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Centers for Medicare & Medicaid Services
Division of Survey and Certification, Region VI

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November 4, 2004

REGIONAL SURVEY AND CERTIFICATION LETTER NO. 04-10

This rescinds RS&C letter-04-04

TO: All State Survey Agencies (ACTION)
All Title XIX Single State Agencies (INFORMATION)

**SUBJECT: ASPEN CENTRAL OFFICE AND ASPEN REGIONAL OFFICE
PROCEDURES FOR AMBULATORY SURGICAL CENTER (ASC)**

At this point, all states have received training in the ASPEN CO for these providers. As a result of moving to the new system for data input, there will be some changes in the way we do business between the states and the Regional Office. The most significant changes will be in the areas of initial certification and terminations. To be sure that we are all clear on how actions will be processed utilizing the new method of conducting business, we are setting forth below some guidelines on processing typical actions.

NON-ACCREDITED INITIAL CERTIFICATIONS:

This is an area of major change. In the past, partial packets were forwarded to the RO, and the RO sent back a completed 1539 for the state to key in with the Initial survey into ODIE.

New Process for Initials:

- 1). After the survey is conducted for ASC, the state agency forwards three (3) signed original copies of the Health Insurance Benefits Agreement (370), the 855A Fiscal Intermediary application and approval letter to the RO, a recommended participation date, and a copy of the 1539 or a cover sheet to identify the provider name, address and etc. In accordance with 42 CFR 489.13, if the provider had standard level deficiencies, document on the CMS 1539, Block 16, the date the Plan of Correction is accepted and approved by the approving authority, also send a copy of Page 1 of the 2567 (signed/dated by the approving authority).
- 2). The state agency enters the full certification kit (1539, 377, 2567, 670) into ASPEN. All fields are completed except the provider number, participation date, and RO receipt and sign off date. The state agency releases the kit to the RO (electronically).



- 3). Until some enhancements are added to automatically notify our office that a survey is there for us to review, please send an e-mail note (giving the name of the facility) to Colleen Sanders, advising her that an initial certification is there for us to act on.
- 4). The RO assigns the provider number, issues the certification letter and completes the remaining fields (provider number, participation date, RO receipt and approval date), and RO will upload the certification to ODIE.
- 5). If other errors occur, then an e-mail note will be sent back to the State Agencies' main office for correction of error and for State Agencies to upload the certification to ODIE.

ACCREDITED INITIAL CERTIFICATIONS:

- 1.) After the accredited organization conducts the Initial survey, the State Agency requests from the provider a completed 377 (ASC Application) and three signed original copies of the Health Insurance Benefits Agreement. The State Agency completes a 1539 and a 670. The 670 will be completed as follows:
 - a. Surveyor ID Number: Use the State Agency Supervisor's surveyor ID number;
 - b. First date arrived – Survey date;
 - c. Last date departed – Survey date;
 - d. Pre-survey preparation hours – key in .25;
 - e. On-site hours (8:00 a.m.- 6:00 p.m.) – key in .25;
 - f. Travel hours – key in .25;
 - g. Off-site report preparation hours – key in .25;
 - h. Total Supervisory Review Hours – key in your hours for review;
 - i. Total clerical/data entry hours – key in your clerical/data hours.The state agency forwards three signed original copies of the Health Insurance Benefits Agreement, the 855 Fiscal Intermediary approval letter to the RO, a recommended participation date, and a copy of the 1539 or a cover sheet to identify the provider name, address and etc. In some cases, there may be a notice of fiscal intermediary selection for a chain owned facility other than Palmetto.
- 2.) The State Agency enters the full certification kit (1539, 377, 2567, 670) into ASPEN. All fields are completed except the provider number, participation date, and RO receipt and sign off date. The state agency releases the kit to the RO (electronically).
- 3.) Until some enhancements are added to automatically notify our office that a survey is there for us to review, please send an e-mail note (giving the name of the facility) to Colleen Sanders, advising her that an initial accredited certification is there for us to act on.
- 4.) The RO assigns the provider number, issues the certification letter and completes the remaining fields (provider number, participation date, RO receipt and approval date), and RO will upload the certification to ODIE.

- 5.) If other errors occur then an e-mail note will be sent back to the State Agencies' main office for correction of error and for State Agencies to upload the certification to ODIE.

INVOLUNTARY TERMINATIONS OF ASC:

- 1). The first survey, showing conditions not met, is entered into ASPEN in its entirety (1539, 377, 2567, 670). Compliance status of 'B' in L12 (non-compliance).
- 2). After the 45 day revisit, if the facility had regained compliance, the 2567 is updated to reflect the revisit, the new 670 added, L12 changed to the appropriate level of compliance, (A1) and the kit submitted and updated to ODIE.
- 3). If after the 45 day revisit, non-compliance remained, the revisit and 670 are added to the kit. At this time, you will follow the present enforcement procedures.
- 4). The RO completes the termination action, fills in the termination date and RO approval, and submits the kit to ODIE.
- 5). If a second revisit finds compliance, the kit is updated by the state, the RO advised per addendum A, that it is completed, and the RO finalizes the kit, issues any appropriate rescission letter, and uploads the kit to ODIE.

VOLUNTARY TERMINATIONS, CLOSURES, MERGERS:

No change from the present practice other than the system utilized. The paperwork is forwarded to the RO, the kit is updated in the RO, and action uploaded to the system by the RO. RS&C Letter # 00-10.

CHANGE OF OWNERSHIP:

No change from the present practice, other than the system utilized. The paperwork is forwarded to the RO, the kit is updated in the RO, and the CHOW uploaded to the system by the RO. If there has been a name change, address change, or fiscal intermediary change in conjunction with the CHOW, the data is entered by the RO. RS&C Letter # 97-21.

If errors occur then an e-mail note will be sent back to the State Agencies' main office for correction of error and to upload the certification to ODIE.

CARRIER CHANGES ONLY:

No change from the present practice, other than the system utilized.

NAME CHANGES, ADDRESS CHANGES - NOT PART OF A CHOW:

No change from the present practice, other than the system utilized. The state enters the name and /or address change into ASPEN. The system will automatically upload the data. RO approval required for all address change(s).

RECERTIFICATION SURVEYS:

No change from the present practice, other than the system utilized. The state enters the recertification into ASPEN and uploads the data. The state notifies the fiscal intermediary if there is a name or address change. No notice to the RO required. RO will clear Flagged Cases weekly.

FLAGGED ACTION:

The Regions have requested that 'flags' be removed from the system. The concept is obsolete. Until that happens, 'flagged' actions will appear on the transaction file as such, and will be cleared by the RO. No paperwork is forwarded to the RO unless there is a specific request for it. RO will clear Flagged Cases weekly.

Note that as time goes on, we may have to tinker with the processes a bit. For example, as noted earlier, we hope to soon have an automatic notification feature to eliminate the state having to notify us that an action requires attention. No doubt, as we gain experience with the system, better methods may become apparent.

If you have any questions, please contact Colleen Sanders at 214-767-4412 or by e-mail csanders@cms.hhs.gov.

Sincerely,

Molly Crawshaw, Chief
Survey and Certification Operation Branch
Division of Survey and Certification