

CLIA CWF Viewer User's Guide



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INTRODUCTION

Congress passed the Clinical Laboratory Improvement Amendments (CLIA) in 1988 establishing quality standards for all laboratory testing to ensure the accuracy, reliability, and timeliness of patient test results regardless of where the test was performed. The final CLIA regulations were published in the Federal Register on February 28, 1992. The requirements are based on the complexity of the test and not the type of laboratory where the testing is performed. On January 24, 2003, the Centers for Disease Control and Prevention (CDC) and the Centers for Medicare & Medicaid Services (CMS) published final CLIA Quality Systems laboratory regulations that became effective April, 24, 2003.

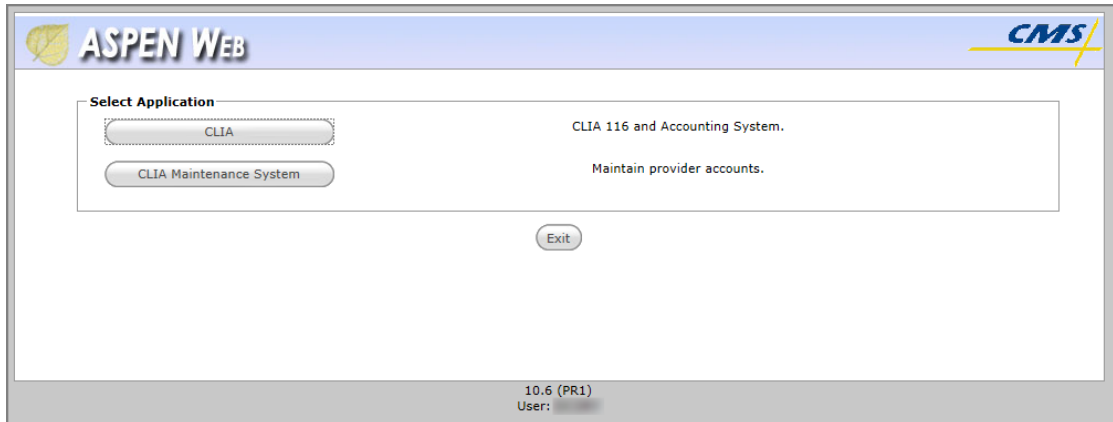
The Common Working File (CWF) is used to scrutinize Medicare claims to ensure that billed laboratory services are authorized under a provider's CLIA certificate. CWF extract files are sent weekly on Thursday mornings to CWF host sites. With the implementation of ASPEN 10.6, the CWF extracts are created in the original EBCDIC, packed format and in text file format. Only those CWF extracts created in the text file format can be viewed in the CLIA CWF Viewer.

This *CLIA CWF Viewer User's Guide* describes how CMS Central Office CLIA personnel can use the CWF Viewer features of the ASPEN Web CLIA system to view and download CWF files. This guide is intended for use primarily by CMS CLIA personnel.

ACCESS THE CWF VIEWER

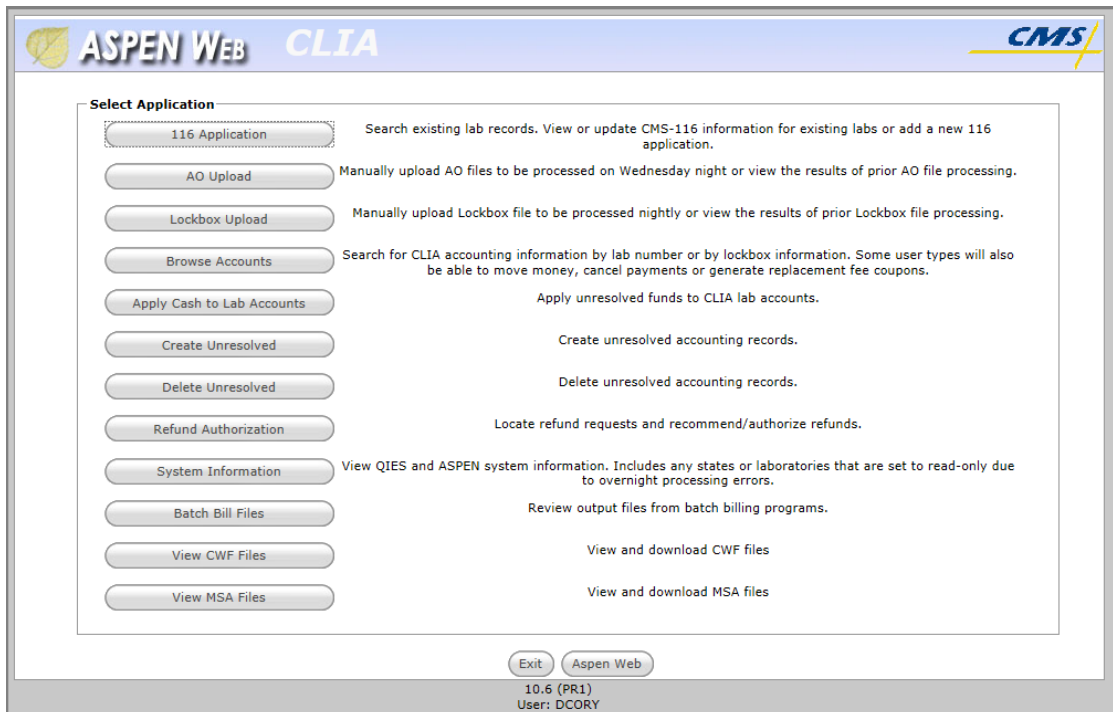
The CWF Viewer is available as part of the ASPEN Web CLIA system. To access the CWF Viewer you must first log into ASPEN Web. Upon successful login to ASPEN Web, the ASPEN Web **Select Application** page (Figure 1) is presented.

Figure 1. ASPEN Web Select Application Page



The ASPEN Web **Select Application** page presents *CLIA* and *CLIA Maintenance System* options. Select the *CLIA* item. The *CLIA Select Application* page (Figure 2) is presented.

Figure 2. CLIA Maintenance Select Application Page



The CLIA **Select Application** page presents the following options:

- 116 Application
- AO Upload
- Lockbox Upload
- Browse Accounts
- Apply Cash to Lab Accounts
- Create Unresolved
- Delete Unresolved
- Refund Authorization
- System Information
- Batch Bill Files
- View CWF Files
- View MSA Files

Select the *View CWF Files* option. The CLIA View CWF Files **List of Files for Download** page (Figure 3) is presented.

Figure 3. CLIA Viewer List of Files for Download Page

File Description	Process Date	Last Download Date	Extract File Download
CWF Extract File	2017-01-05 04:00:05		Download
CWF Extract File	2016-12-29 04:00:02		Download
CWF Extract File	2016-12-22 04:00:04		Download
CWF Extract File	2016-12-16 04:00:47	2016-12-16 09:50:59	Download
CWF Extract File	2016-12-15 04:00:05		Download
CWF Extract File	2016-12-08 04:00:02	2016-12-14 16:08:19	Download

The other options available on the CLIA **Select Application** page are described elsewhere in ASPEN Web CLIA training materials and guides.

CWF VIEWER NAVIGATION

Each page of the CWF Viewer includes a menu bar (Figure 4) that provides access to the features of the CWF Viewer.

Figure 4. CWF Viewer Menu Bar



The CWF Viewer menu bar offers the following links:

Link Name	Action
File Download	Select the File Download link to access the CWF Viewer List of Files for Download page to view the available CWF files and download one or more as needed.
Help	Select the Help link to access the CWF Viewer Help options page.
Exit	Select the Exit link to return to the CLIA Select Application page.
Logout	Select the Logout link to log out of ASPEN Web.

For those users who wish to navigate the CWF Viewer features without a mouse, the following keyboard shortcut keys are available to bring focus to items on the CWF Viewer menu bar:

Shortcut Keys	To Access
Alt + 1	CLIA Maintenance Select Application page
Alt + x	List of Files for Download page
Alt + p	Help page
Alt + o	Logout

With focus on one of these items, press the Enter key to access the associated page or activate the function.

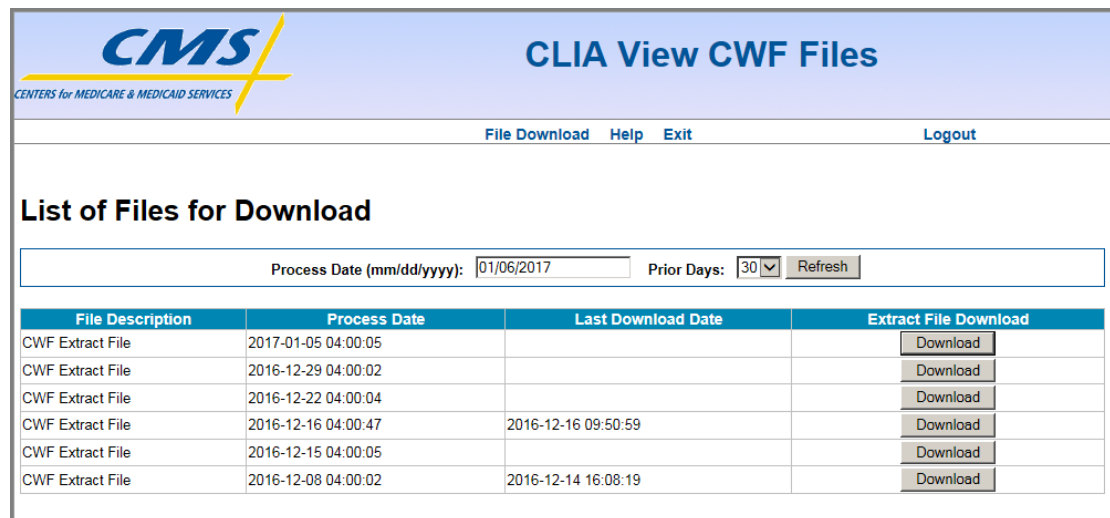
When utilizing the keyboard to navigate the system, use Alt + n if you wish to bypass the CWF Viewer menu bar and go directly to the first field on a page.

NOTE: Shortcut keys utilizing numbers function only with the numeric keys along the top of the keyboard. They do not function with the numeric keys in the “10-key” pad of the keyboard.

LIST OF FILES FOR DOWNLOAD PAGE FUNCTIONALITY

The CWF Viewer **List of Files for Download** page includes functionality with which you may search for and view a list of the available CWF files and download those of interest. The **List of Files for Download** page (Figure 5) is presented by default when the CWF Viewer option is accessed from the CLIA **Select Application** page. You may return to the **List of Files for Download** page at any time by selecting the *File Download* item on the CWF Viewer menu bar.

Figure 5. CWF Viewer List of Files for Download Page



The screenshot shows the 'CLIA View CWF Files' page. At the top left is the CMS logo (CENTERS for MEDICARE & MEDICAID SERVICES). The page title is 'CLIA View CWF Files'. Below the title is a navigation bar with 'File Download', 'Help', 'Exit', and 'Logout'. The main heading is 'List of Files for Download'. Below this is a search area with 'Process Date (mm/dd/yyyy):' followed by a text box containing '01/06/2017', 'Prior Days:' followed by a dropdown menu set to '30', and a 'Refresh' button. Below the search area is a table with the following data:

File Description	Process Date	Last Download Date	Extract File Download
CWF Extract File	2017-01-05 04:00:05		Download
CWF Extract File	2016-12-29 04:00:02		Download
CWF Extract File	2016-12-22 04:00:04		Download
CWF Extract File	2016-12-16 04:00:47	2016-12-16 09:50:59	Download
CWF Extract File	2016-12-15 04:00:05		Download
CWF Extract File	2016-12-08 04:00:02	2016-12-14 16:08:19	Download

The **List of Files for Download** page displays, in tabular format, one record (row) for each CWF weekly extract file. By default, the **List of Files for Download** page lists the CWF files that were uploaded in the last 30 days in descending Process Date order (most recent first).

The table displaying the available file records includes the following column headings:

- File Description – “CWF Extract File”
- Process Date – the date and time the file was created
- Last Download Date – the date CWF file was last downloaded
- Extract File Download – contains a **Download** button with which you may download and review the associated CWF file.

The **List of Files for Download** page includes the following elements with which you may specify alternate criteria for selecting the CWF files to list:

- Field (text box): *Process Date (mm/dd/yyyy)*

- Field (drop-down list): *Prior Days*
- Button: **Refresh**

The *Process Date* field value defaults to the current date and the *Prior Days* field value initially defaults to 30. With these criteria, the CWF file(s) processed today and for the last 30 days display. Change the *Process Date* and/or the *Prior Days* field values to limit or expand the list. *Prior Days* options include 0, 1, 2, 5, 10, and 30. After changing the criteria, select the **Refresh** button to perform the new query for available CWF files.

For example, if you wish to view a list of the uploaded files for yesterday and today, leave the current date in the *Process Date* field and change the *Prior Days* field value to 1. If the *Prior Days* field value is 0, only CWF files processed today display.

NOTE: CWF files are retained for 78 weeks.

The following keyboard shortcut keys are available to bring focus to items on the CWF Viewer **List of Files for Download** page:

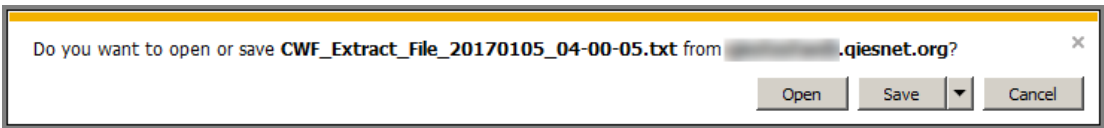
Shortcut Keys	To Access
Alt + 2	<i>Process Date</i> field
Alt + 3	<i>Prior Days</i> field
Alt + s	Refresh button

NOTE: Shortcut keys utilizing numbers function only with the numeric keys along the top of the keyboard. They do not function with the numeric keys in the “10-key” pad of the keyboard.

To download and view a CWF file, select the **Download** button associated with the CWF file of interest. A **File Open or Save** dialog box (Figure 6, or similar) opens.

NOTE: The appearance of the **File Open or Save** dialog box varies depending upon the version of the browser you are using.

Figure 6. File Open or Save Dialog Box



When you select the **Open** button, the file opens in your computer’s default text editor (Figure 7).

NOTE: A CWF file is large and may take several moments to open. You may elect to save the file to your computer before attempting to open and view it.

Figure 7. Downloaded CWF File

```
CLIA HEADER - CWF 20170105
CLIA00240201D0300023          636005283
2017010401000007000002201505012017103114201309292015043014201109292013092
8142009092920110928142007092920090928142005092920070928142003092920050928
1420010929200309281419990929200109281119970929199909281110199309291999083
0120199309291999083013019930929199908303101993092919990830320199309291999
083033019950929199908304001993092919970928
CLIA00328201D0300948          631036393
2017010401000015000002201507012017123111201411192015063019201403312014111
8192013121220140330192011121220131211192009121220111211192007121220091211
1920051212200712111920031212200512111920011212200312111110199411091997110
8110199812042014033012019941109199711081201998120420140330130199411091997
1108130199812042014033014020110518201403302201994110919971108310201105182
0140330320199411091997110832020110518201403303302011051820140330400199411
091997110840019981204201403304002014111920150630
CLIA00394201D0301471          133757370
2017010401000021000009201504282017102719201304282015042719201104282013042
7192009042820110427192007042820090427192005042820070427192003042820050427
1920010428200304271919990428200104271919970428199904271110199507242017102
7115199507242017102712019950724201710271301995072420171027140199507242017
1027210199507242017102722019950724201710273101995072420171027320199507242
0171027330199507242017102734020030329201710274001995072420171027510199507
2420171027520200507222017102753019950724201710275401995072420171027550199
5072420020110610199507242017102762019950724200201106302004043020171027800
1995072420020110
```

HELP

The CWF Viewer **Help** page (Figure 8) provides links to the following Help items associated with the CWF Viewer:

- Accessibility Policy
- Contact Us
- Privacy Policy

Figure 8. CWF Viewer Help Page



The following keyboard shortcut keys are available to bring focus to the links on the CWF Viewer **Help** page:

Shortcut Keys	To Access
Alt + 7	Accessibility Policy link
Alt + 8	Contact Us link
Alt + 9	Privacy Policy link

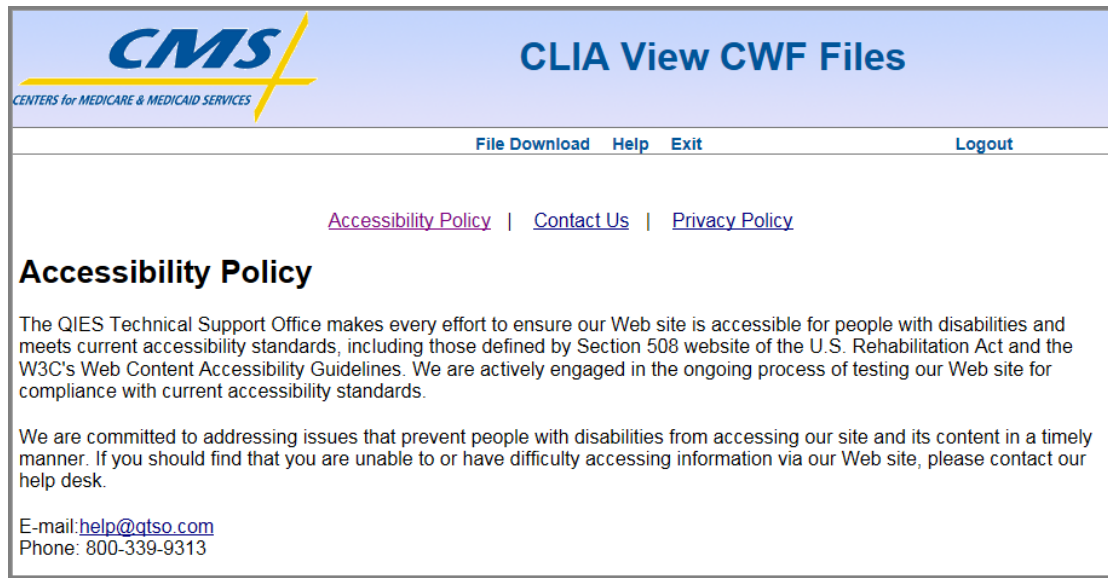
With focus on one of these links, press the Enter key to activate the link and access the associated page.

NOTE: Shortcut keys utilizing numbers function only with the numeric keys along the top of the keyboard. They do not function with the numeric keys in the “10-key” pad of the keyboard.

Accessibility Policy

The CWF Viewer **Accessibility Policy** page (Figure 9) outlines the CWF Viewer’s accessibility policy in regards to compliance with Section 508 of the U.S. Rehabilitation Act and the W3C’s Web Content Accessibility Guidelines.

Figure 9. CWF Viewer Accessibility Policy Page



The screenshot shows a web page titled "CLIA View CWF Files" with the CMS logo. The page includes navigation links for "File Download", "Help", "Exit", and "Logout". Below these are links for "Accessibility Policy", "Contact Us", and "Privacy Policy". The main content area is titled "Accessibility Policy" and contains the following text:

The QIES Technical Support Office makes every effort to ensure our Web site is accessible for people with disabilities and meets current accessibility standards, including those defined by Section 508 website of the U.S. Rehabilitation Act and the W3C’s Web Content Accessibility Guidelines. We are actively engaged in the ongoing process of testing our Web site for compliance with current accessibility standards.

We are committed to addressing issues that prevent people with disabilities from accessing our site and its content in a timely manner. If you should find that you are unable to or have difficulty accessing information via our Web site, please contact our help desk.

E-mail: help@qtso.com
Phone: 800-339-9313

The **Accessibility Policy** page states the following:

“The QIES Technical Support Office makes every effort to ensure our Web site is accessible for people with disabilities and meets current accessibility standards, including those defined by Section 508 of the U.S. Rehabilitation Act and the W3C’s Web Content Accessibility Guidelines. We are actively engaged in the ongoing process of testing our Web site for compliance with current accessibility standards.

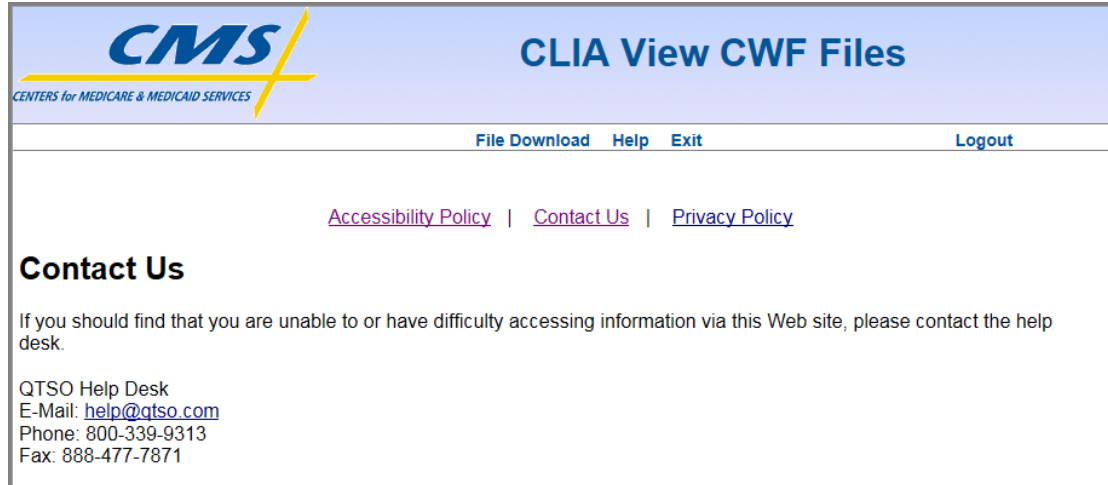
We are committed to addressing issues that prevent people with disabilities from accessing our site and its content in a timely manner. If you should find that you are unable to or have difficulty accessing information via our Web site, please contact our help desk.

E-mail: help@qtso.com
Phone: 800-339-9313”

Contact Us

The CWF Viewer **Contact Us** page (Figure 10) provides e-mail and telephone contact information for the QIES Technical Support Office (QTSO) Help Desk.

Figure 10. CWF Viewer Contact Us Page



The **Contact Us** page states the following:

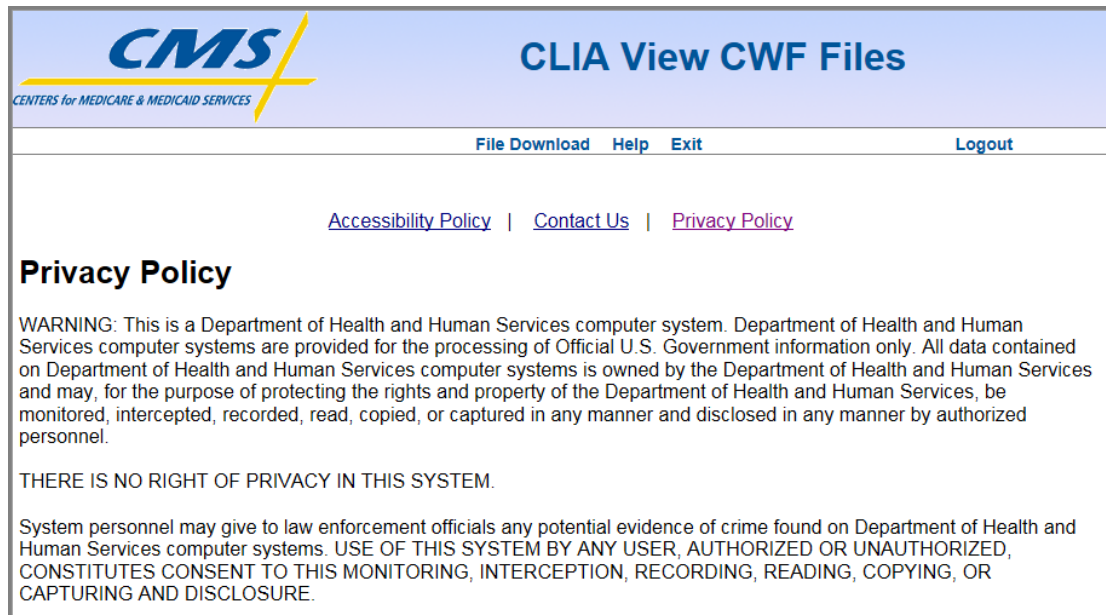
“If you should find that you are unable to or have difficulty accessing information via this Web site, please contact the help desk.

QTSO Help Desk
E-Mail: help@qtso.com
Phone: 800-339-9313
Fax: 888-477-7871”

Privacy Policy

The CWF Viewer Privacy Policy page (Figure 17) outlines the CWF Viewer's privacy policy.

Figure 11. CLIA CWF Viewer Privacy Policy Page



CMS
CENTERS for MEDICARE & MEDICAID SERVICES

CLIA View CWF Files

[File Download](#) [Help](#) [Exit](#) [Logout](#)

[Accessibility Policy](#) | [Contact Us](#) | [Privacy Policy](#)

Privacy Policy

WARNING: This is a Department of Health and Human Services computer system. Department of Health and Human Services computer systems are provided for the processing of Official U.S. Government information only. All data contained on Department of Health and Human Services computer systems is owned by the Department of Health and Human Services and may, for the purpose of protecting the rights and property of the Department of Health and Human Services, be monitored, intercepted, recorded, read, copied, or captured in any manner and disclosed in any manner by authorized personnel.

THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM.

System personnel may give to law enforcement officials any potential evidence of crime found on Department of Health and Human Services computer systems. USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES CONSENT TO THIS MONITORING, INTERCEPTION, RECORDING, READING, COPYING, OR CAPTURING AND DISCLOSURE.

The **Privacy Policy** page states the following:

“WARNING: This is a Department of Health and Human Services computer system. Department of Health and Human Services computer systems are provided for the processing of Official U.S. Government information only. All data contained on Department of Health and Human Services computer systems is owned by the Department of Health and Human Services and may, for the purpose of protecting the rights and property of the Department of Health and Human Services, be monitored, intercepted, recorded, read, copied, or captured in any manner and disclosed in any manner by authorized personnel.

THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM.

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TERMINOLOGY

Term	Acronym	Description / Definition
Automated Survey Processing Environment	ASPEN	The ASPEN Automated Survey Processing Environment system providing state-level secure data collection of healthcare provider demographic, surveillance, and certification information, with timely replication of required information into the national repository.
Clinical Laboratory Improvement Amendments	CLIA	Legislation establishing quality standards for laboratory testing.
Centers for Medicare and Medicaid Services	CMS	CMS provides direction and technical guidance for the administration of the Federal effort to plan, develop, manage, and evaluate health care financing programs and policies.
Central Office	CO	CMS Central Office.
Common Working File	CWF	Common Working File are used to scrutinize Medicare claims to ensure that billed laboratory services are authorized under a provider's CLIA certificate. CWF extract files are sent weekly on Thursday mornings to CWF host sites.