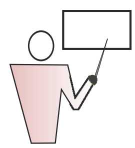
# ASPEN
# Technical Training
# 2013

# About this Document

Some administrative areas of the ACO system are designed as single user functions and therefore cannot be performed by the entire class at once. Tasks that involve those areas will be demonstrated by your instructor.

| Graphic | Description |
|---|---|
| Instructor graphic  | Indicates tasks to be performed by the instructor only. |
| Group graphic  | Indicates tasks all participants can enjoy. |

**Bold** text in this document indicates field names, active selections and typed entries.

# Your Assigned Training Letter

Each training computer has been assigned a letter (A through V). Many exercises have you enter information into the database. To help separate trainee entries, we ask that you prefix the information with the letter of your computer. The exercises will tell you when and how this applies.

# ASPEN Acronyms

Current applications:

- ACO – ASPEN Central Office
- ARO – ASPEN Regional Office
- ASE-Q – ASPEN Survey Explorer-Quality
- ACTS – ASPEN Complaints/Incidents Tracking System
- AST – ASPEN Scheduling & Tracking
- AEM – ASPEN Enforcement Manager

We use the umbrella term "ASPEN" when referring to features that apply to all of these applications.

# Notes

Information in this training guide is subject to change without notice. All brand or product names are trade names, service marks, trademarks, or registered trademarks of their respective companies or organizations.

# CONTENTS

# Section 1. ASPEN Install Process (ACO/ARO/ACTS/ASE-Q)

***Included in this section:***

- ✓ Installation Requirements
- ✓ Oracle Database Connection-TNSNAMES.ORA
- ✓ Recommended Configurations for ASPEN Products

# 1.1 Installation Requirements

## 1.1.1 ACO/ARO, ACTS and ASE-Q Storage Space Needed

**Table 1-1: ASPEN Hard Disk Requirements**

| Software | Disk Space |
|---|---|
| ACO/ARO[a] and ACTS Client | 250MB |
| ACO/ARO Shared | 100MB |
| ACTS Shared | 100MB |
| ASE-Q Full | 2.25GB |

*a. AST and AEM systems are embedded in ACO/ARO and do not require separate installation.*

**Note:** Installations for a Windows Vista or later system require the user to have Oracle 11g (11.2.0.3) to work properly with ASPEN.

## 1.1.2 Hardware Recommendations for ASPEN Products

CMS includes hardware recommendations in the Mission & Priority Document (MPD) that is published for each fiscal year. The MPD is available to state and Federal employees on the S&C PDQ web site https://pdq.cms.hhs.gov.

## Table 1-2: Minimum and Recommended Client Requirements: EXISTING or NEW EQUIPMENT

| Component | Minimum | Required for QIS Implementation Recommended for All |
|---|---|---|
| Processor | Pentium Class (or equivalent) @ 1.2 GHz | Pentium Class (or equivalent) @ 2.0 GHz |
| Memory (RAM) | 1 GB | 4 GB |
| Available Disk Space | 4 GB | 10 GB on SATA 2 drive at 7200 RPM |
| Monitor | 15" Color VGA<br>SVGA for laptop or tablet | Desktop 19": Color Flat Panel<br>≥1024x768 screen resolution Flat Panel for laptop or tablet |
| Operating System* | Windows XP, – 32 bit<br>Windows Vista – 32 bit | Windows 7 – 32 bit<br>Windows 7– 64 bit |
| Runtime Platform** | Windows .NET Framework 3.5 | Windows .NET Framework 3.5 |
| Secure Access/Encryption<br>(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<br>(see Encryption Policy) | USB Drive | USB Drive |
| Pointing Device | Mouse or equivalent<br>(e.g. trackball or touchpad) | Mouse or equivalent<br>(e.g. trackball or touchpad) and Pen/Stylus |
| Network Interface Card<br>(See CMS ARS security guidelines for acceptable wireless configurations) | Wired for network connectivity; and<br>Wireless network cards must support WPA-level encryption | Wired for network connectivity; and<br>Wireless network cards must support WPA-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 |
| Side-to-Rear Cooling (laptop or tablet) | Not required | Recommended for all |
| Browser*** | Internet Explorer v 8.0/v 9.0 | Internet Explorer v 9.0 |

* The Windows 8 operating system has not yet undergone compatibility testing by CMS. States wishing to deploy equipment with Windows 8 during FY 2014 should contact the QTSO help desk (888-477-7876) to obtain current information on the status of CMS software support in this operating system.
Note: Operating systems need to be current with all Windows security updates.

** The .NET Runtime is integrated into Windows Vista and Windows 7. A separate install is not necessary. ASPEN 10.1.5 will automatically install the .NET Runtime when it is not already on the system.

*** Microsoft has released a new version of its browser – Internet Explorer v 10.0. CMS systems will not be fully validated with this new browser during the period covered by this document. States considering implementing Internet Explorer v 10.0 should carefully evaluate CMS software with this browser before full-scale deployment. In some cases, Internet Explorer v 9.0 will need to operate in compatibility mode in order for the software to operate properly.
Please note that Internet Explorer v 8.0 will not be supported during the FY 2015.

## 1.2 Oracle Database Connection-TNSNAMES.ORA

Connections to Oracle databases are defined in a configuration file named TNSNAMES.ORA. The file is located in the <Oracle Home>\network\admin folder. The default <Oracle Home> is usually C:\ORACLE\ORA11g.

### 1.2.1 About Oracle Homes

An Oracle Home is the base folder that contains the Oracle software needed to connect to a database. Multiple Oracle Homes are used when you install different versions of Oracle software on the same computer.

When configuring Oracle Homes on a new computer, you can skip Oracle's configuration wizard (press Cancel). Instead, once the Oracle install is finished, copy the TNSNAMES.ORA and SQLNET.ORA files from a computer with an existing QIES Oracle connection and put them in the <Oracle Home>\network\admin folder on the new computer.

### 1.2.2 State Agencies

For State Agency users, the TNSNAMES.ORA file must contain an entry for connecting to the CMS State Database. An example of that entry would look like this:

```
MDSDB.WORLD =
    (DESCRIPTION =
            (ADDRESS = (PROTOCOL = TCP)
            (HOST = xx.xxx.x.xx)
            (PORT = 1521)
            )
             (CONNECT_DATA = (SID = MDS))
    )
```

The "HOST =" is the IP address of the CMS State Database and differs for each state. All other pieces of this entry are the same.

### 1.2.3 Regional Offices

The TNSNAMES.ORA file for Regional Office users must be configured with a NATQIES.WORLD entry plus entries for each state database to which the RO user will connect. The NATQIES.WORLD entry contains information for connecting to the National Server. Some examples are:

```
NATQIES.WORLD =
    (DESCRIPTION =
 (ADDRESS = (PROTOCOL = TCP)
               (HOST = xx.xx.xx.x)
               (PORT = 1521)
           )
            (CONNECT_DATA = (SID = MDS))
    )

CO.WORLD =
    (DESCRIPTION =
 (ADDRESS = (PROTOCOL = TCP)
               (HOST = xxx.xx.xxx.x)
               (PORT = 1521)
           )
            (CONNECT_DATA = (SID = MDS))
    )
WY.WORLD =
    (DESCRIPTION =
 (ADDRESS = (PROTOCOL = TCP)
               (HOST = xxx.xx.xxx.x)
               (PORT = 1521)
           )
            (CONNECT_DATA = (SID = MDS))
    )
```

## • Task 1-A: Locate and Open TNSNAMES.ORA

TNSNAMES.ORA is located in *C:| Program Files|Oracle|Ora11g|Network|Admin*.

**1** From the **Desktop**, double-click **My Computer**; some systems may require you to click **Start**, then **My Computer**.

**2** In the My Computer window, select **Local Disk (C:)**.

**3** Open (double-click) in succession, the **Oracle** folder, then the **Ora11g** folder, then the **Network** folder, then the **Admin** folder.

**4** In the Admin folder, double-click **TNSNAMES.ORA**.

- You may see a message that says, "Windows cannot open the file." In that window, choose **Select the program from a list**, then click **OK**.
- In the Open With window, select **Notepad** and click **OK**.

  TNSNAMES opens in Notepad.

**5** To close the Notepad window, select **File**, then **Exit**.

# 1.3 Recommended Configurations for ASPEN Products

## 1.3.1 ASPEN Install Methods

### *Shared Install*

A shared install places files that are shared by all ASPEN users into a central location on the state server.

### *Client Install*

A client install places files that are required by individual workstations into ASPEN folders on each workstation.

### *Full Install*

A full install copies all application files (both shared files and client files) into a designated ASPEN folder.

### *Thin Install*

Thin installs are often used for ASPEN updates. Thin installs are distributed in a .zip file, whose contents may be extracted into existing ASPEN folders.

### 1.3.2 ACO/ARO and ACTS Installs

The recommended procedure for installing ACO/ARO and ACTS is to install the shared components to a network server and the client components to each client computer that will access the ASPEN programs.

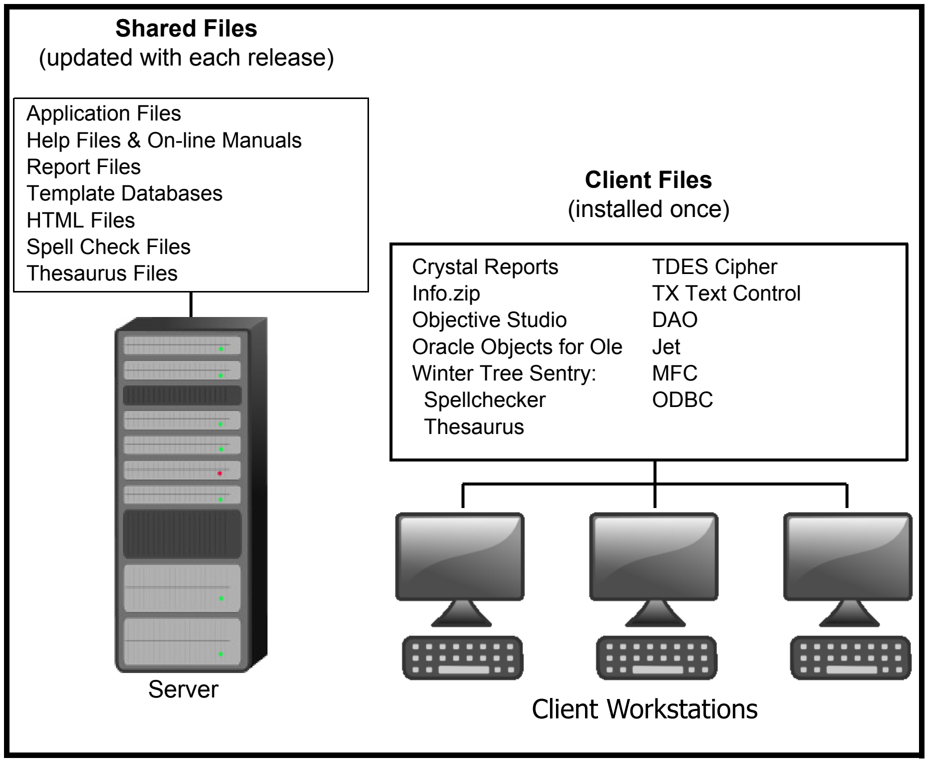



*Figure 1-1: Best configuration for ACO/ARO and ACTS. Install shared files onto a network server; client files on local workstations.*

This configuration makes it easier to apply software updates, since we normally update only the ASPEN program and report files, which are shared. If all shared files are on the network server, only the server needs to be updated. If each client has a full install of ASPEN, then each client needs to be updated whenever a new version is released.

## 1.3.3 ASPEN Survey Explorer-Q

### *Standalone — Full Install*

Since ASPEN Survey Explorer (ASE-Q) is intended to work as a standalone application (i.e., independent of any connection to a shared network location), the full installation puts both shared and client files on the local computer. ASE-Q Full installs are required for initial installations only.

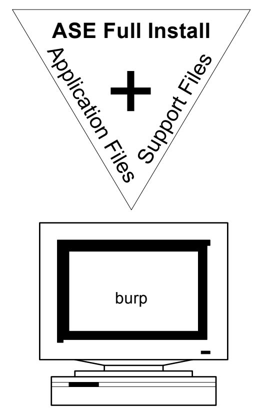



*Figure 1-2: Recommended ASE-Q configuration, with all files copied to each computer.*

## 1.3.4 Thin Installs

ACO and ACTS "thin install" options allow users to update only the shared files on the network. This option makes upgrading much faster because it doesn't require running an actual install program, and it doesn't require any client installation at all.

A thin install for ASE-Q allows users to extract zip file contents to the ASE-Q folder on each machine that has an ASE-Q installation.

## 1.3.5 Windows Settings

All ASPEN users require the following settings.

### *Short Date Format*

The short date format used within the application is "MM/DD/YYYY". ASPEN changes the Windows date format automatically when necessary.

### *Display Resolution*

The ASPEN interface design standard is for a screen resolution of 800 X 600. The recommended resolution setting is 1024 x 768. The higher resolution allows a greater amount of information to be displayed to the user and provides for a more efficient working environment.

Running at lower resolutions such as 640 X 480 prevents some windows from fully displaying on the user's screen.

## 1.3.6 Sybase SQL Anywhere Database

ASE-Q includes an installation of the Sybase SQL Anywhere database.

The Sybase database runs as an automatic service wherever ASE-Q is installed. The load is minimal, but you should know that Sybase is “always on”. Some troubleshooting and backup procedures may require closing Sybase temporarily. If you close Sybase, you will need to restart Sybase manually (or reboot the computer) before ASE-Q can open.

ASE-Q opens Sybase SQL Anywhere only for users who have logins and security privileges that are already entered in the ASE-Q database. Logins and permissions are created and maintained in ACO. User account files may be exported to a transfer file, then imported into the ASE-Q database. If you create a survey in ACO, logins and permissions for team members are included in survey transfer files.

## • Task 1-B: Stop Sybase SQL Anywhere Database

If you need to temporarily shut down the Sybase SQL Anywhere database:

1 Select **Start** | **Run**.

2 In the Run window, type **services.msc**.

3 In the Name column of the Services window, right-click **SQL Anywhere** and select **Stop**.

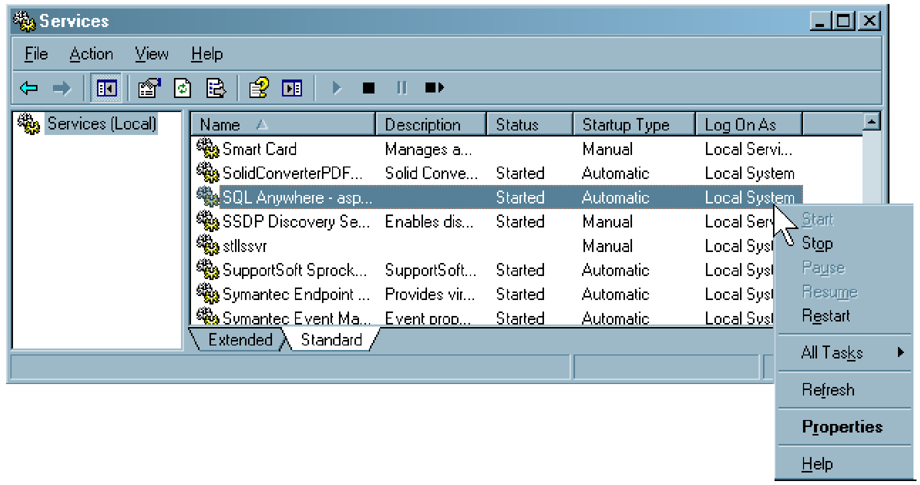



*Figure 1-3: Services.msc window*

Alternatively, you can right-click the Sybase icon  in the notification area of the Windows taskbar (next to the clock), and select **Shut down**.

## • Task 1-C: Start Sybase SQL Anywhere Database

You can restart the SQL Anywhere database by rebooting the computer, or

**1** Select **Start** | **Run**.

**2** In the Run window, type **services.msc**.

**3** In the Services window, right-click **SQL Anywhere** and select **Start**.

# Section 2. State Customization

***Included in this section:***

- ✓ State Customization
- ✓ State Agency Setup and Modification - ACO
- ✓ Regulation Sets - State and Federal
- ✓ Content Library
- ✓ ASPEN Facility Types: Federal and State Provider Categories
- ✓ Configure Tree Groups
- ✓ Configuring State Email Notification of Action Items
- ✓ Using the ASPEN Browser
- ✓ Recommended Practices
- ✓ Attachments
- ✓ AST - The Main Views

# 2.1 State Customization

## 2.1.1 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.

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

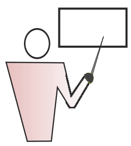
**Note:** RO and CO users are not assigned to specific agencies. When RO and CO users print reports and letters that contain the state agency name or acronym, ASPEN uses the **RO/CO Default** that is set in the State Customization window.

You also use this window to enable Facility Type security, and to set the survey encryption password.

## 2.1.2 State Configuration in ACTS

ACTS has a State Configuration window that governs the state agency name that prints on CMS Form 1541 for hospitals. Other CMS forms, reports, and letters printed from ACTS use the agency names as entered and/or assigned to users in ACO. Specify State-specific Details in ACO.

# • Task 2-A: State Customization



**1** From ACO, select System | System Configuration | State Customization. Supply a password if requested.

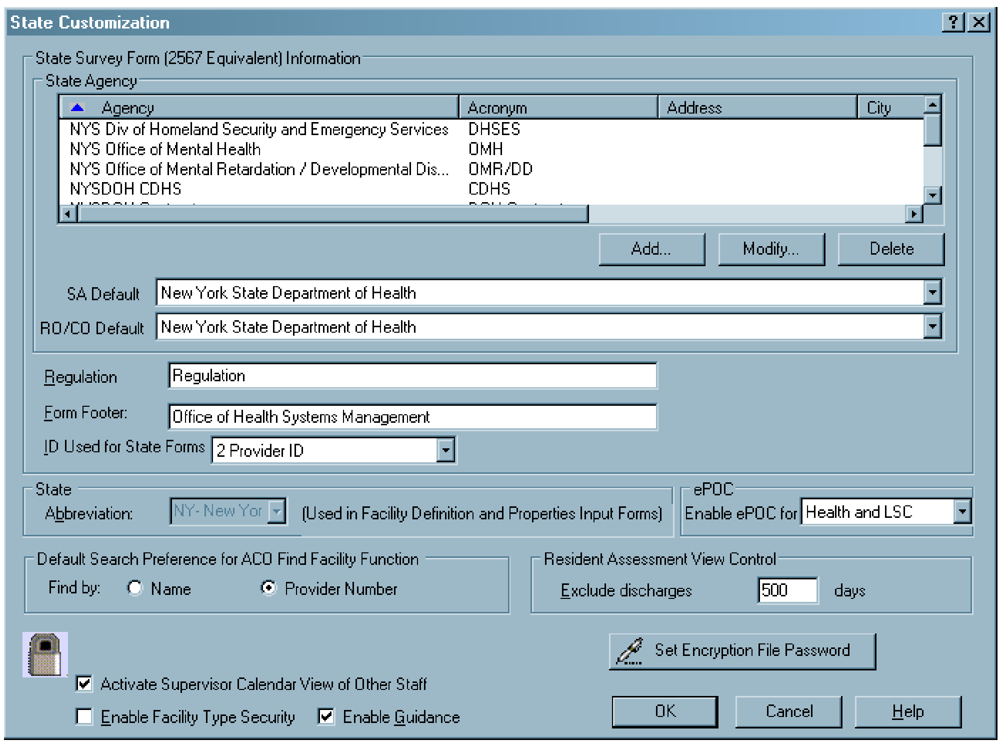



*Figure 2-1: State Customization window*

**2** Complete the information as required by your State Agency.

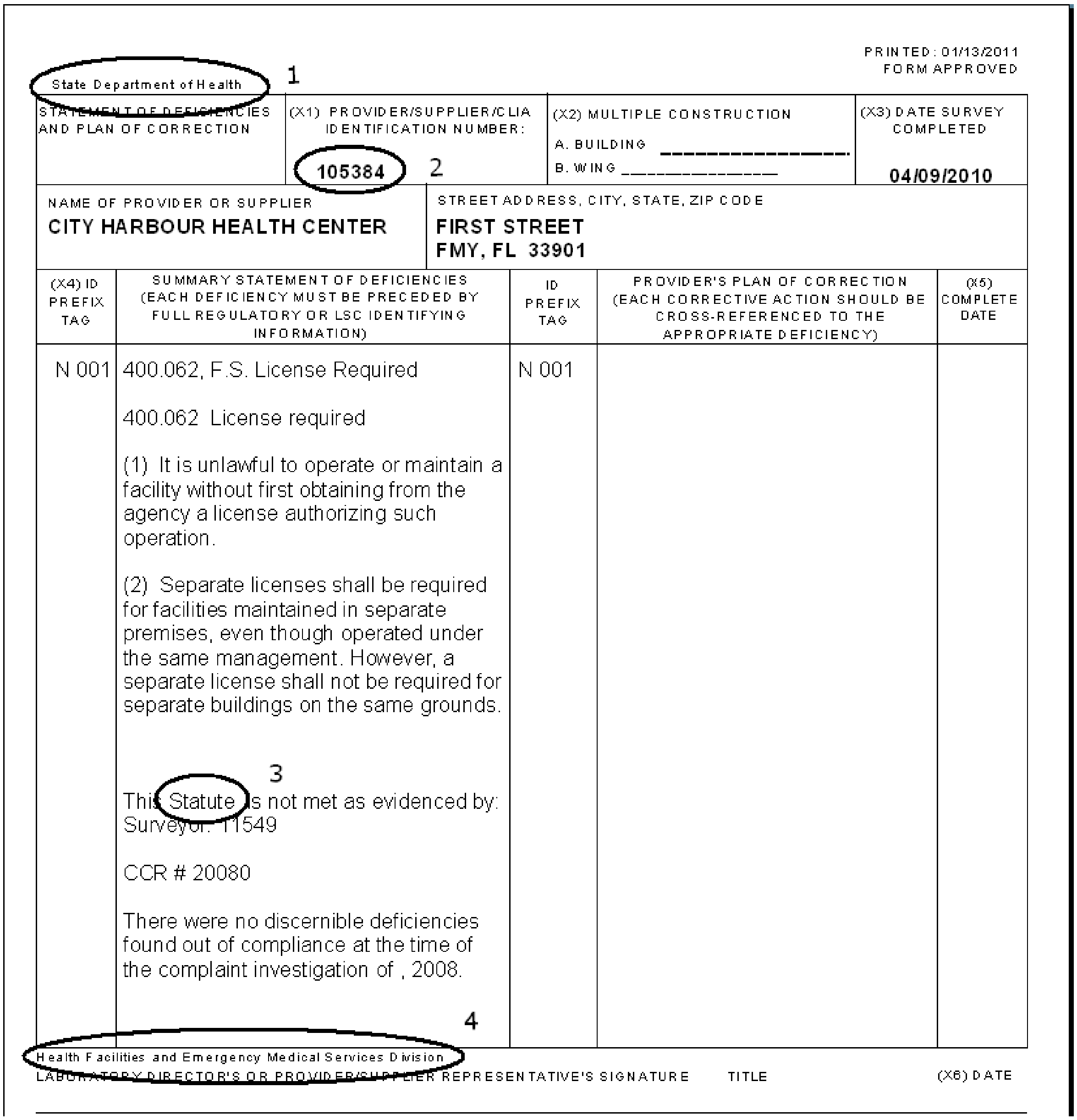
**3** Click **OK** when done.

### Table 2-1: 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.<br><br>Agency name prints on the header of the CMS-2567 report for state surveys and is used in the State Agency letter macro. See #1 in *Figure 2-2*. |
| 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. See #3 in *Figure 2-2*. |
| Form Footer | Text that prints in the Form Footer of the CMS-2567. See #4 in *Figure 2-2*. |
| ID Used for State Forms | Prints in Box X1 (Provider/Supplier/CLIA Identification Number) of the state version of the CMS-2567. See #2 in *Figure 2-2*. |
| 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. |
| 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.<br><br>**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. |

## Table 2-1: Definitions of Fields in the State Customization window (cont.)

| Field Name | Description |
|---|---|
| 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. |



PRINTED: 01/13/2011
FORM APPROVED

State Department of Health 1

| STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION | (X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: 105384 2 | (X2) MULTIPLE CONSTRUCTION A. BUILDING ________ B. WING ________ | (X3) DATE SURVEY COMPLETED 04/09/2010 |
|---|---|---|---|

| NAME OF PROVIDER OR SUPPLIER | STREET ADDRESS, CITY, STATE, ZIP CODE |
|---|---|
| CITY HARBOUR HEALTH CENTER | FIRST STREET<br>FMY, FL 33901 |

| (X4) ID PREFIX TAG | SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION) | ID PREFIX TAG | PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY) | (X5) COMPLETE DATE |
|---|---|---|---|---|
| N 001 | 400.062, F.S. License Required<br><br>400.062 License required<br><br>(1) It is unlawful to operate or maintain a facility without first obtaining from the agency a license authorizing such operation.<br><br>(2) Separate licenses shall be required for facilities maintained in separate premises, even though operated under the same management. However, a separate license shall not be required for separate buildings on the same grounds.<br><br>3<br>This Statute is not met as evidenced by:<br>Surveyor: 11549<br><br>CCR # 20080<br><br>There were no discernible deficiencies found out of compliance at the time of the complaint investigation of , 2008.<br><br>4 | N 001 | | |

Health Facilities and Emergency Medical Services Division
LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE TITLE (X6) DATE

*Figure 2-2: Where customization choices appear on the State CMS-2567, numbered items are described in Table 2-1 on page 26.*

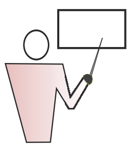
## 2.2 State Agency Setup and Modification - ACO

You can add multiple State Agency names and acronyms in ACO, and designate a State Agency default and a Regional Office/Central Office default.

You can assign an agency name to individual employees in their employee record (described in “Employee Details Tab” on page 115). ACO and ACTS insert the assigned agency name when that employee prints letters and reports.

If no agency name is assigned in the employee record, ACO and ACTS use the default agency name and its acronym in letters and reports. For ROs and COs, the RO/CO default is used in letters and reports.

## • Task 2-B: Enter a State Agency Name in ACO



1 In ACO, select **System | System Configuration | State Customization**.
2 Enter the Security Clearance password, if requested.
3 In the State Agency section, click **Add** to insert an agency.
4 Enter the name of the **State Agency** and its **Acronym**, then click **OK**.

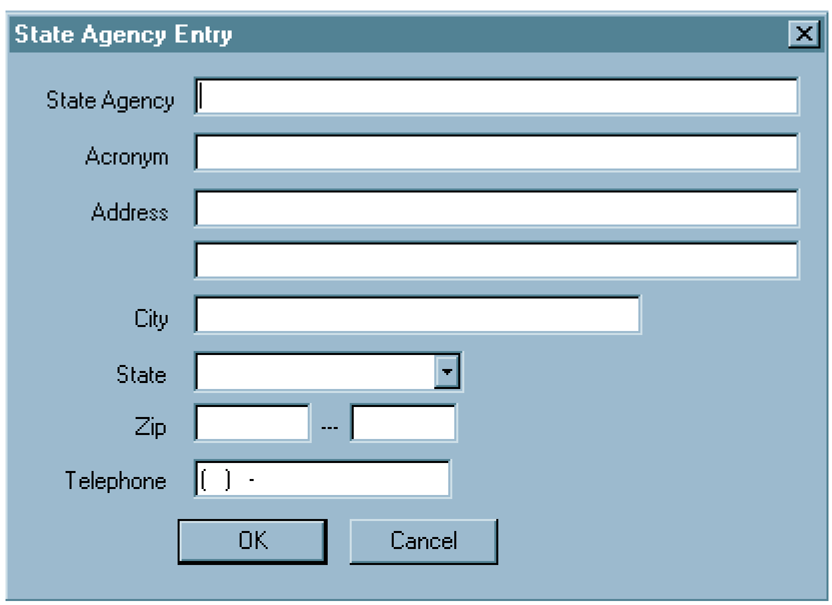



*Figure 2-3: Adding State Agency in ACO*

The new agency appears in the State Agency section.

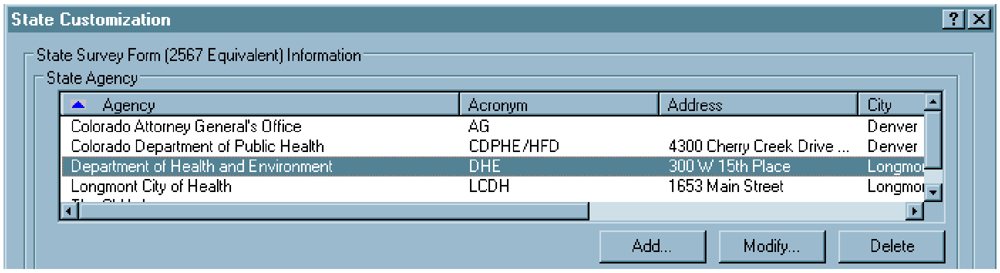



*Figure 2-4: New State Agency in State Customization window*

### *Modifying an Agency Name or Acronym*

- Select the target agency in the State Agency list and click **Modify**.
- Edit as needed, then click **OK**.

## 2.3 Regulation Sets - State and Federal

The ACO database stores both Federal and State regulation sets. Federal regulation sets are maintained by CMS and cannot be changed.

Telligen loads new Federal reg sets on state databases during ASPEN upgrades. When there are changes or additions to a reg set between upgrades, Telligen posts a patch file on the QTSO website so states can download the patch file to update their systems.

States individually update each ASE-Q instance with the reg sets needed by surveyors. If the state can connect ASE-Q directly with the Oracle MDSDB database, ASPEN contains an option to synchronize reg sets. This is described in “Synchronize Regulations via Direct Connect” on page 337.

### 2.3.1 Regulation Set Display

ACO enhances display control of regulation sets, so users can exclude inactive regulations sets from the tree. This command is available under the File menu.

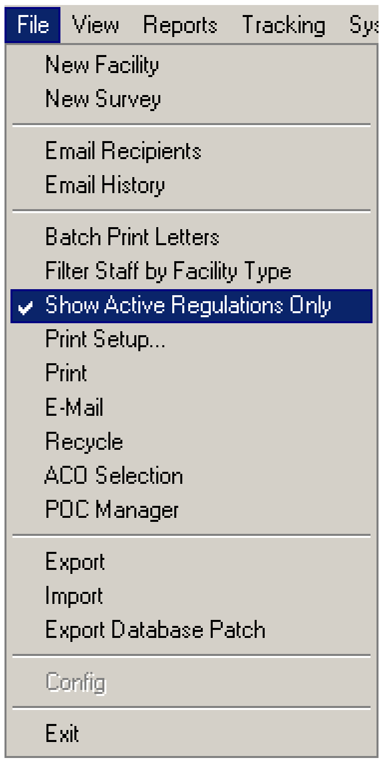



*Figure 2-5: Option to Show Active Regulations Only*

You can de-select **Show Active Regulations Only** when you need to see all regulation sets. The Regulations node in the ACO tree indicates the current viewing status:

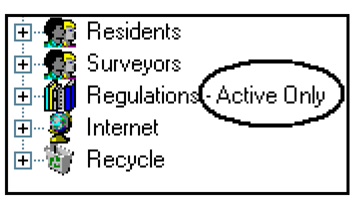



*Figure 2-6: Regulations node showing Active Only mode*

## 2.3.2 Exporting Regulations — State and Federal

Use ACO's export function to make the completed reg set available to ASE-Q users. You can export State and Federal regulation sets to any location you specify. The default file name is REGTX.ZIP.

**Note:** For more information about transfer files, refer to “ASPEN Data Transfer” on page 325.

## • Task 2-C: To export a regulation set

**1** Right-click the reg set and use the shortcut menu....

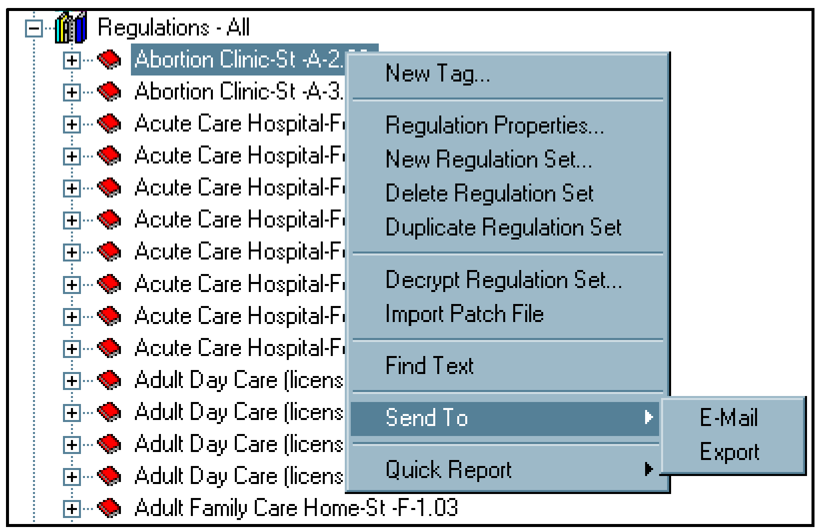



*Figure 2-7: Exporting using the shortcut menu*

...or drag the reg set to the Export button.

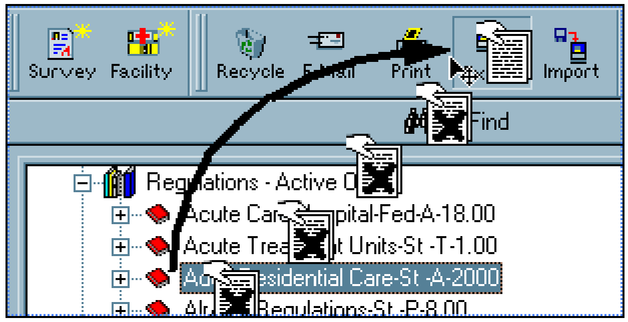



*Figure 2-8: Dragging the Reg set to the Export button*

**2** In the Export window, choose ASPEN Transfer Location, and click **OK**.

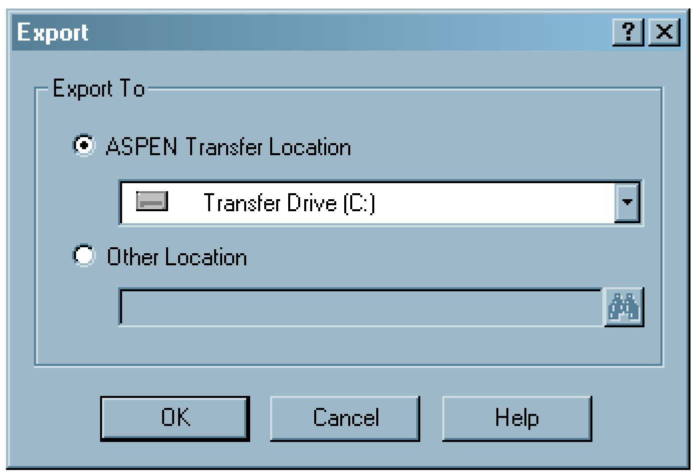



*Figure 2-9: Choosing the transfer location*

### 2.3.3 Importing Regulations — State and Federal

The import function adds regulation sets that do not already exist in ASE-Q, but it does not update or overwrite existing regulation sets.

## • Task 2-D: To import a regulation set

**1** Open ASPEN Survey Explorer and on the ASE-Q toolbar, click **Import**.

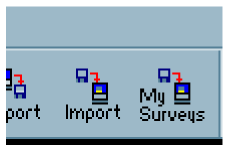



*Figure 2-10: Import button on ASE-Q toolbar*

**2** In the Import window, choose **Regulations** for Import Type.

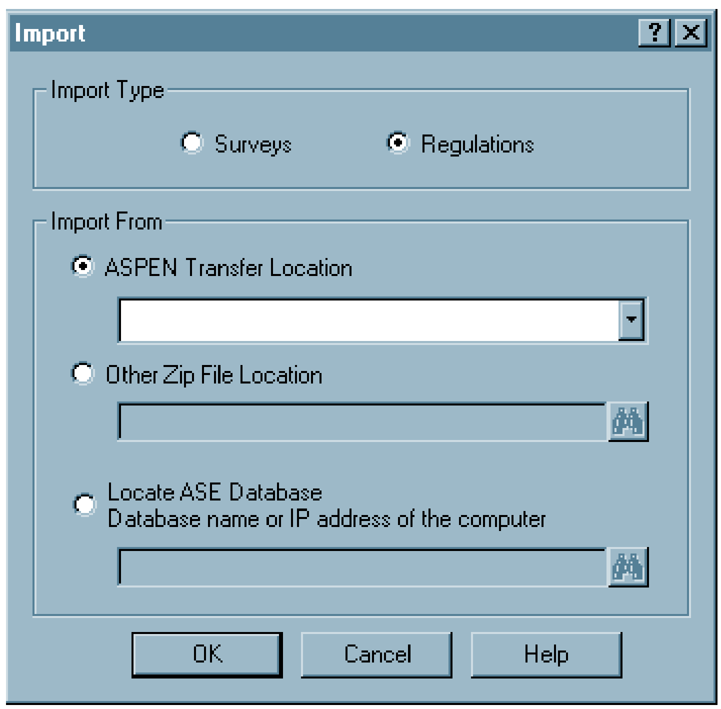


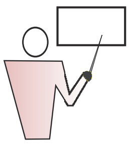

*Figure 2-11: Import window*

**3** In the Import From section, indicate the location of the file, then click **OK**.

### 2.3.4 Applying a Reg Set Patch

The import patch utility adds new regulation sets to ASE-Q and adds and updates tags in existing regulation sets. Patch files are found at www.qtso.com, under ASPEN/Regulations

## • Task 2-E: To apply a regulation set patch:



1. Download and save the patch file.
2. In ACO (or ASE-Q), right-click any reg set and select **Import Patch file.**
3. Browse to and select the patch file.
4. In the ASPEN Regulation Patch Utility window, select **Click Here to Begin Transfer.**
5. ASPEN will update your reg set with the patch changes, and create a logfile that lists tables transferred.

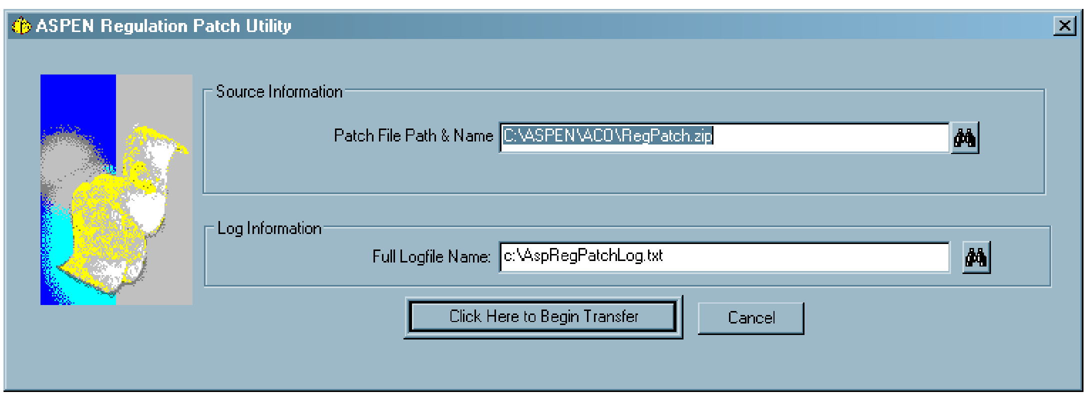



*Figure 2-12: ASPEN Regulation Patch Utility window*

### 2.3.5 Synchronize Regulation Sets

You can update regulation sets in ASE-Q with the latest versions and patches using Direct-connect mode. This procedure is described in "Sync ASE-Q Reg Sets Using Direct Connect" on page 338.

### 2.3.6 Printing Regulation Sets

You can print the regulation set, including regulation text, interpretive guidelines, and custom help, from the Quick Reports command on the Regulation Set right-click menu.

## 2.3.7 View Reg Set Conversion

When reg sets are changed, with tags added or deleted, you may need to see exactly what changed.

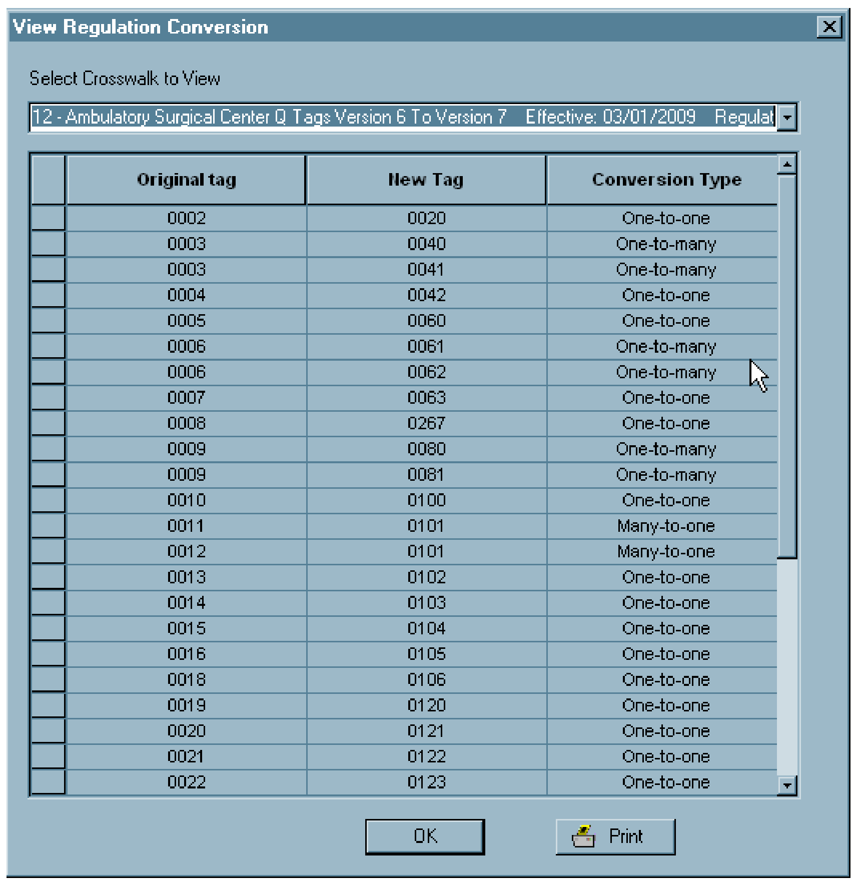
## • Task 2-F: To view a regulation set conversion

1 Select **System | Lookup Values | View Regulation Conversion**.

2 Open the drop-down list in the **Select Crosswalk to View** field.

3 Choose the conversion you need to see.

Each tag number, the tag number it was converted to, and the conversion type are listed.




| Original tag | New Tag | Conversion Type |
|---|---|---|
| 0002 | 0020 | One-to-one |
| 0003 | 0040 | One-to-many |
| 0003 | 0041 | One-to-many |
| 0004 | 0042 | One-to-one |
| 0005 | 0060 | One-to-one |
| 0006 | 0061 | One-to-many |
| 0006 | 0062 | One-to-many |
| 0007 | 0063 | One-to-one |
| 0008 | 0267 | One-to-one |
| 0009 | 0080 | One-to-many |
| 0009 | 0081 | One-to-many |
| 0010 | 0100 | One-to-one |
| 0011 | 0101 | Many-to-one |
| 0012 | 0101 | Many-to-one |
| 0013 | 0102 | One-to-one |
| 0014 | 0103 | One-to-one |
| 0015 | 0104 | One-to-one |
| 0016 | 0105 | One-to-one |
| 0018 | 0106 | One-to-one |
| 0019 | 0120 | One-to-one |
| 0020 | 0121 | One-to-one |
| 0021 | 0122 | One-to-one |
| 0022 | 0123 | One-to-one |

*Figure 2-13: View Regulation Conversion window*

### 2.3.8 Working with State Regulation Sets

You can add state regulation sets to the database so that surveyors can cite deficiencies based on state regulations. State regulation sets may be used to survey state licensed-only providers, or in combination with Federal regulations on surveys of dualcertified and licensed providers.

To set up state regulations:

- ➤ Create the regulation set
- ➤ Create each tag within the regulation set
- ➤ Assign the regulation set to the facility types to which it applies

Once you create the state regulation set and tags, you can export them so that other users can then import them into their installation of ASE-Q. You can also print, edit, or delete regulation sets and tags that you create.

**Note:** You can duplicate an existing regulation set, then modify it according to your needs. See Duplicate State Regulation Sets in the *ACO Procedures Guide*.

## • Task 2-G: Create a State Regulation Set

To create a state regulation set:

**1** Right-click Regulations in the Alpha tree and select **New Regulation Set** from the right-click menu.

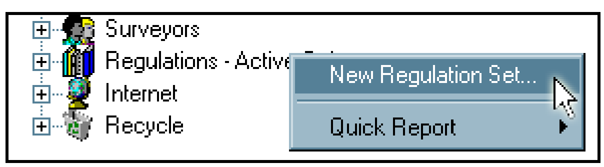



*Figure 2-14: Select New Regulation Set*

The New State Regulation Set window appears. The Aspen ID is automatically assigned by ACO.

**2** Enter a one-character **Regulation Set** code. Use your assigned training letter.

**3** Enter the regulation **Version**.

**4** Enter or select the **Created** and **Effective** dates.

**5** Enter the **Regulation Title** using your assigned training letter.

**6** Enter the **Abbreviation**, and **Created By**.

ASPEN Central Office uses this abbreviation when the full name of the reg 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 reg 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.

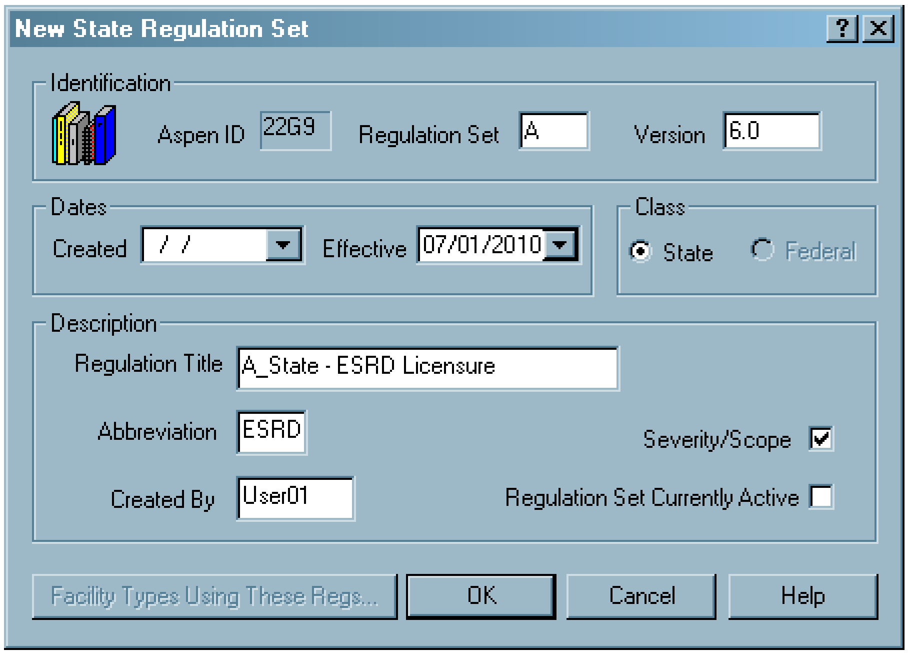



*Figure 2-15: Adding a new regulation set*

**7** Click **OK** when done.

You can now assign this regulation set to the facility type(s) to which it applies, and create the tags.


**Note:** The Facility Types Using These Regs... button is not available when you first create a regulation set. After facility types are assigned to the reg set (from the System menu), you can use this button to see which types have been assigned.

## *Modify/Delete/Duplicate Regulation Sets*

Right-click the reg set and use the shortcut menu to modify (by choosing Regulation Properties) or delete it. You cannot change the ASPEN ID.

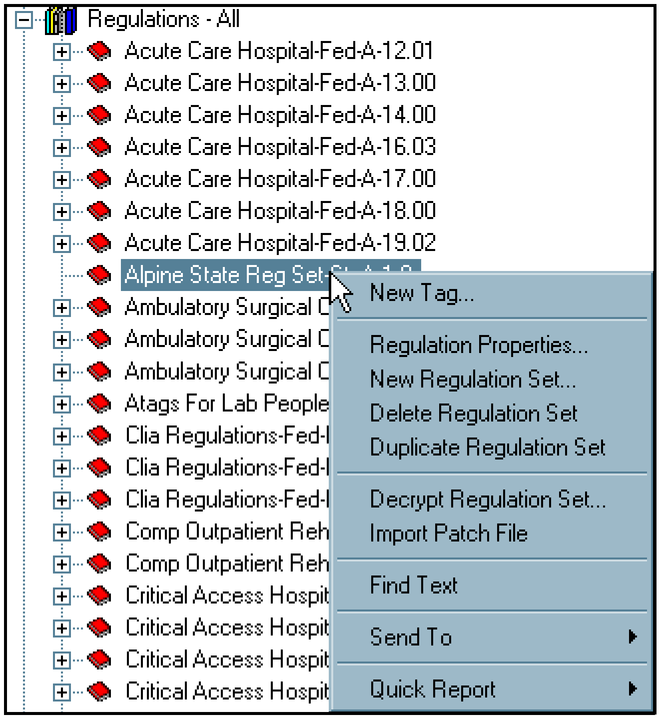



*Figure 2-16: Regulation set right-click menu*

You can delete any State or Federal regulation set, as long as no tags from the reg set have been cited in ACO.

# • Task 2-H: Add State Tags to the Regulation Set

Once you set up a state regulation set, you can add tags to it.

**1** Locate and right-click the state regulation set you created.

**2** Select **New Tag** from the menu to display the Regulatory Tag Properties dialog box (*Figure 2-17*).

**3** 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.

**4** Enter the **Version**, then enter or select the **Version Date** for the tag.

**5** Enter the tag **Title** and applicable **CFR/Statute**.

**6** To indicate a tag is particularly important, select the **Critical** checkbox.

**7** If the tag is eligible for waivers, select the **Waiverable** checkbox.

We'll continue in this window for the next task.

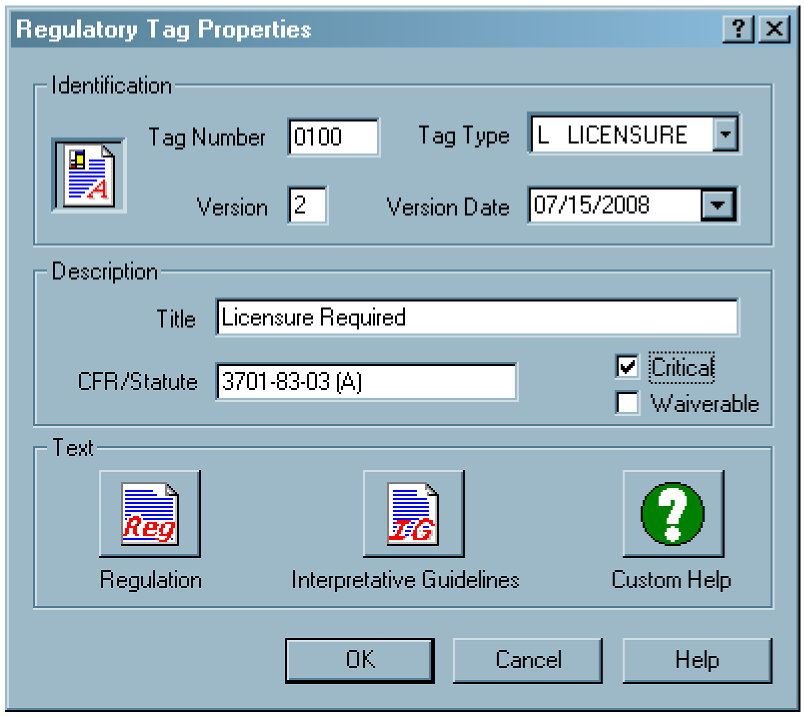
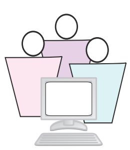



*Figure 2-17: Adding a new tag*

## • Task 2-I: Regulation Text / Interpretive Guidelines for State Tags



You can add regulation text and interpretive guidelines to State tags.

You can copy text from other Windows applications and paste it into any of these regulation text windows.

**1** From the Regulatory Tag Properties window for the tag you just added:

- ➤ to add Regulation text, click the **Regulation** button
- ➤ to add interpretive text, click the **Interpretive Guidelines** button
- ➤ to add Custom Help, click the **Custom Help** button, but we recommend phasing out the use of custom help

**Note:** Beginning with ASPEN 10.0, Custom Help may be incorporated into Content Library, so entries may be transferred easily to new reg sets. Existing Custom Help entries will remain untouched. This is described in "Content Library Conversion" on page 46.

**2** Click **OK** when done.

## *Viewing Regulation Text and Interpretive Guidelines*

You can view, but not edit, Regulation Text, Interpretive Guidelines, and Custom Help from the menu that appears when you right-click the tag in Citation Manager:

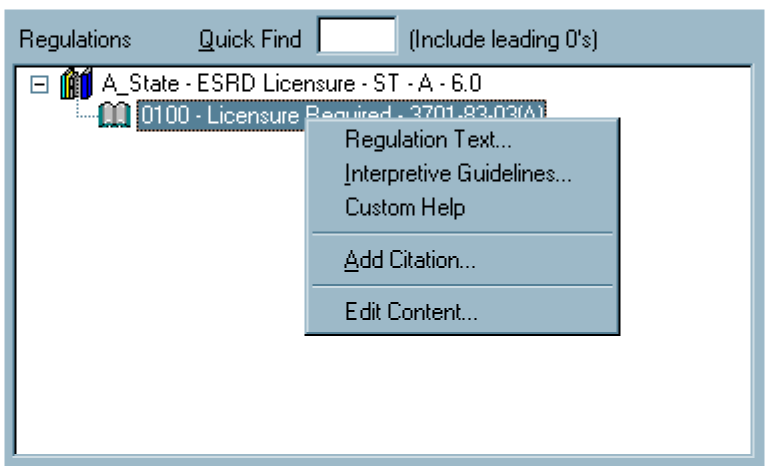



*Figure 2-18: Tag shortcut menu in Citation Manager*

...as well as by using the buttons in the Citation Manager's word processor:

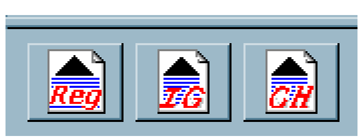



*Figure 2-19: Custom Help button in word processor*

### *Modify/Delete State Tags*

In the ACO tree view, locate and right-click the tag you want to modify. You cannot change the Tag Number, nor can you delete a tag that is in use.

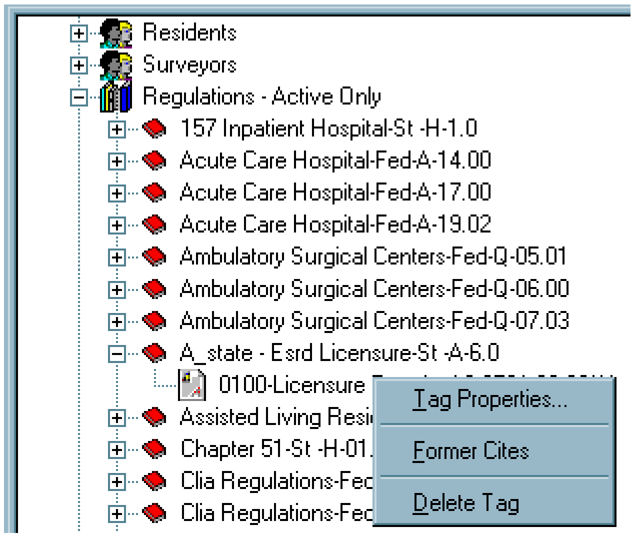
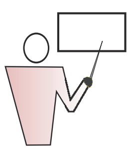



*Figure 2-20: Tag right-click menu*

## • Task 2-J: Assign State Regulation Set to Facility Types



You can make the assignment from the System menu, or when you are creating a new Facility Type. In this task, we assign a reg set to an existing Facility Type.

**1** Select **System** | **Facility Types** | **Type Maintenance**.

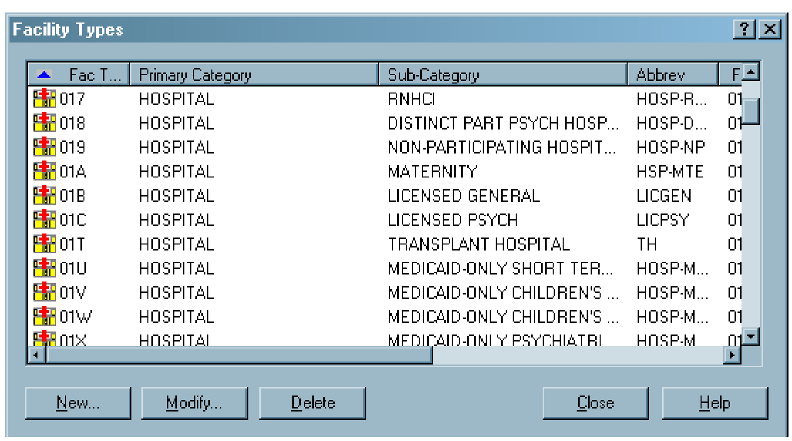



*Figure 2-21: Selecting a Facility Type to assign a reg set*

2 Select the facility type to which you want to assign the regulation set, and click **Modify**.

3 In the Allowed Regulation Sets list, select your new state regulation set.

State regulation sets are identified with the prefix ST. You can also assign Federal regulation sets (FED prefix) and additional State Regulation sets to a facility type. Click an already assigned (highlighted) regulation set to de-assign it.

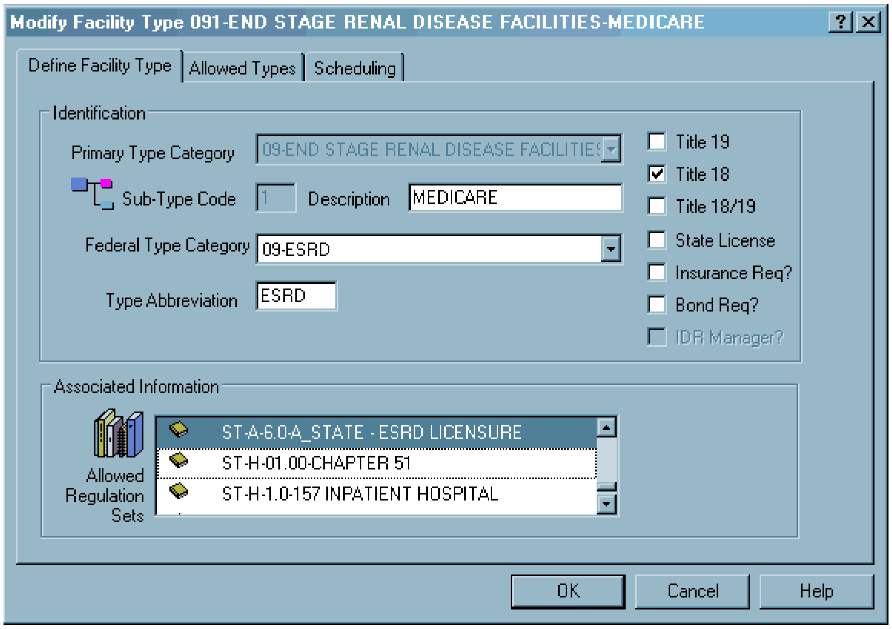



*Figure 2-22: Adding Allowed Reg Sets to a Facility Type*

4 Click **OK**, then **Close**.

Now when you create a survey for this facility type, the new reg set will be available for selection.

---

**Note:** If the regulation set is not assigned to the facility type prior to creating the survey, it does not display by default in the **Regulations** section of the **Survey Properties** window. If you do not see the reg set in **Survey Properties**, select **Show All** to select the reg set from the complete list.

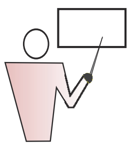
---

### 2.3.9 Regulation Set Decryption

Often states want to post survey inspection results on their departmental web site to allow for streamlined public access to this information source. However, ASPEN regulation sets are encrypted, so attempts to directly pull this information are unsuccessful.

Use of ASPEN's Decrypt Regulation Sets feature creates a database that contains the regulation text in unencrypted format, thereby enabling its use in a variety of formats.

## • Task 2-K: Decrypt Regulation Set



1 Locate and right-click the regulation set you want to decrypt, then select **Decrypt Regulation Set** from the shortcut menu.

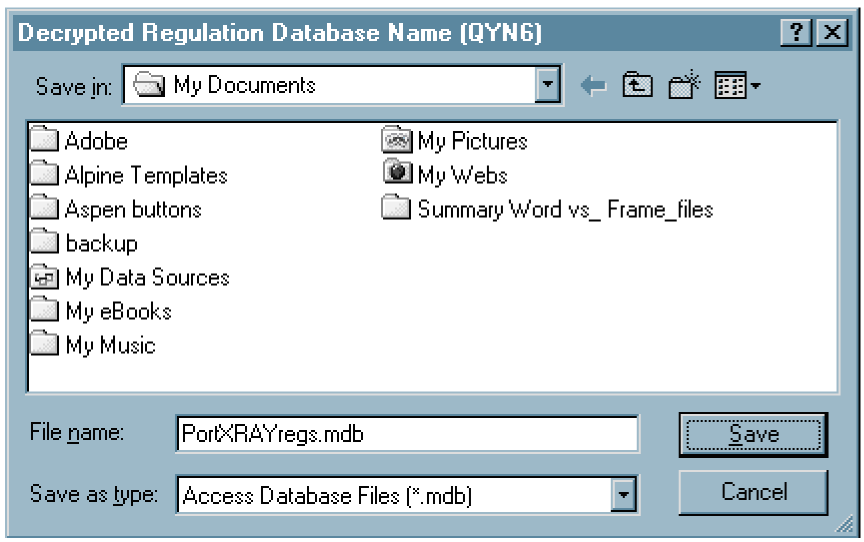



*Figure 2-23: Saving a decrypted reg set file*

2 Select the location to which you want the regulation set saved and enter a file name. Do not change the file extension.

3 Click **Save**. A message appears indicating that the regulation set was successfully decrypted.

## 2.4 Content Library

The Content Library feature allows you to maintain predefined text for each tag. You add text to the Content Library in the Citation Manager word processor.

Beginning with ASPEN 10.0, you can convert Custom Help to Content Library entries.

# • Task 2-L: Add Entries to Content Library

Before beginning, make sure the NH Tech Train option selection set is active.

**1** Locate a facility whose name begins with your assigned training letter, expand the facility node, right-click on an open survey, and select **Citation Manager**. Add yourself to the team, if necessary.

In the Regulations pane, tags that already have Content Library text are bold in the list.

**2** Select a tag in the Regulations pane, and drag it to the Citations pane. Click **OK** in Citation Properties to open the Citation word processing window.

**3** Click the Content Library button.

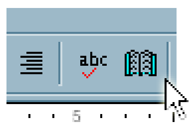



*Figure 2-24: Content Library button*

The Content Library Tag Text window (*Figure 2-25*) lists the existing text entries. If there is existing text for this tag, the tag is highlighted.

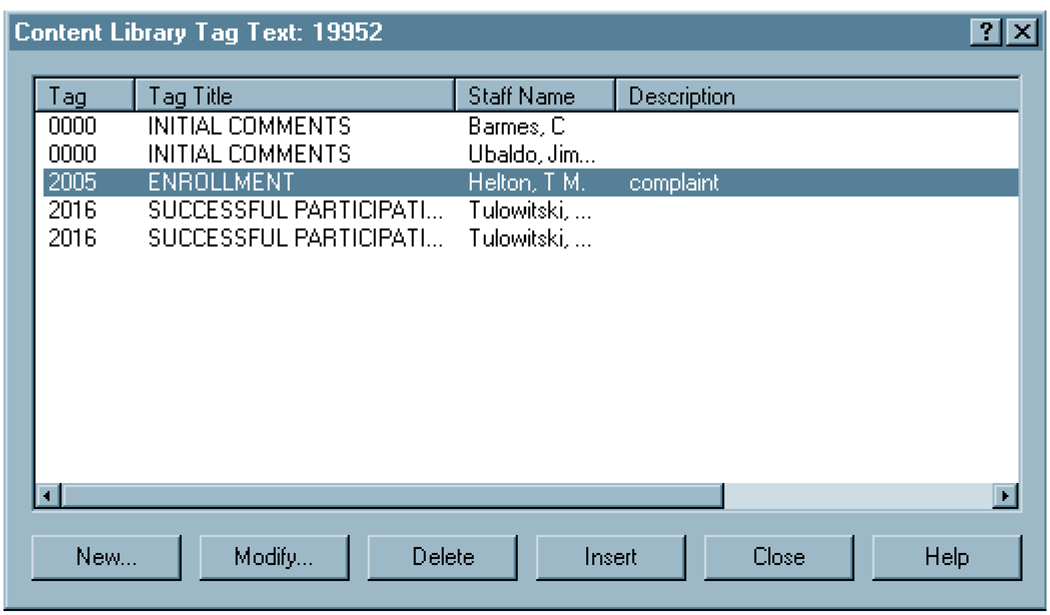



*Figure 2-25: Content Library Tag Text list.*

4 Click **New** (see *Figure 2-26 on page 45*).

5 In the **Tag** field, select the tag for which you are entering text.

6 The **Surveyor** field defaults to the current user (you). Accept the default.

7 Enter a **Description** of the text you are entering.

8 Enter your text. You can also paste text from another application.

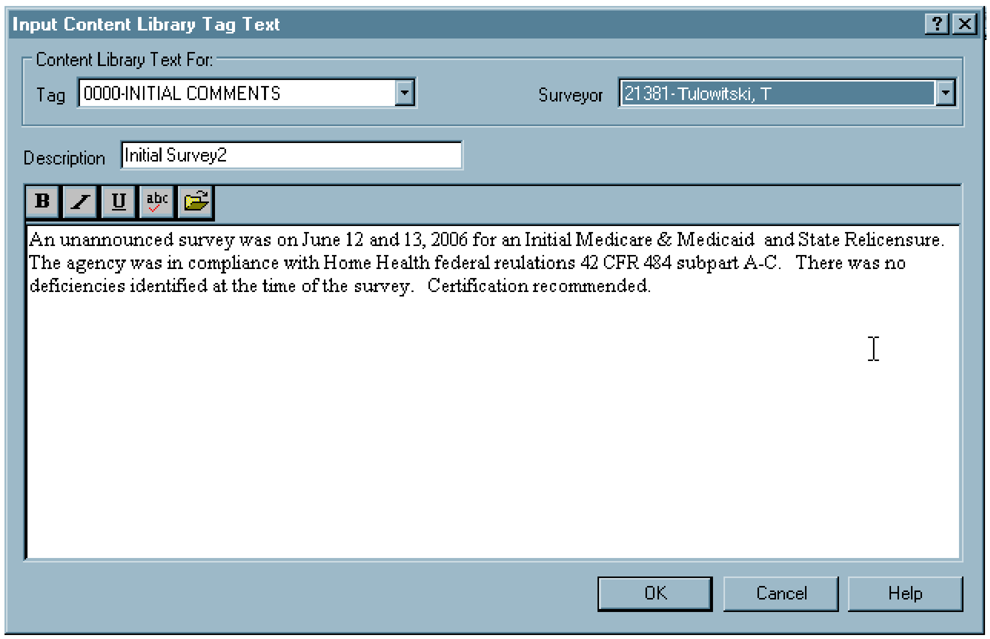



*Figure 2-26: Input new Content Library entries*

9 Click **OK** when done.

The Content Library Tag Text window now shows your new entry.

# • Task 2-M: Inserting Content Library Text into a Citation

You should still be in the Content Library Tag Text window. If you are not, open the Citation Manager word processor and click the Content Library button.

- ➤ Highlight the Content Library entry you want to use and click **Insert**.

The text is inserted into the word processor at the cursor position.

**Note:** You can modify and delete text entries from this window at any time.

## 2.4.1 Content Library Conversion

Use the Convert Content Library utility to copy your existing Content Library and/or Custom Help entries to new regulation set versions as they become available.

Content Library entries attached to a regulation set are transferred with the regulation set when it is exported or imported.

- ➤ Content Library entries are not deleted from the source regulation set.
- ➤ All source entries are copied to the destination reg set, unless ACO sees that an entry already exists in the destination reg set.

  ACO checks the tag number, staff name, title, description, and modified dates. If these items are the same in the source and destination reg sets, ACO will not make another copy.
- ➤ If you choose to include Custom Help in the conversion, the Custom Help text from the source reg set will be copied as a Content Library entry in the destination reg set. There is no effect on Custom Help entries that already exist in the destination reg set.

**Note:** To find out if a tag has Custom Help, right-click the tag in the Tree, select **Tag Properties**, then **Custom Help**.

# • Task 2-N: To Copy Content Library Entries to a New Reg Set

This feature copies Content Library entries belonging to assigned regulation tags to new regulation sets as they become available.

1 From the **ACO System Menu**, select **Specialty Info Transfer | Convert Content Library.**

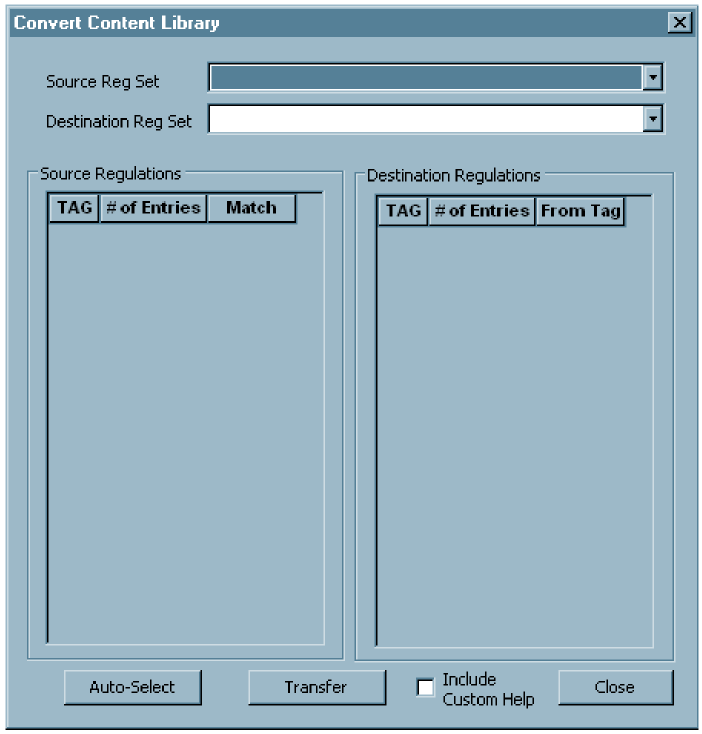


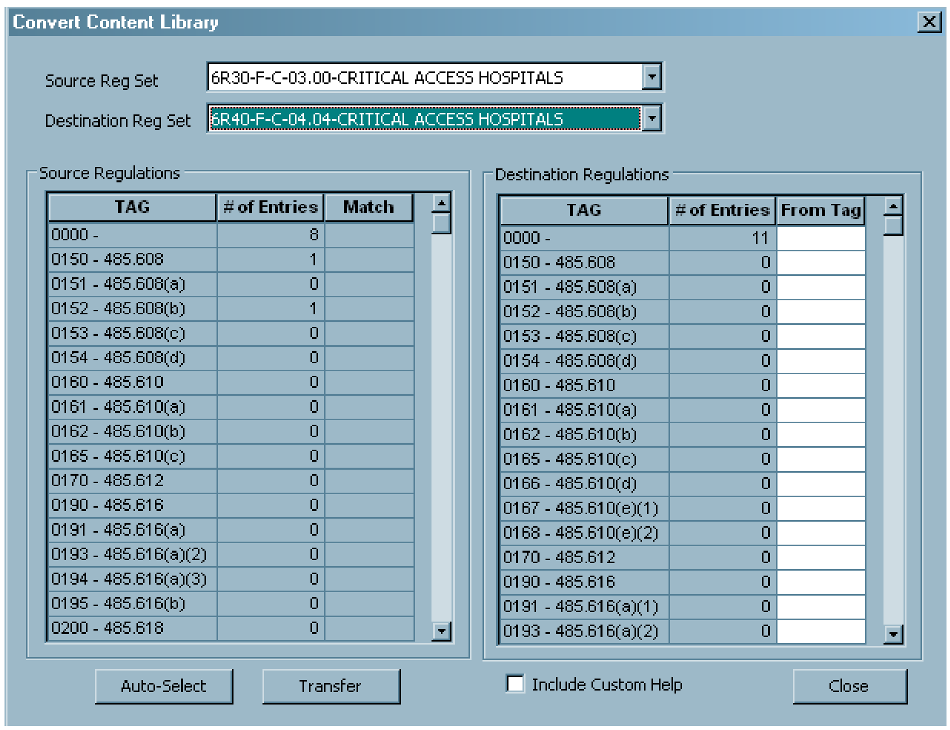

*Figure 2-27: Convert Content Library window*

**2** In the **Convert Content Library** window, select your **Source** and **Destination Reg Sets** from the drop-down lists. All active and inactive regulation sets are listed.

---

**Note:** Reg sets in the drop-down lists are in alphabetical order by ASPEN ID. Before you begin converting the Content Library, you can save time by checking reg set Properties for the reg sets you are converting, and writing down the ASPEN ID. You can type in the ASPEN ID to jump to it in the drop-down list.

---




| TAG | # of Entries | Match |
|---|---|---|
| 0000 - | 8 | |
| 0150 - 485.608 | 1 | |
| 0151 - 485.608(a) | 0 | |
| 0152 - 485.608(b) | 1 | |
| 0153 - 485.608(c) | 0 | |
| 0154 - 485.608(d) | 0 | |
| 0160 - 485.610 | 0 | |
| 0161 - 485.610(a) | 0 | |
| 0162 - 485.610(b) | 0 | |
| 0165 - 485.610(c) | 0 | |
| 0170 - 485.612 | 0 | |
| 0190 - 485.616 | 0 | |
| 0191 - 485.616(a) | 0 | |
| 0193 - 485.616(a)(2) | 0 | |
| 0194 - 485.616(a)(3) | 0 | |
| 0195 - 485.616(b) | 0 | |
| 0200 - 485.618 | 0 | |

| TAG | # of Entries | From Tag |
|---|---|---|
| 0000 - | 11 | |
| 0150 - 485.608 | 0 | |
| 0151 - 485.608(a) | 0 | |
| 0152 - 485.608(b) | 0 | |
| 0153 - 485.608(c) | 0 | |
| 0154 - 485.608(d) | 0 | |
| 0160 - 485.610 | 0 | |
| 0161 - 485.610(a) | 0 | |
| 0162 - 485.610(b) | 0 | |
| 0165 - 485.610(c) | 0 | |
| 0166 - 485.610(d) | 0 | |
| 0167 - 485.610(e)(1) | 0 | |
| 0168 - 485.610(e)(2) | 0 | |
| 0170 - 485.612 | 0 | |
| 0190 - 485.616 | 0 | |
| 0191 - 485.616(a)(1) | 0 | |
| 0193 - 485.616(a)(2) | 0 | |

*Figure 2-28: Select Source and Destination Reg Sets*

The # of Entries column shows the number of content library entries for each tag. Custom Help entries are not included in this count.

For each destination tag, you can activate a drop-down list in the From Tag column. This list contains any source tags that have content values.

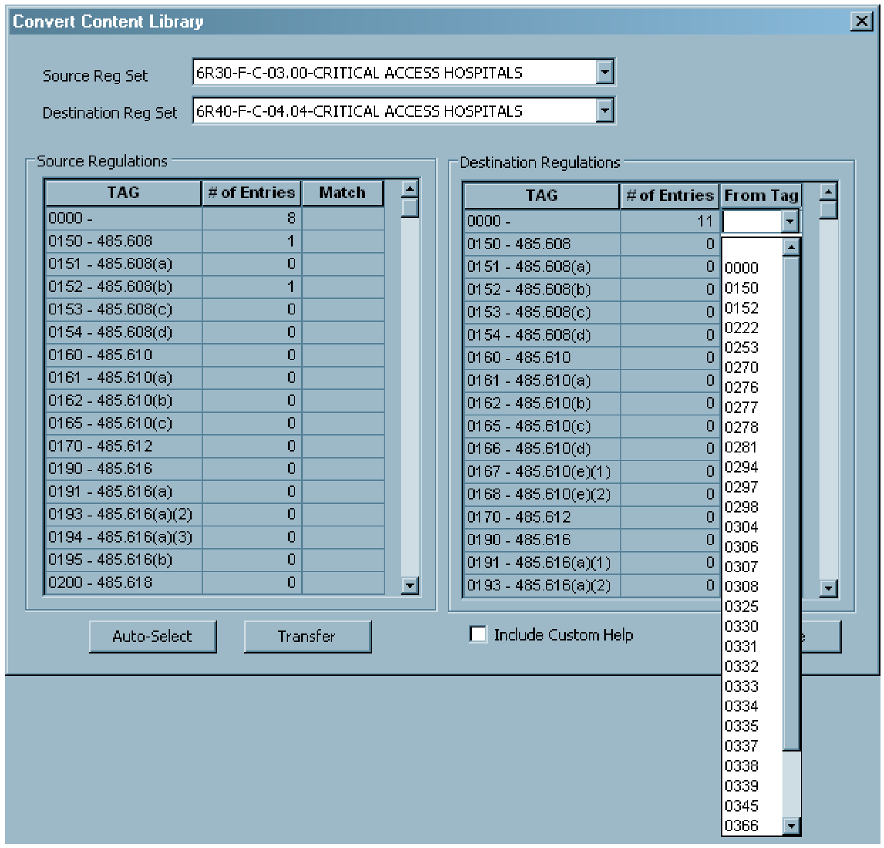



*Figure 2-29: Drop-down list shows source tags with current content*

In both source and destination # of Entries columns, you can click in a row to view the Content Library text for that tag:

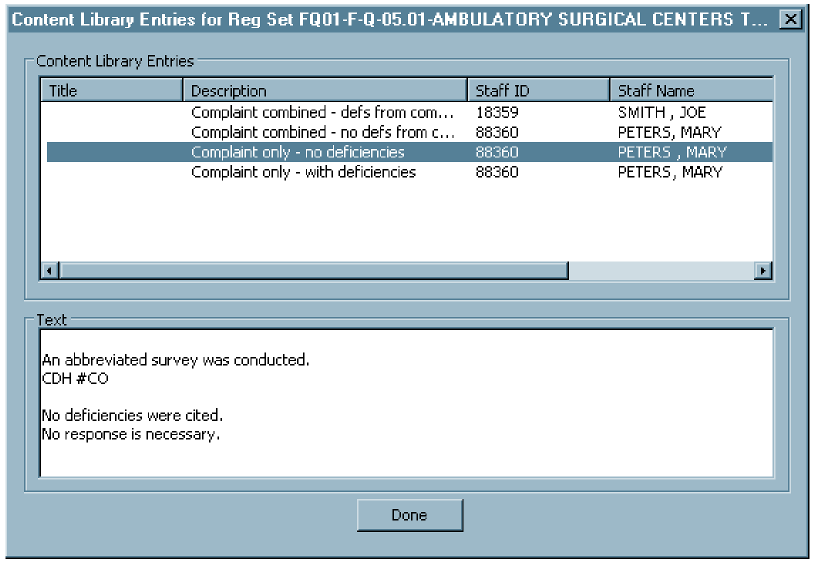



*Figure 2-30: Content Library text*

**3** Click **Auto-Select** to have ACO match the source tags that have content library entries with destination tags.

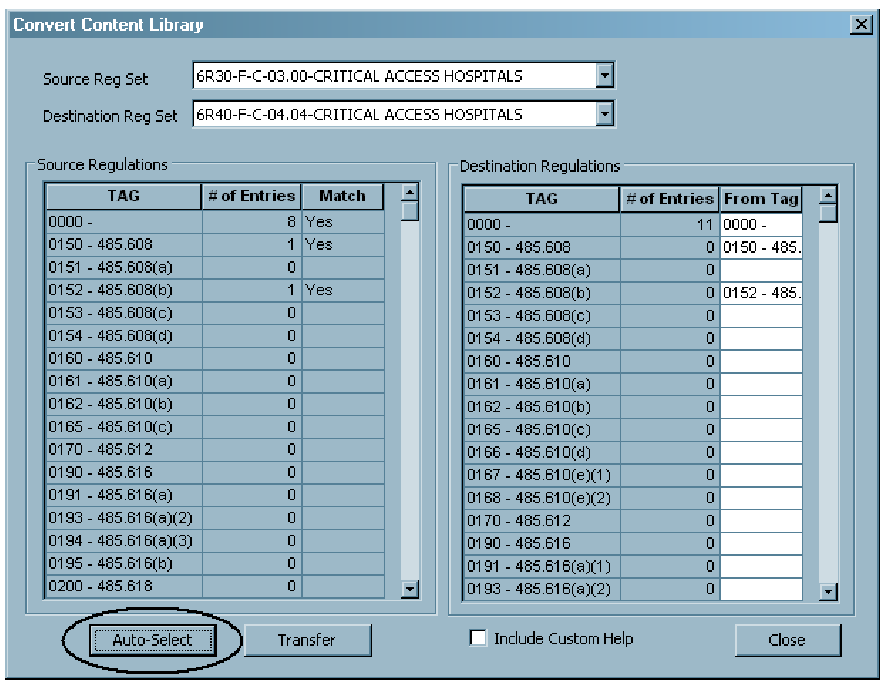



*Figure 2-31: Click Auto-Select button to match tags automatically*

In the Match column, **Yes** indicates the source tag number exists in the destination reg set. **No** indicates the source tag number is absent from the destination reg set.

The From Tag column shows the source tag that will be transferred.

**4** Select **Include Custom Help** if you want to transfer Custom Help entries to the destination reg set.

Custom Help entries in the source reg set are converted to content library entries in the destination reg set, and identified as former Custom Help entries:

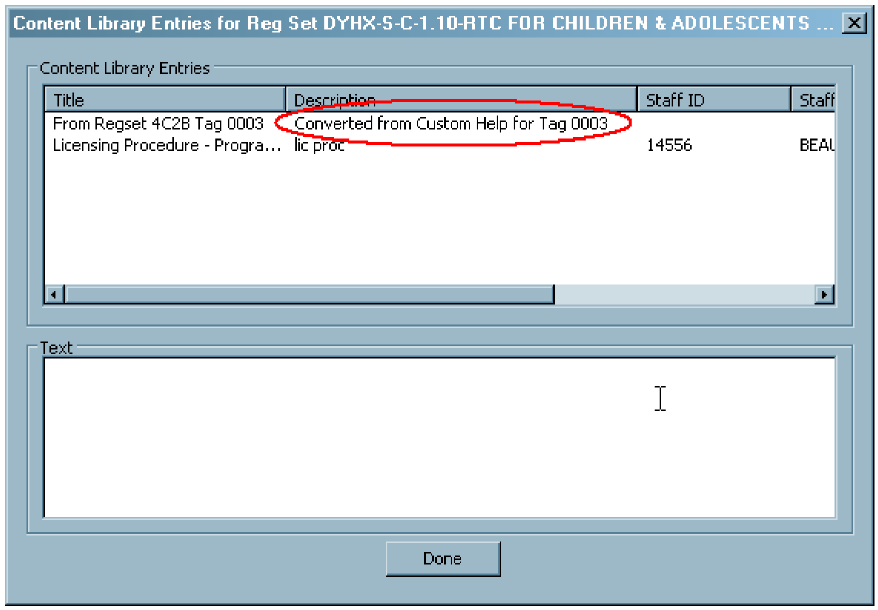



*Figure 2-32: Custom Help entries after conversion*

**5** Click **Transfer** to copy content library entries and/or Custom Help to the corresponding tags in the destination regulation set.

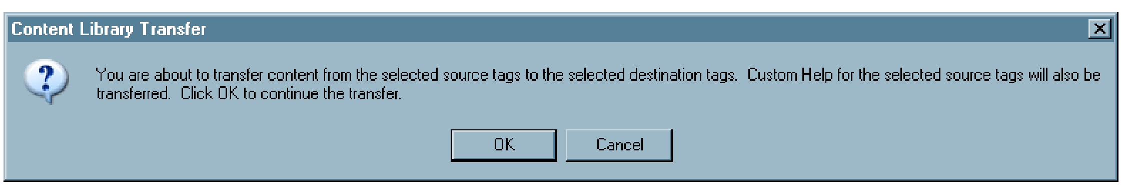



*Figure 2-33: Content Library Transfer notice*

**6** Click **OK** to complete the transfer.

After the transfer, the Match and From Tag columns clear, and the # of Entries counts for the destination reg set are updated.

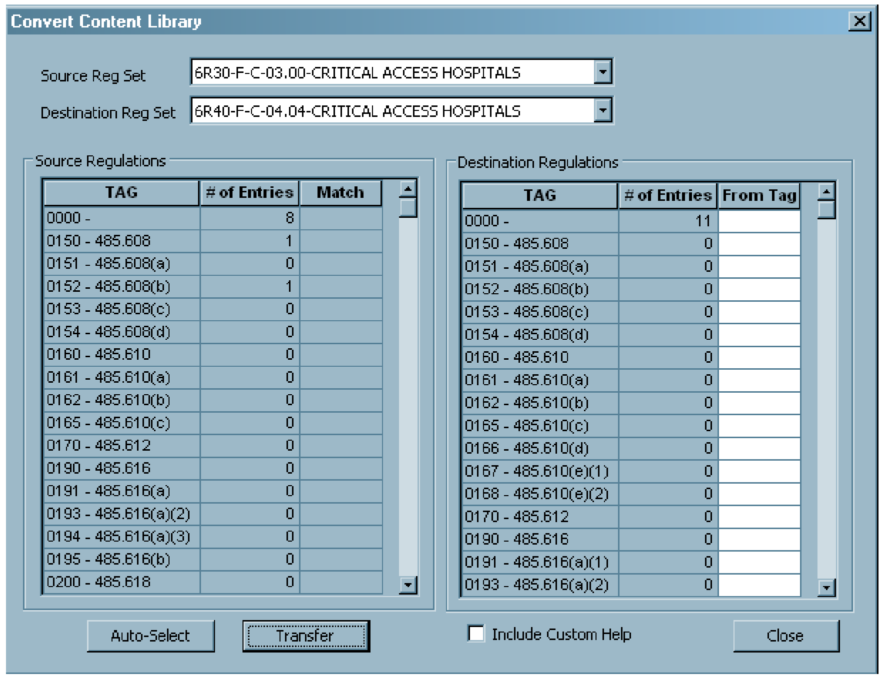
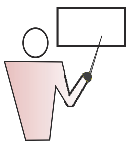



*Figure 2-34: # of Entries counts are updated*

### *Split, Combined, or Deleted Tags*

Occasionally, the new version of a regulation set may add a new tag, split or combine tags, or delete a tag. You can transfer your Content Library entries and Custom Help text to the appropriate tag in the new regulation set version.

## • Task 2-O: To transfer a content library entry to a new, split, or combined tag:



1. After selecting the source and destination reg sets, locate the new tag number in the Destination Regulations column, and click in the **From Tag** cell.
2. Select the old tag number from the list.
3. If Custom Help is associated with the old tag, select the **Include Custom Help** checkbox.

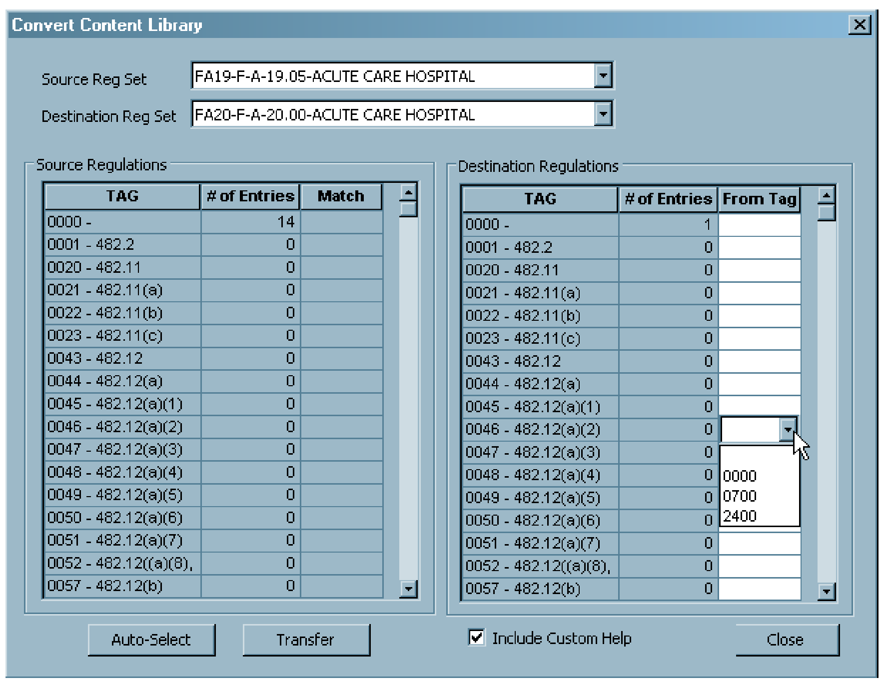



*Figure 2-35: Include Custom Help checkbox*

4. Click **Transfer**, then click **OK** on the message.

   If you are transferring text from more than one tag, you need to repeat this procedure.

5. Click **Close** to exit the Convert Content Library window.

## 2.5 ASPEN Facility Types: Federal and State Provider Categories

Every facility in ASPEN Central Office has a category/type assigned on the Facility Definition tab:

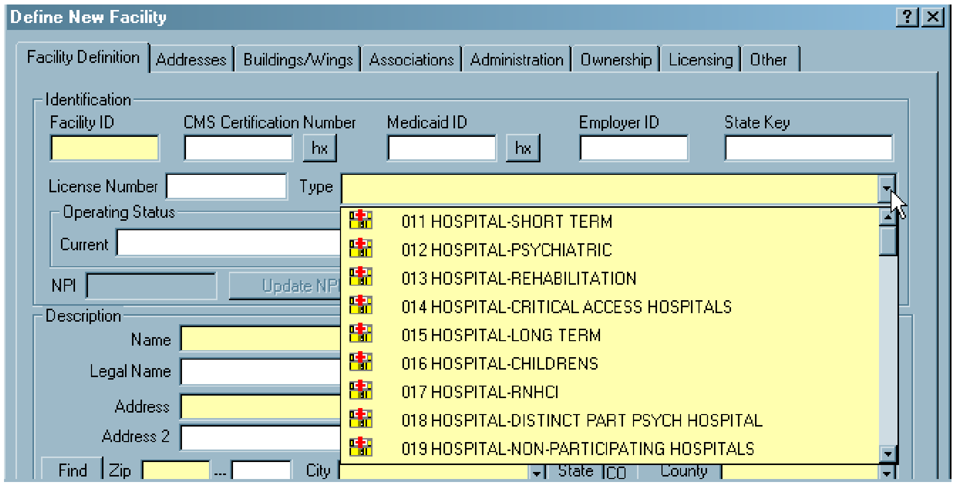



*Figure 2-36: Choosing a facility type for a new facility in Facility Properties*

ASPEN facility classifications have two components: a primary *category*, such as Hospital, and a subordinate *Type*, such as Acute or Rehabilitation.

States can add or modify State categories and types in ACO, which makes them available to all ASPEN products running off that State server.

ROs do not need to add facility categories and types. Federal categories are added via database patch under the direction of CMS Central Office.

### *How Facility Types Affect ASPEN Applications*

Assignment of provider categories and facility types have manifold implications in ASPEN. Some of the most significant:

In ACO, categories and facility types govern:

- Display filters
- Report filters
- Security

In ACTS, categories and facility type govern:

- Allegation drop-lists
- Proposed Actions drop-lists
- Report filters

In AEM, categories and facility type govern:

- Eligibility for enforcement (Federal NH and state-licensed NH only)
- Report filters

## 2.5.1 State Categories and Types

### *State Primary Categories*

If you have a category of facility that is unique to your state, you can add a state category to the primary category list, and then set up the facility types that belong to it.

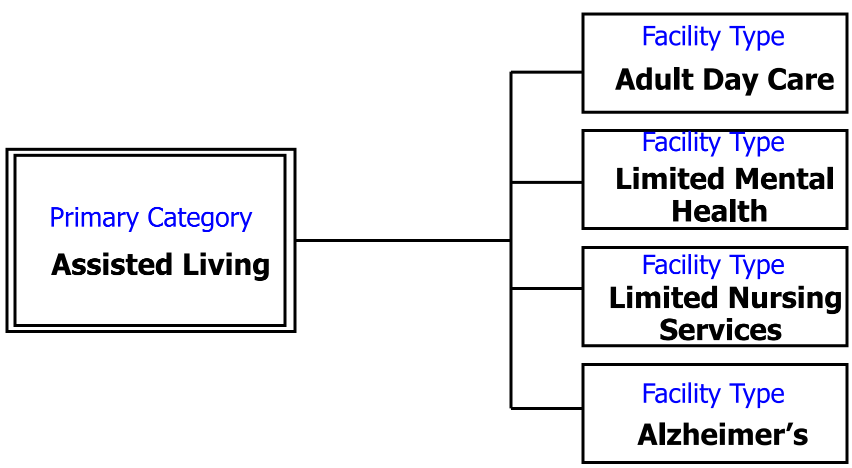
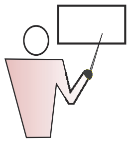



*Figure 2-37: Example of State Primary Category with its Facility Types*

# • Task 2-P: Add State Primary Facility Category



1 Select **System** | **Facility Types** | **Primary Categories**.

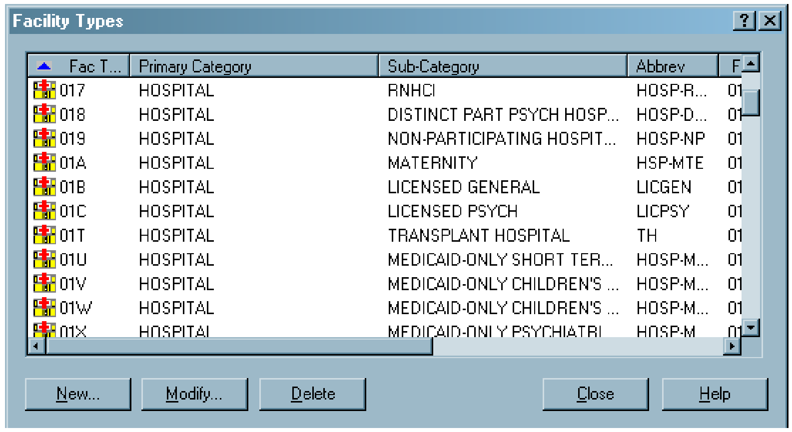



*Figure 2-38: Primary Facility Categories*

2 Click **New**.

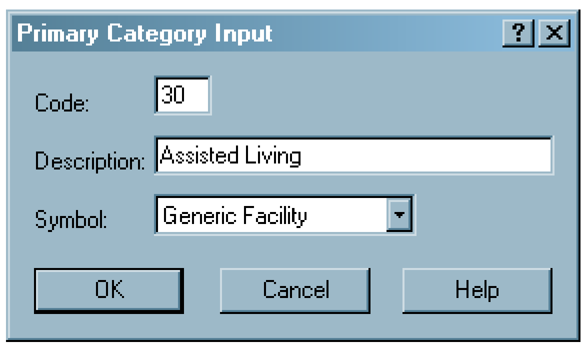



*Figure 2-39: Create New Primary Category*

3 Enter a unique category **Code**, two-character alphanumeric. This cannot be changed later.

4 Enter a brief **Description** of the category.

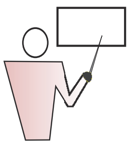
5 Select a **Symbol** for the category from the drop-down list. This will be the icon that identifies facilities of this type on ASPEN trees.

6 Click **OK**.

### *Primary Facility Category Maintenance*

From the Primary Facility Types window (*Figure 2-38 on page 56*), use the buttons at the bottom of the window to modify and delete facility categories. You cannot change the category Code, and you cannot delete a category being used by a facility.

## • Task 2-Q: Add State Facility Types



Now that we have a Primary Category, we can add its Types. Type is most often used to distinguish between Title 18, Title 19, and licensure status facilities.

**1** Select **System** | **Facility Types** | **Type Maintenance**.

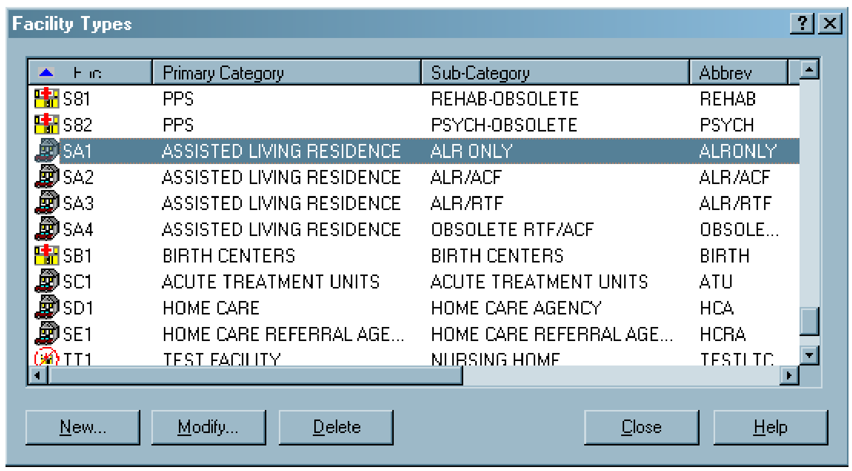



*Figure 2-40: Facility Types window*

**2** Click **New**. The Define New Facility Type window appears with the Define Facility Type tab selected.

## Define Facility Type Tab

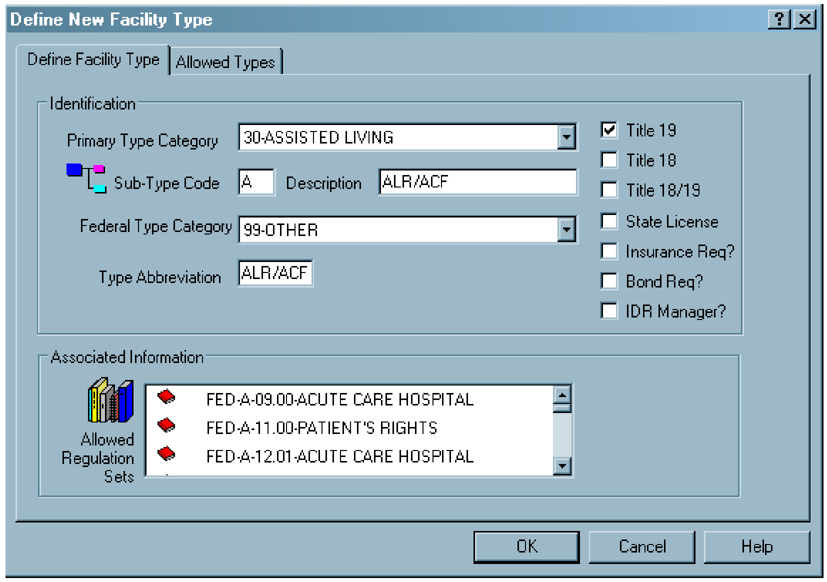



*Figure 2-41: Adding a Facility Type to 30-Assisted Living*

**3** Select a **Primary Type Category**. In *Figure 2-41*, we're creating a facility type for the new 30-Assisted Living category.

**4** Enter a **Sub-Type Code**. Use your assigned letter. This is a one-character code that is appended to the primary category code. In our example, the resulting facility type code will be 30A.

---

**Note:** When adding a facility type, we recommend that states use letters for the sub-type code. This prevents possible duplicate codes should CMS need to add new Federal facility types.

---

**5** Enter the **Description** that you want to see when this Type is listed.

**6** Select a **Federal Type Category** from the drop-down list. Typically, for facilities that are unique to a single state, this will be 99 - OTHER.

**7** Enter a **Type Abbreviation**. You can enter up to eight characters. This abbreviation appears next to the facility name in the Tree view.

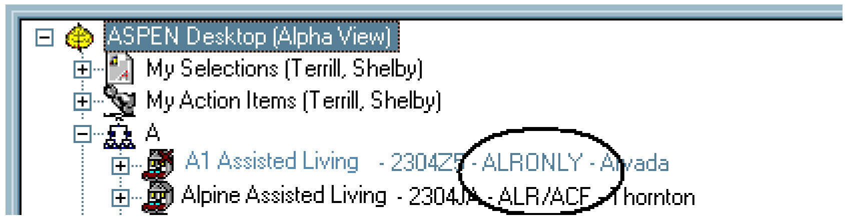



*Figure 2-42: Type Abbreviation, ALIV, shows in tree view*

**8** The checkboxes that apply to State Licensure facilities are **State License**, **Insurance Req?**, **Bond Req?**, and **IDR Manager?**.

Select IDR Manager? when you want to track IDRs and Independent IDRs for this provider type.

**9** Select the **Allowed Regulation Sets**. Federal regulation sets are listed first and identified by the prefix FED; state regulation sets are identified by the prefix ST.

You can select multiple regulation sets; for now, choose the reg set you created earlier.

**10** Go to the Allowed Types tab, and select the **Assessment Types Allowed** and **Service Types Allowed** for the facility. You can make multiple selections in each category.

**11** Click **OK** when done.

## 2.5.2 Modify/Delete Facility Types

Select **System | Facility Types | Type Maintenance**, highlight the facility type you want to modify. Use the Modify or Delete buttons as needed.

**Deleting a facility type is permanent.** You cannot restore a facility type once you delete it. ASPEN will not allow the deletion if any facilities use this facility type.

### *State Facility Types Added to Federal Primary Category*

If your State has licensed-only facilities of the same type as an existing ASPEN Federal Category (e.g., Nursing Home), you may create a licensure-only type under that category.

**Note:** When creating a state licensed sub-type of a Federal category, you should always use a letter in the sub-type field.

A state sub-type of the 02 Nursing Home category could be defined as 02L.

## 2.6 Configure Tree Groups

Tree views in ASPEN list items in nodes using the numbers 0-9 and the alphabet.

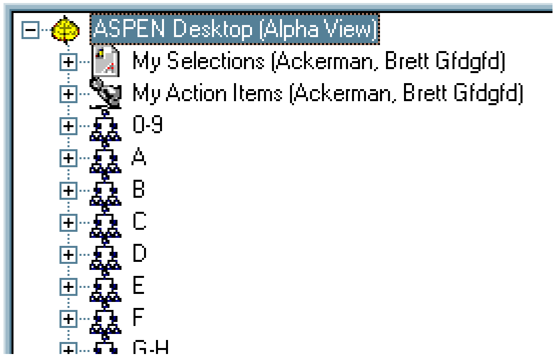



*Figure 2-43: Default tree configuration*

In some cases, expanding one of these nodes can mean opening a list of hundreds of facilities, which can take considerable time. Large states, or states that have many similarly-named facilities, can improve performance by customizing the nodes to accommodate local names.

**Note:** Changes to nodes in the tree are visible to all system users.

### 2.6.1 ACTS Tree Groups

In ACTS, you can configure the tree nodes on three tabs:

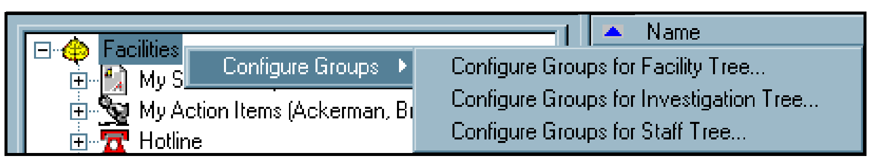



*Figure 2-44: ACTS Configure Groups menu options*

- **Configure Groups for Facility Tree** — customize the tree nodes on the Facility tab.
- **Configure Groups for Investigation Tree** — customize the tree nodes on the Investig tab.
- **Configure Groups for Staff Tree** — customize the tree nodes on the Staff tab.

## 2.6.2 ACO Tree Groups

In ACO, you can configure three types of nodes on the Alpha tab:

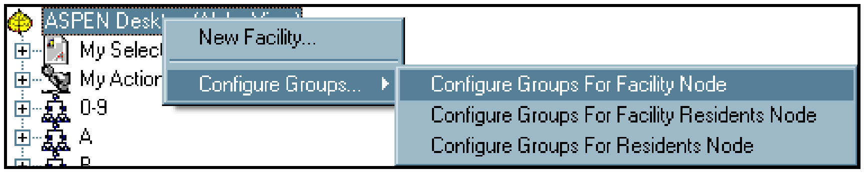
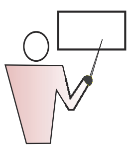



*Figure 2-45: ACO Configure Groups menu options*

- **Configure Groups for Facility Node** — customize the nodes in the facility tree.
- **Configure Groups for Facility Resident Node** — customize the Residents node that you see when you expand an individual facility node.
- **Configure Groups for Residents Node** — customize the primary Residents node in the tree on the alpha tab.

## • Task 2-R: Configure Groups for ACTS Investigation Tree



In Colorado, a large number of entries begin with "Rocky". We're going to give "Rocky" its own node on the Investigations tree.

1. In the ACTS Facility tree, right-click **Facilities**.
2. Select **Configure Groups**, then **Configure Groups for Investigation Tree**.

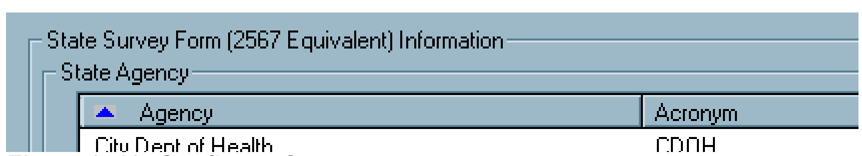



*Figure 2-46: Configure Groups menu*

We will change the existing R node to show only the facilities from R- Rockx.

Then we will create a second node for the facilities beginning with Rocky, and a third node for facilities beginning with Rockz - Rz.

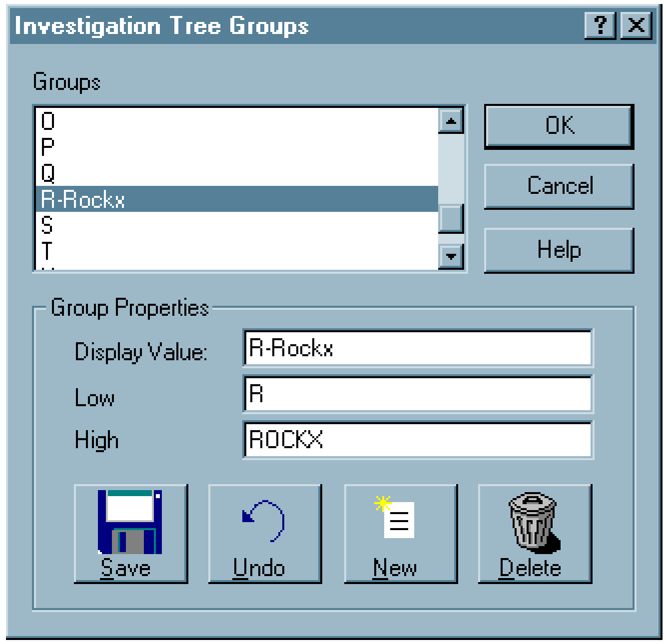



*Figure 2-47: Modifying a facility node in the investigation tree*

**3** In the Investigation Tree Groups window, highlight the R in the Groups section.

**4** In the Group Properties section, enter a **Display Value** (this will show in the tree), and **Low** and **High** values as entered in *Figure 2-47*. Use ALL CAPS for Low and High values.

**5** Click **Save**.

**6** Click **New** to create a second node for the facilities beginning and ending with Rocky.

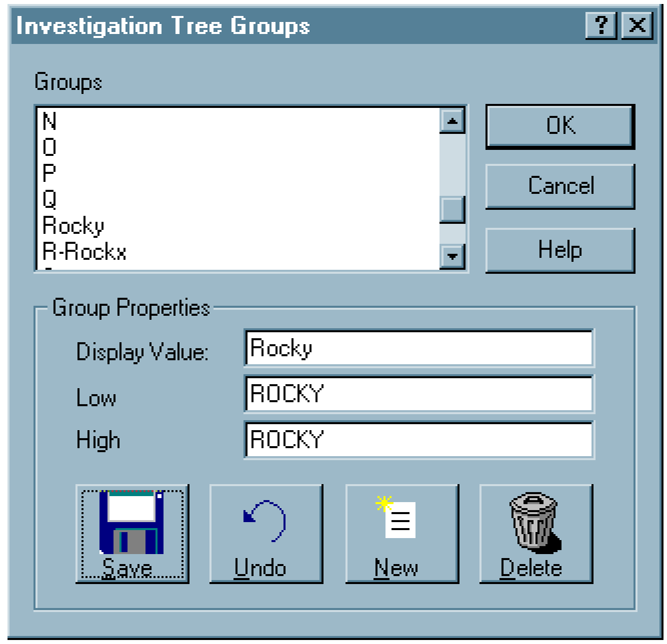



*Figure 2-48: Adding a new facility node in the investigation tree*

**7** Enter values as shown above, using ALL CAPS for Low and High values.

**8** Click **New** again to create a third node for the facilities beginning with Rockz. Enter the values in Group Properties as follows:

Display Value: **Rockz-Rz**

Low: **ROCKZ**

High: **RZ**

**9** Click **Save**, then **OK** to close the window.

The ASPEN tree will refresh to display the new values:

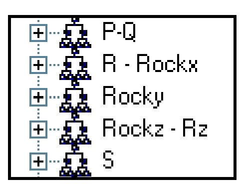



*Figure 2-49: New R node values*

# 2.7 Configuring State Email Notification of Action Items

Action item notifications, first introduced in ACTS, have been expanded to ACO modules (ACO/AEM/AST) as well. These timely notifications may be emailed to recipients in addition to being displayed on the ASPEN desktop.

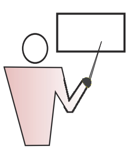
As part of the configuration, select the action item types that you want transmitted as emails. When new action items are generated, corresponding emails are placed in a queue. Every 15 minutes, the system evaluates the emails and sends those that match the types specified in the configuration.

## 2.7.1 Server Whitelist

States may wish to add an exception to their email processing rules to always allow the incoming email server to receive ASPEN email alerts. To accomplish this, the email administrator can whitelist the following email servers for emails originating from the sender alerts@ASPEN.QTSO.com:

- SMTPRELAY.SDPS.ORG
- SMTPRELAY2.SDPS.ORG
- SMTPRELAY3.SDPS.ORG

# • Task 2-S: Configure State Email



Action Item emails generated from ASPEN now use the CMS-based central email server. Email messages are updated to include:

- The state of origin in the subject line.
- The following statement is added to the end of the message: ‘If you are not the intended recipient, please contact the QTSO help desk at Help@qtso.com.’

1 Select **System** | **System Configuration** | **Email Configuration** to open the Action Item Email Configuration window.

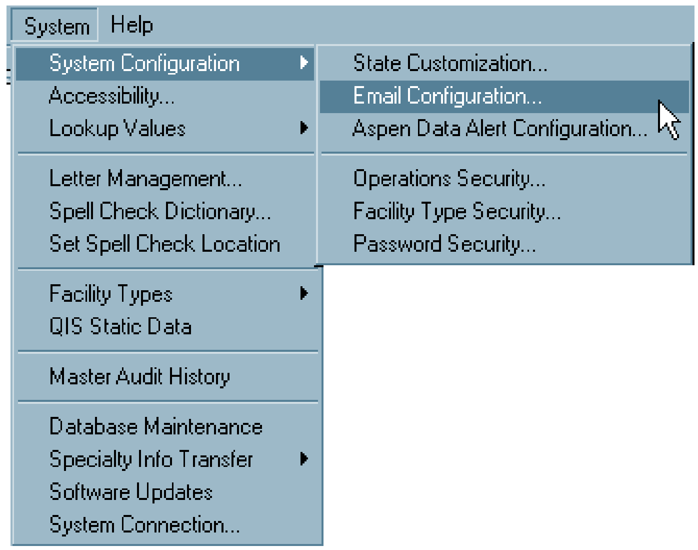



*Figure 2-50: Configuring State email*

2 In the Action Item Email Configuration window, check the boxes beside the types of action items for which you want email notification sent.

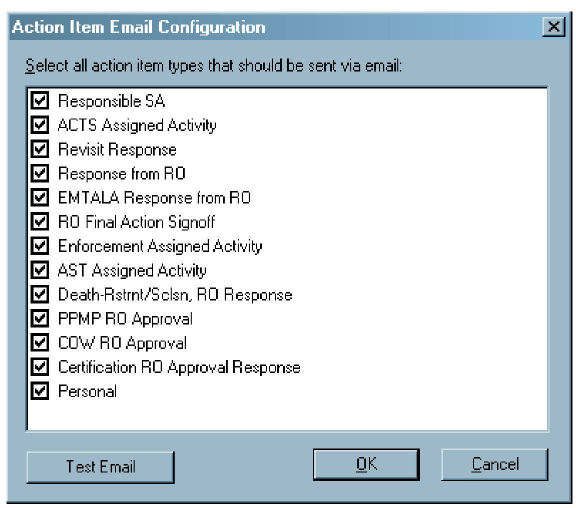



*Figure 2-51: Action Item Email Configuration window*

3 Click **OK**.

# • Task 2-T: Configure Employee Record to Receive Email

In order for staff members to receive emails, complete the E-Mail Address field in the Contact Information section of the Employee Identification tab, and the Email Settings tab of each recipient's employee record.

**1** Go to the Directory tab, and expand the Staff Directory.

**2** Expand the node corresponding to your assigned training letter.

**3** Right-click any employee name, and select **Update Staff Member**.

**4** In the Contact Information section, if there is no existing email address, enter one, for example: **jsmith@co.gov**.

**5** Go to the Email Settings tab and select **Receive Targeted Emails**.

By default, all Action Items are selected. Deselect the items for which you do not wish to receive email notifications.

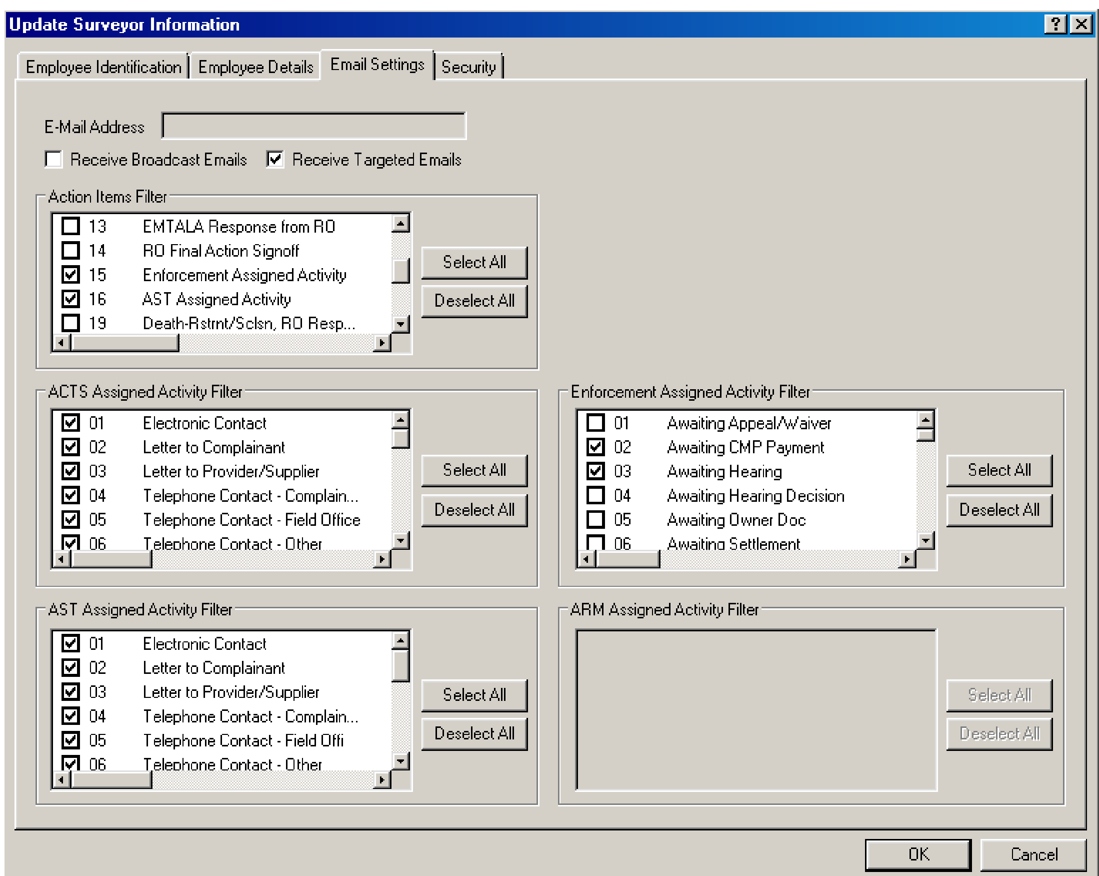



*Figure 2-52: Email Settings tab with Receive Targeted Emails selected*

There are two options: Received Broadcast Emails and Receive Targeted Emails. One or the other must be checked for the employee to receive emails.

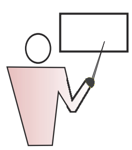
Broadcast messages are used by ACTS. When an action item message is triggered for an RO Responsible Party, and no Responsible Party is named in the intake, the message is broadcast to all RO users in the Region who have this box checked.

A targeted action item email is sent to specific individuals.

## 2.8 Using the ASPEN Browser

The ACO/ARO desktop screen, which is viewable at application startup and on screen refreshes, can be customized to allow seamless integration to other State or Federal web sites, which may be pertinent to certification and licensing processes. This 'one-stop-shopping' ability can be easily configured using the embedded ASPEN browser.

## • Task 2-U: Customize the ACO Startup Screen



In this exercise, we customize the ACO startup screen to allow quick access to the Facility Location and Information Guide on the Georgia Office of Regulatory Services web site.

**1** Open MS Notepad by clicking the Notepad icon on your desktop.

You are going to open the ACO desktop HTML file.

**2** From the File menu, select **Open**. Navigate to your ACO folder: **C:\ACO**.

**3** The ACO folder contains an HTML folder. Double-click the HTML Folder. In the **Files of type** drop list select **All Files**.

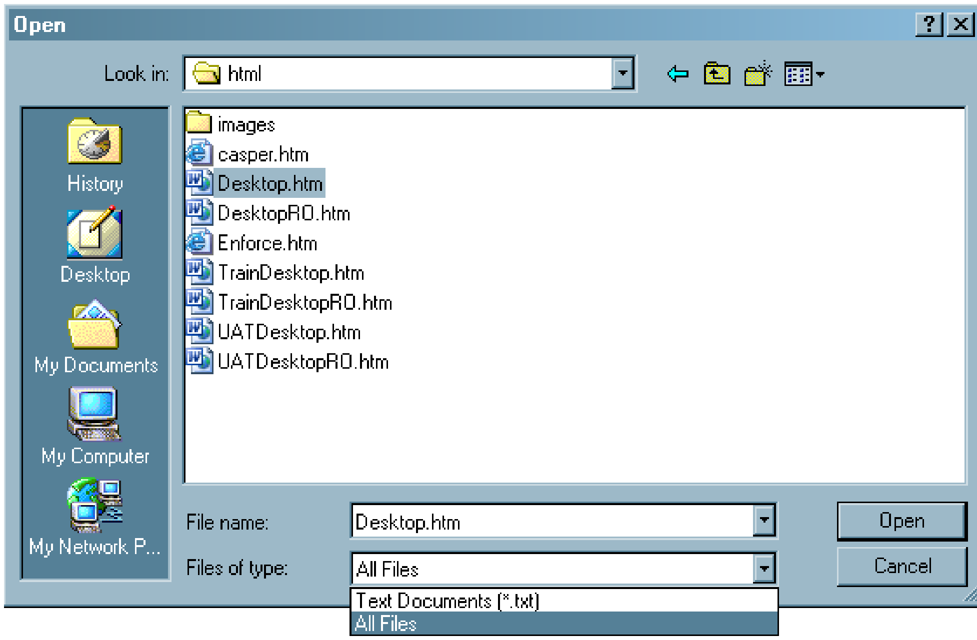



*Figure 2-53: Selecting All Files in the HTML folder*

4 Locate the Desktop.htm file, which is the ACO desktop file.

5 Open Desktop.htm to customize the ACO start up screen.

ARO users would edit DesktopRO.htm instead. For this exercise, select Desktop.htm and open it. (Note that the file may be read-only. You may remove the read-only attribute by right-clicking on the file, selecting **Properties** and de-selecting the read-only attribute.)

6 Make the desired modifications to the HTML file. In this exercise, we will add a link to the Georgia web site beneath the current link to CASPER. In the Desktop.htm file, locate the CASPER web site entry:

```
<td>
        <A href="http://www.qtso.com/"><EM><STRONG>ASPEN Web Support</STRONG></EM> </A>
        <br>
        <A href="http://web.qiesnet.org/qiestosuccess"><STRONG><EM>Casper Website</EM></STRONG>
</td>
```

*Figure 2-54: Section of desktop.htm file showing CASPER web site entry*

7 Press **Enter** to insert a blank line just before the **</td>** tag. Then fill in the blank line by typing:

<br> <A href="http://www.ors.dhr.state.ga.us"> <EM><STRONG>Georgia Facility Location and Information Guide</STRONG></EM> </A>

The modified section of the file appears in *Figure 2-55*.

```
<head>
<meta name="Microsoft Theme 2.00" content="blends 011">
<meta http-equiv=Content-Type content="text/html; charset=windows-1252">
<meta name=ProgId content=Word.Document>
<meta name=Generator content="Microsoft Word 10">
<meta name=Originator content="Microsoft Word 10">
<title></title>
</head>

<body  background="images/ACOBack.jpg" lang=EN-US link="#993300" vlink=blue>
<TABLE border=0 cellPadding=0 cellSpacing=0
  style="WIDTH: 588px; HEIGHT: 422px">
  <TR>
    <TD rowspan=5 vAlign=top width=233>
      <P>
      <IMG style="WIDTH: 46px; HEIGHT: 49px" height  =74 src="images/aspenleafturn.gif" > </P>
      <P>
      <br>
      <IMG height=185 src="images/ACOWords.gif" width=219> </P>
      <P><FONT size=4 color=white><STRONG><EM>Version 7.5</EM>
      </STRONG></FONT></P>
      <P><IMG height=61 src="images/cmslogo.jpg" width=165 border=0> </P>
    </TD>
  </TR>
  <tr>
    <td><br> <br>
    </td>
  </tr>
  <tr>
        <td valign=bottom>
                <FONT color=white><B><I>Click for…</I></B><br></FONT>
        </td>
  </tr>
  <tr>
        <td>
                <A href="http://www.qtso.com/"><EM><STRONG>ASPEN Web Support</STRONG></EM>  </A><br>
                <A href="http://coqn08:8083"><STRONG><EM>Casper Website</EM></STRONG> </A>
                <br> <A href="http://www.ors.dhr.state.ga.us">
                        <EM><STRONG>Georgia Office of Regulatory Services: Surveys</STRONG></EM>  </A>
        </td>
  </tr>
  <tr>
        <td>
        <P><FONT color=white><B><I>QTSO Help Desk 1-888-477-7876</I></B></FONT></P>
        </td>
  </tr>
</TABLE>
</body>
</html>
```

*Figure 2-55: Modified section of desktop.htm*

Note that indenting the line is helpful for legibility and consistency; it is not required for functionality.

**8** Click **File**, **Save** to save the changes made to the Desktop.htm file.

**9** Close Notepad.

**10** Return to ACO. Refresh the start-up/splash screen by selecting **View**, then **Refresh** (or press **F5**).

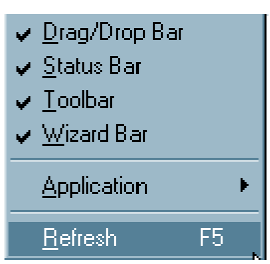



*Figure 2-56: Choose Refresh from the View menu.*

Notice that the desktop has changed to include the link to the Georgia web site:


*Figure 2-57: New link on the ASPEN desktop*

**11** Click the **Georgia Facility Location and Information Guide** link, and the Georgia web site appears, embedded within ACO.

## 2.9 Recommended Practices

The following approaches are designed to minimize overall system administration resources, duplicative entry of information, and to optimize system performance.

The main theme of these best practice suggestions is to reduce the number of 'copies' of system components that need to be maintained. This includes: creating shared software applications, minimizing the number of ASE-Q stand-alone systems and ASE-Q database locations, and minimizing the number of copies of data.

**Note:** Many states have survey and certification activities spread across many agencies, for long term care, non-long term care, labs, fire marshal (LSC), etc.

States are strongly encouraged to take advantage of existing inter-agency networks to ensure all agencies have access to the QIES State Server and ASPEN database. This approach reduces the system and data maintenance overhead of administering ASPEN. This also ensures all agencies have access to QIES systems such as CASPER reporting.

## 2.9.1 Minimize the Number of Installations

Users sharing the same network may also share application software stored on network servers. ASPEN was designed so that frequently updated components can be stored and loaded from a shared network server. This means, when updates are released, only the single location requires an update. We covered the details of shared application installations in Section 1.

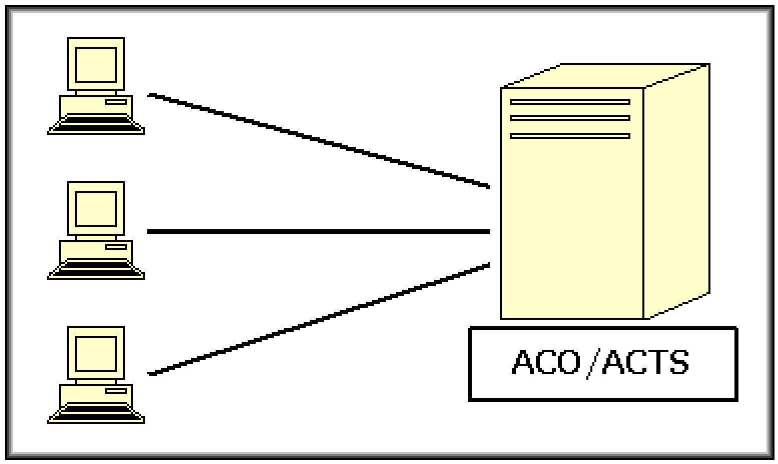



*Figure 2-58: Many users sharing one ACO/ACTS installation*

## 2.9.2 ACO/ACTS Everywhere

Extend your ACO/ACTS user group as far as your network reaches. With the availability of high capacity/low cost wide area networks, many states have successfully implemented ACO and ACTS, along with other applications such as email, across large metropolitan areas and to remote district offices.

This approach has the following advantages:

- Minimizes installation and 'upgrade' maintenance.
- Extends the benefits of ACO and ACTS extensive security, access control and administrative functions to a larger user group — simplifying user management.
- Allows remote users to access systems available on the CMS WAN for reporting and other information access.

## 2.9.3 Recommended Distributed Environment

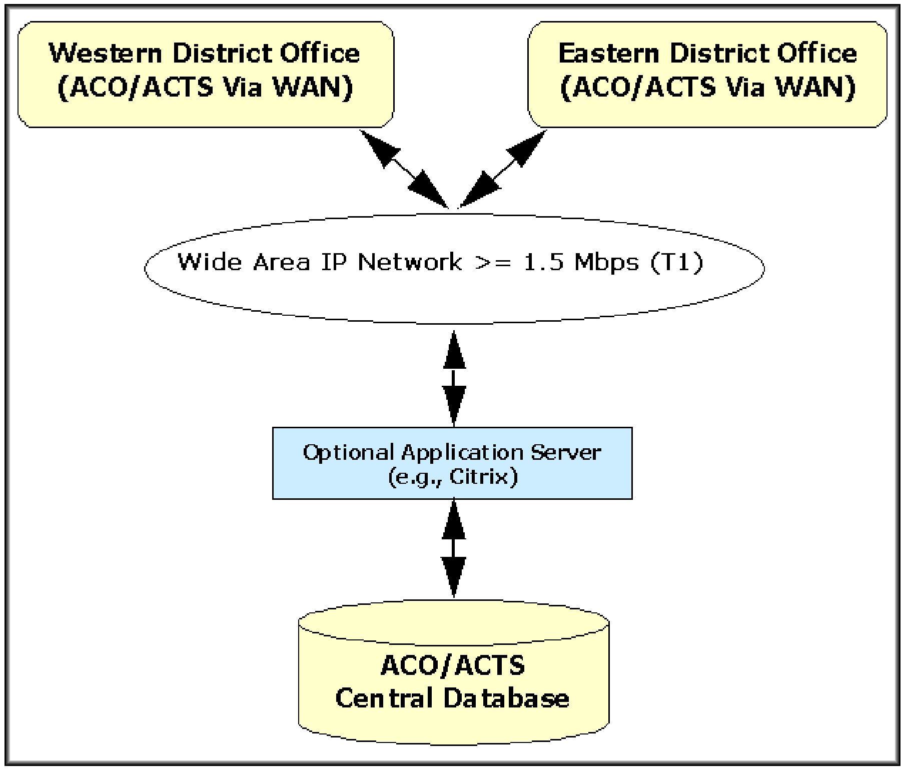



*Figure 2-59: Recommended distribution*

**Note:** Think globally...Share Applications Locally

When connecting remote offices to the central ASPEN database, unless you are running an application server, it is best to install ASPEN at each local office.

This is preferred to using the shared applications on the central server as these executables would need to be transmitted to the remote client over the WAN each time ASPEN is started.

Technologies supporting this distributed environment include:

- Wide area networks, bandwidth capacity of at 1.5 Mbps is recommended (full T1) to support many simultaneous ASPEN users assuming that other applications, such as email, internet access, are sharing this capacity.

- Application servers, such as Citrix or its Microsoft cousin, Terminal Server, provide a middle tier computing platform. This offloads application processing and database access to the application server with a high speed connection to the ASPEN database. Only resulting screens and keystrokes are sent over the WAN to the remote user.

Together these technologies may greatly simplify ASPEN data management tasks and reduce system maintenance overhead.

Application server technology has several advantages:

- Allows for centralized support of remote users
- Reduces system upgrade maintenance efforts
- Improves performance when the WAN capacity is not adequate to support all uses
- Supports offsite users over dial-up connections

Disadvantages include:

- Application servers require high capacity hardware platforms
- Application servers' software licensing can be expensive
- Application servers require specialized support staff skill sets

## 2.10 Attachments

### 2.10.1 About Attachments

Attachments are a versatile tool that enable you to link any electronic file documents, pictures or whatever to individual facilities, certification kits, surveys, enforcement cases, and complaint/incident intakes (ACTS).

Once linked, the files can be opened from the Attachment Documents window while you are working in ASPEN. You can use attachments to organize your own supplemental documents. If you scan letters and materials from other sources, you can attach letters from providers and outside agencies as well.

Attaching a file creates a copy of the file, compresses it, and stores it in the ASPEN database. If you move or delete your original, it does not affect the attachment in ASPEN.

ASPEN does not limit the type or size of file that can be attached. There must be an application registered on your system that can open it. For example, .doc files can be opened by MS Word, .bmp is usually associated with Paint, .jpg is usually associated with your web browser.

**Note:** Only one user at a time is allowed to open and edit an attachment.

The transfer of attachments between ASE-Q and ACO is integrated into the standard survey transfer function and is encrypted as part of the transfer package. Only attachments linked to the survey are considered for transfer.

## 2.10.2 Attachment Locations

Citation Manager, certification kits, enforcement kits, and ACTS intake screens all have Attach buttons that open the Attachment Documents window, where you can add attachments, as well as view and delete them.

In ACO, all the attachments that are related to a facility are listed under the facility's Attachments node in the tree, but when you open the Attachment Documents window from a survey or cert kit, you see only those files that have been attached from that location.

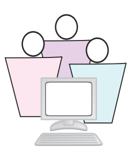
In ACTS, once files have been attached to an intake, an attachment node appears under the intake in the tree, and attachments can be opened either from there, or by using the Attach button in the intake.

Attachments to an ACTS intake are accessible only through ACTS.

In ASE-Q, attachments entered in Citation Manager can be opened from the Attachments node in Tree view. Right-click the attachment to view or modify.

In the following task, we demonstrate how you can attach an external document, in this case a picture, to the facility record.

## • Task 2-V: Add an Attachment to a Facility in ACO



**1** On the **Alpha** tree, locate and expand a facility (pick one whose name begins with your assigned training letter), then right-click the **Attachments** node.

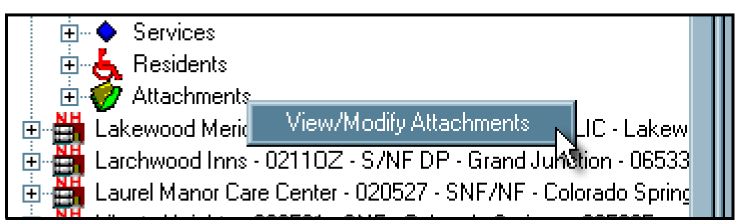



*Figure 2-60: Attachments node under a facility*

2 Select **View/Modify Attachments**.

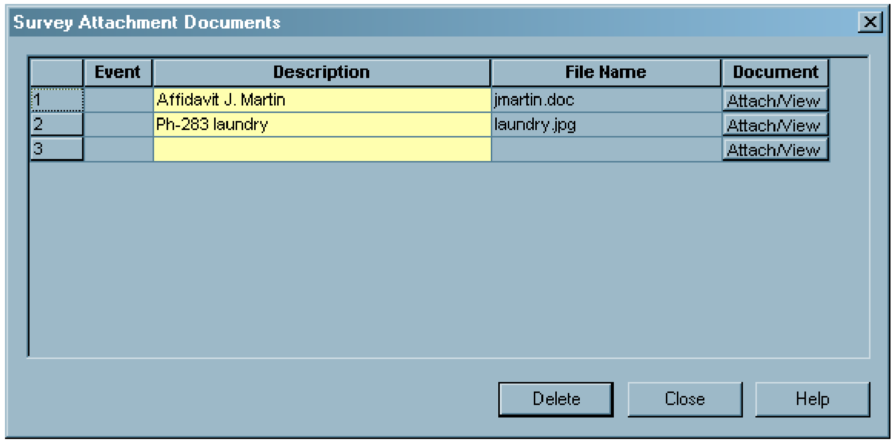



*Figure 2-61: Survey Attachment Documents window*

3 Enter a Description of the attachment and click **Attach/View**.

4 In the Open window, navigate to the C:\ASPEN Tech Training folder and select **ASPEN_Attachment.jpg**, then click **Open**. A message asks if you want to preview or edit the attachment.

5 Click **Yes**. Your attachment will open.

6 To return to ACO, close the application displaying the attachment. The File Name of the attachment is added in the Attachment Documents window.

7 Click **Close** to show the attached file under the Attachments node.

## 2.10.3 Use Attachments for Versioning

Forms and reports that you create in ASPEN can be exported (.pdf works best), then attached to a facility record, certification, ACTS intake or enforcement case.

This can be an efficient way to store electronic versions of forms and reports in different stages of the survey process.

## • Task 2-W: Versioning CMS-2567 using Attachments

You can take a snapshot of the CMS-2567 at a given point in time. This snapshot can be attached to the pertinent survey and retained for future reference, regardless of subsequent survey changes.

In this exercise, we will create a CMS-2567, export it to an Adobe Acrobat document (.PDF format), and attach the .pdf file to the survey.

Before beginning, make sure your selection set shows ESRDs.

1 In the ACO tree, expand the node for your user letter, and locate the nursing home named *<User Letter> ESRD For PDF.*

2 Expand the recertification kit for this facility.

3 Right-click the kit's first health survey and select **Print Forms.**

4 Click the box next to **CMS 2567** and click **OK**.

5 The default customization settings are sufficient for this exercise, so click **OK** again. This customization will generate the CMS-2567.

   When the CMS-2567 appears, you can give it a final review, if needed.

6 To save this form as a .PDF file, click the **Export** icon.


*Figure 2-62: Export icon*

7 For Format, select **Acrobat Format (PDF)**. Destination should be **Disk file** by default. Click **OK**.

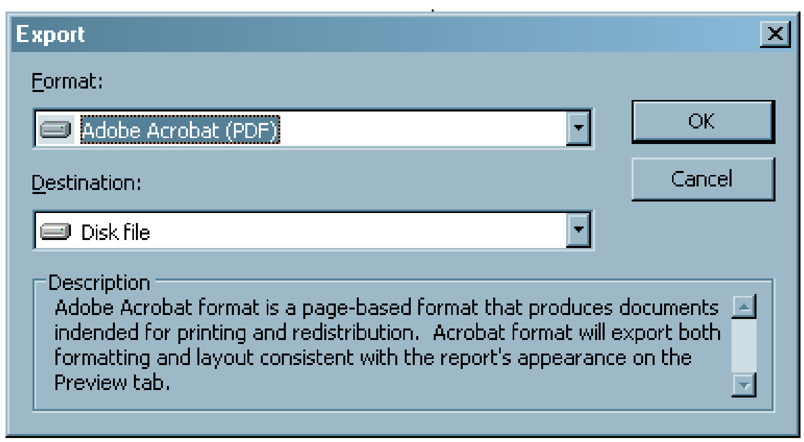



*Figure 2-63: Export window*

8 In the Export options window, we want All pages, which is the default setting. Click **OK**.

9 In the Choose export file window, click the **Desktop** icon to save the file to your desktop.

10 Enter a **File Name** for the PDF file. For this exercise, name it **<UserLetter>2567.pdf**, using your assigned user letter.

11 Click **Save**.

**12** Click to close the Crystal Reports preview window. Now the .PDF file is saved to the desktop, so let's attach it to the survey for which it was generated.

**13** Cancel out of the Select Form(s) to Print window.

**14** Back in the tree, right-click the first health survey and select **Citation Manager**.

**15** View Citation as Supervisor should already be selected, so click **OK** to enter Citation Manager.

**16** Click **Attach**.

**17** Enter a **Description** in the yellow field, then click **Attach/View** to attach the .PDF file. The Open window should default to your desktop, which is where we saved the .PDF file earlier.

**18** At the bottom of the window, change **Files of type** to **All Files**.

**19** Locate and double-click the .PDF file you saved there. Alternatively, select the file, then click **Open**.

**20** We're not going to preview the attachment, so click **No**.

**21** Click **Close** to close the Survey Attachment Documents window.

The .PDF copy of the CMS-2567 is now attached to the survey, and you can view it at any time. If, through supervisory review or IDR/Independent IDR processes, tags are changed, added or removed, this attached version of the CMS-2567 remains unchanged, available to view or print for historical reference.

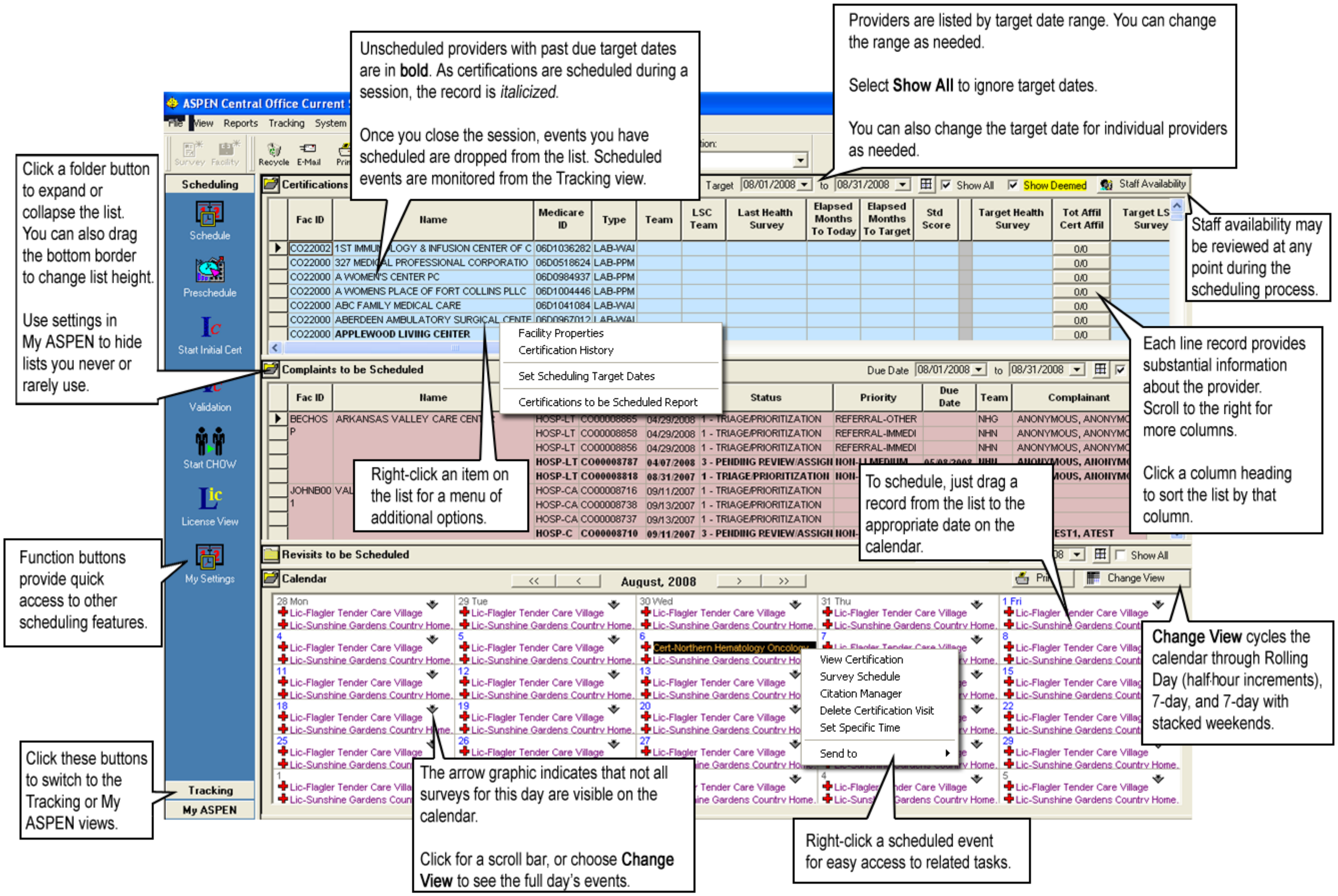
## 2.11 AST - The Main Views

ASPEN Scheduling and Tracking System (AST) is an add-in to ASPEN Central/Regional Office (ACO/ARO) that enables states to use existing data in the ASPEN system to facilitate scheduling and monitoring of the survey process for certifications, complaint investigations, enforcement cases, and state licensed-only facilities.

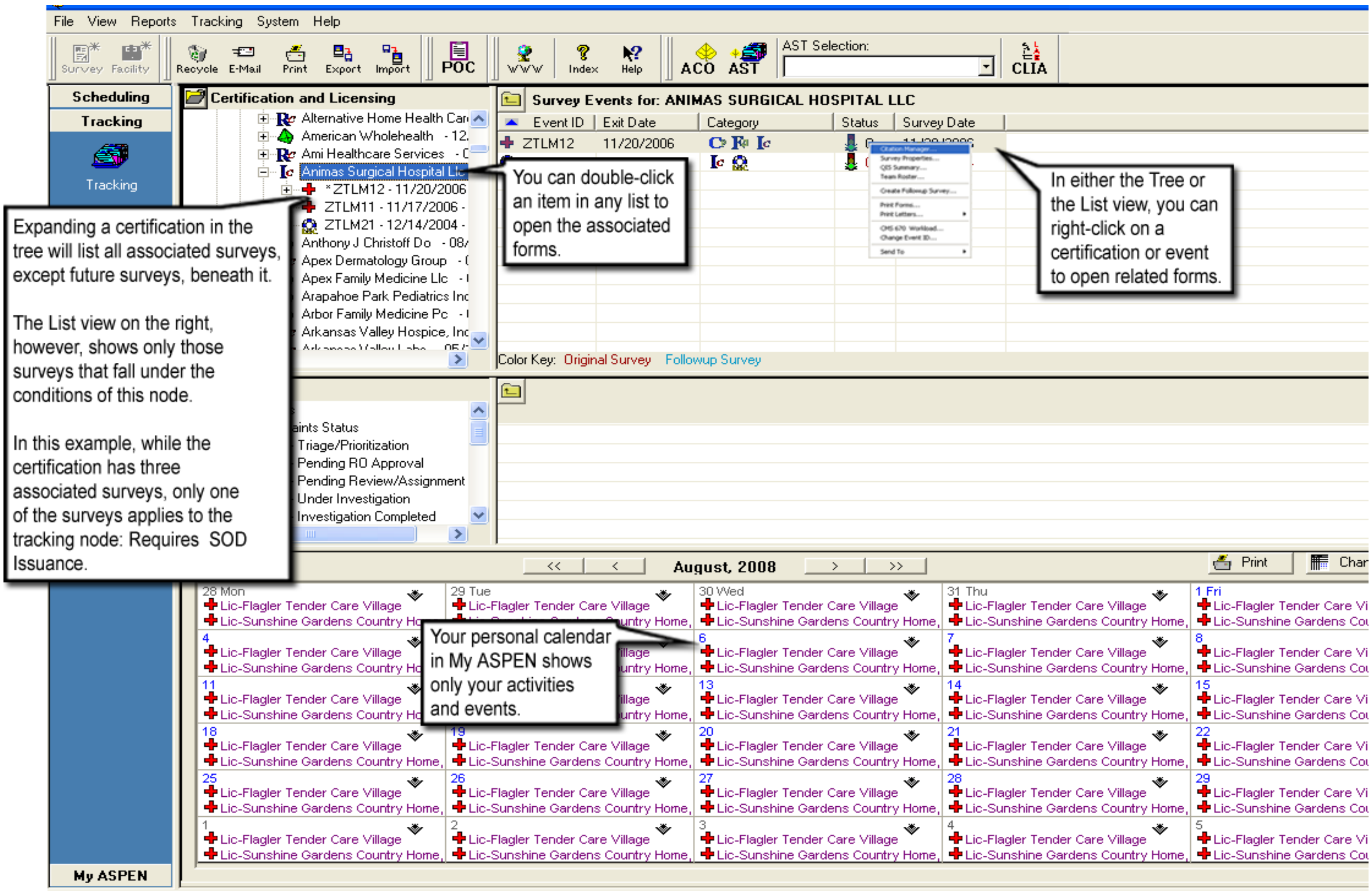
Although AST is located in ACO/ARO, it shares data with the ASPEN Complaints/Incident Tracking System (ACTS) and ASPEN Enforcement Manager (AEM) - information gathered through any system component is automatically available in other system views.

You can use AST to schedule and track surveys for all provider types that are supported for upload to the OSCAR/ODIE system, as well as for state licensed-only facilities.

## 2.11.1 AST Scheduling View



## 2.11.2 AST Tracking View



## 2.11.3 AST My ASPEN

My ASPEN places all your activities into a single view, where you can see all your action items, scheduled events, and your calendar. You can open and work in the related forms (even ACTS forms) directly from My ASPEN.

Each user can tailor My ASPEN to his or her particular workload, as we will show in the following exercises.

## • Task 2-X: Change Preferences in My Settings

**1** In ACO, click the AST button to go to ASPEN Scheduling & Tracking.

**2** The AST toolbar is on the left. Click **My ASPEN**.

**3** If no folders are expanded, click each folder to expand it.

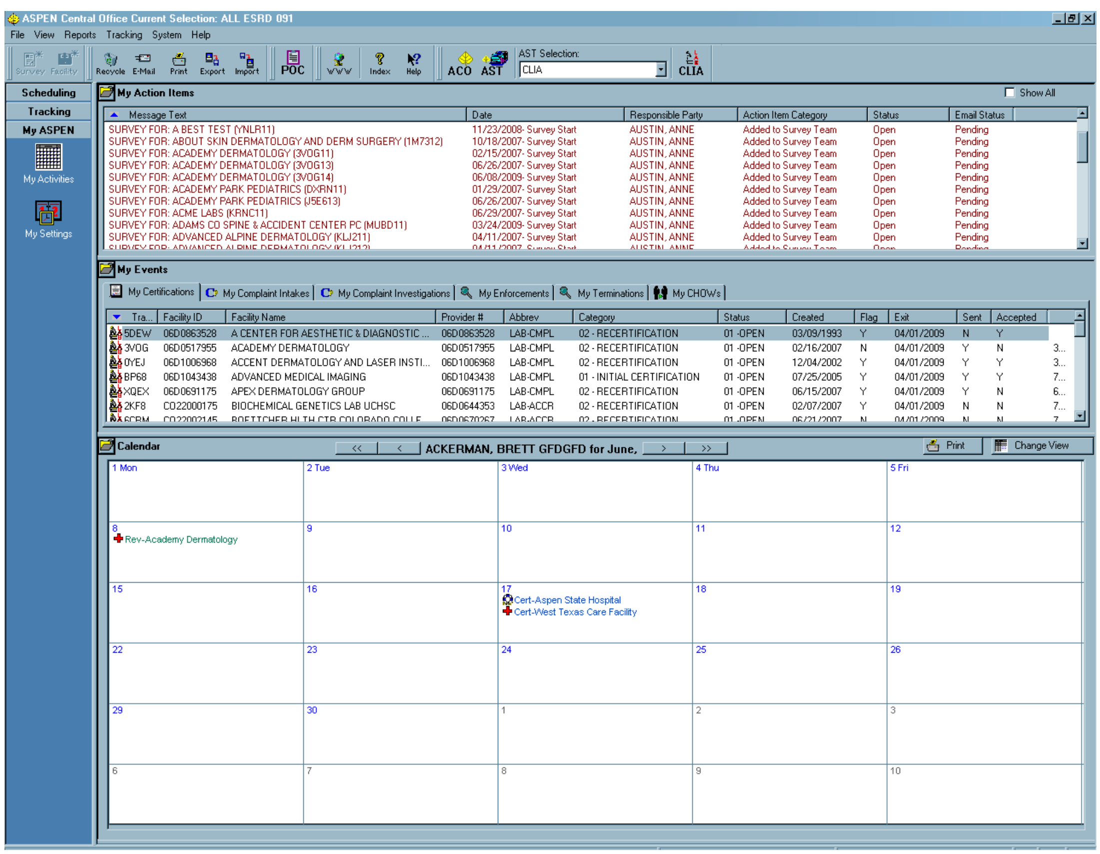



*Figure 2-64: My ASPEN with all folders expanded*

## *Example 1*

You work with complaints and have no need to see certification information, in fact you never use ACO.

***To change default startup to AST:***

**1** In the left pane, click **My Settings**.

**2** In the My Preferences section:

- for Start application in mode, select **AST**
- for Start AST in view, select **My ASPEN**
- click the My Aspen tab

**3** To be reminded of an event scheduled in the future:

- Select the checkbox beside Remind me.
- Enter **4** days.
- Select to be reminded using **E-mail and Action Item.**

**4** In the Show Tabs section, choose **Complaint Intakes** and **Complaint Investigations**.

**5** For Initially Show, select **My Action Items** and **My Events**.

**6** From the supplemental filters on the right, choose **Show Intake with Received End Date in last…** and enter **60**.

**7** Choose **Show Complaint Investigation with Exit Date (X3) in last …**, enter **30** days.

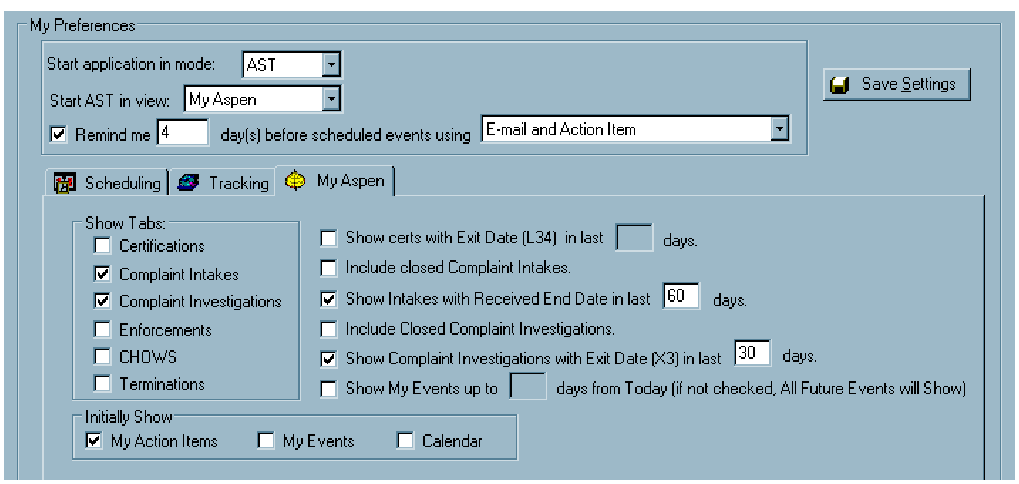



*Figure 2-65: AST My Preferences section*

**8** Click **Save Settings** and close ACO.

**9** Relaunch ACO from the desktop to view AST, My ASPEN. Only your complaint-related events will show on this page.

## *Example 2*

Surveyors want to see the calendar, certifications, and complaint investigations.

1 In the My ASPEN toolbar, click **My Settings**.

2 In the My Preferences section, click the My Aspen tab.

3 In the Show Tabs section, choose **Certifications** and **Complaint Investigations**.

4 For Initially Show, select **My Action Items**, **My Events** and **My Calendar**.

5 Clear all the checkmarks in the supplemental filter section on the right.

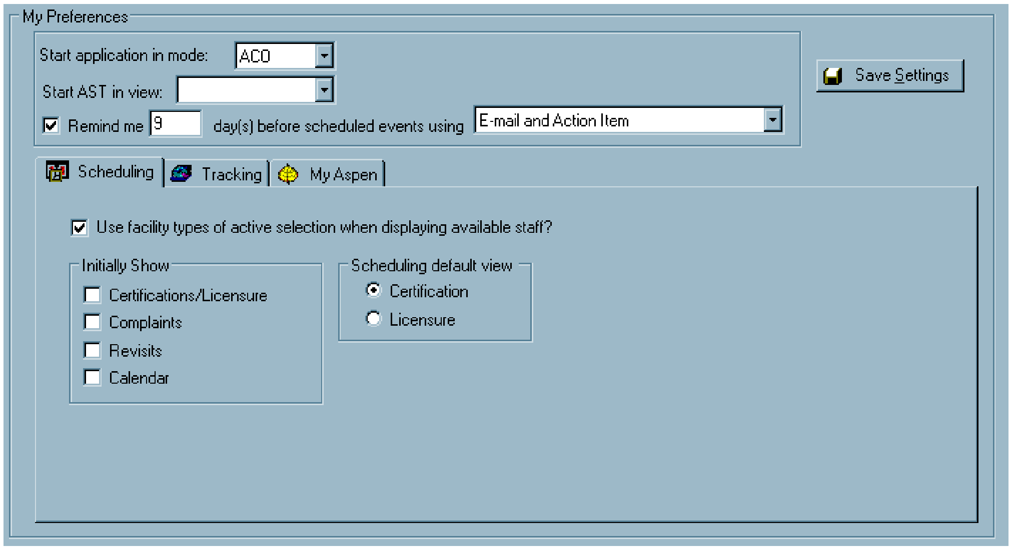



*Figure 2-66: AST My Preferences section*

6 Click **Save Settings**.

7 Click the ACO button to go back to ACO, then click the AST button to return to AST.

The view reflects the changes you just made.

8 Go back to **My Settings**, **My Preferences** and change **Start application in mode** back to ACO.

9 Click **Save Settings**.

# Section 3. ASPEN Configuration (ACO/ARO/ASE-Q/ACTS)

***Included in this section:***

- ✓ ASPEN Authentication
- ✓ The Directory Tab in ACO/ARO
- ✓ User Customization

## ACO User Authentication and Startup Process

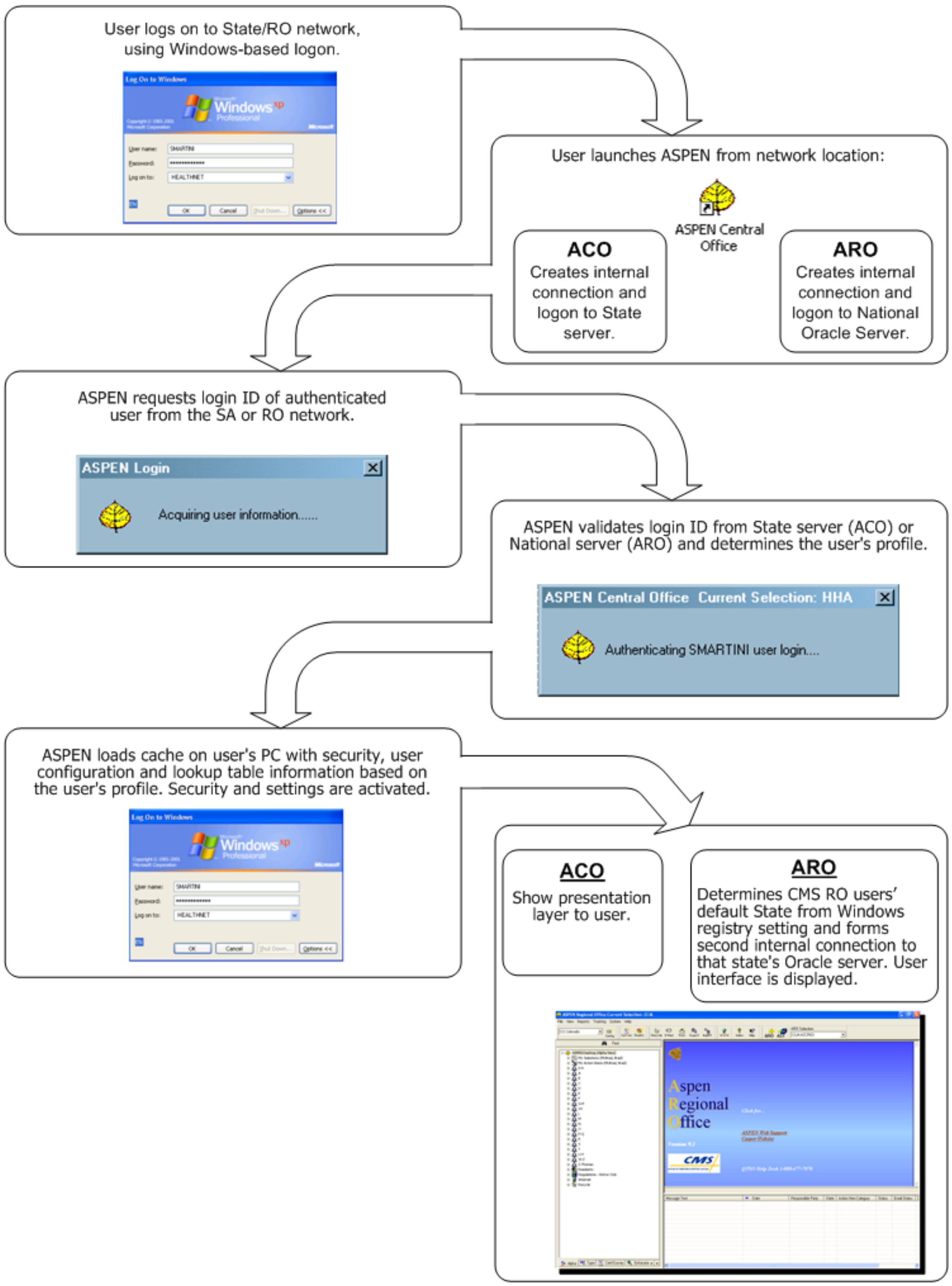



*Figure 3-1: Authentication and Startup Process Flow.*

# 3.1 ASPEN Authentication

ASPEN products require login authentication. ACO users must have a login ID in the ASPEN personnel table on the state server for this authentication to be successful. ARO users must have an entry on the national server.

ACO and ACTS use the same entry in the personnel table, so once a user is created in one application, that user is available in all ASPEN applications.

## 3.1.1 Login ID: ACO/ARO/ACTS

The Network Login entered for the user on the staff personnel information window in ACO/ARO must match the Windows login that the user uses to access the State's network. When launching any of the ASPEN products, the application retrieves the user's network login directly from the network operating system and validates that ID against the database.

**Note:** If the network being accessed is a Novell network, the login script should be modified to pass the login ID to Windows so that it may be retrieved. Consult your network administrator to learn how to add this functionality.

### 3.1.2 Login ID: ASE-Q

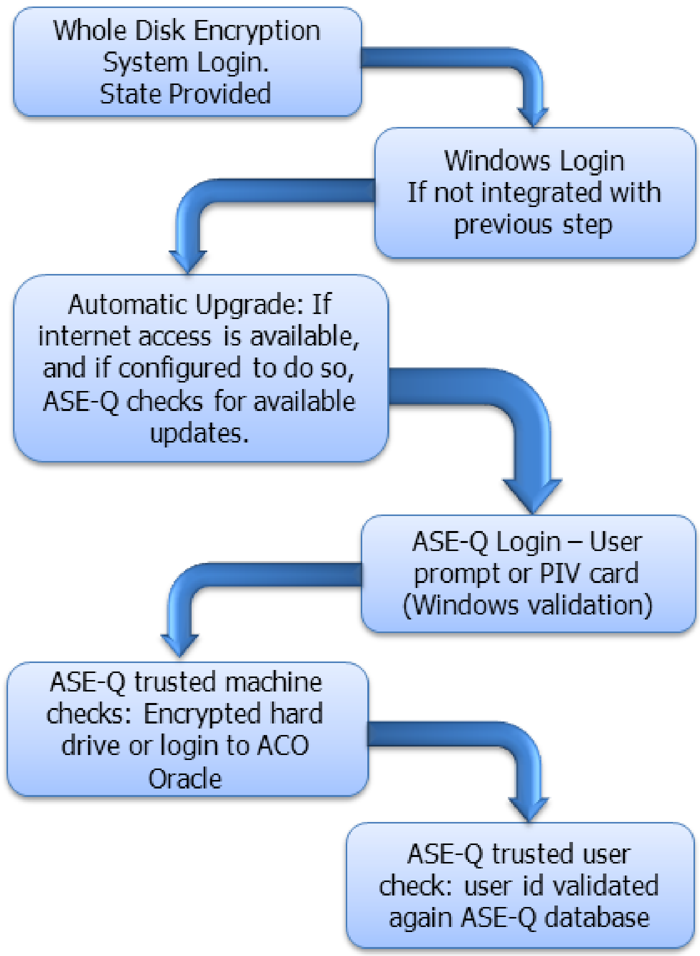



*Figure 3-2: ASE-Q User Authentication Process*

After the Windows login, and if ASE-Q is configured for automatic upgrade, ASE-Q attempts to connect to the internet to detect if updates are available. Updates can include software updates, regulation set updates, QIS static data, database updates. etc. Automatic upgrade is configured in the Upgrade Information window (for details, refer to "To configure Automatic Upgrade" on page 90).

When ASE-Q is launched, it attempts to detect the presence of a PIV (smart card). If found ASE-Q displays the logon authentication screen that prompts for the PIN, and attempts to authenticate to the PIV. Otherwise, ASE-Q opens the User Name and Password dialog. Whichever login screen is presented, the ability for the user to select the alternative login is available.

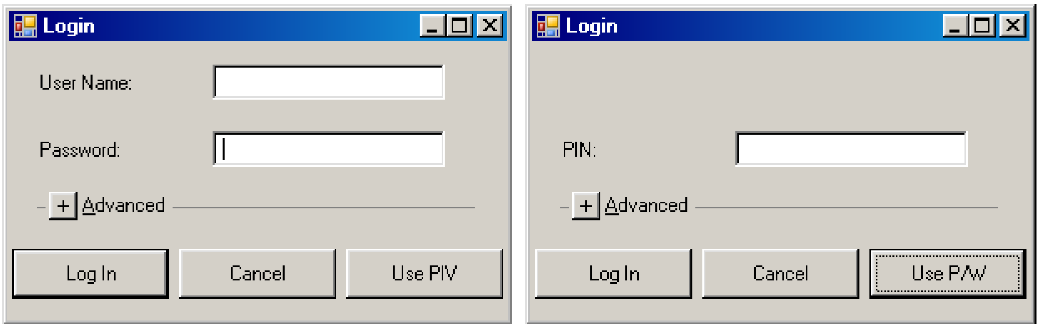



*Figure 3-3: ASE-Q login windows*

A combination of Windows and application verifications determine whether ASE-Q will open:

**1** Windows validates the login against the computer's current domain. In most cases, the user enters their Windows user name and password, or pin and does not need to specify domain information.

In special cases, depending on your agency's Windows and network configurations, additional domain information can be included in the ASE-Q authentication window.

This domain can be seen by expanding the "Advanced" box to see the "Domain" text box. The user can change the authentication domain by checking the "Use alternate domain to authenticate" checkbox and entering the domain in the "Domain" text box. The "Domain" text box should be set to either:

- a valid domain name to authenticate against a domain controller
- the current computer name or a period (".") to authenticate against the local account database

**2** If windows is able to authenticate the login attempt, ASE-Q checks for a database upgrade, and if an upgrade exists, applies it.

**3** ASE-Q then checks to make sure the user is recognized by the ASE-Q database. If the user is not found in the ASE-Q database, ASE-Q allows the user to import user account files from the login window (refer to "To Create a Login in the ASE-Q Database" on page 89 for details).

**4** Once the login is verified, ASE-Q determines if the machine in use is a 'trusted' machine. This is a random check.

A trusted ASE-Q machine is one in which an accepted hard-disk encryption-at-rest (EAR) system is installed or ASE-Q is run on a trusted network. A trusted network is indicated if ASE-Q can log into ACO's Oracle database.

If ASE-Q cannot validate that an EAR is active or that the PC is on a trusted network, the user will see a warning message, but will start in normal operation according to that user's ASE-Q access level.

**Note:** While ASE-Q does not require an EAR system to log in, it is expected that future releases will require it.

The OPSWAT/OESIS library is used to detect if an EAR system is installed and functional. OPSWAT/OESIS is a 3rd party library that is integrated into ASE-Q and does not require a separate installation. The following encryption systems are currently supported for detection:

**Table 3-1: Encryption Systems Supported for Detection**

| Product Name | Version | Product Name | Version |
|---|---|---|---|
| EncryptOnClick | 1.x | Pointsec PC | 6.x |
| AxCrypt | 1.x | Pointsec for PC | 6.x |
| DISK Protect | 5.x | CryptoForge | 3.x |
| Bitdefender Total Security | 15.x<br>16.x | ProtectDrive | 9.x |
| Endpoint Security | 7.x | FreeOTFE | 5.x |
| COMODO Disk Encryption | 1.x | DriveCrypt | 4.x<br>5.x |
| CMG Windows Shield | 5.x | DriveCrypt Plus Pack | 3.9.x |
| ArchiCrypt Live | 5.x | StormShield | 5.x |
| Encryption Plus Hard Disk | 7.x | BitDefender Total Security | 12.x |
| SpyProof! | 1.x | BitDefender Total Security 2011 | 14.x |
| CryptoExpert Lite | 7.x | Sentry 2020 | 3.x |
| BestCrypt Volume Encryption | 2.x | SafeGuard | 5.x |
| Kaspersky PURE [HD Encryption] | 12.x<br>9.x | Symantec Endpoint Encryption | 8.x |
| SafeGuard PrivateDisk | 1.x | TrueCrypt | 4.x<br>5.x<br>6.x<br>7.x |
| McAfee Endpoint Encryption | 5.x<br>6.x | TrustPort Total Protection | 11.x<br>12.x |

**Table 3-1: Encryption Systems Supported for Detection**

| Product Name | Version | Product Name | Version |
|---|---|---|---|
| McAfee Endpoint Encryption for Files and Folders | 3.x | SafeGuard Easy | 4.x |
| BitLocker Drive Encryption | 6.x | SafeGuard PrivateDisk | 2.x |
| SafeBit | 1.x | CryptoDisk | 1.x |
| DiskCryptor | 0.x | | |
| Panda Global Protection [Hard Disk Encryption] | 4.x<br>5.x<br>6.x | | |
| PGP Desktop | 10.x<br>9.x | | |

## • Task 3-A: To Create a Login in the ASE-Q Database

You must have an ASE-Q login to open the ASE-Q application. You can export ASE-Q user account files from ACO to populate the ASE-Q database with your login information. You can export one or multiple ASE-Q surveyor records at a time. This function is used primarily to transfer user accounts to newly installed instances of ASE-Q.

Login information is assigned on the Security tab of Update Surveyor Information in ACO (for details, refer to “Security Tab” on page 117).

***To export ASE-Q user accounts:***

**1** From the ACO System menu, select **Specialty Info Transfer**, then **Export ASE Users**.

**2** In the ASE User Export window, select the surveyors whose user accounts you want to export.

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

**3** In the Select for Import window, click **Browse** to navigate to your export location.

**4** ACO supplies the filename ASEUserTx.ZIP.

**5** Click **Open**.

**6** Click **OK**, then **OK** again on the User Export Successful message.

***To import ASE-Q user accounts:***

**1** Open **ASE-Q**.

**2** Type your **User Name** and **Password** in the Login window, and click **Log In**.

If this is the first time you've opened ASE-Q, your user account information may not be recognized by the Sybase database.

You will see a message, "ASPEN cannot validate your login. What would you like to do?"

**3** To import user account information, select **Load a User Account File**.

**4** Navigate to **ASEUserTx.zip**.

**5** Click **Open** to import the user information.

**6** Click **Apply** to complete the transfer and open ASE-Q.

## • Task 3-B: To configure Automatic Upgrade

The upgrade procedure supports both major and minor revision changes. Prior to starting the upgrade process, the procedure confirms the user has the appropriate security access to program folders.

**1** Select **System Configuration | Upgrade Configuration**.

There is an option to change the configuration when ASE-Q is launched, if Run Configuration is set to ASK.

**2** Set **Run Configuration**:

Never - Never check for updates

Ask (Default) - Check and prompt to apply updates when ASE-Q is launched

Always - Check and apply upgrades automatically every time ASE-Q is launched

**3** **Notify Site Connection Failure**

By default, internet connection failure errors are suppressed, but they can be turned on in ASE-Q by setting this field to Yes.

### 3.1.3 ASPEN Web Authentication

All CLIA users who need to view or edit CMS-116 data must apply for a CASPER login to open the CLIA 116 web application. The link for the instructions and request forms is on the QTSO website, www.qtso.com:

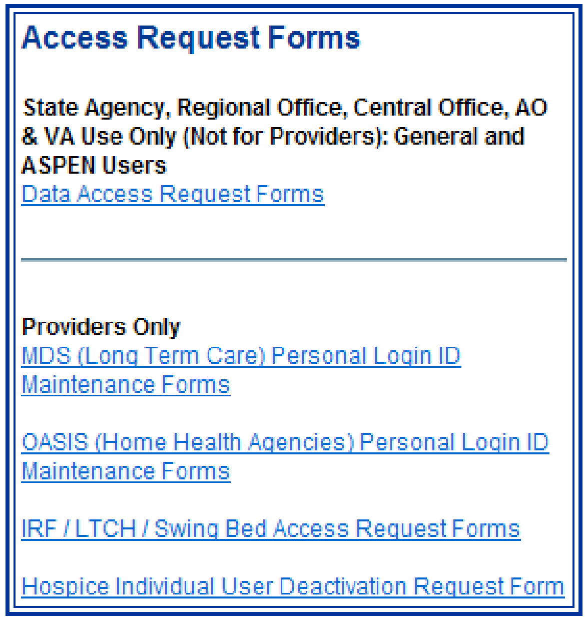



*Figure 3-4: QTSO Link to Medicare Data Communication Network (MDCN)*

Login requests go through an approval process, and if approved, the Telligen security team sends a detailed email to the user about the login and then telephones the user to provide the password.

---

**Note:** State ASPEN administrators need to make sure that CLIA 116 users are in the ASPEN personnel tables with appropriate CASPER security permissions.

---

## *ACO Menu and Button Security for CLIA*

ACO's menu, button, and tab security does not apply in the CLIA 116 web application. It does apply to the 116 point-of-access menus and buttons in ACO. ASPEN administrators should ensure that CLIA users are in a security group that can use the ACO menu and button selections that open the CLIA 116 web application.

The menus and buttons in ACO contain the primary level of 116 security. If the user has read-only access to the menus and buttons, then security in the 116 web application for that user cannot be above read-only. If users need full access in the web application, then their security for the CLIA 116 menus and buttons in ACO must be full access.

## *Security in the CLIA 116 Web App*

Field and button security in the CLIA 116 web application screens is based on the user's security classification, which is assigned when the CASPER login is associated with the ASPEN personnel record. Classifications are:

- Regional Office – Full Access or Read Only
- State Agency – Full Access or Read Only
- Exempt State – Full Access or Read Only
- Central Office – Full Access, Read Only, Super User

State and Regional Office users are further classified according to their state and region.

## *Who Sees What?*

The CLIA 116 system is a national system. State users may update records for labs in their own state, and view labs in other states. Regional Office users may update records in their region and view records in other regions.

Outside users include:

- Accrediting Organizations (AOs) who see only labs with which they are affiliated.
- Veteran's Administration users (VA), who see only VA labs.
- Billing Contractors (BC).

CMS Central Office handles the administration of outside users.

## *ACO – Adding CASPER Logins and Access Levels*

ASPEN Administrators add the CASPER login and 116 web access levels for each CLIA user to his or her employee record in ACO. The Employee Details tab of the Update Surveyor Information window contains new fields to accommodate login and security for the CLIA 116 web application.

In ACO, the **CASPER Login** field supports entry of up to 20 alphanumeric characters.

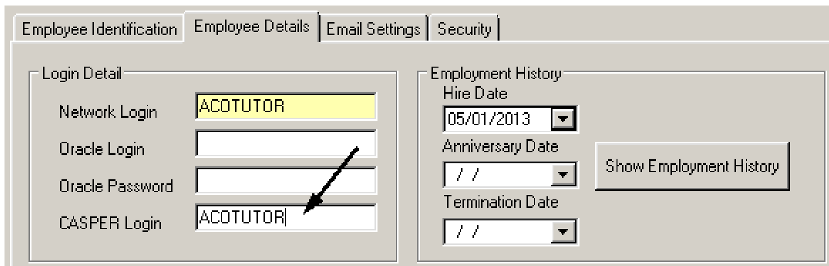



*Figure 3-5: CASPER Login field*

The middle area of the Employee Details tab contains the **ASPEN Web Access Level** selections: No Access, Read Only, and Full Access.

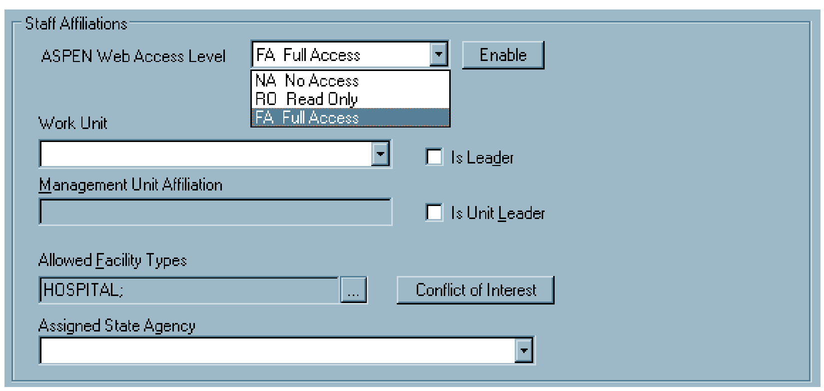



*Figure 3-6: ASPEN Web Access Level field in ACO*

Click **Enable** to activate the ASPEN Web Access Level list. The list defaults to No Access for new users and for pre-existing SA users.

## *ARO – Adding CASPER Logins and Access Levels*

In ARO, CLIA 116 login and web access level features have been added to the Employee Details page. The Federal Type field has been re-labeled National Type. The National Type list contains the following choices: Regional Office, Central Office, Office Financial Management, Accrediting Organization, Veterans Administration, and Billing Contractor.

**Note:** Central Office users see all options. Regional Office users see only RO options.

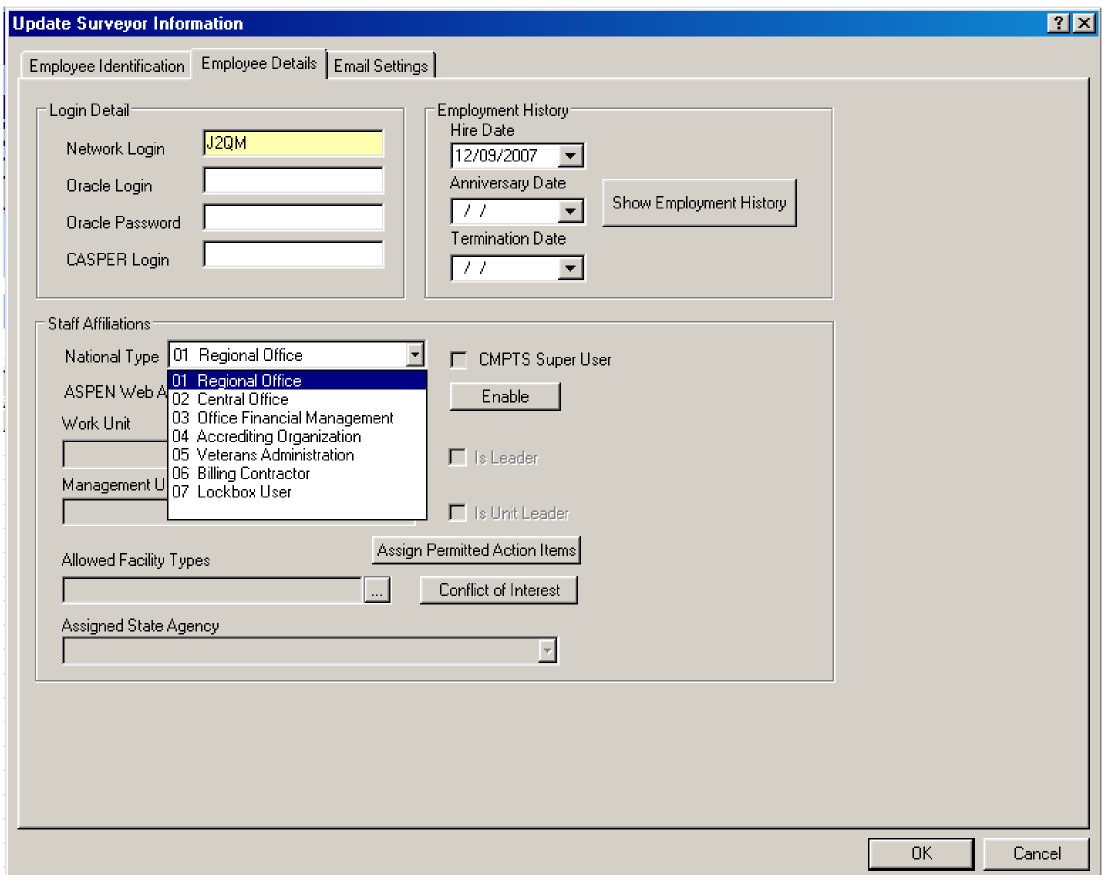



*Figure 3-7: National Type field in ARO*

The Employee Details tab contains a CASPER Login field, which supports entry of up to 20 alphanumeric characters.

## *Central Office Permissions*

If the National Type specified is Central Office, the ASPEN Web Access Level drop list provides the following choices: No Access, Read Only, Full Access and Super User.

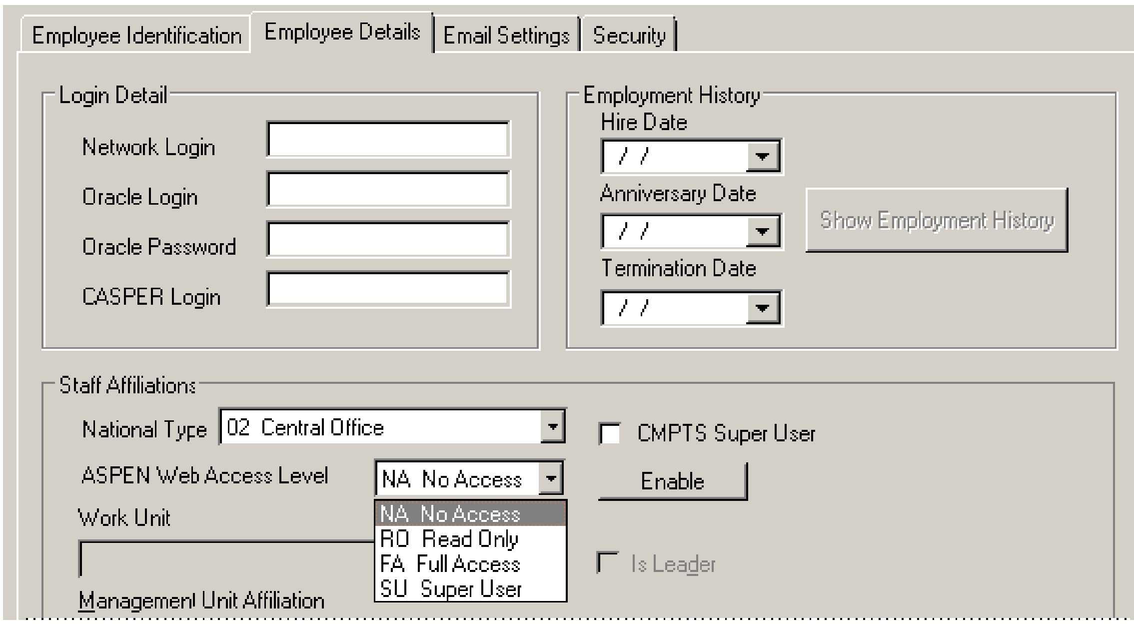



*Figure 3-8: ASPEN Web Access Level field includes Super User*

Central Office Full Access users can set National Type for other Central Office and Regional Office users, and can set Web Access Levels to a level at or below the current user's access level. Only Super Users can set National Types for RO Full Access, OFM, AO, VA, or BC users.

### *Regional Office Permissions*

If National Type is Regional Office, the ASPEN Web Access Level drop list contains the following choices: No Access and Read Only.

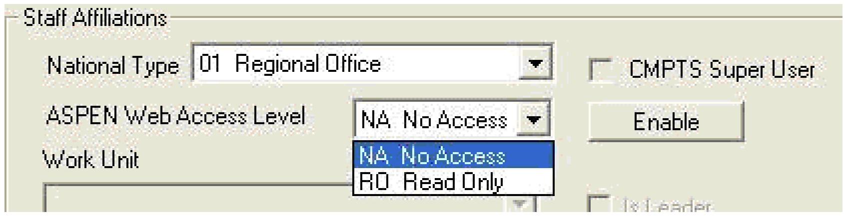



*Figure 3-9: ASPEN Web Access Level selections for National Type - Regional Office*

Regional Office Full Access users can set National Type for other Regional Office users. The drop list defaults to No Access for new Regional Office users. RO users may set Web Access Levels only to a level below the current user's access level.

## 3.2 The Directory Tab in ACO/ARO

ACO administrators maintain information related to personnel and organizational structure, as well as directories of provider administration and owners on the Directory tab in ASPEN Central Office.

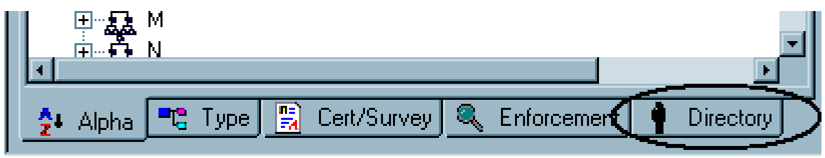



*Figure 3-10: Tabs at the bottom of the ACO tree*

The Directory tab includes listings of agency management units, work units, and staff members. It also lists the administrators, owner companies, and owner company officers of the facilities that your agency oversees.


*Figure 3-11: Directories View*

### 3.2.1 Management Units

ACO provides a three-level hierarchy of agency organizational units that you can adapt to suit your state's management structure.

A management unit represents the highest level, and usually refers to a major functional unit such as an agency division, or to a geographical unit such as a District Office.

Each management unit contains work units, which are made up of staff members. Management units are listed in the Management Units node on the Directory page.

You should create management units before you create work units. ACO stores the ID number, description, contact information, and unit manager of each management unit.

**Note:** Management and work units provide useful tools for organizing and focusing information throughout ASPEN.
By careful construction of these to represent your states organization, you will create a more customized experience for your ASPEN users in terms of on-screen displays and reports specific to their areas of interest.

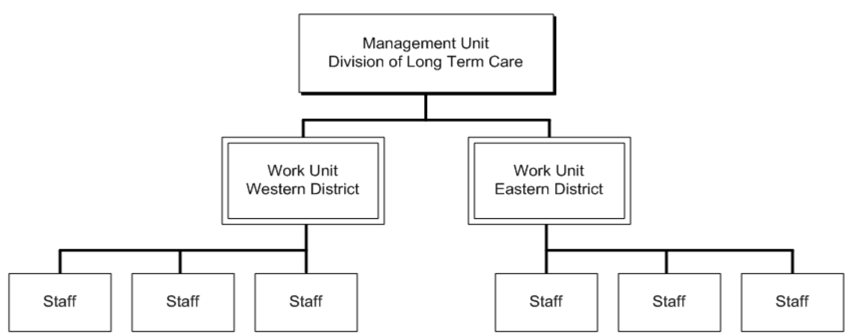



*Figure 3-12: Organization Unit structure*

Management units are created and maintained in ACO, but may be assigned to ACTS intakes as well. AST can list scheduling and tracking views sorted by work unit.

# • Task 3-C: Add a Management Unit

We will add a new management unit in ACO.

**1** From ACO, click the **Directory** tab located at the bottom left of the ACO main window.

**2** Right-click the Management Units icon, and select **Insert New Management Unit**.

In the Enter Management Unit Information window, a Management ID number is generated by ACO. This number cannot be changed. Abbreviation and Description are required fields.

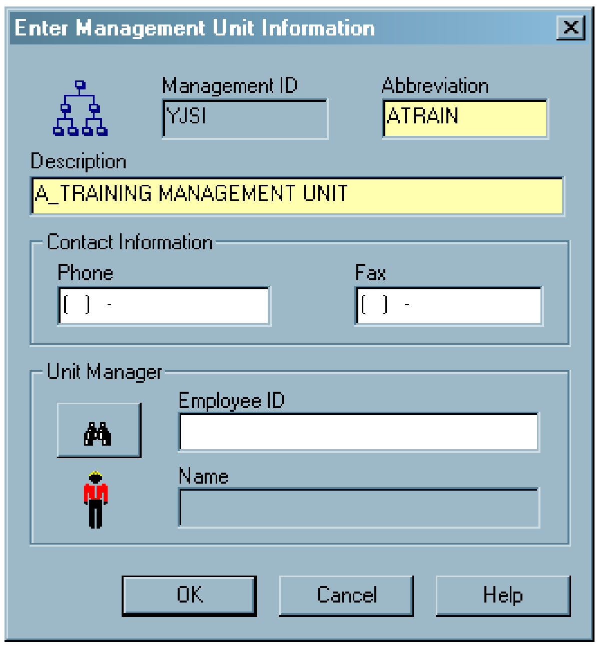



*Figure 3-13: Creating a New Management Unit*

**3** Enter up to six characters as an **Abbreviation** for the management unit. Use your assigned training letter as the first letter. The abbreviation is used on ACO screens and reports.

**4** Enter a **Description** for the management unit. This is the label that will appear in the Directory tree. Prefix the description of your management unit with your assigned training letter, e.g., A_NORTHERN DISTRICT.

**5** In the Contact Information section, enter the **Phone** and **Fax** numbers for the management unit contact.

6 In the Unit Manager section, enter the State Employee ID number of the Unit Manager. ACO will supply the name.

7 Click **OK**. The new management unit is created and appears on the Directory page in the Tree view.

## *Locating a Unit Manager in the Database*

To locate a unit manager's **State Employee ID** and/or **Name** in the database, click the Find button (binoculars). The Find Surveyor window appears.

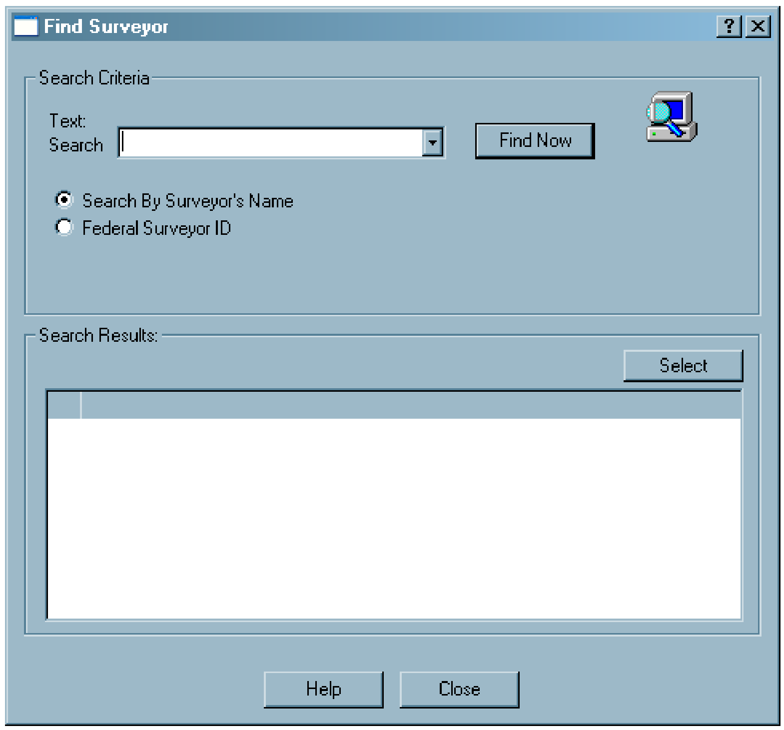



*Figure 3-14: Find Surveyor window*

## *Using the Find Surveyor Window*

- In the Text Search field, enter the last name or **Federal Surveyor ID** of the unit manager. You can enter part of the name or surveyor ID. If the text you enter does not appear at the start of the name or number, type an asterisk (*) before the text.
- Select **Search By Surveyor's Name** or **Search by Federal Surveyor ID** as appropriate. You can perform only one type of search at a time.
- Click **Find Now**. The staff members who match the search criteria appear in the Search Results section.

- Choose the unit manager in the Search Results list and click **Select** (or double-click the unit manager in the Search Results list). The State Employee ID and Name of the selected individual now appear in the Unit Manager section of the Enter Management Unit Information window.
- To exit the Find Surveyor window without selecting a unit manager, click **Close**.

### *Management Unit Maintenance*

You can update all information about a management unit except the Management ID. Maintenance (update, create, delete) functions for Management Units can be accessed by right-clicking the management unit in the tree, and using the shortcut menu shown in *Figure 3-15*.

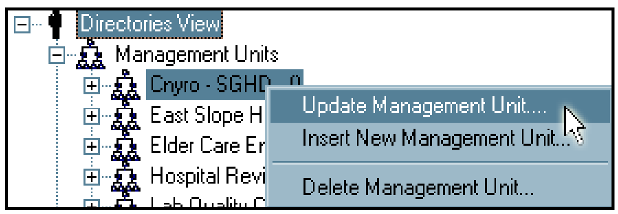



*Figure 3-15: Management unit maintenance menu*

### *About Deleting Management Units*

When you delete a management unit, its constituent work units are removed from the management unit, but not from the ACO database. They can be assigned to other management units.

You cannot restore a management unit after you delete it, but you can re-create it if necessary.

## 3.2.2 Work Units

ASPEN Central Office uses work units to group staff members that work together. Work units are subsidiary units within a management unit, as defined by each State.

Work units can be designated as LSC, Health, or Both. ASPEN displays can be filtered by work unit.

Work units are more or less permanent assignments for staff members. They differ from survey teams to which surveyors are temporarily assigned for the purpose of surveying a facility. Any staff member can be assigned to a work unit, while only surveyors are assigned to survey teams.

You find work units listed under the Work Units node on the Directory tab in ACO.

## • Task 3-D: Add a Work Unit

In ACO:

1 From the Directory tab, right-click the Work Units icon, and select **Insert New Work Unit** from the shortcut menu.

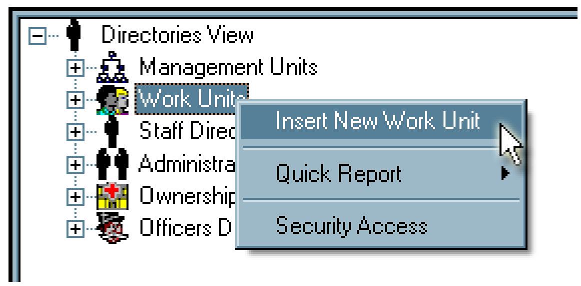



*Figure 3-16: Insert New Work Unit menu option*

2 In the **Work Unit ID** field, enter an alphanumeric identifier for the work unit, beginning with your assigned training letter.

3 Enter a short work unit **Description** that begins with your training letter.

4 Enter a **Short Name** (3 character maximum) for the work unit.

5 Select the **Type** of surveys the work unit conducts from the drop-down list. Choose **03 BOTH HEALTH/LSC SURVEY**.

6 Select the **Management (Mgmt) Unit** you created in the previous task from the drop-down list.

7 In the Work Unit Phone section, enter the **Main** phone number and a number for the office **Secretary**.

8 Enter the **Office Location** of the work unit. This can be an address or description of the work unit's physical location.

**Note:** The Work Unit Leader will be assigned later.

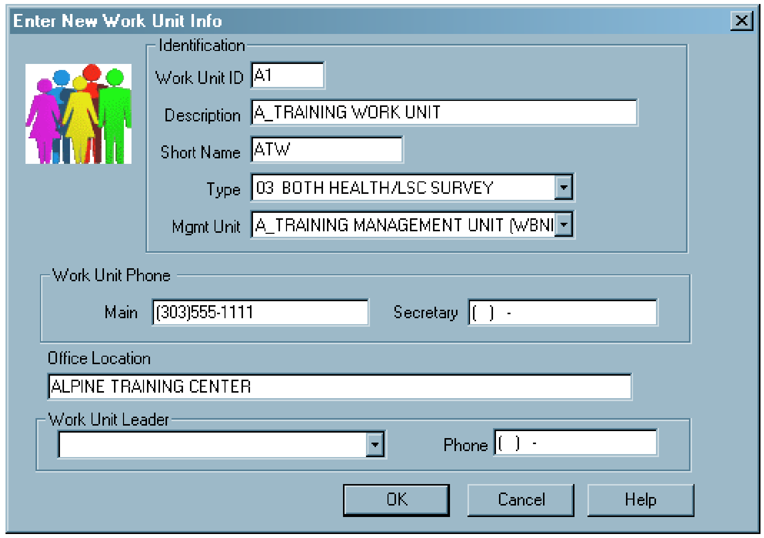



*Figure 3-17: Enter New Work Unit information*

**9** Click **OK**. The new work unit is created and listed in the Work Units node on the Directory page.

## • Task 3-E: Assign Members to a Work Unit

Now you can assign members to your work unit. A staff member can belong to only one work unit at a time.

**1** On the Directory tab, locate and right-click the work unit you created.

**2** Select **Assign Work Unit Members**.

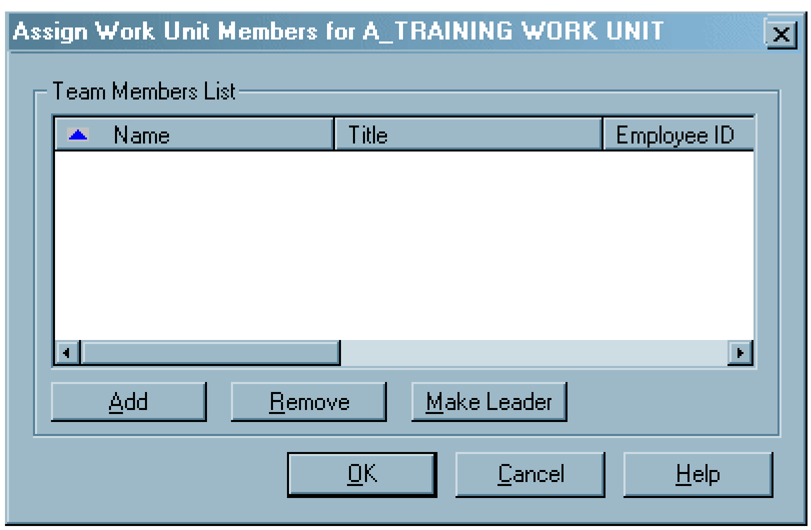



*Figure 3-18: Assigning work unit members*

**3** Click **Add** to open the Find Surveyor window.

**4** In the Search text box, enter your assigned training number (01, for instance) and click **Find Now**. Select your trainee name from the Search Results.

If ASPEN asks if you want to reassign this staff member, say **Yes**.

See "Using the Find Surveyor Window" on page 99 for additional help.

**5** Add additional members to the work unit, if you like. Do not use other trainee names.

## *Assign a Leader*

Now, with work unit members, you can designate a leader for the work unit.

In the Assign Work Unit Members window, select the member you want to assign as leader of the work unit and click **Make Leader**. A red 'vest' is added to the new leader's member icon.

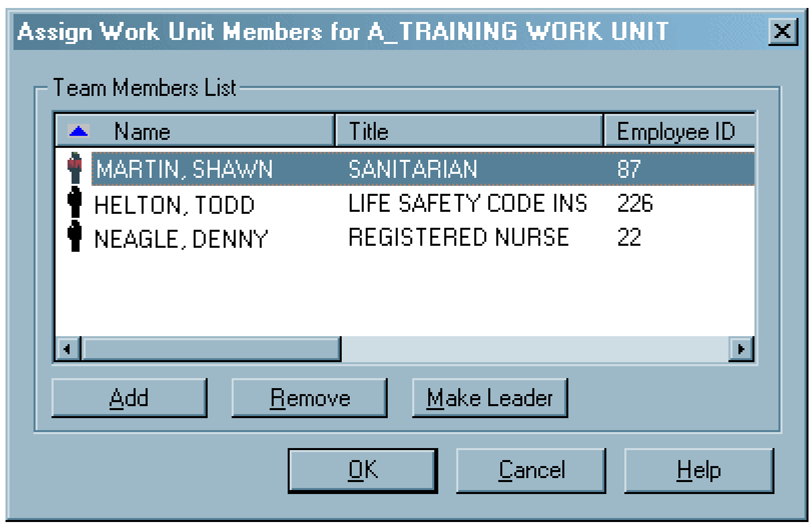



*Figure 3-19: Assigning a leader to a work unit*

## *Removing Work Unit Members*

In the Assign Work Unit Members window (*Figure 3-18 on page 102*), select a name and click **Remove** to remove a staff member from a work unit. Removing a staff member from a work unit does not remove the individual from the ACO database.

### *Work Unit Maintenance*

You can update all information about a work unit except the Work Unit ID.

Maintenance (create, update, assign members, and delete) functions for work units can be accessed by right-clicking the work unit in the tree, and using the shortcut menu shown in *Figure 3-20*. Note that you can also print reports about the work unit's activity from this menu.

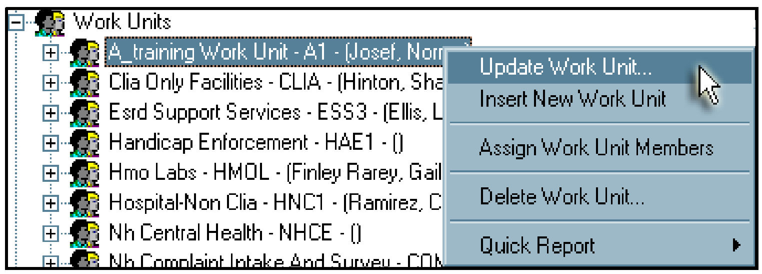


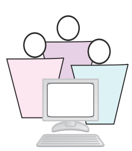

*Figure 3-20: Work unit right-click menu*

**Note:** You can delete a work unit at any time, but you must first remove the assigned members. You cannot restore a work unit after you delete it.

## 3.2.3 Using Management and Work Units in ASPEN

To take full advantage of ASPEN's filters, reports, and scheduling features, you need to assign management and work units to individual facility records.

## • Task 3-F: Assign Management/Work Unit to a Provider Record



**1** Shut down and re-open ACO, so your new management and work units are added to ACO's cached information.

**2** On the Alpha tab, locate and expand the node for your assigned training letter.

**3** Locate the facility named, **A_Training Nursing Home**, where A is your assigned letter.

**4** Right-click the facility and select **Facility Properties**.

**5** Go to the Associations tab. Click the down arrow next to **Management Unit** to locate and select the management unit you created earlier.

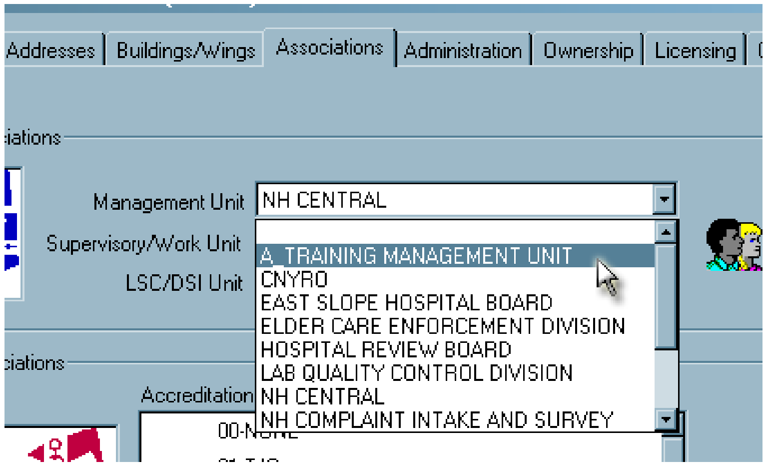



*Figure 3-21: Associations tab with Management Unit field menu shown*

**6** Click the down arrow next to **Work Unit** to locate and select the work unit you created earlier.

**7** Click **OK** to close Facility Properties.

Once facility records are linked to organizational units, you can tailor on-screen views and reports to individual areas of interest.

## *Management/Work Units in My Selections*

Using My Selections, you can limit the information displayed in ASPEN to just facilities associated with specific Management or Work Units. This can save time and resources in the course of your routine work.

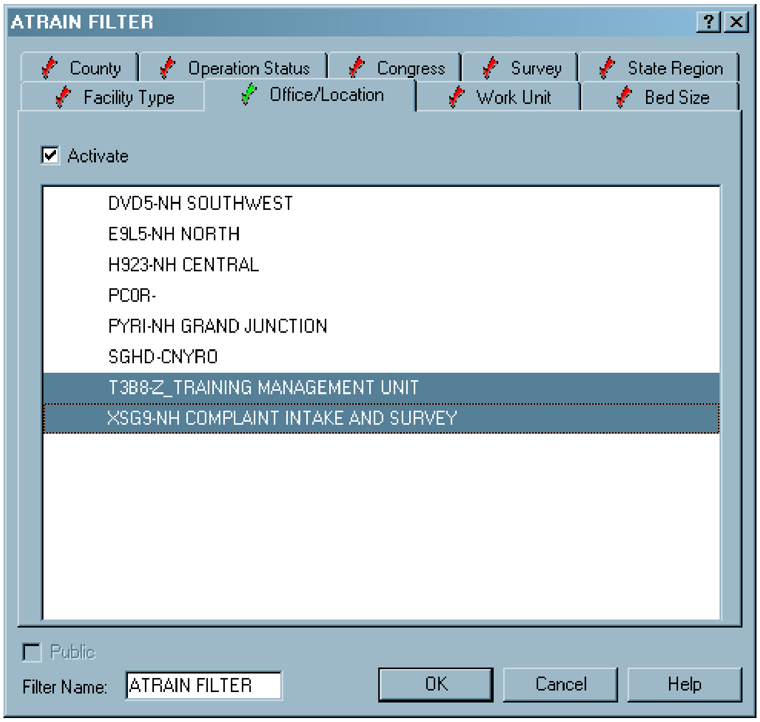



*Figure 3-22: Creating a selection set that will filter by management unit*

The example in *Figure 3-22* limits the selection set to only those facilities that have been assigned the two selected management units.

## *Management/Work Units in the Staff Availability List*

When the active selection set filters by work unit, members of that work unit will be the only staff shown in the Staff Availability List, the list that schedulers use to add surveyors to a team. There is an option to Ignore Work Unit Filter.

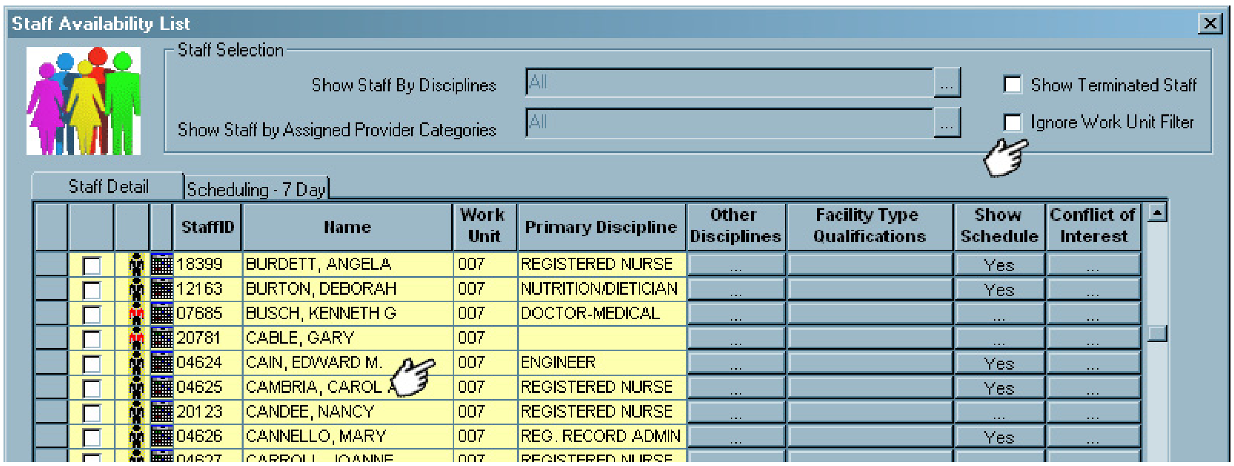



*Figure 3-23: Staff Availability List, showing only members of work unit 007*

## *Management/Work Units in Report Customization*

Many reports throughout ASPEN offer the option of focusing the report output to specific organizational units.

*Figure 3-24* shows how ACTS report filters allow you to limit the scope of your reports to specified work units.

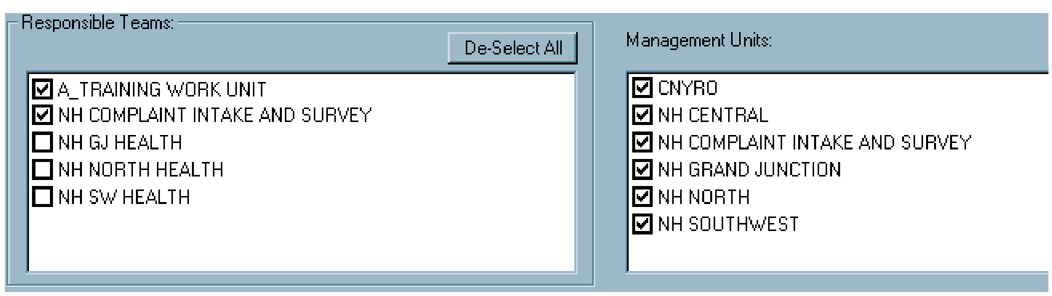



*Figure 3-24: ACTS report filters for work units*

AST reports can provide scheduling and tracking information for specific management and/or work units:

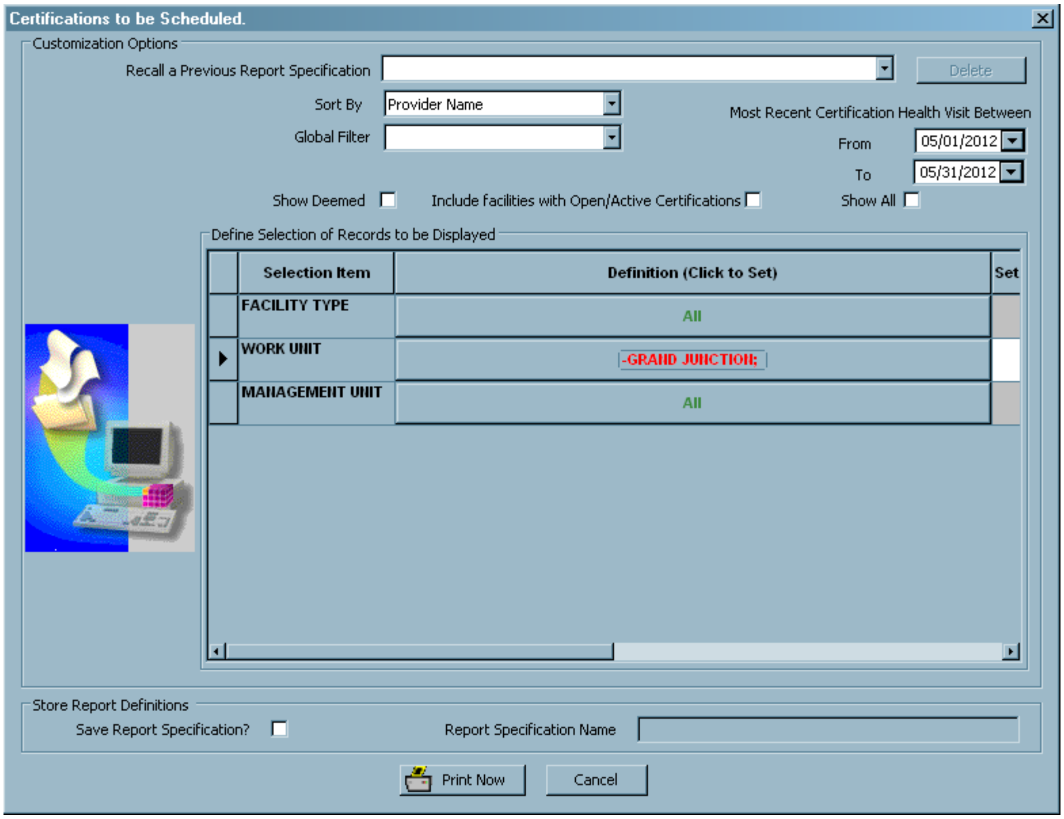



*Figure 3-25: AST report lists providers with certification target dates in May that are linked to Grand Junction work units*

## *Linking Information to Management/Work Units*

Other information can also be linked to specific organizational units. For instance, complaints/incidents received by a State Agency may be logged in terms of which unit received the complaint/incident and which unit is assigned responsibility to investigate the complaint/incident.

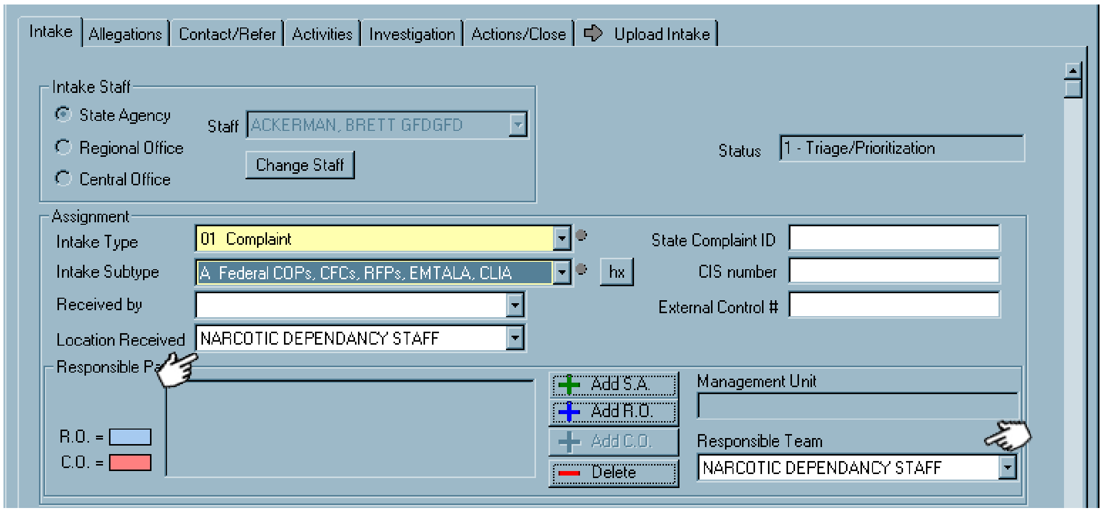
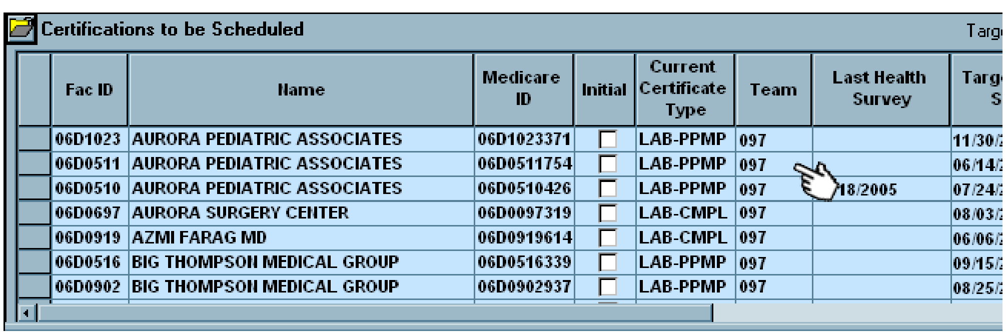



*Figure 3-26: ACTS intake showing how work units are assigned*

## *Scheduling and Tracking with Management/Work Units*

ASPEN Scheduling & Tracking (AST) makes extensive use of work units to organize data for survey oversight.

By applying AST selection sets that specify work units, both Scheduling and Tracking views in AST list work according to the work units assigned:



Certifications to be Scheduled

| Fac ID | Name | Medicare ID | Initial | Current Certificate Type | Team | Last Health Survey | Targ S |
|---|---|---|---|---|---|---|---|
| 06D1023 | AURORA PEDIATRIC ASSOCIATES | 06D1023371 | | LAB-PPMP | 097 | | 11/30/ |
| 06D0511 | AURORA PEDIATRIC ASSOCIATES | 06D0511754 | | LAB-PPMP | 097 | | 06/14/ |
| 06D0510 | AURORA PEDIATRIC ASSOCIATES | 06D0510426 | | LAB-PPMP | 097 | 18/2005 | 07/24/ |
| 06D0697 | AURORA SURGERY CENTER | 06D0097319 | | LAB-CMPL | 097 | | 08/03/ |
| 06D0919 | AZMI FARAG MD | 06D0919614 | | LAB-CMPL | 097 | | 06/06/ |
| 06D0516 | BIG THOMPSON MEDICAL GROUP | 06D0516339 | | LAB-PPMP | 097 | | 09/15/ |
| 06D0902 | BIG THOMPSON MEDICAL GROUP | 06D0902937 | | LAB-PPMP | 097 | | 08/25/ |

*Figure 3-27: AST view of certifications to be scheduled for the 097 work unit*

### 3.2.4 Staff Directory

Each ACO/ARO/ACTS user must have a personnel record in ASPEN to access the system. These entries are created by ASPEN administrators.

State Agency staff members are listed in the Staff Directory node on the Directory page. Access to staff member detail is available only to ACO users. ARO users may not add or modify state personnel.

RO users are maintained through the CMS Customization dialog. The personnel records are stored on the national server and are not accessible to State users. An RO user record needs to be created only once to access all ASPEN RO products.

ASPEN provides a single point of entry for staff who require a Federal surveyor ID. This eliminates double entry of surveyors in ASPEN and on the national server. ASPEN automatically assigns a nationally unique surveyor ID to new Federal surveyors.

New and changed surveyor records are uploaded overnight and appear in OSCAR the following day. ASPEN supports all Federal surveyors whether they are SA, CMS-RO/CO staff, or contract surveyors.

#### *Adding State Staff*

If the user to be created is designated as either clerical or administrative staff, you will not need a Federal surveyor ID, but you should have a numbering system that provides a unique ID for these types of staff members.

Keep in mind that there is a one-day delay before the surveyor is recognized on the national server for uploads. You may not upload a certification or complaint until all assigned surveyors exist on the national server.

#### *Adding Federal Staff*

ARO users manage Federal staff with the CMS Custom command on the System | System Configuration menu.

## • Task 3-G: Add a New State or Federal Staff Member

RO and State trainees follow different paths when adding staff. State users can go to "State Administrators" on page 113.

RO trainees should open ARO for this task.

## *RO Administrators*

**1** From ARO, select **System** | **System Configuration** | **CMS Custom**.

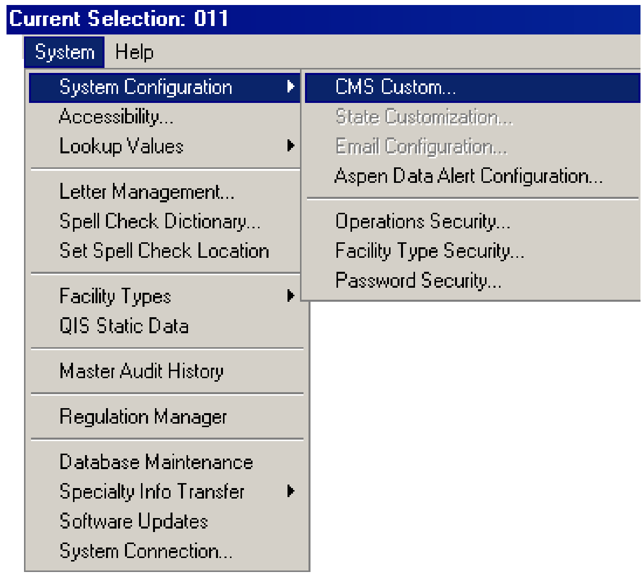



*Figure 3-28: ARO selection of CMS Custom option*

**2** Click **Manage RO User Accounts**.

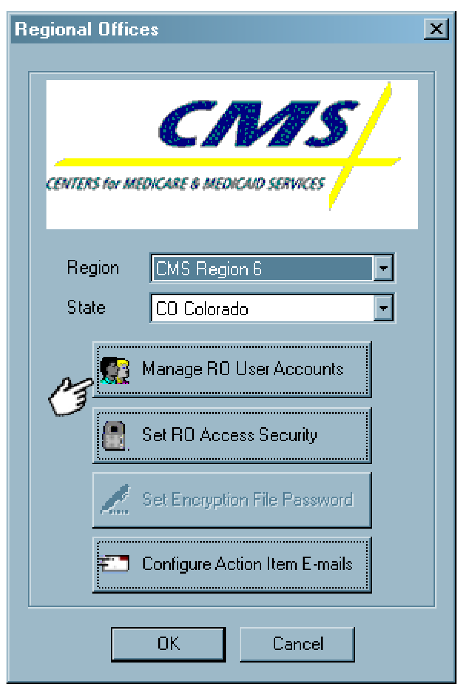



*Figure 3-29: Managing RO users from ARO*

**3** In the RO Users window, click **New** to open the Enter Surveyor Information window, and go to “Employee Identification Tab” on page 113.

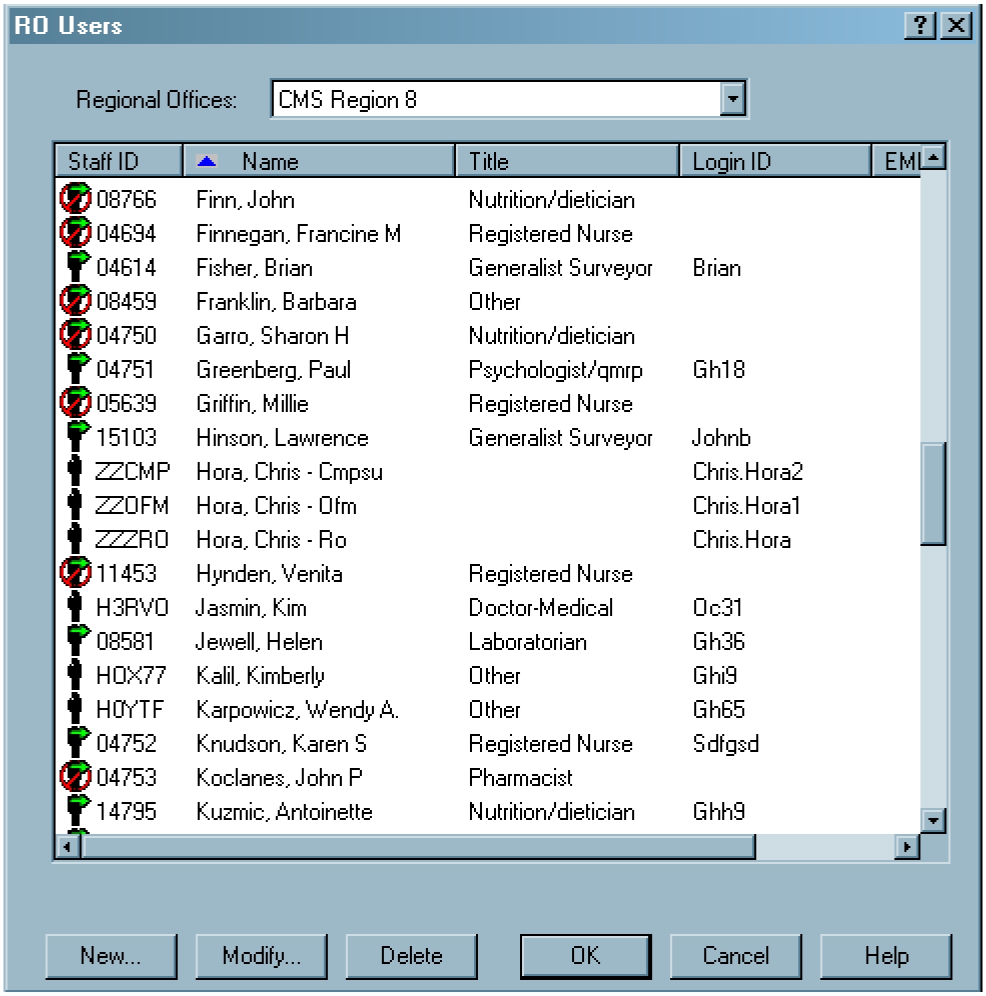



*Figure 3-30: RO Users window*

## *State Administrators*

**1** In ACO, go to the Directory tab, right-click the Staff Directory icon and select **Insert New Staff Member** from the shortcut menu.

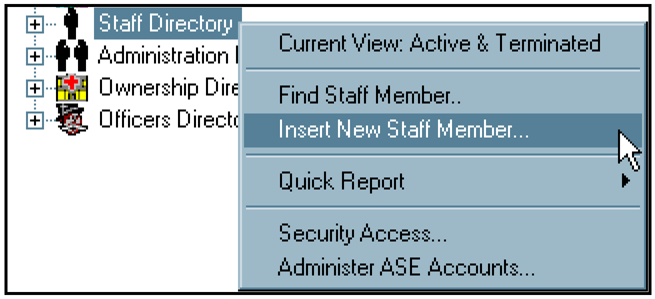



*Figure 3-31: Staff right-click menu*

### *Employee Identification Tab*

At this point, both State and RO trainees should see the Enter Surveyor Information window.

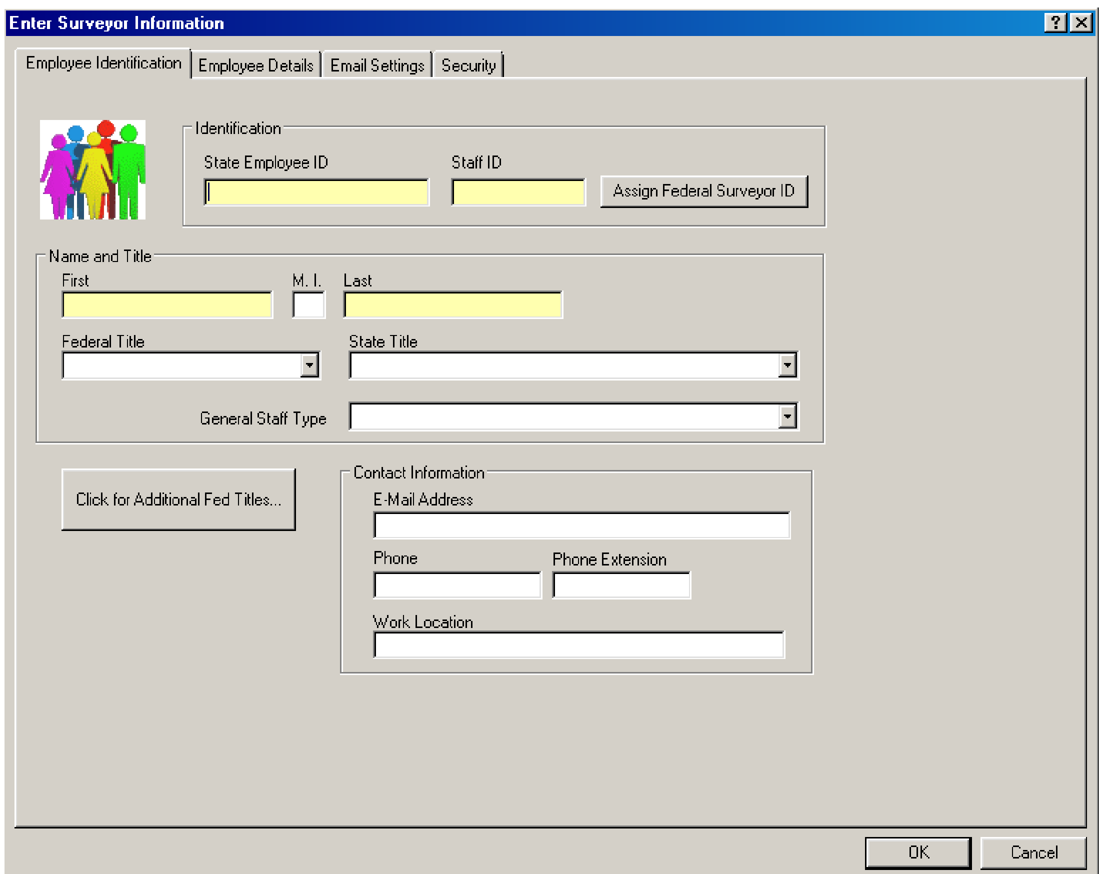



*Figure 3-32: Enter Surveyor Information window*

2 Enter a **State Employee ID**. Use your assigned training letter followed by four numbers, for example, "A1245."

This field is required. States can use their existing staff numbering systems. Since this identifier is required for all staff members, not just surveyors, States should devise their own ID system for staff members who are not surveyors. We recommend that each state's ID system begin with the state postal code. These identifiers cannot be changed once the record is saved.

3 Enter a **Staff ID**. For training, use the same number you entered for State Employee ID.

**Note:** When the new employee requires a Federal surveyor ID (that is, the employee will participate in surveys of Federally-certified providers, and be required to capture and upload CMS 670 workload information) use the Assign Federal Surveyor ID button to generate a new, unique number. The field label will change to **Federal Surveyor ID**. The new ID cannot be changed.

4 In the Name and Title section, enter the **First**, **Middle Initial (M.I.)** and **Last** name of the employee.

5 Select the employee's Federal Title from the drop-down list. This list is maintained in Lookup Tables and edited only by CMS Central Office.

**Note:** Federal Title is required only when you assign a Federal Surveyor ID.

6 Click **Click for Additional Fed Titles** and select another title for the employee in the Additional Federal Titles window.

7 State users select the employee's State Title code from the drop-down list.

**Note:** Title Codes can be customized for each State using System | Lookup Values | State Staff Titles.

8 Select the **General Staff Type** from the drop-down list.

9 In the Contact Information section, enter the employee **E-Mail Address**, **Phone**, **Phone Extension**, and physical **Work Location**.

### *Employee Details Tab*

1 Select the Employee Details tab.

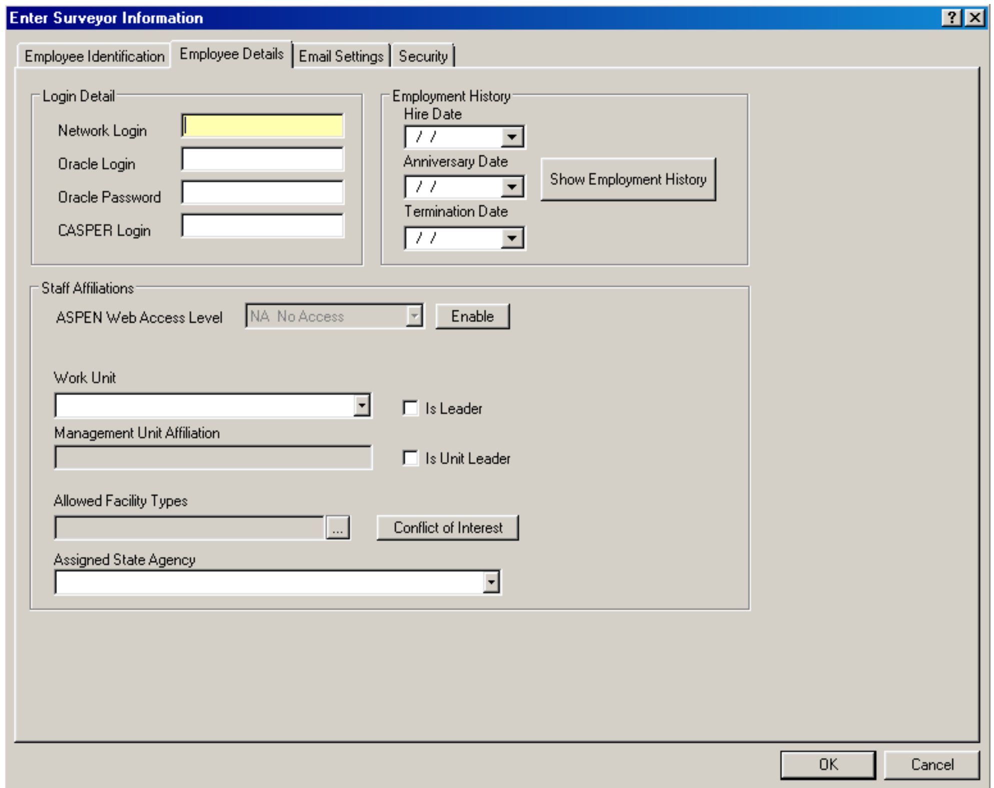



*Figure 3-33: Employee Details tab*

2 Enter the **Network Login ID** (use your assigned training letter). Each staff member must have a network login ID to access the network that is used to run ASPEN Oracle-based products.

**Note: Oracle Login** and **Password** are not currently in use.

3 ASPEN Administrators add the **CASPER login** and **ASPEN Web Access Level** for each CLIA user. The **ASPEN Web Access Level** selections are No Access, Read Only, and Full Access.

4 In the Employment History section, supply the **Hire Date**, and an **Anniversary Date**, if different. Do not enter a Termination Date.

5 In the Staff Affiliations section, select a **Work Unit** for this employee. Your instructor will tell you which work unit to select. The Management Unit Affiliation field is automatically filled in based on your selection.

If this employee were to be a Work Unit leader or Management Unit leader, you could select the **Is Leader** or **Is Unit Leader** checkbox respectively. For class purposes, don't select either one.

Do not choose anything for **Allowed Facility Type** or **Conflict of Interest**. Details about these fields may be found in "Optimize Surveyor Scheduling Features" on page 142.

**6** Choose an **Assigned State Agency** if this employee works in an agency other than the default agency. The agency name you choose will print on reports and in letters generated by this employee.

---

**Note:** Adding a Termination Date to the employee record places a NO symbol over the staff member's shadowed figure in the tree, and removes the staff member from default team assignment pick lists.

---

### *Email Settings tab*

The Update Surveyor Information window for both SA and RO users includes an Email Settings tab. The Action Item Email Receipt section moved from the Employee Details tab to this tab with ASPEN version 10.1.5.

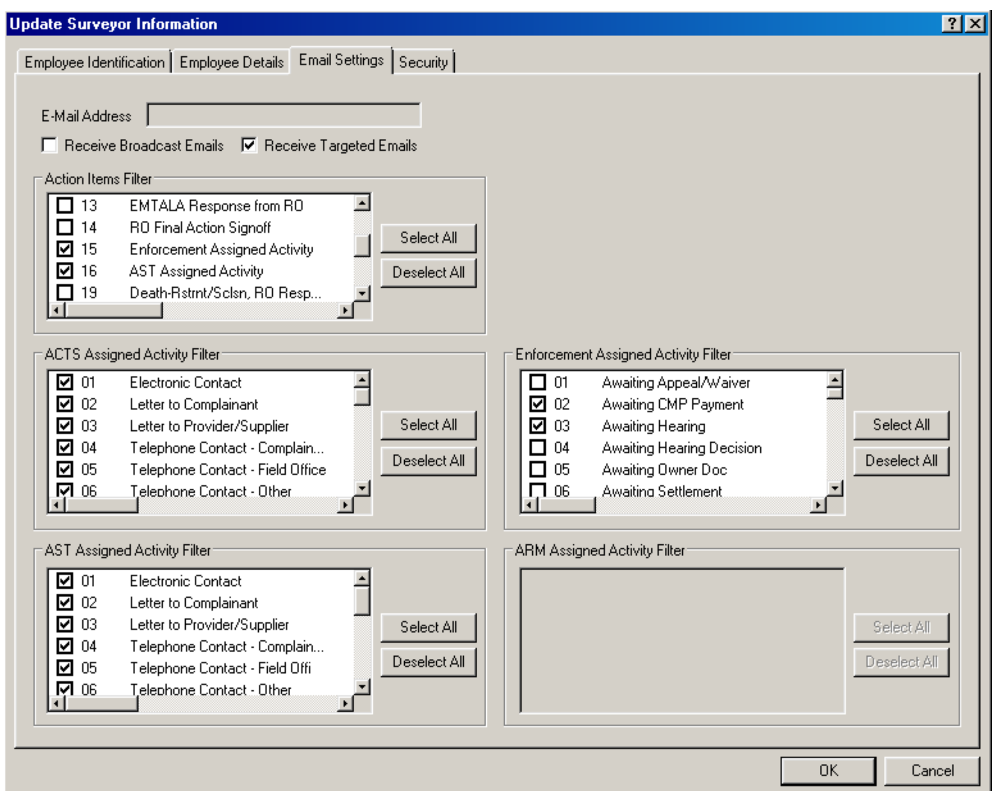



*Figure 3-34: Email Settings tab*

**1** Click the **Email Settings** tab.

**2** Enter an email address on the Employee Identification tab if you have not already done so.

The E-mail Address field on the Email Settings tab is read only, and is populated from the E-Mail Address field on the Employee Identification tab.

**3** Indicate whether the employee is to receive **Broadcast** or **Targeted** emails. Select the checkbox for **Receive Targeted Emails** in order to set the email filters.

This enables the Action Items Filter section. When enabled, all items are checked, by default. The user receives emails for all checked items.

- The ACTS Assigned Activity Filter is enabled if message type 06 - ACTS assigned activity is selected in the Actions Item Filter.
- The Enforcement Assigned Activity Filter is enabled if message type 15 - Enforcement ASsigned Activity is selected in the Action Items Filter.
- The AST Assigned Activity Filter is enabled if message type 16 - AST Assigned Activity is selected in the Action Items Filter.
- The ARM Assigned Activity Filter is enabled in RO mode only if message type 28 - ARM Assigned Activity is selected in the Action Items Filter.

**4** Deselect items for which you do not wish to receive emails, or use the Deselect All button.

### *Security Tab*

ACO's Security tab lets you assign an employee to different security groups from within the employee's record, rather than using the Security Manager. You can also assign ASE-Q logins and permissions on the Security tab.

**1** Click the Security tab.

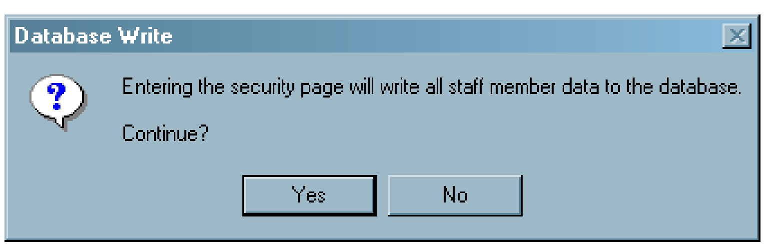



*Figure 3-35: Security Page Warning*

**2** Click **Yes** to save all changes you have made to the employee record before proceeding to the Security tab. You may be asked to finish completing required fields before continuing.

On the Security tab, you can indicate membership for this employee in two types of security groups: Menu Security - ACO and Menu Security - ACTS. You can also assign security for specific Facility Types.

**3** Expand the Menu Security - ACTS branch to see listed security groups.

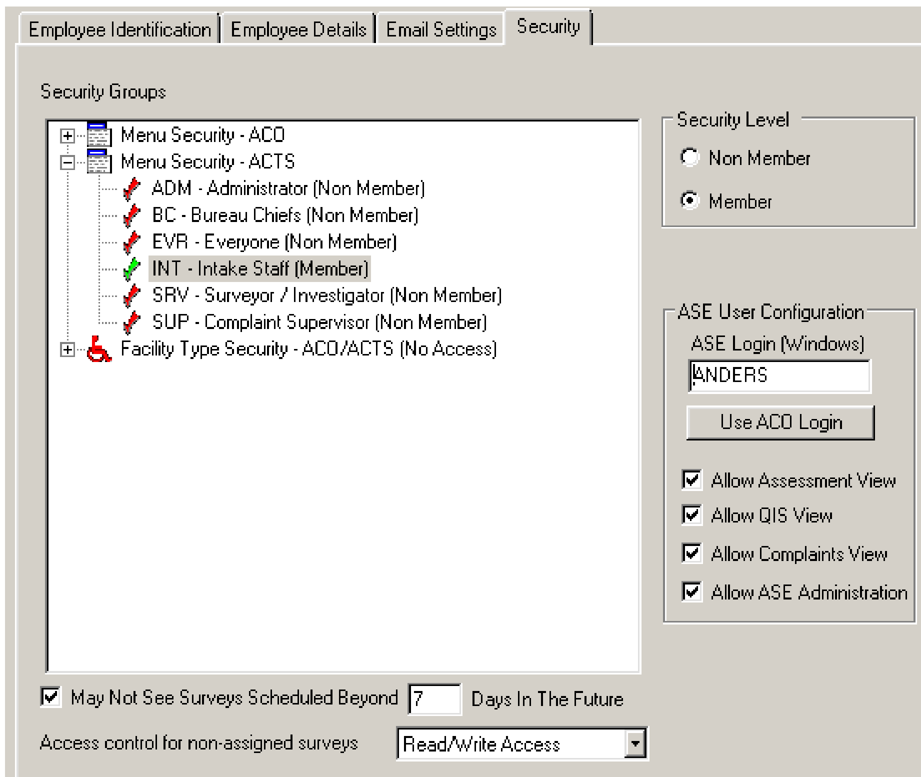



*Figure 3-36: Employee Security tab shows a member of the Intake Staff group with permission to see surveys scheduled up to 7 days in the future*

**4** Highlight a security group. On the right, indicate whether or not this employee should be a member of the group. By default, new employees are not a member of any group.

**5** For Facility Type security, expand the node and select a provider category. Assign either No Access, Read-only Access, or Read/Write Access. For new employees, the default is always No Access.

**6** If you want to limit the employee's ability to see surveys scheduled in the future, check the box:


*Figure 3-37: Survey security fields*

**7** Type the number of days. When this employee is logged on to ASPEN, surveys scheduled beyond this number of days do not appear in any tree, list, detail or calendar view.

**8** Select **Use ACO Login** to set the ASE-Q login to be equal to the ACO login.

**9** Select the appropriate views to allow ASE-Q permissions:

- Assessment View: enables view of the Resident and Resident MDS 3.0 nodes for nursing homes.
- QIS View: enables the QIS Tool menu item on the right click of a “Q” QIS nursing home survey and the QIS Tool button in Citation Manager.
- Complaint View role: enables the complaint sub-node of a survey in the ASE-Q tree so the user can view complaint information in the explorer view or open the complaint windows using right-click menus.
- Administrator View role: this role was initially planned to allow certain users to administer ASE-Q accounts; however, this was not secure enough and therefore not activated. It may be used in the future.

**10** When you are finished assigning security, click **OK** to close.

## Staff Member Maintenance (ACO Only)

Staff maintenance functions are performed from the shortcut menu that appears when you right-click the staff member in the tree.


Figure 3-38: Staff right-click menu

## Administer Multiple ASE Accounts

ASPEN administrators can maintain multiple ASE-Q logins and permissions by right-clicking the Staff Directory and selecting **Administer ASE Accounts**.

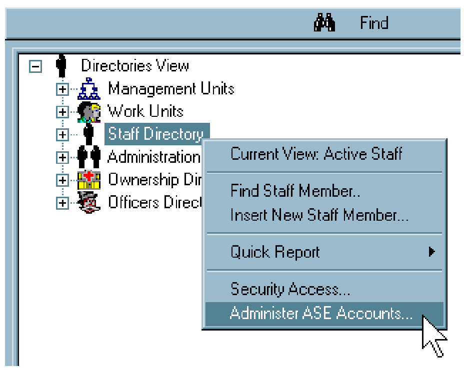
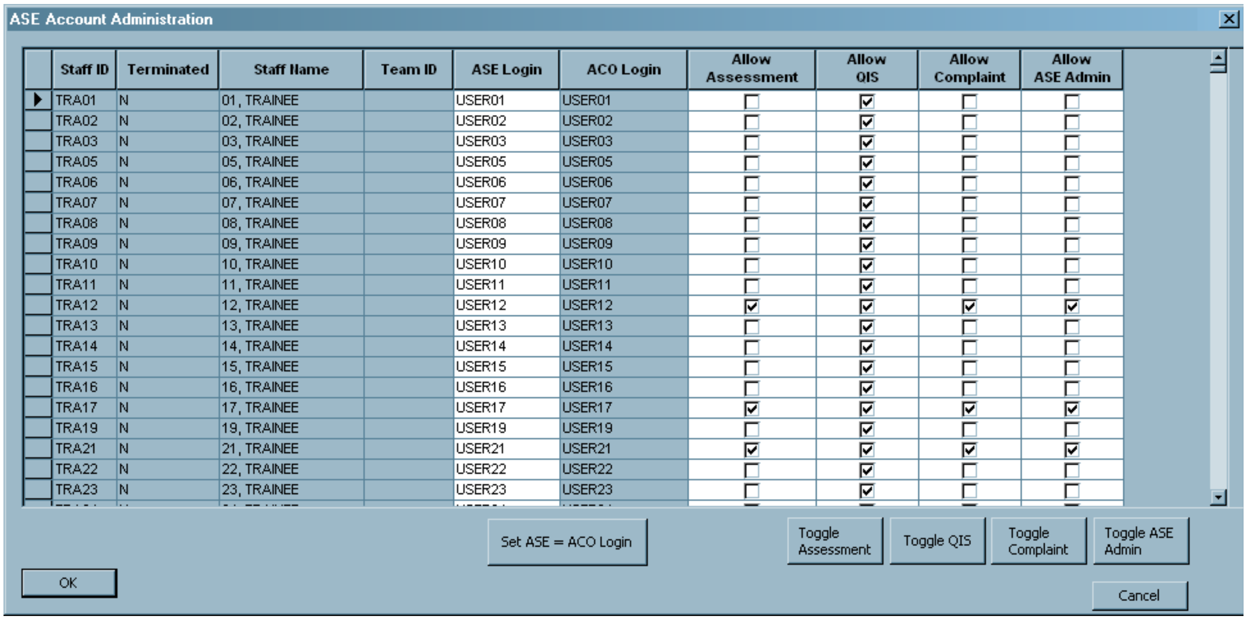



Figure 3-39: Administer ASE Accounts on Staff Directory right-click menu

This opens the ASE Account Administration window, where you can update all surveyors' ASE-Q logins and monitor their ASE-Q permissions.


ASE Account Administration

| Staff ID | Terminated | Staff Name | Team ID | ASE Login | ACO Login | Allow Assessment | Allow QIS | Allow Complaint | Allow ASE Admin |
|---|---|---|---|---|---|---|---|---|---|
| TRA01 | N | 01, TRAINEE | | USER01 | USER01 | ☐ | ☑ | ☐ | ☐ |
| TRA02 | N | 02, TRAINEE | | USER02 | USER02 | ☐ | ☑ | ☐ | ☐ |
| TRA03 | N | 03, TRAINEE | | USER03 | USER03 | ☐ | ☑ | ☐ | ☐ |
| TRA05 | N | 05, TRAINEE | | USER05 | USER05 | ☐ | ☑ | ☐ | ☐ |
| TRA06 | N | 06, TRAINEE | | USER06 | USER06 | ☐ | ☑ | ☐ | ☐ |
| TRA07 | N | 07, TRAINEE | | USER07 | USER07 | ☐ | ☑ | ☐ | ☐ |
| TRA08 | N | 08, TRAINEE | | USER08 | USER08 | ☐ | ☑ | ☐ | ☐ |
| TRA09 | N | 09, TRAINEE | | USER09 | USER09 | ☐ | ☑ | ☐ | ☐ |
| TRA10 | N | 10, TRAINEE | | USER10 | USER10 | ☐ | ☑ | ☐ | ☐ |
| TRA11 | N | 11, TRAINEE | | USER11 | USER11 | ☐ | ☑ | ☐ | ☐ |
| TRA12 | N | 12, TRAINEE | | USER12 | USER12 | ☑ | ☑ | ☑ | ☑ |
| TRA13 | N | 13, TRAINEE | | USER13 | USER13 | ☐ | ☑ | ☐ | ☐ |
| TRA14 | N | 14, TRAINEE | | USER14 | USER14 | ☐ | ☑ | ☐ | ☐ |
| TRA15 | N | 15, TRAINEE | | USER15 | USER15 | ☐ | ☑ | ☐ | ☐ |
| TRA16 | N | 16, TRAINEE | | USER16 | USER16 | ☐ | ☑ | ☐ | ☐ |
| TRA17 | N | 17, TRAINEE | | USER17 | USER17 | ☑ | ☑ | ☑ | ☑ |
| TRA19 | N | 19, TRAINEE | | USER19 | USER19 | ☐ | ☑ | ☐ | ☐ |
| TRA21 | N | 21, TRAINEE | | USER21 | USER21 | ☑ | ☑ | ☑ | ☑ |
| TRA22 | N | 22, TRAINEE | | USER22 | USER22 | ☐ | ☑ | ☐ | ☐ |
| TRA23 | N | 23, TRAINEE | | USER23 | USER23 | ☐ | ☑ | ☐ | ☐ |



*Figure 3-40: ASE Account Administration window*

## *Terminating Staff Members*

When staff members no longer work for your State Agency or Regional Office, terminate the employee within ASPEN to ensure that your information remains secure.

**1** On the Directory tab, expand the Staff Directory and locate the staff member to be terminated.

**2** Right-click the staff name and choose **Update Staff Member**.

**3** On the Employee Details tab, enter the employee's **Termination Date**.

---

**Note:** Once the Termination Date is entered, you cannot upload surveys that list this employee as a team member. If you need to upload a survey that contains findings from someone who no longer works for your agency, you will have to temporarily remove the the employee's Termination Date to perform the upload.

---

4 Click the **Security** tab to go there; select **Yes** to the warning message.

5 Expand the Menu Security - ACO node and remove the staff member from all security groups (all checkmarks should be red). Do the same for the Menu Security - ACTS node.

6 Expand the Menu Security - ACTS node and remove the staff member from all security groups (all checkmarks should be red).

7 Right-click the Facility Type Security node and select **No Access** - this removes access to all facility types. This is necessary only when Facility Type security is enabled.

8 Click **OK** when done.

Now the terminated user can still launch the application, but all functionality is unavailable.

**Note:** If you would like to prevent the user from opening any ASPEN application, you can alter the user's Login ID (Employee Detail tab) by adding a character to the beginning or end of the Network Login. ASPEN uses this login for authentication and, if it is changed, denies access to the application.

## 3.2.5 Administration Directory

**Note:** So that the Administration Directory is maintained consistently throughout your region, check with your region to find out what information to track.

Many states use ASPEN to track facility administrators. You maintain facility administrator records through the Administration Directory on the Directory tab. To display the facilities and survey history associated with a specific administrator, click the **+** next to the administrator's name.

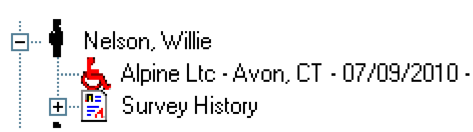



*Figure 3-41: Administration Directory tree*

You assign administrators to individual facilities on the Administration page in Facilities Properties. You can also create new administrator records from there, as an alternative to creating them on the Directory tab.

On the Alpha tab, administrators assigned to individual facilities are listed under each facility's Administration node.

# • Task 3-H: Add an Administrator

**Note:** Use Find Administrator to search the database before you add a new administrator to ensure they are not already there.

**1** From the Directory tab, right-click the Administration Directory icon.

**2** Select **Insert New Administrator**.

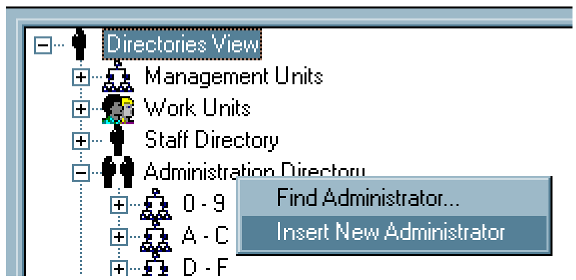



*Figure 3-42: Administration Directory right-click menu options*

ACO automatically assigns each administrator's System ID.

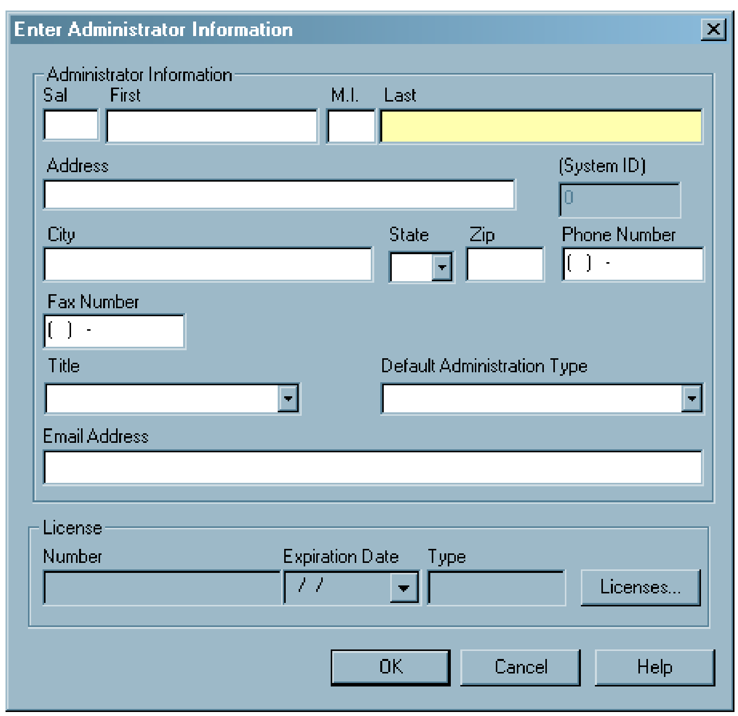



*Figure 3-43: Administrator input window*

**3** Complete the administrator's personal information. The only required field is Last Name.

**4** Click **Licenses**.

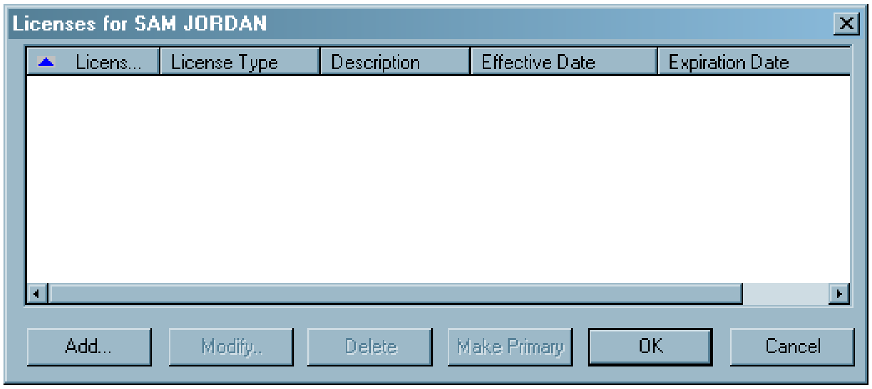



*Figure 3-44: Licenses window*

**5** Click **Add**.

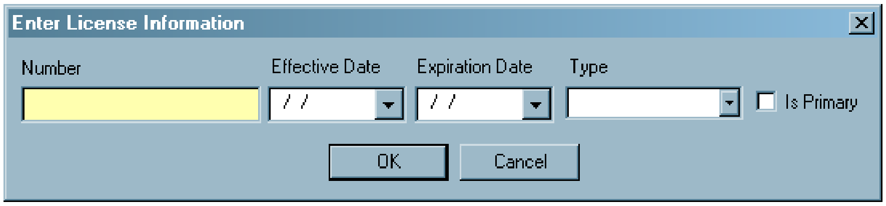



*Figure 3-45: Entering license information*

**6** Enter Licensing information, and indicate whether the license is the primary license for the administrator. Click **OK** when done.

The fields in the License section are filled in with information for the primary license, if one is designated, or the first license listed in the Licenses window.

**7** Click **OK** to close the Enter Administrator Information window.

Complete administrator records can facilitate a number of functions in ASPEN. Possible uses of Administrator information include:

- Administrator reports
- Letter macros
- Distribution lists

## 3.2.6 Ownership and Officers Directories

States can use ASPEN Central Office to track the companies that own and operate facilities, and the officers that belong to those companies.

Owner companies are listed in the Ownership Directory node, and officers are listed in the Officers Directory node of the Directory tab. The add/edit steps for owners and officers is basically the same as that for administrators.

### *Parent Companies*

In owner records, you have the additional capability of assigning parent companies and officers:

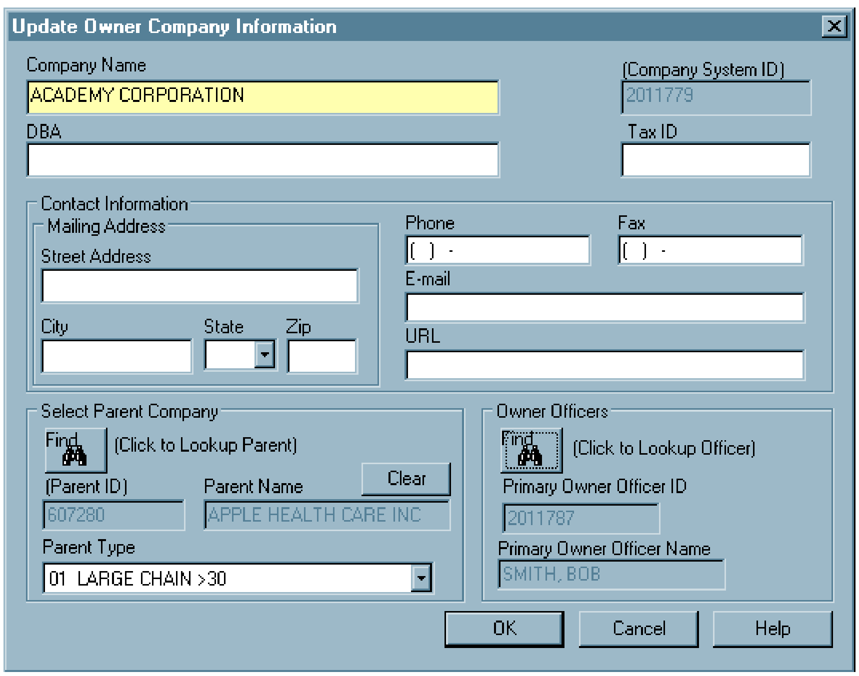



*Figure 3-46: Owner company window showing parent company and linked officers*

This information is easily accessible by right-clicking the owner company in the tree and choosing **Full Family Tree**:

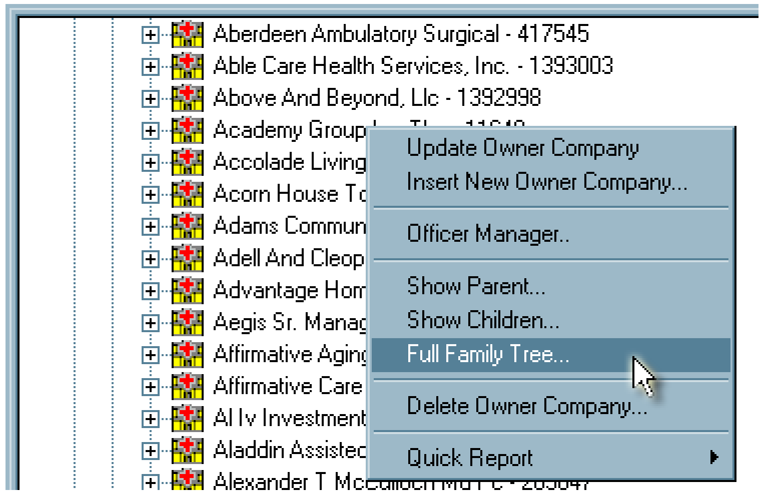



*Figure 3-47: Right-click options for owner records*

# 3.3 User Customization

## 3.3.1 My Selections (ACO/ACTS)

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, OSCAR state region, and survey type and date.

You can create and save as many selection sets as necessary to meet your needs. Selections 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.

**Note:** States may not view or alter CMS RO My Selections definitions, and vice versa.

## Selection Sets in ACO/ARO, AST and ACTS

You can now create separate and independent selection sets for ACO/ARO, AST and ACTS.

ACO/ARO and ACTS selection set filters are created and modified using identical procedures. AST selection sets are managed in the My Settings area of AST.

In ACO/ARO, a drop-box on the toolbar makes it clear which selection set is operative, and allows you to change selection sets more conveniently.

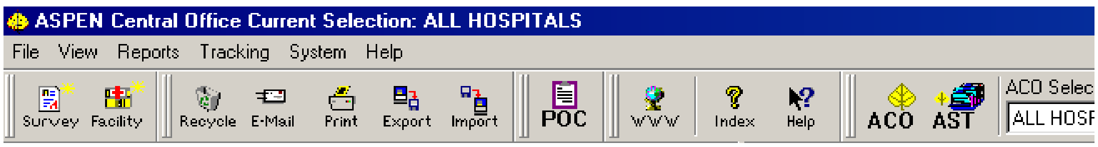



*Figure 3-48: ACO/ARO toolbar*

## Global and Personal Filters

ACO/ARO and ACTS selections sets have separate menu commands (*Figure 3-49*) for Global and Personal filter management. This structure simplifies administrative control over which users can create, modify, and delete selection sets by enabling States and Regional Offices to apply ASPEN menu security as needed.

## Regional Office Selection Sets

There is a single set of global selection sets that is available to all Regional Offices. RO users may create as many personal selection sets as they need. Personal selection sets apply to any state.

# • Task 3-I: Define a Selection Set in ACO

**1** On the Alpha tab, right-click My Selections at the top of the tree.


*Figure 3-49: Personal and global selection set options*

**2** Choose **New Personal Selection** from the shortcut menu. The New Filter window appears with the Facility Type tab selected.

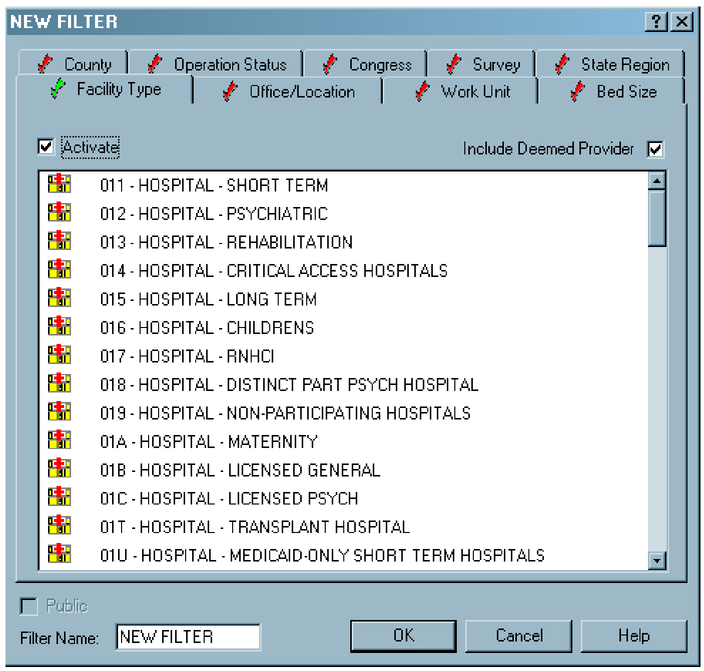



*Figure 3-50: Basic Facility Type Selection Set*

**3** For this task, our only filters will be on the **Facilities** tab. Select **Activate** to enable the filter. Your instructor will tell you which provider types to choose.

**4** Enter a name in the **Filter Name** box. Begin the name with your assigned training letter, followed by a meaningful description of the selection.

**5** Click **OK**.

The selection set now is listed under the My Selections node on the Alpha page in the Tree view:

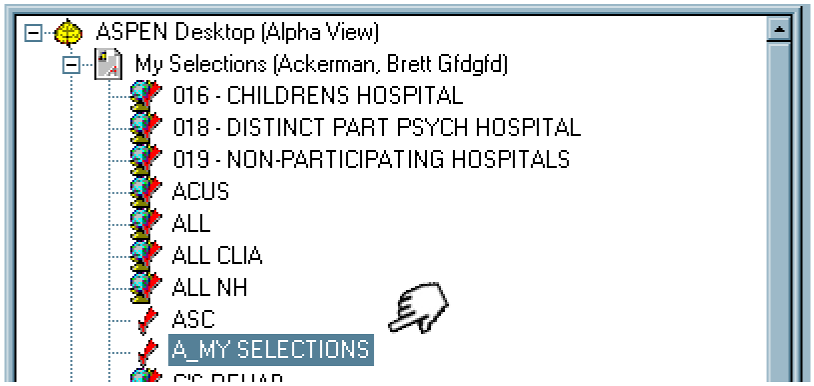



*Figure 3-51: Selection set in the tree*

**Note:** A checkmark alone indicates a Private Selection. A Globe indicates the selection is Public and available to all users.

## *Listing Facilities in Inactive Selection Sets*

Even when a selection set is inactive, you can click the selection set to view its facilities in the List View (the right pane of the main window).

A message advises you how many facilities will be displayed. Click **OK** to display the facilities. You can right-click anywhere on the list for an option to print a listing of the selected facilities.

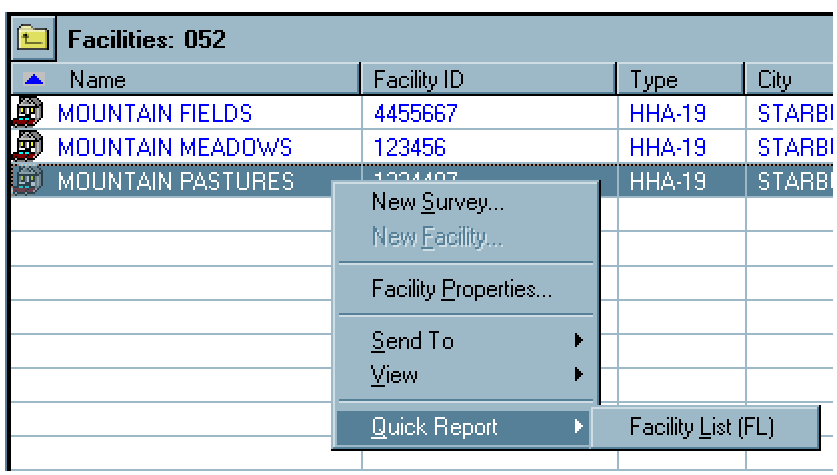



*Figure 3-52: Facility Quick List*

# • Task 3-J: Activate a Selection Set in ACO

You must activate a selection set before it will affect the ASPEN tree display. Selection sets in ACO and ACTS are activated the same way.

**1** Click the **+** next to My Selections to expand it, and right-click the selection set you want to activate.

Alternatively, you can open the droplist on the ACO toolbar and select your selection set.

**2** Select **Activate** from the shortcut menu.

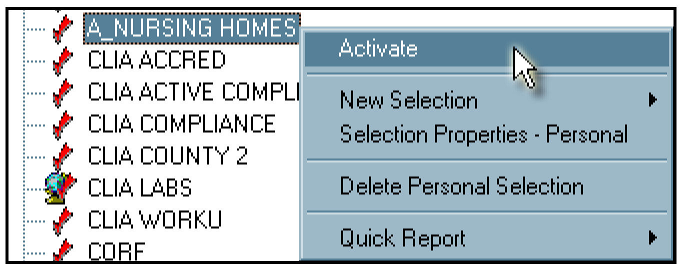



*Figure 3-53: Activating a selection set*

The checkmark by the selection set name turns green to indicate it is active. The screen refreshes to display facilities that meet criteria in this selection set.

## *Modify or Delete Selection Sets in ACO and ACTS*

Use the right-click menu to make changes to selection sets in ACO and ACTS. From this menu you can deactivate, modify (use Selection Properties), or delete a selection set.

## *Selection Set Reports - ACO*

The Quick Report command on the Selection Set right-click menu in ACO gives you a list of facilities in the selection set, with one-line summary information about each.

**Note:** If your users are not able to find facilities or surveys, check the filters in the active selection set. The item they are searching for may not meet their active selection definitions.

# • Task 3-K: Define a Selection Set in AST

AST selection sets are similar to ACO Selection Sets, but operate independently with one exception: AST selection sets filter the Facility Enforcement History report in AST.

**1** On the ACO toolbar, click the AST button to access AST.

**2** From the My Aspen toolbar (left pane), click **My Settings** to display the active selection set.

**3** In the Existing Selections Definitions section of My Settings, click **New**.

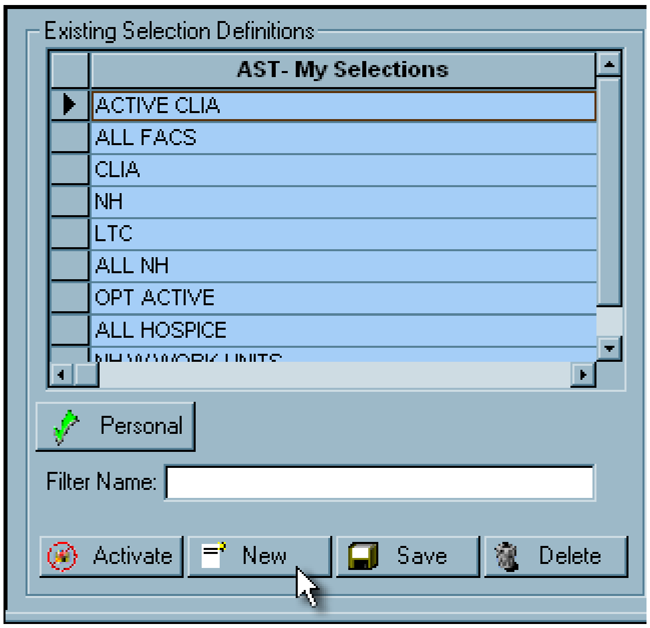



*Figure 3-54: AST existing selection sets*

**4** Type a brief label for the selection set in Filter Name.

5 In the Selection Criteria section pane, on the Facility Type tab, click **Activate** and select the providers you want to display.

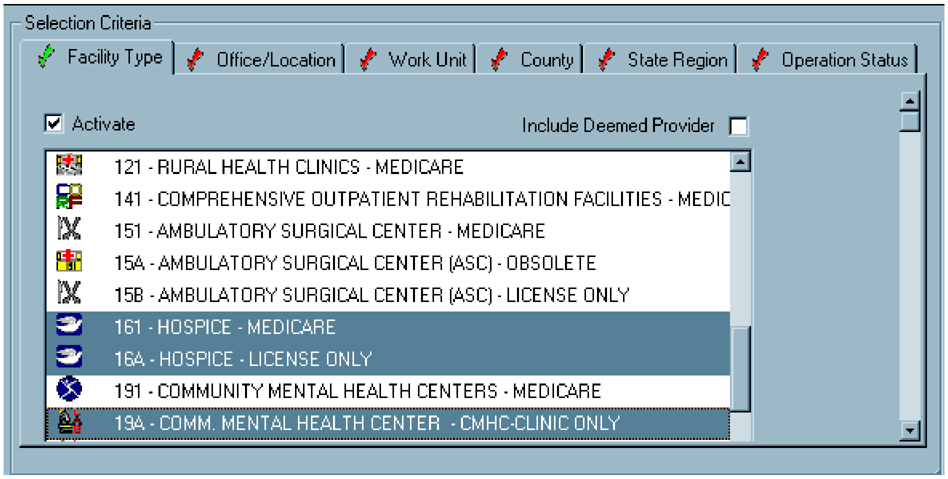



*Figure 3-55: Selecting provider types for a selection set*

6 On the other tabs, specify any other criteria you want for this filter.

Do not select **Public** in the training class. Select it when you want the selection set to be available to all users in your state or region.

AST does not have separate menu items and security for global and personal selection sets.

7 Click **Save**.

---

**Note:** When you are adding surveyors to a survey team, the surveyors you see in the Staff Availability List may be limited if the active selection set contains a Work Unit Filter. There is an option on the staff list to Ignore Work Unit Filter.

---

***To modify an AST selection set:***

1 In the AST—My Selections list, click the selection set.

2 Make your changes, and click **Save**.

***To delete an AST selection set:***

1 In the AST—My Selections list, click the selection set to select it.

2 Click **Delete**.

### 3.3.2 Enforcement Case Filter (AEM)

The currently active Enforcement Case filter is indicated in the top node, ASPEN Desktop (Enforcement View), of the Enforcement tree.

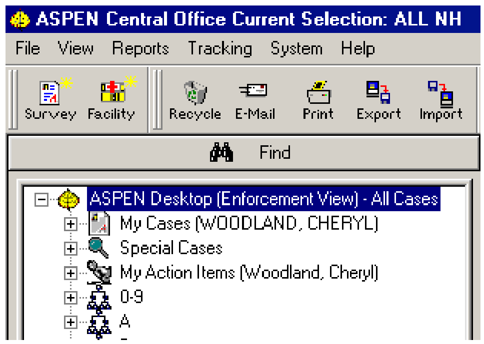



*Figure 3-56: Active Enforcement Case Filter*

## • Task 3-L: Change Enforcement Case Filter

**1** Right-click the top node, **ASPEN Desktop (Enforcement View)**.

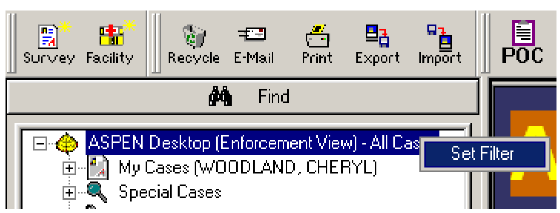



*Figure 3-57: Set Filter menu option*

**2** Select **Set Filter.**

The Enforcement Case Filter window opens.

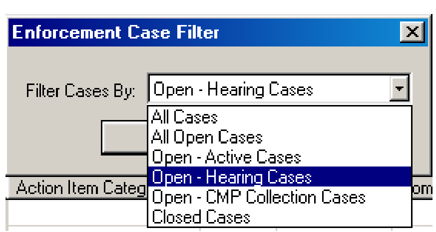



*Figure 3-58: Enforcement Case filter options*

**3** Select the desired filter:

- All Cases
- All Open CAses
- Open - Active Cases
- Open - Hearing Cases
- Open - CMP Collection Cases
- Closed Cases

**4** Click **OK**.

The new filter is now listed in the top node.

## 3.3.3 Action Items and Activities

Originating in ACTS, action item notifications are now a popular feature implemented in ACO/ARO, AST, and AEM as well. Triggered automatically as events are entered in ASPEN, action items may be sent to a single staff member, or to a group (members of the survey team, for instance). If configured to do so, ASPEN can also send action items by email.

Activities started out in AEM, but now may be added to certification kits and ACTS intakes. Creating an activity sends an action item to the activity's recipient.

When you open ACO or ACTS, action items intended for you (or the logged-on user) are listed in Detail View (the lower right pane) of the main window. For ROs, action items are displayed at startup only if you activated an action item filter in a previous session.

In ACTS, Provider Number (CCN) and Complaint Number (ID) columns display in front of the Message Text column. The ID column displays the Intake ID if the action item relates to an intake, or the Investigation ID (Event ID) if the action item relates to an investigation/survey.

AST includes a category of action items: personal alerts.These can be configured to allow scheduling of personal activities such as leave, meetings, training, etc. Automatic reminders can be set to alert the user when a scheduled activity is approaching.

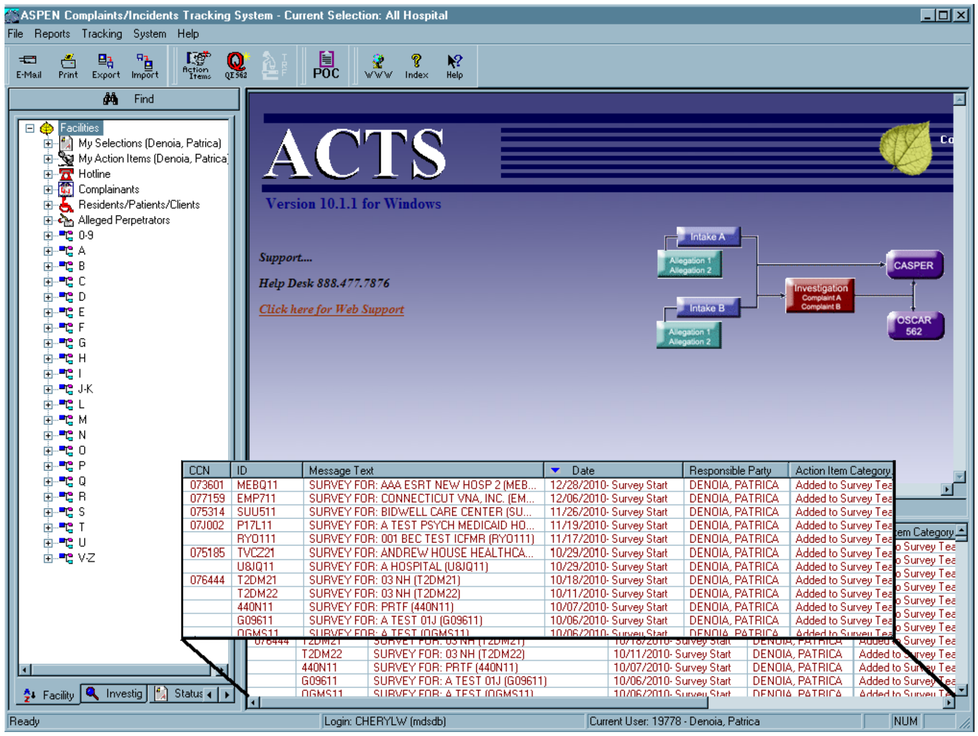



*Figure 3-59: ACTS action item list*

Right-click (or double-click) an action item to open the associated form.

## *Hide Action Items*

You can hide all action items entirely when you right-click My Action Items and select Hide Action Items.

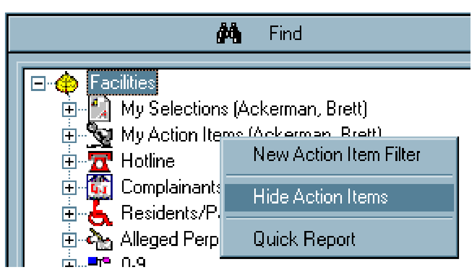



*Figure 3-60: Action Item right-click menu*

## 3.3.4 Action Item Filters

You can restrict your list of action items to the items that are relevant to you. Action Item Filter settings allow you to narrow the list by date range, status, and type:

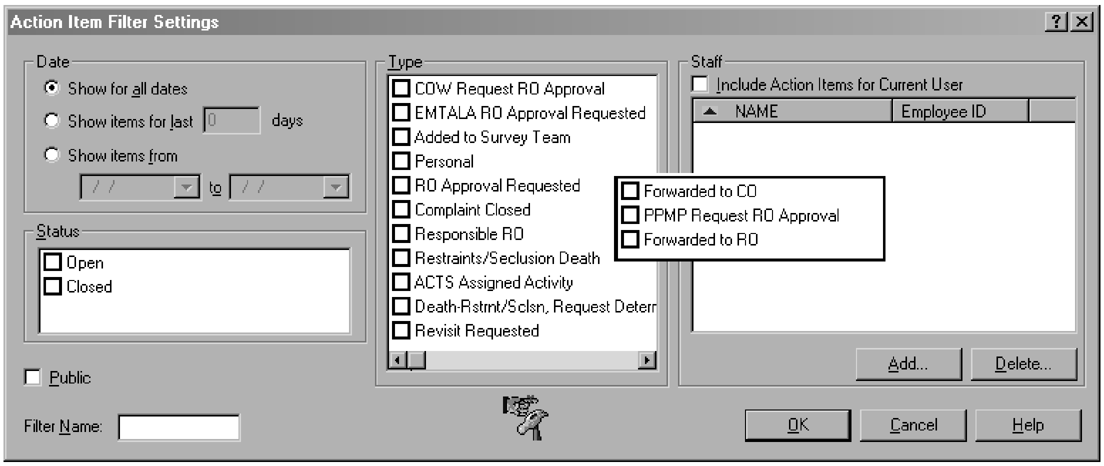



*Figure 3-61: Action Item Filter Settings. This image shows the types of action items available to ROs in ACTS*

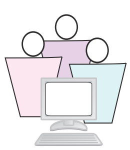
---

**Note:** Selecting **Include Action Items for Current User** allows administrators or team leaders to set up an action item filter with settings that will apply to each user who activates it.

---

The Add button opens the Find Staff for Action Item window, which you can use when you want to create filters that show action items that were sent to specific staff members.

## • Task 3-M: Create a Personal Action Item Filter in ACTS



We will create a basic ACTS action item filter for the current user (you).

**1** On the ACTS Facility tab, right-click **My Action Items**, then select **New Action Item Filter**.

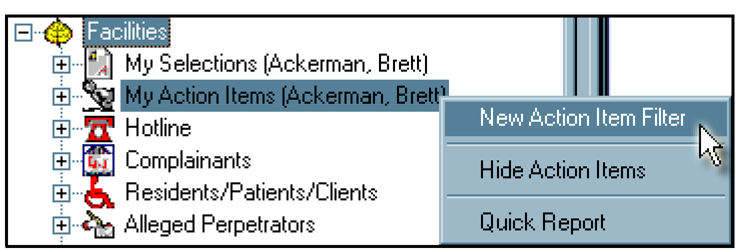



*Figure 3-62: Creating an action item filter*

**2** In the Action Item Filter Settings window (*Figure 3-63*) choose a date range for the action items you want to see, and use the checkboxes to indicate the **Status** and **Type**. You can choose more than one.

**3** To show only your own action items. select **Include Action Items for Current User**. Say **Yes** to the confirmation prompt.

**4** Supply a name for the new filter, prefixed with your training letter.

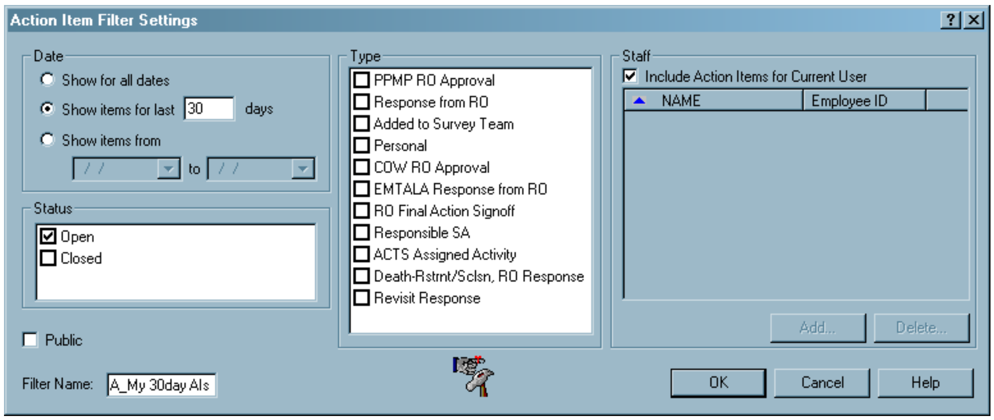


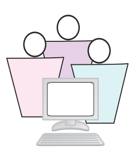

*Figure 3-63: Filter settings for ACTS action items*

**5** The Public checkbox will make the action item filter visible to other users. Do not check **Public**.

*Figure 3-63* shows a simple non-public action item filter that displays only the current user's open action items dated within the last 30 days.

**6** Click **OK**. The Action Item filter is created, but is not activated, as indicated by a red checkmark. Public filters have a globe icon behind the checkmark.

## • Task 3-N: Create an Action Item Filter Showing Other Users' Action Items



Supervisors may want action item filters that show other staff members' action items.

**1** On the ACTS Facility tab, right-click **My Action Items**, then select **New Action Item Filter**.

**2** In the Action Item Filter Settings window:

- For Status, select **Open**
- For Type, select **Added to Survey Team**

**3** Supply a name for the new filter, prefixed with your training letter.

4 Click **Add** in the Staff section to open the Find Staff for Action Item Filter window.

5 In the Search box, type **TRAIN**, select **Search by EmployeeID**, and click Find Now.

6 In Search Results, select an employee and click the >> button to add that employee to Selected Items.

7 Repeat the process to add another employee.

8 Click **OK** when done.

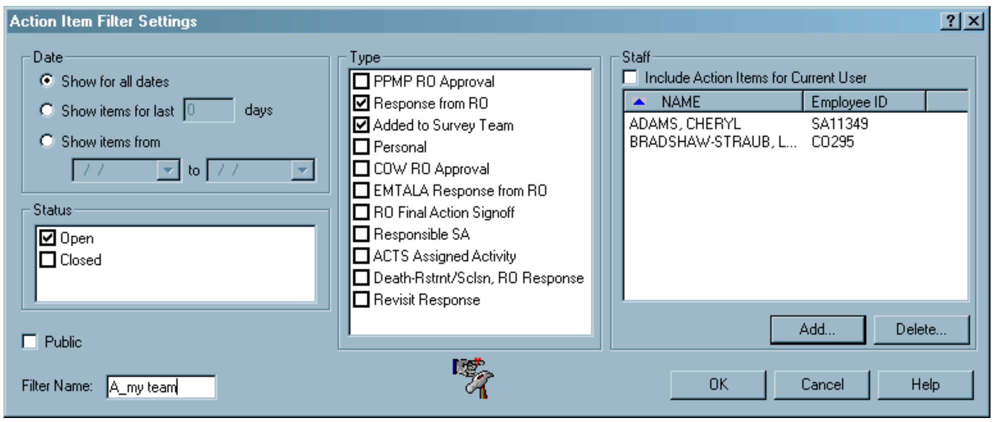



*Figure 3-64: Action item filter for other staff members*

9 Click **OK** again to close the Action Item Filter Settings window.

# • Task 3-O: Activate an Action Item Filter in ACTS

**1** Click the + next to the My Action Items node to expand it, and right-click the action item filter you want to activate. In *Figure 3-65*, we activate the "A_my team" filter.

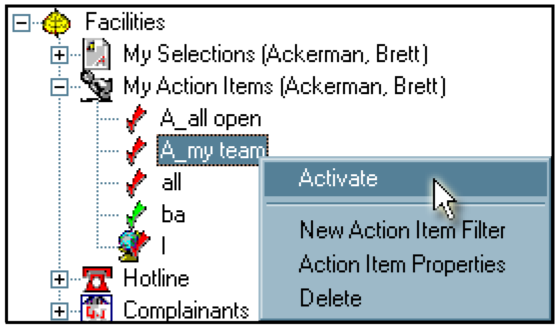



*Figure 3-65: Activating an action item filter*

**2** Select **Activate**. The checkmark by the filter name turns green to indicate it is active. The screen will refresh to reflect the new criteria.

# • Task 3-P: Print Action Item Report

In ACTS, you can generate a hardcopy report of the action items currently displayed.

**1** In Tree view, right-click **My Action Items** on the Facility or Staff tab.

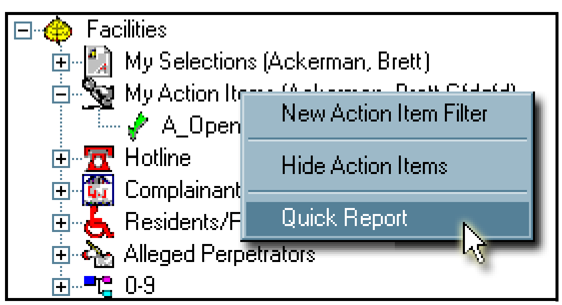



*Figure 3-66: Quick Report option*

**2** Select **Quick Report**.

The report opens in the Crystal Reports viewer.

**3** Click Close Application button to exit the report.

# • Task 3-Q:  Show/Hide Action Items

Some people never want to see Action Items.

When you Hide Action Items, ACTS closes the lower right pane that contains the action item message text. The action item pane will remain closed for this user until the settings are changed.

1 In Tree view, right-click **My Action Items** on the Facility or Staff tab.

2 Select **Hide Action Items**. The action item area closes.

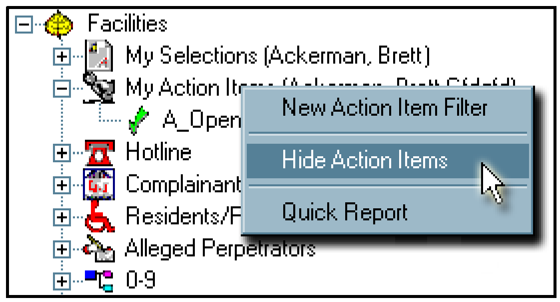



*Figure 3-67: Show/Hide action items*

3 Right-click **My Action Items** again, and select **Show Action Items**. Your action items will reappear.

# • Task 3-R:  Close Action Items

If you set your filter to show only Open action items, closing selected action items removes them from the list. Closed action items are not removed from the database until deleted (See “Delete Action Items” on page 141).

You can close many action items at once with the Close Multiple Action Items option on the action items right-click menu.

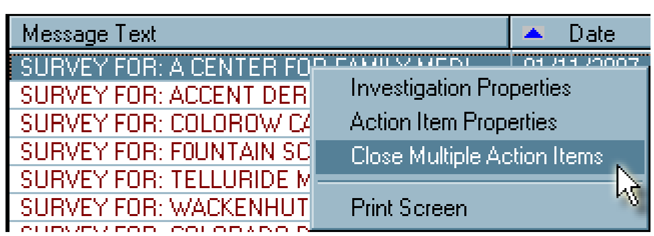



*Figure 3-68: ACTS action items right-click menu*

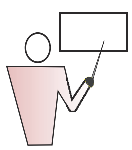
Use standard Windows selection procedures to select multiple action items:

**1** On the action item list:

- ➤ To select consecutive action items on the list, click the first action item, press and hold down SHIFT, and then click the last action item.
- ➤ To select action items that are not consecutive, press and hold down CTRL, and then click each action item.

**2** Once the items are selected, right-click anywhere in the shaded selection area and select Close Multiple Action Items from the menu.

## • Task 3-S: Delete Action Items



Action items for a specified date range can be permanently removed from the Action Item Trail. In ACTS, States can remove State action items; ROs can remove RO action items. In ACO/ARO, only ROs can remove action items.

In ACTS:

**1** From the System menu, select **Action Item History**.

**2** In the Action Item Trail window, click **Delete**.

**3** In the Action Item Delete Range window, enter a **Start Date** and **End Date** to specify the date range of the action items you want to delete.

**4** Click **OK**.

**5** Respond **Yes** to the confirmation prompt. The Action Items issued within the specified time range are deleted.

**6** Click **Close** to close the Action Item Trail window.

### 3.3.5 Staff Scheduling Features Requiring State Configuration

*Optimize Surveyor Scheduling Features*

To take full advantage of the features in the Staff Availability List, States should supply the following information for each surveyor:

**Allowed Facility Types** - specify in the staff member record which provider categories a surveyor is qualified to visit. When scheduling a particular provider type, you can filter the list of available staff to display only those surveyors who are qualified for that provider.

**Conflicts of Interest** - list facilities with which the surveyor may have a conflict of interest. Schedulers see this information when considering team members. Additionally, AST will alert you if you try to schedule a surveyor for a provider with which there is a conflict of interest.

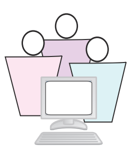
## • Task 3-T: Open the Staff Member Record

**1** On the ACO Directory tab, click the + next to Staff Directory to expand it.

**2** Locate your assigned training name, right-click it, and select **Update Staff Member** from the shortcut menu.

**3** In the staff member record, go to the Employee Details tab.

## • Task 3-U: Add Allowed Facilities to the Staff Member Record



**1** On the Employee Details tab, click the Ellipsis button to open the Allowed Facility Categories window.

**2** Mark the checkbox next to each provider category for which the surveyor is qualified. For this exercise, choose:

**02-NURSING HOME (NH)**

**11-INTER. CARE FACILITY FOR MENTAL RET**

**Note:** If your state has expanded ASPEN by creating state license-only facility categories, this window allows assignment of staff qualifications to those categories as well.

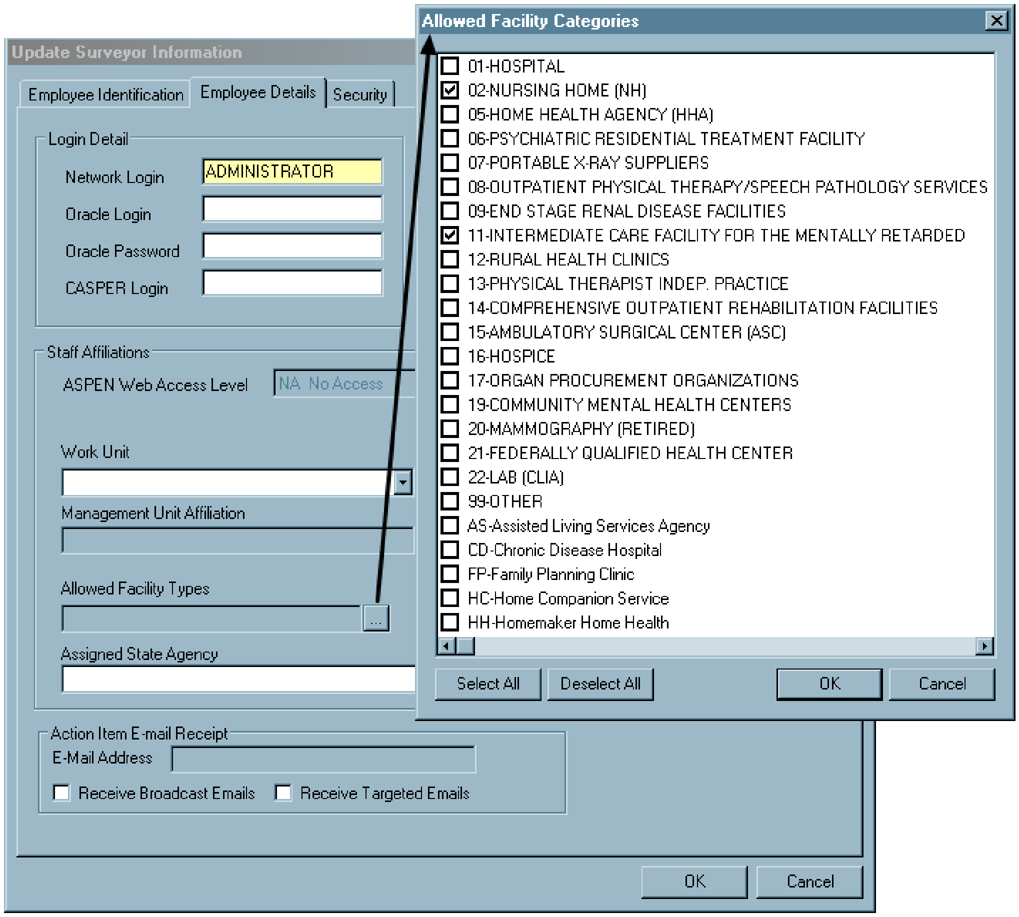



*Figure 3-69: Selecting a surveyor's allowed facility types*

**3** Click **OK** when done.

Now we will see how convenient this feature can be.

**4** Click **OK** to close the employee record.

**5** Go to the Alpha tab and locate your assigned training facility.

**6** Expand the facility, right-click the **Survey** node, and select **New Survey**.

**7** In the Team Roster section, click **Update**.

We want to filter the Staff Availability List to show only those surveyors who are qualified to survey nursing homes.

**8** Click the Ellipsis button to the right of **Show Staff by Assigned Provider Categories**.

9 Select **02-NURSING HOME (NH)**, and click **OK**.

And presto! The Staff Availability List refreshes to show only surveyors that have nursing home qualifications entered in their employee record.

10 We need to remove this filter before showing you an even more powerful feature, so click the Ellipsis button to the right of **Show Staff by Assigned Provider Categories** again, de-select **02-NURSING HOME (NH)**, and click **OK**.

11 Click **OK**, **Cancel**, **Yes** to return to the tree.

## • Task 3-V: Filter Staff by Facility Type

In addition to the filter in the Staff Availability List that we just saw, you can ask ASPEN to automatically filter your staff lists to correspond to whatever provider types are specified in the active selection set.

This option is available in both ACO and ACTS.

1 First, choose a selection set that does not filter any provider types: in the ACO Selection on the Toolbar, select the **All Facilities** selection set.

2 Locate your training nursing home and click the **+** to expand it.

3 Right-click the Surveys node, and select **New Survey**.

4 Click **Update** in the Team Roster section.

Here, you see all active surveyors because our current filter does not filter by facility type.

5 Click **OK**, **Cancel**, **Yes** to return to the ACO Desktop.

6 Now change the selection set: in the ACO Selection on the Toolbar, select the **NH TECH TRAIN** selection set. This will refresh the screen.

7 From the ACO File menu, select **Filter Staff by Facility Type**. Click **OK** on the message that tells you that staff will now be filtered.

The menu command is a toggle—if you select the File menu again, you will see a checkmark next to Filter Staff by Facility Type.

8 Check the **Staff Availability List** again:

- ➤ Locate and expand your training facility
- ➤ Right-click **Surveys**, and select **New Survey**.
- ➤ Click **Update** in the Team Roster section

As Nursing Homes are the only facility type in the current filter, only surveyors with Nursing Homes specified in their employee record appear.

9 Because we're not going to save the survey, cancel out of the Team Roster and Survey Properties to return to the ACO Desktop.

## • Task 3-W: Add Conflicts of Interest to the Staff Member Record

1 Return to the Directory tab, find and open the employee record for your assigned user name.

2 Go to the Employee Details tab, and click **Conflict of Interest** to open the Conflict of Interest window.

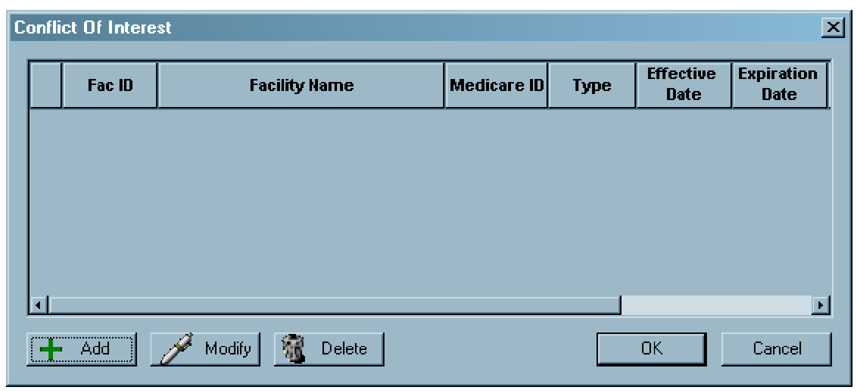



*Figure 3-70: Conflict of Interest window*

**3** Click **Add** to open the Find Conflict of Interest window so you can locate and select the provider with which the staff member has a potential conflict.

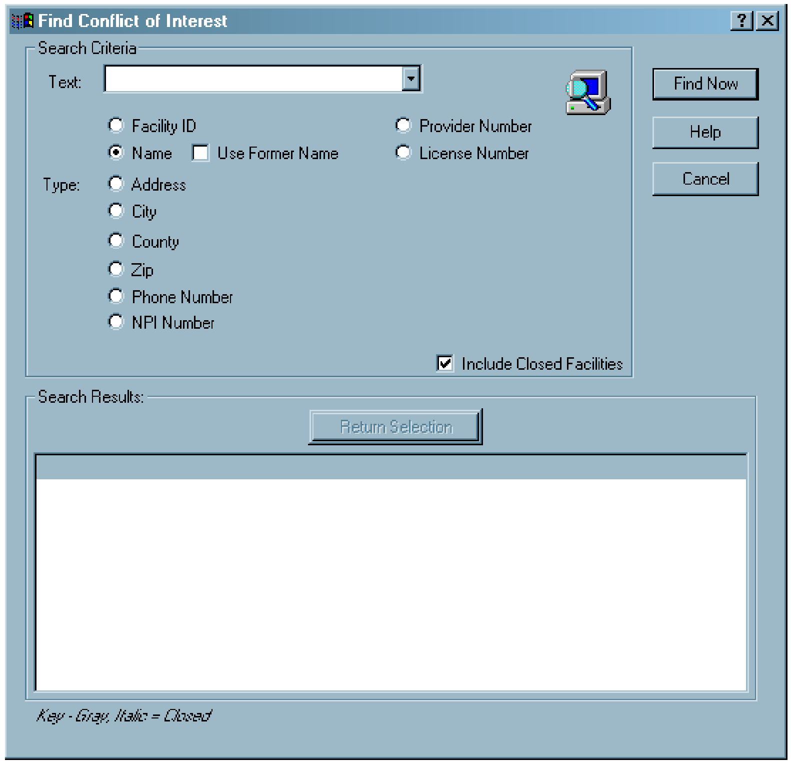



*Figure 3-71: Specifying the facility for the conflict of interest*

**4** This window operates like other Find windows in ASPEN. Type in the search string (**Text**), select the search **Type**, then click **Find Now**.

➤ For class, find and select **your assigned training nursing home**.

**5** In Search Results, highlight your facility and click **Return Selection** to open the Conflict Interest Type window.


*Figure 3-72: Entering details about conflict of interest*

**6** In the Conflict Interest Type window, add an **Effective Date** and **Expiration Date** for the conflict, if applicable. You can also enter explanatory details. Click **OK** when done.

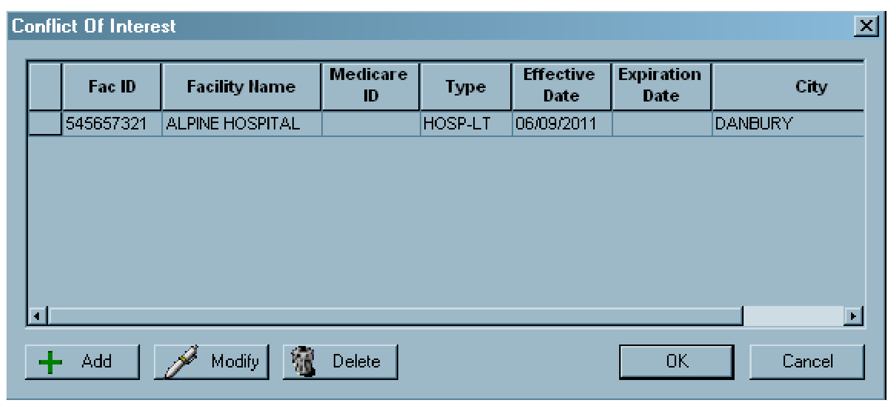



*Figure 3-73: Completed conflict of interest entry*

**7** Click **OK** to close the Conflict of Interest window.

Schedulers can view this information from the Staff Availability List when considering team members:

- Click **OK** to exit the employee record.
- Go back to the Alpha tab, and locate and expand your training facility.
- Right-click **Surveys**, and select **New Survey**.
- Click **Update** and locate your assigned User Name.

**Note:** The **Yes** button in the Conflict of Interest column lets you view the details entered about the conflict.

- Click the checkbox to select this surveyor for the survey:

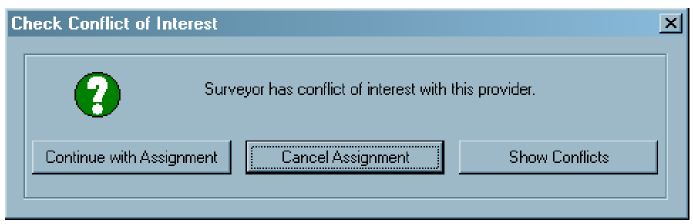



*Figure 3-74: Conflict of interest notification message*

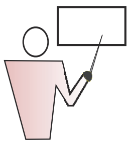
- Click **Show Conflicts** to open the Conflict of Interest window (see *Figure 3-73*) and view conflict details.
- In this case, click **Cancel Assignment**, then **OK**, **Cancel**, **Yes** to return to the ASPEN Desktop.

## *Supervisor Calendar View*

Schedulers can view the personal calendars of individual surveyors from the Staff Availability List, if that feature is activated in the State Customization window.

Supervisors with appropriate permissions may add meetings and other personal activities to user calendars.

# • Task 3-X: Activate Supervisor Calendar View



1 From the System menu, select **System** | **System Configuration** | **State Customization**.
2 Select **Activate Supervisor Calendar View of Other Staff**.

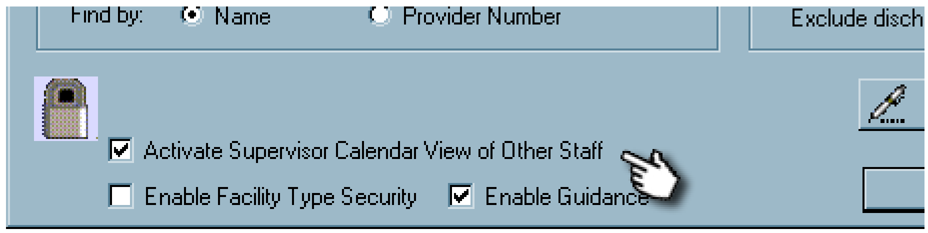



*Figure 3-75: State Customization window*

3 Click **OK**.

# • Task 3-Y: View Staff Member Calendar

We'll take a look at a staff member's personal calendar in AST.

1 In ACO, click the AST button to open ASPEN Scheduling & Tracking.
2 In the Scheduling view, click the Staff Availability button to open the Staff Availability List.
3 Locate ADAMS, CHERYL and click the calendar button to the left of the name to open her calendar of scheduled events:

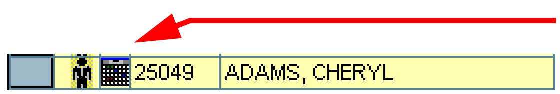
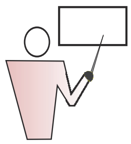



*Figure 3-76: Calendar button*

4 When done, click X in the upper right corner or select Cancel to close the calendar.

# • Task 3-Z: Add Entries to Staff Calendars



Supervisors may now add activities, like staff meetings, to other users' calendars.

**1** In the Staff Availability List, locate the surveyor whose calendar you want to change then click the calendar button to the left of the name.

**2** Double-click the date where you want to make an entry. If there are other events scheduled, you need to double-click in the blank space at the bottom of the list.

**3** In the Personal Activity window, complete the details about the personal activity. This window has standard Windows appointment functionality.

**4** Click **Save Activity** when done.

# Section 4. System Administration and Specialty Functions

***Included in this lesson:***

- ✓ Getting the Most out of ASPEN Documentation
- ✓ Hover Help
- ✓ Lookup Maintenance - ACO
- ✓ Lookup Maintenance - ACTS
- ✓ Database Maintenance
- ✓ Inserting Backup Citation Text
- ✓ Spell Check Dictionaries
- ✓ Using ASPEN Audit Tracking
- ✓ Merging Surveys
- ✓ Upload Transactions
- ✓ Transaction Tracking

# 4.1 Getting the Most out of ASPEN Documentation

## 4.1.1 ASPEN Procedures Guides

Procedures guides are available for all applications and modules of the ASPEN suite: ASE-Q, ACO/ARO, ACTS, AEM, AST, and CLIA. These task-based manuals are designed to walk users through the many steps involved in collecting and managing data about health care providers, and to simultaneously acquaint users with the complex application interfaces.

### *ASE-Q Procedures Guide*

Tells you how to use ASE-Q to:

- Enter survey data in the field
- Update complaint/incident information
- Print CMS forms
- Generate letters
- Export/import data to/from ACO and ACTS

### *ACO Procedures Guide*

Tells you how to use ACO/ARO to:

- Enter, track, and upload certification and survey information, except CLIA
- Enter and maintain provider records, except CLIA
- Enter and maintain personnel records
- Set ASPEN security
- Export/import data
- Create letter templates and generate customized letters
- Print CMS forms
- Generate reports

### *ACTS Procedures Guide*

Tells you how to use ACTS to:

- Enter and maintain complaint and entity-reported incident information, including CLIA
- Log hotline calls
- Create, track, and upload investigation records

- Export/import complaint/incident and investigation information
- Generate customized letters
- Print CMS forms
- Generate reports

### *AEM Procedures Guide*

Tells you how to use the AEM module of ACO to:

- Create and monitor NH enforcement cases
- Enter and maintain CMPTS data
- Upload enforcement information
- Generate customized enforcement letters
- Generate enforcement reports

### *AST Procedures Guide*

Tells you how to use the AST module of ACO to:

- Integrate scheduling of all ASPEN events
- Allocate staff resources
- Track certification, complaint/incident, and enforcement case milestones
- Monitor your personal ASPEN tasks
- Print scheduling and tracking reports

### *CLIA Procedures Guide*

Tells you how to use ASPEN Web's CLIA 116 application and ACO to:

- Enter and maintain CMS-116 application data (web app); separate chapters for CMS, AO, VA, and Exempt users
- Create and maintain CLIA lab records (web app); separate chapters for CMS, AO, VA, and Exempt users
- Create and update certification kits for CLIA labs (ACO), except subtype 225; CMS users only

### *CLIA Accounting Procedures Guide*

Tells you how to use ASPEN Web's CLIA accounting functions to:

- Browse and locate CLIA billing records by provider and by lockbox
- Create, print, and delete unresolved accounting records
- Apply cash to CLIA accounting records
- Move and cancel payments
- Locate and authorize refunds
- Generate fee coupons

## 4.1.2 Organization of Information

The ASPEN procedures guides have five main sections:

- **Introduction** - Overview of the guide and accessibility features.
- **Procedures** - Task-based procedures with instructions for each. Where applicable, hyperlinks offer immediate access to pictures and descriptions of referenced screens or to supplemental procedures. Descriptive and explanatory material is incorporated as needed.

> **Note:** The *CLIA Procedures Guide* has multiple procedures chapters, each with topics and instructions tailored to a particular user group.

- **Screens** - Images of ASPEN screens related to the procedures, with hyperlinks that jump directly to definitions of the fields on the screens.
- **Fields** - Detailed descriptions of fields and function buttons on scheduling, survey, certification, complaint/incident, enforcement, and other screens.
- **Supporting Materials** - Collection of supplemental material providing detailed information about certain aspects of scheduling and processing surveys, certifications, complaints/incidents, and enforcement cases.

> **Note:** The ASE-Q Procedures Guide doesn't have a Supporting Materials section.

While the procedures guides can be printed, they are designed to be viewed online in Adobe Reader, where users can take advantage of the files' internal hyperlinks, as well as Adobe Reader's search and navigational tools.

# • Task 4-A: Locate, View Procedures in ACTS Procedures Guide

Let's look at a typical procedure in the *ACTS Procedures Guide*:

**1** Using the shortcut on your desktop, open the *ACTS Procedures Guide*.

**2** In the left pane, click the **+** next to **ACTS Procedures** to expand it.

**3** Click the **+** next to the procedure **Process a Standard Complaint/Incident**.

**4** Click **Enter Basic Intake Information** to display the procedure in the right pane.

## Enter Basic Intake Information

It is best to provide information on the Intake tab as soon as possible. Responsible parties need to be specified so ACTS can send them action item messages. If known, complainant address information should be entered so you can use ACTS to generate and record an acknowledgement letter.

***To enter basic intake information:***

1 On the **Intake** tab, identify Intake Staff. Intake Staff and Status on page 189

ACTS supplies the name of the currently logged-in user and selects State Agency, Regional Office, or Central Office as appropriate. Click Change Staff if the person opening the intake is not the currently logged-in user. This activates the drop-down list, so you can select another staff member.

2 ACTS supplies the Status value.

ACTS determines status levels as the complaint/incident process progresses.

3 In the **Assignment** section: Assignment on page 190

- Specify Intake Type and Subtype.
- Provide information about receipt of the complaint/incident report.
- Enter ID and control numbers.
- Use the buttons to specify Responsible Parties; select the Responsible Team.

ACTS will add the complaint/incident to My Action Items for the responsible parties with the designation "Responsible For".

4 Add complainants, residents/patients/clients, and alleged perpetrators. "Add Complainants, Residents/Patients/Clients, Alleged Perpetrators" on page 37

5 Specify the Source(s) of the complaint/incident report. Source on page 195

6 Specify complaint/incident **Priority**, if known. "Assign Priority" on page 45

*Figure 4-1: Enter Basic Intake Information procedure*

**5** The initial step tells you to identify Intake Staff on the Intake tab. To see what the Intake Staff section looks like, click the blue hyperlink to the right titled *Intake Staff and Status on page 189* (page numbers in this exercise may not be current due to revisions in procedures guides).

This takes you to a picture of the area of the screen in ACTS where you identify intake staff.

**Intake Staff and Status**

The Intake Staff section at the top of the Intake tab indicates whether the intake was initially received by the State Agency, Regional Office, or Central Office and the name of the person who logged the intake.

On non-CLIA intakes, the current intake Status is entered by ACTS to the right of the Intake Staff section. On CLIA intakes, the Status field is above the CLIA Certificate section.

*See: Intake Staff and Status, on page 267*

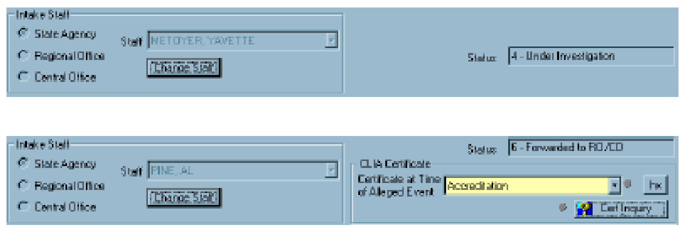



*Figure 4-2: Intake Staff and Status screenshot*

**6** From here, you can jump to the field definitions for this part of the screen by clicking the blue hyperlink above the image titled *See: Intake Staff and Status, on page 267*.

***Intake tab***

| **Intake Staff and Status** | |
|---|---|
| Field/**Button** | Description |
| Intake Staff | ACTS selects State Agency, Regional Office, or Central Office depending on whether a State Agency, Regional Office, or Central Office user opens the new intake. The value selected here is entered as Receiving Component (4), on CMS-562. |
| Staff | Name of the staff member creating the intake. ACTS provides the name of the currently logged-in user, if the current user is in the personnel table.<br><br>To enter a different name, click Change Staff |
| Change Staff | If the person opening the intake is not the currently logged-in user, click this button to activate the Staff field, and select the correct name from the drop-down list. The personnel list is specific to the State Agency, Regional Office, or Central Office depending on the Intake Staff value. |

*Figure 4-3: Intake tab field descriptions*

The Fields section contains valuable information about each field, including instructions for entering information where applicable, the sources of generated fields, and other places in the application that use the information.

**7** To return to the procedure, click (Previous view) on the Adobe Reader toolbar two times to re-display the **Enter Basic Intake Information** procedure.

Notice that Step 4 shows a blue hyperlink in quotes, *"Add Complainants, Residents/Patients/Clients, Alleged Perpetrators" on page 37*.
The quote marks indicate a link to a supplemental procedure; in this case, a detailed explanation of how to complete step 4 for users who need that level of instruction.

**8** Click the hyperlink *"Add Complainants, Residents/Patients/Clients, Alleged Perpetrators" on page 37* to go to that procedure. Admire the procedure; scroll down to see the procedure itself. From here, you can also jump to applicable screenshots, field descriptions, and more supplemental procedures.

**9** Click (Previous view) twice to return to the **Enter Basic Intake Information** procedure.

**10** Select **File**, and then **Exit** to close Adobe Reader.

### 4.1.3 QIS IT and Surveyor Guide

This guide is a task-based manual that provides information and procedures for IT personnel and QIS surveyors.

The ASE-Q IT chapter tells IT staff how to:

- Install ASE-Q
- Manage database patches
- Administer user accounts and settings

The QIS Surveys chapter tells surveyors how to:

- Create QIS surveys in ACO and transfer QIS survey files
- Use the QIS Tool in ASE-Q during the QIS survey process
- Back up and restore QIS data during a QIS survey
- View completed QIS surveys in ACO

**Note:** The *QIS IT and Surveyor Guide* does not tell you how to conduct QIS surveys. If you need information about the QIS survey process, contact your QIS State Trainer.

## 4.1.4 508 Compliance

The ASE-Q, AEM, AST, and CLIA procedures guide and the QIS guide are formatted to be section 508-compliant, that is, accessible to people with disabilities who use a screen reader. Page layout and design were modified so that screen readers could read the content properly.

**Update a Site**

Use the Update button on the Multiple Sites tab to correct information in existing multiple site records.

***To update site information:***

1 In the **Multiple Sites section** of the **Multiple Sites tab**, select a site and click **Modify**.

*-or-*

Right-click a site and select **Modify Site**.

2 Make changes as needed.

For the primary site, you can only make changes in the Tests Performed/Specialties section. To change basic demographic information about the primary lab site, go to the Demographics tab.

**Note:** If the physical address of a laboratory changes from one state to another, the Status for a lab's Active multiple sites changes automatically to Moved. The Status Date will be set to the current date.

**More ...**

Screen: Add/Modify Site window on page 204
Procedure: "Enter Demographics Information" on page 28

*Figure 4-4: Update a Site procedure, 508-compliant format*

**Add/Modify Site window**

Much of the data entered in this window is carried into the Multiple Sites section on the Multiple Sites tab.

Fields: Add/Modify Site window, on page 263

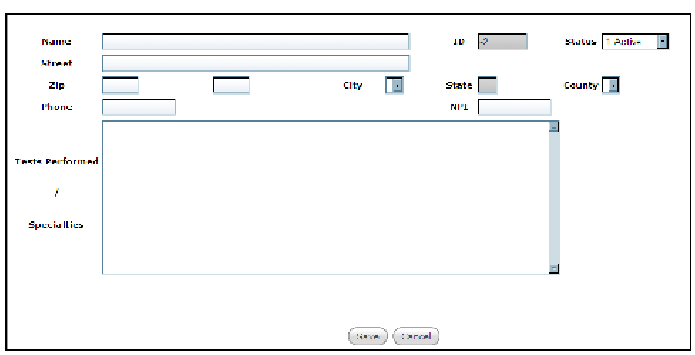



*Figure 40: Add/Modify Site window in the ASPEN CLIA web app*

*Figure 4-5: Screenshot, 508-compliant format*

**Add/Modify Site window**

**General Site Information**

**Name**

Name of the additional lab site. No abbreviations. Must contain valid alphanumeric characters: A-Z 0-9 * / , # ' & - ( ) +

Required. If the site name starts with "The", place it at the end of the name following a comma.

**ID**

System-generated sequence number indicating the order in which additional sites were added.

**Status**

Indicates the status of the additional site: Active, Moved, or Removed; Active is the default. Can also be set directly in the Multiple Sites list. If Status for a site is Moved or Removed, you must display all sites in the Multiple Sites list to see it.

**Street**

Street address of the additional site. Required. Must contain valid alphanumeric characters: A-Z 0-9 * / , # ' & - ( ) +

*Figure 4-6: Field descriptions, 508-compliant format*

**Note:** All ASPEN user guides are published in 508-compliant format.

## 4.2 Hover Help

Hover Guidance is context-sensitive pop-up help that provides instantly available definitions for certain fields in ASPEN Enforcement Manager and some areas of ACTS. Hover Guidance is activated by each State on the State Customization screen in ACO.

A gray circle next to a field indicates that Guidance is available for that field.

# • Task 4-B: View Hover Guidance

1 In ACO, click the **Enforcement tab**.

2 Click the **+** next to your assigned training letter to expand the node, then right-click the first facility on the list, and select **New Enforcement**.

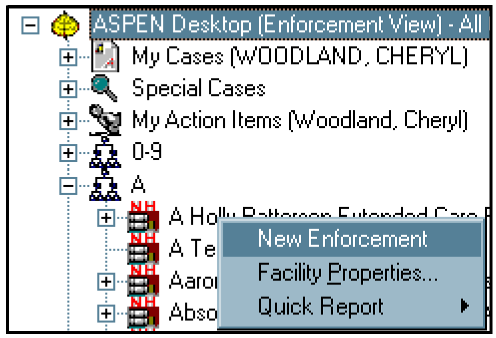



*Figure 4-7: Right-click menu options*

3 Select the most recent survey (top one on the list) and click **OK** to open a new enforcement case in the Case Basics tab. The boxes in *Figure 4-8* highlight the gray circles that indicate Hover Guidance is available.

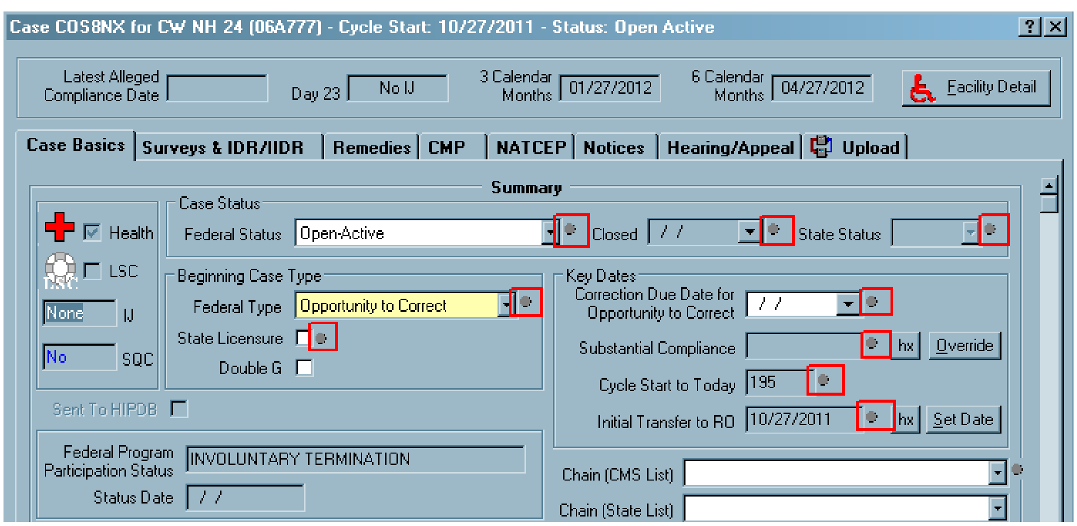



*Figure 4-8: Top of AEM Case Basics tab*

**4** Hold your mouse pointer over the small gray dot to see a window appear with information about the field. The following figure illustrates the guidance available for the Federal Status field.

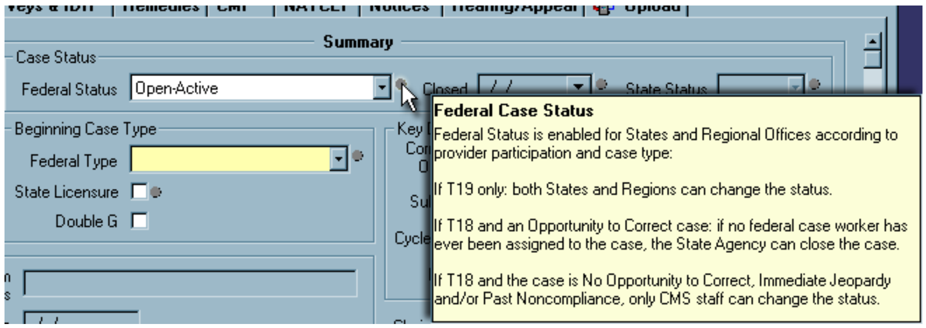



*Figure 4-9: Guidance for Federal Status field*

**5** When you move the mouse, the box closes; moving the mouse back over the gray dot will redisplay the help text.

**6** Click **Cancel** and say **Yes** to the confirmation prompt to close the Enforcement case.

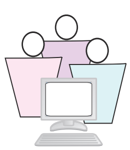
## 4.3 Lookup Maintenance - ACO

### 4.3.1 Zip Codes

ACO permits adding new zip codes via the Zip Code button on the Facility Properties screen. You cannot delete existing zip codes.

**Note:** Refer to the Tab/Button Security section for information on controlling which users may add new zip codes.

## • Task 4-C: Add a New Zip Code



In real life, before you add a new zip code in ACO, the SA OSCAR Administrator should add the ZIP code to OSCAR, which transfers the new zip code to CASPER.

Choose a facility whose name starts with the letter name of your computer.

**1** Locate and right-click the facility, then select **Facility Properties**.

**2** In the Facility Properties window, click **Find** (next to the Zip Code field), and in the Zip Code Search window, click **New** (*Figure 4-10 on page 162*).

In the Enter New Zip Code Information window, all four fields are required. After you enter the new zip code and specify a state, the city field is activated. Once the city is entered, the county field is activated.

**3** Enter the new zip code information.

**4** Click **OK** when done.

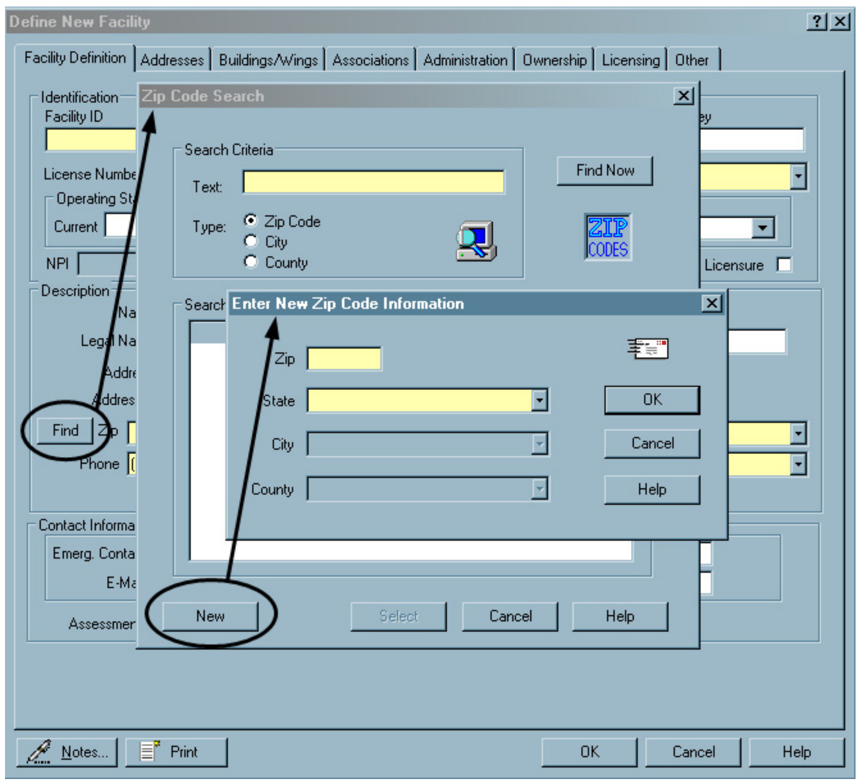



*Figure 4-10: Adding a new zip code*

## 4.3.2 Distribution Lists

ASPEN Distribution Lists provide a central directory where you can enter address and contact information for individuals and agencies who commonly receive correspondence. When you generate letters, you can select the recipient from this list, either as the primary recipient or to receive copies (cc: or bcc:), and ASPEN will both print the mailing label and maintain a record of the correspondence.

Distribution List entries for ACO and ACTS are stored in the same table, so items added to the list in either application will be visible in the other.

### *Distribution List Entries as Recipients*

Once you select someone on the Distribution List to be the primary recipient of a letter, ASPEN letter macros can insert information from the recipient's record into the letter as needed. Table 4 - 1 shows which fields in the Distribution List record have corresponding letter macros.

### *Distribution List Entries as CCs*

When you select someone from the Distribution List to be copied (cc'd) on a letter, ASPEN will print data from the Recipient field next to the cc: at the bottom of the letter. Some states prefer that this be a person's name; other states want a department or agency name; some states want both.

You can adjust the way you complete the Distribution List to get the results you want, both in the letter content and the cc text. For instance, you can put an agency name in the Recipient field so the agency will print after the cc:, then insert an individual's name in the Dept field so you can use that macro when you need the name.

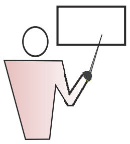
As always, the important thing is to be consistent across all entries so staff can easily predict letter behavior.

### Table 4-1: Letter cc Text Fields

| Field | Description | Letter macro using this field |
|---|---|---|
| ID | Required. 3 characters alphanumeric. Once the record is saved, this ID cannot be changed. | N/A |
| Type | Required. This will categorize your entry in the Distribution List. | N/A |
| Description | A brief description of the recipient appears in the Distribution column of the Distribution List. | N/A |
| Recipient | Recipient's name. This prints next to the cc: when the recipient is copied on a letter, and may be inserted into a letter with the letter macro. | DIST - Distribution Recipient |
| Salutation | Salutation (title) you may want to use in letter macros (merge codes): Ms., Mr., Mrs., Miss. | DIST - Distribution Salutation |
| Dept | Enter an agency Department, if applicable. | DIST - Distribution Department |
| Address | Street Address, including Suite or Office number. | DIST - Distribution Address |
| City | City | DIST - Distribution City |
| State | State | N/A |
| Zip | Zip | DIST - Distribution Zip |
| 562 Code | Required in ACTS. If a Party receives 562 Notification letters, select the appropriate classification for Item 14 of the 562. Options are 1 Facility, 2 Complainant, 3 Representative, 4 Other. | N/A |
| CC by default | Sets the default recipient to receive copies of all correspondence. You can select more than one. You can change the setting when you send individual letters. | N/A |

**Note:** Another macro, the DIST - Distribution Full address macro, prints the following fields in this order:
Distribution Recipient
Distribution Department
Distribution Street Address
Distribution City, State Zip

# • Task 4-D: Add Recipient to Distribution List in Lookup Values



1 From ACO, select **System** | **Lookup Values** | **Distribution Lists**.

2 In the Distribution List window, click **New**.

3 Fill in the fields in the window. Refer to Table 4-1 on page 164 if you need help with individual fields.

This example shows both name and department in the Recipient field.

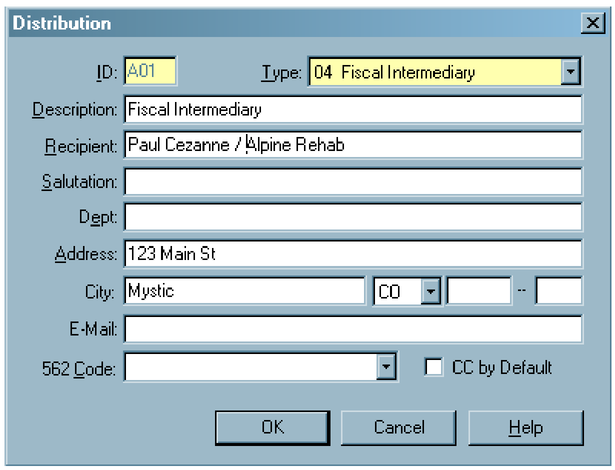



*Figure 4-11: Add a recipient*

4 Click **OK** when done.

The next time you generate a letter, this recipient will be available for selection.

## *AEM Distribution List Entries*

In AEM, attorneys can be added to the Distribution List directly from the window where you enter or modify Hearings/Appeals (from AEM Enforcement Case go to the Hearing/Appeal tab and click New or Modify).

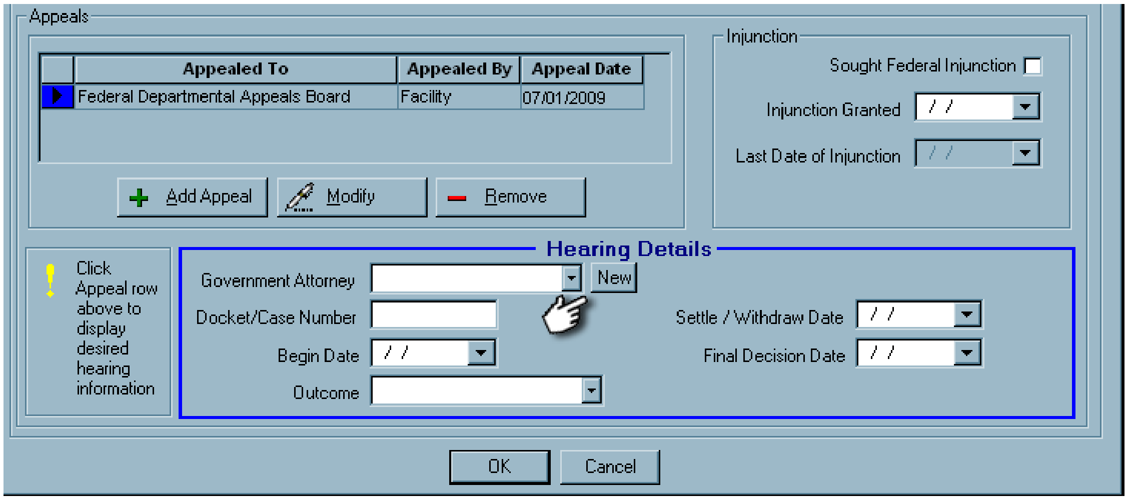



*Figure 4-12: Hearing Details in AEM*

Click **New** to add an attorney to the Distribution List. This opens the same Distribution List window that you use to add entries in Lookup Values.

In *Figure 4-13*, the recipient we created in our example is receiving a copy of a letter sent to the facility.

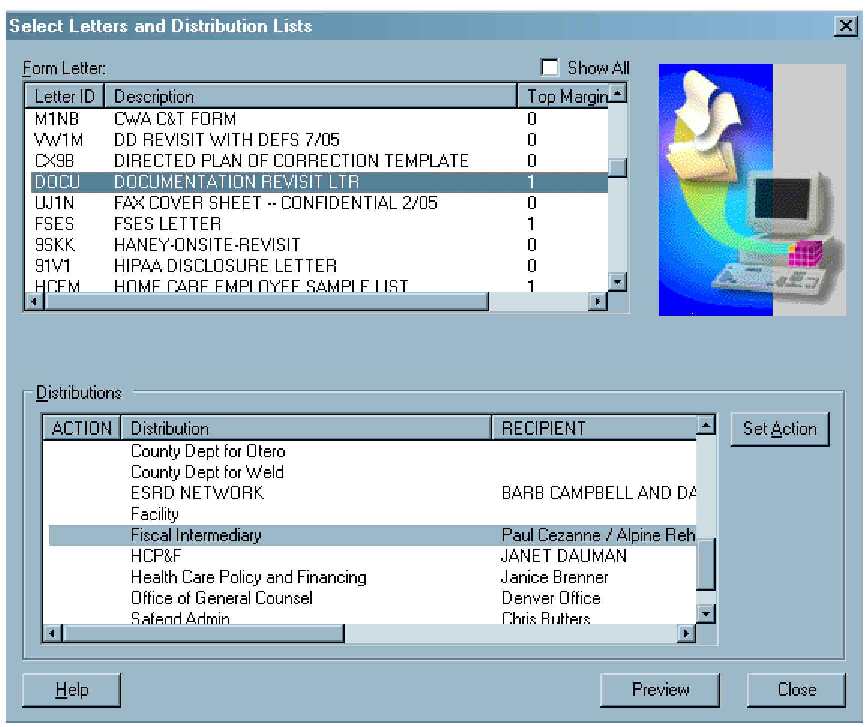
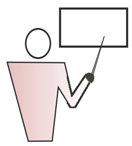



*Figure 4-13: Selecting recipients for a letter*

### 4.3.3 State Personnel Titles

You can add to the list of state-only personnel titles that are available on the Employee Identification tab for each employee.

## • Task 4-E: Add New Personnel Title



1 From ACO, select **System** | **Lookup Values** | **State Staff Titles**.

2 Click **New**.

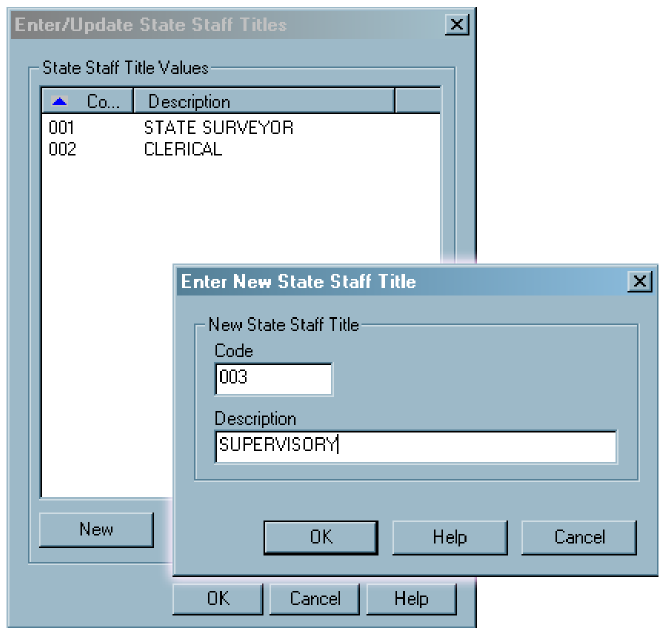



*Figure 4-14: Adding a new staff title*

3 Enter a **Code** for the new State Staff Title. You can enter up to 5 characters, alphanumeric.

4 Add a brief **Description**.

**5** Click **OK** when done.

When you add or update staff member information, the new State Title will be available:

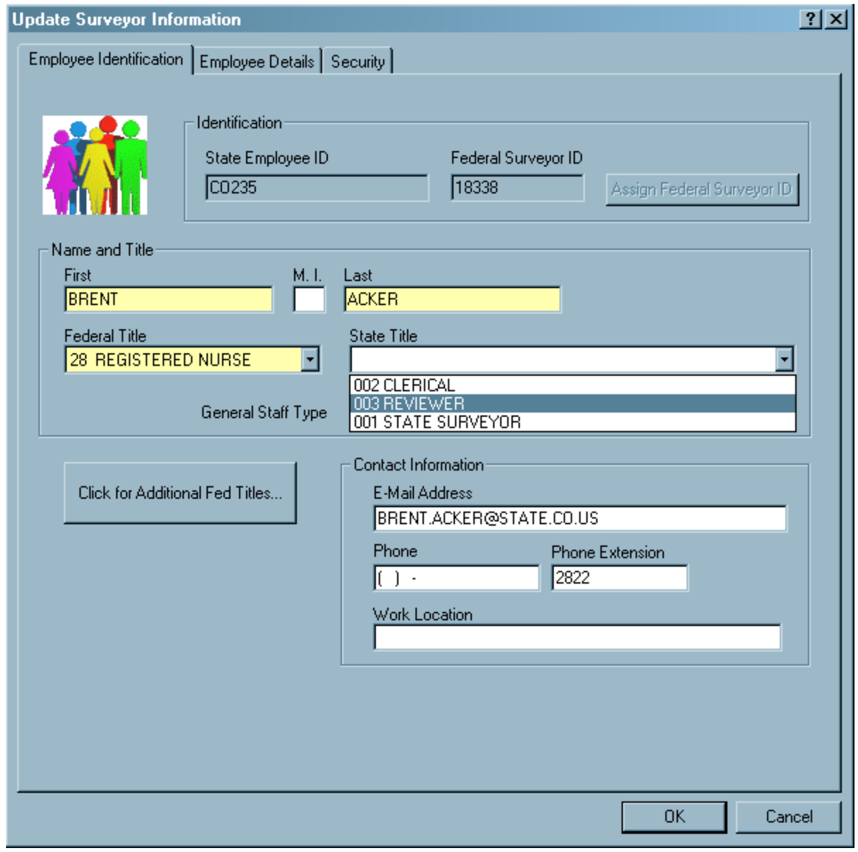
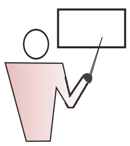



*Figure 4-15: Selecting a State Title*

### 4.3.4 Synchronizing Fiscal Intermediary and State Region Codes with National

States can now keep their Fiscal Intermediary and State Region Codes tables current by copying information directly from the national server to the state server. When you initiate this process, the table on the state server is deleted, and the national table is copied to the state.

## • Task 4-F: Update Fiscal Intermediaries and State Regions Codes



The procedures for updating Fiscal Intermediaries and State Regions codes are almost identical. We'll demonstrate the Fiscal Intermediary option.

**1** From ACO, select **System** | **Lookup Values** | **Fiscal Intermediary**.

**2** Click **Yes**, and you're done.

To update State Region Codes, select **System** | **Lookup Values** | **State Regions**. You'll see a similar message.

### 4.3.5 Personal Activities

AST allows schedule notation of non-survey activities such as leave time, training sessions, and staff meetings. Surveyors can add activities like this to their personal calendars in My ASPEN. Schedulers are alerted if they try to schedule a visit on the same day a surveyor has a personal activity.

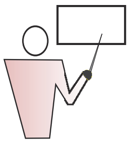
Personal activities do not show on the main scheduling calendar, but schedulers can see them by using the Show Schedule button on the Staff Availability List.

In Lookup Values, there are six primary categories for personal activities. Primary categories are determined by CMS and cannot be modified. They are:

- 01 LEAVE.
- 05 ADMINISTRATIVE.
- 10 MEETING.
- 15 TRAINING.
- 20 TRAVEL (NON-SURVEY).
- 99 OTHER.

States and ROs can add whatever types of personal activities that may be applicable in their state or region, assigning them to one of these primary activity categories.

# • Task 4-G: Add a Personal Activity



To add a new type of personal activity to Lookup Values:

**1** From ACO, select **System** | **Lookup Values** | **Personal Activities**.

**2** In the Calendar Personal Activities Configuration window, click **Add**.

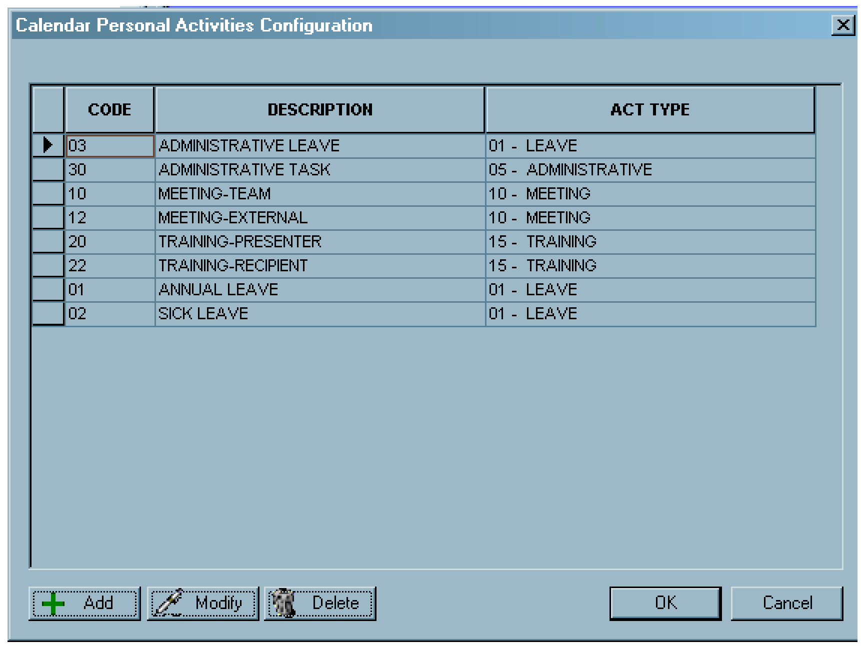



*Figure 4-16: Calendar Personal Activities Configuration window*

**3** In the Create Personal Activity window, enter a **Code** (required) and **Description**, then select the **Activity Category**. For example, *Figure 4-17* adds the personal activity STAFF to the category MEETING.

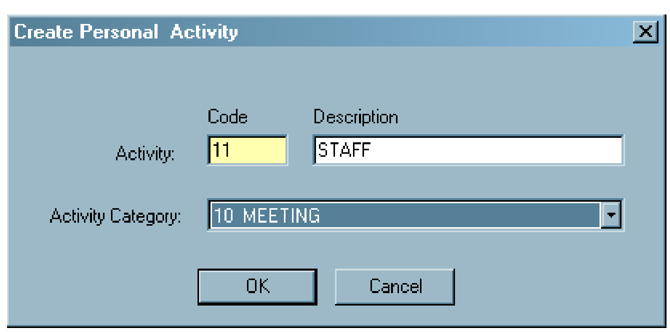



*Figure 4-17: Adding a personal activity to MEETING category*

**4** Click **OK** when done.

# • Task 4-H: Add a Personal Activity to the Calendar in My ASPEN

Now we'll show you where you use these personal activities in AST.

**1** On the ACO toolbar, click the AST button to open AST.

**2** In the AST shortcut bar (on the left), click **My ASPEN**.

My ASPEN opens, with the calendar expanded (if it is not, click the folder to the left of Calendar to expand it).

This is the AST personal calendar, which shows surveys and activities scheduled for the logged-on user.

**3** Locate the date on which you want to schedule the activity, and double-click in an empty area of the day.

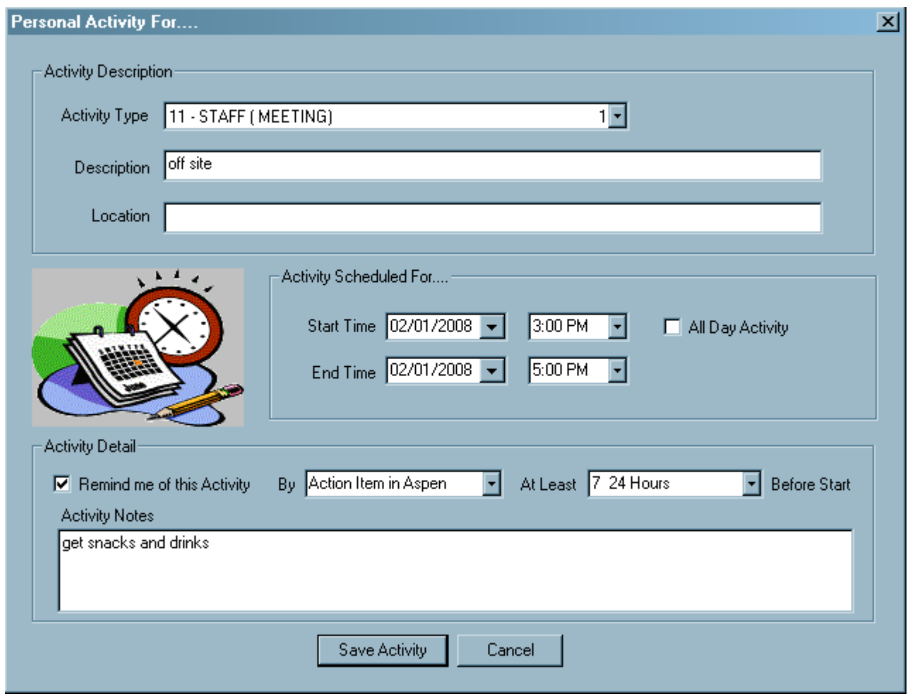



*Figure 4-18: Creating a personal activity*

**4** **Activity Type** and **Time** are required. **Description** prints on the calendar.

**5** De-select **All Day Activity** if you want to specify a **Start** and **End Time**.

6 Select **Remind Me of this Activity** if you want to be notified in advance.

7 When done, click **Save Activity** to place the activity on your calendar:

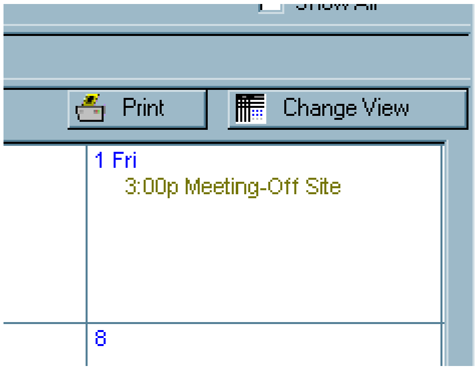



*Figure 4-19: Calendar with scheduled personal activity*

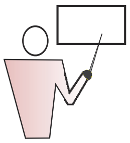
### 4.3.6 Remedies (AEM)

The remedies required by ASPEN Enforcement Manager are maintained in Lookup Values.

Federal remedies are supplied by the system. States need to add their State enforcement remedies.

**Note:** State alternate remedies are first approved by CMS and added to the list as a Federal remedy under code 08.

# • Task 4-I: Add a State Enforcement Remedy



States can add their own remedies, following this procedure:

1 From ACO/ARO, select **System** | **Lookup Values** | **Remedy Lookup Values**.

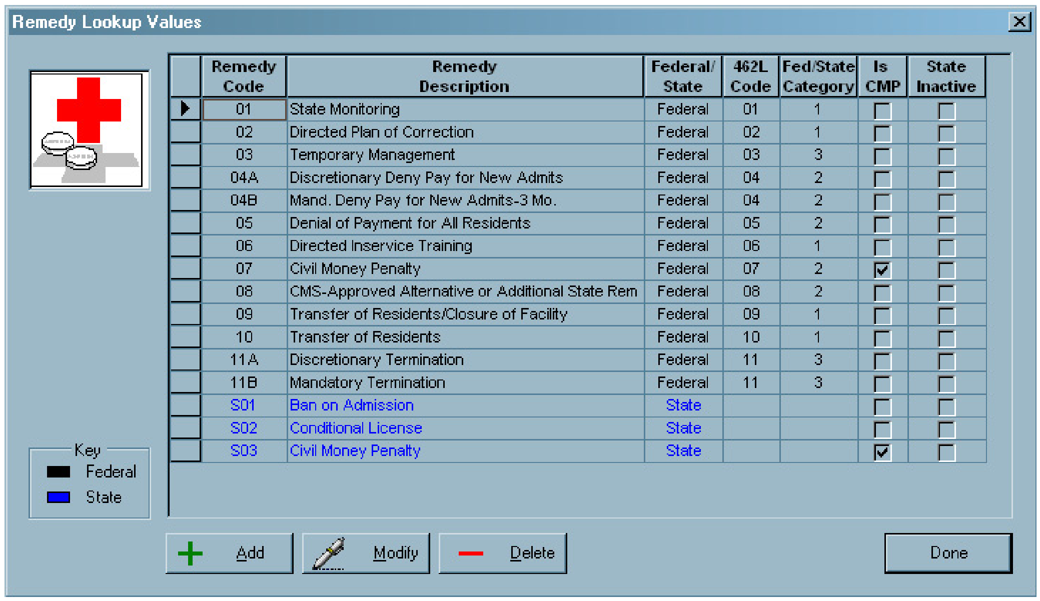



*Figure 4-20: List of available remedies in Lookup Values*

2 Click **Add** to open the Remedy Lookups window.

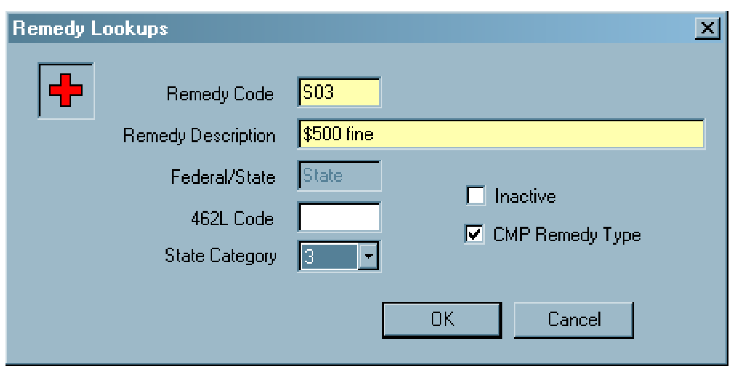



*Figure 4-21: Adding a new State remedy*

3 Supply a **Remedy Code**.

State remedies always start with S, with two additional alphanumeric characters permitted. Remedies will be listed in alphanumeric order by this code.

4 Enter the **Remedy Description**.

5 Enter the current **462L Code** for this remedy.

6 States that have a category breakdown for their remedies can use State Category to designate the remedy category.

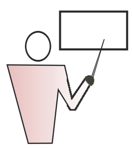
**Note:** States create these remedy categories by selecting **System** from the Main menu, then **Lookup Values**, then **Dictionary**. Call the ASPEN Helpdesk if you need assistance.

7 If the State remedy you are adding is a CMP remedy, select the **CMP Remedy Type** checkbox.

8 Click **OK** when done.

**Note:** Select **Inactive** when a remedy is replaced or eliminated. Inactive remedies cannot be added to new enforcement cases, but are still available for historical reporting.

## • Task 4-J: Add State Remedy to an Enforcement Case



We will venture into ASPEN Enforcement Manager, to show you where these remedies are used.

1 In ACO, go to the Enforcement tab.

2 Click the **+** to expand the facility and display its enforcement cases.

3 Right-click the case, and select **Modify Enforcement**.

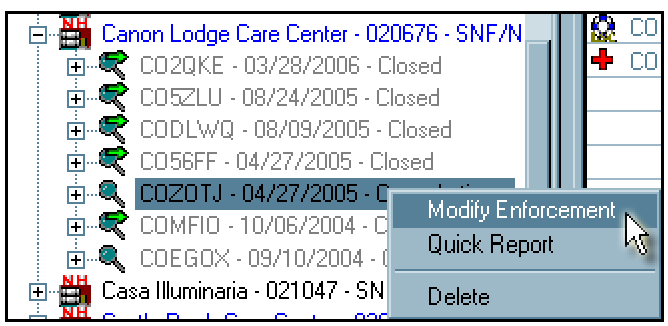



*Figure 4-22: Right-click menu options*

The enforcement case will open with the Case Basics tab active.

4 Click the **Remedies** tab.

5 Click **New** to add the new State remedy to this enforcement case.

6 In the **Remedy Input** window, click the drop down menu button to the right of Remedy, and select the new **State** remedy.

7 For **Remedy in Effect?** select **Recommended**.

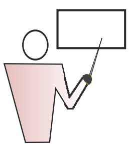
8 Click **OK** to close the Remedy Input window, then **Save** & **Exit** to close the case.

## 4.3.7 Activity Types (AEM)

AEM enforcement cases include an Activities section, which States and ROs can use to keep track of the many steps in the enforcement process. Every time an activity is added to the case, whether it is generated by entries into ASPEN or entered manually by a case worker, a corresponding action item is sent to the Responsible Party named in the activity.

There are 29 pre-configured activity types. States can add additional activities to this list.

# • Task 4-K: Add a New State Activity Type



1 From ACO, select **System** | **Lookup Values** | **Dictionary**. Say **No** to the question about Central Office.

2 In the Lookup Values Dictionary window, scroll to **ENFORCE - ENFORCE** and click the **+** to expand it.

3 Right-click **NEXT STEP - NEXT STEP VALUE**, and select **New Value**.

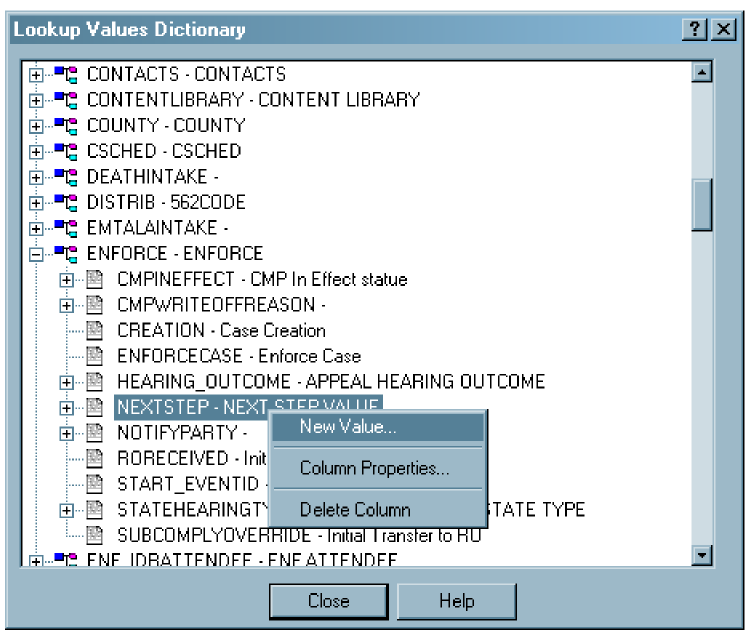



*Figure 4-23: Adding a new activity type*

**4** In the Input Lookup Values window, enter:

- ASPEN Code—A two-character identifier.
- OSCAR label—This is the name of the activity.

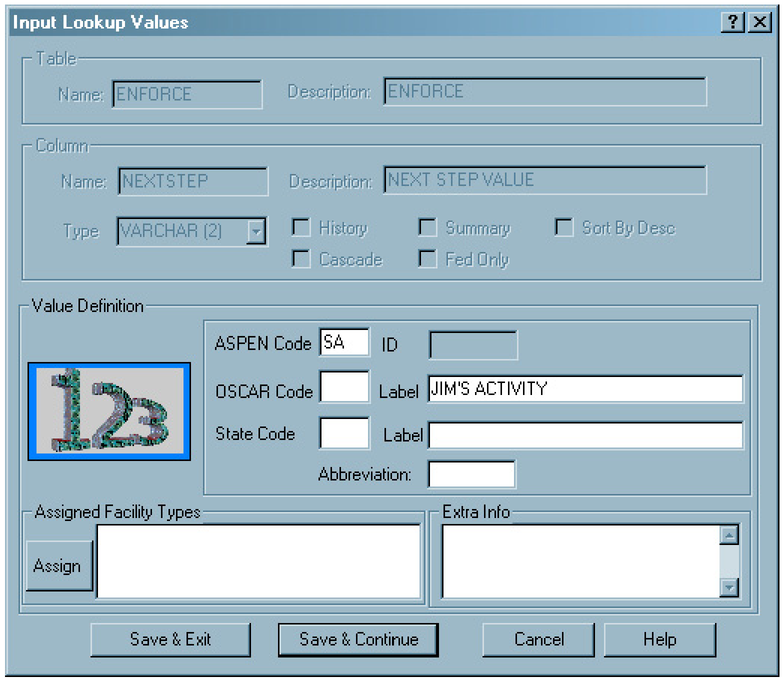



*Figure 4-24: Input window for the new activity*

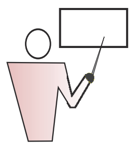
**5** Click **Save and Exit**.

Your instructor will open an enforcement case so you can see the new activities that are available for selection.

## 4.3.8 Congressional Districts

Adding your congressional representatives to ACO allows you to filter the facilities displayed in the tree by congressional district.

# • Task 4-L: Add a Congressional Representative



**1** From ACO/ARO, select **System** | **Lookup Values** | **Congress**, then click **New**.

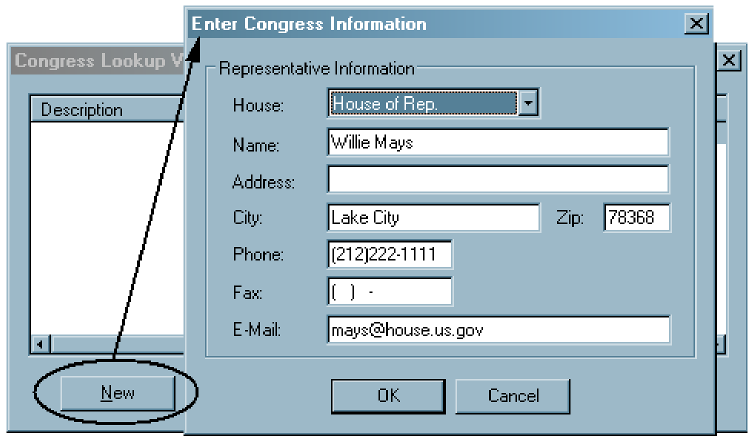



*Figure 4-25: Adding a new congressional representative*

**2** Enter the information requested.

**3** Click **OK** when done.

This representative can be associated with a facility on the Associations tab in Facility Properties, shown below:

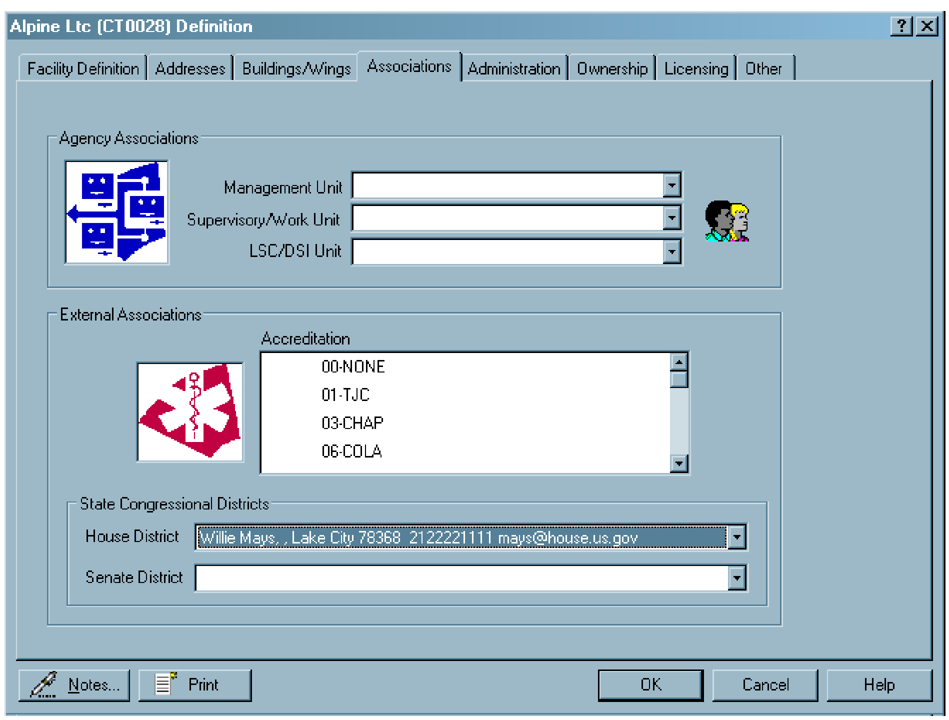



*Figure 4-26: Selecting a representative in Facility Properties*

You can use the new representative for filtering criteria on the Congress tab in My Selections:

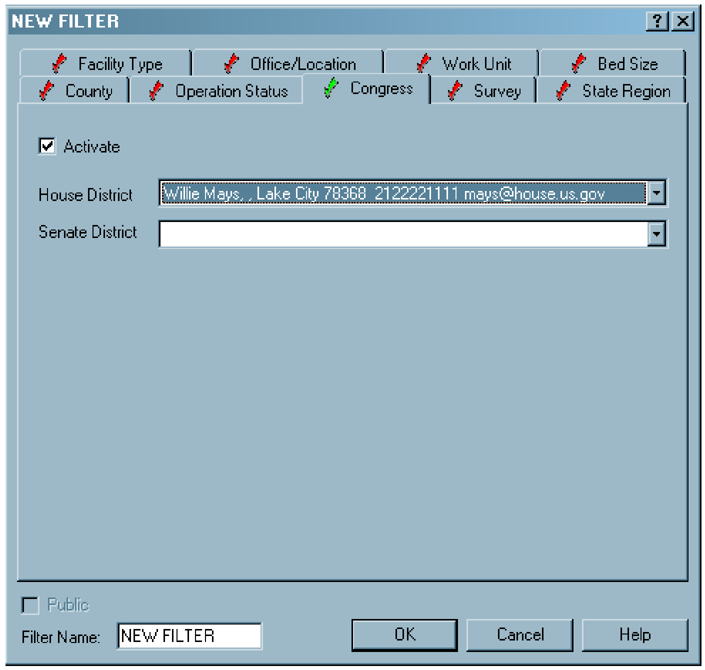



*Figure 4-27: Applying a filter on the Congress tab in My Selections*

## 4.4 Lookup Maintenance - ACTS

### 4.4.1 State Assignable Lookup Values

Throughout ASPEN applications, you select items from pre-configured drop-down lists. Items in the drop-down lists are stored in a master lookup table in the ASPEN database.

Some drop-down lists can be modified by states and/or regions. Modifiable lists originated in ACTS, although some are now used in ACO also.

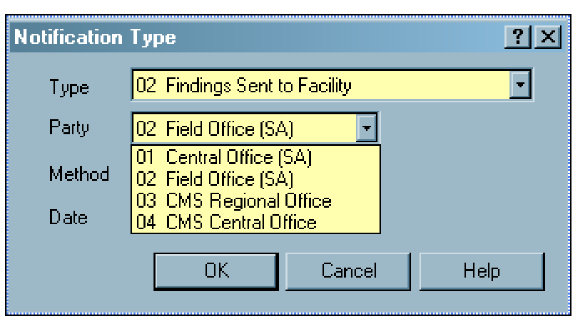



*Figure 4-28: Lookup values for the Party field in the Notification Type window*

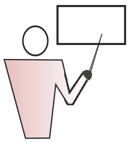
Tables and values that may be modified include:

**Table 4-2: Modifiable Lookup Values**

| Location | Tablename | Columnname |
|---|---|---|
| Personal Activity For...dialog:<br>Activity type | ASP_PERSACT | PERACTTYPECODE |
| Hearing/Appeal tab:<br>Outcome | ENFORCE | HEARING_OUTCOME |
| Hearing/Appeal tab > Modify:<br>With Licensure selected, click Basis for Appeal | ENFORCE | STATEHEARINGTYPE |
| Case Basics tab > Add Activity:<br>Type | ENFORCE | NEXTSTEP |
| Case Basics tab:<br>Chain (State List) | FACILITY | STATECHAINID |
| Licensing tab:<br>License Type | FACILITY | LICTYPECODE |
| Remedies tab > Add:<br>Remedy | REMEDY | STATECATEGORY |
| Actions/Close tab:<br>Proposed Actions (State) | CINTAKE | PROACTST |
| Activities tab:<br>Activity Type | INVEST | TYPES |
| Allegations tab:<br>Allegation Seriousness | COMP_ALG | SERIOUS |
| Allegations tab:<br>Allegation Subcategory | Modified through System\|Lookup Tables\|Allegation Subcategories | |
| Alleged Perpetrator Directory Input dialog:<br>Perpetrator Title | PERPS | TITLE |
| Investigation tab:<br>Notices button: Notification History,<br>New button: Notification Type dialog:<br>Type | NOTIFICATION | NOTIFYTYPE |
| New Call dialog:<br>Hotline Categories | HOTLINE | CATEG |
| Notification Type dialog:<br>Party | NOTIFICATION | NOTIFYPARTY |

If you feel your state has valid additions to drop-down lists that you are unable to modify in ASPEN, you can submit additional items to the ASPEN Suggestion Page located on the QTSO website: https://asp.qtso.com/stso/sugg/suggestion.asp.

# • Task 4-M: Add an Item to the Party Drop-down List



Let’s add an item to the Party drop-down list (*Figure 4-28 on page 178*).

1 From ACTS, select **System** | **Lookup Tables** | **Standard Lookups**.

2 Answer **No** when ACTS asks you if you are a Central Officer user.

3 In the Lookup Values Dictionary, scroll to the NOTIFICATION - NOTIFICATION node (tables are in alphabetical order), and click the **+** to the left to expand it.

4 Click the **+** next to NOTIFYPARTY to expand that. You'll see the lookup values that have already been defined listed beneath.

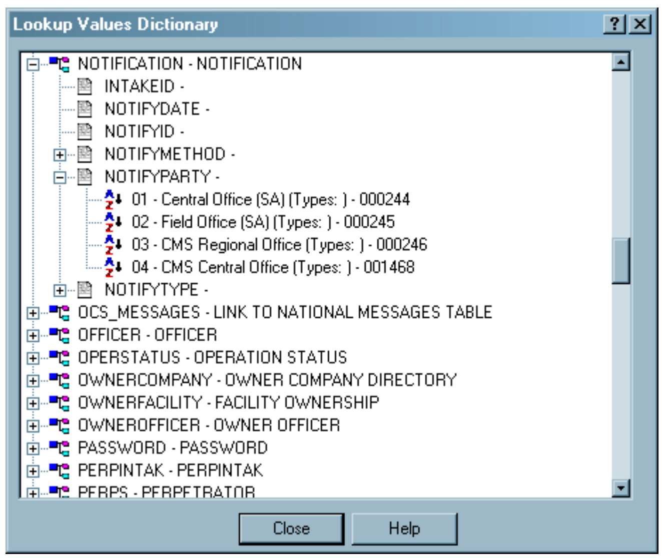



*Figure 4-29: Party field lookups in the Lookup Values Dictionary*

5 Right-click NOTIFYPARTY and select **New Value** from the menu.

There are only a couple of required fields in the Input Lookup Values window.

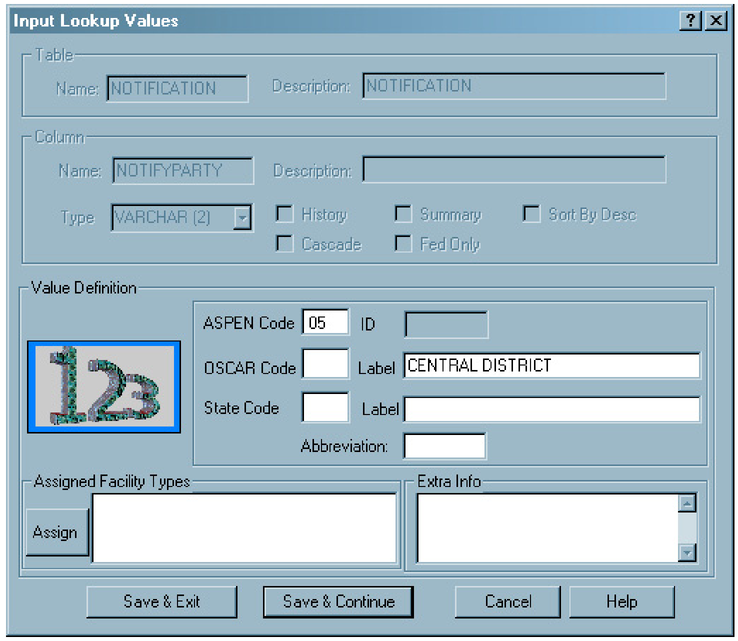



*Figure 4-30: Adding a value to Notification: Party*

**6** The existing codes are 01, 02, 03 and 04, so enter **05** for the ASPEN Code.

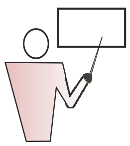
**7** For the OSCAR Label, type **CENTRAL DISTRICT**. This is the label you will see in the lookup dictionary and on the related drop-down lists in the application.

**8** Click **Save & Exit**.

## 4.4.2 Allegation Subcategories

Some states want additional subcategories to ACTS allegations for reporting purposes. Allegation subcategories can be modified directly from the ACTS System menu.

# • Task 4-N: Add an Allegation Subcategory



**1** From ACTS, select **System** | **Lookup Tables** | **Allegation Subcategories**.

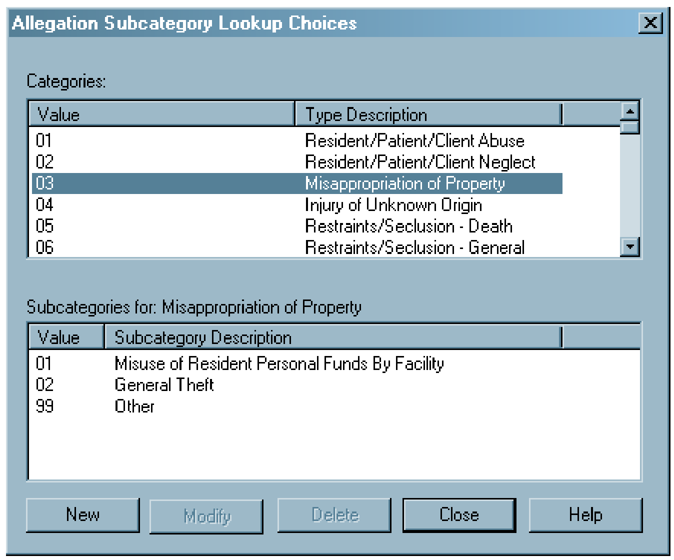



*Figure 4-31: Allegation subcategories in Lookups. In this example Misappropriation of Property is selected in the top pane, and its three subcategories are listed in the lower pane.*

The top pane of this window lists basic allegation categories. When you select a category, its subcategories are listed in the pane below.

**2** In the Categories (upper) pane, select a category to which you want to add a subcategory.

**3** Click **New**.

**4** Supply a **Value** (Code) and a **Description**.

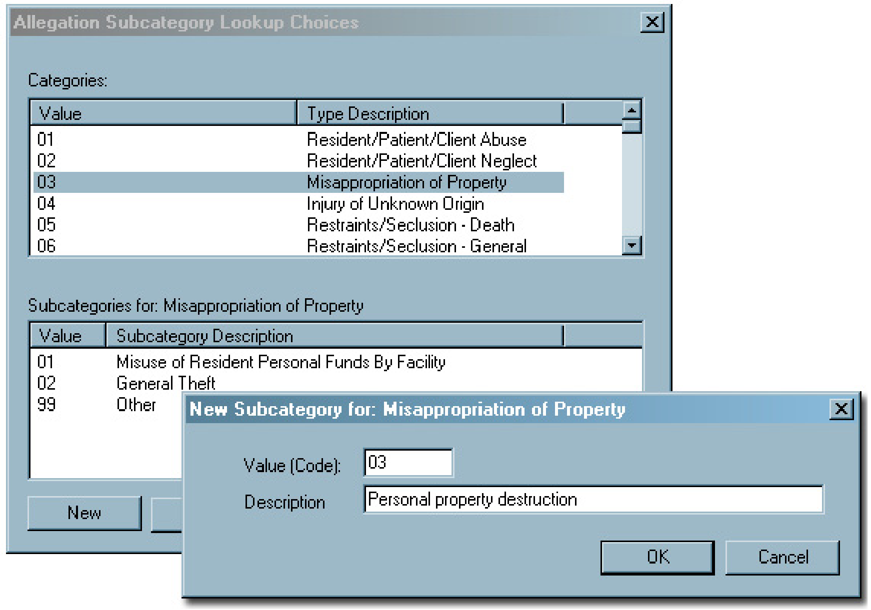



*Figure 4-32: New Subcategory window*

**5** Click **OK** when done.

**6** Click **Close** when you are finished adding allegation subcategories.

Now when you add an allegation to a complaint intake, this subcategory will be available for selection.

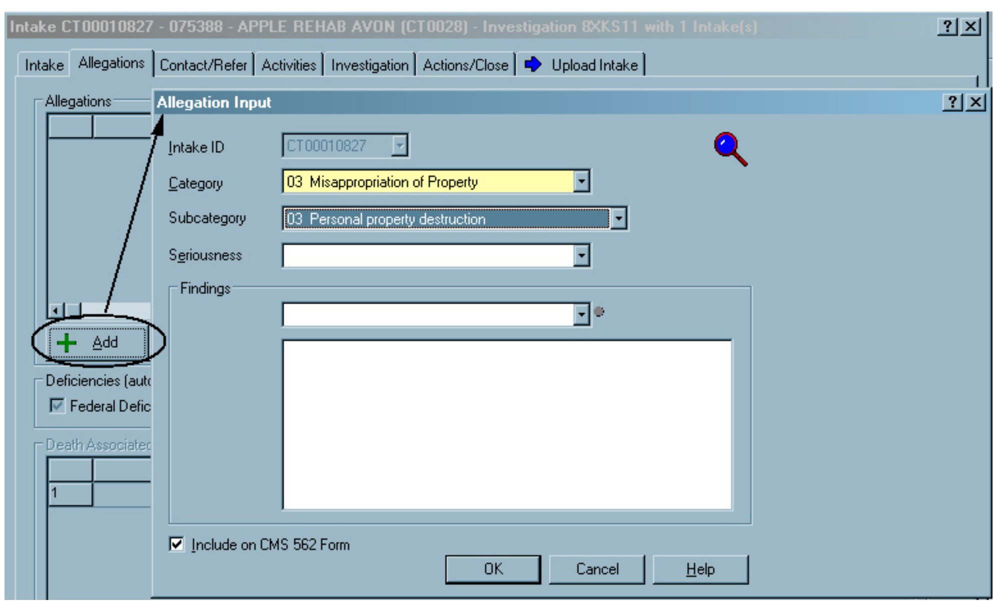



*Figure 4-33: Selecting new subcategory when adding allegation to an intake*

### 4.4.3 Assign License-Only Facility Types (ACTS)

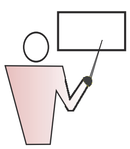
Previously in ACTS, Federal allegations and proposed actions could not be selected in intakes for state licensure facilities until a database patch was applied to configure the facility type.

Now, states can use ACTS Lookup Tables to assign new licensed-only facility types to applicable allegation categories and proposed actions. The licensure facility type must already be created in ASPEN (System | Facility Types | Primary Categories). The maximum number of licensure-only providers you can select through the Assign Licensure-only Facility Types feature is 390 minus the number of predefined federal types.

Lookup values that can be assigned to licensed-only facility types are in the following tables and columns:

CINTAKE | PROACT
COMP_ALG | ALGTYPE

## • Task 4-O: Assign a Licensed-only Facility Type to Allegation Categories



1. From ACTS, select **System** | **Lookup Tables** | **Standard Lookups**.
2. Answer **No** when ACTS asks you if you are a Central Officer user.
3. In the Lookups Dictionary window, scroll to COMP_ALG - COMPLAINT ALLEGATIONS, and click the **+** to the left to expand the node.
4. Click the **+** next to ALGTYPE - ALLEGATION TYPE to view all Federal allegations.

**5** Right-click an allegation, and select **Assign Licensure-only Facility** types.

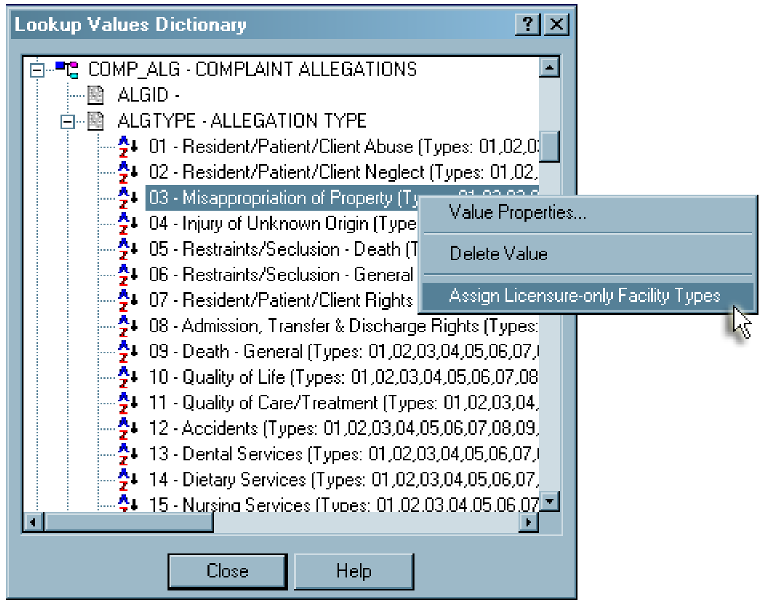



*Figure 4-34: Assigning a licensure facility type to allegation 03 Misappropriation of Property*

**6** Click the box next to SL- STATE LICENSE ONLY to select it.

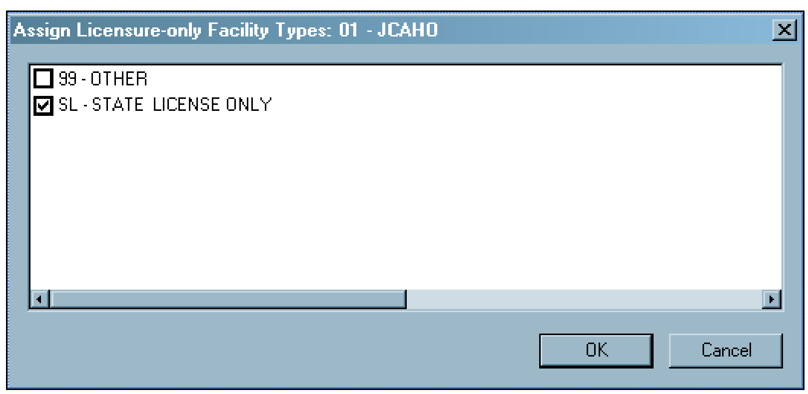



*Figure 4-35: Assigning facility types*

**7** Click **OK**, then **Close** to exit Lookup Tables.

Since lookup values are cached, you will not see the change until you close and restart the application.

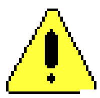
When you are creating an intake for a licensure-only facility, you will be able to add this allegation in the Federal Allegations section.

# 4.5 Database Maintenance

## 4.5.1 ACO/ARO and ACTS

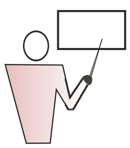
The System | Database Maintenance menu command enables System Administrators to reset database record locks and remove any temporary tables left over from report generation. Temporary tables are normally cleared when a report is generated, but may remain in the event of a power outage or network interruption.

Also, database locks are automatically removed by ASPEN as the user completes the tasks which created the locks. However, if ASPEN is not exited normally (e.g., the user a turns off the PC without closing the application), then these locks remain in the system.



**Warning:** All other users should be logged out before the system administrator clears the database locks.

## • Task 4-P: Reset Locks and Clear Temporary Tables in ACO



**1** From ACO, select **System** | **Database Maintenance**. Enter password if requested.

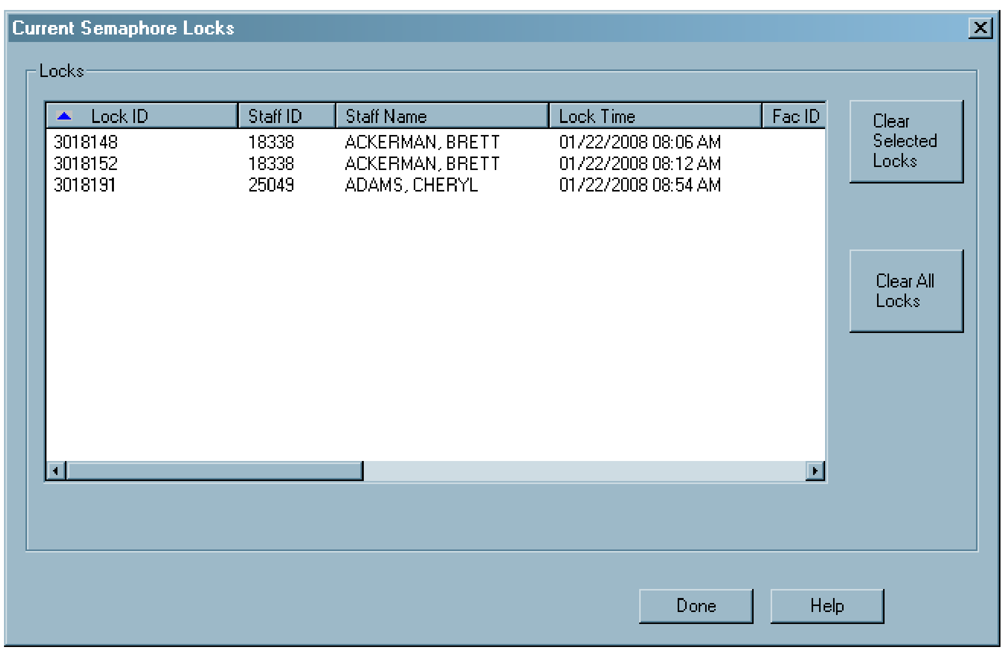



*Figure 4-36: List of current locks on the database*

**2** In the Current Semaphore Locks window, select one or more of the listed locks.

**3** Make sure everyone else is logged off, and click **Clear Selected Locks**. (Note that there is also a button for Clear All Locks.) Database record locks are reset and temporary tables are cleared.

**4** Click **Done**.

**Table 4-3: Semaphore Lock Columns**

| Column Name | Description |
|---|---|
| Lock ID | Contains a unique ID to identify the lock. |
| Staff ID | Surveyor ID of the user modifying the locked record. |
| Staff Name | Name of the user modifying the locked record. |
| Lock Time | Time the lock on the record was established. |
| Fac ID | When modifying a facility's definition, this column will contain the state Facility ID. |
| Name | Facility name. |
| Event ID | When modifying a survey's definition, this will contain the survey Event ID. |
| Exit Date | Survey exit date. |
| Tag | When modifying a cited tag text, this will contain the tag number being modified. |
| Complaint Number | When modifying an intake, this will contain the IntakeID being modified. ACTS only. |
| Other ID | Shows a distinct value representing locks that are not represented by FacID, EventID, or TagID. |
| Application ID | Application used when the record was locked (FACDEM or COMPLAIN). |

## 4.5.2 ASE-Q Sybase

ASE-Q users will be happy to hear that Sybase is inherently a very tidy database, and requires no user assistance. Sybase cleanup is scheduled to run automatically. If the cleaner detects active requests in the server, it stops the cleaning process and re-schedules itself. The database cleaner attempts to process pages when there are no other requests executing in the server.

## 4.6 Inserting Backup Citation Text

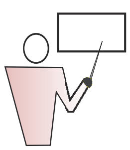
When the Citation window is open for entering, viewing, or editing citation text, ACO takes a "snapshot" of its contents every two minutes (if at least 500 characters have been entered) and saves the snapshot as a .txt file. These backup files are stored in the WPBackupDir folder in the ACO Data directory. ACO creates a separate file for each surveyor and for each tag.

If you paste text passage(s) containing more than 500 characters, but do not leave the Citation window open for at least two minutes, the text is not backed up.

If you lose a quantity of work because of hardware failure, or if you inadvertently delete a surveyor from a survey roster (which also removes all the surveyor's tags), you can restore the citation text from within the Citation window. Inserted text will be attributed to the active surveyor.

**Note:** Citrix runs ASPEN on a remote server on your behalf. When it creates backup files from Citation Manager, it places them on the Citrix server. You may need permission from the Citrix administrator to locate and browse for files on that server.

## • Task 4-Q: Insert Backup text into Citation



To insert backup citation text:

1 In the Citations section of the Citation Manager window, locate and double-click the tag for which you want to insert text.

**Note:** If you are restoring text because the surveyor was removed from the survey, you will have to re-cite the tag before you can select it.

The Citation window appears.

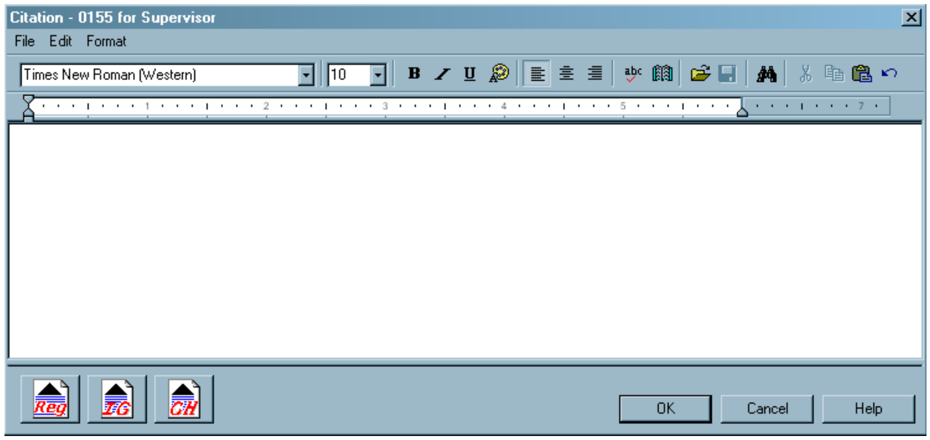



*Figure 4-37: Citation window*

**2** From the File menu, select **Insert Backup File**.

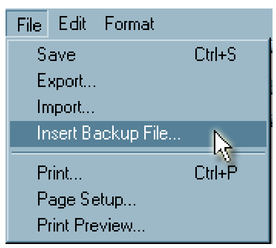



*Figure 4-38: File menu showing Insert Backup File option*

The Select Backup File window appears and displays the contents of the WPBackupDir folder.

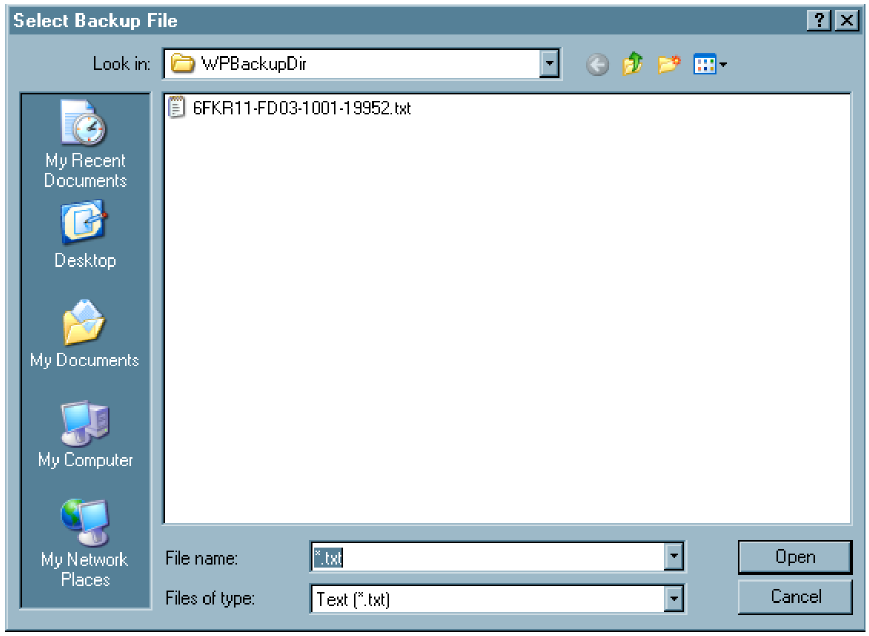



*Figure 4-39: Select Backup File explorer window*

**3** In the Select Backup File window, locate the .txt file you want.

Citation text backup filenames consist of the following elements:

*<Survey EventID><ASPEN Reg Set ID><Tag><StaffID>.txt*

There may be variations in the filename if the text has been modified by a supervisor.

**4** Double-click the file to insert the text into the Citation window.

---

**Note:** ACO overwrites existing backup files every two minutes only if more than 500 new characters have been entered in the Citation window. This prevents the backup from being overwritten by the contents of an empty Citation window while you are locating and inserting the file.

---

## 4.7 Spell Check Dictionaries

Spell Check comes with a comprehensive set of preconfigured dictionaries (meaning word lists only, no definitions) that include common words, contractions, abbreviations and proper names.

You can create your own dictionary, or add words and acronyms that you want Spell Check to recognize to the existing dictionaries. By default, all installed dictionaries are located in the SPELL folder under the specific application folder (e.g., C:\ASPEN\ACO\SPELL). To change the location of the dictionaries, refer to "Change Dictionary Location" on page 192.

Spell Check can use multiple dictionaries for each search. Use the Add/Remove Dictionary button to add or remove existing dictionaries from the search list.

The Spell Check Dictionary screens have Help buttons to guide you through some of the other options available.

### 4.7.1 Spell Check Dictionaries on a System with Multiple ASPEN Applications

If you have more than one ASPEN application installed on a computer (i.e., you have ACO and ASE-Q), each application has Spell Check dictionaries installed, but the ASPEN applications use only one set of dictionaries. By default, the ASPEN application that was LAST installed is the one whose dictionaries are used.

Therefore, if you install ASE-Q first and ACO second, both ASE-Q and ACO use the spell check dictionaries in the ACO SPELL folder. This is important to remember when creating your own dictionary or when adding words to the default USERDIC.TLX dictionary, and when you want to distribute that dictionary to other users.

**Note:** You do have the option to change the location of the dictionaries by selecting Set Spell Check Location from the ACO or ASE-Q System menus (refer to "Change Dictionary Location" on page 192).

## 4.7.2 Change Dictionary Location

To change the location of the Spell Check dictionaries, select Set Spell Check Location from the ACO or ASE-Q System menus. The default dictionary, USERDIC.TLX, is automatically copied to the folder you select as the new location for the dictionaries, and the location of the Spell Check files in the Windows registry is set for the current user.

## • Task 4-R: Set Spell Check Dictionary Location

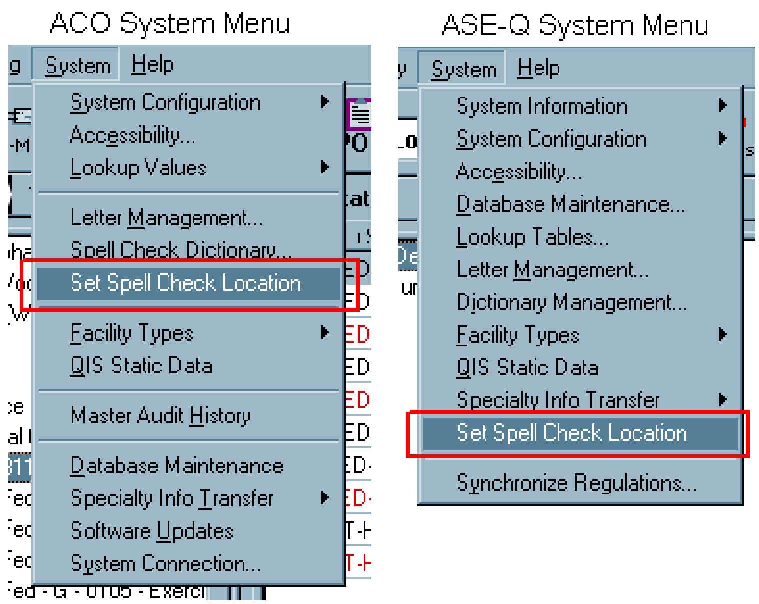



*Figure 4-40: Set Spell Check Location menu option*

**1** In ACO or ASE-Q, select **System | Set Spell Check Location**.

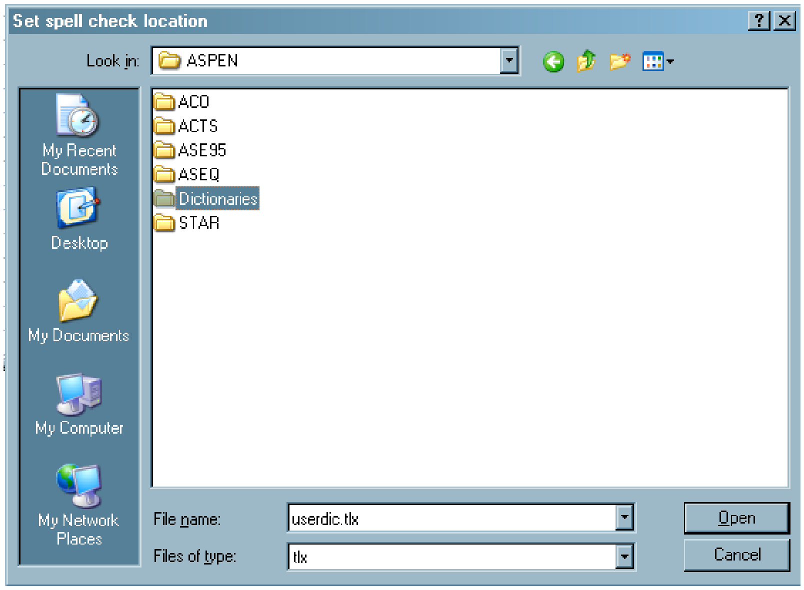



*Figure 4-1: Set spell check location window*

**2** Select the path to the new dictionary location.

ASPEN/Dictionaries is used in this example.

**3** Select **Open**

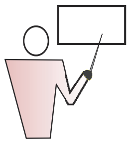
The default dictionary file (userdic.tlx) is automatically copied to the new folder and the spell check files location is set in the registry for the current user.

If you use dictionary files other than userdic.tlx, they need to be copied to the new location in order for Spell Check to use them.

### 4.7.3 Customizing the ASPEN Dictionary

The next three tasks demonstrate ways you can conveniently add words to the default dictionary.

# • Task 4-S: Add words to Dictionary



You can add words and acronyms to the default user dictionary (userdic.tlx).

1 From ACO/ARO, select **System** | **Spell Check Dictionary . . ..**

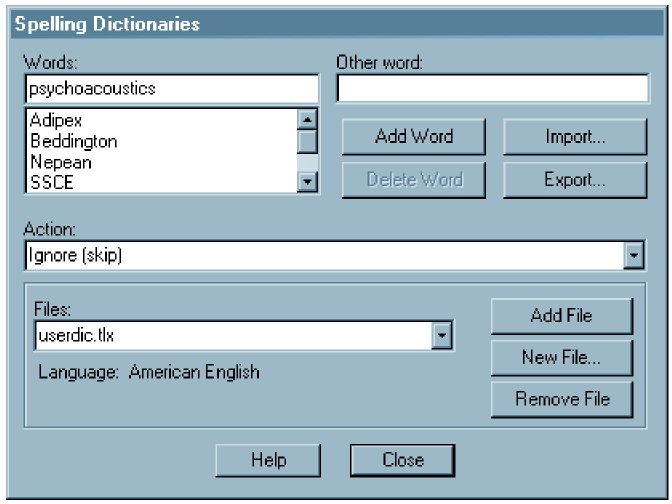
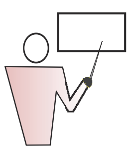



*Figure 4-2: Adding words with the Dictionaries window*

2 Type your new word into the Words box, and click **Add Word**.

3 Click **Close** when done.

# • Task 4-T: Add Words to Dictionary with Letter Management



Another way to add words to your dictionary is to create an ASPEN letter with all of your new words and then run a spell check on that letter.

This is a convenient approach if you already have a list of words in an electronic document. Simply copy and paste from that document into your temporary letter, then apply Spell Check.

1 From ACO, select **System** | **Letter Management**.

2 Click **New**.

3 In the Letter Desc window, type your computer training letter and DICTIONARY LETTER (A_DICTIONARY LETTER) for the Letter Name, and select **01 Survey** for Letter Type, then click **OK**.

4 In the letter word processor, type in the new words, or paste in a list of words from another application.

5 Click the **Spell Check** icon on the toolbar (or select Tools, then Spelling…).

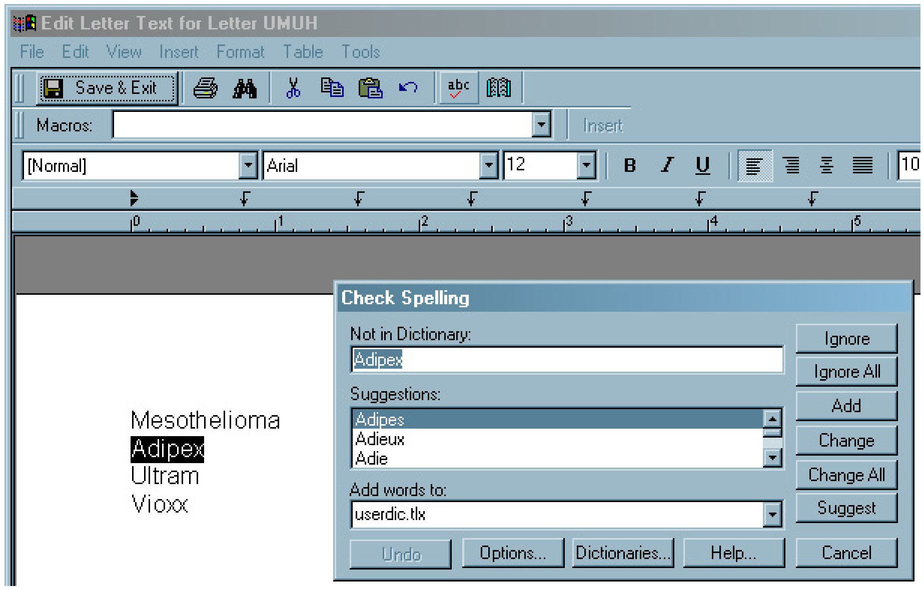



*Figure 4-3: Adding words with the word processor*

**6** When Spell Check reports a word as Not in Dictionary (misspelled), click **Add** to add the word to the dictionary in the **Add words to:** field.

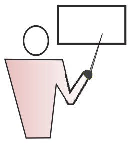
---

**Note:** If your Add button is not enabled, you may not have an open dictionary. Click **Dictionaries**, then **Add File** to browse to the Spell folder and add a dictionary file.

---

**7** When you see Spell Check Complete, click **OK**.

# • Task 4-U: Add Words from an External Dictionary



You can use an ordinary text file to add words to the default user dictionary (userdic.tlx).

**1** From ACO/ARO, select **System** | **Spell Check Dictionary . . ..**

**2** Click **Import**.

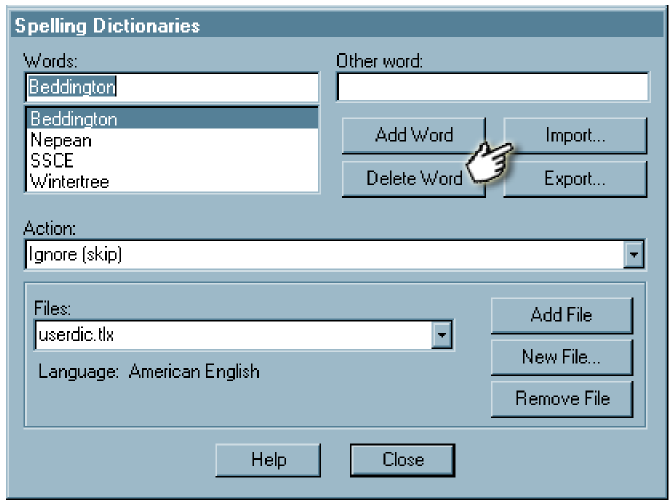



*Figure 4-4: Spelling Dictionaries window*

**3** In the Import Dictionary dialog, go to **Desktop**.

**4** Change Files of Type to All Files, select **ASPENSpell.dic**, and select **Open**.

This spelling dictionary contains a list of medical terms and acronyms and is included on your ASPEN Technical Training CD. You can add words and acronyms to this file using Notepad or any other text editor.

## 4.7.4 Making Dictionaries Available

### *ACO/ARO/ACTS*

Distributing your newly customized dictionary is simple if you install your ASPEN applications in the configuration recommended in "ACO/ARO and ACTS Installs" on page 19. The new dictionary automatically becomes available to all users since everyone accesses the dictionary from the shared network installation folder.

### *ASE-Q*

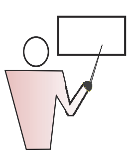
For ASE-Q, you need to distribute the dictionary file, USERDIC.TLX, to all users. Normally, this file should be copied to the SPELL folder located in the ASE-Q application folder. An example location would be: C:\ASPEN\ASEQ\SPELL.

## 4.7.5 Creating your own Dictionary Files

If you prefer not to save new words to the default user dictionary file USERDIC.TLX, you can create your own dictionary file and have the Spell Checker use that instead. The advantage to doing this is that you can name your dictionary file in such a way that it helps you identify it as your custom dictionary. For example, you might create a medical dictionary and name it MEDICAL.TLX and distribute it to your users.

The easiest way to create a custom dictionary is to run Spell Check on any letter or citation that has an unknown (or misspelled) word in it. This forces the Spell Check dialog to appear and gives you a chance to create your own dictionary file. Creating your dictionary file using Letter Management is very similar to the steps described in "Add Words to Dictionary with Letter Management" on page 194.

## • Task 4-V: Create Your own Dictionary File



We will add the words in the DICTIONARY LETTER you created before to a different dictionary file.

1 From ACO/ARO, select **System** | **Letter Management**.

2 Select the DICTIONARY LETTER you created in the previous task, and click **Text**.

   You can choose any letter, as long as it is not read-only.

3 Click the Spell Check button on the toolbar (or select **Tools**, then **Spelling...**).

4 Click the **Dictionaries...** button.

**5** Click **New Dictionary** and enter the new dictionary File Name (use your assigned training letter). For example, A_MEDICAL.TLX (you must use the .TLX extension).

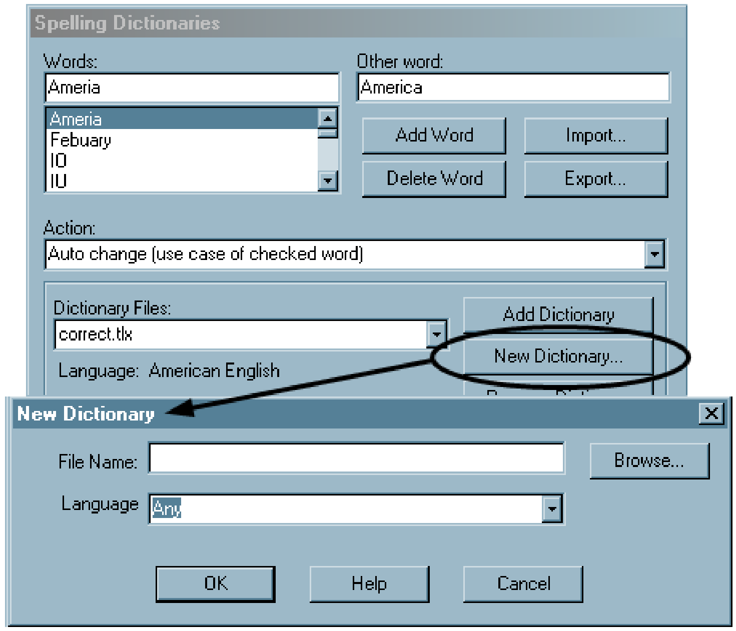



*Figure 4-5: Creating a new Spell Check dictionary*

**6** Click **OK** to create the new dictionary file.

**7** Click **Close** to return to the Check Spelling dialog.

**8** Select your new dictionary using the **Add words to** drop-down list. The Spell Checker will add all new words to your dictionary.

**9** Click **Add** to add each new word to your new dictionary.

You can now distribute your dictionary file as described in “Making Dictionaries Available” on page 197.

### 4.7.6 Shared Spell Check Files

In order for all users to share the same dictionary files, you can place the dictionary files on a shared network location so that all users can access the dictionaries. To do this requires each user to Set Spell Check Location, and select the location of the dictionary files (for details, see "Set Spell Check Dictionary Location" on page 192), or you can modify the Windows registry on all user computers by using a .reg file.

Modifying the registry can be automated by using a .reg file that contains the necessary registry entries. .Reg files are special files that Windows can use to automatically update the Registry.

Some things to note in this .reg file are:

- Path names use a double backslash instead of a single backslash.
- The path n:\ASPEN Spell Check Files is where all of the Spell Check and Thesaurus files must now reside.

These entries also control the Thesaurus available in the ASPEN word processor.

To use this .reg file, double-click the .reg file and Windows will automatically update the registry with the specified keys and values. If the entries exist, they are updated to include the new information. If the entries don't exist, they are added.

Once you have created the .reg file with the correct path, place the file on some shared network location (i.e., n:\ASPEN Spell Check Files), then instruct users to double-click the file. The next time they run any ASPEN program, Spell Check (and the Thesaurus) will use the new location.

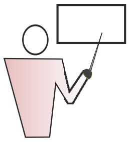
## 4.8 Using ASPEN Audit Tracking

ACO/ARO and ACTS/ACTS RO have an internal auditing capability that tracks changes to some of the more significant fields in the database. The Audit History option provides an interface to audit information when you need to trace changes to values, when the changes were made, and by whom.

You can set filters that specify which audits to display as well as print and delete audit records.

**Note:** A complete list of audited fields is included in your ASPEN Technical Training Supporting Materials, and on your CD. You can suggest additional fields to be audited on the QTSO suggestions page (https://asp.qtso.com/stso/sugg/suggestion.asp).

# • Task 4-W: View the Audit History



Let's take a look at the Audit History in ACO.

1 From ACO, select **System** | **Master Audit History** to open an empty Audit Trail window.

2 Click **Get Audit History**. You'll see the Audit History Select window.

3 Enter a date range (smaller date ranges improve response time) and click **OK**.

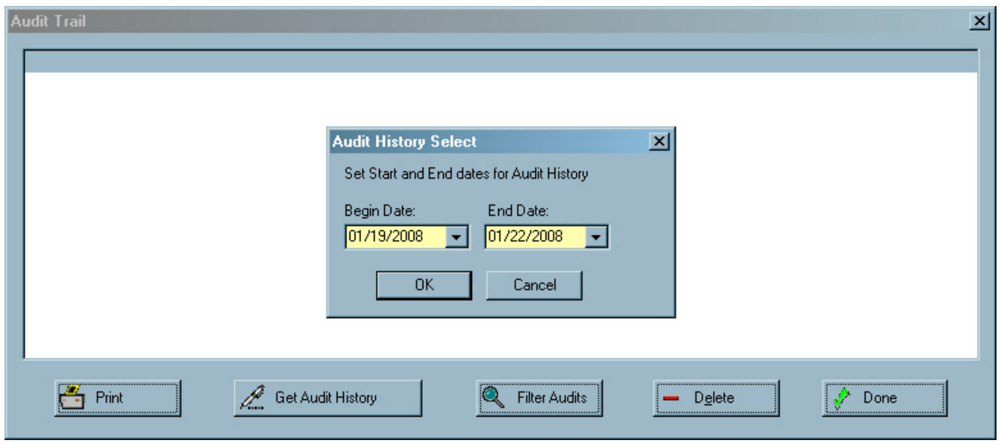



*Figure 4-6: Entering a date range for the audit history*

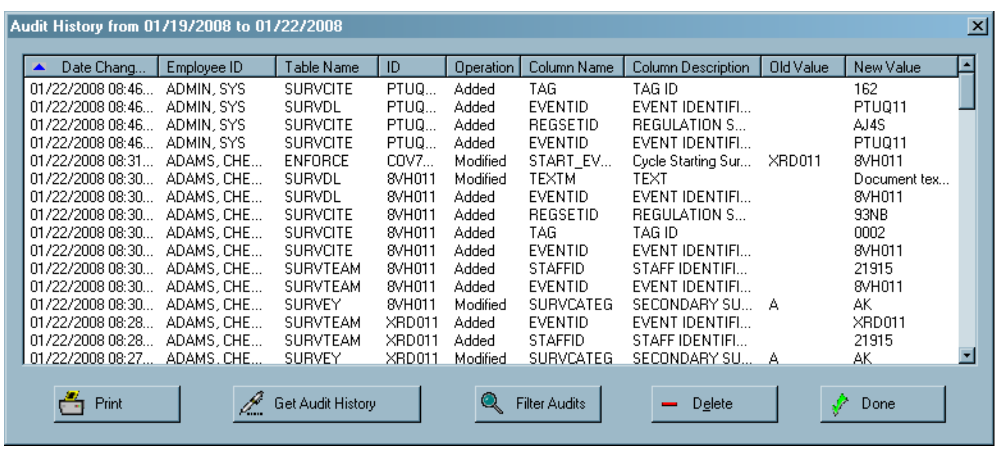


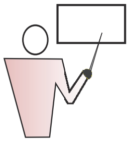

*Figure 4-7: Audit History display*

This initial display shows all changes during the specified date range. There are nine columns of information.

**Table 4-4: Audit History Columns**

| Column | Description |
|---|---|
| Date Changed | Date and time the value was changed. |
| Employee ID | Name of the individual who made the change. |
| Table Name | Name of the lookup table that stores the value. |
| ID | Primary ID most relevant to the actual table used to store the added or changed value, e.g., State Facility ID in Facility table or Event ID in Survey table. |
| Operation | Database intake action. Value was either Added, Modified, or Deleted. |
| Column Name | Name of the column in the lookup table that stores the value. |
| Column Description | Alphanumeric description defined for the column. |
| Old Value | Value before the item was changed, if any. |
| New Value | New value or changed value. |

# • Task 4-X: Filter the Audit History



It's not hard to locate a particular change in the audit history. In this example, we are going to check to see if a staff member has been deleted from a survey team.

**1** Click the **Filter Audits** button from the Audit History display box to open the Filter Audit Records window.

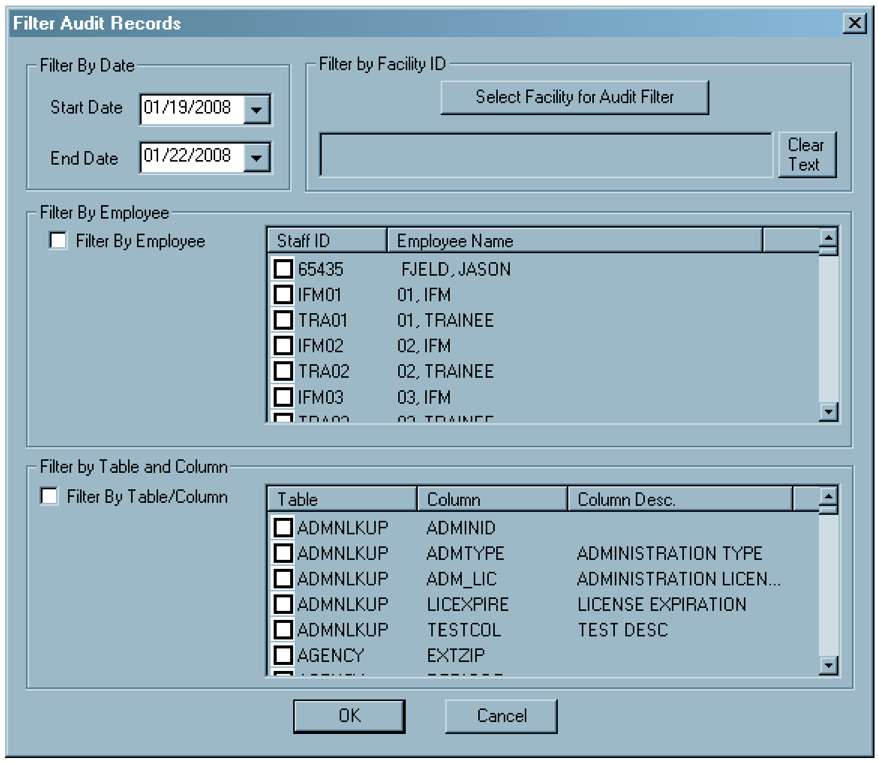



*Figure 4-8: Filter Audit Records window*

In this window, Start Date and End Date default to the date range you already specified. You can also select the specific facility, employees, and tables/columns for which you want to display audits.

**2** Select **Filter by Table/Column**, then select **SURVTEAM/STAFF ID.**

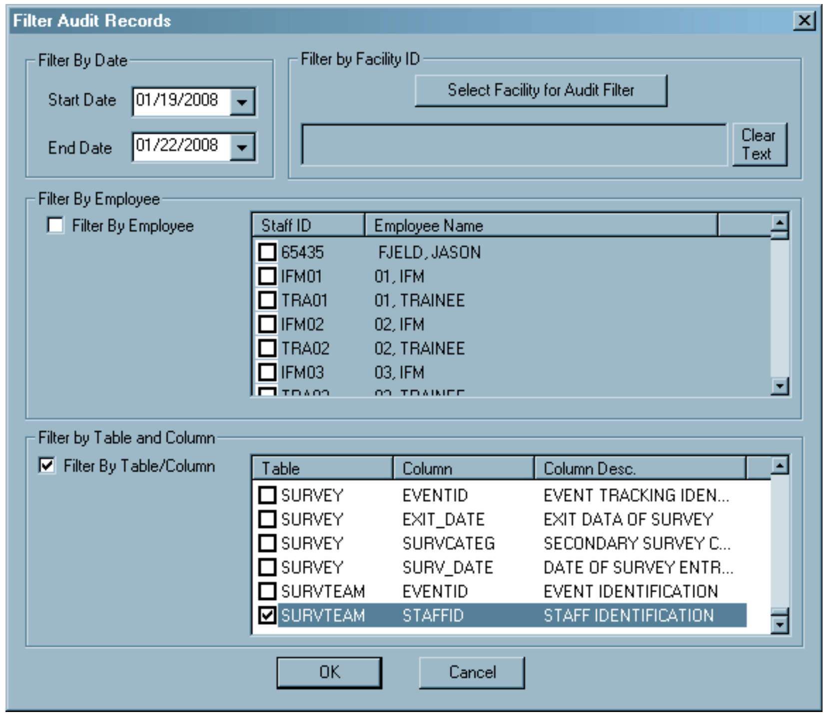



*Figure 4-9: Audit filter specified*

**3** Click **OK**.

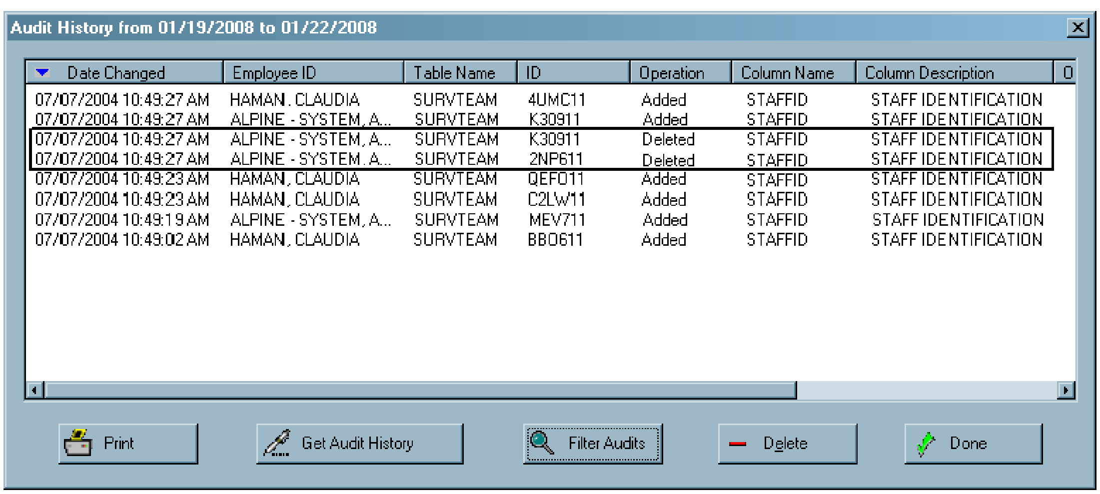
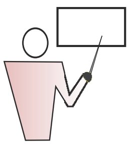



*Figure 4-10: Filtered Audit History*

This Filtered Audit History log shows that the Alpine System Administrator (Employee ID column) deleted two staff members (Operation column value = Deleted) with Staff IDs 03170 and 14259 (New Value column) from the survey team for surveys with Event IDs K30911 and 2NP611 (ID column) respectively.

## • Task 4-Y: Filter Audit by Facility



Now we will check the Audit History for a specific facility.

1 Click **Filter Audits** to open the Filter Audit Records window.

2 In the Filter Audit Records window, click **Select Facility for Audit Filter**.

3 In the Find window, type a search string and select the Type of search, then click **Find Now**.

4 In Search Results, highlight your facility and click **Go To Facility**.

5 In the Filter Audit Records window, select any other criteria you want for your filter, and click **OK**.

To remove the facility from the Filter by Facility ID section in the Filter Audit Records window, click **Clear Text**.

**To print the Audit History:**

1 In the Audit History window, click **Print**.

The List Print window allows you to optionally define headers, fonts, and margins as needed.

2 Click **Print** when you are ready to send the list to the printer.

# 4.9 Merging Surveys

ASPEN allows you to merge other surveys into certification kits for a variety of reasons, including combining separately created certification and licensure surveys or certification and complaint surveys, as well as merging surveys into historical kits to eliminate duplicate survey entries.

For the merge to work correctly, the target survey must exist in the certification kit before the merge. The kit's target survey must be of the same survey type (Health or LSC) and sequence (standard, revisit, second 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.

# • Task 4-Z: Merge a Survey into a Certification Kit

An SA is creating an initial certification kit and discovered a complaint intake and investigation for the facility. It was decided to merge the complaint survey into the certification kit.

**1** In the ACO tree view, locate A Merge Cert Facility (where "A" is your assigned training letter). Expand the facility and create the certification kit.

**2** In the certification kit, on the **Certification & Surveys** tab, click **New** to create a new Health survey.

**3** Enter the survey dates, select a regulation set, add yourself to the survey team, and click **OK** to save the survey. Answer No to the Proceed To Citation Manager message.

**4** Click **Done** to exit the certification kit.

**5** In the tree, right-click the certification kit and select **Merge Survey**.

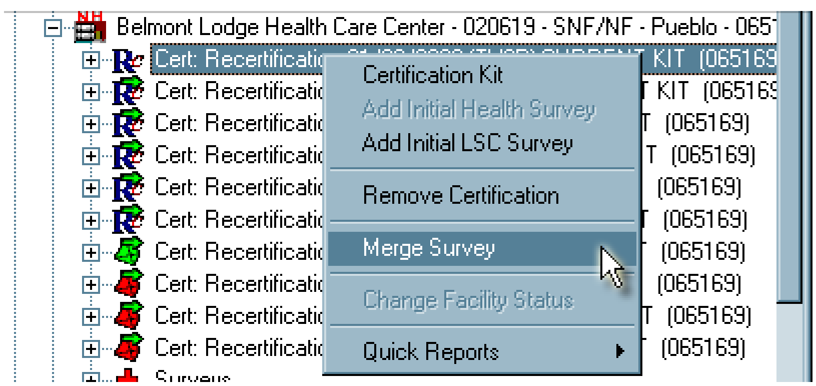



*Figure 4-11: Merge Survey menu option*

A window opens listing eligible surveys:

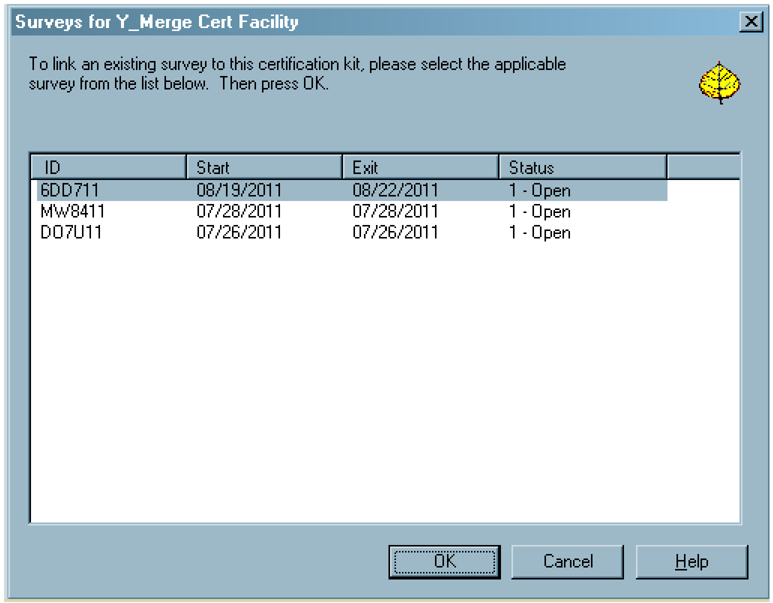



*Figure 4-12: Eligible Survey list*

**6** Select the survey you want to merge and click **OK**.

If your survey categories differ, you will receive a message to that effect.

The next message you should receive is one about differing survey dates. Yes changes the survey dates to those of the outside survey (source). No uses the certification kit's survey dates. Select **No**.

**7** When the merge is complete, you will receive a message saying that ACO needs to be refreshed because the event ID has been changed. Click **OK**.

After ACO refreshes, locate the certification kit again. You will see that the survey categories have been merged, and the survey dates are those of the certification kit survey.

In ACTS, the Event ID of the investigation survey changes to the Event ID of the certification survey.

# 4.10 Upload Transactions

## 4.10.1 New Features in Uploads

ASPEN upload procedures are evolving as the software provides increasing support to the Certification and Survey Provider Enhanced Reporting (CASPER) system.

With the 8.6 release, AEM added a Detail Upload to send additional enforcement data to CASPER, and ACTS added CLIA complaint uploads to COMP and CASPER.

V8.7 of ASPEN offered support for the Civil Monetary Penalty Tracking System (CMPTS) with the upload of AEM's CMP data.

Release 9.2 of ASPEN fully replaced the CMPTS data capture functions found in the OSCAR system to support Office of Financial Management and CMS RO/CO users.

RO users continue using CMPTS functionality implemented in AEM prior to the v9.2 release. A CMPTS List option has been added to AEM that allows RO and OFM users to maintain all CMPTS cases across all regions/states.

OFM users enter payments received directly into AEM, instead of entering in OSCAR and waiting until the next morning for the payments to be seen in AEM, as in previous releases.

Release 10.1.1 supported the direct upload of CMS-562 data from ACTS to CASPER, bypassing COMP. 10.1.1 also supported direct uploads of certification kits for all Hospital subtypes and ESRD providers from ACO to CASPER, bypassing OSCAR.

ASPEN 10.1.3 supported direct to CASPER upload for the majority of provider certifications.

With ASPEN 10.1.5, all provider certifications upload direct from ACO to CASPER.

Using the new information available in the national system, CMS has created improved CASPER reports making comprehensive, current, and consistent complaint and enforcement information available to all states and regions.

## *CLIA Labs*

The CLIA provider category is moving into ASPEN in a phased approach. The first phase was addressed in Release 8.6, when the CLIA complaint system was implemented in ACTS. Subsequent phases added additional functions for CLIA labs.

**Table 4-1: CLIA Phases**

| **ASPEN Phased Releases** | **Features** |
|---|---|
| 1 (v8.6) | CLIA Complaints |
| 2 (v9.0) | CASPER DATA LOADS to support reporting<br>Surveys<br>Specialties for non-AO and non-Exempt laboratories |
| 3 (v9.5) | CASPER & ASPEN Reporting begins<br>QW Reporting begins<br>116 Online Functions<br>AO Upload and Specialty entry for Accrediting Organizations (Option 5)<br>Specialty Data entry for exempt states (Option 5) |
| 4 (v10.1.2) | Online Accounting Functions<br>Lockbox Processing |
| 5 (v10.1.4) | Batch Billing<br>Daily Collections |
| 6 | Enforcement<br>Proficiency Testing<br>- Data Browser<br>- Program Information<br>- Batch<br>- Stat and error files |
| 7 | Direct to CASPER |

## *Nightly Extracts*

To maintain data in the two systems, a nightly process was created where facility changes made in the CLIA system are propagated to ASPEN.

New labs are added in the ASPEN 116 system, where the CLIA number is assigned, then the labs are automatically pulled into the state database each night. Any updates to facility demographic data in the 116 system are pulled nightly into ASPEN.


*Figure 4-13: Nightly process transfers new labs to state database*

This approach required protecting Federal labs' data in ASPEN.

All facility fields that are pulled from the 116 system as part of the nightly update process are read-only in ASPEN. If changes to these fields are needed, the changes must be made in the 116 system. The changes are seen in ASPEN following the nightly update process.

The State ID field and other optional fields that are not included in the nightly update process from the CLIA system, are updateable in ACO.

## 4.10.2 AEM Uploads

AEM cases and CMPTS data are uploaded directly to the data set in CASPER from ACO.

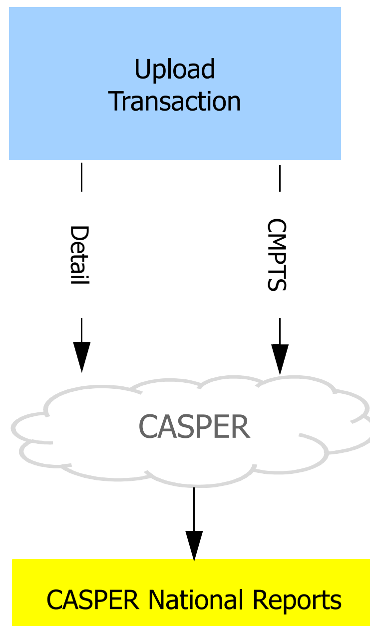



*Figure 4-14: AEM upload data flows*

### *AEM Manual Uploads*

In AEM, States and/or regions can manually upload a case from the Upload tab as soon as the minimum data requirements are met. You can manually upload a case only once; subsequent uploads are automatic.

#### ***AEM Minimum Data for Upload***

- Provider Number.
- Name and Address (Address required when entering facility).
- Date of Survey and Type of Survey (cycle starting survey).
- Date CMS-2567 Sent to Facility for cycle starting survey.
- At least one Federal remedy.
- All Federal Remedies have some form of Proposed Effective Date.

These requirements are equivalent to those for CMS Form 462L.

**Note:** Do not upload cases that involve only state licensure-only regulations.

## *AEM Automatic Uploads*

AEM cases are uploaded, even without an initial manual procedure, when minimum data requirements are met *and*:

- A letter is generated for the case, then locked, with one of the following options selected in Letter Contents: Remedies-Impose Non-CMP, CMP-Intend to Impose, CMP-Impose, Remedies-Recom. Non-CMP. Minimum data requirements (below) must also be met.
- A case is in Substantial Compliance but still not closed (Awaiting Hearing or CMP Collection), and a new case is created for the facility. AEM will check the previous case to see if it has ever been uploaded. If it has not, AEM will initiate an upload.

Update transactions are sent automatically once a case has been uploaded successfully, and additional changes are made.

ASPEN sends an Action Item to the primary case worker with the following message when an automatic upload to or a remove from National occurs:

- Automatic Initial Upload pending
- Remove from National Upload pending.

## *CMPTS Uploads*

Only ROs can initiate CMPTS uploads. The first upload is always manual.

## *Monitoring Enforcement Case Transactions*

The Upload tab in the enforcement case records all transactions for that case. You can print a list of transactions from this tab.

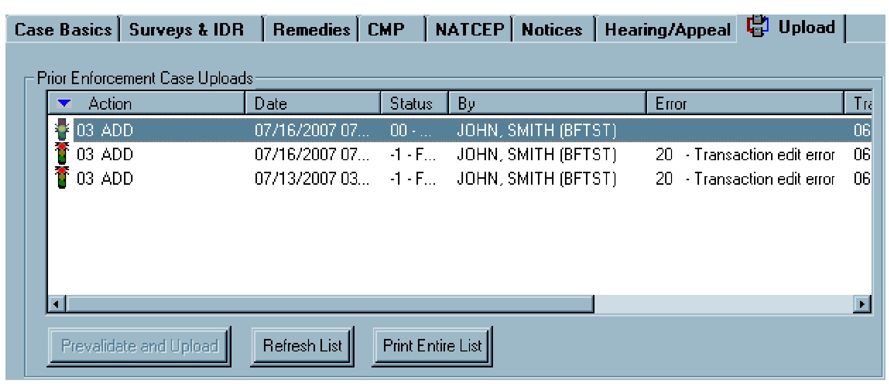



*Figure 4-15: AEM upload tab*

You can manually upload (with the Prevalidate and Upload button) once the minimum data requirements are met. After a case has been accepted into the national system, only automatic uploads are permitted.

Since AEM uploads are processed overnight, you will see the notation Upload Transaction Pending until the transaction is complete.

### *Cases Removed From National*

After a case has been uploaded successfully, case data may change so that the minimum data requirements are no longer met. When this happens the case is removed from the national system, and you will see a DELETE transaction on the Upload tab.

You should manually re-upload the case once minimum data is complete.

## 4.10.3 ACTS Uploads

**Note:** "Upload Data" in the *ACTS Procedures Guide* contains detailed information about complaint/incident eligibility for upload and the supported transaction types. The *ACTS Procedures Guide* is included on your ASPEN Technical Training CD.

ACTS data consists of individual intake records and investigation records, which may comprise many intakes. ASPEN supports CMS-562 uploads to CASPER for supported provider types, and ACTS Detail uploads for all Federal provider types for expanded national complaint and incident reporting capabilities.

While a manual option is available, the ACTS Detail upload can be completely automatic. ACTS is continually evaluating intakes as information is entered, and when all rules are met, sends an automatic Detail upload transaction to CASPER without user intervention. For qualifying intakes and investigations, the Detail upload is also sent to CASPER whenever the user uploads CMS-562 data. CMS-562 data upload is a manual process and is required to ensure the national CASPER reporting data matches state ACTS data**.**

Only standardized Federal allegation subcategories are included in ACTS Detail uploads; state subcategories are excluded. Personal or confidential information concerning complainants, residents/patients/clients, alleged perpetrators, and staff is not included in the ACTS Detail upload.

## *ACTS Intake Uploads*

ACTS Detail uploads for individual intakes are recorded on the Upload Intake tab attached to the intake record. Since most ACTS Detail uploads are automatic, the Upload Intake tab is provided primarily for tracking/informational purposes.

This tab provides a history of intake-related Detail uploads. It lists all Detail upload transactions, manual and automatic, related to the intake. It does not list CMS-562 uploads or other investigation-level transactions.

You can manually trigger an upload of intake information from this tab, but as a rule, these uploads occur automatically.

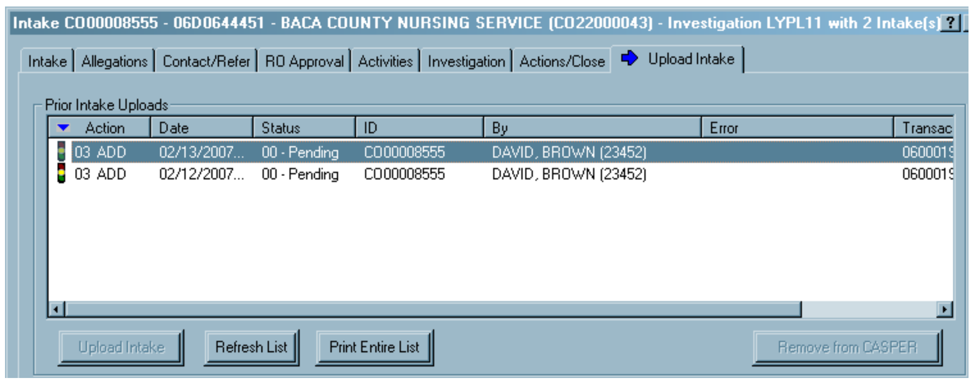



*Figure 4-16: Upload Intake tab*

Since intake Detail uploads are sent to a queue for night processing, you will see the notation CASPER Upload Pending until the transaction is completed by CASPER.

The arrow icon on the Upload Intake tab is blue if the initial intake upload transaction is pending, green if the intake has been successfully uploaded to CASPER at least one time, and gray if the intake is not in CASPER and no pending transactions exist.

The Remove from CASPER button is enabled if the intake meets criteria for manual upload, but not automatic upload. When pressed, the appropriate Delete transactions are created, removing the intake, and, if necessary, its related investigation, from CASPER via an overnight process.

As with other upload screens in ASPEN, you can sort and print the transaction list as needed.

## ACTS Investigation Uploads

From the Upload tab in Investigation Properties/562 View, you can monitor all upload transactions that are related to the investigation and/or to any of its associated intakes.

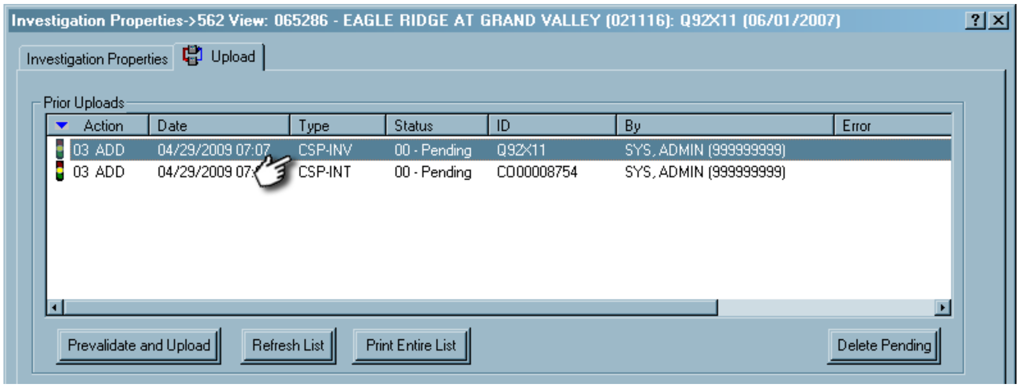



*Figure 4-17: Upload tab in Investigation Properties, with Type column noted*

To help you track the various transactions involved, the Upload tab lists each transaction's Type:

- CSP-INT: Intake level ACTS Detail Upload
- CSP-INV: Investigation level ACTS Detail Upload
- CMS-562: Manual upload of CMS-562 investigation level data

## *ACTS Automatic Uploads*

Automatic uploads send only the ACTS Detail data set to CASPER. Intake-level automatic transactions are recorded on the Upload Intake tab of the intake. Both intake- and investigation-level automatic transactions are listed on the Upload tab in Investigation Properties.

**Note:** The following is very basic information about the automatic upload. The "Upload Data" section of the *ACTS Procedures Guide* has considerably more detail. The document is included on your ASPEN Technical Training CD.

Automatic uploads are triggered by:

- Intake status change (status is 4-Under Investigation or above)
- CMS-562 Upload occurs
- Direct changes to the Investigation record

Records eligible for automatic uploads are: incidents with status 4-Under Investigation or above that are linked to a federal regulation set.

Complaints with status 4-Under Investigation or above, regardless of linked survey information, meeting one of the following criteria:

- Complaint Subtype = Federal Noncompliance
- Deemed or EMTALA complaint for which RO Approval was requested
- Deemed or EMTALA complaint initially logged in ACTS by the RO

# 4.11 Transaction Tracking

## 4.11.1 Tracking Certification Kits in ACO/ARO

When you select **Tracking** | **Certifications** in ACO/ARO, you will see a window listing current certifications:

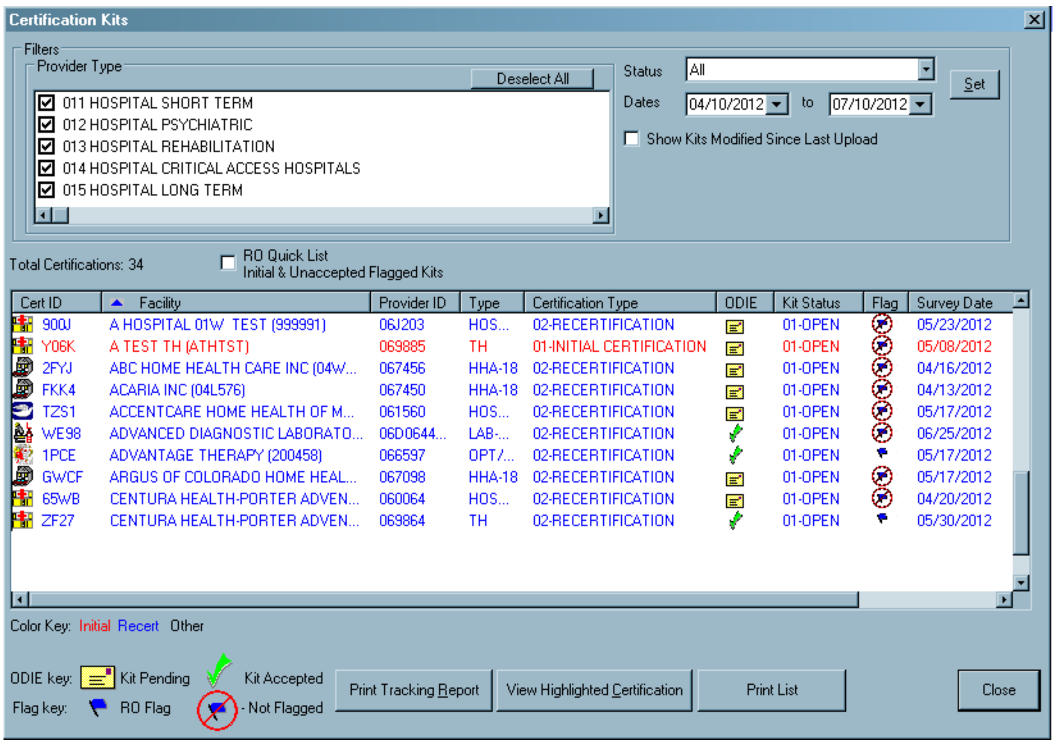



*Figure 4-18: Certifications tracking window. This example shows the window as seen in RO mode*

Initial certifications are red; recertifications are blue. You can double-click any certification to open the kit.

### *Certification Kit Tracking Options*

The Filters section enables you to list certifications by Status (All, Open, or Closed) with cert exit dates that fall within a date range you can specify. Choose these options, then click **Set** to change the view.

You can also select **Show Kits Modified Since Last Upload** if you want to see only those kits that have been successfully uploaded at least once, and have been modified since.

## Table 4-2: Tracking Certifications Window Fields and Columns

| Field/Column | Description |
|---|---|
| Status | You can filter the list to show All Certifications, Open certifications, or Closed Certifications. |
| Dates | You can also specify a date range for the list. ASPEN will show only those kits with a certification exit date between the dates you select. |
| Set button  | After choosing Status and Dates, click Set to activate your settings. |
| Show Kits Modified . . . | Select to see only kits that have been modified, but not uploaded again since the last upload. If not selected, all kits meeting current filtering criteria are shown, whether modified or not. |
| RO Quick List | RO mode only. When selected, lists certification kits of interest to ROs, i.e., initial and unaccepted flagged kits. Other filter settings are ignored. |
| Cert ID | 4-character unique tracking ID for the kit. |
| Facility | Facility name. |
| Provider ID | Federally-assigned provider number. |
| Type | Provider type. |
| Cert Type | Options are 01 Initial and 02 Recertification. |
| ODIE | Shows indicators of transaction status, if any. An envelope means at least one attempt has been made to upload the kit. A green checkmark means the kit has been accepted. |
| Kit Status | Status options *01 Open* and *02 Closed* are set in the certification kit Certifications & Surveys tab. |
| Flag | Indicates if the kit has been flagged for RO review. |
| Survey Date | This is the certification exit date, as shown in the title bar of the certification kit. For NHs, it is the later of the Health and LSC exist dates. For all other provider types, it is the Health survey exit date. |
| Print Tracking Report button  | Prints a list of certification kits, using any filters that have been applied in the Filters section. You can specify Sort Order in the window that appears. |
| View Highlighted Certification button  | Opens the highlighted certification for viewing and editing. |

## 4.11.2 Tracking Transactions in ACO/ARO

When you select **Tracking | Transactions** in ACO/ARO, you will first be asked to specify the transactions you want to list:

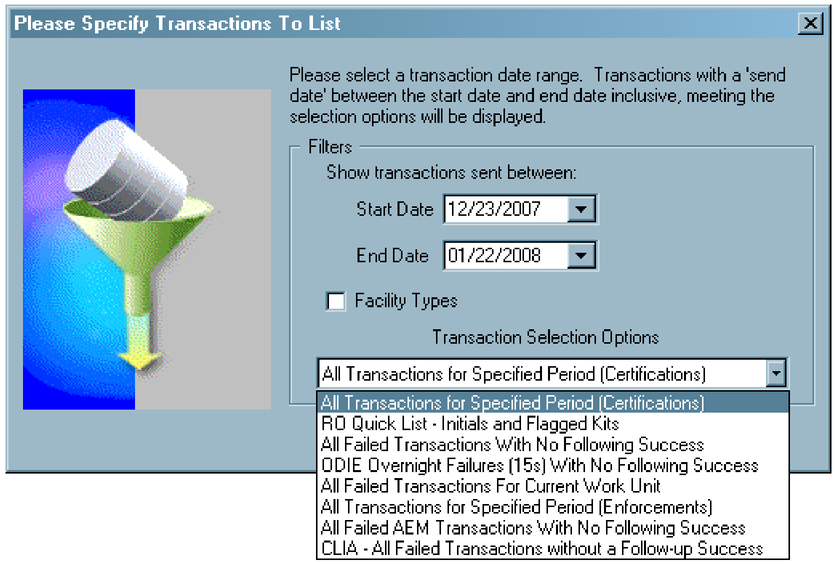



*Figure 4-19: Choosing transactions to list.*

**Table 4-3: Transaction List Options**

| Field | Description |
|---|---|
| Date range | Uses the date the upload was sent. |
| Facility Types | Available in ACO/ARO. When you select this box, an additional Filter Select dialog opens, where you can choose specific facility types to be listed. The facility types available for selection are those that correspond to the active selection set. |
| Transaction Selection Options | The selections in *Figure 4-19* are for ACO/ARO. |

### 4.11.3 Tracking AEM Transactions

AEM has a report filter option called Upload Type to exclude CMPTS uploads from the following reports. Both reports are in ACO/ARO under **Tracking | Transactions**:

- All Transactions for Specified Period (Enforcements)
- All Failed AEM Transactions With No Following Success

The Upload Type filter has three options:

- AEM Detail and CMPTS (this is the default) - displays both CMPTS and Detail upload failures
- AEM Detail Only - displays only Detail upload failures
- CMPTS Only - displays only CMPTS upload failures

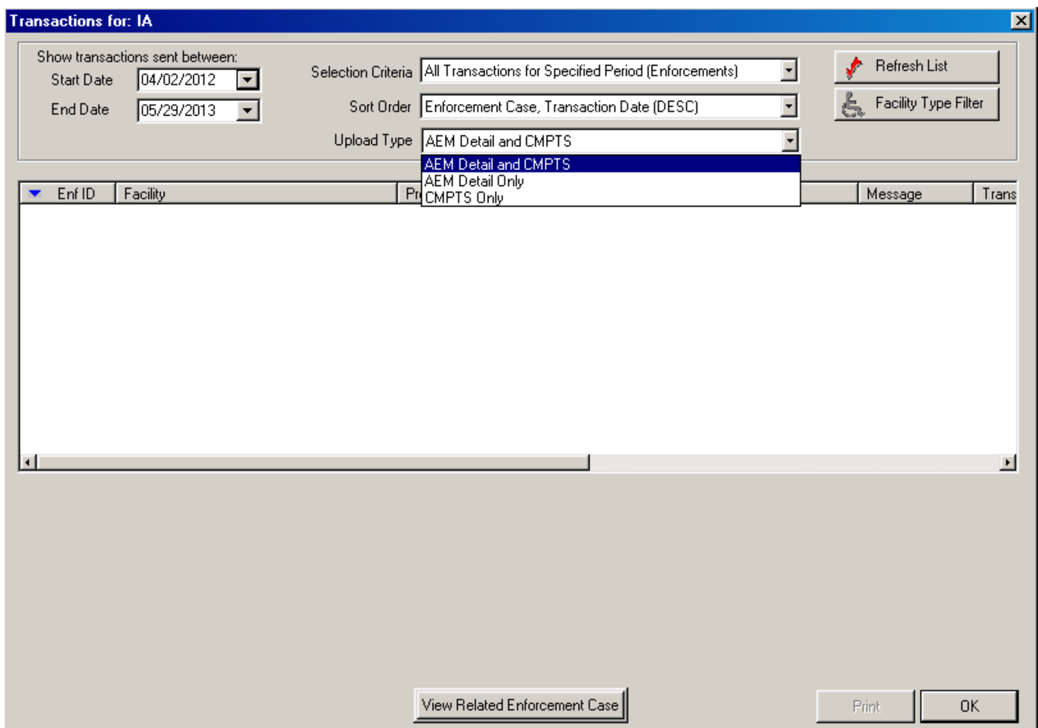



*Figure 4-20: Upload Type options*

## 4.11.4 Tracking Transactions in ACTS

From the Transactions window in ACTS, you can print all CMS-562 and ACTS Detail (CSP-INT, CSP-INV) upload transactions for a given time period with status, and explanations of errors for failed transactions.

## • Task 4-AA: Print ACTS Transaction Report (to window)

**1** From the ACTS Tracking menu, select **Transactions**.

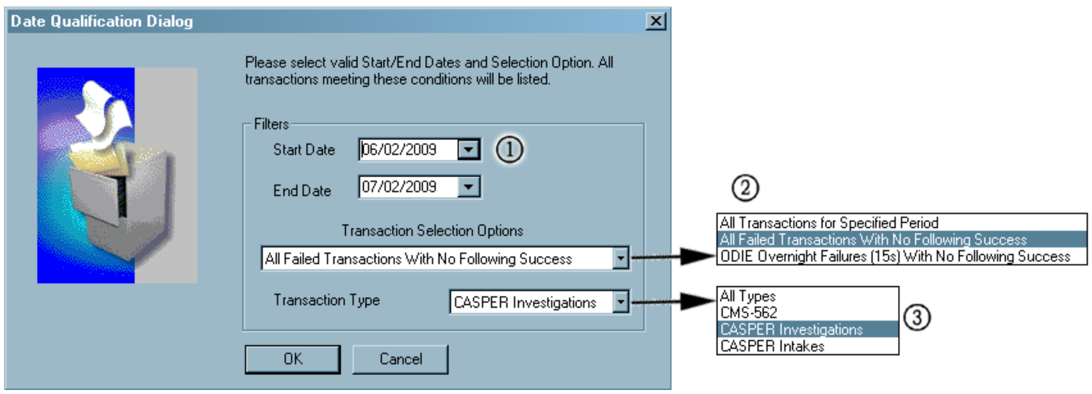



*Figure 4-21: ACTS Date Qualification dialog*

The ACTS Date Qualification Dialog allows you to print a report for:

- A date range (1)
- All transactions, or only failed transactions (2)
- Specific ACTS Transaction Types: All, CMS-562, Investigation, and Intake (3)

**2** Specify a **Start** and **End Date** for the transactions. For class, use a one-week period.

**3** In Transaction Selection Options, select **All Failed Transactions With No Following Success**.

**4** For Transaction Type, select **CASPER Investigations**, then click **OK**.

The Transactions For window opens, listing selected transactions.

**Note:** Failed Transactions reports ignore transactions from deleted facilities.

From this window you can change date ranges and/or selection criteria, then click the **Refresh List** button to see the new list. You can also right-click any transaction to open the associated form.

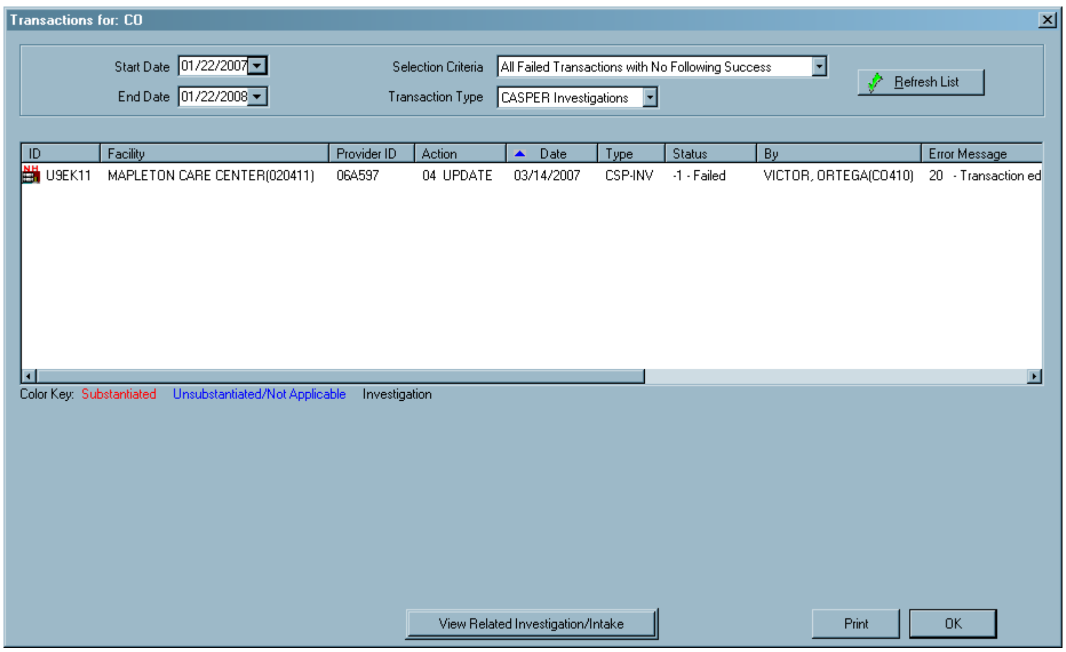



*Figure 4-22: ACTS Transactions window*

**5** Click **Print**.

The Transaction Tracking report opens in the Crystal Preview window.

**6** After admiring the report, click the **Close** button to close the view.

# Section 5. ASPEN Letter Management

***Included in this section:***

- ✓ About ASPEN Letters
- ✓ Working with Letter Templates
- ✓ Generating Letters
- ✓ Printing and Mailing
- ✓ Tracking Correspondence with Notices History

# 5.1 About ASPEN Letters

## 5.1.1 The ASPEN Advantage

There are a number of reasons to create correspondence from within ASPEN:

- **Form letter templates**—In both ACO/ARO and ACTS, users can create templates for form letters that are routinely sent to individuals and facilities as a part of survey, certification, complaint and enforcement operations.
- **ASPEN macros**—A powerful feature of ASPEN Letter Management is the ability to use letter merge codes or 'macros'--placeholders for data inserted from the ASPEN database that is specific to each letter printing.
- **Letter History**—All ASPEN products provide a Letter History that maintains a record of correspondence for you.
- **Batch Printing**—ASPEN permits batch printing on a user-by-user basis. Users who have batch printing enabled can store letters in a queue to be printed later.

### *Replicating Letters Within Regions*

CMS has created a utility to assist Regional Offices in standardizing the letters in their regions. Previously available only for enforcement letters, the utility is now available for all Federal letters (letters that have the Federal checkbox selected in the Letter Description window, see *Figure 5-1 on page 226*.

Each Region can use one state server to create sets of survey, complaint, enforcement and facility letter templates. Once a set of templates is finalized, Regions can contact the QTSO Help Desk at 888-477-7876 or Help@qtso.com to have the set copied from the source state to all other states in the region.

Replication is done by the set—you can copy all survey letters, all complaint letters, all facility letters and all enforcement letters, as they are completed.

### 5.1.2 ASPEN Word Processors

The ASPEN word processor supports:

- Tables
- Images
- Margin flexibility
- Bullets & numbering
- Styles

## 5.2 Working with Letter Templates

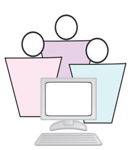
### 5.2.1 Creating Templates in ACO/ARO and ACTS

Letter templates are the backbone of ASPEN letter management. States and Regions create templates of letters that are sent repeatedly, using letter macros to insert current information from the ASPEN database into the letters when they are generated by surveyors or support staff.

Letters created in either ACO or ACTS may be generated in both applications.

ROs can create a template and designate it "Federal". Federal templates may not be modified by states.

## • Task 5-A: Create a New Letter Template



In both ACO/ARO and ACTS, to create a new letter template:

**1** Select **System** | **Letter Management** to open the Letters window.

**Note:** CMS Enforcement templates cannot be edited. You can create a template for your state from the CMS template and make changes to the new template as needed.

**2** Click **New** to open the Letter Description window.

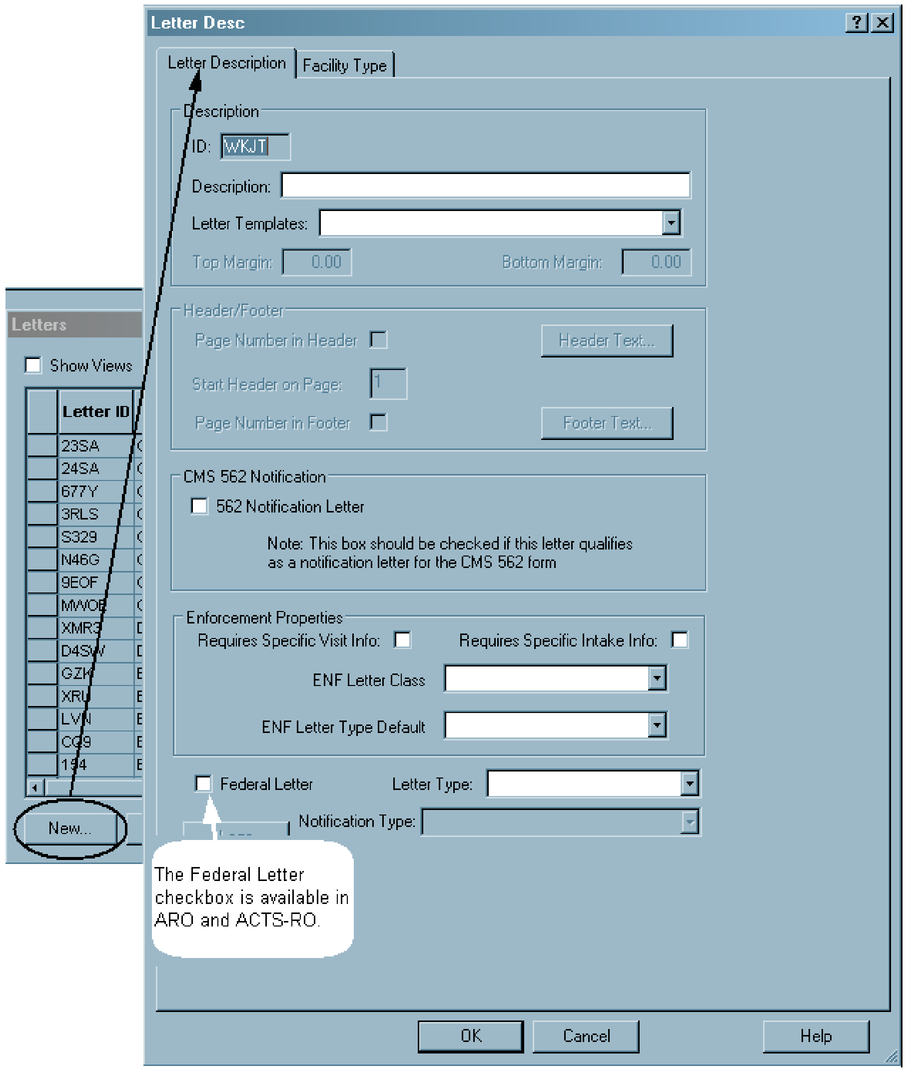



*Figure 5-1: Letter Description window, which is almost identical in ACO/ARO and ACTS. The ACO/ARO version shown has an additional Enforcement Properties section.*

The letter ID is generated by ASPEN. The Header and Footer section was used by the old word processor, and is disabled here.

**3** Enter a **Description** of the letter. Start with your assigned training letter: A_MYLETTER.

**4** At the bottom of the screen, select **01 Survey** for Letter Type.

Letter Type shortens the list of letters in the Select Letters and Distributions Lists window to those likely to be applicable, depending upon where you are in the application when you generate the letter.

When you generate a letter from the facility node in the tree or from a cert kit, the initial list will show only those with a Letter Type of 03 Facility. Generate a letter from the survey node to see 01 Survey letters.

There is a Show All option to access other letters if necessary.

**5** Go to the Facility Type tab and check the box that says **Letter appears for only selected facility types**.

**6** Highlight the four NH facility categories **021 through 024**.

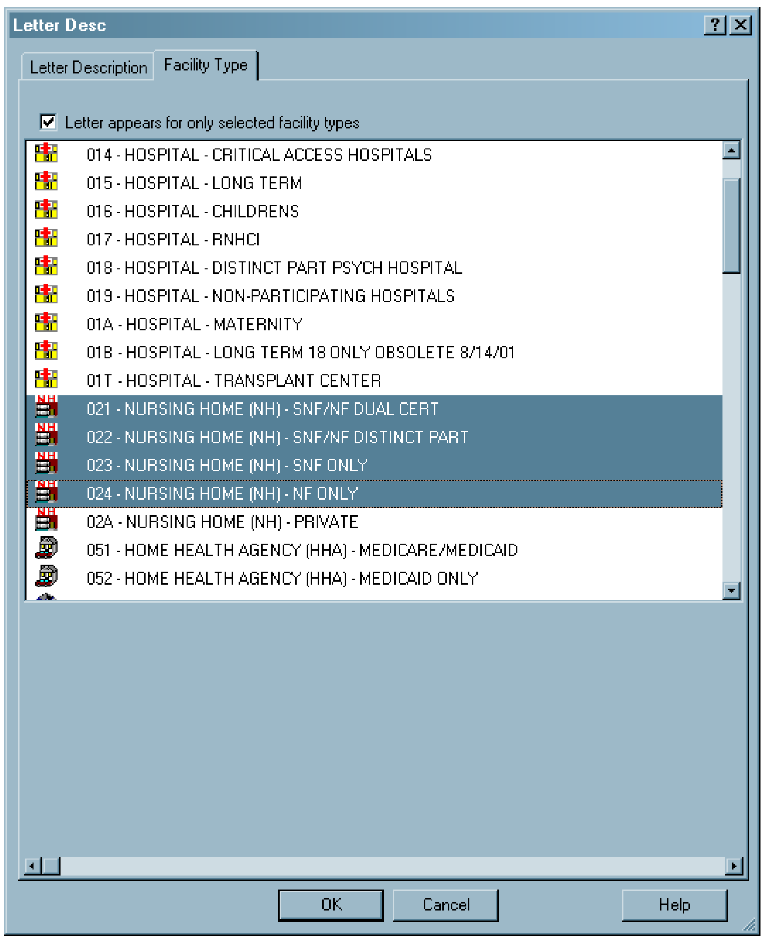



*Figure 5-2: Facility Type tab.*

Now this letter will be on the list only when the facility involved is a nursing home.

7 Click **OK**. The ASPEN word processor opens.

8 Click **Save** and **Exit** to close the word processor for now.

Next, we'll add some typical letterhead content to our new template.

## • Task 5-B: Insert Text and Graphic into the Header

In this task, we will add a graphic and address information to the header. The process involves inserting a table into the header, and placing text and logo in different cells of the table.

1 From the Letters window, select the letter you created in the previous task, and click **Text**.

2 In the word processing window, select **View**, then **Headers and Footers**. The header area opens with the cursor inside.

3 Select **Table**, **Insert**, **Table**.

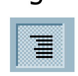
4 In the Insert Table window, set Columns at **2** and Rows at **1**; click **OK**.

5 Put your cursor in the left cell, and select **Insert**, **Image**.

6 In the Insert Image window, browse to C:\ASPEN Tech Training\Aspenleaf.jpg, select it and click **Open**.

7 Put your cursor in the right cell, and type a few lines of address information, for instance:

State Department of Health
123 Main Street
Denver, Colorado 80302

8 If you want your text to be right-flush, select all the text in the cell and click the **Right Flush**  button on the formatting toolbar.

9 Click **Save** and **Exit**.

## 5.2.2 Create Enforcement Letter Templates

CMS has provided a number of enforcement letter templates with ASPEN Enforcement Manager. States and Regions can customize these templates as needed, or create letters of their own.

### *Enforcement Properties*

Use the fields in this section to determine where your enforcement letters show up and to indicate whether they apply to a specific survey or intake.

- You can select Federal, State Licensure, or both in the ENF Letter class field.
- Choose an ENF Letter Type Default to list the letter in appropriate areas. For example, if you select the Letter button beside the Collection Notice Date field on the CMP tab of an Enforcement Case, only letters where ENF Letter Type Default equals Collection are listed by default.
- If the letter contains references to a specific survey, select the Requires Specific Visit Info checkbox. When you create the letter you can select the applicable survey.
- If the letter contains references to a specific intake, select the Requires Specific Intake Info checkbox. When you create the letter you can select the applicable intake.

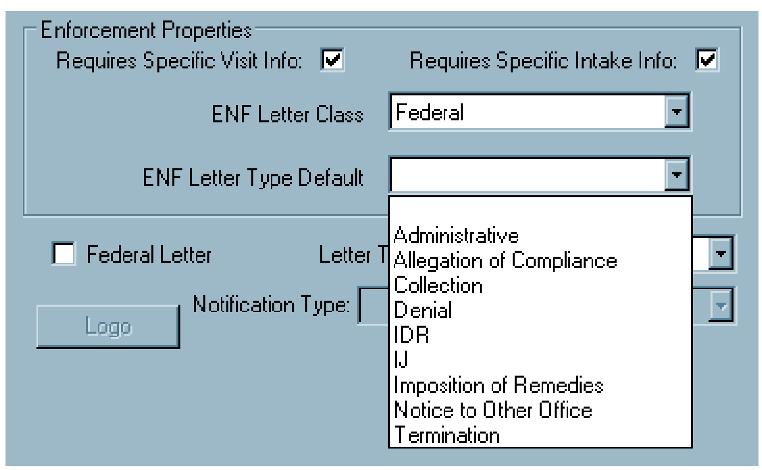



*Figure 5-3: Enforcement Properties window*

# • Task 5-C: Viewing the CMS Letter Templates

1 From ACO, select **System** | **Letter Management**.

2 In the Letter Type field, choose **05 CMS Enforcement** to display a list of the CMS templates.

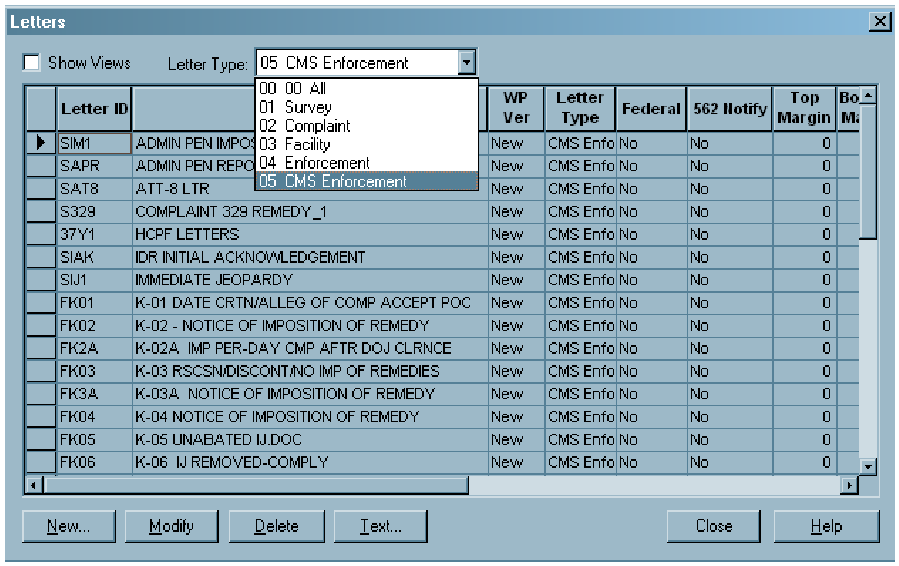
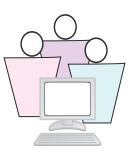



*Figure 5-4: Letters window showing CMS templates*

CMS letter templates cannot be edited or printed. You can read them to see which ones have language that will work for you, and then create new letters using the templates as a starting point.

3 To see the text in the letter, select the letter and click **Text**. When you're finished, select **File**, then **Exit** to return to the Letters window.

# • Task 5-D: Creating a State Template from a CMS Template



To customize a template for your State, you create a new template that contains the contents of the CMS template. Then you can modify the text in the new template to suit the requirements of your office.

1 In the Letters window, click **New**.

With the Letter Description screen open, we're going to create a template using letter **K-02 NOTICE OF IMPOSITION OF REMEDY**.

2 Enter a Description for the letter. Use your training letter.

Include a reference to the template in your description to maintain a record of the letter's source.

**3** Before you can select the source template, go to the bottom of the form and select **04 Enforcement** for Letter Type. This makes the CMS templates available for selection in the Letter Templates list.

**4** In the Letter Templates field, select **FK02 - K-02 NOTICE OF IMPOSITION OF REMEDY**.

**5** This text in this letter does mention a specific survey, so mark the **Requires Specific Visit Information** box. ENF Letter Class is **Federal/State Licensure**.

**6** ENF Letter Type Default is **Imposition of Remedies**, which makes this letter available from the Notice of Imposition date fields in AEM.

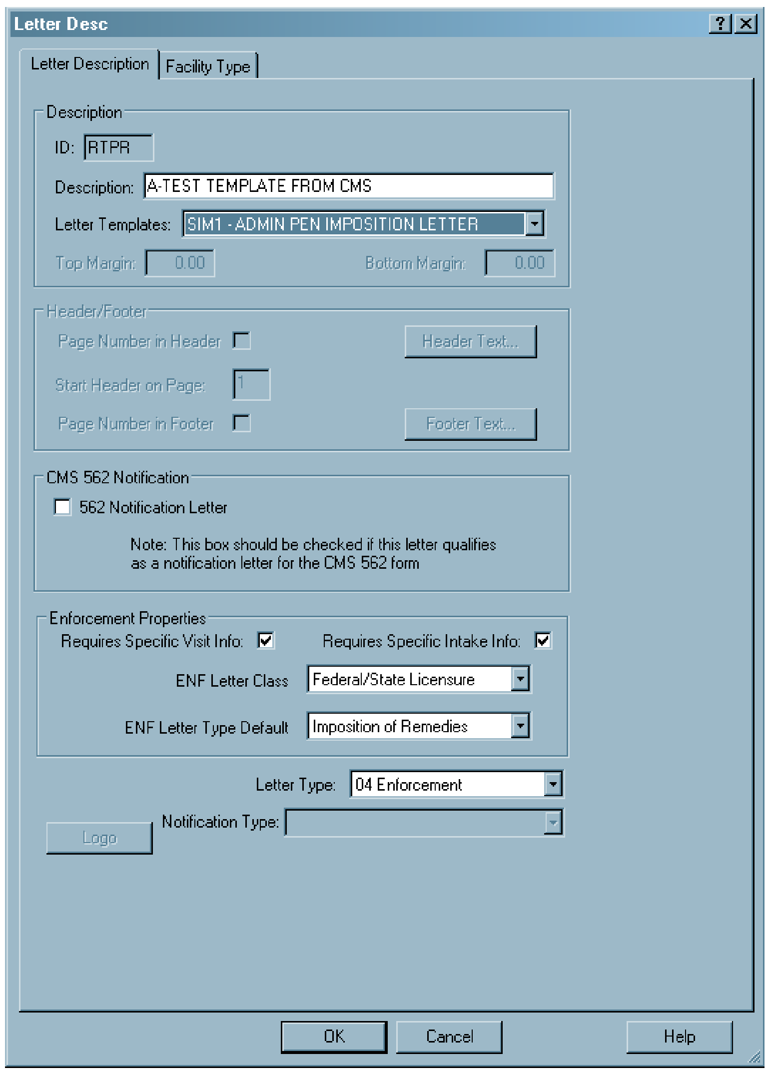



*Figure 5-5: Creating a State template from a CMS template*

**7** Click **OK**. The word processor window opens with your letter.

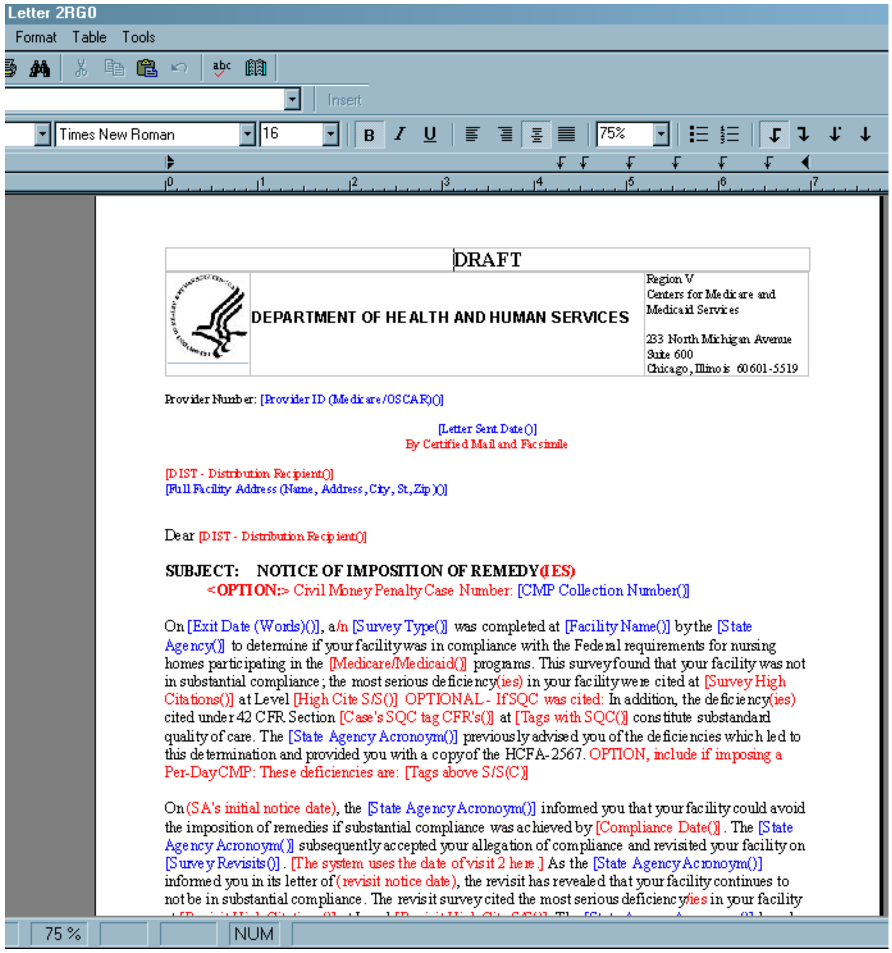



*Figure 5-6: Sample state template set up from CMS template*

On screen you can see that in this sample letter, the text is coded using blue for macros (in brackets), red for advisory or optional text that may be changed for each letter, and green for text that needs to be supplied just once and will stay the same thereafter (like signatory lines).

---

**Note:** When generating letters in an AEM enforcement case, the text color button in the word processor lets you change all of the text in the letter to black.

---

**8** Make changes as needed to create a template that suits your needs.

**9** Click **Save** and **Exit** to save the letter and return to the Letters window.

**10** To change the list to display your template, change the Letter Type at the top to **04 Enforcement**.

## 5.2.3 Importing Text into Letter Templates

Many of you are currently using other applications to send certification, complaint and enforcement-related letters.

Transferring your letters to the ASPEN word processor means you can take advantage of letter macros for automatic insertion of data such as survey dates, tags cited, and scope/severity (for certifications), allegations and findings, with or without redaction (for complaint/incidents), and proposed and/or imposed remedies (enforcement), just to name a few.

ASPEN also maintains a history of the letters you send, and for enforcement letters, it even stores the delivery method and tracking information. You can open and view letters that have been sent from within ASPEN.

### *RECOMMENDED METHOD*

We ***do not*** recommend that you simply copy text from other applications and paste it into the ASPEN word processor.

All word processors have invisible formatting characters. Pasted into the ASPEN word processor, these characters cause unexpected behavior such as flawed letter format, truncation of letter text and loss of letter history content.

To load letters from outside sources into ASPEN:

- Save the letter (using File|Save As) as Rich Text Format (*.rtf).
- Then use ASPEN's Insert|File option to import the RTF file into your letter.

## 5.2.4 What ASPEN Letter Macros Can Do

By far the most powerful feature of ASPEN letter management is the ability to insert current data from the ASPEN database into letters when generated.

ASPEN letter macros (also called *merge codes*) are similar to the mail merge functions in many word processors. Each macro references a specific piece of information that is stored in the ACO database. For example, the Facility Name macro inserts the name of the facility associated with the letter.

There are over 200 letter macros, so there is considerable flexibility available to you when constructing letter templates. *ASPEN Letter Macros* contains a complete list, and is included on your training CD.

### *Formatting Macros*

Generally, macros you insert assume the formatting of the surrounding text. You can safely apply formatting attributes (**bold**, *italic*) directly to the macro in the template.

### *Macro Brackets*

Brackets [ ] are used by ASPEN to identify the macros in your template letters. When you insert a macro into a letter template, the macro text displays in brackets:

**[Facility Name ()]**

These brackets, as well as the enclosed parentheses ( ), should never be deleted or changed. Doing so will affect ASPEN's ability to process the macro.

### *Variable Macros*

All macros have parentheses before the closing bracket. For some macros, the parentheses have a parameter, which extends the macro behavior. We'll demonstrate one in the next task.

### *Macro Types*

The list of macros that are available to you differs, based on the type of letter you create.

If the Letter Type for your template is:

- 01 Survey or 03 Facility

  You can choose from the basic macros that are available for all ASPEN form letters. They include macros like the facility name and phone number, and survey exit date.

- 02 Complaint

  You can choose from basic macros plus complaint macros, which print allegation information, the intake ID, and other complaint-specific information.

- 04 Enforcement

  You can choose basic macros, complaint macros, and enforcement macros, which print enforcement-specific information like remedies, CMP amounts, and due dates.

Once you generate a letter that contains macros, the macro information is normal text that may be edited as needed.

# • Task 5-E: Add Macros and Imported Text to a Letter

**1** Select the letter you created earlier, and click Text.

Your cursor will be at the top of the letter.

***Add today's date to letter:***

**2** In the Edit Letter Text window, click the drop-down arrow button next to the Macros list box, scroll to and select the **Today in Words** macro. Click **Insert**.

**3** In the letter body, click at the end of the macro, and add two returns.

***Inside Address macro***

**4** Click the drop-down arrow button next to the Macros list box, scroll to and select **Full Facility Address**. Click **Insert**.

**5** In the letter body, click at the end of the macro, and add two returns.

***Recipients Name macro***

**6** Click the drop-down arrow button next to the Macros list box, scroll to and select **Full Admin Name**. Click **Insert**.

**7** Click at the end of the macro, and type a colon (:), then add two returns.

***Survey Exit Date macro***

**8** Type **RE: Survey dated**.

**9** Click the drop down-arrow button next to the Macros list box, scroll to and select **Exit Date (Words)**. Click **Insert**.

**10** Click at the end of the macro, and add two returns.

***Import text for the letter***

**11** From the Insert menu, select **File**.

**12** In the Insert File window, open the C:\ASPEN Tech Training folder and locate LetterText.rtf. Double-click to insert the file into your letter.

***Response date macro***

**13** Type **Responses must be received by**.

**14** From the macro list box, select the **Date # Days in Future (Words)** macro. Click **Insert**.

**15** In the letter body, click in the parentheses at the end of the macro, and type **10**. At the end of the macro, add a period.

When the letter is printed, this macro will be replaced by the date that is 10 days in the future, in long format.

**16** Click at the end of the macro and type two returns.

***Complimentary close***

**17** Type **Sincerely,** then press **Enter** four times.

***Signature block (using Custom Text)***

**18** Click the drop-down button next to the Macros list box, scroll to and select **Custom Text Prompt**. Click **Insert**.

**19** Click in the parentheses at the end of the macro, and type **Enter Name of Department Contact**.

**20** Click **Save** and **Exit**.

## 5.2.5 Editing in ASPEN Word Processor

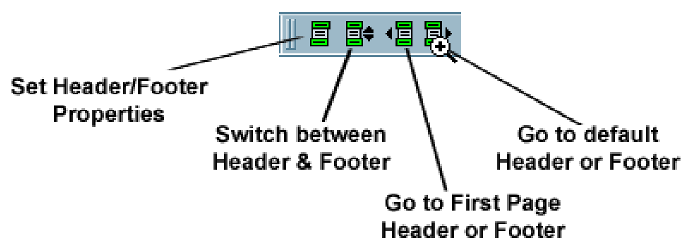
The menu options available in the ASPEN word processor provide a wide-ranging set of word processing features:

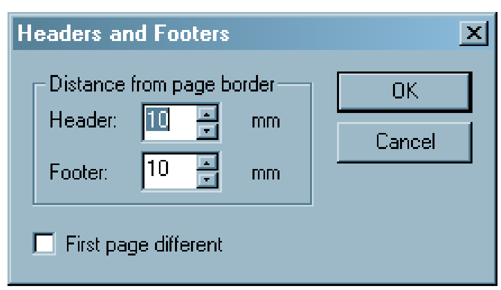
**Table 5-1: ASPEN Word Processor Menu Commands**

| **File Menu Command** | **File Menu Function** |
|---|---|
| Save | Updates the letter in an external file, if you have already defined and named a file. It will update an existing letter in the database. |
| Save As | Saves the letter to an .rtf file using a filename that you specify. |
| Page Setup | Contains setting for letter size, printer trays, orientation and margins. |
| Print Preview | Opens a preview view of the letter as it will look when printed. You can send the letter to the printer from this view. |
| Print | Opens the Windows Print dialog. |
| Save & Exit | Saves the letter to the database, and to an external file if you have created one, then exits the word processor. |
| Exit | Exits the word processor. If there are changes, you will be asked if you want to save them. |
| **Edit Menu Command** | **Edit Menu Function** |
| Undo | Allows you to undo the most recent action. |
| Redo | Reverses your most recent undo. |
| Cut | Deletes selected items from the letter. Cut items are placed on the Windows Clipboard, so you can paste them in another location. |
| Copy | Copies the selected text to the Clipboard. |

## Table 5-1: ASPEN Word Processor Menu Commands

<table>
<tr><td>Paste</td><td>Pastes Clipboard contents into the letter at the cursor location.</td></tr>
<tr><td>Delete</td><td>Deletes selected text.</td></tr>
<tr><td>Select All</td><td>Selects all letter contents except headers and footers.</td></tr>
<tr><td>Find</td><td>Finds a text string in the current letter.</td></tr>
<tr><td>Replace</td><td>Performs Find and Replace.</td></tr>
<tr><td>View Menu Command</td><td>View Menu Function</td></tr>
<tr><td>Normal</td><td>Shows text with simplified layout for quick editing - does not include headers and footers or pictures.</td></tr>
<tr><td>Page Layout</td><td>Shows text, graphics and other elements as they will appear on the printed page.</td></tr>
<tr><td>Centered Page Layout</td><td>Centers text and graphics in the view without regard to page margins.</td></tr>
<tr><td>Headers and Footers</td><td>Four icons help to design look and contents of headers and footers:




Under Set Header and Footer Properties, you can set the distance the headers and footers appear from the page borders. By default, 10mm is used and sufficient.

You can also make the first page header and footer different. This has several uses, like permitting a title page without a page number, or including headings on every page after the first.

Switch Between Header and Footer moves the cursor from the header to the footer, or vice versa.</td></tr>
</table>

### Table 5-1: ASPEN Word Processor Menu Commands

| | |
|---|---|
| | **Go to First Page Header or Footer** takes you to the header or footer (depending on which one you are currently in) on the first page if the first page is different.<br><br>**Go to Default Header or Footer** takes you to the non-first page header or footer if the header and footer on the first page are different and you are on the first page. |
| Toolbars | Choose to show Standard (Save and Exit and other buttons), Formatting (font and paragraph settings), Status (bottom of window), Ruler. |
| Zoom | Choose assorted magnifications, or Page width and Whole Page. |
| **Insert Menu Command** | **Insert Menu Function** |
| File | Insert text or document file into the letter at the cursor position. Insert file can be used to bring in blocks of standardized text, which may help if you are converting letters from a different system.<br><br>If the file you are importing has headers and footers, these will not be imported. |
| Image | Insert graphic file (.bmp, .tif, .wmf, .png, .jpg) into the letter at the cursor location.<br><br>This is the usual way to bring a logo or other graphic into the letter. These graphics retain their original size, so you may need to work with a graphics editor before inserting to make sure it displays and prints clearly and correctly. |
| Object | Insert files of a variety of formats into the letter text. Use this to incorporate Visio diagrams or PowerPoint slides into your text. |
| Page Break | Insert a manual page break into the letter. |
| Page Number | Insert the page number at the cursor location. Available only when the cursor is inside the header or footer. |
| **Format Menu Command** | **Format Menu Function** |
| Character | Open the Font window, so you can apply specific font attributes to the selected text. |
| Paragraph | Open the Paragraph window, so you can set line spacing, alignment, indents and distances to the paragraph in which the cursor is located or to multiple selected paragraphs. When entering increments, use the same format as the default: enter 0.5, not just .5. |
| Tabs | Open the Tabs window, where you can set tab stop position and alignment. |
| Bullets and Numbering | Open the Bullets and Numbering window:<br><br>If you select Bullet, you can choose the bullet character and formatting.<br><br>If you select Numbering, you can choose the numbering style and setup. |

## Table 5-1: ASPEN Word Processor Menu Commands

| | |
|---|---|
| Styles | Open the Styles window, where you can create new styles, or apply existing styles. You can create both paragraph and character styles. Once styles are created, you can more conveniently select them from the Formatting toolbar.<br>Styles are sets of formatting attributes that you define so you can then apply multiple attributes in one step. Styles save time and ensure consistency in your documents. |
| Text color | Open the Color window, where you can choose a Basic color or a custom color, and apply it to selected text. |
| Background color | Open the Color window, so you can apply a background color to selected text. |
| **Table Menu Command** | **Table Menu Function** |
| Insert | Insert a new table, or add a column or row to an existing table. |
| Delete | Delete the table, column or row at the cursor location. |
| Select | Select a table, row or cell |
| Grid Lines | Click to show or hide table grid lines. |
| Properties | Open Table Properties, where you can apply characteristics (borders, background, alignment, text distances) to all or part of the table. |
| **Tools Menu Command** | **Tools Menu Function** |
| Spelling | Run Spellcheck on the selected word or the entire document. |
| Thesaurus | Look up the selected word in the Thesaurus. |
| **Toolbar Command** | **Tools Menu Function** |
| A | Change all text to black. |

### 5.2.6 Template Maintenance

You can view/edit form letter templates as needed. This does not change letters that were already generated from this template.

**Table 5-2: Template Maintenance Options**

| Options | Description |
|---|---|
| **Change letter template settings** | In the Letters/View Manager window, select a letter and click **Modify**.<br><br>In the Letter Description window, make changes as needed and click **OK**. |
| **Change letter template text** | In the Letters/View Manager window, double-click a letter, or select a letter and click **Text**.<br><br>In the Edit Text for Letter window, change the text as needed and click **OK**. |
| **Delete letter templates** | In the Letters/View Manager window, select the letter template you want to delete. You can select more than one.<br><br>Then click **Delete**, then **Yes** in response to the confirmation prompt. Click **Yes to All** if you do not want to be prompted for every template you selected. |

## 5.3 Generating Letters

ASPEN allows you to conveniently generate letters as you are doing your routine work in the system. You can create letters:

- In the ACO tree, the **Print Letters|Generate New Letter** option is available by right-clicking a facility name or a survey event.
- Inside the certification kit, go to the Tracking tab, then the Notices subtab to print letters.
- In ACTS, there is a Notices button both in the intake footer and a Notices button on the Investigation Properties tab.
- In AEM, each enforcement case Notices tab lets you both generate letters and maintain content and tracking information about letters. You can view and print letters from the Letter History button in the case footer. The CMP tab has specialized letter buttons next to applicable fields.
- In ASE-Q, you can print letters by right-clicking a survey in the tree.

## 5.3.1 Choosing a Letter

From whatever point you choose to generate a letter, the first window you see is the Select Letters and Distribution Lists window:

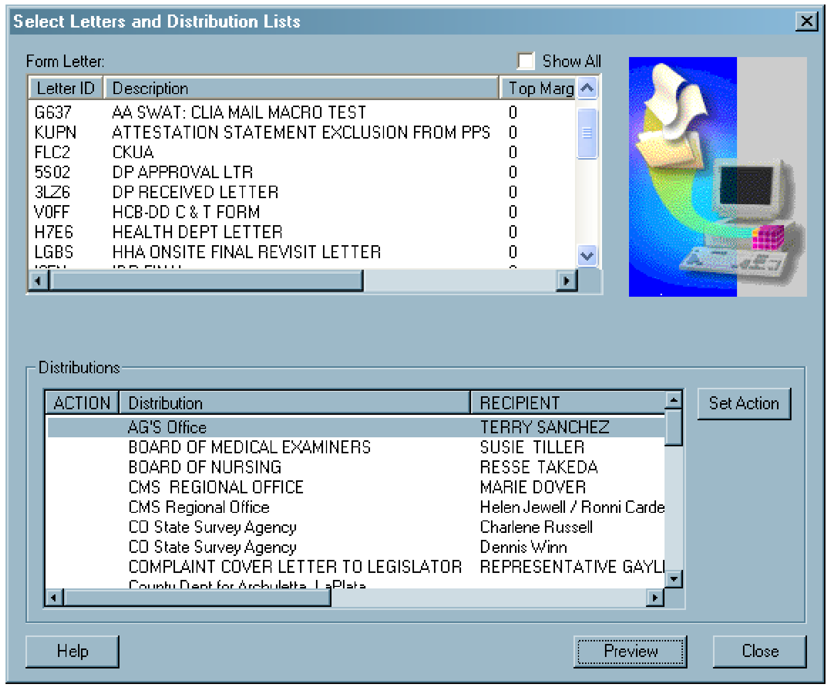



*Figure 5-7: Selecting the letter you want to print*

ASPEN uses letter Type (specified when each letter template is created) to provide a list of the letters most likely to be printed from the point (facility name, survey, or enforcement case) where you generate the letter. If the letter you need is not on this list, select **Show All** for a more inclusive list.

**Note:** Highlight a recipient and click **Set Action** to toggle through the distribution options.

For those who like details:

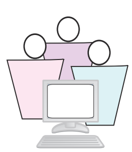
**Table 5-3: What Letter Types Show Up Where**

| **If you generate a new letter from ACO/ARO** | **The initial letter list shows letter type:[a]** |
|---|---|
| Rt-click facility name in Alpha or Type tree | Facility |
| Rt-click survey, go to Citation Manager in Alpha tree | Survey |
| Rt-click survey, go to Citation Manager in Enforcement tree | Survey |
| Notices tab in certification kit, on Tracking tab | Survey |
| Citation Manager in certification kit | Survey |
| **If you generate a new letter from AEM** | **The initial letter list shows letter type:[a]** |
| Letter History button in Enforcement case | Enforcement |
| Rt-click survey on Enforcement tree | Survey |
| Create Notice/Letter in Enforcement Case (Notices tab) | Enforcement |
| Envelope icon on CMP tab in Enforcement case | Enforcement |
| **If you generate a new letter from ACTS** | **The initial letter list shows letter type:[a]** |
| Notices button in ACTS intake | Complaint |
| Notices button on Investigation Properties page | Complaint |
| Citation Manager in Intake (Investigation tab) | Complaint |
| Citation Manager in Investig Props | Complaint |
| Rt-click a survey on Investig tab | Survey |

*a. Any facility type filter entered for individual templates (demonstrated in Task 5-A) will apply.*

States will see only state letters on this list; ROs will see state letters plus Federal letters.

## • Task 5-F: Preview Letter



Now we are going to see how the letter template you created earlier works when you use it to print a letter.

**1** In the ACO tree view, locate and right-click the survey for which you want to print a letter.

For class purposes, locate a nursing home whose name begins with your training letter, expand the facility node, then expand the survey node. Right-click any survey.

**2** Select **Print Letters**, then **Generate New Letter**.

**3** In the Distributions section, select a recipient.

**4** In the Form letter section of the Select Letters and Distribution Lists window, select the letter you created earlier, and click **Preview**.

**Note:** Choose Set Action to indicate the primary recipient and who should receive copies (cc) or blind copies (bcc) of the letter.

**5** You will be prompted to **Enter Name of Department Contact**. That is the instruction you entered in the Custom Text macro.

You can use custom text prompts like this whenever the information is likely to vary.

**6** In this case, the name of the Department Contact is John Smith.

Your letter will open in ASPEN's word processor. Scroll through the letter to see how ASPEN resolved each of the macros in the letter.

At this time, you can also make whatever changes you need. The ASPEN word processor has conventional formatting capabilities.

**7** We're not going to print the letter, so click **Save and Exit** when you are ready to leave the word processor.

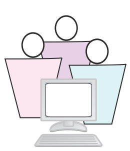
# 5.4 Printing and Mailing

## 5.4.1 Batch Print Letters

Batch Print Letters is now available in ACTS and ACO. It enables users to generate different letters throughout the day, then print all the letters at the same time.

Each logged-on user can activate batch printing from the File menu.

# • Task 5-G: Enable Batch Printing



This task is easy:

**1** Select **File**, then **Batch Print Letters**. The option is activated when you see the checkmark:


*Figure 5-8: Activating batch printing*

**2** When Batch Print Letters is activated, each time you ask ASPEN to print a letter, you can choose to print the letter immediately or save the letter to a batch:

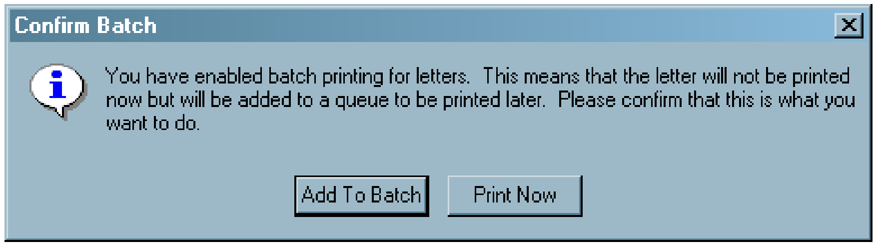



*Figure 5-9: Confirm Batch window*

---

**Note:** Labels are not included in the batch.

---

When it is time to print the letters you sent to the batch, select Reports, Print Batched Letters. From the Batched Letters window you can look over the list of letters and print or delete as needed.

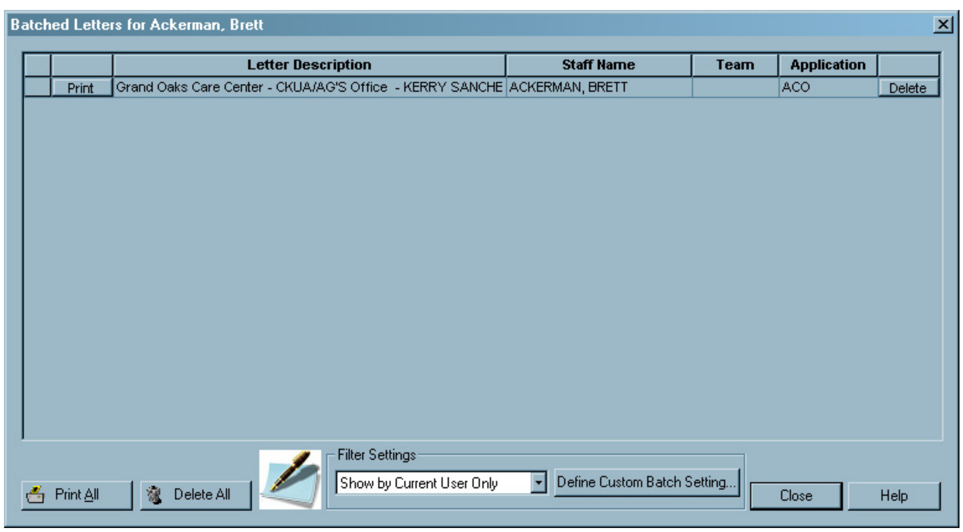



*Figure 5-10: Batched Letters window*

## *Customize Batch Settings*

ASPEN also allows you to see other users' batched letters, and to filter the list of batched letters. By default, the Batched Letters list shows letters generated by the current user. If you click Define Custom Batch Setting:

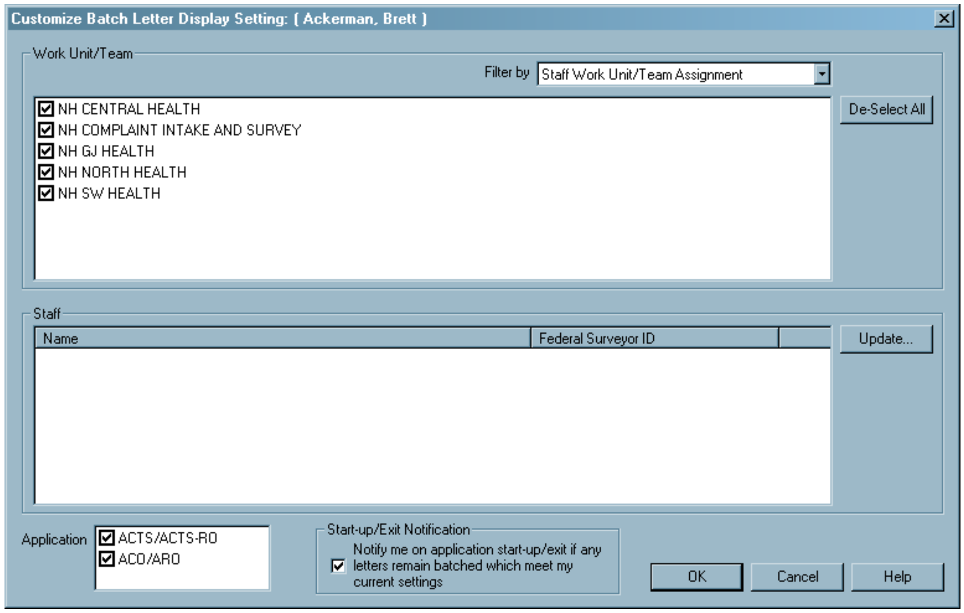



*Figure 5-11: Choosing Custom Batch Settings*

Custom Batch Settings are stored for the individual users who enter them. The settings apply to both ACO and ACTS for each user. Some information about how you apply custom settings:

## Table 5-4: Custom Batch Setting Options

| Option | Description |
|---|---|
| **Filter by:** | If you have multiple users around the state queuing letters, use the custom Batched Letters list to show only those that apply to your team or division:<br>**Facility Work Unit/Team Assignment**—the Batched Letters window lists letters for those facilities that have the selected work units (work units with a checkmark) assigned to them.<br>**Staff Work Unit/Team Assignment**—the Batched Letters window shows letters that were generated by members of the selected work units. If you also select individual members of a work unit in the Staff section, the batch list narrows the list to only letters generated by those staff members. |
| **Application:** | You can choose to list batched letters generated in ACTS, ACO or both. |
| **Start-up/Exit Notification** | When selected, a warning message appears if letters meeting your current settings are in the queue when you start or exit ACO or ACTS.<br>The notification setting also applies when you are not using custom batch settings, and are showing letters for Current User Only. |

# • Task 5-H: View Jim Smith's Batched Letters

Jim Smith has been sending letters to the batch all day long. We are going to define a Custom Batch Setting that gives us a view of his list.

**1** From the Reports menu in ACO, select **Print Batched Letters**.

This will open the Batched Letters window for the current user (you). It will probably be empty.

**2** Click **Define Custom Batch Setting**.

**3** In the Work Unit/Team section, leave the default settings as they are.

**4** To the right of the Staff section, click **Update**.

**5** In the Find Staff window, type SMITH, JIM in the Search box, then click **Find Now**.

**6** In the Search Results pane, double-click SMITH, JIM to transfer the name to Selected Items, then click **OK**.

**7** Click **OK** in the Custom Batch Settings window.

**8** In the Batched Letters window, change the filter to **Show by Custom Batch Setting**.

The resulting display is the letters that Jim Smith has sent to batch printing.

## 5.4.2 Bulk Letters

ASPEN's bulk letter feature enables two types of mailings:

**By Group**

Sends letters to all facilities that fit criteria that you specify. You can filter the mailing list by Facility Type, Office/Location, Team, Bed Size, Operating Status, and County.

**Custom Select**

Sends letters to a list of facilities that you select.

# • Task 5-I: Send a Form Letter by Group

**1** From ACO/ARO, select **Reports** | **Form Letters** | **By Group**.

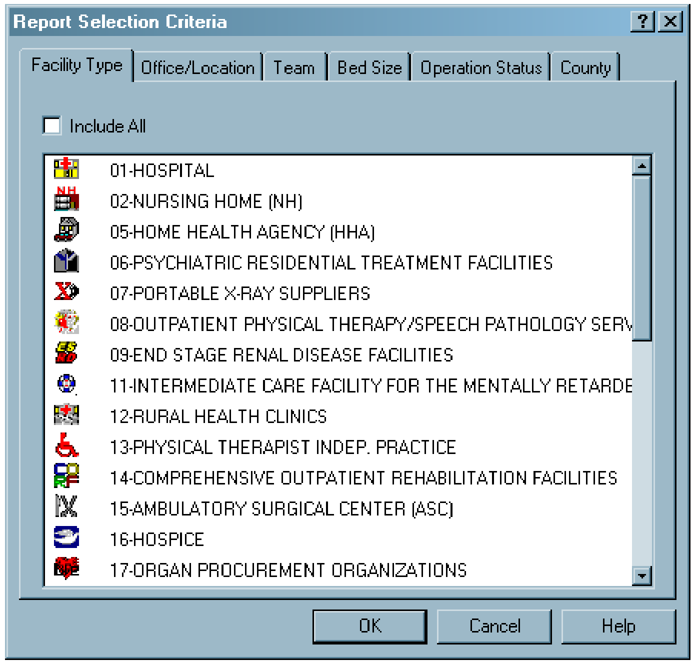



*Figure 5-12: Selecting facilities to receive group mailing*

**2** From each tab, specify criteria as needed. Click **OK** when done.

**3** Highlight the letter you want to send, and click **Print**.

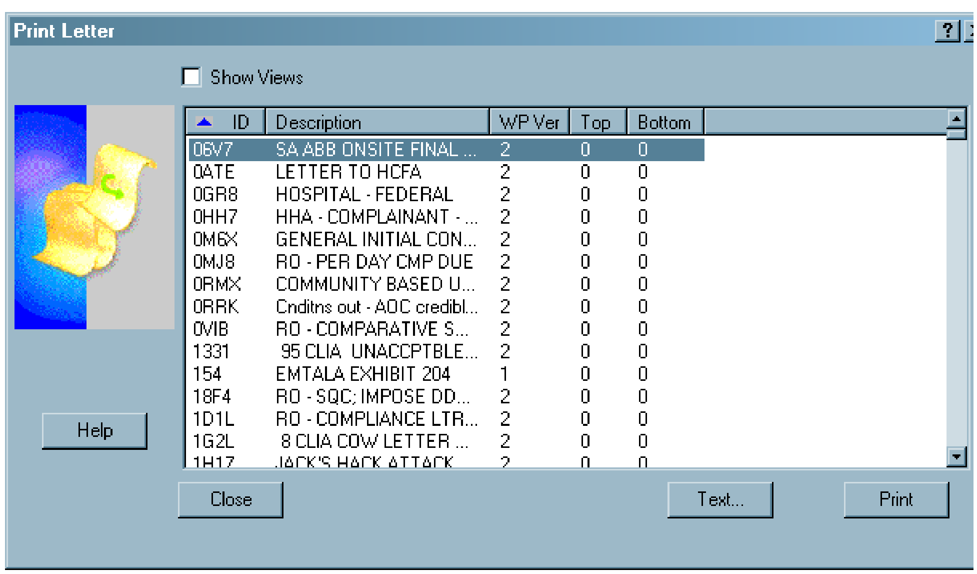



*Figure 5-13: Selecting the letter to send to the group*

4 In Letters/Label Selection, indicate whether you want to print labels, letters, or both.

If you choose labels, also specify the label format you want to use.

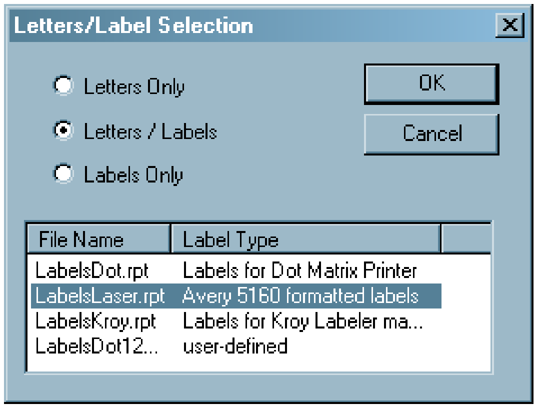



*Figure 5-14: Label options for form letters*

5 Click **OK** when done.

## • Task 5-J: Send a Form Letter to a Custom Select List

1 From ACO/ARO, select **Reports** | **Form Letters** | **Custom Select**.

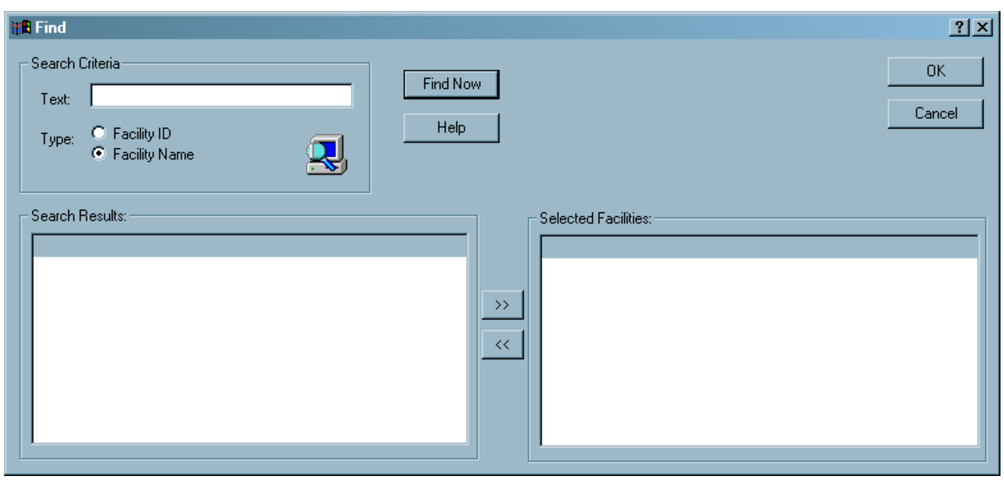



*Figure 5-15: Selecting facilities for a custom list mailing*

2 Enter a search string in the Text field and click **Find Now**.

3 In the Search Results, highlight the facility you want and click the move right button to add it to Selected Facilities.

**4** Repeat Steps 2 and 3 as needed to select additional facilities.

**5** Click **OK** when done.

The rest of the process is identical to sending letters By Group. Go to the Print window to select a letter and then the Letters/Labels window.

## 5.4.3 Mailing Label Templates

If you have a Crystal Reports designer, you can create templates for your own labels. ASPEN provides three label templates as functional samples. Label templates that you create should have filenames that start with "Labels" and end with an extension of "rpt". Put your custom label template files in your ACO\DATA and/or ACTS\DATA folder.

When creating custom label templates, be sure that the facility table is added in the report. In order to print just those facilities, Aspen sends a specific selection formula that assumes that the facility table is present.

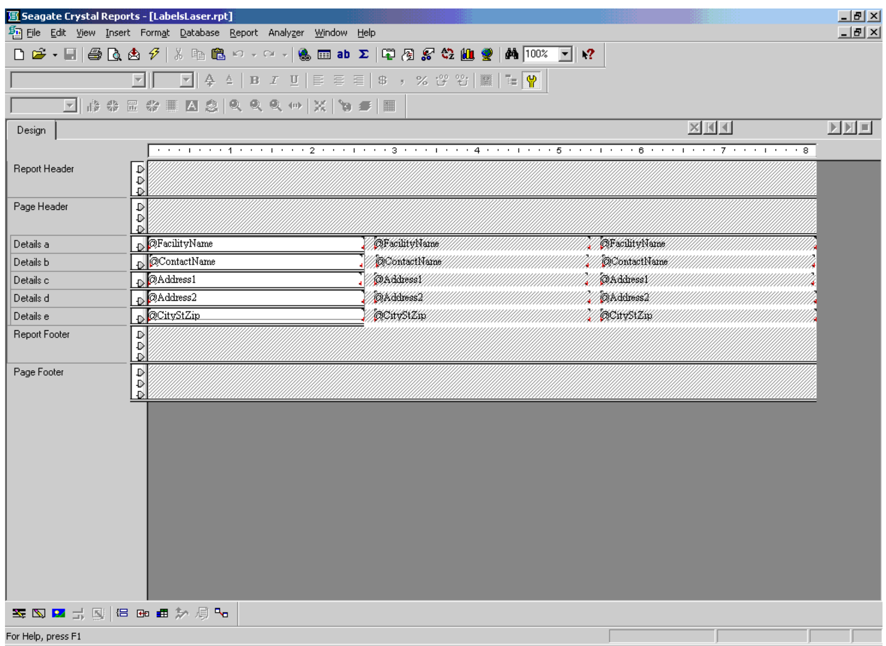



*Figure 5-16: View of LabelsLaser.rpt in Crystal Reports*

# 5.5 Tracking Correspondence with Notices History

A big advantage to using ASPEN to generate letters and notifications is the Notices History window, which gives staff members ready access to correspondence about the provider. At the same time, the functions are structured so that administrators can easily secure each access point.

Notices history is available from all the same places that you can generate a letter in ACO and ACTS. There are two elements to Notices History: Letter History and Notification History (called "Other Communications" in AEM).

## 5.5.1 Letter History

Since not all departments need to see all letters (an enforcement case worker, for instance, may not be interested in seeing all of the Survey & Certification correspondence), letter history lists are tailored to the needs expressed by the various divisions.

You can see all letters by opening Notices History from the facility name.

Table 5-5 shows which letters may be seen, depending on where you are in the system, when you open Notices History. In addition, a letter of any type that is generated from a specific point is always visible from that point.

**Table 5-5: Notices History Results from Different Entry Points**

| If you open Notices History in ACO | You see history for these letter types |
|---|---|
| Rt-click Facility Name in Alpha and Type Tree | Survey, Complaint, Facility, Enforcement, CMS Enforcement |
| Rt-click Survey in Alpha tree | Survey |
| Rt-click survey, go to Citation Manager in Alpha tree | Survey |
| Citation Manager in certification kit | Survey |
| **If you open Notices History AEM** | **You see history for these letter types** |
| Rt-click survey on Enforcement tree | Survey, Enforcement |
| Rt-click survey, go to Citation Manager in Enforcement tree | Survey, Enforcement |
| Letter History button in Enforcement case | Survey, Complaint, Enforcement, CMS Enforcement |
| Create Notice/Letter in Enforcement Case (Notices tab) | Survey, Complaint, Enforcement, CMS Enforcement |
| **If you open Notices History ACTS** | **You see history for these letter types** |
| Notices button in ACTS intake | Complaint |
| Notices button on Investigation Properties page | Complaint |
| Citation Manager in Intake (Investigation tab) | Survey, Complaint, Enforcement |
| Citation Manager in Investigation Properties | Survey, Complaint, Enforcement |

# • Task 5-K: View Letter History

Open a Notices History window from the facility name:

**1** In the ACO tree view, locate and right-click the facility and survey for which you created a letter earlier.

**2** From the right-click menu, select **Print Letter**, then **View Letter History**.

**Table 5-6: Letter History window**

| Function | Description |
|---|---|
| View/Print | Opens the selected letter in the word processor so you can view and re-print if necessary. Click a letter to select it before clicking this button. |
| New | Opens Select Letters and Distribution Lists window so you can select a letter to send and its recipients. |
| Modify Date | Opens the Modify Letter History Date window, so you can change the date the letter was sent if necessary. |
| Delete | Deletes the selected letter from letter history. |
| Lock | Toggles to let you lock a letter so it is read-only, or unlock a locked letter. You can use button-level security to limit the availability of the Unlock function to system administrators or other designated individuals. |

## 5.5.2 Notification History

Letters generated in ASPEN are recorded in Letter History, but there are often other notifications, such as telephone calls and emails, that are of significant importance and for which you want to maintain records.

The Notification History section (in AEM it's called "Other Communications") is used primarily in AEM enforcement cases and ACTS complaint intakes, although you can also add notifications from individual surveys.

## *ACTS Notifications*

In ACTS you can open Notices History from the intake footer, or from the Notices button on Investigation Properties, then click **New** to display the Notification Type dialog box.

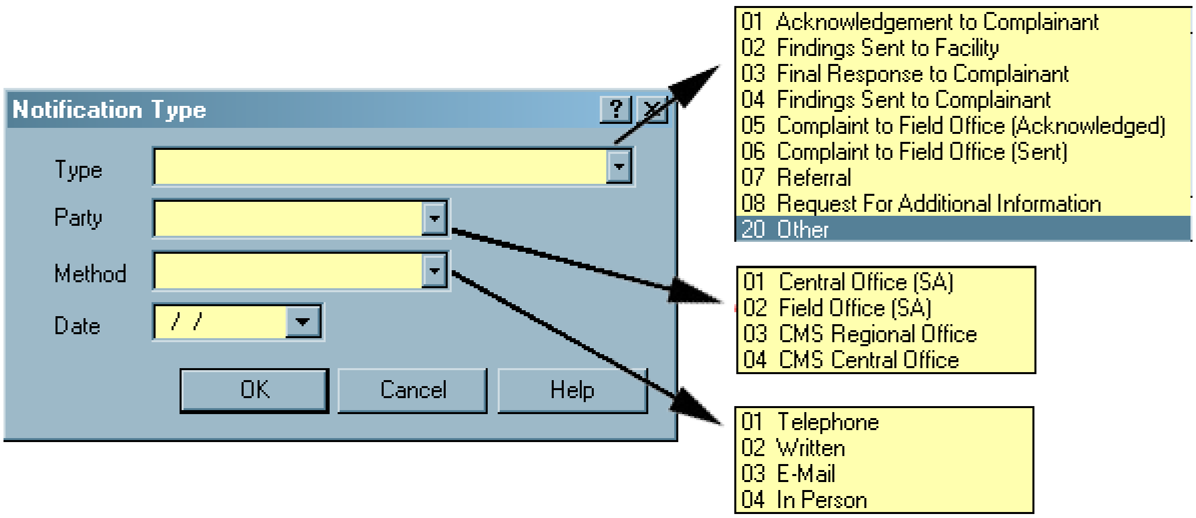



*Figure 5-17: ACTS Notification Type window*

States and ROs can add to the Notification Type and Party lists as needed.

## *AEM Other Communications*

In AEM, you can add, modify and delete Other Communications in the Notices History window.

You can record the sender and recipient of the note, its method and the date. The Notes section lets you make comments about the communication:

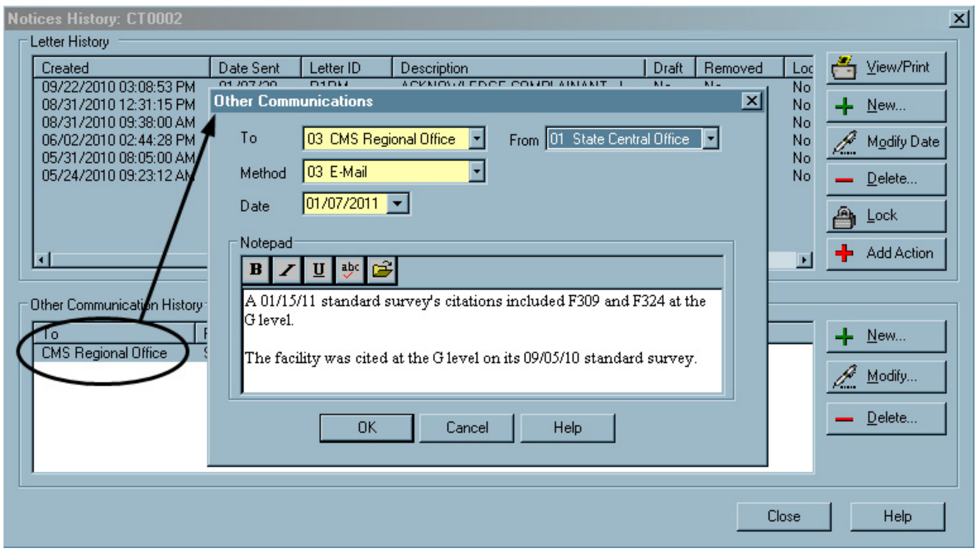



*Figure 5-18: Example of an Other Communication in AEM*

# Section 6. Reporting

***Included in this section:***

- ✓ Report Customization
- ✓ State Custom Reporting: 'Roll Your Own' Reports
- ✓ Understanding the ASPEN Data Model

# 6.1 Report Customization

Beginning with ACTS, and now 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. Multiple filters can narrow the detail of your report to highly specified requirements. Report criteria you specify can be saved and used again.

Report features are tailored to the application. You can filter ACTS reports by Intake Status, for instance, while in AEM you filter by Case Type.

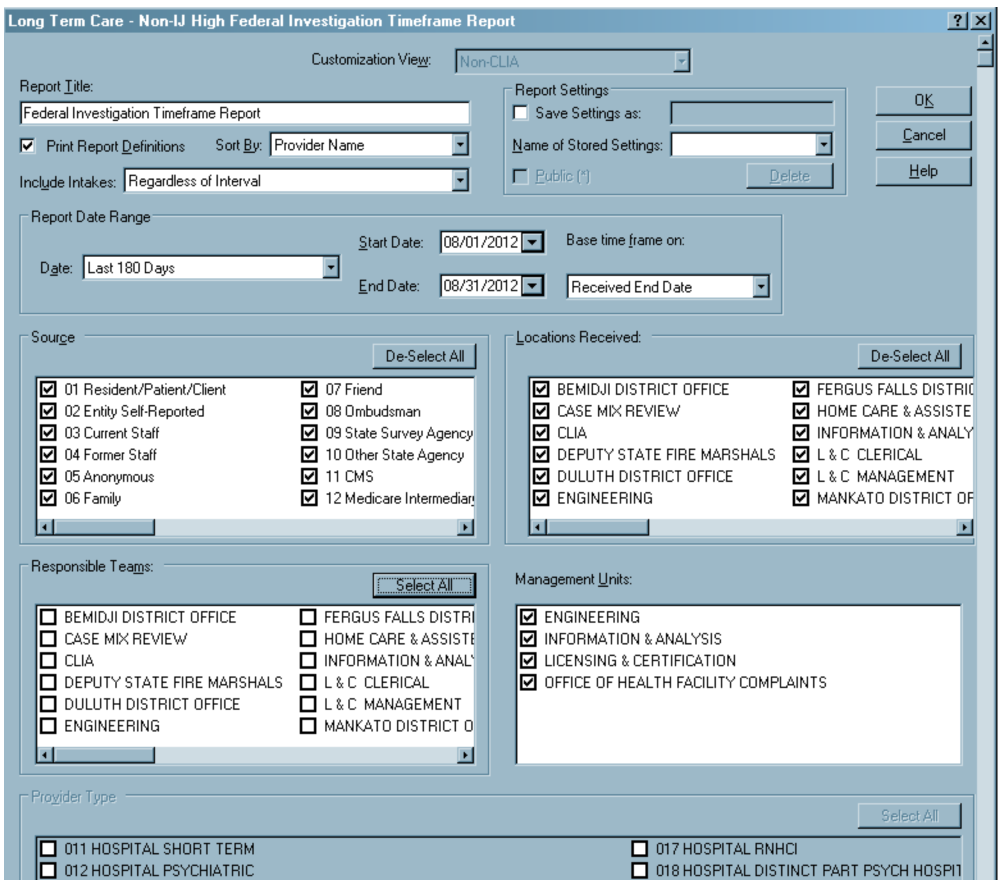



*Figure 6-1: Partial Image of ACTS Report Customization window, Non-CLIA view*

### 6.1.1 ACTS Report Features

#### *Defaults*

When you open the report customization window for an ACTS report, the filter choices (boxes that are checked) default to the selections that are currently active in My Selections.

#### *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's 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*

**Table 6-1: 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, and Substantiated Complaints Details. You can group results by Provider, Provider Type, or Responsible Team. |
| 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 report end that provides a detailed list of the filter settings you select in this window. A condensed list of filters appears in the report's footer whether or not this checkbox is selected. Due to the many filtering options, the list may be truncated. |

# • Task 6-A: 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.

**1** From ACTS, select **Reports** | **Federal Only** | **Federal Investigation Timeframe Reports** | **Long Term Care** | **Non-IJ High**.

**2** For Date Range, select the last calendar year.

**3** Beneath the Report Title field, locate **Sort By**, and check that **Provider Name** is selected.

**4** Accept the defaults for the rest of the report.

**5** Click **OK** to generate the report.

ACTS will gather the data for the report, and present it in the Preview window.

From there, you can click the **Print** button to print the report, or the **Export Report** button to export the report, as needed. We're not going to do either in the class.

**6** By default, **Print Report Definitions** was selected for this report. Go to the last page of the report to see the definitions.

**7** After reviewing your report, select **File | Close** to shut the preview window.

## 6.1.2 AEM Report Features

The AEM report customization window applies only to the report that is being generated; therefore, filter options vary greatly between reports.

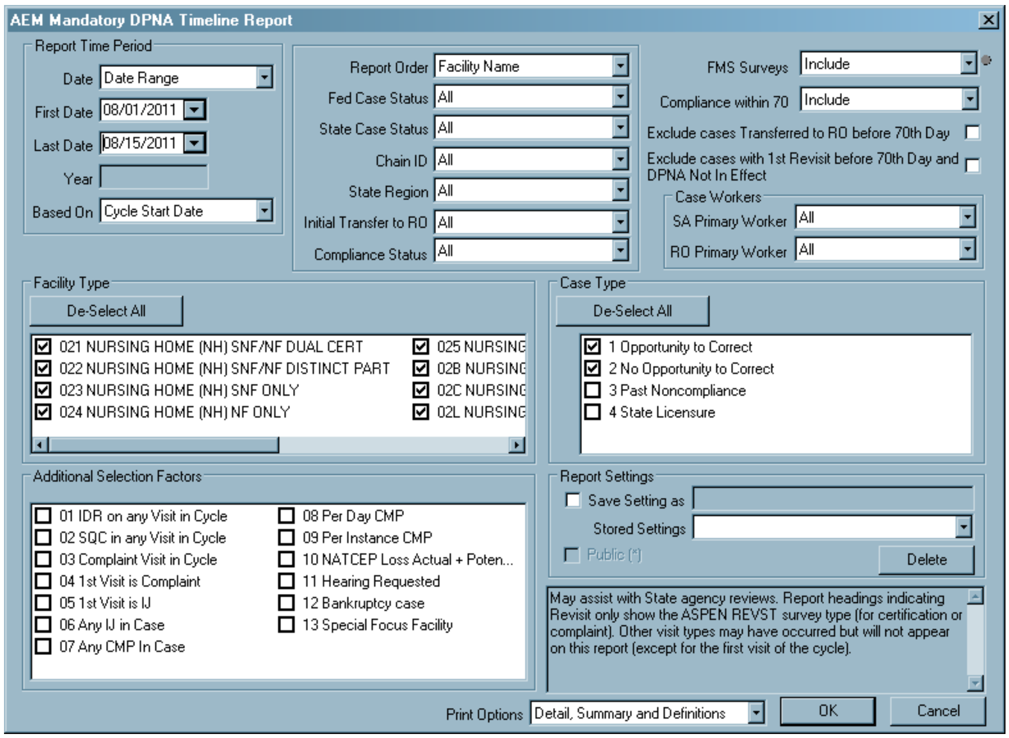



*Figure 6-2: Customization filter for AEM Mandatory DPNA Timeline Report*

### *Security*

For AEM reports, if Facility Type security is enabled, you can run reports only for those facility types to which you have Read or Read/Write access.

## *Filters*

When you choose specific filter options, the report lists only the cases containing the items you select. If you select only No Opportunity to Correct for the enforcement Case Type, for instance, the report will be restricted to cases that have a No Opportunity to Correct case type.

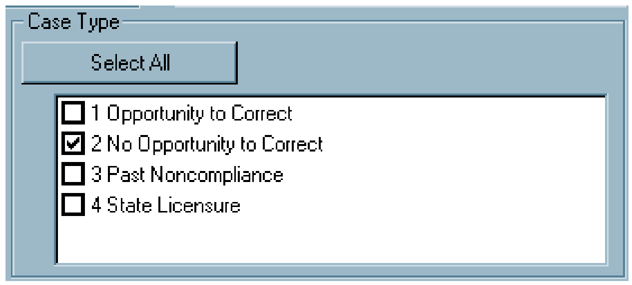



*Figure 6-3: Example of AEM report filter*

For certain reports, the Case Type filter may be left blank. In this case, the filter is not applied, which has the same effect as if all options have been selected.

---

**Note:** Some filters have a large number of items to select. The Select All button toggles to De-Select All so you don't have to check and uncheck all those little boxes.

---

## *Settings*

If you are familiar with ACTS report settings, saving an AEM report setting is similar. In AEM, saved report definitions may be used for multiple reports and are stored on either a user-by-user or public basis, as desired. The report's date range is not saved with custom formats.

---

**Note:** The 'Save Report' function is a convenient tool for users to retain frequently used custom report specifications.

AST: Saved report definitions are public and are specific to a single report.

---

# • Task 6-B: Create a Custom AEM Report

We will set criteria for a Federal Investigation Timeframe report.

1 From ACO, select **Reports** | **Enforcement Reports** | **Mandatory DPNA Timeline**. The AEM Mandatory DPNA Timeline Report window appears.

2 For Date**,** choose **Fed Fiscal Year** and enter **2012** in the Year field.

3 In the Report Order field, click the menu drop down button and select **Facility Name**.

4 Verify that all checkboxes are selected in the Facility Type and Case Type sections.

5 Select **Save Settings as**, and write a name for the report. Do not select Public, which makes your settings available all state users.

6 Click **OK** to generate the report.

AEM will gather the data for the report, and present it in the Preview window.

In real life, you can click the **Print** button to print the report, or the **Export Report** button to export the report, as needed. We're not going to do either in the class.

7 Review your report then click **Close** to shut the preview window.

Now take a look at your stored settings.

8 From the Reports menu, select **Enforcement Reports** | **Mandatory DPNA Timeline** again.

9 In **Stored Settings**, select the report you named.

AEM changes the report settings to the ones you saved, except the date range which should be reset with each new report.

10 Click **Cancel** to close the report window.

## 6.1.3 AST Report Features

AST report customization focuses on the needs of survey managers, with options to print reports for specific facility types, work and/or management units, and state region, (among other selections), depending on the chosen report.

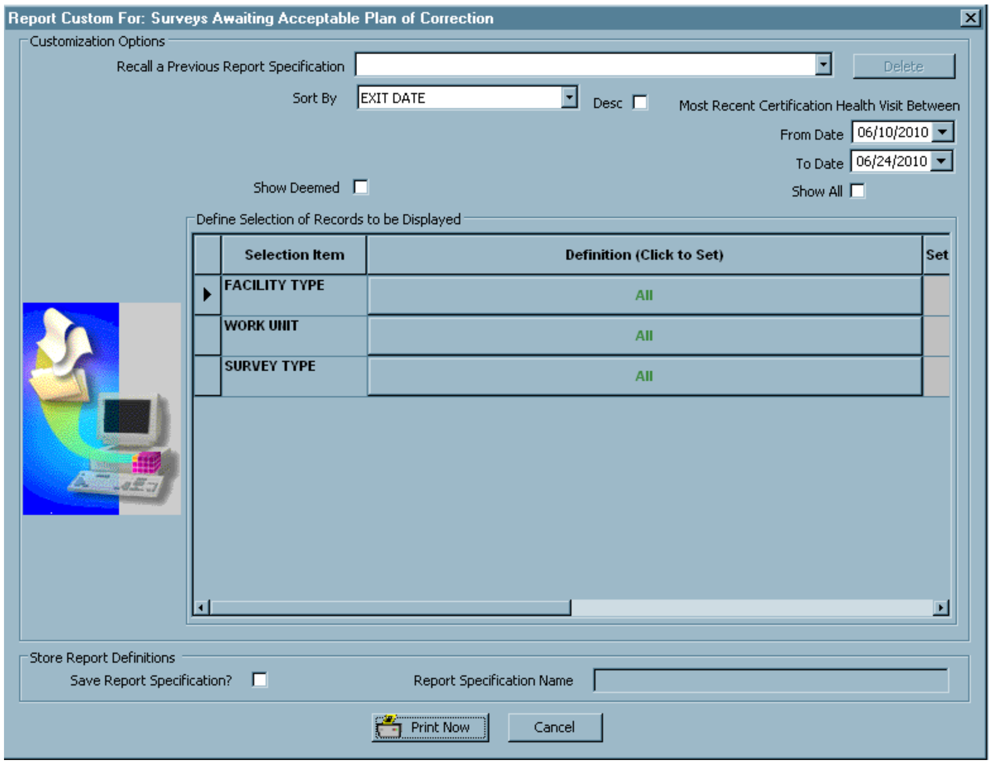



*Figure 6-4: Customization window for AST reports*

### *Settings*

Once you have report filter criteria set to your satisfaction, you can name the Report Specifications you created, and save those settings for the purpose of running that specific report at a later time. The settings are saved when you print the report.

Date range is saved with AST Report Specifications.

When you recall a stored format, you can change the settings as needed, and then run the report. If you want to save the changed settings, save them under a new format name, or enter the old format name into the Report Specification Name field, and click Print to save the new settings. The previous format will be overwritten.

# • Task 6-C: Create and Save a Custom AST Report

We will set criteria for a Revisit Due Date report.

**1** From ACO, select **Reports** | **Scheduling and Tracking Reports** | **Tracking Reports** | **Revisit Due Date**.

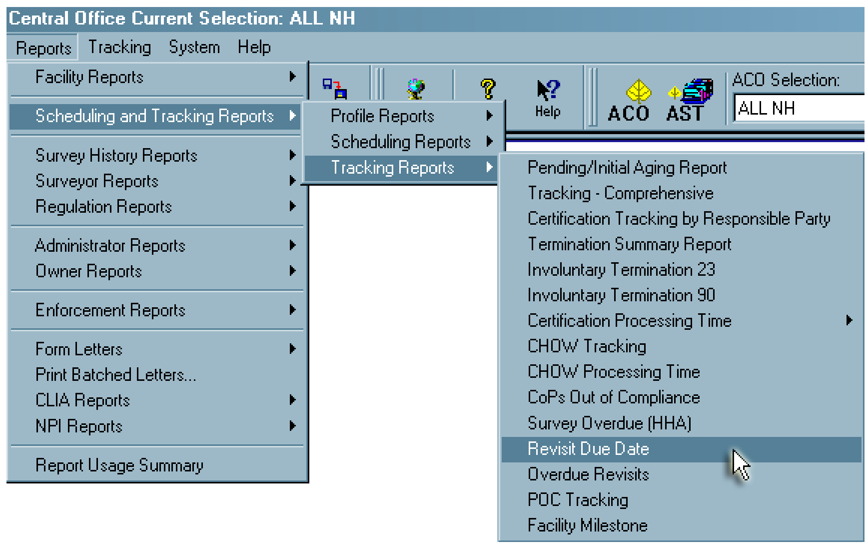



*Figure 6-5: Revisit Due Date report option*

The Report Customization screen is used for many of the scheduling and tracking reports. Selection items will vary as applicable.

**2** Your instructor will tell you what dates to enter in the **From Date** and **To Date** fields.

**3** In the Sort by box, click the menu drop down button and select **Exit Date**.

**4** The Define Selection of Records to be Displayed section lets you select specific record sets to include in the report. For this exercise, click the **Definition** button on the Facility Type row.

**5** In the Facility Category window, click **Deselect All**, then choose **02-Nursing Home**.

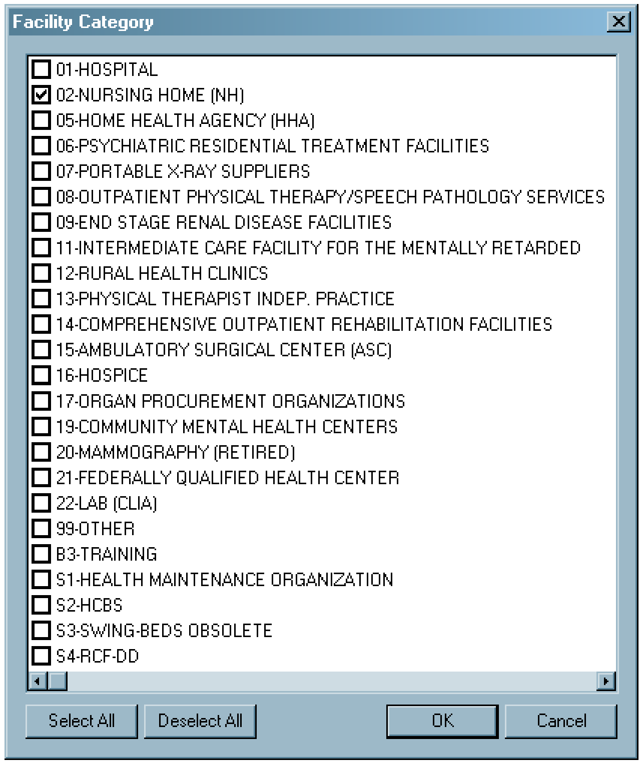



*Figure 6-6: Facility Category window for Revisit Due Date report*

**6** Click **OK** when done and notice that your selection appears on the button:

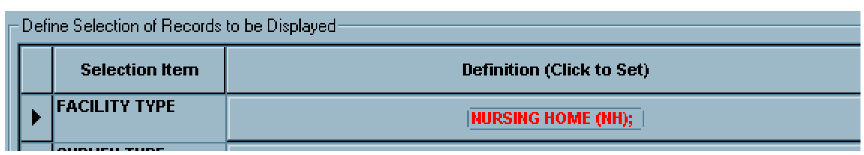



*Figure 6-7: Appearance of facility in window*

**7** For Work Unit and Survey Type rows, keep the **All** designation.

**8** Click on the **Save Report Specification?** box.

**9** Enter a Report Specification Name using your assigned training letter; for example, L_My AST Report.

**10** Click **Print Now** to generate the report and save the Report Specification.

AST will gather the data for the report, and present it in the Preview window.

From there, you can click the Print button to print the report, or the Export Data button to export the report, as needed. We're not going to do either in the class.

**11** Review your report then select **File** | **Close** to shut the preview window.

***To recall and re-use the saved Report Specification:***

**1** Re-open the same report (Select **Reports** | **Scheduling and Tracking Reports** | **Tracking Reports** | **Revisit Due Date**.).

**2** Click the menu drop down button in the Recall a Previous Report Specification box, and select your saved format.

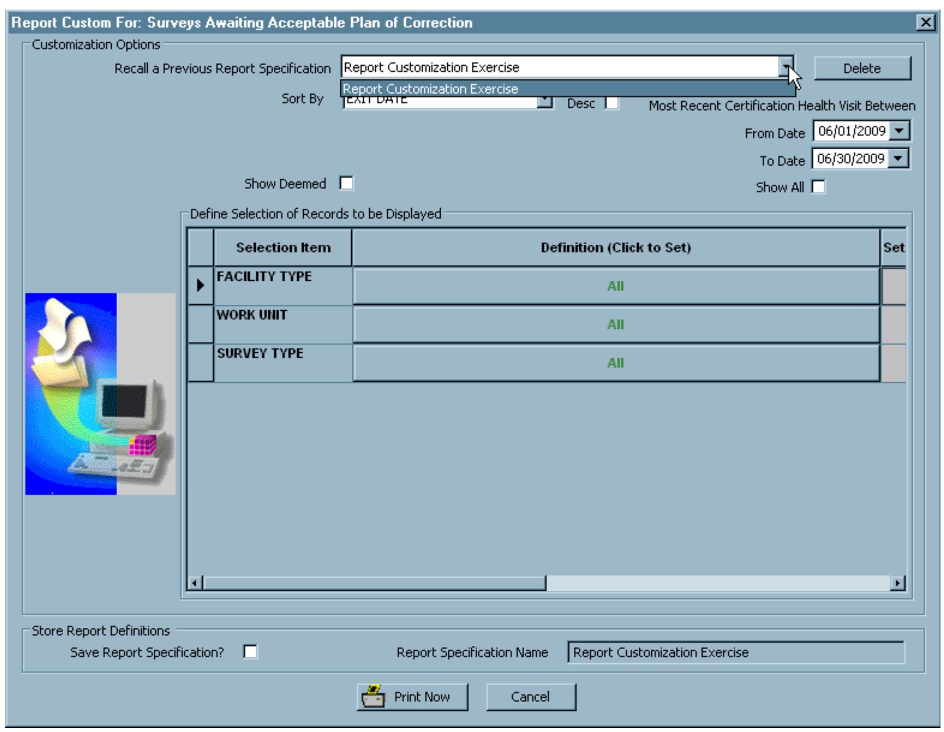



*Figure 6-8: Recall a Previous Report Spec display*

Previously stored settings are automatically restored in the Sort By, Date Range, and Define Selection of Records to be Displayed sections.

All saved AST Report Specifications are public, so other users can easily access them. Also, saved AST Report Specifications can be recalled only for the report for which they were originally defined.

## 6.2 State Custom Reporting: 'Roll Your Own' Reports

While most ASPEN standard reports provide user options for selection criteria, sorting, and display format, which allow for extensive customization within each standard report's context, it is often the case that specialized or 'one-time' reports are needed for which there is no existing standard report that meets the requirement exactly. To satisfy these reporting needs, many states develop their own customized reports using data from the ASPEN repository.

ASPEN's database is a rich repository of information concerning Federal and State health facilities and related survey, certification, complaint, and enforcement information. ASPEN applications produce many forms and standard reports from this repository to assist and inform State and CMS RO operations.

Each state is responsible for determining which report design tools best suit their needs, system standards and support resources, and user skill sets. It is not possible for the ASPEN Support Desk to provide help on custom report development tools.

**Note:** Custom reports developed by states may require updates following ASPEN releases if the tables or views these reports access are altered as part of an upgrade.

Release notes are published in advance of each release. If your state maintains a custom report library, you should review the Database Changes section of the release notes to determine which database changes may affect your reports.

This section of the training guide provides information on best practices for developing custom reports as well as an overview of key entities (e.g., facility, certification, citation, and complaint data structures) represented in the ASPEN database model.

### 6.2.1 Reporting Tools

A number of products may be used to create custom reports using the ASPEN data repository. Each state must determine which reporting tools are appropriate, given their internal system standards and technical skill sets. Examples of tools that have been used to effectively create custom reports for ASPEN data include:

- SAP Crystal Reports
- Sybase InfoMaker
- Microsoft Access

These are just some examples of possible reporting tools; many others are available. The only requirement for an ASPEN repository reporting tool is the ability to connect to an Oracle database, either directly or via an Open Database Connectivity (ODBC) driver. Providing details for configuring ODBC drivers is beyond the scope of this training, and you are directed to your agency's technical support staff as needed.

No additional Oracle client components are required to support custom report design tools. Any computer that has QIES software for ASPEN, MDS, or OASIS installed, already has the proper Oracle client environment.

### 6.2.2 QIES Read-only User Account Setup

CMS policy requires that connections to the QIES state Oracle server may only be performed by user accounts granted read-only access. Agency staff may not connect to the Oracle server using accounts that allow data to be changed.

Before any report design tool may be used to create custom reports, an Oracle user account must first be created for each user of the tool. These Oracle accounts may be granted only SELECT (read/only) privileges on the QIES Oracle server. This ensures the reporting tools only 'SELECT' the information needed for the report from the database, and that the tool does not inadvertently cause information to be changed in the database.

Read-only user accounts require two steps to create:

**1** Create the Oracle User Account with Login ID and Password.

**2** Assign the account read-only roles based on the type of information for which that user requires reporting access.

A special software tool has been created to support and streamline these account creation tasks. This is the QIES State Security (QSA) Administration Tool. Users can download the *QSA Manual* from the State Download page of www.qtso.com.

### *Protecting Sensitive Information*

The ASPEN data repository contains information that may be person-specific, such as residents/patients, complainants, alleged perpetrators, etc. Also, ASPEN shares the QIES State Server data repository with MDS and OASIS assessment information, which may also be accessible for certain users granted read-only report access to these tables. Protecting this information is the responsibility of each agency and system administrators.

Refer to the separate materials provided for HIPAA complaint data security and data use agreements (DUAs).

## 6.2.3 Report Considerations for Scope/ Severity, IDR/IIDR and (X5) Completion Date

See *ASPEN Technical Training: Supporting Materials* for information on the ASPEN data model. This reference contains the complete data dictionary with table, column (field), and lookup definitions.

### *Scope/Severity: Policies Affecting Reporting*

There may be differences between scope and severity (S/S) information maintained at the detail citation (SURVCITE) level, and the S/S information at the summary level (CERTCITE) for citations belonging to the same process (e.g., certification or complaint). A citation's S/S may change across visits in the case where the deficiency is not corrected or new evidence is added to the tag upon revisit.

This updated S/S value is always reflected on the visit-specific citation detail record on SURVCITE, but the most recent visit's S/S may not be posted to the summary citation level on CERTCITE. This process is governed by specific rules for what S/S value will be sent to the national tables and on to the nursing home compare web site.

When creating custom reports requiring S/S, determine if the report should reflect the actual value assigned on a given visit, or if the report should display the summary value sent to National. For the former, use the SURVCITE table for the reports citation information. For the latter, use CERTCITE citation summary information for the report.

**Note:** Scope/Severity policy for citations not corrected on revisit.
If a citation is not corrected on revisit, and new evidence either raises or lowers the assigned S/S value on the revisit, the following rules apply for which S/S is submitted for national reports:

If lowered on revisit, the original visit's S/S is sent to national. If increased on revisit to level G or above, then this higher value is sent to national.

## *IDR/IIDR: Policies Affecting Reporting*

Similar to S/S values, there may be a difference between the detail-level citation IDR/Independent IDR (IIDR) status indicator and the IDR/IIDR indicator on the corresponding citation summary record.

This is due to the policies of which IDR/IIDR values are transmitted to the national system. If a citation is made on a standard visit and challenged under IDR/IIDR with a resulting lowering of S/S, it is still included in a revisit to determine correction.

If the revisit finds new evidence and the citation is not corrected, the provider has the right to challenge again under IDR/IIDR. While the IDR/IIDR status is at a Requested level for the revisit, ASPEN will continue to maintain the original visit's IDR/IIDR status of 'S/S Change' on the summary record.

When the revisit's IDR/IIDR review is complete, and a new status, say 'No Change', is assigned, this latest IDR/IIDR status will now be reflected on the CERTCITE table summary record for the citation.

## *(X5) Completion Date: Policies Affecting Reporting*

The completion date is submitted by the facility to indicate, for each citation, when they plan to complete correction of the deficient practice. Enter this date on the SURVCITE citation detail record for the visit in which the citation was made.

Often, the facility fails to correct the citation by the revisit. When this occurs, a new plan of correction is required with a new (X5) completion date. This X5 date is entered on the revisit's instance of the citation, but this new date will not be updated to the CERTCITE summary record.

The summary record always maintains the earliest recorded X5 date for a citation. This is the value transmitted to the national repository.

## 6.3 Understanding the ASPEN Data Model

ASPEN's information on facilities, surveys, certification, complaints, citations, etc., and related entities such as owners and administrators, is stored in tables within your state QIES Oracle database. As a transaction-oriented system, ASPEN's data model is considered moderately 'normalized', which means that the complete set of information on any entity (e.g., facility, survey, citation, etc.) is often stored across several tables. Data related to a specific entity, say a facility, is gathered across these related tables based on key field identifiers, such as a facility's State Facility ID or 'FacID'. Understanding these table relationships and keys is required to create useful, accurate, custom reports.

### 6.3.1 Available Views

When constructing reports based on related tables, it is necessary to perform 'join' operations to connect the required information from these tables. To simplify this process, a number of Views are included in the ASPEN database. Views are a logical combination of fields across one or more related tables, and they may be treated just like the tables they represent in terms of report development. Views take care of the process of joining related tables in advance, so the report developer doesn't have to worry about this.

#### *Certification Views*

These Views combine all tables related to the provider certification process (except citation and visit details). Certification Views contain the key certification dates, the provider application and crucial data extract forms, as well as other related forms for each provider category.

## Table 6-2: Certification Views

| Certification View | Contents |
|---|---|
| ASP_ASC_VW | ASC Provider Certification View: ASC provider, certification, application and processing data.<br>Joins CERTRAK, SURV1539, SURV377_378EE |
| ASP_COMMON_VW | Common Certification View: Provider, certification and processing information common to all categories.<br>This view would be used for custom certification reports across provider categories that require access to common certification dates and CMS 1539 information (e.g., termination reports, or reports on processing times based on state signoff dates).<br>Joins CERTRAK (ASPEN's Certification master table), SURV1539 (CMS 1539 Certification Transmittal). |
| ASP_CORF_VW | CORF Provider Certification View: CORF provider, certification, application and processing data.<br>Joins CERTRAK, SURV1539, SURV359. |
| ASP_ESRD_VW | ESRD Certification View: ESRD provider, certification, application and processing data.<br>Joins CERTRAK, SURV1539, SURV3427. |
| ASP_HHA_VW | HHA Certification View: HHA provider, certification, application and processing data.<br>Joins CERTRAK, SURV1539, SURV1572. |
| ASP_HOSPICE_VW | HOSPICE Certification View: HOSPICE provider, certification, application and processing data.<br>Joins CERTRAK, SURV1539, SURV416_643. |
| ASP_ICFMR_VW | ICFIID Certification View: ICFIID provider, certification, application and processing data.<br>Joins CERTRAK, SURV1539, SURV3070G. |
| ASP_NH_VW | NH Certification View: NH provider, certification, application and processing data.<br>Joins CERTRAK, SURV1539, SURV671APP, SURV672. |
| ASP_OPTSP_VW | OPT/SP Certification View: OPT/SP provider, certification, application and processing data.<br>Joins CERTRAK, SURV1539, SURV1856_1856E. |
| ASP_RHC_VW | RHC Certification View: RHC provider, certification, application and processing data.<br>Joins CERTRAK, SURV1539, SURV29_30E. |

**Table 6-2: Certification Views (cont.)**

| Certification View | Contents |
|---|---|
| ASP_TERMSUMMARY25_VW | Termination Summary View: Totals, broken down by facility type, of the different types of terminations entered on 1539s for all facilities.<br><br>Joins ASP_COMMON_VW, FACTYPE. |
| ASP_XRAY_VWt | X-Ray Certification View: X-ray provider, certification, application and processing data.<br><br>Joins CERTRAK, SURV1539, SURV1880. |
| CERTRAK_VW | Limited Certification Kit Information: Limits the list of certification records to those events the querying user is allowed to see, based on their personnel record, plus all certification records for kits with no surveys. If the querying user is not in the personnel table, the list is unlimited. |

For example, if you are given a request to create a report for a specific nursing home's certification identified by the certification tracking ID (TRACKID) of 'ABCD', using your reporting tool you may quickly gather the desired information with a single SQL query on the ASP_NH_VW view, as:

**Select * From ASP_NH_VW Where TrackID='ABCD';**

## *Other Useful Views*

**Table 6-3: Additional Views**

| View Name | Contents |
|---|---|
| ADMINISTRATORt | Administrator Facility Histories: This view creates a detailed history of administrator information for one or more facilities. It may also be handy in reports that show the history of an administrator as he or she moves between providers.<br><br>Joins ADMINFAC (history of facility administration, ADMNLKUP (Person details for each administrator. |
| ASP_CALEVENTS_VW | Limited Calendar Events view: Limits the list of calendar events to only those future events the querying user is allowed to see, based on their personnel record, plus all past and personal events. If the querying user is not in the personnel table, the list is not limited.<br><br>From: ASP_CALEVENTS |
| ASP_COMPINVEST_VW | Complaint Investigation View: Complaint investigation information and general survey information.<br><br>Joins CSched, Survey |
| ASP_HSPTL_VW | HOSPITAL Certification View: Hospital provider, certification, application and processing information.<br><br>Joins CERTRAK, SURV1539, SURVWKST. |

## Table 6-3: Additional Views (cont.)

| View Name | Contents |
|---|---|
| ASP_FACILITYSUMMARY_VW | AST Facility View: Facility information and facility related scheduling and tracking information.<br>Joins Facility, Facility_Ex, ASP_FacilitySummary. |
| COMP_ALG_VIEW | Complaint Allegation View: A duplicate of the standard Comp_Alg table.<br>From: COMP_ALG |
| OWNCOMPOFFCR | Ownership and Company Officer Details: This view relates specifically to entities defined as having an ownership interest in one or more providers. This view only describes ownership entities and officers of these entities; it does not relate this information to facilities.<br>Joins OWNERCOMPANY (Ownership entities), OWNEROFFICER (Officers related to ownership entities), OFFICER (Office personal details). |
| OWNERFACILITYFULLVIEW | Ownership Facility Histories: Same as OWNCOMPOFFCR, but relates ownership entities to facility entities, creating a history of facility ownership and a history of facilities owned by a given company.<br>Joins FACILITY, OWNERFACILITY (relationship of owners to 'owned' facilities), OWNERCOMPANY, OFFICER. |
| SURVDLANDSURVTEAM | Surveyor Citations: This view is handy when you wish to report a list of surveyors and their citations for one or more survey. Note that since more than one surveyor may cite the same tag, it is possible to have more items listed then there are citations.<br>Joins SURVTEAM (Survey team list), SURVDL (Surveyor specific citations for a survey). |
| SURVEY_VW | Limited Survey Information: Limits the list of survey records to only those surveys the querying user is allowed to see, based on the survey exit date and their personnel record, plus all survey records with no exit date. If the querying user is not in the personnel table, the list is not limited.<br>From: SURVEY |

### 6.3.2 Available Functions

To construct more sophisticated reports, it is sometimes necessary to create complex, hard-to-maintain formulas and table joins to return information in a desired format.

The ASPEN database contains predefined functions which are used in ASPEN products and reports to return already translated or combined data elements. To minimize complex formula creation in ad hoc reports, report developers may take advantage of these existing ASPEN database functions.

Functions are a logical combination or translation of database fields across one or more related tables, and they may be utilized similarly to a single column in terms of report development. Functions take care of the process of converting, combining, or assembling desired data in advance, so the report developer doesn't have to do so.

Tables *6-4*, through *6-6* show useful ASPEN database functions.

**Table 6-4: Useful ASPEN Database Functions for Surveys and Tags**

| Function | Parameters | Returns | Usage Example | Description |
| --- | --- | --- | --- | --- |
| ASP_CITEMASTER.IsSQOC(Tag, Class, SS, IDR) | Tag number, regulation set class (**F** for federal, **S** for state), scope and severity in letter format (A-L), IDR status (01-11). | **1** if it is an SQOC tag;<br>**0** if it is not. | Select tag from survcite where Asp_citemaster.IsSQOC(Tag, RegClass, Asp_Server.ASP_GET_SS_CODE(scope, severity), IDRstat) = 1 and eventid = 'WXYZ11 | Determines if a particular tag is an SQOC tag by its tag number, regulation set class (Federal or State), letter Scope/Severity, and IDR status. Returns **1** if this is an SQOC tag. |
| ASP_SERVER.ASP_GET_SS_Code(Scope,Severity) | Scope and Severity in numerical format. | Scope/Severity value in letter format (A-L). | Select Asp_Server.ASP_GET_SS_CODE(SURVCITE.SCOPE,SURVCITE.SEVERITY) from SURVCITE where SURVCITE.EVENTID='XXXX11' | Converts numerical scope and severity values into letter format (A-L). |
| ASP_SERVER.GetSurvCategAbbrev(survcateg) | Survey type category code (A-M, 1-3, up to 5 characters). | Survey category descriptions. | select eventid, asp_server.GetSurvCategAbbrev(survcateg) from survey where facid = 'FACID | Same as above, but for survey type categories. EX: CMPIVT,INCERT instead of EA. |

## Table 6-5: Useful ASPEN Database Functions for Complaints

| Function | Parameters | Returns | Usage Example | Description |
|---|---|---|---|---|
| ACT_SERVER.CntIntakePendingInvest(FacID) | Facility ID. | Number of intakes for that facility that are not closed. | Select Name, act_server.CntIntakePendingInvest(FacID) from Facility where factype = '021 | Returns a count of the number of all non-closed intakes for a given facility. |
| ACT_SERVER.IsAckDtRequiredForInvest(InvestID) | Investigation ID (survey event ID). | **0** if not required for upload;<br>**1** if it is. | Select investid from csched where ACT_SERVER.IsAckDtRequiredForInvest(InvestID) = 1 and ack_dt is null | Determines if an acknowledgement date is required for a complaint investigation. A return value of 1 means it does, 0 means it does not. |
| ASP_SERVER.ASP_GetCompDLList( IntakeID, AllegationID) | Complaint Intake ID, Allegation ID. | List of tags, reg set ids, buildings liked the specified allegation and intake. | Select facname, cintake.intakeid, algid, asp_server.ASP_GetCompDLList(cintake.intakeid, algid) from cintake, comp_alg where cintake.intakeid = comp_alg.intakeid and investid = 'XYXY11 | Gets a complete list of all tags with regulation set id and buildings linked to an allegation for an intake. List items are separated by dashes. EX: 0353,FF01,00-0354,FF01,00. |
| ASP_SERVER.ASP_GetCompDLTagList (IntakeID, AllegationID) | Complaint Intake ID, Allegation ID. | List of tags liked the specified allegation and intake. | Select facname, cintake.intakeid, algid, asp_server.ASP_GetCompDLTagList(cintake.intakeid, algid) from cintake, comp_alg where cintake.intakeid = comp_alg.intakeid and investid = 'XYXY11.' | Like above, but only returns a list of tags. EX: 0314,0324,0353. |
| ASP_SERVER.GetClosReasonDesc( ReasonID) | The closed reason code (01 - 05). | The reason why an intake was closed. | Select intakeid, closed, asp_server.GetClosReasonDesc(closreason) from cintake where facid = 'FACID' | Returns a description of the closed reason. EX: Paperwork Complete instead of 01. |
| ASP_SERVER.GetPriorityDesc(Priority) | Intake priority code (A - H, can have multiple characters). | Priority descriptions. | Select intakeid, asp_server.GetPriorityDesc(priority) from cintake where facid = 'FACID | Same as above, but for intake priorities. EX: IJ, Non-IJ Admin Review/ Offsite Investigation instead of AE. |

## Table 6-6: Useful ASPEN Database Functions for General Purpose

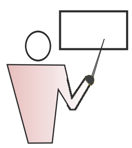
| Function | Parameters | Returns | Usage Example | Description |
|---|---|---|---|---|
| ASP_UTILS.GetCOI (employeeid, facility_internal_id) | Surveyor's employee ID, facility's facility internal ID. | Returns **1** if there is a conflict of interest, **0** if not | Select name, staffnm from facility, personnel where employeeid = '1111' and asp_utils.GetCOI(employeeid, facility_internal_id) = 1 | Determines if there is a conflict of interest between a facility and a surveyor. Returns 1 if there is a conflict, 0 if there is not. |
| ASP_UTILS.GetLookupValueDesc(tablename, columnname, value) | Table name, column name, and value to look up. | Returns the lookupvalue for the passed parameters. | Select asp_utils.GetLookupValueDesc('CINTAKE', 'CMPTYPEEXT', cmptypeext), asp_utils.GetLookupValueDesc('CINTAKE', 'STATUS', status), intakeid from cintake where facid = 'FACID' | Returns the lookupvalue give the table name, column name, and value. |
| ASP_UTILS.GetMostRecentCurrentCert (facility_internal_id) | The facility internal ID for a facility. | Returns the most recent, current, certification kit for a facility. | select facid, name, asp_utils.GetMostRecentCurrentCert(facility_internal_id) from facility where factype = '071' | Returns the TrackID of the most recent current certification kit given a facility ID. |
| ASP_UTILS.GetNHTargetDate(outlier, surveydate) | Outlier indicator, date of last survey. Should only be used for NHs. | Returns the target date for the next certification survey. | Select facid, lastsurvhlth, asp_utils.GetNHTargetDate(outlier, lastsurvhlth) from asp_facilitysummary where facid = 'FACID' | Determines the target date for NH certification surveys given the calculated outlier and last survey date. |
| ASP_UTILS.HHACalcTarget(survey frequency code, surveydate) | Survey frequency code and the exit date of the last survey. Should only be used for HHAs. | Returns the target date for the next certification survey. | select name, exit_date, asp_utils.HHACalcTarget(surv_freq_cd, exit_date) from surv1572, survey where survey.trackid = surv1572.trackid and eventid = 'XYXY11' | Determines the target date for HHA certification surveys given the survey frequency code and last survey date. |

**Table 6-6: Useful ASPEN Database Functions for General Purpose (cont.)**

| Function | Parameters | Returns | Usage Example | Description |
|---|---|---|---|---|
| ASP_UTILS.IsAvailStaffSchedule(employeeid, StartDate,EndDate) | Employeeid, start date, and end date. | Returns the number of scheduled activities for selected staff member. | Select staffnm, asp_utils.IsAvailStaffSchedule(employeeid, '01/01/2003','12/31/2004') from personnel where employeeid = 'EMPID' | Determines is a staff member has scheduled events for indicated date range (inclusive). |

## 6.3.3 Using Database Functions

## • Task 6-D: Using DB Functions in SQL Statements



SQL statements may be used in a variety of ways to read and format data from tables in a database. For example, executing a simple SQL statement such as SELECT FACID, NAME, MCARE_ID from FACILITY on the ASPEN database returns a simple list of facilities and their IDs.

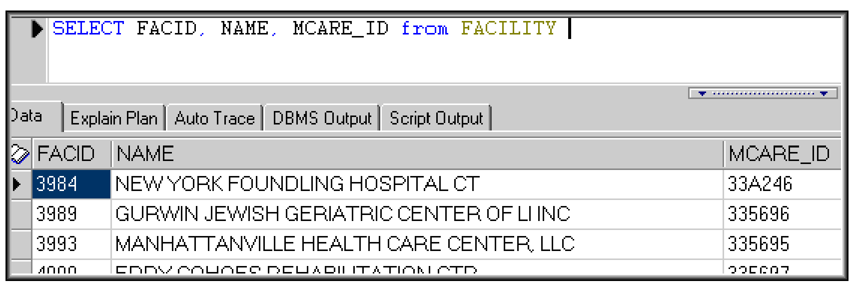



*Figure 6-9: Sample SQL statement and results*

At times, however, it's useful to use an SQL statement to reveal more than just existing columns in a table. Using DB functions is one way to cleanly view more complex data.

Since ASPEN uses an Oracle database, during this exercise we'll use Quest Software's Oracle tools product, TOAD, to demonstrate the use of DB functions within SQL statements.

**1** Open TOAD.

**2** Specify the database connection information. In this case use the **ASPEN_REPORTS** user. Again, remember to refer to the *QIES Security Manager Users' Guide* for instructions on the process of creating Oracle Read/Only login accounts.


*Figure 6-10: TOAD sign-in window*

**3** Click the SQL button (or go to Database menu, SQL Editor menu item) to open a SQL window. In the window, type the desired SQL query.

In this case we'll include an ASPEN Function in the query. Refer to the list of ASPEN Functions for usage instructions and examples. Type the following query to return a list of all tags in the SURVCITE table which are marked SQOC (Substandard Quality of Care):

```
SELECT EVENTID, TAG,SURV_DATE from SURVCITE
where MDSDBA.ASP_CITEMASTER.IsSQOC(
SURVCITE.Tag,
SURVCITE.RegClass,
ASP_SERVER.ASP_GET_SS_CODE(SURVCITE.scope,
SURVCITE.severity),
SURVCITE.IDRstat) = 1
```

**4** Click Execute Statement to run the statement against the ASPEN DB.

The ASP_CiteMaster.IsSQOC function returns the number 1 if the tag is SQOC; otherwise, it returns a 0. So the query returns a list of only SQOC tags, tags for which the IsSQOC function returns 1.

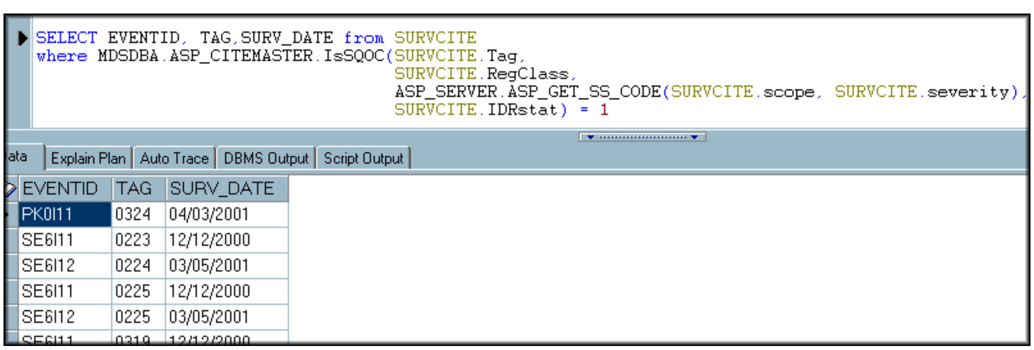
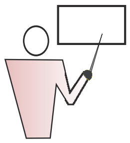



*Figure 6-11: Sample statement execution*

# • Task 6-E: DB Functions in User-Defined Reports



A Crystal Reports 10 reporting environment has been set up in advance for this exercise.

The purpose of this exercise is to understand the use of an ASPEN database function in an ad-hoc report. An already existing Crystal Reports 10 report, CliaSurveysDemo.rpt, will be used to demonstrate.

**1** Start Crystal Reports v10 by clicking the desktop icon.

**2** From the toolbar, click the **Open** icon (or File->Open). Locate the existing Crystal report, CliaSurveysDemo.rpt and open it.

**3** On the Field Explorer list, highlight the **SQL Expression Fields** item.

**Note:** If the Field Explorer pane is not visible, press the Field Explorer button in the main taskbar to open it.

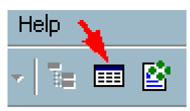



*Figure 6-12: Field Explorer icon*

**4** Click the **New** icon at the top of the Field Explorer pane.

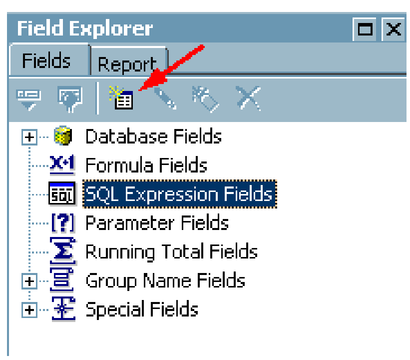



*Figure 6-13: New icon*

**5** On the SQL Expression Name window, enter the name of the SQL expression to create.

**6** Enter **SurveyCategories** and click **OK** to enter the Formula Workshop—SQL Expression Editor. SQL Expression Fields is automatically highlighted in the tree.

7 In the definition area of the editor, type the desired SQL expression. For this exercise, type the function call and parameters:

"ASP_SERVER".GetSurvCategAbbrev(SURVEY.SURVCATEG)

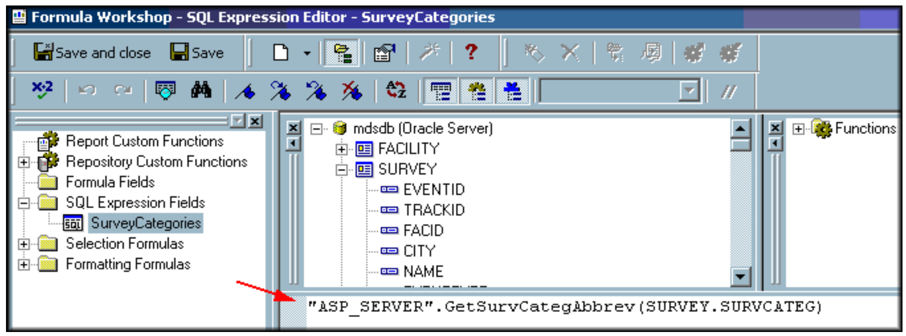



*Figure 6-14: Sample entry of function call and parameters*

8 Click **Save and Close**, which closes the Formula Workshop after prompting you to save changes. If you save changes, your SQL Expression is checked for errors.

9 To insert a SQL Expression into the body of the report, drag and drop it from the Field Explorer pane to the correct position on the report, or press the **Insert to Report** button at the top of the Field Explorer, then position it to the desired location on the report.

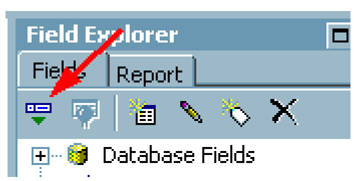



*Figure 6-15: Insert to Report icon*

10 Insert the SurveyCategories SQL Expression into the Detail section of the report to the right of the SURVCATEG field.

**11** Preview the current report by clicking on the **Preview** tab at the top of the window or by pressing the **F5** key, or by selecting the **Refresh Report Data** button from the Reports menu.

**CLIA Surveys since 2012**

Printed 06/14/2012

| | Event ID | Start Date | Exit Date | Survey Categories | |
|---|---|---|---|---|---|
| **ABC PEDIATRICS** | | | | | |
| | CPOG11 | 04/06/2012 | 04/06/2012 | M | OTHER |
| | CPOG12 | 05/09/2012 | 05/09/2012 | DM | REVST,OTHER |
| **ACCENT DERMATOLOGY AND LASER INSTITUTE** | | | | | |
| | LVCY11 | 03/04/2012 | 03/04/2012 | I | RECERT |
| | LVCY12 | 03/17/2012 | 03/17/2012 | ID | REVST,RECERT |
| **ADVANCED DERMATOLOGY & SKIN CANCER CTR** | | | | | |
| | Y2C311 | 02/09/2012 | 02/09/2012 | I | RECERT |
| **ADVANCED UROLOGY PC - SKYRIDGE** | | | | | |
| | 6H3111 | 03/16/2012 | 03/16/2012 | I | RECERT |
| | 6H3112 | 04/05/2012 | 04/05/2012 | ID | REVST,RECERT |
| **ALAN F STAGE MD A PROFESSIONAL** | | | | | |
| | EVLU11 | 01/05/2012 | 01/05/2012 | E | INCERT |
| | EVLU12 | 03/23/2012 | 03/23/2012 | ID | REVST,RECERT |
| **AURORA DAVITA DIALYSIS** | | | | | |
| | 8EHD11 | 02/02/2012 | 02/02/2012 | I | RECERT |
| | 8EHD12 | 02/28/2012 | 02/28/2012 | ID | REVST,RECERT |
| **BANNER HOME CARE-MCKEE** | | | | | |
| | KVP811 | 03/30/2012 | 03/30/2012 | A | CMPIVT |

*Figure 6-16: Sample Report using Database Functions*

## *Primary Reporting Entities and Relationships*

When creating custom reports, knowing the ASPEN data components that contain the desired report elements is helpful. Selecting the appropriate data for the report can mean the difference between an accurate and a misleading report. The following data entities may be useful in a variety of custom reports.

### *Facility (Provider) Entity*

The Facility entity is represented by a master facility table that provides details describing each provider in the system. This table maintains both primary demographic data as well as summary information from related detail tables such as facility type properties, current administrator, current operating status, assigned organization units, beds, ownership and administration, to a few classes of related data describing a provider.

**Note:** The use of the word 'Entity' when describing databases, is simply a generic way to refer to all the 'things' that information in a database represents.

ASPEN entities, of course are its facilities, surveys, certifications, complaints, citations, enforcement, etc, as well as many secondary 'entities' such as buildings, IDR/IIDR, owners, administrators, beds, etc.

ASPEN facility table relations is referred to as a 'star' design in that it has a single master table (FACILITY), surrounded by details tables (e.g., facility types, administrators, etc.) which maintain summary information on this master table.

**Primary Entity Table:** FACILITY
**Primary Key:** FACILITY_INTERNAL_ID

**Working Key:** FACID State Facility ID (FacID should be used when joining the FACILITY table to other related tables - this key field value is displayed on the Facility Properties screen). The rule of thumb is that survey-related tables are joined using FacID, as these have counterpart tables in ASE-Q, and ASE-Q does not support the FACILITY_INTERNAL_ID identifier.

**Table 6-7: Facility (Provider) Entity Table**

| Related Table | Relationship Type | Relation Key |
|---|---|---|
| FACILITY_EX - Extended facility information used mainly internally within ASPEN but also includes the facilities' 'Note Pad' notes. | Extension 1:1 | Facility_Internal_ID Number(10) |
| FACTYPE - Facility Types: provides lookup details describing properties of each facility type. Provider Category and Category Abbreviations fields are 'de-normalized' (copied) from the FACTYPE lookup table to FACILITY. | Lookup 1:1 | FacType Char(3) |

**Table 6-7: Facility (Provider) Entity Table (cont.)**

| Related Table | Relationship Type | Relation Key |
|---|---|---|
| ZIPLOOKUP - Master lookup for county code, county name, city, state based on zip code. These fields are 'de-normalized' (copied) from the lookup table and stored on the FACILITY table. | Lookup 1:Many | Fac_Zip VarChar2(11) Join on 1st 5 positions only. |
| MGMTUNIT - Management Units Management Unit Abbreviation is copied to FACILITY. | Lookup 1:1 | MgmtID Char(4) |
| PERSTEAM - Work Units Work Unit Abbreviation is copied to FACILITY. | Lookup 1:1 | TeamID Char(4) |
| ADMINFAC - Facility Administration history. Current active administrator is copied to FACILITY. | Detail/History 1:Many | FacID VarChar2(16) |
| BRANCHLINK - Affiliated providers or additional work locations (i.e., branch, satellite office). See also HHA_CERTBRANCH table in ASPEN dictionary for details on HHA branch certification. | Detail/History 1:Many | Facility_Internal_ID Number(10) |
| BUILDING - Buildings/Wings related to each provider | Detail/History 1:Many | FacID VarChar2(16) |
| BEDSUMMARY -- Facilities bed capacity history. Most current bed summary is copied to FACILITY. | Detail/History 1:Many | Facility_Internal_ID Number(10) |
| FACMAIL - Additional facility mailing addresses. Primary address de-normalized/copied from detail table to FACILITY. | Detail/History 1:Many | Facility_Internal_ID Number(10) |
| FACSRV - Services provided by a facility. | Detail/History 1:Many | Facility_Internal_ID Number(10) |
| OWNERFACILITY - History of facility ownership and ownership details. Current owner of operations copied to FACILITY. | Detail/History 1:Many | Facility_Internal_ID Number(10) |

### *Certification Entity*

The certification entity is represented by a set of related tables used for maintaining certification tracking information, the details of a certification such as the provider application and related CMS forms (e.g., CMS-672 Resident Census for nursing homes), and the survey and citation outcomes of inspections (See separate Survey Entity and Citation Entity sections below for more information).

Note that not all CMS Application Form tables are relevant for each provider. Only the form tables specific to a given category are applicable (See *"Certification Views" on page 270.*).

### Certification Primary Relationships

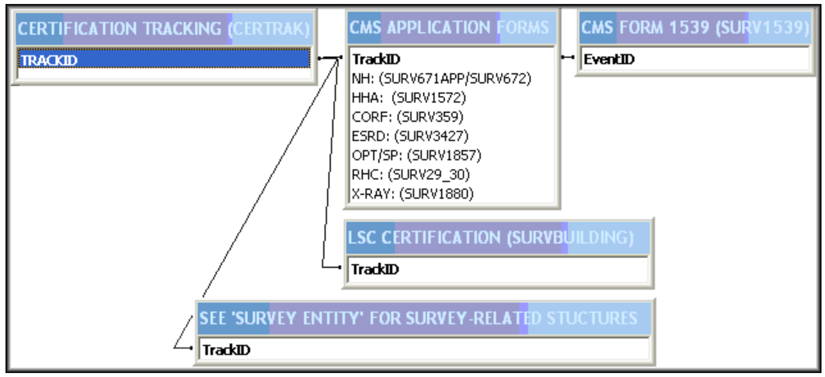



*Figure 6-17: Certification Primary Data Relationships*

**Primary Entity Table:** CERTRAK

**Primary Key:** TRACKID

ASPEN's CERTRAK table tracks all certifications including status, upload to ODIE transaction information, and key dates. Its primary relationships are to the CMS-1539 table, and to the tables that represent the application form for each provider category.

ASPEN's certification record, stored in the CERTRAK table, maintains a history of provider information for each certification. This includes name, addresses, and category information. This supports ASPEN's ability to maintain a single master facility record in the FACILITY table, which may represent multiple provider records in ODIE due to change of status.

ASPEN automatically synchronizes changes to the master facility record with certifications related to that same Medicare ID.

**Note:** A single facility record in ASPEN may relate to more than one provider in OSCAR. This is due to ASPEN's support for change of status between Medicare and Medicaid programs. This results in the issuance of a new Medicare ID for which a new provider record will be created in OSCAR.
ASPEN's certification table, CERTRAK, maintains the details of this relationship between one provider record in ASPEN and multiple provider records in OSCAR.

**Table 6-8: Certification-related Tables**

| Related Table | Relationship Type | Relation Key |
|---|---|---|
| SURV1539 - CMS Form 1539 required for all certifications. | Extension 1:1 | CERTRAK.TrackID= SURV1539.EventID Char(4) |
| Provider-Category-Specific Certification Forms:<br><br>NH: SURV671APP/SURV672<br>HHA: SURV1572<br>CORF: SURV359<br>ESRD: SURV3427<br><br>OPT/SP: SURV1857<br>RHC: SURV29_30<br>X-RAY: SURV1880 | Extension 1:1 | TrackID Char(4) |
| SURVBUILDING - Building certifications for categories requiring LSC survey. | Detail 1:Many | TrackID Char(4) |
| Certification-related Survey and Citation data - See Survey and Citation entities below. | Detail/History 1:Many | TrackID Char(4) |
| SURV1557 - ODIE Director information for CLIA surveys. | Extension 1:1 | CERTRAK.TrackID= SURV1557.EventID Char(4) |

### *Survey (Visit) Entity*

Each survey record in ASPEN represents a visit to a provider, conducted as part of a process, such as a certification or complaint investigation.

Primary relationships describe the details of the survey process including team composition, regulations reviews, plan of correction, tracking, and citations (See “Citation Entity” on page 287).

#### Survey Primary Relationships

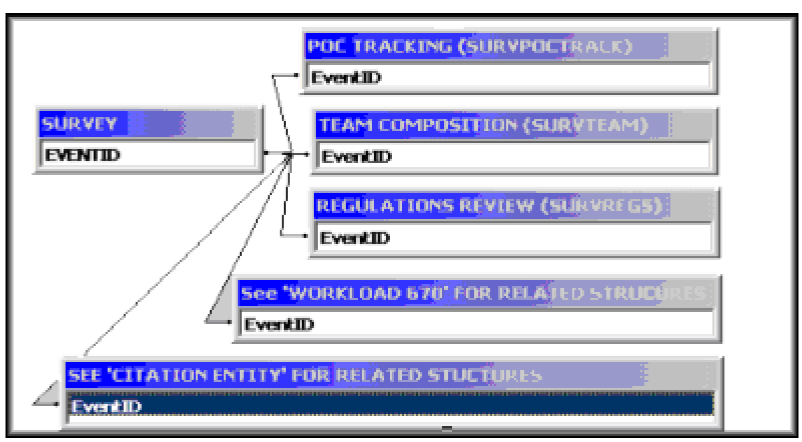



*Figure 6-18: Survey Primary Data Relationships*

**Primary Entity Table:** SURVEY
**Primary Key:** EVENTID

ASPEN's SURVEY table tracks every visit made to facilities as part of some process. A process may be a certification, a complaint, or a stand-alone state licensing process. A process may be made up of multiple visits or survey records. For instance, a certification process may have a standard visit and several follow-up visits associated with it. These high-level processes are connected to all their related survey visit records in the SURVEY table by the TrackID field. The TrackID is shared by all survey records in SURVEY related to the same process.

ASPEN's survey table is related to many other tables with important survey details:

**Table 6-9: Tables Related to Survey Table**

| Related Table | Relationship Type | Relation Key |
|---|---|---|
| SURVTEAM - Survey team composition for each visit. | Detail 1:Many | EventID Char(6) |
| Citation-Related Entities - There are large number of tables which maintain citation information related to survey visits. See the 'Survey' entity section below. | Detail 1: Many | EventID |
| 670 Workload-Related Entities. The include the SURVTEAM and SURVTEAM670 records for team and staff totals by survey category as well as SURVOFCHOUR with administrative workload hours by survey category. | Detail 1:M | EventID Char(6) |
| SURVREGS - Regulations sets assigned to the survey process. It is common that more than one regulation will be used for the survey. | Detail 1:M | EventID Char(6) |
| SURVPOCTRACK - This relationship maintains details of the CMS-2567 process, POC received and signoff dates | Detail 1:M | EventID Char(6) |
| CSCHED - Complaint investigation table includes summary-level data on allegation, notification and tracking dates, and disposition. | Extension 1:1 | SURVEY.EventID= CSCHED.InvestID Char(6) |

### *Citation Entity*

ASPEN maintains citations at two levels:

- **Detail**—A citation detail level tracks the properties of each citation for each survey visit. Each citation may have several records for a given process, such as a complaint or certification, which represent the status of the citation as it moves through citation and correction within any given process as it occurs on several visits. The SURVCITE table maintains these longitudinal records for each citation.
- **Summary**—A citation summary level is also maintained by ASPEN. In this case, a single citation record is maintained for each citation within a given process. This summary table is the CERTCITE table. Where SURVCITE may have three records tracking a citation started on a standard recertification visit and which took two revisits to correct, the CERTCITE will represent this with one summary record. This CERTCITE table is the source for citation information as it is transmitted to the national systems (e.g., ODIE/OSCAR).

As surveyors create, modify, and delete citations, they are acting directly on the SURVCITE table. ASPEN automatically and instantly maintains CERTCITE as such changes are made to SURVCITE.

Each survey record in ASPEN represents a visit to a provider conducted as part of some process such certification or complaint investigation.

Primary relationships that describe the details of the survey process include team composition, regulations reviews, plan of correction, tracking, and citations.

### Citation Primary Relationships

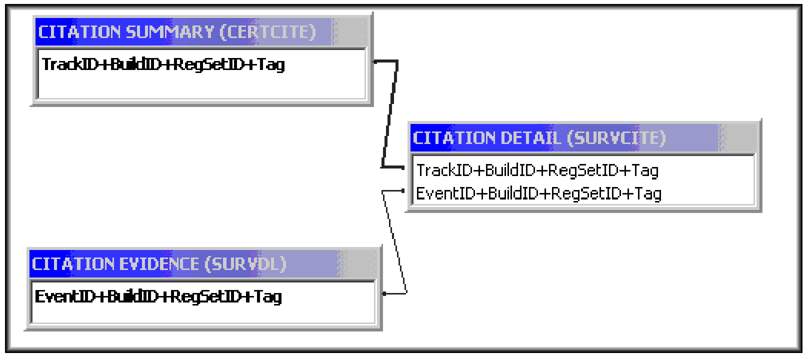



*Figure 6-19: Citation Primary Data Relationships*

**Primary Entity Tables:**
SURVCITE (Detail), CERTCITE (Summary)

**Primary Key:**
EVENTID+BUILDID+REGSETID+TAG,
TRACKID+BUILDID+REGSETID+TAG (respectively).

## Table 6-10: Citation Primary Relationships

| Related Table | Relationship Type | Relation Key |
|---|---|---|
| SURVCITE (Detail) to CERTCITE (Summary) Relationship between visit specific detail records for each processes' citation and citation summary record. | Detail/Summary Many:1 | TrackID + BuildID + RegSetID + Tag |
| SURVDL - Deficiency evidence text for each surveyor contributing evidence to a visit specific instance of a citation. | Detail 1: Many | EventID + BuildID + RegSetID + Tag |

### *Investigations Entity*

The Investigation entity is represented by an investigations table that provides details describing each complaint/incident investigation in the ASPEN system.

This investigations table, CSCHED, maintains basic and summary information about both standard and Quick Entry 562 Investigations. This table also serves as the framework for the upload of CMS-562 data from ACTS to OSCAR.

A record in the CSCHED table has a 1:1 relationship with a standard survey record in the SURVEY table.

**Primary Entity Table:** CSCHED

**Primary Key:** INVESTID

ASPEN's CSCHED table tracks investigations of facilities for complaint/incident processes, either Federal or State licensure. The main investigation record in CSCHED is related to its corresponding survey record by the INVESTID field - CSCHED.InvestID relates to SURVEY.EventID.

If applicable, follow-up (revisit) surveys relate to a CSCHED record by the first five positions of the INVESTID field. For example, Life Safety Code investigation ABCD21 links to survey record ABCD21. Any follow-up surveys can be identified by the ABCD2 prefix (e.g., ABCD22, ABCD23).

ASPEN's investigation table is related to other tables with important complaint/incident details, these include:

**Table 6-11: Investigation Table Relationships**

| Related Table | Relationship Type | Relation Key |
|---|---|---|
| SURVEY - Survey/visit record. | 1:1 | InvestID-EventIDChar(6) |
| CINTAKE - Complaints or incidents investigated during the investigation process. | Detail 1:Many | InvestID Char(6) |
| PROACTINVEST - Proposed and imposed actions information for the investigation. | Detail 1: Many | InvestID Char(6) |
| COMP_DL - Summary of deficiencies linked to allegations for the investigation. | Detail 1:Many | InvestID Char(6) |

### *Complaints/Incidents Entity*

The Complaint entity is represented by an intake table that provides details describing each complaint/incident in the ASPEN system.

This intake table, CINTAKE, maintains basic and summary information about complaints and incidents.

**Primary Entity Table:** CINTAKE

**Primary Key:** INTAKEID

ASPEN's CINTAKE table tracks information taken in concerning a complaint or an incident. The sheer variety of data required for a complaint/incident means that a number of ancillary tables are needed, such as CMS 2802 data (HCFA2802) and allegations (COMP_ALG). Also, almost all complaint information that ASPEN tracks can be associated with an intake in some way; this led to creation of multiple "linking" tables (such as AGINTAKE, RESINTAKE).

Intakes are meant to be used in conjunction with investigations so any CINTAKE record can be linked to a CSCHED record for the same facility. Quite a bit of data is shared between these two entities - items like the Proposed Actions and the Investigation Date actually belong to the investigation even though they appear on the intake input form.

Other tables are used to store aspects of individual intakes or correspond to intakes in some way. These are listed below:

**Table 6-12: Tables Related to CINTAKE**

| Related Table | Relationship Type | Relation Key |
|---|---|---|
| HCFA2802 - Additional Deemed/Accreditation information | Detail 1:1 | IntakeID Varchar(10) |
| EMTALAINTAKE - Additional EMTALA information | Detail 1:1 | IntakeID Varchar(10) |
| COMP_ALG - List of intake allegations | Detail 1:Many | IntakeID Varchar(10) |
| AGINTAKE - Link to referral agency | Detail Many:1 | IntakeID Varchar(10) |
| CMPINTAK - Link to a complainant | Detail 1:Many | IntakeID Varchar(10) |
| RESINTAKE - Link to a resident | Detail 1:Many | IntakeID Varchar(10) |
| PERPINTAK - Link to a alleged perpetrator | Detail 1:Many | IntakeID Varchar(10) |
| CINTAKERESP - List of responsible parties | Detail 1:Many | IntakeID Varchar(10) |
| DEATHINTAKE - List of residents whose death is associated with the use of restraints/seclusion | Detail 1:Many | IntakeID Varchar(10) |
| CROSSLINK - List of associated intakes | 1:Many | IntakeID Varchar(10) |
| CONTACTS - List of relevant contacts and witnesses | Detail 1:Many | IntakeID Varchar(10) |
| INVACTIONS - Activities relevant to this intake | Detail 1:Many | IntakeID Varchar(10) |
| LETTHIST - Letters that were sent concerning this intake | 1:Many | IntakeID Varchar(10) |
| NOTIFICATION - Notifications that were made concerning this intake | 1:Many | IntakeID Varchar(10) |
| HOTLINE - Hotline records may be associated with an intake | 1:1 | IntakeID Varchar(10) |
| ATTACHMENTS - Files that are attached to this intake | Detail 1:Many | IntakeID Varchar(10) |
| COMP_DL - Deficiencies linked to allegations for the intake. | Detail 1:Many | IntakeID Varchar(10) |

### *Enforcement Case Entity*

The Enforcement case entity is represented by an enforcement case table that provides details about each enforcement case in the ASPEN system.

This enforcement case table, ENF_CASE, maintains basic and summary information about enforcement cases.

**Primary Entity Table:** ENF_CASE

**Primary Key:** ENF_INT_ID

ASPEN's ENF_CASE table tracks enforcement cases of facilities, either Federal or State licensure.

ASPEN's enforcement case table is related to other tables with important enforcement case details, which include:

**Table 6-13: Tables Related to ENF_CASE**

| Related Table | Relationship Type | Relation Key |
|---|---|---|
| SURVEY - Survey/visit record. | Detail 1:Many | Enf_Int_ID Char(6) |
| ENF_WORKERS - Cases Workers assigned to the enforcement case | Detail 1:Many | Enf_Int_ID Char(6) |
| ENF_REMEDIES - Remedies on the enforcement case | Detail 1:Many | Enf_Int_ID Char(6) |
| ENF_CMP - Civil Money Penalties for the enforcement case | Detail 1: Many | Enf_Int_ID Char(6) |
| ENF_APPEAL - Appeals/Hearings for the enforcement case. | Detail 1:Many | Enf_Int_ID Char(6) |
| ENF_IJ_SITUATION - IJ Situations for the enforcement case | Detail 1:Many | Enf_Int_ID Char(6) |
| LETTHIST - Letters created for the enforcement case. | Detail 1:Many | Enf_Int_ID - EventID Char(6) |

### *Work Unit (Team) Entity*

The Work Unit entity is represented by a table (PERSTEAM) that provides details describing each work unit in ASPEN. Use of work units is optional in ASPEN, so some states may not have any defined. However, if a state has created work units, this PERSTEAM table maintains all team data, which includes ID, description, abbreviated description, basic team leader information, Health or LSC team type, and a link to Management Unit.

**Primary Entity Table:** PERSTEAM

**Primary Key:** TEAMID - Defined by the state user, the team ID is a unique identifier of the work unit. This field should be used when joining the PERSTEAM table to other related tables - FACILITY, CINTAKE, etc.

**Table 6-14: Tables Related to PERSTEAM**

| Related Table | Relationship Type | Relation Key |
|---|---|---|
| MGMTUNIT- Each team may be assigned to one management unit. | Lookup 1:1 | MgmtID Char(4) |
| PERSONNEL - Staff table provides lookup for identifying the team leader of the work unit. Also, each staff in the PERSONNEL table may be assigned to a particular work unit. Personnel leader name field is 'de-normalized' (copied) from the PERSONNEL lookup table to WORKUNIT. | Lookup 1:1 | StaffID Char(5) |
| FACILITY - Many facilities may be assigned to each PERSTEAM record via the Associations page of ACO's Facility Properties form. | Detail 1:Many | Facility_Internal_ID Number(10) |
| LETTBATCH - Groups of letters may be batched and printed together based on the work unit/team of the facility. | Detail 1:Many | FacID VarChar2(16) |
| CINTAKE - Complaint/Incident intake records may be assigned work units/teams indicating Location Received (Origin) and/or Responsible Team (FOAssign). | Detail 1:Many | Origin - Char(4)<br>FOAssign - Char(4) |

# Section 7. Security, Access Control and Encryption

***Included in this section:***

# 7.1 Access Control: Overview of Features

ASPEN provides several methods for SA and CMS RO ASPEN administrators to assign access rights to users. Together these tools let administrators assign security and access rights at a very detailed level of system functionality.

ASPEN products that use the Oracle database currently include ACO, ARO, ACTS, AEM and AST. These applications share the same security features. Security functions for the laptop version, ASPEN Survey Explorer-Quality (ASE-Q), are discussed separately at the end of this section.

- ASPEN products don't require Oracle Database user accounts, access profiles, or grants.
- All ASPEN products (except ASE-Q) use Oracle as the primary database for information storage. However, security and access control information for ASPEN users is maintained internally within the ACO, ARO, ACTS, and AEM applications.
- It is not necessary for ASPEN coordinators to create user accounts or configure database access separately with the Oracle database; instead, these tasks are performed entirely within the ASPEN software as described in this sections.
- Direct access to the Oracle database server is not required for proper configuration of ASPEN system access.

## 7.1.1 State Agency and CMS Regional Office Security Differences

Security for SA users and RO users is maintained by their respective ASPEN coordinators. A State coordinator may not view, assign, or alter security for CMS RO users, and vice versa. Of the three access control options available, only two are available for CMS RO users: Menu Security and Tab/Button security. Facility type security is provided only for State ASPEN users.

## 7.1.2 Access Control: Options, Default Behavior, and Security Domain

Three security and access control options are provided for ASPEN Oracle-based products. These may be used individually or in conjunction. Access control options are described as follows.

## *Menu Security*

The Menu Security feature provides the principal method for assigning system access privileges to ASPEN users. Menu Security can be 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.

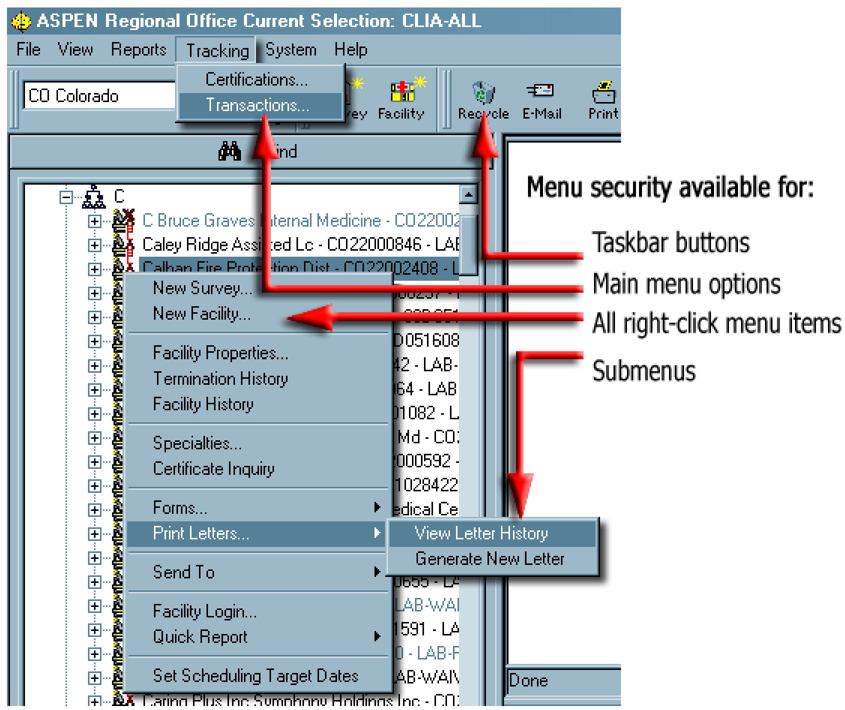



*Figure 7-1: Menu Security—Assignment Options.*

Menu Security is a profile-based access control method. When you use Menu Security, you first assign users to security groups or 'profiles'. These groups are in turn granted specific permissions to each ASPEN function as needed.

### ***Security Access Level Options***

Menu Security access levels are Read/Write, Read-Only, and No Access.

### ***Default Behavior***

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.

### *Security Domain*

Menu Security is available for State applications ACO, ACTS, AEM and AST, and for CMS RO applications ARO, ACTS-RO, and AEM-RO. However, Menu Security is assigned and effective within each distinct ASPEN product.

Even though ASPEN products share many functions, the same function must be granted access rights specific to each application. Furthermore, within States, users of ASPEN products may not set or change security for CMS RO users, and vice versa. Note that security for the forthcoming AEM product is shared with ACO/ARO users since the ASPEN enforcement system is integrated into the ACO/ARO product.

Table 7-1: summarizes Menu Security configuration among applications:

**Table 7-1: Security by application**

| Application | ACO | ARO | AEM | ACTS | ACTS/ RO |
|---|---|---|---|---|---|
| **ACO** | -- | Not Shared | Shared (SA) | Not Shared | Not Shared |
| **ARO** | | -- | Shared (RO) | Not Shared | Not Shared |
| **AEM** | | | -- | Not Shared | Not Shared |
| **ACTS** | | | | -- | Not Shared |
| **ACTS/RO** | | | | | -- |

### *Tab/Button Security*

ASPEN's Oracle-based products provide administrators the ability to fine-tune Menu Security with Tab and Button Security. Tab/Button Security works within the context of displayed data entry windows (e.g., Certification Manager, Intake Manager, etc.), and is used to assign access privileges to specific display tabs and buttons that perform special tasks within the Window (*Figure 7-2*).

**Note:** Assigned privileges are additive to Menu Security assignments. Tab/ Button security can only further restrict privileges assigned by Menu Security, but never relax access limits assigned through Menu Security.
Therefore, Tab/Button Default Behavior is relevant to existing Menu Security assigned to the same window.

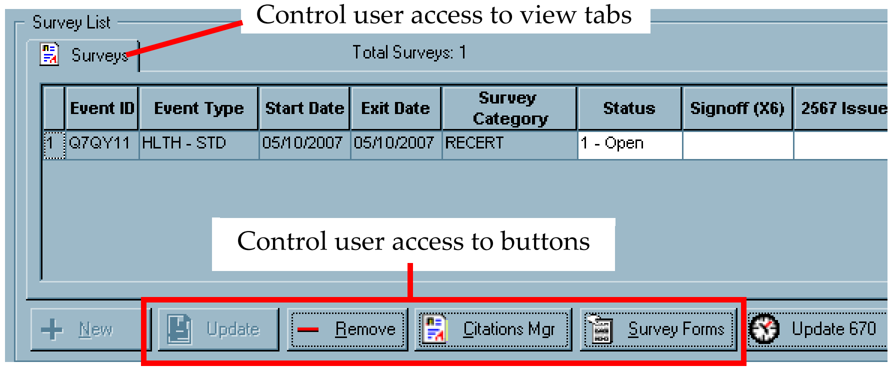



*Figure 7-2: Tab/Button Security—Assignment Options*

Together with Menu Security, Tab/Button Security provides a powerful and easy-to-use method for controlling access privileges with the ASPEN suite. Like 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'. These groups are in turn granted specific permissions or rights to each ASPEN function as needed.

### *Security Access Level Options*

Tab/Button Security access levels are Read/Write, Read-Only, and No Access.

### *Default Behavior*

Unlike Menu Security, Tab/Button Security allows full access to Tab Views and action Buttons until the administrator explicitly limits this access with 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.

### *Security Domain*

Tab/Button Security is available for State applications ACO, ACTS, and AEM and for CMS RO applications ARO, ACTS-RO, and AEM-RO. Tab/Button Security is assigned and maintained within the same application domain as described above in the Menu Security section.

## *Facility Type Security*

The third access control method in ASPEN is Facility Type Security. This security type is not based on controlling access to functions in ASPEN; it controls access based on the type of facility a selected function is acting on.

For each facility type in the system, including both Federal and State categories, the ASPEN administer may assign access rights to each user.

---

**Note:** Facility type security assignments are combined with both Menu and Tab/Button Security assignments such that a user will be granted the most restrictive access assigned across security types related to the selected action.

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 will not be able to change survey information even though they are granted Read/Write Facility Type access.

---

Unlike Menu and Tab/Button Security, Facility Type Security is not profile- or group-based. Instead, for each facility type in the system, including both Federal and State categories, the ASPEN administer may assign access rights directly to each user.

Facility Type Security controls the providers a user sees when in ASPEN. If a user is granted Read/Write or Read-Only Access to a facility type, then facilities of that type appear in ASPEN's Tree and List views, and the user may execute actions selected from menus of those facilities. While users with Read-Only Facility Type access may view facilities of that type, any action they take will be in read-only mode. That is, they may view displays and dialogs in ASPEN, but they may not change information for facilities of that type.

### *Security Access Level Options*

Facility Type Security access levels are Read/Write, Read-Only, and No Access.

### *Default Behavior*

Facility Type Security is either 'activated' and in effect, or not activated. Activation of Facility Type Security occurs in ACO under the System|System Configuration|State Customization menu command. In ACTS, activation is found under the System|Security|Facility Types command.

**Note:** While ACO and ACTS share Facility Type Security assignments, this security type may be activated separately under each application.

All users, by default, have no access privileges to all facility types. Therefore, if Facility Type Security is activated before explicitly granting access to users under the Facility Type Security manager, users will be locked out of all facilities.

### *Security Domain*

Facility Type Security is available for State Agencies only in ACO, ACTS, AEM, and AST - it is not supported for CMS RO ASPEN products. Unlike Menu and Tab/Button Security, Facility Type Security is shared across all ASPEN products for which it is available. If a user is assigned the Facility Type Security privilege of Read-Only for Nursing Homes in ACO, then that user will automatically be restricted to Read-Only access to Nursing Homes in ACTS.

## *Survey Schedule Security*

Affecting all ASPEN products is the ability to limit viewing of survey events scheduled in the future. This is to protect against pre-notice of a facility 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 tab of the staff information dialog. For instance, ACO can be configured to prevent access or viewing of future surveys for a surveyor who otherwise has facility type and menu based security allowing access to survey information.

Schedule security may be configured in two ways: to prevent viewing of any future survey; or the limit may be applied to viewing of future survey 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 prevent viewing of more distant scheduled events - perhaps 14 days or more in the future.

If schedule security is active for a user, surveys not meeting selection criteria will be prevented from any view throughout the ASPEN system including tree view, list views, display dialogs as well as any hardcopy report.

#### *Security Access Level Options*

Survey Scheduling Security has two functional access levels: either a survey is removed from view if it does not meet scheduling security criteria for the user, or it will be viewable and the user will be granted access according to the access granted under facility type and menu security.

#### *Default Behavior*

Survey Scheduling Security is either 'activated' and in effect, or not activated. Activation is on a user-by-user basis. By default, no scheduling security is active - it must be explicitly turned on for each user by the ASPEN administrator.

#### *Security Domain*

Survey Schedule Security is available for SAs only and affects ACO, ACTS, AST and AEM - it is not supported for CMS RO ASPEN products. Unlike Menu and Tab/Button Security, Survey Schedule Security is configured once in ACO and shared across all ASPEN products for which it is available.

### *Survey Team Security*

Survey Team Security provides a means of preventing state users from viewing or modifying surveys to which they are not assigned as a team member. Survey Team security applies to the following areas of ASPEN:

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

Survey view security does not apply to ARO or ACTS/RO.

ASPEN system administrators may assign Team Security in one of two ways:

**1** Team Security management is an extension to the existing security group profiles within the Security Manager as follows:

- The security group right-click menu has a new command, Survey View Security.
- Members of the group shall have the following access level options for viewing surveys when they are not a team member:
    - View Only
    - View and Update

- Security groups in the security manager tree display in green (current default) when View/Update access is allowed for members of a group, and in yellow when View Only is set.
- Survey Team view security shall be imposed at the time the user attempts to access a survey via any ASPEN tree or input interface (e.g., certification or complaint investigation).

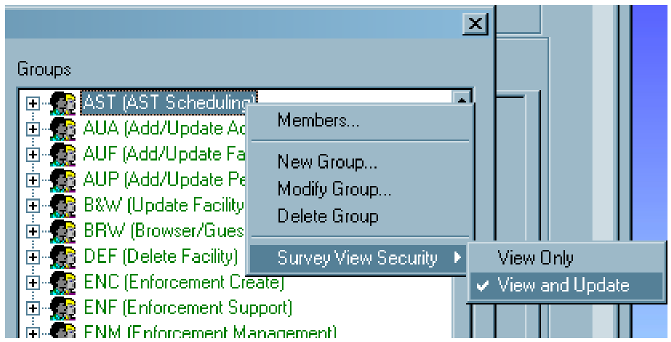



*Figure 7-3: Security group access levels*

**2** The ASPEN staff maintenance dialog provides an option labeled 'Access control for non-assigned surveys', which allows an ASPEN administrator to assign the following levels of Team access security:

- Read/Write Access.
- Read-Only Access.

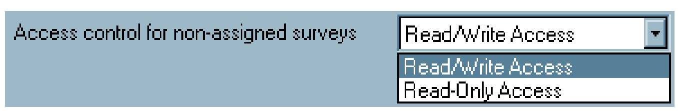



*Figure 7-4: Security options in the staff record*

With Read-Only Access, the user may only view Citation Manager, IDR Manager, and CMS 670 information for surveys to which he or she is not assigned.

### *Default Behavior*

Survey Team Security is used to exclude users from accessing surveys. By default, a user has access to surveys unless they are explicitly limited by this Team Security.

### *Security Domain*

Survey Team Security is available for State Agencies only and affects ACO, ACTS, AST, and AEM - it is not supported for CMS RO ASPEN products or ASE-Q. Unlike Menu and Tab/Button Security, Survey Team Schedule Security is configured once in ACO and shared across all ASPEN products for which it is available.

## *Activating New Security Assignments*

When updating the Security Manager for Menu or Tab Security, or when new Facility Type settings are assigned, the changes immediately impact the session of the administrator making the change. However, for other users with active sessions, security changes become effective upon their next login.

## *Multiple Group Assignment*

Under Menu and Tab/Button security, a single user may be assigned to more than one security group. These groups may have different security assignments for the same ASPEN function. In this case, ASPEN will grant the user the least restrictive security for that function across the various groups to which that user belongs.

If a user belongs to a 'Surveyor' group with Read-Only Access to a certification form CMS-1539, but also belongs to a 'Supervisor' group with read/write access to that same tab, then ASPEN assigns the more lenient read/write access when the user attempts to access the CMS-1539 tab.

## *Security Type Precedence*

As a user navigates in ASPEN, selecting menu commands to display screens, and clicking buttons within these windows, the order of the security types encountered is:

1. **Survey Schedule Security**
2. **Facility Type**
3. **Menu Security**
4. **Tab/Button**

In this case, the actual security level applied to any action is determined by the *most restrictive* of the security types applicable to the function performed.

For example, in ACTS, if a user is granted read/write Menu Security access to the Modify Intake function (which displays the Intake Manager), but is granted Read-Only Access to the Allegations tab of the Intake Manager under Tab/Button Security, then ASPEN will grant that user the more restrictive Read-Only Access to the Allegations tab.

When evaluating the proper access level to grant a user for a given function, ASPEN first determines the most lenient level assigned to each group profile the user belongs to which has a security setting for the given function. This is performed for both Menu and Tab/Button security as needed. Then ASPEN assigns the most restrictive between the security types.

## • Task 7-A: Open the Security Manager from the System Menu

Although they control different aspects of the ASPEN system, Menu Security and Tab/Button Security share the same Security Manager interface. You can open the Security Manager from the System menu, or directly from any menu or taskbar button for which Menu Security is to be assigned. For Tab/Button Security, the Security Manager can be opened directly from any Tab or Button for which security assignment is desired.

When opening from a menu or button, that item will automatically be highlighted in the Menu Security Manager window.

We will open the Security Manager from the System menu in ACO:

**1** From ACO, select **System** | **System Configuration** | **Operations Security**.

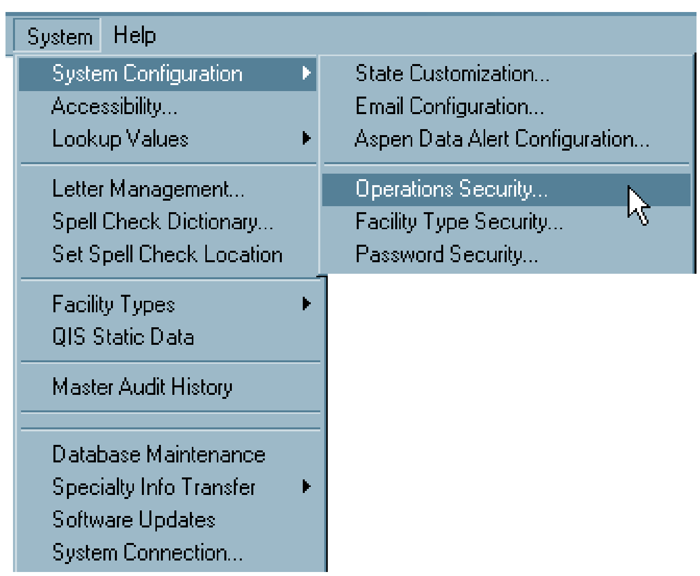



*Figure 7-5: Opening Security Manager in ACO*

Or... ***In ARO Mode:***

1 Select **System** | **System Configuration** | **CMS Custom** to display the Regional Offices setup screen.


*Figure 7-6: RO Access Security*

2 Click **Set RO Access Security** to display the Menu Security Manager.

3 If this is the first time you are opening the Menu Security Manager in the current session, you will have to enter the Menu Security Password.

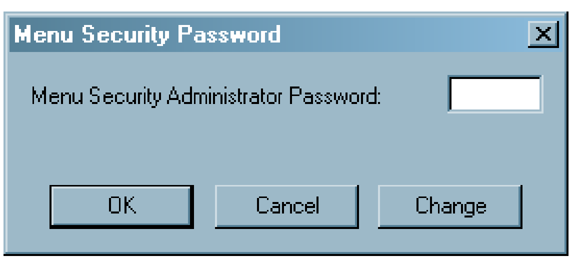



*Figure 7-7: Security Password window*

The Security Manager appears with ACO menus and taskbar buttons as well as tabs and buttons controlled by Tab/Button Security listed on the left side of the window, and with Security Groups or profiles on the right side.

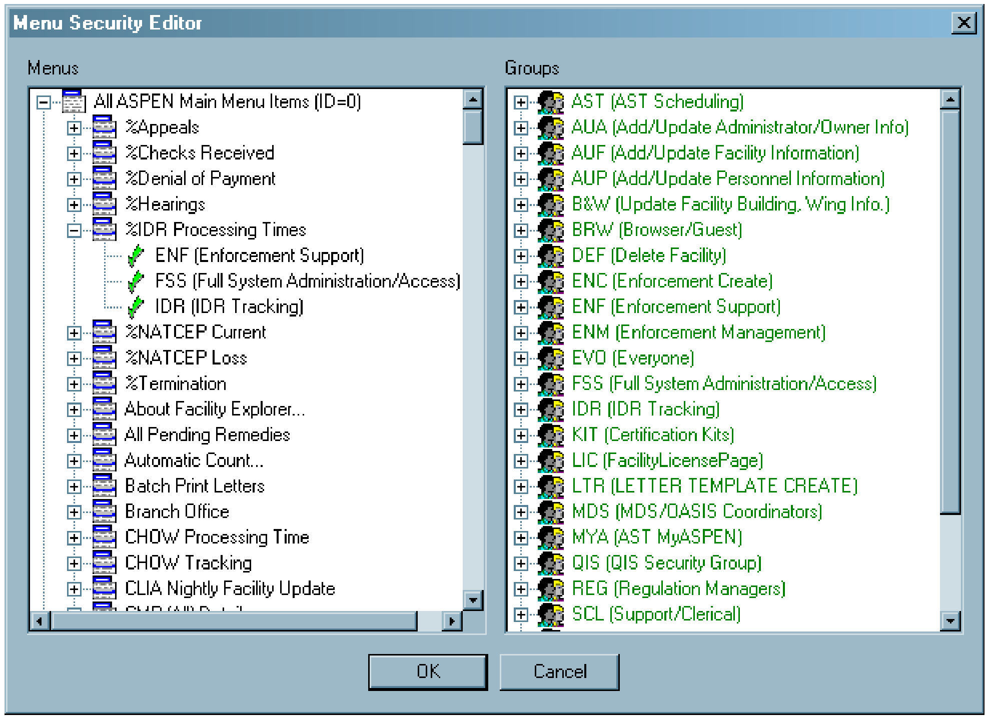
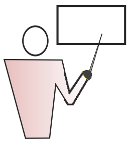



*Figure 7-8: ASPEN Security Manager*

# • Task 7-B: Open the Security Manager from a Menu Command



We will open Security Manager from the Survey Properties command.

**1** In ACO, go to the **Alpha** tab.

**2** Locate a facility whose name starts with your training letter, and expand the facility as needed to list its surveys.

**3** Right-click a survey to display the shortcut menu associated with it.

**4** Control-click Survey Properties to open the Security Manager for this item.

If this is the first time you are opening the Security Manager in the current session, you will have to enter the Menu Security Password.

The Security Manager appears. In *Figure 7-9*, the Survey Properties command is selected.

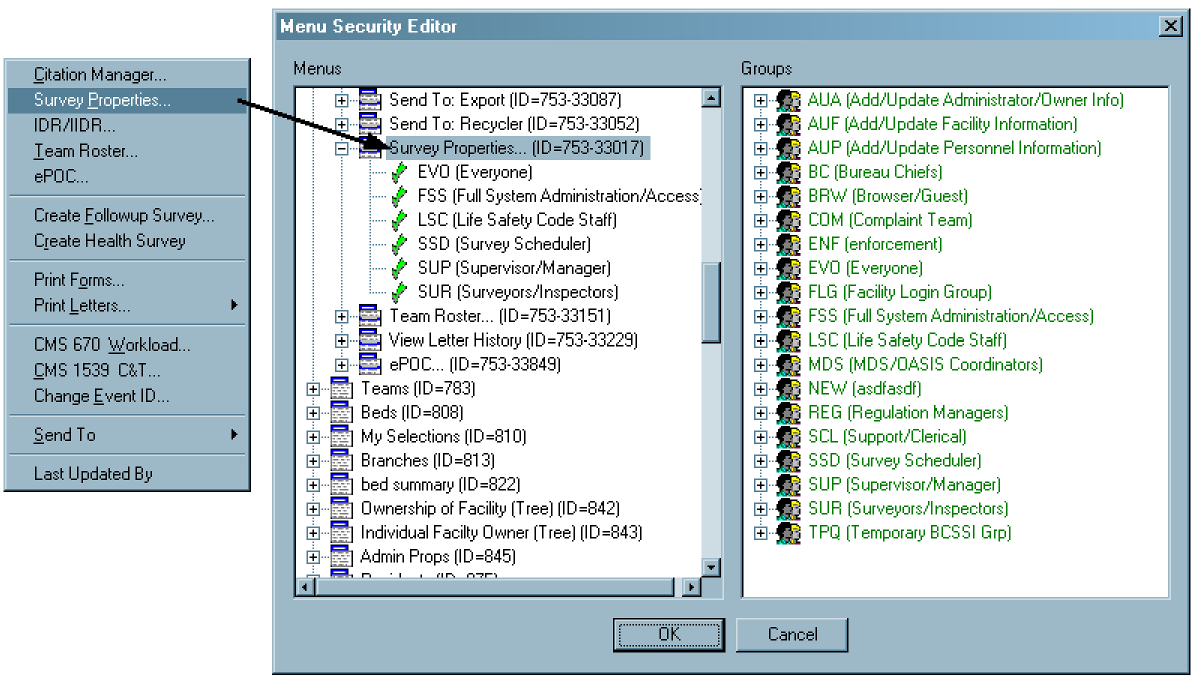
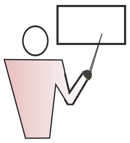



*Figure 7-9: Security Manager from Survey Properties command*

# • Task 7-C: Create New Security Group



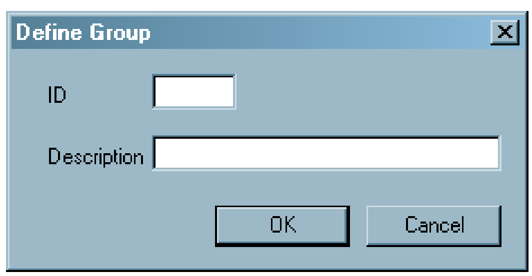
You must create a security group before you can add members to it. You should organize your groups based on tasks that the groups will perform. For example, you might have one group called Security Administrator that can access all ACO commands, and another group called Surveyor that can work only on surveys.

In the Menu Security Editor window:

**1** In the Groups section (right pane), right-click a group.

**2** Select **New Group** from the menu. In ARO, you are prompted for the Regional Office Menu Security Password:


The Define Group dialog opens:




**3** Enter a **group ID**. The ID can contain any alphanumeric character, but must be unique.

**4** Enter a **Description** of the group and click **OK**. The new group is added to the Groups list.

## *Security Group Maintenance*

### *Modify a Security Group Description*

➤ In the Menu Security Manager, go to the **Groups** section and right-click the group you want to modify.

➤ Select **Modify Group** from the menu.

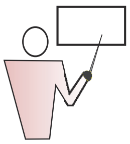
➤ In ARO, supply the Regional Office Menu Security Password.

➤ Change the Description and click **OK**.

### *Permanently Delete a Security Group*

- Open the **Menu Security Manager**.
- From the Groups section of the window, right-click the group you want to delete.
- Select **Delete Group** from the shortcut menu. The security group is permanently deleted.

## • Task 7-D:  Add Members to Security Groups



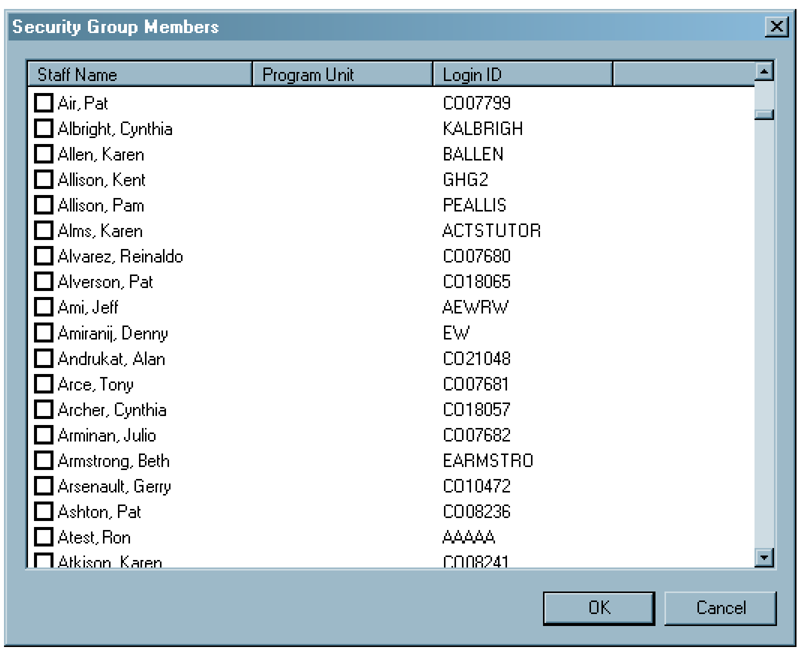
If the groups that a staff member belongs to have different security permissions for the same function, the member will be granted least restrictive permission level across those groups.

Now that you have created a security group, you can add members to it. A staff member can belong to more than one security group.

**1** In the Groups section of the Menu Security Manager, right-click the group to which you want to add members.

**2** Select Members from the menu.

In ARO, supply the Regional Office Menu Security Password.


Security Group Members

| Staff Name | Program Unit | Login ID | |
|---|---|---|---|
| Air, Pat | | C007799 | |
| Albright, Cynthia | | KALBRIGH | |
| Allen, Karen | | BALLEN | |
| Allison, Kent | | GHG2 | |
| Allison, Pam | | PEALLIS | |
| Alms, Karen | | ACTSTUTOR | |
| Alvarez, Reinaldo | | C007680 | |
| Alverson, Pat | | C018065 | |
| Ami, Jeff | | AEWRW | |
| Amiranij, Denny | | EW | |
| Andrukat, Alan | | C021048 | |
| Arce, Tony | | C007681 | |
| Archer, Cynthia | | C018057 | |
| Arminan, Julio | | C007682 | |
| Armstrong, Beth | | EARMSTRO | |
| Arsenault, Gerry | | C010472 | |
| Ashton, Pat | | C008236 | |
| Atest, Ron | | AAAAA | |
| Atkison, Karen | | C008241 | |

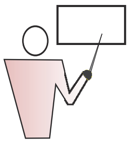
OK Cancel

*Figure 7-10: Staff list for selecting security group members*

**3** Select the checkbox next to each member to include in the group.

**4** Click **OK** when done.

# • Task 7-E: Assign Security Levels to Profile Groups



To give a security group permission to use a menu command or tab/button, you add the group to the command by dragging the group icon to the menu command in the left pane of the Security Manager.

1. Display the menu command, tab, or button for which security is to be assigned.
2. **Ctrl-click** to activate the Security Manager for that item.
3. In the **Groups** section, click the group for which you want to enable permissions, and drag the group icon to the menu command for which you want to enable permissions. Release the mouse when the icon is positioned on top of the menu command.

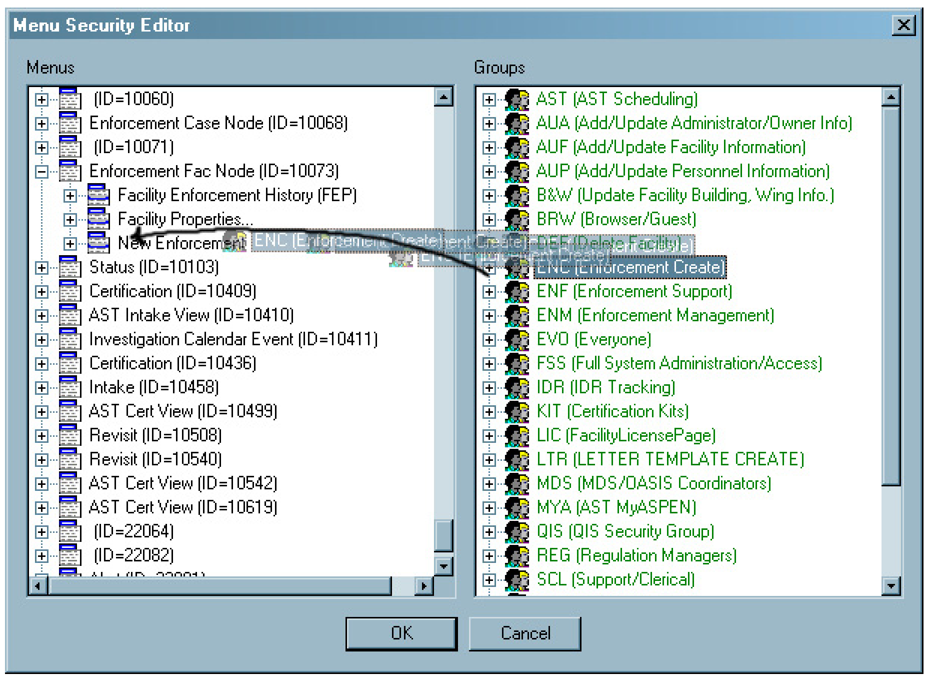
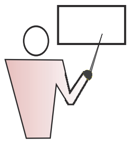



*Figure 7-11: Dragging a Group to a menu command*

The security group appears below the command in the Menus tree. The default security level for the group is No Access, as indicated by a red checkmark.

4. Double-click the security group under the menu command or tab/button item to set the desired security level. There are three levels are available: No Access (red), Read-Only (yellow) and Read/Write (Green).

# • Task 7-F: Delete a Security Group from a Menu Command



You can remove a security group from a menu command to prevent the group from using the command. This does not delete the security group from the database.

**1** Open the **Menu Security Manager**.

**2** Locate and expand the menu command in the Menus section of the window.

**3** Right-click the group you want to remove, and select **Delete Group** from the menu.

The security group is no longer listed under the command.

## 7.1.3 Security in the Employee Record

Once security group profiles are established, ASPEN provides a convenient way to manage individual user assignments to security groups, and to quickly assign security when adding new staff members to the system. The new Survey Schedule Security is also managed from this area.

This is accomplished through ASPEN's Personnel Manager and is available for State Agency users of ACO, ACTS, AST, and AEM. The Personnel Manager is accessed from individual staff member names on the Directory tab in ACO.

# • Task 7-G:  Assign Security in the Employee Record

**1** On the ACO Directory tab, locate and select an employee whose name begins with your assigned training letter, right-click and choose **Update Staff Member**.

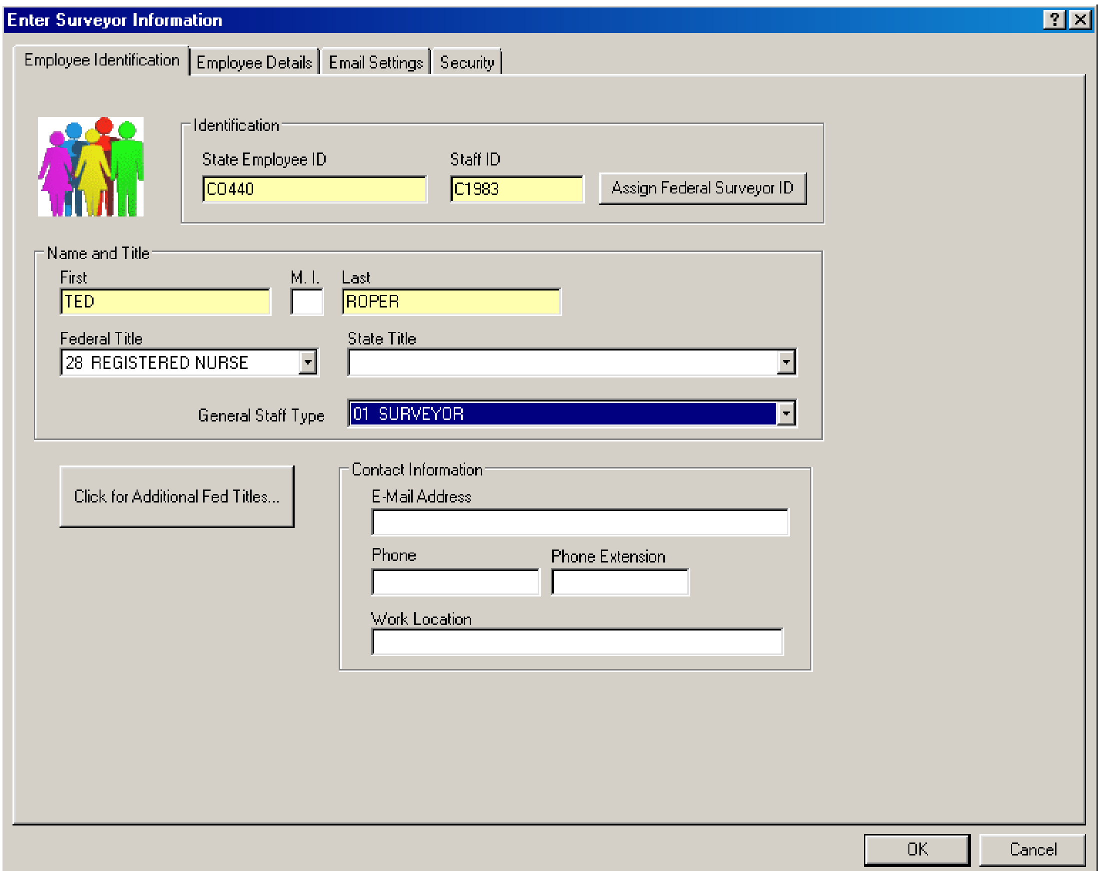



*Figure 7-12: Update Surveyor Information window*

**2** Click the **Security** tab.

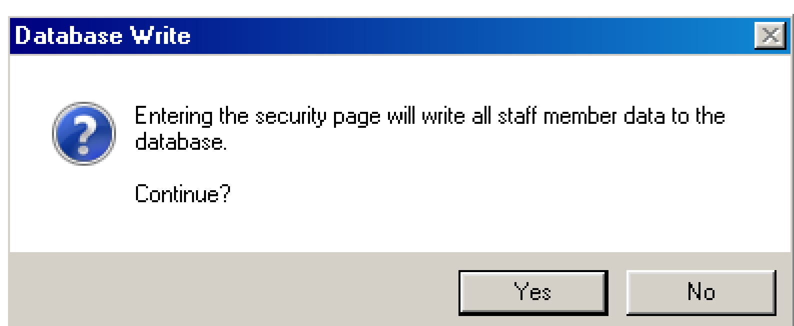



*Figure 7-13: Security tab confirmation message*

**3** Click **Yes** to go to the **Security** tab.

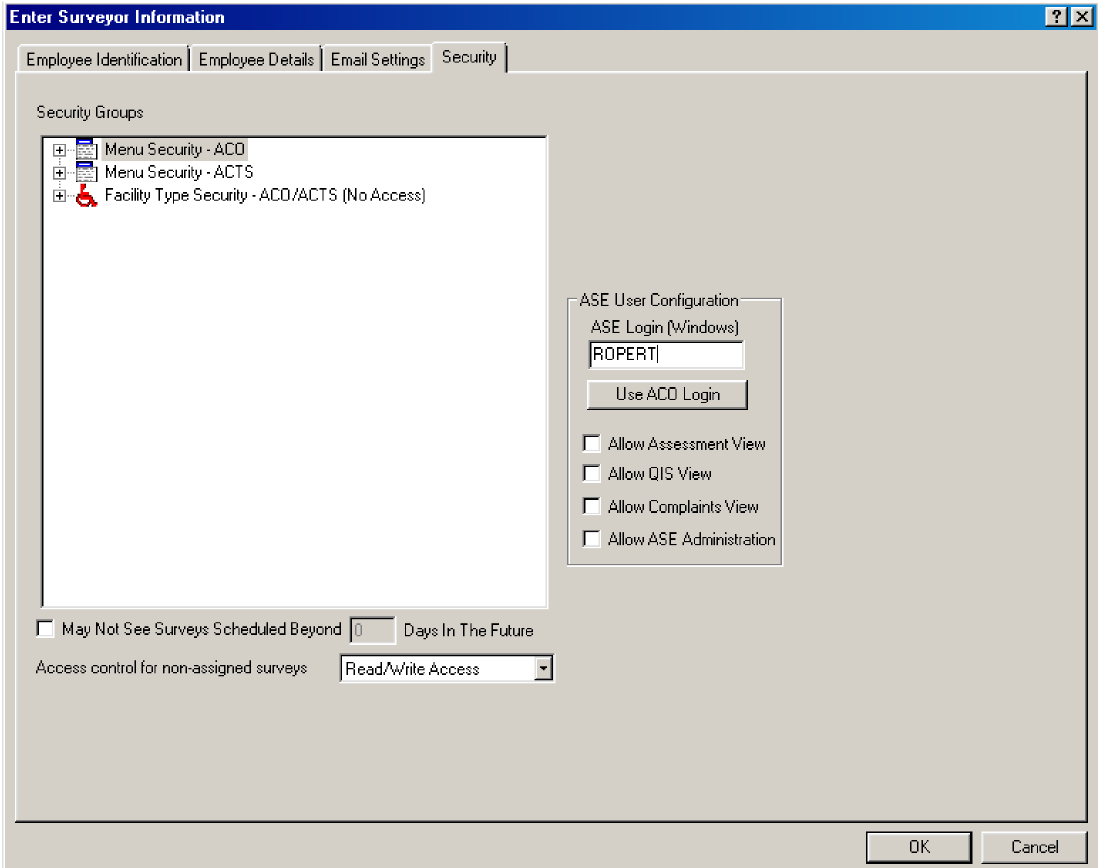



*Figure 7-14: Employee Security tab*

## *About the Security Tab*

The Security tab in the Enter Surveyor Information window lets you quickly make a number of security assignments for an individual employee from within the employee's record, rather than having to use three different options in two applications.

### ***Menu Security - ACO (including AST/AEM)***

Governs access to menu commands within ACO, including all commands on the Main menu and shortcut (right-click) menus. To give ACO menu security rights at the desired level to this employee, you simply assign the employee to membership in applicable Security Groups that have been previously created in ACO Security Manager. The employee gains the same access rights as all other members of the assigned Security Groups.

### *Menu Security - ACTS*

Works just like ACO Menu Security. ACTS has a separate set of Security Groups.

### *Facility Type Security - ACO/ACTS/AST*

Provides three levels of access to individual facility types: No Access, Read-Only Access, and Read/Write Access. You can use the primary Facility Type Security node (with the wheelchair icon) to assign this employee the same security level for all facility types at once.

### *Survey Schedule Security - ACO/ACTS/AST/AEM*

Provides the ability to limit access to survey information for future survey scheduled visits.

### *Survey Team Security - ACO/ACTS/AST/AEM*

Provides the ability to limit access to surveys other than those to which the surveyor is assigned.

### *ASE Surveyor Security - ASE-Q*

Offers four configuration options for ASE-Q: Assessment View, Complaints View, QIS View, and Allow ASE Administration.

**4** Assign ACO Menu Security for this employee:

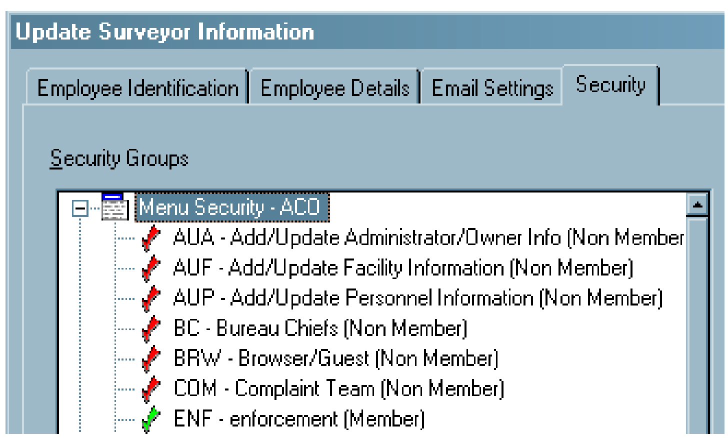



*Figure 7-15: Menu Security - ACO*

➤ Click the **+** next to **Menu Security-ACO** to expand the node.

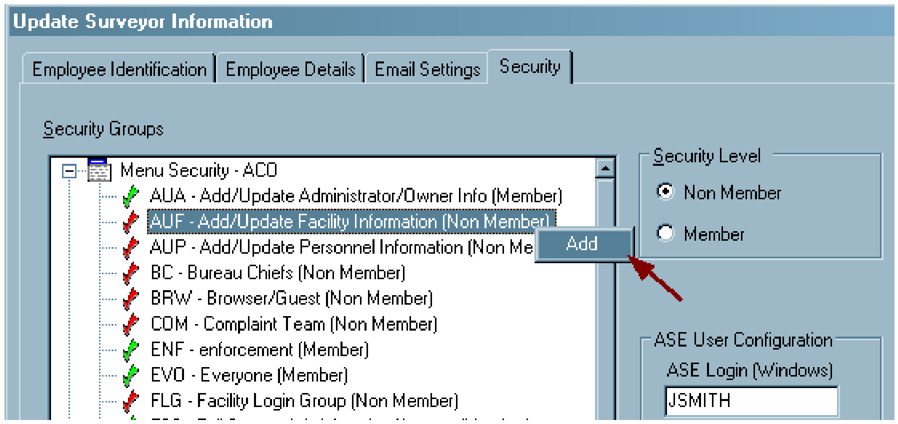



*Figure 7-16: Menu Security - ACO: Add member*

➤ Right-click a security group and select **Add**.

After you click **Add**, the checkmark next to the security group turns green, and (Non Member) changes to (Member).

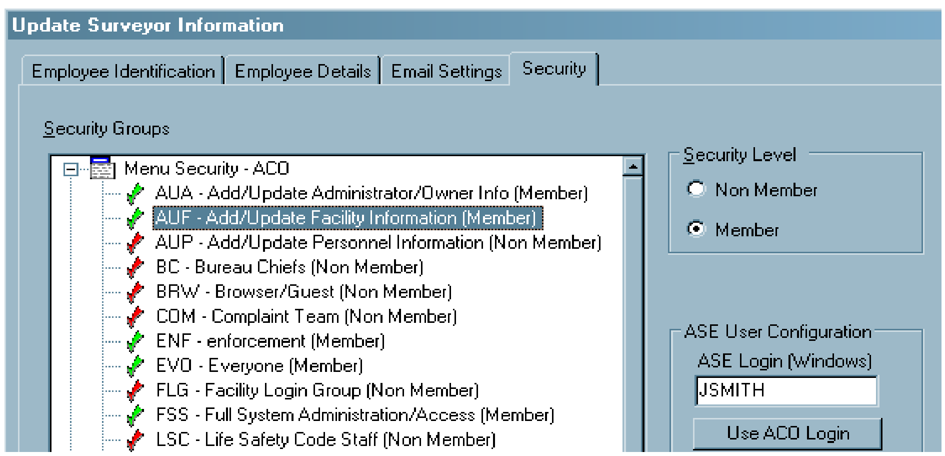



*Figure 7-17: Menu Security - ACO: Member added*

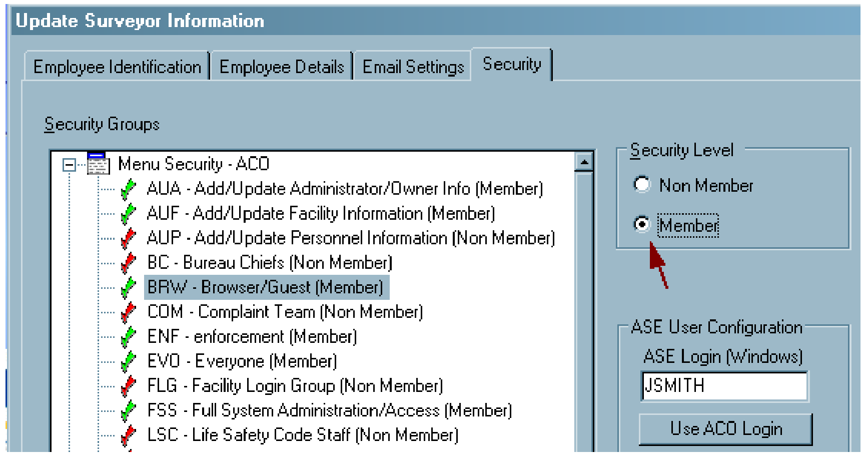



*Figure 7-18: Menu Security - ACO: Member added - alternative method*

➤ Alternatively, you can highlight the security group and choose **Member** in the Security Level box on the right.

**5** Assign ACTS Menu Security for this employee:

➤ Click the **+** next to Menu Security—ACTS to expand the node.

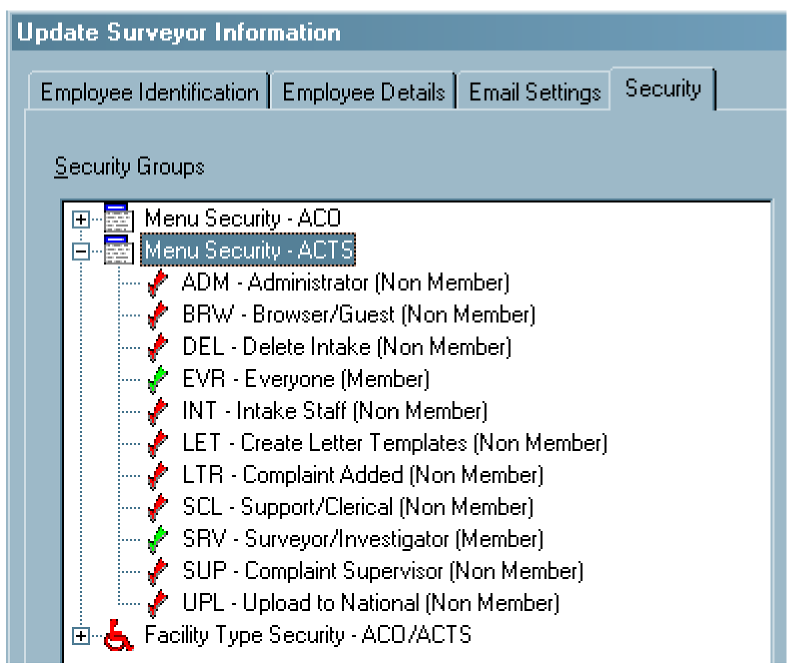



*Figure 7-19: Menu Security - ACTS*

➤ Right-click a security group and select **Add**.

The checkmark next to the security group turns green, and **Non Member** changes to **Member**.

Alternatively, you can highlight the security group and choose **Member** in the Security Level box on the right.

**6** Assign Facility Type security levels for this employee.

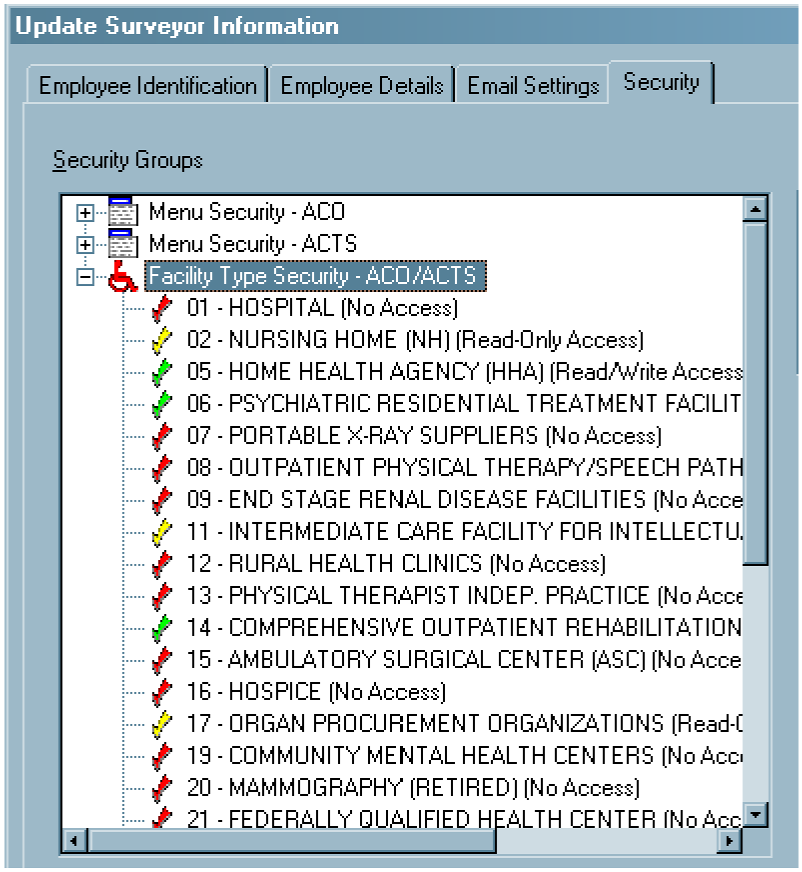



*Figure 7-20: Facility Type Security - ACO/ACTS*

➤ Click the **+** next to Facility Type Security—ACO/ACTS to expand the node.

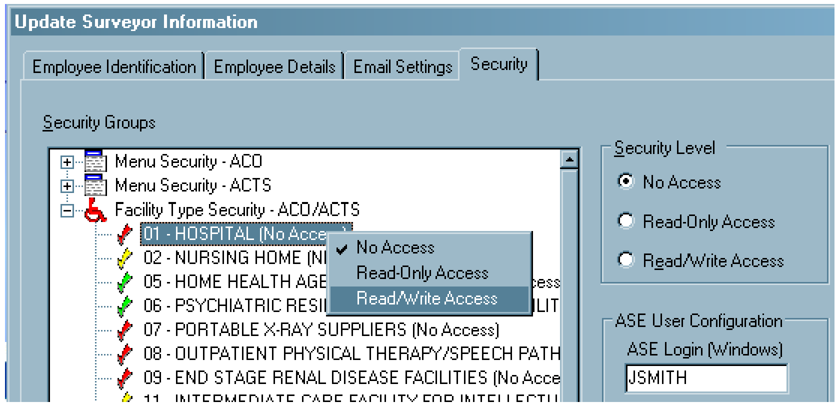



*Figure 7-21: Assigning Read-Write access to NH providers for this employee*

➤ Right-click a facility type and select the appropriate access level for this employee.

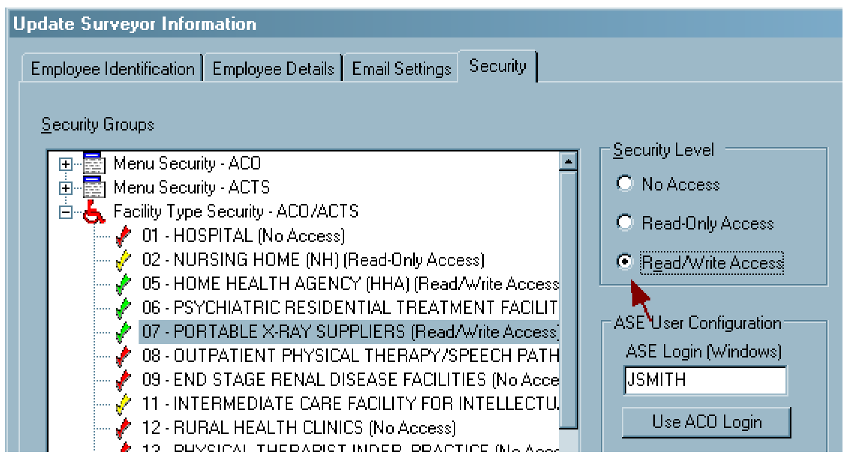



*Figure 7-22: Facility Type Security assigned for one type - alternative method*

Alternatively, you can highlight the facility type and choose the access level from the Security Level box on the right:

A red checkmark means No Access for this employee, a yellow checkmark means Read-Only Access, and a green checkmark means Read/Write Access.

**7** Configure the employee for ASE-Q:

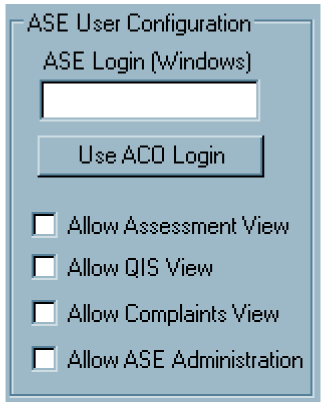



*Figure 7-23: ASE login and permissions in the employee record*

➤ Enter the ASE login for this surveyor, or select **Use ACO Login** if appropriate.

➤ Add ASE permissions for your surveyor:

- **Allow Assessment View** enables the surveyor to open Resident and Resident MDS 3.0 nodes
- **Allow QIS View** enables the **QIS Tool** menu item on the right-click menu of a nursing home QIS survey and the **QIS Tool** button in Citation Manager
- **Allow Complaints View** activates the Complaints node under the survey in the tree
- **Allow ASE Administration** is a placeholder for future administrative tasks

**8** Assign Schedule Survey Security:

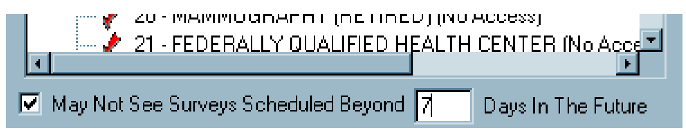



*Figure 7-24: Activate Schedule Survey Security*

- At the bottom of the Security tab, check the **May Not See Surveys Beyond** indicator.
- Enter **7** in the now activated "Days in The Future" field. This will prevent access to view surveys scheduled more than seven days in the future from any area of the ASPEN system.

**9** Assign Facility Type security for multiple types by right-clicking the Facility Type Security—ACO/ACTS node to allot the same level of access to all facility types. You can then change access levels for individual facility types if necessary.

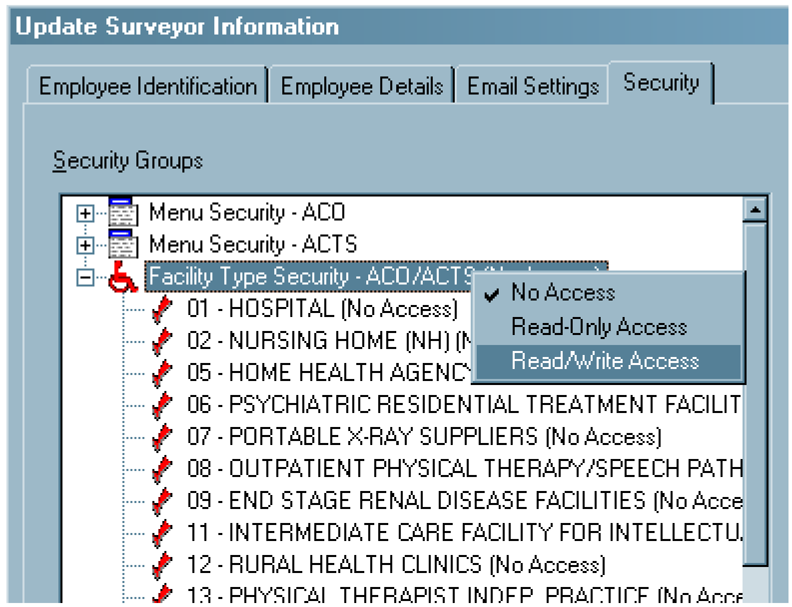
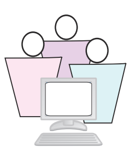



*Figure 7-25: Facility Type Security assigned for all types*

**10** Click **OK** to close the employee record.

## • Task 7-H: Removing Employee Access



You can remove all or part of an employee's access to the ASPEN System.

### *Remove All Access*

The quickest way to remove all access to the system is to change the employee's login ID:

**1** On the ACO Directory tab, locate the employee for whom you want to change access, right-click and choose **Update Staff Member**.

**2** Go to the and change the **login ID**.

Some states add an x to the end of the existing ID. When terminating the surveyor, prefix the user ID with 000. This will let the user's account float to the top of each menu security item. It's then easy to remove any user with an ID beginning with 000 from that menu security item.

**3** Click **OK** when done.

#### ***Remove Partial Access***

ASPEN security groups allow you to adjust security for each employee as needed. Since security groups in ACO and ACTS function independently, you can easily limit access to one application or the other.

**1** On the ACO Directory tab, locate the employee for whom you want to change access, right-click and choose **Update Staff Member**.

**2** On the Security tab, change access to the appropriate security groups.

**3** Click **OK** when done.

### 7.1.4 Access Control in ASE-Q

Opening the ASE-Q application is handled by the authentication process described in “Login ID: ASE-Q” on page 86, and in the 10.0 Install Guide that’s included in your *Supporting Materials*. There is no menu, tab, or button security in ASE-Q, although certain functions may be password-protected. Security is handled by encryption of data as it is transferred to ASE-Q and access control to the application. While the application checks for an EAR system, it is not required with the current version of ASE-Q.

Once a user is logged in, ASE-Q provides permissions as entered in each user’s employee record. Permissions provide access control to features that display privacy information -- such as complaints, QIS and MDS data -- on an as-needed basis.

You can read about adding ASE-Q permissions in “Adding State Staff” on page 110.

#### *Activate Surveyor*

If another surveyor needs to enter findings, the user can change the active surveyor in Citation Manager. If an ASE-Q permission is disabled for the originally logged-in surveyor, that permission will be disabled for the newly-activated surveyor, even if the new surveyor is configured with that option enabled.

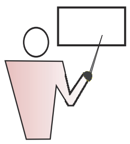
If the current surveyor has an ASE-Q permission enabled, but the new surveyor has the option disabled, then that option will become disabled when the surveyor is activated. Once an option is disabled, it will remain disabled for all users until ASE-Q is restarted.

### 7.1.5 ASE-Q Password Security

In ASE-Q, the following functions are password-based:

- Survey and facility deletion
- Primary Category changes
- Facility Types changes
- State customization screen

## • Task 7-I: Enable Password-Based Security in ASE-Q



1 Open ASE-Q using the shortcut on your desktop.

2 Select **System** | **System Configuration** | **Security**.

3 In the Set ASPEN Security window, select **Enabled**.

4 Click **OK**.

5 In the Enable Security window, enter the password you want to use and click **OK**.

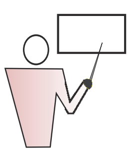
The Enable Security window appears so you can confirm the password you just entered.

6 Enter the password again and click **OK**.

7 Click **OK** in response to the confirmation message.

Now when you, the system administrator, try to perform one of the system administrator functions, you are prompted for the password. This only occurs the first time you access a system administrator function in each work session. Other users must supply the password for each restricted function.

## • Task 7-J: Disable Password-based Security



1 Select **System** | **System Configuration** | **Password Security**.

2 In the Set ASPEN Security window, check **Disable** and then click **OK**.

3 In the Security Clearance window, enter the current password and click **OK**.

4 Click **OK** in response to the confirmation message.

# Section 8. ASPEN Data Transfer

***Included in this lesson:***

- ✓ ASPEN Transfer Methods
- ✓ Export/Import: Letters & Content Library
- ✓ Using ASPEN Data Externally

# 8.1 ASPEN Transfer Methods

ASPEN has expanded the methods by which supervisors and surveyors can transfer survey data. Depending on your office procedures, you may choose to use:

- Transfer files.
- Direct-connect - between field systems and ACO/ACTS.
- In-the-field Network transfers - Wireless and Wired - between ASE-Q and ASE-Q.

Since survey data may contain confidential complaint or personal health information, all transfer methods comply with the NIST 140-2 requirements for data security and encryption.

## *Centralize Survey Definition and Scheduling*

An important step States can take in coordinating ASPEN data transfer is to create all survey events in ACO or ACTS. The centrally-defined visits are then distributed to field staff as necessary.

This approach has several advantages:

- Ensures accuracy because facility, building, and surveyor information comes directly from the state database.
- Removes the task of survey definition from the surveyor.
- Ensures that knowledgeable staff are defining surveys within a secure ACO/ACTS environment.
- Eliminates survey event creation on multiple laptops.
- Simplifies merging between ASE-Q users.
- Minimizes support overhead for merging field results back into ACO/ACTS.

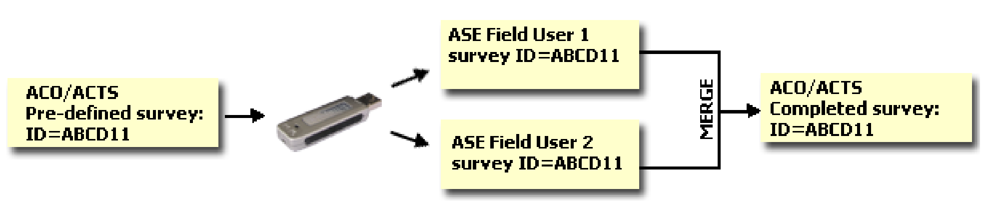



*Figure 8-1: Centralized event definition*

## 8.1.1 ASPEN Transfer Files

The Export and Import buttons on ASPEN toolbars enable you to easily transfer surveys from ACO/ARO and ACTS/ACTS-RO to field surveyors.

Survey and complaint information may be encrypted and compressed on export and placed in a special data replication "transfer" file. The transfer file is given a .zip extension.

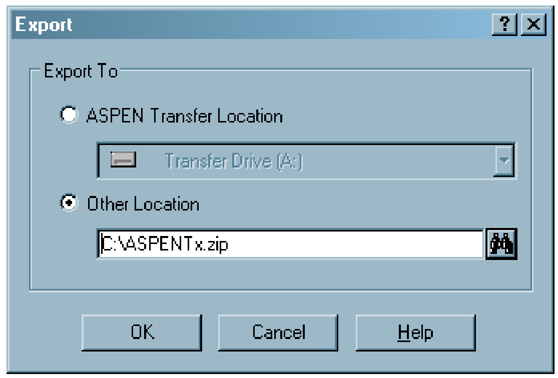



*Figure 8-2: Export file name is ASPENTx.zip*

Transfer files contain facility, survey, complaint and related information for one or many survey or complaint investigation events. During export, you can tell ASPEN to copy the transfer file to a USB drive or a hard drive, or you can send it to remote users via email.

Only ASPEN products operated by authenticated users may decrypt and read the contents of transfer files.

### *Avoiding ".ZIP" File Blocks in Virus Checkers*

Since transfer files are compressed, ASPEN uses the standard file extension of .ZIP for transfer files (e.g., Transfer.ZIP). Many anti-virus programs, email servers, and network firewalls are configured to prevent opening files with the .ZIP extension.

If your state server blocks .ZIP files, you can manually change the default file name to a non-standard extension such as .ABC after the file is exported.

### *To rename export file*

To rename the export file illustrated in *Figure 8-2 on page 327*:

1. Start Windows Explorer. To do so, click **Start**, point to **All Programs**, point to **Accessories**, and then click **Windows Explorer**.
2. On the left side of the screen, expand My Computer and click on the C drive (C:).
3. On the right side of the screen, click on the ASPENTX.ZIP file.

   If the files do not display, click **Show the contents of this folder**.
4. Press F2, or right-click the file and select **Rename**.
5. Change the file extension from .ZIP to .ABC and press **Enter**.

---

**Note:** Before importing the file, change the file extension back to .zip. For more information on renaming files, contact your ASPEN administrator.

---

Most surveys are transferred from ACO to ASE-Q by exporting the data to a transfer file, then importing from the transfer file into ASE-Q. USB drives are the common vehicle for transfer files.

State encryption procedures are many and varied. The following tasks involve straightforward exporting and importing, without detailing the additional steps that your local encryption package may add to the procedure.

## • Task 8-A: Export a Survey from ACO to a Transfer File

1. In the ACO tree, locate **A - Training Transfer Nursing Home**, where A is your assigned training letter. Expand the survey node and select a survey that has tags cited. Note the provider name and Event ID of the survey.
2. Click on the survey and drag it to the Export button on the ACO toolbar. Release the mouse button.

**3** In the Export window, select **Other Location**, use the binocular icon to browse to the Desktop, accept the default ASPENTx.zip file, click **Open**, then click **OK**.

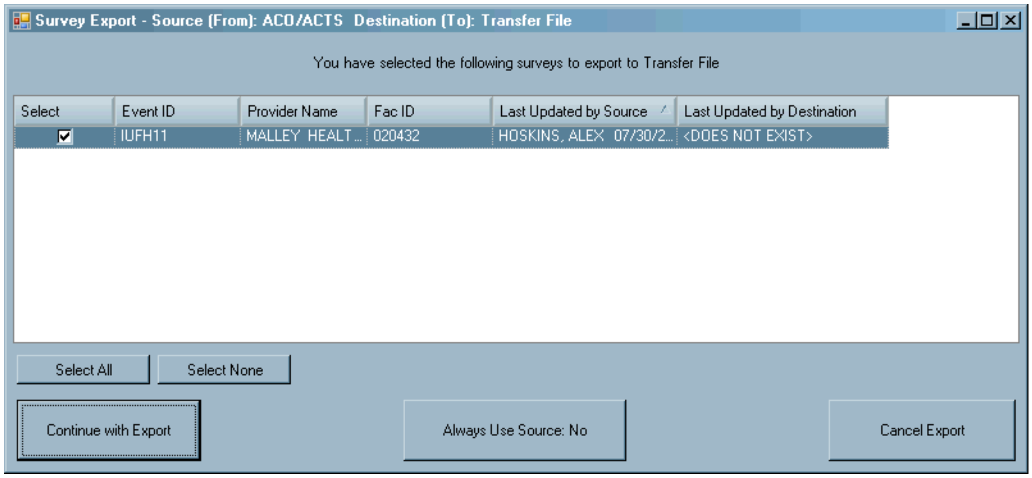



*Figure 8-3: The Survey Export window. The title bar displays the Source and Destination of the transfer file.*

**4** The Survey Export window shows the survey you selected for export. Click **Continue with Export**.

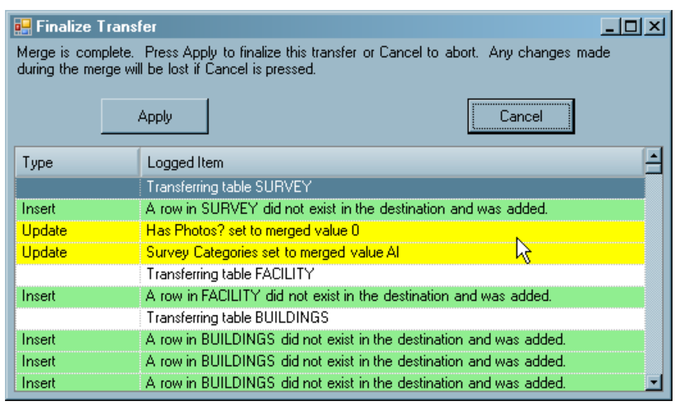



*Figure 8-4: Finalize Transfer window*

**5** Click **Apply** on the Finalize Transfer window.

ASPENTx.zip is now saved to your Desktop.

**6** Close ACO.

## • Task 8-B: Import Survey from the Transfer File into ASE-Q

**1** Open ASE-Q.

**2** On the ASE-Q toolbar, click **Import**.

**3** In the Import window, under Import Type select **Surveys**.

**4** For Import From, select **Other Zip File Location**. Locate and select your zip file. Click **Open** and **OK**.

**5** The Survey Import window shows all surveys in the transfer file. Highlight the survey you just exported from ACO, then click **Continue with Import**.

**6** Click **Apply** on the Finalize Transfer window.

### *Managing Survey Versions*

ASPEN Merge Text screens compare findings text between source and destination files, and can help you track the changes in versions of survey findings. The Merge Text screen is a valuable tool, but even better is to minimize the times it is needed. You can do this by establishing consistent business practices among survey teams:

- Create all survey shells in ACO, and export the shell before citing tags.
- Enter all findings and complaint documentation in ASE-Q.
- Surveyors should cite tags and enter findings on a single machine during a survey.
- Each surveyor should import the survey only once into ASE-Q, and export only once to ACO.
- Wait until all surveyor entries have been imported into ACO before final edits.

## • Task 8-C: View Merge Text Window

**Edit survey findings**

**1** In the ASE-Q tree, find the survey you just imported, right-click and select **Citation Manager**.

**2** Add yourself to the survey team and click **OK**.

**3** Right-click on any tag in the Citations pane and select **Supervisor** to activate Supervisor mode. This allows you to edit other surveyor's findings.

**4** Double-click one of the tags to open the citation word processor, and add or change some of the text. Click **OK**, then **Done** to close Citation Manager.

### Export to Transfer Location

1 Click on the survey and drag it to the Export button on the ASE-Q toolbar.

2 In the Export window, select **Other Zip File Location** again. Select the same transfer file you used to import, then click **Open** and **OK**.

3 In the Survey Export window, make sure your survey is selected, then click **Continue with Export**.

Since you are exporting to the same zip file you used earlier, you will see the Merge Text screens that compare the ASE-Q text with the transfer file text.

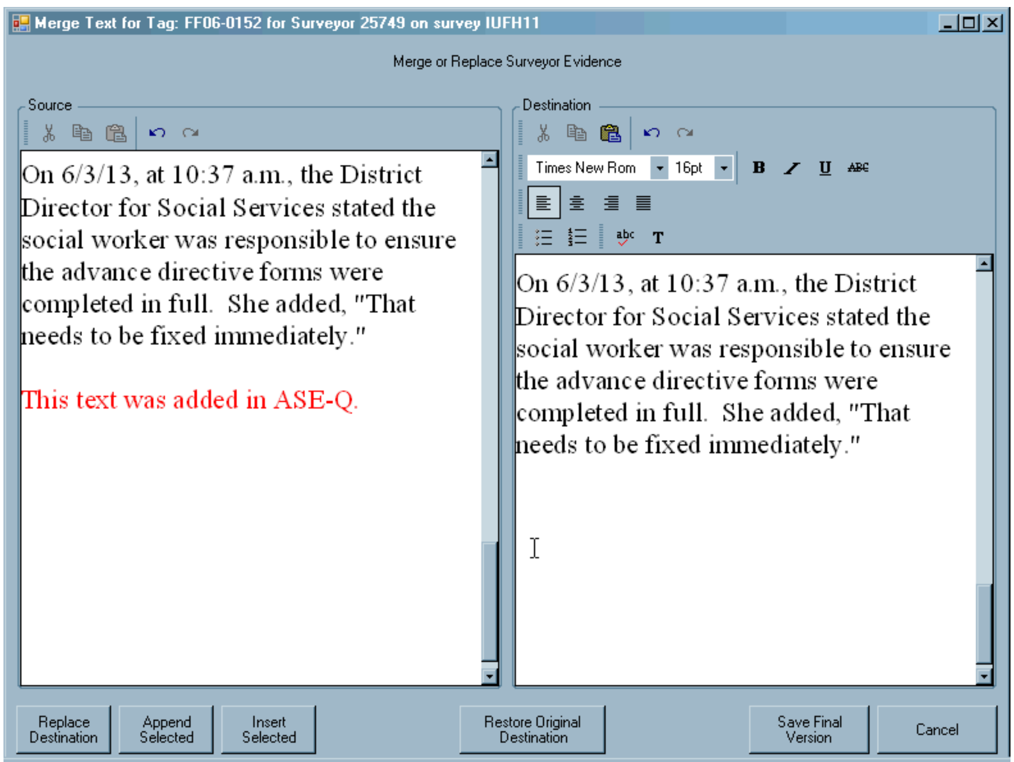



*Figure 8-5: The Merge Text window, displaying the tag text entered in ASE-Q (Source) with the text in the Transfer file (Destination).*

In the Merge Text window, the Source file (ASE-Q) is in the left pane, the Destination (Transfer file) is in the right pane:

- **Replace Destination** will replace all the Destination text with all the contents of the Source text.
- **Append Selected** will append the text you highlight in the Source pane to the end of the text in the Destination pane.

- ➤ **Insert Selected** will insert the text you highlight in the Source pane at the position of your cursor in the Destination pane.
- ➤ **Restore Original Destination** will undo any changes you have made to the Destination text.
- ➤ **Save Final Version** will save your changes. If more than one citation has been changed, you will see another Merge Text window for the next citation.

**4** Select **Replace Destination**, then **Save Final Version**.

**5** In the Finalize Transfer window, click **Apply.**

**6** Close ASE-Q.

**Import from transfer file into ACO**

**1** Go back into ACO, and select **Import**.

**2** In the Import window, select **Zip or mdb file**, locate your transfer file, then click **Open** and **OK**.

**3** In the Survey Import window, select your survey and click **Continue with Import**.

Now you need to repeat the Merge Text Steps:

**4** In the Merge Text window, select **Replace Destination**, then **Save Final Version**.

**5** In the Finalize Transfer window, click **Apply**.

### 8.1.2 ASE-Q Direct-connect Mode

ASE-Q is capable of directly transferring survey and complaint information between its Sybase database and the central QIES State Oracle server. This approach is especially useful when surveyors use the same laptop both in the office and off-site.

You may use direct-connect to:

- Transfer pre-scheduled surveys from the state database to ASE-Q.
- Update regulation sets on ASE-Q with the latest versions and patches.
- Update surveyor information on ASE-Q with recent changes that have been entered in ACO.

To accomplish a Direct-connect transfer, the following configuration is required:

- **Network Connection:** Laptops must be set up with either a direct 'wired' or wireless connection to your agency's local area network. This allows survey staff to connect their laptop to the network while they are in the office.
- **Oracle Client:** The Oracle client must be installed on any laptop that uses ASE-Q to connect to the Oracle server.

---

**Note:** If you install the Oracle client onto a laptop with an existing ASE-Q installation, you will need to reinstall the ASE-Q client after installing Oracle.

---

- **QIES Server Connection Configuration:** If you are logged into a state network, and want to use ASE-Q to connect to the ACO and ACTS data stored in the state Oracle server, you need to create an Oracle configuration in ASE-Q.

## • Task 8-D: Create an Oracle Configuration in ASE-Q

With ASE-Q open, perform the following steps to create an Oracle connection definition.

**1** In the ASE-Q main window, click **Config**.


*Figure 8-6: ASE-Q Main window - Config button*

This displays the ASE-Q Define Data Workarea window:

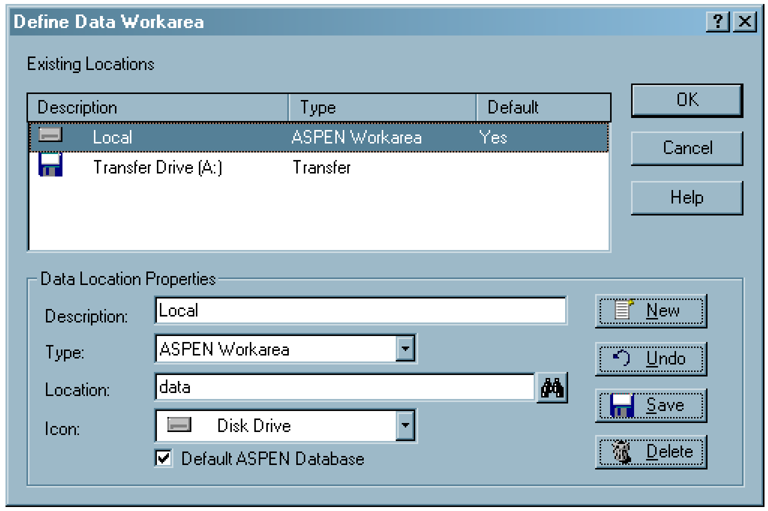



*Figure 8-7: Define Data Workarea window*

**2** To define a new workarea, in this case an Oracle workarea or connection, click **New**. A New Item is entered into the Existing Locations list, and displays in the Data Location Properties area of this window:

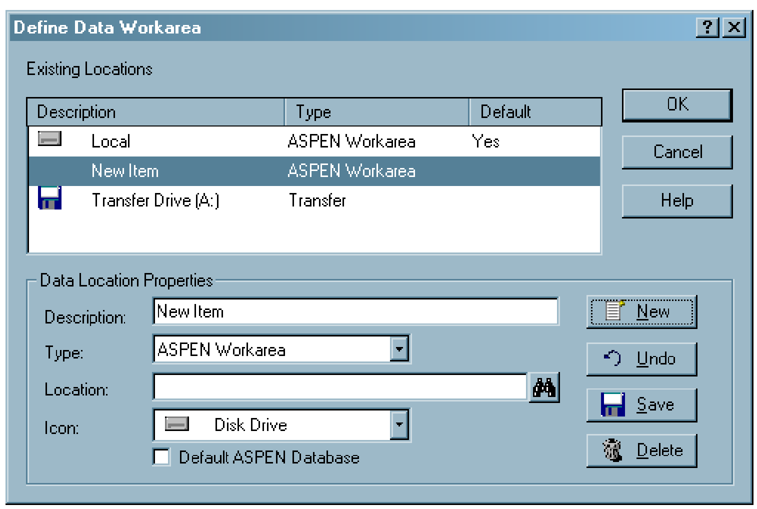



*Figure 8-8: New Item in Data Location Properties*

**3** In the Description field, enter **State Oracle Server**:

**4** In the Type drop list, select **Repository (Oracle)**.

**5** In the Location field, enter **MDSDB**.

This is the standard entry in your Oracle client configuration file for the QIES state server.

**6** In the icon field select **Oracle**. This sets which icon represents this workarea in the Workarea selections areas of the import/export functions.

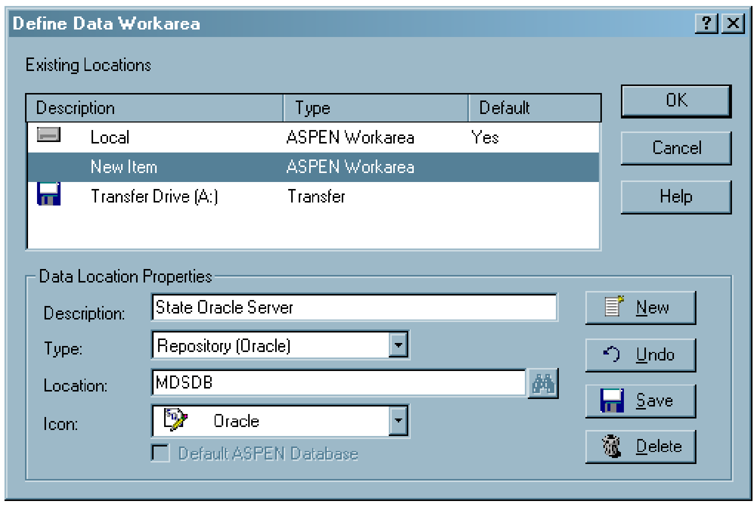



*Figure 8-9: Completed Workarea window*

**7** Click **Save** to store your Oracle configuration; **OK** to complete the task.

## *Using your ASE-Q Oracle Connection*

Now that your ASE-Q system is configured to connect to your state Oracle server via your network, you can use this direct-connect mode for several data transfer functions.

### *My Surveys Button*

The My Surveys button on the ASE-Q tool bar allows surveyors to import all pre-scheduled surveys, for which they are team members, from the ACO/ACTS database into ASE-Q if:

- The survey Exit date is in the future (subject to future security), or less than or equal to 90 days in the past.
- The survey status is Open.

This is a convenient way for a surveyor to quickly capture assigned surveys, eliminating the need for transfer files.

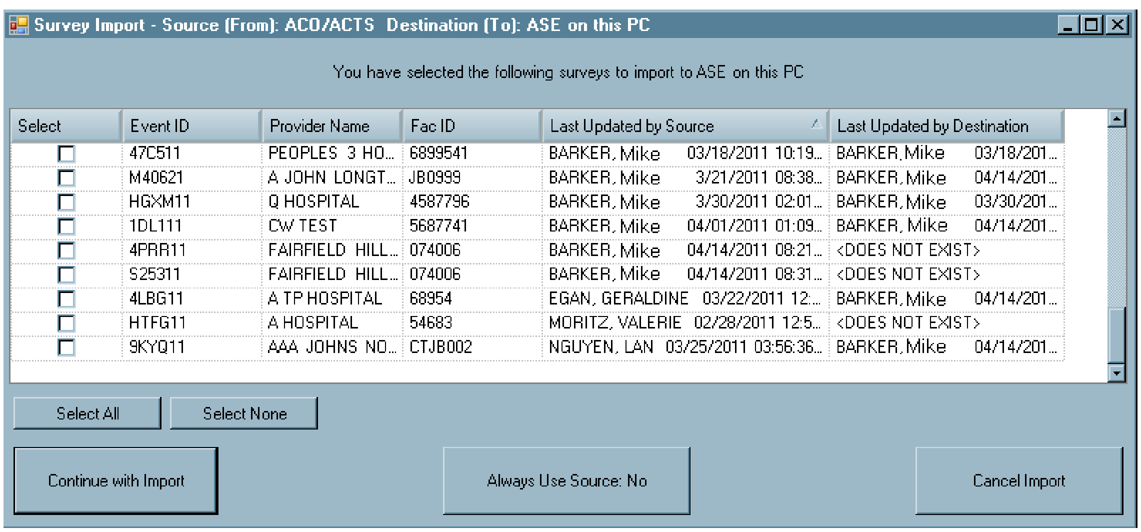



*Figure 8-10: My Surveys: Assigned Survey List*

### *Export via Direct-connect*

When surveyors return from the field with survey findings in ASE-Q, they can quickly merge these back into the central database using the standard ASE-Q Export function in direct-connect mode.

The surveyors can drag-and-drop the completed survey onto ASE-Q's Export button.

This displays the standard Export window, where the user can select the pre-defined Oracle workarea as the ASPEN Transfer Location:

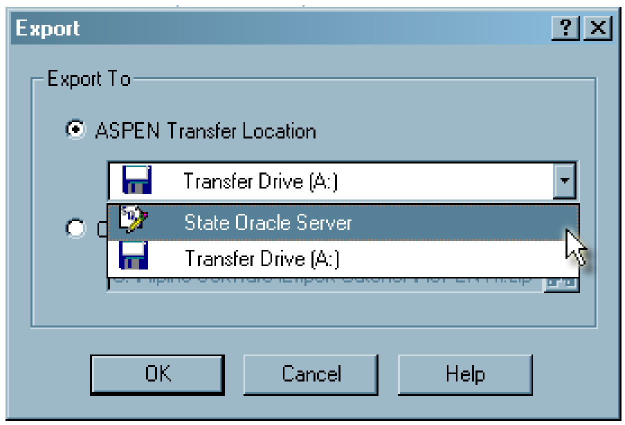



*Figure 8-11: Export window*

The survey is then replicated from the ASE-Q Sybase database into the Oracle ACO/ACTS database.

### *Synchronize Regulations via Direct Connect*

If ASE-Q is connected to your agency's network and has access to the ASPEN Oracle database ("ASE-Q Direct-connect Mode" on page 332), you can synchronize ASE-Q regulation sets. Synchronize Regulations checks for and imports new active regulation sets, patches to existing regulations, and reg set status changes.

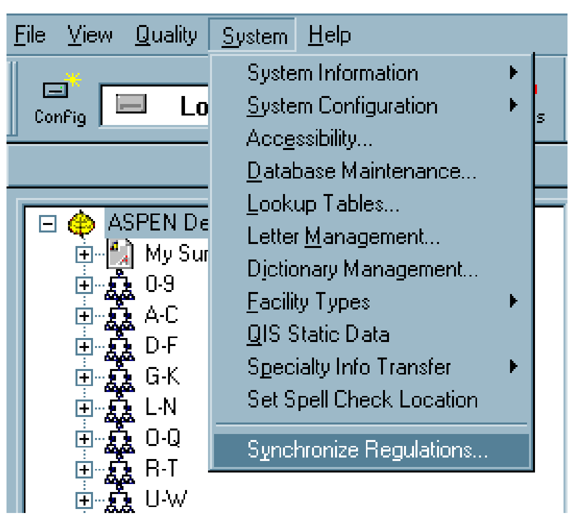
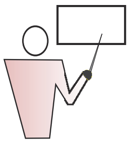



*Figure 8-12: Synchronize Regulations menu option*

# • Task 8-E: Sync ASE-Q Reg Sets Using Direct Connect



1 In ASE-Q, select **System | Synchronize Regulations**.

2 A message displays with the number of regulation sets, patches, and reg set status changes to be imported; click **Yes**.

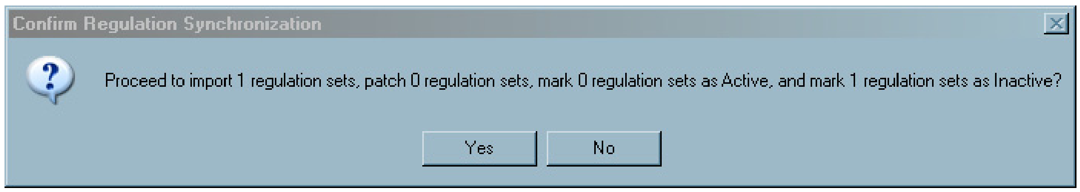



*Figure 8-13: Confirm Regulation Sychronization window*

If the procedure cannot connect to the State Oracle server, a warning displays saying that you cannot update regulations through this option at this time.

3 Click **OK** in the **ASE regulations were successfully synchronized ....** confirmation window.

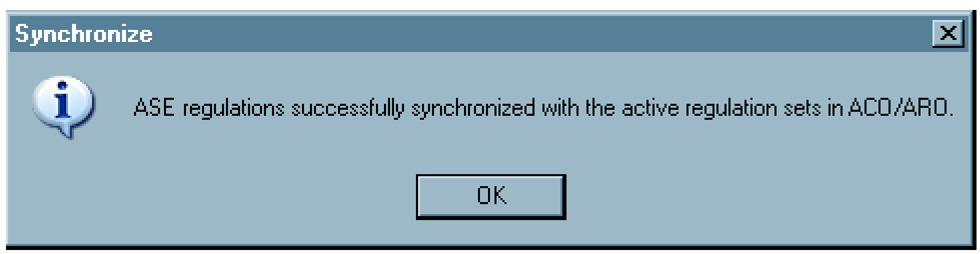



*Figure 8-14: Synchronized Confirmation window*

If you lose connection during the update process, unsuccessfully imported regulations revert back to their original state.

### *Synchronize Surveyor Info with ACO via Direct Connect*

ASE-Q users can update surveyor information for surveyors already loaded into their ASE-Q database by selecting **Synchronize Surveyor Info with ACO** on the ASE-Q File menu.

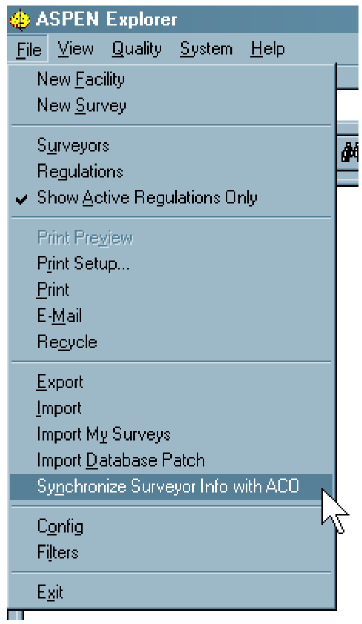



*Figure 8-15: Synchronize Surveyor Info with ACO menu option*

ASE-Q verifies the connection with the ACO MDSDB database, then updates surveyor information with changes in permissions and logins. After the transfer is complete, the user is able to accept or reject the synchronization and the results are displayed.

## 8.1.3 Network Transfers in ASE-Q

ASE-Q adds support for direct data transfers via wired or wireless network connections between two ASE-Q devices. This will streamline data exchange between surveyors in the field by eliminating the need for file-based transfers using USB sticks or other removable media.

- To use wired connections, your surveyors' PCs require Ethernet ports, and surveyors need to carry a standard Category 5 Ethernet cable to the field.

- To allow ASPEN to transfer data using other methods besides USB, all states and regions must have 2 ports opened in all software firewalls, including Microsoft's built-in firewall, installed on each computer. The required port numbers that must be permitted are **901** for UDP, and **2638** for TCP. These ports are used for the application to discover ASE-Q databases on the same network, and to transfer data. If they are blocked, ASE-Q will not be able to transfer data over a network.

---

**Note:** In addition, the ASPEN Information Service (AIS) relays information to the ASE-Q application via port 910 on the local system. Unlike ports 901 and 2638, port 910 is not required for network communication, however very strict firewalls may block port 910 and prevent AIS and ASPEN from communicating. If your security setup blocks port 910, you may see a message like this:

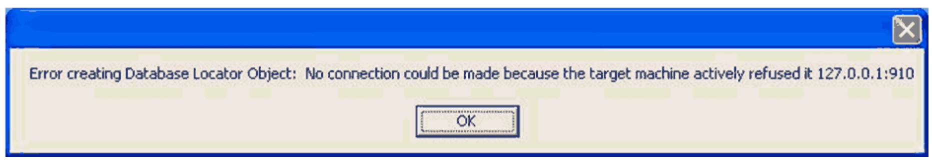



*Figure 8-16: Refusal error*

If you see an alert similar to this, contact your state IT administrator.

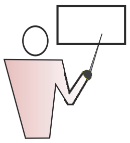
---

- Another requirement to allow non-USB data transfers is that all computers involved in the transfer must be on the same subnet, or use dynamic IP addresses obtained from a DHCP server. If the computers are using static IP addresses on separate networks, or the computers are a mix of static and dynamic addresses, transfers will not be able to be performed over a network.
- In both cases, your state's firewall rules should permit access to these network services by ASPEN, and also accept HTTP connections from an external PC. Please work with the QTSO Help Desk at 888-477-7876 or Help@qtso.com to define the necessary exceptions to your firewalls as may be needed to support ASE-Q wireless transfers.

For both methods, give the computers some time.

For assistance adjusting the firewall on Windows 7, contact the QTSO Help Desk at 888-477-7876 or Help@qtso.com.

# • Task 8-F: ASE-Q to ASE-Q File Transfer – Wireless Method



From ASE-Q, you can export one or more surveys, including QIS surveys, wirelessly to another ASE-Q laptop.

ASE-Q creates the wireless connection between the two computers. You cannot perform QIS sync points through a wireless connection.

ASE-Q's wireless connection times out after 5 minutes or after the transfer is complete. Some laptops may require you to turn on the wireless card.

**1** Both the Sender (Export) and the Receiver (Import) click the Wireless button on the ASE-Q toolbar.


*Figure 8-17: Wireless button on ASE-Q toolbar*

ASPEN generates a Windows wireless network connection. It may take a minute.

---

**Note:** On Vista machines, once the wireless network is generated, Vista prompts the user to select a network type: Home, Office, Public, etc. This is unavoidable in Vista, but the user can click any of the options.

---

**2** Check for a **Connected to ASPEN Wireless** message in the lower right corner of your screen.


*Figure 8-18: Wireless connection status*

**3** Drag and drop the survey on the Export button, or right-click the survey and select **Send to** | **Export**.

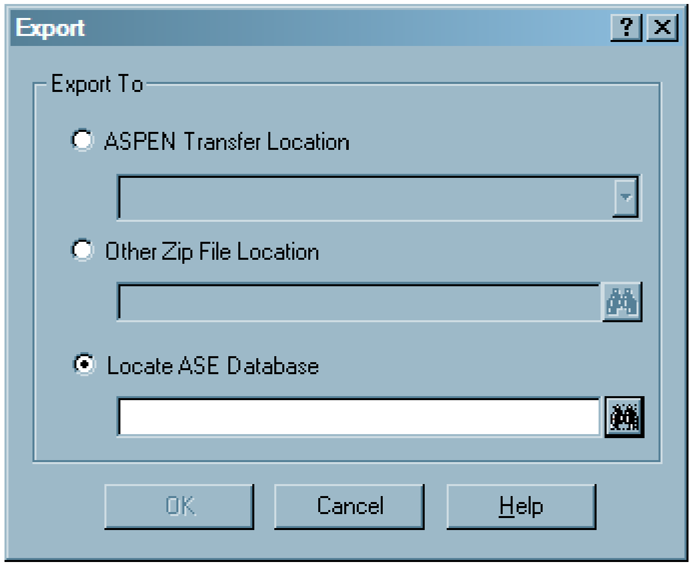



*Figure 8-19: Export window with wired/wireless option chosen*

**4** In the Export window, select **Locate ASE-Q Database**, then click **Find** (binoculars). This detects all ASPEN databases on the network.

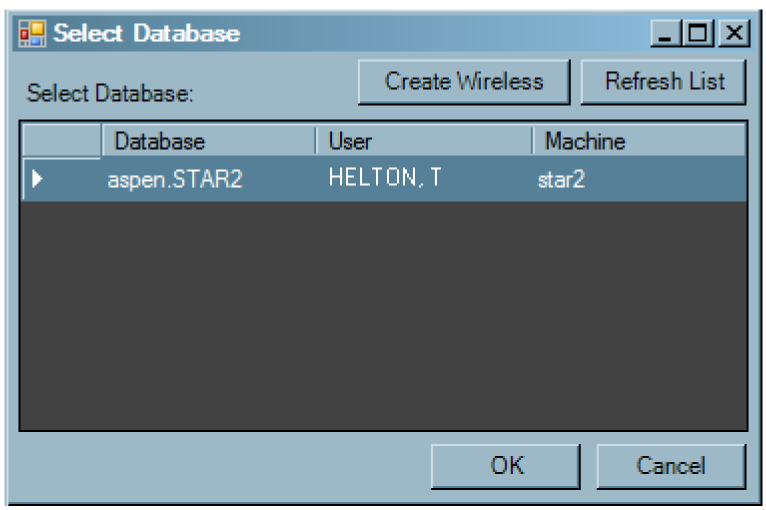



*Figure 8-20: Select Database window showing connection to aspen database*

**5** In the Select Database window, select the database you are connecting to. If the screen is blank, click **Refresh List**. Then click **OK**.

**6** In the Export window, click **OK** to open the Survey Export window.

7 In the Survey Export window, the survey is pre-selected. If you are transferring multiple surveys, select the surveys you want to transfer or click **Select All**.

8 Click **Continue with Export**.

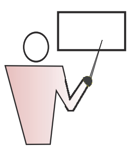
ASE-Q transfers the survey. This may take several minutes. If the survey has been exported before, you may see a Merge Fields window.

9 When you see the Finalize Transfer window, click **Apply** to complete the transfer.

When the transfer is complete, the receiving user can open the survey on their laptop.

ASE-Q terminates the wireless connection for you.

## • Task 8-G: ASE-Q to ASE-Q File Transfer – Wired Method



This method is most convenient when transferring between states and RO observers.

1 Connect the two computers together using a standard Category 5 Ethernet cable.

**Note:** For older network cards, the cable may need to be a cross-over Ethernet cable. Your IT support staff should determine this before sending cables to the field.

### *Exporting Computer*

2 In the ASE-Q tree, locate the survey.

3 Click on the survey and drag it to the **Export** button on the toolbar (you can also right-click the survey and select **Send to**, then **Export**).

4 In the Select Database window, select the destination database (the receiving computer), then click **OK.**

5 In the Export window, click **OK**.

6 In the Survey Export window select the survey you want to transfer, then click **Continue with Export**.

(If this survey has been exported before, you may see a Merge Text window at this point.)

7 In the Finalize Transfer window, select **Apply**.

Once the transfer is finalized, the survey you exported will appear in the receiving computer's database.

## 8.2 Export/Import: Letters & Content Library

You can use the Specialty Info Transfer menu to transfer the Content Library and letter templates between databases.

The export process puts the information into a database file, ASPENtx.zip, and saves it in a transfer location you specify. From there, you can import the information into a different application.

## • Task 8-H: Export the Content Library to a Transfer Location

1 From ACO, select **System** | **Specialty Info Transfer** | **Export Content Library**.

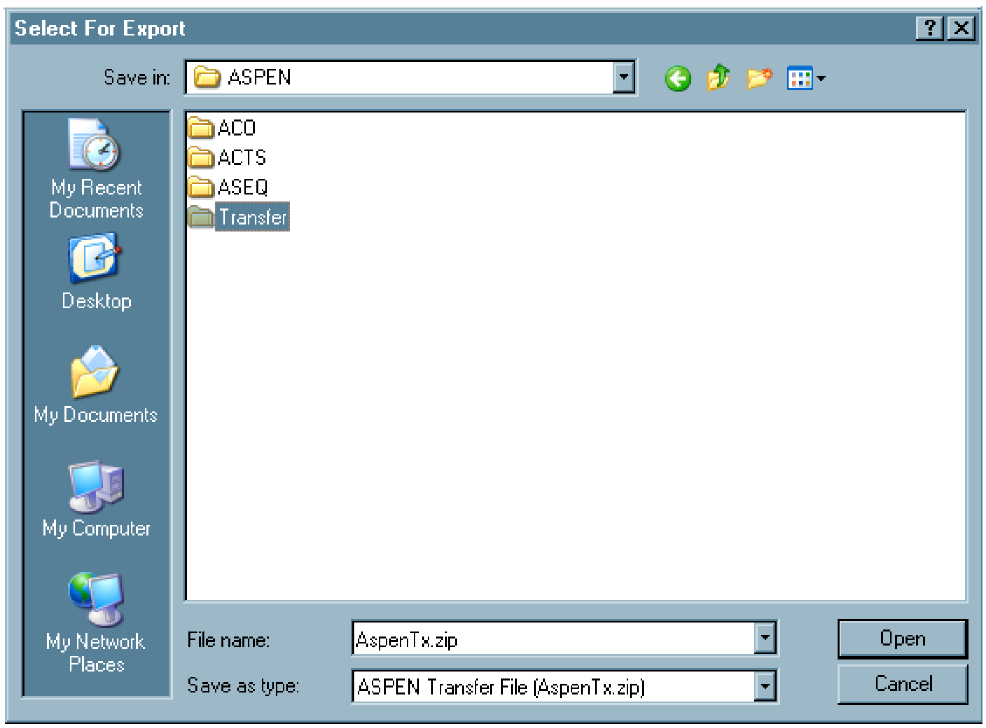



*Figure 8-21: Choose ASPEN Transfer Location*

2 In the Select For Export window, select the destination for the transfer. In *Figure 8-21*, we've chosen the ASPEN | Transfer folder on the C: drive.

3 Click **Save** to store the information in AspenTx.zip, which ASE-Q can import.

If a file by that name already exists at that location, you will be asked if you want to append the file. Click OK to add the Content Library to an existing export file, or you can change the name of the file you are exporting. Then click **Apply**.

# • Task 8-I: Import Content Library into ASE-Q

1 From ASE-Q, select **System** | **Specialty Info Transfer** | **Import Content Library**.

2 In the **Select For Import** window, navigate to and select the directory containing the citation library (C:\ASPEN\Transfer\Aspentx.zip).

3 Click **Open**, then **Apply**.

The file is loaded into ASE-Q and the pre-defined text becomes available.

## 8.3 Using ASPEN Data Externally

### 8.3.1 ASPEN Data Monitor

The ASPEN Data Monitoring System (ADM) was developed to help bridge the gap between ASPEN and states' internal systems. ADM provides a system of messages that informs states when changes occur in the ASPEN database, including what kind of change has occurred, and where the data are located. States can then develop applications that use this information to update their own systems, or to perform other custom automated responses.

ADM allows states to use ACTS as their primary complaints management system while minimizing the double data entry currently required to maintain related state complaint systems and functions.

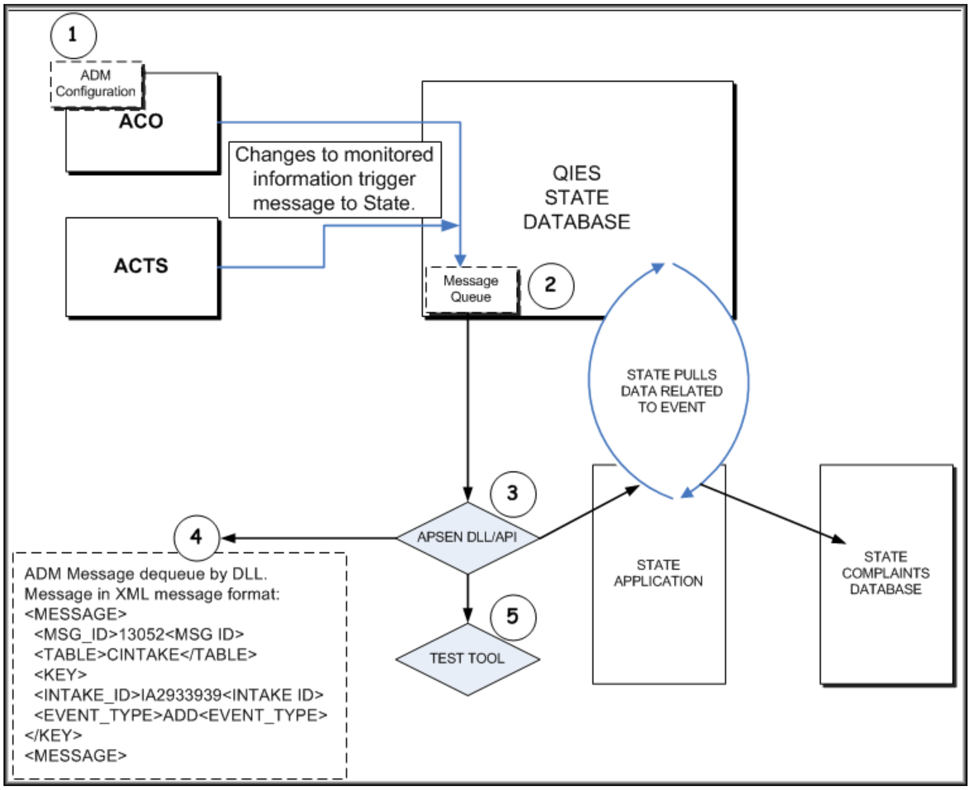



*Figure 8-22: ADM components*

**Note:** ADM provides information to state systems about changes to the ASPEN database; it does not allow state systems to make changes to the ASPEN database.

## *ADM Components*

As illustrated in *Figure 8-22*, there are five functional components within ADM:

1 **ADM Manager**—A user interface in ACO where system administrators can activate and control ADM monitoring of specific entities in the ASPEN database.

2 **Message Queue**—An Oracle Messaging Queue that delivers the messages when monitored events are triggered. This queue is internal to ADM and no state configuration or management is required.

3 **API**—An Application Programming Interface (API) which allows states to receive the ADM messages. This API is written as a standard Windows Dynamic Link Library (DLL) that supports both unmanaged and managed memory (.NET) models, so state applications that connect to it may be written in a variety of programming languages.

4 **Messages**—Messages which carry information on specific monitored events and the entities they reference. Messages are delivered in standard XML format.

5 **Test Tool**—An ADM test tool which connects to the API. States can use the test tool to determine that activated ADM messages are delivered properly through the API.

## *Monitored Data*

ADM can monitor and store messages concerning more than twenty different data entities in the ASPEN database, including:

- ACTS-specific entities.
- ADM monitors tables containing data related to complaint intakes, allegations, complainants, allegation-related citations, among others.
- ASPEN shared entities.
- ADM monitors shared entities such as facility, survey, administrator, etc.

## *Implementing ADM Process Steps*

**1** Decide which ASPEN entities you want to monitor, and how you would like to use the resulting messages.

For example, when your state application sees a message about "new complaint in ACTS", it can use the intake ID provided in the message to retrieve the complaint data from ASPEN and insert a new complaint record in the state database.

**2** Develop the software application that connects to the ADM API to retrieve, evaluate and act on ADM messages.

**3** Install Oracle 11g and the ASPEN Client for ACO. Install on the computer responsible for operation of ADM. Installation instructions are in ASPEN8.1Install.pdf, available on the QTSO website.

**4** Copy AspenInterface.dll, ADM_Test.exe, and your state application to the ACO folder of the computer responsible for operation of ADM.

**5** In ACO, configure the entities to be monitored. See "Configuring ADM", below.

**6** Use the ADM Test Tool to determine that monitored messages are being properly delivered.

---

**Note:** The Test Tool is based on C#, a .NET application, requiring the .NET Framework for Microsoft Windows.

---

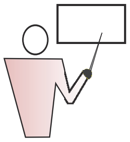
Once installation and configuration is complete, when users of ACTS and ACO perform routine data entry:

- Monitored entities will trigger messages in the ADM queue.
- The state application will make periodic requests to the ADM API and retrieve the messages from the queue.
- The state application will evaluate the messages and determine the actions to be performed.

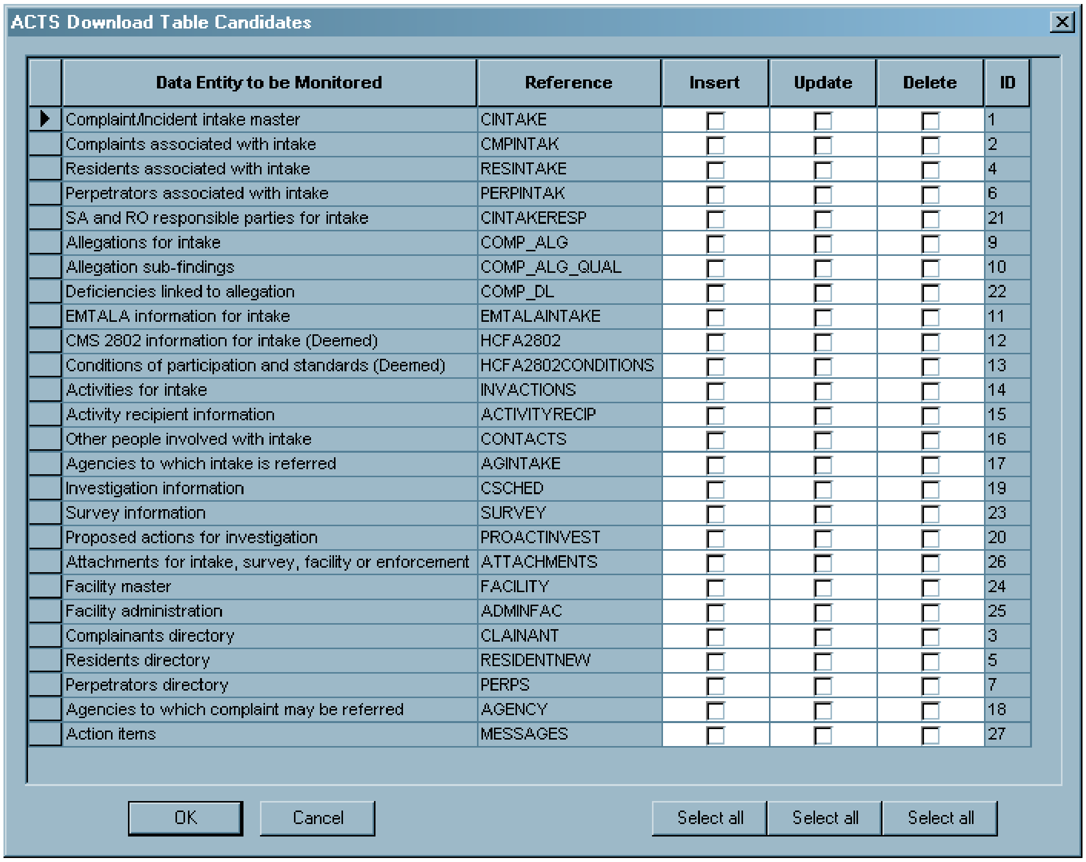
## *Configuring ADM*

When you are ready to begin using ADM (having completed Process Steps 1 through 4 above), select the data entities you want to monitor.

# • Task 8-J: Specify Data to Monitor



**1** From ACO, select **System** | **System Configuration** | **Aspen Data Alert Configuration**.



ACTS Download Table Candidates

| Data Entity to be Monitored | Reference | Insert | Update | Delete | ID |
|---|---|---|---|---|---|
| Complaint/Incident intake master | CINTAKE | ☐ | ☐ | ☐ | 1 |
| Complaints associated with intake | CMPINTAK | ☐ | ☐ | ☐ | 2 |
| Residents associated with intake | RESINTAKE | ☐ | ☐ | ☐ | 4 |
| Perpetrators associated with intake | PERPINTAK | ☐ | ☐ | ☐ | 6 |
| SA and RO responsible parties for intake | CINTAKERESP | ☐ | ☐ | ☐ | 21 |
| Allegations for intake | COMP_ALG | ☐ | ☐ | ☐ | 9 |
| Allegation sub-findings | COMP_ALG_QUAL | ☐ | ☐ | ☐ | 10 |
| Deficiencies linked to allegation | COMP_DL | ☐ | ☐ | ☐ | 22 |
| EMTALA information for intake | EMTALAINTAKE | ☐ | ☐ | ☐ | 11 |
| CMS 2802 information for intake (Deemed) | HCFA2802 | ☐ | ☐ | ☐ | 12 |
| Conditions of participation and standards (Deemed) | HCFA2802CONDITIONS | ☐ | ☐ | ☐ | 13 |
| Activities for intake | INVACTIONS | ☐ | ☐ | ☐ | 14 |
| Activity recipient information | ACTIVITYRECIP | ☐ | ☐ | ☐ | 15 |
| Other people involved with intake | CONTACTS | ☐ | ☐ | ☐ | 16 |
| Agencies to which intake is referred | AGINTAKE | ☐ | ☐ | ☐ | 17 |
| Investigation information | CSCHED | ☐ | ☐ | ☐ | 19 |
| Survey information | SURVEY | ☐ | ☐ | ☐ | 23 |
| Proposed actions for investigation | PROACTINVEST | ☐ | ☐ | ☐ | 20 |
| Attachments for intake, survey, facility or enforcement | ATTACHMENTS | ☐ | ☐ | ☐ | 26 |
| Facility master | FACILITY | ☐ | ☐ | ☐ | 24 |
| Facility administration | ADMINFAC | ☐ | ☐ | ☐ | 25 |
| Complainants directory | CLAINANT | ☐ | ☐ | ☐ | 3 |
| Residents directory | RESIDENTNEW | ☐ | ☐ | ☐ | 5 |
| Perpetrators directory | PERPS | ☐ | ☐ | ☐ | 7 |
| Agencies to which complaint may be referred | AGENCY | ☐ | ☐ | ☐ | 18 |
| Action items | MESSAGES | ☐ | ☐ | ☐ | 27 |

OK Cancel Select all Select all Select all

*Figure 8-23: Configuration dialog showing table candidates for monitoring*

For each entity, specify the type of action you want to monitor:

- **Insert**—Alerts when a new record is added to a monitored entity table.
- **Update**—Alerts when a change is made to an existing record in a monitored entity table.
- **Delete**—Alerts when a record is removed from a monitored entity table.

**2** Select/de-select action types as appropriate. Use De-select All to remove an action type for all entities. De-select All toggles to Select All when active.

To disable monitoring for an entity, de-select all three action types.

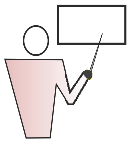
**3** Click **OK** to save changes then **Yes** to the confirmation prompt. Monitoring begins immediately.

## *The ADM Test Tool*

After you set ADM to begin monitoring the database, use ADM_Test.exe to:

- Determine that ADM is properly configured.
- Test that the ADM message queue is active.
- Ensure the ADM API is properly delivering messages from the ADM queue.
- View both unparsed and parsed (using DOM) XML message structure view.

# • Task 8-K: Test ADM Configuration



**1** In the ACO folder, locate and launch ADM_Test.exe.

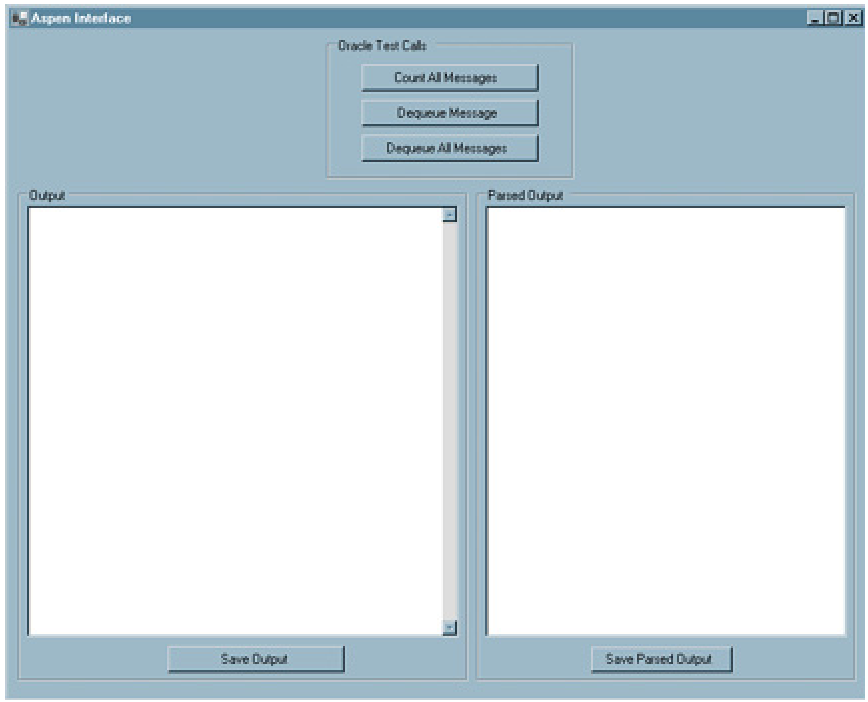



*Figure 8-24: ADM Test Tool dialog box*

The ASPEN Interface dialog box lets you perform the following functions:

**Table 8-1: ASPEN Interface Dialog Box Functions**

| **Function** | **Syntax** | **Description** |
|---|---|---|
| Count All Messages | CountWaitingMessage() | This is a simple numerical count of the messages currently in the queue. |
| Dequeue Message | GetQueueMessage() | Displays the one message that has been in the queue the longest and removes it. |
| Dequeue All Messages | Iterates GetQueueMessage() | Displays all messages currently in the queue, and removes them from the queue. |
| Save Output | NA | Saves unstructured XML message (shown in the Output pane) as a text file. |
| Save Parsed Output | NA | Saves DOM-structured XML messages (shown in the Parsed Output pane) as a text file. |