2013)

Facility: 111111/ABC HEALTH CARE CENTER

Facility Type: SNF/NF

Survey Category: CMPIVT,OTHER

Survey Dates: 03/22/2013 - 03/23/2013

Event ID: DDD711

Reposting Date: 05/14/2013

The results of survey completed at your facility on 03/23/2013 have been revised and re-posted on the ASPEN Web: Electronic Plan of Correction (ePOC) website. Please login to the CMSNET VPN, click on the bookmark labeled 'CMS QIES Systems for Providers', then click on the Aspen Access (ePOC) hyperlink to review the changes made to the following citations and re-submit the Plan of Correction information, if needed:

- Tag 0151-RIGHT TO EXERCISE RIGHTS - FREE OF REPRISAL
- Tag 0156-NOTICE OF RIGHTS, RULES, SERVICES, CHARGES

<Reason for Reposting text>

Please note that re-posting of this survey will not delay the imposition of any possible Federal remedies or sanctions. Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

Facility POC Initially Submitted

Recipient

Facility, cc SA/RO

Facility Types

Nursing Home

Frequency

Once. Within an hour after facility *first* submits POC for a tag.

Def-free*

No

Sample Email

Subject: Facility POC Submission for Tag 0176 for State IA – DDD711 - ABC LUTHERAN HOSPITAL (Survey Completed 02/27/2013)

Facility: 111111/ABC LUTHERAN HOSPITAL

Facility Type SNF

Survey Dates:02/27/2013 - 02/27/2013

Event ID: DDD711

Your Plan of Correction (POC) for Tag: 0176/RESIDENT SELF-ADMINISTER DRUGS IF DEEMED SAFE was received via the ASPEN Web: Electronic Plan of Submission website on 04/09/2013.

If you feel this POC was submitted in error, please contact your state survey agency or CMS Regional office immediately.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

Facility POC Resubmitted for Tag Email

Recipient

Facility, cc SA/RO

Facility Types

Nursing Home

Frequency

Within an hour after facility submits a revised POC for a rejected tag. Generates as many times as facility resubmits POC for a rejected tag.

Def-free*

No

Sample Email

Subject: Facility POC Resubmitted for Tag 0176 – DDD711- ABC LUTHERAN HOSPITAL (Survey Completed 02/27/2013)

Facility: 111111/ABC LUTHERAN HOSPITAL

Facility Type SNF

Survey Dates: 02/27/2013 - 02/27/2013

Event ID: DDD711

Your revised Plan of Correction (POC) for Tag:0176/RESIDENT SELF-ADMINISTER DRUGS IF DEEMED SAFE was received via the ASPEN Web: Electronic Plan of Correction website on 04/19/2013.

If you feel this POC was submitted in error, please immediately contact your state survey agency or your CMS Regional office if this was a Federal survey.

Please do not reply to this message.

Thank you.

Facility POC Submitted for All Tags Email

Recipient

SA/RO

Facility Types

Nursing Home

Frequency

Once. Within an hour after facility has submitted a POC for the final tag on a survey, even if other tags are already approved or rejected.

Def-free*

No.

Sample Email

Subject: Facility POC Submission All Tags for State IA – DDD711 - ABC LUTHERAN HOSPITAL (Survey Completed 02/27/2013)

Facility: 111111/ABC LUTHERAN HOSPITAL

Facility Type: SNF

Survey Dates: 02/27/2013 - 02/27/2013

Event ID: DDD711

Please note that Plans of Correction (POC) for all tags on the referenced survey above have been submitted and received as of 07/07/2013 (i.e. date facility submitted to the SA/RO the last outstanding POC for the survey).

Please do not reply to this message.

Thank you.

POC Rejected by SA/RO

Recipient

Facility

Facility Types

Nursing Home

Frequency

Within an hour after rejection.

Def-free*

No

Sample Email

Subject: POC for Tag #0151 Rejected for State IA: DDD711 – ABC HEALTH CARE CENTER (Survey Completed 03/23/2013)

Facility: 111111/ABC HEALTH CARE CENTER

Facility Type: SNF/NF

Survey Category: CMPIVT,OTHER

Survey Dates: 03/22/2013 - 03/23/2013

Event ID: DDD111

Your Plan of Correction (POC) for Tag: 0151/RIGHT TO EXERCISE RIGHTS - FREE OF REPRISAL was rejected on 05/14/2013 for the following reason(s):

- Does not contain elements detailing how the facility will correct the deficiency as it relates to the individual.
- Does not indicate how the facility will act to protect residents in similar situations.
- Does not include the measures the facility will take or the systems it will alter to ensure that the problem does not recur.
- Other. Awaiting proof of concept.

Please submit a revised POC via the ASPEN Web: Electronic Plan of Correction (ePOC) website. Please login to the CMSNET VPN, click on the bookmark labeled 'CMS QIES Systems for Providers', then click on the Aspen Access (ePOC) hyperlink as soon as possible or by a date that may be specified in comments in ePOC.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

POC Approval by SA/RO

Recipient

Facility, cc SA/RO

Facility Types

Nursing Home

Frequency

Within an hour after approval.

Def-free*

No

Sample Email

Subject: POC for Tag #0156 Approved for State IA: DDD711 ABC LIFE CARE CENTER (Survey Completed 05/06/2013)

Facility: 111111/ABC LIFE CARE CENTER;

Facility Type: SNF/NF

Survey Category: OTHER

Survey Dates: 05/06/2013 - 05/06/2013

Event ID: DDD711

Your Plan of Correction (POC) for Tag: 0156/NOTICE OF RIGHTS, RULES, SERVICES, CHARGES was approved on 05/15/2013.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

Final POC Approved

Recipient

Facility, cc SA/RO

Facility Types

Nursing Home

Frequency

Within an hour of SA/RO approval of last tag.

Def-free*

No

Sample Email

Subject: Final POC Approved for State IA: DDD711 – ABC LIFE CARE CENTER (Survey Completed 05/06/2013)

Facility: 111111/ABC LIFE CARE CENTER

Facility Type: SNF/NF

Survey Category: OTHER

Survey Dates: 05/06/2013 - 05/06/2013

Event ID: DDD711

The Plans of Correction for all tags on this survey have been approved by the SA/RO on 05/15/2013. Please ensure that your Corrective Action Plans are implemented and follow the principles of a Quality Assessment and Performance Improvement (QAPI) plan as monitoring and follow-up may be done by the SA/RO.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

No Response From Facility Email

Recipient

Facility, cc SA/RO

Facility Types

Nursing Home

Frequency

Whichever is greater - 10 calendar days after release to provider, or after the survey POC Due date with no POC received, and every other day thereafter.

Whichever is greater - 3 calendar days after most recent POC rejection, or after the survey POC Due date with no POC received, and every other day thereafter.

Def-free*

No

Sample Email

Subject: Plan of Correction (POC) Due: DDD711 – ABC REHAB AND SKILLED NURSING (Survey Completed 04/18/2013)

Facility: 111111/ABC REHAB AND SKILLED NURSING.

Facility Type: SNF/NF

Survey Category: REVST,FEDMON

Survey Dates: 04/18/2013 - 04/18/2013

Event ID: DDD711

Statement of Deficiencies () Posted Date: 04/18/2013

Plan of Correction POC) Due Date: 04/28/2013

Please note that Plans of Correction (POC) for the referenced survey above will be overdue after the indicated POC Due Date for the following citation tags. Please submit the POC(s) prior to the due date on the ASPEN Web: Electronic Plan of Correction (ePOC) website. Please login to the CMSNET VPN, click on the bookmark labeled 'CMS QIES Systems for Providers', then click on the Aspen Access (ePOC) hyperlink:

- Citation 0151-RIGHT TO EXERCISE RIGHTS - FREE OF REPRISAL
- Citation 0154-INFORMED OF HEALTH STATUS, CARE, & TREATMENTS

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

Tardy Survey Posting

This email excludes stopped surveys.

Recipient

SA/RO

Facility Types

Nursing Home

Frequency

9 business days after exit date and every day thereafter until survey sign-off occurs.

Def-free*

Yes

Sample Email

Subject: Tardy Survey Posting for State IA - Management Unit: MMIII; Team/Work Unit: LTC6 Facility Category: 02 – 05/15/2013

The following surveys are not posted to the ASPEN Web: ePOC and at least 9 business days past their exit date:

Event ID	Exit Date	Fed / State	Survey Cat	Days Since Exit Date	Fac Type	Facility
DDD711	06/08/2011	F/S	A	487	SNF/NF	ABC NURSING & REHAB
DDD711	06/27/2011	F/S	A	474	SNF/NF	ABC CARE CENTER
DDD712	08/11/2011	F/S	AD	442	SNF/NF	ABC CARE CENTER
DDD711	11/04/2011	F/S	IAK	383	SNF/NF	ABC HEALTH CARE CENTER
DDD712	12/06/2011	F/S	IADK	363	SNF/NF	ABC HEALTH CARE CENTER
DDD711	02/10/2012	F/S	A	318	SNF/NF	ABC NURSING & REHAB

Please do not reply to this message. Thank you.

Late POC Review

Recipient

SA/RO

Facility Types

Nursing Home

Frequency

7 business days after submission and once per week thereafter until approval or rejection occurs.

Def-free*

No

Sample Email

Subject: Late POC Review for State IA – Management Unit: MMII - Team/Work Unit: LTC6 - Facility Category: 02 – 05/15/2013

The following tags have submitted Plan of Correction information and have not been reviewed within 5 business days after submission:

Event ID	Exit Date	Federal/ State	Survey Cat	Days Since Submission	Tag	Facility
DDD711	04/10/2013	F	A	8	153	ABC PARK HEALTH SERVICES
DDD711	04/14/2013	F	A	8	152	ABC PARK HEALTH SERVICES
DDD711	04/22/2013	F	A	15	15	BLACK HAWK LIFE CARE CENTER
DDD711	04/22/2013	F	AH	7	12	UNION PARK HEALTH SERVICES
DDD711	04/22/2013	F	AH	7	14	ABC PARK HEALTH SERVICES

Please do not reply to this message.

Thank you.

Acknowledgment Required

Recipient

Facility, cc SA/RO

Facility Types

Nursing Home

Frequency

On POC Due date when acknowledgment not done, and every other day thereafter until acknowledgment occurs.

Def-free*

Yes

Sample Email

Subject: Statement of NO Deficiencies for State IA - Acknowledgment Required: BNBV12 – DUNLAP NURSING & REHAB CENTER (Survey Completed 05/13/2001)

Facility: 165193/DUNLAP NURSING & REHAB CENTER.

Facility Type: SNF/NF

Survey Category: RECERT,REVST,LICEN

Survey Dates: 05/13/2001 - 05/13/2001

Event ID: BNBV12

Acknowledgment Due Date: 04/28/2013

Please note that you are required to acknowledge the Statement of Deficiencies () for the above referenced survey, even though no deficiencies were issued. Your acknowledgment should be made immediately via the ASPEN Web: Electronic Plan of Correction (ePOC) website on the Survey Detail page. Please login to the CMSNET VPN, click on the bookmark labeled 'CMS QIES Systems for Providers', then click on the Aspen Access (ePOC) hyperlink.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

Letter Notification

This email is optionally generated by the SA/RO.

Recipient

Facility

Facility Types

Nursing Home

Frequency

Optional. Within an hour after Alert Facility button is pressed on POC Properties (only for posted surveys) and/or selecting Yes on alert messages.

Def-free*

Yes

Sample Email

Subject: ePOC Letter Notification for State IA: DDD711 - ABC NURSING & REHAB CENTER (Survey Completed 05/13/2013)

Facility Type: SNF/NF

Survey Category: RECERT,REVST,LICEN

Survey Dates: 05/13/2013 - 05/13/2013

Event ID: DDD711

New or revised letters for the survey completed at your facility on the above referenced date have been posted on the ASPEN Web: Electronic Plan of Correction (ePOC) website. Please login to the CMSNET VPN, click on the bookmark labeled 'CMS QIES Systems for Providers', then click on the Aspen Access (ePOC) hyperlink to view these letters.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

Remove Posting from ePOC Website

Recipient

Facility

Facility Types

Nursing Home

Frequency

Within an hour after posting removed.

Def-free*

Yes

Sample Email

Subject: Statement of Deficiencies () Posting Removed for State IA: DDD711 - ABC NURSING & REHAB CENTER (Survey Completed 05/13/2013)

Facility: 111111/ABC NURSING & REHAB CENTER

Facility Type: SNF/NF

Survey Category: RECERT,REVST,LICEN

Survey Dates: 05/13/2013 - 05/13/2013

Event ID: DDD711

The survey completed at your facility on the above referenced date has been removed from the ASPEN Web: Electronic Plan of Correction (ePOC) website for the following reason:

Resolution process cannot be handled in this way.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

Response Due Date Change

Recipient

Facility, cc SA/RO

Facility Types

Nursing Home

Frequency

Within 1 hour of changing the POC Due Date. Email is not generated if the survey is currently stopped.

Def-free*

Yes

Sample Email

Subject: Response Due Date Change for State IA: DDD711 - ABC HEALTH CARE CENTER (Survey Completed 03/23/2013)

Facility: 111111/ABC HEALTH CARE CENTER

Facility Type: SNF/NF

Survey Category: CMPIVT,OTHER

Survey Dates: 03/22/2013 - 03/23/2013

Due Date: 4/03/2013

Event ID: DDD711

The response due date for your Plan of Correction (POC) information or acknowledgement has changed from 04/02/2013 to 04/04/2013 for the survey completed at your facility on 03/23/2013. By the revised due date, please review the deficiencies and enter Plan of Correction (POC) information, if required, on the ASPEN Web: Electronic Plan of Correction (ePOC) website. Login to the CMSNET VPN, click on the bookmark labeled 'CMS QIES Systems for Providers', then click on the Aspen Access (ePOC) hyperlink.

Contact your state survey agency or CMS regional office, as appropriate, with questions regarding this matter.

Please do not reply to this message.

Thank you.

Facility Attachment Added

Recipient

SA/RO

Facility Types

Nursing Home

Frequency

Within 1 hour of attachment.

Def-free*

Yes

Sample Email

Subject: Facility Attachment Added for State IA - DDD711– ABC HEALTH CARE CENTER (Survey Completed 03/23/2013)

Facility: 111111/ABC HEALTH CARE CENTER

Facility Type: SNF/NF

Survey Category: CMPIVT

Survey Dates: 03/23/2013 - 03/23/2013

Event ID: DDD711

The facility has added an attachment, <Attachment file name>, to this survey on the ASPEN Web: Electronic Plan of Correction (ePOC) website. Authorized state survey agency or CMS Regional Office staff may view the attached file in ASPEN Central Office or ASPEN Complaint/Incident Tracking System.

Please do not reply to this message.

Thank you.

No ePOC Users For ePOC Facility

Recipient

SA/RO

Facility Types

Nursing Home

Frequency

Weekly

Sample Email

Subject: No Defined Users for State NY - Facility Category: 02 - 06/30/2016

The following active ePOC facilities have no currently-defined ASPEN Web users:

ePOC Activation Date	FacID	Facility Name	CCN
12-JUN-16	XXXX	ABC CARE CTR	XXXXXX
16-JUN-16	XXXX	ACME Nursing Home	XXXXXX

New ePOC Users Added

Recipient

SA/RO

Facility Types

Nursing Home

Frequency

Daily

Sample Email

SUBJECT: New Users Added for State NY - Facility Category: 02 - 06/28/2016

The following users are new to the ASPEN Web: ePOC:

User ID	First Name	Last Name	Email Address	CCN	Facility Name
JOHN	JOHN	SMITH	smith@yahoo.com	XXXXXX	ABC Nursing Home

Windows Keyboard Shortcuts

Windows keyboard shortcuts are combinations of two or more keys that, when pressed, can perform the same task as using a mouse or other pointing device.

Ease of Access keyboard shortcuts

Press this	To do this
Right Shift for eight seconds	Turn Filter Keys on and off
Left Alt + Left Shift + Prtscn (or PrtScn)	Turn High Contrast on or off
Left Alt + Left Shift + Num Lock	Turn Mouse Keys on or off
Shift five times	Turn Sticky Keys on or off
Num Lock for five seconds	Turn Toggle Keys on or off
Windows log key + u	Open the Ease of Access Center

General keyboard shortcuts

Press this	To do this
F1	Display Help
Ctrl + c (or Ctrl + Insert)	Copy the selected item
Ctrl + x	Cut the selected item
Ctrl + v (or Shift + Insert)	Paste the selected item
Ctrl + z	Undo an action
Ctrl + y	Redo an action
Delete (or Ctrl + d)	Delete the selected item and move it to the Recycle Bin
Shift + Delete	Delete the selected item without moving it to the Recycle Bin first
F2	Edit/Rename the selected item
Ctrl + Right Arrow	Move the cursor to the beginning of the next word
Ctrl + Left Arrow	Move the cursor to the beginning of the previous word
Ctrl + Down Arrow	Move the cursor to the beginning of the next paragraph

Press this	To do this (Continued)
Ctrl + Up Arrow	Move the cursor to the beginning of the previous paragraph
Ctrl + Shift with an arrow key	Select a block of text
Shift with any arrow key	Select more than one item in a window or on the desktop, or select text within a document
Ctrl with any arrow key + Spacebar	Select multiple individual items in a window or on the desktop
Ctrl + a	Select all items in a document or window
F3	Search for a file or folder
Alt + F	Open the file menu for the active window
Alt + Enter	Display properties for the selected item
Alt + F4	Close the active item, or exit the active program
Alt + Spacebar	Open the shortcut menu for the active window
Ctrl + F4	Close the active document (in programs that allow you to have multiple documents open simultaneously)
Alt + Tab	Switch between open items
Ctrl + Alt + Tab	Use the arrow keys to switch between open items
Ctrl + Mouse scroll wheel	Change the size of icons on the desktop
Windows logo key + Tab	Cycle through programs on the task bar by using Aero Flip 3-D
Ctrl + Windows logo key + Tab	Use the arrow keys to cycle through programs on the task bar by using Aero Flip 3-D
Alt + Esc	Cycle through items in the order in which they were opened
F6	Cycle through screen elements in a window or on the desktop
F4	Display the address bar list in Windows Explorer
Shift + F10	Display the shortcut menu for the selected item

Press this	To do this (Continued)
Ctrl + Esc	Open the Start menu
Alt + underlined letter	Display the corresponding menu
Underlined letter	Perform the menu command (or other underlined command)
F10	Activate the menu bar in the active program
Right Arrow	Open the next menu to the right, or open a sub-menu
Left Arrow	Open the next menu to the left, or close a sub-menu
F5 (or Ctrl + r)	Refresh the active window
Alt + Up Arrow	View the folder one level up in Windows Explorer
Esc	Cancel the current task
Ctrl + Shift + Esc	Open Task Manager
Shift	When CD is inserted, prevent it from automatically playing
Left Alt + Shift	Switch the input language when multiple input languages are enabled
Ctrl + Shift	Switch the keyboard layout when multiple keyboard layouts are enabled
Right or Left Ctrl + Shift	Change the reading direction of text in right-to-left reading languages

Dialog Box keyboard shortcuts

Press this	To do this
Ctrl + Tab	Move forward through tabs
Ctrl + Shift + Tab	Move back through tabs
Tab	Move forward through options
Shift + Tab	Move back through options
Alt + underlined letter	Perform the command (or select the option) that corresponds to that letter
Enter	Replaces clicking the mouse for many selected commands

Press this	To do this (Continued)
Spacebar	Select or clear the checkbox if the active option is a checkbox
Arrow keys	Select a button if the active option is a group of option buttons
F1	Display Help
F4	Display the items in the active list
Backspace	Open a folder one level up if a folder is selected in the Save As or Open dialog box

ASPEN Web: ePOC Keyboard Shortcuts

Keyboard shortcuts are combinations of two or more keys that, when pressed, can perform the same task as using a mouse or other pointing device.

General

Press this	To do this
Tab	Move forward through fields/sections
Shift + Tab	Move backwards through fields/sections
Shift + F10	Right-click
Spacebar	Select button and Select/Clear Checkmark
Enter	Select a link or activate a button
Esc	Exits some pop-up windows

Grids

Press this	To do this
Tab/shift Tab	Move into/out of/up and down the list
Enter	While header of list is focused, enter will sort the list by that column heading
Enter	Select a link or activate a button
Ctrl + Spacebar	Activate the current row

Drop-down Lists

Press this	To do this
Tab/shift Tab	Move into/out of the field
Up/Down Arrows	Move vertically, i.e, up and down in the list
F4	Expand drop-down list for the selected field

Checkboxes

Press this	To do this
Tab/Shift Tab	Move into/out of the field
Spacebar	Select/Clear Checkbox