FTCA

User Guide for Grantees

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1. Introduction

Federal Tort Claims Act (FTCA) coverage for eligible Health Center Program grantees was 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) for the CY 2010 deeming period (January 1 – December 31, 2010) and onwards. This module will fully support 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 module was made available to Health Center Program grantees in June 2009.

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

Note: 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 Must 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://bphc.hrsa.gov/ftca.

FTCA coverage is an optional benefit available to organizations receiving funding under the Health Center Program. Health centers seeking coverage must apply. Health centers with subrecipient organizations seeking coverage must apply on behalf of their subrecipient organizations (see, Section 5, Subrecipient Application, below).
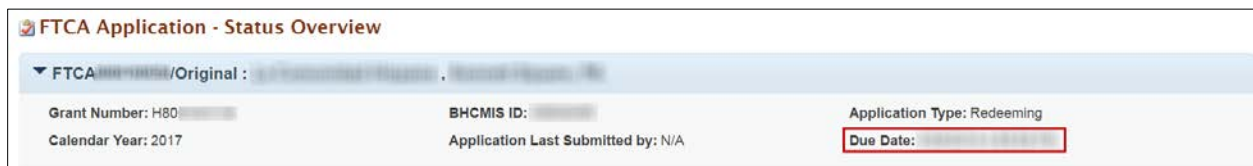
2.2. When Will the Application be Available?

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 the application availability. These can be found 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. 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

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3.   Accessing the FTCA Application

3.1.   EHB Roles and Privileges

To access, work on, and submit FTCA applications, you must be a registered user within the EHBs, with appropriate roles and privileges. Every EHB user has the organization-level role of "Authorizing Official" (AO), "Business Official" (BO) or "Other." You request that role when you create your EHB 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 listed in Table 1.

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

Applicants or grantees who have 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. The Project Director 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 portfolios. Click the **Grants** tab from the EHBs home page. If the grant is not listed, click the Add Grant 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 Home** page
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

Privilege	Permissions
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. Access the EHBs login page with the following URL:
   https://grants.hrsa.gov/2010/WebEPSExternal/Interface/common/accesscontrol/login.aspx

2. Log into the EHBs.

3. Click on the **Grants** tab on the EHBs home page. Click on the respective Grant Folder link to navigate to the **Grant Home** page.

4. In the **Grant Home** page, click on the FTCA Program link to navigate to the **FTCA Home** page. This link will be located under **Others**.

Figure 2: FTCA Program Link on Grant Home Page
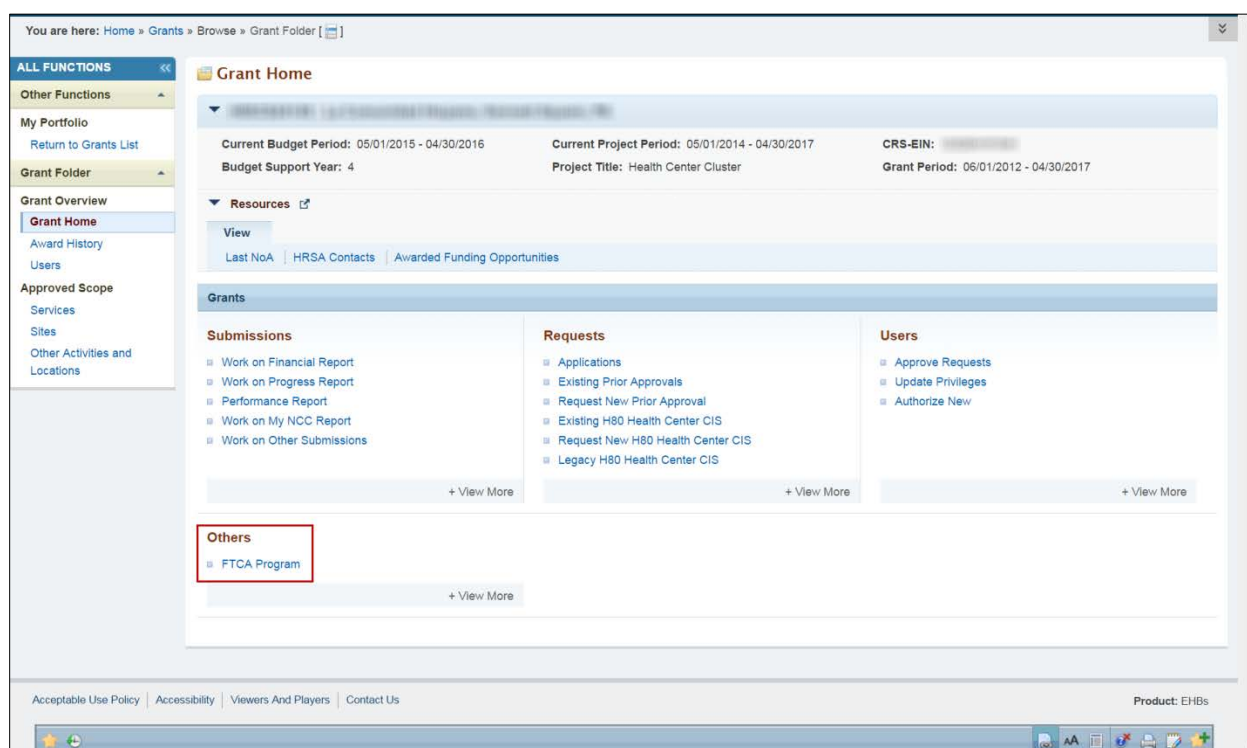
5. To work on a new application, select Create Application under **Requests**. Another way to access applications is to select Applications from the left menu.

Figure 3: FTCA Home
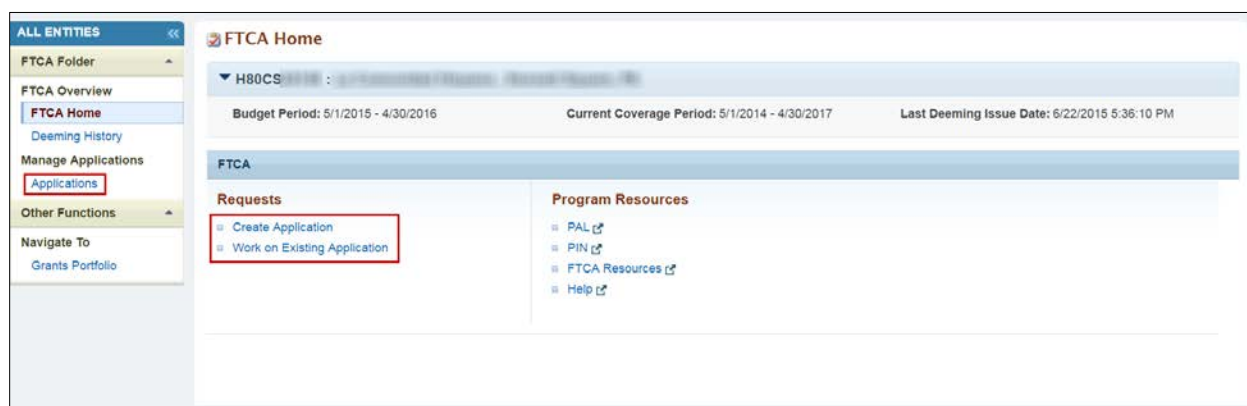
6. The **Applications** page opens. This page is described in <u>Section 3.3</u>.

3.3. The Applications Page

From the **Applications** page, you may work on or view an application you created previously.

Figure 4: Applications Page

1. To create a new application, click the <u>Create Application</u> link on the **FTCA Home Page**. You need not complete the application in a single sitting. To work on an existing application, click the <u>Work on Existing Application</u> link. The system will navigate to the **Applications** page.

2. To edit an application you have started, click the respective <u>Edit</u> link.

3. To view a read-only application of an application you have submitted, click the respective <u>Application</u> link.

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

Note: 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 the redeeming cycle, the 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 if Application Already Exists

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

There are several sets of circumstances that could make the status of your application void. These are:

- 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 in progress.

- HRSA will advise you, via email, 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.

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

3.4. Application Type

The **FTCA Application - Create** 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 application.

Figure 6: Select Application Type Page

1. Click the **Continue** button to continue. The system will navigate to the **Status** Overview page of the FTCA application. A success message is displayed, showing that you have successfully created your application (Figure 7).

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

Figure 7: FTCA Application Status Overview

4. Application Forms

4.1. Status Overview Page

The **Status Overview** page (Figure 8: Status Overview Page) displays the completion status of each section of the FTCA application.

The **FTCA Application Status** table on the page lists the sections included in the application. The completion status is displayed under the **Status** column. Click the Update link under the **Option** column to open the form for editing. You can also open a section by choosing it from the left menu.

Figure 8: Status Overview Page
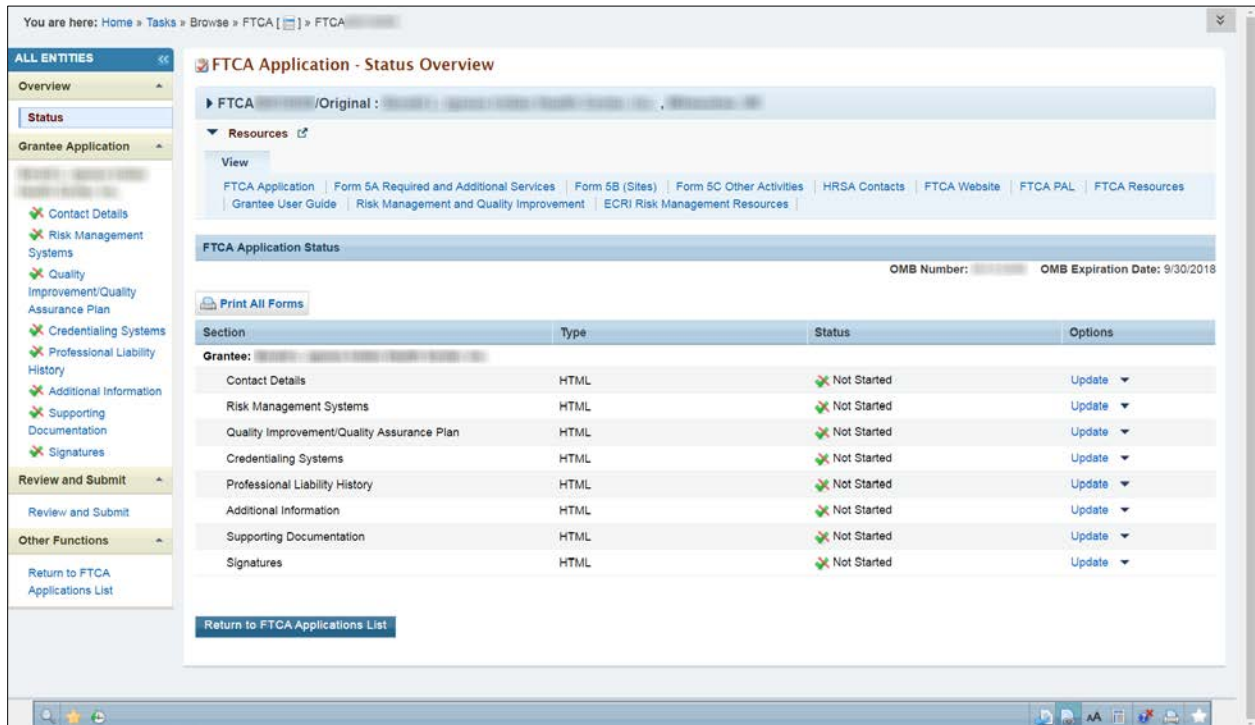
Completion statuses for forms are listed and explained in Table 2.

Table 2: Form Status

Status	Denotes
Not Started	The page has not been accessed. All the forms are initially in the "Not Started" status.
In Progress	Once you have entered data within the form and have saved the form, the form status changes to "In Progress". The status will remain "In Progress" as long as there are any errors or fields that have not been completed.
Complete	Once you have entered all the data within the form and there are no errors, the form status will be changed to "Complete." 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.

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 navigation panel of the handbook (Figure 9).

Figure 9: FTCA Application Left Navigation Panel
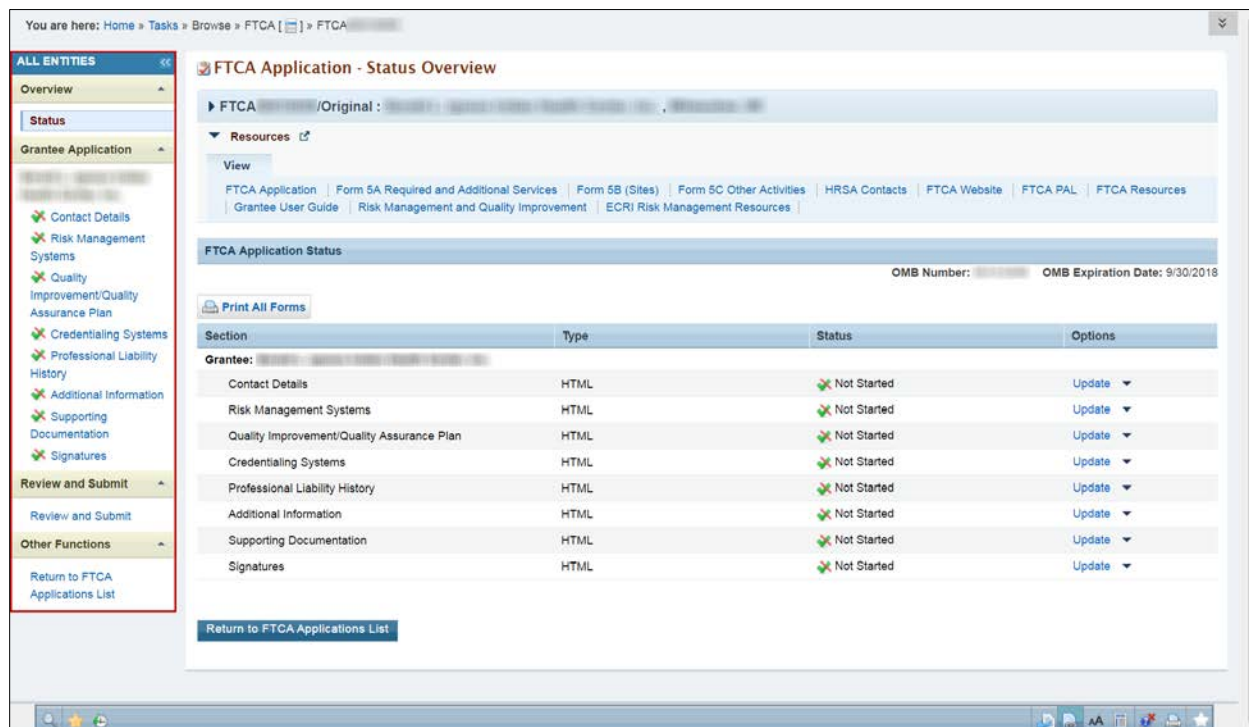
There is a **Save** and **Save and Continue** button on each section of the application. Clicking on the **Save** button will save the data and keep you on the current page. Clicking the **Save and Continue** button will save the data and navigate you to the next page in the application.

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.

Page-level actions are also available on the bottom toolbar. The bottom toolbar provides access to the **Save** and **Save and Continue** buttons, as well as any other page-level navigation links on the page or left navigation panel.

4.3. Contact Details Page

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

1. Access this page by clicking the Update link on the **Status Overview** page or by choosing Contact Details from the left navigation panel.

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

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

Figure 11: Contact Details Page

4.4. Risk Management Systems Page

The **Risk Management Systems** page (Figure 12) 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 respective Update link on the **Status Overview** page or by choosing Risk Management Systems from the left navigation panel.

1. Enter your responses to the questions. Responses are required where questions are marked with an asterisk (*).

2. When instructed to provide an explanation, enter it in the space provided.

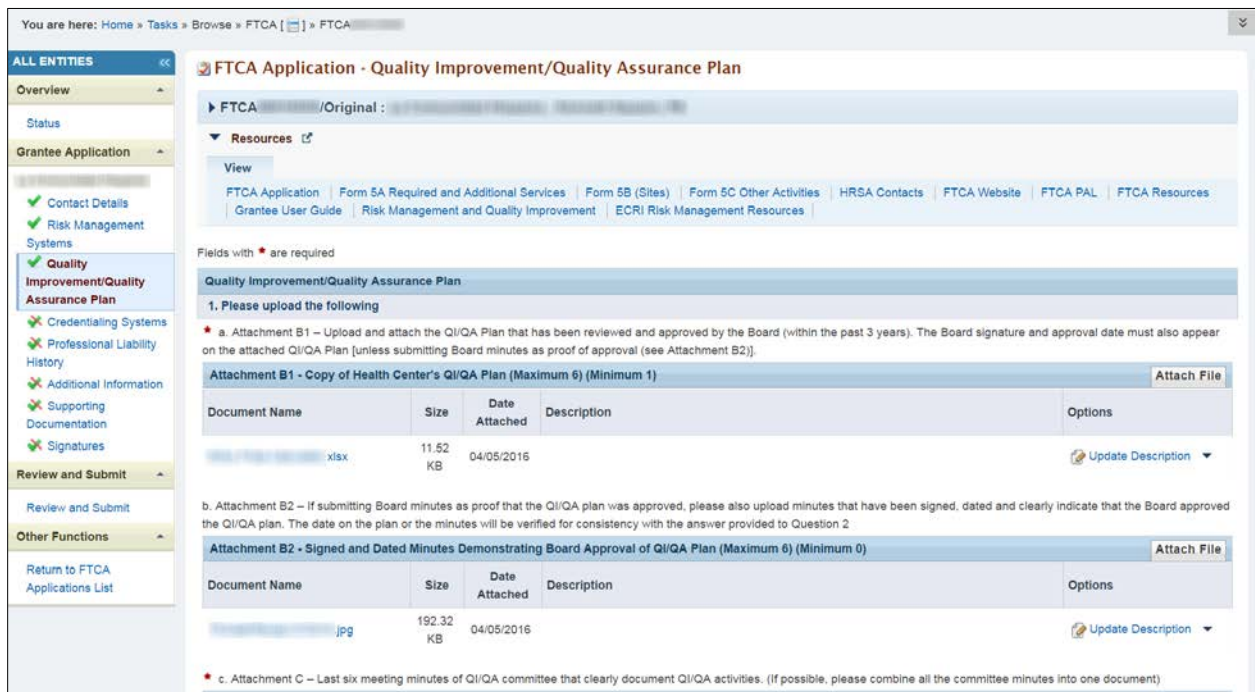**Figure 12: Risk Management Systems Page**

4.5. Quality Improvement/Quality Assurance Plan Page

On the **Quality Improvement/Quality Assurance Plan** page (Figure 13), 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 navigation panel.

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

Figure 13: 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 navigation panel.

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

Figure 14: Credentialing Systems Page
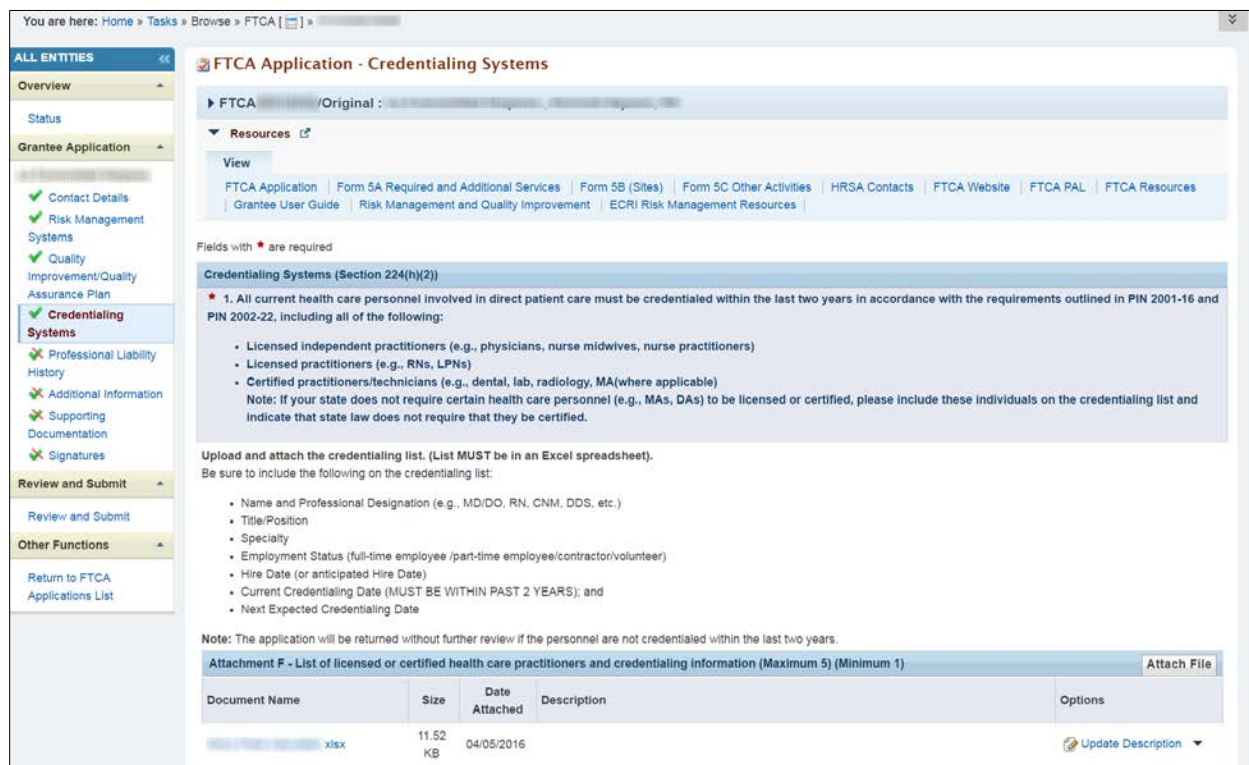
4.7.   Professional Liability History Page

The **Professional Liability History** page (Figure 15) asks whether professional liability suits have been filed or settled against your health center and/or its employees/contractors over the last five 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 Overview** page or by choosing Professional Liability History from the left navigation panel.

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

Figure 15: Professional Liability History Page


4.8. Additional Information Page

The **Additional Information** page (Figure 16) asks about

- Accreditation, certification and recognition

- Medical malpractice risk management training

- 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 Overview** page or by choosing Additional Information from the left navigational panel.

1. Enter your responses. Responses are required where questions are marked with an asterisk (*).

2. When instructed to provide an explanation, enter it in the space provided.

Figure 16: Additional Information Page
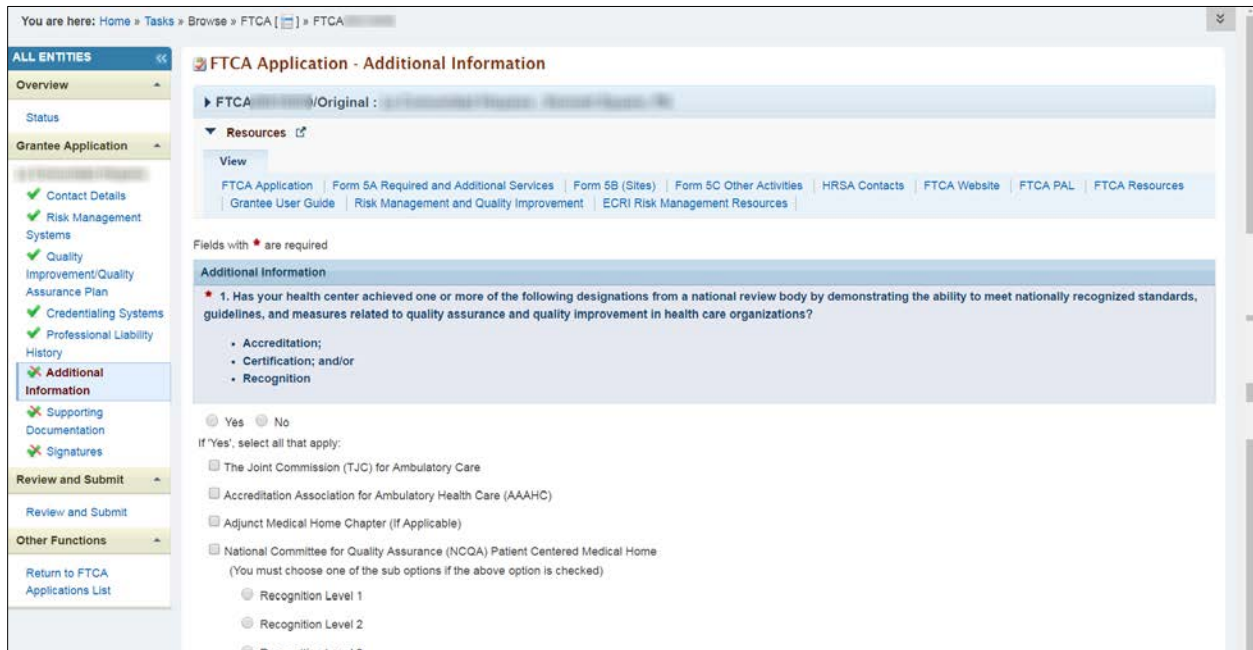
4.9. Supporting Documentation Page

The **Supporting Documentation** page (Figure 17) 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 Overview** page or by choosing Supporting Documentation from the left navigation panel.

You may also upload any additional supporting documents on this page.

Figure 17: Supporting Documentation Page
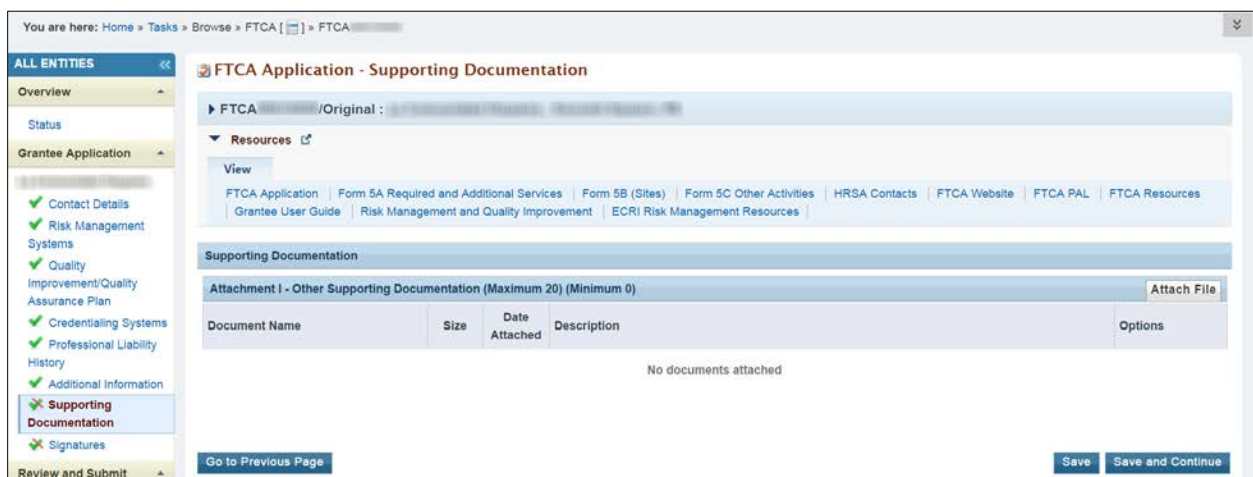
5.   Subrecipient Application

Health centers that have identified one or more subrecipients on their most recent Form 5B will see this section and must complete it. Health centers that have no subrecipients 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 subrecipient data (if, for example, subrecipient organizations are added, updated or removed from the current approved scope), then these changes must be reflected on the FTCA application.

The **Subrecipient Overview** page (Figure 18) lists the subrecipient organizations identified on your most recent Form 5B. Each subrecipient has respective information fields requiring completion. You must account for each subrecipient as follows:

- For any subrecipient that is seeking FTCA coverage, you must complete a respective Subrecipient Application containing the following sections:

  - Contact Details

  - Risk Management Systems

  - Quality Improvement/Quality Assurance Plan

  - Credentialing Systems

  - Professional Liability History

  - Additional Information

  - Supporting Documentation

  - Signatures

- For any subrecipient that declines FTCA coverage, you may choose to provide a brief statement why they chose to do so (optional).

You will be navigated to the **Subrecipient Overview** page if you click the **Save and Continue** button at the bottom of the **Signatures** page. You may also access the **Subrecipient Overview** page by clicking the respective Update link on the **Status** page or by choosing Subrecipient Overview from the left navigation panel.

Figure 18: Subrecipient Overview Page

1. Enter your responses. Responses are required where questions are marked with an asterisk (*).

2. When instructed to provide an explanation, enter it in the space provided.

3. Click **Save** or **Save and Continue** once the section is completed. A respective Subrecipient Application will be created for any subrecipient organizations selected to apply for FTCA coverage.

4. Access the **Subrecipient Application** from the left navigation panel.

5. Complete each section of the **Subrecipient Application** similar to the **Grantee Application**. You will not be able to submit the FTCA Application until all Subrecipient Applications (if there are any) are completed.

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 19).

You will be navigated to the **Signatures** page if you click the **Save and Continue** button at the bottom of the **Supporting Documentation** page. You may also access the **Signatures** page by choosing Signatures from the left navigation panel.

Figure 19: Signatures Page

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

6.2. Review and Submit Page

The **Review and Submit** page (Figure 20) displays, in table format, all the sections in the FTCA application. It allows you to view or print any or all sections. This section also serves as the submission page.

Subrecipient information is displayed on this page only if there are subrecipients.

You will be navigated to the **Review and Submit** 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 navigation panel.

Figure 20: Review and Submit Page
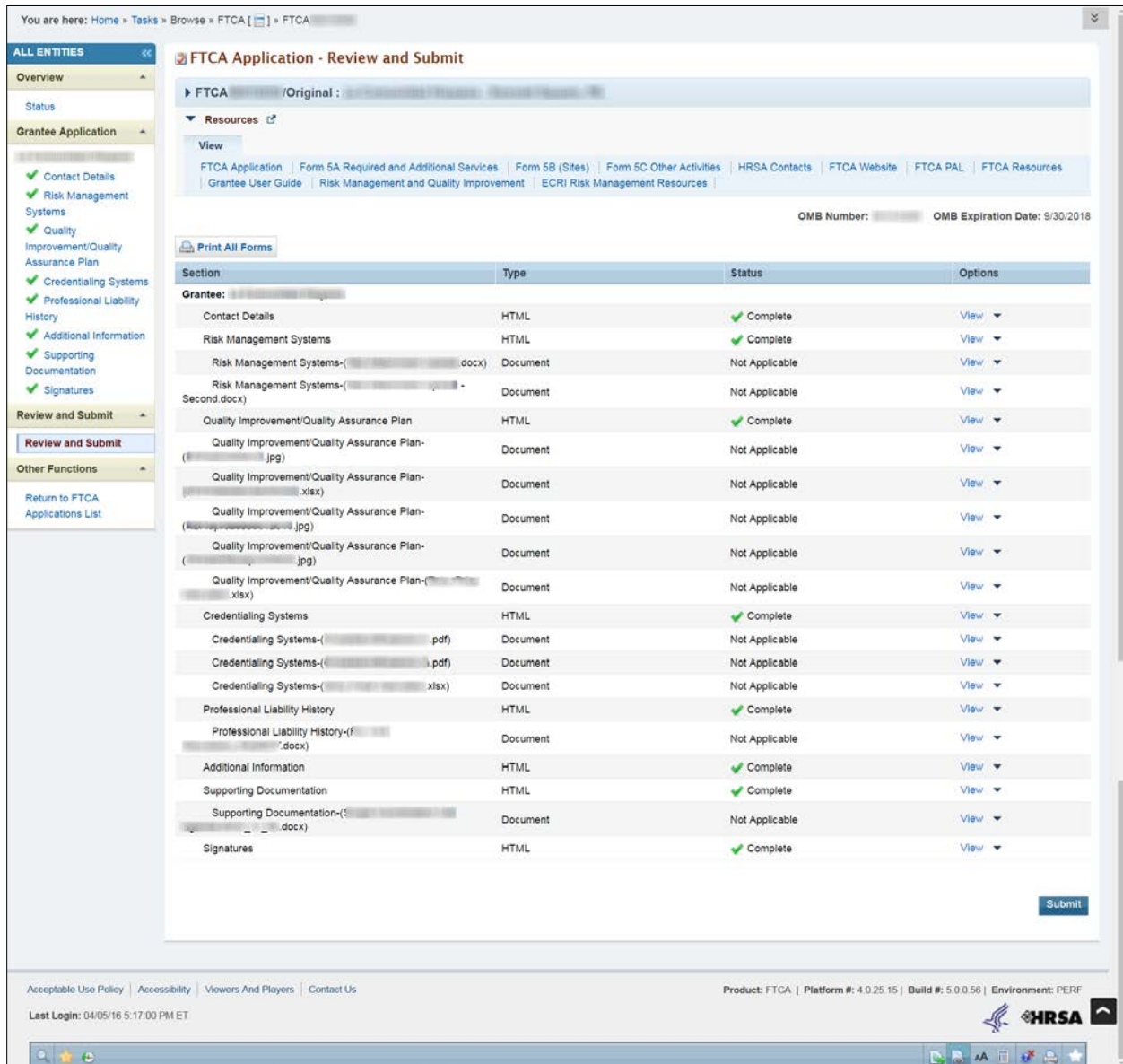
1. Click the View link next to any section of the application to view that section. The item will open in HTML format, in a separate window.

2. Click the **Print** button on the toolbar to print this page. Click the **Print All Forms** button to print all the sections in HTML-format.

3. To print a document not in HTML format, click the View link. The document will open in its native application (e.g., Microsoft Word).

4. Print the document from the native application.

5. Click the **Submit** button when the application is ready for submission. The **FTCA Certification Form** appears (Figure 21).

6. Complete the form.

7. Click the **Confirm** button. A confirmation message will appear showing that your FTCA application has been successfully submitted (Figure 22).

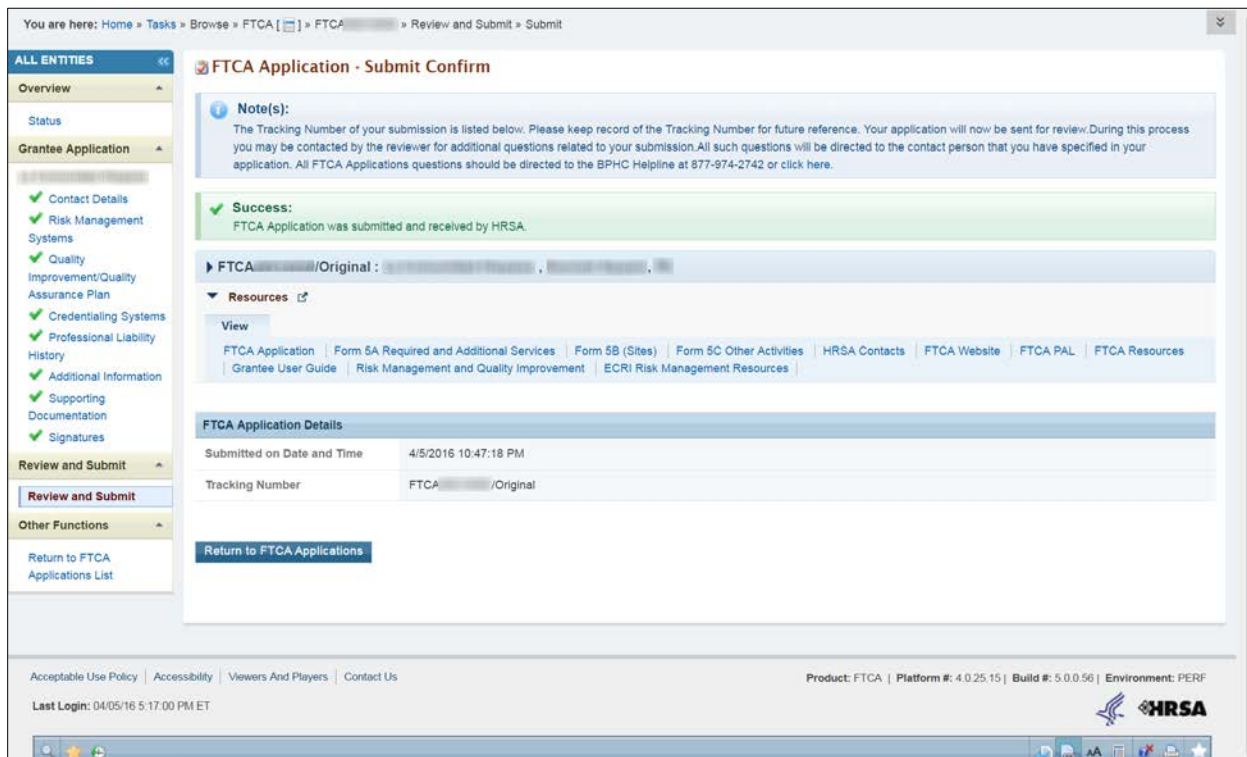**Figure 21: Submit Confirmation Page with FTCA Certification Form**
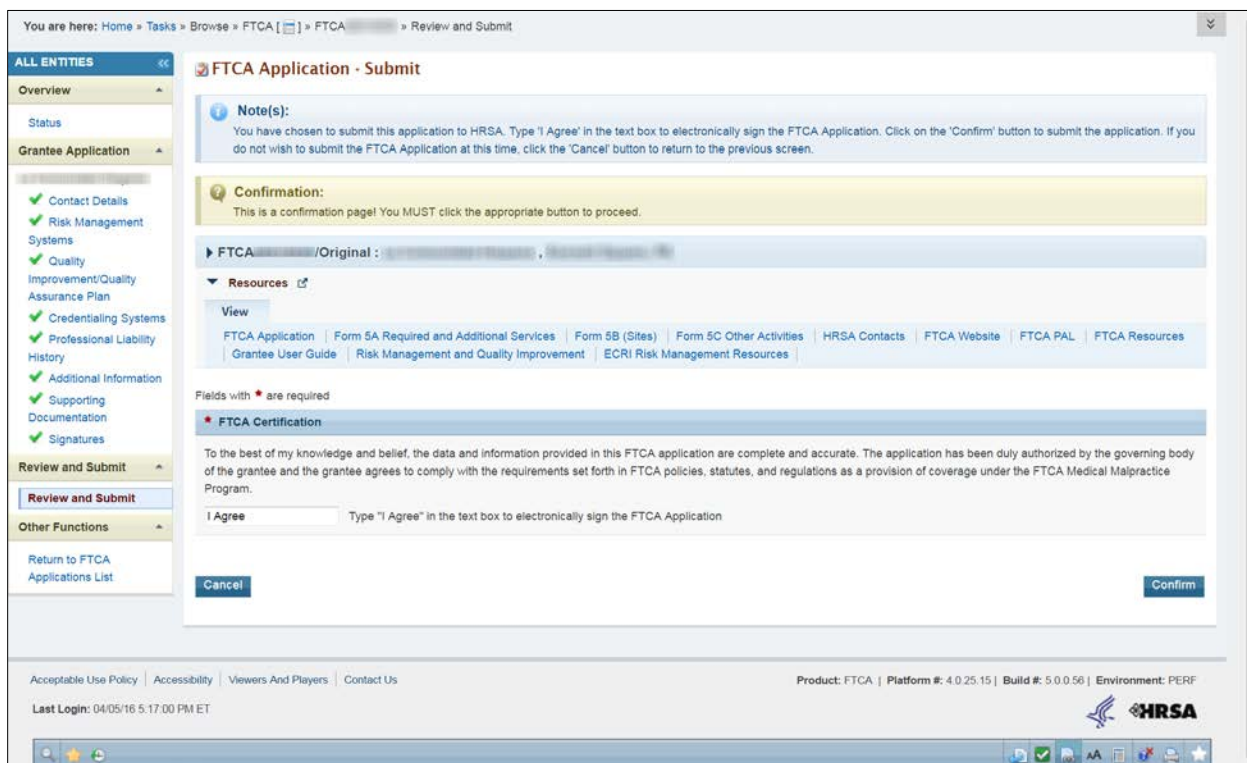
Figure 22: Submission Confirmation Message

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 email. Follow the steps given in section 3.2, Navigating to Your FTCA Application, to access your application. On the **Applications** page, the status of your application will be "Change Requested".

Figure 23: Applications Page with Application in "Change Requested" Status

A link to the change request email is provided in the **Resource** section on every page.

Figure 24: Link to Change Request Email in Resource Section

8. Deeming History

To access your deeming history in the Electronic Handbook:

1. Log into the EHBs.

2. Click on the **Grants** tab on the EHBs home page. Click on the respective Grant Folder link to navigate to the **Grant Home** page.

3. In the **Grant Home** page, click on the FTCA Program link to navigate to the **FTCA Home** page. This link will be located under **Others**.

4. The **FTCA Home** page opens. On the left navigation panel, click Deeming History under **FTCA Overview**.

5. The **Deeming History** page opens (Figure 25).

Figure 25: Deeming History Page

Entries are in reverse chronological order. The history includes grantee and subrecipient 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/

Technical Assistance Conference Call Replay Information:

All TA Information will be posted to the FTCA Website:
http://bphc.hrsa.gov/ftca/healthcenters/hcappprocess.html

For information on the FTCA Program and the deeming application: Health Center Program Support:

- Phone: 887-464-4772 7:00 a.m. to 8:00 p.m. ET., Monday through Friday (except Federal holidays)

- Website: http://www.hrsa.gov/about/contact/bphc.aspx

For system questions related to the deeming application contact the Health Center Program Support:

- Phone: 887-464-4772 7:00 a.m. to 8:00 p.m. ET., Monday through Friday (except Federal holidays)

- Website: http://www.hrsa.gov/about/contact/bphc.aspx

For EHB technical support (e.g., registration, username and password), contact the HRSA Call Center:

- Phone: 1-877-464-4772 (Monday through Friday (except federal holidays) 8 AM to 8 PM (ET))

- Website: http://www.hrsa.gov/about/contact/ehbhelp.aspx