



ASPEN Trivia

- Advanced

Question 1

The user is getting the following error message when they try to upload a kit:

Deemed By List must match QW AO information table.

How do you resolve this issue?

The screenshot shows a web application interface with a breadcrumb trail: Certification & Surveys > Tracking >> Deemed/2802 Transmittal (CMS-1539) >> App/CDE (CMS-377/378E) > Upload. Below the breadcrumb is a section titled "Prior Certification Kit Uploads" containing a table with the following data:

Action	Date	Status	By	Error	Tr
03 ADD	07/21/2014 11...	-1 - F...		20 - Transaction edit err...	21
03 ADD	03/20/2014 04...	-1 - F...		20 - Transaction edit err...	21

Below the table are four buttons: "Prevalidate and Upload", "Refresh List", "Print Entire List", and "Delete Pending". At the bottom, there is a section titled "Upload Transaction Errors" with a text box containing the message: "D0008 CMS 2802 DEEMED BY LIST MUST MATCH QW AO INFORMATION TABLE."

Answer 1

This is a situation that your local RO contact can resolve by opening the cert kit and from the Deemed/2802 tab select the Deemed By List Upload Override checkbox. Once completed, you'll be able to upload the kit.

Certification & Surveys > Tracking >> Deemed/2802 Transmittal (CMS-1539) >> App/CDE (CMS-377/378E) > Upload

Deemed By

	AO	Deeming Effective Date (M4)	AO Termination Date
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Provider/Supplier's State Survey Jurisdiction History

	Effective Date	Compliance Date	Return To AO Date	Systems Improvement Agreement Date	State Survey Jurisdiction for this Survey
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☒ Deemed By List Upload Override

Authorization for State Validation Survey (CMS 2802)

Date Issued By RO Region

Regional/State Representatives

Question 2

While trying to upload a kit, system displays: 1007-1539: CMS-1539 TOTAL CERTIFIED BEDS (L17) MUST BE NUMERIC GREATER THAN ZERO AND LESS THAN OR EQUAL TO TOTAL BEDS(L18) EXCEPT WHEN TERMINATION CODE (L30) IS INVOLUNTARY (5 OR 6).

Where does this get fixed?

Certification & Surveys > Tracking >> Transmittal (CMS-1539) >> Application (CMS-3070G) > Upload

Prior Certification Kit Uploads

Action	Date	Status	By	Error	Tr
03 ADD	07/15/2014 01...	-1 - F...	ROBERTO, TOFFOLET...	20 - Transaction edit err...	05
03 ADD	07/15/2014 12...	-1 - F...	DIANE, BENNETT (DBE...	20 - Transaction edit err...	05
03 ADD	07/11/2014 06...	-1 - F...	LILIYA, USTYMCHUK (L...	20 - Transaction edit err...	05
03 ADD	07/11/2014 05...	-1 - F...	LILIYA, USTYMCHUK (L...	20 - Transaction edit err...	05
03 ADD	07/11/2014 05...	-1 - F...	LILIYA, USTYMCHUK (L...	20 - Transaction edit err...	05

Prevalidate and Upload Refresh List Print Entire List Delete Pending

Upload Transaction Errors

1007-1539: CMS-1539 TOTAL CERTIFIED BEDS (L17) MUST BE NUMERIC GREATER THAN ZERO AND LESS THAN OR EQUAL TO TOTAL BEDS(L18) EXCEPT WHEN TERMINATION CODE (L30) IS INVOLUNTARY (5 OR 6)

Answer 2

The error message is telling you that the L17 field on the CMS1539 tab cannot be blank (null) or zero and not any larger than the number shown in the L18 field. Enter the correct data.

Certification & Surveys > Tracking >> Transmittal (CMS-1539) >> Application (CMS-3070G) > Upload

MEDICARE/MEDICAID CERTIFICATION AND TRANSMITTAL
PART I - TO BE COMPLETED BY THE STATE SURVEY AGENCY

5. Effective Date: Change of Ownership (L9) / / 4. Type of Action (L8) 2 RECERTIFICATION

8. Accreditation Status (L10) Deemed? Fiscal Year Ending Date (L35) 12/31

11. LTC Certification Period
From / / To / /

10. Certified As: (L12)
☒ A. In Compliance ☐ B. Not In Compliance
Based On:
1 -ACCEPTABLE POC
5 -LIFE SAFETY CODE
8 -PATIENT ROOM
9 -BEDS PER ROOM
(Specify Acceptable POC and/or Approved Waivers of the Above Requirements)

12. Total Facility Beds (L18) 6

13. Total Certified Beds (L17)

14. LTC Certified Beds Breakdown
18 SNF 18/19 SNF 19 NF IID Aspen Beds
(L37) (L38) (L39) 6 (L43) (optional)

15. Facility Meets
1861 (e) (1) or 1861 (j) (1)

Question 3

When a certification kit is updated to _____, the status of the kit is set as Closed, including all surveys currently attached to the certification kit.

Fill in the blank.

Answer 3

Prior status is the setting that closes the kit and surveys.

Question 4

A panicked caller states that their text for a citation has disappeared when opening the tag this morning. What's the easiest way to try and recover the missing text?

Answer 4

In the Citation Manager window, double-click on the tag to open the text window. From this window, select File > Insert Backup Text.

Whenever a surveyor enters 500 characters for two minutes or more, a backup file is created in the data/WPBackupDir folder. The file name format is <Survey EventID><ASPEN Reg Set ID><Tag><StaffID>.txt

Look for the correct file name based on that definition and select to insert.

Question 5

Upload failure message states: Certification Exit (L34) date is required.

What is the L34 date field? Cite one method of entry.

The screenshot displays a web application interface for certification tracking. The top navigation bar includes links for 'Certification & Surveys >', 'Tracking >>', 'Transmittal (CMS-1539) >>', 'Application (CMS-3427) >', and an 'Upload' button. The main content area is titled 'Certification Summary'. It contains three input fields: 'Certification Date (L34)', 'Health Exit (X3)', and 'LSC Exit (X3)'. The 'Certification Date (L34)' field is highlighted with a red rectangular border. Below these fields is a 'Tracking Status' dropdown menu currently set to '10-Processing Complete'.

Answer 5

L34 is the Certification Exit Date, set to the exit date of the Health survey. For an historical kit, the Help Desk must submit a PCR to insert the L34 date.

For a non-historical kit, try changing the Survey Properties Exit Date by 1 day, select OK (i.e., 01/01/2016 to 01/02/2016); then re-open and return Exit Date to correct date; select OK. Re-try upload.

Question 6

When trying to upload an Intake, the following message appears:

Based on its specified Findings, allegation 21 - EMTALA (Patient Dumping) must be linked to a federal deficiency.

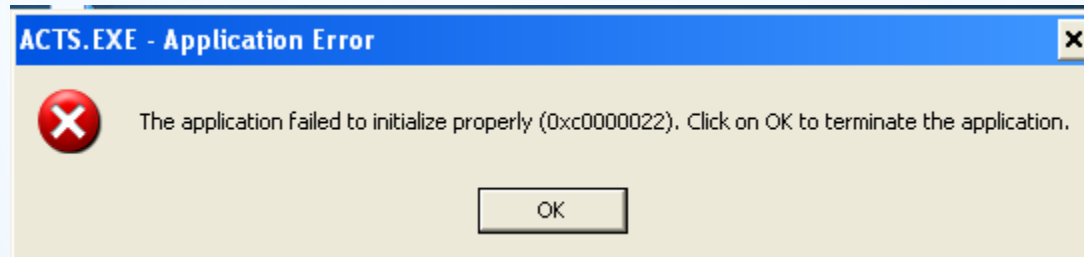
You share what you found in the documentation, but when the surveyor tries to link to the Allegation to the Federal Deficiency, it is grayed out. The surveyor can't select the deficiency to link it. Now what?

Answer 6

If the allegation is EMTALA and the RO has made an EMTALA Determination (i.e. Response on the EMTALA page), then only an RO user can link deficiencies to that allegation. You'll need to contact your RO staff to link the deficiencies.

Question 7

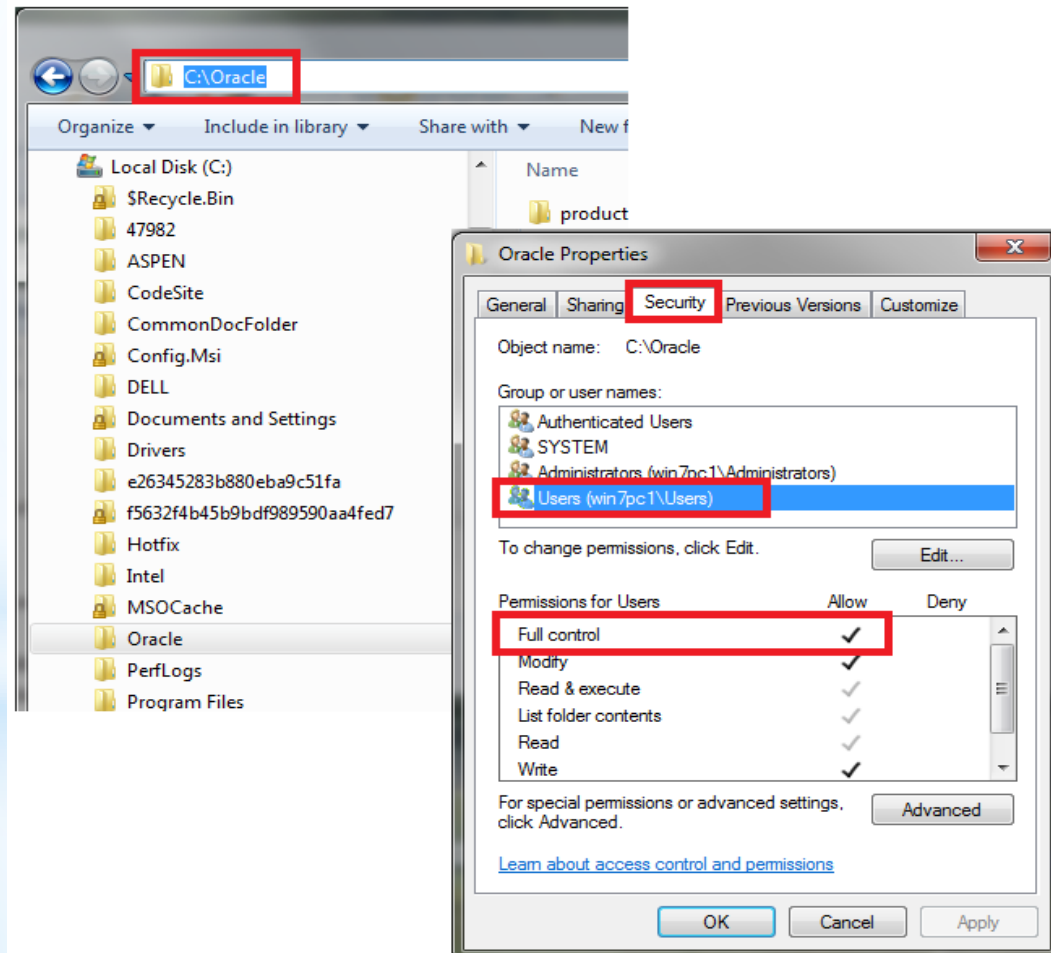
While working in ACTS, the following Application Error message displays:



How do you resolve this issue?

Answer 7

This is an Oracle permissions issue. User needs to have full control rights on the Oracle folders.



Question 8

During Prevalidate process, the system displays a message: No buildings exist for certification. How do you resolve?

The screenshot shows a web application interface with a navigation bar at the top containing the following tabs: "Certification & Surveys >", "Tracking >>", "Transmittal (CMS-1539) >>" (highlighted with a green checkmark), "Application Worksheet" (highlighted with a green checkmark), and "Upload" (highlighted with a red icon). Below the navigation bar, the main content area is divided into two sections. The first section, titled "Prior Certification Kit Uploads", contains a table with the following data:

Action	Date	Status	By	Error	Tr
03 ADD	01/26/2011 11...	-1 - F...	RICHARD, BENSON (09...	20 - Transaction edit err...	23

Below the table, there is a horizontal scrollbar. At the bottom of this section, there are four buttons: "Prevalidate and Upload", "Refresh List", "Print Entire List", and "Delete Pending". The second section, titled "Upload Transaction Errors", contains a message box with the text: "No buildings exist for certification."

Answer 8

In cert kit, on Cert & Survey tab, select LSC tab then right click in Building ID header and select Insert Existing Building.

The screenshot displays the 'Cert & Survey' interface. At the top, a table shows survey details for 'Food/ Proper Form' with dates '08/01/2013' and status '01-Non'. Below this is the 'Survey List' section, currently showing 'LSC 2786 (K9)' with 'Total Buildings: 1'. A table lists survey items with columns: Building ID, ODIE #, Comp Status, Comp All A1, Accepted POC A2, Waivers A3, and FSE A4. The first row shows 'Print 2786' with 'Building ID' '02'. A right-click context menu is open over the 'Building ID' header, with 'Insert Existing Building' highlighted in red. The bottom toolbar includes buttons for '+ New', 'Update', '- Remove', 'Citations Mgr', 'Survey Forms', and 'Update'.

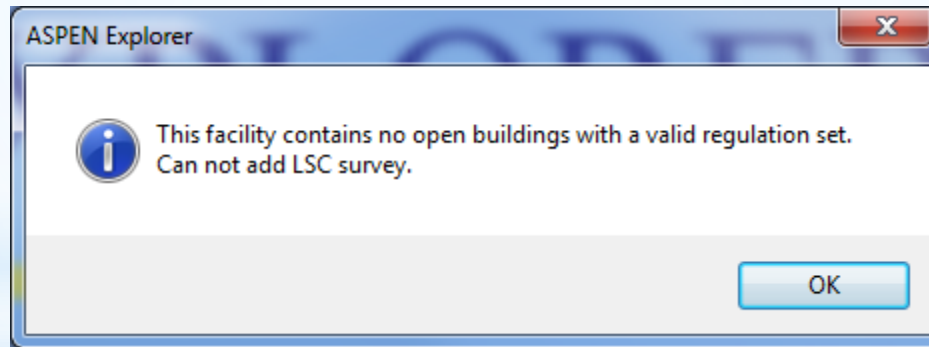
Building ID	ODIE #	Comp Status	Comp All A1	Accepted POC A2	Waivers A3	FSE A4
1	Print 2786	02		✓	✓	

Question 9

Staff member is trying to create an LSC survey but gets the following error message:

This facility contains no open buildings with a valid regulation set. Can not add LSC survey.

How do you fix this?



Answer 9

This facility doesn't have a building associated with the Facility Properties record. You'll need to create the building(s) in ACO and then create the survey in ACO.

The screenshot shows the 'Buildings/Wings' window in the ACO software. The window has a tabbed interface with the following tabs: Facility Definition, Addresses, Buildings/Wings (selected), Associations, Administration, Ownership, Licensing, and Other. The main area contains a table with the following headers: Building ID, Effective Date, Building Name, CMS Type (K3), Closed On, Stories, and Construction Type. The table is currently empty. Below the table, there is a small icon of a building with a red 'H' on top. To the right of the icon are three buttons: '+ New', 'Modify' (with a document icon), and 'Delete' (with a red minus sign). Further right is a 'Color Key' section with four entries: 'No eff. date, not closed' (white square), 'Eff. date, not closed' (blue square), 'Closed' (grey square), and 'Licensed only' (green square). At the bottom of the window, there are buttons for 'Notes...' (with a pencil icon), 'Print' (with a printer icon), 'OK', 'Cancel', and 'Help'.

Building ID	Effective Date	Building Name	CMS Type (K3)	Closed On	Stories	Construction Type
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+ New Modify Delete

Color Key

- No eff. date, not closed
- Eff. date, not closed
- Closed
- Licensed only

Notes... Print OK Cancel Help

Question 10

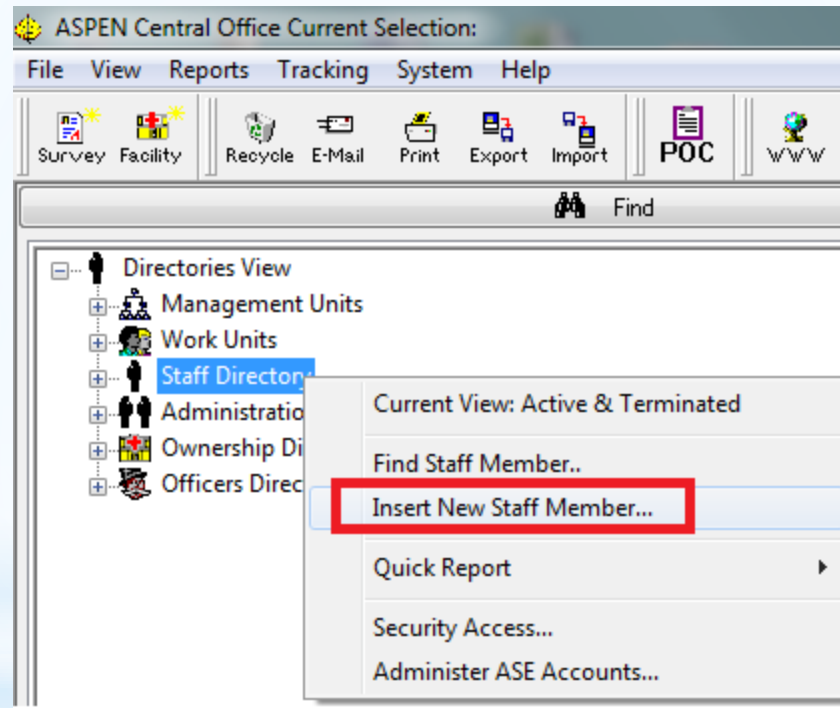
A new employee tries launching ACO for the first time and gets the following error message:

Login ID not in Personnel table.

How can you resolve this issue?

Answer 10

Add the staff member to the ACO Staff Directory.

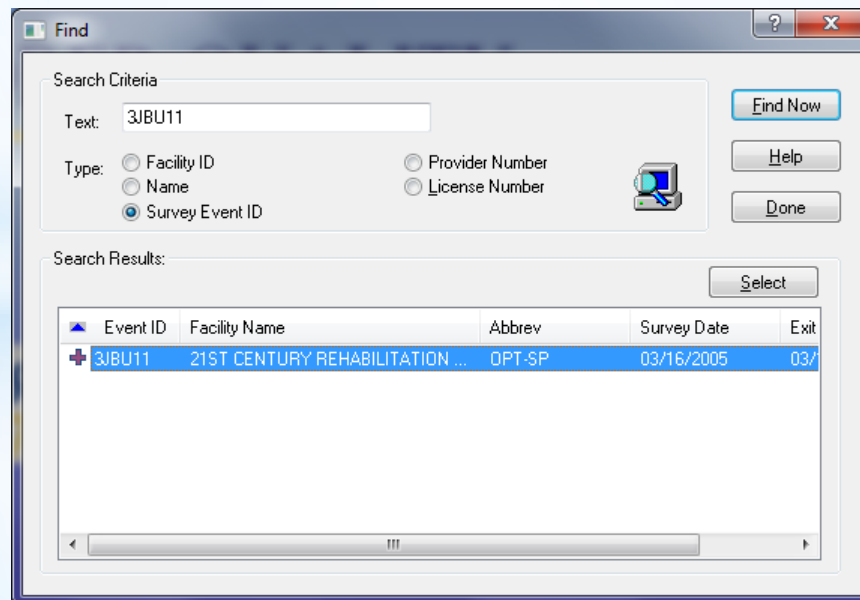


Question 11

You get the following email from a surveyor:

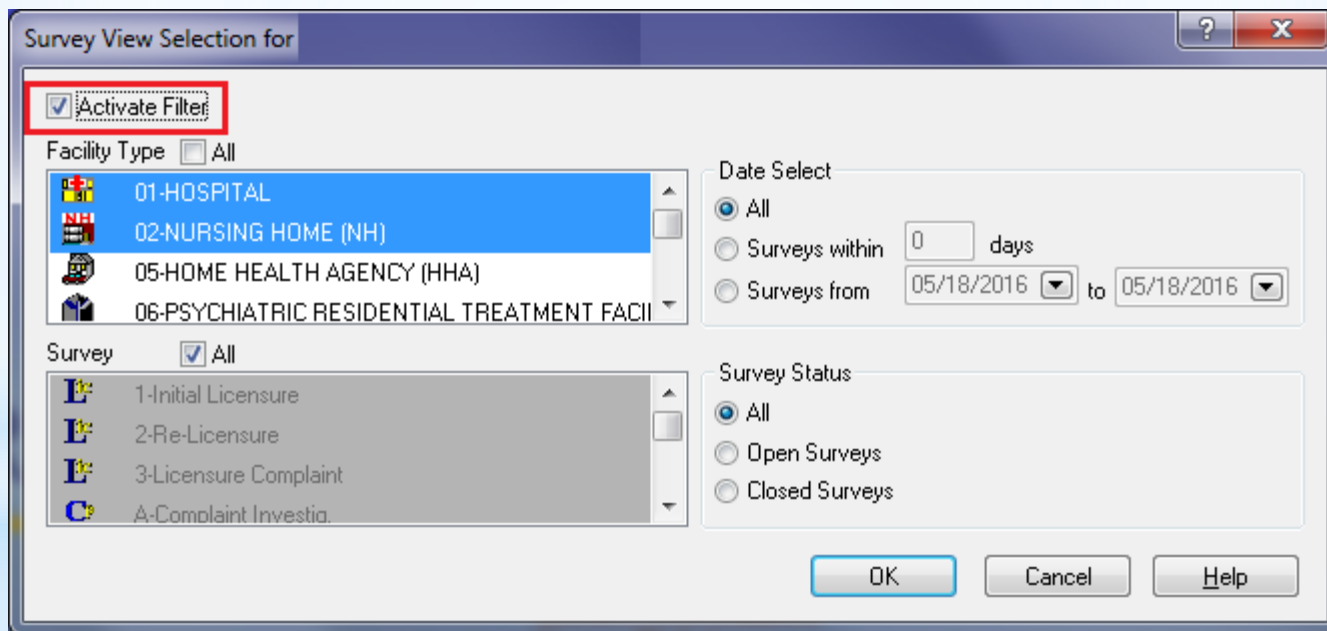
Survey shell cannot be seen after importing to ASEQ on my machine. I can search to locate the survey but it's not in the tree view. Do you think I may need to reinstall ASE on this laptop?

Your first response should be ...



Answer 11

First check for an active selection set by clicking Filter in the toolbar and remove the checkmark in the Activate Filter checkbox.



Question 12

Trying to finalize an intake causes the system to display the following edit check message:

<Intake ID> can not be finalized for these reasons: Allegation Page Edit Checks: You must enter an allegation for this intake.

What is the next step?

The screenshot shows the 'Investigation Properties' window with a 'Deficiencies' table. A modal dialog box titled 'Finalization Not Allowed' is displayed over the table, indicating that the intake cannot be finalized due to missing allegations.

Deficiencies Table:

Tag	Type	Description	SS	Cert	Cmplnt	Completion (X5)	Corrected	IDR Status	IDR Status	Refused	Waived	Status
0000	M	INITIAL COMMENTS		<input type="checkbox"/>	<input checked="" type="checkbox"/>			01-Non	01-Non	<input type="checkbox"/>		
0309	R	PROVIDE CARE/SERVICES F K		<input type="checkbox"/>	<input checked="" type="checkbox"/>		09/11/2013	07-Exa	01-Non	<input type="checkbox"/>		7 - Corrected
0441	R	INFECTION CONTROL, PREV F		<input type="checkbox"/>	<input checked="" type="checkbox"/>		08/23/2013	01-Non	01-Non	<input type="checkbox"/>		7 - Corrected
0000	M	Initial Comments		<input type="checkbox"/>	<input checked="" type="checkbox"/>			01-Non	01-Non	<input type="checkbox"/>		
1070	R	Quality of Care	K	<input type="checkbox"/>	<input checked="" type="checkbox"/>		09/11/2013	07-Exa	01-Non	<input type="checkbox"/>		7 - Corrected
1303	R	Infection Control	F	<input type="checkbox"/>	<input checked="" type="checkbox"/>		08/23/2013	01-Non	01-Non	<input type="checkbox"/>		7 - Corrected
1309	R	Infection Control	F	<input type="checkbox"/>	<input checked="" type="checkbox"/>		08/23/2013	01-Non	01-Non	<input type="checkbox"/>		7 - Corrected

Finalization Not Allowed

704 can not be finalized for these reasons:
Allegation Page Edit Checks:
You must enter an allegation for this intake.

OK

Answer 12

When a complaint is made, and an investigation begun, allegations made against the provider/facility must be identified in the Intake. Then the investigation will determine what Findings are made against those initial allegations.

This system message tells us that there are no Allegations defined for the linked investigation. Click the Add button on the Allegations tab and enter the appropriate item(s) then Link as necessary and select the Findings to complete. Once completed properly, selecting Finalize should allow you to move forward.

Question 13

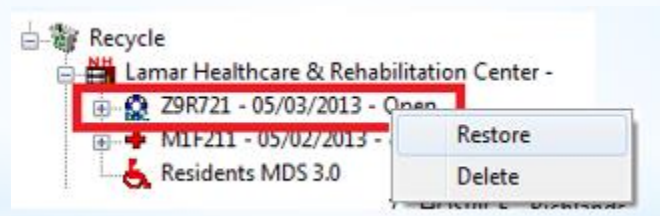
An LSC survey associated with certification kit Z9R7 is cancelled so the survey file is sent to the Recycler.

Two weeks later, the State Agency is notified that the survey needs to be conducted but when the staff member tries to create the survey, he gets an error message stating that the survey already exists when clearly it doesn't display in the Alpha tab.

How do you resolve this situation?

Answer 13

Go to the Recycler and locate the facility node and expand. Right click on the event ID and select Restore.



Question 14

There are two possible conditions that enable and make the IJ indicator required in ARO/ACTS RO. What are they?

Answer 14

1. A survey has condition level citations

And/or

2. An EMTALA survey has EMTALA citations.

Question 15

ASE-Q logins and permissions are maintained in ACO and exported to local ASE-Q databases.

Where in ACO are these settings defined?

Answer 15

Locate the surveyor profile record in
Directory tab > Staff Directory > Staff member >
Employee Identification tab.

The screenshot shows the 'Update Surveyor Information' window with the 'Employee Identification' tab selected. The window contains several sections for updating a surveyor's profile:

- Identification:** Includes fields for 'State Employee ID', 'Federal Surveyor ID', and a button 'Assign Federal Surveyor ID'.
- Name and Title:** Includes fields for 'First', 'M. I.', 'Last', 'Federal Title', 'State Title', and 'General Staff Type'.
- Contact Information:** Includes fields for 'E-Mail Address', 'Phone', 'Phone Extension', and 'Work Location'.
- Staff Access and Type:** Includes a dropdown for 'Staff Home Agency' (set to 'STATE'), and fields for 'ACO/ARO Login ID' and 'CASPER Login ID'. A red box highlights the 'ASE-Q Login ID' field and the 'Use ACO Login' button.
- National Access Levels:** Includes a dropdown for 'ASPEN Web Access Level' (set to 'NA No Access') and an 'Enable Update' button.
- ASE-Q Access Levels:** Includes checkboxes for 'Assessment', 'ASE-Q Admin', 'QIS', 'Survey Only', and 'Complaints' (which is checked).

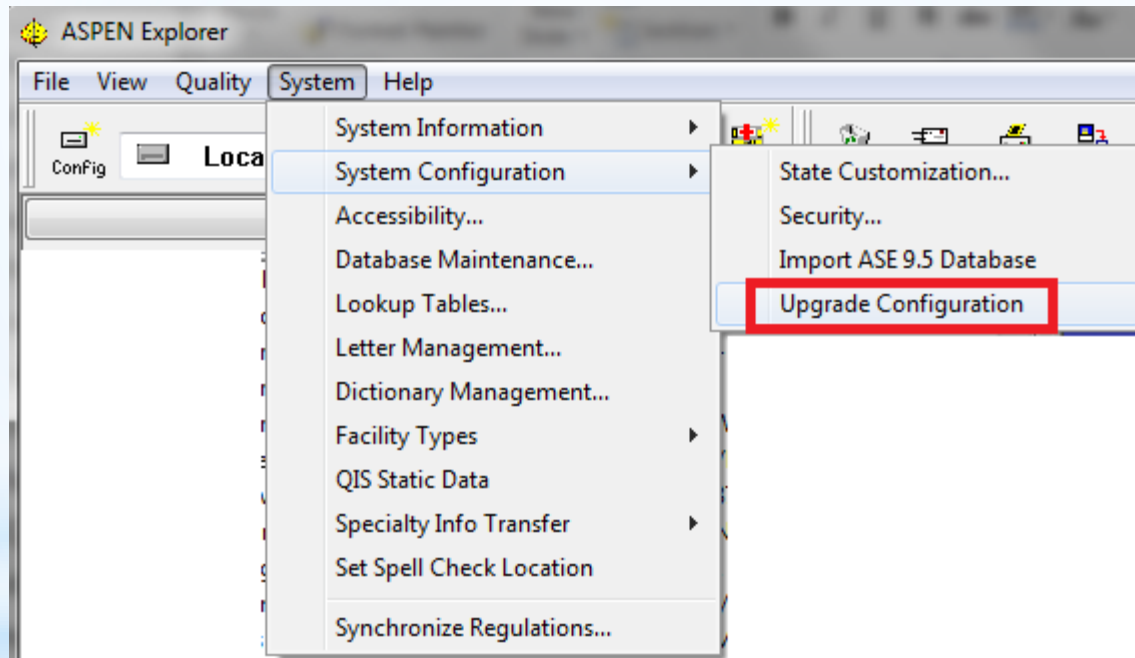
At the bottom of the window are 'OK' and 'Cancel' buttons.

Question 16

In ASE-Q, where do you specify the upgrade method for users and whether to display connection errors?

Answer 16

You use the Upgrade Configuration option in ASE-Q found at System > System Configuration.

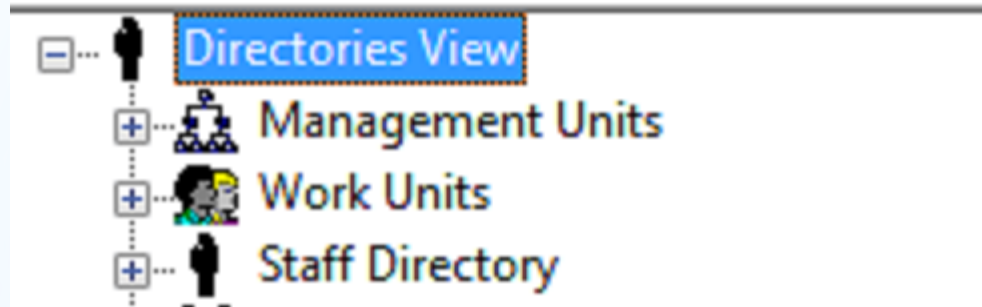


Question 17

ACO provides a three-level hierarchy of agency organizational units that you can adapt to suit your State's management structure: staff members, work units, and _____ .

Answer 17

Management Units



Question 18

Microsoft has multiple versions of both their O/S and Internet Explorer out in the world.

Identify the versions of both the O/S and IE currently supported by CMS, per the 2016 MPD.

Answer 18

O/S supported:

Windows 7 - 32 and 64 bit

Windows 8.1 - 32 and 64 bit

Browsers supported:

Internet Explorer v 9.0

Internet Explorer v 10.0

NOTE: Windows IE 11.0 can be used if the Compatibility View setting is updated with the qiesnet.org entry.

Question 19

Per the Mission and Priority Document from CMS, ASPEN will not permit data transfers of any type on a computer with an active wireless connection that is not _____.

Answer 19

Wi-Fi Protected Access (WPA) compliant

Question 20

What main business processes does the ePOC application streamline?

Answer 20

Issuing the CMS-2567 to the provider, submission of the Plan of Correction by provider, and approval/rejection of the POC by SA/RO.

Question 21

For which 2 action items will ASPEN *always* generate associated emails, regardless of personnel setup?

Answer 21

1. Unable to Upload Investigation, and
2. Unable to Upload Certkit

Question 22

User in ACTS is trying to preview a letter under the Notices button for the current intake, and it won't open. You learn that they connected to ACTS via CITRIX.

What's the probable issue?

Answer 22

When connected via the CITRIX network, a user needs the third-party application *Screwdrivers* installed on their computer for letters to display correctly.

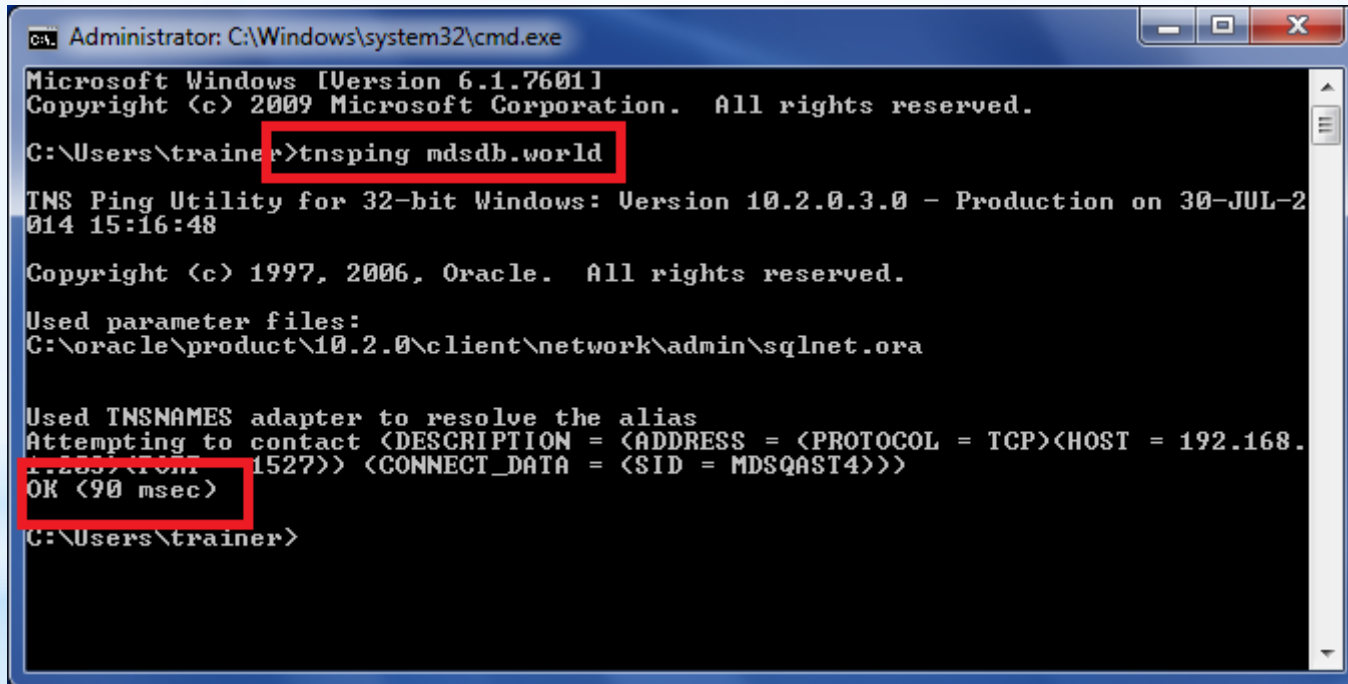
Question 23

What can you enter at the Windows command prompt to verify if the ASPEN database is 'listening' for a connection?



Answer 23

tnsping MDSDB.world command will let you verify that the database listener is communicating.



```
Administrator: C:\Windows\system32\cmd.exe
Microsoft Windows [Version 6.1.7601]
Copyright (c) 2009 Microsoft Corporation. All rights reserved.

C:\Users\trainer>tnsping mdsdb.world

TNS Ping Utility for 32-bit Windows: Version 10.2.0.3.0 - Production on 30-JUL-2014 15:16:48

Copyright (c) 1997, 2006, Oracle. All rights reserved.

Used parameter files:
C:\oracle\product\10.2.0\client\network\admin\sqlnet.ora

Used TNSNAMES adapter to resolve the alias
Attempting to contact (DESCRIPTION = (ADDRESS = (PROTOCOL = TCP)(HOST = 192.168.1.203)(PORT = 1527)) (CONNECT_DATA = (SID = MDSQAST4)))
OK (90 msec)

C:\Users\trainer>
```

Question 24

What are the three ACTS upload types?

Extra credit: How do they differ?

Answer 24

- ❑ **CSP-INT** (INTK) 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*.

Question 25

How many certification kits are allowed in ASE-Q?

Answer 25

Zero, ASE-Q doesn't import certification kits.

Question 26

What do the letters in ASPEN stand for?

Answer 26

Automated
Survey
Processing
ENvironment