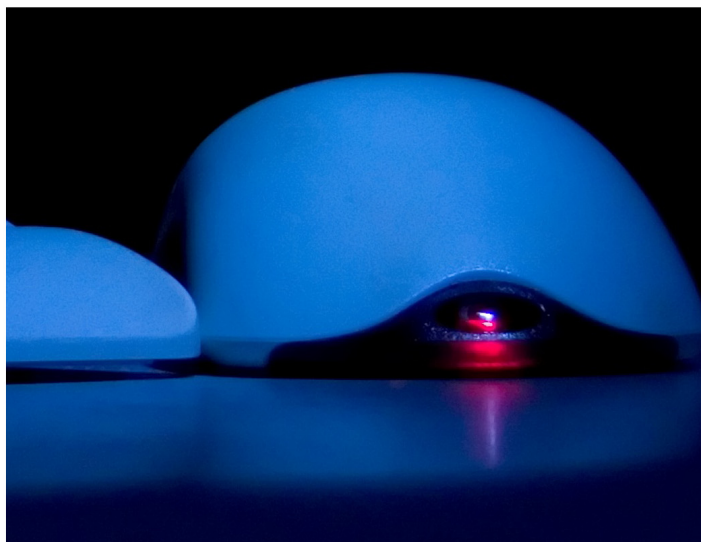
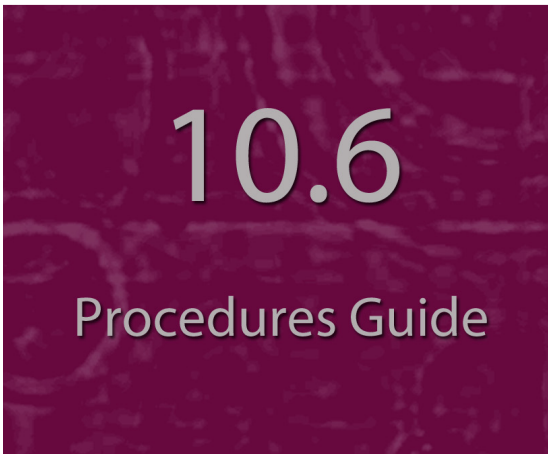




# ASPEN CLIA ACCOUNTING



Information in this procedures 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.

## **Systems Environment**

Application Development: Microsoft Visual C++ and C# 2008 (9.0), .NET 3.51 SP1

Desktop Database (ASE-Q only): SQL Anywhere 11

CMS-supported operating systems and MS Internet Explorer versions are posted on the QTSO Website  
<https://www.qtso.com>  
under the Minimum System Requirements section

Server Database:  
Oracle Database 11g/12c  
Enterprise Edition Release 12.1.0.2

## **Optional System Environments**

MAPI Compliant E-mail client to support e-mail transfer of survey information

---

**Note:** This document can be viewed online or printed in a duplex (two-sided) format. Blank pages have been automatically inserted as needed for correct pagination in the printed copy.

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# Introduction

ASPEN Web includes the online CLIA accounting modules. Qualified users can access the CLIA accounting functions on ASPEN Web to enter and maintain billing records for CLIA laboratories. Records that are added and updated through ASPEN Web's accounting processes are uploaded overnight to national.

CLIA Accounting on ASPEN Web provides a simplified graphic interface that incorporates CLIA business rules, which enables auto-entry of many data entry fields and eliminates manual entry of invalid data. The system also alerts users to overnight errors at a national level, a state level, and an individual provider level.

## About this Procedures Guide

The *CLIA Accounting Procedures Guide* gives you the information you will need to:

- Browse and locate CLIA billing records by provider and by lockbox.
- Use the inquiry functions for certificates and billing.
- Print the Billing Inquiry windows.
- Create, print, and delete unresolved accounting records.
- Apply cash to CLIA accounting records.
- Move and cancel payments.
- Locate and authorize refunds.
- Generate fee coupons.
- Search CLIA 116 records for provider numbers required in CLIA Accounting screens.
- Use the System Inquiry function to learn about overnight errors.

---

**Note:** This guide assumes that you are familiar with basic Windows operations.

---

The *CLIA Accounting Procedures Guide* consists of this introduction and the following chapters:

- CLIA Accounting Procedures  
Contains task-based procedures for using ASPEN Web accounting functions.
- CLIA Accounting Screens  
Contains pictures and brief descriptions of ASPEN Web accounting screens.
- CLIA Accounting Fields and Buttons  
Presents descriptions of the fields and buttons in the ASPEN Web accounting screens.
- Supporting Materials  
Contains supplemental reference material.

## View this Document Online

You must have Adobe Reader installed to view this document online. You can download the latest version from <https://get.adobe.com/reader/>.

On any page, you can click the Increase (+) or Decrease (-) button in the toolbar to adjust the page magnification to your comfort level. Use the bookmarks in the left pane of Adobe Reader to locate and go (click the bookmark) to relevant information in this procedures guide.

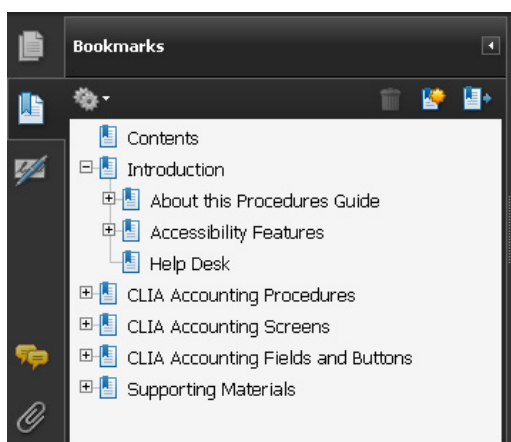


Figure 1: Bookmarks

You can also click the Contents bookmark and then click links in the table of contents to go to relevant topics.

---

**TIP:** For best viewing quality in Adobe Reader, go to Edit | Preferences | Page Display (path may vary somewhat depending on version). Select the applicable Smooth Text option.

---



If you need more information, links to relevant additional material in this document are included. Click a link to directly access the related information.

In the Procedures chapter, there are three types of links (cross-references) to additional material. They are grouped at the end of a procedure or descriptive section.

**More ...**

[Procedure: "Apply Cash to Lab Accounts" on page 22](#)

[Screen: "Apply Cash window" on page 52](#)

["Processing Rules for Apply Cash" on page 25](#)

- ➡ Click the first link to go to the indicated procedure.
- ➡ Click the second link to go to a graphic and description of the indicated screen or section of screen.
- ➡ Click the third link to go to descriptive information about the indicated topic.

In the Screens chapter (usually), there is another type of link (cross-reference) to additional material:

[Fields: "Apply Cash window", on page 68](#)

- ➡ Click the link to go to the field/column descriptions for the indicated screen or section of screen.

There may also be cross-references in the Fields chapter.

## View a Printed Copy of this Document

While it is designed to be used easily online, you can print this document if you prefer. If you print this document, use the Table of Contents to locate the information you need. Links (cross-references) to additional material in this document include page numbers; simply go to the indicated page.

## Conventions

This guide uses the following conventions:

- web**      Generic reference to the World Wide Web.
- Bold**      In procedures: names of screens, screen sections, windows you open; and buttons, menu options, keys you press.
- More ...**      Introduces a list of "see also" cross-references.

---

**Note:** Notes give you important information that may affect how you use a function.

---

---

**TIP:** Tips give you useful hints, suggestions, or alternative approaches.

---

---

**WARNING!** Warnings tell you actions to avoid that may cause harm, or precautions you should take to avoid causing harm.

---

## Accessibility Features

This *CLIA Accounting Procedures Guide* and the accounting functions on ASPEN Web both include a number of 508-compliant accessibility features, which are detailed below.

### In this Guide

This procedures guide incorporates the following 508-compliant accessibility features:

- Alternate text (alt text), which screen readers can read, is defined for all graphics. In the Screens chapter, there are links (cross-references) to the field/column descriptions for the indicated screen or section of screen.
- All graphics have captions.
- Information is not conveyed by means of color alone.
- Tables are not used for formatting, so all text is accessible to screen readers.
- Reading order is optimized, so content is read correctly by screen readers.

### In ASPEN Web

The ASPEN Web accounting functions include the following 508-compliant accessibility features:

- All fields on accounting-related screens are included in a tabbing sequence, making them keyboard-accessible.
- Keyboard shortcuts exist for application options, making ASPEN Web keyboard-accessible.
- All error messages are accessible to screen readers.

## Help Desk

The ASPEN Help Desk can assist you with any issue you have related to ASPEN Web or overnight processing.

**Call:** 888-477-7876

**Email:** *help@qtso.com*



# CLIA Accounting Procedures

CO Super Users and the Billing Contractor can access, create, and maintain billing records for CLIA laboratories through ASPEN Web CLIA. Business rules for CLIA accounting are integrated into the ASPEN Web software infrastructure, which enables auto-entry of data in many cases and prevents manual entry of invalid data. New and edited accounting records are uploaded overnight to national.

## Open ASPEN Web CLIA

To open ASPEN Web CLIA from your browser, you need to know the URL and have a current QIES national system login.

### ***To open ASPEN Web CLIA:***

- 1 In your browser, enter the URL for ASPEN Web CLIA:  
<https://web.qiesnet.org/AspenWeb/Clia>
- 2 In the Login window, enter your national **User ID** and **Password** and click **Login**.
- 3 Click **OK** in the startup warning message to continue.

ASPEN Web CLIA opens and the Select Application window appears; available options are specific to your user type.

### **More ...**

[Screen: "Login window" on page 44](#)

[Screen: "Select Application window" on page 45](#)

## Browse Accounts

The Browse Accounts module lets you locate and review CLIA accounting information. You can search by provider number or lockbox criteria, but not both simultaneously.

## Locate Accounts by Provider

You can use the Provider Search section of the Browse Accounts window to search accounting records by provider number for up to three labs. ASPEN Web CLIA locates accounting records for the labs and displays the information in the Certificates and Billing Inquiry window.

---

**Note:** When you perform a Provider Search, any Lockbox Search criteria also entered are ignored.

---

### *To locate accounting information by provider:*

- 1 Open **ASPEN Web CLIA**.
- 2 On the **Select Application** window, click **Browse Accounts**.
- 3 In the **Provider Search** section of the Browse Accounts window, enter up to 3 valid CLIA provider numbers.  
A message is displayed if a number is not valid.
- 4 If you do not know a provider's CLIA number, click **116 Lookup** next to the Provider field to search for the provider and get the number.
- 5 Click **Find Provider** to locate account information for the specified labs and display it in the Certificates and Billing Inquiry window.

### **More ...**

[Procedure: "Open ASPEN Web CLIA" on page 13](#)

[Screen: "Select Application window" on page 45](#)

[Screen: "Browse Accounts window" on page 46](#)

[Procedure: "116 Lookup" on page 35](#)

[Screen: "Certificates and Billing Inquiry window" on page 47](#)

["Billing Category Descriptions" on page 81](#)

## Locate Accounts by Lockbox

To locate accounting information based on lockbox data, you use the Lockbox Search section of the Browse Accounts window. Lockbox search criteria include process date, batch number, item number, and check number.

ASPEN Web CLIA locates accounting records that meet the specified criteria and displays the information in the Lockbox Inquiry window. By default, all accounting records are searched, but an option lets you limit the search to unresolved accounting records.

---

**Note:** When you perform a Lockbox Search, any provider numbers entered in the Provider Search section of Browse Accounts are ignored.

---

### *To locate accounting information by lockbox:*

- 1 Open **ASPEN Web CLIA**.
- 2 On the **Select Application** window, click **Browse Accounts**.

- 3 In the **Lockbox Search** section of the Browse Accounts window, enter one or more search criteria: **Lockbox Process Date** or date range, **Batch** number, **Item** number, and **Check #**.

You must always enter a Lockbox Process Date or date range.

- 4 To search only unresolved accounting records, select **Show unresolved Only**.

A message is displayed if the search criteria you specify are invalid. For example:

- A Lockbox Process Date in the future is not allowed.
- If you enter a Lockbox Process Date range, you must also enter a Check # and/or select Show unresolved Only.

- 5 Click **Find Lockbox** to locate accounting information that matches your criteria and display it in the Lockbox Inquiry window.

**More ...**

[Procedure: "Open ASPEN Web CLIA" on page 13](#)

[Screen: "Select Application window" on page 45](#)

[Screen: "Browse Accounts window" on page 46](#)

[Screen: "Lockbox Inquiry window" on page 49](#)

## Open Lockbox Inquiry from Certificates and Billing Inquiry

You can open the Lockbox Inquiry window by selecting a payment record in the Certificates and Billing Inquiry window.

***To open Lockbox Inquiry from Certificates and Billing Inquiry:***

- 1 Open the **Certificates and Billing Inquiry** window and select a payment record in the **Billing Inquiry** section.
- 2 Click the **Lockbox Inquiry** button.
- 3 In the **Inquire By** window, choose to search lockbox records by **Process Date**, **Batch #**, or **Item #**.

The values shown for these options are copied from the payment record you selected. You can choose only one option.

- 4 Click **Inquire** to search lockbox records and display matching records in the Lockbox Inquiry window.

A search by Process Date returns all lockbox records with that process date.  
Batch # returns all records with that process date and batch number.  
Item # returns all records with that process date, batch number, and item number.

- 5 Click **Exit** to return to the **Certificates and Billing Inquiry** window.

**More ...**

[Procedure: "Locate Accounts by Provider" on page 14](#)

[Screen: "Certificates and Billing Inquiry window" on page 47](#)

[Screen: "Inquire By window" on page 48](#)

[Screen: "Lockbox Inquiry window" on page 49](#)

## Open Certificates and Billing Inquiry from Lockbox Inquiry

You can open the Certificates and Billing Inquiry window from a payment record selected in the Lockbox Inquiry window.

***To open Certificates and Billing Inquiry from Lockbox Inquiry:***

- 1 Open the **Lockbox Inquiry** window, select a payment record, and click the **Certificate/Billing Inquiry** button.

The Certificates and Billing Inquiry window for the CLIA lab associated with the selected payment record opens up.

- 2 Click **Exit** to return to the **Lockbox Inquiry** window.

The Lockbox Inquiry button is disabled as it is redundant.

**More ...**

[Procedure: "Locate Accounts by Lockbox" on page 14](#)

[Screen: "Lockbox Inquiry window" on page 49](#)

[Screen: "Certificates and Billing Inquiry window" on page 47](#)

## Access Accounting Audit History

From Browse Accounts, authorized CLIA users can search for an audit trail of CLIA accounting transactions by lockbox. Search criteria include process date, batch number, item number, and check number. The Audit Inquiry window displays applicable accounting records based on search criteria entered.

Accounting transactions include:

- Cash applied
- Overpayment processed
- Money refunded
- Money moved to Unresolved



- Unresolved record deleted
- Payment canceled or deleted

Audit data includes:

- What changes were made
- When changes were made
- Who made the changes

***To locate accounting audit history by lockbox:***

- 1** Open **ASPEN Web CLIA**.
- 2** On the **Select Application** window, click **Browse Accounts**.
- 3** In the **Audit Search** section of the Browse Accounts window, enter one or more search criteria: **Lockbox Process Date**, **Batch** number, **Item** number, and **Check #**.

You must always enter a Lockbox Process Date.

A message is displayed if the search criteria you specify are invalid. For example, a Lockbox Process Date in the future is not allowed.

- 4** Click **Find Lockbox** to locate accounting audit information that matches your criteria and display it in the Audit Inquiry window.

**More ...**

[Screen: "Browse Accounts window" on page 46](#)

[Screen: "Audit Inquiry window" on page 50](#)

## Access Lab Records (CMS-116 Forms)

From the Certificates and Billing Inquiry window, opened directly or through the Lockbox Inquiry window, you can open a read-only copy of the CLIA CMS-116 form for the lab on the active tab.

### **To open a read-only CMS-116 from Certificates and Billing Inquiry:**

- 1 Open the **Certificates and Billing Inquiry** window and select the **116 Detail** button at the bottom of the window.

The CLIA 116 application opens and displays the lab record (CLIA CMS-116 form) in Inquiry (read-only) mode for the provider on the active tab of the Certificates and Billing Inquiry window.

---

**Note:** For detailed information about the CLIA 116 application and screens, refer to the latest version of the *CLIA Procedures Guide*, which is posted on <https://www.qtso.com/aspenmanguide.html>.

---

- 2 Click **Exit** to return to the **Certificates and Billing Inquiry** window.

---

**Note:** If you click the Certificate/Billing Inquiry button, it opens the CLIA Certificate and Billing Inquiry window in the CLIA 116 application. It does not return you to the Certificates and Billing Inquiry window. The two windows contain similar, but not identical information.

---

### **More ...**

[Procedure: "Locate Accounts by Provider" on page 14](#)

[Procedure: "Open Certificates and Billing Inquiry from Lockbox Inquiry" on page 16](#)

[Screen: "Certificates and Billing Inquiry window" on page 47](#)

## Print Billing Inquiry Windows

### **Print the Certificates and Billing Inquiry window**

The Print option in the Certificates and Billing Inquiry window prints a hard (paper) copy of all certificate and billing information for the laboratory on the active tab. Information you must scroll to view in the window is included in the printed version.

- ➡ To print the contents of the active tab in the Certificates and Billing Inquiry window, simply click the **Print** button at the bottom.

### **Print the Lockbox Inquiry window**

The Print option in the Lockbox Inquiry window prints the contents on all pages of the Lockbox Inquiry window in PDF format.

### **To print the Lockbox Inquiry window:**

- 1 Click the **Print** button at the bottom of the window.

ASPEN Web CLIA generates a report in PDF format that captures all the content in the Lockbox Inquiry window.

- 2 To view the report, click **Open** in the **File Download** window, or click **Save** to save the report file.
- 3 To print a hard copy of the report, use the **Print** function in your PDF viewer.

## Unresolved Monies

Unresolved records are created both automatically and manually for money that enters the system but is not tied to a lab. When necessary, you can delete unresolved records.

### Create Unresolved Records

CO users and the Billing Contractor can manually create unresolved records. The usual sources of unresolved funds are:

- Payments received from labs without a fee coupon, commonly known as anomalies.

In this case, unresolved records are automatically created during nightly lockbox processing.

- Payments sent directly to CMS (batch 9999).
- Returned refund checks (batch 5555).
- Credit card payments entered through pay.gov (batch numbers 6000-6010 and 6500-6510).

Except for anomalies, you must manually create unresolved records for these monies, assigning them to the applicable batch and providing lockbox information. ASPEN Web CLIA processes the data and generates the unresolved records at the click of a button. Then you can use Apply Cash to apply the unresolved monies to lab accounts by associating unresolved money records with lab records.

#### ***To manually create unresolved monies:***

- 1 Open **ASPEN Web CLIA**.
- 2 On the **Select Application** window, click **Create Unresolved**.
- 3 For the first item, enter the **Date of Deposit**, assign the Lockbox **Batch** number, and enter the **Check Amt** (Amount) and **Check #** (number) in the Create Unresolved window.

All information is required except Check #.

- 4 To enter additional items, click **Add** and complete the fields.
- 5 To delete an item (row) prior to processing, select it and click **Remove**.

If only one item is present, you cannot remove it. Simply press Exit to close the Create Unresolved window.

- 6 When you have added information for all the unresolved records you need to create, click **Process** and answer **OK** to the prompt.

ASPEN Web CLIA generates a new unresolved record (type 80) for each item (row) in the Create Unresolved window using the data as follows:

- The Date of Deposit becomes the Lockbox Process Date.
- The Batch number is the one you selected.
- The Item number is the current largest Item number within the batch for the given Lockbox Process Date incremented by 1.

When processing is complete, the Create Unresolved window displays the data you entered and the generated Item number for each new unresolved record; the information is read-only. The monies associated with the new unresolved records are available to apply to lab accounts.

---

**Note:** If you discover after processing that an unresolved record was created in error, use the Delete Unresolved function to remove it.

---

***To print the contents of the Create Unresolved window:***

- ➡ Simply click the **Print** button at the bottom.

You can print the Create Unresolved window before or after processing.

**More ...**

[Procedure: "Open ASPEN Web CLIA" on page 13](#)

[Screen: "Select Application window" on page 45](#)

[Screen: "Create Unresolved window" on page 51](#)

[Procedure: "Apply Cash" on page 22](#)

[Procedure: "Delete Unresolved Records" below](#)

## **Delete Unresolved Records**

If an unresolved money record was created in error (by the lockbox or a user), you can remove it.

***To delete an unresolved record:***

- 1 Open **ASPEN Web CLIA**.
- 2 On the **Select Application** window, click **Delete Unresolved**.
- 3 Enter the lockbox **Process Date**, **Batch #**, and **Item #** for the unresolved record in the Delete Unresolved window.

---

**Note:** Item # must be two digits. If < 10, precede with 0, e.g., 02.

---

**4 Click Process.**

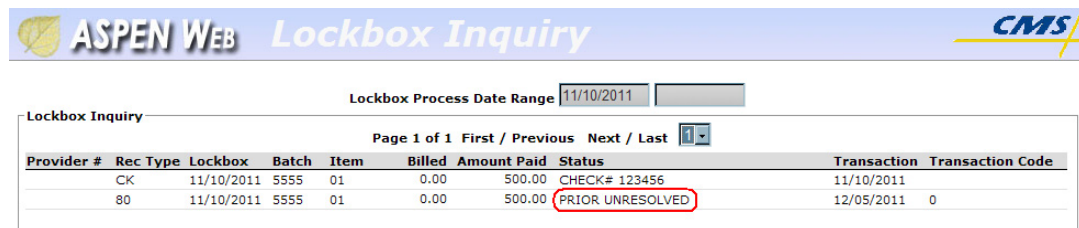
ASPEN Web CLIA looks up the unresolved record using the criteria you entered. If the record is located, the dollar Amount is entered in the Delete Unresolved window.

If the record is not located, you receive an error message and cannot continue.

**5 Answer OK to the prompt.**

ASPEN Web CLIA audits off the specified unresolved record so the money cannot be applied to lab accounts. It is assigned an internal audit code of 58 (Canceled unresolved).

When processing is complete, the Delete Unresolved window displays the data you entered (read-only) and indicates the unresolved record was successfully deleted. Its status is changed to Prior Unresolved, which you can see by opening the Lockbox Inquiry window.



Provider #	Rec Type	Lockbox	Batch	Item	Billed	Amount Paid	Status	Transaction	Transaction Code
CK	11/10/2011	5555	01	0.00	500.00	CHECK# 123456	11/10/2011		
80	11/10/2011	5555	01	0.00	500.00	PRIOR UNRESOLVED	12/05/2011	0	

Figure 2: Deleted unresolved record with Prior Unresolved status

**Note:** If you need to cancel an overpayment (70), you must first move it to Unresolved, then delete the unresolved record.

**To print the contents of the Delete Unresolved window:**

➡ Simply click the **Print** button.

You can print the Delete Unresolved window before or after processing.

**More ...**

[Procedure: "Open ASPEN Web CLIA" on page 13](#)

[Screen: "Select Application window" on page 45](#)

[Screen: "Delete Unresolved window" on page 51](#)

["Audit Codes" on page 83](#)

[Procedure: "Move Payments to Unresolved" on page 26](#)

## Apply Cash

The Apply Cash function lets you apply unresolved monies to lab accounts. You can apply cash from one or more unresolved records to one or more CLIA lab accounts at a time.

In the two-part process, you indicate the labs and unresolved funds to apply, then ASPEN Web CLIA processes the information and applies the cash according to specific rules. These rules are similar to those used by the lockbox batch program for applying funds from incoming checks.

### Apply Cash to Lab Accounts

To apply unresolved monies to lab accounts, you first specify the labs and the unresolved money items to apply to the lab accounts in the Apply Cash window. To indicate the labs, you simply enter their CLIA provider numbers. To identify the money to be applied, you provide lockbox information for the relevant unresolved accounting records.

#### *To apply unresolved monies to lab accounts:*

- 1 Open **ASPEN Web CLIA**.
- 2 On the **Select Application** window, click **Apply Cash to Lab Accounts**.
- 3 For the first item in the Apply Cash window, enter the **Provider #** of the lab to which cash is to be applied.

A message is displayed if a number is not valid.
- 4 If you do not know a provider's CLIA number, click **116 Lookup** next to the Provider # field to search for the provider and get the number.
- 5 To specify lockbox criteria: lockbox process **Date**, **Batch** number, and **Item** number, use one of the methods below.
  - Click the **Edit** button (diamond within square) to open the **Alter Values** window and enter lockbox information there.
  - Click **Lockbox Inquiry** to open the **Find Apply Cash Lockbox Information** window and locate the applicable lockbox record.

With either approach, the system copies the lockbox information that specifies the unresolved record from which money is to be applied and enters it in the selected row in the Apply Cash window. It enters the Check Amt (Amount) from the unresolved record.
- 6 To enter additional Apply Cash items, click **Add** to open a new row and complete the fields (steps 3-5).
- 7 To delete an item (row) prior to processing, select it and click **Remove**.

If only one item is present, you cannot remove it. Simply press Exit to close the Apply Cash window.

- 8 When you have entered all the labs and specified all the unresolved monies to apply to the lab accounts, click **Process** and answer **OK** to the prompt.

Cash from the specified unresolved records is applied to labs in the order they are entered in the window, from top to bottom. For labs with multiple fees, rules determine the order of pay off.

**More ...**

[Procedure: "Open ASPEN Web CLIA" on page 13](#)

[Screen: "Select Application window" on page 45](#)

[Screen: "Apply Cash window" on page 52](#)

[Procedure: "116 Lookup" on page 35](#)

[Procedure: "Enter Lockbox Criteria: Alter Values" below](#)

[Procedure: "Locate Lockbox Information: Lockbox Inquiry" on page 23](#)

["Processing Rules for Apply Cash" on page 25](#)

## Enter Lockbox Criteria: Alter Values

When you enter lockbox criteria directly in the Alter Values window, the system validates the data and populates the corresponding fields in the selected row in the Apply Cash window. You can open the Alter Values window later if you need to edit the data.

***To enter or edit lockbox criteria via the Alter Values window:***

- 1 In the **Apply Cash** window, click the **Edit** button (diamond within square) in the applicable row.
- 2 In the **Alter Values** window, enter or edit a valid lockbox **Process Date**, **Batch #** (number) within the lockbox file, and **Item #** in the given batch.  
You must specify all three values.
- 3 Click **Done** to enter corresponding values (**Date**, **Batch**, **Item**) in the selected Apply Cash row after validation. The system also enters the **Check Amt** (Amount) from the unresolved record.

You will receive a message if a matching unresolved record is not found.

**More ...**

[Screen: "Apply Cash window" on page 52](#)

[Screen: "Alter Values window" on page 53](#)

## Locate Lockbox Information: Lockbox Inquiry

If you do not have all the lockbox information on hand to enter directly in Alter Values, you can use the Lockbox Inquiry option to locate and copy the lockbox information to corresponding fields in Apply Cash.

***To locate and copy lockbox information:***

- 1 Click the **Lockbox Inquiry** button below the **Apply Cash** window.

- 2 In the **Find Apply Cash Lockbox Information** window, enter at least the **Lockbox Process Date**.

If any of the lockbox information is already present in the Apply Cash window, it is copied to Find Apply Cash Lockbox Information.

Show unresolved Only is selected by default and disabled, since you are trying to locate unresolved accounting records.

- 3 Click **Find Lockbox** to display unresolved accounting records matching the lockbox criteria you entered.

You will receive a message if matching unresolved records are not found.

- 4 Choose the applicable unresolved record and click **Select** to copy the lockbox data to the corresponding fields (**Date, Batch, Item**) in the selected Apply Cash row. The system also enters the **Check Amt** (Amount) from the unresolved record.

**More ...**

[Screen: "Alter Values window" on page 53](#)

[Screen: "Apply Cash window" on page 52](#)

[Screen: "Find Apply Cash Lockbox Information window" on page 53](#)

## Copy Lockbox Details

You can use the Copy function in the Apply Cash window to copy the lockbox information in a selected row to as many new rows as you want. This is convenient when you want to apply funds from one unresolved record to multiple lab accounts.

***To copy lockbox details:***

- 1 In the **Apply Cash** window, select the item (row) with the lockbox details you want to copy.
- 2 Click the **Copy** button below the window.
- 3 Enter the **Number of copies** you want to make in the prompt window and click **Done**.

ASPEN Web CLIA opens the requested number of rows in the Apply Cash window and copies the lockbox information from the selected row to each new row. You must enter a Provider # in each copied row before processing.

**More ...**

[Screen: "Apply Cash window" on page 52](#)

## Print the Apply Cash window

You can print the Apply Cash window before or after processing.

- ➡ To print the contents of the Apply Cash window, simply click the **Print** button below the window.



## Processing Rules for Apply Cash

The rules ASPEN Web CLIA uses to apply unresolved funds to lab accounts are summarized below.

- For each unresolved check (or electronic payment), funds are applied to the labs that have it as their Apply Cash source one lab at a time in the order they are entered in the Apply Cash window.
- Oldest fees are paid off first.
- Registration or certificate fees are paid off before other fees, 01 before 02, 04 before 05 as follows:

App/Cert Type	Pay by Record Type
1(9)	01 (cert), then 02 (comp)
1(9) initial survey uploaded	01 and 02 fully paid, then 04 (cert) paid
1(1) renewal comp	02 (comp) must be fully paid
1(1) resurvey uploaded	02 fully paid, then 04 (cert) paid
2 or 4	01 must be paid
3(9)	01 must be paid
3(3) initial/renewal	05 (valid) must be paid, then 06 (cert)

- If an unresolved item does not fully pay fees for all labs that have it as their Apply Cash source, a partial payment is applied to the last lab processed before the money runs out. Any other labs tied to that check/electronic payment are not paid after the partial payment is applied.
- When a payor submits a single check for multiple laboratories, the payment amount is applied to the balance owed on all included lab accounts in the order entered either:

- on the Apply Cash screen when applying unresolved money

-or-

- in the lockbox file as an 8000 batch with multiple CLIA numbers

If the payment exceeds outstanding fees for the included laboratories, the overpayment will be applied to the labs in the order entered based on prior full or partial payments made on the active bills. If additional unapplied money remains after applying those refunds, the amount remaining will be applied to the last lab.

## Move Money

You can move funds from individual accounts to Refund or Unresolved, or cancel payments as needed. For active labs only, ASPEN Web CLIA automatically generates new fees, applies unapproved refund money, and bubbles up certificates as necessary when money is moved.

### More ...

["When Money is Moved ..." on page 29](#)

## Move Payments to Refund

If a lab requests refund of a payment, usually because it has closed or is no longer testing, you can move the payment record to Refund (Unreconciled in national). ASPEN Web CLIA automatically completes first level authorization of the refund.

---

**Note:** In some cases the system automatically creates a refund record, e.g., if a lab paid a fee twice.

---

### ***To move a payment to Refund:***

- 1 Open the **Certificates and Billing Inquiry** window for the lab.
- 2 In the **Billing Inquiry** section, select the applicable payment and click the **Refund** button.

The Refund button is enabled only if you select a payment from the most recent billing cycle that has not already been moved.

- 3 Answer **OK** to the prompt.

The payment is moved to Refund. ASPEN Web CLIA automatically sets Authorization 1 to recommend approval of the refund. You can manually change the Authorization 1 setting to recommend denial instead.

For active labs only, the system generates a new fee, applies existing refund money, and bubbles up the lab's certificate as appropriate.

### More ...

[Procedure: "Locate Accounts by Provider" on page 14](#)

[Screen: "Certificates and Billing Inquiry window" on page 47](#)

[Procedure: "Complete Authorization 1" on page 31](#)

## Move Payments to Unresolved

When a payment is applied to the wrong lab through a lockbox file or Apply Cash, often due to a data entry error, you must manually move these monies to Unresolved. To move the money, you simply select the applicable payment record in the Certificates and Billing Inquiry or Lockbox Inquiry window and click a button.

**To move money to Unresolved:**

- 1 Open the **Certificates and Billing Inquiry** or **Lockbox Inquiry** window.
- 2 Select the applicable payment from the most recent billing cycle.  
In the Certificates and Billing Inquiry window, you select the payment in the Billing Inquiry section.
- 3 Click the **Unresolve** button and answer **OK** to the prompt.  
The prompt informs you if refunds exist for the lab.  
When you OK out of the prompt, the payment is moved from the lab account to Unresolved and is available to Apply Cash. For active labs only, ASPEN Web CLIA automatically generates a new fee, applies existing refund money, and bubbles up the lab's certificate as appropriate.

---

**Note:** If you need to cancel an overpayment (70), you must first move it to Unresolved, then delete the unresolved record.

---

**More ...**

[Procedure: "Locate Accounts by Provider" on page 14](#)  
[Procedure: "Locate Accounts by Lockbox" on page 14](#)  
[Screen: "Certificates and Billing Inquiry window" on page 47](#)  
[Screen: "Lockbox Inquiry window" on page 49](#)  
["When Money is Moved ..." on page 29](#)  
["Apply Cash" on page 22](#)  
[Procedure: "Move Payments to Unresolved" on page 26](#)  
[Procedure: "Delete Unresolved Records" on page 20](#)

## Cancel Payments

If a check is returned due to insufficient funds, or the bank erroneously applies a payment to CLIA, you cancel the payment record.

**To cancel a payment:**

- 1 Open the **Certificates and Billing Inquiry** or **Lockbox Inquiry** window.
- 2 Select the applicable payment record from the most recent billing cycle.  
In the Certificates and Billing Inquiry window, you select the payment in the Billing Inquiry section.
- 3 Click the **Cancel Pmt** button and answer **OK** to the prompt.  
The payment is canceled. It is assigned an internal audit code of 56 (Cancel payment). For active labs only, ASPEN Web CLIA automatically generates a new fee, applies existing refund money, and bubbles up the lab's certificate as appropriate.

In Lockbox Inquiry, the status of the payment record is changed from <FeeType> Payment to Prior <FeeType> Payment and the Transaction date is changed to the date the payment was canceled. The status assigned to the canceled payment record is Prior <FeeType> Fee Removed.

Lockbox Inquiry

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Provider #	Rec Type	Lockbox	Batch	Item	Billed	Amount Paid	Status	Transaction	Transaction Code
20010000000000000000	01	02/10/2011	1001	04	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	05	0.00	150.00	CHECK# 20017	02/10/2011	
20010000000000000000	01	02/10/2011	1001	05	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	06	0.00	200.00	CHECK# 14106	02/10/2011	
20010000000000000000	01	02/10/2011	1001	06	200.00	200.00	PPM PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	07	0.00	150.00	CHECK# 398675	02/10/2011	
20010000000000000000	01	02/10/2011	1001	07	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	08	0.00	150.00	CHECK# 71320	02/10/2011	
20010000000000000000	01	02/10/2011	1001	08	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	09	0.00	150.00	CHECK# 100523	02/10/2011	
20010000000000000000	01	02/10/2011	1001	09	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	10	0.00	150.00	CHECK# 92305	02/10/2011	
20010000000000000000	01	02/10/2011	1001	10	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	11	0.00	150.00	CHECK# 1995	02/10/2011	
20010000000000000000	01	02/10/2011	1001	11	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	12	0.00	150.00	CHECK# 9437	02/10/2011	
20010000000000000000	04	02/10/2011	1001	12	150.00	150.00	COMPLIANCE CERT PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	13	0.00	150.00	CHECK# 1222	02/10/2011	
20010000000000000000	04	02/10/2011	1001	13	150.00	150.00	COMPLIANCE CERT PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	14	0.00	193.00	CHECK# 35474	02/10/2011	

Figure 3: Payment to be canceled

Lockbox Inquiry

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Provider #	Rec Type	Lockbox	Batch	Item	Billed	Amount Paid	Status	Transaction	Transaction Code
20010000000000000000	01	02/10/2011	1001	04	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	05	0.00	150.00	CHECK# 20017	02/10/2011	
20010000000000000000	01	02/10/2011	1001	05	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	06	0.00	200.00	CHECK# 14106	02/10/2011	
20010000000000000000	01	02/10/2011	1001	06	200.00	200.00	PPM PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	07	0.00	150.00	CHECK# 398675	02/10/2011	
20010000000000000000	01	02/10/2011	1001	07	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	08	0.00	150.00	CHECK# 71320	02/10/2011	
20010000000000000000	01	02/10/2011	1001	08	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	09	0.00	150.00	CHECK# 100523	02/10/2011	
20010000000000000000	01	02/10/2011	1001	09	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	10	0.00	150.00	CHECK# 92305	02/10/2011	
20010000000000000000	01	02/10/2011	1001	10	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	11	0.00	150.00	CHECK# 1995	02/10/2011	
20010000000000000000	01	02/10/2011	1001	11	150.00	150.00	WAIVER PAYMENT	02/10/2011	0
20010000000000000000	CK	02/10/2011	1001	12	0.00	150.00	CHECK# 9437	02/10/2011	
20010000000000000000	04	02/10/2011	1001	12	150.00	150.00	PRIOR COMPLIANCE CERT PAYMENT	12/07/2011	201134112264254
20010000000000000000	04	02/10/2011	1001	12	0.00	-150.00	PRIOR COMPLIANCE CERT FEE REMOVED	12/07/2011	201134112264254
20010000000000000000	CK	02/10/2011	1001	13	0.00	150.00	CHECK# 1222	02/10/2011	
20010000000000000000	04	02/10/2011	1001	13	150.00	150.00	COMPLIANCE CERT PAYMENT	02/10/2011	0

Figure 4: Updated payment record and new canceled payment record

In the Billing Inquiry section of the Certificates and Billing Inquiry window, a canceled payment record and a new fee record are added.

Lockbox Inquiry

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Provider #	Rec Type	Lockbox	Batch	Item	Billed	Amount Paid	Status	Transaction	Transaction Code
01	02/10/2011	1001	04	150.00	150.00	WAIVER PAYMENT	02/10/2011	0	
CK	02/10/2011	1001	05	0.00	150.00	CHECK# 20017	02/10/2011		
01	02/10/2011	1001	05	150.00	150.00	WAIVER PAYMENT	02/10/2011	0	
CK	02/10/2011	1001	06	0.00	200.00	CHECK# 14106	02/10/2011		
01	02/10/2011	1001	06	200.00	200.00	PPM PAYMENT	02/10/2011	0	
CK	02/10/2011	1001	07	0.00	150.00	CHECK# 398675	02/10/2011		
01	02/10/2011	1001	07	150.00	150.00	WAIVER PAYMENT	02/10/2011	0	
CK	02/10/2011	1001	08	0.00	150.00	CHECK# 71320	02/10/2011		
01	02/10/2011	1001	08	150.00	150.00	WAIVER PAYMENT	02/10/2011	0	
CK	02/10/2011	1001	09	0.00	150.00	CHECK# 100523	02/10/2011		
01	02/10/2011	1001	09	150.00	150.00	WAIVER PAYMENT	02/10/2011	0	
CK	02/10/2011	1001	10	0.00	150.00	CHECK# 92305	02/10/2011		
01	02/10/2011	1001	10	150.00	150.00	WAIVER PAYMENT	02/10/2011	0	
CK	02/10/2011	1001	11	0.00	150.00	CHECK# 1995	02/10/2011		
01	02/10/2011	1001	11	150.00	150.00	WAIVER PAYMENT	02/10/2011	0	
CK	02/10/2011	1001	12	0.00	150.00	CHECK# 9437	02/10/2011		
04	02/10/2011	1001	12	150.00	150.00	PRIOR COMPLIANCE CERT PAYMENT	12/07/2011	201134112264254	
04	02/10/2011	1001	12	0.00	-150.00	PRIOR COMPLIANCE CERT FEE REMOVED	12/07/2011	201134112264254	
CK	02/10/2011	1001	13	0.00	150.00	CHECK# 1222	02/10/2011		
04	02/10/2011	1001	13	150.00	150.00	COMPLIANCE CERT PAYMENT	02/10/2011	0	

Figure 5: New fee and canceled payment records

**Note:** If the payment to be canceled is an overpayment (70), you must first move it to Unresolved, then delete the unresolved record.

#### More ...

[Procedure: "Locate Accounts by Provider" on page 14](#)

[Procedure: "Locate Accounts by Lockbox" on page 14](#)

[Screen: "Certificates and Billing Inquiry window" on page 47](#)

[Screen: "Lockbox Inquiry window" on page 49](#)

["When Money is Moved ..." below](#)

["Audit Codes" on page 83](#)

[Procedure: "Move Payments to Unresolved" on page 26](#)

[Procedure: "Delete Unresolved Records" on page 20](#)

## When Money is Moved ...

When you move money to Refund or Unresolved, or cancel payments, ASPEN Web CLIA automatically generates new fees, applies refunds, and bubbles up current certificates as follows:

- ASPEN Web CLIA cancels the payment, audits off the original fee, and creates a JV (journal voucher) record.
- If the lab is active, ASPEN Web CLIA generates a new fee for the outstanding amount. The schedule codes and fee date from the original fee are carried forward to the new fee.
- If unapproved refund money exists, the system automatically applies it to the new fee.

- If money is moved off a current certificate, the system bubbles up the certificate, i.e., moves it to pending.

---

**Note:** For a terminated lab, the system does *not* generate a new fee or bubble up a current certificate. You must reactivate a terminated lab before moving money from it if you need to generate a new fee, apply refund money, or bubble up a certificate. Then you must reterminate the lab.

---

**More ...**

[Procedure: "Authorize Refunds" below](#)

## Authorize Refunds

Refund authorization is a 2-step process:

- Recommend approval or denial of the refund.

---

**Note:** When you create a refund record, ASPEN Web CLIA automatically recommends approval. You can manually recommend denial instead.

---

- Approve or deny the refund.

Only CMS can do this.

Both steps cannot be completed in the same session.

## Locate Refund Requests

You can locate refund requests either by provider number or refund authorization status. If you search by both provider number and authorization status, you may get unexpected results.

### Find Refund Requests by Provider

You can locate refund requests for up to ten providers at a time. All refund requests for the specified providers are returned, whatever the refund authorization status.

***To search refund requests by provider:***

- 1 Open **ASPEN Web CLIA**.
- 2 On the **Select Application** window, click **Refund Authorization**.
- 3 In the **Refund Selection Criteria** window, enter up to 10 valid CLIA provider numbers.  
A message is displayed if a number is not valid.
- 4 If you do not know a provider's CLIA number, click **116 Lookup** next to the Provider # field to search for the provider and get the number.

- 5 Click **Find Now** to search for the matching refund requests.

The Refund Authorization window opens and lists all refund requests for the specified providers. The number of items found is indicated.

**More ...**

[Procedure: "Open ASPEN Web CLIA" on page 13](#)

[Screen: "Select Application window" on page 45](#)

[Screen: "Refund Selection Criteria window" on page 54](#)

[Procedure: "116 Lookup" on page 35](#)

[Screen: "Refund Authorization window" on page 54](#)

## Find Refund Requests by Authorization Status

You can search refund requests by authorization status, one at a time. All refund requests with the specified status are returned.

***To search refund requests by authorization status:***

- 1 Open **ASPEN Web CLIA**.
- 2 On the **Select Application** window, click **Refund Authorization**.
- 3 In the **Refund Selection Criteria** window, select the authorization status to search by, e.g., Pending Recommendation or List Final Approvals.

You can select only one option.

- 4 Click **Find Now** to search for the matching refund requests.

The Refund Authorization window opens and lists the refund requests with the specified authorization status. The status selected for the search and the number of items found is indicated.

**More ...**

[Procedure: "Open ASPEN Web CLIA" on page 13](#)

[Screen: "Select Application window" on page 45](#)

[Screen: "Refund Selection Criteria window" on page 54](#)

[Screen: "Refund Authorization window" on page 54](#)

## Complete Authorization 1

The first step in authorizing refunds is to recommend approval or denial of the refund. Authorization 1 values must be entered and processed in order to go on to the second step, Authorization 2.

When you create a refund record, ASPEN Web CLIA automatically sets Authorization 1 to recommend approval of the refund. You can manually change the setting to recommend denial instead. For refund records created by the system (through Apply Cash or Lockbox), you must complete all steps of first level authorization.

**To complete first level refund authorization:**

- 1 Locate the applicable refund request.
- 2 In the **Refund Authorization** window, select a **Rec.** (Recommend) option for the refund request: Yes to recommend approval of the refund, No to recommend denial.  
  
For payments moved to Refund (Move Money), the system automatically sets Rec. to Yes. You can change it to No.
- 3 If approval of the refund is recommended (Rec. = Yes), you must select the **Reason**; optional if Rec. = No.  
  
For payments moved to Refund (Move Money), the system automatically sets Reason to 11 Overpaid Clia. You can select another option if appropriate.
- 4 Click **Confirm**.  
  
The Confirm Refund Authorization window opens. The New Values section displays the values present in the Refund Authorization window when you clicked Confirm.
- 5 In the **New Values** section of the **Confirm Refund Authorization** window, review the **Authorization 1** values.
- 6 If the values are not correct, click **Exit** to return to the **Refund Authorization** window, change the values, and click **Confirm** again.
- 7 When you are certain the Authorization 1 values are correct, click **Process**.  
  
If approval of the refund was recommended, it is moved to Pending Final Approval. If you recommended against approval, it is moved to Recommended Denials.

---

**Note:** Authorization status for refunds with automatic first level authorization is already Pending Final Approval.

---

**More ...**

[Procedure: "Locate Refund Requests" on page 30](#)

[Screen: "Refund Authorization window" on page 54](#)

[Screen: "Confirm Refund Authorization window" on page 55](#)

## Complete Authorization 2

Only CMS can complete second-level refund authorization, and only after first-level authorization is completed. For Authorization 2, CMS reviews the refund recommendation, i.e., Authorization 1 values, and then approves or denies the refund.



***To complete second level refund authorization:***

- 1** Locate the applicable refund request. If searching by refund authorization status, choose **Pending Final Approval** or **List Recommended Denials** based on the Authorization 1 recommendation.
- 2** In the **Refund Authorization** window, select an **Aprvl** (Approval) option: Yes to approve the refund, No to deny the refund.
- 3** If you choose to approve the refund (Aprvl = Yes), you must select the **Reason**; optional if Aprvl = No.
- 4** Click **Confirm**.  
The Confirm Refund Authorization window opens. The New Values section displays the values present in the Refund Authorization window when you clicked Confirm.
- 5** In the **New Values** section of the **Confirm Refund Authorization** window, review the **Authorization 2** values.
- 6** If the values are not correct, click **Exit** to return to the **Refund Authorization** window, change the values, and click **Confirm** again.
- 7** When you are certain the Authorization 2 values are correct, click **Process**.  
If you approved the refund, it is moved to Final Approvals. If not, it is moved to Approved Denials.

**More ...**

[Procedure: "Locate Refund Requests" on page 30](#)

[Screen: "Refund Authorization window" on page 54](#)

[Screen: "Confirm Refund Authorization window" on page 55](#)

## **Print Refund Authorization windows**

As needed, you can print the contents of the three windows related to refund authorization:

- Refund Selection Criteria
- Refund Authorization
- Confirm Refund Authorization

### **Print the Refund Selection Criteria window**

The Print button in the Refund Selection Criteria window prints a hard (paper) copy of the contents in the window.

***To print the contents of the Refund Selection Criteria window:***

- ➡ Simply click the **Print** button.

## Print the Refund Authorization window

The Print option in the Refund Authorization window prints the contents on all pages to PDF.

### ***To print the contents of the Refund Authorization window:***

- 1 Click the **Print** button at the bottom of the window.  
ASPEN Web CLIA generates a report in PDF format that captures all the content in the Lockbox Inquiry window.
- 2 To view the report, click **Open** in the **File Download** window, or click **Save** to save the report file.
- 3 To print a hard copy of the report, use the **Print** function in your PDF viewer.

## Print the Confirm Refund Authorization window

The Print button in the Confirm Refund Authorization window prints a hard (paper) copy of the contents in the window.

### ***To print the contents of the Confirm Refund Authorization window:***

- ➡ Simply click the **Print** button at the bottom of the window.

## Generate Fee Coupons

The following users can issue fee coupons:

- RO - Full Access
- CO - Super User
- Billing Contractor

### ***To generate a fee coupon for a provider:***

- 1 Open the **Certificates and Billing Inquiry** window for the provider.  
The lab must be active or terminated with an 08 (nonpayment of fees), non-exempt, and have an amount outstanding on a fee that was previously sent.
- 2 In the **Billing Inquiry** section, select a row with an outstanding Billing Amt and click the **Generate Fee Coupon** button at the bottom of the window.  
The button is enabled for billing records with a payment status code of 08 (fee sent), i.e., the fee was sent, but has not been paid.
- 3 Answer **OK** to the prompt to generate the fee coupon.  
The system indicates the fee coupon processing was successful.

**4** Answer **OK** to the prompt.

The system audits off the current billing record and creates a new fee. It adds a new billing item at the top of the Billing Inquiry section. The following Saturday, the fee will be included in the file sent to the Billing Contractor, who will resend the fee.

**More ...**

[Procedure: "Locate Accounts by Provider" on page 14](#)

[Screen: "Certificates and Billing Inquiry window" on page 47](#)

## 116 Lookup

The following ASPEN Web CLIA accounting windows require the CLIA provider number for one or more laboratories as a parameter:

- Browse Accounts: Provider Search section
- Apply Cash
- Refund Selection Criteria

If you do not have a lab's CLIA number on hand, you can use the 116 Lookup function to search CLIA CMS-116 forms in the database and return the provider number for the selected lab to the requesting window.

***To use 116 Lookup to locate a provider number:***

- 1** In a window requiring the CLIA number for a lab, click the **116 Lookup** button next to the **Provider** or **Provider #** field.

The Find Accounting Providers window opens. It has the same fields as the CLIA 116 Find window.

- 2** Enter your search criteria and click **Find Now**.

ASPEN Web CLIA searches the CLIA CMS-116 forms in the database and opens the Find Accounting Providers window, which displays a list of the laboratories matching your search criteria.

- 3** Choose the row in the results list with the lab whose CLIA number you need, and click **Select**, or simply double-click the row/provider.

ASPEN Web CLIA enters the CLIA # from the selected lab's 116 record into the applicable Provider or Provider # field in the requesting window.

**More ...**

[Screen: "Browse Accounts window" on page 46](#)

[Screen: "Apply Cash window" on page 52](#)

[Screen: "Refund Selection Criteria window" on page 54](#)

[Screen: "Find Accounting Providers window" on page 56](#)

[Screen: "Accounting Providers Find Results window" on page 57](#)

## Upload Lockbox

Upload Lockbox functionality may be fully integrated into ASPEN Web CLIA in a future release. Currently, the bank posts the lockbox file on national and it is moved to ASPEN for processing. Qualified users (CO Super User and Billing Contractor) can use the Upload Lockbox function to review previously submitted lockbox files or the related results files.

### ***To view lockbox and results files:***

- 1 Open **ASPEN Web CLIA**.
- 2 On the **Select Application** window, click **Lockbox Upload**.

### **More ...**

[Procedure: "Open ASPEN Web CLIA" on page 13](#)

[Screen: "Select Application window" on page 45](#)

## System Information

The System Information window displays notes about system status, details about failed CLIA transactions, and current user information. It also provides access to batch billing job logs (audit files).

### ***To view system information:***

- 1 Open **ASPEN Web CLIA**.
- 2 On the **Select Application** window, click **System Information**.  
Current system information and a list of batch billing job logs from the past week are displayed.
- 3 In the **Batch Jobs** section, enter **From Date** and **To Date** to specify the date range you want and click **Find** to update the list of audit files.
- 4 in the **View Audit Messages** column, click **View** for the audit file you want to view.  
It opens in a text editor, which you can close when you are done.
- 5 To print the contents of the System Information window, click the **Print** button.
- 6 To close the System Information window and return to the Select Application window, click **Done**.

### **More ...**

[Procedure: "Open ASPEN Web CLIA" on page 13](#)

[Screen: "Select Application window" on page 45](#)

[Screen: "System Information window" on page 58](#)

## View Batch Bill Files

Central Office and Billing Contractor users can open the CLIA Billing Extract application from the Select Application window to view output files from the batch billing jobs.

The following procedure summarizes use of the Batch Bill Files function. For details, refer to the *CLIA Billing Extract User's Guide*.

**To view batch bill files:**

- 1 Open **ASPEN Web CLIA**.
- 2 In the **Select Application** window, click the **Batch Bill Files** button.  
The CLIA Billing Extract application opens.
- 3 Specify the **To Extract Date** and **Prior Days** number.
- 4 Click **Refresh** to update the list of extracted files.
- 5 Click the **Download** button for a file to download and view it in a separate window.
- 6 To close the CLIA Billing Extract application, select **Logout** at the top of the screen.

You are returned to the Login screen.

**More ...**

[Procedure: "Open ASPEN Web CLIA" on page 13](#)

[Screen: "Select Application window" on page 45](#)

## CLIA Maintenance (CO)

The CLIA Maintenance application provides Central Office users access to:

- Compliance/Certificate Fee Table
- Accreditation Fee Table
- State Agency List

### Open CLIA Maintenance (CO)

**To open the CLIA Maintenance application:**

- 1 Open **ASPEN Web CLIA**.
- 2 In the ASPEN Web CLIA - **Select Application** window, click the **Aspen Web** button at the bottom of the screen.

- 3 In the ASPEN Web - **Select Application** window, select **CLIA Maintenance System**.

The ASPEN Web CLIA Maintenance - Select Application window opens.

**More ...**

[Procedure: "Open ASPEN Web CLIA" on page 13](#)

[Screen: "Select Application window" on page 45](#)

## View Accreditation Fee Information (CO)

Central Office personnel can review accreditation fee information for the latest version in the Accreditation Fee Table.

**To access the Accreditation Fee Table:**

- 1 Open the **CLIA Maintenance** application.
- 2 In the ASPEN Web CLIA Maintenance - **Select Application** window, select **Accreditation Fee Table**.

The Accreditation Fee Table lists all entries in the CLIA State Fee view for the given version number.

		A	B	C	D	E	F	G	H	I	J
		150	150	430	440	650	1100	1550	2040	6220	7940
		LVA	COMP	COMP	COMP	COMP	COMP	COMP	COMP	COMP	COMP
01	CT	15	16	88	110	130	149	168	187	207	226 19
01	MA	15	41	55	69	81	93	105	117	129	141 12
01	ME	15	42	56	70	82	94	107	119	131	143 12
01	NH	15	36	49	61	71	82	93	103	114	124 11
01	RI	15	44	58	73	85	98	111	124	136	149 13
01	VT	15	46	62	77	91	104	118	131	145	158 14
02	FN	15	50	66	83	97	112	126	141	155	170 14
02	NJ	15	57	76	95	111	128	144	161	177	194 17
02	NY	15	54	71	89	105	121	136	152	168	183 16
02	PR	15	23	31	39	46	53	60	66	73	80 7
02	VI	15	81	108	135	159	182	206	229	253	277 24
03	DC	15	41	55	69	81	93	105	117	129	141 12
03	DE	15	41	55	69	81	93	105	117	129	141 12
03	MD	15	26	34	43	50	58	66	73	81	88 8
03	PA	15	47	63	78	92	106	119	133	147	161 14
03	VA	15	29	38	48	56	65	73	82	90	98 8
03	WV	15	40	53	66	78	89	101	112	124	135 12

Figure 6: Accreditation Fee Table

- 3 Use the navigation tools at the top (First, Previous etc.) to page through the table.
- 4 To print the entire table, click **Print** at the bottom.

- 5 Click **Exit** to close the table and return to the Select Application window.

**More ...**

[Procedure: "Open CLIA Maintenance \(CO\)" on page 37](#)


## View Compliance/Certificate Fee Information (CO)

Central Office personnel can open the Compliance/Certificate Fee Table to review compliance and certificate fee information for the latest version.


### **To access the Compliance/Certificate Fee Table:**

- 1 Open the **CLIA Maintenance** application.
- 2 In the ASPEN Web CLIA Maintenance - **Select Application** window, select **Comp/Cert Fee Table**.

The Compliance/Certificate Fee Table lists all entries in the CLIA State Fee view for the given version number.


**ASPEN Web**


# Compliance/Certificate Fee Table



Compliance/Certificate Fee Table

Page 1 of 4

[First](#) / [Previous](#)
[Next](#) / [Last](#)



Fee Version:

2

Cert. Of. Reg:

100

Waiver:

150

Microscopy:

200

		A	B	C	D	E	F	G	H	I	J	
		150	150	430	440	650	1100	1550	2040	6220	7940	
		LVA	COMP	COMP	COMP	COMP	COMP	COMP	COMP	COMP	COMP	
01	CT	300	323	1764	2206	2591	2977	3363	3749	4135	4521	386
01	MA	300	824	1099	1374	1614	1855	2095	2335	2576	2816	240
01	ME	300	838	1118	1397	1642	1887	2131	2376	2620	2865	245
01	NH	300	728	971	1214	1426	1639	1851	2064	2276	2489	212
01	RI	300	872	1162	1453	1707	1962	2216	2470	2725	2979	254
01	VT	300	926	1235	1543	1813	2083	2353	2623	2894	3164	270
02	FN	300	993	1323	1654	1944	2233	2523	2812	3102	3391	289
02	NJ	300	1134	1512	1891	2221	2552	2883	3214	3545	3876	331
02	NY	300	1072	1429	1786	2099	2412	2724	3037	3350	3662	313
02	PR	300	469	625	781	918	1054	1191	1328	1464	1601	137
02	VI	300	1620	2159	2699	3172	3644	4116	4589	5061	5533	472
03	DC	300	828	1104	1380	1621	1863	2104	2346	2587	2829	241
03	DE	300	827	1102	1378	1619	1860	2101	2343	2584	2825	241
03	MD	300	515	687	859	1009	1159	1310	1460	1610	1761	150
03	PA	300	940	1253	1567	1841	2115	2389	2663	2937	3212	274
03	VA	300	576	767	959	1127	1295	1463	1631	1799	1967	168
03	WV	300	793	1057	1321	1553	1784	2015	2246	2477	2709	231

Print

Exit

Figure 7: Compliance/Certificate Fee Table

- 3 Use the navigation tools at the top (First, Previous etc.) to page through the table.
- 4 To print the entire table, click **Print** at the bottom.
- 5 Click **Exit** to close the table and return to the Select Application window.

**More ...**

[Procedure: "Open CLIA Maintenance \(CO\)" on page 37](#)

## View and Modify State Agency Information (CO)

The State Agency List displays state agency information used on correspondence to labs. CO Super Users can update or add records as necessary.

### Open the State Agency List

#### *To display the State Agency List:*

- 1 Open the **CLIA Maintenance** application.
- 2 In the ASPEN Web CLIA Maintenance - **Select Application** window, select **Comp/Cert Fee Table**.

The State Agency list opens.

State Agency List

Page 1 of 4   First / Previous   Next / Last   [Dropdown]

SSA	Region	State	Name	Name 2	City
01	04	ALABAMA	AL DEPARTMENT OF PUBLIC HEALTH	DIV OF HLTH CARE FACILITIES/CLIA PROGRAM	MONTGOMERY
02	10	ALASKA	ALASKA STATE PUBLIC HEALTH LABORATORY		ANCHORAGE
03	09	ARIZONA	AZ DEPT OF HEALTH SERVICES, DIVISION OF PUBLIC	HEALTH SERVICES, OFFICE OF LABORATORY SERVICES	PHOENIX
04	06	ARKANSAS	HEALTH FACILITY SERVICES SLOT H9	ARKANSAS DEPARTMENT OF HEALTH & HUMAN SERVICES	LITTLE ROCK
05	09	CALIFORNIA	CA DHS/LABORATORY FIELD SERVICES	DIVISION OF LABORATORY SCIENCE	LOS ANGELES
06	08	COLORADO	CO DEPT OF PUBLIC HEALTH & ENVIRONMENT	LABORATORY SERVICES DIVISION	DENVER
07	01	CONNECTICUT	CLIA LAB PROGRAM/DEPT OF PUBLIC HEALTH		HARTFORD
08	03	DELAWARE	DELAWARE STATE PUBLIC HEALTH LABORATORY #2	CLIA PROGRAM	SMYRNA
09	03	DISTRICT OF COLUMBIA	DC DEPARTMENT OF HEALTH	HEALTH CARE REGULATION AND LICENSING ADMIN	WASHINGTON
10	04	FLORIDA	STATE OF FL/AGENCY FOR HEALTH CARE ADMIN	LABORATORY LICENSING UNIT	TALLAHASSEE
11	04	GEORGIA	GA DHR/OFFICE OF REGULATORY SERVICES	DIAGNOSTIC SERVICE UNIT/CLIA	ATLANTA
12	09	HAWAII	HAWAII DEPARTMENT OF HEALTH	CLIA PROGRAM	KAPOLEI
13	10	IDAHO	LABORATORY IMPROVEMENT SECTION	BUREAU OF LABORATORIES	BOISE
14	05	ILLINOIS	ILLINOIS DEPARTMENT OF PUBLIC HEALTH	DIV OF HEALTH CARE FACILITIES & PROGRAMS	SPRINGFIELD
15	05	INDIANA	INDIANA STATE DEPARTMENT OF HEALTH	DIVISION OF ACUTE CARE SERVICES	INDIANAPOLIS
16	07	IOWA	STATE HYGIENIC LABORATORY CLIA LABORATORY PROGRAM	RESEARCH PARK	IOWA CITY
17	07	KANSAS	KANSAS DEPARTMENT OF HEALTH & ENVIRONMENT	LABORATORY CERTIFICATION	TOPEKA

Print   Inquiry   Add   Exit

Figure 8: State Agency List

- 3 Use the navigation tools at the top (First, Previous etc.) to page through the table.
- 4 To print the entire list, click **Print**.
- 5 Click **Exit** to close the table and return to the Select Application window.

#### More ...

[Procedure: "Open CLIA Maintenance \(CO\)" on page 37](#)



## **View and Modify Information for a State Agency**

### ***To view and modify information for a State Agency:***

- 1** In the State Agency List, select the agency and click **Inquiry**.
- 2** To update agency information, click **Edit** and enter the changes.
- 3** To print the information, click **Print**.
- 4** Click **Save** to save the changes and return to the State Agency List. Click **Cancel** to exit without making changes or without saving changes you made.

#### **More ...**

[Procedure: "Open the State Agency List" on page 40](#)

## **Add a State Agency**

### ***To add a State Agency:***

- 1** In the State Agency List, select an agency and click **Add**.
- 2** Enter information for the new agency.
- 3** To print the new agency details, click **Print**.
- 4** Click **Save** to save the new agency record and return to the State Agency List. Click **Cancel** to exit without a new record or without saving the information you entered.

#### **More ...**

[Procedure: "Open the State Agency List" on page 40](#)

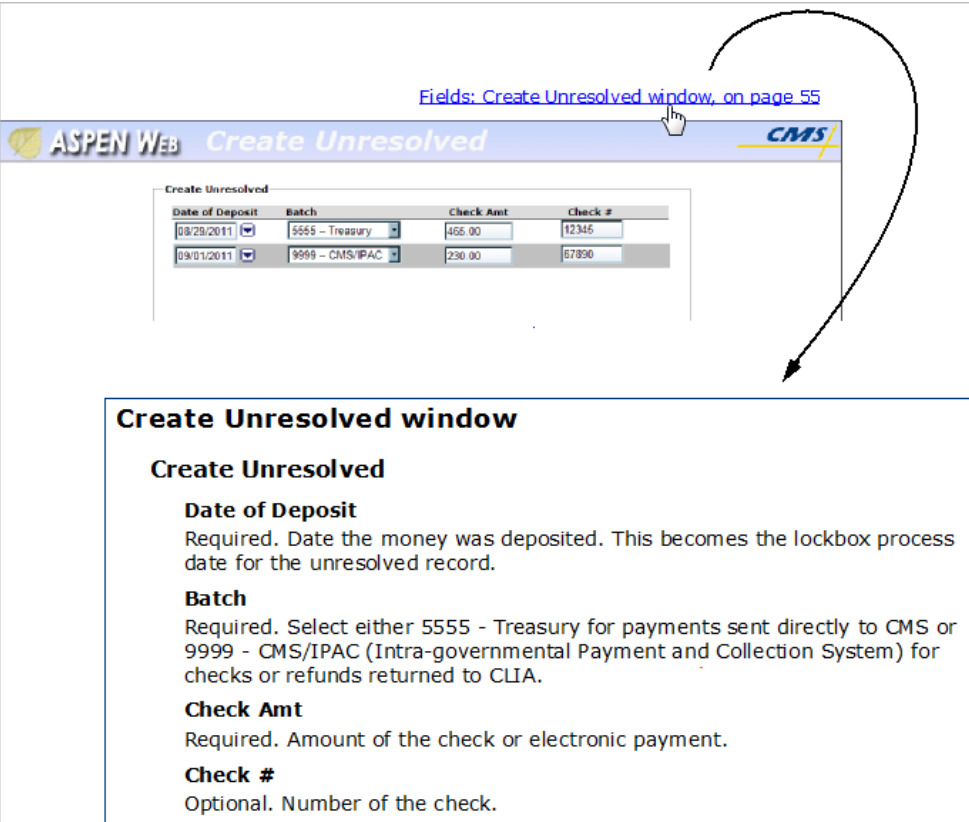


# CLIA Accounting Screens

This chapter contains pictures and brief descriptions of screens you will encounter when working with ASPEN Web CLIA accounting functions.

If you are viewing this document online, take advantage of the hyperlinks. You can click the cross-reference at the top of each graphic to jump to detailed descriptions of the fields on that section of screen, as shown in the example below (page number may not be current).

To find information about the fields, click the cross-reference at the top of the image.



The screenshot shows the 'ASPEN Web Create Unresolved' screen. At the top right, a blue hyperlink reads 'Fields: Create Unresolved window, on page 55'. A hand cursor points to this link. A curved arrow originates from the link and points to a detailed description box below the screenshot.

Date of Deposit	Batch	Check Amt	Check #
08/29/2011	5555 - Treasury	465.00	12345
09/01/2011	9999 - CMS/IPAC	230.00	67890

### Create Unresolved window

#### Create Unresolved

**Date of Deposit**  
Required. Date the money was deposited. This becomes the lockbox process date for the unresolved record.

**Batch**  
Required. Select either 5555 - Treasury for payments sent directly to CMS or 9999 - CMS/IPAC (Intra-governmental Payment and Collection System) for checks or refunds returned to CLIA.

**Check Amt**  
Required. Amount of the check or electronic payment.

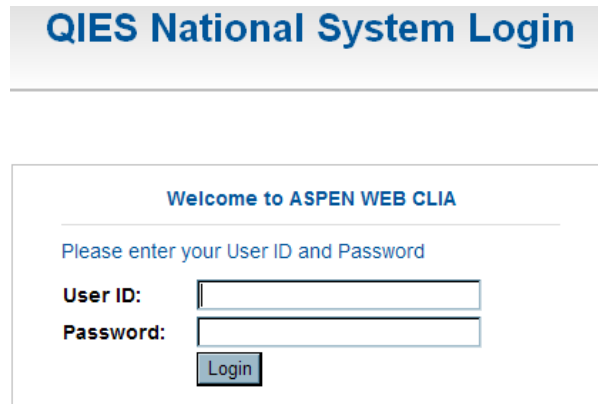
**Check #**  
Optional. Number of the check.

Figure 9: Cross-reference from screenshot to field descriptions

## ASPEN Web CLIA Startup

### Login window

[Fields: "Login window", on page 77](#)



**QIES National System Login**

---

Welcome to ASPEN WEB CLIA

---

Please enter your User ID and Password

User ID:

Password:

Login

Figure 10: ASPEN Web CLIA Login window

## Select Application window

This window appears after you log in to ASPEN Web CLIA on the web browser. The options that appear, i.e., the applications/functions you can access, depend on your security access level.

A CO Super User sees a full set of options:

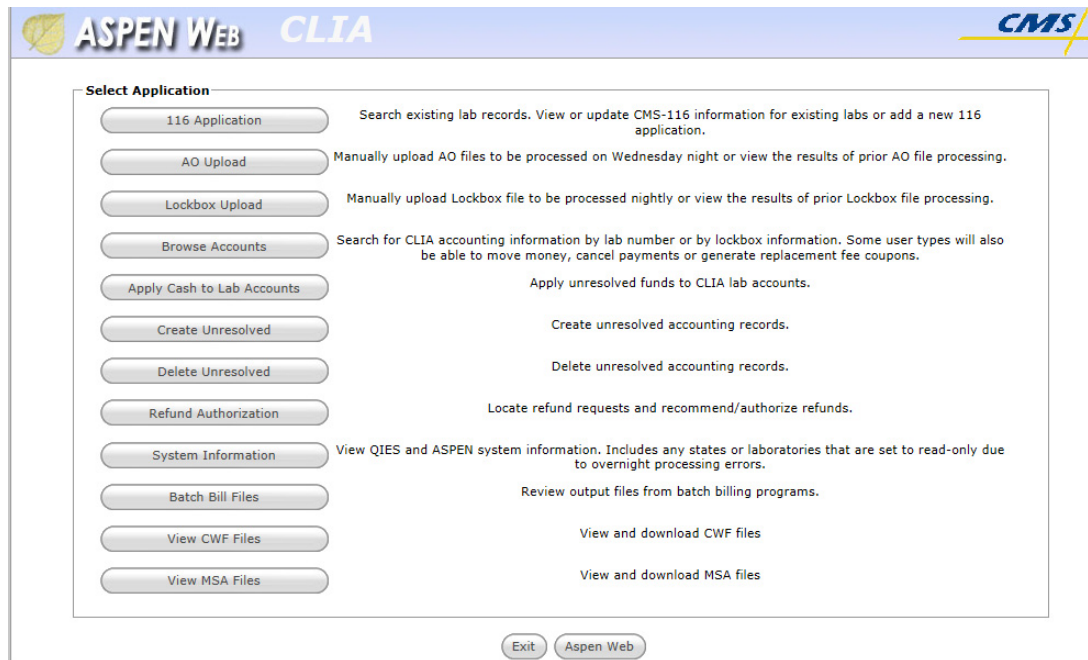


Figure 11: Select Application window with all options

A State Agency user with Full Access sees three options:

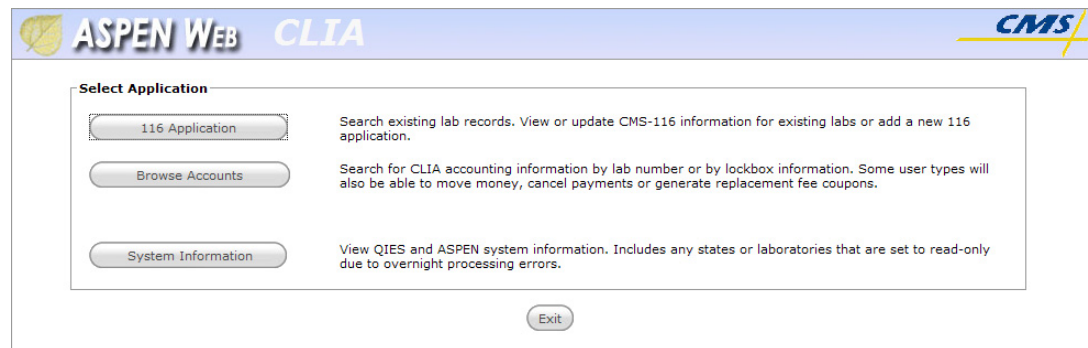


Figure 12: Select Application window–State Agency user with Full Access

## CLIA Accounting

### Browse Accounts window

[Fields: "Browse Accounts window", on page 59](#)

**ASPEN WEB** *Browse Accounts* **CMS**

**Provider Search**

Provider #1  116 Lookup

Provider #2  116 Lookup

Provider #3  116 Lookup

Find Provider

**Lockbox Search**

Lockbox Process Date  ▼ to  ▼

Batch  Item  Check #

Show unresolved Only ☐

Find Lockbox

**Audit Search**

Lockbox Process Date  ▼

Batch  Item  Check #

Find Lockbox

New Search Exit

Figure 13: Browse Accounts window

## Certificates and Billing Inquiry window

This window displays the certificate and billing history for up to three labs specified when you search by provider in Browse Accounts. The Certificate Inquiry section displays details about the lab's future (pending), current, and prior certificates. The Billing Inquiry section provides various details about a lab's billing history. All information is read-only.

Fields: "Certificates and Billing Inquiry window", on page 60

**ASPEN WEB Certificates and Billing Inquiry**

Outstanding Amount: .00

**Certificate Inquiry**

Cert Status	Certificate	Class Code	Effective Date	Expiration Date	Mailed Date	Termination Code	H Ap
Current	2 Waiver	Regular	11/08/2013	11/07/2015	10/08/2013	00 Active Provider	2
History	2 Waiver	Regular	11/08/2011	11/07/2013	01/14/2012	00 Active Provider	2
History	4 Microscopy - PPMP	Regular	06/04/2010	11/07/2011	05/08/2010	00 Active Provider	4
History	4 Microscopy - PPMP	Regular	06/04/2008	06/03/2010	05/10/2008	00 Active Provider	4
History	4 Microscopy - PPMP	Regular	06/04/2006	06/03/2008	05/09/2006	00 Active Provider	4
History	4 Microscopy - PPMP	Regular	06/04/2004	06/03/2006	06/29/2004	00 Active Provider	4

**Billing Inquiry**

\* - No certificate issued

Cert Date	Trans Date	Description	App	Sched	State	Billing Amt	Payment Amt	Lockbox Date	Batch	Item
11/08/2013	08/12/2013	WAIVER PAYMENT					150.00	08/12/2013	8002	09
	07/16/2013	WAIVER REBILL FEE	2		CO	150.00				
	05/14/2013	WAIVER FEE	2		CO	150.00				
* 06/04/2012	12/03/2011	PPM FEE	4		CO	200.00				
11/08/2011	07/07/2012	REFUND SENT					50.00	01/09/2012	1007	11
	01/09/2012	WAIVER PAYMENT					150.00	01/09/2012	1007	11
	12/10/2011	WAIVER FEE	2		CO	150.00				
06/04/2010	01/11/2010	PPM PAYMENT					200.00	01/11/2010	8000	02
	12/05/2009	PPM FEE	4		CO	200.00				
06/04/2008	12/27/2007	PPM PAYMENT					200.00	12/27/2007	1000	01
	12/08/2007	PPM FEE	4		CO	200.00				

Print Refund Unresolve Generate Fee Coupon 116 Detail Lockbox Inquiry Cancel Pmt Previous Menu

Figure 14: Certificates and Billing Inquiry window opened from Browse Accounts

## Inquire By window

Inquire By opens when you select a payment in the Billing Inquiry section of the Certificates and Billing Inquiry window and click the Lockbox Inquiry button. You can choose to search lockbox records by one of the options.

["Inquire By window" on page 63](#)

ASPEN WEB Certificates and Billing Inquiry CMS

06PAAAA111 45WVVVVVV 06PAAAA111

AAA HEALTH, INC Outstanding Amount .00

Cert Status	Certificate	Class Code	Effective Date	Expiration Date	Mailed Date	Termination Code	H Ap
Current	2 Waiver	Regular	12/18/2009	12/17/2011	11/21/2009	00 Active Provider	2
History	2 Waiver	Regular	12/18/2007	12/17/2009	01/12/2008	00 Active Provider	2

Billing Inquiry  
\* - No certificate issued

Cert Date	Trans Date	Description	App	Sched	State	Billing	Item
12/18/2009	08/10/2009	WAIVER PAYMENT					
	06/20/2009	WAIVER FEE	2		TX	150.00	
12/18/2007	01/10/2008	WAIVER PAYMENT				150.00	01/10/2008 1000 06
	12/22/2007	WAIVER FEE	2		TX	150.00	

Print Refund Unresolve Generate Fee Coupon 116 Detail Lockbox Inquiry Cancel Pmt Exit

Figure 15: Inquire By window



## Lockbox Inquiry window

Fields: "Lockbox Inquiry window", on page 63

**ASPEN WEB Lockbox Inquiry** **CMS**

Lockbox Process Date Range: 01/01/2014 10/31/2014 Results for: Unresolved Only

Lockbox Inquiry Page 1 of 10 First / Previous Next / Last 1

Provider #	Rec Type	Lockbox	Batch	Item	Billed	Amount Paid	Status	Transaction	Transaction Code
CK	01/02/2014	3000	10	0.00	250.00	CHECK # 9002903	01/02/2014		
80	01/02/2014	3000	10	0.00	250.00	UNRESOLVED	01/02/2014		
CK	01/06/2014	3001	05	0.00	150.00	CHECK # 1613176	01/06/2014		
80	01/06/2014	3001	05	0.00	150.00	UNRESOLVED	01/06/2014		
CK	01/06/2014	3003	03	0.00	150.00	CHECK # 77596	01/06/2014		
80	01/06/2014	3003	03	0.00	150.00	UNRESOLVED	01/06/2014		
CK	01/06/2014	3003	04	0.00	150.00	CHECK # 65176	01/06/2014		
80	01/06/2014	3003	04	0.00	150.00	UNRESOLVED	01/06/2014		
CK	01/06/2014	3003	12	0.00	150.00	CHECK # 1037	01/06/2014		
80	01/06/2014	3003	12	0.00	150.00	UNRESOLVED	01/06/2014		
CK	01/07/2014	3000	13	0.00	580.00	CHECK # 9803	01/07/2014		
80	01/07/2014	3000	13	0.00	580.00	UNRESOLVED	01/07/2014		
CK	01/07/2014	6500	07	0.00	444.00	CHECK # 444026500	01/07/2014		
80	01/07/2014	6500	07	0.00	444.00	UNRESOLVED	04/17/2014	0	
CK	01/07/2014	6500	08	0.00	333.00	CHECK # 333036500	01/07/2014		
80	01/07/2014	6500	08	0.00	333.00	UNRESOLVED	04/17/2014	0	
CK	01/07/2014	6500	09	0.00	222.00	CHECK # 222046500	01/07/2014		
80	01/07/2014	6500	09	0.00	222.00	UNRESOLVED	04/17/2014	0	
CK	01/08/2014	3000	05	0.00	150.00	CHECK # 2459	01/08/2014		
80	01/08/2014	3000	05	0.00	150.00	UNRESOLVED	01/08/2014		

Print Refund Unresolve Certificate/Billing Inquiry Cancel Pmt Previous Menu

Figure 16: Lockbox Inquiry window

## Audit Inquiry window

[Screen: "Audit Inquiry window" on page 65](#)

**ASPEN WEB Audit Inquiry** CMS

Lockbox Process Date Range  Results for: Batch #:8000 Item #:06

**Audit Inquiry**

Page 1 of 1 First / Previous Next / Last 1

Provider #	Rec	Amount	Add ID	Add Date	Update ID	Update Date	Batch	Item	Check
	CK	600.00					8000	06	CHECK#
	01	150.00	ADJ3	08/12/2014	CLAB	01/13/2015	8000	06	
	70	150.00	CLAB	01/13/2015	REFD	07/14/2015	8000	06	
	01	-150.00	CLAB	01/13/2015			8000	06	
	01	150.00	ADJ3	08/12/2014	CLAB	01/13/2015	8000	06	
	70	150.00	CLAB	01/13/2015	REFD	07/21/2015	8000	06	
	01	-150.00	CLAB	01/13/2015			8000	06	
	01	150.00	ADJ3	08/12/2014	CLAB	01/13/2015	8000	06	
	70	150.00	CLAB	01/13/2015	REFD	07/28/2015	8000	06	
	01	-150.00	CLAB	01/13/2015			8000	06	
	01	150.00	ADJ3	08/12/2014	CLAB	01/13/2015	8000	06	
	70	150.00	CLAB	01/13/2015	REFD	08/04/2015	8000	06	
	01	-150.00	CLAB	01/13/2015			8000	06	

Print Certificate/Billing Inquiry Previous Menu

100%

Figure 17: Audit Inquiry window

## Create Unresolved window

Fields: "Create Unresolved window", on page 66

Date of Deposit	Batch	Check Amt	Check #
	5555 - Treasury	0.00	
	9999 - CMS_IPAC		
	6000		
	6001		
	6002		
	6003		
	6004		
	6005		
	6006		
	6007		
	6008		
	6009		
	6010		
	6500		
	6501		
	6502		
	6503		
	6504		
	6505		
	6506		
	6507		
	6508		
	6509		
	6510		

Figure 18: Create Unresolved window

## Delete Unresolved window

Fields: "Delete Unresolved window", on page 67

Process Date	04/28/2011
Batch #	1001
Item #	26
Amount	150.00

Figure 19: Delete Unresolved window

## Apply Cash window

Fields: "Apply Cash window", on page 68

Provider #	Edit	Date	Batch Item	Check Amt
451 11111111	116 Lookup	10/11/2011	1000 03	150.00
051 11111111	116 Lookup	09/15/2011	5555 01	200.00

Buttons: Add, Copy, Remove, Lockbox Inquiry, Print, Process, Exit

Figure 20: Apply Cash window

## Alter Values window

When you click the Edit button in the current row on the Apply Cash window, the Alter Values window opens to let you enter or edit lockbox criteria for the check to be applied.

["Alter Values window" on page 69](#)

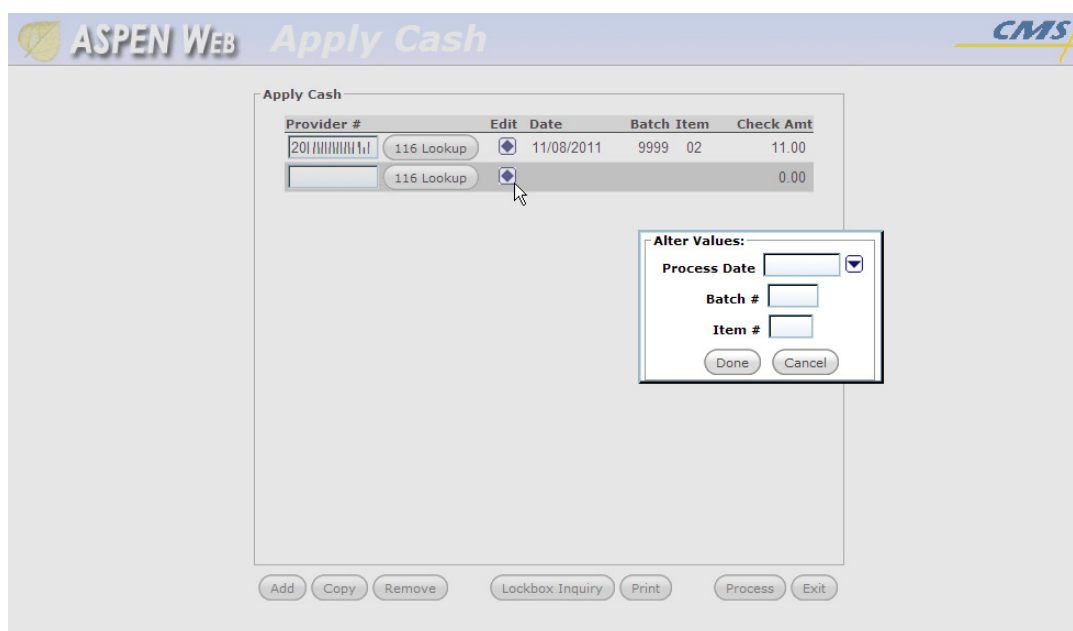


Figure 21: Alter Values window opened for selected Apply Cash row

## Find Apply Cash Lockbox Information window

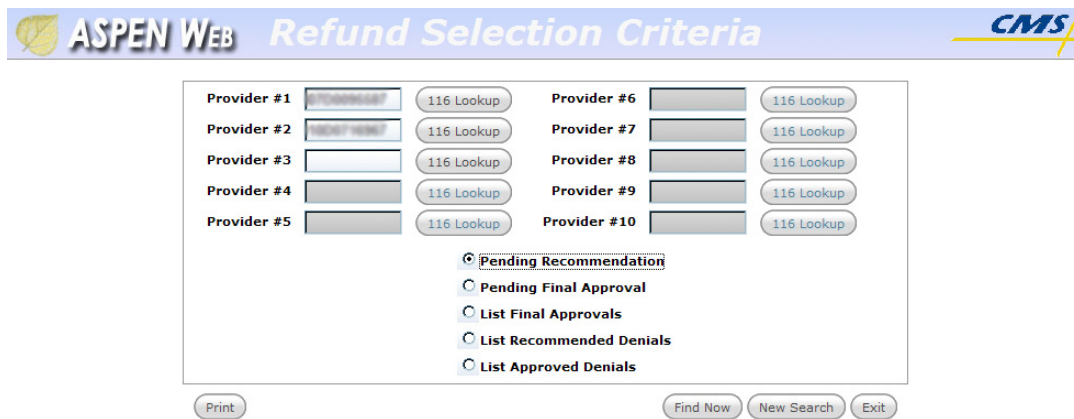
[Fields: "Find Apply Cash Lockbox Information window", on page 70](#)

The screenshot shows the 'Find Apply Cash Lockbox Information' window. It has a 'Lockbox Search' section with fields for 'Lockbox Process Date' (with a dropdown arrow), 'Batch', 'Item', and 'Check #'. There is a 'to' field with a dropdown arrow next to the 'Lockbox Process Date' field. A 'Show unresolved Only' checkbox is checked. A 'Find Lockbox' button is at the bottom right of the search section. Below the search section are 'New Search' and 'Exit' buttons.

Figure 22: Find Apply Cash Lockbox Information window

## Refund Selection Criteria window

Fields: "Refund Selection Criteria window", on page 70

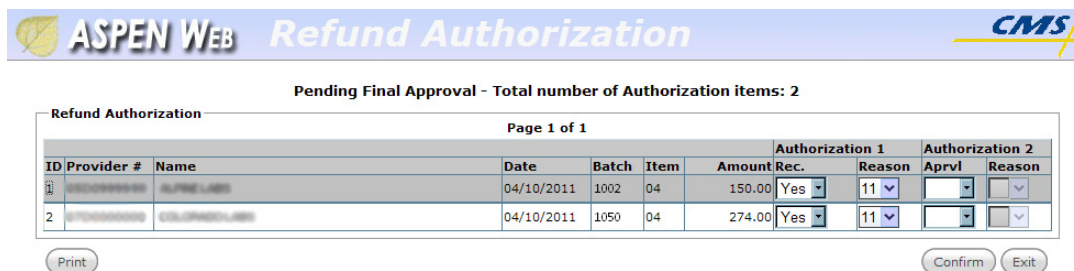


The screenshot shows the 'ASPEN WEB Refund Selection Criteria' window. It features a header with the ASPEN WEB logo and CMS logo. The main area contains two columns of provider selection fields, each with a '116 Lookup' button. Below these fields are five radio button options: 'Pending Recommendation' (selected), 'Pending Final Approval', 'List Final Approvals', 'List Recommended Denials', and 'List Approved Denials'. At the bottom are buttons for 'Print', 'Find Now', 'New Search', and 'Exit'.

Figure 23: Refund Selection Criteria window

## Refund Authorization window

Fields: "Refund Authorization window", on page 71





The screenshot shows the 'ASPEN WEB Refund Authorization' window. The header includes the ASPEN WEB logo and CMS logo. Below the header, it states 'Pending Final Approval - Total number of Authorization items: 2'. The main area displays a table with two rows of authorization data. The table has columns for ID, Provider #, Name, Date, Batch, Item, Amount, Rec., Reason, and two columns for Authorization (Aprvl and Reason). At the bottom are buttons for 'Print', 'Confirm', and 'Exit'.

ID	Provider #	Name	Date	Batch	Item	Amount	Rec.	Reason	Authorization 1 Aprvl	Authorization 1 Reason	Authorization 2 Aprvl	Authorization 2 Reason
1	0700000000	ALPINE LABS	04/10/2011	1002	04	150.00	Yes	11				
2	0700000000	COLORADO LABS	04/10/2011	1050	04	274.00	Yes	11				

Figure 24: Refund Authorization window

## Confirm Refund Authorization window

Fields: "Confirm Refund Authorization window", on page 73

 **ASPEN WEB** *Confirm Refund Authorization* 

**New Values**

ID	Provider #	Name	Date	Batch	Item	Amount	Authorization 1 Rec.	Reason	Authorization 2 Aprvl	Reason
2	0700000000	COLUMBIAN RIVER	04/10/2011	1050	04	274	Y	11		

**Old Values**

ID	Provider #	Name	Date	Batch	Item	Amount	Authorization 1 Rec.	Reason	Authorization 2 Aprvl	Reason
2	0700000000	COLUMBIAN RIVER	04/10/2011	1050	04	274				

Figure 25: Confirm Refund Authorization window

## Find Accounting Providers window

This window opens when you click the 116 Lookup button in a window requiring the CLIA number for a lab. It lets you search CLIA CMS-116 forms in the database.

[Fields: "Find Accounting Providers window", on page 74](#)

**ASPEN WEB CLIA 116** **CMS**

**Find Accounting Providers**

**Main Search Criteria**

CLIA #

Name

**Physical Address**

Address

City

State

County Code

Zip

**Mailing Address**

Address

City

State

Zip

**Other**

Phone #

Director Last Name

Director First Name

Federal Tax ID

Exclude Terminated Laboratories ☐

Multiple Sites Search ☐

Find Now New Search Exit

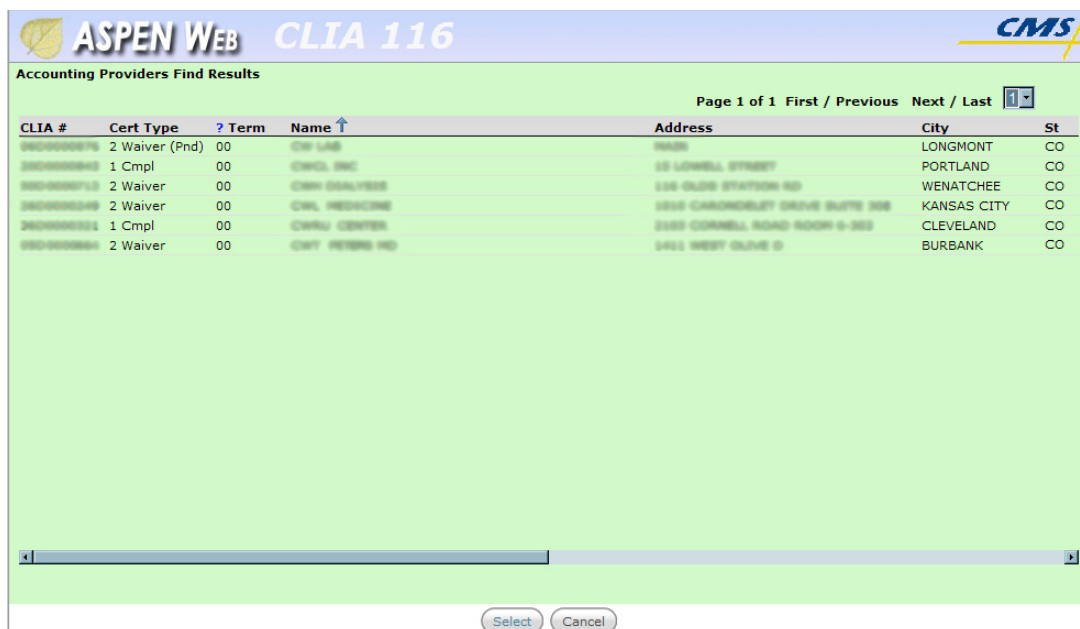
Figure 26: Find Accounting Providers window



## Accounting Providers Find Results window

This window displays a list of the laboratories that match the search criteria entered in the Find Accounting Providers window. You select a lab to return its provider number to the requesting screen.

Fields: "Accounting Providers Find Results window", on page 76



CLIA #	Cert Type	Term	Name ↑	Address	City	St
3600000076	2 Waiver (Pnd)	00	CW LAB	7630	LONGMONT	CO
3600000040	1 Cmpl	00	CWOL INC	15 LOWELL STREET	PORTLAND	CO
3600000712	2 Waiver	00	CWOL ANALYSIS	126 OLDS STATION RD	WENATCHEE	CO
3600000349	2 Waiver	00	CWL MEDICINE	1010 CARONDELLET DRIVE SUITE 308	KANSAS CITY	CO
3600000321	1 Cmpl	00	CWLU CENTER	2502 CORNELL ROAD ROOM 6-302	CLEVELAND	CO
3600000846	2 Waiver	00	CWT PETERS RD	3411 WEST OLIVE D	BURBANK	CO

Figure 27: Accounting Providers Find Results window

## System Information window

The System Information window displays:

- System status notes
- Failed CLIA transaction details
- Current user information
- Batch billing job logs (audit files) for a specified date range

[Fields: "System Information window", on page 77](#)

**Qies System Notes**

The AR state server is down due to a hardware failure. It is estimated to be back up at 2:00PM ET.

**Failed Upload Transactions**

Trans #	Trans Category	CLIA #	Trans Date	Trans Status	Trans Type	Trans Description
980000030946	CLIA	44D2000078	08/21/2014 12:00:00 AM -1	01	ADD	
170004279893	ENF	17D0450969	08/21/2014 12:00:00 AM 00	03	ADD	
100007827383	ODIE	10D0288551	08/21/2014 12:00:00 AM 00	03	ADD	

**Current User Information**

Name: APRIL BELL Type: 02 Security Role: SU State: Region:

**Batch Jobs**

From Date: 08/15/2014 To Date: 08/22/2014 Find

Calculated Run Date	Actual Run Date	Job Name	Job Status	View Audit Messages
		Application Change	Skipped	<a href="#">View</a>
		Bubble Bill	Skipped	<a href="#">View</a>
		Create Certificate Files for Billing Contractor	Skipped	<a href="#">View</a>

Print Done

Figure 28: System Information window

# CLIA Accounting Fields and Buttons

For each field or button in a window or section of window, the name is given followed by a description. Function buttons not included within a section are listed under the heading Buttons.

## CLIA Accounting

### Browse Accounts window

#### Provider Search

##### **Provider #1 - 3**

Enter up to 3 valid CLIA provider numbers.

##### **116 Lookup button**

Click to open the Find Accounting Providers window to locate a lab if you do not know its provider number.

##### **Find Provider button**

Click to initiate search and open Certificates and Billing Inquiry window with certificate and billing information for the specified CLIA providers.

#### Lockbox Search

##### **Lockbox Process Date ... to**

Single lockbox process date or a range. If you specify a date range, the search pulls all Lockbox data in the range, inclusive of the dates entered.

When you enter a Lockbox Process Date range, you must also enter a Check # and/or select Show unresolved Only.

##### **Batch**

Batch number within the lockbox file.

##### **Item**

Item (accounting record) number within the batch.

**Check #**

Check number in the accounting record.

**Show unresolved Only**

Limits the search to unresolved accounting records.

**Find Lockbox button**

Click to initiate search for accounting records matching the specified lockbox criteria and open Lockbox Inquiry window displaying the matching records.

**Buttons**

**New Search**

Clears the current search criteria.

**Exit**

Returns to the Select Application window.

**Certificates and Billing Inquiry window**

**General Information**

**CLIA # on tab**

The lab's CLIA number (aka CCN, provider number). Up to three tabs, one for each provider.

**Name of lab**

Lab's name is at the top of the tab.

**Outstanding Amount**

Balance of outstanding fee, if any.

**Certificate Inquiry grid**

Displays up to nine historical certificates, plus one current and one pending certificate, for a total of eleven. All fields are read-only.

**Cert Status**

Status of the certificate.

**Certificate**

The certificate type: 1 Compliance, 2 Waiver, 3 Accreditation, 4 PPMP - Microscopy, or 9 Registration.

Registration has two subtypes: 1 Compliance and 3 Accreditation, depending on application type; the subtype appears in the H Ap column.

**Class Code**

Lab's classification code: Regular, Exempt, or VA.

**Effective Date**

The certificate's effective date.

**Expiration Date**

The certificate's expiration date.

**Mailed Date**

Date the certificate was mailed to the lab/owner.

**Termination Code**

The lab's termination code.

**H Ap**

Application type code, or subtype for Registration, for current and historical certificates. Taken together, entries in the column provide a history of application types for a lab.

**Billing Inquiry grid**

Lab's complete billing and payment history. All fields are read-only.

**Cert Date**

Date the certificate was issued.

**Trans Date**

Date the billing transaction was recorded.

**Description**

Short text description of the billing activity.

**App**

Numeric ID of the application type.

**Sched**

The lab's schedule code.

**State**

State where the lab is located.

**Billing Amt**

Amount billed to the lab.

**Payment Amt**

Amount paid by the lab.

**Lockbox Date**

Date the payment was entered by the bank vendor, i.e., date the lockbox batch job was run.

**Batch**

Lockbox batch job number.

**Item**

Lockbox item (accounting record) number within the batch.

## Buttons

### Print

Prints all certificate and billing information for the lab on the active tab. Includes information you must scroll to view on the screen.

### Refund

Creates a Refund record, i.e., moves money associated with the selected record (row) in Billing Inquiry to Refund. Enabled only for users with appropriate permissions and if the lab and billing record meet the following conditions:

- Class code for lab is Regular (CLIA); can't be exempt or VA.
- Lab is active or terminated.
- Billing record is for either full or partial payment.
- Record type is 01, 02, 04, 05, or 06.
- Certificate date associated with the payment to be moved is for the most current cycle: pending, if present; otherwise current.

### Unresolve

Creates an Unresolved record, i.e., moves money associated with the selected record (row) in Billing Inquiry to Unresolved. Enabled only for users with appropriate permissions and if the lab and billing record meet the following conditions:

- Class code for lab is Regular (CLIA); can't be exempt or VA.
- Lab is active or terminated.
- Billing record is for either full or partial payment.
- Record type is 01, 02, 04, 05, or 06.
- Certificate date associated with the payment to be moved is for the most current cycle: pending, if present; otherwise current.

### Generate Fee Coupon

Generates a replacement fee coupon if the current laboratory is active or terminated with an 08 (nonpayment of fees), non-exempt, and has an outstanding fee. Enabled only for users with appropriate permissions.

### 116 Detail

Opens the CLIA 116 in Inquiry mode (read-only) for the current lab.

### Lockbox Inquiry

Accesses the Lockbox Inquiry window after you enter search criteria in the Inquire By window.

**Cancel Pmt**

Cancels payment for a Paid record selected in Billing Inquiry if:

- Class code for lab is Regular (CLIA); can't be exempt or VA.
- Lab is active or terminated.
- Record type is 01, 02, 04, 05, or 06.

Enabled only for users with appropriate permissions.

**Previous**

Exits Certificates and Billing Inquiry and returns to the previous window.

**Menu**

Exits Certificates and Billing Inquiry and returns to the Select Application window.

## **Inquire By window**

The values shown for the lockbox criteria are copied from the selected payment record in the Billing Inquiry section of the Certificates and Billing Inquiry window. You can choose to search lockbox records by one option only.

**Process Date**

Select to open the Lockbox Inquiry window and show all records associated with the process date.

**Batch #**

Select to open the Lockbox Inquiry window and show all records associated with the process date and batch number.

**Item #**

Select to open the Lockbox Inquiry window and show all records associated the process date, batch number, and item number.

## **Lockbox Inquiry window**

### **Lockbox Inquiry**

**Provider #**

Lab's provider number (aka CEN, CLIA number).

**Rec Type**

Accounting type code for paid fees, CK for lockbox check records, 70 for refunds, 80 for unresolved records.

**Lockbox**

Date the lockbox file was processed.

**Batch**

Lockbox batch number.

**Item**

Lockbox item (accounting record) number within the batch.

**Billed**

For paid fee records, amount the lab was billed; 0.00 otherwise.

**Amount Paid**

For paid fee records, amount the lab paid on the fee. Otherwise, check amount, unresolved amount, or refund amount—as applicable.

**Status**

Billing status/category description.

**Transaction**

Lockbox process date, payment status date, audit date, or add date depending on record type, audit code, payment status code, and payment amount.

**Transaction Code**

Lockbox transaction code.

**Buttons****Print**

Prints the contents on all pages of the Lockbox Inquiry window in PDF format.

**Refund**

Creates a Refund record, i.e., moves money associated with the selected record (row) in Billing Inquiry to Refund. Enabled only for users with appropriate permissions and if the lab and billing record meet the following conditions:

- Class code for lab is Regular (CLIA); can't be exempt or VA.
- Lab is active or terminated.
- Billing record is for either full or partial payment.
- Record type is 01, 02, 04, 05, or 06.
- Certificate date associated with the payment to be moved is for the most current cycle: pending, if present; otherwise current.

**Unresolve**

Creates an Unresolved record, i.e., moves money associated with the selected record (row) in Billing Inquiry to Unresolved. Enabled only for users with appropriate permissions and if the lab and billing record meet the following conditions:

- Class code for lab is Regular (CLIA); can't be exempt or VA.
- Lab is active or terminated.
- Billing record is for either full or partial payment.



- Record type is 01, 02, 04, 05, or 06.
- Certificate date associated with the payment to be moved is for the most current cycle: pending, if present; otherwise current.

**Certificate/Billing Inquiry**

When Lockbox Inquiry is accessed from Browse Accounts, this button opens the Certificates and Billing Inquiry window.

When Lockbox Inquiry is accessed from the Certificates and Billing Inquiry window, this button is disabled; click Exit to return to the Certificates and Billing Inquiry window.

**Cancel Pmt**

Cancels payment for a Paid record selected in Billing Inquiry if:

- Class code for lab is Regular (CLIA); can't be exempt or VA.
- Lab is active or terminated.
- Record type is 01, 02, 04, 05, or 06.

Enabled only for users with appropriate permissions.

**Previous**

Exits Lockbox Inquiry and returns to the previous window.

**Menu**

Exits Lockbox Inquiry and returns to the Select Application window.

## **Audit Inquiry window**

Specified search criteria are shown at the top.

### **Audit Inquiry**

**Provider #**

Lab's provider number (aka CLIA #/number, CLIA provider number, CCN, Medicare provider number).

**Rec**

Accounting type code for paid bills, CK for lockbox check records, 70 for refunds, 80 for unresolved records.

**Amount**

For paid fee records, amount the lab paid on the fee. Otherwise, check amount, unresolved amount, or refund amount—as applicable.

**Add ID**

ID of individual or batch job that added the record.

**Add Date**

Date record was added

**Update ID**

ID of individual or batch job that updated the record.

**Update Date**

Date record was updated

**Batch**

Lockbox batch job number.

**Item**

Lockbox item (accounting record) number within the batch.

**Check**

Check number.

**Buttons****Print**

Prints a hard (paper) copy of the displayed accounting audit trail.

**Certificate/Billing Inquiry**

Always disabled.

**Previous**

Returns to the previous window.

**Menu**

Returns to the ASPEN Web CLIA Maintenance - Select Application window.

**Create Unresolved window****Create Unresolved****Date of Deposit**

Required. Date the money was deposited or date notification received from Treasury. This becomes the lockbox process date for the unresolved record.

**Batch**

Required. Select the applicable batch number for the unresolved record.  
Options are:

- 5555 - Treasury; for returned refund checks
- 9999 - CMS/IPAC (Intra-governmental Payment and Collection System); for payments sent directly to CMS
- 6000-6010, 6500-6510 for credit card payments entered through pay.gov

**Check Amt**

Required. Amount of the check or electronic payment.

**Check #**

Optional. Number of the check.

**Buttons****Add**

Adds a new row in which you can enter data for an additional unresolved record.

**Remove**

Removes the selected unresolved record (row) before processing.

**Print**

Prints the contents of the Create Unresolved window before or after records are processed. Includes information you must scroll to view on the screen.

**Process**

Processes data entered in the Create Unresolved window and creates an unresolved record for each row with an assigned one-up item number.

**Exit**

Returns to the Select Application window.

**Delete Unresolved window****Delete Unresolved****Process Date**

Required. Date the lockbox file containing the erroneous record of interest was processed.

**Batch #**

Required. Number of batch in the lockbox file containing the unresolved record.

**Item #**

Required. Item number of the unresolved record in the given batch. Must be two digits. If < 10, precede with 0, e.g., 02.

**Amount**

Read-only. Amount of the check; entered from the unresolved record specified by the lockbox criteria.

## Buttons

### Print

Prints the contents of the Delete Unresolved window before or after processing.

### Process

Looks up and deletes the unresolved record using the criteria entered. Assigns the deleted record an audit code of 58 (canceled unresolved). If the record is not located, you receive an error message.

### Exit

Returns to the Select Application window.

## Apply Cash window

### Apply Cash

#### Provider #

Enter the CLIA provider number of the lab to which cash (from a check tied to an unresolved record) will be applied.

#### 116 Lookup button

Click to open the Find Accounting Providers window to locate a lab if you do not know its provider number.

#### Edit button

Click this button (diamond within square) to open the Alter Values window and specify lockbox criteria to enter in the selected Apply Cash row for the check to be applied.

#### Date

Read-only. Validated Process Date of lockbox file containing unresolved record for check to be applied; entered from Alter Values or Find Apply Cash Lockbox Information.

#### Batch

Read-only. Validated Batch # (number) containing unresolved record for check to be applied; entered from Alter Values or Find Apply Cash Lockbox Information.

#### Item

Read-only. Validated Item # (number) of unresolved record for check to be applied; entered from Alter Values or Find Apply Cash Lockbox Information.

#### Check Amt

Read-only. Amount of check to be applied; entered from the unresolved record specified by the validated lockbox criteria.

## Buttons

### **Add**

Adds a new row in which you can specify an additional lab to which cash will be applied and the lockbox criteria for the check to apply. There is no limit to the number of items (rows) you can add to Apply Cash.

### **Copy**

Copies the selected row the specified number of times. You can then edit the details as needed. There is no limit to the number of items (rows) you can add to Apply Cash using the Copy button.

### **Remove**

Removes the selected row in Apply Cash before processing.

### **Lockbox Inquiry**

Click to open the Find Apply Cash Lockbox Information window to locate and copy some or all of the lockbox information to corresponding fields in the selected row in Apply Cash. Use this option if you do not have the details on hand to enter directly in Alter Values.

### **Print**

Prints the contents of the Apply Cash window before or after processing. Includes information you must scroll to view on the screen.

### **Process**

Processes all data entered in the Apply Cash window. Applies the specified checks to the indicated laboratories in order from top to bottom and according to established rules.

### **Exit**

Returns to the Select Application window. Any information you entered is deleted. You can choose to cancel the exit.

## Alter Values window

### **Process Date**

Date the lockbox file containing the unresolved record was processed.

### **Batch #**

Number of batch within the lockbox file containing the unresolved record.

### **Item #**

Item number of unresolved record within the batch.

**Done**

Exits Alter Values and enters the specified lockbox data in the selected Apply Cash row after validation. A message appears if you did not enter all three values or if a matching unresolved record is not found.

**Cancel**

Returns to the Apply Cash window without entering any specified lockbox data.

## **Find Apply Cash Lockbox Information window**

### **Lockbox Search**

**Lockbox Process Date ... to**

Date the lockbox file containing the unresolved record was processed or a range of dates. If you specify a range, the search pulls all unresolved records in the range, inclusive of the dates entered.

**Batch**

Batch within the lockbox file containing the unresolved record.

**Item**

Item number of unresolved record within the batch.

**Check #**

Disabled.

**Show unresolved Only**

Selected by default and disabled, since you are trying to locate unresolved accounting records.

**Find Lockbox button**

Locates and displays unresolved records matching your search criteria.

### **Buttons**

**New Search**

Clears the current search criteria.

**Exit**

Returns to the Apply Cash window.

## **Refund Selection Criteria window**

### **Selection Criteria**

**Provider # 1-10**

Enter up to 10 valid CLIA provider numbers.

**116 Lookup button**

Click to open the Find Accounting Providers window to locate a lab if you do not know its provider number.

**Pending Recommendation**

Select to search for refunds pending recommendation for specified providers.

**Pending Final Approval**

Select to search for refunds pending final approval for specified providers.

**List Final Approvals**

Select to list refunds granted final approval for specified providers.

**List Recommended Denials**

Select to list recommended denials of refunds for specified providers.

**List Approved Denials**

Select to list approved denials of refunds for specified providers.

**Buttons****Print**

Prints hard (paper) copy of contents of Refund Selection Criteria window.

**Find Now**

Locates refund requests matching your search criteria and displays them in the Refund Authorization window.

**New Search**

Clears the current search criteria. If you want to switch from a search by refund authorization status to a search by provider number, you must click this button. However, if you want to switch from a search by provider number to a search by status, you can click this button or manually delete the provider numbers.

**Exit**

Returns to the Select Application window.

**Refund Authorization window****Refund Authorization****ID**

Sequence number for refund request, i.e., ID for first refund request listed is 1, second is 2, etc.

**Provider #**

Read-only. Lab's provider number (aka CCN, CLIA number).

**Name**

Read-only. Name of the laboratory.

**Date**

Read-only. Date the lockbox file was processed.

**Batch**

Read-only. Number of batch in the lockbox file.

**Item**

Read-only. Item number within the batch for the accounting record.

**Amount**

Read-only. Amount of the check.

**Authorization 1 Rec.**

Choose Yes to recommend approval of the refund, No to recommend denial.

For payments moved to Refund (Move Money), the system automatically sets Rec. to Yes. You can change it to No.

**Authorization 1 Reason**

Select the reason for the recommendation. Required if Rec. = Yes, optional if Rec. = No.

For payments moved to Refund (Move Money), the system automatically sets Reason to 11 Overpaid CLIA. You can select another option as appropriate.

**Authorization 2 Aprvl**

Choose Yes to approve the refund, No to deny it.

**Authorization 2 Reason**

Select the reason for your approval or denial. Required if Aprvl = Yes, optional if Aprvl = No.

**Buttons****Print**

Prints contents on all pages the of Refund Authorization window to PDF.

**Confirm**

Opens Confirm Refund Authorization window and displays new and old values entered for selected refund request in Refund Authorization window.

**Exit**

Returns to Refund Selection Criteria window.



## Confirm Refund Authorization window

### New Values/Old Values

Both sections have the same fields, which are all read-only. New Values displays the Authorization values entered in the Refund Authorization window when you clicked Confirm. For Authorization 1, Old Values displays the values present before any Authorization values were entered, i.e., the values returned from the search of refund requests. For Authorization 2, Old Values includes the processed Authorization 1 values.

**ID**

Sequence number for refund request from Refund Authorization window.

**Provider #**

Lab's provider number (aka CCN, CLIA number).

**Name**

Name of the laboratory.

**Date**

Date the lockbox file was processed.

**Batch**

Number of batch in the lockbox file.

**Item**

Item number within the batch for the accounting record.

**Amount**

Amount of the check.

**Authorization 1 Rec.**

Authorization 1 refund recommendation: Y if Yes selected in Refund Authorization window, N if No.

**Authorization 1 Reason**

Code number of reason for recommendation selected in Refund Authorization window

**Authorization 2 Aprvl**

Authorization 2 refund approval or denial: Y if Yes selected in Refund Authorization window, N if No.

**Authorization 2 Reason**

Code number of reason for approval or denial selected in Refund Authorization window.

## **Buttons**

### **Print**

Prints hard (paper) copy of contents of Confirm Refund Authorization window.

### **Process**

Processes new authorization values entered in Refund Authorization window.

Exit

Returns to Refund Selection Criteria window if data is processed.

Returns to Refund Authorization window if data is not processed.

## **Find Accounting Providers window**

### **Main Search Criteria**

#### **CLIA #**

All or part of the CLIA number (aka CCN, provider number) of the lab you want to find.

#### **Name**

All or part of the name of the lab you want to find.

### **Physical Address**

#### **Address**

All or part of the street address where the lab operates. You can use this field for international lab searches.

#### **City**

All or part of the name of the city where the lab operates. Do not use for international lab searches.

#### **State**

Two-character postal code of the state where the lab operates; FN for international labs.

#### **County Code**

All or part of the name of the county in which the lab operates. Do not use for international lab searches.

#### **Zip**

All or part of the 5-digit Zip code where the lab operates. Do not use for international lab searches.

## **Mailing Address**

### **Address**

All or part of the street address where the lab's mail is delivered. You can use this field for international lab searches.

### **City**

All or part of the city where the lab's mail is delivered. Do not use for international lab searches.

### **State**

2-character postal code for the state where the lab's mail is delivered, or FN for international labs.

### **Zip**

All or part of the 5-digit Zip code where the lab's mail is delivered. Do not use for international lab searches.

## **Other**

### **Phone #**

All or part of the lab's area code and phone number.

### **Director Last Name**

All or part of the lab director's last name. If this is the only search criterion specified, the system searches all states.

### **Director First Name**

All or part of the lab director's first name. Not enabled until all or part of the lab director's last name is entered.

### **Federal Tax ID**

All or part of the lab's Federal tax identification number.

### **Exclude Terminated Laboratories**

Select the checkbox if you want to exclude terminated laboratories from a search. By default, all matching laboratories are listed, whether they are Active, Pending, or Terminated.

### **Multiple Sites Search**

Select to search for multiple sites; only the primary site is searched by default. Not enabled until you enter all or part of the laboratory name or physical address. All active multiple sites are returned by the search.

## Buttons

### Find Now

Locates labs matching your search criteria. Pressing Enter will not yield results.

### New Search

Clears current search criteria.

### Exit

Returns to the previous window where you clicked the 116 Lookup button to open this Find window.

## Accounting Providers Find Results window

### Navigation

#### Page 1 of <#>

Lists the number of pages of search results, and the page the user is currently viewing.

#### First / Previous

First returns to the first page of search results.

Previous returns to the last page viewed.

#### Next / Last

Next advances to the next page of search results.

Last advances to the last page of search results.

#### Jump to... box

Jumps directly to the results page you select.

### Search Results grid

Click a column title once to sort entries in the Search Results grid in descending order, click twice to sort in ascending order, and click three times to return to the original sort order.

## Buttons

### Select

Enters the CLIA number of the provider selected in the Results list into the Provider number field of the window where you initiated the 116 Lookup.

You can also double-click a provider in the Results list to enter its CLIA number in the original window.

### Cancel

Returns to the Find Accounting Providers window.

## Other ASPEN Web CLIA windows

### Login window

**User ID**

Your assigned QIES national user ID.

**Password**

Your QIES national user password.

**Login**

Logs you in and opens the Select Application window.

### System Information window

#### Qies System Notes

Displays messages posted about system status. CO users can enter notes; read-only for all others.

#### Failed Upload Transactions

Lists failed CLIA transactions from the previous night's cycle.

**Trans #**

ID number of the transaction.

**Trans Category**

Transaction category: CLIA, ENF (Enforcement upload), or ODIE (certification kit upload).

**CLIA #**

Lab's assigned provider number (aka CCN).

**Trans Date**

Date of the transaction.

**Trans Status**

Transaction status: -1, 00, 05, 10, or 15

**Trans Type**

Transaction type code: 00, 01, 03, 04, or 05.

**Trans Description**

One-word description of the transaction type: Add, Delete, Add, Update, Prior.

## Current User Information

### Name

National system login name of current user.

### Type

Current user type:

01 Regional Office

02 Central Office

04 Accrediting Organization

05 Veterans Administration

06 Billing Contractor

07 Lockbox User

### Security Role

Security level or role within Type assigned to current user.

Type	Role
01, 20	FA Full Access RO Read Only
02	FA Full Access RO Read Only SU Super User
04	01 TJC 02 AOA 03 AABB 04 CAP 05 COLA 07 ASHI
05, 06, 07	N/A

### State

State Agency user's state.

### Region

Regional Office user's region number.

## **Batch Jobs**

### **Date From**

Start date of date range filter.

### **To Date**

End date of date range filter.

### **Find button**

Click to update the list of audit files according to the specified date range.

### **Calculated Run Date**

Date job was calculated to run.

### **Actual Run Date**

Date job actually ran.

### **Job Name**

Name of the batch billing job.

### **Job Status**

Run status of the job.

### **View Audit Messages/View button**

Click the View button to open the audit file for the job in a text editor.

## **Other System Information**

### **Database**

Database the current user is accessing.

## **Buttons**

### **Print**

Prints the contents of the System Information window.


### **Done**

Returns to the Select Application window.





## Billing Category Descriptions

14) Billable	 INC	Outstanding Amount	<div style="border: 1px solid black; padding: 2px; display: inline-block;">.00</div>
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**Certificate Inquiry**

Cert Status	Certificate	Class Code	Effective Date	Expiration Date	Mailed Date	Termination Code	H Ap
Current	3 Accreditation	Regular	11/14/2009	11/13/2011	10/17/2009	00 Active Provider	3
History	3 Accreditation	Regular	11/14/2007	11/13/2009	12/22/2007	00 Active Provider	3
History	9 Registration	Regular	12/15/2005	11/13/2007	02/14/2006	00 Active Provider	3
History	1 Compliance	Regular	07/09/2002	01/31/2004	04/29/2003	01 Voluntary-Merger, Closure	1
History	1 Compliance	Regular	07/09/2000	07/08/2002	10/24/2000	00 Active Provider	1
History	1 Compliance	Regular	07/09/1998	07/08/2000	09/09/1998	00 Active Provider	1
History	1 Compliance	Regular	07/09/1996	07/08/1998	10/23/1996	00 Active Provider	1

**Billing Inquiry**

\* - No certificate issued

Cert Date	Trans Date	Description	App	Sched	State	Billing Amt	Payment Amt	Lockbox Date	Batch	Item
11/14/2009	06/24/2009	ACCREDITATION CERT PAYMENT					430.00	06/22/2009	3003	01
	06/24/2009	VALIDATION SURVEY PAYMENT					107.00	06/22/2009	3003	01
	05/16/2009	ACCREDITATION CERT FEE	3	C	IL	430.00				
	05/16/2009	VALIDATION SURVEY FEE	3	C	IL	107.00				
11/14/2007	12/21/2007	ACCREDITATION CERT PAYMENT					430.00	12/18/2007	3001	07
	12/21/2007	VALIDATION SURVEY PAYMENT					107.00	12/18/2007	3001	07
	11/17/2007	ACCREDITATION CERT FEE	3	C	IL	430.00				
	11/17/2007	VALIDATION SURVEY FEE	3	C	IL	107.00				

All currently defined category descriptions are given below.

## **One-Part Descriptions**

Some billing category descriptions are stored as one word or phrase in the database.

- Overpayment
- Returned to Treasury
- Refund Sent
- Refund Approval
- Refund Approval Denied
- Refund Recommended
- Refund Recommended Denied
- Used Overpayment
- Prior Unresolved

## **Two-Part Descriptions**

Other billing category descriptions are stored in two parts in the database, i.e., they are constructed from two lists of words and phrases.

### **Part 1**

- Waiver (if app type 2)
- PPM (if app type 4)
- Registration (if app type 9(1) or 9(3))
- Compliance Survey
- Survey Adjustment
- Compliance Cert
- Validation Survey
- Accreditation Cert
- Overpayment
- Unresolved
- Certificate Backout
- Compliance Backout

## Part 2

Rebill Fee  
 Final Fee  
 Fee  
 Partial Pmt  
 Payment  
 Fee Removed

## Example

The category description **Compliance Survey Fee Removed** comprises Part 1, item 4 + Part 2, item 6.

## Audit Codes

Internal audit codes for accounting records are listed below by record type.

### Billing

Audit Code	Description
00	Current
52	Apply cash to lab
54	Move money from lab to refund
56	Cancel payment
80	New fee coupon generated
99	Audited

### Overpayment

Audit Code	Description
00	Current
52	Apply cash to lab
54	Move money from lab to refund
70	Refund returned Treasury
77	Refunded to lab
99	Audited

## Unresolved

Audit Code	Description
00	Current
52	Apply cash to lab
58	Canceled unresolved
99	Audited

## Batch Billing Jobs

The batch billing run includes the following jobs, which are listed in the order they are executed. The jobs are run weekly except for the Quarterly Refund job.

**Reactivate Terminated Labs** – Reactivates 08 labs, i.e., labs terminated for nonpayment, that have paid in full within six months of termination.

**Application Change** – Processes status changes. Updates lab data (e.g., specialties, provider information) to fit new application type. Ensures that all business rules are applied correctly.

**Bubble** – Pushes fully paid pending certificates within 30 days of the certificate effective date to current. Cleans up data (e.g., specialties) as needed.

**Certificates** – Determines labs that have paid (i.e., those with certificates that “bubbled” in the previous job) and are due to receive a new certificate. Creates two flat files for the Certificate and Issuance Billing Contractor (BC) to use: one for Type 2 (Waiver), 4 (PPM), and 9 (Registration) labs; the other for Type 1 (Compliance) and 3 (Accredited) labs.

**Adjustment 1** – Enters changes in 1557 schedule codes for Type 1 (Compliance) labs that are unpaid or partially paid. Allows users with appropriate permissions to manually override schedule code changes in order to update fee amounts for Type 1 (Compliance) and 3 (Accredited) labs.

**Adjustment 2** – Generates renewal fees for Type 1 (Compliance) labs, i.e., Bill Type 04 (Compliance Certificate Fee). Refunds money and updates records as appropriate.

**Adjustment 3** – Generates initial and renewal fees as follows:

- Initial fees for all laboratory types, i.e., Bill Type 01 (Waiver/PPM/Registration Fee) and 02 (Compliance Survey Fee).
- Renewal fees for Type 2 (Waiver) and 4 (PPM) labs, i.e., Bill Type 01 (Waiver/PPM/Registration Fee).
- Renewal fees for Type 1 (Compliance) labs, i.e., Bill Type 02 (Compliance Survey Fee).

**Adjustment 4** – Generates initial and renewal fees for Type 3 (Accredited) labs, i.e., Bill Type 05 (Validation Survey Fee) and 06 (Accreditation Certificate Fee).

**Clean Up Terminated Labs** – Cleans up data for labs that have been terminated for more than 190 days and up to two years. Audits off accounting records. Deletes pending cycle information (if a pending certificate existed), but keeps provider records.

**First and Second Rebill** – Sends Bill Code 2 (First Rebill) fees for labs that have unpaid Bill Code 1 (Initial Bill) fees with a fee date 60 days old or more. Audits off the Code 1 bills.

Also sends Bill Code 3 (Second Rebill) fees for labs that have unpaid Bill Code 2 (First Rebill) fees with an initial fee date 120 days old or more. Audits off the Code 2 bills.

**Terminate Unpaid Labs** – As applicable:

- Terminates labs for nonpayment, i.e., sets Term Code to 08 for labs having unpaid Bill Code 3 (Second Rebill) fees with an initial fee date 180 days old or more.
- Terminates Type 3 (Accredited) labs with no indication of affiliation with an accrediting organization (AO) when their current certification cycle ends; sets Term Code to 33.
- Terminates labs with terminated current certificates but with a new pending certificate that has not been fully paid within 6 months. Labs will be terminated 6 months after the pending effective date.

**Bills** – Locates Payment Status Code 10 bills (Ready to Send). Creates two files for the BC: one for Bill Type 01 (Waiver/PPM/Registration Fee), 02 (Compliance Survey Fee), 05 (Validation Survey Fee), and 06 (Accreditation Certificate Fee); the other for Bill Type 04 (Compliance Certificate Fee). These two files contain all required billing information.

**Refunds** – Creates a refund file for Treasury, updates and audits off refund records for:

- Approved manual refunds – money approved for refund by CLIA CO or CLIA contractor
- Automatic refunds – money marked as 'overpayment' for six months

**Send Accreditation Letter** – Identifies active Type 3 (Accredited) labs without AO affiliation and creates a file for the vendor that generates and sends an Accreditation Letter to the labs.

**Cleanup Remarked AOs** – Cleans up data for Type 3 (Accredited) labs with Accredited Remarks indicating a lack of affiliation with an AO.

**Quarterly Refund** – Runs the first Saturday of every quarter. Identifies refund records and audits them off.

**Batch Complete** – Runs if all other jobs complete successfully.

## Keyboard Shortcuts

Keyboard shortcuts are combinations of two or more keys that, when pressed, can perform the same task as using a mouse or other pointing device.

### CLIA Accounting Keyboard Shortcuts

The CLIA Accounting application includes the following keyboard shortcuts. The Certificates and Billing Inquiry window is used as an example. These keyboard shortcuts work for the buttons (if enabled), in order of placement, in all CLIA accounting windows.

#### Certificates and Billing Inquiry window

- Alt 1** - Print
- Alt 2** - Refund
- Alt 3** - Unresolve
- Alt 4** - Generate Fee Coupon
- Alt 5** - 116 Detail
- Alt 6** - Lockbox Inquiry
- Alt 7** - Cancel Payment
- Alt 8** - Exit

#### Help Fields

- Tab** - Go to name/label for a field/section with associated Help information.
- Enter** - Display the associated Help information for the field/section.
- Tab** - Move to the Close button in the Help window.
- Enter** - Close the Help window.

## Windows keyboard shortcuts

### Ease of Access keyboard shortcuts

Press this	To do this
Right Shift for eight seconds	Turn Filter Keys on and off
Left Alt + Left Shift + PrtScn (or PrtScn)	Turn High Contrast on or off
Left Alt + Left Shift + Num Lock	Turn Mouse Keys on or off
Press Shift five times	Turn Sticky Keys on or off
Num Lock for five seconds	Turn Toggle Keys on or off
Windows logo key + u	Open the Ease of Access Center

### General keyboard shortcuts

Press this	To do this
F1	Display Help
Ctrl + c (or Ctrl + Insert)	Copy the selected item
Ctrl + x	Cut the selected item
Ctrl + v (or Shift + Insert)	Paste the selected item
Ctrl + z	Undo an action
Ctrl + y	Redo an action
Delete (or Ctrl + d)	Delete the selected item and move it to the Recycle Bin
Shift + Delete	Delete the selected item without moving it to the Recycle Bin first
F2	Edit/Rename the selected item
Ctrl + Right Arrow	Move the cursor to the beginning of the next word
Ctrl + Left Arrow	Move the cursor to the beginning of the previous word
Ctrl + Down Arrow	Move the cursor to the beginning of the next paragraph
Ctrl + Up Arrow	Move the cursor to the beginning of the previous paragraph
Ctrl + Shift with an arrow key	Select a block of text

<b>Press this</b>	<b>To do this</b>
Shift with any arrow key	Select more than one item in a window or on the desktop, or select text within a document
Ctrl with any arrow key + Spacebar	Select multiple individual items in a window or on the desktop
Ctrl + a	Select all items in a document or window
F3	Search for a file or folder
Alt + F	Open the file menu for the active window
Alt + Enter	Display properties for the selected item
Alt + F4	Close the active item, or exit the active program
Alt + Spacebar	Open the shortcut menu for the active window
Ctrl + Spacebar	Activate the current grid row
Ctrl + F4	Close the active document (in programs that allow you to have multiple documents open simultaneously)
Alt + Tab	Switch between open items
Ctrl + Alt + Tab	Use the arrow keys to switch between open items
Ctrl + Mouse scroll wheel	Change the size of icons on the desktop
Windows logo key + Tab	Cycle through programs on the taskbar by using Aero Flip 3-D
Ctrl + Windows logo key + Tab	Use the arrow keys to cycle through programs on the taskbar by using Aero Flip 3-D
Alt + Esc	Cycle through items in the order in which they were opened
F6	Cycle through screen elements in a window or on the desktop
F4	Display the address bar list in Windows Explorer



<b>Press this</b>	<b>To do this</b>
Shift + F10	Display the shortcut menu for the selected item
Ctrl + Esc	Open the Start menu
Alt + underlined letter	Display the corresponding menu
Underlined letter	Perform the menu command (or other underlined command)
F10	Activate the menu bar in the active program
Right Arrow	Open the next menu to the right, or open a submenu
Left Arrow	Open the next menu to the left, or close a submenu
F5 (or Ctrl + r)	Refresh the active window
Alt + Up Arrow	View the folder one level up in Windows Explorer
Esc	Cancel the current task
Ctrl + Shift + Esc	Open Task Manager
Shift	When CD is inserted, prevent it from automatically playing
Left Alt + Shift	Switch the input language when multiple input languages are enabled
Ctrl + Shift	Switch the keyboard layout when multiple keyboard layouts are enabled
Right or Left Ctrl + Shift	Change the reading direction of text in right-to-left reading languages

**Dialog Box keyboard shortcuts**

<b>Press this</b>	<b>To do this</b>
Ctrl + Tab	Move forward through tabs
Ctrl + Shift + Tab	Move back through tabs
Tab	Move forward through options
Shift + Tab	Move back through options
Alt + underlined letter	Perform the command (or select the option) that goes with that letter
Enter	Replaces clicking the mouse for many selected commands
Spacebar	Select or clear the check box if the active option is a check box
Arrow keys	Select a button if the active option is a group of option buttons
F1	Display Help
F4	Display the items in the active/drop-down list
Backspace	Open a folder one level up if a folder is selected in the Save As or Open dialog box