NATIONAL PROVIDER ENROLLMENT CONFERENCE

Submitting Your Enrollment Online

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Session Overview

- ❖ PECOS: Introduction, Key Features and Online Benefits
- ❖ I&A Overview – Getting Started
- ❖ I&A Connections Explanation and Demo
  - ▪ I&A Connection Types
  - ▪ Real-World Examples
- ❖ I&A Surrogacy Explanation and Demo
  - ▪ Real-World Examples
- ❖ Wrap-up

What is PECOS ?

❖ The Provider Enrollment Chain and Ownership System (PECOS) is a national database of Medicare provider, physician, and supplier enrollment information. PECOS is used to collect and maintain the data submitted on CMS 855 enrollment form.

❖ PECOS Provider Interface (PECOS PI) - https://pecos.cms.hhs.gov can be used to:

- Submit an initial Medicare enrollment application
- View or submit changes to your existing Medicare enrollment information
- Submit a Change of Ownership (CHOW) of the Medicare-enrolled provider
- Add or change reassignment of benefits
- Reactivate an existing enrollment record
- Withdraw from the Medicare Program

Key Features of PECOS

❖ Track your application

❖ Upload Digital Document

❖ Submit Electronic Signatures

❖ Submit or Update EFT (CMS-588) information

❖ Pay Application Fee (Pay.gov)

❖ Print Medicare enrollment information

Key Features of PECOS

- ❖ Add & Store Multiple Contact Information

- ❖ Fast Track View of Medicare Enrollment Information

- ❖ Transparency for Groups Accepting Reassignments

- ❖ Revalidation Notification Center

- ❖ Review and update NPI records as part of enrollment submission

Benefits of Using PECOS

❖ Faster processing times
❖ Easier to Revalidate and make changes to enrollments
❖ Greater control and accuracy
❖ Fewer developments
❖ Cleaner applications
  ▪ Built in efficiencies that are in-efficiencies in paper
  ▪ More applications approved
❖ Less rejections
❖ Less returns
❖ Less waste

Benefits of PECOS

❖ Examples of decreasing development rates organizations that have transitioned from paper to PECOS
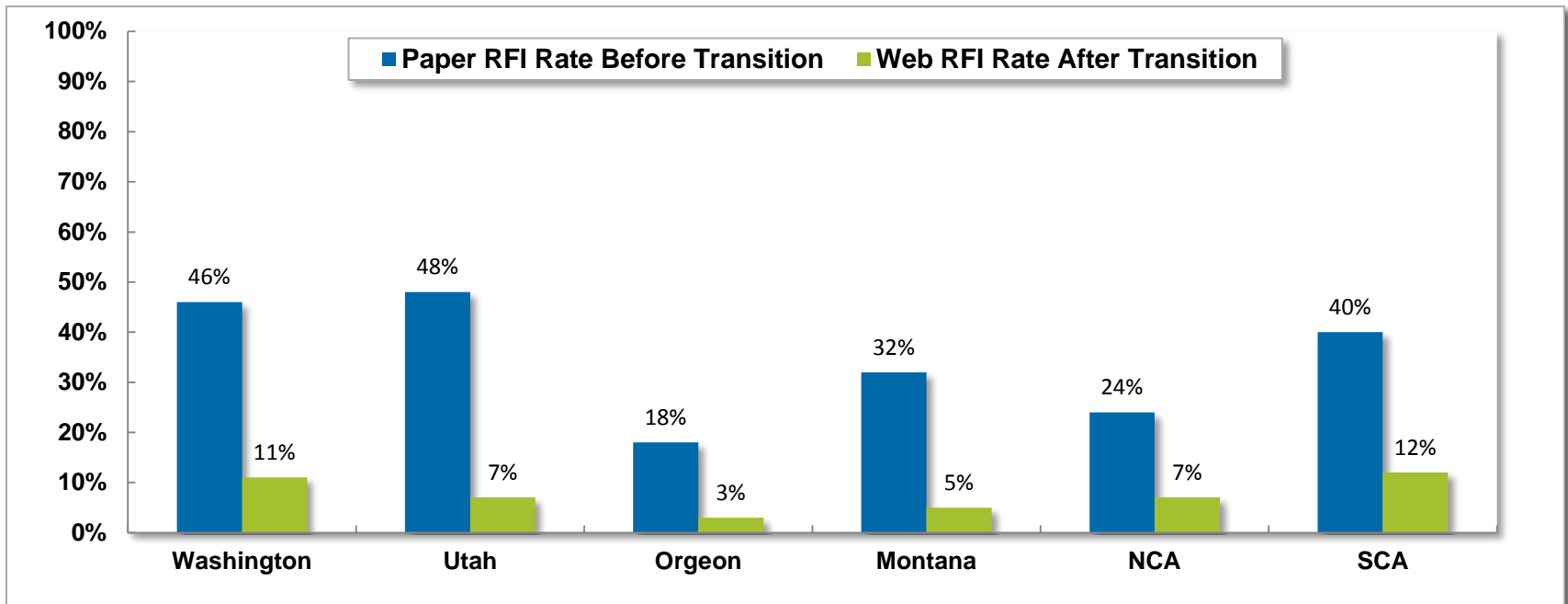
What is I&A?

I&A is the Identity & Access system used by CMS to allow users to **access** and **control access** to **PECOS, NPPES and HITECH (EHR)**

One account to access multiple systems

Who can get an I&A Account?

Anyone can get an account in I&A if they want access to PECOS, NPPES or EHR Information or act as a surrogate on behalf of another EIN

Real World Examples

Individual Providers	Organizational Representatives
Third Party Users	Summer Interns
Office Assistants	Lawyers
Administrative User	You!

How do I get started?

https://nppes.cms.hhs.gov/IAWeb

❖ Follow the Web URL above.

❖ Accept the Terms and Conditions

❖ Click the "Create Account Now" button

Demo: User Registration

First page of the **user registration process**. Email address is a unique field and the system will not allow you to create an account with an email that already exists.

Public Access to:
- Help
- Quick Reference Guide
- FAQ

User Registration

Step 1 of 3

❖ **Step 1** asks you for the standard information shown on the screen here. You are also prompted to set up your security questions for future password resets.

❖ The user is also shown the **progress bar** at the top to show what step they are in during the account creation process

User Registration

Step 2 of 3

- ❖ **Step 2** asks you for the account profile information shown here. Information here may be used for future verification process (i.e. SSN)

- ❖ The progress bar indicates that you are currently on Step 2 and that Step 1 is complete.

User Registration

Step 3 of 3

❖ **Step 3** is the confirmation screen and you are done. Click "Continue to the Homepage" to continue.

DEMO: Tab - Home

Identity & Access Management System   ? Help

| Home | My Profile | My Connections | My Staff |

Home

My Pending Connections

These are Pending Connection requests that have been sent to you or your organization and require your action to approve or reject.

Total Pending Providers: 0

Total Pending Surrogates: 0

News & Alerts

ⓘ **EUS Contact Information:**
External User Services (EUS)
PO Box 792750
San Antonio, Texas 78279
https://eus.custhelp.com

Quick Actions

Add Connection
Add Staff
Add Employer

DEMO: Tab - My Profile

Home	**My Profile**	My Connections	My Staff

My Information

Name: Carl Schell

Date of Birth: 11/14/1974

SSN: XXX-XX-7666

Business Phone Number: 410-576-8777

Fax Number:

Home Address: 2044 Ambling Ct
Crofton, MD, 21114-2706
United States

Personal Phone Number: 410-576-8777

[Modify My Information]

Primary E-mail Address: carl.schell@cms.hhs.gov

[Modify Primary E-mail]

Password

Your Password will expire in **60 day(s).**
Change Password »

Security

Change Security Questions & Answers »

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DEMO: Tab - My Profile

| Home | My Profile | My Connections | My Staff |

Employer Information

Employer ▼	My Role with this Employer ▼	My Status with this Employer ▼	PECOS	EHR	NPPES
⊞ Carl's Org Two	Staff End User	Approved	NO	NO	YES
⊞ Schell, Carl	Authorized Official	Approved	YES	YES	YES
⊞ Test Care Diagnostics, Inc.	Authorized Official	Pending Approval Tracking Id A4484250	NO	NO	NO

If you wish to add an employer, click "Add an Employer". Add an Employer

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DEMO: Tab - My Connections

Home	My Profile	My Connections	My Staff

□ XYZ Org

XYZ Org is a surrogate for the following providers:

XYZ Org has been authorized to work on behalf of the Individual Provider(s) or Healthcare Organization(s) listed below.

Name	NPI	Tracking ID	Business Function	Access Status
□ New Other Org		S1673371	NPPES	Approved

XYZ Org has authorized the following surrogates:

The following Individual(s) or Organization(s) have been authorized to work on behalf of XYZ Org

DEMO: Tab - My Connections

Home	My Profile	My Connections	My Staff

□ Schell, Carl

Schell, Carl is a surrogate for the following providers:

Schell, Carl has been authorized to work on behalf of the Individual Provider(s) or Healthcare Organization(s) listed below. Use the Find Provider button below to initiate a request to work on behalf of a Provider or Organization not listed here.

Find Provider

Name	NPI	Tracking ID	Business Function	Access Status
□ TESTCHECK INC		S1673351	PECOS	Pending
		S1673352	EHR Incentive Program	Pending
		S1673353	NPPES	Pending

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DEMO: Tab – My Staff

I have an account now… can I use PECOS?

Not yet, you don't have any connections!

What is a Connection?

A Connection is, quite simply, *a way to connect to a TIN (EIN or SSN)* in order to **gain access** to PECOS, NPPES and HITECH records. There are two types of connections...

❖ **Employer Connection** – Connecting **your account** to an Individual Provider (SSN) or an Organizational Provider (EIN) in order to gain access to their records.

❖ **Surrogacy Connection** – Connecting two TINs together to allow a third party access on the TINs behalf.

Connections: Employer/Surrogacy

```
┌─────────────────────┐     ┌──────────────┐     ┌─────────────────────┐
│                     │     │  Surrogacy   │     │                     │
│    TIN (XYZ Org)    │─────┤              ├─────│ TIN (ABC Billing Co.)│
│                     │     └──────────────┘     │                     │
└─────────────────────┘                          └─────────────────────┘
```

| Employer | | Employer |

- Authorized Officials
- Delegated Officials
- Staff End Users

- Authorized Officials
- Delegated Officials
- Staff End Users
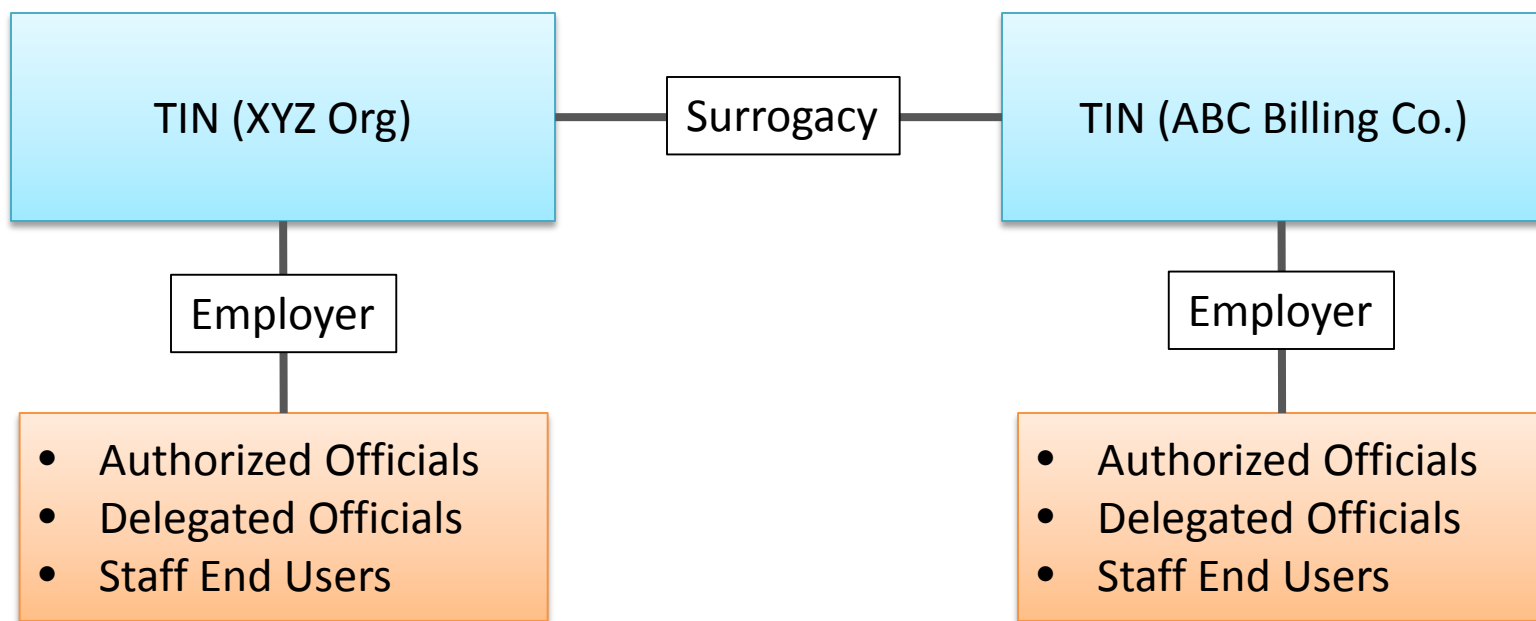
Tax Identification Number (TIN) as a Bucket

TIN (EIN/SSN)

PECOS Records

NPPES Records
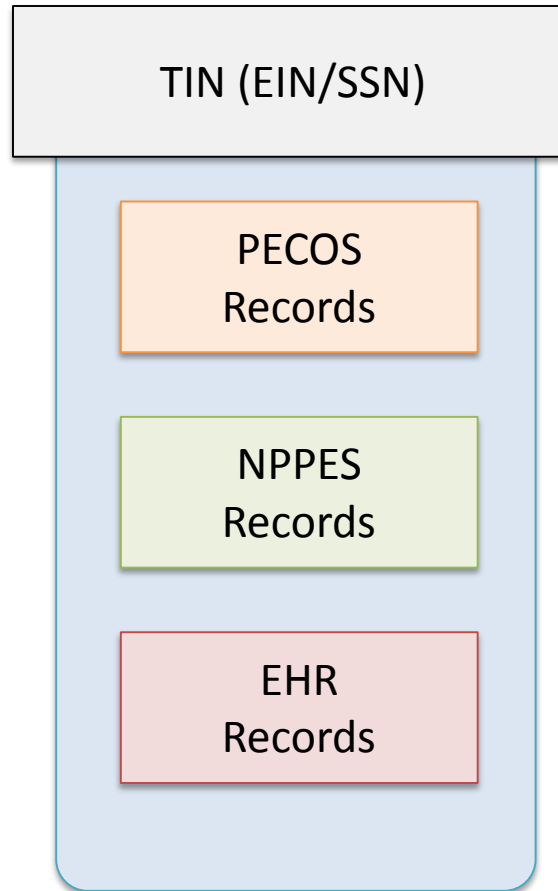
EHR Records

Employer Connection

You can **"Add an Employer"** to connect to an Individual Provider (SSN) or an Organizational Provider (EIN) as one of the roles below.

You **must have a connection to a TIN** *(EIN or SSN)* in order to access their records or manage other users access levels.

❖ Employer Connection Access Types:

- Authorized Official (AO)

- Delegated Official (DO)

- Staff End User (SEU)

Employer Connection Example

Your Account

Employer Connection
AO/DO/SEU

TIN (EIN/SSN)

PECOS
Records

NPPES
Records

EHR
Records
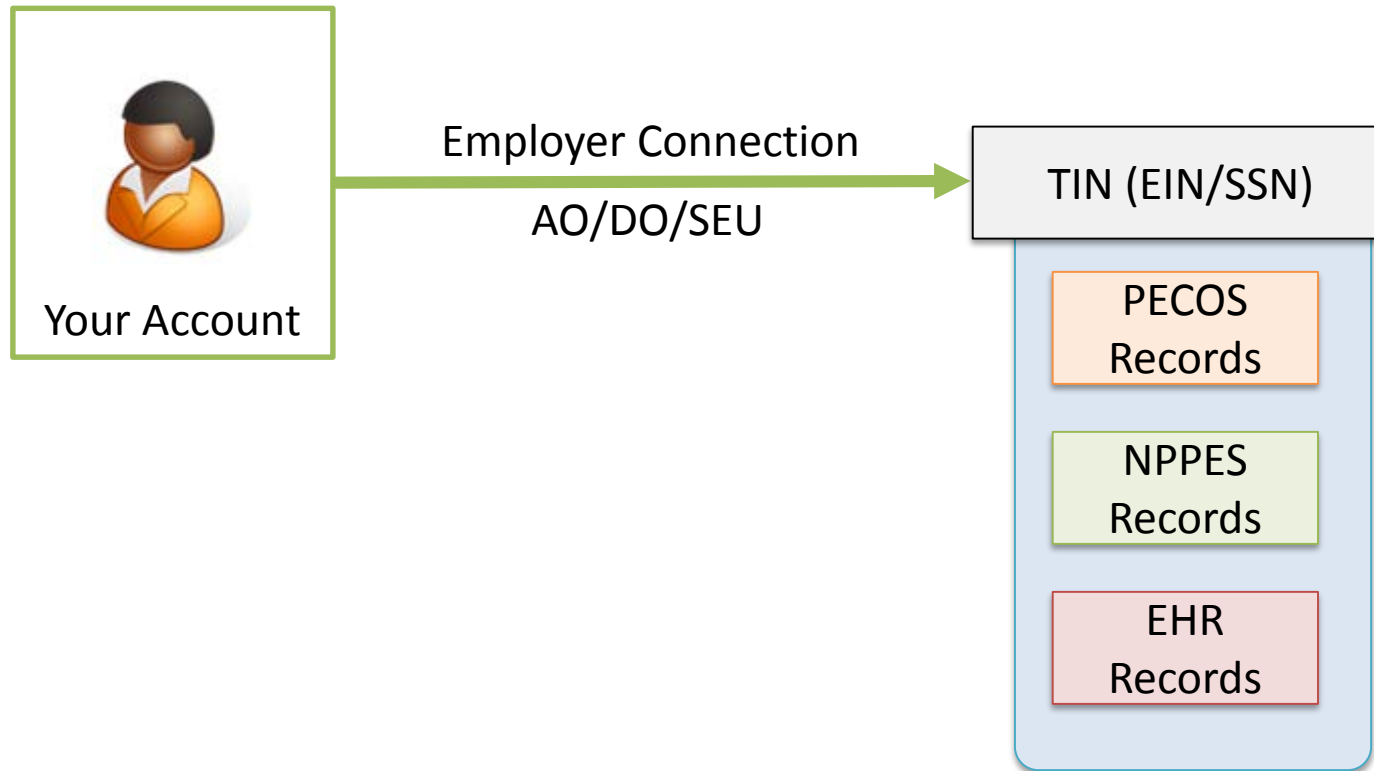
What is an AO?

AO is an **Authorized Official** for a TIN (EIN or SSN) and is the highest permission level in I&A.

❖ AOs have rights to all business functions (PECOS, HITECH, and NPPES) for their employer.

❖ AOs can manage and approve DO and SEU users

❖ Can request and manage employer connections

❖ Can request and manage surrogacy connections

❖ Can approve or reject access on a system by system basis

I&A AO vs. PECOS AO

AO in PECOS	AO in I&A
Enroll, make changes and ensure compliance with enrollment requirements	Assign surrogacy and controls access to PECOS and NPPES records
- CEO, CFO, partner, chairman, owner, or equivalent appointed by the organization. - may sign all applications *(must sign initial application)*	- less restrictive AO requirements than PECOS - Automatically approved if listed as AO in PECOS. If not, CP575 must be provided to approve access - manage staff and connections for the employer - approve DO/SEU for the employer

What is a DO?

The DO is a **Delegated Official** for a TIN (EIN or SSN) and is the second highest permission level for I&A.

❖ DOs have rights to all business functions (PECOS, HITECH, and NPPES) for their employer.

❖ DOs can approve SEU users.

❖ A user can be an DO for one employer and a AO, DO or SEU for other employers.

❖ Can add and remove users who are SEUs for their employer.

AO/DO Approvals

I&A has built in automatic approval functions for the AO and DO requests in ***certain situations***…

❖ The SSN for the requesting account in I&A matches the Authorized Official or Delegated Official in PECOS.

❖ The SSN on the account for an Individual Provider matches the SSN on the NPPES record.

❖ If an automatic match is not available, You must submit to the EUS help desk a copy of the CP 575 [or approved alternate] for the organization for which you are connecting to. (To help expedite your request please write the I&A Tracking ID on the copy of the CP 575 you submit to EUS).

I&A DO vs. PECOS DO

| DO in PECOS	DO in I&A
Appointed by the AO with authority to report changes to enrollment information	Authority to assign surrogacy and controls access to PECOS and NPPES records
- ownership, control, or W-2 managing employee - multiple DOs permitted - may sign changes, updates and revalidations *(cannot sign initial application)*	- delegated by the AO of org provider or 3rd party org - may add the employer to his profile, manage staff and connections for the employer - multiple DOs permitted - DO can approve SEUs

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What is a SEU?

The **SEU** is a **Staff End User** and is the lowest permission level for I&A.

❖ Must be approved by a AO or DO of their employer connection

❖ Rights to business functions from their employer connections must be explicitly assigned

❖ Rights to providers that their employer connection has surrogate rights for and must be explicitly assigned access by an AO or DO of their employer connection
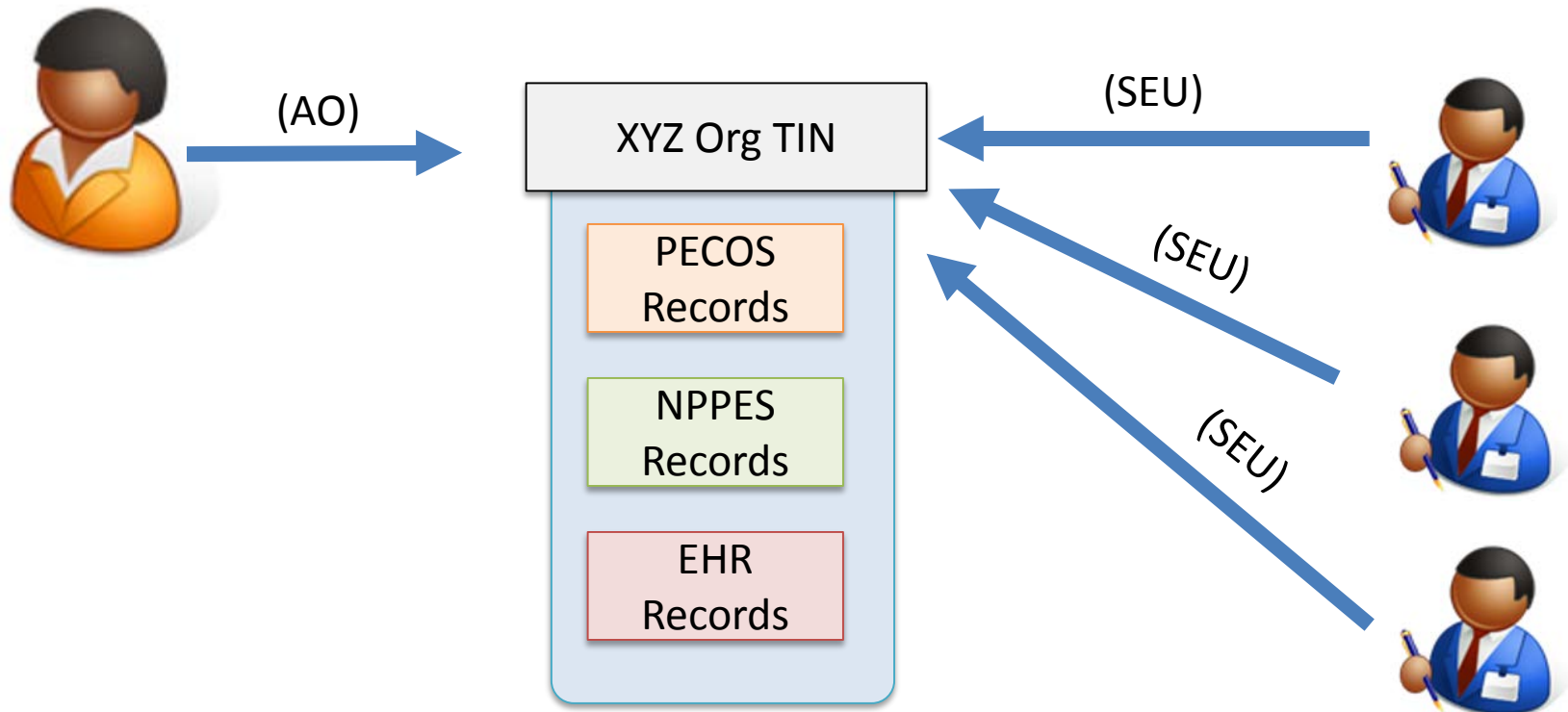
Employer Connection Example 1

Individual provider connects to his/her own SSN as AO – approves office assistant as DO or SEU to manage his/her records

Employer Connection (AO)

Employer Connection (DO or SEU)
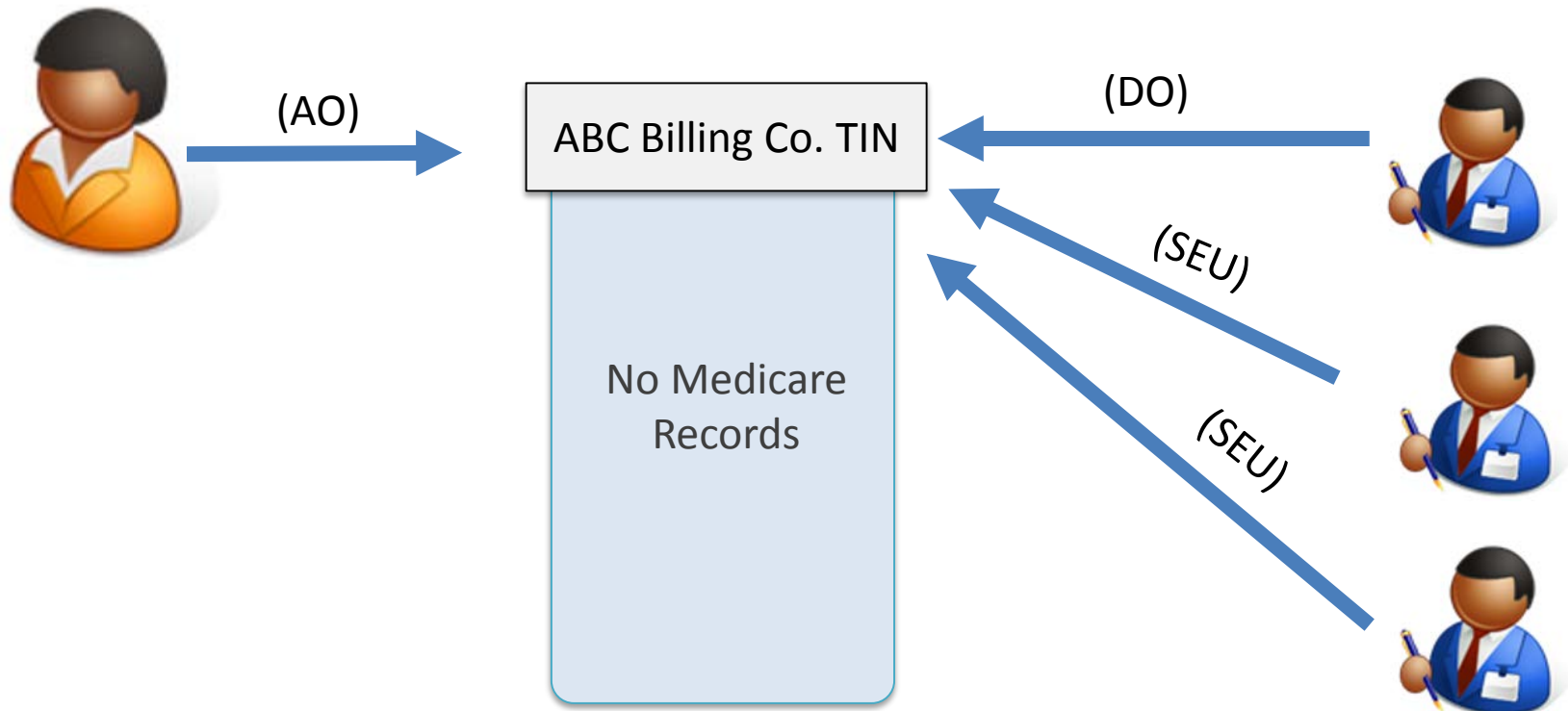
Dr. Smith SSN

PECOS Records

NPPES Records

EHR Records
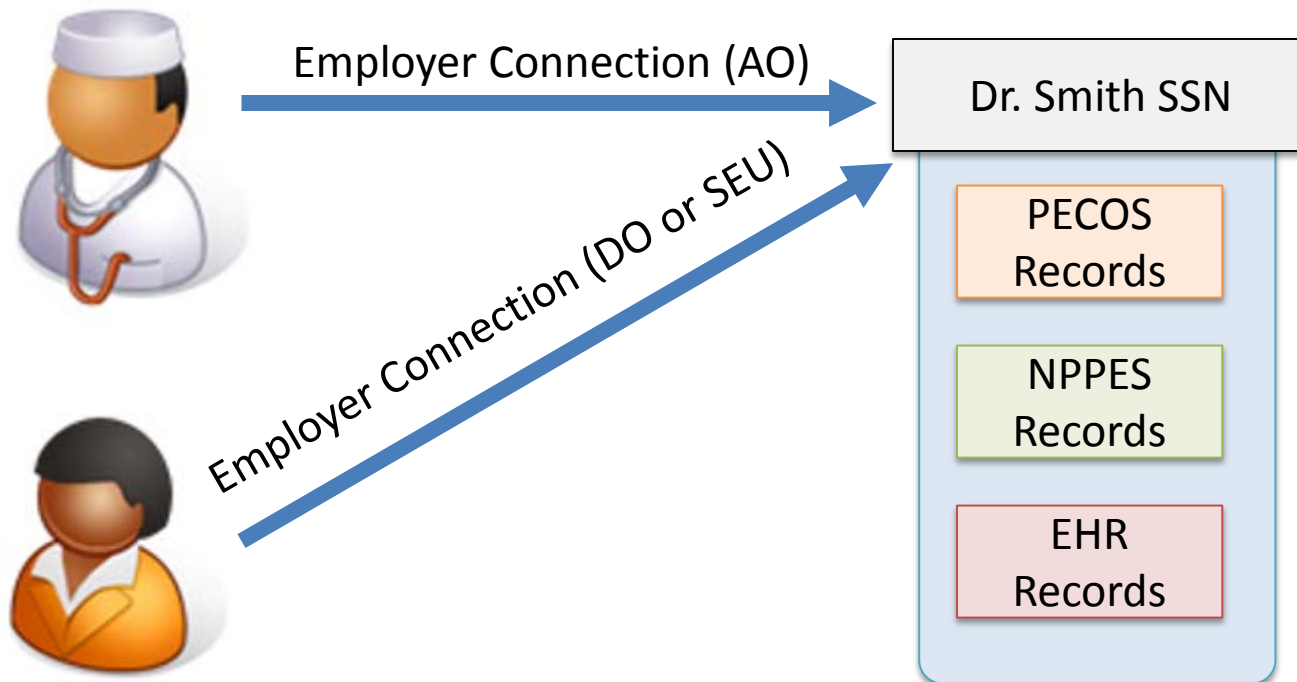
Employer Connection Example 2

Health group office manager connects to their TIN (EIN) as AO and approves three analysts as Staff End Users

(AO)

XYZ Org TIN

PECOS Records

NPPES Records

EHR Records

(SEU)

(SEU)

(SEU)

Employer Connection Example 3

A 3rd Party Surrogate wants to set up an employer connections in order work on behalf of other organizations.

DEMO: Set up Employer Connection

My Profile Tab – At the bottom, click "Add an Employer"

DEMO: Set up Employer Connection

Enter the entity information and click Search

DEMO: Set up Employer Connection
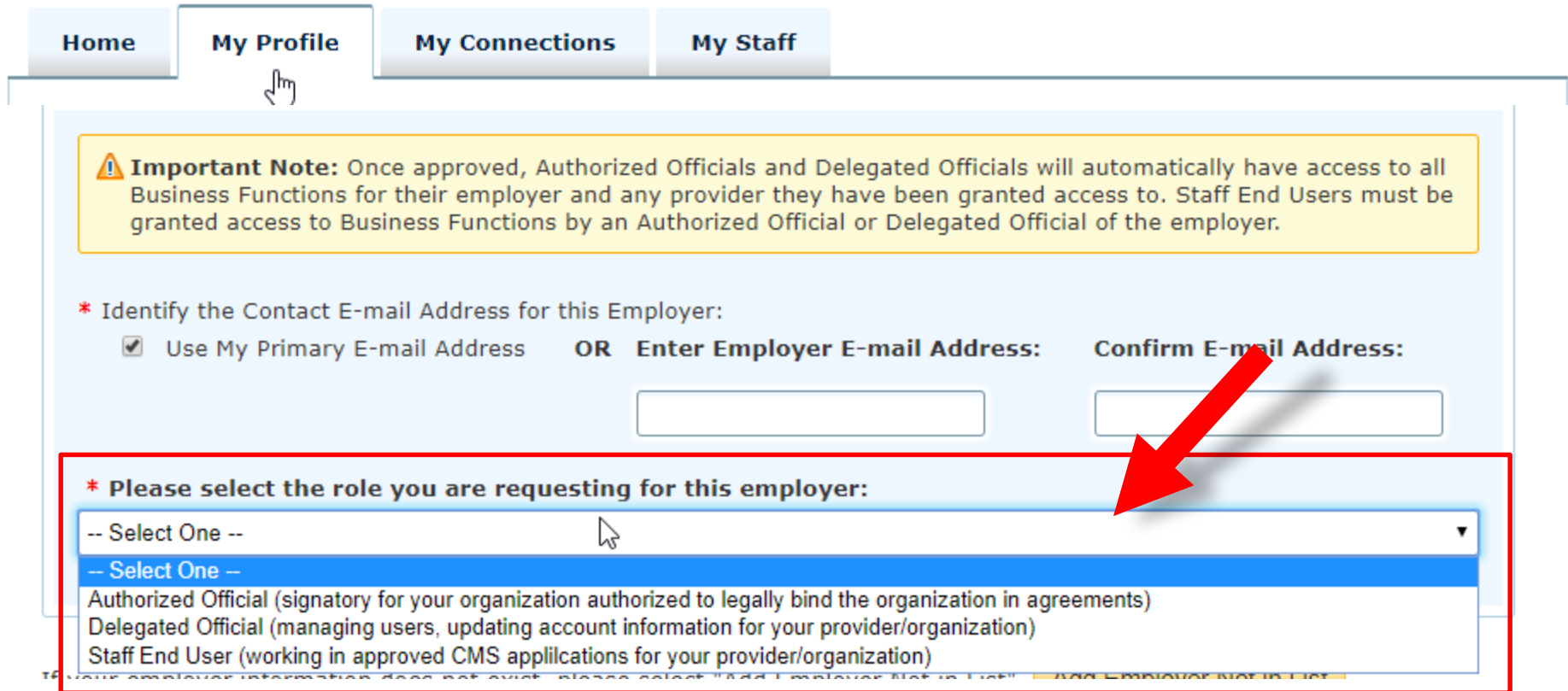
Choosing the employer will bring up the connection options. You can also add an employer if they are not found.

DEMO: Set up Employer Connection

Home	My Profile	My Connections	My Staff

⚠ **Important Note:** Once approved, Authorized Officials and Delegated Officials will automatically have access to all Business Functions for their employer and any provider they have been granted access to. Staff End Users must be granted access to Business Functions by an Authorized Official or Delegated Official of the employer.

* Identify the Contact E-mail Address for this Employer:

☑ Use My Primary E-mail Address   **OR   Enter Employer E-mail Address:**   **Confirm E-mail Address:**

* **Please select the role you are requesting for this employer:**

-- Select One -- ▼

-- Select One --
Authorized Official (signatory for your organization authorized to legally bind the organization in agreements)
Delegated Official (managing users, updating account information for your provider/organization)
Staff End User (working in approved CMS applilcations for your provider/organization)

Choose your role and click submit at the bottom. You must know the AOs contact info is selecting DO/SEU

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DEMO: Set up Employer Connection

Home	My Profile	My Connections	My Staff

Employer ▼	My Role with this Employer ▼	My Status with this Employer ▼	PECOS	EHR	NPPES
⊞ Test Care Diagnostics, Inc.	Authorized Official	Pending Approval Tracking Id A4484250	NO	NO	NO

Once requested, you will be automatically approved, the AO will approve you OR you will need to send in the proper documentation to EUS to be approved. You can find your tracking ID and status in the employer information table in the My Profile tab.

What is Surrogacy?

A surrogacy connection is simply a connection between two Employers (TINs) that allows the AO/DO/SEU users of the **initiating** Organization (TIN) to **access the records on behalf** of the **accepting** Organization(TIN).

❖ Providers can **designate Surrogates** to work on their behalf.

❖ Rights are **assigned by business function** (NPPES, PECOS, or HITECH).

❖ AO's and DO's can **initiate requests** for Surrogacy.

❖ AO's and DO's can **approve or reject Surrogacy Requests** for their employer.

❖ SEU's for surrogate will **only have rights if implicitly assigned** by one of their AO's or DO's

Surrogacy Connections

A surrogacy connection is simply connecting two TINs together. This allows users connected to the TIN access to the other TIN's records.
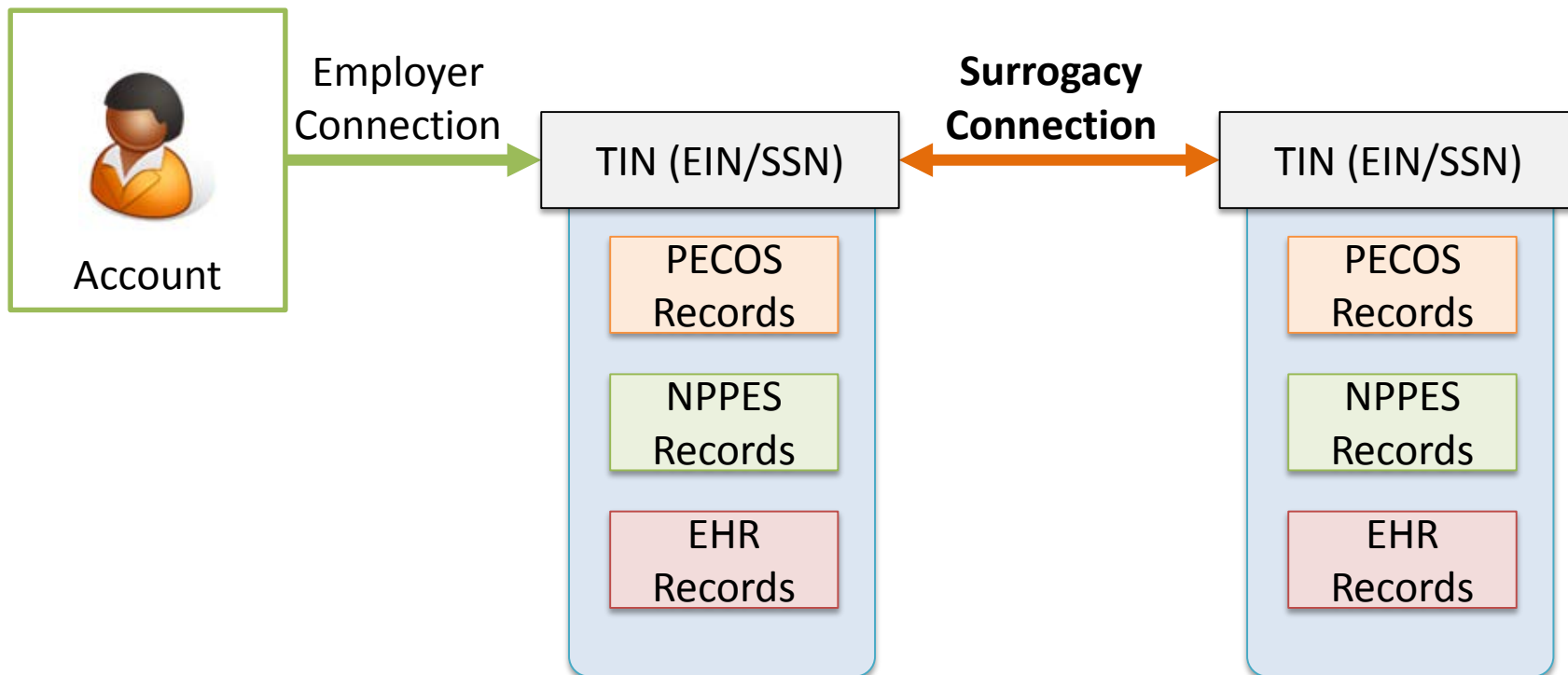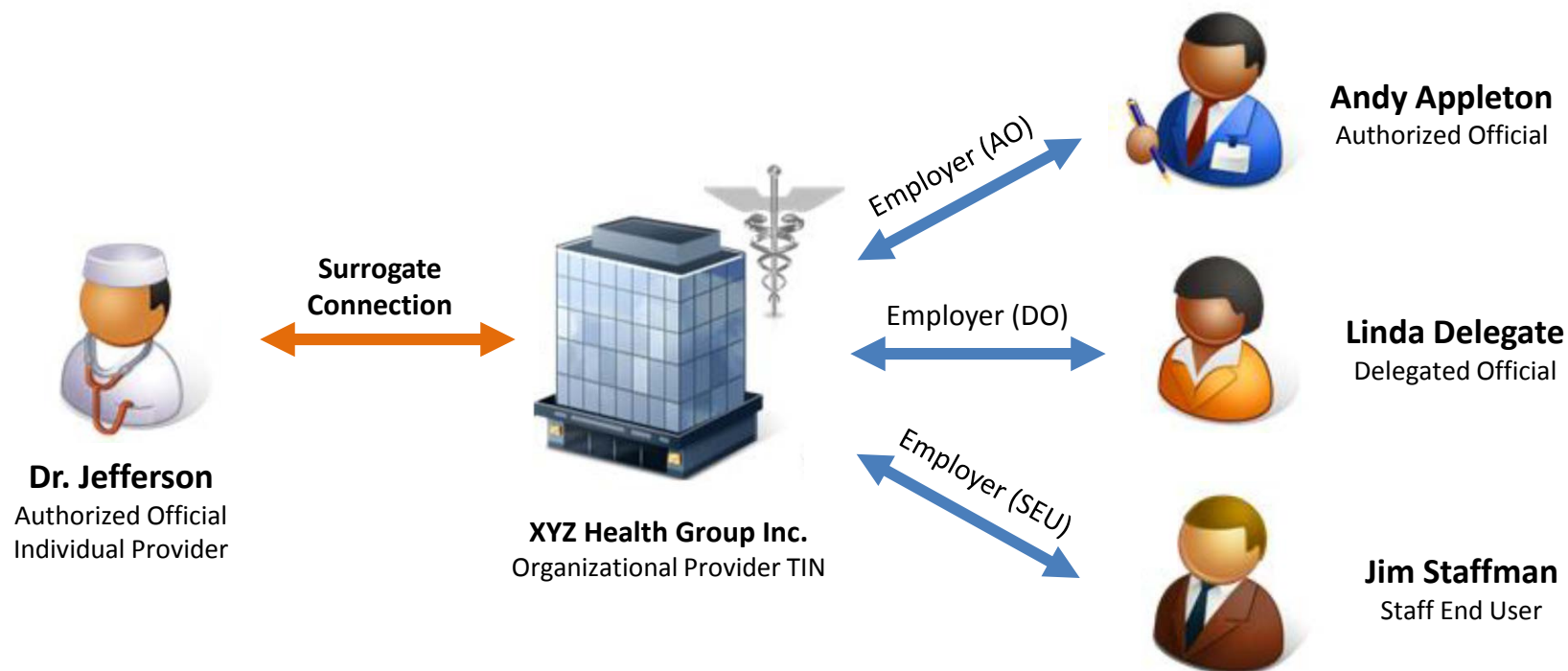
Surrogacy – One Level Deep

If you have a Surrogacy connection with **XYZ Org**, you will not have access to any other Organization (TINs) that **XYZ ORG** has Surrogacy with. You can **only access** the TIN you have an active surrogacy connection with. There are other options to gain access:

❖ Option #1: Become a Staff End user (SEU) for the other organization.

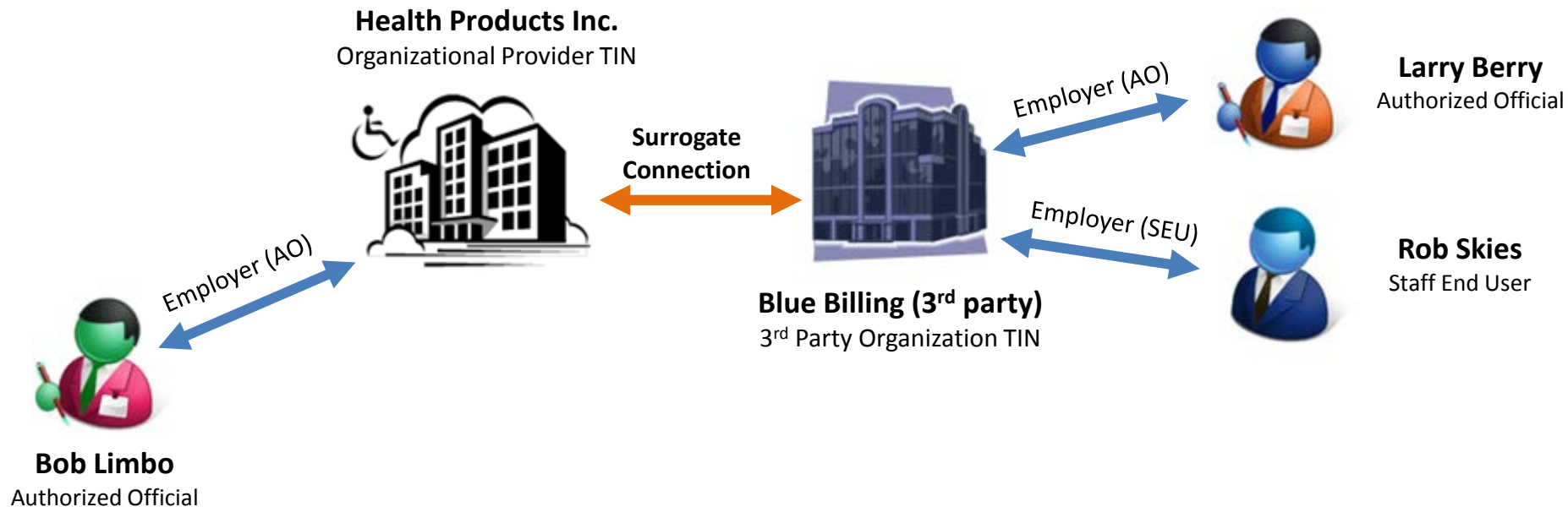❖ Option #2: Set up other Surrogacy connections with the other organization.

Surrogacy Connection Example 1

**Individual Provider** working for an **Enrolled Group**

Andy Appleton
Authorized Official

Employer (AO)

Surrogate
Connection

Employer (DO)

Linda Delegate
Delegated Official

Employer (SEU)

Dr. Jefferson
Authorized Official
Individual Provider

XYZ Health Group Inc.
Organizational Provider TIN

Jim Staffman
Staff End User

Surrogacy Connection Example 2

Organizational Provider hires **3rd Party Organization** to manage PECOS information

Health Products Inc.
Organizational Provider TIN

Surrogate Connection

Employer (AO)

Bob Limbo
Authorized Official

Blue Billing (3ʳᵈ party)
3ʳᵈ Party Organization TIN

Employer (AO)

Larry Berry
Authorized Official

Employer (SEU)

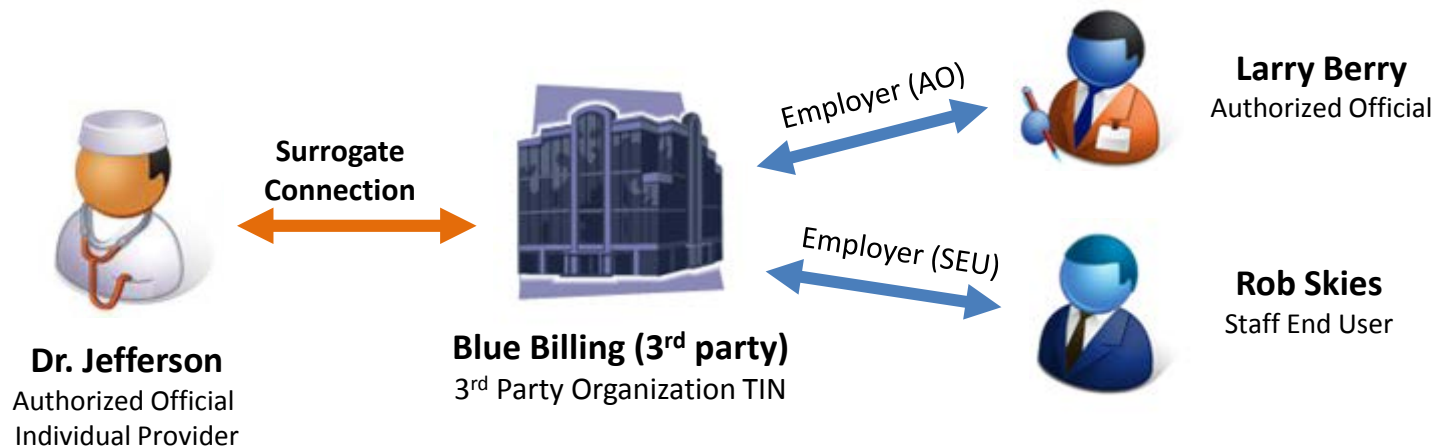**Rob Skies**
Staff End User

Surrogacy Connection Example 3

Group Practice hires 3rd Party Organization to manage PECOS information
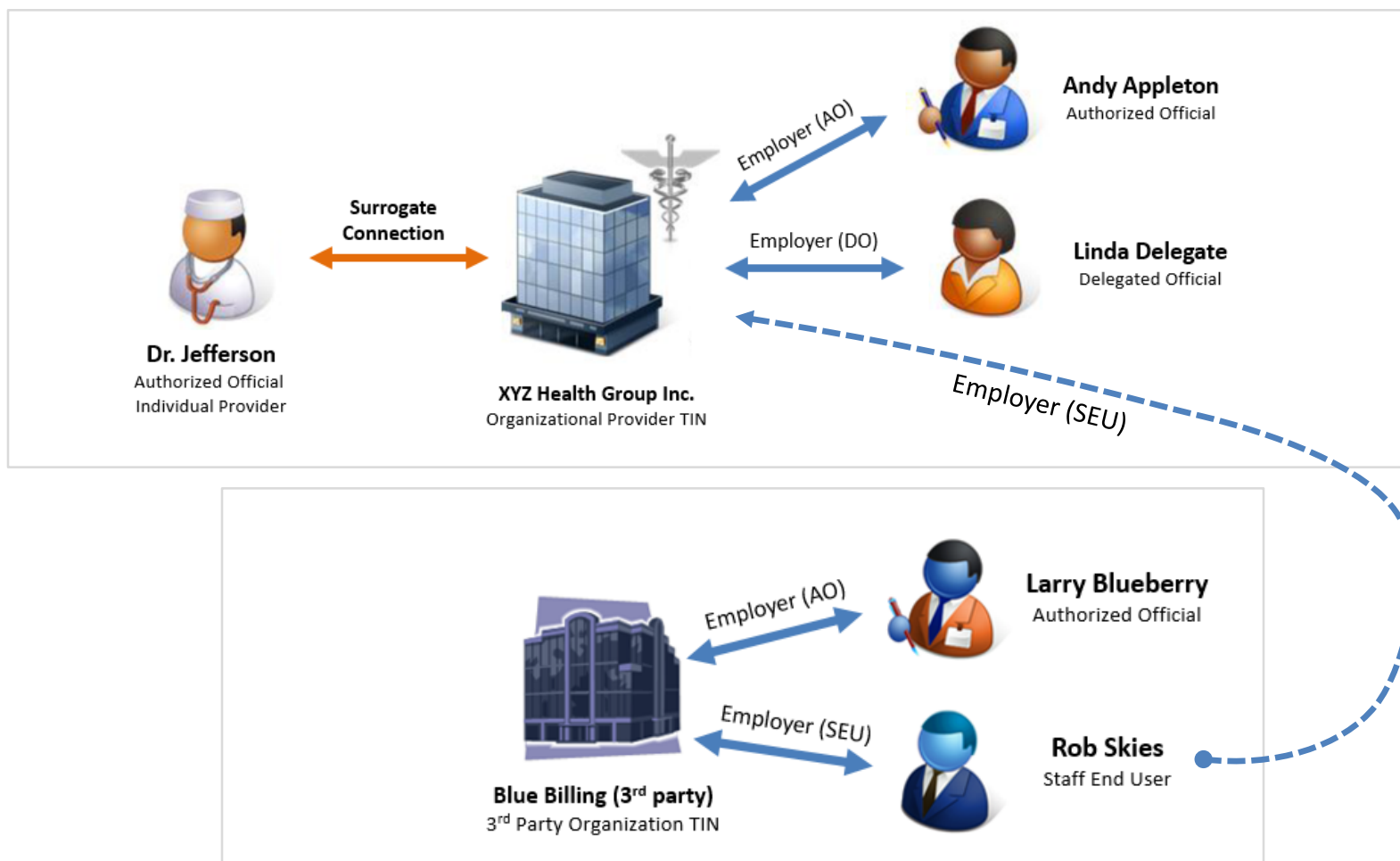
Surrogacy Connection Example 4

Individual Provider Hires 3rd Party Organization to Update PECOS records.

Dr. Jefferson — Authorized Official, Individual Provider

Surrogate Connection

Blue Billing (3rd party) — 3rd Party Organization TIN

Employer (AO) — Larry Berry, Authorized Official

Employer (SEU) — Rob Skies, Staff End User

DEMO: Set up Surrogacy Connection

Click the expand (+) button on the organization that you want to connect via surrogacy

DEMO: Set up Surrogacy Connection

Click "Find Provider" to search for the entity you want to establish a surrogacy connection with

DEMO: Set up Surrogacy Connection

Search for the entity to connect to.
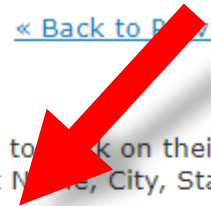
DEMO: Set up Surrogacy Connection

Select the radio button of the entity and choose the business functions you want access to. Hit continue…

DEMO: Set up Surrogacy Connection

| Home | My Profile | **My Connections** | My Staff |

My Connection ▶ Add Provider   « Back to Previous Page

⚠ You have requested to work on behalf of TESTCHECK INC as a surrogate. Once the connection has been approved, you will automatically be connected to all associated NPI's. Review the information listed below before you continue.

Name: TESTCHECK INC

Business Function(s) Selected:

- EHR Incentive Program

To send this connection request notification to a another e-mail address in addition to what is currently on file for this provider, enter the additional e-mail address below.

Additional E-mail Address: [   ]

You will see a confirmation page where you can add an additional email address for notification. Click Submit.

DEMO: Set up Surrogacy Connection

Your request is now pending on the My Connections Tab

Access Matrix

Role	Represent an Organization	Manage Staff	Approve/ Manage Connections	Act on behalf of individual Organizational Providers
Individual Provider (AO)	Yes	Yes	Yes	Yes
Authorized Official (AO)	Yes	Yes	Yes	Yes
Delegated Official (DO)	Yes	Yes	Yes	Yes
Staff End User (SEU)	No	No	No	Yes
Surrogate	No	No	No	Yes

Lessons Learned

❖ Take your time and get it right the first time

❖ Talk with those at your organization that set up EHR

❖ Choose the right Authorized Official

❖ Initial set up is the most time consuming

❖ Explore hiring temp staff to set up connections

- Access can be modified at any time
- The AO can delegate authority to whomever they wish
- Access can be dissociated quickly and efficiently

❖ You will continue to establish connections with new providers as they are hired

Lessons Learned

❖ This will be a culture change at your organization
- ▪ Educate provider so they are ready to approve access requests
- ▪ Do workshops with providers to get everything set up
- ▪ Have instructions for providers to approve access requests

❖ Start setting up connections for providers Revalidating
- ▪ As they come due for Revalidation:
  - ▪ Check the Revalidation Notification Center
  - ▪ Set up connections and/or submit application

❖ This doesn't have to be all or nothing

❖ Call the EUS, they are there to help with the I&A

❖ To learn how to use PECOS, check your MACs website

Resources

- ❖ I&A: https://nppes.cms.hhs.gov/IAWeb
- ❖ PECOS: https://pecos.cms.hhs.gov
- ❖ NPPES: https://nppes.cms.hhs.gov
- ❖ End User Services (EUS):
  - ▪ https://eus.custhelp.com
- ❖ I&A Online Help:
  - ▪ https://nppes.cms.hhs.gov/IAWeb/help/help.do?topicName=LoginHelp
- ❖ I&A FAQs
  - ▪ https://nppes.cms.hhs.gov/IAWebContent/FAQs.pdf
- ❖ I&A Quick Reference Guide:
  - ▪ https://nppes.cms.hhs.gov/IAWebContent/Quick_Reference_Guide.pdf

Questions?