

1 CROWN SOPs



CROWNWeb

Adding Certification-Pending Facilities to CROWNWeb

Standard Operating Procedures

August 3, 2009

This CROWNWeb *Adding Certification-Pending Facilities to CROWNWeb Process Document* was developed by FMQAI, the Florida ESRD Network, with funding from the Centers for Medicare and Medicaid Services (CMS) under contract # HHSM-500-2006-NW007C_Modification No. 000024, provided for the ESRD Renal - Requirements, Communication and Training (RCT) Special Project.

Adding Certification-Pending Facilities to CROWNWeb

1 CROWN SOPs.....	1
2 DOCUMENT CONTROL.....	3
3 INTRODUCTION.....	4
4 ASSUMPTIONS	5
5 PAPER LA YOUT	6
6 USE OF SUBJECT MATTER EXPERTS	7
7 GENERATE CROWN HELP DESK SERVICE REQUEST PROCEDURES	8
8 COMMUNICATION PROCEDURES	9
9 PROCEDURES	11
10 FLOWCHARTS.....	12
11 APPENDIX	14
12 DEFINITIONS AND ACRONYMS.....	16

2 DOCUMENT CONTROL

Document Information

Information	
Document Owner	FMQAI
Document Type Code	SOP
Sequence Number	001
Document Type	SOP
Release Number	1
Release Date	September 9, 2009

Document History

Version	Issue Date	Changes
1	July 10, 2009	Initial Document
2	July 27, 2009	Updates submitted by ESRD Networks
3	July 29, 2009	Updates submitted by CMS and ESRD Networks
4	August 3, 2009	Updates submitted by CMS
4	November 11, 2009	Updates from NWITS Recommendation
5	November 10, 2011	Updates to QIMS Reference

Document Approvals

Role	Name	Signature	Date

REFERENCES:

CROWN Memorandum Number: 09-0448-GN

3 INTRODUCTION

PURPOSE

The purpose of this Standard Operating Procedure (SOP) document is to define the processes for the ESRD Network Organization when creating a pending-certification Facility in CROWNWeb. The ESRD Networks will use a temporary CMS Certification Number (CCN) for all new Facilities until receipt of an approved CCN. The CCN is also known as Provider Number. The CCN will be updated to remove the temporary CCN and show the approved CCN for which certification was granted once the CCN is established.

4 ASSUMPTIONS

- This paper starts the process when the Facility has generated and submitted a request to CMS and/or appropriate State Agency(ies) for Facility certification.
- Approved CCN notification delivered to the requesting Facility by CMS and/or State Agency will not be defined due to different processes from one state to another. This "Adding Certification-Pending Facilities to CROWNWeb" procedure will be identified as a high level single process.
- All Facilities contacting the corresponding ESRD Network Organization have the intention of receiving Facility Certification to become a Medicare certified Facility. The use of a temporary CCN is to track those Facilities who are in the process of requesting a receiving certification.
- The ESRD Network Organization must create a temporary CCN for all Facilities that do not have a CCN as CCN is a mandatory field on the OMB CMS-2746 Form. (Refer to Reference)
- This paper does not define business processes specific to an individual Facility, ESRD Network Organization, CMS and/or CMS Contractors.
- These are high level business processes with the minimum business requirements defined.

5 PAPER LAYOUT

This paper will define the highest level business process about how to manage a new pending Facility and upon the Facility receiving certification approval.

There will be written text defining any generic processes along with flowchart to detail the flow.

6 USE OF SUBJECT MATTER EXPERTS

FMQAI has consulted with subject matter experts (SMEs) to gather information and define a process to allow consistency nationwide. These SMEs consist of employees of ESRD Network Organizations, Facilities, CMS, and CMS's contractors. FMQAI will continue to use these sources to obtain the specific information needed.

7 GENERATE CROWN HELP DESK SERVICE REQUEST PROCEDURES

Generate CROWN Help Desk Service Request Procedures

1. The Stakeholder contacts CROWN Help Desk by e-mail, by web form, or by phone: esrdhd1@esrd.net, 1.888.ESRD.HD1, or through the CROWN Help Desk Portal <https://mrx-cw-eservice.gcrm.com/crown/welcome.aspx>
2. The Stakeholder explains issues/discrepancies to the CROWN Help Desk for issue documentation.
3. The CROWN Help Desk generates a service request and if unable to resolve, assigns to the appropriate party.
4. The CROWN Help Desk tracks and provides summary reports on outcomes for all service requests to CMS.

8 COMMUNICATION PROCEDURES

This communication procedure will outline generic steps to be taken when questions need to be answered outside one specific entity. The underlying premise of these communications is; the Facilities are responsible for their data. These procedures will include, but is not limited to ESRD Networks, Facilities, CROWN Help Desk, CMS and CMS's Contractors.

A BATCH Submitting Organization (BSO) is the organization that has been delegated the authority to submit data on behalf of a Facility. Communications procedures between the BSO and a Facility are internal processes for each Facility to define as part of its agreement with another entity to delegate authority.

This list is not meant to be a comprehensive list of all scenarios. The intent is to give guidelines that all entities can follow.

- A. It is appropriate for a Facility to contact another Facility (Exception: If prior Facility is within the same BSO entity, follow internal procedures; if a Facility has question for the prior Facility and is unable to contact them, contact the ESRD Network):
 - When a patient has previously received care at another Facility and the receiving Facility has questions about data submitted by (or on behalf of) or missing data from the previous Facility.
 - When a Facility gets a warning of a possible near match and wants to verify the six identifiers to admit the patient in CROWNWeb.
 - When a Facility has deleted an erroneous addition event and needs to advise the prior Facility to delete the erroneous System Discharge that occurred in CROWNWeb (NOTE: Main example of this would be a Facility accidentally transferring a patient in with the wrong status (i.e. permanent rather than transient) causing a System Discharge for the prior Facility. They should call the prior Facility advising them that the incident occurred so the prior Facility is aware that there is an erroneous discharge that needs to be removed).
- B. It is appropriate for a Facility to contact and ESRD Network:
 - For near match issues not related to transferring patient or that cannot be resolved through verification with the transferring Facility.
 - For discrepancies and/or questions between two Facilities about the correct way to report admit/discharge dates in CROWNWeb.
 - To correct or update Facility information for fields that they do not have permission to access.
 - When a Facility has questions about previously entered or missing data from another Facility and they are unable to contact the previous Facility.
- C. A Facility should open a service request through the CROWN Help Desk:
 - When there is a security log-in issue.
 - To report a CROWNWeb System bug or error message.
 - To report a CROWNWeb System enhancement request.
 - To receive answers to questions related to application usability.
 - When their CROWNWeb account has been inactive greater than 60 days and they need access.
 - When there are CROWNWeb data entry error/issues that cannot be resolved within their Corporation and their corresponding ESRD Network.
 - When a Facility has questions about previously entered or missing data from another Facility where the Facility is not within their Corporation and could not be resolved by the ESRD Network.
 - When the CROWNWeb System is down.
 - When an acute patient or an erroneously - entered patient should be removed.
- D. An ESRD Network should contact a Facility:

- When there are any CROWNWeb related discrepancies.
 - For follow-up on unresolved issues such as GAP patient or change requests not completed in a timely manner.
 - For follow-up on Facility pending Certification using the current standard operating procedures in place.
 - When there are noted problems with accuracy or timeliness of data entry.
 - When there are noted problems with clinical data entry (incorrect, missing, late).
- E. An ESRD Network should contact another ESRD Network:
- When a patient transfers from one ESRD Network to another ESRD Network and the ESRD Network encounters a problem with the patient that requires intervention from the previous ESRD Network.
- F. An ESRD Network should contact CMS:
- When a submitted CMS OMB form needs to be deleted.
 - When a Facility needs to be removed from a report such as Vascular Access Reporting (as defined in the Vascular Access Report SOP).
- G. An ESRD Network should open a service request through the CROWN Help Desk:
- When there is a security log-in issue or a security breach.
 - To report a CROWNWeb System enhancement request.
 - To receive answers to questions related to application usability.
 - When there are data entry errors/issues that cannot be resolved through the SUI.
 - To report a CROWNWeb bug or error message.
 - When there are system discrepancies and all other communication efforts have been exhausted.
 - When CROWNWeb System is down.
 - When duplicate patients need to be merged.

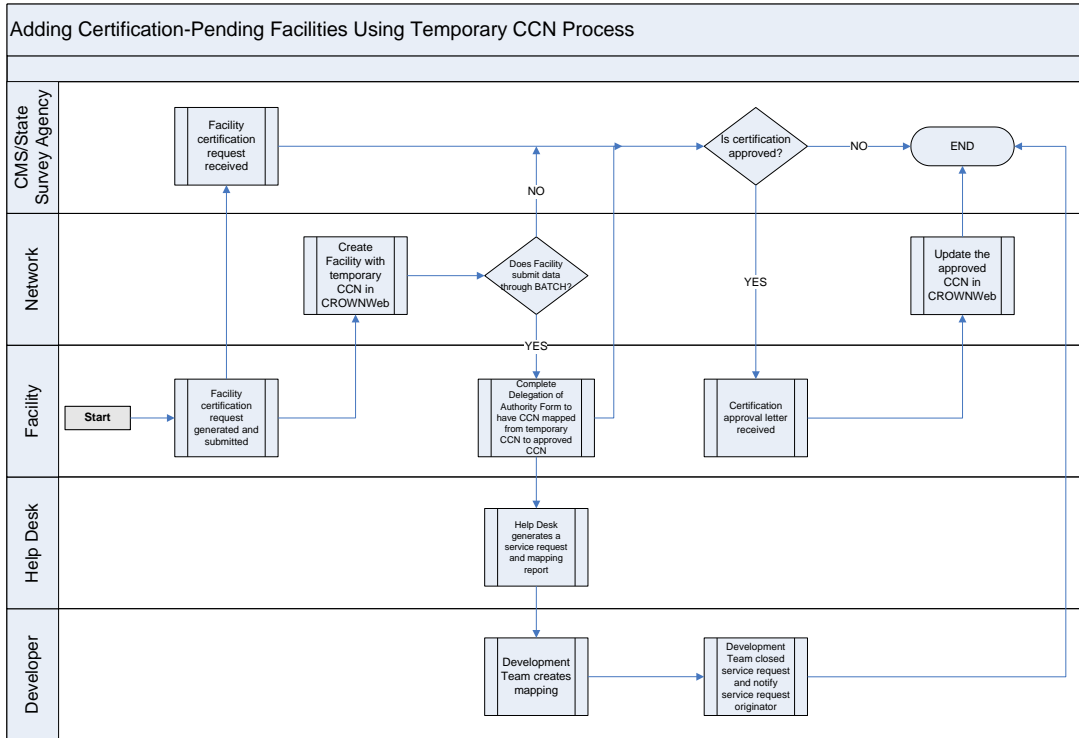
9 PROCEDURES

Adding Certification-Pending Facilities Procedures

- A. The Facility will generate and submit a Facility certification request to CMS and/or appropriate State Agency(ies)
- B. The Facility will notify their corresponding ESRD Network Organization of the pending Facility certification request.
- C. The ESRD Network will create a new Facility in CROWNWeb
 - If the CCN has been established, the ESRD Network will add the Facility in CROWNWeb and document certification information in CROWNWeb.
 - If the CCN has not yet been established, the ESRD Network will create a temporary CCN
 - The ESRD Network will use the designated two-number State Code (see appendix A) for the first two digits of the temporary CCN
 - The ESRD Network will use "88" for the third and fourth digits in the temporary CCN (indicating it is a temporary number)
 - The ESRD Network will use a sequential number for the last two digits for the temporary CCN
- D. The ESRD Network will notify the corresponding Facility of newly created Facility's CROWN Facility Unique Identifier.
- E. If CMS/State Agency approves the Facility certification request
 - CMS/State Agency will send the Facility certification approval letter to the requesting Facility
 - The Facility will notify the corresponding ESRD Network Organization of the Facility certification approval.
- F. If CMS/State Agency rejects the Facility certification request
 - CMS/State Agency will send the Facility certification rejection letter to requesting Facility.
 - The Facility will notify the corresponding ESRD Network of Facility certification rejection.
- G. If the Facility certification is rejected, the Facility will do a re-certification or the ESRD Network will note the Facility's Provider Use Status as "Not Medicare" in CROWNWeb. (Note: Change request pending to add "Not Medicare" as a dropdown option for the Facility Provider Use Status. Until then, please use "Other" as the dropdown option.)
- H. If the Facility certification is approved, the ESRD Network will replace the temporary CCN of the requesting Facility's CCN in CROWNWeb with the approved CCN.
 - Each applicable QIMS user for the newly Certified Facility will fill out the QIMS Account Form to update new CCN. (Note: The QIMS Account Form does not need to be notarized for this update.)
 - The ESRD Network QIMS Security Administrator (SA) will update all applicable QIMS users for the newly Certified Facility with the updated approved CCN in QIMS.
- I. If the Facility is submitting data through BATCH:
 - The Facility will complete the CMS-10268 Delegation of Authority Form.
 - The Facility will send the completed CMS-10268 Delegation of Authority Form to the CROWN Help Desk in accordance with the submitting Facilities policies and procedures.
 - The CROWN Help Desk will validate and process the CMS-10268 Delegation of Authority Form.
 - The CROWN Help Desk will create and process a service request for the request.
 - The CROWNWeb Development Contractors receives the service request and creates the mapping between the temporary CCN to the approved CCN.
 - After the mapping is completed, the CROWNWeb Development Contractors will enter the mapping information in the ticket resolution and close the service request. This will create a CROWNWeb System generated e-mail notifying the originator of resolution.

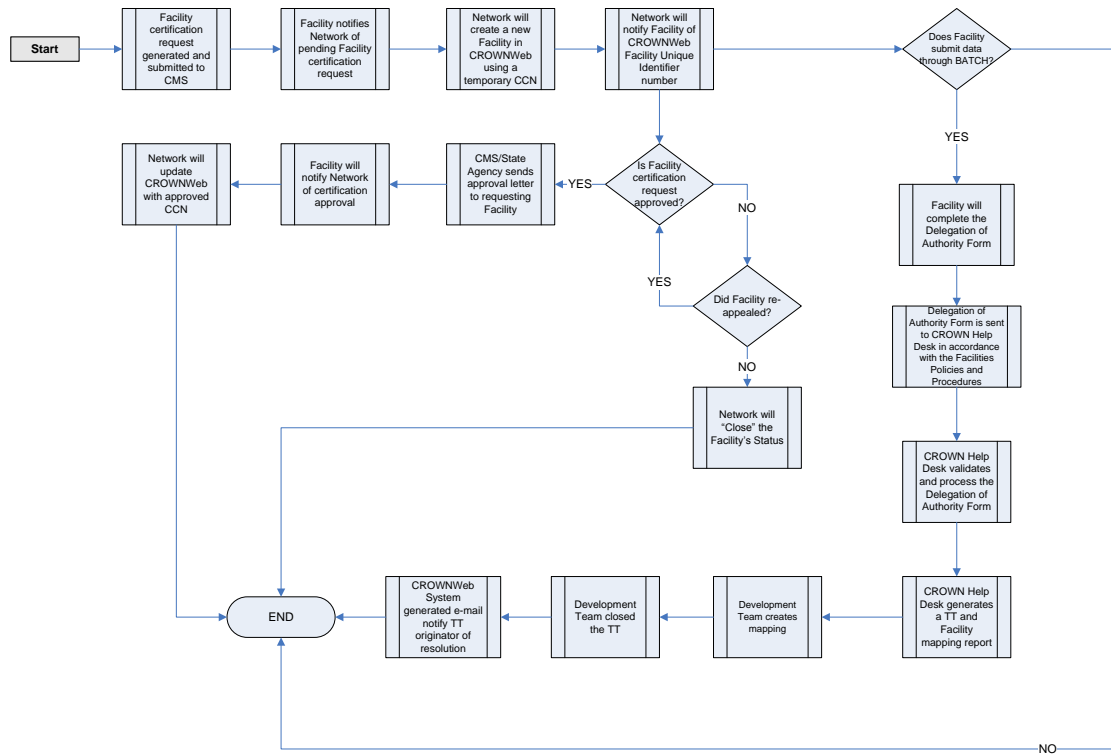
10 FLOWCHARTS

SWIMLANES



Main Flow

Adding Certification-Pending Facilities Using Temporary CCN Process



11 APPENDIX

STATE TABLE		
State Code	State Abbreviation	State Name
01	AL	Alabama
02	AK	Alaska
03	AZ	Arizona
04	AR	Arkansas
05	CA	California (NW17)
55	CA	California (NW 18)
06	CO	Colorado
07	CT	Connecticut
08	DE	Delaware
09	DC	District of Columbia
10	FL	Florida
11	GA	Georgia
12	HI	Hawaii
13	ID	Idaho
14	IL	Illinois
15	IN	Indiana
16	IA	Iowa
17	KS	Kansas
18	KY	Kentucky
19	LA	Louisiana
20	ME	Maine
21	MD	Maryland
22	MA	Massachusetts
23	MI	Michigan
24	MN	Minnesota
25	MS	Mississippi
26	MO	Missouri
27	MT	Montana
28	NE	Nebraska
29	NV	Nevada
30	NH	New Hampshire
31	NJ	New Jersey
32	NM	New Mexico
33	NY	New York
34	NC	North Carolina
35	ND	North Dakota
36	OH	Ohio
37	OK	Oklahoma
38	OR	Oregon
39	PA	Pennsylvania
40	PR	Puerto Rico
41	RI	Rhode Island

42	SC	South Carolina
43	SD	South Dakota
44	TN	Tennessee
45	TX	Texas
46	UT	Utah
47	VT	Vermont
48	VI	Virgin Islands
49	VA	Virginia
50	WA	Washington
51	WV	West Virginia
52	WI	Wisconsin
53	WY	Wyoming
64	AS	American Samoa
65	GU	Guam
66	CM	Com. Marianas

12 DEFINITIONS AND ACRONYMS

Word	Definition
BATCH	Electronic data submission.
BSO	BATCH Submitting Organization (BSO)
CCN	CMS Certification Number (CCN) also known as Provider Number.
CROWN Facility Unique Identifier	A system-generated unique characters used in CROWNWeb System to identify a specific Facility.
CROWNWeb	Consolidated Renal Operations in a Web Enabled Network.
Data Integrity Issue(s)	Issue(s) relating to the viability of the system or the integrity of the data is endangered by a situation requiring immediate investigation or a facility is unable to use CROWNWeb, and it appears that the problem can only be resolved by CROWNWeb Development Contractor's action (that is, it's not a password problem, a user-registration problem, and internet connectivity problem, or a problem with the user's own computer).
Data Mapping	Compiled data element programmed to connect between two distinct entities.
Delegation of Authority Form	CMS-10268 Form verifying that the ESRD Facility delegated their corporate entity to submit data to CMS on their behalf.
Dialysis Facility	A unit (hospital-based or free-standing), which is approved to furnish dialysis services directly to ESRD patients.
End Stage Renal Disease (ESRD)	The stage of renal impairment that appears irreversible and permanent, and requires a regular course of dialysis or kidney transplantation to maintain life.
ESRD Network Organization	Coordinator of Medicare-related ESRD activities for a Medicare approved ESRD facilities in a designated geographic area. Also referred to as "ESRD Network."
Incident Report	A form containing details of incidents involving any component of an IT Infrastructure or any aspect of the IT service.
ISG	Information System Group (ISG) at the Centers for Medicare and Medicaid Services (CMS)
OrgFacilityCode	Organization Facility Code. This is the ESRD Facility's corporate organization number.
QIMS	The QualityNet Identity Management System (QIMS) allows CMS, ESRD Network and Facility Security Administrator (SA) the abilities to register new staff members for CROWNWeb, ensure security for CROWNWeb users, minimize the risk of security incidents, and assist in the secure management of patient information.
QIMS Account Form	A CMS approved form to request for ESRD dialysis facility users access to CROWNWeb System.

Word	Definition
Scope	“Scope” refers to CROWNWeb data that a particular user is allowed to access (typically because it is necessary to complete activities required by the Medicare program). Example: If you work in Facility A, ordinarily data pertaining to a particular patient’s time of treatment at Facility A is “in scope” for you. Patient data relating to times before or after the patient was in your facility’s care are usually “out of scope” for you. Scope controls the access of facility(s) where user can perform their role (tasks they can do).
Security Administrator	Security Administrator (SA) assists in registering new staff members for CROWNWeb System. They help ensure security for CROWNWeb users.
Service Request	A Service Request is a mechanism used to track the detection, reporting, and potential resolution of identified problem. Service Request and/or any industry standard terminology.
SME	A Subject Matter Expert (SME) is a person who is an expert in a particular area.
SOP	Standard Operating Procedures (SOP) are written procedures prescribed for repetitive use as a practice, in accordance with agreed upon specifications aimed at obtaining a desired outcome.
Source System	A database, application, file, or other storage facility from which the data in a data warehouse is derived.
XSD Error	Error generated from XML validation prior to being submitted into CROWNWeb for processing during BATCH submission.