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

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 Target Date Range window.
- Under Select Target Date Range, select July 1 - 31.

3 Synchronize recertification and complaint

In the **Certifications to be Scheduled** list, locate your nursing home *(<A> - Lifestyle 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.
- Click **OK**, and **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**.
- Clicking on July 1 activates a scroll bar.
- 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 (07/01/2015 and 07/02/2015).
- 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 (07/01/2015).
- When asked if you want to combine this complaint with the scheduled certification visit, answer 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 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 on the Activity screen:
  - Type: **08-Schedule Onsite Visit**
  - Sent: **current date** (Start date populates with current date)
  - Due: **One week after survey start**
  - Staff: Click **Add S.A.** and select yourself
  - 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, and another assigning you the Schedule Onsite Visit activity, and a fourth naming you as part of a 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> - Life, where A is your training letter) and click **Find Now.**
- On the Results list, double-click your facility to move it to the Selected list.
- Click **OK** to print to the Crystal viewer.
- 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 the ASE-Q 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 will 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** again 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 enforcement manager at the State Agency.

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: **current date**. (Start date populates with current date)
  - Due: **1 week from today**
  - Click **Add S.A.** and select the enforcement manager (you), and click OK.
  - Add Comment: **Here is 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 survey in the Begin Enforcement window. 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 the **Select Letters and Distribution** 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 current 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 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**.
- Locate and highlight the file named **2015 Medical Records Outline.doc**, then click **Open,** then **OK**.
- You can click **View** in this window at any time to view an attachment, but we do not 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 *e*POC 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, 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 **E-POC Web App** shortcut.
- Click **Continue to this website** until you see the log in screen.

33 Log in as facility

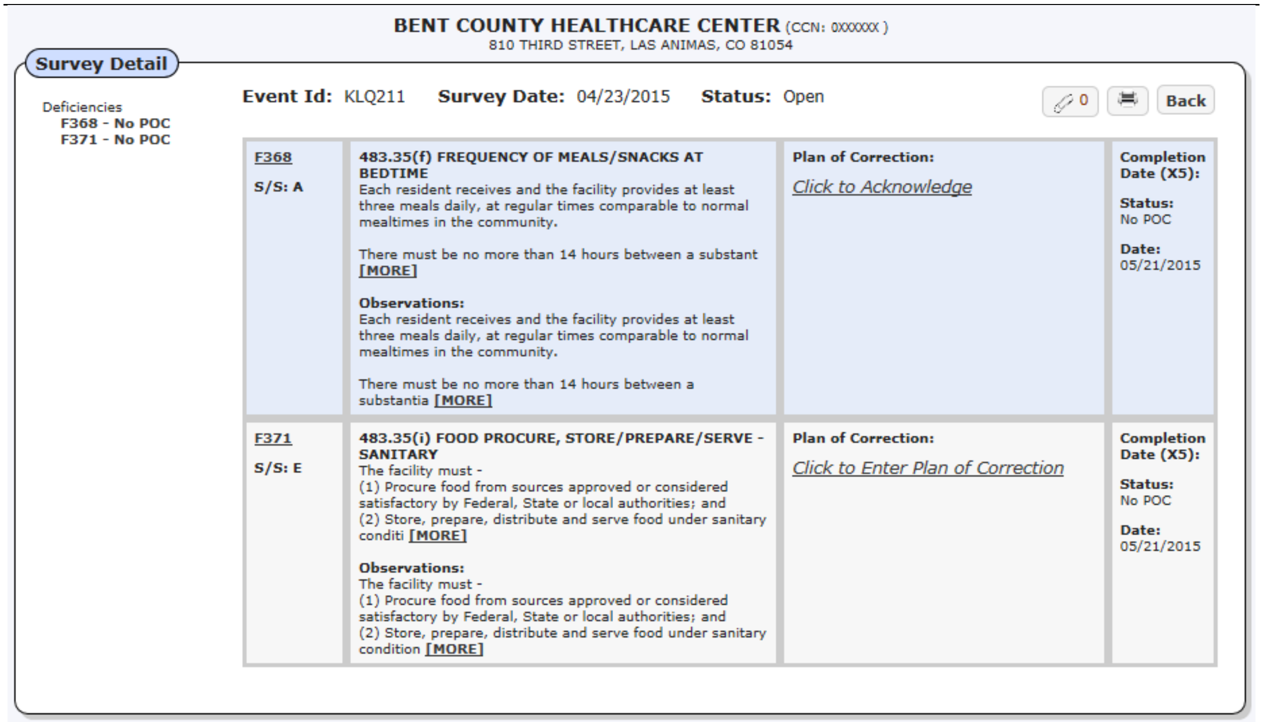
- Log into **ASPEN Web: *e*POC** with your training facility User ID and Password.

  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.

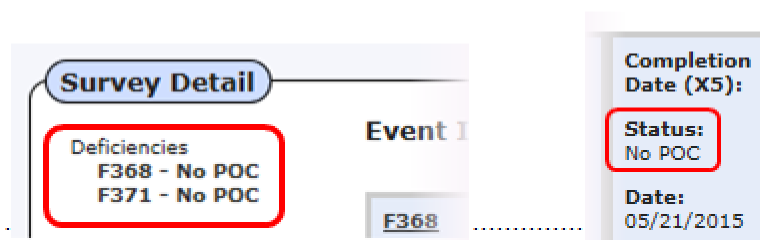
34 View SOD letter

- 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 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 **2015 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.

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 Status has changed to Approved and the Completion Date is set to the current 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 the current date from the calendar.
- Click **Save as Pending** to save this POC, then click **Back**.

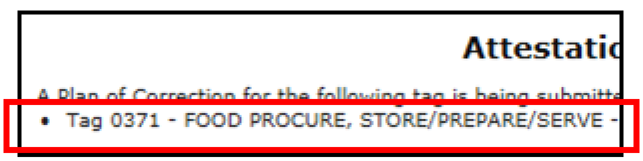
  Tag 0371 is in Pending status.

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

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 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 request from the administrator 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: **Current 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: Current **Date 8:00 am**
    - End Time: **Current 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**.
- Select the **Show All** checkbox.
- In the Form Letter section, highlight **XWCT - IDR NOTICE OF HEARING** 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.
- In the Custom Text prompts, enter information as prompted in the title bar, or click OK to leave blank.
- Do not 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**.

Today, 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**.
- 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**.

  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 (e.g. Includes IDR details.)
- Select **Post on ePOC Website** to re-post the survey, and then click **Yes** to confirm the posting.
- Click **OK**, then **Close**.

> The facility resubmits a POC for the rejected tag.

50 Locate survey

- Log into **ASPEN Web: *e*POC**.
- 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 current 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 POCs 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, hit the **F5** key to refresh ACO.

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 **Current 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, answer **Yes**.

Today 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 **current 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 answer **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 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.

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 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**.
- Enter 670 hours for the complaint and recertification.

- Click **Office Hours** and enter **1.0** for Total SA Supervisory / Review Hours, **1.0** for Total SA Clerical/Data Entry Hours, and 1 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** to close the CMS 670 Workload Detail window.
- Scroll down below the Survey List and select the checkbox for **Beds Override (SF11)**.

64 Transmittal (CMS-1539)

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

- Certified As (L12): **In Compliance**.
- 18/19 SNF Beds: **44**
- L38: 18/19 SNF: **44**
- Surveyor Sign Date (L19): **Current Date**
- State Agency Approval (L20): **Current date**
- Facility Eligible to Participate: **Yes**

65 Application (CMS-671)

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

- To F2: **07/02/2015**
- 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

66 Census (CMS-672)

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

- F76 Medicaid: **44**
- F79 - F93: the total in each row must equal 44. Enter any combination of numbers or just enter 44 in the Independent column of each row.
- Medication Error Rate (at bottom): **1**%

67 Upload

- Click the **Upload** tab.

  All checkmarks should now be green.
- Click **Prevalidate and Upload** and answer **Yes** to confirm.
- Click **Done** to close the certification kit and **Yes** to refresh the tree.

Tracking a Certification Kit

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.

1 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.

2 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.