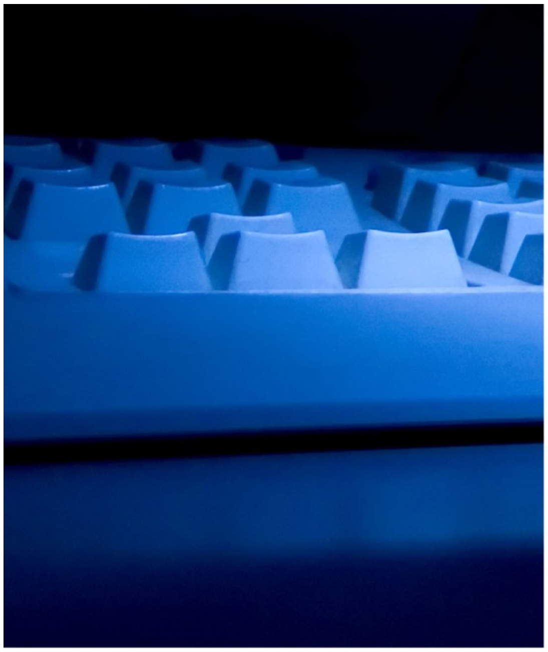
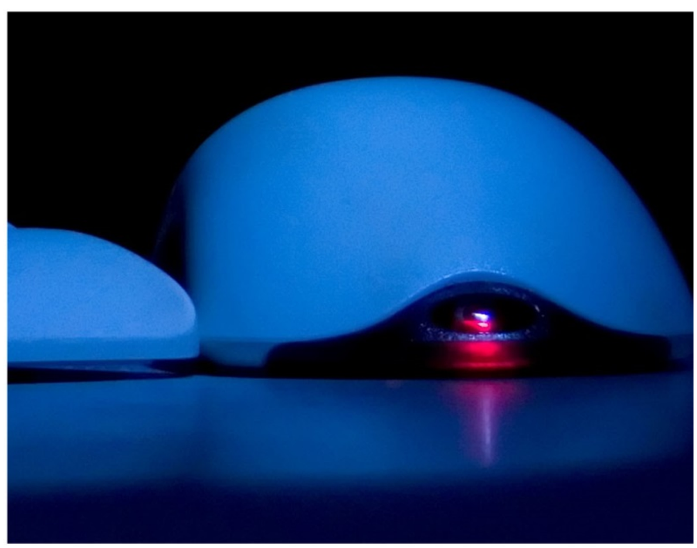


ASPEN Technical Training Workbook

ATT 2016



Contents

ASPEN Installation 5
System Requirements (MPD) 5
Customize ASPEN 7
Customize ASPEN for Your User 7
Customize ASPEN For Your State 14
Email Configuration 20
ePOC Configuration 25
ASE-Q Account Setup 35
Security 39
Menu Security 39
Tab/Button Security 40
Facility Type Security 40
Survey Security 41
Security Scenarios *(Instructor Only)* 42
Introductory Overviews 47
Survey Properties 47
Citation Manager 50
Citation Notepad 54
Certification Process 55
HHA Initial Certification Kit 55
ASPEN Certification Lifecycle 69
Certification – Special Case Exercises 99
Merge Survey 99
Hospital Special Survey 101
Enter a Change of Ownership 105
Change Provider Status (RO) 109
Terminate a Provider 113
Deemed Scenarios 117
Complaint Management/ePOC 127
Basic Complaint 127
Deemed Hospital Full Survey After Complaint 147

Complaint Process – Special Case Exercises **155**
Log a Hotline Call 155
Generate an Intake from a Hotline Call Record 157
Complainants/Resident/Alleged Perpetrator 159
Merge Complainants, Residents/Patients/Clients, Alleged Perpetrators 163
EMTALA Complaint Against Hospital 165
Death Associated with the Use of Restraints/Seclusion 173
Refer a Complaint/Incident 179
Enforcement **183**
HHA Enforcement Process 183
Facilitating Communications **193**
Action items: Communicate between CO/RO/SA 193
Activities/Notices: Communication between SA/RO/CO 197
ASPEN Notes to Communicate between SA/RO/CO 203
Reports **209**
How to Access 209
ACTS Report Customization 209
Create a Custom ACTS Report 210
Letter Management **213**
Create Letter Content – Macro Basics 213
Complaint Letter Macros 217
Uploads/Transaction Tracking/Best Practices **221**
Frequently Asked Questions 221
ASPEN Uploads Transactions to National Reporting Systems (CASPER/QW) 235

ASPEN Installation

System Requirements (MPD)

Minimum and Recommended Client Requirements: EXISTING or NEW EQUIPMENT

Component	Minimum	Minimum or Higher Required for LTC Survey Process Implementation Recommended for Other
Processor	*Pentium Class (or equivalent) @ 1.2 GHz*	*Pentium Class (or equivalent) @ 2.0 GHz*
Memory (RAM)	*2GB*	*4 GB*
Available Disk Space	*4GB*	*10 GB on SATA 2 drive at 7200 RPM*
Monitor	*13" Color*	*Desktop 19": Color Flat Panel* *≥1024x768 screen resolution Flat Panel for laptop or tablet*
*Operating System**	*Windows 7 – 32 bit* *Windows 7 – 64 bit*	*Windows 7– 32 bit* *Windows 7 – 64bit* *Windows 8.1 – 32 bit* *Windows 8.1 – 64 bit* *Windows 10 – 32 bit* *Windows 10 – 64 bit*
Secure Access/Encryption *(See Encryption Policy)*	*Required – See Encryption Policy*	*Required – See Encryption Policy*
Anti-virus	*Current License*	*Current License*
Universal Serial Bus Port	*One*	*Three*
Removable Media *(see Encryption Policy)*	*USB Drive*	*USB Drive*
Pointing Device	*Mouse or equivalent* *(e.g. trackball or touchpad)*	*Mouse or equivalent* *(e.g. trackball or touchpad) and Pen/Stylus*

Component	Minimum	Minimum or Higher Required for LTC Survey Process Implementation Recommended for Other
Network Interface Card *(See CMS ARS security guidelines for acceptable wireless configurations)*	*Wired for network connectivity; and* *Wireless network cards must support WPA-2 level encryption*	*Wired for network connectivity; and* *Wireless network cards must support WPA-2 level encryption*
Optical Drive	*CD –ROM*	*CD/DVD-ROM (External for tablet)*
Audio	*Standard built-in speakers*	*Attachable microphone and standard built-in speakers*
Battery (laptop or tablet)	*6-cell lithium-ion*	*6-cell lithium-ion*
*Browser***	*Internet Explorer v 11.0*	*Internet Explorer v 11.0*

*States considering implementing Windows 10 should carefully evaluate CMS software with this Operating System before full scale deployment.

Note: Operating systems need to be current with all Windows security updates.

**Internet Explorer v 11 will need to operate in compatibility mode in order for the software to operate properly.

Per the Internet Explorer Support Lifecycle Policy FAQ (https://support.microsoft.com/en-us/gp/microsoft-internet-explorer), beginning January 12, 2016, only the most current version of Internet Explorer available for a supported operating system will receive technical support and security updates.

Internet Explorer v 9.0 and v 10.0 is no longer supported as of January 1st 2016. Only Internet Explorer v 11.0 running in compatibility mode is currently supported.

Due to new CMS security requirements, all browsers must have the TLS 1.2 setting enabled.

Customize ASPEN

Customize ASPEN for Your User

Create a Personal Selection Set

ACO/ARO and ACTS maintain records of thousands of facilities, certifications, surveys and complaints/incidents within each state or region. With My Selections, each user can focus the display of listed facilities and surveys to just the ones that he or she needs to see. For some states, narrowing the selection filter will also enhance performance.

Selection sets can be defined based on any combination of facility type, office/location (management unit), work unit, bed size, operation status, congressional representative, state region, and survey type and date.

You can create and save as many selection sets as necessary to meet your needs. Selection definitions may be visible only to the logged-on user, or you can share My Selection definitions with all other users by saving the selection as Public. You can define multiple selection sets that serve a variety of uses, but only one may be activated at a time.

1 View the ACO tree for all facility types

First, let's look at the Alpha tree showing all facility types.

- Open **ACO**.
- Click the **+** to the left of My Selections to expand the node.
- Locate the **ALL FACILITIES** selection set, right-click and select **Activate**.
- Now click the **+** next to the **A** node to expand it.

  You see a large number of facilities. It could take you some time to find the one you need. So instead, we will limit that list by creating a personal selection set for Nursing Homes.

2 Create new personal selection set

- Right-click **My Selections**, then select **New Personal Selection**.

  A personal selection set is visible only when you are the logged-on user.
- In the Filter Name box, provide a name for your selection set: <your name> NH is one idea.
- On the **Facility Type** tab, put a checkmark next to **Activate**.

- Scroll down and select all the following federal nursing home types:
  - **021 – NURSING HOME (NH) – SNF/NF DUAL CERT**
  - **022 – NURSING HOME (NH) – SNF/NF DISTINCT PART**
  - **023 – NURSING HOME (NH) – SNF ONLY**
  - **024 – NURSING HOME (NH) – NH ONLY**
  - **025 – NURSING HOME (NH) – LICENSURE ONLY**
- Click **OK** to save your new selection set.

3 Activate selection set

- Click the **+** next to **My Selections** to expand the node.
- Locate and right-click your new selection set and select **Activate**.

4 View your selection set

- Now click the **+** next to the **A** node to expand it.

  You now see only nursing homes.

Create Action Item Filters in ACO

1 Open action item filter window in ACO

- On the **Alpha** tab in **Tree** view, right-click **My Action Items.**
- Select **New Action Filter**.

2 Specify criteria

- In the Action Item Filter Settings window, select (click the radio button) **Show for all dates**.
- In the Status section, select **Open**.
- For Type, don't select anything.

  With ASPEN filters, not selecting anything is the same as selecting everything.
- Put a checkmark next to **Include Action Items for Current User** (that would be you). Click **Yes** to the prompt.

  You can create a filter that displays other users' action items, which is handy if you want to track their workload.
- Do ***not*** select **Public**, as that would make the filter visible to all users in your region.
- For **Filter Name**, enter a descriptive name: **MY OPEN ITEMS**.
- Click **OK** to save your new action item filter.

3 Activate the filter

- In the tree, click the **+** to the left of **My Action Items**.
- Right-click your new filter and select **Activate**.

Create Action Item Filters in ACTS

1 Open action item filter window in ACTS

- Launch **ACTS**.
- On the Facility tab in Tree view, right-click **My Action Items**.
- Select **New Action Item Filter**.

2 Specify criteria

- In the Action Item Filter Settings window, select **Show items for last**, then enter **120** for **days**.
- In the **Status** section, select **Open**.
- For **Filter Name**, enter the descriptive name: **STAFF OPEN ITEMS** (This will be a personal filter, so leave the Public checkbox unchecked).

3 Add names

- Under the **Staff** section, click **Add**.

  You are going to add all trainees. Their employee IDs all start with 351, and trainee names are Train 01, Train 02, and so on.
- In the Search Text area, type **351**.
- Select **Search by EmployeeID**.
- Click **Find Now**.

  You'll see a list of all staff who have IDs that begin with 351.
- Click **All>>** to transfer all those names into the Selected Items section.
- Click **OK** to save the names.

  You get a message that an Alert filter can have only 20 employees listed.
- Click **OK**.
- Click **Add** again.

  This time just add trainee names beginning with zero.
- In the Search Text area, type a zero (**0**) and **Search by Staff's Name**.
- Click **Find Now**.

- Click **All>>**.
- Click **OK** to save the names, and **OK** to save the new action item filter.

4 Activate the filter

- In the tree, click the **+** to the left of **My Action Items**.
- Right-click your new filter and select **Activate**.
- Close ACTS.

Using a work unit in a selection set

1 Create a work unit

- Open **ACO**.
- In the **ACO** toolbar, make sure your active selection set is **ALL Facilities**.
- Go to the **Directory** tab.
- Right-click the **Work Units** node, and select **Insert New Work Unit**.
- In the Enter New Work Unit Info window:
    - Work Unit ID: **Your user training number**
    - Description: User <NN> where NN is your initials
    - Short Name: Your initials
    - Type: **01 Health Survey**
    - Management Unit: **ASPEN TECH TRAIN**
- You don’t need to fill out the other fields. Click **OK**.

2 Assign yourself to the work unit

- Locate your new work unit in the list, right-click, and select **Assign Work Unit Members**.
- In the Assign Work Unit Members window, click **Add**.
- In the Find Surveyor window, type your user ID or name, click the appropriate radio button, and click **Find Now**.
- In the Search Results, double-click your user name to select it.
- Click **OK** to close the Assign Work Unit Members window.

3 Assign the work unit to facilities

- Go to the **Alpha** tab, expand the node for your training letter.
- Choose any provider, right-click and select **Facility Properties**.
- In Facility Properties, go to the **Associations** tab.
- For Management Unit, select **ASPEN TECH TRAIN.**
- For Supervisory / Work Unit, select the work unit you created in Step 1.
- Click **OK** to close Facility Properties.
- Repeat Step 3 for two more providers.

4 Create a selection set and activate

- Right-click My Selections and select **New Personal Selection**.
- In the New Filter window, for Filter Name, type **User <NN> Work Unit**, where NN is your initials.
- Click the **Work Unit** tab.
- Select **Activate**.
- Find your work unit and click to highlight it.
- Click **OK** to save and close.
- In the tree, click the + to expand **My Selections**.
- Locate your new selection set, right-click and select **Activate**.

5 See what happens

- Expand the node for your training letter. The only providers you see are the ones you assigned to your work unit.

6 Check out the Staff Availability List

- Click the **+** next to a provider name to expand it.
- Locate the Surveys node, right-click and select **New Survey**.

  If you get a message that the facility is closed, click **Yes** to create the survey anyway.

- In the Create Survey window, click **Update** to open the Staff Availability List.

  You're the only staff member listed, because the work unit filter in the active selection set also filters the Staff Availability List.

- In the upper-right corner, select **Ignore Work Unit Filter**.

  Now you can see the entire staff list.

7 End of exercise

- Click **Cancel**, **Cancel**, then **Yes** to return to the ACO main window.
- Change your selection set back to **ALL Facilities**.

ACTS Volume Report

The ACTS volume reports can give you a quick indicator of how the complaints work load is distributed among management and work units. This exercise will also be a brief introduction to ACTS report options.

1 Open ACTS

- Open **ACTS**.

2 Select the report

- From the Reports menu, select **Volume Reports | Summary | Volume by Responsible Team**.

3 Fill in report criteria

- For Report Title, type **Volume by Team – 4th Quarter - LTC**.
- In the Report Date Range section, select **4th Quarter (October – December)** for Date.

  This enters the start and end dates for the report, covering the fourth quarter (2015).

- For Chart Type, check that **Bar** is selected.
- Scroll to the Provider Type section, click **Deselect All** to clear all the checkboxes, then select the five Nursing Home types: **021, 022, 023, 024,** and **025**.

4 Run the report

- Click **OK** to run the report.

  The report shows a bar graph of intakes by responsible teams (work units) during the most recent 4th quarter.
- Close the report.

Customize ASPEN For Your State

State Customization Window - ACO

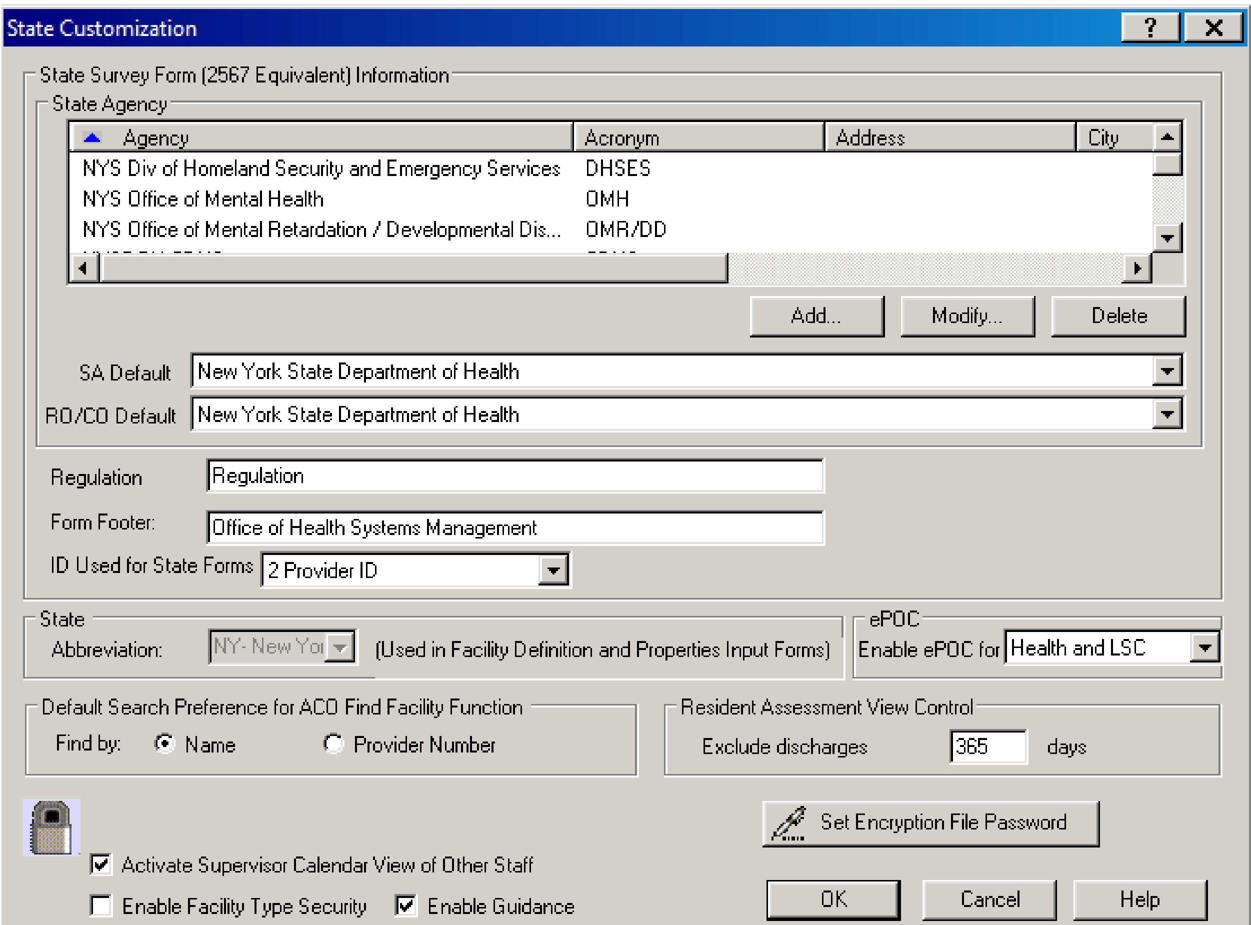
ACO provides a State Customization area where State Agencies can supply information that is specific to each individual state. The State Customization window supports multiple state agency names. Agency names print on state survey reports, and agency acronyms are used by ASPEN letter macros.

Once new agencies have been added, each state user may be assigned to an agency through the employee record. ASPEN reports and letters print the state agency name that is assigned to the current user. If the current user has no assigned agency, reports and letters use the designated default agency name.

NOTE: RO and CO users are not assigned to specific agencies. When RO and CO users print reports and letters that contain the state agency name or acronym, ASPEN uses the RO/CO Default that is set in the State Customization window.

Changes made in this window apply to all users in the state, so editing privileges should be restricted.

You also use this window to enable Facility Type Security.



Definitions of Fields in the State Customization window

Field Name	**Description**
State Agency	A list of state agency names and acronyms that are available for use by ASPEN reports and letter macros. Agency name prints on the header of the CMS-2567 report for state surveys and is used in the State Agency letter macro.
Add button	Opens a window for entry of a new agency name and acronym.
Modify button	Opens a window for editing the selecting agency name and acronym.
Delete button	Deletes the selected agency name and acronym.
SA Default	Used to print reports and/or letters that use the state agency name or acronym when users have no agency assigned in their employee record.
RO/CO Default	Used for all RO and CO users who print reports or letters that require a state agency name or acronym.
Regulation	Term your state uses to refer to regulations. ACO uses this term in the "This <regulation> was not met" sentence of each citation, when tag type (in Tag Properties) is "LICENSURE". Some states call them rules or statutes.
Form Footer	Text that prints in the Form Footer of the CMS-2567.
ID Used for State Forms	Prints in Box X1 (Provider/Supplier/CLIA Identification Number) of the state version of the CMS-2567.
Abbreviation	Two-character state Abbreviation to which ASPEN Central Office defaults when users create new facilities.
*e*POC	Indicates whether state is using *e*POC for: Health and LSC, Health Surveys, LSC Surveys, or Not Applicable.
Find By	Default Search Preference. When the Find feature is used in ACTS or ACO, this setting determines the initial search type for a session.
Exclude Discharges	To exclude recent discharges from resident assessments, enter the number of days. When users view resident assessment information, they will not see discharges that have occurred within the given number of days.
Activate Supervisor Calendar View of Other Staff	When selected, a user with appropriate security rights may view the AST personal calendar of another single user.

Field Name	Description
Enable Facility Type Security	Select the checkbox if you want to be able to limit user access to specific facility types. Facility Type Security is set independently in ACO and ACTS. **Caution:** You may want to assign facility type permissions to individual staff members before enabling security here. Otherwise, nobody will have security once you select this checkbox.
Enable Guidance	ASPEN Hover Guidance is a system of popup definitions that are activated when your mouse hovers over certain fields in ACTS and AEM. Fields with Hover Guidance are identified by a gray dot. This checkbox has no effect on the popup Help in the CLIA 116 web application.
Set Encryption File Password button	This option became obsolete in ASPEN 10.0.

State Agency Setup and Modification - ACO

1 Open State Customization window

- Open **ACO**
- Select **System | System Configuration | State Customization**.

  If your ASPEN is password restricted, enter that password here to gain access. In our training environment, this security is disabled.

2 Add State Agency

- In the State Agency section, click **Add** to insert an agency.
- Enter the name of a new State Agency, its Acronym, address, city, state, and a zip code, then click **OK.**

  The new agency appears in the State Agency section.

Modifying an Agency Name or Acronym

1 Modify State Agency

- Select the agency just created in the State Agency list and click **Modify**.
- Edit as needed, then click **OK**.
- Click **OK** to close the State Customization window.

Configure Groups for ACTS Facility Tree

1 Create node for specific facility group

- Open **ACTS**.
- Change the ACTS Selection Set to **All Facilities**.
- Expand the Facility Tree node for your training letter.
- Locate and note a group of facilities beginning with the same name so you can isolate them in the facility tree.
- In the ACTS Facility tree, right-click **Facilities**.
- Select **Configure Groups | Configure Groups for Facility Tree**.

  For example, to isolate the facility names beginning with the word Walgreens, we will change the existing W node to show only the facilities from W - Walgreenr.

  Then we will create a second node for the facilities beginning and ending with Walgreens, and a third node for facilities beginning with Walgreent – Wz.
- In the Facility Tree Groups window, highlight **Your Training Letter** in the Groups section.
- In the Group Properties section, enter a **Display Value** (this will show in the tree), and **Low** and **High** values (Use ALL CAPS for Low and High values):

  For this example, we'll use the following values:

  - Display Value: W-Walgreenr
  - Low: W
  - High: WALLGREENR
- Click **Save**.
- Click **New** to create a second node for the facilities beginning and ending with Walgreens. Enter the values in Group Properties as follows:
  - Display Value: Walgreens
  - Low: WALGREENS
  - High: WALGREENS
- Click **Save**.

- Click **New** again to create a third node for facilities beginning with Walgreent. Enter the values in Group Properties as follows:
  - Display Value: WALGREENT-WZ
  - Low: WALGREENT
  - High: WZ
- Click **Save**, then **OK** to close the window.

2 View Facility tree

- On the Facility tab, expand the new groups.

Create/modify a state regulation set

1 Create regulation

- Open **ACO**.
- Right-click **Regulations** in the Alpha tree and select **New Regulation Set**.

  The New State Regulation Set window appears. The ASPEN ID is automatically assigned by ACO.
- Enter a one-character **Regulation Set** code. Use your assigned training letter.
- Enter the regulation **Version**.
- Enter or select the **Created** and **Effective** dates.
- Enter the **Regulation Title** using your assigned training letter.
- Enter the **Abbreviation**, and **Created By**.

  ASPEN Central Office uses this abbreviation when the full name of the regulation set is too long to display on screens or reports.
  - If you want surveyors to specify a Severity/Scope code when adding citations from this regulation set, select the **Severity/Scope** checkbox.
  - If you want the regulation set to be active in ASPEN Central Office, select the **Regulation Set Currently Active** checkbox.

  The **Facility Types Using These Regs...** button is not available when you first create a regulation set.
- Click **OK** when done.

  You can now go back into this regulation set and assign facility types to it, and create the tags.

2 Modify reg set

- Expand **Regulations**.
- Locate your new regulation set in the tree.

  If you didn't select Regulation Set Currently Active above, your regulation set does not display in the list. Select **File | Show Active Regulations Only** to toggle this setting to off.

  Now your regulation set should be listed.
- Right-click the regulation set and select **Regulation Properties** to modify it. You cannot change the ASPEN ID.

  You can delete any State or Federal regulation set, as long as no tags from the reg set have been cited in ACO.
- Click **OK** when finished.

3 Add state tag

- Locate and right-click the state regulation set you created above.
- Select **New Tag** from the menu to display the Regulatory Tag Properties dialog box.
- Enter the **Tag Number** and select the **Tag Type** from the drop-down list. Each Tag Number must be unique.

  We recommend numbering tags in a way that allows for future growth - skipping regular blocks of numbers, for instance.

  The tags are listed in ASPEN by tag number.
- Enter the **Version**, then enter or select the **Version Date** for the tag.
- Enter the tag **Title** and applicable **CFR/Statute**.
- To indicate a tag is particularly important, select the **Critical** checkbox.
- If the tag is eligible for waivers, select the **Waiverable** checkbox.
- If the tag is eligible for FSES, select the **FSES** checkbox.
- Select **Regulations** and enter text.
- Click **OK**.
- Click **OK** to close tag properties.

  Expand the regulation set to see your tag listed below.

Email Configuration

ASPEN includes an optional feature that provides for the delivery of specified system-generated action item notices via email to SA or RO recipients.

Note: ASPEN action items are displayed in the main application window whether or not an email notification is also sent. Email notices use the same recipient list as the related action item.

ASPEN Configuration Requirements

To enable action item email notification, you must:

- Specify which types of action items will be delivered via email.
- Set up action item email delivery for each staff member who is to receive notices.

ASPEN Implementation

Email notification of an action item is delivered to a recipient when:

- The action item type has been flagged as email deliverable.
- The recipient has been set up to receive email notifications.

Note: When an action item is added, the corresponding email message may wait in a queue for up to 10 minutes before it is delivered to recipients.

ASPEN utilizes the CMS-based central email server for all messaging. The “sender” for ASPEN action item emails is always Alerts@ASPEN.QTSO.com. The state of origin is indicated in the Subject line.

Specify Action Items for Email Delivery - SA

In ACO, you can designate the ASPEN action items to be delivered by email to SA staff members.

- Open **ACO**.
- From the **ACO System** menu, select **System Configuration**, then **Email Configuration** to open the Action Item Email Configuration window.

  Tip: Menu security should be set so that this option is enabled only for the individual(s) given responsibility for email configuration.

- Select the action items to be delivered by email.

  The list contains action items of interest to SAs. You can clear the checkboxes of those you don’t want to be delivered to SA staff members via email.

Auto upload emails

Note: The Action Item Email Configuration dialog (System/System Configuration/Email Configuration) does not list either of the following action items since they are always enabled to send emails when an upload was attempted but failed. They are automatically closed the next time an upload is attempted. If another upload failure occurs, a new action item is created.

- Unable to Upload Investigation - When an investigation's COMP upload fails to complete, this action item is sent to all responsible parties for all linked intakes. It appears in ACTS/ACO, and double-clicking on the action item takes the user directly to the investigation.
- Unable to Upload Certkit - When a certification kit's upload fails to complete, this action item is sent to all of the kit's responsible parties. It only appears in ACO, and double-clicking the action item takes the user directly to the certification kit.

  Both of these action items generate an associated email to all recipients, regardless of the recipient’s action email receipt settings on their personnel record.

- Click **Cancel** to close the window.
- Close ACO.

Specify Action Items for Email Delivery - RO

In **ARO**, to designate the ASPEN action items to be delivered by email to RO personnel:

- Open **ARO**.
- On the ARO toolbar, click **Config** to open the Regional Offices window.
- Click **Configure Action Item E-mails**.

Note: The Email Configuration option on the System menu is disabled in ARO.

- Select the action items you want to be delivered by email.

  The list contains action items of interest to ROs. You can clear the checkboxes of those you don’t want to be delivered to RO staff members via email.

- Click **Cancel** twice to close the windows.
- Close ARO.

Enable Action Item Email Delivery for Staff Members

In addition to designating the action items for email notification, you must configure email delivery in the staff member record, i.e., the Update Surveyor Information window, in ACO/ARO for each SA and RO staff member who is to receive action item notices. You will enter an email address and set email notification filters for each user.

1 Enable action item email delivery for SA staff:

- Open the Update Surveyor Information window:
  - Open **ACO**.
  - In the **ACO** tree, click the **Directory** tab and expand the **Staff Directory** node.
  - Expand the 0-9 branch, right-click your trainee name, and select **Update Staff Member**.

  RO - On the ARO toolbar, click **Config** to open the Regional Offices window, then click **Manage CMS User Accounts** to open the CMS RO/CO Staff Manager window. Select a user and click **Modify**…

- On the Employee Identification tab, provide an **E-Mail Address** in the Contact Information section if not already specified.
- Click the **Email Settings** tab.

  The E-Mail Address entered on the Employee Identification tab is carried over and is read-only.

- Select **Receive Broadcast Emails** and/or **Receive Targeted Emails** as appropriate.

  A targeted action item email is sent to specific individuals. For example, Responsible SA is sent only to the Responsible SA staff member(s) assigned to the intake in ACTS.

  A broadcast message is sent when no other recipients, i.e., no responsible parties, are defined. It is sent to RO users (as applicable) who have Receive Broadcast Emails selected in their staff record. For example, the Complaint Closed action item is sent to all RO users configured to receive broadcast emails in the current region only if a Responsible RO staff member has not been assigned to the intake in ACTS.

- Set filters as appropriate for the user.
- Click **Cancel** to close without saving changes, and **Yes** to confirm.

Email Filter Behavior

When Receive Broadcast Emails or Receive Targeted Emails is first selected on the Email Settings tab, all filter options are selected by default. If both Receive Broadcast Emails and Receive Targeted Emails are deselected, all filter options are deselected and disabled.

Note: When Receive Broadcast Emails and/or Receive Targeted Emails are selected, the user will receive broadcast and/or targeted emails for all selected action items/activities.

Except for Action Items Filter, the Select/Deselect All buttons select/deselect all items in a given section. Select/Deselect All behave differently for the Action Items Filter section since selection/deselection of items 06, 15, and 16 selects and enables or deselects and disables (respectively) all filter options in other sections.

ePOC Configuration

Each state must complete the following configuration tasks in order to use the ePOC system functions.

- Enable ePOC functionality in ASPEN
- Activate ePOC for facilities so they can use ASPEN Web: ePOC to view deficiencies and respond with their POCs
- Assign user permissions for ePOC windows and buttons
- Set up recipients for SA/RO-targeted ePOC emails

Enable ePOC in ASPEN (*INSTRUCTOR ONLY DEMO*)

To enable ePOC functionality in ASPEN, you simply select an option in the State Customization window. You can enable ePOC for Health surveys, LSC surveys, both, or neither.

- Open **ACO**.
- On the System menu, select **System Configuration**, then **State Customization**.
- In the ePOC section, choose the appropriate **Enable POC for** option. For this class, select **Health and LSC**.
- Click **OK** to save and exit.

Activate ePOC for Facilities

After you enable ePOC in ASPEN, you can activate ePOC in ACO (or ARO) for qualified facilities, either individually or in group(s). A facility must be a federally certified provider that is open, has a CMS Certification Number (CCN), and has been uploaded to national. For an activated facility, you can view a list of users with access to ASPEN Web: ePOC.

Note: Currently, only Nursing Home providers can be activated for ePOC.

Only surveys with an exit date on or after a facility's ePOC activation date can be posted to ASPEN Web: ePOC.

Activate a Single Facility

To activate ePOC for an individual facility, you simply set an activation date in Facility Properties. You can change an existing activation date if necessary.

- Open **ACO**.
- With the NH OPEN selection set activated, locate the facility in the Tree view, right-click it, and select **Facility Properties**.

- In the ePOC information section (at the bottom of the Facility Definition tab), click the **Enable** button and enter the **ePOC Activation Date**.

  The field will be enabled only if ePOC has been activated for the state. When set, the date must be within the last 13 working days.

- Click **OK** to save and close Facility Properties.

Note: Surveys with an exit date prior to the facility's ePOC Activation Date cannot be posted to ASPEN Web: ePOC. If you change the date for a facility with survey(s) already posted to ePOC, a message tells you this after you press OK; the survey(s) will continue to be active on the ePOC website and in ASPEN. You cannot revert to the original activation date.

Activate Multiple Facilities

The ePOC Activation Date can be set or changed for multiple facilities as a group based on provider type, team and/or management unit.

- Open **ACO**.
- On the System menu, select **System Configuration**, then **ePOC Facility Maintenance**.
- Select **02-Nursing Home (NH)** as the Primary Type, and/or a Management Unit, and/or a Team.

  Note: Currently, Nursing Home is the only primary type supported by the ePOC system.

- Select the facilities for which you want to set or change the ePOC activation date. You can use **Select All** to select all listed facilities, **Shift+click** to select consecutive facilities, or **Ctrl+click** to select non-consecutive facilities.
- Enter the **New Activation Date** (at the bottom of the window).

  When set, the date must be within the last thirteen working days.

- Click **Set for All Selected**.

  For facilities with a date entered but without surveys posted to ASPEN Web: ePOC, the existing date is changed.

  Note: You cannot change the ePOC Activation Date here for facilities with surveys posted to ASPEN Web: ePOC. Use Facility Properties instead.

- Close the ePOC Facility Maintenance window.

Configure ePOC Email Recipients (*INSTRUCTOR ONLY DEMO*)

Automatic email notifications are sent at various times during the ePOC process. For an ePOC email to be generated, at least one recipient group must be specified for the email in the SA/RO Email Recipients window.

SA and RO users with appropriate permissions can set up recipient groups and enter email addresses for non-survey specific recipients (e.g., management unit) in each group. Responsible parties and survey team members can be included or excluded as survey-specific recipients. For responsible parties and/or survey team members to be eligible recipients, they must have valid email addresses in their personnel records.

Note: SA/RO-targeted emails are generated based on attributes of the facility where the survey was performed, e.g., its assigned management unit. You must consider this when configuring recipient groups.

Set up a Recipient Group

The recipients in a group can be defined variously as those assigned to:

- A primary facility type
- A primary type + a particular team (work unit)
- A primary type + a particular management unit
- A primary type + a particular management unit + a particular team (work unit).

Note: A primary facility type must always be specified for a recipient group.

1 To configure a recipient group:

- Open **ACO/ARO**.
- On the **File** menu, select **Email Recipients** to open the SA/RO Email Recipients window.

  All SA/RO-targeted ePOC emails are listed. Recipient groups are configured by default to include all management units and teams.
- To the right of the Email Recipient Groups section, click the **Add** button.
- In the **Add/Modify Email Recipient Group** window, select the appropriate **Email Type** (i.e., ePOC email), Primary Facility Type, Management Unit, and Team (i.e., work unit).

  Primary Facility Type, Management Unit, and Team apply to the facility where the survey was performed. If, for example, the survey's facility is assigned to work unit A, then, for the email to generate, at least one of the recipient groups for the email must have Team/Work Unit set to A or to All.

  Note: Currently, Nursing Home is the only primary facility type supported by the ePOC system.
- If survey team members should not be included in the recipient group, deselect Notify Survey Team Members (selected by default).
- If ePOC responsible parties should be included in the recipient group, select Notify ePOC Responsible Parties (not selected by default).

  Responsible parties for the survey ePOC process are assigned via POC Properties.
- Click **OK** to close the Add/Modify Email Recipient Group window.

  The new recipient group is displayed in the Email Recipient Groups grid.

  Note: You can define multiple recipient groups for a single ePOC email. Staff members included in more than one recipient group for an email will receive multiple copies of the email.

2 To modify a recipient group:

- In the **Email Recipient Groups** grid, select the group and click **Modify**.
- In the **Add/Modify Email Recipient Group** window, make your changes and click **OK**.

3 To delete a recipient group:

- In the **Email Recipient Groups** grid, select the group and click **Delete**.
- Click **Yes** in the confirmation message.

Specify Email Addresses of Non-Survey Specific Recipients

After setting up an email recipient group, you can add email addresses of non-survey specific recipients in the group, e.g., management unit, whether addresses of the individual recipients or a single group address. Any valid email address is supported; thus, you can enter an externally configured group address for a management unit or team.

You should not add email addresses here for survey-specific recipients, i.e., survey team members and responsible parties. If they are designated as recipients, addresses from the applicable personnel records are automatically added to the emails.

> **Note:** If an address is present, the user receives an ePOC email for any survey that matches the recipient group configuration, whether or not that person is a member of the survey team or assigned as a responsible party.

1 To add email addresses for non-survey specific recipients:

- Open the **SA/RO Email Recipients** window.
- In the Email Recipient Groups grid, select a group.

  Recipient specifications for the selected group, as defined in the Add/Modify Email Recipient Group window, are indicated in the Recipients section above the Email Recipient Groups grid. Observe also that Notify Survey Team Members and Notify ePOC Responsible Parties (to the right of the grid) are selected or not per Add/Modify Email Recipient Group.
- To the right of the Recipients grid, click the **Add** button.
- In the **Add Email Recipient** window, enter a valid email address.

  This could be the address of an individual recipient or a group email address.
- Select the Recipient Type: **Standard (To), BCC, or CC**

- Click **OK**.
- Repeat steps to add additional recipient addresses.

  Addresses are displayed in the Recipients grid.

2 To modify an email address for a non-survey specific recipient:

- In the **Recipients** grid, select the address (individual or group) and click **Modify**.
- In the **Add Email Recipient** window, edit the address and click **OK**.

3 To delete an email address for a non-survey specific recipient:

- In the **Recipients** grid, select the address (individual or group) and click **Delete**.
- Click **Yes** in the confirmation message.

Email Recipient Group Configuration Examples

Example 1: Survey Results Posted

You want the Survey Results Posted SA/RO email to go to your Quality Control group, ePOC responsible parties, the survey team supervisor, and yourself, but not survey team members. In this scenario, ePOC responsible parties (assigned via POC Properties) should include the supervisor, but not any survey team members.

1 Set up the recipient group as follows:

- Open the **SA/RO Email Recipients** window. (File | Email Recipients)
- Under Email Type, select **Survey Results Posted - SA/RO** and click **Modify**.
- In the **Add/Modify Email Recipient Group** window, use the default settings for Primary Facility Type, Management Unit, and Team/Work Unit (NH, All, All).
- Deselect **Notify Survey Team Members**.
- Select **Notify ePOC Responsible Parties**.
- Click **OK** to close Add/Modify Email Recipient Group.

2 Add email addresses of non-survey specific recipients:

- In the SA/RO Email Recipients window, select the **Survey Results Posted - SA/RO** recipient group you defined (may already be selected).
- To the right of the Recipients section, click the **Add** button.
- In the **Add Email Recipient** window, enter a valid email address.

  This could be the address of an individual recipient or a group email address. Here, it could be the group address for the Quality Control group, if one is defined, the address of a Quality Control group member if there isn't a group address, or your address.
- For Recipient Type, select **Blind Carbon Copy (BCC)**.
- Click **OK**.
- Repeat steps above to add additional addresses for non-survey specific recipients in the current recipient group.

  In this case, you need to add a Quality Control group address or individual addresses for group members, and your email address.

Note: You should not add email addresses for the designated responsible parties (including the survey team supervisor) as they are survey-specific recipients.

Example 2: Late POC Review

You want the Late POC Review email to go to the survey team members and to the bureau directors of your state's two management units (ASPEN Tech Train and ASPEN Tech Train West). Since each recipient group can only be assigned to one management unit, in this scenario, you will need to set up two recipient groups. The bureau directors are non-survey specific recipients. ePOC responsible parties, if any, are irrelevant for the email.

1 Set up the recipient group for ASPEN Tech Train as follows:

- Open the **SA/RO Email Recipients** window.
- Under Email Type, select **Late POC Review** and click **Modify**.

- In the Add/Modify Email Recipient Group window:
  - Accept the default setting for Primary Facility Type (**NH**).
  - For Management Unit, select **ASPEN Tech Train**.
  - Accept the default setting for Team/Work Unit (**All**).
- Select **Notify Survey Team Members** (selected by default).
- Deselect **Notify ePOC Responsible Parties** (not selected by default).
- Click **OK** to close Add/Modify Email Recipient Group.

2 Add email address of bureau director for ASPEN Tech Train:

- In the SA/RO Email Recipients window, select the **Late POC Review** recipient group for ASPEN Tech Train that you defined (may already be selected).
- To the right of the Recipients section, click the **Add** button.
- In the **Add Email Recipient** window, enter a valid email address for East's bureau director.
- Click **OK**.

Note: You should not add email addresses for survey team members as they are survey-specific recipients.

3 Set up the recipient group for ASPEN Tech Train West as follows:

- Open the **SA/RO Email Recipients** window (may already be open).
- To the right of Email Recipient Groups, click **Add**.
- In the Add/Modify Email Recipient Group window:
  - Email Type: **10-Late POC Review**
  - Accept the default setting for Primary Facility Type (**NH**).
  - For Management Unit, select **ASPEN Tech Train West**.
  - Accept the default setting for Team/Work Unit (**All**).
- Verify **Notify Survey Team Members** is selected.
- Verify **Notify ePOC Responsible Parties** is not selected.
- Click **OK** to close Add/Modify Email Recipient Group.

4 Add email address of bureau director for ASPEN Tech Train West:

- In the **SA/RO Email Recipients** window, select the **Late POC Review** recipient group for ASPEN Tech Train West that you defined (may already be selected).
- To the right of the Recipients section, click the **Add** button.

- In the **Add Email Recipient** window, enter a valid email address for ATT West's bureau director.
- Click **OK**.

Note: You should not add email addresses for survey team members as they are survey-specific recipients.

Example 3: Tardy Survey Posting

You want the Tardy Survey Posting email to go to the survey team, the survey team's manager, and the director and deputy director of the Nursing Home unit. In this scenario, ePOC responsible parties (assigned via POC Properties) should include the survey team's manager, but not any survey team members. You also do not want to assign the director or deputy as ePOC responsible parties although you want them to get the email.

1 Set up the recipient group as follows:

- Open the **SA/RO Email Recipients** window.
- Under Email Type, select **Tardy Survey Posting** and click **Modify**.
- In the Add/Modify Email Recipient Group window, use the default settings for Primary Facility Type, Management Unit, and Team/Work Unit (NH, All, All):
- Verify **Notify Survey Team Members** is selected.
- Select **Notify ePOC Responsible Parties**.
- Click **OK** to close Add/Modify Email Recipient Group.

2 Add email addresses of non-survey specific recipients:

- In the SA/RO Email Recipients window, select the **Tardy Survey Posting** recipient group you defined (may already be selected).
- To the right of the Recipients section, click the **Add** button.
- In the **Add Email Recipient** window, enter a valid email address for the director.
- Click **OK**.
- Repeat steps above to add an email address for the deputy director.

Note: You should not add email addresses for the survey team members or designated responsible parties (including the survey team manager) as they are survey-specific recipients.

- Click **Close**.

ePOC Email History

ePOC generates automatic email notifications at various times during the ePOC process. An email history option lets you view details about the ePOC-related emails that were sent.

The following emails occur nightly:

- Tardy Survey Posting
- SOD Acknowledgement
- No Response
- Late POC Review
- Late Cert kit Upload
- Late Invest Upload

To view ePOC email history:

- Open **ACO**.
- From the **File** menu, select **Email History**.
- In the ASPEN Email History window, specify Filter Criteria.
- Click the **Refresh** button to display ePOC emails matching the specified criteria.
- Click the **View** button to view email content.

ASE-Q Account Setup

To support central administration of ASPEN user accounts, ASE-Q user records are created in ACO or ARO. You can configure one ASE-Q user at a time in the Enter/Update Surveyor Information window, or multiple users via a right-click option in the Staff Directory. To populate the ASE-Q Sybase database with personnel records, you export the records from ACO/ARO and import them into ASE-Q.

For employees who are ASE-Q users, you enter information on the Employee Identification and Employee Details tabs in the Enter/Update Surveyor Information window as for any user.

This exercise demonstrates how to set up ASE-Q user account permissions in ACO and transfer the information into ASE-Q so you can open the application. Your user account has already been setup for you, but we'll go through the steps to demonstrate how this was done.

Configure ASE-Q user accounts in ACO

1 Open Employee Record

- Go to the **Directory** tab in ACO, and click the **+** to expand the Staff Directory.
- Locate and highlight your **trainee name**, then right-click and select **Update Staff Member**.

2 Assign ASE-Q Login ID

- In the Staff Access and Type section of the Employee Identification tab, verify that your ASE-Q Login ID is assigned. If not, select **Use ACO Login**.

3 Assign ASE-Q permissions

- Verify your ASE-Q permissions:
    - **Assessment**: Provides access to MDS data for Nursing Homes
    - **QIS**: Provides user access to the QIS tool
    - **Complaints**: Allows user to view complaint information
    - **ASE-Q Admin**: Not currently in use
- Click **OK** to close the employee record.

Administer Multiple ASE-Q Accounts

4 Configure multiple accounts

- In **ACO**, go to the **Directory** tab.
- Right-click **Staff Directory**.
- Select **Administer ASE Accounts**.
- Locate your user account.

  Experiment with sorting columns, selecting and deselecting permissions, etc.
- Click **Cancel** to exit without saving any changes.

Export ASE-Q User Accounts

This function is used primarily to transfer user accounts to newly installed instances of ASE-Q Surveyor laptops. You can export one or multiple ASE-Q surveyor records at a time.

5 Export yourself

- From the ACO Main menu, select **System | Specialty Info Transfer | Export ASE Users**.
- In the ASE User Export window, select the checkbox next to your SA trainee name.

  The View setting defaults to Users with ASE Accounts. You can also choose to view Users without ASE Accounts, or All Users.

6 Choose the export location

- Click the **Browse** button
- In the Select for Export window, browse to and select **C:\Aspen Tech Training** as your export location.

  ACO supplies the file name, **ASEUserTx.zip**.
- Click **Open**.

7 Export user information

- Click **OK**, and **OK** again on the User Export Successful message.
- Close **ACO**.

> Import the user account file from the Login window in ASE-Q.

8 Launch ASE-Q

- Double-click the icon on your desktop to open **ASE-Q**.
- Type your **User Name** and **password** in the ASE login window.
- Click **Login**.

  If this is the first time you've opened ASE-Q, your user account information is not recognized by the Sybase database. You would see a message, "ASPEN cannot validate your login. What would you like to do?"

  Since your account information is already setup in ASE-Q, you can proceed to step 9.
- Select **Load a User Account File**.

  Navigate to **C:\Aspen Tech Training\ASEUserTx.zip**.
- Click **Open** to import the user information.
- Click **Apply** to complete the transfer and open ASE-Q.

9 To import someone else's account information

- From the ASE-Q Main menu, select **System | Specialty Info Transfer | Import ASE Users**. The export file from ACO is listed in the **C:\ASPEN Tech Training** folder.
- Click **Open** to import the user information.
- Click **Apply** to complete the transfer.

Synchronize Surveyor Information with ACO

ASE-Q provides a direct-connect utility to let you conveniently update staff records with current permissions and logins from ACO for surveyors already loaded into your ASE-Q database. Your ASE-Q device must be connected to your agency's network.

10 Synchronize surveyor info with ACO

- On the ASE-Q File menu, select **Synchronize Surveyor Info with ACO**.

  ASE-Q verifies the connection with the ACO database, then updates surveyor records in your ASE-Q database. The Finalize Transfer window indicates the records that were synchronized.
- In the Finalize Transfer window, click **Apply** to complete the synchronization, or **Cancel** to reverse it.

Modify/Delete Surveyor Info in ASE-Q

Note: Changes to surveyor records in your ASE-Q database are not reflected in corresponding records in the state database.

1 Modify surveyor info

- Click the **Alpha** or **Type** tab, scroll down the Tree view to locate and expand the Surveyors node.
- Right-click the surveyor's name and select **Modify Surveyor**.
- In the **Modify Information** window, make changes as needed.

  You cannot change the Federal Surveyor ID.

2 Delete surveyor from ASE-Q

- Click the **Alpha** or **Type** tab, scroll down the Tree view to locate and expand the **Surveyors** node.
- Right-click the surveyor and select **Delete Surveyor**.

  You cannot delete an active surveyor.
- Click **No** in the confirmation message to cancel.

Security

ASPEN provides several methods for SA and RO ASPEN administrators to assign and maintain access rights for users. State ASPEN coordinators cannot view, assign, or edit security permissions for RO users, and vice versa.

There are three access control options available in ASPEN:

- **Menu Security** - Available for SA and RO users
- **Tab/Button Security** – Available for SA and RO users
- **Facility Type Security** – Available for SA users only

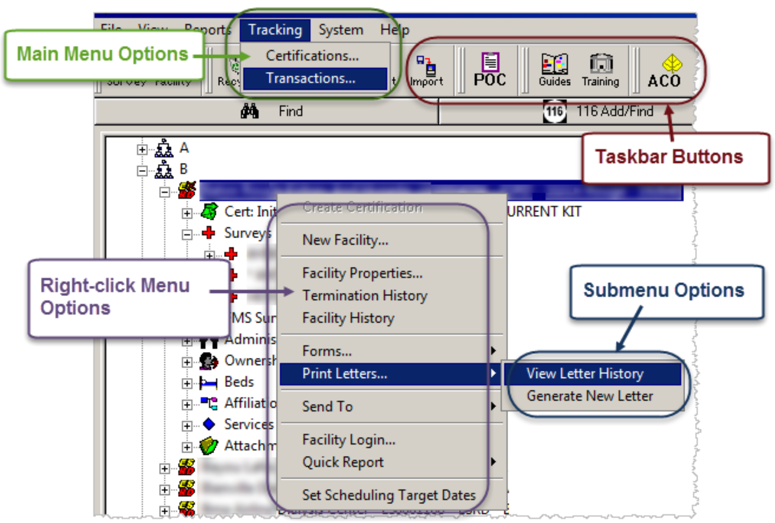
And three access levels available to assign to groups within these options:

- **Read/Write** – Ability to view and edit selected functionality
- **Read-Only** – Ability to view selected functionality
- **No Access** – Cannot access selected functionality

Together these tools let administrators assign security and access rights at a personalized level. There are additional security options for specific ASPEN functions such as surveys and separate security functions for ASPEN Survey Explorer – Quality (ASE-Q).

Menu Security

Menu security provides the principal method for assigning system access privileges to ASPEN users. Menu security is used to control access to all menu commands on ASPEN's main application menu as well as Taskbar buttons. Additionally, items on all shortcut menus (displayed via mouse right-click) are supported under menu security.

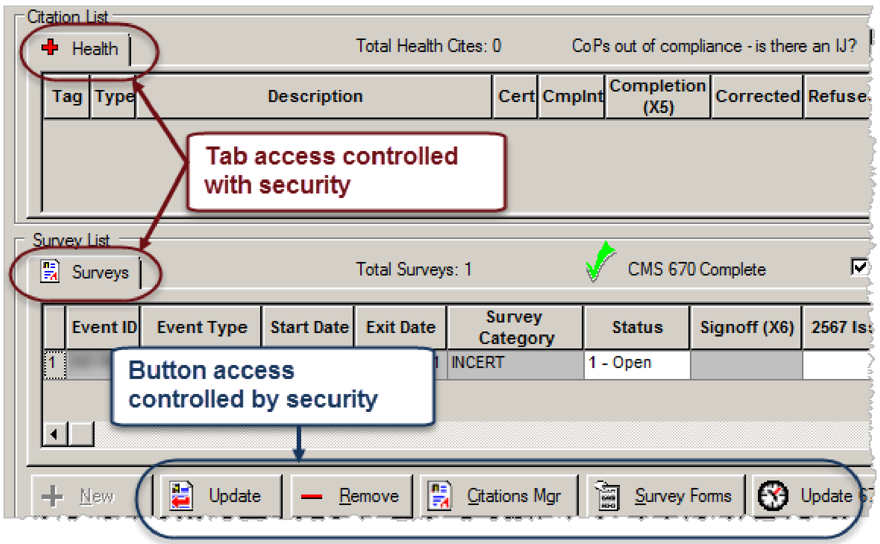


Menu Security is a profile-based access control method. Using Menu Security, users are initially assigned to security groups or profiles. These groups are then granted specific permissions to each ASPEN function as needed.

When new menu commands or Taskbar buttons are added to ASPEN products, by default, no user may access these functions until the ASPEN coordinator grants rights to the new items.

Tab/Button Security

Tab and button security allows administrators to fine-tune security permissions for ASPEN users. Tab/Button security works within the context of displayed data entry windows such as Certification Manager, Intake Manager, etc., and is used to assign access privileges to specific display tabs and buttons used to perform special tasks within the window.



Note: Tab/Button security permissions are in addition to menu security assignments, and used to further restrict privileges assigned by menu security. These permissions do not override access limits assigned through menu security.

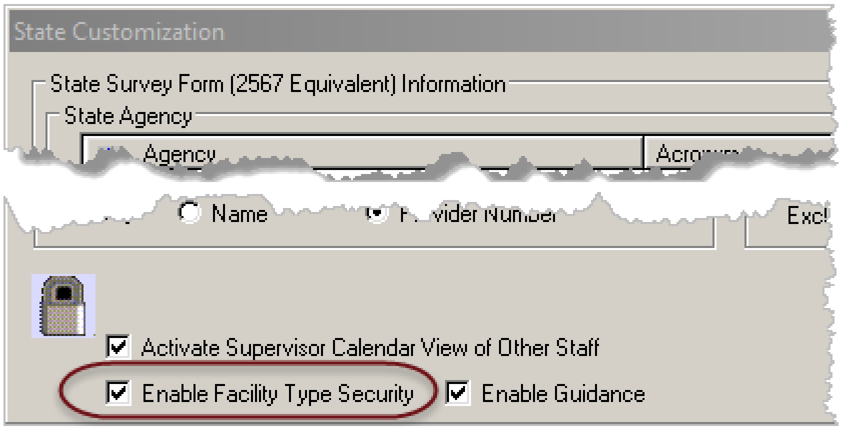
Similar to menu security, tab/button security is a profile-based access control method. When you use tab/button security, you first assign users to security groups or profiles, and these groups are in turn granted specific permissions to ASPEN functionality as needed.

Unlike menu security however, the tab/button security default setting allows full access to tab views and action buttons until the administrator explicitly limits this access with the tab/button security manager. When ASPEN upgrades include new features controlled by tab/button security, these features are, by default, available to all users until limited by the administrator.

Facility Type Security

Facility type security is not based on controlling access to functions in ASPEN; but rather controlling access based on the type of facility for which a selected function is being used. Facility type security is either activated or not, and may be managed separately between ACO and ACTS applications. However, permission assignments are shared across all ASPEN applications. For example, if a user is assigned Read-Only Facility Type Security permission for Nursing Homes in ACO, then that user is automatically restricted to Read-Only access to Nursing Homes in ACTS.

By default, users do not have access permissions to any facility types. So, if the state agency enables facility type security without assigning user access to specific facility types, the agency staff will not be able to access any facilities.



Unlike menu and tab/button security, facility type security is not profile or group based. Instead, an ASPEN administrator may assign access rights directly to each user for each facility type.

Facility type security assignments are combined with both menu and tab/button security assignments. ASPEN then references all three security types related to the selected action to enforce the most restrictive access assigned.

For example: If a user has Read/Write access to Nursing Home types, but Read-Only menu security assigned to the Survey Properties function, then when accessing Survey Properties for a Nursing Home, the user will have the more restrictive menu security assignment of Read-Only. In this case, the user is not able to edit survey information even though they are granted Read/Write access to Nursing Home facilities.

Survey Security

Survey Schedule Security

ASPEN allows you to limit viewing of survey events scheduled in the future, to protect against facilities getting advance notice that a survey is pending. Survey schedule security is available in ACO only, and is activated on a user-by-user basis from the Security/Details tab of the Update Surveyor Information window.

There are two options for configuring schedule security:

- Prevent viewing of any future survey
- Limit viewing of surveys scheduled more than a specified number of days in the future

The later method allows the administrator to grant access to upcoming surveys for planning purposes, but prevents viewing of more distant scheduled events, for example, any surveys scheduled 14 days or more in the future.

If schedule security is active for a user, surveys not meeting the selection criteria are prevented from appearing throughout the ASPEN system, including tree view, list views, display windows, and any hard-copy reports.

Survey Team Security

Survey team security allows administrators to limit state users from modifying surveys to which they are not assigned as a team member in the following ASPEN areas:

- Survey Properties view
- Citation Manager
- IDR Manager
- CMS 670 Manager

Survey team security manages security levels as an extension of existing security group profiles within the Security Manager, but can be assigned for individual users. It is configurable for state agencies only in ACO and ACTS, and affects ACO, ACTS, AST, and AEM.

Administrators can assign either View Only, or View and Update access levels to the group. Then members of the group have the assigned access to surveys in which they are not on the survey team. Users can also be assigned Read-Only or Read/Write access individually. If the security group and individual user settings are different, the least restrictive access is enforced. For example, Surveyor A is part of a security group with View Only access to surveys where she is not an assigned team member. However, individually she is granted Read/Write Access to non-assigned surveys. In this case, Surveyor A has the ability to edit surveys in which she is not an assigned team member.

Security Scenarios *(Instructor Only)*

Scenario One

Surveyor Michael Corleone is promoted from a hospital and nursing home surveyor position, to work as a survey scheduler/reviewer for the state agency. We need to configure his security access accordingly.

Currently, Michael is set up to receive Targeted emails for only the Responsible SA and Personal action items.

Currently, Michael is a member of the following Security Groups and Facilities:

- SUR – Surveyors/Inspector (ACO)
- EPO – ePOC (ACTS)

- SRV – Surveyor/Investigator (ACTS)
- Hospital & Nursing Home (Read/Write Access in ACO/ACTS)
  - May Not See Surveys Scheduled Beyond **5** Days in the Future enabled
  - **Read-Only Access** for non-assigned surveys

---

1 Open ACO

- Double-click the **ACO** icon on your desktop.

---

2 Identify Surveyor to update

- Click the **Directory** tab.
- Expand the **Staff Directory** node, then expand the **A – C** node.
- Scroll down and highlight **Michael Corleone**.
- Right-click **Michael Corleone**, and select **Update Staff Member** from the drop-down list to display the Update Surveyor Information window.

---

3 Update email settings

- Select the **Email Settings** tab
- Select the **Receive Broadcast Emails** checkbox to enable this option.

  Note that the ACTS, AST, and Enforcement Assigned Activity Filter sections are now available for editing.
- Verify all action item filters are selected.

---

4 Update security settings

- Select the **Security/Details** tab.
- Click **Yes** on the Database Write notification window.
- In the Security Groups sections, expand the **Menu Security – ACO** node to view Michael's permissions.
- Scroll down to see that Michael is only a member of the **SUR MAIN: Surveyors/Inspectors** security group.
- Select the following groups, and click **Member** for each to grant security permissions to Michael. (You can also double-click the group to assign Member access):
  - LSC – Building Rights
  - SCH – Scheduler Rights
  - SCL – Support/Clerical
  - SSD – Administrative Staff

- In the **Menu Security – ACTS** node, select the following groups and click **Member** for each:
  - ADM – Full System Administration/Access
  - SCH – Scheduler Rights
- Expand the **Facility Type Security – ACO/ACTS** node
- Click the **Facility Type Security – ACO/ACTS** header to highlight it, and select the **Read/Write Access** radio button.

  This enables read/write access for all facility types.
- Click the checkbox for **May Not See Surveys Scheduled Beyond 5 Days In The Future** to disable this filter.
- In the Access control for non-assigned surveys drop-down list, select **Read/Write Access**.
- Click **OK**.

  Michael Corleone now has read/write access to all facilities and facility properties, as well as the ability to create, edit, and schedule surveys, including any future surveys, even if he's not on the survey team.

Scenario 2

Emma Woodhouse is a new surveyor with the state agency. As a new employee, she'll be shadowing and observing an experienced hospital surveyor for a short time, to get up to speed on agency procedures, and ASPEN itself. Emma needs security access, but at a limited, observational level.

1 Open ACO

- Double-click the **ACO** icon on your desktop.

2 Create Surveyor

- Click the **Directory** tab.
- Right-click the **Staff Directory** node, then select **Insert New Staff Member** in the drop-down options.

- In the Enter Surveyor Information window, type the following information on the Employee Identification tab:
  - State Employee ID: **EmmaW**
  - Click the **Assign Federal Surveyor ID** button to create a Staff ID. Note that the General Staff Type field automatically populates with **01 Surveyor**.
  - First Name: **Emma**
  - Last Name: **Woodhouse**
  - Federal Title: **09 GENERALIST SURVEYOR**
  - State Title: **1111 SURVEYOR**
  - E-Mail Address: **emmaw@email.com**
  - ACO/ARO Login ID: **Emma.Woodhouse**
  - ASE-Q Access Levels: **Survey Only**
- Select the **Email Settings** tab
  - Select the checkbox for **Receive Targeted Emails**
  - In the Action Items Filter section, click **Deselect All**, then select **PR (Personal)**
- Select the **Security/Details** tab
- Click **Yes** on the Database Write notification window
- In the Employment History section, enter **Today's Date** for the **Hire Date**, and the same date next year for the **Anniversary Date**.
- In the Security Groups section, click the **Plus** sign to expand the **Menu Security – ACO** node.
  - Double-click the **EMP – New Employee** Group until the checkmark turns green.
- Click the **Plus** sign to expand the **Menu Security – ACTS** node
  - Highlight **SRV – Surveyor/Investigator**, and click the **Member** radio button.

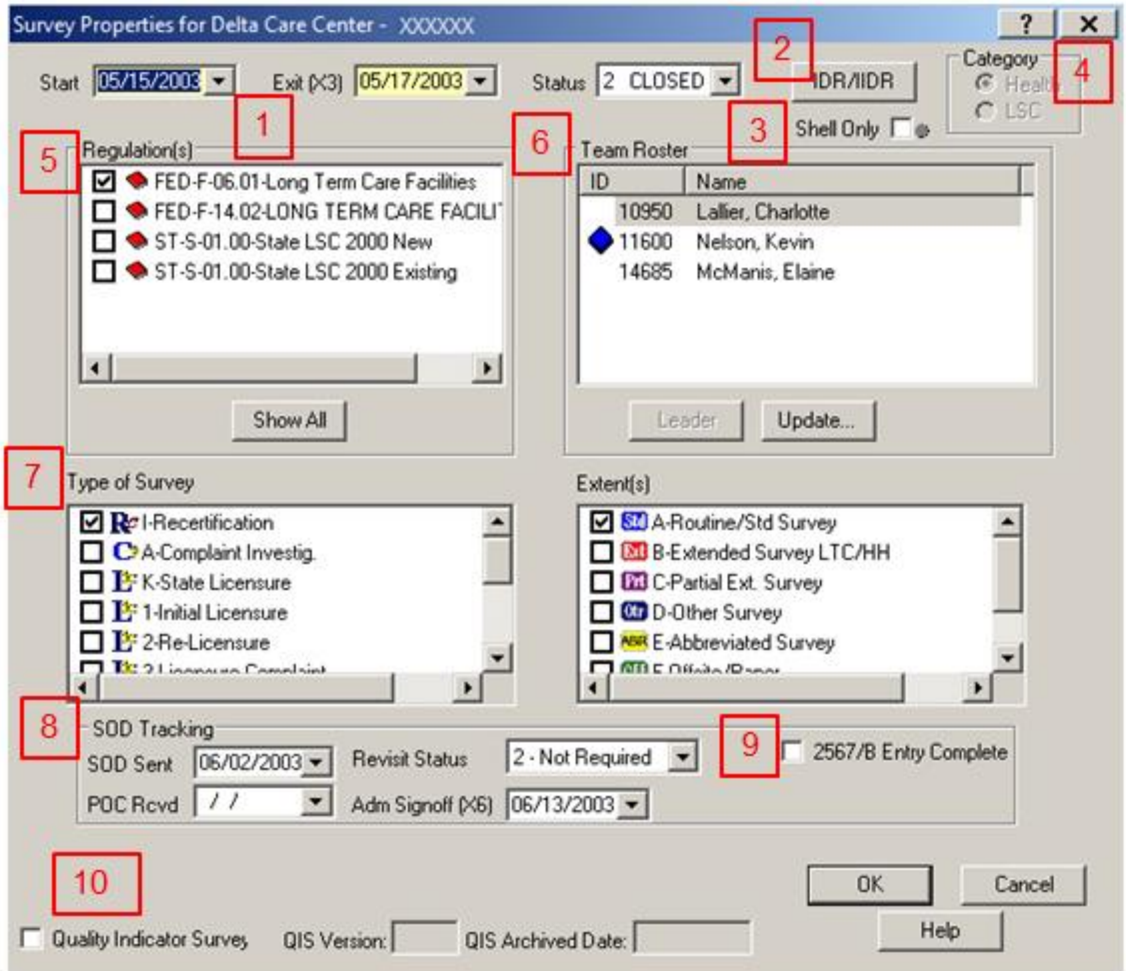
Note: Although the group checkmark is green for a member, it doesn't necessarily mean the surveyor has Read/Write access to everything, The group may only have Read-Only access to certain functionality, like Survey Properties for example.

- Click the **Plus** sign to expand the **Facility Type Security** node.
    - Highlight **01 – Hospital**, and click the **Read-only Access** radio button.
- In the Access control for non-assigned surveys drop-down list, select **Read-Only Access**.

  Emma can now view hospital facility surveys in ASPEN, but cannot make any edits.

Introductory Overviews

Survey Properties



1 Start/Exit dates

- Exit date must be greater than or equal to the Start date.
- If future security is enabled for a user, that user cannot create a survey with dates further into the future than they are allowed to see. You can designate the number of days in the future limit.

  Helps limit the possibility of providers receiving advance notice of upcoming surveys.

2 IDR/IIDR

- Available by default for Federal and state Nursing Homes (NH) and Home Health Agency (HHA) providers; optionally available for state-defined providers.
- Click to enter Informal Dispute Resolution (IDR) and, for NHs only, Independent IDR (IIDR) information.
- Disabled until you close and reopen the survey.

3 Shell Only

- NH, HHA, CLIA.
- Selected by default for new surveys and revisits. ASPEN Enforcement Manager (AEM) cases.
- When this indicator is selected, the survey will not be added automatically to an ASPEN Enforcement Manager (AEM) case. When the checkbox is cleared, AEM determines if the survey belongs on an existing enforcement case. If so, AEM automatically adds it to the case.
- The asterisk after the checkbox indicates that Hover Help is available for this field.

4 Category of survey

- Health or Life Safety Code (LSC) survey type

5 Regulation(s) - Select one or more regulation sets that apply to the survey. The regulations that appear in this list box are determined by selections in the Regulation Set Properties and Define New/Modify Facility Type windows. If you want to add or change the regulation sets in the list, use these two windows.

- For Health surveys, only current applicable Federal regulation sets and any applicable state regulation sets for the provider type are listed. You can toggle the display to show additional regulations using Show All (see below).
- For LSC surveys, available regulation sets are not shown until you enter the Exit date (X3). Only Federal regulation sets that apply to the provider's buildings are shown.

6 Team Roster - Click Update to make changes.

- **ACO** – In the Staff Availability List, select the surveyors you want to assign to the survey team. The list of staff members is filtered by the Work Unit setting in the current My Selections set.

  The list of staff members is also filtered by the Facility Type setting in the current My Selections set in ACO and by Allowed Facility Types in the Enter/Update Surveyor window, so that only active surveyors who are eligible to work on currently displayed facility types are included:

  - if you have AST installed and if "Use facility types of active selection" is selected on the Scheduling tab of My Preferences in AST (It is deselected by default).
  - If these conditions are not met, the list of staff members in the Staff Availability List window is not filtered by facility type.
- **ARO** - The Add Team Member window appears. Enter the new team member's Federal Surveyor ID, or click Find... to search the database, then click Save and Continue or Save & Exit as appropriate.

7 Type of Survey and Extent(s)

- Select one or more.
- Type M-Other is limited to standalone surveys, i.e., surveys not linked to certification kits. All ASE-Q and ACTS surveys are standalone.
- Extent options vary according to provider type.

8 SOD Tracking information

- Enter dates pertaining to the Statement of Deficiencies (SOD) when available.
- These dates are automatically entered by ePOC for surveys posted to ASPEN Web: ePOC.

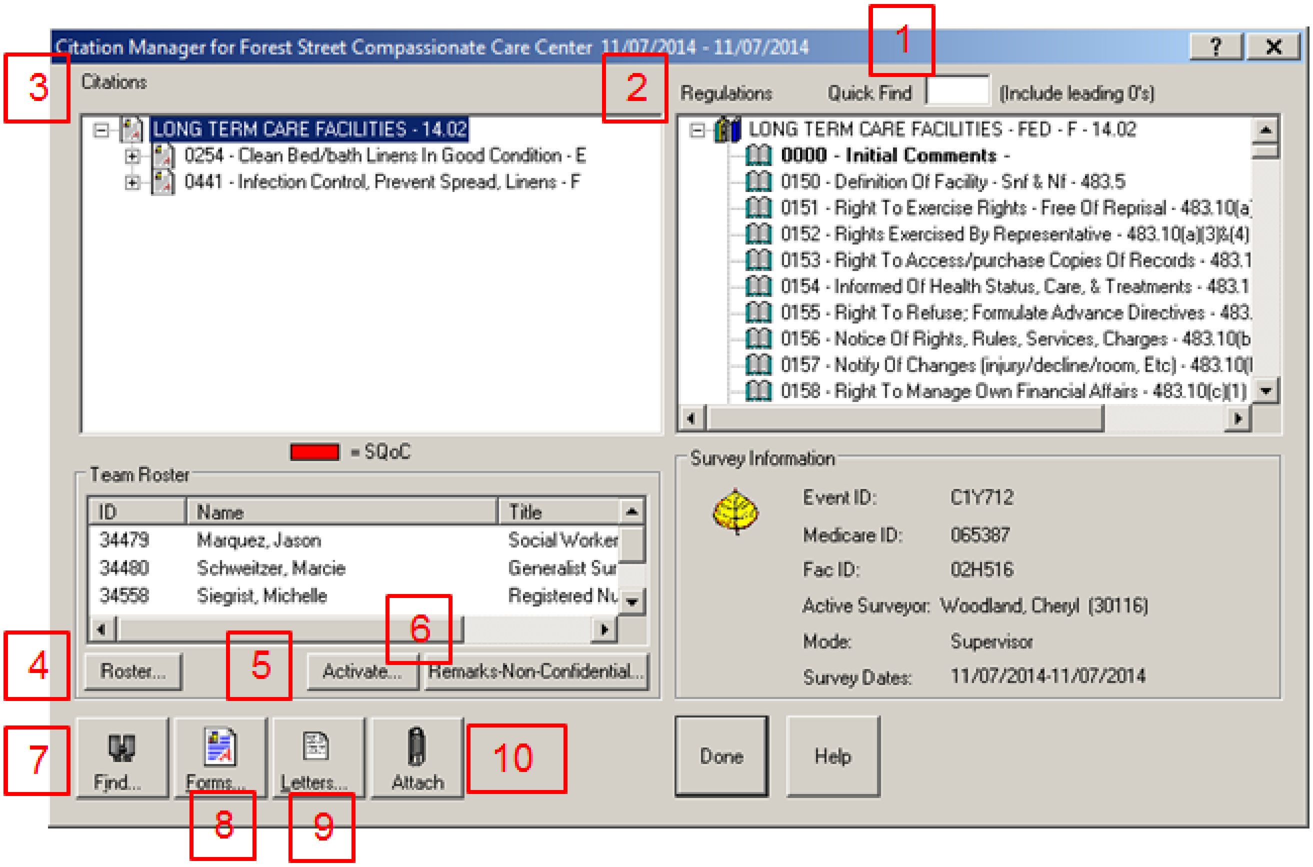
9 2567/B Entry Complete

- Select when all CMS-2567 or CMS-2567B data entry is complete.
- Automatically selected by ePOC for surveys posted to ASPEN Web: ePOC.

10 Quality Indicator Survey, QIS Version, QIS Archived Date

- Quality Indicator Survey – select checkbox to indicate QIS survey. QIS supports Recertification and revisits, and RO Comparative (FMS) surveys and revisits for nursing home providers.
    - On revisit, if there is a prior QIS survey, the Quality Indicator Survey checkbox is selected and disabled.
    - When creating an RO Comparative survey, the Quality Indicator Survey checkbox is automatically selected and disabled.
- QIS Version
    - In ACO/ARO, when you create a QIS survey, the QIS version number is based on the survey start date.
    - In ACO/ARO, if you change the survey start date of a completed QIS survey (a survey that has been imported from QIS back into ACO), the QIS version number does not change.
- QIS Archived Date
    - The date a completed QIS survey was imported back into ACO.

Citation Manager



1 Quick Find

- Enter tag # to search for tag.

2 Regulations

- To cite a deficiency, select the tag you want to cite and drag it to the Citations section, double-click the tag, or right-click and select Add Citation. Citation Properties automatically opens.
- Condition-level tags are displayed in green and marked (Condition) in both the Regulations and Citations sections. (Visible in HHA Providers)
- Right-click a tag to view Regulation Text, Interpretive Guidelines, Custom Help, or to edit Content Library Tag Text.

3 Citations

- Lists cited deficiencies.
- NH - SQoC (Substandard Quality of Care) tags are shown in red in the Citations section.
- Right-click citation to work in Supervisor mode, Delete citation, view Citation Properties, enter Correction Dates, re-order the citations list, enter POC Text, view Former Cites, and to copy the text from one citation to any other citation from the current survey

  The Former Cites window lists the surveys, providers, surveyors, and scope/severity code for each time that this tag has been cited.

4 Roster

- Displays Team Roster where you can assign team Leader.
- Use Update button in Team Roster to open Staff Availability List and select surveyors for the survey team. The list of staff members is filtered by the Work Unit setting in the current My Selections set.

5 Activate

- Click to make the selected team member the active surveyor.

6 Remarks Non-Confidential

- You can view/enter/edit remarks for the selected surveyor, or, if you are in Supervisor mode, for all team members.
- You can also right-click a team member in the Team node in Tree view and select Remarks – Non-Confidential, or right-click the Team node and select Team Remarks – Non-Confidential to view/enter/edit remarks for, respectively, the selected surveyor or all team members.

7 Find

- You can search for text in citations, interpretive guidelines, and regulations.

8 Forms

- Opens the Select Forms to print window for printing the CMS-2567, CMS-2567B, CMS-670, CMS-1539, S/S Grid and Quick Reports. Also has buttons for 670 and 1539 Entry, and for CLIA, CMS 1557 print and entry.

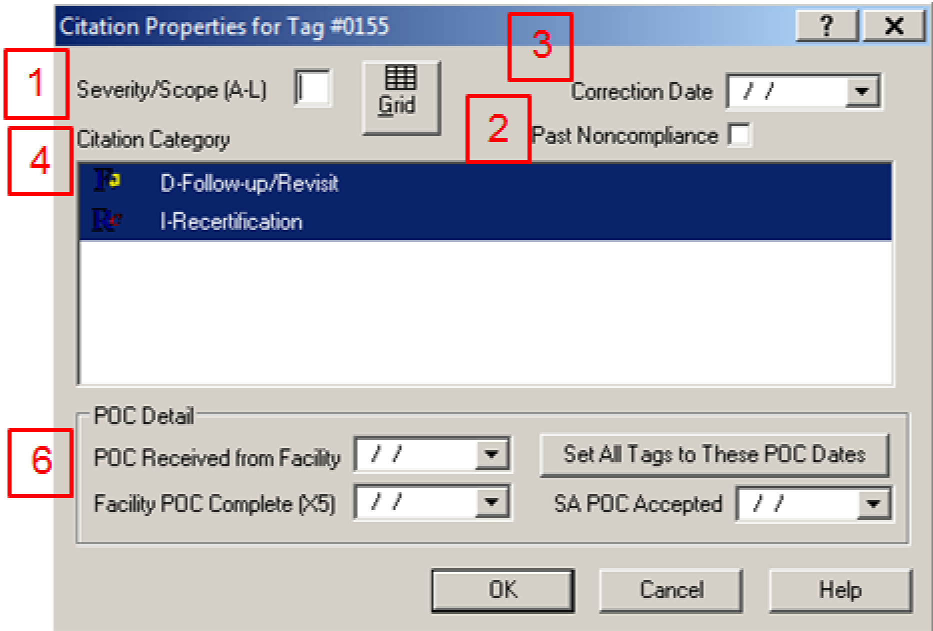
9 Letters

- Generate New Letter or View Letter History.

10 Attach

- Attach supplemental materials in electronic format.

Citation Properties



1 Severity/Scope

- Select if required.

2 NH only - Select the Past Noncompliance indicator if applicable

- This indicator is available when the Exit date for an NH survey is on or after 11/01/2005. If you select this indicator for a citation on a standard survey, the Correction Date field is displayed and enabled.
- You can cite Past Noncompliance (PNC) tags on a survey as well as current noncompliance tags. PNC citations are allowed on revisits.

3 Correction Date

- This field appears only for follow-up surveys, however it will appear if you select Past Noncompliance for a citation on a standard NH survey.
- For Transplant Hospitals, Correction Date is entered at the transplant type level in the Citation Dates by Transplant Type window.

4 Citation Category

- Select or deselect as appropriate.
- All categories are selected by default, so you must deselect any that do not apply. For a combined survey, be sure that all categories to which the tag applies are selected.

5 Buildings (not in image)

- This field is displayed only for LSC surveys. Only buildings associated with the regulation set that the tag belongs to can be selected.

6 POC Detail

- If applicable, provide tag-level POC dates.
- **NH -** This section is disabled if the PNC indicator is selected.
- These dates are automatically entered by ePOC for surveys posted to ASPEN Web: ePOC.

7 Transplant Types (Transplant Hospitals only)

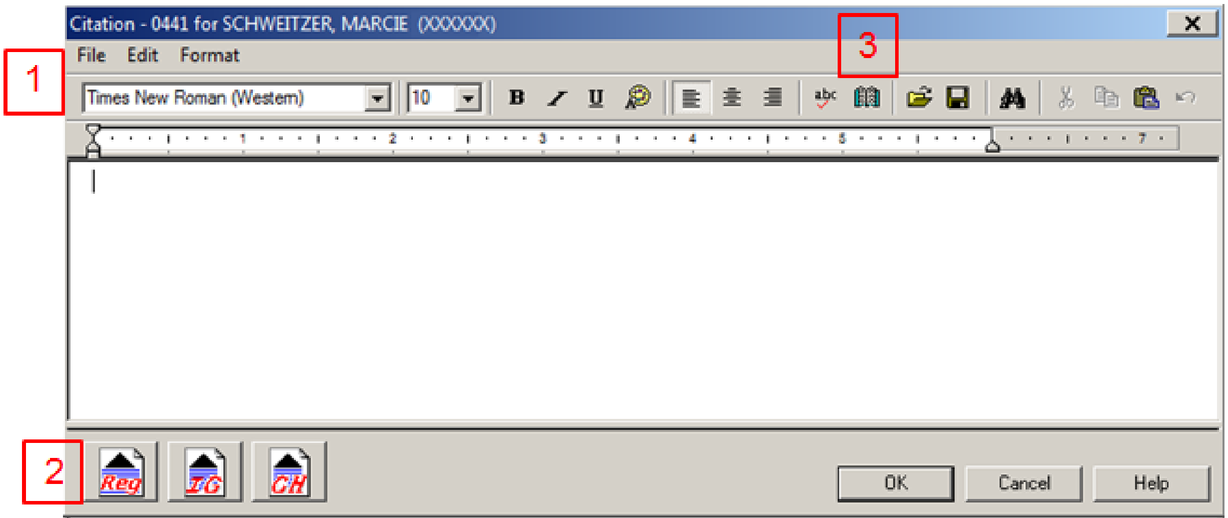
- For Transplant Hospitals, click the Transplant Types button and in the Select Transplant Types window, select the transplant types (programs) to associate with the citation.
- The number on the button indicates how many types are currently selected.

8 Update Dates (Transplant Hospitals only)

- Select Update Dates in the Select Transplant Types window to enter Completion (X5) and Correction dates for each transplant type associated with the citation.

9 Click OK and enter citation text in the Citation notepad

Citation Notepad

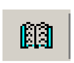


1 Toolbar and Menus

- Standard word processor icons in toolbar and in menus

2 Buttons

- Select Reg, IG, and CH buttons to view Regulation Text, Interpretive Guidelines, and Custom Help

3  **Content Library icon**

- Opens the Content Library Tag Text window

  The Content Library feature allows you to create and maintain predefined regulation-specific tag text that is accessible from both ACO and ACTS. Add entries to the Content Library in the Citation Manager notepad once, and then use it again whenever needed in citations. You can export and import a Content Library, and transfer Content Library entries to new regulation sets.

Certification Process

HHA Initial Certification Kit

Enter HHA facility into ASPEN

A record must exist in ASPEN for a provider before you can create certification kits, surveys, and complaint/incident intakes for that provider.

> Supervisor role:
>
> On 07/02/2016, a new provider submits an application to become a type 052, Home Health Agency (HHA). Working with the Regional Office, the State Agency application processing staff assigns a provider number and creates a record in ASPEN for the new HHA.

1 Open ACO

- Double-click the **ACO** icon on your desktop.

2 Add facility definition information

- On the ACO Explorer toolbar, click the **Facility** button to open the **Define New Facility** window.
- Supply the following information:
  - Facility ID: **HHAXX** (where XX is your assigned training letter)
  - CMS Certification Number (CCN): **11K0XX**, where xx is your training number.
  - Type: **052 Home Health Agency (HHA) Medicaid Only**
  - Operating Status: **01-Active**. Enter **07/01/2016** in the Date of Status Change window, then click **Close**.

Tip: In ASPEN date fields, hold down the Ctrl key and click the down arrow next to the field to insert today's date.

  - Title: Select the checkbox to the right of: **19 (M-Caid)**

    Since this is a Medicaid-only HHA (052) provider type, a National Provider Identifier (NPI) can be entered. We will enter it in a later section.

- Name: **<A> My HHA** (where A is your assigned training letter).

  When you tab out of the Name field, ASPEN copies the name to Legal Name.

- Address: **123 Main Street**
- Zip: **30301**

  When you tab out of the Zip field, ASPEN will supply the City, County, and State.

  You can select the OSCAR State Region, but ACO selects the state region automatically when you finish the facility properties and click OK.

- Phone: **404-555-1234**

  Facility information is included when transferring data to ASPEN Survey Explorer. This means surveyors don't have to worry about making duplicate entries – it is automatically loaded by ASPEN.

3 Associations

- Select the **Associations** tab.
- Add Management Unit: **ASPEN TECH TRAIN**
- Add Supervisory/Work Unit: **ASPEN TECH TRAIN**

4 Administration

- Go to the **Administration** tab.
- In the Search box, type **SMITH** and click **Find Now**.
- Highlight one of the Smiths to be your administrator.
- Select **Click Here to Assign**.
- In the Administrator Information window, enter **07/20/2016** for a Started date, and choose a single digit **Administrator Type**, then click **OK**.

  Note the Administrator Type for later.

5 Ownership

- Go to the **Ownership** tab.
- Type the letters "**Nat**" in the **Name** field to search in the Owner Directory for the owner company you want to assign, and click **Find Now**.

  Owner companies that match the search criteria are listed.

- Select the owner company you want to assign to the provider and choose the **Click Here to Assign** button.

  -or-

  Double-click the applicable owner company.

- In the Owner Properties window, enter the requested information and click **OK**.

  The owner company is now listed in the Owners Linked to this Facility section.

- To designate an owner company as the primary owner of the provider, select the owner company and click **Make Primary**.

  An asterisk indicates the primary owner. The first owner company assigned is automatically designated the primary owner.

Note: The Facility Owner Name macro inserts the primary owner when form letters are generated.

6 Notes

- Click **Notes** and add some personal notes about this HHA.
- Click **OK** to save and close the Notes.

  These notes are copied to the certification kit Notes area.

7 Save facility

- Click **OK** to save and close the facility record.
- Click **OK** on the warning message about NPI information.

  ASPEN assigns a facility login.

- Click **OK**.

Create Certification Kit/Schedule Survey

With the HHA record entered into ACO, the SA creates an initial certification kit.

When Responsible Parties are designated in the certification kit, ASPEN can send action items and activity messages to other staff, alerting them to certification tasks.

8 Activate selection set

- In the ACO tree, expand **My Selections**.
- Right-click the **HHA OPEN** selection set, then click **Activate**.

9 Create initial Certification Kit

- Locate your HHA in ACO's tree view.
- Right-click the provider name and select **Create Certification**.

10 Assign RO Responsible Party

In ASPEN certification kits, TrackID and Category are supplied.

Tip: The TrackID is often the quickest way to locate a certification. Any surveys linked to a certification have an identifying EventID that uses the four digits of the TrackID.

- In the Certification Kit, go to the **Tracking** tab.

  Note that you are automatically added as the SA Responsible Party.
- Click **Add R.O.**, and select the RO version of yourself, and click **OK**.

  Since we are adding only one Responsible Party of each type, there is no need to check the Primary check box.

11 Assign activity

- Go to the **Activities/Action Items** tab (next to the Responsible Parties tab).
- Click **Add** to create a new activity.
- Complete required fields:
  - Type: **08 Schedule Onsite Visit**
  - Sent: **Today's Date**
  - Start: **Today's Date**
- Click **Add S.A.**, then select yourself from the drop-down list as the Recipient of the activity and click **OK**.
- In the Comments section, include a note saying that the survey must be started by *Today's Date*
- Click **OK** to save the Activity.

12 Close the certification kit

- Click **Done** to save and exit the certification kit. When asked if you want to define a starting survey, click **No**.

Scheduler role:

The scheduler receives the action item and schedules the initial health survey, then exports the survey shells to a transfer file, from which survey team members can import them into ASE-Q.

13 Open the certification kit

- Press **F5** to refresh the screen.
- Locate the **SCHEDULE ONSITE VISIT** action item on your ACO desktop listed on the right side of your screen, right-click the action item and select **Certification Kit**.

14 Schedule initial Health survey

- On the **Certification & Surveys** tab, scroll to the Survey List.
- Click **New** to create a new survey.
- For Initial Survey Type, select **Health Survey** and click **OK**.
- In the Create Health Survey window:
  - Start: **Today's Date**
  - Exit (X3): **Today's Date**
  - Regulations: **Fed–Home Health Agencies**
  - Type of Survey: **E-Initial Certification** (pre-selected by ASPEN)
  - Extent: **A-Routine/Std Survey** (pre-selected by ASPEN)

15 Add survey team members

- In the Team Roster section, click **Update** to display the Staff Availability List.
- Find the SA version of yourself and two additional trainees, and select the checkbox to the left of each name.
- Click **OK** to close the Staff Availability List.
- Click **OK** to close the Create Health Survey window. Click **No** to the question about proceeding to Citation Manager.

16 Close Action Item

- In the Certification Kit, go to the **Tracking** tab.
- Go to the **Activities/Action Items** tab (next to the Responsible Parties tab).

- Select the **08 Schedule Onsite Visit** activity type and click **Modify**.
- Enter **today's date** in the Completed field.
- Click **OK** to save the change.

  Entering a completion date automatically closes the Action Item associated with the activity.

17 Close certification kit

- Click **Done** to save and exit the certification kit.

18 Export surveys to transfer file

- In the **ACO** tree, locate and highlight (click on) your HHA.
- On the toolbar, click **Export**.
- In the Export window select **Other Location** and click the binoculars icon to Find Location.
- Browse to **C:\Aspen Tech Training**, select it and click **Open**.
- Click **OK** to complete the export.

  The export file is encrypted, and includes facility and survey information. "Transfer Location" may be anywhere – you can export to a USB drive, or to a location on your network.
- Click **Continue with Export**.
- In the Finalize Transfer window, click **Apply**.
- Click **OK**.

19 Export Regulation Set

To update the regulation set in ASE-Q, you can export the regulation set from ACO.

- In **ACO**, go to the Alpha tab, expand the **Regulations node**, and locate the regulation set assigned to the Health survey (Home Health Agencies Fed G).
- Right-click the Home Health Agencies Fed-G… regulation, and select **Send To | Export**.
- In the Export window, select **Other Location**.
- Use the Browse button (Binoculars) to select **C:\Aspen Tech Training** and click **Open**
- Click **OK** in the Export window.
- Click **OK** to the 'Regulation export is complete' message.

NOTE: Rather than exporting and importing individual regulation sets from ACO, you can select **System | Synchronize Regulations** from the ASE-Q System menu.

Synchronize regulations verifies and imports new active regulation sets, patches to existing regulations, and regulation set status changes from the QIES state Oracle server. You must have defined an Oracle Repository in order to use Synchronize Regulations.

20 Close ACO

- Select **File** then **Exit** to close ACO.

Conduct Survey

Survey Team role:

On Today's Date, the survey team gets ready to perform the survey, beginning with importing the surveys from the transfer location into ASE-Q.

Using ASE-Q, surveyors can enter data while in the field, including, if they choose, printing the CMS-2567.

21 Open ASE-Q

- Locate the **ASE-Q** shortcut on your desktop, and double-click.
- Enter password (The same as the User ID) and click **Log In** to open ASE-Q.

22 Import regulation set

- Select the **Import** icon on the toolbar.
- In the Import window, select **Regulations.**
- Select **Other Zip File Location**.
- Use the **Browse** button (Binoculars) to select **C: Aspen Tech Training** and the **RegTx.zip** file.
- Click **Open**.
- Click **OK** in the Import window.

  The regulation set imports into ASE-Q.
- Expand the Regulations node and verify that the **Home Health Agencies-Fed-G** regulation set imported.

23 Import facility and survey information

- On the ASE-Q toolbar, click **Import**.
- In the Import Type section, select **Surveys**.
- Select **Other Zip File Location,** then click the binoculars icon to find and select the file you just exported – C: Aspen Tech Training\ASPENTX.ZIP.
- Click **Open** to begin the import.
- Click **OK** in the Import window.
- In the Select Survey(s) to Import window, click **Continue with Import**.
- Click **Apply** in the Finalize Transfer window.

> When the surveys are performed, no Health deficiencies are found.
>
> The surveyors enter initial comments into ASE-Q.

24 Specify team leader

- Locate your facility again and expand it (click the **+** next to it).
- Right-click the Health survey (EventID ends with 11) and select **Citation Manager**.
- In the Team Roster section, click **Roster**, select yourself, click **Leader,** and then click **Done**.

25 Enter initial comments

- Locate **tag 0000** in the Regulations section, drag it to the Citations section (left pane), then release.
- In Citation Properties for Tag #, click **OK**.
- In the Citation word processor, enter Initial Comments **– No deficiencies cited.**
- Click **OK** to save the text and return to Citation Manager.
- Click **Done** to exit Citation Manager.

26 Complete 670 Workload

- Locate the health survey in the tree again, right-click and select **CMS 670 Workload**.
- Enter hours in each column for yourself.

- Click your Staff Name to highlight it, and then click **Set All Hours** to copy these hours to other team members.
- Click **Yes** to the confirmation message.
- Click **Office Hours** and enter **1.0** hour for Total SA Supervisory / Review, and **1.0** hour for Total SA Clerical; click **OK** when done.
- Click **Close** to close the CMS 670 Workload Detail window.

> Survey Team Leader role:
>
> On Today's Date, the survey Team Leader (you) returns to the office and connects the ASE-Q laptop up to the local area network.

27 Export surveys to ACO

- Locate the health survey to export in the Tree view.
- To export the survey, use one of these options:
  - Drag the survey to the **Export** button in the toolbar, or
  - Click the survey and then click the **Export** button.
- In the Export window select **Other Zip File Location** and click the binoculars icon.
- Browse to **C:\Aspen Tech Training**, select it and click **Open**.
- Click **OK** in the Export window.
- Click **Continue with Export**.
- Click **Continue with Transfer** for each surveyor.
- In Finalize Transfer, click **Apply**.
- Close ASE-Q

> The team leader (you) sends an Action Item to the Responsible Party (also you) to let (you) know the survey has been entered.

28 Notify SA of survey status

- Double-click the **ACO** icon on your desktop.
- Locate your provider in the Tree view, expand the node to show existing certification kit(s), right-click the certification kit and select **Certification Kit**.
- When the kit opens, go to the **Tracking** tab.

- Select the **Activities/Action Items** tab (next to the Responsible Parties tab).
- Click **Add** to create a new action item.
- In the Define Activity window, complete required fields:
  - Type: **09 File Review**
  - Sent: Accept the default (today)
  - Start: Accept the default (today)
- Click **Add S.A.**, select yourself from the drop-down list, and then click **OK**.
- In the Comments field, type “**Survey completed**.”
- Click **OK**.
- Click **Done** to close the certification kit.

29 Import survey to ACO

- In ACO, click **Import** in the toolbar.
- Select **Zip or mdb file** and click on the **binoculars**.
- Locate your survey transfer file **C:\Aspen_Tech_Training\ASPENTX.ZIP** and click **Open**.
- Click **OK** in the Import window.
- Click **Continue with Import**.
- Click **Continue with Transfer** for each surveyor.
- In Finalize Transfer, click **Apply**.

Review Findings/Generate CMS-2567

> Responsible Party role:
>
> On the same day, the Responsible Party can review findings, generate the CMS-2567 and associated letter, and enter SOD sent date information.

30 Review findings and print 2567

- Click the **ASPEN Desktop** at the top of the tree view (left pane). Then right-click the **FILE REVIEW** action item on your desktop and select **Certification Kit**.

  On the Surveys tab of the Survey List section, notice the green checkmark with the text “CMS-670 Complete” above the survey grid.

- Click on the Health survey to select it, and then click **Citations Mgr**.
- In Citation Manager, you can review findings by double-clicking the tag in the Citations pane. Click **OK** when done to return to Citation Manager.
- To print the CMS-2567, click the **Forms** button in the bottom left of Citation Manager, select the checkbox next to **CMS 2567** and click **OK**.
- Click **OK** in the Customize Survey Report Form window to accept the defaults.
- In the Crystal Reports viewer, maximize the window so you can see the report.
- We're not going to send the report to the printer, so when you have finished, select **File**, then **Close**. Click **Cancel** to close the Select Forms window.

31 Send SOD cover letter

- Still in Citation Manager, select **Letters**, then **Generate New Letter**.
- In the Form Letter pane, scroll to the letter named **Training Deficiencies Ltr** and select it.
- In the Distributions pane, scroll to Facility and make sure it has **Letter** in the Action column. If it does not, click **Set Action** until it does.
- Click **Preview** to view the letter.
- For Letter Created date, enter **today's date** and click **OK**.
- We're not going to send it to the printer, so when finished checking over the letter, click **Save and Exit**.
- Click **Done** to close Citation Manager.

32 Enter 2567 Issued date

- In the Survey List section, enter ***Today's Date*** in the 2567 Issued column.

33 Enter Signoff date

- In the Signoff (X6) column, select **todays' date**.
- On the "Survey has been flagged for revisit scheduling." window, click **OK**.

Complete/Upload Certification kit

34 Enter CMS-1539 Data

- Go to the **Transmittal (CMS-1539)** tab.
- Supply the required fields:
  - Fiscal Year Ending Date: **12/31**
  - Certified as (L12): **A – In Compliance**
  - Surveyor Sign Date (L19): **Today's Date**
  - State Agency Approval date (L20): **Today's Date**
  - Original Date of Participation (L24): **Today's Date**
  - Termination Code (L30): **00 Active**
  - Determination Approval date (L33): **Today's Date**

35 Application (CMS-1572A)

- Go to the **Application (CMS-1572A)** tab, and enter the following.
  - Type of Survey – Initial (G2) **Standard**
  - Eligibility (G7): **2-Medicaid**
  - Administrator (G8): select the type entered in facility properties.
  - Branch Offices:
    - Select checkbox for **(G16) Has Branches**
    - Click **Add** and enter the following:
    - Address: type anything.
    - Zip Code: **30301**
    - Tab through City, County, and State and it will populate according to the Zip Code.
    - Click **OK**.
  - Agency Type (G18): **03 Official Health Agency**
  - Control Type (G20): **03 Other**
  - Services Offered (G21):Select **1 Agency Staff** for:
    - 01 Nursing Care
    - 04 Speech Therapy
    - 06 Home Health Aide
    - 08 Nutritional Guidance
  - Staffing
    - Registered Nurse (G22): **5**
    - Lic Practical Nurse (G23): **5**
    - Speech Path/Audiologist (G26): **2**
    - Home Health Aide (G28): **2**
    - Dietician (G30): **2**
  - HHA Provides Directly (G32): **4 Neither**

- Surveyor Summary (G45): **1 No evidence or need for partial or extended survey**
- Survey Frequency: **B 12-36 months**
- HHA Qualified for OPT (Outpatient Physical Therapy): **Yes**

36 Action item to RO to approve Medicare Branch

- Go to the **Tracking** tab.
- Select the **Activities/Action Items** tab.
- Click **Add** and enter the following:
  - Type: **11 Additional Information Requested**
  - Select Add **R.O.** and select the RO version of yourself
  - Click **OK**
- Click **OK** to close Define Activity.
- Click **Done** to close the certification kit.
- Close ACO.

37 Medicare Branch ID

- Open **ARO**.
- Change the ARO Selection set to **HHA Open**.
- Expand your facility (HHAXX), right-click the certification kit and click **Certification Kit**.
- Go to the **Application** tab.
- Click the checkbox to enable **(G16) Has Branches?**.
- Select the branch and click **Modify**.
- Using the information below, enter a valid 10-character alphanumeric **Medicare Branch ID**.

  The Medicare Branch ID field appears to the right of the Facility/Branch ID field. The Facility/Branch ID is supplied by the system; you must reopen the Facility Relationship Manager after you add an HHA branch to see it.

  The format of the Medicare Branch ID for an HHA branch is:

  - first two characters of the parent provider’s CCN (the State Code). **See certification kit title bar for CCN (Provider ID).**
  - the letter “**Q**”
  - last four characters of the parent provider’s CCN
  - sequential number for the branch, starting with 001 (**use your trainee # preceded with a 0**)

    Example: 55Q7122003 (third branch record added to the database for the parent HHA with CCN = 557122)

- Press the **Tab** key to enable the **RO Approved** date field, and enter **today's date**.

  If the RO Approved field is not available, your Medicare Branch ID is incorrect.
- Click **OK**.

38 Upload the certification kit

- Click the **Upload** tab.
- Click **Prevalidate and Upload**.

  A message indicates incomplete forms on the Cert/Surveys page. Click **OK** on the Certificate Validation message.
- On the Certification & Surveys tab, click **Facility and CMS 670 Edits Not Passed**. This tells you what information is required to successfully upload the certification kit.

  NPI information is required but not entered. Add The NPI number on the Facility Definition tab.
- Click **OK**, then click **Done** to close the kit.
- Right-click your facility and select **Facility Properties**.
- Click **Update NPI**.
- Click **Add NPI**, and enter NPI Number: **1234567893**, and then click **OK.**
- Highlight the row with the NPI included, and click the **Primary** button.
- Click **Return to Facility Page** and **OK** to close Facility Properties.

After you make the changes, open the certification kit and upload the kit again.

- Click **Prevalidate and Upload**.
- Click **Yes** to send the kit to ODIE.
- When finished, click **Done** to exit the certification kit.

ASPEN Certification Lifecycle

The exercise is intended to demonstrate how all components of ASPEN effectively work together, and to introduce you to a variety of different areas within the software.

You will:

- Explore the certification lifecycle process and learn scheduling, team assignment, on-site surveys, and kit management.
- Complete related functions such as enforcement, notification generation, and communication between staff members.

During the exercise, you will assume the following roles:

- Survey Supervisor/Scheduler
- Surveyor
- Enforcement Manager
- Support Staff
- Facility Staff

Section 1: Survey Supervisor/Scheduler

Survey Supervisor/Scheduler

As the supervisor/scheduler, you determine the monthly survey workload for Nursing Homes. Using AST, you review all upcoming certifications, and begin scheduling visits and surveyors.

While reviewing the outstanding complaints needing investigation, you check for those that can be combined with certification visits. You are able to combine the complaint with the scheduled certification visit for **<*A*> Lifecycle Nursing Home**.

1 Activate AST selection set

- Open **ACO**.
- In the toolbar, select **AST**.
- On the toolbar, click the arrow to expand the AST Selection field, and select **NH OPEN**.

2 Verify target date range in AST

- Click the folder icon beside **Certifications to be Scheduled** and **Complaints to be Scheduled** to expand the folders.
- At the top of the Certifications to be Scheduled folder, click the **Calendar** button next to date fields to open the **Select Date Range** window.
- In the Select Date Range window, change the date range to **July 1 – 31**, and click **OK**.
- Click **Show All** next to the date range for the Complaints to be Scheduled folder.

3 Synchronize recertification and complaint

- In the **Certifications to be Scheduled** list, locate your nursing home ***(<A> Lifecycle Nursing Home)*** and double-click in an empty area of the row (not on top of text) next to the name.

  This isolates and synchronizes any complaints with certifications to be scheduled.

4 Schedule Recertification Survey

- Expand the calendar folder.
- You can see the calendar better if you click the yellow **Complaints to be Scheduled** folder to close that section temporarily.
- Click your facility in the **Certifications to be Scheduled** folder, and drag it to your scheduling date on the calendar – use **July 1st**.
- In the **Survey Type** window, click **OK** to accept **Health**.
- In the **Survey Properties** window, enter the **Exit Date** of the survey – use **July 2nd**.
- For Regulations, select: **Fed-F-14.02-Long Term Care Facilities**.

  ACO has preselected **Recertification** for Type of Survey, and **Routine/Std Survey** for Extent.

5 Add survey team

- In the **Team Roster** pane, click **Update** to open the Staff Availability list.
- Locate your assigned user name, and select the SA version of yourself for the team, and click **OK**.

- Click **OK** again to save the survey.
- Click **No** for the “Proceed to Citation Manager” message.

  Your facility in the Certifications to be Scheduled folder is now in italics, indicating it has been scheduled. It will be removed from this list when you leave AST.

6 Schedule the LSC survey

- Right-click your facility in the calendar, and select **View Certification**.
- In the **Survey List** section, click **New**.
- Click **OK** to accept the LSC survey.
- Use the same Start and Exit dates as the Health survey (07/01/2016 and 07/02/2016).
- Select the **Federal** regulation set.

  The Type of Survey is **Recertification** and the Extent is **A-Routine/Std Survey**.
- In the **Team Roster** pane, click **Update** to select SA version of two team members other than yourself and click **OK**.
- Click **OK** and then **No** to proceed to citation manager.
- In the Survey List section, scroll to the right, and for both the Health and LSC survey, select **No** for Staggered Surveys.
- Click **Done** to close the certification kit.

7 Combine complaint investigation with recertification visit

- For a better view, collapse the Certifications to be Scheduled folder, and expand Complaints to be Scheduled.
- Drag the complaint and drop it on the calendar on the Start Date of the certification you scheduled (07/01/2016).
- When asked if you want to combine this complaint with the scheduled survey, click **Yes.**

  The calendar entry is re-labeled to ***Both*** indicating the visit is a certification and complaint investigation.
- Right-click the visit and select **Survey Schedule**. You can see that both Recertification and Complaint are now selected for Type of Survey. Click **OK** to close. (Say **Yes** if you are asked about date ranges.)

  ACTS will now link this survey to the complaint intake, and change the intake Status to 4 – Under Investigation.

With the change in intake Status, ACTS uploads the complaint's details to National. No user action is required.

Since you are on the survey team, the combined event appears on your personal calendar.

8 Designate Responsible Party

- Right-click the combined certification and complaint investigation in the scheduling calendar and select **View Certification.**
- Go to the **Tracking** tab.
- View the Responsible Parties section.

  Note that you have been automatically added as the responsible party.

9 Assign Activity

Send an activity to the LSC manager:

- Go to the **Activities/Action Items** tab; then click **Add** to display the Define Activity dialog. Complete the following fields in the Define Activity window:
  - Type: **08-Schedule Onsite Visit**
  - Sent: **Today's date** (Start date populates with today's date)
  - Staff: Click **Add S.A.** and select yourself
  - Enter comment**: We scheduled a certification health and LSC visit for <your training facility> on <Survey Start Date>. Please plan to send in the LSC team on or within 7 days of this date.**
- Click **OK** to close the Activity dialog.
- Click **Done** to close the certification kit.

10 View your tasks in My ASPEN

- In the AST navigation bar, click **My ASPEN** in the lower left of the tree view.

  You have multiple assignments:
- Expand **My Events** (click the yellow folder next to it). The recertification survey appears on the **My Certifications** tab.
- Click **My Complaint Intakes**. Since you are the Responsible Party for the intake, the intake is listed.
- Click **My Complaint Investigations**. Since you are on the survey team for the complaint investigation, the investigation is also listed.

- Expand the **My Action Items** folder:

  You have four action items, one naming you as Responsible Party for the certification kit, one naming you as Responsible Party for the intake, one for AST Assigned Activity, and one assigning you as part of the survey team.

- You can right-click any item in My ASPEN to open the appropriate form.

---

11 Verify Intake Status in ACTS

- Close ACO and open ACTS.
- Expand your assigned training letter in the Facility tree, then highlight **<A> Lifecycle Nursing Home.**
- In the List view, you can see that the complaint Status is now **Under Investigation**.
- Close ACTS.

Section 2: Surveyor

> ***Surveyor***
>
> My ASPEN organizes all the certification, complaint, and enforcement cases for which you are responsible. Use the My ASPEN calendar to schedule meetings, training classes, annual leave, and other non-survey activities.
>
> You review the facility history for **<A> Lifecycle Nursing Home**; then export the survey and intake to ASE-Q on your laptop.

---

12 Run Facility Profile Report

- Open **ACO**.
- Activate the **NH OPEN** selection set.
- From the Reports menu, select **Scheduling and Tracking Reports | Profile Reports | Full Facility Profile**.
- In the Find window, Text field, enter a few letters of your nursing home name (<A> Lifecycle Nursing Home, where A is your training letter) and click **Find Now.**
- In the Results list, double-click your facility to move it to the Selected list.

- Click **OK** to generate the report.
- Review the report, then select **File | Close**.

13 Transfer Survey and Complaint to ASE-Q

- Go to **AST** and click **My ASPEN** in the navigation bar.

  Expand the calendar, if necessary, and make sure you are looking at July.
- Right-click your scheduled survey in the My ASPEN calendar and select **Send To | Export** from the menu.
- On the Export dialog, select **Other Location** and click **Find**.
- Locate and select **C:\Aspen Tech Training,** then click **Open**.
- Click **OK** to export the combined survey.
- In the Survey Export window, make sure your survey is selected, then click **Continue with Export**. (If the Merge Fields for Facility window appears, click **Continue with Transfer**.)
- In the Finalize Transfer window, select **Apply**.
- Close AST.

> You and your team conduct the on-site survey and complaint investigation, and find the allegation about dietary services is substantiated.
>
> You inform the administrator that the incidents warrant citations, and they should include their training plan in the POC response.
>
> You and your team review the survey findings to determine the correct citations and levels of severity/scope. You enter deficiencies and contact information into ASE-Q.

14 Import the survey into ASE-Q

- Open **ASE-Q**.
- On the ASE-Q toolbar, select **Import** and select **Other Zip File Location**.
- Click **Find** to locate and select AspenTx.zip under C:\Aspen Tech Training.
- Click **Open**, then **OK** to import the file.

- In the Survey Import window, make sure the survey is selected, then click **Continue with Import.** (If the Merge Fields for Facility window appears, click **Continue with Transfer**.)
- In the Finalize Transfer window, click **Apply**.

15 Enter deficiencies in Citation Manager

- In ASE-Q's alpha tree, locate your facility.
- Click the **+** (plus) in front of the facility.
- Right-click the health survey and select **Citation Manager.**
- From the Regulations list, locate and drag tag **0371** to the Citations section.
- In Citation Properties, click **Grid,** then select **E** for severity/scope.
- Make sure both **A-Complaint Investigation** and **I-Recertification** are selected for Citation Category.
- Click **OK** to go to the Citation word processor.
- Enter the following text: **This is the team evidence for tag 0371.**
- Click the **Reg** button to open a pane with the Regulation text.
- Highlight all the regulation text, and press **Ctrl-C** to copy.
- Click in the top text pane, and press **Ctrl-V** to paste.
- Click the **Reg** button again to close the regulations.
- Click **IG** to view Intent and Guidelines.
- Click **OK** to close the text editor and save the citation.
- Type **0368** in the Find box. ASE-Q will locate the tag.
- Drag **0368** to the Citations section.
- In Citation Properties, click **Grid,** then select **A** for severity/scope.
- This time, select only **I-Recertification** for Citation Category.
- Click **OK** to go to the Citation Word Processor.

  This time we'll save our text in the content library so that it can be inserted into other citations as needed.

  - In the Citation window toolbar, click the **book icon**.
  - Click **New**.
  - Enter the following text**: This is the team evidence for tag 0368**.

- Click **OK** to save, and then **Close**.
- Click the **book icon** again and click **Insert**.

  This inserts the text into your current citation.

Note: You can also right-click the applicable tag in the Regulations section of the Citation Manager window and select **Edit Content**.

- Click **OK** to save.
- Click **Done** to close Citation Manager.

16 Open the intake in ASE-Q

- In the tree, click the **+** (plus) next to the survey, which lists the intake beneath it.
- Right-click the intake and select **View Investigation Detail.**

  The upper pane gives you a list of all complaints assigned to this investigation. The lower pane lists the allegations.

- In the middle of the form, click **Modify Intake**.

17 Link the deficiency to the allegation

- Go to the **Allegations** tab.
- Click on the allegation to select it, then click **Link Deficiencies**.

  Note that only tag **0371** is listed. That was the only tag for which you specified Complaint Investigation in Citation Properties.

- Check the **Selected** column, and say **Yes** to append the tag text to findings.
- Click **OK** to close the window.

18 Enter findings

- In the Allegation row, click **Find Txt**.

  Since you appended tag text to Findings in the previous step, the Findings section shows the evidence text you added when you cited the tag.

- Add an additional sentence to Findings.
- Click **OK** to close.
- In the Allegations section, click **Modify**.
- Under Findings, select **Substantiated**.

- Select **A Federal deficiencies related to alleg are cited**.
- Click **OK**.

19 Add contact

You can also maintain information about people you spoke with during the survey.

- Go to the **Contact/Refer** tab.
- In the Contact/Witnesses section, click **Add**.
- Enter information about the person you interviewed, then click **OK**.
- Click **OK** to close the intake, and **OK** on the confirmation prompt.
- Close the Investigation Details window.

When you return from the facility, you transfer the survey from ASE-Q to ACO.

Reviewing the citations, you note the surveys qualify for NH enforcement and send an action item to the State Agency's enforcement manager.

You send another action item to the support staff, reporting the SOD is ready to send to **<A> Lifecycle Nursing Home**.

20 Export the survey to ACO

- Make sure ASE-Q is open.
- Locate your survey in the ASE-Q Alpha tree and drag it to the **Export** button at the top of the ASE-Q toolbar.
- In the Export window, select **Other Zip File Location** and click **Find**.
- Select **C:\Aspen Tech Training** and click **Open**.
- Click **OK** to close the Export window.
- In the Survey Export window, select **Continue with Export**. (If the Merge fields for survey window appears, select **Continue with Transfer**.)
- Click **Apply**.

21 Import the survey into ACO

- Open **ACO.**
- On the ACO toolbar, select **Import** and select **Zip or mdb File**.
- Click **Find** to locate and select AspenTx.zip under C:\Aspen Tech Training.
- Click **Open**, then **OK** on the Import window to import the file.
- In the Survey Import window, make sure the survey is selected, then click **Continue with Import** and **Continue with Transfer**.
- In the Finalize Transfer window, click **Apply.**

22 Locate cert kit in AST Tracking

- In ACO; click **AST**.
- Click **Tracking** in the navigation bar.
- Expand the **Certifications and Licensing** folder. Under Process Tracking: Certifications, expand the **Requires SOD Issuance** node, and locate your nursing home.
- Right-click the facility name and select **Certification Kit**.

23 Send action items

- Go to the **Tracking** tab of the certification; then click the **Activities/Action Items** sub-tab in the middle of the form.
- In the Activities area, click **Add** and complete as follows:
  - Type: **09 File Review**
  - Sent: **Today's date**. (Start date populates with today's date)
  - Due: 1 week from today
  - Click **Add S.A.** and select the enforcement manager (That's you), and click **OK**.
  - Add Comment: **Here's another survey ready for enforcement action. Thanks**
- Click **OK** when done.
- Click **Done** to exit the certification kit. Say **Yes** if asked to refresh the tree.

Section 3: Support Staff

Enforcement Manager

You receive an action item indicating **<A> Lifecycle Nursing Home** qualifies for enforcement action. You create an enforcement case in AEM.

24 Create enforcement case

- Return to **ACO**.
- Select the **NH OPEN** selection set.
- Activate AEM by clicking the **Enforcement** tab at the bottom of the tree.
- Locate **<A> Lifecycle Nursing Home** in the AEM tree, right-click the facility name and select **New Enforcement**.
- Select your *health* survey in the Begin Enforcement window, and click **OK** to create the case.

25 Enter case details

- In the Beginning Case Type section, select **Opportunity to Correct** for Federal Type.
- In the Case Workers section, click **Add** and select the SA version of yourself, then click **OK**.

26 Explore enforcement case

- Go to the **Surveys & IDR/IIDR** tab.

  On the Surveys tab, you can see that ASPEN links the survey and citation information in the case.

  As follow-up surveys are conducted and citations corrected, ASPEN updates the AEM case using SOM enforcement rules.
- Go to the **Remedies** tab.

  AEM automatically adds mandatory remedies. You may edit these as needed.
- Click **Save & Exit** to close the case.

Support Staff

You generate an SOD letter and send the CMS-2567 via the ePOC application.

Then, you complete the CMS-1539, 671, 672 and 670 forms on the related certification kit tabs.

27 Generate SOD letter

- In ACO, expand **<A> Lifecycle Nursing Home**, and click the certification kit.
- Locate the health survey in List view (right side of screen).
- Right-click the survey and select **Print Letters | Generate New Letter**.

28 Preview letter

- On Select Letters and Distribution Lists, scroll down and select **TRAINING DEFICIENCIES LTR**.
- In the **Distributions** section, scroll down and double click on **Facility** to specify **Letter** as the Action.

  This designates the facility as the recipient of the letter.
- Click **Preview**.
- For Letter Created Date, enter **today's date** and click **OK**.
- Review your letter in the **Word Processor Dialog**, then select **Save & Exit**.

29 Post survey on ASPEN Web: ePOC

We want to be able to easily track the POC process for this survey so …

- Right click on your health survey and select **ePOC** to open **ePOC Properties**.
- In the Responsible Parties section, click **Add S.A.**, and add yourself, and click **OK**.

30 Add ePOC Attachments

- Click **ePOC Attachments** at the bottom of the window to optionally attach documents you'd like to share with the facility as support for the SOD.
- Select **New.**

- In the Attachment Documents window, enter a Description of the document: **Medical Records Outline**.
- Select the **Ellipsis** to open the Attach/View window.
- In Windows Explorer, navigate to the **C:\Aspen Tech Training**.
- Change to display **All Files**.
- Locate and highlight the file named **Medical Records Outline.docx**, then click **Open,** then **OK**.
- You can click **View** in this window at any time to view an attachment, but we don't need to today.
- Click **Close**.

Note: ePOC Attachments, whether added by the SA or by a provider, are automatically removed when the final POC is approved for the survey.

31 Post survey on ASPEN Web: ePOC

- In the **Survey Letters** section, select the checkbox for the SOD letter you generated so that it will appear on the ePOC website.

Note: In addition to survey letters, enforcement and intake letters can be selected if they are associated with the survey.

- Select **Post on ePOC Website** to post the survey and SOD letter, and then click **Yes** to confirm the posting.

The Posted date for each tag is entered on the POC Properties window as well as the Post date and SOD Sent Date for the survey.

Note: Surveys cannot be posted to ASPEN Web: ePOC if there are no enrolled facility users.

- Click **OK** on the confirmation message.
- Click **Close** to exit ePOC Properties.

Posting to ePOC web sets the 2567/B Entry Completed flag to **True** on the certification kit.

Note: ePOC Properties must be closed to remove semaphore locks on the survey before the facility can access it on ASPEN Web: ePOC.

- Click **Done** to close the certification kit.

<A> Lifecycle Nursing Home receives the CMS-2567 and responds. The facility administrator submits a POC for all tags.

Facility ePOC

32 Open ASPEN Web: ePOC

- On your desktop, double click on the **ePOC Web App** shortcut.
- Click **Continue to this website** until you see the log in screen.

33 Log in as facility

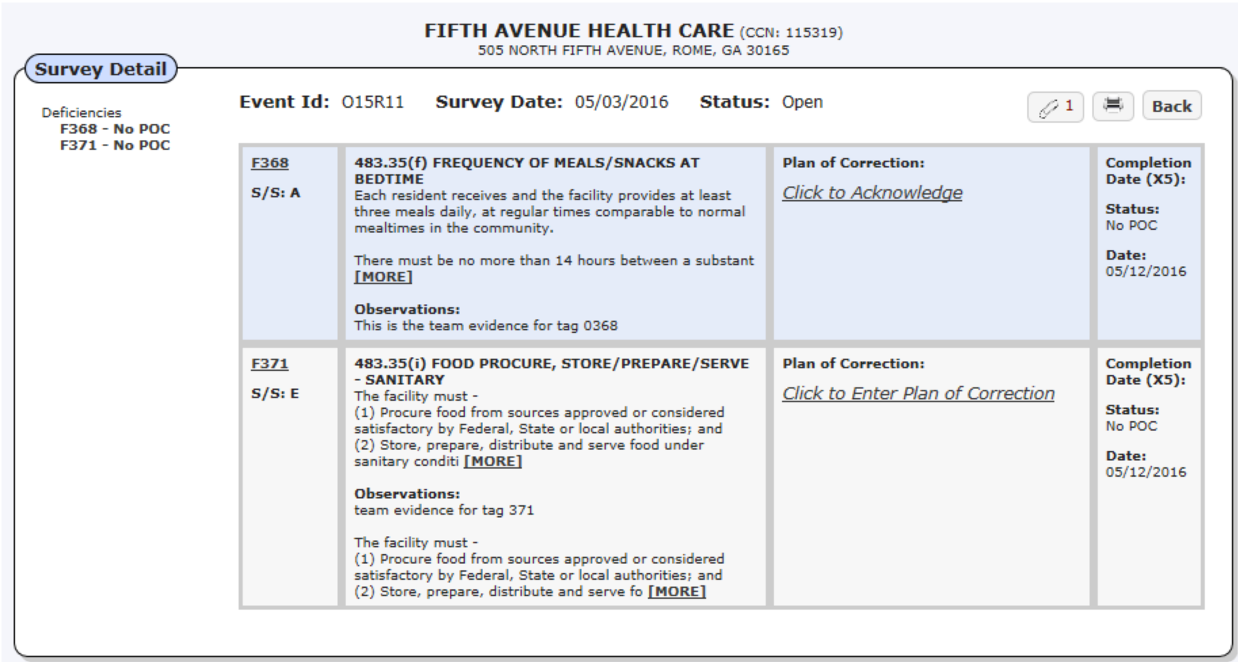
- Log into **ASPEN Web: ePOC** with your training facility User ID and Password.

  Your Login ID and Password are on the front of your training monitor.
- The Facility List opens.
- Click on the Lifecycle facility **CCN**.

  Your survey is displayed on the Survey List.

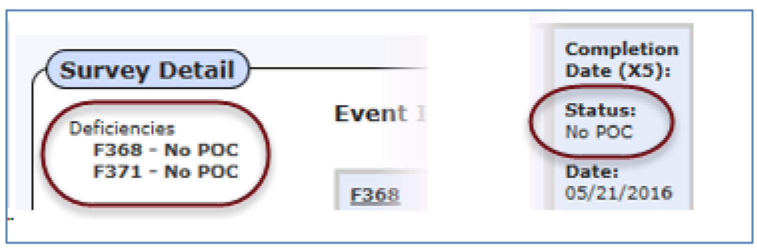
34 View SOD letter

- Click the envelope icon in the **Letters** column for your survey.
- Click the **Letter Date**, then click **Open** to view the SOD letter as an .RTF file.
- Exit the letter, then click **X** to close the **Letters** window.
- Note the information in the other columns for your survey, then click the **Event Id** to open the **Survey Detail** page.



35 View survey details

The Deficiencies list on the left side of the Survey Detail page indicates the POC status of the deficiencies in the grid. The Completion Date (X5) column in the grid also displays the tag's status.



The second column in the grid displays Regulation and Observations text for each cited tag. If there isn't enough room on the grid to display all of the text, you will see **[MORE]** after the text.

- Select **[MORE]** to display the complete **Regulation or Observations** text for one of the tags.
- Click the **X** to leave the Regulation or Observations window.
- Click the **Attachments** (paper clip) icon at top of page.

- Click **Medical Records Outline**, and then click **Open** to view the document you attached as the S.A.

  Attachments can be added from the SA/RO, or from the provider in ePOC. The Source column lets you know where the attachment is from.

- Click **X** to close the document, and **X** again to close the Attachments window.

36 Compose Plan of Correction

- Select the **F368** tag in the grid by clicking the tag.

  The Plan of Correction page opens with tag information, regulation text, and Observation text in the left pane.

  Since this tag has an S/S level of A, no plan of correction text is required.

- Click **Acknowledge**.

  Notice the tag's Status has changed to Approved and the Completion Date is set to today's date.

37 Submit multiple tags

- Click on the second tag, **F371**.
- Enter some **POC Description** text as the facility response for the current tag.
- Click in the **Completion Date (X5)** field and select today's date from the calendar.
- Click **Save as Pending** to save this POC, then click the **Survey Detail** tab.

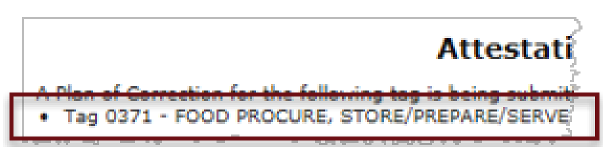
  Tag 0371 is in Pending status.

- Select **Submit All Pending** (above the grid).

38 eSign and Attest POC for all tags in Pending status

The facility must electronically sign the Attestation of POC Submittal Terms and Conditions for each tag submitted for SA/RO review.

The tags the facility (you) just submitted are listed at the top of the Attestation.



- Select the **Electronic Signature** checkbox, then click **Continue**.

  You return to the Survey Detail page. Note the Status of tag 0371 has changed to *Submitted*.

  At the upper left of the page, a "POC successfully submitted" message appears.

  A Facility POC Submitted for All Tags email is generated since the facility submitted the last POC for all tags.

39 View CMS- 2567

- Select the printer icon (upper right, beside Back button), then **2567**, then click **Open**.

  The CMS-2567 form displays the watermark, POC NOT FINAL. The watermark remains on the CMS-2567 until all POCs are approved for the survey. A facility may print the CMS-2567 form at any time.

- Close the CMS-2567.
- Click the menu icon (three bars) on the right side of the toolbar at the top of the page and select **Log Out**.

  You return to the Login page for ASPEN Web: *e*POC.

The SA receives the POC from the facility and approves/rejects the POCs.

40 Open POC Manager

- Go back to **ACO** and select **POC** from the toolbar.
- In **POC Manager**, select the survey with the POC you created, then click **POC Approve/Reject** (at bottom of screen).

  Note: You can click anywhere in the applicable row to select the survey.

41 Review Acknowledged tag

- In the **Deficiencies** grid, select the **F0368** tag.

  This tag did not require a plan of correction and the POC Status is automatically approved.

42 Reject tag's POC

- Select the second tag, **F0371**.
- Review the **Plan of Correction** text, then select **Reject**.

- Select the **Other** rejection reason.

  An Explanation is required if Other is selected.
- Enter text in the **Explanation** field for the Other rejection reason.

  You can optionally add Comments for each rejection reason as well as internal comments for the rejection of the tag.
- Select **Final Rejection**.
- Select **Yes** on the confirmation message.
- Click **Close** to close POC Approval and Rejection, then **Close** again to close POC Manager.

> The facility receives notice of the rejected POC, but disagrees with the severity/scope of tag 0371, and requests an Informal Dispute Resolution (IDR).
>
> After receiving the administrator's request for IDR, you review your calendar and schedule a meeting. You log the details in the ACO IDR Manager.
>
> Finally, you generate and send a letter notifying the administrator of the IDR meeting.

43 Remove Survey Posting from ASPEN Web: ePOC

When an IDR request is received, you must remove the survey posting from ASPEN Web: ePOC to enter IDR details.

- In ACO, expand your facility in the tree view, then expand the recertification kit.
- Right-click the Health survey, then select **ePOC**.
- Type **Need to enter IDR details** in the Reason for Re-posting or Removing Posting field.
- Click **Remove Posting**, then click **Yes** for the confirmation question. Notice the Remove posting option is no longer available, and the ePOC status has changed to Not Posted.
- Click **Close**.

44 Enter IDR details

- Open your certification kit, either from the ACO tree or by right-clicking one of your numerous action items.
- In the Survey List, scroll to the right until you see the IDR button.

- Click **IDR** in the row containing your Health survey.
- Complete the following fields:
    - Scheduled: **Today's Date**
    - Click **Show Attendees** and select **01 Administrator** and **02 DON/Facility Nurse**, then click **OK**.
    - IDR Type: **03 Face-to-Face Review**
    - IDR Status: Click on **IDR Status** cell for tag 0371, and select **02 Requested**.
    - IDR Request Reason: For tag 0371, select**: 02 Incorrect Scope**
    - Click **OK** to close the IDR manager, then click **Done** to close the certification kit.

45 Enter IDR meeting on personal calendar

- Return to **AST**.
- Go to **My ASPEN**. Expand the calendar, if necessary.
- Double-click in (an empty area of) the current date of your personal calendar to create a Personal Activity. Make the following entries:
    - Activity Type: **12-Meeting External**
    - Description: **IDR with <A> Lifecycle Nursing Home**
    - Location: **Small conference room**
    - All Day Activity: **De-select**
    - Start Time: **Today's Date 8:00 am**
    - End Time: **Today's Date 9:00 am**
    - Remind me of this Activity: Select check box
    - By: **Action Item in ASPEN**
    - At Least: **24 Hours** before start
    - Activity Notes: **Print administrator citation history from ASPEN before meeting**.
- Click **Save Activity**.

46 Send letter to provider

- Expand **My Events**, right-click your certification and select **Open Certification**.
- In the Survey List, click the Health survey to select it, then click **Citations Mgr**.
- Click **Letters**, then **Generate New Letter**.
- In the Form Letter section, highlight **REQUEST FOR IDR** letter.
- In the Distributions section, double-click **Facility** until you see **Letter** in the Action column.

- Send a copy to the Regional Office: double-click **CMS Regional Office** until you see **CC**: in the Action column.
- Click **Preview** to open the letter.
- Don't print the letter. Click **Save & Exit**, then **Done**, and **Done**.

ASPEN sends an action item reminding you of the IDR meeting. In preparation, you print the CMS-2567, the related complaint details, and the complete citation history for the administrator and for **<A> Lifecycle Nursing Home**.

On today's date, you meet with the administrator and DON. Due to the administrator's compliance record, and the information presented, you lower the severity/scope of tag 0371.

After the IDR meeting, you update the ASPEN IDR manager with the outcome.

47 Attach IDR notes

- In **AST**, go to **My ASPEN**, locate **<A> Lifecycle Nursing Home** in the calendar, right-click and select **View Certification.**
- Click **Attach,** at the bottom of the form, to save the IDR meeting notes as part of the certification's history.
- In the Description field of the Survey Attachments Documents window, type **IDR Meeting Notes.**
- Click **Attach/View**.
- Select to view **All Files**.
- Navigate to C:\ASPEN Tech Training and select the file **IDRMeetingNotes.docx**.
- Click **Open** to attach.
- Click **No** when prompted to view the document first.
- Click **Close** on the Attachment window to return to the kit.

You use AST Tracking to review the pending workload for active certifications and determine that a revisit is ready for scheduling for **<A> Lifecycle Nursing Home**.

48 Enter IDR details

- Go to the **Tracking** tab in the certification kit, and click the **2567/POC/IDR** sub-tab.
- Locate the health survey and click the **IDR** button to open the IDR Manager.
- Complete the following fields on the IDR Manager:
  - POC Required: **Check**
  - Conducted: **Tomorrow's Date**
  - Completion: **Tomorrow's Date**
  - Conducted by: **Team Supervisor**
- In the citation grid, click the IDR Status list for tag 0371 and select **06 S/S change**.
- On the Citation Properties screen, click the S/S Grid and select **C**. Click **OK**, then **OK** again to close Citation Properties.

  The new S/S value takes effect for this citation and the original S/S value is also saved. Throughout ASPEN, all references to this citation reflect the new S/S value.
- Now remove the Completion date, or ASPEN will complain about it being in the future. Highlight the date and press **Delete** on the keyboard.
- Click **OK** to exit the IDR Manager. Click **Done** to save the certification.

49 Re-Post survey on ASPEN Web: ePOC

To allow the facility access to the survey again in ePOC, we need to re-post it.

- In ACO, expand your facility in the tree view, then expand the re-certification kit.
- Right click on your health survey and select **ePOC** to open **ePOC Properties**.
- Type your reason for re-posting the survey: **Include IDR details**

- Select **Post on ePOC Website** to re-post the survey, and then click **Yes** to confirm the posting.
- Click **OK**, and then **Close**.

The facility resubmits a POC for the rejected tag.

50 Locate survey

- Log into **ASPEN Web: ePOC**.
- On the Facility List, select your facility **CCN**.
- On the Survey List, select the survey **Event Id**.

  On the Survey Detail page, note the tag status for F371 is Rejected.
- Select the rejected tag, **F371**.

51 Update POC

- Enter new text in the POC Description field and today's date in Completion Date (X5).

  Note that the rejection reason displays at the bottom of the page.

52 Resubmit POC for all tags

- Click **Submit as Final**.

53 Sign Attestation

- Click the **Electronic Signature** checkbox to agree to the Attestation.
- Click **Continue**.

  On the Survey Detail page, the updated Status for the tags is Submitted. A Facility POC Resubmitted for Tag email is generated for the rejected tag.
- Log out of ASPEN Web: ePOC.

The SA/RO approves all POC's and the survey is closed.

54 Locate survey

- Go back into **ACO**.
- Click **POC** on the toolbar to open POC Manager.
- Highlight the survey and select **POC Approve/Reject**.
- In the **Deficiencies** grid, select the tag with a status of Submitted (F0371).
- Review the **Plan of Correction** text, then select **Approve**, then select **Final Approval**.
- Select **Yes** on the confirmation message.

Note: When the final plan of correction is approved, any associated attachments are permanently removed from ASPEN. If you want to save an attachment document, you must copy it to another location.

- Click **Yes** to delete the attachments.
- **Close** POC Approve/Reject dialog and POC Manager.

55 Survey Status Closed

- In **ACO** Tree view, locate the health survey.
- Right click on the survey and select **Survey Properties**.
- Click **OK** to the message about the survey being posted to ePOC Web.

  Note the status is set to **Closed**.

  If the tree view still shows the survey as Open, press **F5** to refresh ACO.
- **Cancel** out of Survey Properties.

You use AST Tracking to review the pending workload for active certifications and determine that a revisit is ready for scheduling for **<A> Lifecycle Nursing Home**.

56 Schedule revisit

- In **AST**, click **Tracking** on the left toolbar.
- If necessary, expand the Certification and Licensing view, then Process Tracking: Certifications. Then expand **Revisits to be Scheduled**.
- Right-click on **<A> Lifecycle Nursing Home** and select **Certification Kit**.
- In the Survey List section, highlight the health survey and select **Create Revisit.** Say **Yes** to the message alerting you that the survey is closed.
- Enter **Today's Date** as the Start and Exit date. The same team will conduct the revisit.
- Click **OK.**
- Click **Done** to exit the certification kit. If asked to refresh the tree, click **Yes**.

On today's date, you conduct the revisit and find all deficiencies corrected.

57 Enter correction dates

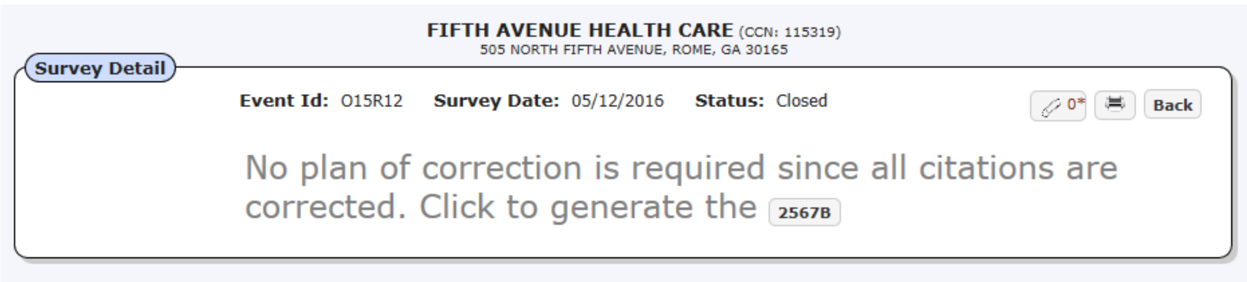
- In **ACO**, locate and open your certification kit**.**
- With the revisit survey selected, click on **Citations Mgr.**
- In Citation Manager, right-click the citation and select **Correction Dates >Selected Citation.**
- In the Correction Date dialog, enter **today's date**. Click **OK** to update the citation with the correction date.
- Click **Done** to exit Citation Manager.
- Click **Done** to close the certification kit.
- Right-click the revisit survey in Tree view and select **ePOC**.

  All citations have been corrected so no citations are listed, but the survey still needs to be posted so that the facility can review the CMS-2567B.
- Select **Post on ePOC Website** and click **Yes** to the confirmation message.
- Click **OK** to Post Complete and **Close** ePOC Properties.

The Facility receives the posting in ePOC and prints the CMS-2567B

58 Facility prints CMS-2567

- Open **ASPEN Web: ePOC**.
- On the Survey Details screen in ePOC, select the revisit survey.



- Select the **2567B** button or select the printer icon (upper right), then click the **2567B** button and click **Open** to display the CMS-2567B.
- Close the report without printing.
- Log out of ASPEN Web: ePOC.

When all citations related to the open enforcement case are corrected, AEM performs two steps:

1) The substantial compliance date of the enforcement case is set.

2) An action item is sent to the enforcement case manager indicating the change made by the system.

In response to the action item, the enforcement manager reviews the case.

59 Open enforcement case

- Go to the **Enforcement** tab in ACO.
- Locate **<A> Lifecycle Nursing Home** in the tree. Right-click your case and select **Modify Enforcement**.

  Since all deficiencies have been corrected, AEM has inserted the Substantial Compliance date.

- Go to the **Remedies** tab. Click a remedy to select it, then click **Modify**.
  - For Remedy in Effect?, select **No**.
  - Add the Reason Not in Effect: **05 Compliance prior to effective date**.
  - Click **OK**.
- Repeat for the other remedy.
- Go to the **Upload** tab. Click **Prevalidate and Upload**, then click **Yes** to confirm.

  Upload Transaction Pending displays beside the Uploads window. Once successfully uploaded, you can go to the Case Basics tab and change the Case Status to Closed.
- Click **OK** on the transaction confirmation notification.
- Click **Save & Exit** to close the case.

> The supervisor and support staff notify the intake coordinator to send a notification to the complainant and close the intake.
>
> You use AST Tracking to follow the **<A> Lifecycle Nursing Home** certification through final upload and closeout, using the process tracking milestones.
>
> Once closed, ASPEN will calculate a target date for the next certification for **<A> Lifecycle Nursing Home**.

Finalize Certification Kit

60 Locate Cert kit in AST

- In **AST**, click **Tracking** in the left toolbar.
- In the Certification and Licensing folder, expand the Certification/Licensure view, then under Process Tracking Certifications, expand **Waiting for Upload** and locate your facility.
- Right-click on your facility and select **Certification Kit**.

61 LSC 2786

- In the Survey List section, click the **LSC 2786** tab.
- For Comp Status, select **A In Compliance**.
- Select the checkbox for **Comp All A1**.

62 Signoff dates

- Click the **Surveys** tab, the Signoff (X6) dates have been entered for the Health surveys.

63 670 hours

Enter survey hours for all surveys.

- With the initial survey selected, click **Update 670**.
- Click **OK** on the Closed Survey warning.

Enter 670 hours for the complaint and recertification surveys.

- Click **Office Hours** and enter **1.0** for Total SA Supervisory / Review Hours, **1.0** for Total SA Clerical/Data Entry Hours, and **1.0** for Total RO Supervisory Hours, for the Complaint and the Recertification, click **OK** when done.
- Do the same for Revisit survey hours.
- With the LSC survey selected, click **Update 670**.
- Enter hours in each column for one team member.
- Select the team member you entered the hours for, click **Set All Hours**, and click **Yes** to the confirmation message.
- Click **Office Hours**, and enter **1.0** for Total SA Supervisory / Review Hours, and **1.0** for Total SA Clerical/Data Entry Hours, and click **OK.**
- Click **Close**.

64 Print Combined CMS-670 report

- Select the initial Health survey and click the **Print** button.
- In the Select Forms to print window, select **CMS 670**.
- Click **OK** and **OK** to the warning.

  The Form 670 Print Preferences window opens where you can choose to print 670 hours types separately or combined.
- Click **Combine Report Preferences**.

  Both Complaint Investig and Recertification are checked by default.
- Click **OK** to view the report.
- Close the report, then click **Cancel** to close the Select Forms to print window.

65 Enter bed override

- Scroll down below the Survey List and select the checkbox for **Beds Override (SF11)** and **Staff Override (SF12)**.

66 Transmittal (CMS-1539)

To complete the Transmittal (CMS 1539) tab, enter the following:

- Certified As (L12): **In Compliance.**
- Total Facility Beds: **100**
- L38: 18/19 SNF: **100**
- Surveyor Sign Date (L19): **Today's Date**
- State Agency Approval (L20): **Today's date**
- Facility Eligible to Participate: **Yes**

67 Application (CMS-671)

To complete the Application (CMS-671) tab, enter the following:

- To F2: **07/02/2016** (must be less than or equal to survey exit date)
- Is this facility hospital based (F10): **No**
- Ownership (F12): **Other Nonprofit**
- Owned or leased by Multi-Facility Organization (F13): **No**
- F24 - F27: **No**
- F32: **No**
- Facility Staffing: Select some applicable services

68 Census (CMS-672)

To complete the Census (CMS-672) tab, enter the following:

- F76 Medicaid: **100**
- F79 - F93: the total in each row must equal 100. Enter any combination of numbers or just enter 100 in the Independent column of each row.
- Medication Error Rate (at bottom): **1**%

69 Upload

- Click the **Upload** tab.

  All checkmarks should now be green.

- Click **Prevalidate and Upload** and click **Yes** to confirm.
- Click **Done** to close the certification kit and **Yes** to refresh the tree.

Upload Monitoring

After a certification kit is uploaded, you can locate and open it directly from ACO, without having to search for the facility in the tree view.

70 Current certification list

- Open **ACO**
- In the menu toolbar at the top, click **Tracking**, then click **Certifications…**.

  The Certification Kits window opens. This window lists current certifications, with initial certification kits in red, and recertification kits in blue.

  Tip: A certification kit is not listed in the Certification Kits window until it includes a survey.

71 Filter and view

The Certification Kits window allows you to filter your list by provider type, status, and/or the exit date of the certification.

By default, all provider types are selected initially in the Provider Type field.

- In the Provider Type field, click **Deselect All**, then select the provider type(s) you want to view.
- In the **Status** field, you can filter the list to display Open, Closed, or All certifications.
- Configure the **Dates** fields to display certification kits with exit dates falling within the specified date range.
- Enable the **Show Kits Modified Since Last Upload** filter to list only those kits that have been successfully uploaded at least once, and have been modified since.
- Click **Set** to apply your filters to the certification list.

  You can click **Print Tracking Report** to view/print information about the listed certification kits in report form, or click **Print List** to view/print the information in the order the kits are listed.

- Double-click a certification in the list to open the kit.

Certification – Special Case Exercises

Merge Survey

ASPEN lets you merge an historical or other type of survey into a certification kit as needed. A target survey must exist in the certification kit before you can perform the merge. The kit's target survey must be of the same survey category (Health or LSC) and sequence (standard or revisit). The survey you merge will be assigned the event ID of the target survey, and it will be removed from ASPEN upon a successful merger.

Note: You cannot merge Federal Monitoring surveys with other primary survey types: I-Recertification, E-Initial Certification, C-Federal Monitoring, or G-Validation unless the survey extent is J-Federal Jurisdictional.

While **<A> Merge Survey Nursing Home** is in the process of being certified, a complaint is filed for the facility, and a survey for this complaint is created outside of the certification kit. We will create and merge the complaint survey with the survey in the certification kit.

To merge a survey into a certification kit:

1 Locate your nursing home

- Open **ACO**
- Activate the **NH Open** selection set.
- Click **Find** above the Tree view to open the Find window.
- In the Search field, enter all or part of the facility/provider name, **<A> – Merge Survey NH**, where <A> is your training letter.
- Select **Name** for the search Type.
- Click **Find Now**.
- Double-click the facility name.

  This takes you to the facility in Tree view.

2 Create standalone survey

- Expand the facility, right-click the Surveys node, and click **New Survey**.
- In the Create Health Survey window, enter **today's date** for the Start and Exit date fields.

- Select the following fields:
  - Regulations: **Fed F-14.02 – LONG TERM CARE FACILITY**
  - Type of Survey: **A – Complaint Investig**
  - Extent(s): **D – Other Survey**
- In the Team Roster section, click **Update…**, select the SA version of yourself, and click **OK**.
- Click **OK** to close the survey window.
- Make a note of the Event ID for the survey, and click **Yes** to open the Citation Manager.

3 Citation Manager

- Double-click **Initial Comments** to move the tag from the Regulations to the Citations field.
- Click **OK**.
- Enter findings in the Citation word processor – **Complaint survey has been created.**
- Click **OK**, then click **Done** to close the Citation Manager.

4 Merge survey into certification kit

- In the Tree view, locate and right-click the **certification kit** into which you will merge the survey. In this case, it is the recertification kit for **<A> Merge Survey NH**.
- Select **Merge Survey**.

  The Surveys for window appears and lists all surveys for the provider, open or closed, with Event IDs that are not already linked to the certification kit, i.e., the first four characters of the survey Event ID do not match the Tracking ID for the certification kit. Only surveys that are actually part of the certification process should be merged.
- In the Surveys for window, click the survey you want to merge and click **OK**.
- Click **Yes** to confirm, and then click **Yes** again in each of the Survey Category Differs windows.

  ASPEN copies the survey data into the target survey in the certification kit.
- Click **OK** to refresh the Tree.
- Expand your facility and the certification kit into which you merged the survey.

- Expand the survey linked to the certification kit.

  The merged survey is deleted from Tree view, and the citation information is now included in the survey linked to the certification kit.

- Right-click the Survey, and click **Survey Properties…**.

  The Type of Survey field now shows both **I-Recertification** and **A-Complaint Investig.** selected.

- Click **OK** to close Survey Properties.
- Right-click the Survey, and click **Citation Manager**.
- In the Citations field, double-click the **Initial Comments** tag to see the comments you entered for the merged survey.
- Click **OK** to close the Comments window, and then click **Done** to close the Citation Manager.

Hospital Special Survey

We're scheduling an onsite survey for <A> Special Hospital to determine compliance with the Infection Control Conditions of Participation. An Infection Control survey is a special survey, and can be scheduled as a stand-alone event.

Special survey types available for hospitals are: Q-QAPI, R-Discharge Planning, and T-Infection Control.

The following rules apply to special surveys:

- Only one special survey per day is permitted for a provider.
- Special surveys can be combined on a single survey event record.
- Special surveys can be combined with certification and/or complaint survey events. In this case, each transaction type is uploaded independently from the others.
- Special surveys cannot be combined with FMS surveys.
- LSC surveys cannot currently be combined with any special survey categories.

1 Locate facility

- Open **ACO**.
- Activate the **HOSP OPEN** selection set.

- Expand the node for your training letter.
- Expand the node for **<A> Special Hospital**, where A is your training letter.

2 Schedule stand-alone Infection Control Survey

- Right-click on the **Surveys** node and select **New Survey**.
- In the Create Health Survey window, enter:
  - Start: **05/03/2016**
  - Exit (X3): **05/03/2016**
  - Regulations: **Select the Federal regulation set**
  - Type of Survey: **T – Infection Control**

    The system automatically selects **M-Other** as well.
  - Extent: **A Routine/Std Survey** is automatically selected.
- Click **Update**, add the SA version of yourself to the survey team, and click **OK**.
- Click **OK** to create survey, and click **Yes** if you receive an out of date range notification.

3 Cite Deficiency

- Click **Yes** to continue to the Citation Manager.
- In the Quick Find field, type **0748**.
- Double-click or drag 0748 to the Citations pane.
- In Citation Properties, T-Infection Control is selected, click **OK**.
- Click **OK** to close the Citation window.
- Click **Done** to close the Citation Manager.

4 Track survey

- Right click on the special survey event ID in the tree and select **Survey Properties**.

  Note that special surveys show a yellow or green arrow on the icon in the tree. This indicates whether the stand alone special survey has been uploaded (green) successfully or not (yellow). (You may have to refresh the Tree.)
- Click **Show Edits**.

  If the survey has not attempted an upload, the following message displays: Survey has no edit text – this means, there are no errors.

  If the survey has attempted an uploaded, you receive a message that 670 hours need to be corrected.

- Click **OK**.
- Click **OK** to close Survey Properties.
- Click **Yes** on the Outside Date Range notification.

> If it is determined that a revisit is required, you can combine the special survey with an ongoing recertification survey. Merge survey can be used.

5 Merge special survey into certification kit

- Right click on the Recertification kit in tree view and select **Merge Survey**.
- The infection control survey created above will display on the surveys list. Highlight that survey and click **OK**.
- Click **Yes** on the Outside Date Range confirmation.
- Click **Yes** to confirm you would like to merge the survey into the certification survey.
- Click **Yes** to merge the survey categories, the resulting survey will contain both the I-Recertification and M/T-Infection Control categories.
- On the next screen click **No** to leave the survey start and exit dates for the recertification as they are.
- Click **OK** to refresh the tree.

Note: Special surveys can be merged into a certification kit only if they have not uploaded to national.

6 Review results

- Find your facility in the tree, right-click on the Recertification and select **Certification Kit**.
- In the survey sub tab, highlight the survey and click **Update**.
- View the survey categories to see they were combined and include all 4 types, I-Recertification, C-Complaint Investig, M-Other and T-Infection Control.

Note: The special survey is still managed as a separate upload on the Survey Properties screen while the upload of the certification kit continues to be managed on the Upload tab.

7 Enter 670 Hours

Special surveys upload automatically, independent of any certification kits. Upload Failed edits do not appear until an upload is attempted and fails.

- Click **Show Edits**.

  ADM Signoff Date (X6) is required when deficiencies are present on the survey.
- Click **OK** to close the Edits window.
- For Adm Signoff (X6), enter **today's date**.
- Click **OK** to exit survey properties.
- Click **Yes** to the Outside Date Range message.
- Click the **Update 670** button.
- Enter hours for yourself for the Complaint, Recertification, and the special (INFCTN) surveys.
- Highlight the surveyor you entered hours for (yourself), and click **Set All Hours**.
- Click **Yes** to cascade the hours to the other surveyors.
- Select **Office Hours** and enter SA hours for each survey category.
- Click **OK** and click **Close**.

  The CMS 670 Complete checkmark should turn green.

  CMS 670 hours entered into the special survey before merging would have transferred into the cert kit.
- Click **Done** to close the kit.

Enter a Change of Ownership

> Change of Ownership (CHOW) for NF Only, Medicaid HHA, and ICF/IID providers can be entered in either ACO or ARO. For all other provider types, CHOWs must be entered by ROs.

Enter a CHOW without Assignment

The CCN changes in a CHOW without assignment. The RO must terminate the provider to retire the existing provider agreement, then create a new provider with a new CCN, and treat it as a new applicant for a provider agreement.

---

1 SA enters CHOW information

- Open **ACO**.
- Change My Selection to **ICF/IID OPEN**.
- Locate and expand **<A> CHOW Provider**, where A is your training letter.
- Right-click the most current certification and select **Certification Kit**.
- Select the **Tracking** tab.
- Click the **CHOW** sub tab.
- Click **Add CHOW Event** and enter the following:
  - Type of CHOW: **2 Without Assignment**
  - Request Received: select a date in prior week
  - Responsible Party: assign yourself as RO and SA
  - Click **OK**.
- Click the **Termination** subtab.
  - Click **Add Termination Event**.
  - Termination Type: **39 Non-Compliance – 90 Day Termination**
  - Termination Start Date: **yesterday's date**
  - Assign yourself as the RO and SA.
  - Click **OK**.
- Click **Done** to close the certification kit and close ACO.

---

2 RO terminates current provider

- Open **ARO**.
- Change My Selection to **ICF/IID OPEN.**

- Locate and expand **<A> CHOW Provider**, where A is your training letter.
- Right-click the most current certification and select **Certification Kit**.
- Click the **Tracking** tab.
- Select the **Termination** sub tab.
  - Highlight the termination entry and click **Modify Termination Event**.
  - Enter Termination Action: **01 Merger, Closure**
  - Enter Termination Date: **Yesterday's date** and click **OK**.
  - Click **OK** to close the Termination Tracking Event.
- Select the **CHOW** subtab.
  - Highlight the CHOW entry and click **Modify CHOW Event**.
  - Enter Effective (L9) date: **Yesterday's date** (Corresponds to the termination date).
  - Click **OK**, then **OK** again on the confirmation notice.
- Click **Done** to close the kit.

  The kit is automatically uploaded to national when complete.

  After a successful upload, the Facility Properties window will display a Current Operating Status of Closed for the provider, and the termination date will appear as the Closed On date.

3 Create new provider

SA or RO - Create a new provider to be assigned a new CCN.

If performed by the RO, you must obtain the new state provider ID, i.e., Facility ID, from the SA ASPEN coordinator.

- In **ARO**, click the Facility button on the toolbar and enter the following:
  - Facility ID: <your training letter>123
  - CMS Certification Number: **11H0XX**, where XX is your training number
  - Type: **111 ICF/IID**
  - For Current Operating Status, select **01-Active -** effective on **today's date**.
  - Complete the rest of the fields using any name and address.
- Click **OK** to close Facility Properties.
- Click **OK** to the message about the NPI.

4 Change Ownership of facility

- In the tree view, expand the facility that changed ownership (the terminated provider).
- Right click the most recent certification, and click **Certification Kit**.
- On the **Certification & Surveys** tab, in the **Special Fields** section, enter the **CCN** of the new provider in the Cross Ref Provider # (SF03) field.

  The kit is automatically uploaded to national when complete.
- Click **Done** to close the kit.

5 SA or RO

- Create a certification kit for the new provider and proceed as usual.

Change Provider Status (RO)

The Change Facility Status/Change to Critical Access Hospital option automates the process of terminating an existing provider (sponsor) and creating an initial certification after you specify the new provider type and number (CCN). This option is enabled only in ARO, only if the current certification kit has been successfully uploaded, and the Create Certification option is enabled (right-click the provider in the Tree view to check). Do not set Termination Code (L30) on CMS-1539 to 07 Provider Status Change. Use the right-click option.

The RO can change status for five provider types:

- NH (Nursing Home)
- HHA (Home Health Agency)
- ESRD (End Stage Renal Disease)
- RHC (Rural Health Clinic)
- Hospital - ACU only (Acute Care)

To change status for NHs and HHAs, you change the provider type. For ESRDs, RHCs, and Hospitals, you change from one number range to another within provider type. In effect, the status change is a change of provider subtype.

When an NH changes program participation from one that includes Medicare (ASPEN provider types 021, 022, or 023) to Medicaid-only (ASPEN provider type 024), or vice versa, CMS regulations require a change in CCN. Likewise, if an HHA changes program participation from Medicare (ASPEN provider type 051) to Medicaid-only (ASPEN provider type 052), or vice versa, a new CCN is required.

Note: When you change status for an HHA, its branches retain their internal branch ID, but assume the new CCN.

ESRD and RHC providers can change from one of their assigned CCN ranges to another. For ESRDs, there are five CCN ranges (or subtypes), and for RHCs, there are two.

To support the CMS policy requiring that a Critical Access Hospital be certified as an Acute Care Hospital prior to becoming a CAH, an ACU can change to a CAH.

<A> Medicare Nursing Home is changing status from a Medicare facility (021), to a Medicaid-only facility (024). After fulfilling all the CMS requirements, the facility is ready to be certified.

RO - To change provider status:

1 Locate a facility to change the status

- Open **ARO**.
- Change ARO Selection to **NH OPEN.**
- Locate and expand **<A> Medicare NH** in the tree view.

2 Change the facility status

- Right-click the most recent accepted certification kit, and select **Change Facility Status**.
- If the kit has not completed tracking, a message appears. You can choose to;
  - Complete tracking and then the change of status process will begin
  - Or you can cancel the status change.

3 Termination date

- In the Facility Status Change window, enter **Today's date** for the Termination Date (L28) of the sponsor's current type.

4 Select the new facility type

- Select **024 NURSING HOME (NH)-NF ONLY** for the New Facility Type.

  Only eligible facility types are listed. This option is disabled for ESRDs and RHCs, and is read-only for ACU's with 014 CAH automatically entered.

5 Enter facility's new CCN

- Enter a **New Medicare Provider #** (CCN) for the provider. For the CCN, use **85A0XX**, where xx is your training number.

  CCN's follow a specific numbering configuration. The first two digits identify the State in which the provider is located, and the last four digits identify the type of facility. 85 was added as a state code for Georgia in ASPEN version 10.3

6 Participation date

- For the New Original Date of Participation (L24), enter **today's date.**
- Click **OK** to close the Facility Status Change window.
- Click **OK** on the Change Facility Status confirmation.

  The termination is uploaded to national.

7 New certification kit is created

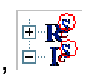
The current kit is uploaded with a terminated status. If the transaction is successful, an initial certification kit for the new provider is created and displayed. The sponsor provider's 2786 form will continue to display the sponsor's CCN. You can verify this in the new certification kit by selecting the **LSC 2786** tab, then clicking **Print 2786**.

Certification data from the terminated kit, including IDR/IIDR status of tags (as applicable), is automatically loaded into the new initial certification. The new provider's CCN is entered on all affiliate records carried forward into the new certification kit.

Note: Citations under an ACU certification are not carried forward into the new CAH certification kit.

- Click **Done** to close the initial certification kit. If applicable, click **Yes to All** to override any edits.
- Right-click the original (Sponsor) certification kit, and click **Certification Kit**.

  On the **Transmittal (CMS-1539)** tab in the certification kit for the terminated sponsor, the Termination Code (L30) field is set to **07 Provider Status Change** and disabled.

  In the Tree view, an "S" is appended to the icon,  for the sponsor certification kit.
- Click **Done** to close the sponsor certification kit. If applicable, click **Yes to All** to override any edits.

Note: If the status change transaction fails, the entire process is rolled back to the previous certification kit.

8 Update initial certification kit

- In the tree view, right-click the new (Initial) certification kit, and click **Certification Kit**.
- Update the initial certification kit as needed for the new provider.

TIP: If the sponsor has been terminated, but the new initial certification has not yet been uploaded, you can use the Find function to locate the sponsor by CCN.

The new initial certification kit is automatically uploaded to national under the new CCN when complete.

TIP: If you update the kit for the terminated sponsor, it will be uploaded under the former CCN.

Terminate a Provider

Termination or reactivation of a terminated provider can be entered in ACO for non-participating (NP) Hospitals, NF (024), Medicaid HHA, and ICF/IID providers, but must be completed in ARO. For all other provider types, terminations and reactivations are entered in ARO.

1 Select Facility to Terminate

- Open **ACO**.
- Expand My Selection, right-click the **ICF/IID OPEN** selection set, and select **Activate.**
- Locate and expand **<A> Terminate Provider**, where A is your training letter.
- Right-click the most current certification and select **Certification Kit**.

2 Update Certification Kit (ACO)

- Select the **Tracking** tab.
- Scroll down and select the **Termination** tab.
- Click **Add Termination Event** to open the Termination Tracking Event window.
- In the Termination Type field, select **39 – NON-COMPLIANCE WITH CoPs – 90 DAY TERMINATION**.
- Termination Start Date: **Yesterday’s date**
- In the Responsible Party section, assign yourself as the RO and SA.

The remaining steps for the termination event are completed in ARO. So we’ll send an action item to the RO to let them know.

- In the Activities/Action Items section, click **Add**.
- Select **01 Electronic Contact**. The Sent date field automatically populates with today’s date.
- Click **Add R.O.**, select yourself as the R.O. Recipient, and click **OK**.
- Type **Complete termination event** in the Comments field, and click **OK**.

- Click **OK** to close the Termination Tracking Event window, then click **Done** to close the certification kit.

  An Action Item for the termination event is sent to the RO.

- Close **ACO**.

3 Update Certification Kit (ARO)

The RO receives an Action Item regarding the termination event, and completes the termination process in ARO.

- Open **ARO**.
- Change My Selection set to **ICF/IID OPEN**.

  Notice your Action Item in the Detail View pane. It is assigned to you as the RO, with the "Complete Termination Event" comment you entered in ACO.

- Locate and expand **<A> Terminate Provider**, where A is your training letter.
- Right-click the most current certification and select **Certification Kit**.
- Select the **Tracking** tab.
- Select the **Termination** tab.
- Click in the termination event row to highlight it, then click **Modify Termination Event**.
- In the Termination Action (L30) field, select **01 Merger Closure**.

  The Termination Action code cannot be 00 Active.

- In the Termination Date field, enter **yesterday's date**.
- Click **OK** to close the Termination Tracking Event window.

  The kit is automatically uploaded to national when complete.

  Note: You must manually upload kits created before 07/01/2014.

- Click **Done** to close the certification kit.

  After a successful upload, the Facility Properties window will display a Current Operating Status of **Closed** for the provider, and the termination date will appear as the **Closed On** date.

  Note: ARO users can close providers without a certification kit or with a certification kit that was never successfully uploaded by setting Current Operating Status on the Facility Definition tab to **10-Closed-Owner**.

- Close **ARO**.

To Reactivate a Terminated Provider (*Instructor Only*):

The latest certification kit for the terminated provider must have been successfully uploaded.

- Open **ACO**.
- Change My Selection to **ICF/IID**
- Locate and expand **<A> Terminate Provider**, where A is your training letter.
- Right-click the most current certification and select **Certification Kit**.
- Select the **Transmittal (CMS-1539)** tab in the Certification window and scroll down to **Part II**.
- In the Determination of Eligibility section, select **Yes** to update the Facility Eligible to Participate? field.
- Select **00 Active** in the Termination Code field.

The Termination Date (L28) field is cleared and disabled. Overnight processing changes the Current Operating Status on the Facility Definition tab in Facility Properties from **Closed** to **Active**, and clears the **Closed On** date

Note: You cannot reactivate a provider that was terminated in ARO by setting Current Operating Status on the Facility Definition tab to 10-Closed-Owner because it didn't have a certification kit or had a certification kit that was never successfully uploaded.

- Click **Done**.

Deemed Scenarios

Participating, Deemed Provider Adds a New AO

CMS Receives notice from DNV GL of Accrediting Organization’s (AO) plan to survey provider. Provider is currently a participating provider deemed by JC. Per direction from CMS-CO, CMS-RO directs state agency to perform validation survey via 2802.

1 Open ARO

- Use your desktop shortcut to launch **ARO**.
- Activate the **HOSP OPEN** selection set.
- Locate the hospital, <**A> DEEMED NEW AO** (where “A” is your training letter).

  ARO/ACO displays current deemed status in the Facility Tree view, as well as in the Facility Properties window,

2 Create Certification kit

- Right-click the facility and select **Create Certification**.
- Click **Yes** to the message about an active tracking status.

  Since the provider is already participating, this is a Category/Type of Action = 02 – Recertification.

3 Select Responsible Parties

- Go to the **Tracking** tab.
- In the Responsible Parties section, select **Add S.A.** to add the SA version of yourself (<#>, Trainee).

4 Update Deemed info

- Go to the **Deemed/2802** tab.
- Click **Start 2802 Process** and enter the following.
  - Accreditation Survey Type: **INIT AO SURVEY FOR THIS AO; DEEMED BY ANOTHER AO**.
  - In the Regional/State Representatives section, select the **Primary** checkbox for the RO and SA.
  - 60-Day is automatically selected.
  - Currently Deemed By: **JC**

- AO Name: **DNV GL**.
- Scheduled End Date of Accreditation Survey: **10/31/2016**.
- Click **Send 2802 to State**.

ASPEN does the following based on Deemed/2802 tab updates:

- Sends Action Item to designated SA/RO.
- Updates Transmittal CMS-1539 Type of Action (L8) field to 5 – Validation.

■ Click **Done**.

■ Click **No** to Define a starting survey?,

■ Close ARO.

> The State will perform the validation survey. Within 60 days of AO survey end date, a validation survey is created and performed in ASPEN.
>
> After the validation survey is complete, the certification kit may be uploaded and the RO is notified of survey results.

5 Create and perform survey

■ Open **ACO**.

■ Change the selection set to **HOSP OPEN**.

■ Locate **<A> Deemed New AO**, where A is your training letter.

■ Expand your facility, right-click the validation certification and select **Certification Kit**. Validation certification kits are designated with a **V** in the tree view.

■ Create the survey:

- In the Survey list section, click **New**.
- Click **OK** to create a Health survey.
- Note the date of the AO survey and date your survey within 60 days – use **11/15/2016** for the Start and Exit dates.
- Select the **Federal Acute Care Hospital** regulation set.
- Click **Update** in the Team Roster section and add the SA version of yourself, and click **OK**.
- Click **OK** to close the Survey Properties.

■ Click **Yes** to the Outside Date Range message.

■ Click **Yes** to proceed to Citation Manager.

■ Enter initial comments:

- Double-click on **0000 Initial Comments**.
- Click **OK** in Citation Properties.

  - Enter some findings and click **OK**.
  - Click **Done** to close Citation Manager.
- Click **Done** to close the certification kit.
- Close ACO.

Deeming Determination: RO receives notice from AO of AO's recommendation for deemed status of a provider/supplier. RO forwards notice to SA. If SA survey had condition-level findings and RO review concurs with findings, or changes findings to condition-level, RO takes appropriate enforcement action. Addition of the new AO to the deemed status tab is not made until and unless the RO accepts the new AO's recommendation.

In this case the RO accepts the deeming recommendation, and the RO updates the Deemed/2802 tab in ASPEN to indicate DNV GL is now also currently a deeming provider along with JC.

6 Update Deemed info

- Open **ARO**.
- Expand **<A> Deemed New AO**, right-click the validation kit, and select **Certification Kit**.
- Go to the **Deemed/2802** tab.
- In the Deemed By section, click **Add**.
- For AO, select **DNV GL**.
- For Deeming Effective Date (M4) enter **10/31/2016**.
- Click **OK** in the Deemed By Detail window and click **OK** to the mismatch warning.

ASPEN does the following based on Deemed/2802 tab updates:

- The Accreditation Status (L10) field on Transmittal CMS-1539 tab is set to AO with earliest Deeming Effective Date (remains JC in this case).
- Deemed indicator on CMS-1539 remains **Yes**.
- If hospital, updates JC and DNV GL to checked in Multiple Accreditation Status field of Application Worksheet tab (Multiple Accred. Indicator set to **Yes**).

- If hospital, updates M4 on the Application Worksheet tab to latest Deeming Effective Date (DNV GL's Deeming Effective Date in this case).
- Completed certification kit showing 2 deeming AOs is uploaded to national database.

■ Click **Done** to close certification kit. Click **Yes to All** to override any messages.

Deemed Provider Undergoes Re-Accred Survey by AO

CMS receives notice from the AOA/HFAP of the AO's plan to perform a survey for the purpose of re-accrediting a currently participating and deemed provider. Per direction from CMS-CO, CMS-RO directs the state agency to perform a validation survey.

1 Open ARO

■ Use your desktop shortcut to launch **ARO**.

■ Activate the **HOSP OPEN** selection set.

2 Locate the Hospital

■ Locate the hospital, <**A> DEEMED REACCRED** (where "A" is your training letter).

3 Create Certification kit

■ Right-click the facility and select **Create Certification**.

■ Select **Yes** to override any messages.

Since the provider is already participating, this is a Type of Action = 02 Recertification (on Transmittal tab).

4 Select Responsible Parties

■ Go to the **Tracking** tab.

■ In the Responsible Parties section, select **Add S.A.** to add the SA version of yourself (<#>, Train).

5 Start 2802 Process

- Go to the **Deemed/2802** tab.
- Select **Start 2802 Process**:
  - In the Regional/State Representatives section, select the **Primary** checkbox for the RO and SA.
  - Select Accreditation Survey Type: **AO RE-ACCREDITATION SURVEY**
  - 60-day is automatically selected
  - For Currently Deemed By, select: **AOA/HFAP**
  - For AO Name, select: **AOA/HFAP**.
  - Enter Scheduled End Date of Accreditation Survey: **10/31/2016**.

    The 60 Days after Accreditation Survey field calculates automatically.
  - Select **Send 2802 to State**.

ASPEN does the following based on Deemed/2802 tab updates:

  - Sends Action Item to designated SA/RO contacts.
  - Updates CMS-1539 Type of Action (L8) to **5 – Validation**.

- Click **Done** to close the certification kit.
- Click **Yes to All** to override the edit checks.
- Click **No** to Define a starting survey?
- Close ARO.

> In this case, the SA performs the validation survey.
>
> Within 60 days of AO survey end date, a validation survey is created and performed in ASPEN.
>
> After validation survey is complete, RO reviews the survey and proceeds, as applicable, with enforcement actions. Certification kit may be uploaded.
>
> After completion of the hospital worksheet and CMS-1539, this kit can be uploaded.

6 Create and perform survey

- Open **ACO**.
- Activate the **HOSP OPEN** selection set.

- Expand <A> Deemed Reaccred, right-click the Validation kit, and select **Certification Kit**.
- In the Survey list section of the Certification & Surveys tab, click **New**.
- Click **OK** to create a Health survey.
- Note the date of the AO survey, and date your survey within 60 days – use **11/15/2016** for the Start and Exit dates.
- Select the **Federal Acute Care Hospital** regulation set.
- Click **Update** in the Team Roster section and add the SA version of yourself.

If a warning message appears notifying you the surveyor has other scheduled activities, click **Continue with Assignment**.

- Click **OK**.
- Click **OK** to close the Survey Properties.
- Click **Yes** to the Outside Date Range message.
- Click **Yes** to proceed to Citation Manager.
- Enter **0713** in Quick Find and drag into Citations.
- Click **OK** in Citation Properties.
- Enter some findings and click **OK**.
- Click **Done** to close Citation Manager.
- Click **Done** to close the certification kit.
- Close ACO.

> Deeming Determination: RO receives notice from AO of AO’s renewal of accreditation and continued recommendation for deemed status of a provider/supplier. RO forwards notice to SA.

7 Update Deeming info

- Open **ARO**.
- Locate **<A> Deemed Reaccred** and open the validation kit.
- On the Deemed/2802 tab, in the Deemed By field, highlight AOA/HFAP and select **Modify**.
  - Update the Deeming Effective Date (M4) to **10/31/2016**, and click **OK**.

- Click **OK** to the mismatch message.

ASPEN updates the Effective Date of Accreditation (M4) field on the Application Worksheet tab.

Also on the Application Worksheet tab, you can optionally update the Expiration Date of Accreditation (M5).

8 Upload

After completing the Transmittal CMS-1539 and Application Worksheet tabs, the kit is ready for upload.

> Let's pretend there were serious deficiencies, the RO decides to terminate deeming status for this provider.

9 Update Deeming info

- On the Deemed/2802 tab, highlight the AO in the Deemed By list and select **Modify**.
- Enter the AO Termination Date as **11/01/2016** and click **OK**.
- If a Mismatch warning appears, click **OK**.

ASPEN does the following:

- Blanks out M4 on Application Worksheet.
- If no other AO is deeming this provider, ASPEN updates the CMS-1539 to remove Deemed? indicator and changes L10 to **Not Accredited**.
- On the Application Worksheet, Multiple Accreditation Status is updated to reflect the current deeming status.

10 Upload

Completed certification kit showing validation survey and no deeming AO (if no remaining deemed AOs) is uploaded to national database.

11 Close cert kit

- Click **Done** to close the certification kit. Override any messages.
- Close ARO.

Not Currently Participating Provider Seeks Initial Certification with Deemed Status

Option 2: Not Selected for Rep. Sample/Validation Survey

CMS Receives notice from AO of AO's plan to survey provider. Certification process proceeds with no direction to SA for Validation survey.

No action required in ASPEN at this time.

RO receives notice from AO of AO's recommendation for deemed status of a provider/supplier that is not currently participating in Medicare and forwards notice to SA. RO/SA are usually already aware of an application by this provider/supplier to enroll, possibly including its intentions to participate via deemed status.

No action required in ASPEN at this time.

Deeming Determination: RO completes certification process after receiving all required documentation from the SA and determining that all certification requirements have been met.

RO or SA creates new certification kit for provider. Since provider is not currently certified, this is a Type of Action = 1 – Initial Certification kit.

1 Create and perform survey

- Open **ACO**.
- Activate the **HOSP OPEN** selection set.
- Locate <**A> Deemed Initial**, where A is your training letter.
- Right-click the facility name and select **Create Certification**.

RO or SA Updates the Deemed/2802 tab in ASPEN to indicate JC is currently deeming provider. Clicks **Add** to place JC into Currently Deemed By grid. The M4 column is completed by RO or SA.

2 Update Deeming info

- Select the **Deemed/2802** tab.
- In the Deemed By section, click **Add**.
- For AO, select **JC**.
- For Deeming Effective Date: **06/15/2016.**
- Click **OK** and **OK** to the mismatch warning.

ASPEN does the following based on Deemed/2802 tab updates:

- Adds **JC** to Accreditation Status (L10) field on Transmittal CMS-1539 tab.
- Sets Deemed field on Transmittal CMS-1539 to **Yes**
- If hospital, updates Effective Date of Accreditation (M4) on Application Worksheet tab
- If hospital, updates JC to checked in Multiple Accreditation Status section (Multiple Accred. Indicator set to '**No**')
- Provider now shows as *Deemed* in ASPEN tree views and will upload as such.

- Click **Done** to close the certification kit.
- Click **Yes to All** to override the edits.
- Close ACO.

Complaint Management/ePOC

Basic Complaint

Create an intake

Both SA and RO staff can create intakes. ACTS assigns every new intake an Intake ID and an initial status of Triage. You cannot create an intake if the provider is not in ASPEN Central Office.

> Our Scenario:
>
> A caller tells the state agency about issues at a nearby nursing home. He alleges problems with the facility's food that could adversely affect the quality of life for a resident.

1 Locate your nursing home

- Open **ACTS**.
- Activate the **NH Open** selection set.
- Click **Find** above the Tree view to open the Find window.
- In the Search field, enter all or part of the facility/provider name, **<A> Training Nursing Home**, where A is your training letter.
- Select **Search By Name**.
- Click **Find Now** and double-click on your facility name.

  This takes you to the facility in Tree view.

2 Create intake

- Right-click the facility name and select **New Intake**.

  A new intake opens to the Intake tab. Note that you have been automatically added as a responsible party.

  Enter the following:
- Click **Change Staff** and select any other name from the list.

  ACTS supplies the name of the currently logged-in user. You can change the name if the intake was initially received by a different staff member.
- Intake Type: **01 Complaint**.

- Intake Subtype: **A Federal COPs, CFCs, …**

  Note that the Intake Status is **Triage/Prioritization**.

  Status levels are determined by ACTS as the complaint/incident process progresses.
- Received by: **3 Telephone**
- Responsible Team: **ASPEN TECH TRAIN**

---

3 Add Complainant

- On the Complainants tab, enter your last and first name in the **Last Name** and **First Name** fields.
- Click **Find/Add.**
- Click **OK** to the Not Found message.
- In the Enter New Complaint Search window, select **New**.
- Complete all fields in the Complainant Directory Input window.
- Click **OK** to enter yourself in the Complainant's grid.
- You do not need to be anonymous, so de-select the **Anonymous** checkbox in the grid.
- For the Alleged Event Date/Time, enter **5/3/2016** at **2:00PM**.
- In the Source section, select **06 - Family**.

---

4 Assign Priority

- For Priority, select **B – Non-IJ High**.

Note: Entering the Priority changes the Intake Status to Pending Review/Assignment.
You can also assign Priority on the Allegations or Deemed tabs.

- Set Start Date and End Date to **5/4/2016**.
- For Investigate within, enter **10** days.
- Click on **Calculate**, and select **Calendar Days**.

  This inserts the Investigation Due By date.
- In the Intake Notes, type: **Food is unpalatable.**

---

5 Enter Allegations

- Go to the **Allegations** tab.
- Under the Allegations section, click **Add**.
- For Category, select **14 Dietary Services**.

- For Subcategory, select **01 Food Not Palatable**.

Note: The options available in the Subcategory list are customizable for each state. The options in your state may be different from those available here.

- Click **OK** to close the Allegation Input window.
- Click the **Details** button for the allegation and enter some text in the Details pane, then click **OK**.

6 Attach document to the intake

- Click **Attach** (at bottom of intake).
- In the Attachment Documents window, enter a Description of the document: **Volunteer Affidavit**.
- Select **Attach/View**.
- Change selection to display **All Files**.
- In Windows Explorer, navigate to **C:\ Aspen Tech Training**.
- Locate and highlight the file named **Volunteer Affidavit.docx** then click **Open**.
- Click **No** to preview the document. You can use this window at any time to view an attachment, but we do not need to today.
- **Close** the Attachment Documents window.

You need to send an action item to remind yourself about sending an acknowledgment letter to the complainant.

An acknowledgement letter is required unless all complainants are anonymous for all complaint/incident intakes linked to the investigation.

7 Add Activity

- Go to the **Activities** tab.
- Under the Activities section, click **Add**.
- For Type, select **02 Letter to Complainant**.
- Enter **05/04/2016** for the Sent date.
- Click **Add S.A.** and add yourself, then click **OK**.
- Click **OK** to close the intake, then **OK** again to save.

- Press **F5** to refresh the screen.

  You see an action item advising you to send a letter to the complainant regarding the new intake.

- If you see the action item, go to Step 8. If you do not see an Action Item, check your active Action Item Filter.

  - Expand My Action Items.
  - Right-click the active filter you created earlier and select Action Item Properties.
  - If you are not included in the Staff screen section, click the checkbox for **Include Action items for Current User** or add yourself to the list.
  - Click **OK**.

    Now you should see the action item: Letter to Complainant.

---

8 Notify complainant

- Right-click the action item and select **Modify Intake**.
- At the bottom of the intake form, select the **Notices** button.
- In the Notices History window, select **New** next to the Letter History section.
- In the Form Letter section of the Select Letters and Distribution Lists window, select the acknowledgement letter, **ACK-NH COMPLAINT**.

  By default, only complaint letters are listed. Click **Show All** if you need to see all letters.

- In the Distributions section, double-click the **Complainant** (your name) so that **Letter** appears in the ACTION column.
- Select **Preview** to review the letter.
- Click **OK** through any prompts.
- Select **Save & Exit** in the upper left corner.

  Your letter now appears in the Letter History section of the Notices History window.

- **Close** Notices History.

Prepare Investigation

---

9 Schedule the investigation

- Go to the **Investigation** tab.
- In the list of surveys in the Investigation and Surveys section, click **New**.

- Complete the Define Survey window, using **5/14/2016** for Start/Exit dates.
- Select the **Federal** regulation set.

  By default, the Survey Type is **Complaint Investigation**, and the Extent is **D-Other Survey**.
- Click **Update** and add the SA version of yourself to the survey, then click **OK**.
- Click **OK** to close Define Survey.
- Click **Yes** if you receive an Outside Date Range notification.
- Click **Yes** to link the intake to the survey.

10 Check status

- Go back to the **Intake** tab (Click **Yes** to override the edit about Investigation Completed Date).
- Scroll to the top of the Intake tab.

  Note: Intake Status has changed to **4 - Under Investigation**.
- Click **OK** to close the intake, then **OK** again to save and exit.

Survey Transfer

You can transfer intake information from ACTS to ASE-Q and back as needed by exporting the survey to which the intake is linked. When you export a survey from ACTS, any linked intake information is also exported. This way, you can deliver intake information from its entry point through an export transfer file to field surveyors’ laptops running ASE-Q. Surveyors can change survey information and some intake information in ASE-Q, and export the survey and linked intake back to ACTS. Transfer file data is encrypted to protect confidential information.

Export to ASE-Q

11 Go to the intake

- In the ACTS tree, expand **<A> TRAINING Nursing Home**, where A is your training letter.

12 Select the file

- Drag the intake to the **Export** button on the ACTS toolbar.
- In the Export window, select **Other Location**, then click the **Binoculars** button.
- Select **C:\ Aspen Tech Training**.

  The ASPENTX.zip file should appear as the File name.
- Click **Open**, and click **OK** in the Export window.

13 Export the survey

In the Survey Export window, the survey is pre-selected for you.

- Select **Continue with Export**.
- In the Finalize Transfer window, click **Apply** to complete the transfer.

Import into ASE-Q

14 Login to ASE-Q

- Open **ASE-Q**.
- In the Login window, enter your trainee user name and password, then click **Log In**.

15 Select the file

- Select the **Import** button on the ASE-Q toolbar.
- In the Import window, select **Other Zip File Location**, then click the **Binoculars** button.
- In the Select for Import window, select **C:\ Aspen Tech Training**
- Double-click the **ASPENTx.zip** file.

  The ASPENTX.zip file should appear in the File name: field.
- Click **OK** in the Import window.

16 Import the survey

- In the Survey Import window, select the survey for <A>-Training Nursing Home.
- Click **Continue with Import**.
- In the Finalize Transfer window, click **Apply** to complete the transfer.

Citation Manager

17 Enter Initial Comments in ASE-Q

- Expand the node next to your training letter.
- Click the **+** next to **<A>TRAINING Nursing Home**, where A is your training letter.
- Right-click the survey, then select **Citation Manager**.
- If the Add Team Member window appears, select your training user name and click **OK**.
- Double-click **Initial Comments** to move it from the Regulations into the Citations grid.
- Click **OK** on Citation Properties.
- Enter your findings in the Citation word processor - **Allegation is substantiated.**

18 Enter content library text

We will also enter some standard text and store it in the Content Library.

- Click the icon that looks like a book.
- Click **New**.
- For Description, enter **Fed Complaint Substantiated**.
- For the text, enter the following form letter text:

  A complaint investigation was conducted on (DATE). (Facility name) is/is not in compliance. The following deficiencies were cited: ()
- Click **OK**.
- Click **Close**.
- Click the **book** icon again and highlight the text you just entered.
- Click **Insert**.
- Fill in the blanks for:
  - Date: **05/14/2016**
  - Facility name: **<A> Training Nursing Home**
  - Delete: **is/** so that it reads is not in compliance
  - Deficiencies cited: **368, 371**
- Click **OK** to close the Citation window.

19 Cite deficiencies

- Cite the following tags
    - Tag 368**:**
        - Type **0368** in the Find field.
        - Double-click the tag or drag it into the Citations pane.
        - For Severity/Scope, select **A,** and click **OK.**
        - Click the **Reg** button to display the regulation text for the tag. Highlight some text and drag it into the word processor field, then click **OK**.
    - Tag 371**:**
        - Type **0371** in the Find field.
        - Double-click the tag or drag it into the Citations pane.
        - For Severity/Scope, select **D**, and click **OK.**
        - Click the **Reg** button to display the regulation text for the tag. Highlight some text and drag it into the word processor field, then click **OK**.
- Click **Done** to exit Citation Manager.

Export survey from ASE-Q

20 Export survey from ASE-Q

- Expand the provider.
- Right-click the survey, select **Send To**, then **Export**.
- In the Export window, select **Other Zip File Location**.

  C:\ ASPEN Tech Training\ASPENTX.ZIP should appear in location field. If not, you can type in the location, or click the **Binoculars** button and navigate to the location, then click **Open**.
- Click **OK**.

  In the Survey Export window, the survey is pre-selected for you.
- Select **Continue with Export**.
- In the Merge Fields window, select **Continue with Transfer**.
- In the Finalize Transfer window, click **Apply** to complete the transfer.
- Close ASE-Q

Import into ACTS

21 Locate the file

- Open **ACTS**.
- Click **Import** on the ACTS toolbar.
- In the Import window, select **Zip or mdb file**.

  C:\ ASPEN Tech Training\ASPENTX.ZIP should appear in location field. If not, you can type in the location, or click the **Binoculars** button and navigate to the location, then click **Open**.
- Click **OK**.

22 Import the file

- In the Survey Import window, select the survey to import.
- Select **Continue with Import**.
- In the Merge Fields windows, select **Continue with Transfer**.
- In the Finalize Transfer window, click **Apply** to complete the transfer.

View/Update Investigation

23 Open the intake

- Expand the node for your training letter.
- Click the **+** next to <**A> TRAINING Nursing Home**, where A is your training letter.
- Right-click your intake, then select **Modify Intake**.

24 View the survey

- Go to the **Investigation** tab.
- Verify that your survey is selected in the Investigations and Surveys section, then click **Citation Manager**.
- Review your citations.
- Click **Done** to exit Citation Manager.

25 Update the 670

- Click **Update 670** and add hours in the Pre-Survey Hours, On-Site column, Travel and Off-Site columns.
- Click **Office Hours**.

- Enter time in all SA columns.
- Click **OK**.
- **Close** the 670 Workload Detail.

26 Link Tags and Update Allegation

- Go to the **Allegations** tab and click **Yes** to override any edit checks.
- With the Allegation highlighted, click **Link Deficiencies**.
- Click the **Selected** checkbox for each of your deficiencies, clicking **Yes** on the appending tag text into findings message for each.
- Click **OK**.
- With the Allegation highlighted, click **Modify**.
- Under Findings, select **Substantiated** and
  A Federal deficiencies related to alleg are cited.
- Click **OK**.

27 Enter Actions/Close

- Go to the **Actions/Close** tab.

  Notice that 40-Enforcement Action has been added as a Proposed Action since at least one of the tags on the survey has a Scope/Severity level of D or above.

  Note: For non-NH facilities, or for NH intakes without a S/S of D or above, you may select from a predefined list of Proposed Actions possibilities.

28 Investigation Report

The Investigation Report collects all information contained in the intake into one report.

- At the bottom of the intake, click **Print**.
- Click **Investigation Report** and click **OK**.
- Click **OK** to hide brackets …
- Review the report and then close it.

Support Staff

Generate a Statement of Deficiencies (SOD) letter and send the CMS-2567 via the ePOC application.

29 Generate SOD letter

- Click the **Notices** button at the bottom of the intake.
- In the Letter History section, click **New**.

30 Preview letter

- In the Select Letters and Distribution Lists window, scroll down and select **LTC: SOD**.
- In the Distributions section, scroll down and double click **Facility** to specify **Letter** as the Action.

  This designates the facility contact as the recipient of the letter.
- Click **Preview**.
- Review your letter in the Word Processor Dialog, then select **Save & Exit**.
- Click **Close** to close the Notices History window.

31 Post survey on ASPEN Web: ePOC

We want to be able to easily track the POC process for this survey so …

- On the **Investigation** tab, locate your survey and click the **POC Track** button to open POC Properties.
- In the Responsible Parties section, click **Add S.A.**, add yourself, then click **OK**.

32 Post survey on ASPEN Web: ePOC

- In the **Survey Letters for ePOC Display** section, select the checkbox for the SOD letter you generated so that it will appear on the ePOC website.

  Note: In addition to survey letters, enforcement and intake letters can be selected if they are associated with the survey.
- Click **ePOC Attachments** to optionally attach documents you would like to share with the facility as support for the SOD

- Select **New**
- In the Attachment Documents window, enter a Description of the document: **Medical Records Outline**.
- Select the **Ellipsis** to open the Attach/View window.
- In Windows Explorer, navigate to the **C:\ ASPEN Tech Training**.
- Select to display **All Files**.
- Locate and highlight the file named **Medical Records Outline.docx**, then click **Open**.
- Click **OK**.
- Click **Close**.

Note: ePOC Attachments, whether added by the SA or by a provider, are automatically removed when the final POC is approved for the survey.

- Select **Post on ePOC Website** to post the survey and SOD letter, then click **Yes**.

  The Posted date for each tag is entered on the POC Properties window as well as the Post date and SOD Sent Date for the survey.

Note: Surveys cannot be posted to ASPEN Web: ePOC if there are no enrolled facility users.

- Click **OK** on the post complete confirmation message.
- Click **Close** to exit ePOC Properties.

  ePOC sets the 2567/B Entry Complete flag to true.

Note: ePOC Properties must be closed to remove semaphore locks on the survey before the facility can access it on ASPEN Web: ePOC.

- Click **OK** to close the intake, then **OK** again to save and exit.
- Click **Yes** to override any edit checks.

<A> Training Nursing Home receives notification (via an ePOC Survey Posted email) that the Statement of Deficiencies has been posted and responds. The administrator then submits a Plan of Correction (POC) for each deficiency on the survey.

Facility ePOC

33 Open ASPEN Web: ePOC

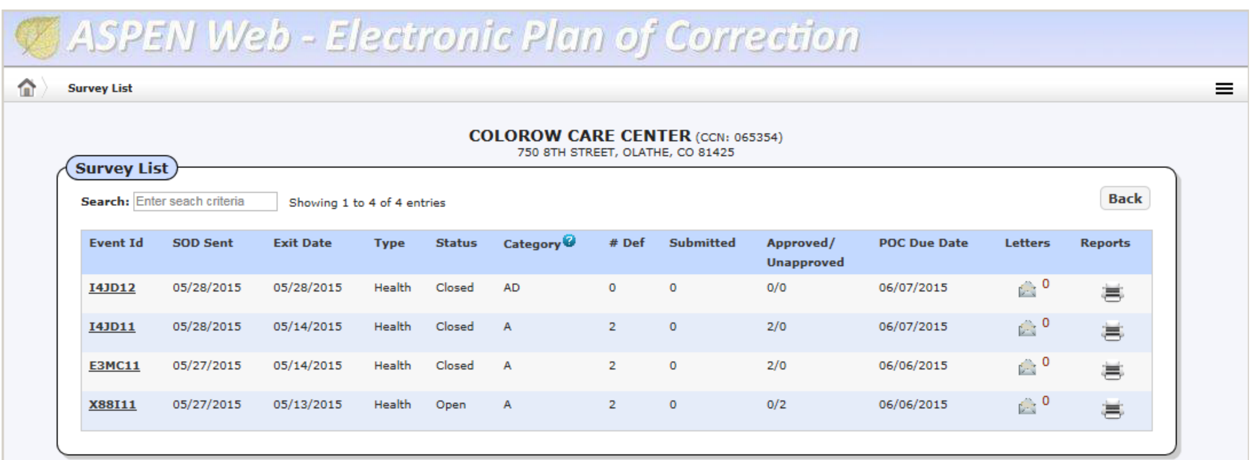
- On your desktop, double click on the **ePOC Web App** shortcut.
- Click **Continue to this website**.

34 Log in as facility

- Log into **ASPEN Web: ePOC** with your training facility User ID and Password.

  If the facility user is enrolled for multiple facilities, the Facility List opens.
- Click on the facility **CCN**.

  Your survey appears on the Survey List. If the user is enrolled in ePOC for only one facility, the Survey List page appears as soon as they successfully log in.

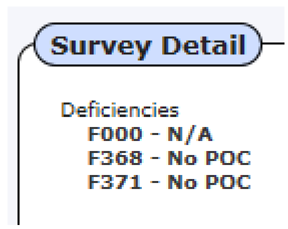


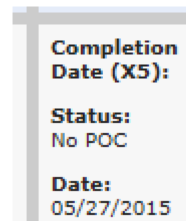
35 View SOD letter

- Click the envelope icon in the **Letters** column for your survey.
- Click the **Letter Date**, then click **Open** to view the SOD letter as an .RTF file.
- Exit the letter, then click **X** to close the **Letters** window.
- Note the information in the other columns for your survey, then click the **Event Id** to open the **Survey Detail** page.

36 View survey details

The Deficiencies list on the left side of the Survey Detail page indicates the POC status of the deficiencies in the grid. The Completion Date (X5) column in the grid also displays the tag's status.





The second column in the grid displays Regulation and Observations text for each cited tag. If there is not enough room on the grid to display all of the text, you will see **[MORE]** after the text.

- Select **[MORE]** to display the complete **Regulation** or **Observations** text for one of the tags.
- Click the **X** to leave the Regulation or Observations window.
- Click the **Attachments** (paper clip) icon at top of page .
- Click **Medical Records Outline**, then click **Open** to view the document you attached as the S.A.

  Attachments can be added from the SA/RO, or from the provider in ePOC. The Source column lets you know where the attachment is from.
- Click **X** to close the document, and **X** again to close the Attachments window.

37 Compose Plan of Correction

- Select the **F368** tag in the grid by clicking on the tag or selecting the **Click to Acknowledge** link in the Plan of Correction column.

  The Plan of Correction page opens with tag information, regulation text, and Observation text in the left pane.

  Since this tag has an S/S level of A, no plan of correction text is required.

- Click **Acknowledge**.

  Notice the tag's Status has changed to *Approved and the Completion Date is set to today*'s *date*.

38 Submit multiple tags

- Click on tag **F371**, or select the **Click to Enter Plan of Correction** link in the Plan of Correction column.
- Enter some **POC Description** text as the facility response for the current tag.
- Click in the **Completion Date (X5)** field and select **05/18/2016** from the calendar.
- Click **Save as Pending** to save this POC, then click **Back**.

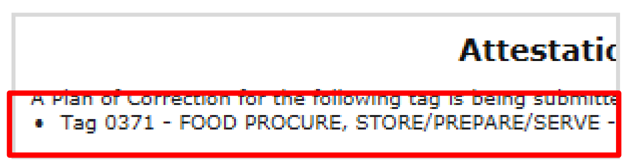
  Tag 0371 is in *Pending* status.

- Select **Submit All Pending** (above the grid).

39 eSign and Attest POC for all tags in Pending status

The facility must electronically sign the Attestation of POC Submittal Terms and Conditions for each tag submitted for SA/RO review.

The tags the facility (you) are submitting are listed at the top of the Attestation.



- Select the Electronic Signature checkbox, then click **Continue**.

  You return to the Survey Detail page. Note the Status of tag 0371 has changed to **Submitted**.

  At the top left of the page, a "POC for tag 0371 was successfully submitted." message appears.

  A Facility POC Submitted for All Tags email is generated since the facility submitted the last POC for all tags.

40 View CMS- 2567

- Select the printer icon (upper right), then **2567**, then click **Open**.

  The CMS-2567 form displays the watermark, POC NOT FINAL, which remains on the form until all POCs are approved for the survey. A facility may print the CMS-2567 form at any time.

- Close the CMS-2567.
- Select the printer icon again, then click **"A" Form**, then click **Open**.

  The "A" Form also displays the POC NOT FINAL watermark, and lists the citation that does not need a POC approval.

- Close the A form.
- Click the **Menu** icon (three bars) on the right side of the toolbar at the top of the page and select **Log Out**.

  You return to the Login page for ASPEN Web: ePOC.

> The SA/RO receives the POC from the facility and approves/rejects the POCs.

41 Open POC Manager

- Go back to **ACTS** and select **POC** from the toolbar.
- In **POC Manager**, select the survey with the POC you created, then click **POC Approve/Reject**.

Note: You can click anywhere in the applicable row to select the survey.

42 Approve tag's POC

- In the Deficiencies grid, select the **0368** tag.

  This tag did not require a plan of correction since it has an S/S of A. However, the provider Acknowledged the tag so the POC Status is automatically Approved.

43 Reject tag's POC

- Select tag, **0371**.
- Review the **Plan of Correction** text, then select **Reject**.
- Select the **Other** rejection **reason**.

  An Explanation is required if Other is selected.

- Enter text in the **Explanation** field for the Other rejection reason.

  You can optionally add Comments for each rejection reason as well as overall comments for the rejection of the tag.

- Select **Final Rejection**.
- Select **Yes** on the confirmation message.
- Click **Close** to close POC Approval and Rejection, then **Close** again to close POC Manager.

> The facility resubmits a POC for the rejected tag.

44 Locate survey

- Log into **ePOC Web App**.
- On the Facility List, select your facility **CCN**.
- On the **Survey List**, select the survey **Event Id**.
- On the **Survey Detail** page, note the F371 tag status is **Rejected**.
- Select the rejected tag, **F371**.

45 Update POC

- Enter new text in the **POC Description** field and a new date, **05/20/2016**, in **Completion Date (X5)**.

  Note: The rejection reason displays at the bottom of the page.

46 Resubmit POC for all tags

- Click **Submit as Final**.

47 Sign Attestation

- Click the **Electronic Signature** checkbox to agree to the Attestation.
- Click **Continue**.

  On the Survey Detail page, the updated Status for the tag is Submitted. A Facility POC Resubmitted for Tag email is generated for the rejected tag.

- Log out of ASPEN Web: *e*POC.

Revisit

> The SA/RO accepts the POC and schedules the revisit

48 Accept POC

- In **ACTS**, right-click the intake and select **Modify Intake.**
- Go to the **Investigation** tab.
- Select the survey and click **POC Track**.
- Select **POC Approve/Reject**.
- Select the row for tag F0371 and click **Approve**.
- Click **Final Approval**, and **Yes** to confirm.

Note: When the final plan of correction is approved, any associated attachments are permanently removed from ASPEN. If you want to save an attachment document, you must copy it to another location.

- Click **Yes** to delete the attachments.
- **Close** the POC Approve/Reject window and **Close** POC Properties.

49 Schedule Revisit

- On the Investigation tab, in the Investigation and Survey grid, highlight your survey and select **Create Revisit.**
- Select **Yes** to confirm.
- Accept **current date** as the Start and Exit dates. The same team will conduct the revisit.
- Click **OK**, then **OK** again on the confirmation notification.

> You conduct the revisit and find all deficiencies corrected.
>
> The facility is notified of the ASPEN Web: ePOC posting and prints the CMS-2567B.

50 Complete and post revisit survey

- On the **Investigation** tab, highlight the revisit survey and click **Citation Manager**.
- Double-click on the Initial Comments tag in the Citations pane, and enter text – **All deficiencies are corrected.**
- Click **OK**.
- Double-click tag **0371** to enter some Findings text, then click **OK**.
- Right-click citation 0371 and select **Correction Dates**, **Selected Citation**.
- Enter **current date** and click **OK**.
- Click **Done** to close Citation Manager.
- Click the **POC Track** button for the **revisit** survey.
- Click **Post on ePOC Website**.
- Click **Yes** to Confirm and **OK** to Post Complete.
- **Close** POC Properties.
- Click **Update 670** to enter **670 hours** and **Office Hours** for the revisit survey. After all hours are entered, click **Close**.
- For **Investigation Completed** (below the Investigation and Survey grid), enter **current date**.
- Click **OK**, then click **OK** again to save.

51 Facility prints CMS-2567

- Log into the ePOC Web App.
- Click the **CCN** of your facility, and the **Event Id** for the revisit survey.
- Click **Acknowledge SOD**.

52 Print CMS-2567B

- Click the **Print** icon, then select **2567B**.
- Click **Open** to view the CMS-2567B report. Notice there is no watermark on the CMS_2567B report.
- Close the report without printing.
- Log out of the ePOC Web App.

Finalize Intake

53 Finalize intake

You have performed the steps for completing an intake. You are now ready to finalize the intake.

- In ACTS, right-click the intake and select **Modify Intake**.
- On the **Actions/Close** tab, select the **Finalized** checkbox.
- Click **Yes** on the Activity/Action Item Closure message.
- Select **01-Paperwork Complete** as the Reason Closed and enter **current date** as the Date Closed.

  Finalization triggers an auto upload of the intake and investigation.
- Click **OK** to close the intake, and **OK** to Save and exit.

Deemed Hospital Full Survey After Complaint

> The State Agency (SA) receives a telephone call regarding a deemed hospital that is serving cold chicken.

1 Open ACTS

- Double-click the **ACTS** icon on your desktop.

2 Activate Selection Set

- In the ACTS tree, expand **My Selections**.
- Right-click the **HOSP OPEN** selection set, then select **Activate.**

3 Open a new intake

- In the ACTS tree, expand the branch corresponding to your training letter.
- Locate **<A> Training Deemed Hospital** (where A is your assigned training letter).
- Right-click the facility name and select **New Intake**.

  Normally, you would click **Insert Questions into Notes** at the bottom of the form and gather details from the complainant. We will skip this step today.

> After the call, you finish filling out the intake.

4 Enter complaint details

- At the top of the Intake tab, enter the following:
  - Intake Type: **01 Complaint**
  - Intake Subtype: **A Federal COPs,…**
  - Received by: **3 Telephone**

    Notice ASPEN automatically lists you as a Responsible Party.
- Click **Add R.O**. and select your RO user name, then click **OK**.
- On the Complainants tab, click **Add Anonymous**.

5 Enter Priority and Source

Source and Priority are required entries:

- From the list of Source options, select **05 Anonymous**.
- Scroll down to the Priority box, and select **C – Non-IJ Medium**.

6 Enter complaint received dates

- In the Received section, make sure it shows the current date for both Received **Start** and **End** dates.
- In the Investigate Within box, enter **10** days (we need to compress the time frame a bit); then click **Calculate** to determine the Investigation Due By date. Use **Working days**.

7 Enter Allegation Details

- Go to the **Allegations** tab.
- Click **Add**, and in the Allegation Input window, enter the following values:
  - Category: **14 Dietary Services**
  - Subcategory: **02 Improper Food Temperature**

  Note: The options available in the Subcategory list are customizable for each state. The options in your state may be different than those available here. Your complaint unit can edit subcategory options under System | Lookup Tables | Allegation Subcategories.

- Click **OK** to save the allegation.

8 Request RO approval

- Go to the **Deemed** tab.
- Select the **Deemed for Medicare Participation** checkbox if it is not pre-selected.

  Note: This is automatically selected if the complaint is being entered against a Deemed provider (as set in ACO).

- In the Conditions of Participation section, select **482.28 FOOD AND DIETETIC SERVICES**.
- Select the **Request for RO Approval** checkbox.

  ASPEN inserts the current date, and updates the status to **2-Pending RO Approval**.

9 Save and Close the Intake

- Click **OK** at the bottom of the intake, and **OK** on the confirmation prompt.
- Close ACTS.

(Back home, ASPEN Action Items are automatically sent within 10 minutes of generation!)

You get to play the RO role, and approve the complaint survey investigation for the conditions listed in the Conditions of Participation (COP) list on the Deemed tab.

10 Open ACTS-RO

- Double-click the **ACTS RO** icon on your desktop.

  ACTS RO should be connected to Georgia. You can verify this with the State field in the upper left corner.

11 Activate Selection Set

- In the ACTS RO tree, expand **My Selections**.
- Right-click the **HOSP OPEN** selection set, then select **Activate**.

  RO staff can also use My Action Items to monitor requests regarding deemed intakes.

12 Locate the intake

- Go to the **Status** tab.
- Expand the **2 – Pending RO Approval** node, and then expand **Non-IJ Medium**.
- Right-click your intake and select **Modify Intake**.

13 Approve the state survey

After reviewing the allegations:

- Go to the **Deemed** tab.

- In the **Signature** section, enter:
  - RO Response: **01 Approved**
  - Regional Representative: **Your RO User Name**

    ASPEN inserts the Region and Date.
  - Type some text in the **Comments** field.

> The RO confirms the Food and Dietetic Services COP is correct, and since germs are a concern with cold chicken, also selects Infection Control.

14 Confirm COP(s)

- In the Conditions of Participation section, verify **482.28 FOOD AND DIETETIC SERVICES** is selected.
- Select the checkbox for **482.42 INFECTION CONTROL**.
- In the **Currently Deemed By** section, select **JC**, (The current Accrediting Organization for the provider in our scenario).

15 Save and exit ACTS RO

With RO approval, ASPEN automatically changed the status of the intake, and moved the intake to the Non-IJ Medium node under the 3 - Pending Review/Assignment node.

- Click **OK** and then click **OK** again at the prompt to save and exit the intake. ACTS re-draws the tree.
- Close ACTS RO.

> When the RO enters their response in ACTS RO, an Action Item is generated for the S.A. Responsible Party.

16 Check your action items

- Open **ACTS**.

  You should have an action item message from the RO approving the investigation – Response from RO.
- Double-click the message to open your intake.

  The RO response, and any comments the RO included are on the Deemed tab in the Signature section.

17 Create the survey

- Go to the **Investigation** tab.
- In the Investigation and Survey section, click **New**.
- Enter the following:
  - Start: Current **date**
  - Exit: Current **date**
  - Regulations: **Federal Acute Care Hospital**
- Type of Survey: **A-Complaint Investig.**, and Extent: **D-Other Survey** are pre-selected.

18 Link the intake

- Click **OK** to save and exit the survey, then select **Yes** on the prompt to link the intake to the new survey.

> During your investigation, you find that prepared chicken is not kept at 140°, and may not be served for up to an hour after the meal is plated.
>
> You also see several other areas of concern: Kitchen staff is not washing their hands after handling raw meat; equipment is poorly maintained and dirty; and several spills in patient areas, one with broken glass, were not cleaned up for hours.

19 Conduct the investigation

- On the Investigation tab, highlight your survey and click **Citation Manager**.
- Select your user name, then click **OK** to add yourself to the survey team.

  To assign tag 0618:
- Type **0618** in the Find field.
- Double-click or drag the tag to the **Citations** pane.
- Click **OK** in the Citation Properties window.
- Click the **IG** button, highlight some of the text and drag it into the Citation pane.
- Click **OK** and click **Done** to exit Citation Manager.

20 Update the Findings

- Go to the **Allegations** tab (click **Yes to All** to override any edits).
- Click **Link Deficiencies**.
- Click the checkbox in the **Selected** column and click **Yes** to confirm.
- Click **OK**.
- In the Allegations section, select the allegation and click **Modify**.
- In the Findings section of the Allegation Input window, select **1 Substantiated**.
- Select **A Federal deficiencies related to the alleg are cited**.
- Click **OK** to save your findings..

21 Complete the investigation

- Select the **Investigation** tab.
- For the Completed Date, enter **current date**.
- Click **OK** at the bottom of the intake, then **OK** on the message to save and exit the intake.
- Close ACTS.

> After discussing your findings, you and the rest of the hospital team decide a full survey after complaint is warranted. You need to schedule a full survey.

22 Open ACO

- Double-click the **ACO** icon on your desktop.
- Verify the **HOSP OPEN** selection set is activated.
- Locate your facility, right-click it, and select **Create Certification**.
- Click **Yes** to continue.

23 Create the certification kit

- Go to the **Transmittal** (CMS-1539) tab.
- Check the **Accreditation Status (L10)**.

  When selecting the Type of Action, the Accreditation status cannot be 0 Unaccredited.

- For Type of Action (L8), select **8 Full Survey After Complaint**.
- Go to the **Certification & Surveys** tab.
- On the prompt, click **Yes to All** to override the edits.

24 Add a Health survey

- In the Survey List section, click **New**.
- Select **Health Survey** and click **OK**.
- In Create Health Survey window, enter the following:
  - Start: **Current date + 1**
  - Exit: **Current date + 1**
  - Regulations: **Federal Acute Care Hospital**

  Type of Survey: **I-Recertification**, and Extent: **A-Routine/Std Survey** are pre-selected.

25 Add the survey team

- In the Team Roster section, click **Update**.
- Locate your user name, and select the checkbox to add the SA version of yourself to the Team Roster.
- Click **OK** to exit the Team Roster, then **OK** again to exit the survey.
- Click **No** on the message about Citation Manager.

26 Exit the Certification Kit

- Click **Done** to exit the Certification Kit.
- If needed, click **Yes** on the Recent Certification warning message.
- Close ACO.

> Add a cross-reference between your intake and the full survey resulting from the investigation.

27 Open ACTS

- Double-click the **ACTS** icon on your desktop.
- Open your intake (you can right-click on the RESPONSIBLE FOR action item and select **Modify Intake**).

28 Create a cross reference

- Go to the **Deemed** tab.
- In the Full Survey section, click **Find** to list surveys for the provider.
- Select the new Health survey you created (dated tomorrow) and click **OK**.

  This creates a cross reference between your intake and the full survey after complaint.

29 Close the intake

- Click **OK** to save and exit the intake, and then **OK** on the prompt.

Complaint Process – Special Case Exercises

Log a Hotline Call

The ACTS Hotline function is an option you can use to log incoming calls and generate an intake when necessary. You can log and document all calls, including those that are not categorized as complaints or incidents. This procedure can be found in the ACTS Procedures Guide – Log a Hotline Call.

Create a Hotline Call Record

A complaint call comes into the hotline today. You log the call against <A> Hotline hospital.

1 Sign in to ACTS

- Open **ACTS**
- Select **HOSP OPEN** as your facilities Selection Set.
- In Tree view, right-click the **Hotline** node and select **New Call**.

2 Call Information

ACTS populates the name of the current user as the Hotline Staff member who logged the call automatically.

- From the call **Category** drop-down list, select **01 Complaint**.

  Note: Hotline categories can be customized by each state. This allows you to capture, group, and manage several types of calls, including those that do not result in an intake being generated, more effectively.

- For Caller, type your name.

3 Call received

- If necessary, change the Received Date and Time supplied by ACTS. For this scenario, we will leave it with the current date.

Right now we are just logging the call. We will create an intake for this call later in the scenario.

To create an intake at the time of the call, you would click Generate Intake. Clicking Generate Intake opens the Find window where you can search for and select a facility.

4 Add facility

- To add a facility to the call record without generating an intake, in the Facility information section click **Select Facility**.
- In the Find window, search for the **<A> Hotline**, where A is your training letter.
- In the Search Results pane, highlight your facility and click **Select**.

  Only facilities that match your active My Selections settings are displayed. When you select a facility and return to the New Call window, the Facility Information section is filled in by ACTS.

  You can click Remove Facility to delete the facility from the call record.

5 Enter Hotline call details

- Use the Notes text box to record relevant details of the call.
- Click **OK**.

  The call information now appears in the Hotline Category tree view, and the caller appears in the Complaints list.

Generate an Intake from a Hotline Call Record

When appropriate, you can generate an intake from a Hotline call record. The notes you make in the Hotline record are automatically transferred to the intake. When you expand a Hotline call in the tree view, associated intakes are listed.

> Now we will create the intake from the call we logged earlier for <A> Hotline hospital.

To create an intake from a hotline call record:

1 Select Hotline Call

Locate and right-click the call record you created earlier without an associated Intake. The calls are logged by call category, date of the call, and caller name.

- Expand the **Hotline** node and expand the **Complaint** node.
- Locate your name.
- Right-click and select **Modify Call**.

2 Generate Intake

- In the Modify Call window, click **Generate Intake.**
- Click **Yes** to the confirmation message.

  For calls with an intake already associated, the Generate Intake button is unavailable.

3 Create Intake

When you click Generate Intake, the Intake window opens.

Enter the following:

- Intake Type: **01 Complaint**
- Intake Subtype: **A Federal COPs, CFCs,…**
- Received by: **6 Hotline**
- On the Complainants tab, enter your last and first names in the **Last Name** and **First Name** fields.
- Click **Find/Add**.

  You should already be listed as a complainant.
- Click the **Select** button.

  Your name is added to the complainant grid.

- In the Source section, select **06 – Family**
- For Priority, select **D – Non-IJ Low**
- For Investigate within, enter **10** days.
- Click on **Calculate**, and select **Working Days**.
- This inserts the **Investigation Due By** date.
- Click **OK** to close the intake, then **OK** again to Save and Exit.

  When you close the intake, the Facility Information section is completed for the selected facility and the Select and Remove buttons are disabled.
- Click **OK** to close the call record.

Configure Hotline Call Categories (*INSTRUCTOR ONLY DEMO*)

Instructor Demo (Configure Categories)

- In the System menu, select **Lookup Tables**, then **Standard Lookups**. When you click **No** for the Are you a CMS Central Office User? question, the database Lookup Values Dictionary window opens.
- Scroll down to Hotline and click **+** to expand the value, then **+** to expand the **Categ – Hotline Category** list. Here you can see the current categories for Hotline calls.
- Right-click **Categ – Hotline Category** and select **New Value**.
- In the Input Lookup Values window, type an **ASPEN Code** (Usually the next sequential number in the category list), and type the name of the new category in both **Label** fields.
- Click **Close**.
- Click **Save & Exit**, then **Close** the Lookup Values dictionary window to return to ACTS. After you refresh ACTS (Hit **F5** key), the new category is available in the Hotline tree view.

Complainants/Resident/Alleged Perpetrator

State Agencies can maintain a directory of complainants, residents, and alleged perpetrators from Tree view. This information is usually added in the intake, but if a mistake is made, this is a central place to make corrections, i.e., a misspelling or add a phone number. These directories are filtered by the active selection set, and are not available in ARO.

You can right-click the directory nodes to:

- Search
- Set the display to view all, regardless of the selection set

You can right-click a member of each directory to:

- Modify
- Delete
- Merge (scenario follows)
- Print Quick Reports (Complainant only)

Complainant Example

> To demonstrate the search capability and how the active selection set affects the display, the class will search for a complainant named Silas Brown Jr.

1 Find complainant

- Open **ACTS**.
- Right-click the **Complainants** node.
- Select **Find Complainant**.
- For Search Text, type: **Brown**
- With **Search By Name** selected, click **Find Now**.

Note: The Find Now function only searches by last name.

- In Search Results, locate **Silas Brown Jr**. and either double-click the name, or highlight the name and click **Select**.

ACTS takes you directly to the name in tree view.

2 View associated intakes

You can easily see how many intakes Silas Brown Jr. has been involved with by expanding the node.

- Click the **plus** beside Silas Brown Jr.

Several intakes are listed.

- De-activate the active selection set so that you see all intakes associated with this complainant.
  - Expand the **My Selections** node.
  - Right-click the active selection set with the green arrow icon.
  - Select **Deactivate**.
- To view all associated intakes:
  - Expand the **Complainants** node,
  - Expand the **B** node and locate **Silas Brown Jr**.
  - Click the **Plus** (**+**) beside the name of the complainant.

    All associated intakes are listed below.

3 Filter complaints

- Now activate the selection set called **Complaints Last 30 Days**.
  - Expand the **My Selections** node.
  - Right-click **Complaints Last 30 Days** and select **Activate**
- Locate the complainant, Silas Brown Jr. again.
- Click the **Plus** (+) beside the name of the complainant.

  You now see associated intakes only for the past 30 days.
- Right-click the **Complainants** node.
- Select **Set Complainant Intake Display**.
- Click **Yes** to confirm.

  This setting overrides the selection set and displays all intakes.

> This time, search for a complainant name that begins with your training letter.

4 Find complainant

- Open **ACTS**.
- Right-click the **Complainants** node.
- Select **Find Complainant**.
- For Search Text, enter: **Your training letter**
- With Search By Name selected, click **Find Now**.
- In Search Results, double-click or highlight **<A> Complainant**, where A is your training letter and click **Select**.

5 Complainant maintenance

- Right-click the complainant name and click **Modify Complainant**.

  The title, name, address, phone numbers, and email address are easily accessed from this window to adjust an address, add a phone number, etc.

  Letter macros exist to pull title, name, and address fields from this directory into letters.

- Click **Cancel** to close Modify Complainant.

6 Quick Reports

- Expand the complainant to verify they are assigned to an intake, and note the date of the intake.
- Right-click the complainant and select **Quick Report**.
- Select **Complaint Intake History** and click **OK**.
- Click **OK** to the message about redaction information.
- Adjust the date range of the report to include the dates of the associated intakes listed in Tree view, and click **OK** to generate the report.
- If the intakes are for CLIA labs, for Customization View, select **Both Non-CLIA and CLIA** and for Provider Type, **Select All**.
- When you are finished viewing the report, select **File | Close**.
- Right-click the complainant again and select **Quick Report**.
- Select **Complaint Intake Summary** and click **OK**.
- Adjust the date range as you did for the previous report and click **OK** to generate the report.
- When you are finished viewing the report, select **File | Close**.

7 Delete Complainant

- Right-click the complainant and select **Delete Complainant**.

  Note that the complainant cannot be deleted if they are assigned to any intakes.

- Click **OK**.

Merge Complainants, Residents/Patients/Clients, Alleged Perpetrators

SA only

A right-click Merge option lets you consolidate redundant entries for complainants, residents/patients/clients, and alleged perpetrators without disrupting the underlying data. A merge action retains the correct record, removes incorrect record(s), and links the intakes involved.

For example, complainant Silas Brown Jr. is linked to intake A, while Silas Brown is linked to intake B. The SA determines that these two names represent the same person. A merge retains the correct record (Brown Jr.), removes the incorrect record (Brown), and links intake B to intake A.

Since RO users cannot see the complainant, resident, or alleged perpetrator directories, they cannot perform the type of merge activity that follows.

To merge complainants, residents/patients/clients, or alleged perpetrators:

1 Locate duplicate names

- Open **ACTS**.
- Activate the **HOSP OPEN** selection set.
- Expand the **Complainants** node and expand the **B** node.
- Locate the duplicate names, **Silas Brown** and **Silas Brown Jr**.
- Open the intakes for both to see how the names are listed in the intake:
  - Expand **Silas Brown**
  - Right-click the first open intake and select **Modify Intake**. Note the intake ID#.
  - Note the name in the Complainants grid.
- Do the same for Silas Brown Jr. Note the intake ID#.

2 Locate incorrect name

- Locate the incorrect name, **Silas Brown**.
- Right-click the name and select **Merge Complainant**.

Note: Merge options are not available in ARO.

3 INSTRUCTOR ONLY - Merge complainant

!!!Trainees – do not perform this step

- In the Find window, enter all or part of the correct Last Name of the complainant – **Brown**.
- Click **Find Now**.

  If the inconsistency is with the first name, both correct and incorrect variants will appear in the Search Results area.

- Double-click the correct variant (**Silas Brown Jr.)** in the Search Results box, or highlight it and then click **Select**.

  A confirmation message indicates that the incorrect record (Silas Brown, the record you selected in the Tree view) will be deleted and any intakes to which that complainant is assigned will be linked to the correct record (Silas Brown Jr., the record you selected in Search Results).

- Click **OK** in the confirmation message.

  The incorrect record is deleted, data from it is merged into the correct record, and any linked intakes are reassigned to the correct record.

- Click **OK** on the successfully completed notification.

  Follow the preceding steps to merge Residents/Patients/Clients and Alleged Perpetrators as well.

4 View merged complainant

- Expand the **Complainants** node.

  Silas Brown no longer exists.

- Expand Silas Brown Jr.

  Note that both intakes are now listed under Silas Brown Jr.

  Open both intakes. View name change on intake previously assigned to Silas Brown.

EMTALA Complaint Against Hospital

EMTALA (Emergency Medical Treatment and Labor Act)

In this exercise, an allegation is reported to the State Agency.

The complainant says that she is the mother of the injured party. She says her son broke his arm on Sunday. She took her son to the emergency room (ER). The ER refused to see them because they are uninsured. She then took her son, who was complaining about the pain in his arm, to the emergency room of another hospital, which was 30 miles away. Afterwards, the mother sends an email to the state agency to report the event.

The intake worker locates the hospital in the ACTS tree and opens a new intake. The SA suspects an EMTALA situation and requests RO approval.

1 Open a new intake

- Open **ACTS**.
- Activate the **HOSP OPEN** selection set.
- Expand your training letter.
- Right-click any hospital and select **New Intake**.

Make note of the hospital facility you select here. We will use it again in a later scenario

For EMTALA complaints, Intake Type is always **Complaint** and Priority is always **IJ**.

2 Enter basic intake information

In the Intake tab, supply the following:

- For Intake Type select **01 Complaint**.
- For Intake Subtype select **A Federal COPs…**

- For Received by select **1 E-Mail**.
- In the Responsible Parties area, click **Add R.O.** and select the RO version of yourself (Trainee #), then click **OK**.

3 Add Complainant

- On the **Complainants** tab, enter a **Last Name** and **First Name** for the complainant, and click **Find/Add**. If the name you entered is not found, click **OK**.
- In the Enter New Complainant Search window, click **New**.
- Add address and cell phone number and click **OK** to add your complainant to the Directory.
- In the Complainant row, type **Mother** in the Relationship field and deselect **Anonymous**.

4 Complete required fields

- For the Alleged Event Information Date field, enter **yesterday's date**.
- For Source, select **06-Family**.
- For Priority, select **A - IJ**.
- For Investigate within, enter **5**.

  Do not use the Calculate button to calculate the Investigation Due By date. If the investigation is approved, ACTS enters the date 5 working days after the date of RO approval, i.e., 5 working days after the EMTALA RO Response Date on the EMTALA tab, as the Investigation Due By date. If you manually change the Due By date to a date more than 5 working days later than the EMTALA RO Response Date, the system assumes you plan to grant an extension and issues an overridable message when you leave the Intake tab, and also the Allegations and EMTALA tabs.
- Scroll down and add the note, **This looks like an EMTALA allegation.**

5 Add Allegation and Request RO Approval for an Investigation

In the real world, you would contact the mother and gather as much information as possible. This information, and reports collected from the hospital, can be added as attachments.

- Click the **EMTALA** tab.
- Click **Yes to All** to override the edit messages on the dates.
- Select the checkbox for **Create EMTALA Allegation**.

- Select the checkbox for **EMTALA Request for RO Approval**.
  - This activates the Date field so you can enter a request date.
  - Changes the complaint/incident intake Status to 2 - Pending RO Approval - if the existing Status is 1.
  - Sends an EMTALA RO Approval Requested action item message to the responsible RO staff member(s). If Status is already greater than 2, it stays the same, but an action item message is sent. If no responsible RO party has been specified for the intake, the action item message is broadcast to every RO user in the current region.
- Enter **the current date** across from Request for RO Approval.
- In the EMTALA Allegations section, select **04 Recipient Hospital Responsibilities** and **06 Treatment**.

  This automatically adds two EMTALA allegations on the Allegations tab: one with Subcategory = 04, another with Subcategory = 06.
- Select the **Allegations** tab, and then click the **Details** button for each of the allegations and enter text describing the issue.
- Click **OK** to close the intake and **OK** to confirm.
- Click **Yes to All** to override the Investigation Due By field edit.
- Close ACTS.

> This state has configured ASPEN to generate emails for action items. The Responsible RO user receives an email about the complaint and opens ACTS to evaluate. Based on a review of the information in the intake, the RO approves the investigation.

6 RO Approves the intake

- Open ACTS RO.
- Activate the **HOSP OPEN** selection set.
- Click the **Status** tab and locate the intake under **2 - Pending RO Approval | IJ,** Right-click the intake, and select **Modify Intake**.

  -or-
- On the Facilities tab in the My Action Items node, double-click the appropriate **EMTALA RO Approval Requested** message to open the intake.

- Click the **EMTALA** tab to review the information.
- Click **Yes to All** to override the message about the due date.

7 Approve Investigation

- For Type of Emergency, click **04 Trauma**.
- For EMTALA RO Response, select **01 Approved**.

  The current date is entered by default as the EMTALA RO Response Date.

  ACTS sends the EMTALA Response from RO action item to the responsible SA when applicable.

  ACTS also enters the date 5 working days from today as the Investigation Due By date on the Intake tab.

  Note: After an EMTALA RO Response is entered, SA users cannot modify information on the EMTALA tab, nor can they add or delete EMTALA allegations. However, both SA and RO users can enter allegation findings and text.

- Complete the Signature section at the bottom of the tab by entering a name for Regional Administrator/Designee.
- Click **OK** to close the intake and **OK** to confirm.
- Close ACTS RO.

The SA receives an email and an action item indicating that the RO has approved the investigation. The SA opens ACTS and schedules the survey.

8 Schedule the survey

- Open **ACTS**.

  EMTALA complaints/incidents that have been reviewed by the RO are listed under the Pending Review/Assignment node on the Status tab in the Tree view. An "E" appears on icons for EMTALA complaints/incidents.

  Note: If an EMTALA intake is for a Deemed facility, the status changes to Pending Review/Assignment only after an RO response is entered on both the EMTALA and Deemed tabs.

  In ACTS RO, on the Deemed tab you can select **01 Approved** in the RO Response field.

- Right-click the intake, then select **Modify Intake**.

- Select the **Investigation** tab.
- Click **New** to create a new survey shell.
- Enter survey **Start** and **Exit** dates using **the current date**.
- Select a **Federal** regulation set.
- In the Team Roster section, click **Update**, then select the SA version of yourself and click **OK** to add yourself to the team.

  Click **Continue with Assignment** if the scheduling warning appears.
- The Type of Survey is **A – Complaint Investig.**, and Extent(s) is **D – Other**.
- Click **OK** to close the survey; choose **Yes** to link it to the intake.

9 Conduct investigation

- With the survey selected, select **Citation Manager**.
- In the Regulations sections, locate an Emergency Services regulation set (e.g., **0092, 0200**). These vary depending on the type of facility used.
- Click and drag the regulation into the **Citations** pane.
- Click **OK** in Citation Properties.
- Click **Reg** to read the regulation text.
- Highlight the regulation text, then click and drag into the notes section, or enter some findings.
- Click **OK** to close Citations.
- Click **Done** to close Citation Manager.

10 SA completes investigation

- Generate a CMS-2567, if appropriate.
  - On the Investigation tab, with the survey selected, click **Survey Forms**.
  - Select **CMS 2567** and click **OK**.
  - Click **OK** to the customization options.
  - Review the CMS-2567 and click **File | Close**.
  - Click **Cancel** to close the Select Forms to print window.
- Enter findings on the **Allegations** tab.
  - Click the **Allegations** tab and click **Yes** to override any edits.
  - Highlight each allegation, and click **Link Deficiencies**.
  - Click the **Selected** checkbox for the regulation.

- Click **Yes** to append tag text to allegation findings.
- Click **OK**.
- Highlight each allegation (one at a time) and select **Modify**.
- For Findings, select **Substantiated**, then select **A Federal deficiencies related to alleg are cited**.
- Click **OK.**

11 Send appropriate correspondence to the complainant(s), provider, and others as needed.

- Click the **Notices** button and click **New**.
- In the Form Letters section, select **RLHL Complainant Letter**.
- In the Distributions section, double-click **Complainant**, so Letter appears in the Action column.
- Click **Preview**.
- Review the letter, then click **Save & Exit**.
- Click **Close** to exit the Notices History window.
- Go to the **Investigation** Tab.
- For Investigation Completed, enter **the current date**.
- Select the **Forwarded to RO/MSA** checkbox.
- Click **OK** to override the validation checks.

  The current date is entered by default. ACTS sends a Forwarded to RO action item to the responsible RO staff member(s), except for licensure-only and Medicaid-only providers (a message informs you of this).
- Click **OK** to close, then **OK** again to save the intake.
- Close ACTS.

The RO receives an email about the Forwarded to RO Action Item. The RO reviews the findings and confirms the violations.

12 RO reviews findings

- Open ACTS RO.
- Open the intake from tree view (Status is 6 – Forwarded to RO/CO) or by double-clicking the action item.
- Go to the **Allegations** tab.
- To review the findings, click **Find Txt** for each allegation.

13 RO confirms violation

- Go to the **EMTALA** tab.
- For RO Determination, select **01 EMTALA Violation**.
- For RO Confirmed Violation, enter **the current date**.
- Select the checkbox for the **23 day Termination Track**.

  A default date is entered when you select the checkbox. You can change the date.
- Click **OK** to close the intake, and **OK** to Save & Exit.

Death Associated with the Use of Restraints/Seclusion

You can use ACTS to record relevant reporting information for incidents of Death Associated with Restraints/Seclusion (D/R/S). ACTS evaluates intakes for Detail Upload whenever a D/R/S record is added or deleted. Although states may create D/R/S intakes for other provider types, only regional offices may create intakes on hospital facilities. Additionally, ACTS permits RO's to create only incident, not complaint, D/R/S intake records. With this limit, ACTS enforces the expected and permitted behavior dictated by the CMS policy group.

- Only RO users can add or update D/R/S records.
- D/R/S records can be created only for Federal entity-reported incidents.
- The D/R/S grid and input form are always disabled for state intakes.
- If a D/R/S record exists, you cannot change Intake Type from Incident to Complaint, or Intake Subtype from Federal to State.

SA users can still update D/R/S information on Hospital intakes created prior to ACTS 10.1.5, and view D/R/S information entered by the RO on post-ASPEN 10.1.5 Hospital intakes.

> A hospital patient has died after being placed in restraints. Although the facility staff who reported the death indicates that restraints were fully medically indicated, this situation requires special handling.

To create a Death-Restraints/Seclusion intake:

1 Create a new intake and enter basic intake information.

- Open ACTS.
- Select the **HOSP OPEN** selection set.
- Expand the node for your training letter.
- Right-click a facility whose name begins with your training letter, and click **New Intake**.
- On the Intake tab, for the Intake Type field, select **02 Entity Reported Incident**.
- For the Intake Subtype field, select **1 Federally-required, entity-reported.**
- In the Residents/Patients/Clients section, type a **Last Name** and **First Name** of the person who died (Enter any name), then click **Find/Add**.
- Click **OK** on the Not Found prompt.
- Click **New** in the Enter New Resident/Patient/Client Search window.

- Click **OK** to add the patient to the directory, and return to the Intake form.
- Enter an Admitted Date **– 06/01/2016**.
- On the Complainants tab, click the **Add Anonymous** button.

  Notice the Source information is already selected.
- In the Response information section, select **E – Non-IJ Admin Review/Offsite Investigation** as the Priority.
- On the **Allegations** tab, click **Add** to open the Allegation Input window, and for the category, select **05 Restraints/Seclusion - Death**.
- Click **OK**.

  This activates the Death Associated with the Use of Restraints/Seclusion section in ACTS RO only.
- Click **OK**, then **OK** again to save and close the intake.
- Close ACTS

2 Death Associated with the Use of Restraints / Seclusion grid

- Open ACTS RO.
- Locate the facility from step 1 and open the intake.
- To add yourself as the RO responsible party, click **Add RO**, select yourself, and click **OK**.
- Select the **Allegations** tab.
- Click in the yellow field in the Patient column and select the name of the Patient who died.
- For Death type, select **Both**.
- For the Reported date and Date of Death, enter **yesterday's date**.
- For **Date of Birth** (Hospital and PRTF only), enter any date prior to yesterday's date.

Note: For Hospitals only, you cannot finalize an intake if there is a D/R/S allegation with no record in the D/R/S grid.

3 Death Associated with the Use of Restraints /Seclusion modify window

You can modify required information except Patient name and Date of Birth in the Death Associated with the Use of Restraints/Seclusion window (next step).

- Click the **Modify** button in the applicable row to open the Death Associated with the Use of Restraints/Seclusion window to enter additional details.

  You cannot open this window until you have completed the required fields (yellow) in the Death Associated with the Use of Restraints/Seclusion grid on the Allegations tab. Depending on provider type, you can enter a number of additional details about the episode through this window–some required–such as:

  - Survey Supervisor/Scheduler
  - Restraint/Seclusion Ordered Date/Time
  - Staff Involved Trained in Use of Emergency Safety Interventions
  - Resident Evaluated Immediately After Restraint Removed/Removed from Seclusion
  - Length of Time In Restraints/Seclusion
  - Last Patient Assessment Date/Time
  - Type of Restraint
  - Reasons for Restraint/Seclusion

    You can also modify several fields shared with the grid. Patient name, Medicaid Number, and Date of Birth are read-only.

- Enter all required fields:

  - When did patient die**: 01While in Restraint, Seclusion, or Both**
  - Cause of Death: **enter anything**
  - Type of Restraint: **05 Physical**
  - Physical Restraint: **01 Side Rails**

- Click **OK** to exit the Death Associated with the Use of Restraints/Seclusion window and return to the Allegations tab.

SA/RO Responsibilities

Note: SA - For Hospitals only, to refer a Restraints/Seclusion - Death complaint/incident to the RO, select Request RO Determination in ACTS.

An action item is sent to all RO Responsible Parties assigned to the intake, or to all RO staff if no RO Responsible Parties are specified.

- RO - For Hospitals only, after you receive the action item, select the applicable RO Determination option. In this case, select **04 RO Authorized**.
  - If you select 05 RO Unauthorized, you receive a message telling you the Priority is updated to H – No Action.
  - If you select 04 RO Authorized and no SA Responsible Parties are assigned, you will receive a message telling you to notify the appropriate SA staff.
- Select the **Intake** tab and view the Responsible Parties section.

  An action item is sent to all SA Responsible Parties assigned to the intake and you were automatically assigned when you created the intake.

Note: When you create a new intake with a D/R/S allegation for a Hospital, ACTS checks, in order to minimize duplicates, if a D/R/S allegation for the same resident has already been added to another intake for the same provider within the past 365 days. If so, you will receive a message.

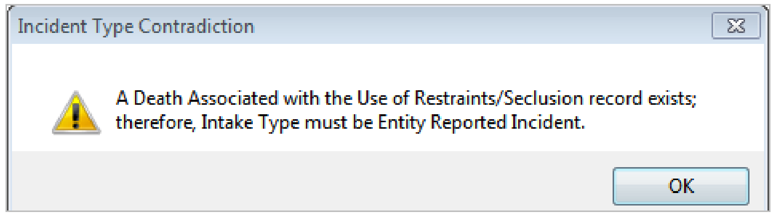
D/R/S Required Fields: Hospital

The following fields in the D/R/S grid and window must be completed for a D/R/S allegation against a Hospital, depending on Received End Date as noted.

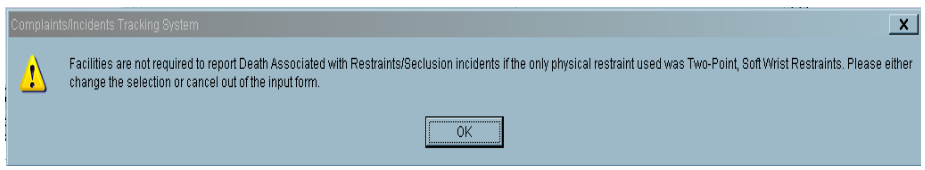
- On the Allegation tab D/R/S grid:
  - Patient name
  - Death Type
  - Reported date of death
  - Date of Death
  - Date of Birth
- In the D/R/S Modify window:
  - When did patient die
  - Cause of Death
  - Date of Death (Populated from Allegation tab)
  - Reported date of death (Populated from Allegation tab)
  - Type of Restraint if Death Type is 01 Restraint or 03 Both
  - Physical Restraint(s)—at least one if Type of Restraint is 05 Physical.
  - Drug Name – Required if type of restraint includes drugs.

Instructor Only: Demo D/R/S Edits

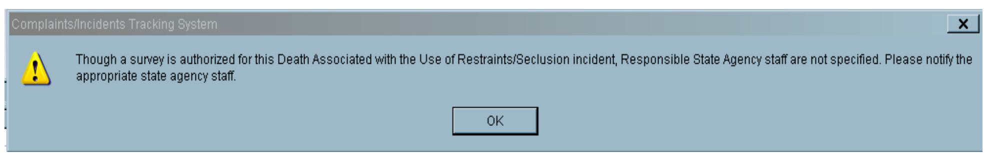
- On other D/R/S intake, attempt to create a D/R/S intake of Complaint type rather than Incident type. Also attempt to change the intake Subtype to non-federal. Edit prevents inconsistencies.



- Attempt to enter Two-Point, Soft Wrist Restraints D/R/S incident. Edit enforces new policy – differs from previous ACTS behavior due to revised CMS policy rules.



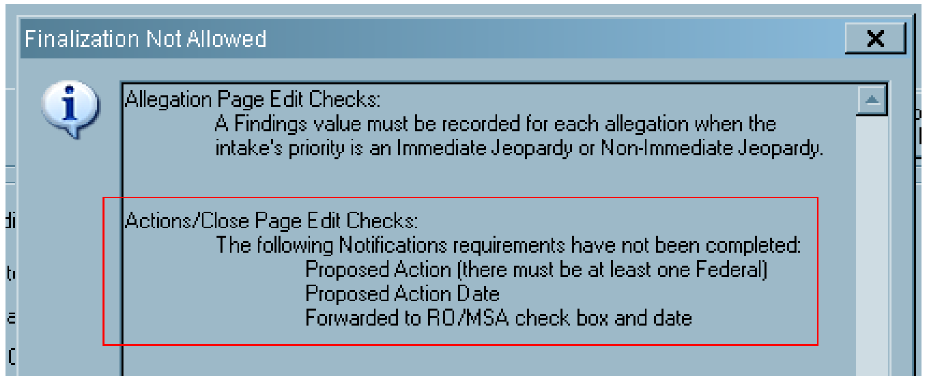
- SA Responsible Parties must be present once RO authorizes an investigation.



- If RO Authorizes an investigation (RO Determination field) on preexisting D/R/S hospital incident, finalization cannot occur until an investigation survey is present.

  D/R/S RO Determination field definition: Hospital only. If the RO Determination is 01 or 02 (pre 9.1 intakes) or 04 (post 9.1), the intake cannot be finalized unless the intake is linked to an investigation survey and has been uploaded to national.

- Finalization Edit appears:



- Refer to Required Fields and Edits section of ACTS PG for additional details on D/R/S edits.

To Delete a Restraints/Seclusion - Death allegation:

If you attempt to delete a Death Associated with the Use of Restraints/Seclusion allegation directly from the Allegations grid, you receive a message that directs you to the Death Associated with the Use of Restraints/Seclusion section.

On the intake Allegations tab:

- Click **Delete** in the appropriate row in the Death Associated with the Use of Restraints/Seclusion section.
- Click **Yes** to the confirmation message.
- Select the allegation in the Allegations grid and click the **Delete** button.
- Click **Yes** to the confirmation message.

Refer a Complaint/Incident

The SA/RO can refer a complaint/incident to an outside agency when an investigation is not needed, or during an investigation. When a complaint/incident is referred during an investigation, the SA may request a report of the investigation results.

Whether or not there is an investigation, and regardless of who conducts the investigation, the SA remains responsible for assessing compliance with Federal conditions and requirements.

ACTS contains referral-related priority values. For a non-CLIA complaint/incident, priority can be Referral – Immediately, or Referral - Other. For a CLIA complaint, priority can be Non-CLIA Referral.

- Referral - Immediately is assigned if the seriousness of the complaint/incident requires immediate referral to another agency, board, or ESRD network for investigation.
- Referral - Other, or for CLIA, Non-CLIA Referral is assigned when referring to another agency, board, or ESRD network for investigation or informational purposes.

At times, a complaint/incident may be dually investigated not only by the SA or RO, but also by an outside agency to which it is referred. In this case, the priority may be set to both the appropriate referral value and the pertinent IJ or Non-IJ value.

Refer a Complaint/Incident to Another Agency

The SA or RO can refer a complaint or incident at the outset when an investigation or further action on the part of the SA or RO is not warranted, or at any time during an investigation. In either case, the SA must ensure compliance with Federal conditions and requirements.

To refer a complaint or incident:

1 Locate your Hospital

- Open **ACTS**.
- Expand My Selections, then right-click **HOSP OPEN** and select **Activate**.
- Click **Find** above the Tree view to open the Find window.
- In the Search field, enter all or part of the facility/provider name **<A> Referral Hospital**, where A is your training letter.
- Select **Search By Name**.
- Click **Find Now**.
- In Search Results, double-click on your facility name.

  This takes you to the facility in Tree view.

2 Change Priority

- Expand the facility, right-click the intake, and select **Modify Intake**.
- On the Intake tab, for Priority, select **Referral Other**.

  Priority can be changed on the Intake, Allegations, or Deemed/RO Approval tab (if applicable) of the intake.

  Only authorized users can set Priority.

3 Upload

- If the intake is linked to an investigation, upload the data. In this case, the intake is not linked to an investigation so you can skip this step.
- Click **OK**, and **OK** again to save and exit.

Add a Referral Record

When you refer a complaint/incident, you create a record of the referral on the Contact/Refer tab of the intake. The SA, RO, and CO can all add referral records as needed.

To add a referral record:

4 Add Referral

- Expand **<A> Referral Hospital**, right-click the intake, and click **Modify Intake**.
- Go to the **Contact/Refer** tab.
- Under the Referral Details section, click **Add**.

5 Select Referral Agency

- In the Select Agency for Referral window, click **The Joint Commission**, and then click **Select**.

  The selected agency is added to the Referral Details grid.

  ACTS adds the agency to the Distribution List for the referred complaint/incident so you can generate and track correspondence with the agency regarding the complaint/incident.

  Tip: To add new agencies to the list in the Select Agency for Referral window, go to System | Lookup Tables | Agency Maintenance.

6 Referral Details

- To enter dates related to the referral, click in the date fields and select the date.

  The background color of the date fields is white if an SA user adds the referral record, blue if RO, orange if CO.

- Click **OK**, then **OK** on the confirmation window to save/close the complaint/incident.

7 Manage referral (Optional)

There are several tools available in ACTS, which allow you to generate and track correspondence related to the referred complaint/incident.

- Expand your facility, right click the intake, and click **Modify Intake**.

Send a letter to the referral agency:

- Click the **Notices** button at the bottom of the Intake window.
- In the Letter History section, click **New**.
- Select **Show All**.
- In the Form Letter list, select **Referral - Outside Agency**
- In the Distributions list, double-click **Agency Referral** to designate them as the letter recipient.
- Click **Preview** to view the letter.
- Select **Save & Exit**.
- **Close** Notices History.

To keep a record of any notifications about the referral:

- Click the **Notes** button at the bottom of the Intake window.

  Any notes from the intake are included, and the Word processor pane allows you to keep an ongoing record of any correspondence.

- Click **OK** to close the Notes window.
- Click **OK** to close the Intake, and **OK** again to save an exit.

Tip: When appropriate, create and assign an Action Item to request a report from the referral agency on the progress/results of the investigation.

- Print the **Agency Referral Summary Report**, which provides information for each agency on referral.
  - In ACTS, click **Reports**, then select **Agency Referral Summary Report**.
  - In the Report Customization window, either select a preselected timeframe from the Date field, or enter Start and End dates for the report.
  - You can also filter the report with multiple filter sections to generate a more specific report. The Provider Type filter enables providers based on the active ACTS Selection Set, however the other filter sections have all options enabled by default.

Note: In the Provider filter section, click **Select Provider for Report Filter** to specify a facility. When you activate this filter, the Provider Type filter is unavailable.

  - Click **OK** to generate the report, and review it.
- Close the report, then close ACTS.

Enforcement

HHA Enforcement Process

The State Agency has performed a survey that finds Condition of Participation (CoP) tags out of compliance. They notify the State Agency enforcement team of their findings. The enforcement team determines that an enforcement case should be started for the facility.

STEP 1: The State enforcement team creates the enforcement case and enters the appropriate information including Federal Status, Case Workers, and State Case Notes.

1 Create enforcement case

- Open **ACO**.
- Activate the **HHA OPEN** selection set.
- Select the **Enforcement** tab at the bottom.
- Locate your facility **<A> HHA Enforcement**, where A is your training letter.
- Right-click your facility and select **New Enforcement**.

  The Begin Enforcement Cycle window opens.
- Select the survey that is initiating the case, Exit Date = **03/03/2016**.
- Click **OK**.

  The enforcement case opens.

2 Note Header Info

Note the header information at this point:

- No IJ
- 90 Calendar Days and 6 Calendar Months are automatically set according to the survey exit date.

3 Enter Case Basics Info

The Federal Status is automatically set to **Open- Active**.

- Add two SA case workers:
  - In the Case Worker section, click the **Add** button.
  - Click the dropdown arrow and select the SA version of yourself.
  - Click **OK**.
  - Add another SA case worker – select anyone.

  Note: Only one case worker can be the primary case worker, and will receive the automatic action items.

- In the State Case Notes section, type "**State is proposing a CMP in the amount of $1000**."
- Notify RO:
  - Click the **Set Date** button to the right of the Initial Transfer to RO Needed? field.

    The Define Activity window opens with the Type as **23 Case Sent to RO**.
  - Enter a Sent Date of **03/05/2016**.
  - Select **Add R.O**.
  - Select the RO version of yourself and click **OK**.
- Click **OK** to close Define Activity.

4 Surveys & IDR

- Select the **Surveys & IDR** tab and review the entered information.
- For the 03/03/2016 survey, click in the **2567 Issued** column and enter **03/03/2016**. (This date may have auto-populated).

5 Review Sanctions

- Select the **Sanctions** tab.

  AEM automatically adds Termination at 90 Days with a Pending status.

6 SA proposes CMP

- Select the **CMP** tab.
- In the Civil Money Penalties section, on the Per Instance tab, select **New**.

  The Per Instance CMP window opens.

- Enter the following:
  - Survey Date: Select **03/03/2016**
  - Related Citation: Click **Choose**, select tag **0100**, and click **OK**.
  - Instance Date: **03/02/2016**
  - Recommended Amount: **1000.00**
- Click **OK**.

7 Initiate upload

- Select the **Upload** tab.
- Click **Prevalidate and Upload**.
- Click **Yes** to the verification message.
- Click **OK** to the confirmation message.

  Screen says Upload Transaction Pending.
- Click **Save & Exit**.
- Close ACO.

> STEP 2: The case uploads tonight. The next day the RO reviews the case and adds themselves as case worker on the Case Basics tab.

8 Open Case

- Open **ARO**.
- Activate the **HHA OPEN** selection set.
- Select the **Enforcement** tab.
- Expand your facility name.
- Right-click the enforcement case and select **Modify Enforcement**.

9 RO adds themselves to case

- In the Case Worker section, click **Add**.
- Select the RO version of yourself and click **OK**.

> The RO reviews the evidence and decides to impose the Civil Money Penalty (CMP). They send the facility a Notice of Imposition and Appeal Rights.

10 Impose CMP

- Click the **CMP** tab.
- On the Per Instance tab, click **Modify**.
- Enter the following:
  - Amount Per Instance: **$1000.00**
  - CMP in Effect: **Yes**
- Click **OK**.
- In the **Case CMP Detail** section:
  - Enter Referred to DOJ: **03/05/2016**
  - Enter DOJ Response Due: **03/12/2016**
- Click **Save & Exit** to update the case.

11 Send notice to agency

In the Detail for highlighted CMP section, you can enter the Imposition Notice Date, or click the Letter icon to create the notice of imposition and appeal rights, which automatically enters the Imposition Notice Date. In this case, we'll create the notice.

- Right-click and select **Modify Enforcement** to reopen the case.
- Select the **CMP** tab.
- Click the **Letter** icon next to the Imposition Notice Date field.

  The Select Letters and Distribution Lists window opens.
- Select the **CMP Impose Letter**.
- For Survey, select **03/03/2016**.
- For Sent Date, select **03/07/2016**.
- Click the **Edit/Preview** button. Click **Yes** If you receive a letter sent date warning.
- Review the letter and click **Save & Exit**.

  The Notice Detail window opens.
- For Method, select **Certified Mail**.
- Enter any number for the Tracking #.
- Click the **Appeals Rights Based on this notice** checkbox.
- To summarize what was sent in letter, click **Choose Contents**.
- Select **Appeal Rights** and **CMP – Intend to Impose**.

- Click **OK**.
- Click **OK** again to save details.

  Notice the Imposition Notice Date is automatically filled in with the sent date of the letter and the Appeal/Appeal Waiver Due date is calculated.

12 Change Sanction

Since an alternative sanction CMP is being imposed, Termination at 90 Days needs to be changed to Termination at 6 Months.

- Select the **Sanctions** tab.
- Select the **Termination at 90 Days** sanction and click **Modify**.
- Change Sanction to **Termination at 6 Months**.
- Change the State Recommended Effective Date and the Effective Date to 6 months – enter **09/03/2016** for both.
- Click **OK**.
- Click **Save & Exit** to close the case.

> STEP 3: A week later, the RO receives notice that the HHA has decided to appeal the findings and the CMP. The RO enters the appeal information and the hearing is scheduled one month later.

13 Enter Hearing/Appeal

- Locate the enforcement case.
- Right-click and select **Modify Enforcement**.
- Select the **Hearing/Appeal** tab.
- Click **New**.
- Enter the following:
  - Medicare/Medicaid/Licensure: **Medicare**
  - Initial Hearing Request Received by: **DAB**
  - Acknowledged to Facility: **03/14/2016**
  - Date Initial Hearing Request Received: **03/14/2016**
  - Related Notification Letter: Select the **CMP Impose Letter** that gave them the appeal rights.

    This option is not available if you did not enable the **Appeals Rights Based on this notice** checkbox in Step 11.

14 Record what they are appealing

They are appealing the findings and the CMP.

- In the Appealed Surveys section, click **Add Survey**.
- Select the 03/03/2016 survey and click **OK**.
- Scroll right and click in the **Choose Appealed Citations** column.
- Select the **0100** citation and click **OK**.
- In Select Applicable Sanctions, select **07 Civil Money Penalty** to record that they are appealing the CMP.

15 Enter Appeal info

- In the Appeals section, click **Add Appeal**.

  The Appeal To window opens.
- Enter the following:
  - Appealed To: **Federal ALJ**
  - Appealed by: **Facility**
  - Appeal Date: **03/13/2016**
  - Click **OK**
- Click **OK** to close the Hearing/Appeal window.
- **Save & Exit** to close case.
- Close ARO.

> STEP 4: Three days later the survey team performs the revisit and the facility has corrected the deficiencies. The survey team enters the correction dates. AEM automatically adds the revisit to the enforcement case and calculates substantial compliance. The RO receives an action item that substantial compliance was calculated, reviews the case, and changes the Case Status to Open-Hearing/CMP Collection.

16 Survey team performs revisit

- Open **ACO**.
- Expand the facility, and expand the Surveys node.
- Right-click the 03/03/2016 survey and select **Create Followup Survey**.
- Change the Start and Exit dates to **03/17/2016**.

- Click **OK**.
- Click **Yes** on the Outside Date Range notification.
- Click **Yes** on the Administrator Sign Off confirmation.
- Expand the revisit survey.

  Citations are listed beneath the survey.
- Right-click one of the citations.
- Select **Correction Dates | All Citations**.
- Enter **03/17/2016** and click **OK**.

  AEM Automatically adds the revisit to the enforcement case and calculates the Substantial Compliance Date.
- Close ACO.

17 RO reviews case

- Open **ARO**.
- Select the **Enforcement** tab, and locate and expand the enforcement case.

  Notice both the initial and follow-up surveys are linked to the enforcement case.
- Right-click the case and select **Modify Enforcement**.
- On the **Case Basics** tab:

  Note that the Substantial Compliance Date is calculated.

  Activities show that Substantial Compliance Achieved action items were sent to RO and SA case workers.
- Select **Surveys & IDR** tab:

  Revisit survey is added to case.
- Select **Citations: All Surveys** tab.

  Scroll right to see that Corrected dates are entered.

The HHA is in compliance now. The RO is just waiting for the appeal and possible collection of the CMP. The RO changes the Federal Status of the case.

- Select the **Case Basics** tab.
- Change Federal Status from Open-Active to **Open-Hearing/CMP Collection**.
- **Save & Exit** the case.

STEP 5: One month later, the RO is notified that the hearing occurred and the decision to impose a $1000.00 CMP changed to $500.00 by the Federal Administrative Law Judge (ALJ). The RO records the change in CMP amount, creates the Civil Money Penalty Tracking System (CMPTS) case, sends the collection notice, and changes the case status to Open-CMP Collection.

18 RO updates hearing details

- In ARO, right-click the enforcement case, and select **Modify Enforcement**.
- Select the **Hearing/Appeal** tab.
- Click **Modify** to update Hearing information.
- In Federal ALJ Hearing Details, enter:
  - Government Attorney: select any name
  - Docket/Case Number: enter a number
  - Begin Date: **04/11/2016**
  - Outcome: **05 Sanction Change**
  - Final Decision Date: **04/11/2016**
- Select **OK**.

19 Adjust CMP amount

- Select **CMP** tab.
- In the Detail for highlighted CMP section, scroll down to Hearing Order/Settlement section.
- Select the checkbox for **Hearing/Settlement Finalized**.
- In Hearing Order/Settlement, enter **500.00**.

  The Amt. Due under Case CMP Detail and Total Amount Due in the CMP Payment Status section both change automatically.

20 Create CMPTS case

In order for the Office of Financial Management (OFM) to track and record payments for the case, a CMPTS case is created.

- Click the **CMPTS Detail** button.
- Click **Generate CMPTS #**.

  This is the number OFM uses to track the case.

- Complete the required (yellow) fields – enter any name and phone number.
- Select **Installments & Payments**.
- In the Installments section, enter the following:

  Proposed # of Installments: **1**

  Proposed Installment Amount: **500.00**
- Record when to expect the payment:
  - Select **New**.
  - For Payment Due Date, enter **05/11/2016**.
  - Click **OK**.
- Upload the CMPTS case details:
  - Select the **Upload** tab.
  - Click **Prevalidate & Upload**.
  - Click **Yes** to the confirmation message.
- Click **OK**.

  Upload Transaction Pending appears.

  Note: Upload tabs in AEM and CMPTS are two distinct upload functions. One uploads AEM details and the other uploads the CMPTS details. Both uploads are necessary.
- Click **OK**, then **OK** again to save and exit the CMPTS case.

21 RO changes Federal Status

The RO is no longer waiting for the hearing, just the CMP collection.

- Go back to the **Case Basics** tab.
- Change Federal Status to **Open-CMP Collection**.
- Click **Save & Exit**.

STEP 6: Two weeks later, OFM collects the CMP payment from the facility.

INSTRUCTOR ONLY:

22 OFM enters payment

When OFM opens the case, they see only a CMPTS case list.

- Change Fiscal Year to 2016 to locate the case.
- Locate the case number.
- Highlight the case and click **Modify**.

- Select the **Installments & Payments** tab.
- For the entered installment, select **Modify**.
- Enter the check information:
  - Check #: **123**
  - Deposit Ticket #: **456**
  - Medicaid Amount: **185.00**
  - Total Medicare Amount Retained: **315.00**
  - Payment Collection Date: **05/05/2016**
  - Report Receipt #: **6889**
- Click **OK**.

Note: The Medicare/Medicaid portions are determined by CMS. It is not based on census information.

- Click **OK** to close CMPTS detail and **OK** to close the CMPTS List.

23 RO closes the case

- Open **ARO**.
- Open the enforcement case.
- Select the **CMP** tab.
- Verify that payment was recorded; Payment Status is now **Paid-Closed**.
- On the Case Basics tab, change Federal Status to **Closed**.

  Notice the alert that appears stating the case cannot be closed, because there is a Federal CMP that has not been paid in full.

  AEM checks the case before closing and finds that there is an open sanction. Termination at 6 Months is still pending. In this case, the facility came back into compliance.
- On the Sanctions tab, for the Termination at 6 Months sanction, change the In Effect field to **No**.
- Select Reason Not In Effect: **RO changed its own decision**
- Click **OK.**

  Federal Status changes to Closed and Closed Date is entered.

Facilitating Communications

- Within State Agencies
- Between State Agencies and Regional Offices
- Between Regional Offices and CMS Central Office

Action items: Communicate between CO/RO/SA

ASPEN's Action Items enable the smooth communication of important complaint, enforcement, and certification activities between State Agencies and Regional Office and Central Office staff.

Though they access the information through different doorways or views, all ASPEN users have immediate access to the same core facility, survey, complaint, and certification information. As key pieces of workflow information are entered in ASPEN by one user, other users, even users in other agencies or offices, have access to that same information.

ASPEN's Action Items facilitate communication between different users and agencies when key data elements are entered, status points are reached or activities are accomplished.

The following exercise illustrates how ASPEN can facilitate communication between agencies without requiring the use of any outside software, telephones, or fax machines.

1 In ACTS SA mode: Open an Intake

- Double-click the **ACTS** icon on your desktop.
- Confirm that your My Selection filter is set to **HOSP OPEN**.
- Locate your assigned training letter in the Facility tree and expand it.
- Right-click **<A> Deemed New AO**, where A is your training letter, and select **New Intake**.

2 Enter intake Assignment information

- In the Intake Type field, select **01 Complaint**.
- In the Intake Subtype field, select **A Federal COPs, CFCs, RFP, EMTALA, CLIA**.

3 Enter Responsible Party information

- In the Responsible Parties section, click **Add R.O**.
- In the select RO Member window, select your neighbor's (to the right) RO user name from the dropdown list and click **OK**.

  You are already added as the SA Responsible Party.

4 Add Complainant and required fields

- On the **Complainant** tab, click the **Add Anonymous** button to add an anonymous complainant.
- Enter all other Required fields (yellow) on the Intake tab
  - In the Source section, select **05 – Anonymous**.
  - In the Response Information section, select **D – Non-IJ Low**. When you select a response priority, the Date fields below become required.
  - Investigate within – **10**
  - Click **Calculate**, and then click **Working Days**. The Investigation Due By field populates automatically.

5 Add an allegation

- Go to the **Allegations** tab.
- Click **Add** to enter a new allegation.
- Select **11 Quality of Care/Treatment** as the Category.
- Click **OK** to save.

6 Complete the Deemed tab

- Go to the **Deemed** tab.
- If the Deemed for Medicare Participation check box is unchecked, select it now.
- Enter the Date of Last AO Survey – **06/01/2016**
- Check the **Request for RO Approval** checkbox.

  This action automatically sends an action item to any responsible RO parties.

- On the Conditions of Participation grid, check **485.62 Number of Beds and Length of Stay** or any available condition.

  Depending on the type of hospital you selected, the Conditions of Participation selections may be different.

7 Write things down

- Note the Intake ID of your neighbor's complaint, for which you are the responsible RO, then click **OK** to save your complaint.
- Close ACTS.

Now it's time to see what the RO user sees.

8 Open ACTS RO

- Click the **ACTS RO** icon on your desktop to open it.
- Confirm that your My Selection filter is set to **HOSP Open**.
- Confirm that your Action Item filter is set to **OPEN 30 DAYS**.

9 Check action items

- Look in your Action Item list. You should see a **Request RO Approval** action item for the complaint your neighbor created and on which you are assigned as the Responsible RO.

10 Review the intake

- Double click on that action item to open the intake.

  Notice that as an RO user, you can now see all of the information that the SA user logged for the complaint on the Intake tab and the Allegations tab.
- Go to the **Deemed** tab.

  As an RO user, you can quickly add or remove conditions for the investigation, approve or disapprove an investigation, and log any comments you'd like to communicate to the SA.
- In the Signature section, select **Approved** in the RO Response drop-down list. Enter your name as the Regional Representative, and enter a quick comment.

  This generates an action item to the S.A. Responsible Party in ACTS with RO Response - Approved.

11 Save and exit the intake

- Click **OK**, the **OK** again to save the complaint.

  Note that the **Request RO Approval** action item has been automatically closed by ACTS! (This takes a few minutes)

  It is removed from your list of action items because your active action item filter is configured to show only open items. To see that the status of the action item changed to Closed, you can temporarily change the properties of your active action item filter to include closed action items.

12 Close ACTS RO

- Close ACTS-RO.

> Now the SA receives an action item indicating that the RO has responded.

13 Open ACTS

- Click the **ACTS** icon on your desktop to open ACTS in SA mode.

14 Review the intake

- Look in your Action Item list. You should see a Response from RO action item for your complaint, indicating that an RO user (your neighbor) has responded to your prior request for RO Approval.
- Double-click this action item.
- Go to the **Deemed** tab and you can quickly determine whether or not the RO has approved an investigation for this complaint.

  The RO decision is listed in the RO Response column of the action item grid.
- Click **OK**, then **OK** again to save and close the complaint.

15 Close ACTS

- Close ACTS.

Activities/Notices: Communication between SA/RO/CO

ACTS and AEM provide Activities sections that facilitate quick communication of key milestones in the lifecycle of a complaint or enforcement case. As key activities are logged in ASPEN by one user, other users or groups of users, even users in other agencies or offices, have access to that same information. Action Items related to these activities also facilitate communication between different users and agencies when key data elements are entered, status points are reached or activities are accomplished.

Additionally, ASPEN provides the ability to create and store draft letters for later review by personnel within a State Agency or Regional Office or between State Agency and Regional Office users.

These exercises illustrate how ASPEN supports communication of work activities and letter drafts between agencies.

1 Open ACTS

- Click the **ACTS** icon on your desktop to open ACTS in SA mode.
- Confirm that your My Selection filter is set to **NH Open**.
- Confirm that your active My Action Item filter is **OPEN 30 DAYS**.

2 Locate and open the intake

- Expand the node for your assigned training letter.
- Locate and expand **<A> Communications NH**.
- Right-click the complaint intake and select **Modify Intake**.

3 Create an activity

- Go to the **Activities** tab.
- Click **Add** to add an activity.

4 Add activity information

- In the Define Activity window, enter:
  - Type: **08 Schedule Onsite Visit**
  - Sent: **Today's date**
  - Due: **one week from today**

5 Assign activity

- Click **Add S.A.**, select yourself, and click **OK**.
- Enter Comments, if desired.
- Click **OK** to save the activity.
- Click **OK**, and **OK** again to exit the intake.

6 Run Outstanding Activities report

You can run a report to check on incomplete activities:

- From the ACTS Reports menu, select **Outstanding Activities**.
- Click **OK** on the Report Customization screen, accepting default values.

  The Schedule Onsite Visit activity appears in the report
- Close the report.

7 View activity

The activity is added to your action items. To see it:

- Click the **My Action Items** node to check your action item list.

8 Close the activity

- Double-click the action item to open the intake.
- Go to the **Activities** tab, highlight the activity and click **Modify**.
- Enter **today's date** for the Completed date, and click **OK**.
- Click **OK**, and **OK** again to exit the intake.

  Note the action item has been automatically closed and removed from your open action item list.

AEM has similar activity functionality:

1 Open ACO

- Click the **ACO** icon on your desktop to open ACO in SA mode.
- Confirm that your My Selection filter is set to **NH Open**.

2 Go to AEM

- Click the **Enforcement** tab.
- Locate and expand your assigned training letter.

3 Open an enforcement case

- Locate **<A> Communications NH** and expand it.
- Modify the open AEM case (dated January 2016) by right-clicking it and selecting **Modify Enforcement**.

4 Generate a letter

- Go to the **Notices** tab.
- Generate a new letter by clicking **Create Notice/Letter**, then click **New** to create a letter.
- Select a letter (any letter will do for this exercise), then click **Edit/Preview**.
- Click **OK** through any custom text prompts.
- On the letter preview screen, click **Save & Exit** to save the letter without printing it.
- Click **Close** to close the Notices History window.
- Click **Choose Contents** and check some of the content options. Letter Contents are required for AEM letters.
- Click **OK** to return to the AEM Notices tab.

5 Add an activity

- Click **Add Action Item**.
- Complete the Define Activity form, entering the following:
  - Type: **19 Send Notice**
  - Sent: **Today's date**
  - Due: **one week from today**
- Click **Add R.O.**, select your neighbor's name from the dropdown list, and click **OK**.

- Enter comments, if you wish.
- Click **OK** to save the activity and return to the case.

6 Check your activity and close the case

- Go to the **Case Basics** tab.
- In the Activities section, notice that a record of your Action Item/Activity has been created.
- Click **Save & Exit** to close the AEM case.

7 Exit ACO

- Exit ACO.

Now the RO receives the action item/activity.

8 Open ARO

- Click the **ARO** icon on your desktop.
- Confirm that your My Selection filter is set to **NH Open**.
- Confirm that your Action Item filter is set to **OPEN 30 DAYS.**

9 Check action items and enforcement case

- Click the **Enforcement** tab.
- Look in your Action Item list. You should see a **19-SEND NOTICE FOR ENFORCEMENT CASE** action item for the AEM activity your neighbor assigned to you.
- Double-click the action item to open the related enforcement case, or open the enforcement case from tree view.
- Click **OK** to the prompt about the Initial Transfer to RO field.
- Click **OK** on the Transfer to RO notice.

  Notice that as an RO user, you can now see the information the SA user logged for the enforcement case, this will include the draft letter.

10 Review draft letter

- Go to the **Notices** tab.
- Click **Create Notice/Letter**.

- Highlight the letter and click **View/Print**.

  Note that you now have access to review and edit the letter. Printing is also available but, for this exercise, do not print the letter.
- Modify the letter text in some way.
- Click **Save & Exit**.
- In the Save dialog, select **Update** to store your revised letter text for this case.
- Click **Close** to return to the Notices tab.
- Click **Save & Exit** to close the enforcement case.

11 Close ARO.

- Close ARO.

ASPEN Notes to Communicate between SA/RO/CO

Notes

ASPEN modules provide many different notes areas that may help facilitate communication within and between involved agencies. Since all user groups, SA, RO, and CO, share different views into the same data repository, notes entered by one user group can be viewed immediately by another.

- Conflict of Interest notes can be added if a staff member has a conflict of interest with a particular facility.
- POC notes can be added to a cert kit or an intake for non-*e*POC facilities.
- And Survey IDR notes can be added to an IDR record.

1 In ACTS SA mode: Open an Intake

- Click the **ACTS** icon on your desktop.
- Activate the **HOSP OPEN** selection filter.
- Locate the hospital facility you used in the action item exercise and expand it.
- Right-click on the intake created earlier and select **Modify Intake**.

2 Enter Intake Notes

- Scroll down and click **Insert Questions into Notes**.
- Click the **Notes** button at the bottom of the intake.

  Notice the questions are inserted into the notes.
- Scroll down to see them. Enter a few notes at the top of the notes and delete extra lines to move the questions higher on the page.
- Click **OK** to save the notes.

  Notice that the comments you entered are shown in the Notes field displayed on the Intake sheet.

3 Save the intake

- Click **OK** twice to save and exit the intake.

4 Exit ACTS

- Close ACTS

Now it's time to see what the RO user sees.

5 In ACTS RO mode: Open an Intake

- Click the **ACTS-RO** icon on your desktop.
- Activate the **HOSP OPEN** selection filter.
- Locate the same hospital facility you used in step one, and expand it.
- Right-click on the intake created earlier and select **Modify Intake**.

6 View SA Notes

- Click the **Notes** button.

  Notice the notes entered by the SA.
- Click **Cancel** and **Yes** to exit the notes.

7 Enter RO Notes

- Enter notes into the **RO Notes** field.

  Note that the CO can also enter notes for the intake.

8 Save Intake and exit ACTS-RO

- Click **OK** twice to save and exit the intake.
- Close ACTS-RO.

Investigation Notes can also be entered into an intake.

9 In ACTS SA mode: Open an Intake

- Click the **ACTS** icon on your desktop.
- Locate the same hospital you've been using, and expand it.
- Right-click on the intake created earlier and select **Modify Intake**.

10 Add Investigation Notes

- Click on the **Investigation** tab.
- Click the **View Investigation Notes** button.
- Enter comments related to the survey.
- Click **OK** to save the notes.

11 Save the intake and exit ACTS

- Click **OK** twice to save and exit the intake.
- Close ACTS.

> AEM has similar notes functionality.

1 In AEM mode: Open an enforcement case

- Click the **ACO** icon on your desktop.
- Click on the **Enforcement** tab.
- Verify selection set is **NH OPEN**.
- Locate **<A> Communications NH** and expand it.
- Right click on the enforcement case and select **Modify Enforcement**.
- If a Transfer to RO notice appears, click **OK**.

2 Add State Case Notes

- Click the **Notes** button.
- In the State Case Notes section, enter enforcement related notes.

  Notice that since we're in ACO, the RO Case Notes section is read-only.
- Click **OK** to save the notes.

3 Save the case and exit ACO.

- Click **Save & Exit** to close the enforcement case.
- Close ACO.

Now the RO can enter RO case notes.

4 In AEM in RO mode: Open an enforcement case

- Click the **ARO** icon on your desktop.
- Click on the **Enforcement** tab.
- Locate your assigned training letter in the Facility tree and expand it.
- Expand **<A>Communications NH**.
- Right-click on the enforcement case and select **Modify Enforcement**.
- If a Transfer to RO notice appears, click **OK**.

5 View State Case Notes and Enter RO Notes

- Click the **Notes** button.

  Notice the State notes entered. As with RO notes in ACO, the State Case Notes section is read-only in ARO.
- Enter RO notes.
- Click **OK** to save the notes.

6 Save the case and exit ARO.

- Click **Save & Exit** to close the enforcement case.
- Close ARO.

ACO also has notes functionality.

1 In ACO mode: Open Facility Properties

- Click the **ACO** icon on your desktop.
- Locate **<A> Communications NH**.
- Right-click on your facility and select **Facility Properties**.

2 Enter facility notes

- Click the **Notes** button.
- Enter facility-related notes.
- Click **OK** to save the notes.

3 Exit Facility Properties

- Click **OK** to exit facility properties.

4 Open the cert kit.

- Right click on the facility and select **Create Certification**.
- Click **Yes** on the current certification kit is active notice.

5 Add Notes

- Click the **Notes** button.

  Notice the facility related notes you entered in the Facility Properties window appear here. Notes entered here appear in the facility notes section as well.
- Enter comments related to the cert kit.
- Click **OK** to save the notes.

6 Save the cert kit

- Click **Done** to save and exit the cert kit.

  Note that these comments can be viewed by RO and CO staff.
- Click **No** to the Define a starting survey question.

Reports

How to Access

Report Information

Beginning with ACTS, and including AEM and AST, a large number of ASPEN reports provide powerful customization features so you can quickly create reports that focus on the information you need to know. These reports are based on the expansive amount of information you already enter in ASPEN. Multiple filters can narrow the detail of your report to highly specified requirements. Report criteria you specify can be saved and used again.

Running a report does not alter the data in ASPEN, but rather offers a way to review specific information more efficiently. Reports can be a useful tool for example, when monitoring and using complaint data already captured.

Report features are tailored to the application. You can filter ACTS reports by Intake Status, for instance, while in AEM you can filter by Case Type.

ACTS Report Customization

Defaults

When you open the ACTS report customization window, the filter choices (boxes that are checked) default to the selections that are currently active in My Selections, where possible.

Settings

Once you have report filter criteria set to your satisfaction, you can use the Report Settings section to name the format you created and save its settings for later use on this report or others. The report date range is not saved with custom formats.

When you pull up a stored format to run a report, you can change the settings as needed, but the new settings will not be saved. Any changes you make to a format have to be saved under a new name, or the same name can be re-entered and re-saved.

Basic Options

ACTS Report Date and Group by Selections

Field	Description
Report Date	Specify a date range for the report.
Base time frame on	Choose either the Received End Date of the intakes or the Exit Date of the surveys to use as the report date range. For the Investigation Log and some timeliness reports, you have the option of intake Closed date.
Group by	This option is available only for Complaint/Incident Investigation Log, Incidents Resulting in Deficiencies Detail, Intakes without Scheduled Surveys, and Substantiated Complaints Details reports. You can group results by Provider, Provider Type, or Responsible Team.

Field	Description
Sort By	This list appears for applicable reports. Sort options include a subset of the following, depending on the report: Due Date, Provider Name, Provider Number, Intake Number, Received End Date, Exit Date.
Print Report Definitions	Select this checkbox to generate a separate page at the end of the report that provides a detailed list of the filter settings you select in this window. A condensed list of filters appears in the footer of the report whether or not this checkbox is selected. Due to the many filtering options, the list may be truncated.

Create a Custom ACTS Report

We will set criteria for a Federal Investigation Timeframe report. This report shows timeframes for survey investigations after the intake is received.

Print report

- Open **ACTS**.
- Activate the **NH OPEN** selection set.
- Select **Reports | Federal Only | Federal Investigation Timeframe Reports | Long Term Care | Non-IJ High**.
- For Date Range, select the **Last Calendar Year**.
- Beneath the Report Title field, locate **Sort By**, and check that **Provider Name** is selected.

Note: When you use the scroll wheel on the mouse, it scrolls in the active field!

- Scroll down to view the **Allegation Type** section.
- To print this report for intakes with only Dietary Service allegations, click **De-Select All**.
- Click the **Dietary Services** checkbox.

Accept the defaults for the rest of the report. Notice the Provider Type section only has Nursing Home facility types enabled, and is read-only. This is because our active selection set is NH OPEN. In certain reports, this filter is still available for configuration.

- Scroll back to the top of the customization screen.
- In the Report Title field, type a unique name for your report.

- In the Report Settings section, select the checkbox for **Save Settings as**.

  The field to the right becomes enabled so that you can enter a file name for saving the report settings. The **Public (*)** field is also enabled. You can select this option to make a specific report configuration available to other users.

- Type **<A> Dietary Investigations**, where <A> is your training letter.
- Click **OK** to generate the report.

  ACTS gathers the data for the report, and presents it in the preview window.

  From here, you can print or export the report, as needed. We are not going to do either in the class.

  By default, Print Report Definitions is selected for this report. Go to the last page of the report to see the definitions.

- After reviewing your report, select **File | Close.**
- Click **Reports** to reopen the Reports list, then select **Federal Only | Federal Investigation Timeframe Reports | Long Term Care | Non-IJ High**.
- In the Report Settings section, expand the Name of Stored Settings field, and select **<A> Dietary Investigations**, where A is your training letter.

  The same filter options you used before are enabled/disabled. You can customize the filter options again, but you must save the new configuration with a different name for it to be available next time.

- Close the report customization screen.

> Now, we will set criteria for a Timeliness report, which has a secondary customization window.

Secondary Customization Window

The Timeliness report shows intakes that exceed the user-specified interval for one of eight resolution actions: Triage, Acknowledgement, Investigation, Post-Survey Contact, RO Action, SOD Issuance, and both Received and Forward to Closure. The SOD Issuance and Forward to Closure actions are new in ASPEN 10.2.

Print report

- Open **ACTS.**
- Activate the **NH OPEN** selection set.
- Select **Reports | Timeliness Reports**.

- For Date Range, select the **Last Calendar Year.**
- Accept the defaults for the rest of the report.
- Click **OK.**

  The Timeliness Report Customization window opens. This is a secondary customization window, which appears for select ACTS reports.

- Select the SOD Issuance (Exit Date > 2567 Issue Date) option, and enable Group by IJ/Condition Level.
- Type **15** for the number of interval days, and select the **Business Days** radio button.
- Click **OK** to generate the report.

  ACTS gathers the data for the report, and presents it in the preview window.

  From here, you can print or export the report, as needed. We are not going to do either in the class.

  By default, Print Report Definitions is selected for this report. Go to the last page of the report to see the definitions.

- After reviewing your report, select **File | Close**.

Letter Management

Create Letter Content – Macro Basics

The Letter Management option lets you create form letter templates from which users can generate letters customized for individual surveys, complaints/incidents, provider types, and recipients. A form letter template contains standard text and macros (merge codes), which serve as placeholders for information about the specific survey, intake, or provider.

Creation of a letter template is a two-part process. You specify letter attributes, e.g., letter type and description, in the Letter Desc (Description) window. Then you use the ASPEN word processor (window title is Edit Letter Text) to enter letter content.

1 Define the letter

- Open **ACO**.
- From the System menu, select **Letter Management**.
- In the Letters window, click **New...**
- In the Letter Desc window, enter a Description of the letter.

Note: The template ID is provided by the system.

Tip: To group similar letters together, use the Description field to provide descriptive phrases that sort together alphabetically. You could, for example, assign prefixes that will group and list the templates in the desired order.

- Select the Letter Type **Complaint**.
- To assign facility types to the letter, click the **Facility Type** tab, select the **Letter appears …** checkbox, then select the facility types for which the letter will be available.
- Click **OK** to open the ASPEN word processor (window title is Edit Letter Text).

2 Add text

- You can enter as much text as you need. Edit Letter Text includes a variety of text formatting features.
    - To insert headers and footers, from the View menu, select **Headers and Footers**.
    - To add tables, use the Table menu options.
    - To include your agency logo, from the Insert menu, select **Image**, then navigate to and select the appropriate image file.

3 Working with macros

You can insert macros from a predefined list into letter templates. The macros function like mail merge codes in word processors. Each macro (merge code) references information stored in ASPEN databases.

When letters are generated from templates, the macros are replaced with the referenced information. If the information does not exist in an ASPEN database, the macro name or NO DATA (Enforcement macros only) is displayed in generated letters.

- Survey Macros

  Survey macros can be inserted into any letter, but return data only if the letter is associated with a specific survey.

    - In ACO, you can do this by generating the letter from the survey (right-click the survey in the tree).
    - In AEM, letters generated from templates with Requires Specific Visit Information enabled in the Letter Desc window allow you to choose the appropriate survey when you create the letter.
    - In ACTS, letters generated from an intake will use the survey that is linked to the intake.

- Enforcement Macros

  AEM macros follow these conventions:

  - Enforcement macros that print dates use the long date format (Month Date, Year): January 1, 2016.
  - Enforcement macros that list deficiencies show the tag number, scope/severity, CFR number/regulatory reference, and tag title:
    - F0160 – S/S: A – 483.10(c)(6) – Protection Of Resident Funds
    - F0221 – S/S: D – 483.13(a) – Physical Restraints
  - Enforcement macros that print dollar amounts include the decimal and cents: $100.00.

- Complaint Macros

  See the Complaint Letter Macros scenario.

4 Introduce redaction macros

There are two simple but effective macros that use the redaction process, ALL - Allegation Findings and ALL - Allegation Text, each with and without the redaction option. I am going to discuss the Allegation Findings macro…

ALL - Allegation Findings[with redact]

- Inserts text entered in the Findings section of each allegation's text area, with redacted text replaced by (###).

ALL - Allegation Findings[without redact]

- Inserts text entered in the Findings section of each allegation's text area, including redacted text. Redaction brackets are removed.

  See the Complaint Letter Macros scenario.

- Click **Save & Exit** to save the text and formatting and return to the Letters window.

Complaint Letter Macros

The following macros are available to insert in templates when Complaint or Enforcement is the Letter Type. **Complaint macros will return data only if the letter is associated with an intake**.

- Acknowledged
- Activity Assignees
- ALL - Allegation Findings[with redact]
- ALL - Allegation Findings[without redact]
- ALL - Allegation Text[with redact]
- ALL - Allegation Text[without redact]
- Allegation Category
- Alleged Event Date
- CBER ID
- Complainant Address
- Complainant Names
- Complainant Relationship (Primary)
- Complainant Short Names
- Complaint Number
- DATE - Date Followup Investigation
- DATE - Date Received
- Date # Working Days
- Force Lower Case
- Force Upper Case
- Future Working Date
- Intake ID
- Intake Recipient
- Investigation Due
- Investigation Due in Words
- Investigators
- Overall Finding
- POC Due Date in Words
- Primary Complainant
- Received by
- Received by in Words
- Reference
- State Complaint ID
- TEAM - Location Received
- TEAM - Location Received Address
- TEAM - Responsible Team
- TEAM - Responsible Team Address
- TEAM - Team Leader
- TEAM - Team Phone number

- TERMINATION - 23 Days Termination
- TERMINATION - 90 Days Termination

Send letter to Facility

1 Locate your facility

- Open **ACTS**.
- For ACTS Selection, select **HOSP OPEN**.
- Locate and expand the **<A> Deemed Reaccred** (Where <A> is your training letter).
- Right-click the intake and select **Modify Intake**.

2 Enter allegation details in intake

- On the Allegations tab, click the **Details** button for the allegation.
- Enter the following text in the Details pane:

  There is sufficient evidence to establish with certainty that the allegation and/or deficient practice occurred. The deficiencies seem to occur consistently on the night shift.

3 Text redaction

Now, we will redact some of the text in the allegation details.

- In the Details pane, highlight the text "**with certainty**", and click the Redact button **(R)** in the tool bar. Brackets appear around the selected text.
- Do the same to redact the second sentence as well, and click **OK**.

4 Generate letter

- At the bottom of the intake form, select the **Notices** button.
- In the Notices History window, select **New**.
- In the Select Letters and Distribution Lists window, select **ALG STATEMENT** in the Form Letter section.
- Double-click the **Facility** in the Distributions section, so that **Letter** appears in the ACTION column.
- Select **Preview** to review the letter.
- There are custom text macros in this letter:
  - No later than date: enter a date 2 weeks in the future
  - Name of the investigator: enter **your name**

- Click **OK**.

  The letter displays, with some of the macros in blue text.

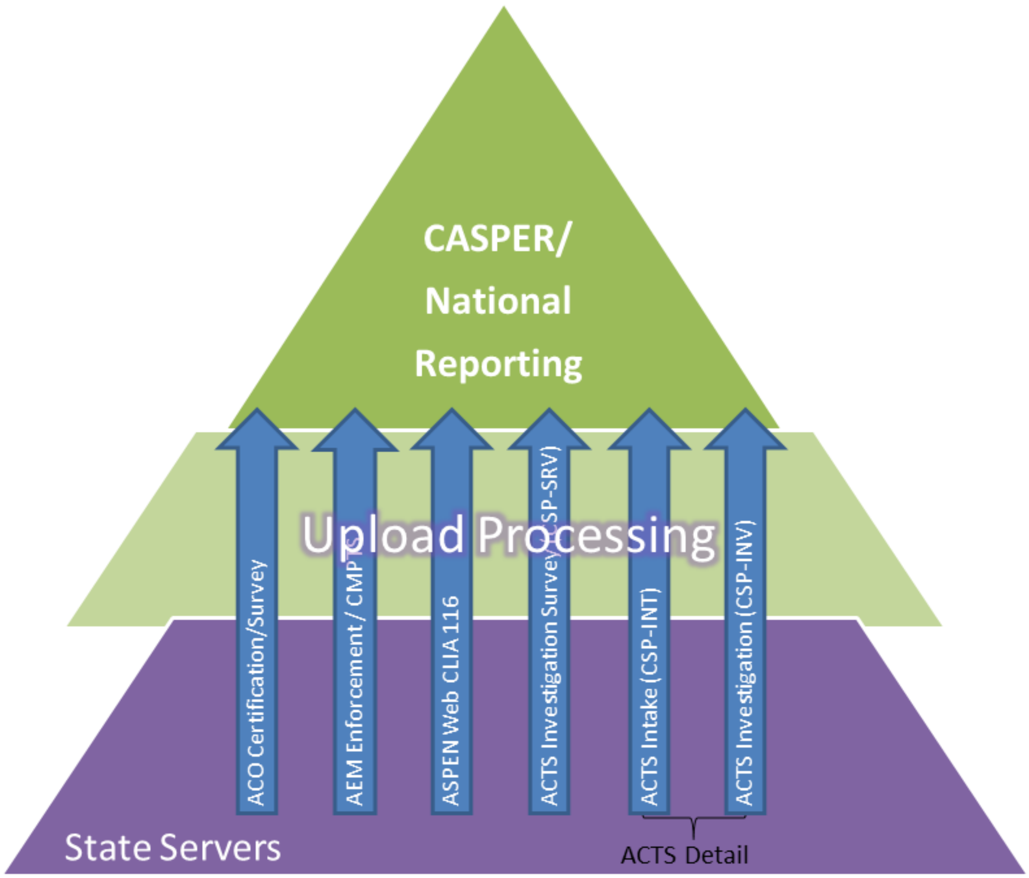
  Notice the blank after the Dear salutation. Even though a macro exists for administrator name in the letter template, the facility does not have an assigned administrator. Also, another macro exists in the letter that appears as **Invalid Datetime**. This data is pulled from the survey exit date, which is not available.

- Verify the information is correct, then click the **A underscore** icon on the word processor toolbar to turn all the text black.
- Select **Save & Exit**.

  Your letter is now listed in the Letter History section of the Notices History window.

- Click **Close**.
- Click **OK** twice to close the intake, and **Yes** to override the edit check.

Uploads/Transaction Tracking/Best Practices



Frequently Asked Questions

Why upload ASPEN data from state servers?

- To populate and update the master national data repository
- To support national reporting systems (CASPER/QW)
- To satisfy CMS policy guidelines
- To support public websites (e.g., Nursing Home Compare)

What ASPEN data is uploaded from state servers?

- Certification kits for all provider types including CLIA
- Investigation surveys – detailed survey, deficiency, workload, team data
- Complaint investigation detail – core investigation data
- Complaint intake detail – detailed intake data
- Enforcement cases
- CMPTS cases
- FMS surveys
- Special surveys

What are the upload transaction types?

- ACO - certification kits including CLIA
- CSP-SRV - ACTS investigation surveys
- CSP-INV - ACTS complaint investigation core details
- CSP-INT aka INTK - ACTS complaint intake detail
- ENF - AEM enforcement cases
- CPTS - AEM CMPTS cases
- FMS - surveys
- SRVY - Special surveys

How do the three ACTS uploads differ?

- CSP-INT (INTK)

  ACTS upload that sends complaint intake information to support national reporting. Upload occurs automatically when intake qualifies, normally when investigation is scheduled; intake finalization not required.

- CSP-INV

  Sends core investigation information to support national reporting. Upload occurs automatically when investigation qualifies, normally when investigation is scheduled; intake finalization not required.

- CSP-SRV

  Sends investigation survey information to national, including workload, team and deficiency data. For investigation surveys after 07/01/2014, upload occurs automatically when survey qualifies, normally when investigation is completed; *intake finalization is required*.

Are all three ACTS uploads necessary?

Each type of ACTS upload sends separate, key information from the state server to national. Uploads process at different times during intake and investigation processing as various milestones are reached. To ensure all reportable information is available for national reporting needs, all three ACTS uploads must occur and be successful.

How are uploads triggered?

Uploads are triggered automatically or manually depending on creation/exit date, type of transaction, or whether there has been a successful upload. Items must pass qualification checks before being uploaded automatically or manually, i.e., data must be complete and meet all applicable business rules.

How often do automatic uploads occur?

Upload transactions (Add, Update, etc.) are sent from ASPEN databases on state servers to national every 10 minutes. Processing of these transactions on national occurs every night, Monday through Friday.

Do I have to wait while automatic uploads are processed?

No, all automatic upload processes occur in the background so you can work uninterrupted.

If uploads are automatic, why do I need to do anything?

Not all uploads occur automatically. For example, the first upload of a CLIA certification kit and enforcement case must be manual.

In addition, you may find manual uploads useful for testing or as a diagnostic tool if auto-uploads are failing. For example, though ACTS CSP-SRV uploads are automatic, you may want to manually trigger an upload to ensure the investigation qualifies for upload.

How do I trigger a manual upload?

- Certification kit

  In ACO/ARO, go to the Upload tab in a certification kit and click the Prevalidate and Upload button.

- Investigation survey (CSP-SRV)

  In ACTS, go to the Upload tab in the Investigation Properties window, and click the Prevalidate and Upload button.

- Intake (CSP-INT/INTK)

  In ACTS, go to the Upload Intake tab of the intake and click the Upload Intake button to initiate an ACTS Detail Upload of intake information.

- Investigation detail (CSP-INV)

  In ACTS, go to the Upload Intake tab of the intake and click the Upload Intake button to initiate an ACTS Detail Upload. Core investigation details are uploaded if the intake is linked to an investigation.

- Enforcement case (ENF)

  In AEM, go to the Upload tab of an enforcement case and click the Prevalidate and Upload button.

- CMPTS case (CPTS)

  In AEM, go to the Upload tab in the CMPTS Detail window and click the Prevalidate and Upload button.

- FMS survey

  In ARO, open the FMS Add/Update window and click the Upload button to open the FMS Transactions window, then click the Prevalidate and Upload button.

Note: You cannot manually upload special surveys or CLIA 116s.

What are implicit transactions?

When field information in certification kits is updated in your state's database, it is transmitted to national via explicit or implicit transactions. Explicit updates to the corresponding fields on national occur when the certification kit is uploaded automatically or manually from your state server to national. Implicit updates to field values are automatically sent to national; another upload is neither triggered nor required.

Most Update transactions for certification kits are explicit (i.e., require an upload), but there are two types of implicit Update transactions:

- Updates sent for certain individual facility properties fields, e.g., Employer ID, Address; Survey Pending Date (not visible to user)
- Updates sent for a group of fields, e.g., bed counts on the CMS-1539, Program Participation on the CMS-671

FMS records are also updated implicitly after the first successful upload to national.

Is uploaded information immediately available to national?

No, upload transactions (whether initiated automatically or manually) and implicit transactions are processed overnight.

How can I monitor uploads?

Many tools are available to help monitor upload status for certification kits, enforcement cases, intakes and investigations. These include:

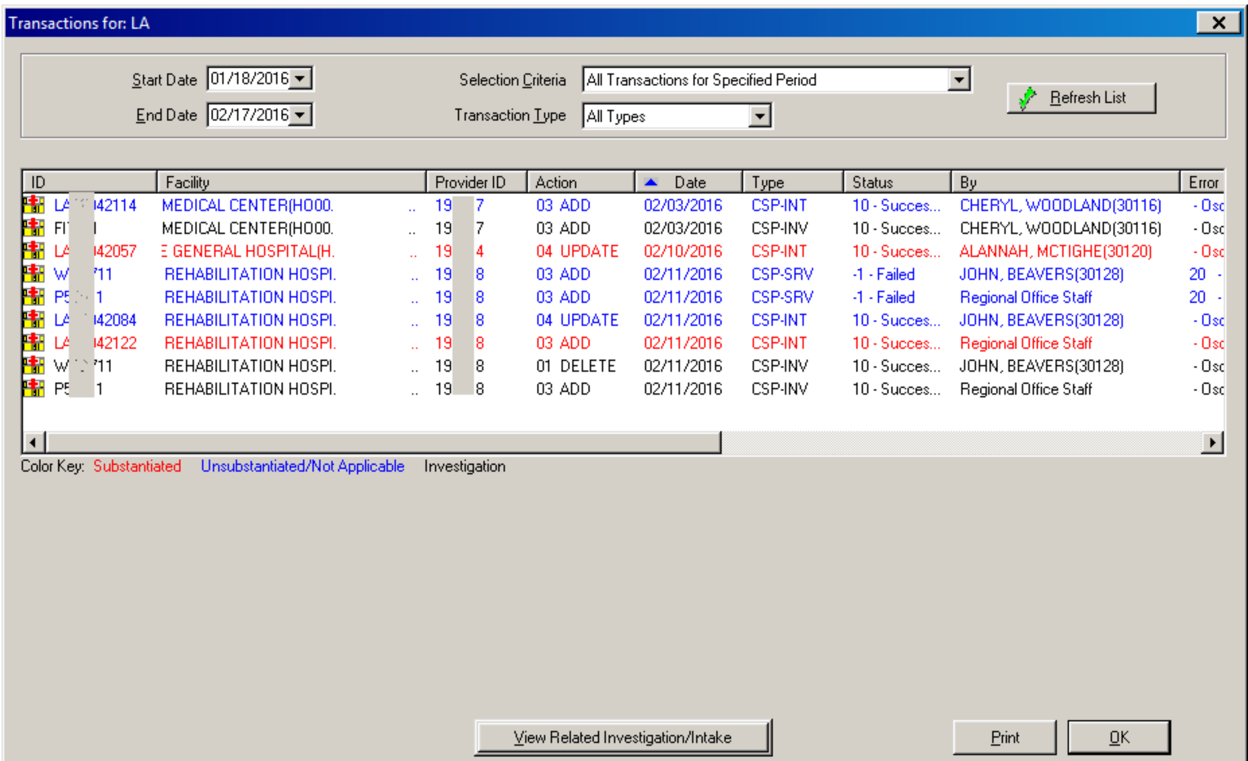
- Transactions viewer
- Certification Kits list
- Upload tabs
- Email Notifications
- Action Items
- Reports

Transactions viewer

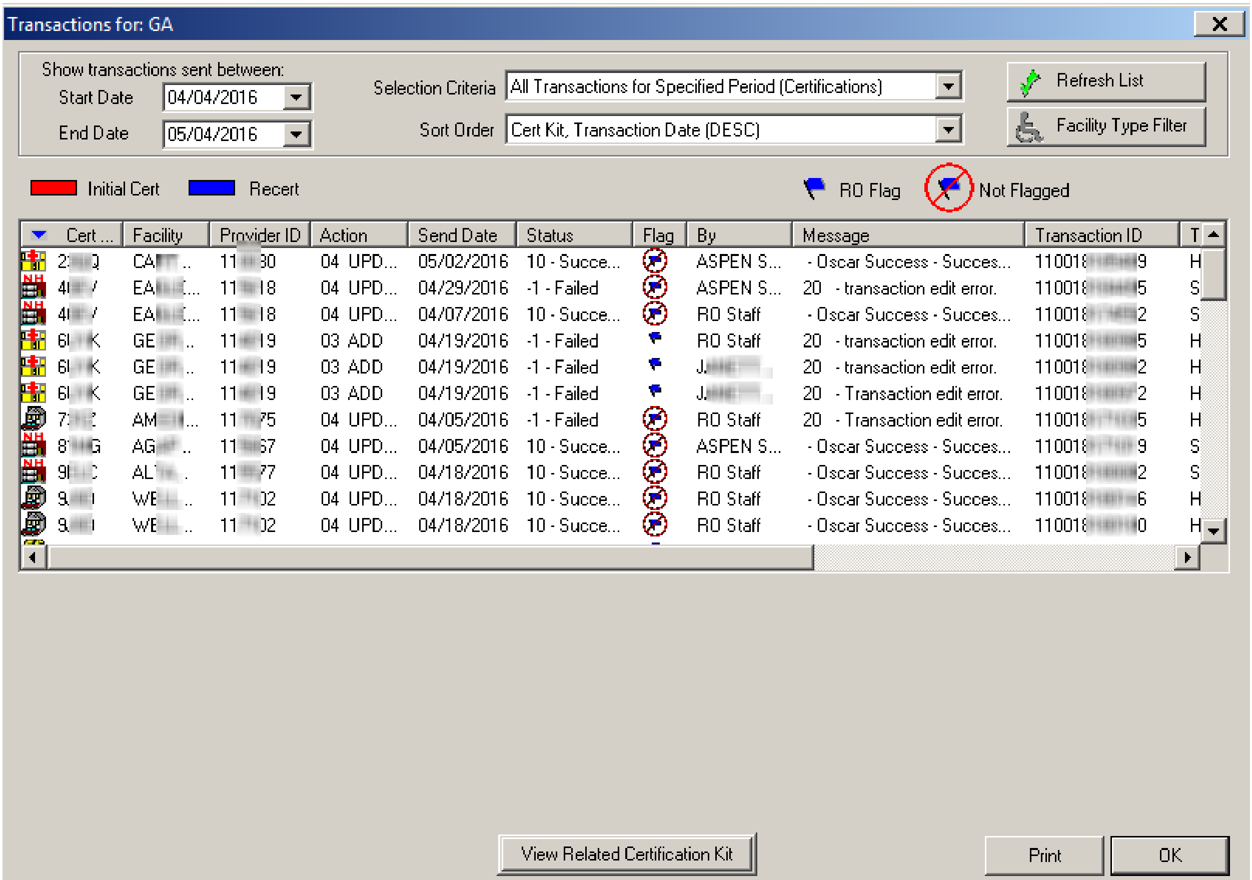
For all ACO and ACTS upload types, the Transactions viewer (Tracking<Transactions) offers a quick overview of upload transaction details and status for a given date range.

Note: To view only failed uploads, choose All Failed Transactions with No Following Success.

ACTS Transaction viewer

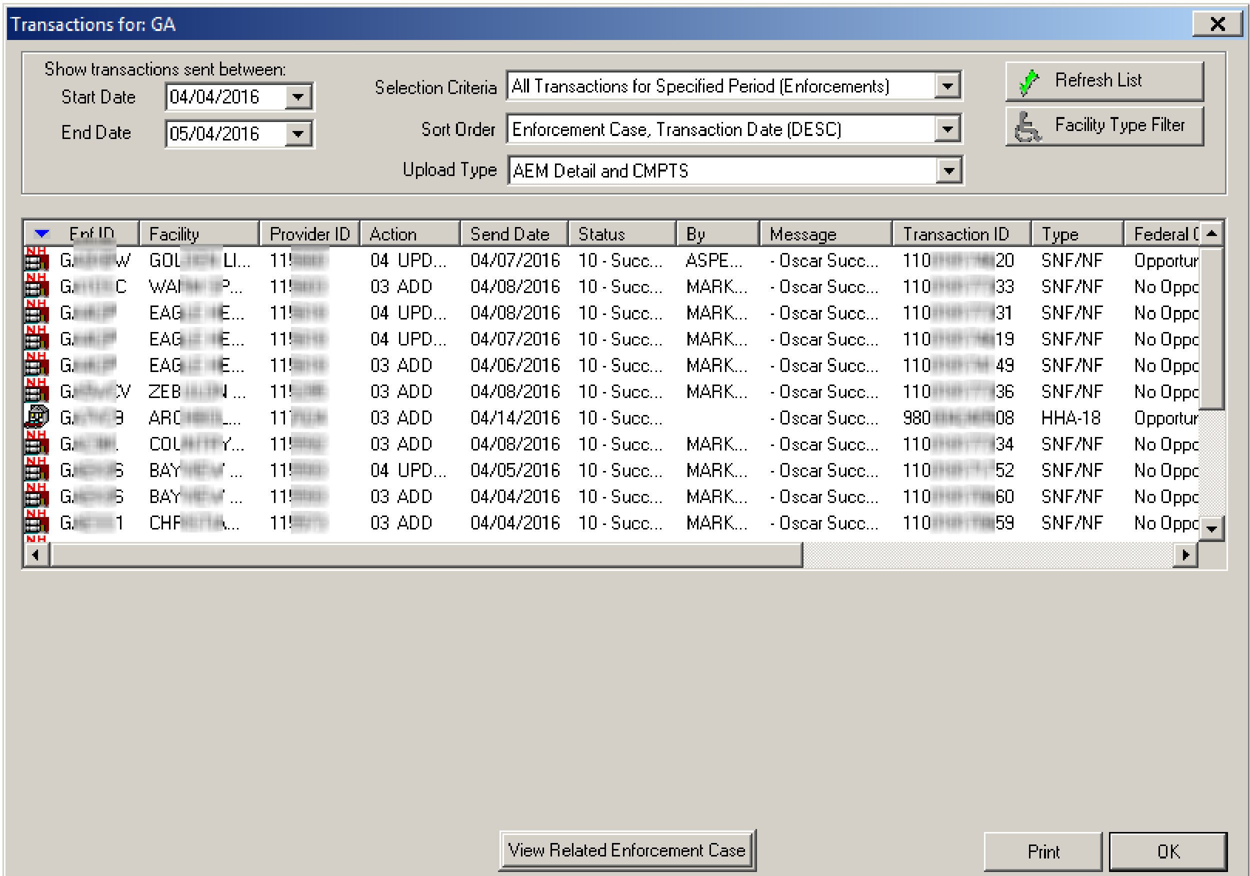


ACO Transaction viewer



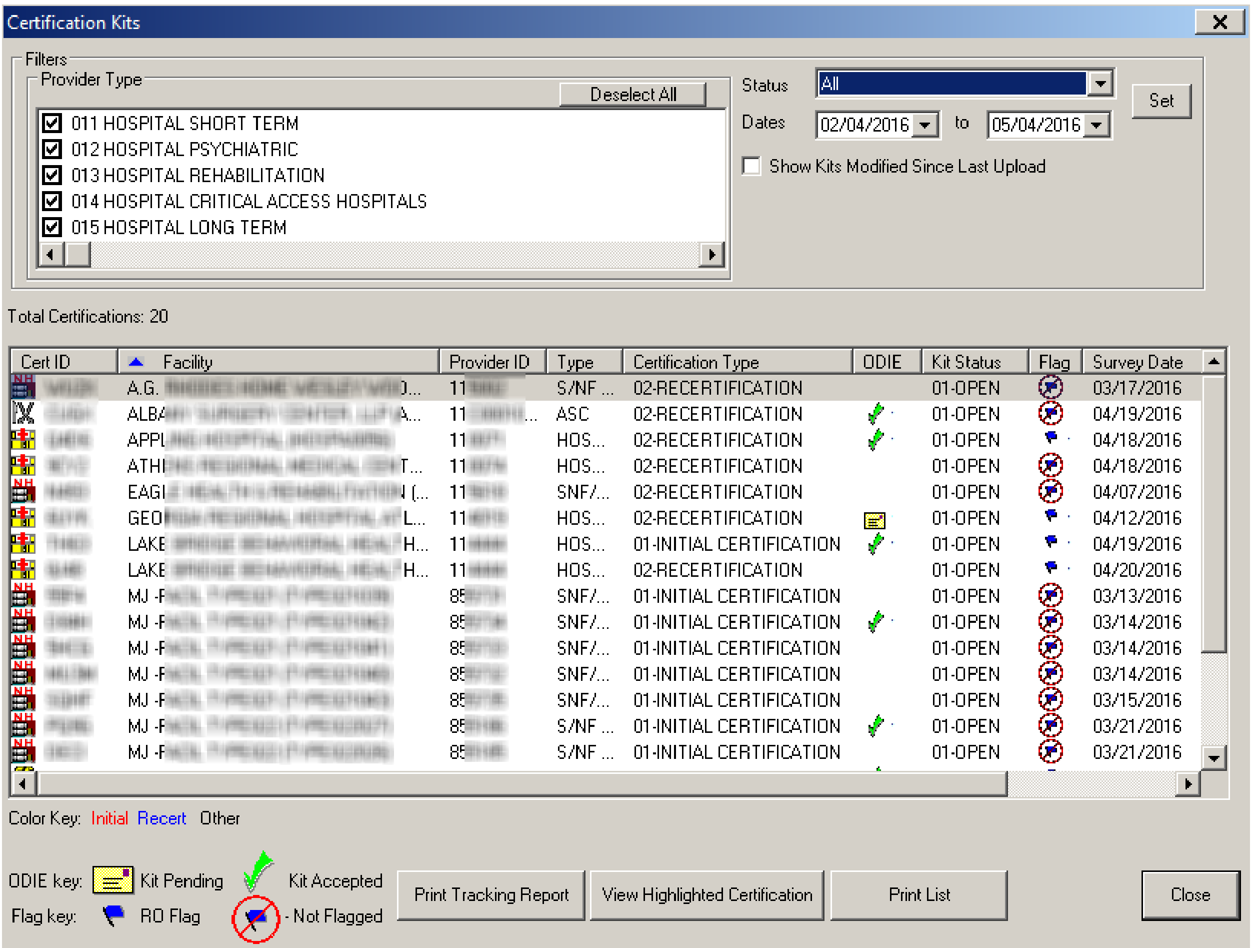
AEM Transaction viewer

You can view All Transactions for Specified Period (Enforcements), shown below, or All Failed AEM Transactions With no Following Success.



Certification Kits list

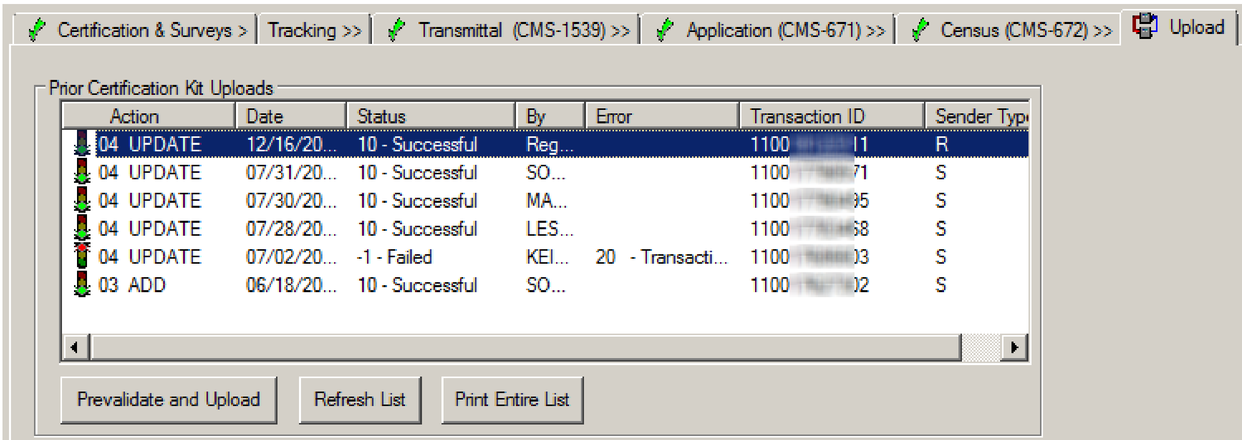
The Certification Kits window lists certification kits with details about each kit including upload status. You can filter the listed kits by provider type, status, and date. From the list, you can open individual kits.



Upload Tabs

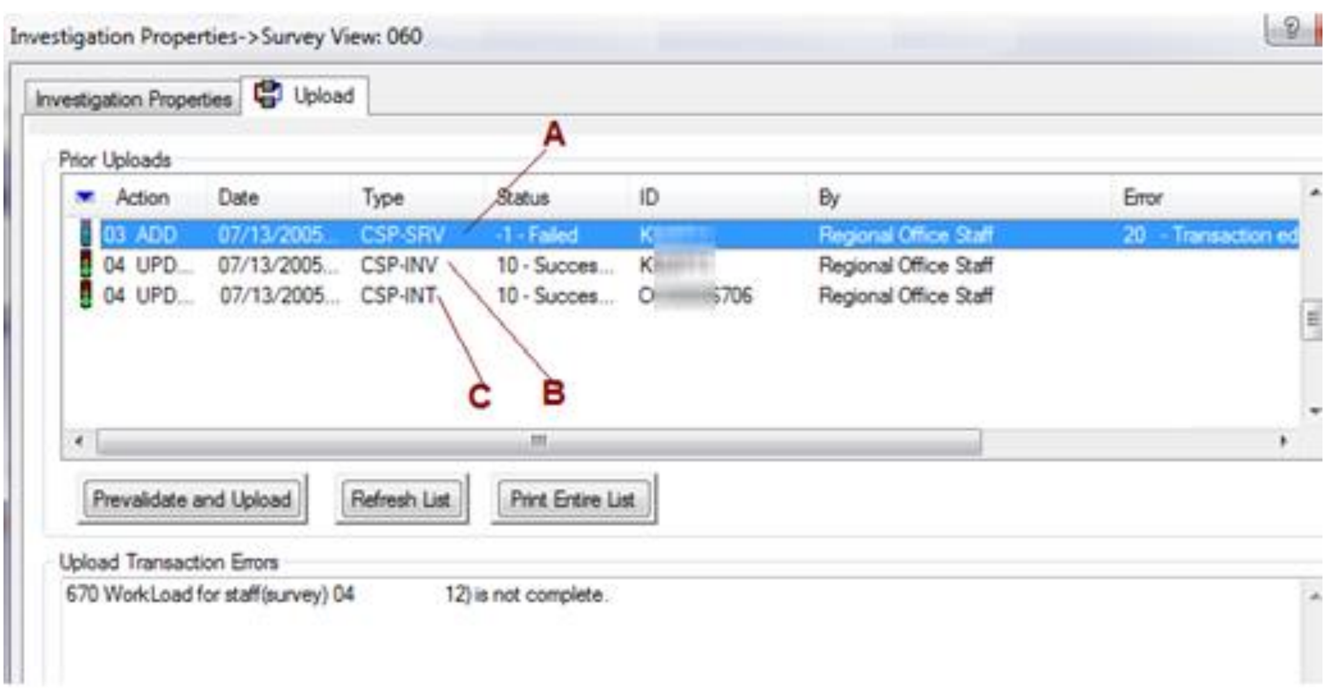
ACO Upload tab

All upload transactions associated with a certification kit display in the Prior Certification Kit Uploads section on the Upload tab of the certification kit. The status column shows whether the transaction was successful or failed.



ACTS Upload tab (Investigation Properties/Survey View)

All upload transactions associated with an investigation display in the Prior Uploads section on the Upload tab of the Investigation Properties window. The upload status for all three of the ACTS upload transaction types can be immediately determined.

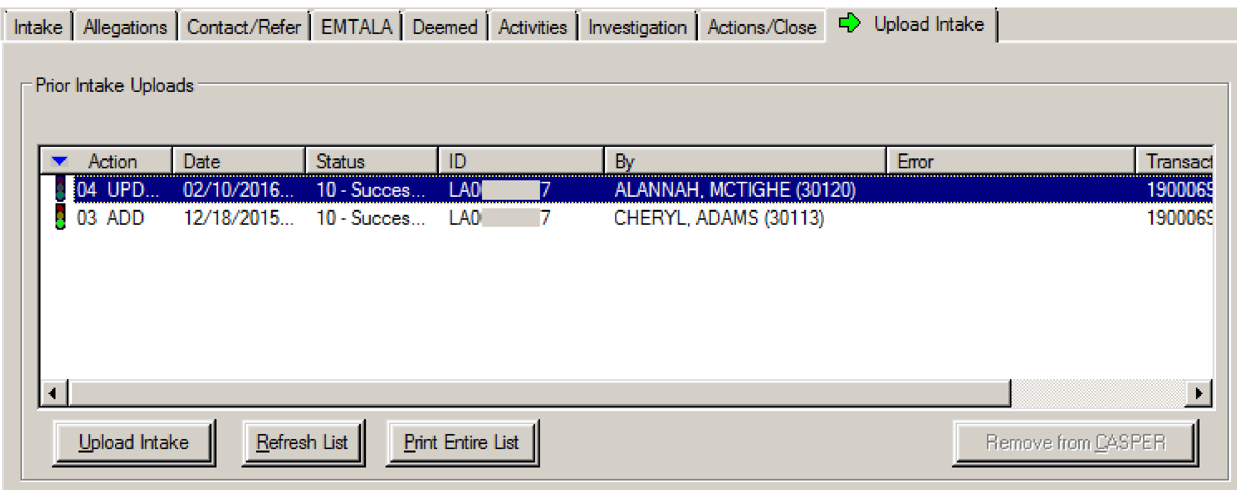


- A – Failed Investigation Survey (CSP-SRV) upload
- Investigation did not qualify for upload. Detailed survey information (e.g., deficiency, team, workload) was not uploaded, thus is not available on national for CASPER or QW reports. Highlight the failed transaction in the list to determine the issues preventing a successful upload. Multiple items may require completion in ACTS such as intake finalization, 670 entry, proposed action definition, etc.
- B – Successful complaint investigation detail (CSP-INV) upload
- Core data for scheduled investigation present so upload criteria met and data available on national for CASPER or QW reports.
- C – Successful complaint intake detail upload (CSP-INT)

Core intake data present so upload criteria met and data available on national for CASPER or QW reports.

Upload Intake tab (Intake form)

Intake detail upload transactions (CSP-INT) for the current intake are listed in the Prior Intake Uploads section on the Upload Intake tab of the intake.



Email Notifications

Tardiness emails

Leverage the automatically generated tardiness emails to monitor for upload status. Ensure responsible parties are assigned, personnel records have accurate email addresses, and recipients are specified for these emails.

- Late Investigation Upload Review email

  Lists all investigation surveys that have never had a CSP-SRV upload and are past due, i.e., have not been successfully uploaded within a specified number of days from the exit date.

- Late Intake Finalization email

  Lists late intakes, i.e., Federal intakes that have not been finalized after a specified number of days (100) have elapsed since the Received End Date. Currently, this email generates only for Nursing Home intakes.

Late Certification Kit Upload Review

This email lists certification kits that have never been uploaded and are past due for uploading.

Recipients

Management units, team/work units in the given state configured as recipients (File | Email Recipients).

Frequency

Every night.

Email Text

Subject: Late Certkit Upload Review - <State> - <MGMTUNIT> - <Team/Work Unit> <Facility Category>

The following certification kits have not yet been uploaded within x days of their certification exit date.

Please do not reply to this message.Thank you.<Cert Track ID><Cert Exit Date><Days Since Exit><CCN><FacName> …

Late Certification Kit Uploads

This email lists late certification kits. i.e., kits that:

- Have been uploaded but not accepted after a given number of days.
- Were previously accepted but can no longer be uploaded due to failed validation checks.

Recipients

SA/RO staff members who are a responsible party for at least one late certification kit.

Frequency

Every Sunday night.

Email Text

Subject: Late Certkit Uploads for <State> - <Staff ID> - <Staff Name>

The following certification kits have not yet been completed within x days of their certification exit date.

The following certification kits were previously uploaded but can no longer be uploaded.

Please do not reply to this message.Thank you.<Cert Track ID><Cert Exit Date><Days Since Exit><CCN><FacName> … <Cert Track ID><Cert Exit Date><Days Since Exit><CCN><FacName> … Past Due Cert Report

This email is sent out every night. It contains a list of all certification kits that are past due.

Late Investigation Upload Review

This email lists all investigations that have never been uploaded and are late. An investigation is considered late if it has not been successfully uploaded within a specified number of days from its exit date.

Recipients

Management units, team/work units in the given state configured as recipients (ACO | File | Email Recipients).

Frequency

Every night.

Email Text

Subject: Late Investigation Upload Review - <State> - <MGMTUNIT> - <Team/Work Unit> <Facility Category>

The following investigations have not yet been uploaded within x days of their exit date.

<Invest ID><Invest Exit Date><Days Since Exit><CCN><FacName>…

Please do not reply to this message.Thank you.

Late Intake Finalization (NH only)

This email lists late intakes, i.e., Federal intakes that have not been finalized after a specified number of days have elapsed since the Received End Date. Federal intakes are defined as intakes with Intake Type = 01 Complaint and Intake Subtype = A, or Intake Type = 02 Entity Reported Incident and Intake Subtype = 1 or 2.

Recipients

SA/RO staff members who are a responsible party for at least one late Federal intake.

Frequency

Every Sunday night.

Email Text

Subject: Late Intake Finalization for <State> - <Staff ID> - <Staff Name>

The following federal intakes have not yet been completed within x days of their initial received date.

<Intake ID><Intake Rcv Date><Days Since Rcv><CCN><FacName>…

These intakes must be finalized within a timely manner. Please complete all of the remaining steps required for intake finalization.

Please do not reply to this message.

Thank you.

Action Items

The following action items alert ACO/ACTS users when an upload was attempted but failed. They are automatically closed the next time an upload is attempted. If another upload failure occurs, a new action item is created.

- *Unable to Upload Investigation* - When an investigation's COMP upload fails to complete, this action item is sent to all responsible parties for all linked intakes. It appears in ACTS/ACO, and double-clicking on the action item takes the user directly to the investigation.
- *Unable to Upload Certkit* - When a certification kit's ODIE upload fails to complete, this action item is sent to all of the kit's responsible parties. It only appears in ACO, and double-clicking the action item takes the user directly to the certification kit.

Both of these action items generate an associated email to all recipients, regardless of the recipient’s action email receipt settings on their personnel record. The Action Item Email Configuration dialog (System/System Configuration/Email Configuration) does not list either of the new action items since they are always enabled to send emails.

Reports

- Transactions Report aka Transactions Tracking Report

  To generate, click the Print button in the Transactions viewer.

  To list only failed uploads in the report, choose All Failed Transactions with No Following Success.

- **Reports menu<Federal Only<Investigations Lacking Survey Upload**

  Lists investigations with no record of a survey upload (CSP-SRV) being attempted.

- Reports menu<Federal Only<Federal Intakes

  To use this report for monitoring finalized intake, possible filters include:

  Date Range: set to Last 180 Days

  Status: any except Closed

How can I troubleshoot intake upload problems?

CSP-INT and CSP-INV upload types rarely require troubleshooting. However, troubleshooting is commonly necessary for CSP-SRV uploads. Focus on the most common problems that prevent CSP-SRV uploads, which include:

- Are all linked intakes finalized?
- Are allegation findings specified?
- Is 670 data complete and accurate?

Diagnose auto-upload problems by triggering a manual upload from the Upload tab on Investigation Properties->Survey View. Problems preventing upload can quickly be assessed with this view.

What are Best Upload Practices for States?

- Enter all required data in a timely fashion to ensure successful uploads.
- Assign all appropriate responsible parties.
- Ensure personnel records have up-to-date email addresses (ACO<Enter/Update Surveyor Information<Employee Identification tab).
- Configure all appropriate recipients for upload monitoring (tardiness) emails (ACO<File<Email Recipients).
- Check the Transactions viewer frequently.
- Regularly run upload monitoring reports, i.e., Transactions Tracking and Investigations Lacking Survey Upload.
- Review tardiness emails and take appropriate action.
- If in doubt about whether an upload of any type will be successful, test it by triggering a manual upload.

Where can I get more information about ASPEN uploads?

- ASPEN Upload Transactions chart (attached) - Provides a summary of information about ASPEN uploads.
- ASPEN procedures guides

The ACO, ACTS, AEM, and CLIA procedures guides provide detailed information about ASPEN uploads. They are available on QTSO’s ASPEN | Manual and Guides page.

.

ASPEN Uploads Transactions to National Reporting Systems (CASPER/QW)

As of ASPEN 10.3

Transaction Types	Manual	Automatic	Notification	Notes
ACO Certification Kit (Type=ODIE)	Mandatory if created before 07/01/2014, optional after	Created on or after 07/01/2014	Email and Action Item (AI) to responsible party on failure Weekly email on overdue kits	For automatic upload, all certification kit section tab checkmarks must be green / 670 on all surveys complete (excluding future revisits) Monitor from ACO Main menu, Tracking\Transactions Overdue if not uploaded 30 days from certification exit date Qualified kits upload every 10 minutes Notifications go to responsible parties on cert kit Failed uploads/reasons can be viewed on Cert Kit Upload tab
ACTS Investigation Survey (Type=CSP-SRV)	Mandatory if survey exit date of investigation is before 07/01/2014, optional after	Survey Exit Date on or after 07/01/2014	Email and AI to responsible party on failure Nightly email lists investigations past due for upload Weekly email lists intakes overdue for finalization	Automatically uploads when all intakes are finalized Overdue if not successfully uploaded after 70 days Qualified upload transactions sent to national approximately every 10 minutes Upload transactions processed on national every night, Monday through Friday Monitor from ACTS main menu, Tracking<Transactions View failed uploads/reasons on Investigation Properties<Upload tab Notifications go to responsible parties for each linked intake
ACTS Investigation Detail (Type = CSP-INV)	Optional	Yes for qualified investigations	N/A	Automatically uploads as soon as investigation is scheduled Qualified upload transactions sent to national approximately every 10 minutes Upload transactions processed on national every night, Monday through Friday Monitor from ACTS main menu, Tracking<Transactions View failed uploads/reasons on Investigation Properties<Upload tab
ACTS Intake Detail (Type = CSP-INT)	Optional	Yes for qualified intakes	N/A	Automatic upload if Status is greater than or equal to 4 – Under Investigation Qualified upload transactions sent to national approximately every 10 minutes Upload transactions processed on national every night, Monday through Friday Monitor from ACTS main menu, Tracking<Transactions View failed uploads/reasons on Upload Intake tab of intake

Transaction Types	Manual	Automatic	Notification	Notes
AEM Case Upload (Type=ENF)	Until 1st successful upload	After 1st successful upload	AI to primary case worker on initial auto upload	State licensure-only cases are not uploaded Manually upload no later than when 1st enforcement letter is sent Monitor from ACO Main menu, Tracking\Transactions. Failed uploads/reasons can be viewed on Upload tab
AEM CMPTS Case Upload (Type=CPTS)	Until 1st successful upload	After 1st successful upload	No	Monitor from ACO Main menu, Tracking\Transactions Failed uploads/reasons can be viewed on Upload tab
CLIA Cert Kit	Until 1st successful upload	After 1st successful upload	Email and Action Item (AI) to responsible party on failure Weekly email on overdue kits	For automatic upload, all certification kit section tab checkmarks must be green / 670 on all surveys complete (excluding future revisits) Monitor from ACO Main menu, Tracking\Transactions Qualified kits upload every 10 minutes Notifications go to responsible parties on cert kit Failed uploads/reasons can be viewed on Cert Kit Upload tab
ASPEN Web-CLIA 116	No	Yes	No	Automatically updated when saved
FMS	Until 1st successful upload	After 1st successful upload	No	After first successful upload, any change to the FMS record causes an automatic upload If the upload transaction failed, select it in the Prior FMS Uploads section to list problems in the Upload Transaction Errors section.
Special Survey (Type=SRVY)	No	Yes	Email and Action Item (AI) to survey team on failure	Automatically uploads when CMS-670 on all surveys complete (excluding future revisits) and IJ question has been answered (if required) If not uploaded 2 weeks from survey exit date, due to missing 670, automatic upload will be attempted and failure notification email sent Monitor from ACO Main menu, Tracking\Transactions Qualified surveys upload every 10 minutes Notifications go to survey team Failed uploads/reasons can be viewed on Survey Properties Standard survey edits apply (such as requirement of admin sign off date (X6) when deficiencies are present)