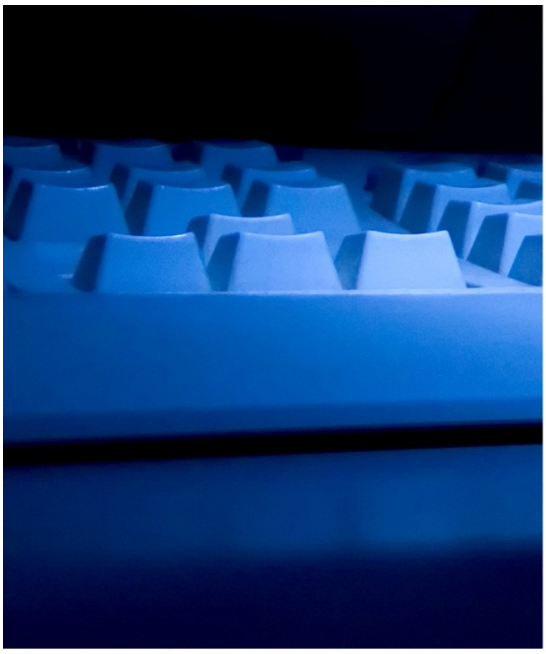
Attachment B



ATT ePOC Workbook

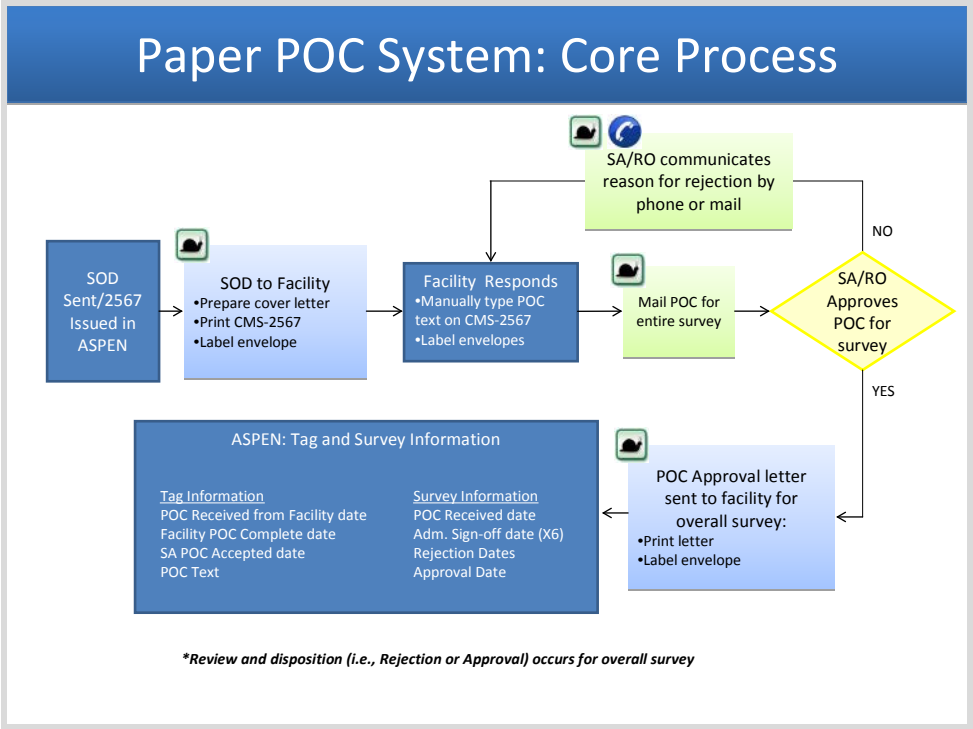
Longmont, CO

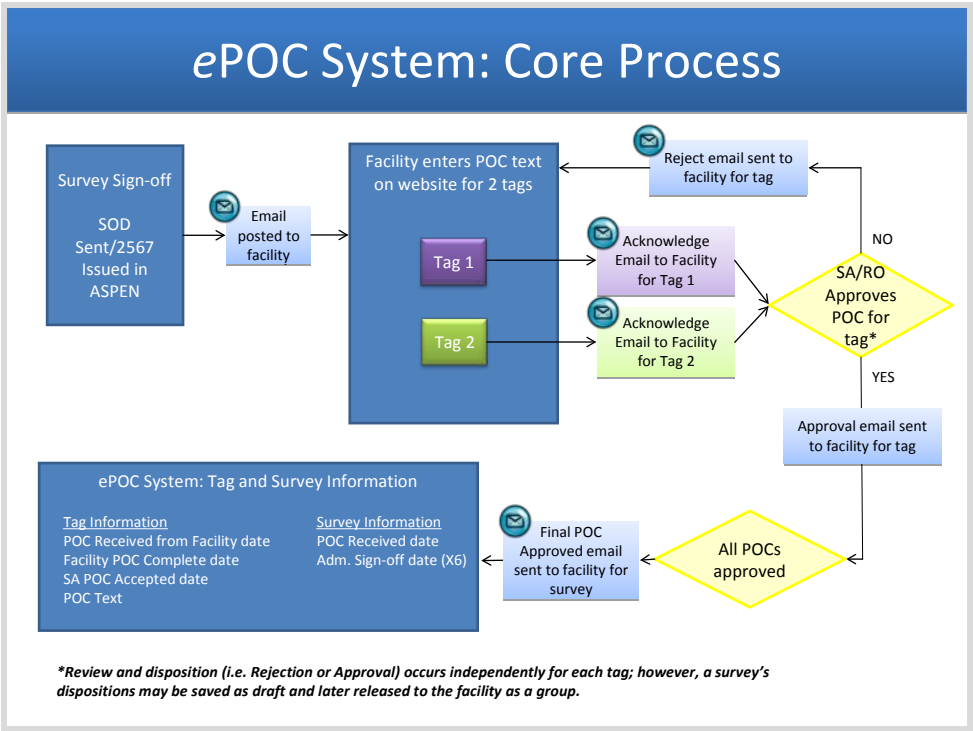
August, 2014

Contents

*e*POC Overview 5
ePOC Access and Facility Registration 12
Overview of ePOC Changes in ASPEN 19
Facility *e*POC Website Changes: 19
ACO/ACTS Changes: 20
Scenarios 23
About the Scenarios 23
#1 Configuring ASPEN for ePOC 25
Part 1: SA enables *e*POC in ASPEN 25
Part 2: SA activates *e*POC for one or multiple facilities 25
#2 Basic ePOC Lifecycle 26
Part 1: SA creates survey with tags and posts it for facility review 26
Part 2: Facility submits POCs for all tags 29
Part 3: SA approves/rejects POCs 32
#3 Adding a New Letter and Closing Surveys 33
Part 1: SA adds new letter to be posted 33
Part 2: Facility resubmits POC for rejected tag 34
Part 3: SA/RO approves all POCs and survey is closed 35
#4 LSC Revisit Surveys 36
Part 1: SA creates and posts a revisit 36
Part 2: Facility adds an attachment 37
Part 3: Multiple buildings display on ASPEN Web: ePOC 37
Part 4: Facility prints 2567 forms 38
#5 ePOC Emails 39
Part 1: SA views *e*POC email history 39
ePOC Email Notices 40
#6 ePOC Management Reports 42
Part 1: SA generates *e*POC management reports 44

*e*POC Overview





*e*POC Implementation: What You Need to Know

- Rollout Began Late Summer 2013 for Selected Start-up SAs/ROs
- Phase-in Period – Then Open to All States
- Initially Nursing Homes Only – Then Additional Categories Added
- Supported Survey Types
  - Federal Certified Providers Only
  - Recertification, Complaint, FMS (RO Only)
  - Health and LSC
  - Licensure Surveys of Otherwise Federally Certified Providers

    *State Licensed-only Providers **not** Supported*

*e*POC Statistics

as of June 2, 2014

- Facility Users Enrolled in *e*POC: 1070
- Facilities with *e*POC Activation Dates: 708
- Posted Surveys: 1370
  - Health Surveys: 1028
  - LSC Surveys: 332
  - Starting Surveys: 901
  - Revisit Surveys: 469
  - Enforcement-Related Surveys: 130

Providers like:

- the speed in receiving SODs
- typing POC text on the web site
- deficiency with evidence displayed

ASPEN Web: *e*POC Initiation

- Three layers of *e*POC initiation
  - CMS permits *e*POC usage by all states
    - Post Phase-In Period
  - States configure for Health/LSC or Both activation
  - Facility Activation
    - Individual Facility Activation
    - Team (Work Unit) Activation

*e*POC: User Access

- *e*POC Implementation by User Group
  - SA/RO Embedded in ACO and ACTS
    - Offers centralized workplace for convenience
    - Access Control via existing ASPEN Facility Type and menu security
  - Provider Access via ASPEN Web

*e*POC Posting Qualifications : Facility

- First Step: *e*POC Posting
- Facility Qualifications for *e*POC
  - Open
  - CCN Present
  - Uploaded to National
  - Activated for *e*POC Participation

*e*POC Posting Qualifications: Survey

- Survey Qualifications for *e*POC Posting
  - Survey Characteristics
    - Federal, State, or combined survey
    - Health or LSC
    - All Survey Types (e.g. Complaint, Recertification, FMS, etc.)
    - Not recycled
  - Exit date on or earlier than today
  - At least one corrected or uncorrected tag (0000 or 9999 qualifies)
  - Evidentiary text present for each uncorrected tag on the survey
  - SA or RO user manually triggers survey posting to *e*POC website

ASPEN Web: *e*POC – Facility Process

- Select Facility (if user associated with more than one)
- Survey Listing
  - Ascertain current survey POC status
  - Basic survey identifying information
  - View Letter(s)
  - Instructions
- Survey Details
  - View entire survey in a similar layout to the 2567
  - Print Survey Reports (2567, 2567A and 2567B)
  - Attach supporting materials only – Do not attach POCs
- POC Entry Page
  - Review specific SOD and submit POC information to the SA/RO

ASPEN: *e*POC – SA/RO POC Review

- POC Manager (ACO/ARO and ACTS/RO)
  - Default shows surveys pending SA/RO activity
  - POC status easily identified
  - Additional Filtering capabilities
- POC Approval and Rejection
  - Rejection
    - Save of Draft rejection reason(s) – Allows for supervisor review
    - States may enter state-specific rejection reasons (state surveys only)
    - Custom rejection explanation sent to Facility
    - Final Rejection
  - Approval
    - Save of Draft approval – Allows for supervisor review
    - Final Approval
  - Notification Emails auto-generated to provider user(s)
- Facility view of rejection reasons & POC Resubmission

ASPEN Web: *e*POC Additional Processes

- Revisit Surveys
  - Each survey processes separately
  - Corrected tags included behind the scenes
  - 2567B form available for printing
  - Must be posted to *e*POC web in order for facility to print 2567B
- LSC Surveys
  - Single Report file generates (one PDF file)
  - Content grouped by building, page numbers reset
- Scope/Severity Level A Tags
  - Tags display on *e*POC website
  - POC entry not permitted, but acknowledgement is required
  - Prints on separate Form-A-*like* report

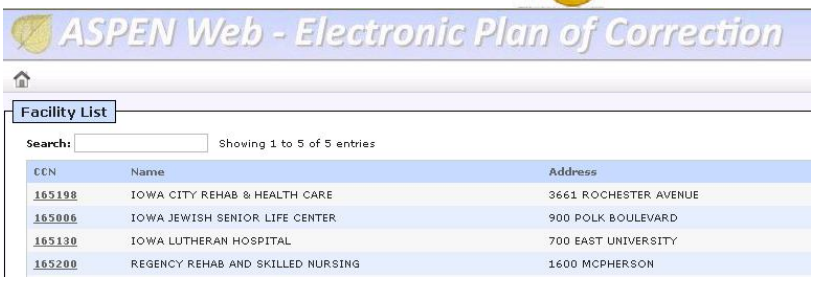
ASPEN Web: *e*POC - Special Cases

- Deficiency-free Surveys (only tag 0000 or 9999)
  - Provider Acknowledgement Required
  - POC entry not permitted
  - Notification emails and reports to monitor acknowledgement status
- Fully Corrected Revisit Surveys
  - Must be posted to *e*POC website for facility to be able to access 2567B report
- Past Non-compliance
  - Tags display on *e*POC website
  - POC entry not permitted
  - As in ACO/ACTS, "No POC Required…" text prints on 2567 report
- Limit or Update Display on ASPEN Web: *e*POC
  - Re-post to *e*POC website
  - Un-Post, Unlock, Stop - IDR/IIDR, IJ tags, corrections
- FMS Surveys

ASPEN *e*POC – Streamlines POC Operations

Manual Process

Automated Process



e*POC Access and Facility Registration*

*e*POC: User Access

- *e*POC Implementation by User Group
  - SA/RO Embedded in ACO and ACTS
    - Offers centralized workplace for convenience
    - Access Control via existing ASPEN Facility Type and menu security
  - Provider Access via ASPEN Web

*e*POC: Facility Enrollment

- Limited to Nursing Home facilities in first release
- Each *e*POC user needs two accounts:
  - CMSNet account (for network access)
  - QIES User account (for *e*POC access)

MDS and *e*POC Registration

- Login through CMSNet
- Single-facility end users responsible for
  - MDS submissions
  - CASPER Reports and/or
  - *e*POC processing
- Users requiring access to multiple facilities
  - Enroll via the registration form process noted on the QTSO website

Single Facility User

- CMSNet Request Form on QTSO Website: https://www.qtso.com/cmsnet.html

CMSNet Information

CMSNet - Submission Access (Select this link to begin the submission process)

Access Request Forms / Installation Guide & FAQ's

Access Request Forms

Please note all providers MUST submit a request for a CMSNet User ID to access secure CMS sites (e.g., submissions pages / reports) unless an otherwise secure connection has been established.

ePOC (Long Term Care, Nursing Home Facilities)

CMSNet Access Request Form (MDS/ePOC (NH), OASIS & ASPEN Web Users) [PDF 115 KB]
ePOC Access Request Forms

Single Facility User

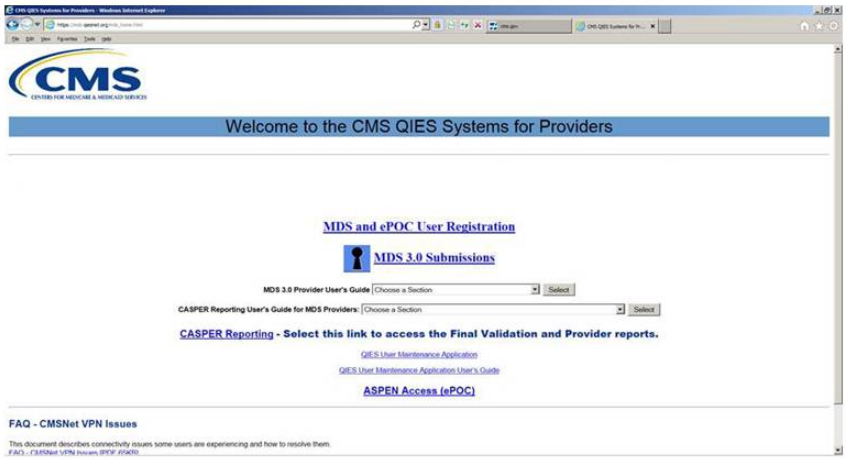
- CMSNet Submission Access

Single Facility User Online Registration

Single Facility User MDS & *e*POC User Registration

Single Facility User MDS & *e*POC User Registration

- MDS User Access



MDS & *e*POC User Registration

Provider User Registration:

Provider User Registration

Skip Navigation Links Registration Activation Access Update User's Guide Help

Provider User ID Registration

Fields marked with * are required.

* Access Type:	ePOC	
* CMS Certification Number (CCN):	165119	
* User First Name:	Test	
* User Last Name:	Usertwo	
Birth Date (mm/dd/yyyy):		(The forward slashes are required)
SSN:		(No dash or space, Number only)
Home Address:		
* Phone Number:	8885552222	
* Email Address:	testusertwo@yahoo.com	
* Re-enter Email Address:	testusertwo@yahoo.com	
	Password Rules	
* Password:	••••••••••••	
* Re-enter Password:	••••••••••••	
* What is the name of the street where you grew up?	••••••••••••	(Question 1)
* Re-enter Answer to Question 1:	••••••••••••	
* What is the name of the first school you attended?	••••	(Question 2)
* Re-enter Answer to Question 2:	••••	
* In what city/town did your mother and father meet?	••••••••••	(Question 3)
* Re-enter Answer to Question 3:	••••••••••	
	Submit	

Your new Individual User ID will be provided on the next page.
Your User ID allows you to access for ePOC Processing.

Single Facility User MDS & *e*POC User Registration

Registration Confirmation:

Provider User Registration

Skip Navigation Links Registration Activation Access Update User's Guide Help

Your registration has been successfully completed.

Confirmation of ePOC User ID Registration

Thank you for registering!

Save this information for your records.
Print this page.

Your New ePOC User ID:	MDS0075359
User First Name:	Test
User Last Name:	Usertwo
Phone Number:	8885552222
Email Address:	testuser2@yahoo.com
State ID:	IA
Facility ID (FAC_ID):	IA0285
Facility Name:	MERCY MEDICAL CENTER-CLINTON
Facility City/State:	CLINTON, IA

Note:

- If this is not your Facility Name, please contact the QTSO Help Desk at 1 (800) 339-9313.
- Your account must be activated before use. An activation key has been sent to the email you provided. You may need to log out of this system to access your email.
- You may access the Activation link on the top of this page to proceed with the activation. Both the user ID on this page and the activation key in the email are required for the account activation.
- This is a personal account. Do not share your individual User ID or password.
- Your User ID allows you to access to process ePOC (Electronic Plan of Correction).

Single Facility User
MDS & *e*POC User Registration

Activation Email:

Your registration has been completed and must be activated with the following steps by 06/21/2014.

1. Copy your Activation Key from below.
2. Go to the CMSNet Link: https://qtso.com/submissions/submissions.html
3. Choose your state and log into CMSNet.
4. Advance to the CMS QIES Systems for Providers Welcome page.
5. Click on the link for User Registration.
6. On the menu bar (at the top of the page), click on the link for Activation.
7. Enter your User ID (displayed on your Confirmation Page).
8. Paste in your Activation Key.
9. Click the Activate button.

Activation Key: 3uje28sjygvz41lertm67yza8oz895fs8js00106

Note: The activation key is only valid thru 06/21/2014. If activation is not completed, the user account will be terminated. If user account is terminated, you will be required to register for a new user account.

Single Facility User
MDS & *e*POC User Registration

- Confirmation of Activation

Existing MDS Users: Adding *e*POC Access

Multi-User MDS & *e*POC User Registration

- CMSNet Access Request Form
- *e*POC Paper Enrollment Form on QTSO Website: https://www.qtso.com/cmsnet.html (Data Access Request Forms link)

Overview of **e***POC Changes in ASPEN*

Facility *e*POC Website Changes:

- Release notes included in Facility menu on Survey List page
- Past Non-Compliance (PNC) indicator displays on Survey Detail page
- Help text available for Completion Date (X5) on Plan of Correction Entry page
- The Plan of Correction Entry page opens with tag information, regulation text, and observation text in the left pane
- The Completion Date is not required for POC Save as Pending
- Tag 9999 displays on the 2567 form if it is posted to the *e*POC website
- The new rejection reason explanation and the Other rejection reason displays on the Plan of Correction Entry screen
- For LSC Surveys:
    - The deficiency list on the Survey Detail Page includes the building name
    - Citations for each building display in a separate table which has a building ID and name header above each table
    - The deficiency list in the Navigation Pane is separated by building with a header that includes the building ID and name.
- Facility attachments:
    - Moved from the Survey List page to the Survey Detail page
    - Instructional note displays on Attachments page: “Note: Attachment of supporting materials does not qualify as a Plan of Correction (POC) response. Enter POC responses on the Survey Details page if required”.
    - Patient Confidentiality statement changed to: “To protect patient confidentiality, please only attach documents that are necessary to support the Plan of Correction.”
- Facility users can view and print a CMS 2567B form for revisit surveys

ACO / ACTS Changes:

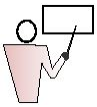
- You can optionally add comments when rejecting a tag's POC
- Reason for removing the posting and reposting a survey is required
- New emails were added
- New reports were added
- New filtering fields for reports
- Enable button controls security to *e*POC Activation Date
- Select Activation Date within 13 business days from today– changed from 10 days
- Save As Facility Emergency Contact button allows SA/RO to populate Emerg. Contact fields from Web User information
- Ability to change POC Due date before posting survey
- Enforcement and complaint letters are available for posting on ASPEN Web: *e*POC if they were sent to the facility and are linked to the survey
- *e*POC sets the 2567/B Entry Completed flag to true when a survey is posted to ASPEN Web: *e*POC
- Surveys cannot be posted to ASPEN Web: *e*POC if there are no enrolled facility users
- First and last name of the facility web user who "First Viewed" the citation display on *e*POC Properties
- Upon Final Approval of the last submitted POC on a survey, the survey status is set to closed
- Intake Responsible Parties quick-add feature added to the Responsible Parties section of ePOC Properties
- Timeframe changed for generation of the Late POC Review email to SA/RO staff to the 7th workday after the provider submits the POC; subsequent recurrence of the email is once per week thereafter until the POC is approved or rejected
- An "Other" rejection reason is available when rejecting an electronic Plan of Correction; when selected, free-form text to describe the reason for rejecting the POC is required
- For all rejection reasons, may enter free-form text to describe the reason for rejecting the POC

- Facility Submitted POC Email Changes:
  - The existing *Facility POC Submitted for Tag* email will be changed so that it only generates the *first time* a tag is submitted, thus, the name will also change to *Facility POC Initially Submitted*
  - When a facility has submitted all Plans of Correction for a survey, a *Facility POC Submitted for All Tags* email will be generated to SA/RO staff only
  - When a facility has re-submitted the plan of correction for a rejected tag, a *Facility POC Resubmitted for Tag* email will be generated to the facility with cc's to the SA/RO. The number of *e*POC
- When a survey is re-posted via *e*POC Properties, if the status of a revised tag is "No POC", its status remains "No POC"; however, when the status of a revised tag is other than "No POC", its status is changed to "Rejected" with a reject reason of "Revised deficiency information exists. See details."
- The *e*POC Tardy Survey Posting email and report exclude shell-only surveys

Scenarios

About the Scenarios

Some of the steps in the following scenarios are designed and labeled as *INSTRUCTOR DEMO* and others are designed for the class and labeled *CLASS EXERCISE*.



Indicates tasks to be performed by the instructor only.

Indicates tasks to be performed by the entire class.

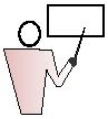
Some features in the following scenarios were added or changed since *e*POC was introduced.

Indicates scenario steps that use new/changed *e*POC features, as well as new emails and reports.

#1 Configuring ASPEN for ePOC

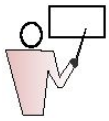
The state needs to enable *e*POC functionality in ASPEN as well as activate facilities to utilize *e*POC.

Part 1: SA enables *e*POC in ASPEN



1 Enable ePOC in ASPEN: IT	*Instructor Demo* ➢ Open **ACO**. ➢ From the main menu, select **System | System Configuration**, then select **State Customization**. ➢ Enter the system password and click **OK**. ➢ Click the **Enable POC for** drop-down and select **Health and LSC**. ➢ Click **OK** to save the changes.

Part 2: SA activates *e*POC for one or multiple facilities



1 Activate a facility	*Instructor Demo* ➢ In the tree, locate a nursing home. ➢ Right click on the facility, then select **Facility Properties**. ➢ Find the **ePOC Information** section at the bottom of the window. NEW ➢ Click the **Enable** button to the right of the ePOC Activation Date. ➢ Click the arrow button in the **ePOC Activation Date** field to open the calendar. NEW ➢ Select a date within the last 13 business days and click **OK**.

2 Update emergency contact	➢ Click the **Web Users** button. ➢ Highlight any user and select **Save As Facility Emergency Contact**. NEW ➢ Answer **Yes** to the confirmation message and click **Close**. The Emergency Contact information is now populated with the web user's information. ➢ Click **OK** to close Facility Properties.

#2 Basic ePOC Lifecycle

This scenario takes you through the basics of using *e*POC, from creating a survey and posting the survey to ASPEN Web, to facility submission of Plans of Correction, to approval/rejection of the submitted Plans of Correction.

Part 1: SA creates survey with tags and posts it for facility review

1 Create survey	*Class Exercise* ➢ Open **ACO:** on your desktop, double click on the ACO shortcut and click **OK** on the warning message. ➢ Activate the **NH OPEN** selection set. ➢ In the tree, locate **<A> Training Nursing Home ATT**, where A is your training letter. ➢ Expand the facility. ➢ Right click on **Survey** and select **New Survey**. ➢ Select today's date as the survey **Start** and **Exit** date. ➢ Select the federal **Long Term Care Facilities** regulation set. Extent(s) is preselected for you. ➢ Select **A – Complaint Investig** as the Type of survey. ➢ In the **Team Roster** section, select **Update**.

	➢ In the **Staff Availability List**, locate your training ID and select it to add yourself to the survey team; click **OK**. ➢ Click **OK** to save the survey shell, then click **Yes** to proceed to citation manager.
2 Cite tags	➢ In the **Regulations** grid, double click **Initial Comments** (tag 0000). ➢ In **Citation Properties**, click **OK** to open the word processor. ➢ Enter a few initial comments, then click **OK**. ➢ In the **Regulations** grid, double click on another tag. ➢ Select **D** for the S/S level, then click **OK**. ➢ Enter citation text and click **OK**. ➢ Select another tag, choose **E** for the S/S level, and click **OK**. ➢ Enter citation text and click **OK**.
3 Generate SOD letter	➢ Click **Letters** | **Generate New Letter**.
4 Preview letter	➢ On the **Select Letters and Distribution Lists** window, select **Show All**. ➢ Scroll down and select **Q1CH NH-STANDARD EPOC SOD**. ➢ In the **Distributions** section, scroll down and double click on **Facility** to specify **Letter** as the **Action**. This designates the facility as the recipient of the letter. ➢ Click **Preview**. ➢ Review your letter in the **Word Processor Dialog**, then select **Save & Exit**. ➢ Click **Done** to close Citation Manager.

5 Post survey on ASPEN Web: ePOC	We want to be able to easily track the POC process for this survey so ... ➢ Right click on your survey and select **ePOC** to open **ePOC Properties**. NOTE: Intake responsible parties can now be added as ePOC responsible parties. NEW NOTE: The POC Due Date can be changed. When it is changed, a Response Due Date Change email is sent to the facility. NEW
6 Post survey on ASPEN Web: *e*POC	➢ In the **Survey Letters** section, select the checkbox for the SOD letter you generated so that it will appear on the *e*POC website. NOTE: In addition to survey letters, enforcement and intake letters can be selected if they are associated with the survey. NEW ➢ Select **Post on ePOC Website** to post the survey and SOD letter, then click **Yes**. The Posted date for each tag is entered on the POC Properties window as well as the Post date and SOD Sent Date for the survey. NOTE: Surveys cannot be posted to ASPEN Web: ePOC if there are no enrolled facility users. ➢ Click **OK** on the message. ➢ Click **Close** to exit ePOC Properties. NEW ePOC sets the 2567/B Entry Completed flag to true. Note: ePOC Properties must be closed to remove semaphore locks on the survey before the facility can access it on ASPEN Web: ePOC.

Part 2: Facility submits POCs for all tags

1 Open ASPEN Web: *e*POC	*Class Exercise* ➢ On your desktop, double click on the **E-POC Web App** shortcut.
2 Log in as facility	➢ Log into **ASPEN Web: *e*POC** with your training facility User ID and Password. The Facility List opens. ➢ Click on the facility **CCN**. Your survey is displayed on the Survey List.
3 View SOD letter	➢ Click the envelope icon in the **Letters** column for your survey. ➢ Click the **Letter Date**, then click **Open** to view the SOD letter as an .RTF file. ➢ Exit the letter, then click **X** to close the **Letters** window. ➢ Note the information in the other columns for your survey, then click the **Event Id** to open the **Survey Detail** page.
4 View survey details	The Deficiencies list on the left side of the Survey Detail page indicates the POC status of the deficiencies in the grid. The Completion Date (X5) column in the grid also displays the tag's status. The second column in the grid displays Regulation and Observations text for each cited tag. If there isn't enough room on the grid to display all of the text, you will see **[MORE]** after the text. ➢ Select **[MORE]** to display the complete **Regulation** or **Observations** text for one of the tags. ➢ Click the **X** to leave the Regulation or Observations window.

5 Compose Plan of Correction	➢ Select the first non-0000 tag in the grid by clicking on the tag. The Plan of Correction page opens with tag information, regulation text, and Observation text in the left pane. ➢ In the **Facility Response** section, enter some **POC Description** text. The POC is the facility's response for the selected tag. ➢ Click in the **Completion Date (X5)** field and select today's date from the calendar. ➢ Click **Save as Pending** to save this POC. Notice the message indicating the tag was successfully saved. ➢ Click **Back** (at upper right), since you are going to enter the POC for another tag. Notice the tag's Status has changed to *Pending*. NOTE: The Completion Date is not required for Save as Pending; only required for Submit As Final. NEW
6 Submit multiple tags	➢ Click on the second tag. ➢ Enter some **POC Description** text as the facility response for the current tag. ➢ Click in the **Completion Date (X5)** field and select today's date from the calendar. ➢ Click **Save as Pending** to save this POC, then click **Back**. Both tags are in *Pending* status. ➢ Select **Submit All Pending** (above the grid).

7 eSign and Attest POC for all tags in Pending status	The facility must electronically sign the Attestation of POC Submittal Terms and Conditions for each tag submitted for SA/RO review. The tags the facility (you) just submitted are listed at the top of the Attestation. ➢ Select the **Electronic Signature** checkbox, then click **Continue**. You return to the Survey Detail page. Note the Status of all three tags has changed to *Submitted*. At the top left of the page, a "POC successfully submitted" message appears for each tag. NEW A Facility POC Submitted for All Tags email is generated since the facility submitted the last POC for all tags.
8 View CMS- 2567	➢ Select the printer icon (upper right), then **2567**, then click **Open** to display the attachment. The 2567 form displays the watermark, POC NOT FINAL. The watermark remains on the 2567 until all POCs are approved for the survey. A facility may print the 2567 form at any time. ➢ Close the 2567. ➢ Click the menu icon (three bars) on the right side of the toolbar at the top of the page and select **Log Out**. You return to the Login page for ASPEN Web: *e*POC.

Part 3: SA approves / rejects POCs

This portion of the scenario demonstrates how to approve and reject the tags' POCs individually.

1 Open POC Manager	*Class Exercise* ➢ Go back to **ACO**. ➢ Select **POC** from the toolbar. ➢ In **POC Manager**, select the survey with the POCs you created, then click **POC Approve / Reject**. Note: You can click anywhere in the applicable row to select the survey.
2 Approve tag's POC	➢ In the **Deficiencies** grid. select the first non-0000 tag. ➢ Review the **Plan of Correction** text, then select **Approve**. ➢ Enter a few approval comments, then select **Final Approval**. ➢ Select **Yes** on the confirmation message.
3 Reject tag's POC	➢ Select the second non-0000 tag. ➢ Review the **Plan of Correction** text, then select **Reject**. ➢ Select the Other rejection reason. NEW Note: The text field becomes enabled for the Other rejection reason and is required when selecting this rejection reason. NEW ➢ Enter text in the text field for the Other rejection reason. You can optionally add Comments for each rejection reason as well as overall comments for the rejection of the tag. NEW ➢ Select **Final Rejection**.

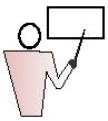
	➢ Select **Yes** on the confirmation message. ➢ Click **Close** to close POC Approval and Rejection, then **Close** again to close POC Manager.

#3 Adding a New Letter and Closing Surveys

It may occasionally be necessary to add additional letters to *e*POC Properties and post them to the *e*POC website for a facility to view. This scenario also demonstrates how a survey is automatically closed when all POCs for the survey are approved.

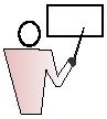
Part 1: SA adds new letter to be posted

This portion of the scenario demonstrates how to add an additional letter to be posted to the *e*POC website.



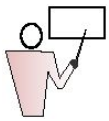
1 **Post additional SOD Letter**	*Instructor Demo* ➢ In the tree, right click on the survey and select **ePOC**. ➢ In the **Survey Letters for ePOC Display** section, click **New**. ➢ On the **Select Letters and Distribution Lists** window, select **Show All**. ➢ Scroll down and select **Q1CH NH-STANDARD EPOC SOD**. ➢ In the **Distributions** section, scroll down and double click on **Facility** to specify **Letter** as the **Action**. This designates the facility as the recipient of the letter. ➢ Click **Preview**. ➢ Review your letter in the **Word Processor Dialog**, then select **Save & Exit**. ➢ Select the new letter and click **Alert Facility**.
	➢ Click **Yes** on the confirmation message. This will generate the Letter Notification email to the facility. ➢ Click **Close** to close ePOC Properties.

Part 2: Facility resubmits POC for rejected tag



1 Locate survey	*Instructor Demo* ➢ Log into **ASPEN Web: *e*POC**. ➢ On the **Facility List**, select your facility **CCN**. ➢ On the **Survey List**, select the survey **Event Id**. ➢ On the **Survey Detail** page, note the tag status is Rejected. ➢ Select the rejected tag.
2 Update POC	➢ Enter new text in the **POC Description** field and a new date in **Completion Date (X5)**. Note that the rejection reason displays at the bottom of the page.
3 Resubmit POC for all tags	➢ Click **Submit as Final**.
4 Sign Attestation	➢ Click the **Electronic Signature** checkbox to agree to the Attestation. ➢ Click **Continue**. On the Survey Detail page, the updated Status for the tags is Submitted. A Facility POC Resubmitted for Tag email is generated for the rejected tag. NEW ➢ Log out of ASPEN Web: *e*POC.

Part 3: SA/RO approves all POCs and survey is closed



1 Locate survey	*Instructor Demo* ➢ Go back into **ACO**. ➢ Click **POC** on the toolbar to open POC Manager. ➢ Highlight the survey and select **POC Approve/Reject**. ➢ In the Deficiencies grid. select the tag with a status of Submitted. ➢ Review the **Plan of Correction** text, then select **Approve**, then select **Final Approval**. ➢ Select **Yes** on the confirmation message. ➢ Close POC Approve/Reject dialog and POC Manager.
2 Survey Status Closed	➢ In the tree, locate the survey. ➢ Right click on the survey and select **Survey Properties**. Note the status is set to **Closed**. NEW

#4 LSC Revisit Surveys

This scenario shows you how LSC surveys are displayed differently on the ASPEN Web: *e*POC system and how revisit surveys are handled in *e*POC and how a provider can print the 2567 forms.

Part 1: SA creates and posts a revisit

The same process as for other surveys is used to post revisit surveys to the ASPEN Web: *e*POC.

1 Create revisit survey	*Class Exercise* ➢ Open **ACO** and locate your facility. ➢ Locate the LSC survey. The LSC survey is for a facility with multiple buildings and includes 4 tags. ➢ Right click on the survey and select **Create Follow-up Survey**. ➢ Select **Carry Text Forward** and click **OK**. ➢ Locate the revisit survey you just created. ➢ Right click on the survey and select **Citation Manager**. ➢ In the **Citations** section, right click on a tag and select **Correction Dates**, then **Selected Citation**. ➢ Enter today's date as the Citation Correction Date and click **OK**. ➢ Add another tag to the survey, setting the S/S level to **A**. ➢ Add tag **9999** to the survey. ➢ Click **Done**. ➢ In the tree, right click on the survey and select **ePOC**. Note the corrected deficiency is not included in the Citations for ePOC Display grid. ➢ Select **Post on ePOC Website**, then click **Yes** and **OK**. ➢ Close ePOC. ➢ Exit ACO.

Part 2: Facility adds an attachment

This scenario demonstrates the changes to where facilities can attach documents to support their Plan of Correction.

1 Add attachments to survey	➢ Log into **ASPEN Web: *e*POC**. ➢ Locate the revisit survey. Notice the paper clip icon is no longer on the Survey List page. ➢ Select the revisit **Event ID**. ➢ Select the paper clip icon. NEW Notice the note at the top of the attachments window. ➢ On the **Attachments** window, select **Browse**. ➢ Select **FacePOCAttach1.doc** and click **Open**. ➢ For the **Description**, enter **POC Attachment #1**, and select **Attach**. ➢ Close the **Attachments** window.

Part 3: Multiple buildings display on ASPEN Web: ePOC

1 View LSC survey on Survey Detail page	On the Survey Detail page, note that the Deficiencies list and grid include only the uncorrected tags. NEW Notice the differences with the way the building information is displayed on the screen. ➢ Click on initial comments (tag 0000) for the 2nd building in the Navigation Pane. Notice the building information displayed above the initial comments. NEW ➢ Click on a tag for the 1st building in the Navigation Pane.

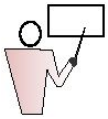
Part 4: Facility prints 2567 forms

The facility has the ability to print the CMS 2567L, CMS 2567A, and CMS 2567B forms from the ASPEN Web: *e*POC system.

1 Print 2567 Forms	➢ Click the **Printer** icon. ➢ Click **2567**, then **Open**. Note tag 9999 is printed on the 2567 form. NEW ➢ Scroll to page 2 to see the information for the 2nd building. ➢ Close the 2567 form. ➢ Click the **Printer** icon. ➢ Click **"A" Form**, then **Open**. ➢ Close the 2567A form. ➢ Click the **Printer** icon. ➢ Click **2567B**, then **Open**. NEW ➢ Close the 2567B form. ➢ Log out of ASPEN Web: ePOC.

#5 ePOC Emails

Part 1: SA views *e*POC email history



1 View ePOC email history	*Instructor Demo* ➢ In **ACO**, select the **File** menu, then **Email History**. ➢ In the **Filter Criteria** section, select today's date as the **Start Date.** ➢ For **Email Type**, select **12-Response Due Date Change**. NEW ➢ Select **Refresh**. Notice now that only Response Due Date emails are displayed in the grid. ➢ View all fields displayed on the grid, scrolling to the right to see all fields. ➢ Select **View** in the row for one of your surveys to see the email, then click **OK**. ➢ For **Email Type**, select **13-Letter Notification** and click **Refresh**. NEW ➢ Select **View** for one of the surveys to see the email, then click **OK**. ➢ Repeat for the following email types: 14-Remove Posting; 15-Facility POC Submitted for All Tags; and 16-Facility POC Resubmitted. ➢ Select **Close**.

ePOC Email Notices

This part of the scenario provides the title, a description of each available *e*POC email notice and the recipients of each email notice.

Survey Results Posted – SA/RO

This email is sent to the SA/RO when a survey is posted to the *e*POC website. The email is sent for Deficiency-Free surveys if Acknowledgement is required for the primary facility type.

Survey Results Posted – Facility

This email is sent to the facility within an hour of the survey being posted to the ASPEN *e*POC website, and is sent for deficiency-free surveys, if Acknowledgement is required for the primary type.

Survey Results Re-Posted

This email is sent to a facility and copies to the SA/RO within an hour after the survey is re-posted in ASPEN, and will be sent for deficiency-free surveys if Acknowledgement is required for the primary type.

Facility POC Initially Submitted

This email is sent to the facility with copies to the SA/RO, when they have submitted a POC the first time for a tag. The email is sent within an hour after the facility initially submits the POC for a tag, and is not sent for Deficiency-Free surveys.

POC Rejected by SA/RO

This email is sent to the facility when their Plan of Correction is rejected by the SA or RO within an hour after the rejection.

POC Approved by SA/RO

This email is sent to the facility when the SA or RO approves a Plan of Correction for a tag. It is sent within an hour after the approval.

Final POC Approved

This email is sent to the facility after the SA or RO approved the final POC for all tags on the survey. This email is sent within an hour of SA or RO approval of the last tag.

No Response From Facility

The POC Overdue email (below) is sent to the facility with copies to the SA or RO when it does not respond with a Plan of Correction on a survey's initial posting to *e*POC in a timely manner, or when the facility does not re-submit a corrected Plan of Correction for a rejected tag within a timely manner. The No POC Ever Received email is sent 10 calendar days after the survey has been released to the facility and every other day thereafter until the facility submits a Plan of Correction. The Rejected Tags without Subsequent POC email is sent 3 calendar days after rejection and every other day thereafter until the facility re-submits the revised Plan of Correction.

Tardy Survey Posting

This email is sent to the SA or RO when a qualified survey has been completed but not posted to the *e*POC website. It is sent 9 business days after the survey exit date and every other day thereafter until the survey is posted to the *e*POC website, and is sent for Deficiency-Free surveys.

Late POC Review

This email is sent to the SA or RO when a POC has been submitted and has not been reviewed within 5 business days after submission. The email is sent every other day thereafter until approval or rejection occurs.

SOD Acknowledgement Required

This email is sent to the facility with copies to the SA or RO when the facility does not acknowledge a deficiency-free survey. The email is sent on the POC Due Date and every other day thereafter until acknowledgement occurs, and is sent only for those facilities where the primary type requires Acknowledgement.

NEW

Letter Notification

This email is sent to the facility with copies to the SA or RO when the Alert Facility button in POC Properties is clicked for a posted survey.

NEW

Remove Posting from ePOC Website

Removing a posting automatically generates this email to the facility with copies to the SA or RO.

NEW

POC Due Date Change

When a user changes the POC Due Date on a posted survey via the POC Properties window, *e*POC sends an email to the facility and copies SA/RO staff within one hour. The email generates for any type of posted survey, including deficiency-free surveys.

When a survey is currently stopped, *e*POC does not generate the POC Due Date Change email.

NEW

Facility POC Submitted for All Tags

This email is sent to the SA/RO when all POCs on a survey have been submitted at least once. This email is only sent one time, after the final tag on a survey has been submitted, even if other tags are approved or rejected. The email is sent within an hour after the facility submits the final POC on the survey.

NEW

Facility POC Resubmitted

This email is sent to the facility with copies to the SA/RO, when they have resubmitted a POC for a tag that was originally rejected. The email is sent within an hour after the facility resubmits the POC for a tag, and is not sent for Deficiency-Free surveys.

#6 ePOC Management Reports

*e*POC management reports are available in ACO via the Reports menu. These reports display only those surveys that are assigned to the current user's ASPEN Work/Team Unit and only those primary facility types for which the user has ASPEN View or Read/Write access.

The following *e*POC reports are provided:

Tardy SOD Issuance

Shows all surveys which are *e*POC eligible that have not been posted to the *e*POC website within specified time frames

Tardy POC Submission from Facility

Shows all deficiencies for which facilities have not submitted a POC within specified time frames

Rejected Tags Requiring Facility Follow-Up

Shows all rejected deficiencies for which facilities have not re-submitted a POC within specified time frames

Facilities Pending SA/RO POC Review

Shows all facilities with newly submitted or re-submitted POCs which are awaiting review

Plan of Correction Audit Trail

Shows all POC activities (submissions, re-submissions, rejections, approvals, etc.) for a specific facility or group of facilities and includes a staff identifier to indicate who performed the activity.

NEW

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 Received Date (date of the first POC submission for any tag on the survey), POC Last Rejected Date (date of the last POC rejection for any tag on the survey), POC Final Approval (last approval date for all non-0000 tags on the survey), and POC Last Submitted (date of the last POC submission for any tag on the survey

SOD Acknowledgement Missing

Shows all deficiency-free surveys for which the facility has not acknowledged review of the SOD, where acknowledgement is required

Deficiency Free Surveys

Shows all deficiency-free surveys

Stopped Surveys

Shows all surveys which have been stopped

Deficiencies Not Posted

Shows all deficiencies which have not been posted

NEW

Unlocked Surveys

Shows all unlocked surveys.

NEW

Re-Post Required Reports

Deficiencies Not Posted

Shows all deficiencies that have not been posted.

Surveys Changed Since Posting

Shows all surveys that have at least one changed tag since posting.

NEW

ePOC Web User Reports

- Facilities Having ePOC Users – Lists providers with at least one currently enrolled *e*POC user.
- Facilities Without ePOC Users – Lists providers without any currently enrolled *e*POC users.

Part 1: SA generates *e*POC management reports

1 Select an ePOC management report	*Class Exercise* ➢ In **ACO**, select the **Reports** menu, then **ePOC Management Reports**. ➢ Select **Tardy SOD Issuance**.
2 Set filters	➢ With Base Timeframe On set to Survey Exit Date, change **To Date** to **08/30/2014**. ➢ In the **Define Selection** grid, click **All** in the **Definition** column for the **Facility Type** filter. ➢ In the **Facility Category** window, click **Deselect All**. ➢ Select **02-Nursing Home (NH)** and click **OK**. ➢ Repeat for the **Operating Status** filter; select **01-Active**.
3 Generate the report	➢ Select **Print Now** (bottom of screen). ➢ Review the report, then close it.
4 Generate other reports	*Independent Practice* ➢ Repeat for each of the *e*POC Management Reports; try various filtering selections.