HRSA EHB USER GUIDE

FTCA

User Guide for Grantees

U.S. Department of Health and Human Services
HRSA
Health Resources and Services Administration

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1. Introduction

Federal Tort Claims Act (FTCA) coverage for eligible Health Center Program grantees was initially established through the Federally Supported Health Centers Assistance Act (FSHCAA) of 1992. The eligible entities ("health centers") are organizations receiving funding under the Health Center Program (Community Health Centers, Migrant Health Centers, Health Care for the Homeless Centers, and Public Housing Primary Care Centers). Health centers are required to reapply each year for deeming and associated medical malpractice coverage.

As a part of continued efforts to streamline and automate data reporting processes, the Bureau of Primary Health Care (BPHC) has developed a FTCA deeming module within the HRSA Electronic Handbooks (EHBs). This module fully supports electronic, web-based functionality for the deeming process, including: grantee completion and submission of applications; BPHC review and processing of applications; and production of deeming status notifications to grantees.

The purpose of this document is to provide detailed assistance for completing and submitting deeming applications through the HRSA Electronic Handbooks (EHBs).

> This document is not a substitute for the BPHC's Program Information Notices (PINs) and Program Assistance Letters (PALs) related to the Health Center FTCA Program.

2. Getting Started

2.1. What is FTCA and Who May Apply?

Please refer to the BPHC's Program Information Notices (PINs) and Program Assistance Letters (PALs) related to the Health Center FTCA Program for information on FTCA purpose and requirements and for programmatic and data reporting questions. These can be found at http://www.bphc.hrsa.gov/policy/#ftca.

FTCA coverage is an optional benefit available to organizations receiving funding under the Health Center Program. Eligible health centers seeking coverage must apply. Health centers with sub-recipient organizations seeking coverage must apply on behalf of their sub-recipient organizations (see section 5 below).

2.2. When Will the Application be Available?

Health Centers wishing to submit an Initial Deeming Application or a Renewal Application, please refer to the most recent PAL at http://bphc.hrsa.gov/ftca/

2.3. What Are the Deadlines?

Health centers may submit an initial deeming application at any time during the year. (Note that you must submit the application by December 31 or it becomes void.) Currently deemed health centers submit redeeming applications at specific times of the year, at HRSA's direction. Application deadlines, where applicable, are displayed in the application header (Figure 1).

Figure 1: Application Header Showing Application Deadline

Grantee Name:	**Application Type:** Initial Deeming
Address:	**Application Deadline:** N/A
Grant#: H80CS	**Funding Streams:**
Created By: on	**Last Updated By:** on
View: Scope Required Services | Scope Additional Services | Scope Sites | Scope Activities | Resources	

3. Accessing the FTCA Application

3.1. EHB Roles and Privileges

In order to access, work on and submit FTCA applications, you must be a registered user within the EHBs, with appropriate roles and privileges. Every EHBs user has the organization-level role of "Authorizing Official" (AO), "Business Official" (BO) or "Other." You request that role when you create your EHBs account. To work on submissions for a grant, you must also have the grant-level role of "Project Director" (PD) or "Other" for that grant. In the case of FTCA, you must have the "Project Director" or "Other" role for the Health Center grant and you must have one or more of the privileges in Table 1 below.

The FTCA Program link will only be available as a part of the H80 grant handbook.

By default, anyone who has the H80 grant in their portfolio will only have access to view the FTCA Program Link. However, the Project Director automatically has all privileges associated with the grant, including the privilege to view, edit and submit FTCA applications. S/he may grant these privileges (as well as others) to any user who requests them.

> All users (including the PD) who need to work on the FTCA application should ensure that the Health Center Cluster grant has been added to their portfolio. Click the 'View Portfolio' link from the left side menu in the EHBs. If the grant is not listed, click the 'Add to Portfolio' link and follow the directions on screen. The PD will be given immediate access to the grant. Others will be given access and privileges when the PD approves their request.

The privileges you have determine what you can do. You may have any or all of the access, view, create, edit and submit privileges at the grant level. The following table summarizes the permissions associated with each privilege within the EHBs.

Table 1: Access Privileges

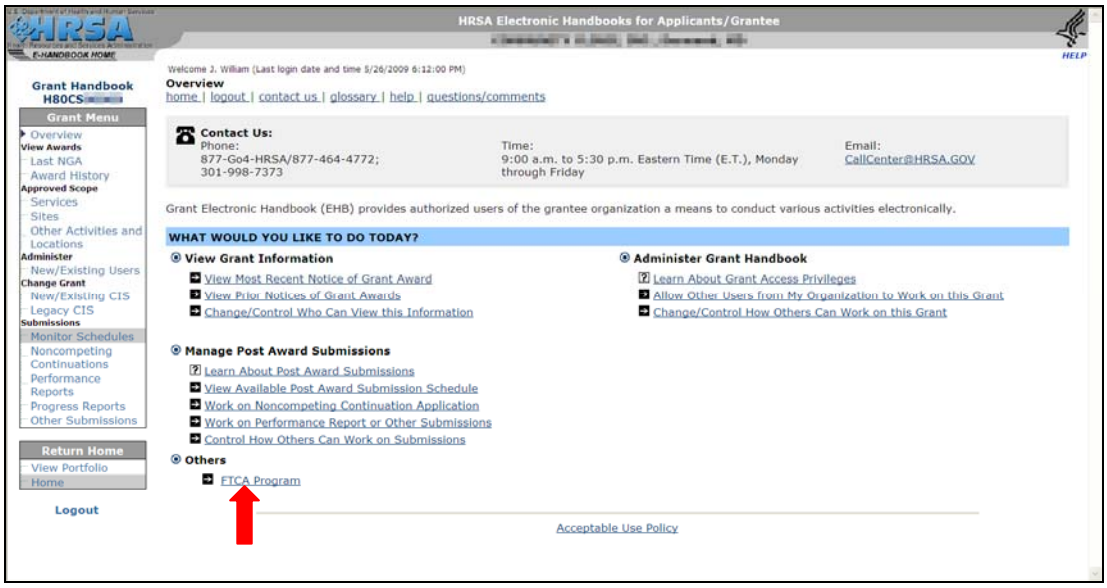
Privilege	Permissions
Access FTCA Handbook	✓ View the FTCA Homepage
View FTCA Application	All permissions associated with the "Access" privilege, plus ✓ Access the read-only version of the FTCA application ✓ Access the submitted read-only versions of the applications for all previous years
Create FTCA Application	All permissions associated with the "View" privilege, plus ✓ Create an FTCA application
Edit FTCA Application	All permissions associated with the "Create" privilege, plus ✓ Enter and save the data in the electronic forms for all sections of the application
Submit FTCA Application	All permissions associated with the "Edit" privilege, plus ✓ Submit the application once the data has been entered

3.2. Navigating to Your FTCA Application

If you are already a registered user with the HRSA EHBs, you can follow these steps to get started:

1. Type the link to the EHBs, in the address bar of your browser: https://grants.hrsa.gov/webexternal/Login.asp
2. Log into the EHBs.
3. On the side menu, under **Grants Portfolio**, click on the View Portfolio link.
4. In the **Grants List**, click on Open Grant Handbook for your health center cluster grant.
5. The Overview page opens. Under **Others**, click on the FTCA Program link.

Figure 2: FTCA Program Link on Overview Page

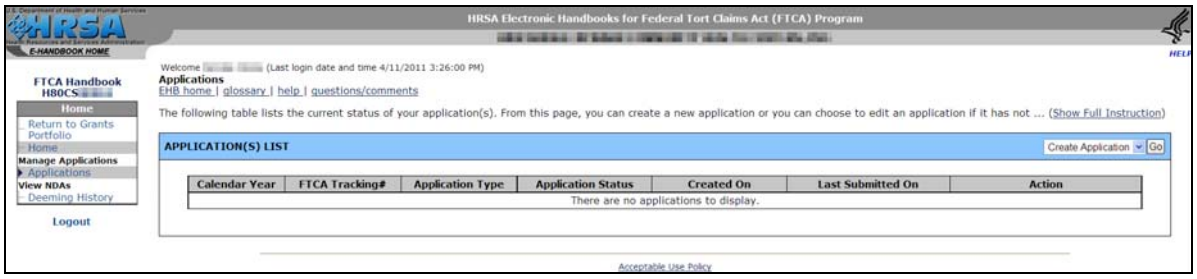


6. The Welcome page for the FTCA program opens. Under **View Applications**, click on the Work on My FTCA Application link.
7. The *Applications* page opens. See section 3.3 below.

3.3. The Applications Page

From the *Applications* page, you may create a new application or work with one you created previously (Figure 3).

Figure 3: Applications Page



To create an application, click the **Go** button in the upper right corner of the **APPLICATIONS LIST**.

You need not complete the application in a single sitting. To return to an application you have previously begun, click the Edit Application link.

Figure 4: Applications Page Showing Application in Progress

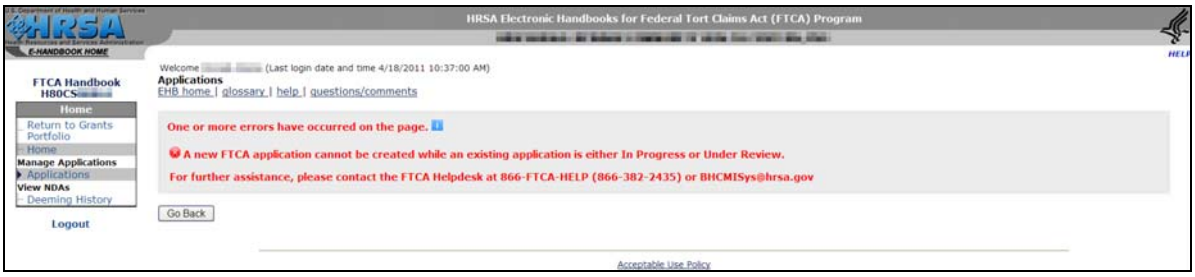
3.3.1 Why Won't the System Let Me Create an Application?

Note that under certain circumstances, the system will not allow you to create an application. Specifically:

- If you have already created an application, the system will not allow you to create another one. This applies when your application is in progress as well as when it has been submitted and is under review.
- If you are a currently-deemed health center, the system will not allow you to create a redeeming application outside of your "redeeming cycle," that portion of the year during which HRSA is prepared to accept your application.
- If the project period for your grant is not current, the system will not allow you to create an application. The system also checks your project period when you submit your application, and will not allow you to submit if your project period is not current.

If any of the above circumstances apply, the system will display an error message when you attempt to create an application (Figure 5).

Figure 5: Error Message for Creation of New Application



3.3.2 Why Is the Status of My Application "Void"?

Application requirements are subject to change at any time. If it is necessary that HRSA change the requirements for deeming or redeeming, this will affect any application you have currently in progress.

HRSA will advise you, via e-mail, of the date by which you must submit your application. This date also appears in your application header. If you do not submit your application by this date, you will not be able to submit it at all. The status of the application will move to "Void."

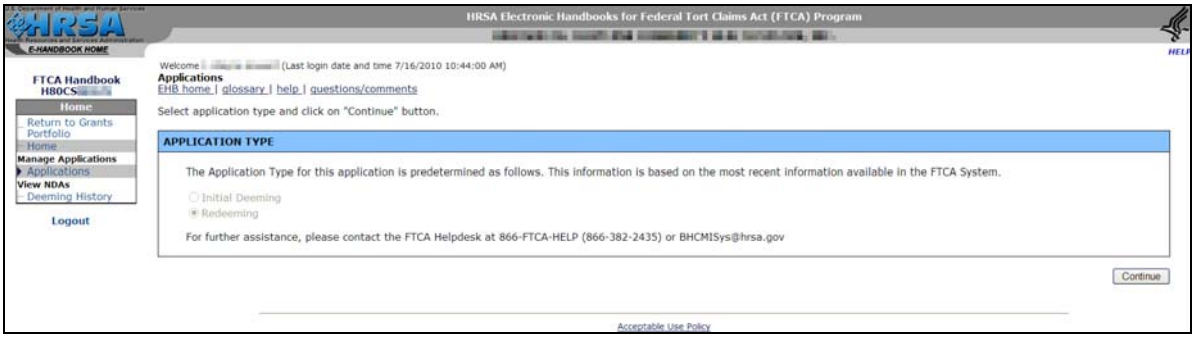
Initial deeming applications not submitted by December 31 of the year in which they are created become void. This applies to initial submissions and any change requests.

Should your application become void for any reason, you will have to create a new one.

3.4. Application Type

The *Application Type* page (Figure 6) is the first page you see when you create an application. This page shows, based on information available to BPHC, whether the bureau considers your application to be an initial deeming or a redeeming.

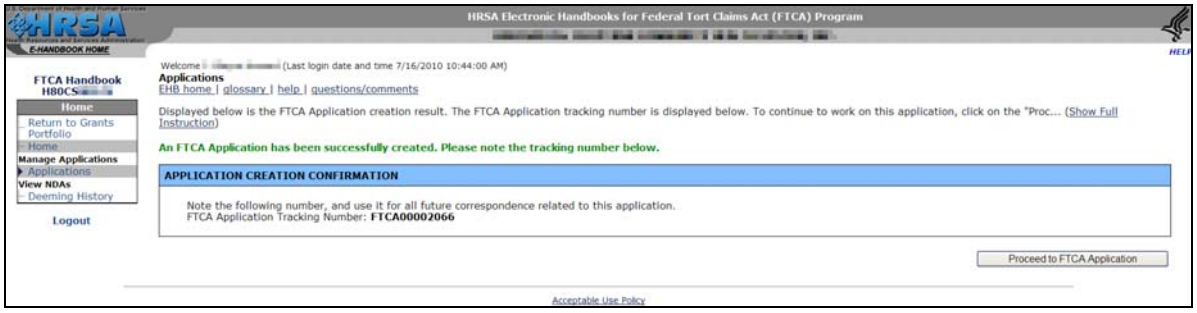
Figure 6: Select Application Type Page



Click the **Continue** button to continue.

A confirmation message is displayed, showing that you have successfully created your application (Figure 7).

Figure 7: Application Creation Confirmation Message and Tracking Number



Take note of the Tracking Number. Use it in any correspondence related to this application.

Click the **Proceed to FTCA Application** button.

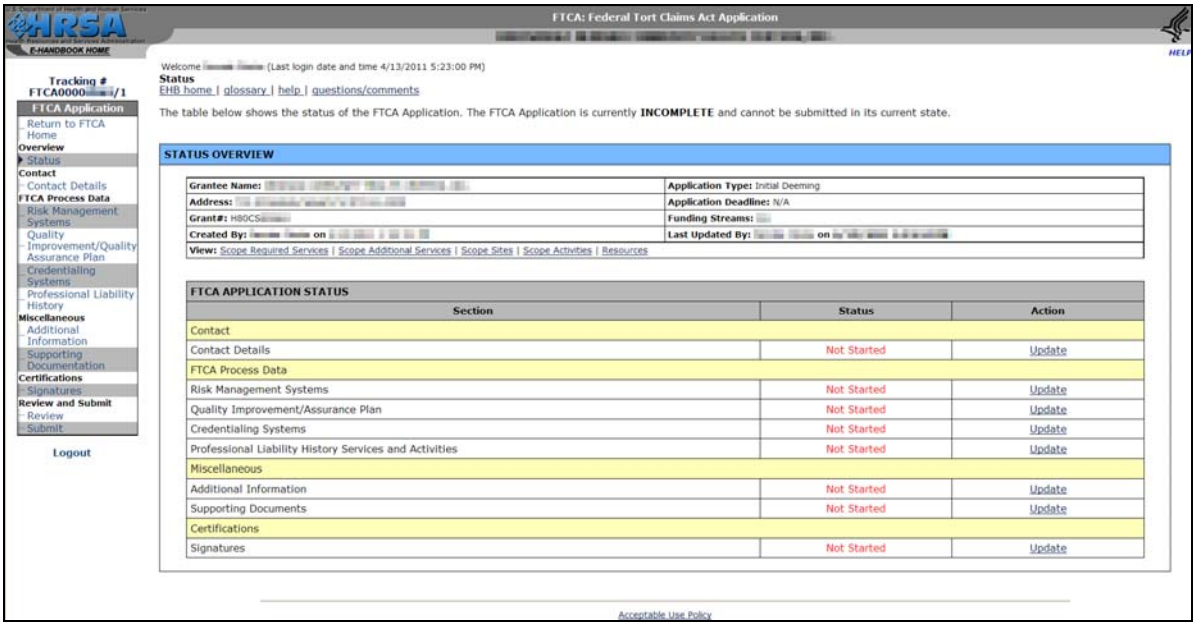
4. Application Forms

4.1. Status Page

The *Status* page (Figure 8) displays the completion status of each section of the FTCA application. This is the page that opens when you click the **Proceed to FTCA Application** button (see Section 3.4 above), or when you return to an application in progress.

The **FTCA APPLICATION STATUS** table on the *Status* page lists the forms included in the application. The completion status is displayed to the right. Click the Update link under **Action** to open the form for editing. You can also open a form by choosing it from the Left Side menu.

Figure 8: Status Page



Completion statuses for forms are listed and explained in Table 2.

Table 2: Form Status

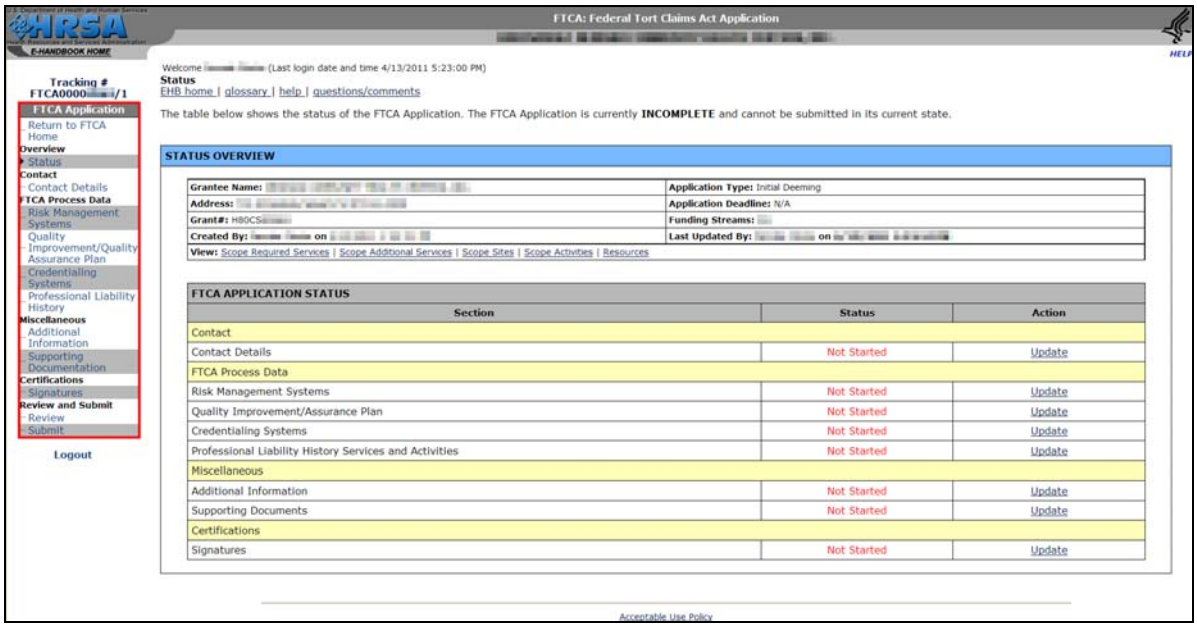
Status	Denotes
Not Started	The page has not been accessed. All the forms are initially in the “Not Started” status. Accessing the page moves the status to “In Progress.”
In Progress	The form will remain in this status until all the data has been entered and has been saved. The data will be saved as long as there are no critical errors.
Complete	Once you have entered all the data within the form and there are no errors, the form status will be changed to “Complete.”

Once a form has been marked “Complete,” making changes to the data which cause errors on the page will change the page status back to “In Progress.” A page never reverts to the “Not Started” status.

4.2. Navigation and Data Entry

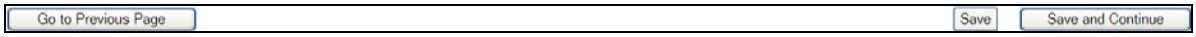
Navigation within the FTCA application reflects the conventions used within the EHBs. It is designed to facilitate data entry by streamlining the flow of pages. All the pages in the application can be accessed through the Left Side menu of the handbook (Figure 9).

Figure 9: FTCA Application Left Side Menu



There is a **Save** and **Save and Continue** button on each page of the application. Clicking on **Save** will save the data and keep the control on the current page. **Save and Continue** will save the data and navigate you to the next page in the application.

Figure 10: Save and Save and Continue Buttons



You can click the **Save** button at any time to save the data you have entered to this point on the current page. If data entry is incomplete, the system will display error messages. You may disregard them and continue data entry. The **Save and Continue** button has a similar function as the **Save** button, except that it will navigate you to the next page. The status of your page after clicking the **Save** button will be “In Progress.”

When data entry for a page is complete, you should click the **Save** button to see if there are errors. If there are, you can address them immediately. If clicking the **Save and Continue** button produces no error messages, your page status will be updated to “Complete” and you may continue to the next page.

4.3. Contact Details Page

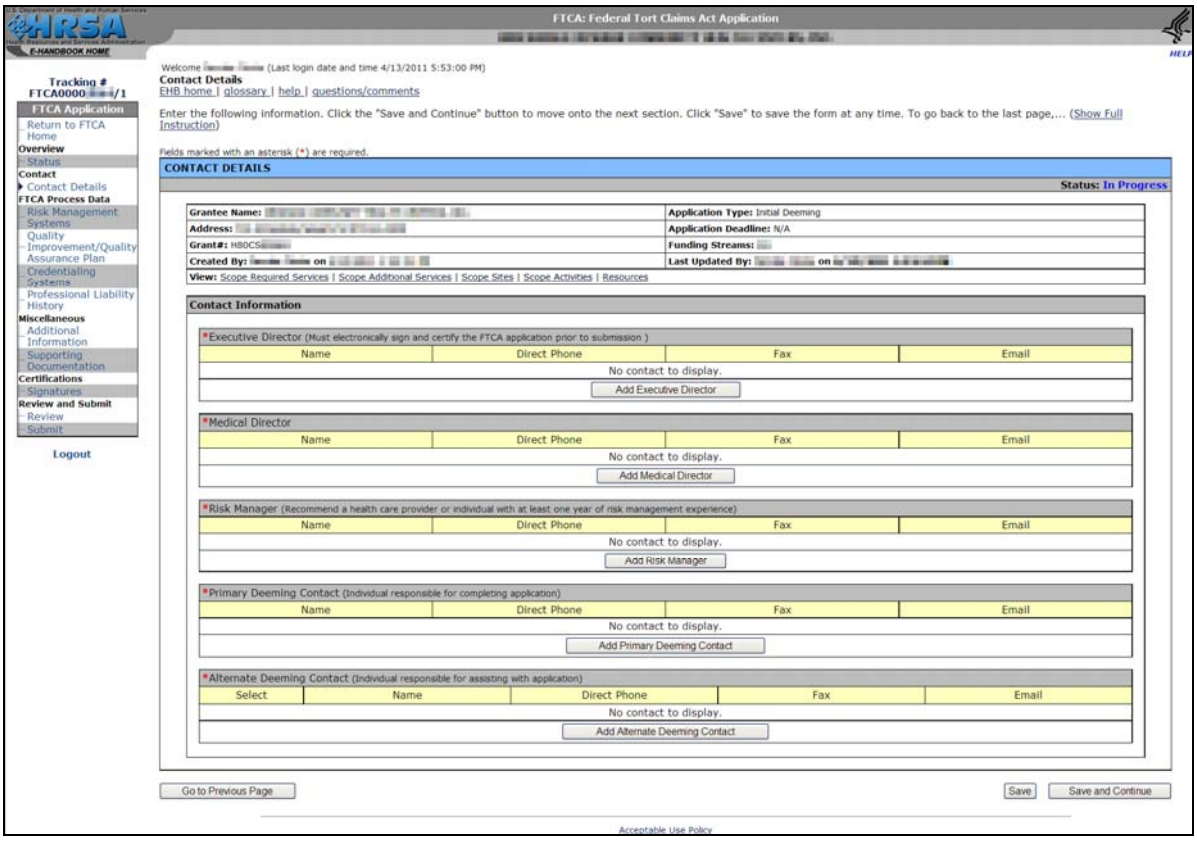
The *Contact Details* page (Figure 11) asks for contact information for the Executive Director, Medical Director, Risk Manager, Primary and Alternate Deeming Contacts.

Access this page by clicking the Update link on the *Status* page or by choosing Contact Details from the Left Side menu.

You must enter information for each contact marked with an asterisk (*).

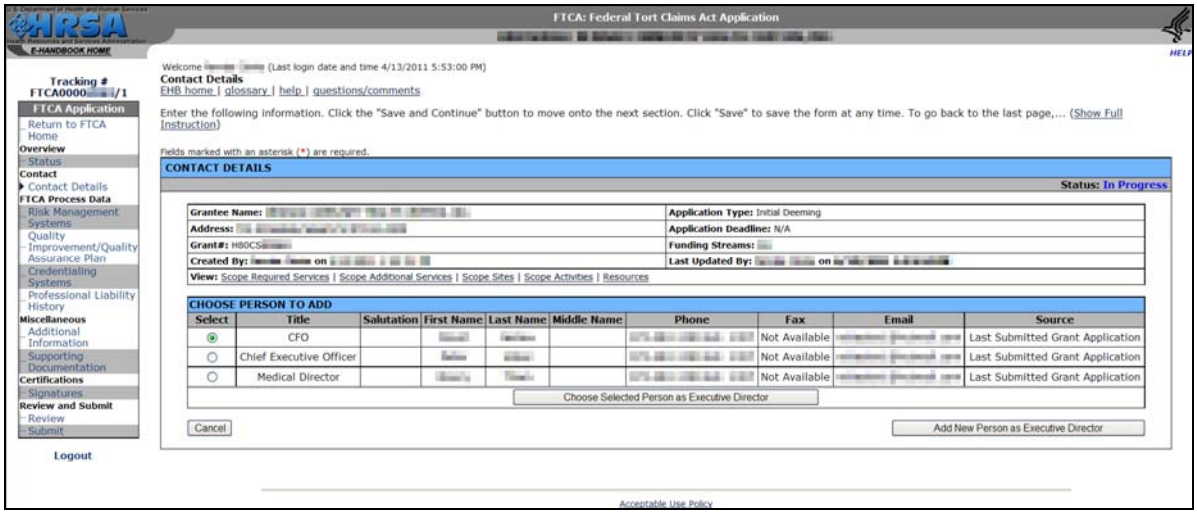
> Information you enter on this page applies to, and is saved with, this application only.

Figure 11: Contact Details Page



For a given contact, click the **Add** button to open the *Contact Details* page with the **CHOOSE PERSON TO ADD** form displayed (Figure 12).

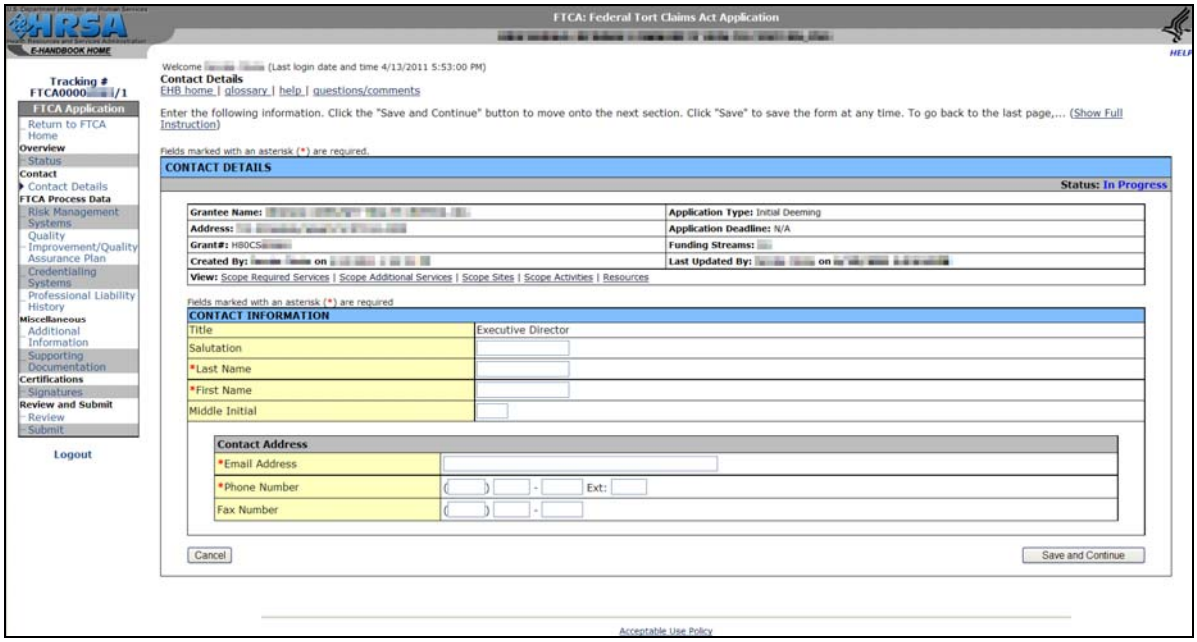
Figure 12: Contact Details Page with Choose Person to Add Form Displayed



Choose a person from the list (the list is pre-populated from your last FTCA application, your last grant application, and the current FTCA application), and then click the **Choose Selected Person** button.

To add a person not listed, click the **Add New Person** button. The *Contact Details* page opens with the **ADD CONTACT INFORMATION** form displayed (Figure 13).

Figure 13: Contact Details Page with Add Contact Information Form Displayed



Complete the form. Data entry is required in fields marked with an asterisk (*). Click the **Save and Continue** button when done. Repeat for all required contacts.

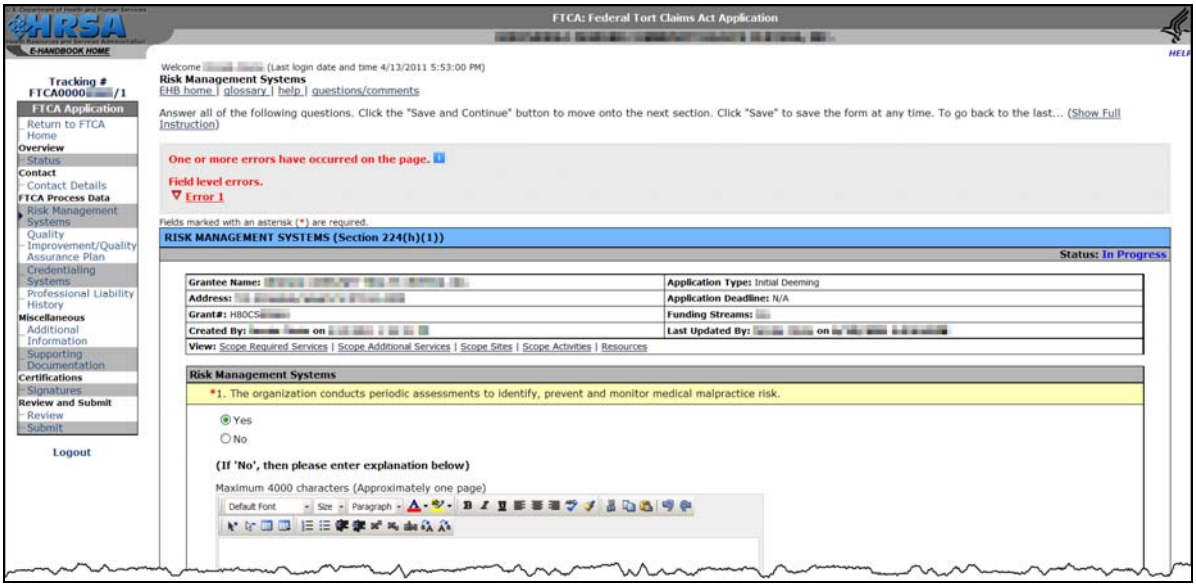
4.4. Risk Management Systems Page

The *Risk Management Systems* page (Figure 14) asks for information about risk management systems.

You will be navigated to the *Risk Management Systems* page if you click the **Save and Continue** button at the bottom of the *Contact Details* page. You may also access the *Risk Management Systems* page by clicking the Update link on the *Status* page or by choosing Risk Management Systems from the left side menu.

Enter your responses to the questions. Responses are required where questions are marked with an asterisk (*). When instructed to provide an explanation, enter it in the space provided.

Figure 14: Risk Management Systems Page



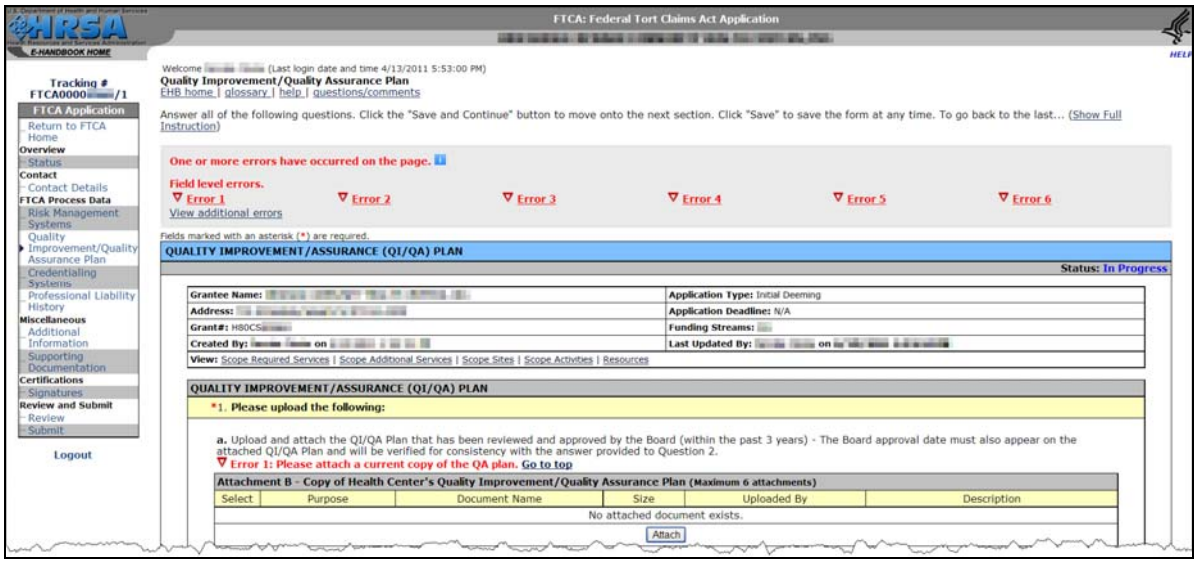
4.5. Quality Improvement/Quality Assurance Plan Page

On the *Quality Improvement/Quality Assurance Plan* page (Figure 15), you are asked to upload documents and answer questions concerning your health center's Quality Improvement/Quality Assurance Plan.

You will be navigated to the *Quality Improvement/Quality Assurance Plan* page if you click the **Save and Continue** button at the bottom of the *Risk Management Systems* page. You may also access the *Quality Improvement/Quality Assurance Plan* page by clicking the Update link on the *Status* page or by choosing Quality Improvement/Quality Assurance Plan from the Left Side menu.

Upload documents and enter your responses to the questions. Responses are required where questions are marked with an asterisk (*).

Figure 15: Quality Improvement/Quality Assurance Plan page



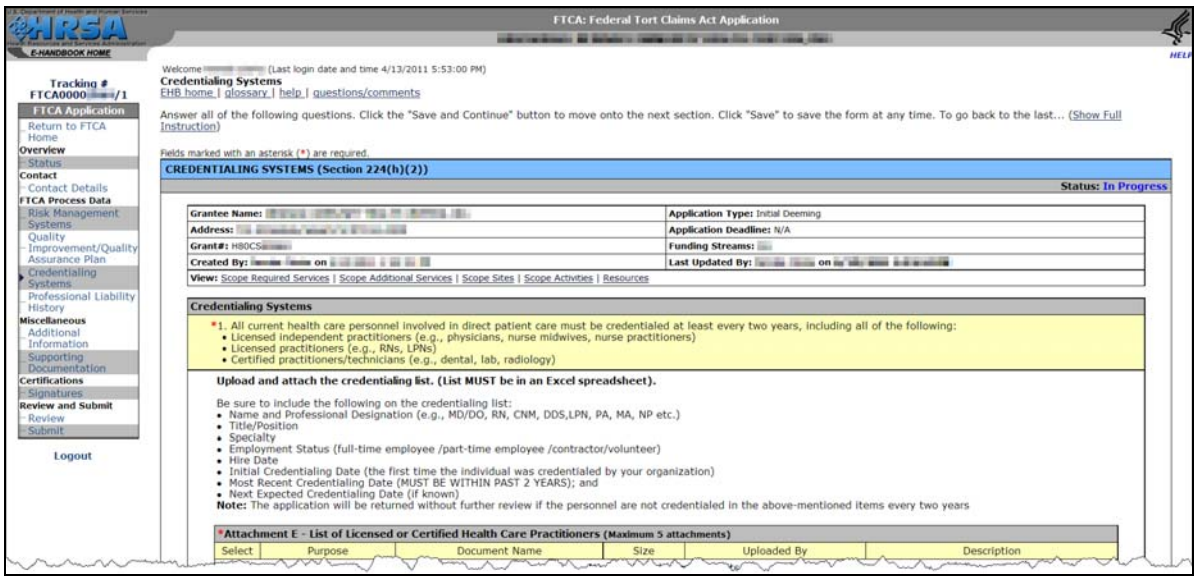
4.6. Credentialing Systems Page

The *Credentialing Systems* page asks about your health center's credentialing process.

You will be navigated to the *Credentialing Systems* page if you click the **Save and Continue** button at the bottom of the *Quality Improvement/Quality Assurance Plan* page. You may also access the *Credentialing Systems* page by clicking the Update link on the *Status* page or by choosing Credentialing Systems from the left side menu.

Upload documents and enter your responses to the questions. Responses are required where questions are marked with an asterisk (*). When instructed to provide an explanation, enter it in the space provided.

Figure 16: Credentialing Systems Page



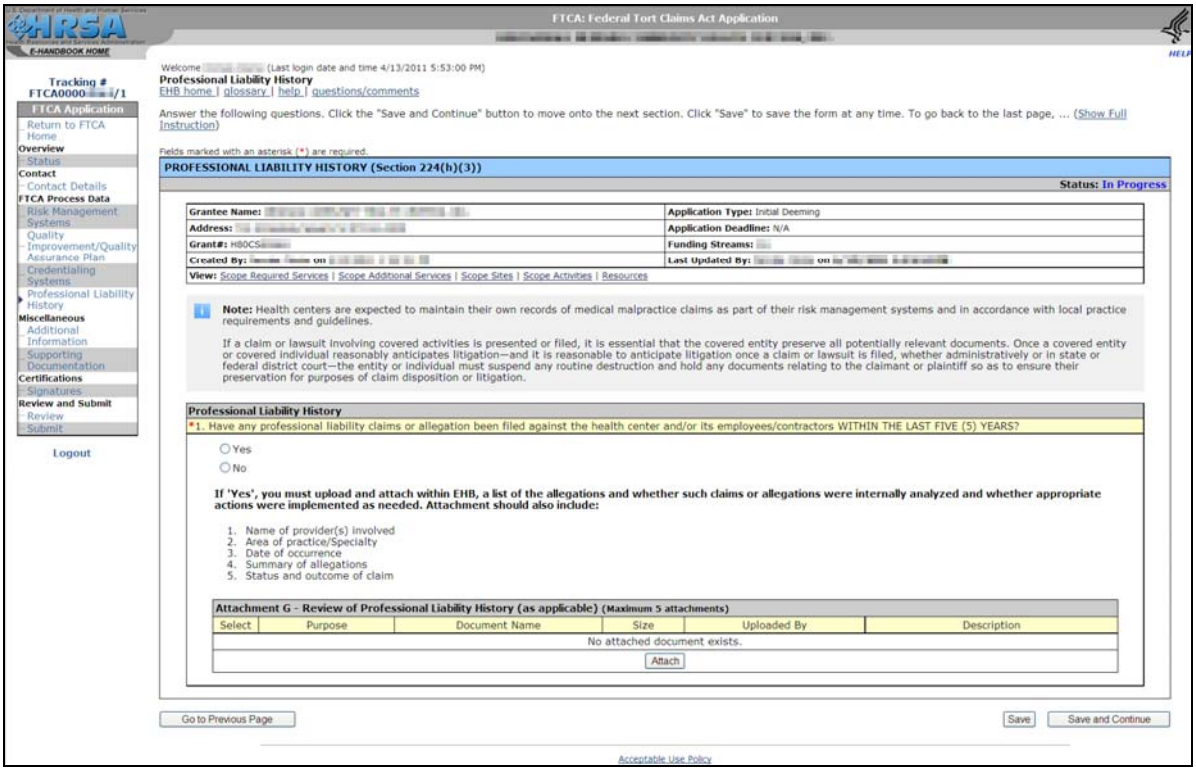
4.7. Professional Liability History Page

The *Professional Liability History* page (Figure 17) asks whether professional liability suits have been filed or settled against your health center and/or its employees/contractors over the last 5 years.

You will be navigated to the *Professional Liability History* page if you click the **Save and Continue** button at the bottom of the *Credentialing Systems* page. You may also access the *Professional Liability History* page by clicking the Update link on the *Status* page or by choosing Professional Liability History from the left side menu.

Enter your response. If necessary, click the **Attach** button to upload the document described in the on-screen instructions.

Figure 17: Professional Liability History Page



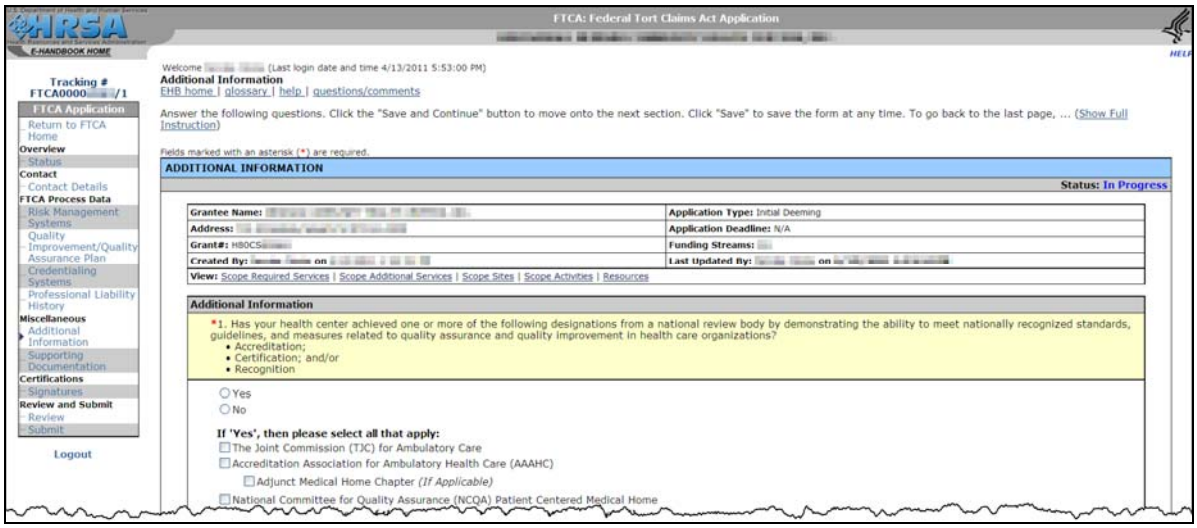
4.8. Additional Information Page

The *Additional Information* page (Figure 18) asks about (a) accreditation, certification and recognition, (b) medical malpractice risk management training, and (c) continuing education.

You will be navigated to the *Additional Information* page if you click the **Save and Continue** button at the bottom of the *Professional Liability History* page. You may also access the *Additional Information* page by clicking the Update link on the *Status* page or by choosing Additional Information from the left side menu.

Enter your responses. Responses are required where questions are marked with an asterisk (*). When instructed to provide an explanation, enter it in the space provided.

Figure 18: Additional Information Page



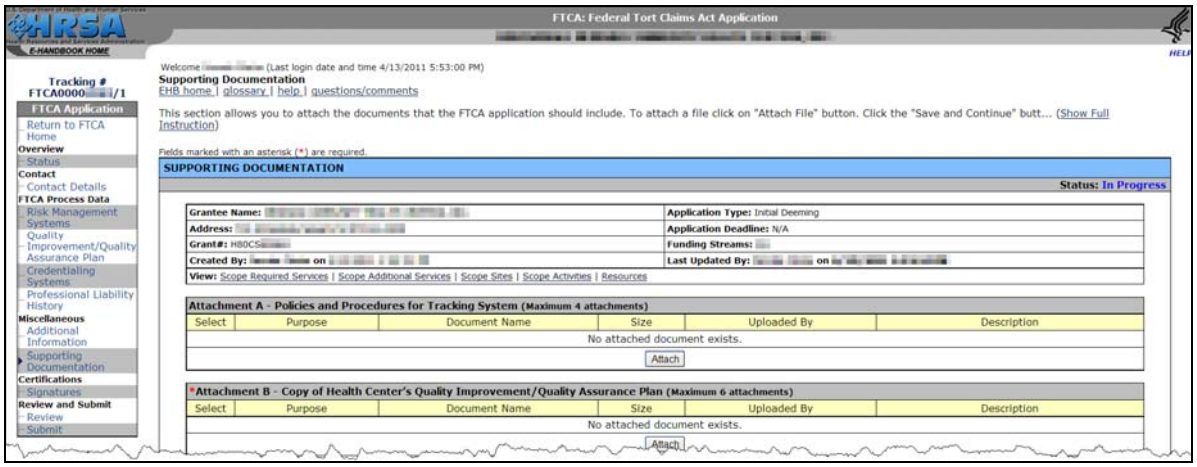
4.9. Supporting Documentation Page

The *Supporting Documentation* page (Figure 19) shows, on a single screen, all documents that you have uploaded to the application.

You will be navigated to the *Supporting Documentation* page if you click the **Save and Continue** button at the bottom of the *Additional Information* page. You may also access the *Supporting Documentation* page by clicking the Update link on the *Status* page or by choosing Supporting Documentation from the left side menu.

Any document that you have uploaded on any page will appear on this one. You may also upload documents on this page. Documents you upload on this page are automatically uploaded to the appropriate page of the application.

Figure 19: Supporting Documentation Page



5. Sub-recipient Application

Health centers that have identified one or more sub-recipients on their most recent Form 5B will see this section and must complete it. Health centers that have no sub-recipients will not see this section.

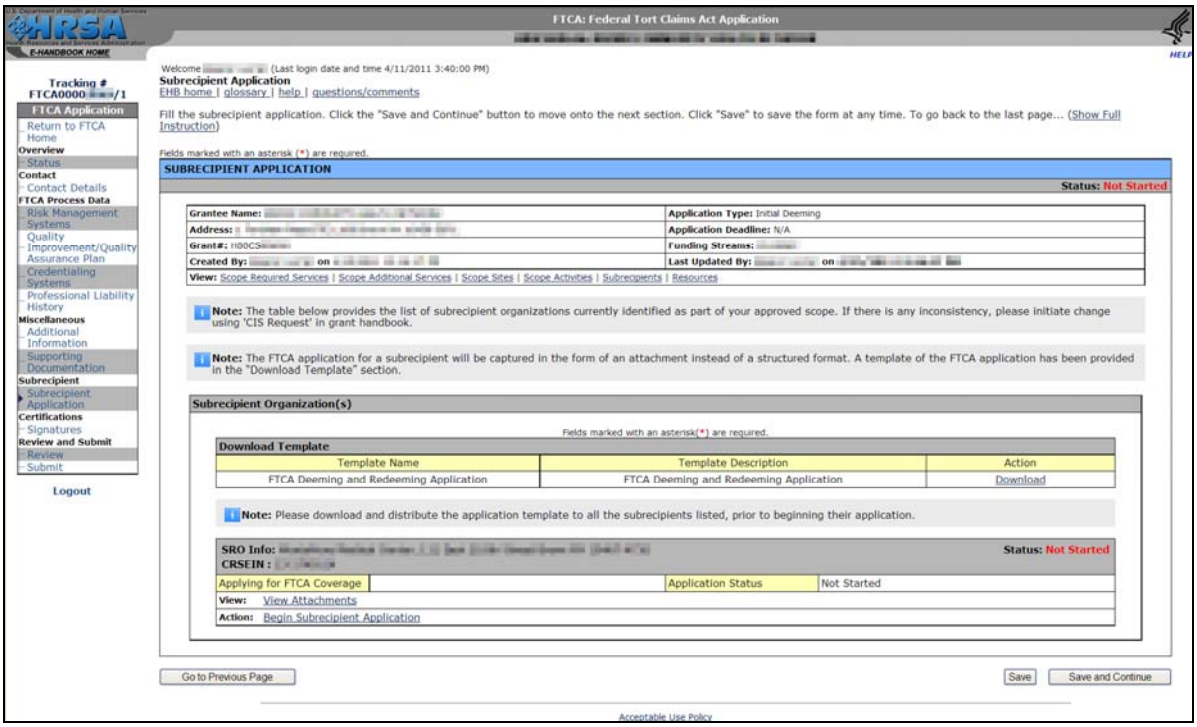
> All health centers must be aware that their FTCA application must reflect their current approved scope. If, during the application submission process, changes are made to the scope information with respect to sub-recipient data (if, for example, sub recipient organizations are added, updated or removed from the current approved scope), then these changes must be reflected on the FTCA application.

The *Sub-Recipient Application* page (Figure 20) lists the sub-recipient organizations identified on your most recent Form 5B. Each sub-recipient has a record on this page. You must account for each sub-recipient as follows:

- For any sub-recipient that is seeking FTCA coverage, you must submit, as part of the current application, a deeming application on their behalf.
- For any sub-recipient that declines FTCA coverage, you may choose to provide a brief statement why (optional).

You will be navigated to the *Sub-Recipient Application* page if you click the **Save and Continue** button at the bottom of the *Supporting Documentation* page. You may also access the *Sub-Recipient Application* page by clicking the Update link on the *Status* page or by choosing *Sub-Recipient Application* from the left side menu.

Figure 20: Sub-Recipient Application Page



To submit an initial deeming or renewal deeming application on behalf of a sub-recipient, you will download an application template from the *Sub-Recipient Application* page and send it to the sub-

recipient. The template document is a version of the electronic deeming/redeeming application in Microsoft Word document format. The sub-recipient will complete the application and return it to you, and then you will upload it here.

> It is the health center's responsibility to communicate with sub-recipient organizations and to ensure that they return completed FTCA applications in a timely manner.

To download the template document, go to the **DOWNLOAD TEMPLATE** block (Figure 21) and click the Download link. Save the document to your computer.

Figure 21: Download Template Block on Sub-Recipient Application Page

Download Template		
Template Name	Template Description	Action
FTCA Deeming and Redeeming Application	Template for FTCA Deeming and Redeeming Application	Download

For each sub-recipient listed on the *Sub-Recipient Application* page, you must indicate whether they will seek FTCA coverage or not. To do this, click the Begin Subrecipient Application link under **Action** in the sub-recipient's record (Figure 22).

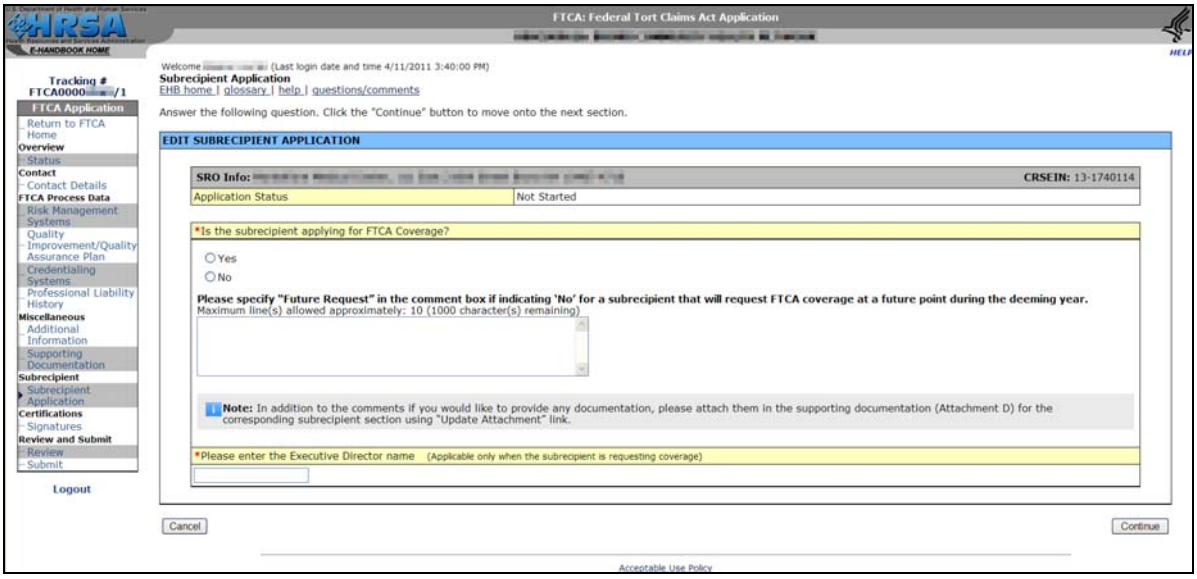
Figure 22: Sub-Recipient's Record on the Sub-Recipient Application Page

SRO Info: [redacted] CRSEIN : [redacted]			Status: Not Started
Applying for FTCA Coverage		Application Status	Not Started
View:	View Attachments		
Action:	Begin Subrecipient Application		

The *Sub-Recipient Application* page opens, displaying the **EDIT SUB-RECIPIENT APPLICATION** form (Figure 23). Answer "Yes" or "No" to the question "Is the sub-recipient applying for FTCA Coverage?" Optionally, if the answer is "No," you can enter an explanation in the space provided.

> If coverage is not requested as the time of your application, but may be desired at a later date, please state "Future Request."

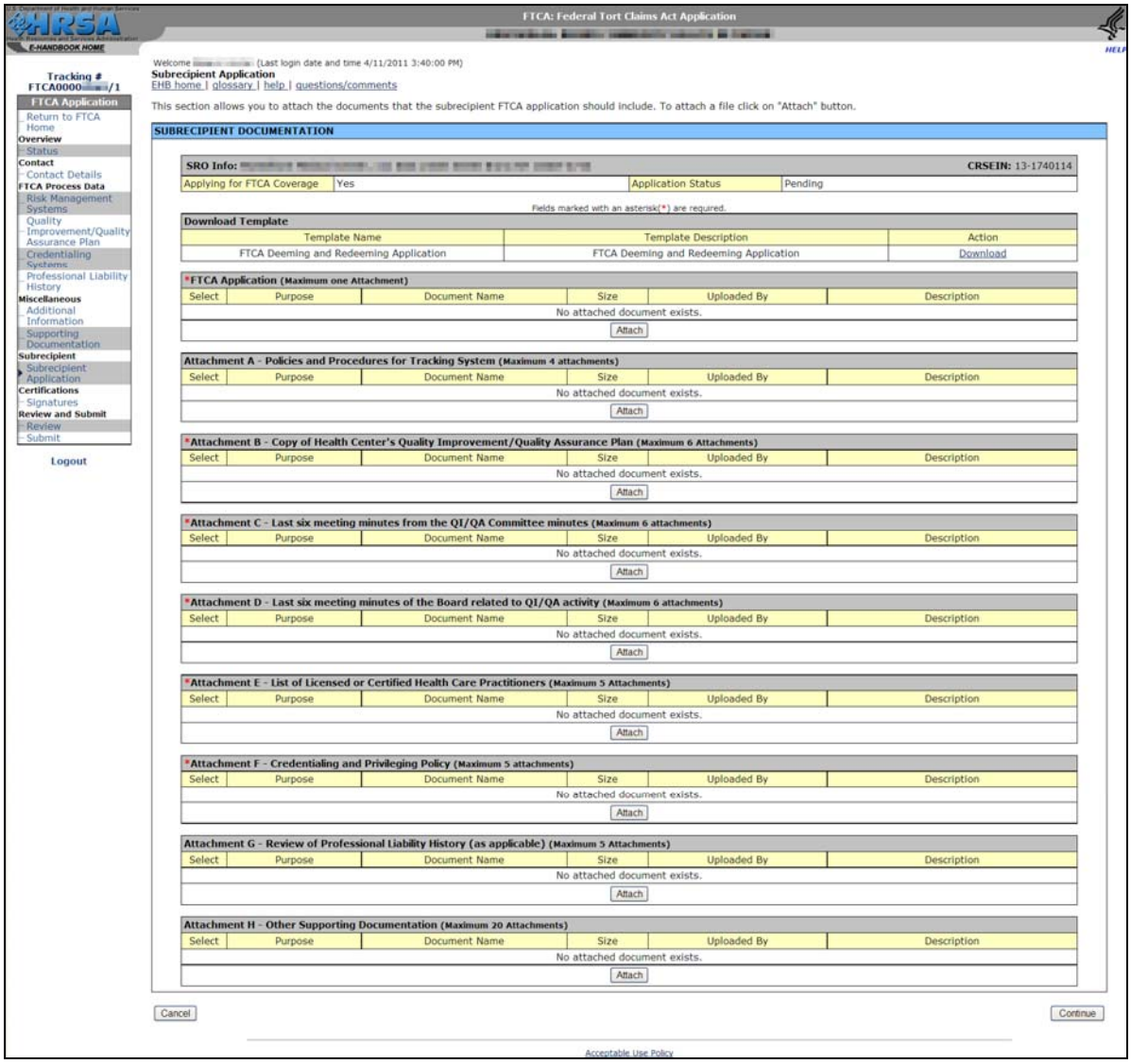
Figure 23: Edit Sub-Recipient Application Form



If the answer is “No,” enter a comment (optional), and then click the **Continue** button. The system returns you to the *Sub-Recipient Application* page (Figure 20).

If the answer is “Yes,” enter the Executive Director’s name, and then click the **Continue** button. The *Sub-Recipient Application* page opens with the **SUB-RECIPIENT DOCUMENTATION** block displayed (Figure 24).

Figure 24: Sub-Recipient Application Page with Sub-Recipient Documentation Displayed



Upload the sub-recipient's completed application here. Also upload other documentation, as required for a complete application and available. Uploading attachments marked with an asterisk (*) is required.

Click the **Continue** button to return to the *Sub-Recipient Application* page (Figure 20).

Repeat for every sub-recipient listed on the *Sub-Recipient Application* page, and for whom FTCA coverage is being requested.

Click the **Save and Continue** button on the *Sub-Recipient Application* page to navigate to the next section of your application.

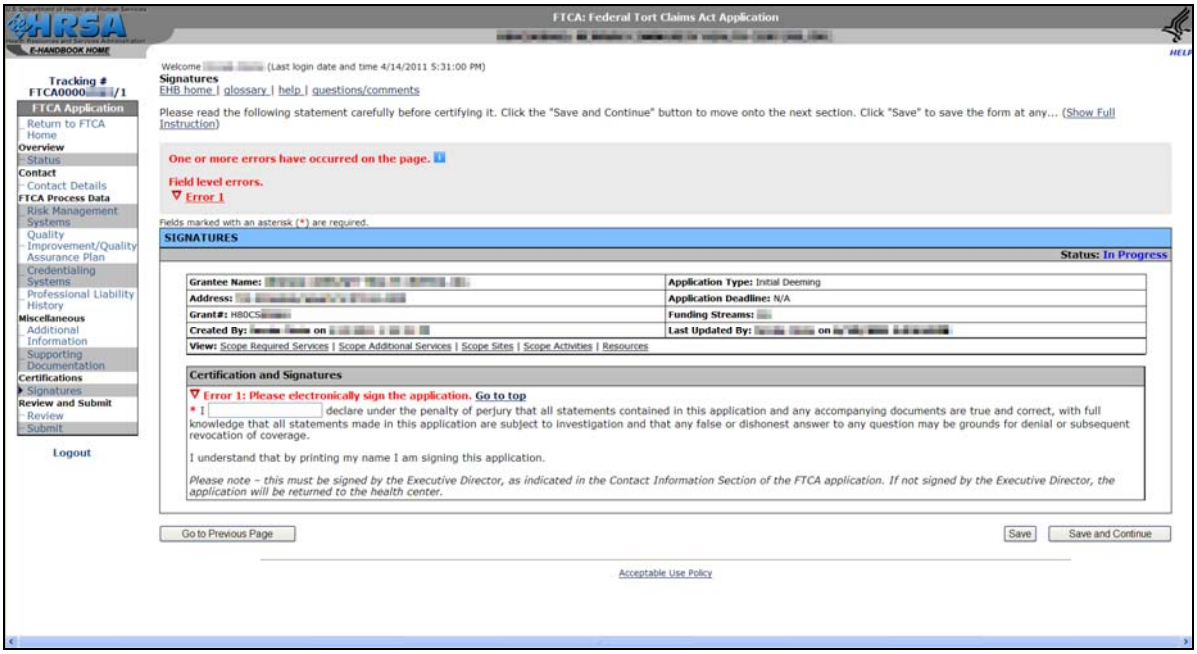
6. Signing, Reviewing, and Submitting the Application

6.1. Signatures Page

The Executive Director, indicated in the Contact Details section, must sign the application. This is done on the *Signatures* page (Figure 25).

You will be navigated to the *Signatures* page is you click the **Save and Continue** button at the bottom of the *Supporting Documentation* page (or, if applicable, the *Sub-Recipient Application* page). You may also access the *Signatures* page by choosing Signatures from the Left Side menu.

Figure 25: Signatures Page



Click the **Save and Continue** button to proceed.

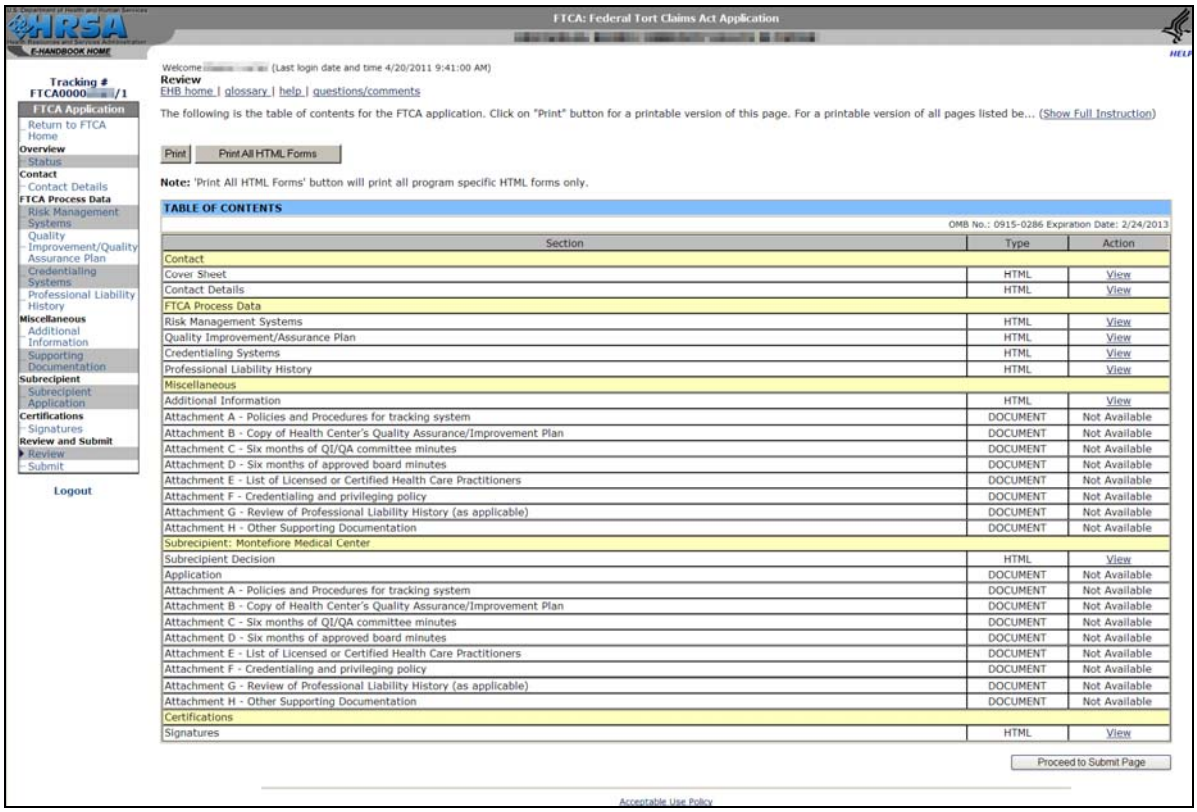
6.2. Review Page

The *Review* page (Figure 26) displays, in table format, all the sections in the FTCA application. It allows you to view or print any or all sections.

> Sub-recipient information is displayed on this page only if there are sub-recipients. The page also displays, for each sub-recipient, whether that sub-recipient intends to seek or decline FTCA coverage.

You will be navigated to the *Review* page if you click the **Save and Continue** button at the bottom of the *Signatures* page. You may also access the *Review* page by choosing Review from the left side menu.

Figure 26: Review Page



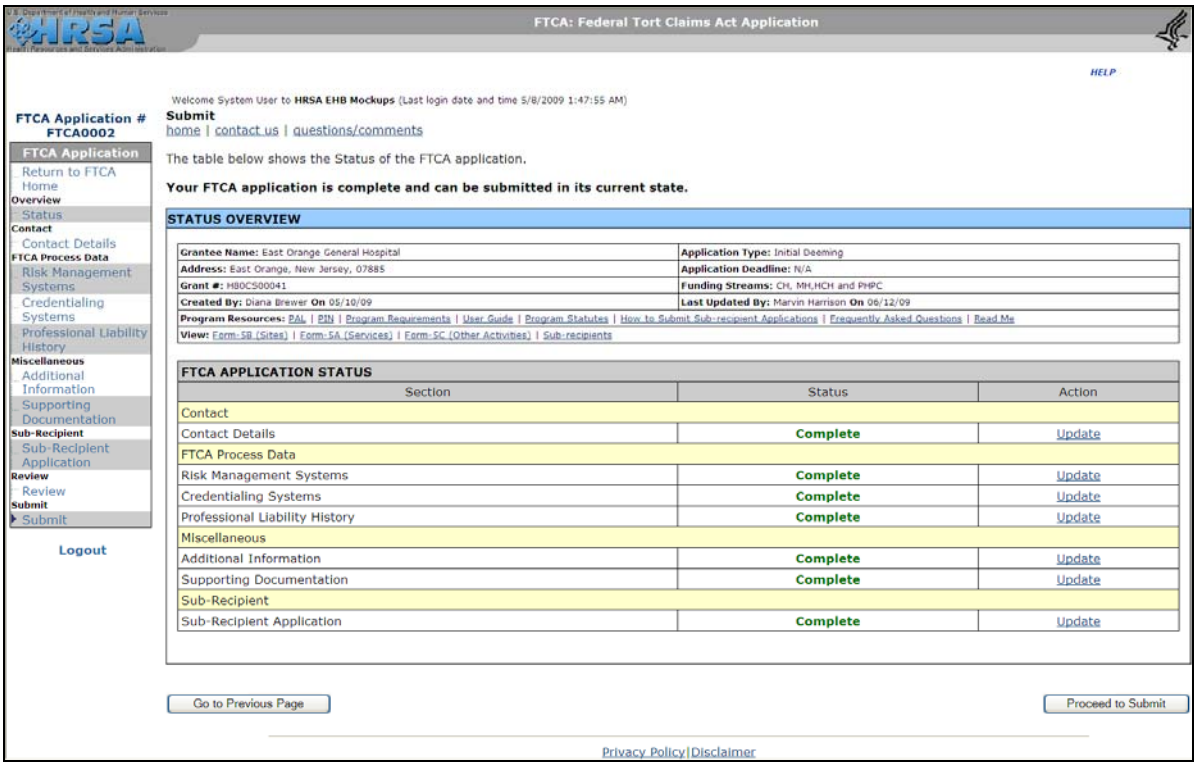
Click the View link next to any section of the application to view that section. The item will open in HTML format, in a separate window. Click the **Print** button to print this page. Click the **Print All** button to print all HTML-format forms. To print a document not in HTML format, click the View link. The document will open in its native application (e.g. Microsoft Word). Print the document from the native application.

6.3. Submit Page

The *Submit* page (Figure 27) is the page from which you start the application submission process. It displays, in table format, the sections of the application and their completion status. All sections must be in "Complete" status before you can submit the application.

You will be navigated to the *Submit* page if you click the **Continue** button at the bottom of the *Review* page. You may also access the *Submit* page by choosing Submit from the left side menu.

Figure 27: Submit Page

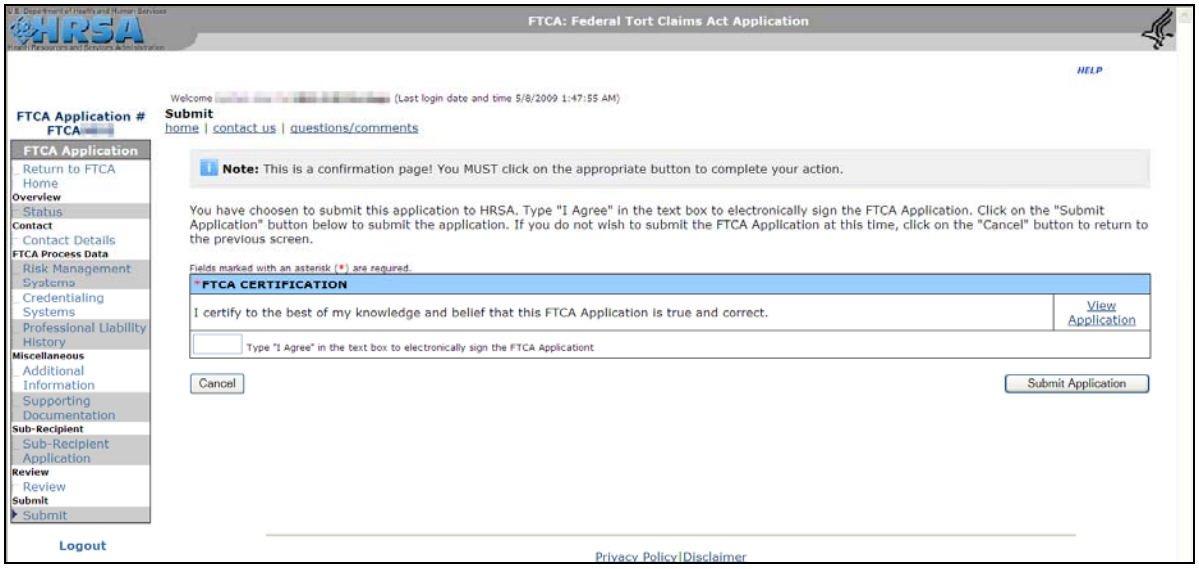


Click the **Proceed to Submit** button when you are ready to submit the application.

The **Proceed to Submit** button appears only if all sections are deemed "Complete." At all other times, the button will not be available. This prevents the user from submitting an incomplete application.

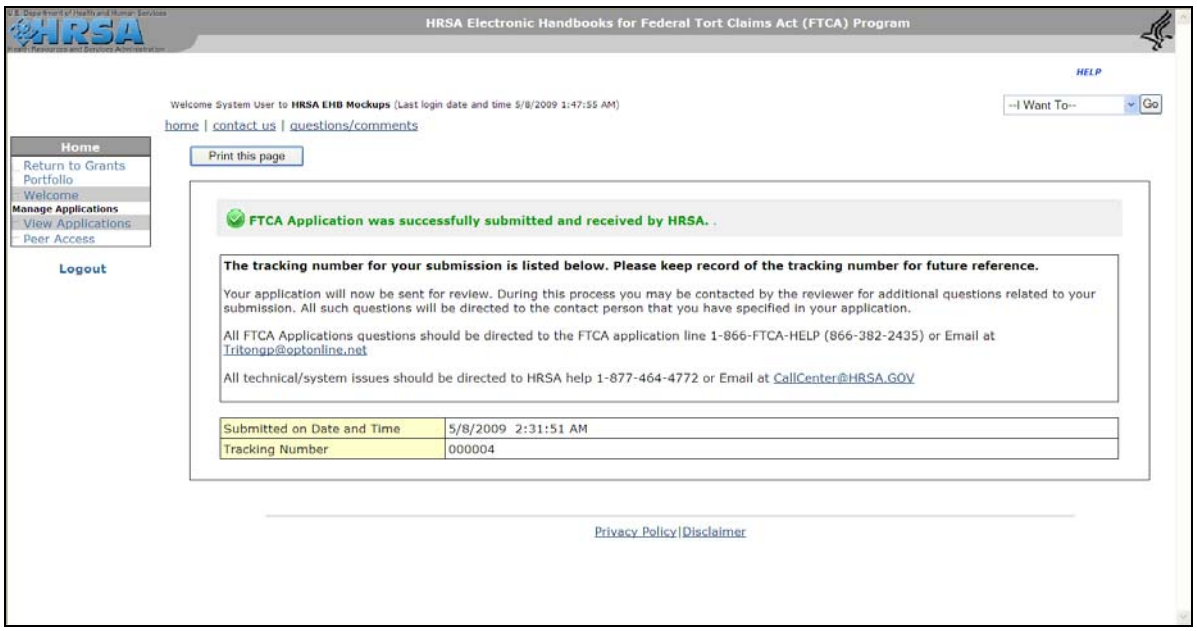
The **FTCA CERTIFICATION** form appears (Figure 28).

Figure 28: Submit Page with FTCA Certification Form Displayed



Complete the form, and then click the **Submit Application** button. A confirmation message will appear (Figure 29).

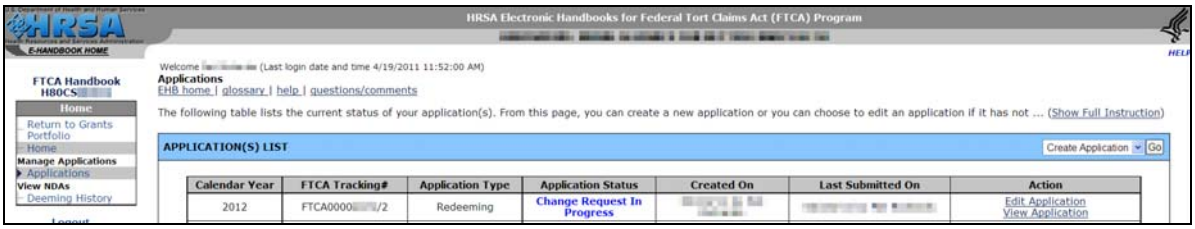
Figure 29: Submission Confirmation Message



7. Change Requests

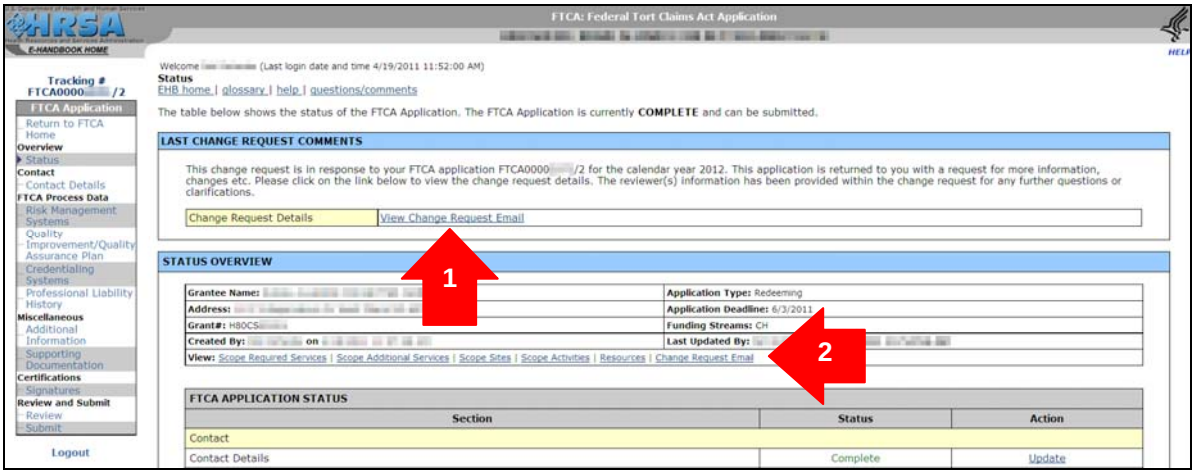
HRSA may find it necessary to return your application with a request for changes. If this is the case, you will be notified by e-mail. Follow the steps given in Section 3.2 above to access your application. On the *Applications* page, the status of your application will be “Change Request.” When you open the application, the status will move to “Change Request in Progress” (Figure 30).

Figure 30: Applications Page with Application in "Change Request in Progress" Status



A link to the change request e-mail is provided on the *Status* page (Figure 31, Arrow 1). In addition, there is a link to the change request e-mail in the header on every page (Arrow 2).

Figure 31: Link to Change Request E-Mail on Application Status Page

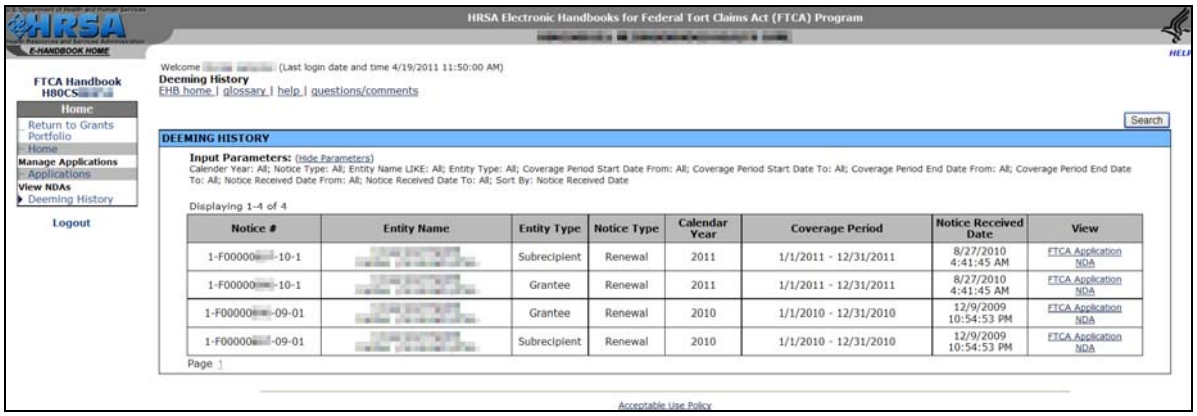


8. Deeming History

Your deeming history is available in the Electronic Handbook. To access it, take the following steps:

1. Log into the EHBs.
2. On the side menu, under **Grants Portfolio**, click on the View Portfolio link.
3. In the **Grants List**, click on Open Grant Handbook for your health center cluster grant.
4. The Overview page opens. Under **Others**, click on the FTCA Program link.
5. The Welcome page for the FTCA program opens. On the Left Side menu, click Deeming History under **View NDAs**.
6. The *Deeming History* page opens (Figure 32).

Figure 32: Deeming History Page



Entries are in reverse chronological order. The history includes grantee and sub-recipient organizations.

For each deeming action, there is a link to the corresponding application and Notice of Deeming Action (NDA).

9. Help and Support

BPHC FTCA Website: http://bphc.hrsa.gov/ftca/

For information on the FTCA Program, system questions, technical support and the deeming application, call HRSA's BPHCHelpLine:

Phone: 1-877-974-BPHC (877-974-2742)
9:00 AM to 5:30 PM (ET)
Email: BPHChelpline@hrsa.gov

Or write to the following address:

Federal Torts Claims Act Program
Office of Quality and Data
Bureau of Primary Health Care
Health Resources and Services Administration
5600 Fishers Lane
Rockville, MD 20857