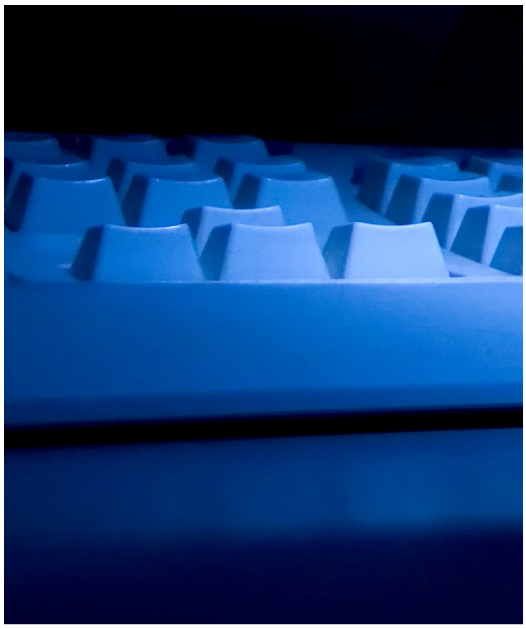
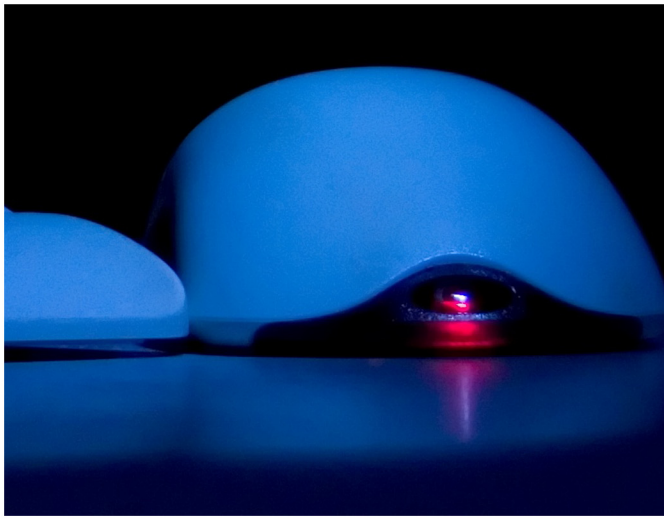


ASPEN CENTRAL OFFICE

ACO

11.9.3

Procedures Guide



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Systems Environment

Application Development: Microsoft Visual C++ and C# 2008 (9.0), .NET 3.51 SP1, .NET 4.6.1 or later (ASE-Q only)

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

CMS-supported operating systems and MS Internet Explorer versions are posted on the QTSO website at https://qtso.cms.gov/providers/home-health-agency-hha-providers/reference-manuals in the Minimum System Requirements document under Reference & Manuals.

Oracle Database 12c Enterprise Edition Release 12.2.0.1.0

Oracle Client 12.2.0.0

Optional System Environments

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

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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 (Automated Survey Processing Environment) Central Office is a Windows-based program that enables State Agencies (SAs) to implement information-based certification and oversight of the health care providers under their supervision. ASPEN Central Office (ACO) stores data about certified providers regulated by the Centers for Medicare & Medicaid Services (CMS) and the regulations pertinent to those providers. ACO can be extended to include provider categories for state licensure. A built-in Internet browser provides easy access to resources on the World Wide Web.

About this Procedures Guide

The *ACO Procedures Guide* gives you the information you will need to create and maintain provider records and process certifications using ASPEN software. Functions specific to ASPEN Regional Office (ARO) and differences between ACO and ARO are identified.

Note: This guide assumes that you are familiar with basic Windows operations and that you have attended ACO training offered by your agency.

This guide consists of this introduction and the following four chapters:

- ACO Procedures

  Provides task-based procedures for creating and maintaining provider records and certification kits for the supported provider types. If you need more information, links to additional material are included.

- ACO Screens

  Contains pictures and brief descriptions of facility, certification, survey, and other ACO screens and windows.

- ACO Fields and Buttons

  Presents descriptions of the fields and buttons in ACO screens and windows.
- Supporting Materials

  Contains supplemental information and reference items.

Note: For CLIA-specific information and procedures, refer to the latest version of the *CLIA 116 and Certification Procedures Guide*, which is posted on the QTSO website at https://qtso.cms.gov. The one exception is information about CLIA personnel records in ASPEN, which is provided in this guide.

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.

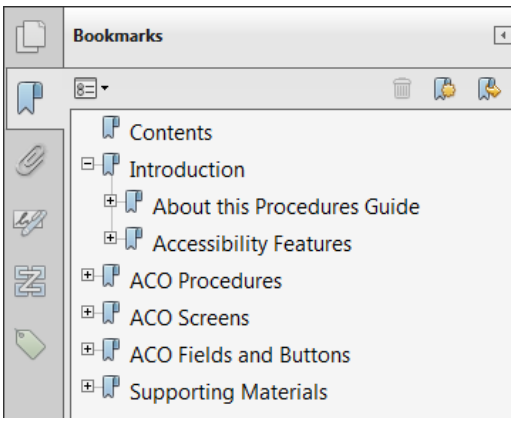


Figure 1: Bookmarks

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: “Enter NPIs for a Provider” on page 44
Screen: "Facility Definition tab" on page 302
Procedure: “Provider Records” on page 41

➥ 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: "NPI Information", on page 451

➥ Click the link to go to the field descriptions for the indicated screen or section of screen.

There may also be cross-references in the Fields and Supporting Materials chapters.

View a Printed Copy of this Document

While it is designed to be used easily online, you can print this procedures guide 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:

Bold In procedures: names of screens, screen sections, windows you open; and buttons, menu options, keys you press.

ACO Generic reference to ACO and ARO. When necessary, ARO is explicitly identified.

Facility Properties
Generic reference to the Define New Facility/<FacName> Definition window.

web Generic reference to the World Wide Web.

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 *ACO Procedures Guide* and the ACO user interface 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 generally not used for formatting, so text is accessible to screen readers.
- Windows keyboard shortcuts are included in the Supporting Materials chapter.
- Reading order is optimized, so content is read correctly by screen readers.

In ACO

ACO includes the following 508-compliant accessibility features:

- The Accessibility menu option on the System menu lets you specify field color preferences and enable/disable save point notification, i.e., audible confirmation upon saving.

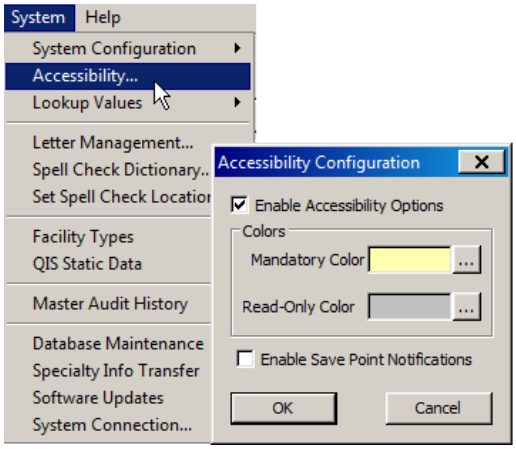


Figure 2: Accessibility Option and Accessibility Configuration window

- The main ACO menu includes options corresponding to all toolbar buttons. The menu command IDs are exactly the same as the toolbar command IDs.
- In Tree, List, and Detail views, you can press Tab to move forward through elements, Shift+Tab to move backward. To move from one view to another, press Ctrl+Tab or Ctrl+Shift+Tab.
- All fields on ACO screens are included in a tabbing sequence, making them keyboard-accessible.
- Keyboard shortcuts exist for all options, making ACO completely keyboard-accessible.
- All error messages are accessible to screen readers.

Acceptable Date Range in ASPEN

ASPEN does not allow dates outside of the range January 1, 1890 to December 31, 2050. You will be notified of an invalid date that is outside this range when it is entered in a field or grid, or on upload to national. A message will indicate the acceptable date range and you cannot save or upload until a valid date is entered.

ACO Procedures

ASPEN Central Office includes full support for Federal certification operations. SAs can enter and maintain certification data and transmit it to national. State licensure records are also accommodated but not uploaded. Different categories of surveys can be performed at the same time as one integrated survey. For writing citations, ACO includes a word processor that also offers instant access to the text of and interpretive guidelines for the relevant regulations. An extensive reporting capability aids review and analysis of all processes.

ASPEN Regional Office (ARO) is the counterpart to ACO for CMS Regional Offices (ROs) and CMS Central Office (CO). ARO and ACO both fully support the information-based administration of health care providers. To facilitate data entry, ARO and ACO both provide real-time access to the same databases. This enables SA and RO personnel to enter the information for which they are each responsible whenever they are ready. The information is seamlessly integrated into the databases. ARO gives an RO full access to all the state databases under its jurisdiction, and read-only access to state databases outside its assigned region. ACO allows a state to access only its own databases.

Many functions are virtually the same in ARO and ACO, for example, the creation and maintenance of provider records. Other functions differ between ARO and ACO; for example, there are different mechanisms for assigning survey team members. In some cases, data entry screens are identical for functions in ARO and ACO, but different fields are enabled or disabled depending on the information the RO or State is responsible for providing.

Starting ACO/ARO

Users are authenticated in ACO and ARO during the login process.

Login

When starting ACO/ARO, a login dialog appears and users are required to enter either their Windows User Name and Password or PIN. The Windows user name will be provided by ASPEN and is read-only.

Once you are logged in, your permissions as defined in ASPEN Central Office (ACO) control access to features in ACO.

To start ACO/ARO:

1. Insert your PIV card if using one.
2. From the **Start** menu on the Windows Desktop, select **Programs**, then locate **ASPEN Central Office/ASPEN Regional Office** and click **ACO/ARO**.

   -or-

   Double-click the **ACO/ARO** icon on your desktop.
3. Click **OK** in the startup warning message to continue.
4. On the **Login** screen:

   For State users, the default Login window requests a User Name and Password. For Regional and Central Office users, the default Login window requests a PIN. Both State and RO/CO users can change the window to log in using either method.

   SA users:

   ➥ Enter your **Password**.

   User Name defaults to the name of the currently logged-in Windows user and is read only.

   ➥ To log in with a PIV card rather than your Windows ID, select the Use PIV button and enter your PIN.

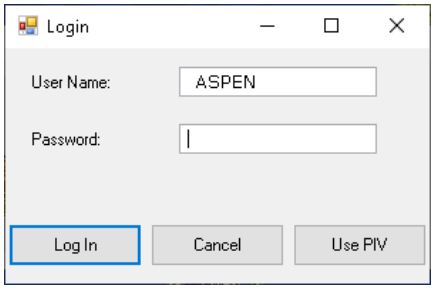


Figure 3: Login - Using Name/Password

CMS RO, CO users:

➥ Enter your **PIN**.

➥ To log in using your Windows ID rather than your PIV card, select the Use P/W button and enter your Password.

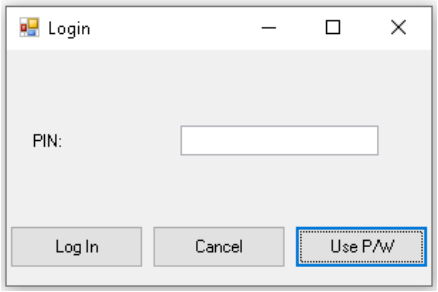


Figure 4: Login - Using PIV card

5 Click **Log In**.

You will receive a message if Windows cannot validate the login.

Check with your ASPEN administrator if you have any login issues. When login is successful, the ASPEN Central Office/ASPEN Regional Office application opens.

ACO Explorer

ACO Explorer, the main application window, provides quick access to information about providers, certification kits, and surveys. Each component of the window offers a different level of access.

Tree view

The left pane of ACO Explorer contains an information tree. It organizes the records in ACO in the conventional Windows tree format. The five tabs in the Tree view (Alpha, Type, Cert/Survey, Enforcement, and Directory) focus on various aspects in the certification tracking process. You can click the plus sign (+) to expand and collapse tree nodes as needed. The plus sign (+) still appears if there is no data associated with a particular node, however it disappears after it is clicked.

➥ Click the plus sign (+) to expand a node.

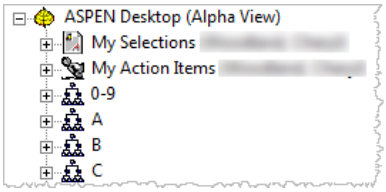


Figure 5: Collapsed nodes

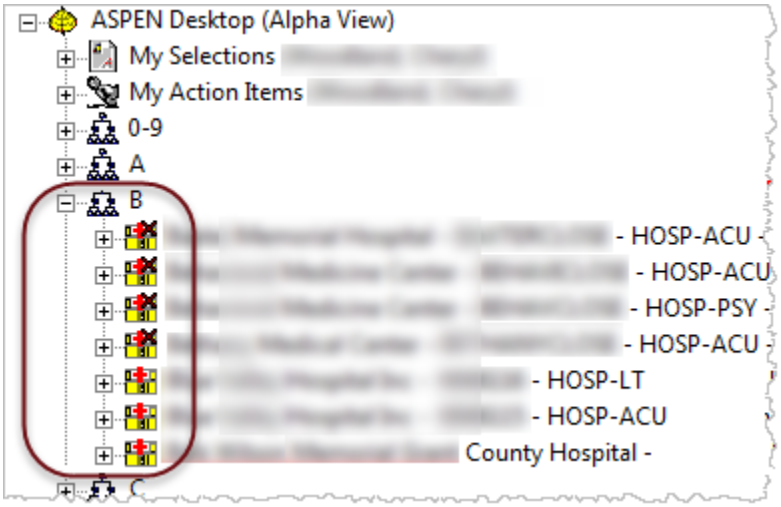


Figure 6: Expanded node

➥ Right-click an item for a menu of options.

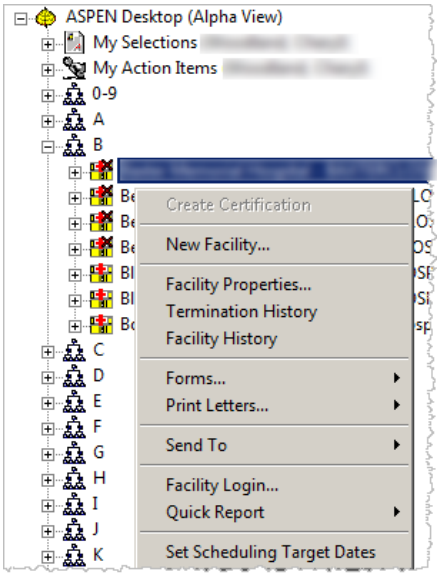


Figure 7: Right-click menu

Alpha tab

The Alpha tab provides access to a variety of information related to providers, certification kits, surveys, etc. You can expand the various nodes in the tree to view the information. The active My Selections filter affects what appears in this list.

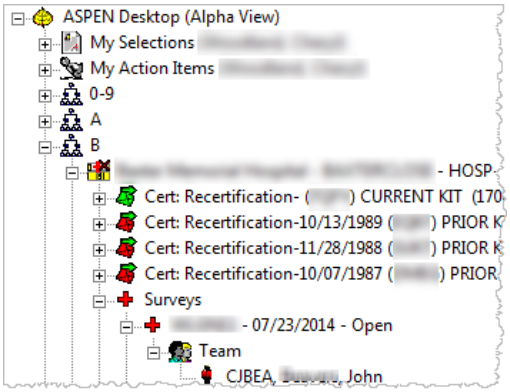


Figure 8: Alpha tab tree view

My Selections - You can customize My Selections so that ACO lists only the records that directly concern you.

My Action Items - Click this node to display a list of action items for the currently logged-on user (usually you) in List view to the right. You can customize the display of action items.

Providers (alpha nodes) - Lists providers alphabetically. Click the plus sign (+) for a letter to display a list of providers beginning with that letter. Then click the plus sign (+) next to a provider to display a list of certification kits for the provider.

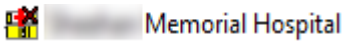
Individual providers expand to show nodes with facility information including Surveys, Administration, Ownership, Beds, Affiliations, Services, and Attachments. For Nursing Homes only, the Resident MDS viewer is available.

Surveyors - An alphabetical list of surveyor names. Expand a name to see Survey History for that surveyor. You can right-click the surveys to view the Citation Manager and print forms.

Regulations- An alphabetical list of regulation sets. Expand a regulation set to see the tags in that regulation set.

Internet - Merges the List and Detail view panes into a single pane for accessing the internet.

Recycle - An alphabetical list of facilities with associated surveys that have been sent to the Recycler. If a facility was recycled, all associated surveys appear under the facility in the Recycle node; the facility and surveys no longer appear in Tree or List view. If one or more surveys were recycled, but not the facility, only the recycled surveys appear under the facility in the Recycle node; the surveys no longer appear in Tree and List views, but the facility remains in Tree and List views. With the correct security rights, surveys and facilities can either be restored or permanently deleted from this node.

An "X" superimposed on an icon with a gray label indicates a terminated provider. 

If accessibility options are enabled (**System** | **Accessibility**), the label will be black, not gray.

More ...

Procedure: "Configure My Selections" on page 280
Procedure: "Action Items" on page 285

Type tab

The Type tree lists all provider types. Click the plus sign (+) for a provider type to display an alphabetical list of providers for that type. Individual provider nodes expand to display a list of certification kits, as well as nodes with facility information including Surveys, Administration, Ownership, Beds, Affiliations, Services, and Attachments. For Nursing Homes only, the Resident MDS viewer is available. The active My Selections filters affect what appears in this list.

Right-click any item for a menu of options.

It also includes Surveyors, Regulations, Internet, and Recycle nodes.

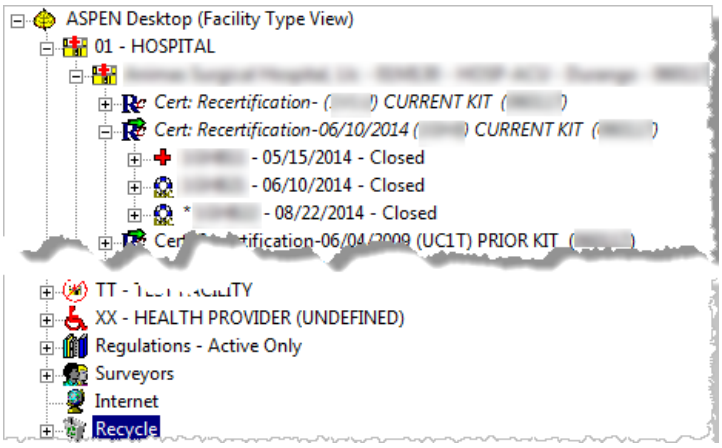


Figure 9: Type tab tree view

The Regulations, Surveyors, Internet, and Recycle nodes are described in the "Alpha tab" section.

More ...

Procedure: "Alpha tab" on page 33

Cert/Survey tab

The Cert/Survey tree lists prior and current certification kits for each facility, and provides access to a variety of information related to certification kits and surveys. The active My Selections filters affect what is displayed in this list.

Right-click any item for a menu of options.

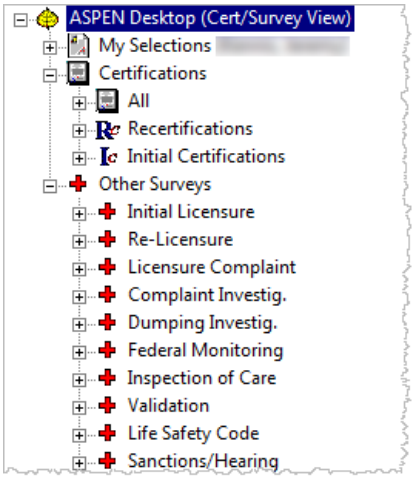


Figure 10: Cert/Survey tab tree view

Certifications - Lists certification kits alphabetically by provider within each certification type node (All, Recertification, and Initial). You can expand the certification kit nodes to view associated surveys. Expand an individual survey to view cited deficiencies and survey team members assigned to the survey.

Other Surveys node - Lists surveys not associated with either an initial or recertification kit. Surveys are listed alphabetically according to their survey event ID within each survey type node. You can expand an individual survey to view cited deficiencies and survey team members assigned to the survey.

Enforcement tab

The Enforcement tab provides access to the ASPEN Enforcement Manager (AEM) application, which is configured as an additional view in ACO/ARO. The Enforcement tree provides access to individual ASPEN enforcement cases sorted alphabetically by provider. The Enforcement tree also contains My Cases, Special Cases, My Action Items, and Case Workers nodes, which give you instant access to details regarding cases and surveys without having to open individual cases. The active My Selections filters affect what is displayed in this list.

Right-click any item for a menu of options.

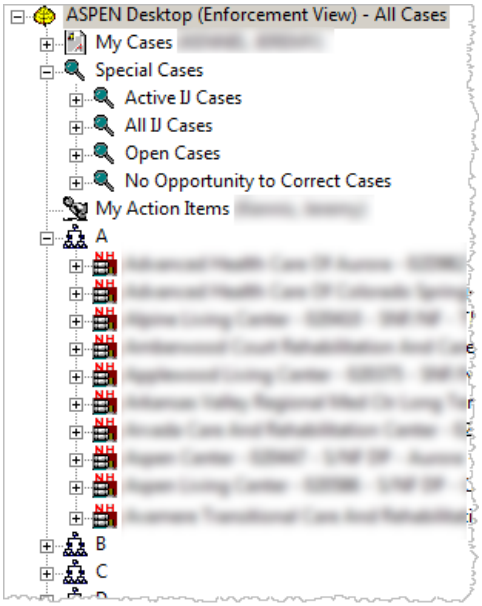


Figure 11: Enforcement tab tree view

My Cases - Lists enforcement cases assigned to you as a case worker, sorted by the associated survey exit date. You can expand the enforcement case to view associated surveys. Expand an individual survey to view cited deficiencies and survey team members assigned to the survey.

Special Cases - Lists enforcement cases sorted by category type.

- Active IJ Cases - Cases with a current Immediate Jeopardy (IJ) situation
- All IJ Cases - Cases with IJ situations having either a current or removed status
- Open Cases - All open enforcement cases
- No Opportunity to Correct Cases - Cases with a Beginning Case Type (Federal) of No Opportunity to Correct (NH cases only)

You can expand the Special Cases nodes to view enforcement cases in each category. Expand an individual case to view associated attachments and surveys. You can then expand an individual survey to view cited deficiencies and survey team members assigned to the survey.

Providers (alpha nodes) - List of providers with enforcement cases sorted alphabetically by facility name. You can expand a provider to view a list of associated enforcement cases and their current status. Expand an individual case to view associated surveys and attachments.

Case Workers node - Lists all case workers, both state and Federal, who have been assigned to an enforcement case.

More ...

For detailed AEM information and procedures:

Refer to the latest version of the *ASPEN Enforcement Manager Procedures Guide*, which is posted on the QTSO website at https://qtso.cms.gov.

Directory tab

The Directory tree provides access to personnel records in ASPEN grouped by role/responsibility type. The active My Selections filters do not affect what is displayed in this list.

Right-click any item for a menu of options.

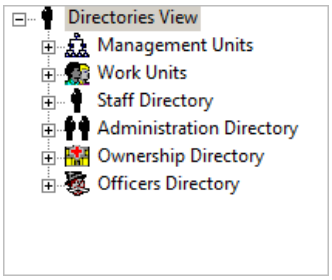


Figure 12: Directory tab tree view

Management Units - Lists available management units, which you can expand to view the associated work units. Expand individual work units to view the associated staff members and a list of surveys they have been assigned to.

Work Units - Lists available work units, which you can expand to view associated personnel. Expand individual staff member nodes to view a list of their assigned surveys.

Staff Directory - Lists all staff members in the ASPEN database. Expand individual staff member nodes to view a list of surveys they have been assigned to.

Administration Directory - Lists facility administrators. You can expand an administrator node to view providers they are affiliated with, and expand the Survey History node to view surveys associated with the selected administrator.

Ownership Directory - Lists owners of providers in alphabetical order. You can expand an owner node to view associated providers, current and former officers of the ownership company, and a list of associated surveys.

Officers Directory - Lists officers of ownership companies with their associated system ID.

More ...

Procedure: "Management and Work Units" on page 64
Procedure: "Staff Directory" on page 70
Procedure: "Enter Administration Information" on page 50
Procedure: "Enter Ownership Information" on page 53

List view

When you select a node in Tree view, List view in the right pane of ACO Explorer lists the items you would see if you expanded the node in Tree view. For example, if you click a provider in the tree, List view shows all surveys for that provider.

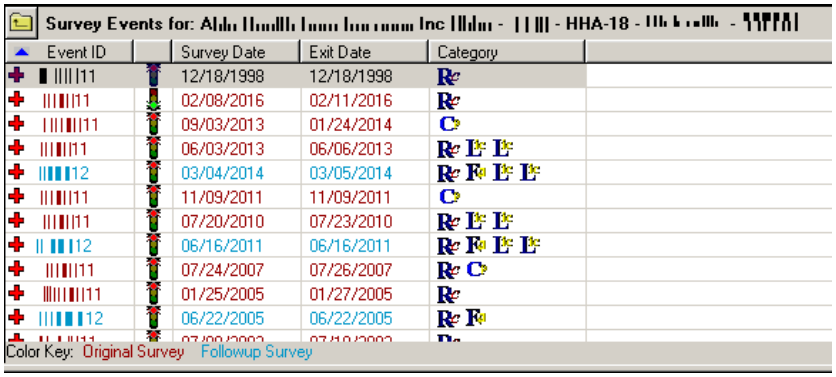


Figure 13: List view

In addition to providing a line-item summary of record elements, List view offers a powerful sorting capability. Click a column heading in List view to sort by that column. Click again to reverse the sort.

You can right-click items in List view to see menu options. The options vary according to the item selected.

Detail view

When you click an item in List view, Detail view in the lower right pane of ACO Explorer lists details about that item. For example, if you click a survey in List view, Detail view displays its properties.

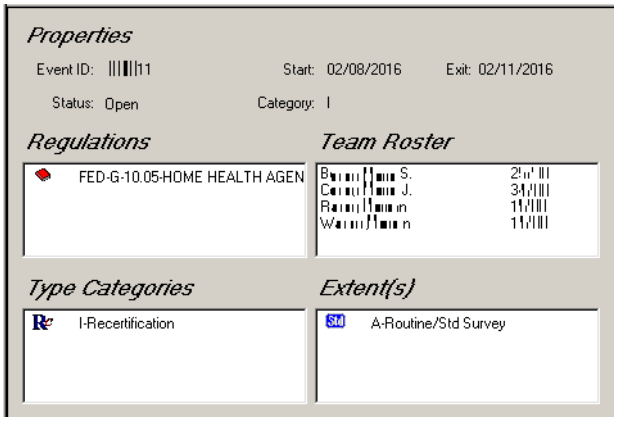


Figure 14: Detail view

When text is displayed in Detail view, you can copy all or part of the text to the Clipboard.

To copy text in Detail view to the clipboard:

1. To display text in Detail view, select an item in List view with associated text. For example, select a citation in List view to display citation text in Detail view.

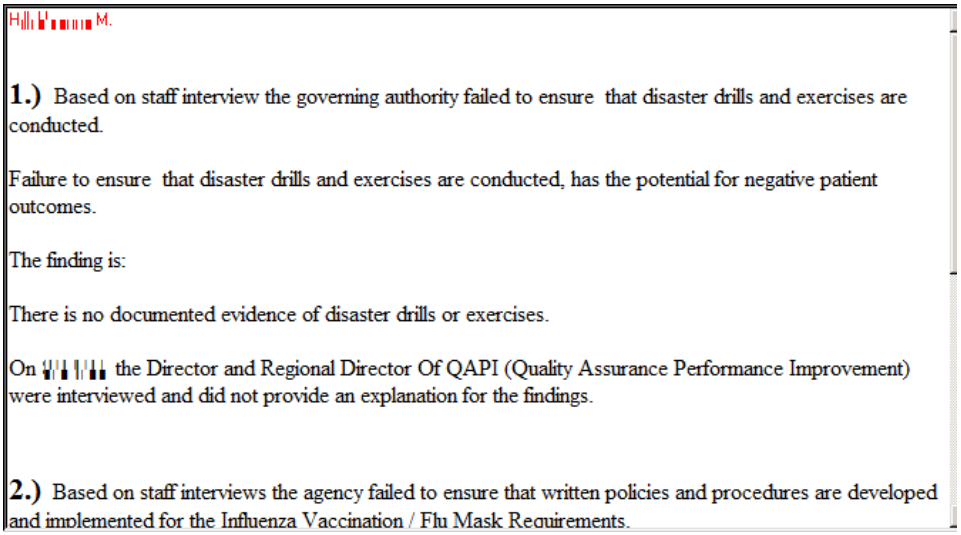


Figure 15: Detail view with citation text

2. Highlight the text you want to copy.
3. Use **Ctrl+C** to copy the text.

Provider Information in ASPEN

ASPEN Central Office lets you build a comprehensive record for each provider. You must add a provider to ASPEN before you can create surveys or certification kits for it. You can include identifying and descriptive information about the provider, buildings, agency associations, administration, ownership, etc.

Note: The terms “provider” and “facility” are used as synonyms in this guide.

Provider Records

A record must exist in ASPEN for a provider before you can create certification kits, surveys, and complaint/incident intakes for that provider. The window specifying facility properties has two possible titles. You use the Define New Facility window to add provider records to ASPEN. When you modify an existing provider record, i.e., update facility properties, the window title is <FacName> Definition where FacName is the name of the provider. Since the <FacName> Definition window is commonly referred to as Facility Properties (the name of the right-click option used to access it), it is often called the Facility Properties window in this procedures guide.

The Define New Facility/Facility Properties window comprises eight tabs that let you build a complete provider record:

Facility Definition

Procedure: “Enter Facility Definition Information” on page 42

Addresses

Procedure: “Find Address Elements by Zip Code” on page 45

Buildings/Wings

Procedure: “Enter Buildings/Wings Information” on page 47

Associations

Procedure: “Specify Provider Associations” on page 49

Administration

Procedure: “Enter Administration Information” on page 50

Ownership

Procedure: “Enter Ownership Information” on page 53

Licensing

Procedure: “Enter Licensing Information” on page 59

Other

Procedure: “Enter Miscellaneous Information” on page 60

Enter Facility Definition Information

The Facility Definition tab in the Define New Facility/Facility Properties window contains the basic identification, description, and contact information for a provider.

To add facility definition information:

1. Click **Facility** on the **ACO Explorer** toolbar, or from the **File** menu, select **New Facility**.

   The Define New Facility window opens with the Facility Definition tab selected by default.

2. On the **Facility Definition** tab, as applicable, enter the **Facility ID**, **CMS Certification Number** (CCN), **Medicaid ID**, **Employer ID**, and **State Key** for the provider.

3. Select the applicable provider **Type**.

   Any licensure-only provider categories your state has defined are included in the list for selection.

4. Select the **Current Operating Status**, and enter the **Opened** date and **Closed On** date (if applicable) for the provider.

   When a closed date is specified, an **X** appears on the provider's icon in the Tree view and the label is gray. If accessibility options are enabled (in System | Accessibility), the label will not change to gray.

   Note: ARO users can choose 10-Closed-Owner to close providers without a certification kit or with a certification kit that was never successfully uploaded.

5. Click **Update NPI** to enter the provider's assigned National Provider Identifier (NPI).

   The Update NPI button is disabled until you enter a CCN for the provider. The button is always disabled for provider types that do not require an NPI.

6. In the **TITLE** section, if applicable, select the checkbox(es) indicating the payor source(s).

7. Enter the working **Name** of the provider.

   The working name appears in the Tree and List views, certification kit and survey forms, reports, and letters that you create in ACO for the provider. ACO displays the name in upper case (all capital letters) in this window, but displays it in mixed case (initial capital letters) in lists, reports, and letters.

8. For deemable provider types only, **Deemed?** is automatically set and read-only.

9 Enter the **Legal Name** of the provider.

When you first create a provider record, Legal Name is populated from the Name field. You can change that as appropriate. No matter what case(s) you use here, ACO displays the legal name in mixed case (initial capital letters) in lists, reports, and letters.

When it is necessary to include the legal name of the provider in a letter, the Facility Legal Name macro that references the legal name can be inserted in the applicable letter template.

10 Enter the **Address** for the provider; use **Address 2** for a second address line.

Note: When you create a new provider record, if the physical address is the primary address, you do not need to go to the Address tab.

11 Click **Find** to open the **Zip Code Search** window so you can locate and enter the **Zip**, **City**, and **County** for the provider.

When you select the applicable match from your search, ACO fills in the Zip, City, and County fields for you. If the Zip Code covers more than one City or County, ACO provides a drop-down list that you can select from. State is automatically entered and is read-only.

12 Enter **Phone** and **Fax** numbers for the provider.

13 If a default value is not entered for **OSCAR State Region**, select the correct value.

14 In the **Contact Information** section, if applicable, enter the name of the **Emerg**. **Contact**, and the emergency contact's **Phone number**, **Extension**, and **E-Mail address**.

15 Enter the name of the **Assessment Contact** if applicable.

16 Select another tab, or click **OK** to save the information and exit.

To add notes to the provider record:

➥ Click **Notes...** at the bottom of the screen.

Users with read-only rights to the Facility Properties window can view the notes.

To modify facility definition information:

1 Locate the facility in the **Tree** view, right-click it, and select **Facility Properties**.

2 On the **Facility Definition** tab, make changes as needed.

More ...

Screen: "Facility Definition tab" on page 302
Procedure: "Enter NPIs for a Provider" (below)
Procedure: "Find Address Elements by Zip Code" on page 45
Procedure: "Change Facility Status (RO)" on page 233

Enter NPIs for a Provider

ASPEN requires you to enter National Provider Identifiers (NPIs) for the following provider types:

- Medicaid-only Hospital–HOSP-MSH (01U), HOSP-MCH (01V), HOSP-MCP (01W), HOSP-MPH (01X), HOSP-MRH (01Y), HOSP-MLH (01Z)
- NF (024)
- Medicaid Only HHA (052)
- PRTF (061)
- XRAY (071)
- ICF/IID (111)
- ASC (151)

A single provider can have multiple NPIs and multiple providers can share a single NPI.

To obtain an NPI, the provider submits an application to the National Plan and Provider Enumeration System (NPPES). Once an NPI is assigned, it remains permanently with the provider regardless of job or location changes.

To add an NPI:

1. On the **Facility Definition** tab for a Medicaid-only provider, click **Update NPI** to open the **NPI Information** window.

   The number in parentheses on the button indicates how many NPIs are currently entered in ASPEN for the provider.

   Note: The Update NPI button is disabled until you enter a CCN for the provider. Except for XRAY and ASC, the button is always disabled for providers that are not Medicaid-only.

2. Click **Add NPI** to open the **Add a New NPI** window.
3. Enter an assigned **NPI Number**, **Effective Date** (today by default), and the **Deactivated On** date, if applicable.
4. Click **OK** to return to the **NPI Information** window.

   The NPI is listed in the grid. It is designated the primary NPI by default; there is a Y in the Primary column.

5. To change the primary NPI, select another listed NPI and click **Primary**.
6. Click **Return to Facility Page** to save the information and return to the **Facility Definition** tab.

   The primary NPI appears in the NPI field and is read-only. If you enter an invalid NPI, you will receive a message.

To delete an NPI:

1. In the **NPI Information** window, select the NPI you want to delete and click **Remove Selected NPI**.

   You will be prevented from removing the primary NPI.

2. Click **Yes** in the confirmation prompt.

Note: Two NPI reports are available from the Reports menu (use path NPI Reports | NPI By Provider, NPI By Number). ASPEN accesses the NPI table on the national database and prints NPIs for selected facility types within a given NPI Effective date range. Basic identifying information such as provider name, city, and facility type is included. The By Provider report is sorted by CCN (Provider #). The By Number report is in order by NPI.

Screen: "NPI Information window" on page 303

Find Address Elements by Zip Code

You can open the Zip Code Search window from the Facility Definition tab and search the ASPEN provider database by Zip Code, City, or County. When you select a match from the Search Results list, ACO populates the Zip, City, and County fields on the Facility Definition tab.

To find an address element:

1. On the **Facility Definition** tab, click **Find** in the **Description** section to open the **Zip Code Search** window.

2. In the **Text** field, enter all or part of the address element you want to search for.

   If the search text you enter does not appear at the start of the number or name, type an asterisk (*) before the text, e.g., *alw.

3. Select the address element **Type** you want to search in the ASPEN provider database: **Zip Code**, **City**, or **County**.

   You can perform only one type of search at a time.

   Note: The search is not restricted to your state, so be sure the item you select applies to your state.

   ---

4. Click **Find Now**.

   The address elements that match the search criteria appear in the Search Results section.

5 In the **Search Results** list:

➥ Select one of the entries and click **Select**.

-or-

➥ Double-click an entry in the list.

ACO enters the associated Zip, City, and County in the Description section on the Facility Definition tab.

Enter Additional Mailing Addresses

Use the Addresses tab to enter additional mailing addresses, or to change the designated primary address. The Addresses tab lists the address entered on the Facility Definition tab as the physical address of the provider and designates it as primary. Additional addresses are all given an Address Type of 02 Mailing.

To add a mailing address:

1 Click the **Addresses** tab in the **Facility Properties** window.

2 Click **Add** to open the **Mailing Address** window.

3 Enter the **Care Of** name, the street **Address** and **Address 2** (for a second address line), **City**, and **Zip**.

State defaults to the current state. You can change it if needed.

Address (Addr) Type defaults to 02 Mailing. You cannot change it.

4 Click **OK** to save the information and return to the **Addresses** tab.

The additional mailing address is listed.

5 To designate the address you added as **Primary**, select it and click **Make Primary**.

6 Select another tab, or click **OK** to save the information and exit.

To modify a mailing address:

1 On the **Addresses** tab, select the address you want to modify and click **Modify**.

2 In the **Mailing Address** window, make the necessary changes.

You can only modify the Care Of information for the physical address here; other changes must be made on the Facility Definition tab.

3 Click **OK** to save the information and return to the **Addresses** tab.

To delete a mailing address:

1. On the **Addresses** tab, select the address you want to delete and click **Delete**.
2. Click **Yes** in the confirmation prompt.

   If you delete the existing primary address, a message reminds you to select another primary mailing address.

More ...

Screen: "Addresses tab" on page 305
Screen: "Mailing Address window" on page 305

Enter Buildings/Wings Information

Entering information in ASPEN about buildings/wings is essential for providers that receive Life Safety Code (LSC) surveys: NHs, ICFs/IID, ASCs, ESRDs, Hospices, and some Hospitals. ASPEN requires that every LSC deficiency be linked to a specific building. Updates to building information are uploaded to national even when LSC surveys are not performed for a certification.

Note: Although the Buildings/Wings tab is enabled for all provider types, you should add building/wing records only for those types that receive LSC surveys.

To add a building/wing:

1. In the **Define New Facility/ Facility Properties** window, click the **Buildings/Wings** tab.

   -or-

   Click **Buildings/Wings** on the **Certification & Surveys** tab of the **Certification** window to open the **Buildings/Wings** window.

   This window displays the information from the Buildings/Wings tab.
2. Click **New** to open the **Define New Building** window.
3. Enter a two-character **Building/Wing ID**.

   Note: You specify the ID when creating the building record. After that, it is read-only.
4. Enter the **Effective** date for the building, i.e., the date the building became part of the facility.

   Where applicable, the Effective date defaults to the original participation date for the provider.

5 If the building is closed, enter a **Closed On** date.

Closed buildings are not brought forward into new surveys.

6 Enter the **Plan Approval** date for the building, i.e., the date the building plan was approved.

7 Enter the **Name/Reference** of the building.

8 Select the applicable CMS Type (K3).

9 If the **CMS Type** is **A** or **B**, also enter the number of **Building Stories**.

10 Select the **Construction Type** and describe the **Location** of the building.

11 Select the **LSC Form Indicator (K7)**.

This specifies the LSC regulation set that applies to the building and that is displayed in the Survey Properties window.

12 If applicable, select the **Licensed Only** checkbox.

This activates the Click here for State Reg Set Required for Lic Only Bldg button.

13 Select **Click here for State Reg Set ...** and choose the appropriate regulation set for the building.

14 **ICF/IID -** Select the **ICF/IID Indicator**.

15 Specify whether the building has separate hazardous areas–**Haz. Area Separate (K29)**.

If the building has no hazardous areas, select 3 - Not Applicable.

16 As applicable, enter the **FSES Date** (Fire Safety Equivalency System inspection date) and the date the building was **Constructed**.

17 Select the appropriate options for the **Is Sprinkler Required? (K56)** and **Sprinkler Status (K180)**.

18 Click **OK**.

The building is added to the grid on the Buildings/Wings tab.

19 Select another tab, or click **OK** to save the information and exit.

To modify a building/wing:

1 On the **Building/Wings** tab or in the **Building/Wings** window (opened from the certification kit), select a building and click **Modify**.

2 In the **Edit Building** window, make your changes and click **OK**.

You cannot change K7. If the Federal regulation set changes, you must delete the current building and create a new building record.

To delete a building/wing:

1. On the **Building/Wings** tab or in the **Building/Wings** window (opened from the certification kit), select a building and click **Delete**.

   You cannot delete a building that is linked to a citation.

   A message asks if you want to delete the building. If it is included in one or more certification kits for the provider, the message indicates that the building will be removed from all of those kits.

2. Click **Yes** in the confirmation message.

   When you delete a building, the building numbers are re-sequenced. For example, if you remove building #3 of 6 buildings, the former building 6 will now be 5, 5 will be 4, and so on.

More ...

Screen: "Buildings/Wings tab" on page 306
Screen: "Define New Building window" on page 307

Specify Provider Associations

The Associations tab can optionally be used to assign State Agency units, accreditations, and congressional representatives to a provider.

For providers that have deemed status, Accreditation Organization (AO) and deeming information is entered on the Deemed/2802 tab. L10 and Deemed? on the Transmittal (CMS-1539) tab of the provider certification kit are updated accordingly.

If your state wishes to track information for providers that are accredited but do not have deemed status, you can enter accreditation information here L10 and Deemed? on the Transmittal (CMS-1539) tab will not be populated.

To specify associations for a provider:

1. In the **Define New Facility/Facility Properties** window, click the **Associations** tab.
2. In the **Agency Associations** section, select the **Management Unit**, **Supervisory/Work Unit**, and **LSC/DSI Unit** assigned to the provider.
3. In the **External Associations** section, select the **Accreditation**(**s**) for the provider.

   You can select a maximum of two accreditations.

4. Select the congressional **House District** and **Senate District** representatives for the provider.
5. Select another tab, or click **OK** to save the information and exit.

More ...

Screen: "Associations tab" on page 308
Procedure: “View and Enter AO Information” on page 132
Screen: "CMS-1539 - Part I" on page 354

Enter Administration Information

You can use the Administration tab in Facility Properties, or the Administration window accessed from Tree view, to:

- Create administrator records
- Assign administrators to providers
- Change administrator assignment information
- Remove assigned administrators

Open the Administration tab/window

To maintain administrative information, you first open the Administration tab/window.

To open the Administration tab/window:

➥ In the **Define New Facility/Facility Properties** window, click the **Administration** tab.

-or-

➥ From a provider in the **Tree** view, right-click the **Administration** node and select **Assign Administrators** to open the **Administration** window.

More ...

Screen: "Administration tab/window" on page 309

Add Administrator Records

You can add records to the Administrator directory in ASPEN from the Administration tab/window.

To add an administrator to the Administrator Directory:

1. Open the **Administrative** tab/window.
2. Under the **Administrator Directory Search** section, click **Create Administrator**.

   The **Enter Administrator Information** window opens.

   The administrator is automatically assigned an ID number by ACO. The ID number, which is for the use of site system administrators, appears in the System ID field and cannot be changed.

   ➥ To see the System ID, open the Update Administrator Information window from the Directory tab.
3. In the **Administrator Information** section, enter a Salutation (Sal) such as MR or MS, the First name, Middle Initial (M.I.), and Last name of the administrator.

4 Enter the administrator's street **Address**, **City**, **State** (select from drop-down list), **Zip** code, **Phone Number**, and **Fax Number**.

5 Select a **Title** from the drop-down list.

6 Select the **Default Administration Type** from the drop-down list.

7 Enter the administrator's **Email Address**.

8 In the **License** section, click **Licenses**.

The Licenses window opens. Add, modify, or delete licenses and designate a primary license as needed.

9 Click **OK** to close the Licenses window and return to the Enter Administrator Information window.

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

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

11 Click **Yes** to the confirmation message to assign the administrator to the facility.

The Administrator Information window opens.

12 Enter the **Started** and **Ended** dates for the administrator, select the appropriate **Administrator Type**, and click **OK**.

The administrator is now listed in the Administrators Linked to this Facility section on the Administration tab/window.

More ...

Procedure: "To open the Administration tab/window:" on page 50
Screen: "Administration tab/window" on page 309
Screen: "Enter Administrator Information window" on page 310
Screen: "Administrator Information" on page 310

Assign Administrators

To assign administrators, you search the Administrator directory and link them to the provider. You can designate one primary administrator for each provider.

To assign an administrator:

1 Open the **Administration** tab/window.

2 Search in the **Administration Directory** for the administrator you want to assign: enter all or part of the administrator's last name in the **Name** field and click **Find Now**.

Administrators who match the search criteria are listed.

3 Select the administrator you want to assign to the provider and choose the **Click Here to Assign** button.

-or-

Double-click the applicable administrator.

4 In the **Administrator Information** window that appears, enter the **Started** and **Ended** dates for the administrator, select the appropriate **Administrator Type**, and click **OK**.

The administrator is now listed in the Administrators Linked to this Facility section on the Administration tab/window.

For Transplant Hospitals, the administrator assigned as 06 Hospital Representative here is carried forward to the Hospital Representative field on the Facility Definition tab and also the Representative field on the Transplant Programs tab of associated certification kits.

Note: If the Ended date is prior to today's date, the administrator will be listed in Tree view under the Former Administration node for the provider.

5 To designate an administrator as the primary administrator for the provider, select the administrator and click **Make Primary**.

The primary administrator is indicated by an asterisk. The first administrator assigned is automatically designated the primary administrator.

Note: Admin macros use the primary administrator when form letters are generated.

6 Select another tab, or click **OK** to save the information and exit.

To modify administrator assignment information:

1 In the **Administrators Linked to this Facility** section on the **Administration** tab/window, select the applicable administrator and click **Modify**.

2 In the **Administrator Information** window, make the necessary modifications and click **OK**.

To delete an assigned administrator:

1. In the **Administrators Linked to this Facility** section on the **Administration** tab/window, select the applicable administrator.

   WARNING! No confirmation message appears, so be sure you want to remove the selected administrator.

2. Click **Remove** to delete the administrator from the list of **Administrators Linked to this Facility**.

   If you remove the primary administrator, a reminder to select another primary administrator appears.

More ...

Procedure: "To open the Administration tab/window:" on page 50
Screen: "Administration tab/window" on page 309
Screen: "Administrator Information" on page 310

Enter Ownership Information

You can use the **Ownership** tab in Facility Properties, or the **Owners** window accessed from Tree view, to:

- Add new and update current owner companies
- Assign owner companies to providers
- Modify ownership information
- Remove assigned owner companies

Open the Ownership tab/Owners window

To maintain ownership information, you first open the **Ownership** tab/**Owners** window.

To open the Ownership tab/Owners window.

➥ In the **Define New Facility/Facility Properties** window, click the **Ownership** tab.

-or-

➥ Expand a provider in the **Tree** view, right-click the **Ownership** node, and select **Assign Companies** to open the **Owners** window.

More ...

Screen: "Ownership tab/Owners window" on page 311

Add Owner Companies

You can add records to the owner directory in ASPEN from the Ownership tab/Owners window.

To add an owner company to ASPEN:

1. Open the **Ownership** tab/**Owners** window.
2. Under the **Owner Directory Search** section, click **Create Owner**.

   The **Enter Owner Company Information** window opens.

   The company is automatically assigned a system ID number by ACO when you click OK. The ID number, which is for site system administrators' use, appears in the Company System ID field and cannot be changed. To see the number, open the Update Owner Company Information window from the Directory tab.
3. Enter the **Company Name** and the **DBA** (Doing Business As) name for the company.
4. Enter the company's current **Tax ID** number.

   A message will be displayed when you click OK if you do not enter the Tax ID.
5. In the Contact Information section, enter the company's Mailing Address (**Street Address**, **City**, **State**–select from the drop-down list, **Zip**), **Phone** and **Fax** numbers, **E-mail** address, and **URL** (if the company has a web site).
6. If the company is a child (subsidiary) company, select the parent company in the Select Parent Company section. To display the parent companies in the ACO database, click the **Find** button (binoculars) in the Select Parent Company section.

   The Find Owner Company window appears.

   - In the Search Text field, enter the company name or the company tax ID number.

     You can enter part of the name or tax ID number. If the text you enter does not appear at the start of the name or ID, type an asterisk (*) before the text.
   - Select **Search By Company Name** or **Search By Company Tax ID** as appropriate.

     You can perform only one type of search at a time.
   - Click **Find Now**.

     The companies that match the search criteria appear in the Search Results section of the window.

- To choose the company in the Search Results list, highlight the appropriate company and click **Select**.

  -or-

  Double-click the company.

  The Enter Owner Company Information window reappears with the Parent ID and Parent Name fields filled in.

7 Select the **Parent Type**.

8 Click **OK**.

9 To assign the owner company to the facility, click **Yes** to the confirmation prompt.

10 In the **Owner Properties** window that appears, enter the requested information:

- Select the owner company's **Financial Category**, **Owner Of** category, and **Ownership Type** from the drop-down lists.

  Note: If the company is Owner of both the Building and Health Care Ops, two separate owner properties records must be created.

- Enter or select the **Start** and **End** dates of ownership.

  Do not enter an End date if this is the primary owner.

- Select the **Management Company** checkbox if applicable.
- Click **OK** to return to the Ownership tab/Owners window.

The owner company is now listed in the Owners Linked to this Facility section on the Administration tab.

More ...

Procedure: "Open the Ownership tab/Owners window" on page 53
Screen: "Ownership tab/Owners window" on page 311
Screen: "Enter Owner Company Information window" on page 312
Screen: "Owner Properties window" on page 314

Update Owner Companies

You can update all information about an owner company except the Company System ID. It is for site system administrators' use, and cannot be changed.

To update an owner company in ASPEN:

1 Click the **Directory** tab.

2 Expand the **Ownership Directory** node.

3 Locate the owner company you want to update, right-click it, and select **Update Owner Company**.

  The Update Owner Company Information window for the selected owner company appears.

4 To assign the Primary Owner Officer to the owner company, click the **Find** button in the **Owner Officers** section.

5 In the **Select/Enter Owner Officers** window, select

- **New** to create a new owner officer
- **Modify** to edit information for an existing owner officer
- **Delete** to remove an existing owner officer
- **Click Here To Select Officers** to select an existing individual

6 Select the individual to designate as the primary officer, and click **Primary**.

A red vest appears on the officer icon. If you select a former officer, a warning message appears.

7 Click **OK** to close the **Select/Enter Owner Officers** window.

8 Make any other modifications and click **OK**.

More ...

Procedure: "Add Owner Companies" on page 54
Screen: "Update Owner Company Information" on page 312
Screen: "Select/Enter Owner Officers window" on page 315

Assign Owner Companies

To assign owner companies, search the owner directory and link the owner companies to the provider. You can designate one primary owner company for each provider.

To assign an owner company:

1 Expand a provider in the tree view, right-click **Ownership**, and click **Assign Companies** to open the **Owners** window.

-or-

In the **Define New Facility**/**Facility Properties** window, click the **Ownership** tab

2 Search in the Owner Directory for the owner company you want to assign.

➥ Type all or part of the company name in the **Name** field and click **Find Now**.

Owner companies that match the search criteria are listed.

3 Select the owner company you want to assign to the provider and choose the **Click Here to Assign** button.

-or-

Double-click the applicable owner company.

4 In the **Owner Properties** window that appears, enter the requested information:

- Select the owner company's **Financial Category**, **Owner Of** category, and **Ownership Type** from the drop-down lists.

  Note: If the company is Owner Of both the Building and Health Care Ops, two separate owner properties records must be created.

- Enter or select the **Start** and **End** dates of ownership.

  Do not enter an End date if this is the primary owner.

- Select the **Management Company** checkbox if applicable.
- Click **OK** to return to the Ownership tab/Owners window.

  The owner company is now listed in the Owners Linked to this Facility section on the Ownership tab/Owners window.

5 To designate an owner company as the primary owner of the provider, select the owner company and click **Make Primary**.

The primary owner is indicated by an asterisk. The first owner company assigned is automatically designated the primary owner.

Note: The Facility Owner Name macro inserts the primary owner when form letters are generated.

6 Select another tab, or click **OK** to save the information and exit.

More ...

Procedure: "Open the Ownership tab/Owners window" on page 53
Screen: "Ownership tab/Owners window" on page 311
Screen: "Enter Owner Company Information window" on page 312
Screen: "Owner Properties window" on page 314

To modify ownership properties:

1 In the **Owners Linked to this Facility** section on the **Ownership** tab/**Owners** window, select the applicable owner and click **Modify**.

2 In the **Owner Properties** window, make the necessary modifications and click **OK**.

To delete an assigned owner company:

1. In the **Owners Linked to this Facility** section on the **Ownership** tab/**Owners** window, select the applicable owner company.

   WARNING! No confirmation message appears, so be sure you want to remove the selected owner.

2. Click **Remove** to delete the owner from the list of **Owners Linked to this Facility**.

   If you remove the primary owner company, a reminder to select another primary owner appears.

More ...

Procedure: "Open the Ownership tab/Owners window" on page 53
Screen: "Ownership tab/Owners window" on page 311
Screen: "Owner Properties window" on page 314

View Ownership Companies

On the Directory tab at the bottom of the tree view, you can view information about parent and child (subsidiary) ownership companies, as well as full company family trees.

To view parent owner companies:

1. Locate the owner in the tree view, and right-click it.
2. Click **Show Parent...** to display the **View Owner Company Information** window for the parent owner company linked to the selected facility.

   This window is read-only.

To view child (subsidiary) owner companies:

1. Locate the owner company in the tree view, and right-click it.
2. Click **Show Children...** to display the **Children Owner Companies** window, which displays a list of child (subsidiary) owner companies for the selected parent owner company.
3. In the **Children Owner Companies** window, click
   - **Details** to display the **View Owner Company Information** window for the selected owner company.
   - **Find in Tree** to highlight the selected company in the tree view.

To view the full family tree:

You can view the full family tree for an owner company. You can also view details for any of the related companies, locate a company in the Directory tree, and print the family tree.

1. Right-click the owner company.
2. Click **Full Family tree...** to display the **Full Family Tree** window for the owner company.

   This window lists both parent and child (subsidiary) owner companies, and their respective relationships to the selected facility.
3. In the **Full Family Tree** window, click
   - **Details** to display the **View Owner Company Information** window for the selected company.

     This window is a read only.
   - **Find in Explore Tree** to highlight the selected company in the Directory tree view.
   - **Find in Dialog Tree** to display a **Find** window, where you can type text and search for a specific company in the current family tree.
   - the **Expand**/**Collapse** toggle button to show or hide the ownership tree for the selected owner.
   - **Print Tree** to generate a printout of the expanded ownership tree.

Enter Licensing Information

The Licensing tab captures basic information about a provider's state-issued license whether the provider is licensure-only or both federally certified and state-licensed.

To enter license information:

1. In the **Define New Facility/Facility Properties** window, click the **Licensing** tab.

   The License Number is entered automatically by ACO from the License Number field on the Facility Definition tab.
2. Select the **License Type**.
3. Enter the **License Issue Date**, **License Effective From** date, and **License Effective To** date.
4. Select the **License Continuing?** box if the answer is **Yes**.
5. Select another tab, or click **OK** to save the information and exit.

More ...

Screen: "Licensing tab" on page 316

Enter Miscellaneous Information

Use the Other tab to enter optional miscellaneous information about a provider such as the geographic location, insurance expiration date, media contact, etc. Applicable fields vary according to provider type.

To enter miscellaneous information about a provider:

1. In the **Define New Facility/ Facility Properties** window, click the **Other** tab.
2. Enter information in applicable fields:
   - Latitude and Longitude - Latitude and longitude of facility location.
   - Insurance Expiration - Date the provider's insurance expires.
   - Surety Bond - Status of surety bond.
   - Fiscal Year End - Month in which provider's fiscal year ends. Use numbers, such as 02 for February.
   - Special Operating Hours? Indicates facility has special operating hours. Enter hours in the ASPEN word processor (referred to as "notepad"); click the Notes button at the bottom of the screen to open.
   - Bankrupt - Indicates provider is bankrupt.
   - Petition Date - Date of petition for bankruptcy.
   - End Date - Date of final bankruptcy court order.
   - Special Focus - Special Focus Facility (SFF) monitoring periods for the facility.
   - NATCEP Loss - Read-only. Yes or blank.
   - Last Day - Read-only. Last day of most recent NATCEP loss.
   - Last Day of Waiver - Read-only. Last day of waiver applied to NATCEP loss.
   - Restored Based on CHOW Date - Read-only. Date NATCEP was restored following a change of ownership (CHOW).
   - Media Contact - Name of media contact for facility.
   - Chain - Name of chain that provider is part of.
   - DOJ Contact - Name of DOJ contact for facility.
   - Intermediary/Carrier No. - Read-only. Name of provider's Medicare Administrative Contractor (MAC) from CMS-1539 (L31).
3. Select another tab, or click **OK** to save the information and exit.

More ...

Screen: "Other tab" on page 317

Bed Summaries

You can use ASPEN bed summaries to record the number of certified and licensed beds in a facility. This information, which is for reference only, appears in the Beds node below each facility name on the Alpha tab, along with the effective date. You can create, modify, and delete bed summaries from the Beds node or the CMS-1539 form.

You can also carry forward bed summary information that has not changed to a new bed summary with a new effective date.

To add a bed summary:

1. On the **Alpha** tab in Tree view, right-click the **Beds** node for the facility and select **New Bed Summary**.

   -or-

   On the **Transmittal (CMS-1539)** tab in the applicable certification kit, click the **ASPEN Beds** button.
2. In the Input Bed Detail Record Effective window, enter or select the **Effective Date** for the bed record.
3. Enter the number of certified beds in each category for the facility.

   ACO automatically totals the certified beds.
4. Enter the number of **Licensed** beds in the facility.
5. Click **Save and Exit**.

To delete a bed summary:

1. On the Alpha tab, expand the facility containing the bed summary you want to delete.
2. Expand the Beds node.
3. Right-click the bed summary you want to delete, and select **Delete Bed Summary** from the popup menu.
4. Click **Yes** in response to the confirmation prompt.

To carry forward a bed summary:

1. On the Alpha tab, expand the appropriate facility.
2. Expand the Beds node.
3. Right-click a bed summary, and select **Carry Forward** from the popup menu.

   The Carry Forward window appears.

4 Enter or select the **Carry Forward Effective Date**.

5 Click **OK**.

A bed summary with the specified effective date is added under the Beds node. All details are carried forward in the new summary.

More ...

Screen: "Input Bed Detail Record Effective window" on page 319

View Facility History

You can view changes that have been made to facility information and status.

To view a facility's history:

1 From the Alpha or Type page, locate and right-click the facility whose history you want to view.

2 Select **Facility History** from the popup menu.

The Facility History window opens.

More ...

Screen: "Facility History window" on page 318

Remove Providers

You can move one or more providers (and all associated surveys) to the Recycle node in the Tree view to remove them from your provider list in Tree and List view, and you can restore them later if you need to. If you are sure that you no longer need them, you can permanently delete the provider(s) and all associated surveys from the Recycle node.

When you attempt to recycle or delete a facility, ACO checks if any of the following are associated with the facility's provider number:

- Intakes
- Investigation (CSCHED) records
- Investigation uploaded to national
- Detail Upload to national

If any are found, the recycle/delete action is halted. This prevents:

- Intakes unassociated with a facility

  Existing intakes must first be removed or linked to a different facility.
- Transmitting of upload transactions that cannot be completed

Recycle a Provider

When you move a provider (and all associated surveys) to the Recycle node in the Tree view, it is removed from your provider list, but you can restore it later if necessary.

To move a provider to the Recycle node:

1. Click the **Alpha** or **Type** tab in **Tree** view and locate the provider.
2. Drag the provider to the **Recycle** button on the ACO toolbar.
3. Click **Yes** in the confirmation message.

   The provider and all associated surveys are moved from the provider list to the Recycle node in the Tree view.

   -or-

1. In **Tree** or **List** view, right-click a provider.

   TIP: In List view, you can select one or more providers.

2. Select **Send To** and then **Recycler**.
3. Click **Yes** in the confirmation message.

   The provider(s) and all associated surveys are moved from the provider list to the Recycle node in the Tree view.

Restore a Recycled Provider

If you need to access a provider that was moved to the Recycle node, you can restore it to the Tree view.

To restore a recycled provider:

1. Right-click the provider in the **Recycle** node.
2. Select **Restore**.
3. Click **Yes** in the confirmation message.

   The provider and all associated surveys are moved back to the provider list.

   -or-

1. Click the **Recycle** node to display recycled providers in **List** view.
2. Select one or more providers.
3. Right-click and select **Restore**.
4. Click **Yes** in the confirmation message.

   The provider(s) and all associated surveys are moved back to the provider list.

Delete a Provider

If you are sure that you no longer need a provider, you can permanently delete it from the Recycle node. Permanently deleting a provider and all associated surveys saves disk space.

Note: Deleting a provider and all its associated surveys is permanent. You cannot restore a provider and the associated surveys after you delete them.

To permanently delete a provider:

1. Right-click the provider in the **Recycle** node and select **Delete**.
2. Click **Yes** in the confirmation message.
3. If password security is enabled, enter the password and click **OK**.

   The provider and all associated surveys are permanently deleted.

   -or-

1. Click the **Recycle** node to display recycled providers in **List** view.
2. Select one or more providers.
3. Right-click and select **Delete**.
4. Click **Yes** in the confirmation message.

   The provider(s) and all associated surveys are permanently deleted.

Management and Work Units

A management unit usually refers to a major functional unit such as a Complaint Investigation Unit, or a major geographical unit such as a district office. Each management unit contains work units, which in turn consist of staff members.

Add Management Units

You should create management units before you create work units so they are available for work unit assignments. Management units are listed in the Management Units node on the Directory tab.

To add a management unit:

1. Click the **Directory** tab.
2. Right-click the **Management Units** node.
3. Select **Insert New Management Unit** from the menu.

   The Enter Management Unit Information window opens. The Management Unit is assigned a Management ID number by ACO. This number cannot be changed.

4 Enter an **Abbreviation** for the management unit.

5 Enter a **Description** for the management unit.

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

7 In the **Unit Manager** section, enter the State **Employee ID** number of the Unit Manager. ACO will supply the Name.

➥ To locate the unit manager's State Employee ID and Name, click the **Find** button (binoculars).

8 Click **OK** in the Enter Management Unit Information window.

The new management unit is created and listed on the Directory tab in the Tree view.

More ...

Procedure: "Find Surveyors" on page 86
Screen: "Enter Management Unit Information window" on page 320

Update Management Units

You can update all information about a management unit except the Management ID.

To update a management unit:

1 Click the **Directory** tab.

2 Expand the **Management Units** node.

3 Right-click the management unit you want to update and select **Update Management Unit**.

The Enter Management Unit Information window opens.

4 Make your modifications and click **OK**.

Delete Management Units

When you delete a management unit, the constituent work units are removed from the management unit, but not from ACO so that they can be assigned to other management units.

WARNING! Deleting a management unit is permanent. You cannot restore a management unit after you delete it.

To delete a management unit:

1 Click the **Directory** tab.

2 Expand the **Management Units** node.

3 Right-click the management unit you want to delete.

4 Select **Delete Management Unit** from the menu.

5 Click **Yes** to the confirmation prompt.

The management unit is deleted from the ACO database.

Add Work Units

ACO uses work units to group staff members that work together. These work units are subsidiary units within a management unit as defined by each state. Work units are listed in the Work Units node on the Directory page.

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

You can add work units at any time, but you should first create the management units to which the work units belong, and you need to create a work unit before you can add staff members to it.

To add a work unit:

1 Click the **Directory** tab.

2 Right-click the **Work Units** node.

3 Select **Insert New Work Unit** from the menu.

The Enter New Work Unit Info window opens.

4 In the **Work Unit ID field**, enter an alphanumeric identifier for the work unit.

5 Enter a short work unit **Description**.

6 Enter a **Short Name** for the work unit. - 3 character maximum.

7 Select the **Type** of surveys the work unit conducts from the drop-down list.

8 Select the work unit's **Mgmt Unit** from the drop-down list.

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

10 Enter the **Office Location** of the work unit.

This can be an address or description of the work unit's physical location.

11 Select the **Work Unit Leader** from the drop-down list, and enter the leader's Phone number.

You can assign the work unit leader later through the Assign Work Unit Members window.

12 Click **OK**.

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

More ...

Screen: "Enter New Work Unit Info window" on page 321

Assign Work Unit Members

Once a work unit has been created, you can assign its members. A staff member can belong to only one work unit at a time.

To assign members to a work unit:

1 Click the **Directory** tab.

2 Expand the **Work Units** node.

3 Right-click the work unit to which you want to assign members and select **Assign Work Unit Members**.

4 Click **Add**.

The Find Surveyor window opens.

5 If you select a staff member already assigned to another work unit, a confirmation message asks if you want to assign the staff member to the current work unit instead. Click **Yes** to reassign the staff member.

The selected staff member now appears in the Team Members List in the Assign Work Unit Members window.

To remove a work unit member:

1 Click the **Directory** tab.

2 Expand the **Work Units** node and right-click the work unit from which you want to remove a member.

3 Select **Assign Work Unit Members**.

The Assign Work Unit Members window appears with a list of all work unit members.

4 Select the member you want to remove and click **Remove**.

5 Click **Yes** in response to the confirmation prompt.

More ...

Procedure: "Find Surveyors" on page 86

Assign a Work Unit Leader

To assign a work unit leader:

1. Click the **Directory** tab.
2. Expand the Work Units node and right-click the work unit for which you want to assign a leader.
3. Select **Assign Work Unit Members**

   The Assign Work Unit Members window appears with a list of all work unit members.
4. Select the member you want to assign as leader of the work unit and click **Make Leader**.

   A red circle is added to the new leader's member icon.

Note: You can also assign the leader when you first create the work unit.

Modify Work Units

To update a work unit:

1. Click the **Directory** tab.
2. Expand the **Work Units** node and right-click the work unit you want to update.
3. Select **Update Work Unit**.

   The Update Team Information window appears for the selected work unit.
4. Make your modifications and click **OK**.

Delete Work Units

You can delete a work unit at any time, but you must first remove assigned members.

To delete a work unit:

1. Click the **Directory** tab.
2. Expand the **Work Units** node.
3. Right-click the work unit you want to delete and select **Delete Work Unit.**
4. Click **Yes** in response to the confirmation prompt.

Personnel Information in ASPEN

ASPEN provides a single point of entry for all personnel records. ACO and ARO are used for the creation and maintenance of all Federal surveyor records as well as records for state-only surveyors and non-surveyor staff including national ASPEN users such as CMS Office of Financial Management (OFM) staff members.

Federal Surveyors

Federal surveyors are surveyors who conduct surveys of federally certified providers. They may be SA, RO, CO staff, or contract surveyors. They are automatically assigned a nationally unique ID.

New and updated Federal surveyor information is uploaded to national via an overnight process. Upload transactions for Federal surveyors are processed before uploads of certification kits and complaints/incidents, so new surveyors can be added to surveys the same day they are created in ASPEN.

ASE-Q Users

All ASPEN Survey Explorer-Quality (ASE-Q) user accounts are created in ACO/ARO and then exported to ASE-Q. It is possible to update certain items of information in personnel records in ASE-Q, but these changes are not reflected in corresponding records in the state Oracle database.

Outside CLIA Users

Personnel records are also created and maintained in ACO/ARO for outside CLIA users, i.e., Exempt state, Accreditation Organization (AO), Veterans Administration (VA), and Billing Contractor employees.

Note: Information about CLIA-related personnel records in ASPEN is integrated here and in related screen and field descriptions.

More ...

For all other CLIA-specific information and procedures:

Refer to the latest version of the *CLIA 116 and Certification Procedures Guide*, which is posted on the QTSO website at https://qtso.cms.gov.

Staff Directory

Each employee record is maintained as an independent entity in the ASPEN database. All staff members are listed in the Staff Directory node of the Directories View tree on the Directory tab.

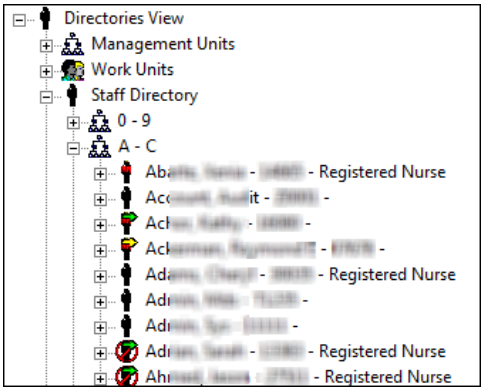


Figure 16: Staff Directory node staff members on the Directory tab

A green arrow overlay indicates a Federal surveyor whose personnel record has been successfully uploaded to national.

A yellow arrow indicates a Federal surveyor whose record is pending acceptance, whether the transaction is an ADD, UPDATE, or DELETE.

A red “vest” indicates a special surveyor, i.e., a CMS RO or CO staff member who participates in SA surveys, a CMS contract surveyor, or a surveyor shared from another state.

A slash in a circle superimposed on the icon indicates a terminated staff member.

Note: Change the Staff Directory view to Active & Terminated to display the full list of active and terminated surveyors.

Create Staff Records

You use the same interface to create records for all staff members, whether Federal surveyor, state-only surveyor, contract surveyor, or non-surveyor. ASPEN automatically determines and enables the appropriate fields. An employee record contains personal and employment-related information and specifies security settings for the staff member. For ASE-Q users, you can also enter ASE-Q login and access information.

CLIA - ASPEN administrators need to make sure that ASPEN CLIA 116 users are in the ASPEN personnel tables with appropriate CASPER login and web access permissions defined on the Employee Identification tab.

ARO - RO and CO users with appropriate permissions can create and update staff records for national personnel, including ASE-Q login information when appropriate, via the CMS RO/CO Staff Manager window.

Add Staff Records in ACO

ACO users with appropriate permissions can create staff records for state surveyors and support personnel.

To add a staff record in ACO:

1. On the different tabs, locate and right-click:
   - **Directory** tab / **Staff Directory** node
   - **Alpha** or **Type** tab / **Surveyors** node

   To open the Enter Surveyor Information window, the selection varies depending on the tab.
2. Select (respectively):
   - **Insert New Staff Member**
   - **New Surveyor...**
3. Enter identification and access information, configure email delivery, enter employment and affiliation information, and specify permissions for the new employee.

   Note: You can use the Administer Accounts window to configure logins and permissions for multiple users at once.

More ...

Screen: "Enter/Update Surveyor Information window" on page 323
Procedure: “Enter Identification and Access Information” on page 73
Procedure: “Specify Email Settings” on page 75
Procedure: “Enter Employment Details and Specify Security Settings” on page 75
Procedure: “Configure Multiple ASE-Q User Accounts” on page 84

Add Staff Records in ARO

RO and CO users with appropriate permissions can access the Enter Surveyor Information window from the CMS RO/CO Staff Manager to create records in ARO for RO staff, CO staff, contract surveyors, and other national users such as OFM and VA personnel.

To add a staff record in ARO:

1. On the **ARO** toolbar, click **Config**.
2. In the **Regional Offices** window, click **Manage CMS User Accounts**.
3. In the **CMS RO/CO Staff Manager** window, set filters as desired and click **New...** to open the **Enter Surveyor Information** window.
4. Enter identification and access information, configure email delivery, enter employment and affiliation information, and specify permissions for the new employee.

   For ASE-Q surveyors, you can configure ASE-Q login and permissions for one or multiple users in the five columns on the right side of the grid (starting with ASE-Q Login).

   Note: You can also configure logins and ASE-Q permissions for one or multiple users in the Administer Accounts window.

More ...

Screen: "CMS RO/CO Staff Manager window - ARO" on page 322
Procedure: “Set Filters in Staff Manager in ARO” (below)
Screen: "Enter/Update Surveyor Information window" on page 323
Procedure: “Enter Identification and Access Information” on page 73
Procedure: “Specify Email Settings” on page 75
Procedure: “Enter Employment Details and Specify Security Settings” on page 75
Procedure: “Configure Multiple ASE-Q User Accounts” on page 84

Set Filters in Staff Manager in ARO

Various filtering options are available to RO and CO users to limit the list of staff members to those of concern. The list can be filtered by:

- Staff type
- Region
- CMS office
- Surveyor type
- User’s working state

And, you can choose to include contractors and terminated personnel or not.

To filter the list for only SA surveyors working in Connecticut:

1. From the ARO toolbar, select **Config**.
2. From the Regional Office window, select **Manage CMS User Accounts**.
3. De-select any default checkmarks.
4. Select **SA Surveyors Only** and click **Filter By User's Working State(s): Inactive**.
5. Select the checkbox for **Connecticut** and click **OK**.

   The button label changes to Filter by User's Working State(s): Active.
6. Click **Apply Filter**.

   A list of SA surveyors working in Connecticut displays.

More ...

Screen: "CMS RO/CO Staff Manager window - ARO" on page 322

Enter Identification and Access Information

On the Employee Identification tab, you can:

- Enter basic employee information such as IDs, name, job title(s), and contact information.
- Enter application access information including logins.

  ASPEN applications require login authentication. For ACO and ASPEN Complaints/Incidents Tracking System (ACTS) users, the login entered on the Employee Identification tab is added to the ASPEN personnel table on the state Oracle server and is required for authentication to be successful. The login ID for ARO users is added to the national server. ACO and ACTS use the same entry in the personnel table.
- Configure ASE-Q users.

Note: Fields are displayed/enabled as appropriate.

To enter employee identification and access information:

1. In the **Enter/Update Surveyor Information** window, click the **Employee Identification** tab.

   It is selected by default when you open the Enter/Update Surveyor Information window.
2. Enter a **State Employee ID** for the staff member.

   Assign an ID to the new staff member in accordance with the state's staff numbering system.

3 Enter/generate a **Staff ID/Federal Surveyor ID**.

ACO - Staff ID is enabled and required. For an employee who isn't a Federal surveyor, enter an alphanumeric Staff ID; the first character must be a letter. For a Federal surveyor, use the Assign Federal Surveyor ID button.

ARO - An alphanumeric non-surveyor Staff ID is generated by default and is read-only. For a Federal surveyor, use the Assign Federal Surveyor ID button.

Federal surveyor - Click **Assign Federal Surveyor ID** if the new employee will participate in surveys of Federal providers. The Staff ID label changes to Federal Surveyor ID and ACO/ARO generates a valid numeric ID. The Assign Federal Surveyor ID button is then disabled and Federal Title is highlighted in yellow to indicate it is a required field.

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

5 As applicable, select the employee's **Federal Title**, **State Title**, and **General Staff Type**.

Federal Title is required for Federal surveyors.

States can customize State Title options.

General Staff Type defaults to 01 SURVEYOR for Federal surveyors.

6 To assign more than one Federal Title to an employee, select **Click for Additional Fed Titles** and choose another title for the employee.

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

The E-Mail Address entered here is copied to the Email Settings tab.

8 In the **Staff Access and Type** section, specify **Staff Home Agency** if it is not entered by default, and select the applicable **State** or **Region** code.

9 Enter **ACO/ARO Login ID** and **CASPER Login ID** as applicable.

Each staff member must have an ACO/ARO login ID, which is used to access the state network. When a user starts ACO or ACTS, the application retrieves this login ID directly from the network operating system and validates that ID against the database.

CLIA - The CASPER login is required to access ASPEN CLIA 116.

10 If the employee is an ASE-Q user, enter **ASE-Q Login ID**, or select **Use ACO Login** if appropriate.

11 **ARO -** Select **National Type** and **c**hoose **Federal Surveyor Type**; if the employee is an RO surveyor, select **Contractor** if applicable.

12 **ARO -** In the **National Access Levels** section, select **National Type** and select **CMPTS Super User** to assign CMPTS super user privileges to the staff member; enabled only if you are a CO super user.

13 Click **Enable Update** and select the appropriate **ASPEN Web Access Level** for the employee.

In ACO, you assign the access level to ASPEN CLIA 116 for SA users, including Exempt states. In ARO, you assign the access level for CMS Central and Regional Office users.

14 **ARO -** Select **Reg Mgr Type**.

This field is displayed and enabled only for Authorize group members creating or editing CO personnel records.

15 **CLIA, AO -** For an AO employee, select the applicable **Accrediting Organization**.

In the CLIA 116 web app, AO users can only view records of labs with which they are affiliated.

16 For an ASE-Q user, specify permissions in the **ASE-Q Access Levels** section.

More ...

Screen: "Employee Identification tab" on page 323
Procedure: “Customize State Staff Titles” on page 278
Procedure: “Configure ASE-Q User Accounts” on page 84

Specify Email Settings

On the Email Settings tab, you configure email delivery in ACO/ARO for each SA and RO staff member who is to receive action item notices. Email notification filters are set for each user.

More ...

Procedure: “Set Up Action Item Email Notification” on page 288

Enter Employment Details and Specify Security Settings

You can maintain employment history dates, staff affiliations, and (ARO only) assign permitted action items for the employee on the Security/Details tab. It also provides a convenient alternative to the Menu Security Editor for assigning the employee menu option, tab, and button permissions.

To enter employment history and affiliations for an employee:

1 In the **Enter/Update Surveyor Information** window, select the **Security/Details** tab and click **Yes** in the confirmation message to save information you have already entered.

You may have to complete required fields before continuing.

2 In the **Employment History** section, enter the **Hire Date**, **Anniversary Date** (if different than the Hire Date), and **Termination Date** (if applicable) for the employee.

3 Click **Show Employment History** to open the **Personnel History** window where you can see a history of changes (if any) to the staff member's Hire and Termination dates.

4 Select the employee's **Work Unit**.

The Management Unit Affiliation field is automatically filled in based on your selection.

5 If the employee is the leader of the specified **Work Unit** or **Management Unit**, select the **Is Leader** or **Is Unit Leader** checkbox respectively.

6 **ARO -** To display and assign permitted action items, click **Assign Permitted Action Items**.

7 In **Allowed Facility Types**, specify the provider categories a surveyor is qualified to visit.

8 To list providers with which the surveyor may have a conflict of interest, click **Conflict of Interest** and add, modify, or delete providers in the **Conflict of Interest** window.

9 **ACO -** Select the applicable **Assigned State Agency** if the employee works in an agency other than the default agency.

State agency information is defined in
System | System Configuration | State Customization. If an employee is not assigned an agency here, the SA Default specified in State Customization is used in letters and reports.

To specify security settings for an employee:

1 On the **Security/Details** tab, go to the **Security Groups** section.

2 To assign the employee to an ACO or ACTS menu security group, expand the **ACO** or **ACTS Menu Security** node, right-click a security group, and select **Add**.

The red checkmark next to the security group turns green, and Security Level to the right changes from Non Member to Member. You can assign the employee to as many menu security groups as appropriate.

Tip: You can also assign the employee to a security group by selecting the group and choosing Member as the Security Level.

3 To assign **Facility Type Security** to the employee: expand the node and right-click a provider category; select **No Access**, **Read-only Access**, or **Read/Write Access**.

The default for all provider types is No Access.

Note: Both ACO and ACTS use these assignments. However, facility type security must be separately enabled in each application for these settings to take effect. In ACO, use path: System | System Configuration | State Customization.

4 To restrict the employee's ability to see surveys scheduled in the future, select **May Not See Surveys Scheduled Beyond ...** and enter the appropriate number of **Days In The Future**.

Surveys scheduled beyond the specified number of days will not be displayed to the employee in ASPEN. This feature helps limit the possibility of providers receiving advance notice of surveys.

5 To specify access to surveys that the employee is not assigned to as a team member, select the appropriate **Access control** option.

More ...

Screen: "Security/Details tab" on page 326
Procedure: “Specify Allowed Facility Categories” just below
Procedure: “Specify Conflicts of Interest” on page 79

Specify Allowed Facility Categories

To optimize surveyor scheduling features in the Staff Availability List, states can specify which provider categories a surveyor is qualified to visit. When scheduling a particular provider type, you can filter the list of available staff to display only those surveyors who are qualified for that provider.

To add Allowed Facility Types to a staff member:

1 In the **Enter/Update Surveyor Information** window, click the **Security/Details** tab.

2 Click the **Ellipsis** box at the right of the **Allowed Facility Types** field.

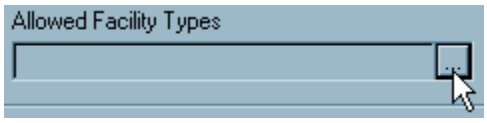


Figure 17: Allowed Facility Types field

The Allowed Facility Categories window opens.

3 Select the appropriate categories for the staff member.

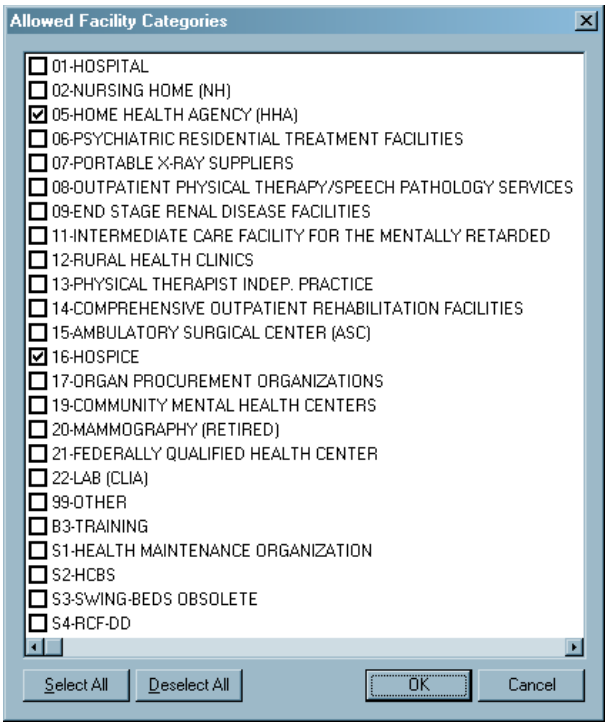


Figure 18: Allowed Facility Categories window

4 Click **OK** to save and close Allowed Facility Categories.

The selected provider type(s) are listed (horizontally) in the Allowed Facility Types field.

Figure 19: Populated Allowed Facility Types field

When schedulers are assigning survey team members, they can filter the list of available staff by allowed provider category.

To filter the Staff Availability List by Allowed Facility Types:

1 Open the survey for which you want to assign team members.

2 In the **Team Roster** section, click **Update**.

3 Click the **Ellipsis** button to the right of **Show Staff by Assigned Provider Categories**.

4 To show only surveyors who are qualified to survey specific provider categories, select those categories, and click **OK**.

The Staff Availability List refreshes to show only surveyors that have the specified categories selected in Allowed Facility Types in Employee Details.

More ...

Screen: "Security/Details tab" on page 326
Screen: "Staff Availability List window" on page 416

Specify Conflicts of Interest

States can list facilities with which the surveyor may have a conflict of interest. You can specify Effective and Expiration dates and include notes about each conflict of interest. Schedulers can view this information when they are assigning survey team members. If a scheduler tries to assign a surveyor to visit a provider with which there is a conflict of interest, ASPEN Scheduling and Tracking System (AST) will display an alert.

To add a Conflict of Interest to a staff member:

1. In the **Enter/Update Surveyor Information** window, click the **Security/Details** tab.
2. Click the **Conflict of Interest** button.

   The Conflict of Interest window opens.
3. Click **Add**.

   The Find Conflict of Interest window opens. This window operates like other Find windows in ASPEN.

   ➥ To locate and select the provider with which the staff member has a potential conflict, type in the search string (Text), select the search Type, and click Find Now.
4. In the **Conflict Interest Type** window, add an **Effective Date** and **Expiration Date** for the conflict, if applicable. You can also enter explanatory details. Click **OK** when done.
5. Click **OK** to close the Conflict of Interest window.

   Schedulers can view this information from the Staff Availability list when considering team members.
6. Click **OK** to exit the employee record.

To view Conflict of Interest in the Staff Availability List:

1. Open the survey for which you want to assign team members.
2. In the **Team Roster** section, click **Update**.

   A **Yes** button appears in the Conflict of Interest column for staff members who have an assigned conflict on the Employee Details tab.
3. Select the **YES** button to view the details entered about the conflict.

4 Click the checkbox to select the surveyor for the survey.

A Check Conflict of Interest notification message appears with three options:

- Click **Show Conflicts** to open the Conflict of Interest window and view conflict details.
- Click **Cancel Assignment** to deselect the surveyor.
- Click **Continue with Assignment** to select surveyor anyway.

5 Click **OK** to close the Staff Availability List.

More ...

Screen: "Security/Details tab" on page 326
Screen: "Conflict of Interest window" on page 327
Screen: "Conflict Interest Type window" on page 327
Screen: "Staff Availability List window" on page 416

Update Staff Records

ACO users with appropriate permissions can use the Update Surveyor Information window to update staff records for state surveyors and support personnel. RO and CO users with appropriate permissions can access the Update Surveyor Information window from the CMS RO/CO Staff Manager to update records in ARO for RO staff, CO staff, contract surveyors, and other national users such as OFM and VA personnel.

Update Staff Records in ACO

You can update all information about a staff member in the Update Surveyor Information window except the State Employee ID and Staff/Federal Surveyor ID. To change the Staff ID, use the Change Surveyor ID option.

You can view but not modify special surveyor records (indicated by red vests), i.e., a CMS RO or CO staff member who participates in SA surveys, a CMS contract surveyor, an RO surveyor assigned to surveys in another region, or a surveyor shared from another state. The RO, CO, or home state (as applicable) can update these surveyors.

To update a state employee record in ACO:

1. On the different tabs, locate and right-click the staff member.
   - **Directory** tab / **Staff Directory** node
   - **Alpha** or **Type** tab / **Surveyors** node
   - **Alpha**, **Type**, **Cert/Survey**, or **Enforcement** tab / Select a specific survey / **Team** node
2. To open the Update Surveyor Information window, the selection varies depending on which tab you are on.Select (respectively)
   - **Update Staff Member**
   - **Modify Surveyor...**
   - **Surveyor Properties**
3. In the **Update Surveyor Information** window, make the necessary changes.

   If you selected a special surveyor, a message alerts you to contact the RO or primary state.

   Note: You can use the Administer Accounts window to update logins and permissions for multiple users at once.

More ...

Screen: "Enter/Update Surveyor Information window" on page 323
Procedure: “Change Staff ID” on page 82
Procedure: “Configure Multiple ASE-Q User Accounts” on page 84

Update Staff Records in ARO

RO and CO users can access RO and CO staff records from the CMS RO/CO Staff Manager window and update them in the Update Surveyor Information window.

Note: Depending on your user type, you will be able to view staff records in read-only mode, or view and update the records.

To view/update a staff record in ARO:

1. On the **ARO** toolbar, click **Config**.
2. In the **Regional Offices** window, click **Manage CMS User Accounts**.

3 In the **CMS RO/CO Staff Manager** window, set filters as desired.

4 Select a staff member and click **Modify...** to open the **Update Surveyor Information** window.

5 In the **Update Surveyor Information** window, make the necessary changes.

For ASE-Q surveyors, you can configure ASE-Q login and permissions for one or multiple users in the five columns on the right side of the grid (starting with ASE-Q Login).

Note: You can update ASE-Q logins and permissions for multiple users at once in the CMS RO/CO Staff Manager or Administer Accounts window.

More ...

Screen: "CMS RO/CO Staff Manager window - ARO" on page 322
Procedure: "Set Filters in Staff Manager in ARO" on page 72
Screen: "Enter/Update Surveyor Information window" on page 323
Procedure: "Configure Multiple ASE-Q User Accounts" on page 84

Change Staff ID

ACO - The Change Surveyor ID option lets you change Staff ID but not Federal Surveyor ID.

To change a staff ID:

1 On the **Directory** tab, locate and right-click the staff member.

2 Select **Change Surveyor ID**.

This option is disabled for Federal surveyors.

3 Enter the new **ID** and click **OK**.

Delete Staff Records

You can delete state and Federal staff records from the ASPEN database with some restrictions.

WARNING! Deleting a staff member from the ASPEN database is a permanent action. You cannot restore a deleted staff member.

Delete Staff Records in ACO

You can delete state staff records with the following restrictions:

- A surveyor assigned to a survey cannot be deleted.
- A surveyor with action items cannot be deleted.
- Special surveyors cannot be deleted in ACO.

To delete a state employee record in ACO:

1. On the **Directory** tab, locate and right-click the staff member.
2. Select **Delete Staff Member**.

   This option is not enabled for special surveyors. You will receive a message if you selected a record that can't be deleted, e.g., a surveyor assigned to a survey.
3. Click **Yes** in the confirmation message.

   The record is permanently deleted from the ASPEN database.

Delete Staff Records in ARO

You can delete staff records, including those for special surveyors, from the CMS RO/CO Staff Manager window depending on your user type and with the following restrictions:

- A surveyor assigned to a survey cannot be deleted.
- A surveyor with action items cannot be deleted.
- A Federal surveyor record pending acceptance by national cannot be deleted.

If you delete a Federal surveyor whose record has been accepted by national, a PURGE transaction is issued.

To delete a staff record in ARO:

1. On the **ARO** toolbar, click **Config**.
2. In the **Regional Offices** window, click **Manage CMS User Accounts**.
3. In the **CMS RO/CO Staff Manager** window, set filters as desired.
4. Select a staff member and click **Delete**.

   You will receive a message if you selected a record that can't be deleted, e.g., a surveyor assigned to a survey.
5. Click **Yes** in the confirmation message.

   The record is permanently deleted from the ASPEN database.

More ...

Screen: "CMS RO/CO Staff Manager window - ARO" on page 322
Procedure: "Set Filters in Staff Manager in ARO" on page 72

ASE-Q User Accounts

To support central administration of ASPEN user accounts, ASE-Q user records are created in ACO or ARO. You can configure one ASE-Q user at a time or multiple users at once. To populate the ASE-Q Sybase database with personnel records, you export the records from ACO/ARO and import them into ASE-Q.

Configure ASE-Q User Accounts

For employees who are ASE-Q users, you enter basic employee information and login on the Employee Identification tab in the Enter/Update Surveyor Information window as for any user. To specify ASE-Q permissions, use the ASE-Q Access Levels section.

To configure an ASE-Q user account:

1. Open the **Enter/Update Surveyor Information** window.
2. On the **Employee Identification** tab, enter **ASE-Q Login ID**, or select **Use ACO Login** if appropriate.
3. Specify permissions in the **ASE-Q Access Levels** section.

Note: You can use the Administer Accounts window or CMS RO/CO Staff Manager window to configure logins and permissions for multiple users at once.

More ...

Screen: "Employee Identification tab" on page 323
Procedure: “Configure Multiple ASE-Q User Accounts” on page 84

Configure Multiple ASE-Q User Accounts

ASPEN administrators can use a right-click option in ACO/ARO to configure multiple user accounts at once. In ARO, multiple users can also be configured in the CMS RO/CO Staff Manager.

To configure multiple user accounts - right-click option:

1. In the **Tree** view, go to the **Directory** tab.
2. Right-click the **Staff Directory** node and select **Administer Accounts**.
3. In the **Account Administration** window, enter logins and permissions for any or all of the listed staff members.
   - ➥ For a single staff member, enter information directly on the grid.
   - ➥ Use Shift+Click to select multiple consecutive surveyors or Ctrl+Click to select multiple non-consecutive surveyors, then use the buttons under the grid to enter information for the selected surveyors.

To configure multiple user accounts - ARO Staff Manager:

1. Open the **CMS RO/CO Staff Manager** window and set filters as desired.
2. Enter user account information for any or all of the listed staff members.
   - ➥ For a single staff member, enter information directly on the grid.
   - ➥ Use Shift+Click to select multiple consecutive surveyors or Ctrl+Click to select multiple non-consecutive surveyors, then use the applicable buttons under the grid to enter ASE-Q logins and permissions.

More ...

Screen: "Account Administration window" on page 443
Screen: "CMS RO/CO Staff Manager window - ARO" on page 322
Procedure: "Add Staff Records in ARO" on page 72
Procedure: "Set Filters in Staff Manager in ARO" on page 72

Export ASE-Q User Accounts

You can export ASE-Q user account files from ACO to populate ASE-Q databases with surveyor records. This function is used primarily to transfer user accounts to newly installed instances of ASE-Q on surveyor laptops. You can export one or multiple ASE-Q surveyor records at a time.

To export ASE-Q user accounts:

1. From the **System** menu, select **Specialty Info Transfer**, then **Export ASE Users**.
2. In the **ASE User Export** window, select the surveyors whose user accounts you want to export.

   The View setting defaults to Users with ASE Accounts. You can also choose to view Users without ASE Accounts, or All Users.
3. Click **Browse** to locate and select the export transfer file, or type in the location of the export file.

   The default transfer filename is ASEUSERTX.ZIP. You can change the name if you wish, e.g., to create different user transfer files for use on different laptops. On import, ASE-Q will check the transfer file to confirm it contains personnel records, then import the records.

   Note: Many anti-virus programs, email servers, and firewalls block .ZIP files. If this is an issue, contact your ASPEN administrator for assistance.
4. Click **OK** to transfer the selected ASE-Q user accounts.

   The ASE-Q user can now import the user accounts from the transfer file.

More ...

Refer to "Import ASE-Q User Accounts" in the *ASE-Q Procedures Guide*, which is posted on the QTSO website at https://qtso.cms.gov.

Find Surveyors

The Find Surveyor window opens when you click Find at the top of Tree view on the Directory tab, right-click the Staff Directory node and select Find Staff Member, and when you click the Find button in the Insert New Management Unit window. You can search for surveyors by name or Federal Surveyor ID.

To find a surveyor:

1. In the **Text Search** field, enter the surveyor's last name or surveyor ID.

   You can enter part of the name or surveyor ID. If the text you enter does not appear at the start of the name or number, type an asterisk (*) before the text.

2. Select **Search By Surveyor's Name** or **Federal Surveyor ID** as appropriate.

   You can perform only one type of search at a time.

3. Click **Find Now**.

   The staff members who match the search criteria appear in the Search Results section.

4. To choose the surveyor in the Search Results list:

   ➥ Click **Select**.

   -or-

   ➥ Double-click the surveyor in the Search Results list.

   The State Employee ID and Name of the selected individual now appear in the Unit Manager section of the Enter Management Unit Information window.

5. To exit the Find Surveyor window without selecting a surveyor, click **Close**.

More ...

Screen: "Find Surveyor window" on page 328

Certification Process

As part of the CMS system standardization strategy, certification data captured at the SA and RO levels by ACO/ARO is uploaded to national, the master national repository for provider enrollment, certification, and survey information. ACO/ARO supports an integrated certification process for all Federal providers. ACO also accommodates state licensure records, but they are not uploaded to national.

To complete the certification process, perform the following tasks in ACO:

- **Create the facility to be certified, if necessary.**

  "Enter Facility Definition Information" on page 42
- **Create a certification kit.**

  "Create a Certification Kit" on page 88
- **Enter basic certification information.**

  "Enter Certification Information" on page 129
- **Create an initial survey.**

  "Create a Survey" on page 141
- **Enter citations based on deficiencies found during the survey(s).**

  "Record Deficiencies" on page 153
- **Generate and print forms and letters.**

  "Complete/Print Certification Forms" on page 183
- **Upload the completed kit.**

  "Upload Certification Kits" on page 208

For CLIA-specific certification procedures:

Refer to the latest version of the *CLIA 116 and Certification Procedures Guide,* which is posted on the QTSO website at https://qtso.cms.gov.

Create a Certification Kit

When you create a certification kit, whether initial or recertification, it will be the current kit. There may be two current kits: one that has been uploaded successfully to national and a new certification kit that hasn't been completed.

The type assigned to the kit you create is determined by the facility's certification history in the National database. When you create a new certification, ACO searches for existing kits in the National database using the Provider ID. If any are found, the certification kit you create in ACO will be a recertification. If the Provider ID of a facility is changed, the next certification will be an initial certification.

If you create a certification kit for a facility that already has a kit in ACO, and that kit has been uploaded and accepted, the status of the existing kit is changed from Open to Prior. Your new kit becomes the Open kit. You cannot change the exit date(s) of the accepted kit's standard survey(s).

TIP: Current kits are listed as Current on the Alpha and Type tabs and as Open or Closed on the Cert/Survey tab.

When a certification kit is updated to Prior, the status of the kit and all associated surveys is set to Closed. Prior kits cannot be modified, except for revisit dates, CMS-670 and CMS-2567 (Statement of Deficiencies) data, and data on the Transplant Programs tab for Transplant Hospitals. You can add followup surveys to Prior kits.

You can create certification kits for the following provider types:

Hospital Certification Kits page 92

NH Certification Kits page 114

HHA Certification Kits page 115

XRAY Certification Kits page 116

OPT/SP Certification Kits page 117

ESRD Certification Kits page 118

RHC Certification Kits page 120

CORF Certification Kits page 121

ICF/IID Certification Kits page 122

ASC Certification Kits page 123

Hospice Certification Kits page 124

OPO Certification Kits page 125

PRTF Certification Kits page 126

CMHC Certification Kits page 127

FQHC Certification Kits page 128

Deemed Providers

Certification kits without surveys can be created and uploaded for the following deemable provider types:

Category	Provider Type
011	Short Term Hospital
012	Psychiatric Hospital
013	Rehabilitation Hospital
014	Critical Access Hospital
015	Long Term Hospital
016	Childrens Hospital
018	Distinct Part Psych Hospital
01u	Medicaid-only Short Term Hospital
01v	Medicaid-only Children’s Hospital
01w	Medicaid-only Children’s Psychiatric Hospital
01x	Medicaid-only Psychiatric Hospital
01y	Medicaid-only Rehabilitation Hospital
01z	Medicaid-only Long-term Hospital
051	Home Health Agency (HHA) Medicare/Medicaid
052	Home Health Agency (HHA) Medicaid Only
081	Outpatient Physical Therapy/Speech Pathology Services
091	End Stage Renal Disease Facilities - Medicare
121	Rural Health Clinic
141	Comprehensive Outpatient Rehabilitation Facility
151	Ambulatory Surgical Center
161	Hospice

Currently deemed providers display in italics with the word “Deemed” appended on the Alpha and Type tabs in Tree view.

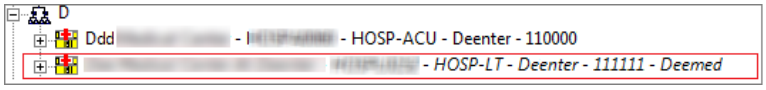


Figure 20: Deemed provider in Tree view

- For deemed psychiatric hospitals or hospitals with swing beds, standard survey, deficiency, and workload information can be created and uploaded. Validation surveys and full surveys after a complaint can also be created.
- For other providers that can be deemed, validation surveys and full surveys after a complaint can be created and uploaded in applicable situations.

Note: If deemed status changes, you must perform the appropriate update tasks.

More ...

Procedure: “Change Deemed Status” on page 241

Deemed Certifications

ACO/ARO automatically ensures that you enter only necessary survey data based on the provider category, category subtype, and information entered on the Deemed/2802 tab.

Deemed certification kits display in blue italics in the Tree view. A “V” indicates validation kits.

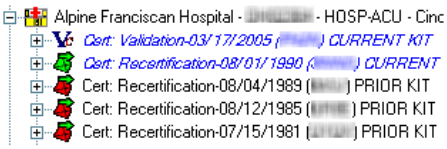


Figure 21: Deemed kits in Tree view

Note: For historical stub kits, ASPEN does not know if a certification is deemed until you rebuild it from history, so unbuilt validation kit stubs are not displayed in blue italics.

ASPEN can pick up only the most recent deemed indicator for Hospitals, which it applies to all prior kits—whether or not the provider was deemed at the time of the prior certification. For this reason, you may see older “deemed” certification kits that contain standard survey data.

More ...

Procedure: “Rebuild a Historical Kit” on page 225

Date of Survey for Deemed Kits without Surveys

For certification kits with standard surveys, ASPEN generates the Date of Survey (L34) on the CMS-1539, also referred to as the Cert Exit date or Certification Date. For all provider types, it is set to the Health survey exit date (X3).

Certification kits for deemed Hospitals and other deemed providers may not contain Health survey events. Therefore, there may not be a direct source for this date, but it must be entered nonetheless.

For deemed kits that do not have Health surveys, ASPEN adds the field Survey Date (L34) to the CMS-1539 tab. This field is updated according to the following rules:

- For initial certifications of regular (i.e., not having swing beds or psychiatric surveys) deemed Hospitals and other deemed providers, Survey Date (L34) is set to the Original Participation Date (L24) and cannot be changed.
- For recertifications of regular deemed Hospitals and other deemed providers, Survey Date (L34) is required and must be entered by the user.
- For recertifications of regular newly-deemed providers, Survey Date (L34) is set to the previous certification kit's exit date + 1 day. It can be changed as needed.
- For Non-participating Hospitals, Original Participation Date (L24) is not entered, so Survey Date (L34) is set to the date of the certification's first successful upload to the national system. It can be changed when 1539 information is updated.

When status is changed to non-deemed (Deemed? indicator set to null) on an existing certification kit with no surveys:

- Survey Date (L34) keeps its current value.

  unless

- Status changes to non-deemed as a result of assigning AO Termination Date to all AOs listed under Deemed By on the Deemed/2802 tab. In this case, Survey Date (L34) is empty and enabled.
- If a survey is subsequently entered for the certification kit, Survey Date (L34) is calculated/available based on L34 calculation/availability rules, i.e., L34 is not available on the CMS-1539 and L34 is calculated to be the exit date of the Health survey.

More ...

Procedure: "Change Status to Deemed" on page 242
Procedure: "Change Status to Non-Deemed" on page 241

Hospital Certification Kits

ASPEN supports the certification process for the following Hospital subtypes:

- Short Term
- Long Term
- Religious Nonmedical Health Care Institution (RNHCI)
- Psychiatric
- Rehabilitation
- Childrens
- Distinct Part Psychiatric
- Critical Access
- Transplant
- Medicaid-only Short Term
- Medicaid-only Children's
- Medicaid-only Children's Psychiatric
- Medicaid-only Psychiatric
- Medicaid-only Rehabilitation
- Medicaid-only Long-term
- Non-participating: Emergency. Federal

Note: You cannot create an initial certification for a Critical Access Hospital. It must first be certified as an Acute Care Hospital. The RO can then change provider type from ACU to CAH and ASPEN creates a new initial certification kit for the CAH.

Data requirements and collection procedures for Hospital certification vary depending on deemed status, Hospital subtype, swing bed status, and other factors. The survey(s), if any, that are required or can optionally be performed vary according to these factors. ASPEN automatically enables or disables survey creation for Hospitals as appropriate.

ASPEN prevents LSC surveys from being improperly added to deemed certification kits on import and issues an error message. In addition, ASPEN automatically determines and displays the appropriate Federal regulation set for a given Hospital survey.

Note: Certification kits for eligible Hospital subtypes can be flagged as waived under the CMS 1135 Waiver rule.

More ...

"Hospital Subtypes" on page 671
Procedure: "Change Facility Status (RO)" on page 233
"Surveys Allowed for Hospitals" on page 674
"Regulation Sets Allowed for Hospital Health Surveys" on page 676
Procedure: "1135 Waiver Tracking for Hospitals" on page 136

Hospital Certification Scenarios

The rules underlying the generation of certification kits for Hospitals that reflect the multiple interrelated conditions are certainly complex. As an ASPEN user, however, you need only create or open a certification kit, complete the required fields, and enter survey information as necessary. The software does the work of determining which fields as well as which surveys are required for each type of Hospital.

The procedures that follow tell you how to complete Hospital certifications for the scenarios listed below:

- Non-Deemed Hospital
- Deemed Hospital - no survey required
- Deemed Hospital - non-validation survey required
  - Psychiatric A-tag survey
  - Swing bed survey
- Deemed Hospital - validation survey
- Deemed Hospital - full survey following complaint
- Non-participating Hospital
- Transplant Hospital

More ...

Procedure: "Hospital: Non-Deemed" (below)
Procedure: "Hospital: Deemed, No Survey" on page 96
Procedure: "Hospital: Deemed, Non-Validation Survey" on page 98
Procedure: "Hospital: Deemed Psychiatric, A-tag Survey" on page 100
Procedure: "Hospital: Deemed, Swing Bed Survey" on page 101
Procedure: "Hospital: Deemed, Validation Survey" on page 103
Procedure: "Hospital: Deemed, Full Survey After Complaint" on page 106
Procedure: "Hospital: Non-Participating" on page 109
Procedure: "Hospital: Transplant" on page 112

Hospital: Non-Deemed

The certification process for non-deemed Hospitals is similar to that for other non-deemed providers. You complete the following:

- Hospital Special Fields as applicable
- CMS-1539
- Application Worksheet
- Surveys and Forms

The applicable Hospital subtypes are:

- Short Term
- Long Term
- Religious Nonmedical Healthcare Institution (RNHCI)
- Psychiatric
- Rehabilitation
- Childrens
- Distinct Part Psych Hospital
- Critical Access Hospital
- Transplant
- Medicaid-only Short Term
- Medicaid-only Children’s
- Medicaid-only Children’s Psychiatric
- Medicaid-only Psychiatric
- Medicaid-only Rehabilitation
- Medicaid-only Long-term

When:

Accreditation Status (L10) on CMS-1539 = 0 Not Accredited

Note: L10 is automatically set according to information in the Deemed By list on the Deemed/2802 tab.

Required Surveys:

Health
LSC (not applicable for Transplant Hospitals)

You can combine a swing bed survey with a general Hospital survey.

To create a certification kit for a non-deemed hospital:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, this command brings forward information into the new certification kit to save data entry time.
3. Add or modify buildings/wings as needed.

   You are required to define at least one building/wing record for Hospitals.
4. On the **Certification & Surveys** tab of the **Certification** window, complete required and relevant fields including **Hospital Special Fields**.

   The Psychiatric Unit and Rehabilitation Unit sections in Hospital Special Fields are enabled as appropriate for Hospital subtypes.

   Note: Under the CMS 1135 Waiver rule, certification kits for certain Hospital subtypes can be flagged as waived on the Certification & Surveys tab.
5. On the **Transmittal (CMS-1539)** tab, enter required and relevant data.
6. Create/schedule surveys and enter citation information.

   Both Health and LSC surveys are required for non-deemed Hospitals.

   To combine a swing bed survey with a general Hospital survey, be sure to set Provides Swing Beds (SF44) to Yes and select the appropriate Size Code (SF28) in Hospital Special Fields on the Certification & Surveys tab.
7. Create/schedule revisit surveys as needed.
8. Add and monitor certification process details on the **Tracking** tab.
9. Complete **CMS-670** and print **CMS-2567** for each survey.
10. Complete required forms.

Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

Note: If a non-deemed Hospital becomes deemed before the next survey, you must create a new certification kit.

More ...

Procedure: "Provider Records" on page 41
Procedure: "Carry Forward of Hospital Certification Data" on page 113
Procedure: "Enter Buildings/Wings Information" on page 47
Procedure: "Enter Certification Information" on page 129
Procedure: "Hospitals: Psych and Rehab Units" on page 131
Procedure: "1135 Waiver Tracking for Hospitals" on page 136
Procedure: "Enter CMS-1539 Data" on page 187
Procedure: "Create and Conduct Surveys" on page 140
Procedure: "Record Deficiencies" on page 153
Procedure: "Create Revisit Surveys" on page 179
Procedure: "Monitor the Certification Process" on page 204
Procedure: "Enter CMS-670 Data" on page 183
Procedure: "Print CMS-2567" on page 184
Procedure: "Enter Application Worksheet Data - HOSPITAL" on page 190
Procedure: "Upload Certification Kits" on page 208
Procedure: "Change Status to Deemed" on page 242

Hospital: Deemed, No Survey

For a deemed Hospital that does not require a survey, you complete the following:

- Hospital Special Fields as applicable
- CMS-1539
- Application Worksheet

The applicable Hospital subtypes are:

- Short Term
- Long Term
- Psychiatric
- Rehabilitation
- Childrens
- Distinct Part Psych Hospital
- Critical Access Hospital
- Medicaid-only Short Term
- Medicaid-only Children's

- Medicaid-only Children's Psychiatric
- Medicaid-only Psychiatric
- Medicaid-only Rehabilitation
- Medicaid-only Long-term

When:

Accreditation Status (L10) on CMS-1539 *not* = 0 Not Accredited
Type of Action (L8) on CMS-1539 = 2 Recertification

Note: L10 is automatically set according to information in the Deemed By list on the Deemed/2802 tab.

Required Surveys:

None

Note: 1135 Waiver surveys can be created for eligible Hospital subtypes.

Deemed certification kits display in blue italics in the Tree view.

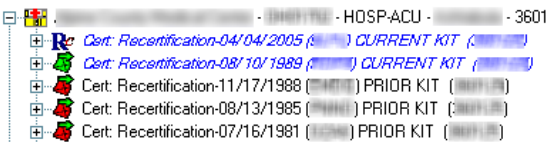


Figure 22: Deemed kits in Tree view

To create a certification kit for a deemed hospital:

1. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   The Create Certification command brings forward information from the current kit for the provider into the new kit to save data entry time.

2. Add or modify buildings/wings as needed.

   You are required to define at least one building/wing record for Hospitals.

3. On the **Certification & Surveys** tab of the **Certification** window, complete required and relevant fields including **Hospital Special Fields**.

   If you set Provides Swing Beds (SF44) to Yes, a swing bed survey is required.

   The Psychiatric Unit and Rehabilitation Unit sections in Hospital Special Fields are enabled as appropriate for Hospital subtypes.

   Note: Under the CMS 1135 Waiver rule, certification kits for certain Hospital subtypes can be flagged as waived on the Certification & Surveys tab.

4 On the **Transmittal (CMS-1539)** tab, enter required and relevant data.

Note: L34 is required for recertifications.It must be set manually for non-validation but deemed kits. In initial kits, it is set to the Original Participation Date (L24) and cannot be changed.

5 Enter and track deemed provider, AO, and CMS-2802 information.

6 Add and monitor certification process details on the **Tracking** tab.

7 Complete required forms.

Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

Note: If a deemed Hospital loses its accreditation before the next survey, you must create a new certification kit and survey(s).

More ...

Procedure: "Carry Forward of Hospital Certification Data" on page 113
Procedure: "Enter Buildings/Wings Information" on page 47
Procedure: "Enter Certification Information" on page 129
Procedure: "Hospitals: Psych and Rehab Units" on page 131
Procedure: "1135 Waiver Tracking for Hospitals" on page 136
Procedure: "Enter CMS-1539 Data" on page 187
Procedure: "Enter Deeming Information" on page 132
Procedure: "Monitor the Certification Process" on page 204
Procedure: "Enter Application Worksheet Data - HOSPITAL" on page 190
Procedure: "Upload Certification Kits" on page 208
Procedure: "Hospital: Deemed, Swing Bed Survey" on page 101
Procedure: "Change Status to Non-Deemed" on page 241

Hospital: Deemed, Non-Validation Survey

For a deemed Hospital that requires a non-validation survey (A-tag or swing bed), you complete the following:

- Hospital Special Fields as applicable
- CMS-1539
- Application Worksheet
- Survey and Forms

The applicable Hospital subtypes are:

Psychiatric

- Psychiatric
- Distinct Part Psych Hospital

- Medicaid-only Children's Psychiatric
- Medicaid-only Psychiatric

Swing Bed

- Short Term
- Long Term
- Rehabilitation
- Critical Access Hospital
- Medicaid-only Short Term
- Medicaid-only Children's
- Medicaid-only Rehabilitation
- Medicaid-only Long-term

When:

Accreditation Status (L10) on CMS-1539 *not* = 0 Not Accredited
Type of Action (L8) on CMS-1539 *not* = 5 Validation

Note: L10 is automatically set according to information in the Deemed By list on the Deemed/2802 tab.

Required Survey:

Health

ACO limits surveys and citations for non-validation surveys of deemed Hospitals to the allowed Federal regulation sets for the situation. For a deemed Psychiatric Hospital, you can survey and cite A tags. For a deemed Hospital with swing beds, only tags A1500-A1599 are permitted on upload. You can also work with applicable state regulation sets. LSC surveys are not allowed in either case.

Deemed certification kits display in blue italics in the Tree view.

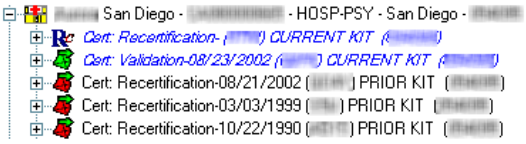


Figure 23: Deemed kits in Tree view

Note: If a deemed Hospital loses its accreditation before the next survey, you must create a new certification kit and survey(s).

More ...

Procedure: "Change Status to Non-Deemed" on page 241

Hospital: Deemed Psychiatric, A-tag Survey

The applicable Hospital subtypes are:

- Psychiatric
- Distinct Part Psych Hospital
- Medicaid-only Children's Psychiatric
- Medicaid-only Psychiatric

When:

Accreditation Status (L10) on CMS-1539 *not* = 0 Not Accredited
Type of Action (L8) on CMS-1539 *not* = 5 Validation

Note: L10 is automatically set according to information in the Deemed By list on the Deemed/2802 tab.

Required Survey:

Health

To create a certification kit for a deemed psychiatric hospital:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
3. Add or modify buildings/wings as needed.

   You are required to define at least one building/wing record for Hospitals.
4. On the **Certification & Surveys** tab of the **Certification** window, complete required and relevant fields including **Hospital Special Fields**.

   The Psychiatric Unit and Rehabilitation Unit sections in Hospital Special Fields are enabled as appropriate for Hospital subtypes.
5. On the **Transmittal (CMS-1539)** tab of the **Certification** window, verify the **Accreditation Status (L10)**.

   It must *not* be 0 Not Accredited.

   Note: L10 is automatically set according to information in the Deemed By list on the Deemed/2802 tab.
6. Enter and track deemed provider, AO, and CMS-2802 information.
7. Create/schedule a Health survey and enter citation information.

   You can cite A tags.
8. Create/schedule revisit surveys as needed.

9 Add and monitor certification process details on the **Tracking** tab.

10 Complete **CMS-670** and print **CMS-2567** for each survey.

11 Complete required forms.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: "Provider Records" on page 41
Procedure: "Carry Forward of Hospital Certification Data" on page 113
Procedure: "Enter Buildings/Wings Information" on page 47
Procedure: "Enter Certification Information" on page 129
Procedure: "Hospitals: Psych and Rehab Units" on page 131
Procedure: "Enter CMS-1539 Data" on page 187
Procedure: "Enter Deeming Information" on page 132
Procedure: "Create and Conduct Surveys" on page 140
Procedure: "Record Deficiencies" on page 153
Procedure: "Create Revisit Surveys" on page 179
Procedure: "Monitor the Certification Process" on page 204
Procedure: "Enter CMS-670 Data" on page 183
Procedure: "Print CMS-2567" on page 184
Procedure: "Enter Application Worksheet Data - HOSPITAL" on page 190
Procedure: "Upload Certification Kits" on page 208

Hospital: Deemed, Swing Bed Survey

The applicable Hospital subtypes are:

- Short Term
- Long Term
- Rehabilitation
- Critical Access Hospital
- Medicaid-only Short Term
- Medicaid-only Children's
- Medicaid-only Rehabilitation
- Medicaid-only Long-term

When:

Accreditation Status (L10) on CMS-1539 *not* = 0 Not Accredited
Type of Action (L8) on CMS-1539 *not* = 5 Validation
Provides Swing Beds (SF44) in Hospital Special Fields = Yes

Note: L10 is automatically set according to information in the Deemed By list on the Deemed/2802 tab.

Required Survey:

Health (swing bed)

Only tags A1500-1599 will be uploaded.

To create a certification kit for a deemed swing bed hospital:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
3. Add or modify buildings/wings as needed.

   You are required to define at least one building/wing record for Hospitals.
4. On the **Certification & Surveys** tab of the **Certification** window, set **Provides Swing Beds (SF44)** in **Hospital Special Fields** to **Yes**.

   You must do this in order to create a swing bed survey. It is set to No by default.
5. On the **Certification & Surveys** tab, complete other required and relevant fields.

   The Psychiatric Unit and Rehabilitation Unit sections in Hospital Special Fields are enabled as appropriate for Hospital subtypes.

   Note: Under the CMS 1135 Waiver rule, certification kits for certain Hospital subtypes can be flagged as waived on the Certification & Surveys tab.
6. On the **Transmittal (CMS-1539)** tab, verify the **Accreditation Status (L10)**.

   It must *not* be 0 Not Accredited.

   Note: L10 is automatically set according to information in the Deemed By list on the Deemed/2802 tab.
7. Enter and track deemed provider, AO, and CMS-2802 information.
8. Create/schedule a swing bed Health survey and enter citation information.

   To maintain compatibility with ASE-Q, ACO does not prohibit A-tag citations. For deemed Hospitals, however, only swing bed tags (A1500-1599) are uploaded.
9. Create/schedule revisit surveys as needed.
10. Add and monitor certification process details on the **Tracking** tab.

11 Complete **CMS-670** and print **CMS-2567** for each survey.

12 Complete required forms.

Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

Note: If you need to change Provides Swing Beds (SF44) from Yes to No for a deemed Hospital and the certification kit has not been uploaded, you must first delete the existing survey.

More ...

Procedure: "Provider Records" on page 41
"Carry Forward of Hospital Certification Data" on page 113
Procedure: "Enter Buildings/Wings Information" on page 47
Procedure: "Enter Certification Information" on page 129
"Hospitals: Psych and Rehab Units" on page 131
Procedure: "1135 Waiver Tracking for Hospitals" on page 136
Procedure: "Enter CMS-1539 Data" on page 187
Procedure: "Enter Deeming Information" on page 132
Procedure: "Create and Conduct Surveys" on page 140
Procedure: "Record Deficiencies" on page 153
Procedure: "Create Revisit Surveys" on page 179
"Monitor the Certification Process" on page 204
Procedure: "Enter CMS-670 Data" on page 183
Procedure: "Print CMS-2567" on page 184
Procedure: "Enter Application Worksheet Data - HOSPITAL" on page 190
Procedure: "Upload Certification Kits" on page 208

Hospital: Deemed, Validation Survey

For a deemed Hospital that requires a validation survey, you complete the following:

- Hospital Special Fields as applicable
- CMS-1539
- Application Worksheet
- Survey(s) and forms

The applicable Hospital subtypes are:

- Short Term
- Long Term
- Psychiatric
- Rehabilitation

- Childrens
- Distinct Part Psych Hospital
- Critical Access Hospital
- Medicaid-only Short Term
- Medicaid-only Children's
- Medicaid-only Children's Psychiatric
- Medicaid-only Psychiatric
- Medicaid-only Rehabilitation
- Medicaid-only Long-term

When:

Accreditation Status (L10) on CMS-1539 *not* = 0 Not Accredited
Type of Action (L8) on CMS-1539 = 5 Validation

Note: L10 is automatically set according to information in the Deemed By list on the Deemed/2802 tab.

Survey(s):

Health (required)
LSC (optional)

Deemed certification kits display in blue italics in the Tree view.

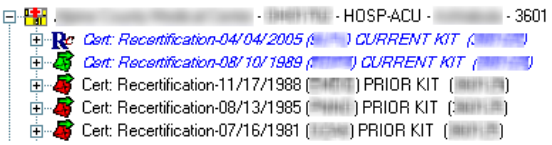


Figure 24: Deemed kits in Tree view

To create a certification kit for a deemed hospital requiring a validation survey:

1. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.

2 Add or modify buildings/wings as needed.

You are required to define at least one building/wing record for Hospitals.

3 On the **Certification & Surveys** tab of the **Certification** window, complete required and relevant fields including **Hospital Special Fields**.

The Psychiatric Unit and Rehabilitation Unit sections in Hospital Special Fields are enabled as appropriate for Hospital subtypes.

Note: Under the CMS 1135 Waiver rule, certification kits for certain Hospital subtypes can be flagged as waived on the Certification & Surveys tab.

4 On the **Transmittal (CMS-1539)** tab of the **Certification** window, verify the **Accreditation Status (L10)**.

It must *not* be 0 Not Accredited.

Note: L10 is automatically set according to information in the Deemed By list on the Deemed/2802 tab.

5 For **Type of Action (L8)**, select **5 Validation**.

6 Enter and track deemed provider, AO, and CMS-2802 information.

7 Create/schedule a Health survey and enter citations if deficiencies are found.

In the Create Health Survey/Survey Properties window, I-Recertification and G-Validation are pre-selected for Type of Survey.

Note: You can add an LSC survey as appropriate, but it is not required.

8 Create/schedule revisit surveys as needed.

9 Add and monitor certification process details on the **Tracking** tab.

10 Complete **CMS-670** and print **CMS-2567** for each survey.

11 Complete required forms.

States should use their previously established procedures to notify the Regional Office of validation survey results. RO Receipt Date (L32) is required for validation surveys.

Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

Note: If a deemed Hospital loses its accreditation before the next survey, you must create a new certification kit and survey(s).

More ...

"Carry Forward of Hospital Certification Data" on page 113
Procedure: "Enter Buildings/Wings Information" on page 47
Procedure: "Enter Certification Information" on page 129
"Hospitals: Psych and Rehab Units" on page 131
Procedure: "1135 Waiver Tracking for Hospitals" on page 136
Procedure: "Enter CMS-1539 Data" on page 187
Procedure: "Enter Deeming Information" on page 132
Procedure: "Create and Conduct Surveys" on page 140
Procedure: "Record Deficiencies" on page 153
Procedure: "Create Revisit Surveys" on page 179
"Monitor the Certification Process" on page 204
Procedure: "Enter CMS-670 Data" on page 183
Procedure: "Print CMS-2567" on page 184
Procedure: "Enter Application Worksheet Data - HOSPITAL" on page 190
Procedure: "Upload Certification Kits" on page 208
Procedure: "Change Status to Non-Deemed" on page 241

Hospital: Deemed, Full Survey After Complaint

If a complaint investigation of a deemed Hospital finds Conditions of Participation (COPs) that are out of compliance, the Regional Office will request that the State Agency conduct a full survey. You complete the following:

- Hospital Special Fields as applicable
- CMS-1539
- Application Worksheet
- Survey(s) and Forms

The applicable Hospital subtypes are:

- Short Term
- Long Term
- Psychiatric

- Rehabilitation
- Childrens
- Distinct Part Psych Hospital
- Critical Access Hospital
- Medicaid-only Short Term
- Medicaid-only Children's
- Medicaid-only Children's Psychiatric
- Medicaid-only Psychiatric
- Medicaid-only Rehabilitation
- Medicaid-only Long-term

When:

Accreditation Status (L10) on CMS-1539 *not* = 0 Not Accredited
Type of Action (L8) on CMS-1539 = 8 Full Survey After Complaint

Note: L10 is automatically set according to information in the Deemed By list on the Deemed/2802 tab.

Survey(s):

Health (required)
LSC (optional)

Deemed certification kits display in blue italics in the Tree view.

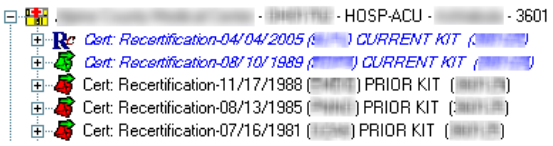


Figure 25: Deemed kits in Tree view

To create a Full Survey After Complaint kit for a deemed hospital:

1. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.

2. Add or modify buildings/wings as needed.

   You are required to define at least one building/wing record for Hospitals.

3 On the **Certification & Surveys** tab of the **Certification** window, complete required and relevant fields including **Hospital Special Fields**.

The Psychiatric Unit and Rehabilitation Unit sections in Hospital Special Fields are enabled as appropriate for Hospital subtypes.

Note: Under the CMS 1135 Waiver rule, certification kits for certain Hospital subtypes can be flagged as waived on the Certification & Surveys tab.

4 On the **Transmittal (CMS-1539)** tab of the **Certification** window, verify the **Accreditation Status (L10)**.

It must *not* be 0 Not Accredited.

Note: L10 is automatically set according to information in the Deemed By list on the Deemed/2802 tab.

5 For **Type of Action (L8)**, select **8 Full Survey After Complaint**.

6 Enter and track deemed provider, AO, and CMS-2802 information.

7 Create/schedule a Health survey and enter citations if deficiencies are found.

In the Create Health Survey/Survey Properties window, I-Recertification is pre-selected for Type of Survey.

Note: You can add an LSC survey as appropriate, but it is not required. If an LSC survey is not performed, clear the LSC Performed for this Cert checkbox on the Certification & Surveys tab of the certification kit.

8 Create/schedule revisit surveys as needed.

9 Add and monitor certification process details on the **Tracking** tab.

10 Complete **CMS-670** and print **CMS-2567** for each survey.

11 Complete required forms.

Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

Note: If a deemed Hospital loses its accreditation before the next survey, you must create a new certification kit and survey(s).

More ...

"Carry Forward of Hospital Certification Data" on page 113
Procedure: "Enter Buildings/Wings Information" on page 47
Procedure: "Enter Certification Information" on page 129
"Hospitals: Psych and Rehab Units" on page 131
Procedure: "1135 Waiver Tracking for Hospitals" on page 136
Procedure: "Enter CMS-1539 Data" on page 187
Procedure: "Enter Deeming Information" on page 132
Procedure: "Create and Conduct Surveys" on page 140
Procedure: "Record Deficiencies" on page 153
Procedure: "Create Revisit Surveys" on page 179
"Monitor the Certification Process" on page 204
Procedure: "Enter CMS-670 Data" on page 183
Procedure: "Print CMS-2567" on page 184
Procedure: "Enter Application Worksheet Data - HOSPITAL" on page 190
Procedure: "Upload Certification Kits" on page 208
Procedure: "Change Status to Non-Deemed" on page 241

Hospital: Non-Participating

Emergency and Federal non-participating hospitals (HOSP-NP) have skeleton records, which consist of the basic provider information captured on the 1539.

You cannot add new certification kits to existing NP Hospitals. When new information is received, simply update the existing certification. You can, however, create a new initial certification kit if you add an NP Hospital to the database.

The applicable Hospital subtype is Non-participating.

Existing Non-participating Hospital

For an existing NP Hospital, you must:

- Rebuild the initial certification from the stub kit.
- Update NP provider data on the CMS-1539.

To create a certification kit for an existing NP Hospital:

1. Rebuild the initial certification kit from the stub.
2. Right-click the rebuilt certification, and select **Certification Kit**.
3. On the **Certification & Surveys** tab of the **Certification** window, complete relevant fields.

   Hospital Special Fields are not enabled for Non-participating Hospitals.
4. On the **Transmittal (CMS-1539)** tab of the **Certification** window, complete the required fields: **Survey Date (L34)**, bed counts **(L18**, **L17)**, and **Termination Code (L30)**.

   You can optionally specify an **Intermediary/Carrier No. (L31)**, i.e., MAC.

   Note: If you change the selected MAC here, Prior Intermediary # (SF01) is automatically set or updated as appropriate on the Certification & Surveys tab.

Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Rebuild a Historical Kit” on page 225
Procedure: “Enter Certification Information” on page 129
Screen: "Transmittal (CMS-1539)" on page 354
Procedure: “Upload Certification Kits” on page 208

New Non-participating Hospital

For a new NP Hospital, you must:

- Add a provider record to the database.

  Only ROs can create a provider record for Canadian or Mexican NP Hospitals.
- Create an initial certification kit.
- Enter NP provider data on the CMS-1539.

To create a certification kit for a new NP Hospital:

1. For a new **NP** provider in the U.S., create a **HOSP-NP** provider record.

   RO - To create provider records for NP Hospitals in Canada or Mexico:

   ➥ On the **Type** tab, right-click the **01- Hospital** node and select **Create Canadian Hospital** or **Create Mexican Hospital** as applicable.

2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

3. On the **Certification & Surveys** tab of the **Certification** window, complete relevant fields.

   Hospital Special Fields are not enabled for Non-participating Hospitals.

4. On the **Transmittal (CMS-1539)** tab of the **Certification** window, complete the required fields.

   The required fields are: **Survey Date (L34)**, bed counts **(L18, L17)**, and **Termination Code (L30)**. You can optionally complete **Facility Meets** and **Intermediary/Carrier No. (L31)**, i.e., MAC.

   Note: If you change the selected MAC (L31), Prior Intermediary # (SF01) is automatically set or updated as appropriate on the Certification & Surveys tab.

Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Certification Information” on page 129
Screen: "Transmittal (CMS-1539)" on page 354
Procedure: “Upload Certification Kits” on page 208

Hospital: Transplant

The certification process for Transplant Hospitals is similar to that for other non-deemed providers. You complete the following:

- CMS-1539
- Transplant Programs
- Surveys and Forms

The applicable Hospital subtype is Transplant.

When:

Accreditation Status (L10) on CMS-1539 = 0 Not Accredited

Note: L10 is automatically set according to information in the Deemed By list on the Deemed/2802 tab.

Required Survey:

Health

To create a certification kit for a Transplant Hospital:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
3. On the **Certification & Surveys** tab of the **Certification** window, complete required and relevant fields.

   Special Fields and Hospital Special Fields are not included in Transplant Hospital kits.
4. Create/schedule survey(s).

   A Health survey is required for Transplant Hospitals.
5. Enter citations based on deficiencies found during the survey(s).
6. Create/schedule revisit surveys as needed.
7. Add and monitor certification process details on the **Tracking** tab.

8 Complete **CMS-670** and print **CMS-2567** for each survey.

9 Complete required forms.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: "Provider Records" on page 41
"Carry Forward of Hospital Certification Data" on page 113
Procedure: "Enter Certification Information" on page 129
Procedure: "Create and Conduct Surveys" on page 140
Procedure: "Record Deficiencies" on page 153
Procedure: "Create Revisit Surveys" on page 179
"Monitor the Certification Process" on page 204
Procedure: "Enter CMS-670 Data" on page 183
Procedure: "Print CMS-2567" on page 184
Procedure: "Enter CMS-1539 Data" on page 187
Procedure: "Enter Transplant Programs Data - HOSPITAL" on page 191
Procedure: "Upload Certification Kits" on page 208

Carry Forward of Hospital Certification Data

When you use the Create Certification option (enabled when appropriate, right-click a provider in the Tree view) to open a new certification kit for a Hospital, ASPEN brings forward the following information (as applicable) from the current kit for the provider into the new certification kit.

- Hospital Special Fields
- Accreditation Status and Deemed indicator
- CHOW date (if any)
- Total Facility Beds
- Intermediary/Carrier No. (MAC)
- Fiscal Year Ending Date

NH Certification Kits

To create a certification kit for a NH:

1. Create a new provider record if necessary.
2. Add or modify buildings/wings as needed.

   You are required to define at least one building/wing record for NHs.
3. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
4. On the **Certification & Surveys** tab of the **Certification** window, enter certification information and **CMS-2786** data.
5. Create/schedule survey(s).
6. Enter citations based on deficiencies found during the survey(s).
7. Create/schedule revisit surveys as needed.
8. Add and monitor certification process details on the **Tracking** tab.
9. Complete **CMS-670** and print **CMS-2567** for each survey.
10. Complete required forms: **CMS-1539**, **CMS-671**, **CMS-672**.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Buildings/Wings Information” on page 47
Procedure: “Enter Certification Information” on page 129
Procedure: “Enter CMS-2786 Data” on page 192
Procedure: “Create and Conduct Surveys” on page 140
Procedure: “Record Deficiencies” on page 153
Procedure: “Create Revisit Surveys” on page 179
“Monitor the Certification Process” on page 204
Procedure: “Enter CMS-670 Data” on page 183
Procedure: “Print CMS-2567” on page 184
Procedure: “Enter CMS-2786 Data” on page 192
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Enter CMS-671 Data - NH” on page 193
Procedure: “Enter CMS-672 Data - NH” on page 193
Procedure: “Upload Certification Kits” on page 208

HHA Certification Kits

To create a certification kit for an HHA:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
3. On the **Certification & Surveys** tab of the **Certification** window, enter certification information.
4. Enter and track deemed provider, AO, and CMS-2802 information.
5. Create/schedule survey(s).

   Note: For deemed HHAs, only validation surveys need to be created and uploaded.
6. Enter citations based on deficiencies found during the survey(s).
7. Create/schedule revisit surveys as needed.
8. Add and monitor certification process details on the **Tracking** tab.
9. Complete **CMS-670** and print **CMS-2567** for each survey.
10. Complete required forms: **CMS-1539**, **CMS-1572A**.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Certification Information” on page 129
Procedure: “Enter Deeming Information” on page 132
Procedure: “Create and Conduct Surveys” on page 140
Procedure: “Record Deficiencies” on page 153
Procedure: “Create Revisit Surveys” on page 179
“Monitor the Certification Process” on page 204
Procedure: “Enter CMS-670 Data” on page 183
Procedure: “Print CMS-2567” on page 184
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Enter CMS-1572A Data - HHA” on page 194
Procedure: “Upload Certification Kits” on page 208

XRAY Certification Kits

To create a certification kit for an XRAY provider:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
3. On the **Certification & Surveys** tab of the **Certification** window, enter certification information.
4. Create/schedule survey(s).
5. Enter citations based on deficiencies found during the survey(s).
6. Create/schedule revisit surveys as needed.
7. Add and monitor certification process details on the **Tracking** tab.
8. Complete **CMS-670** and print **CMS-2567** for each survey.
9. Complete required forms: **CMS-1539**, **CMS-1880**.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Certification Information” on page 129
Procedure: “Create and Conduct Surveys” on page 140
Procedure: “Record Deficiencies” on page 153
Procedure: “Create Revisit Surveys” on page 179
“Monitor the Certification Process” on page 204
Procedure: “Enter CMS-670 Data” on page 183
Procedure: “Print CMS-2567” on page 184
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Enter CMS-1880 Data - XRAY” on page 195
Procedure: “Upload Certification Kits” on page 208

OPT/SP Certification Kits

To create a certification kit for an OPT/SP provider:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
3. On the **Certification & Surveys** tab of the **Certification** window, enter certification information.
4. Enter and track deemed provider, AO, and CMS-2802 information.
5. Create/schedule survey(s).

   Note: For deemed OPT/SPs, only validation surveys need to be created and uploaded.
6. Enter citations based on deficiencies found during the survey(s).
7. Create/schedule revisit surveys as needed.
8. Add and monitor certification process details on the **Tracking** tab.
9. Complete **CMS-670** and print **CMS-2567** for each survey.
10. Complete required forms: **CMS-1539**, **CMS-1856**.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Certification Information” on page 129
Procedure: “Enter Deeming Information” on page 132
Procedure: “Create and Conduct Surveys” on page 140
Procedure: “Record Deficiencies” on page 153
Procedure: “Create Revisit Surveys” on page 179
“Monitor the Certification Process” on page 204
Procedure: “Enter CMS-670 Data” on page 183
Procedure: “Print CMS-2567” on page 184
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Enter CMS-1856 Data - OPT/SP” on page 196
Procedure: “Upload Certification Kits” on page 208

ESRD Certification Kits

To create a certification kit for an ESRD provider:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
3. On the **Certification & Surveys** tab of the **Certification** window, enter certification information.
4. Enter and track deemed provider, AO, and CMS-2802 information.
5. Create/schedule survey(s).
6. Enter citations based on deficiencies found during the survey(s).
7. Create/schedule revisit surveys as needed.
8. Add and monitor certification process details on the **Tracking** tab.
9. Complete **CMS-670** and print **CMS-2567** for each survey.
10. Complete required forms: **CMS-1539**, **CMS-3427**.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: "Provider Records" on page 41
Procedure: "Enter Certification Information" on page 129
Procedure: "Enter Deeming Information" on page 132
Procedure: "Create and Conduct Surveys" on page 140
Procedure: "Record Deficiencies" on page 153
Procedure: "Create Revisit Surveys" on page 179
"Monitor the Certification Process" on page 204
Procedure: "Enter CMS-670 Data" on page 183
Procedure: "Print CMS-2567" on page 184
Procedure: "Enter CMS-1539 Data" on page 187
Procedure: "Enter CMS-3427 Data - ESRD" on page 197
Procedure: "Upload Certification Kits" on page 208

SPRDF Certification Kits

Initial certification kits for Special Purpose Renal Dialysis Facilities (SPRDFs) can be flagged as waived in ASPEN and uploaded without a full onsite survey. Your agency will review these certifications under the 1135 Waiver rule. SPRDF providers are ESRD facilities (Type 091) with an assigned CCN range of xx3700 through xx3799 where xx is the applicable state code.

To create a certification kit for an SPRDF:

1. Create a new provider record if necessary.89+
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.
3. On the **Certification & Surveys** tab of the **Certification** window, enter certification information.
4. Enter and track deemed provider, AO, and CMS-2802 information.
5. Create/schedule an offsite 1135 Waiver survey.
6. Enter citations based on deficiencies found during the survey.
7. Create/schedule revisit surveys as needed.
8. Add and monitor certification process details on the **Tracking** tab.
9. Complete **CMS-670** (no onsite hours or travel time are required) and print the **CMS-2567**.
10. Complete required forms: **CMS-1539**, **CMS-3427**.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Certification Information” on page 129
Procedure: “Enter Deeming Information” on page 132
Procedure: “Create an 1135 Waiver Survey” on page 148
Procedure: “Record Deficiencies” on page 153
Procedure: “Create Revisit Surveys” on page 179
“Monitor the Certification Process” on page 204
Procedure: “Enter CMS-670 Data” on page 183
Procedure: “Print CMS-2567” on page 184
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Enter CMS-3427 Data - ESRD” on page 197
Procedure: “Upload Certification Kits” on page 208

RHC Certification Kits

To create a certification kit for an RHC provider:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
3. On the **Certification & Surveys** tab of the **Certification** window, enter certification information.
4. Enter and track deemed provider, AO, and CMS-2802 information.
5. Create/schedule survey(s).

   Note: For deemed RHCs, only validation surveys need to be created and uploaded.
6. Enter citations based on deficiencies found during the survey(s).
7. Create/schedule revisit surveys as needed.
8. Add and monitor certification process details on the **Tracking** tab.
9. Complete **CMS-670** and print **CMS-2567** for each survey.
10. Complete required forms: **CMS-1539**, **CMS-29**, **CMS-30E**.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Certification Information” on page 129
Procedure: “Enter Deeming Information” on page 132
Procedure: “Create and Conduct Surveys” on page 140
Procedure: “Record Deficiencies” on page 153
Procedure: “Create Revisit Surveys” on page 179
Procedure: “Monitor the Certification Process” on page 204
Procedure: “Enter CMS-670 Data” on page 183
Procedure: “Print CMS-2567” on page 184
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Enter CMS-29/30E Data - RHC” on page 197
Procedure: “Upload Certification Kits” on page 208

CORF Certification Kits

To create a certification kit for a CORF:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
3. On the **Certification & Surveys** tab of the **Certification** window, enter certification information.
4. Enter and track deemed provider, AO, and CMS-2802 information.
5. Create/schedule survey(s).
6. Enter citations based on deficiencies found during the survey(s).
7. Create/schedule revisit surveys as needed.
8. Add and monitor certification process details on the **Tracking** tab.
9. Complete **CMS-670** and print **CMS-2567** for each survey.
10. Complete required forms: **CMS-1539**, **CMS-359**.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Certification Information” on page 129
Procedure: “Enter Deeming Information” on page 132
Procedure: “Create and Conduct Surveys” on page 140
Procedure: “Record Deficiencies” on page 153
Procedure: “Create Revisit Surveys” on page 179
“Monitor the Certification Process” on page 204
Procedure: “Enter CMS-670 Data” on page 183
Procedure: “Print CMS-2567” on page 184
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Enter CMS-359 Data - CORF” on page 198
Procedure: “Upload Certification Kits” on page 208

ICF/IID Certification Kits

To create a certification kit for an ICF/IID:

1. Create a new provider record if necessary.
2. Add or modify buildings/wings as needed.

   You are required to define at least one building/wing record for ICFs/IID.
3. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
4. On the **Certification & Surveys** tab of the **Certification** window, enter certification information and **CMS-2786** data.
5. Create/schedule survey(s).
6. Enter citations based on deficiencies found during the survey(s).
7. Create/schedule revisit surveys as needed.
8. Add and monitor certification process details on the **Tracking** tab.
9. Complete **CMS-670** and print **CMS-2567** for each survey.
10. Complete required forms: **CMS-1539**, **CMS-3070G**.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Buildings/Wings Information” on page 47
Procedure: “Enter Certification Information” on page 129
Procedure: “Enter CMS-2786 Data” on page 192
Procedure: “Create and Conduct Surveys” on page 140
Procedure: “Record Deficiencies” on page 153
Procedure: “Create Revisit Surveys” on page 179
“Monitor the Certification Process” on page 204
Procedure: “Enter CMS-670 Data” on page 183
Procedure: “Print CMS-2567” on page 184
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Enter CMS-3070G Data - ICF/IID” on page 198
Procedure: “Upload Certification Kits” on page 208

ASC Certification Kits

To create a certification kit for an ASC:

1. Create a new provider record if necessary.
2. Optionally, add or modify buildings/wings.
3. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
4. On the **Certification & Surveys** tab of the **Certification** window, enter certification information and, optionally, **CMS-2786** data.
5. Enter and track deemed provider, AO, and CMS-2802 information.
6. Create/schedule survey(s).

   Note: For deemed ASCs, only validation surveys need to be created and uploaded.
7. Enter citations based on deficiencies found during the survey(s).
8. Create/schedule revisit surveys as needed.
9. Add and monitor certification process details on the **Tracking** tab.
10. Complete **CMS-670** and print **CMS-2567** for each survey.
11. Complete required forms: **CMS-1539** and **CMS-377**.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Buildings/Wings Information” on page 47
Procedure: “Enter Certification Information” on page 129
Procedure: “Enter CMS-2786 Data” on page 192
Procedure: “Enter Deeming Information” on page 132
Procedure: “Create and Conduct Surveys” on page 140
Procedure: “Record Deficiencies” on page 153
Procedure: “Create Revisit Surveys” on page 179
“Monitor the Certification Process” on page 204
Procedure: “Enter CMS-670 Data” on page 183
Procedure: “Print CMS-2567” on page 184
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Enter CMS-377/378E Data - ASC” on page 199
Procedure: “Upload Certification Kits” on page 208

Hospice Certification Kits

To create a certification kit for a hospice:

1. Create a new provider record if necessary.
2. Optionally, add or modify buildings/wings.
3. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification.**

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
4. On the **Certification & Surveys** tab of the **Certification** window, enter certification information and, optionally, **CMS-2786** data.
5. Enter and track deemed provider, AO, and CMS-2802 information.
6. Create/schedule survey(s).

   Note: For deemed Hospices, you need to enter and upload only validation surveys.
7. Enter citations based on deficiencies found during the survey(s).
8. Create/schedule revisit surveys as needed.
9. Add and monitor certification process details on the **Tracking** tab.
10. Complete **CMS-670** and print **CMS-2567** for each survey.
11. Complete required forms: **CMS-1539**, **CMS-417**, **CMS-643**.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Buildings/Wings Information” on page 47
Procedure: “Enter Certification Information” on page 129
Procedure: “Enter CMS-2786 Data” on page 192
Procedure: “Enter Deeming Information” on page 132
Procedure: “Create and Conduct Surveys” on page 140
Procedure: “Record Deficiencies” on page 153
Procedure: “Create Revisit Surveys” on page 179
Procedure: “Monitor the Certification Process” on page 204
Procedure: “Enter CMS-670 Data” on page 183

Procedure: “Print CMS-2567” on page 184
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Enter CMS-417 Data - Hospice” on page 200
Procedure: “Enter CMS-643 Data - Hospice” on page 201
Procedure: “Upload Certification Kits” on page 208

OPO Certification Kits

To create a certification kit for an OPO:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   The Create Certification command brings forward information from the current 9.5 or later kit, if one exists, into the new certification kit to save data entry time. If the current kit is a pre-ASPEN 9.5 skeleton kit, information is *not carried forward* into a new recertification kit.
3. On the **Certification & Surveys** tab of the **Certification** window, enter certification information.
4. Create/schedule survey(s).
5. Enter citations based on deficiencies found during the survey(s).
6. Create/schedule revisit surveys as needed.
7. Add and monitor certification process details on the **Tracking** tab.
8. Complete **CMS-670** and print **CMS-2567** for each survey.
9. Complete the **CMS-1539**.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Certification Information” on page 129
Procedure: “Create and Conduct Surveys” on page 140
Procedure: “Record Deficiencies” on page 153
Procedure: “Create Revisit Surveys” on page 179
Procedure: “Monitor the Certification Process” on page 204
Procedure: “Enter CMS-670 Data” on page 183
Procedure: “Print CMS-2567” on page 184
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Upload Certification Kits” on page 208

PRTF Certification Kits

To create a certification kit for a PRTF:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
3. On the **Certification & Surveys** tab of the **Certification** window, enter certification information.
4. Create/schedule survey(s).

   The survey can be onsite or offsite. If offsite, you cannot cite tags in Citation Manager.
5. Enter citations based on deficiencies found during the survey(s).
6. Create/schedule revisit surveys as needed.
7. Add and monitor certification process details on the **Tracking** tab.
8. Complete **CMS-670** and print **CMS-2567** for each survey.
9. Complete the **CMS-1539** and enter PRTF application data.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Certification Information” on page 129
Procedure: “Create and Conduct Surveys” on page 140
Procedure: “Record Deficiencies” on page 153
Procedure: “Create Revisit Surveys” on page 179
Procedure: “Monitor the Certification Process” on page 204
Procedure: “Enter CMS-670 Data” on page 183
Procedure: “Print CMS-2567” on page 184
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Enter Application Data - PRTF” on page 202
Procedure: “Upload Certification Kits” on page 208

CMHC Certification Kits

To create a certification kit for a CMHC:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
3. On the **Certification & Surveys** tab of the **Certification** window, enter certification information.
4. Create/schedule survey(s).
5. Enter citations based on deficiencies found during the survey(s).
6. Create/schedule revisit surveys as needed.
7. Add and monitor certification process details on the **Tracking** tab.
8. Complete **CMS-670** and print **CMS-2567** for each survey.
9. Complete the **CMS-1539** and enter **CMHC Add'l Information**.

Note: Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: "Provider Records" on page 41
Procedure: "Enter Certification Information" on page 129
Procedure: "Create and Conduct Surveys" on page 140
Procedure: "Record Deficiencies" on page 153
Procedure: "Create Revisit Surveys" on page 179
Procedure: "Monitor the Certification Process" on page 204
Procedure: "Enter CMS-670 Data" on page 183
Procedure: "Print CMS-2567" on page 184
Procedure: "Enter CMS-1539 Data" on page 187
Procedure: "Enter CMHC Add'l Information" on page 203
Procedure: "Upload Certification Kits" on page 208

FQHC Certification Kits

There are no surveys or regulation sets for FQHCs, so there are no survey, team, workload, or deficiency records.

To create a certification kit for an FQHC:

1. Create a new provider record if necessary.
2. Locate the provider in **Tree** view, right-click the provider name, and select **Create Certification**.

   If there is a current kit for the provider, the Create Certification command brings forward information into the new certification kit to save data entry time.
3. On the **Certification & Surveys** tab of the **Certification** window, enter certification information.
4. Add and monitor certification process details on the **Tracking** tab.
5. Complete the **CMS-1539** and enter skeleton data.

   You can enter only L31 and Remarks on the CMS-1539.

Note: If you change the selected MAC (L31), Prior Intermediary # (SF01) is automatically set or updated as appropriate on the Certification & Surveys tab.

Certification kits created on or after 07/01/2014 are automatically uploaded when complete. For certification kits created before 07/01/2014, you must manually upload the completed kit to national.

More ...

Procedure: “Provider Records” on page 41
Procedure: “Enter Certification Information” (below)
Procedure: “Monitor the Certification Process” on page 204
Procedure: “Enter CMS-1539 Data” on page 187
Procedure: “Enter Skeleton Data - FQHC” on page 203
Procedure: “Upload Certification Kits” on page 208

Enter Certification Information

You enter basic information about a certification on the Certification & Surveys tab of the certification kit.

To enter certification information:

1. Go to the **Certification Properties** section at the top of the **Certification & Surveys** tab.

   TrackID and Category are supplied by ASPEN. Surveys created in the certification kit will have Event IDs whose first four characters match the certification TrackID.

2. Select the certification **Status**.

   Open is selected by default.

3. Select the **Release for CMS Review?** checkbox if appropriate, and click **Yes** in the confirmation message.

   You can manually select this option to flag the kit and send an action item to the RO requesting a review before the kit is uploaded.

4. Click the **Facility Details** button to access the **Facility Properties for Certification** window. Click **Done** to return to the **Certification & Surveys** tab.

   Information is carried in from the provider record. Users with the appropriate button-level security can update certain fields if the certification kit is Current. For other users and Prior kits, the information displayed is read-only.

   The parent provider record in ASPEN is immediately updated with changes made here. If the kit has been accepted by national, another upload is automatically triggered as long as the certification kit otherwise qualifies for upload.

5. Click the **Buildings /Wings** button to open the Buildings/Wings window for the provider.

   You can view, add, modify, or delete buildings/wings.

6 Assign **Responsible Parties**.

You can designate both SA and RO responsible parties. There must always be at least one responsible party. Assignments made here are carried over to Responsible Parties on the Tracking tab and Regional/State Representatives grid on the Deemed/2802 tab, and vice versa.

7 For providers other than Nursing Homes, answer the IJ question (**COPs out of compliance - is there an IJ?**) above the Citation List grid *if* it is enabled.

The IJ indicator is enabled as appropriate and required when enabled.

8 Provide applicable information in the **Special Fields** section.

You may have to scroll down to see this section.

The Hospital Special Fields section is not enabled for Non-participating Hospitals or RNHCIs.

9 **Hospitals -** provide required and applicable information including Prospective Payment System (PPS) exemptions in the **Hospital Special Fields** section.

The Psychiatric Unit and Rehabilitation Unit sections in Hospital Special Fields are enabled as appropriate for Hospital subtypes.

10 Click **Done** to save the information and close the **Certification** window.

If you have not created a survey (new certification kit only), a message asks if you want to.

11 Click **Yes** if you want to create a survey, **No** if not.

When you close the Certification window, an Initial, Recertification, or Validation node, as appropriate, will appear below the provider in Tree view.

More ...

Screen: "Certification Properties and Responsible Parties" on page 334
Procedure: “Flag and Review Certification Kits” on page 218
Procedure: “Enter Buildings/Wings Information” on page 47
Procedure: “Assign Responsible Parties” below
Screen: "Special Fields" on page 338
Screen: "Hospital Special Fields" on page 339
Procedure: “Hospitals: Psych and Rehab Units” on page 131
Procedure: “Record PPS Exemptions” on page 220

Assign Responsible Parties

To assign a responsible party:

1. From the Responsible Parties section on the **Certification & Surveys** tab, click **Edit** to open the Responsible Parties window.
2. Click the **Add S.A.** or **Add R.O.** button to select the SA/RO member.
3. Type the first few letters of the last name or select the name from the drop-down list, and click **OK** to select that person and return to the Responsible Parties window.
4. Select the **Primary** checkbox to designate the primary responsible party.
5. Click **OK** to return to the Certification & Surveys tab.

More ...

Screen: "Responsible Parties" on page 342

Hospitals: Psych and Rehab Units

To record and update PPS exemptions for a Hospital, you must complete the Psychiatric Unit and Rehabilitation Unit sections (as applicable) in Hospital Special Fields on the Certification & Surveys tab. These sections are enabled for Hospital subtypes as follows:

- Short Term (011) - Psych and Rehab
- Psychiatric (012) - Rehab only
- Rehabilitation (013) - Psych only
- Critical Access (014) - Psych and Rehab
- Long Term (015) - Psych and Rehab
- Childrens (016) - Psych and Rehab
- Distinct Part Psych (018) - Rehab only
- Medicaid-only Short Term (01U) - Psych and Rehab
- Medicaid-only Childrens (01V) - Psych and Rehab
- Medicaid-only Childrens Psychiatric (01W) - Rehab only
- Medicaid-only Psychiatric (01X) - Rehab only
- Medicaid-only Rehabilitation (01Y) - Psych only
- Medicaid-only Long-term (01Z) - both Psych and Rehab

More ...

Procedure: “Record PPS Exemptions” on page 220
Screen: "Hospital Special Fields" on page 339

Enter Deeming Information

The Deemed/2802 tab is included in certification kits for all non-CLIA provider types that can be deemed. It provides a central point for entering and monitoring deeming/2802 information. On this tab, you can:

- View and enter provider/supplier deeming history (SA, RO)
- Start (RO) and track (SA, RO) State Survey Jurisdiction processes
- View (SA, RO) and override (RO) Accrediting Organization information
- Authorize state validation surveys (RO)

More ...

"Facility Types that Can Be Deemed" on page 670
Procedure: "View and Enter AO Information" (below)
Procedure: "Track State Survey Jurisdiction Processes" on page 180
Procedure: "View National AO History" on page 133
Procedure: "Override National AO Information" on page 133
Procedure: "Authorize State Validation Surveys" on page 134

View and Enter AO Information

The Deemed By grid displays the provider's deeming history. RO and state users can maintain the list of accreditation organizations. You enter and modify AO records in the Deemed By Detail window and the information is copied to the Deemed By grid.

To view deeming history:

➥ In **Tree** view, locate the applicable certification kit, right-click it, select **Certification Kit**, and go to the **Deemed/2802** tab.

The provider's deeming history is displayed in the Deemed By section.

To enter an AO record:

1. Click **Add** under the **Deemed By** grid to open the **Deemed By Detail** window.
2. Select the **AO** you want to add, enter the **Deeming Effective Date** and the **AO Termination Date**, if applicable.
3. Click **OK** to save the information and close the window.

   A warning message appears if AOs listed in the Deemed By grid do not match AOs in the national AO information table.
4. Note the discrepancies and click **OK** in the warning message.

To modify an AO record:

1. In the **Deemed By** grid, select an entry and click **Modify**.
2. In the **Deemed By Detail** window, make changes as needed.

3 Click **OK** to save the changes and close the window.

A warning message appears if AOs listed in the Deemed By grid do not match AOs in the national AO information table.

4 Note the discrepancies and click **OK** in the warning message.

To delete an AO record:

1 In the **Deemed By** grid, select the accreditation organization you want to delete and click **Delete**.

2 Click **Yes** in the confirmation message.

A warning message appears if AOs listed in the Deemed By grid do not match AOs in the national AO information table.

3 Note the discrepancies and click **OK** in the warning message.

More ...

Screen: "Deemed By" on page 349
Screen: "Deemed By Detail" on page 350

View National AO History

You can view the AO history in the national AO information table for the current provider. For successful upload of the certification kit, the AOs listed in the Deemed By grid in ACO/ARO must match the AOs in the national AO Information table.

To view AO history in the national table for the provider:

➥ On the **Deemed/2802** tab, click the **View National AO Information** button below the **Deemed By** section.

The National AO Information window opens and displays the provider's AO history from the national table. Only Y-matches, i.e., AOs matched to the current provider, are listed.

More ...

Screen: "National AO Information" on page 351

Override National AO Information

The Deemed By List Upload Override function is provided in ARO to prevent upload errors if information in the Deemed By list in ACO/ARO does not match that in the national AO information table. A warning is issued if there is a mismatch between ACO/ARO and the national table as a result of entering or removing an AO record in the Deemed By list in ACO/ARO, but ASPEN accepts the information. In order for a certification kit to be uploaded, however, the Deemed By list must be in sync with the national AO information table.

If there is a mismatch, the kit cannot be successfully uploaded until:

- The Deemed By list in ACO/ARO is updated to be in sync with the national table.

  -or-

- The RO uses the Deemed By List Upload Override to indicate the information in ASPEN is correct.

RO—To override the national AO information table:

➥ On the **Deemed/2802** tab in **ARO**, select the **Deemed By List Upload Override** checkbox below the **Deemed By** section.

A mismatch between the Deemed By List in ACO/ARO and the national AO information table will no longer prevent upload, and a warning will not appear if a (further) mismatch occurs as a result of entering or removing an AO record in the Deemed By list in ACO/ARO.

Authorize State Validation Surveys

RO

The Authorization for State Validation Survey (CMS 2802) section on the Deemed/2802 tab of certification kits for deemed providers facilitates communication between the RO and states when states need to perform validation surveys. The RO uses the Authorization section to both authorize a validation survey and inform the state of the authorization. This section supplies data for the CMS-2802.

Note: The Authorization for State Validation Survey (CMS 2802) section is read-only for SA users and in initial certification kits.

To authorize a validation survey:

1. In **ARO**, locate the certification kit in **Tree** view and right-click it.
2. Select **Certification Kit**, and go to the **Deemed/2802** tab.
3. In the **Authorization for State Validation Survey (CMS 2802)** section, click the **Start 2802 Process** button.

   All fields are disabled in the Authorization section until you press this button. Fields are then enabled and required as appropriate.

   Region is set to the current region and is read-only.

   The RO user who pressed the button is added to the Regional/State Representatives list and designated as Primary.
4. Enter the **Date Issued By RO**.

   It is set to today’s date by default, but you can change it.

5 In the **Regional/State Representatives** section, use the **Add S.A.** and **Add R.O.** buttons to add SA and RO staff members as needed.

You must add at least one primary State representative. You can add more RO representatives, but you cannot change the primary RO rep. Likewise, once you have designated a State representative as Primary, you cannot change that. Assignments made here are carried over to Responsible Parties on the Certification & Surveys and Tracking tabs, and vice versa.

6 Enter any **Comments**.

These remarks will appear on the CMS-2802 form.

7 Choose either the **60-Day** or **Midcycle** option.

➥ If you choose **60-Day**, select an accreditation organization in the **AO Name** list and enter **Scheduled End Date of Accreditation Survey**.

60 Days after Accreditation Survey is set to a read-only date 60 calendar days after the Scheduled End Date. Also, you should add the AO indicated in the AO Name field to the Deemed By list if it is not already there.

➥ If you choose **Midcycle**, AO Name and Scheduled End Date are cleared and disabled. The read-only 60 Days after Accreditation Survey field is also cleared, if populated.

8 In the **Currently Deemed By** box, select applicable accreditation organizations.

You must choose at least one accreditation organization. The selected AOs should usually correspond to AOs in the Deemed By list.

9 Select the applicable **Accreditation Survey Type**.

10 When the section is complete, click the **Send 2802 to State** button.

Warning messages are issued if required information is missing.

When complete, ASPEN sends an RO RESPONSE - VALIDATION action item/email to the RO and SA representatives, which notifies them of the CMS-2802. The button label changes to 2802 Sent to State.

11 To generate a printed CMS-2802, click **Print** at the bottom of the certification kit when you are on the Deemed/2802 tab.

You cannot print the CMS-2802 until a 2802 process is started, i.e., Date Issued By RO is specified.

More ...

Screen: "Deemed/2802" on page 349
Screen: "Authorization for State Validation Survey (CMS 2802)" on page 353

1135 Waiver Tracking for Hospitals

Under the CMS 1135 Waiver rule, certification kits for certain Hospital subtypes can be flagged as waived in ASPEN and uploaded with an offsite survey as the standard survey in specific situations. Your agency will review these certifications under the 1135 Waiver rule.

1135 waiver tracking includes certification-level tracking of 1135 waivers for Ambulatory Surgical Center (ASC) conversions to Short-term Acute Care Hospitals (011 ACU), Hospital swing bed expansion, and Freestanding Emergency Departments (FSED) conversion to ACU.

Two sections on the Certification & Surveys tab support 1135 waiver tracking:

- 1135 Waiver Type(s) in the Special Fields section
- Swing Bed Waiver Period(s) in the Swing Beds subsection of the Hospital Special Fields section

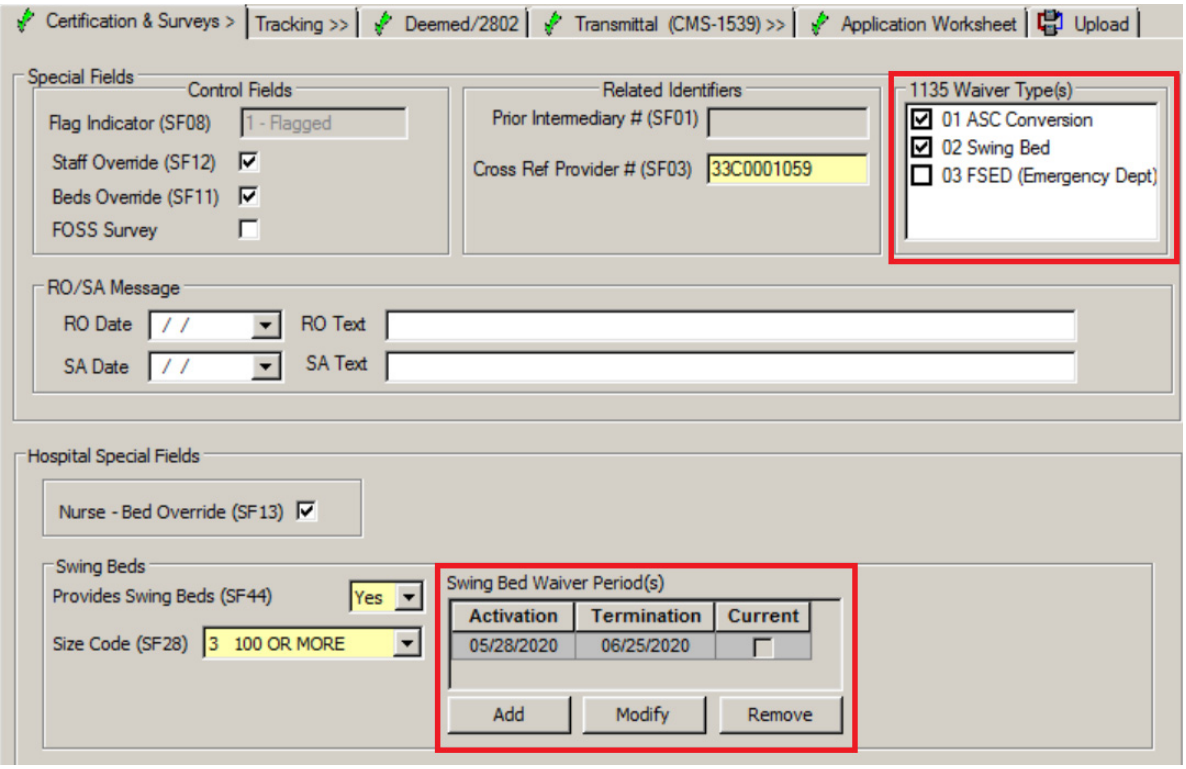


Figure 26: 1135 waiver related sections on Certification & Surveys tab

These sections are available when appropriate in new and existing certification kits for eligible Hospital subtypes.

1135 Waiver Type(s)

The 1135 Waiver Type(s) section designates the type(s) of waiver(s) in effect for the hospital. There are three possible waiver types, 01 ASC Conversion, 02 Swing Bed, and 03 FSED (Emergency Dept).

01 ASC Conversion

The 01 ASC Conversion option is available as an 1135 waiver type for ASCs newly converted to the 011 ACU Hospital type. The conversions do not involve change of status.

To flag an ASC to ACU conversion as 1135 waiver:

1. Create a new Hospital initial certification kit of type 011 Acute Care (ACU)/Short Term Hospital.
2. On the **Certification & Surveys** tab, go to the **Special Fields** section.
3. For **1135 Waiver Type(s)**, choose **01 ASC Conversion**.

   01 ASC Conversion is available as a waiver type only for 011 ACU Hospitals.
4. In the **Special Fields/Related Identifiers** section, enter the ASC provider number (CCN) as the **Cross Ref Provider # (SF03)**.
5. Create/schedule an offsite 1135 Waiver survey.

Note: More than one 1135 waiver type can be selected if appropriate. For example, an ACU Hospital created due to an ASC Conversion may at some point add swing bed capacities under the Swing Bed 1135 waiver. In that case, both waiver types 01 and 02 can be selected for the hospital as in Figure 26.

More ...

Procedure: “Hospital Certification Scenarios” on page 93
Screen: "Special Fields" on page 338
Procedure: “Create an 1135 Waiver Survey” on page 148

02 Swing Bed

To support hospital swing bed expansion, the 02 Swing Bed 1135 waiver type can be applied to existing initial certification, recertification, or validation kits for the following Hospital subtypes:

- 011 - SHORT TERM
- 013 - REHABILITATION
- 014 - CRITICAL ACCESS
- 01U - MEDICAID-ONLY SHORT TERM
- 01V - MEDICAID-ONLY CHILDREN'S
- 01Y - MEDICAID-ONLY REHABILITATION

To flag a swing bed expansion as 1135 waiver:

1. Open the applicable certification kit and go to the **Special Fields** section.
2. For **1135 Waiver Type(s)**, choose **02 Swing Bed**.

   This will be the only option available except for a 011 ACU Hospital created due to ASC Conversion, which may at some point add swing bed capacities under the Swing Bed 1135 waiver. In that case, both waiver types 01 and 02 will appear and can be selected for the hospital as in Figure 26.
3. In the **Hospital Special Fields** section, add or modify swing bed waiver periods as needed.
4. Create/schedule an offsite 1135 Waiver survey.

Note: More than one 1135 waiver type can be selected if appropriate. For example, an ACU Hospital created due to an ASC Conversion may at some point add swing bed capacities under the Swing Bed 1135 waiver. In that case, both waiver types 01 and 02 can be selected for the hospital as in Figure 26.

More ...

Screen: "Special Fields" on page 338
Screen: "Hospital Special Fields" on page 339
Procedure: “Swing Bed Waiver Period(s)” (below)
Procedure: “Create an 1135 Waiver Survey” on page 148

03 FSED (Emergency Dept)

The 03 FSED (Emergency Dept) option is available as an 1135 waiver type for FSEDs newly converted to the 011 ACU Hospital type.

To flag an FSED to ACU conversion as 1135 waiver:

1. Create a new Hospital initial certification kit of type 011 Acute Care (ACU)/Short Term Hospital.
2. On the **Certification & Surveys** tab, go to the **Special Fields** section.
3. For **1135 Waiver Type(s)**, choose **03 FSED (Emergency Dept)**.

   03 FSED (Emergency Dept) is available as a waiver type only for 011 ACU Hospitals.

   A Cross Ref Provider # (SF03) is not needed for FSED to ACU conversions.
4. Create/schedule an offsite 1135 Waiver survey.

More ...

Procedure: “Hospital Certification Scenarios” on page 93
Screen: "Special Fields" on page 338
Procedure: “Create an 1135 Waiver Survey” on page 148

Swing Bed Waiver Period(s)

The Swing Bed Waiver Period(s) section is available in the Swing Beds section in Hospital Special Fields when 02 Swing Bed is a waiver type option.

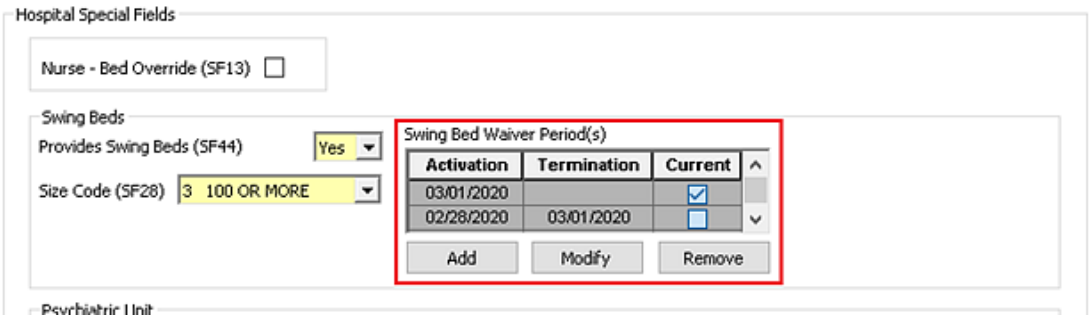


Figure 27: Swing Bed Waiver Period(s) section

Swing bed 1135 waiver periods are stored at the facility level. The Swing Bed Waiver Period(s) section lists all swing bed 1135 waiver periods for the facility with the most recent period listed first.

To add a swing bed waiver period:

1. On the **Certification & Surveys** tab of the certification kit, go to the **Hospital Special Fields** section.
2. Click the **Add** button under the grid.

   You will receive a message if you attempt to add a new swing bed waiver period when another period is active (marked as Current) with no Termination date.
3. In the **Swing Bed Waiver Period** window, enter the **Activation Date**.

   The Activation Date cannot be blank, must be on or after March 1, 2020, and must be after the latest swing bed waiver period. The periods cannot overlap with the exception of the Termination Date of one period matching the Activation Date of a subsequent period.
4. Click **OK**.

   The new waiver period is added at the top of the grid with Current automatically selected. Only one swing bed waiver period can be Current, with no Termination date.

To update a swing bed waiver period:

1. In the **Hospital Special Fields** section, click the **Modify** button under the grid.

   The latest waiver period is automatically selected, but you can choose another and then click Modify.

2. In the **Swing Bed Waiver Period** window, enter or change the **Activation Date** and/or **Termination Date**.

   The Termination date must be after the Activation date for the period.

   If you change the Activation or Termination Date, the period cannot overlap any other swing bed waiver period except that the Termination Date of one period can match the Activation Date of a subsequent period.

3. Click **OK**.

   If you added a Termination Date for the latest period, Current is automatically deselected in the grid.

To delete a swing bed waiver period:

1. In the **Hospital Special Fields** section, click the **Remove** button under the grid.

   The latest waiver period is automatically selected, but you can choose another and then click Remove.

2. Click **Yes** in the confirmation message.

   The waiver period is removed from the grid.

More ...

Screen: "Hospital Special Fields" on page 339

Create and Conduct Surveys

As part of the certification process, at least a standard Health survey will be created and conducted, *except* there are no surveys for FQHC providers, and survey requirements vary for Hospitals.

For applicable Hospital, NH, ICF/IID, ASC, ESRD, and Hospice providers, you create a Health and an LSC survey. For other providers (except FQHC), you create only a Health survey.

Note: You cannot create LSC surveys for providers that do not have at least one open building.

Create a Survey

A new survey can be set up at any time, even before the survey visit. For survey teams, the scheduling supervisor should set up a shell survey first, and then export it to team members. This makes it easier to combine the surveys from all team members.

Surveys have a status of either Open or Closed. You can change information or add new information to an open survey. You can view, but not make changes, to closed surveys.

Note: When a recertification survey and complaint/incident investigation are scheduled on the same day, we recommend creating a combined survey with one event ID rather than two separate surveys.

To create a survey:

1. Scroll to the **Survey List** section on the **Certification & Surveys** tab of the **Certification** window.
2. Click **New** to open the **Create Survey** window.

   You will receive a message if you try to create a survey for a closed provider. You can choose to continue or not.
3. Enter basic survey information.
   - **Start** and **Exit (X3)** dates - Exit date must be the same as or later than the Start date.
   - **Status** - Open is selected by default.
   - **IDR/IIDR** - Available by default for Federal NH providers. Available for Federal HHA providers if a COP is cited. Conditionally available for state-defined provider types.

     Click to enter Informal Dispute Resolution (IDR) and, for NHs only, Independent IDR (IIDR) information.

     Disabled until you close and reopen the survey.
   - **Shell Only** - NH, HHA. Selected by default for new surveys and revisits. Shell surveys are not added automatically to ASPEN Enforcement Manager (AEM) cases.
   - **Category** of survey.
   - **Regulation(s)** - Select those that apply.
   - **Team Roster** - Click Update to assign team members.
   - **Type of Survey** and **Extent(s)** - Select one or more.

- **SOD Tracking** information - Enter dates pertaining to the Statement of Deficiencies (SOD) when available.

  These dates are automatically entered by ePOC or surveys posted to ASPEN Web: ePOC.

- **2567/B Entry Complete** - Select when all CMS-2567 or CMS-2567B data entry is complete.

  Automatically selected by ePOC for surveys posted to ASPEN Web: ePOC.

- **Special Survey Tracking** - Track a special survey and assign non-surveyors as responsible parties.
- **Quality Indicator Survey**, **QIS Version**, **QIS Archived Date** - Displayed only for QIS surveys. For detailed information about QIS surveys, see the latest version of the *QIS IT and Surveyor Guide*.

4 Click **OK** and click **Yes** in the message to enter citation details now, or click **No** and enter them later.

No is the default.

➥ To enter citations later, select the survey in the **Survey List** section on the **Certification & Surveys** tab and click **Citations Mgr**.

5 For a read-only view of surveyors' remarks from all surveys linked to a certification, click the **View All Non-Confidential Remarks** button at the bottom of the certification kit.

6 To see who last updated a survey, locate it in the **ACO Tree**, right-click, and select **Last Updated By**.

You will see the Staff Name and ID of the person who updated the survey, and the Date/Time of the update.

More ...

Screen: "Survey List" on page 337
Screen: "Create Survey/Survey Properties Window" on page 401
Procedure: “Assign Team Members” on page 150
Procedure: “Enter IDR/Independent IDR Information” on page 223
Procedure: “Assign Regulation Sets” on page 152
Procedure: “Record Deficiencies” on page 153
Procedure: “Create a Special Survey” (below)
“Surveys Allowed for Hospitals” on page 674

Create a Special Survey

Special surveys can be specified under Type of Survey in Survey Properties. They are listed after M-Other. The available special survey types are:

All Federal provider types

- U-COVID19

Nursing Home

- N-MDS
- O-Dementia Care
- P-Adverse Events
- Q-QAPI

Hospital

- Q-QAPI
- R-Discharge Planning
- T-Infection Control

Note: For CLIA-specific special survey types, refer to the latest version of the *CLIA 116 and Certification Procedures Guide*, which is posted on https://qtso.cms.gov.

You cannot deselect M-Other when a special survey type is selected; when all special survey types are deselected, M-Other is automatically deselected.

The following rules apply to special surveys:

- Only one special survey per day is permitted for a provider.
- Special surveys can be combined on a single survey event record.
- Special surveys can be combined with certification and/or complaint survey events. In this case, each transaction type is uploaded independently from the others.
- Special surveys cannot be combined with FMS surveys.
- LSC surveys cannot currently be combined with any special survey categories.

- Special surveys can be created only for providers on national, i.e., providers with an accepted certification kit on national.
- An initial survey must be a special survey for a revisit to be a special survey. That is, if special survey types are not selected on the initial, special types cannot be selected on follow-up surveys. Correspondingly, special types cannot be removed from an initial survey if they are still selected on related follow-up surveys.

You can generate the Special Survey Report with details such as facility CCN and name; survey event ID, type, extent, and team composition. Report criteria include date range, special survey type(s), and facility type(s).

To create a special survey:

1. Follow the usual steps for creating a survey.
2. Under **Type of Survey**, choose the applicable special survey category/ies.

   Note: In a combined survey, each survey type is uploaded to national as an independent transaction.

You can assign non-surveyors to special surveys as responsible parties. They will be notified along with survey team members if an upload of a survey fails.

To assign a non-surveyor to a special survey:

1. Open **Survey Properties** for the survey.
2. In the **Special Survey Tracking** section, click the **Responsible Parties** button to open the **Manage Special Survey Responsible Parties** window.
3. Use the buttons to add SA and/or RO responsible parties, or delete assigned responsible parties as needed.
4. When you are done, click **Close**.

   The last names of the assigned staff members are displayed on the Responsible Parties button. An ellipsis (…) is added if all the names do not fit on the button.

To check for possible upload issues:

1. Open **Survey Properties** for the survey.
2. In the **Special Survey Tracking** section, click the **Show Edits** button to see any issues that may interfere with upload.

To generate the Special Survey Report:

1. From the **Reports** menu, select **Special Survey Report**.
2. In the **Choose Report Options** window, specify your report filtering criteria: **Report Dates** (**Start Date** and **End Date**), **Special Survey Type**(s), and **Facilities** (select one or more facility types); click **OK**.

   The report is generated and displayed in a preview window.

   Note: If you select a special survey type that doesn't apply to the selected facility type(s), e.g., T-Infection Control (Hospital special survey type) and Nursing Home facility type(s), the report will be blank.

3. To print or export the report, click **Print** or **Export** on the preview window's toolbar. Provide requested information, then click **OK**.

More ...

Procedure: "Create a Survey" on page 141
Survey Properties window with Special Survey Tracking section page 402

Create a COVID-19 Survey

ASPEN provides support for surveys that focus on infection control practices relating to the COVID-19 outbreak. These surveys can be created for all Federal provider types to track inspections that involve a special focus on infection control/COVID-19.

Create a COVID-19 Standalone or Combined Survey

For standalone surveys focusing on infection control–surveys not related to any other survey type such as standard certification or complaint–you can create a COVID-19 special survey. You can also combine a COVID-19 special survey with a standard certification or complaint visit. This special survey type is available for all Federal providers. Other special survey types are available only for a subset of providers.

When creating a survey for any Federal provider type, you will see the special survey value U-COVID19 in the Type of Survey list of the Survey Properties window.

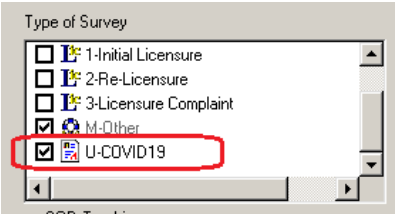


Figure 28: COVID19 special survey type

To create an infection control/COVID-19 special survey:

➥ In ASPEN 11.9.1 or later, follow the usual steps for creating a survey. For **Type of Survey**, choose **U-COVID19**.

Choose the COVID19 option by itself for a standalone COVID-19 special survey or along with the applicable standard survey type (certification or complaint) for a combined survey.

Note: In a combined survey, each survey type is uploaded to national as an independent transaction.

To generate the Special Survey Report for COVID-19 surveys:

1. From the **Reports** menu, select **Special Survey Report**.
2. In the **Choose Report Options** window, specify **Report Dates** (**Start Date** and **End Date**); for **Special Survey Type**, choose **U-COVID19**; and for **Facilities**, select the desired facility types.
3. Click **OK** to generate the report.

More ...

Procedure: "Create a Survey" on page 141
Procedure: "Create a Special Survey" on page 143

COVID-19 Extension to a Standard Survey

For informational purposes only, you can optionally select I-COVID19 under Extent(s) in the Survey Properties widow for a Federal survey in addition to selecting U-COVID19 for Type of Survey.

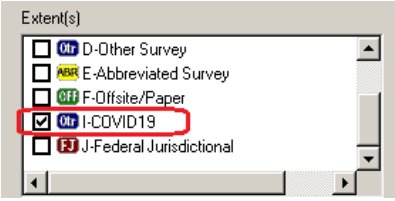


Figure 29: COVID19 survey extent

Do *not* use the I-COVID19 extent exclusively on a standard survey with a COVID-19 focus; the extent will not upload as an independent transaction. You *must* also select U-COVID19 for Type of Survey.

Note: Since licensure-only special surveys are not supported, states can set up an infection control/COVID-19 focused inspection as an extension of a licensure survey by selecting the COVID19 extent.

Access CDC Enforcement Surveys

ASPEN provides a highly automated Centers for Disease Control and Prevention (CDC) Reporting Enforcement process in ARO/AEM to facilitate CMS' tracking and management of compliance with CDC's COVID-19 reporting requirements for Nursing Homes. RO analysts track and manage CDC enforcement cases in ARO/AEM. Training materials with full details are available to ROs.

SAs can open desk surveys associated with CDC reporting enforcement cases from the Alpha, Type, and Cert/Survey trees in ACO. They are distinguished by the yellow RE (Reporting Enforcement) icon.

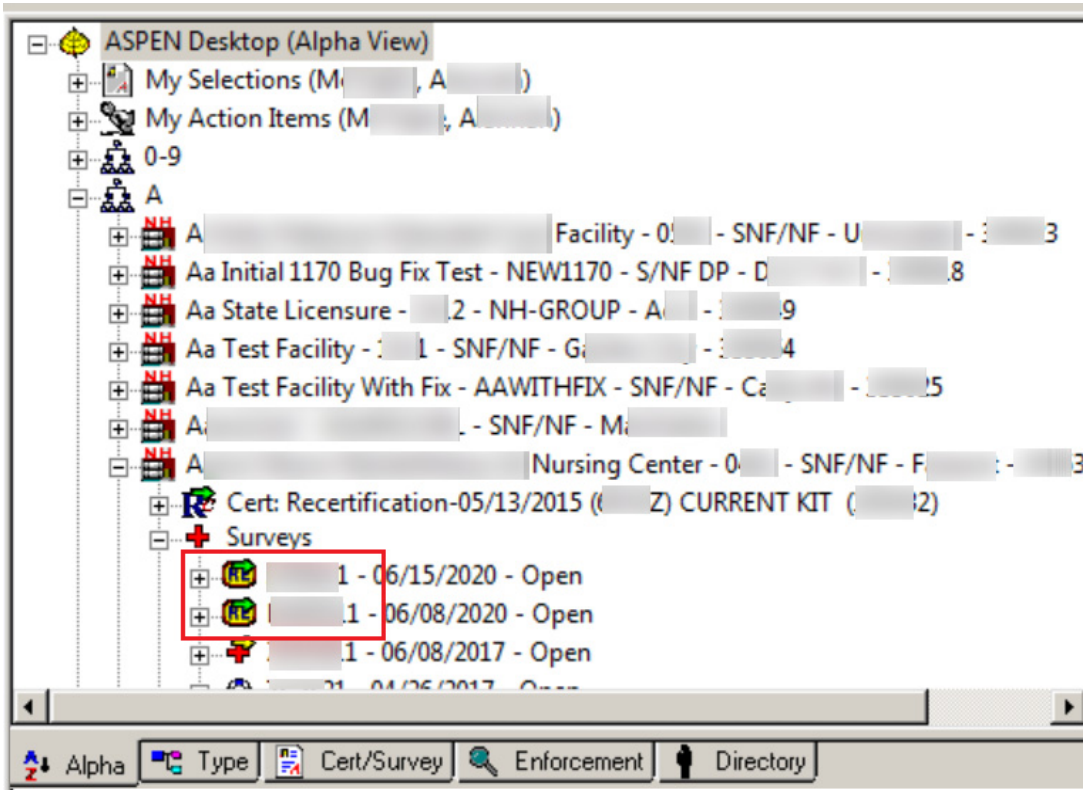


Figure 30: CDC enforcement surveys in the Alpha tree

These surveys are read-only in ACO unless the RO has released an associated CDC enforcement case to a state on an individual basis. A message indicates a survey is read-only when you open it.

Create an 1135 Waiver Survey

Under the 1135 Waiver rule, certification kits can be flagged as waived in ASPEN and uploaded without a full onsite survey in the following situations.

- SPRDFs: Subtype of ESRDs (091) with CCN in the range of 3700-3799
- ASC conversions: Short Term aka Acute Care Hospitals - Hospital subtype HOSP-ACU (011) with CCN in the range of 0001-0879
- Hospital swing bed expansions:
  - 011 - SHORT TERM/ACU
  - 013 - REHABILITATION
  - 014 - CRITICAL ACCESS
  - 01U - MEDICAID-ONLY SHORT TERM
  - 01V - MEDICAID-ONLY CHILDREN'S
  - 01Y - MEDICAID-ONLY REHABILITATION

To flag a kit as waived for eligible Hospital subtypes, you will assign an 1135 waiver type in the kit and create an associated 1135 waiver survey. For SPRDFs, you just create the associated 1135 waiver survey.

For the 1135 waiver survey, you create a standard survey shell and assign both F-Offsite/Paper and W-1135 Waiver as extents and enter minimal 670 Workload hours. Your agency can then review and approve the certification under the 1135 Waiver rule.

To create an 1135 Waiver survey:

1. Follow the usual steps for creating a survey.
2. Under **Type of Survey**, choose **E-Initial Certification**.
3. For **Extent(s)**, select **F-Offsite/Paper** and **W-1135 Waiver**.

   The example below shows a standard certification survey with both F-Offsite/Paper [A] and W-1135 Waiver [B] assigned as extents to identify it as an 1135 Waiver survey.

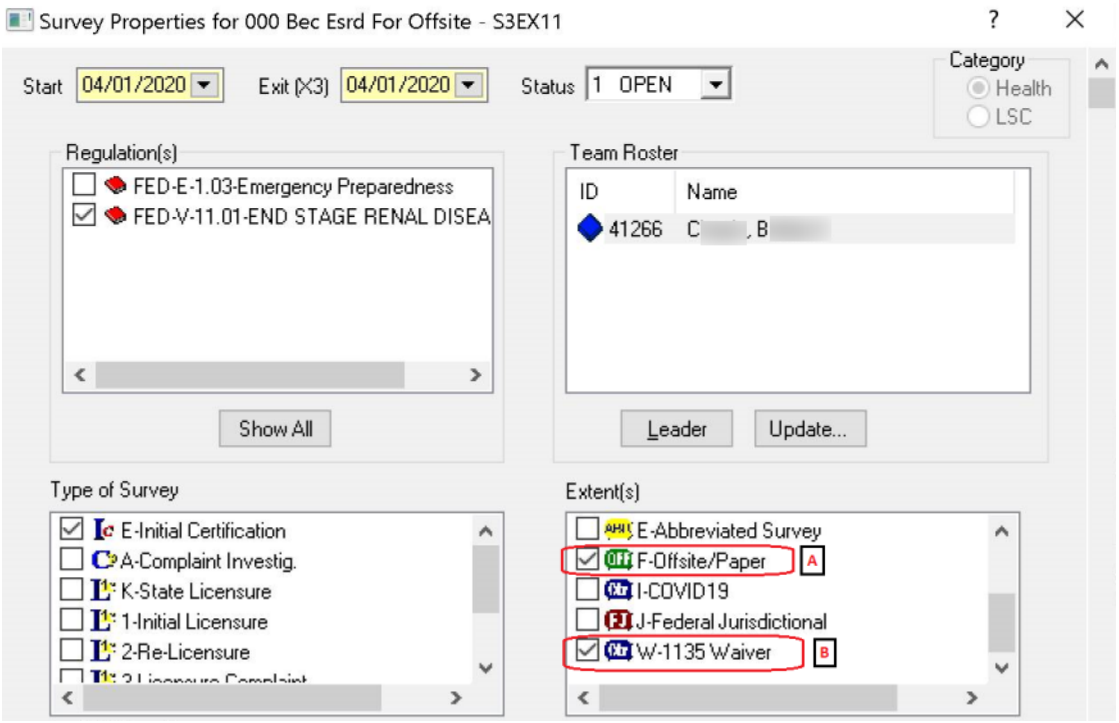


Figure 31: 1135 Waiver survey

4 Enter 670 Workload hours, the minimal .25 hr. each for Pre-Survey Hours, Offsite, and applicable Office Hours. No onsite hours or travel time are required.

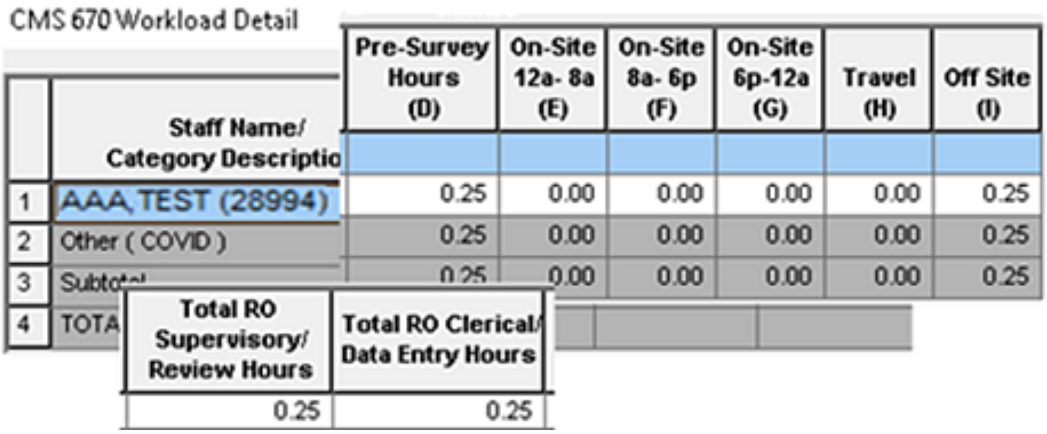


Figure 32: 670 Workload hours for 1135 waiver survey

More ...

Procedure: "SPRDF Certification Kits" on page 119
Procedure: "1135 Waiver Tracking for Hospitals" on page 136
Procedure: "Create a Survey" on page 141
Procedure: "Enter CMS-670 Data" on page 183

Assign Team Members

ACO - To make survey team assignments:

1. In the **Create Health Survey**/**Survey Properties** window, click **Update** to add or remove survey team members.
2. In the **Staff Availability List** window, select the surveyors you want on the team by clicking the applicable checkboxes.

   By default, the list of staff members is filtered by the Work Unit setting in the current My Selections set.

   The list of staff members is also filtered by the Facility Type setting in the current My Selections set in ACO and by Allowed Facility Types in the Enter/Update Surveyor window, so that only active surveyors who are eligible to work on surveys of the currently displayed facility types are included:

   - *if* you have AST installed
   - *and if* "Use facility types of active selection" is selected on the Scheduling tab of My Preferences in AST. It is deselected by default, so you must select it and then click Save Settings.

   If these conditions are not met, the list of staff members in the Staff Availability List window is not filtered by facility type.

   You can add special surveyors (icon has a red jacket) if they have been assigned proper survey rights through the State Working Access system.

   Note: A message appears if you select a staff member whose General Staff Type is 02 Clerical/Support (in the Enter/Update Surveyor Information window). You can choose whether to go ahead and add that staff member or not.

3. To remove a surveyor from the team, simply clear the applicable checkbox and click **Yes** in the confirmation prompt.

   Be sure you really want to remove the surveyor and all associated citations.

4. Click **OK** in the **Staff Availability List** window to return to the **Create Health Survey**/**Survey Properties** window.

   Surveyors you added are listed as team members in the Team Roster pane. Any surveyors you removed are no longer listed and all citations they wrote no longer appear in the Citations section of the Citation Manager.

ARO - To add a survey team member:

1. In the **Create Health Survey**/**Survey Properties** window, click **Update** to add surveyors.
2. In the **Add Team Member** window, enter the new team member's **Federal Surveyor ID** if you know it, then go to 4.
3. If you do not know the surveyor's Federal Surveyor ID, click **Find...** to search the database.
   - ➥ Enter **Search Text** and click **Find Now**.
   - ➥ In the **Search Results** list, select the surveyor you want and click **Select**.

     -or-
   - ➥ Double-click the surveyor.
4. In the **Add Team Member** window, **Save and Continue** to add another surveyor to the team, or **Save & Exit** to return to the **Create Health Survey**/**Survey Properties** window.

   When you return to the Create Health Survey/Survey Properties window, the surveyors you added are listed as team members in the Team Roster pane.

ARO - To remove a survey team member:

1. Click the **Alpha**, **Type**, or **Cert/Survey** tab and locate the survey you want.
2. Right-click the survey and select **Team Roster**.
3. Click **Yes** in the confirmation prompt if you really want to remove the surveyor and all citations written by the surveyor.

   The surveyor is no longer listed as a team member in the Team Roster window and all citations written by the surveyor are removed from the Citations section of the Citation Manager.
4. Click **Done.**

More ...

Screen: "Create Survey/Survey Properties Window" on page 401
Screen: "Staff Availability List window" on page 416

Assign Regulation Sets

Health surveys - only current applicable Federal regulation sets and any applicable state regulation sets for the provider type are listed.

To see all state regulation sets:

➥ Click **Show All**; click **Filter** to see the "filtered" list again.

All selected regulation sets are included in the filtered list. Federal K tags for LSC surveys are always excluded from the list.

LSC surveys - only Federal regulation sets that apply to the facility's buildings/wings are shown.

To see the Short Form K regulation set plus all state regulation sets:

➥ Click **Show All**.

If you specify both Federal and state survey types (Type of Survey), you must select at least one Federal regulation set. You cannot select more than one Federal set with the same prefix *unless* you have multiple buildings with different LSC Form indicators. You can select state regulation set(s) as well, but you cannot select only state regulation set(s).

You cannot select a Short Form regulation for an LSC survey if the exit date is on or after the cutoff date, which is currently the effective date of the LSC regulations that were released in November 2016.

Note: Upload of an LSC survey linked to a Short Form regulation is prevented if the survey's exit date is on or after the cutoff date.

To designate a regulation set as current:

➥ Right-click the regulation set in the Regulations node in Tree view | Regulation Properties, then enable **Regulation Set Currently Active** in the Regulation Set Properties window.

To designate regulation set(s) as applicable for a facility type:

➥ **ARO only -** Use path: System menu | Facility Types | Type Maintenance | select the facility type in the Facility Types window | Modify | Modify Facility Type window | select regulation set(s) in Allowed Regulation Sets.

➥ **ACO/ARO -** Right-click the regulation set in the Regulations node in Tree view | Regulation Properties | Facility Types Using These Regs | select facility type(s) in the Facilities Using this Reg window.

Note: State regulations can be assigned to Federal provider types, and Federal regulations to state provider types.

For LSC surveys, to designate a regulation set as applicable to a building:

➥ Right-click facility and follow path to Tree view | Facility Properties | Buildings/Wings tab | create/select building | select LSC Form Indicator (K7).

Record Deficiencies

Survey team members will record deficiencies found during the survey in the ASPEN Citation Manager. To add citations, you must be a member of the survey team. Supervisors can view and edit citations.

Individual citations are not uploaded as they are added or modified. Rather, all citations on a survey are sent together with the successful upload of the certification kit.

To record a deficiency:

1. Scroll to the **Survey List** section on the **Certification & Surveys** tab of the **Certification** window.
2. Select the applicable survey, then click the **Citations Mgr** button.

   If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click OK.
3. In the **Regulations** section of the **Citation Manager** window, select the tag you want to cite and drag it to the **Citations** section.

   Condition-level tags are displayed in green and marked (Condition) in both the Regulations and Citations sections.

   NH - SQC (Substandard Quality of Care) tags are shown in red in the Conditions section.
4. In the **Citation Properties** window, enter citation information.
5. Click **OK** and enter citation text in the **Citation** word processor.
6. Click **OK** to save the text and return to the **Citation Manager** window.
7. Repeat steps 3 through 6 for each citation.
8. To enter survey-level comments, select a surveyor in the **Team Roster** and click **Remarks-Non-Confidential**.
9. Attach supplemental materials in electronic format, if any, to the survey.

10 Click **Done** to exit the **Citation Manager** window.

Citations are shown in the Citation List section of the Certification window.

TIP: You can edit some fields directly on the Citation List grid. However, all fields are read-only for comment tags 0000 and 9999 and tags that are complaint-related only (Complaint is the only selected Citation Category in Citation Properties).

More ...

Screen: "Citation Manager window" on page 403
Procedure: "Specify Citation Properties" (below)
Procedure: "Enter Citation Text" on page 156
Procedure: "Enter Remarks-Non-Confidential" on page 162
Procedure: "Add Survey-Level Attachments" on page 177
Screen: "Citation List" on page 335

Specify Citation Properties

The Citation Properties window opens automatically when you create a citation. After that you can open it from the Citation Manager. The Scope/Severity field, Grid, Correction Date, and Buildings section are disabled or do not appear if they are not applicable.

If you are not a member of the survey team, you can view citations as a supervisor. This allows you to view, edit, and delete all citations.

To specify citation properties:

1 In the **Survey List** section on the **Certification & Surveys** tab, select the applicable survey.

2 Select the **Citations Mgr** button.

If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click OK.

3 Right-click a citation in the **Citations** section of the **Citation Manager** window and select **Citation Properties**.

4 In the **Citation Properties** window, enter applicable citation information.

Fields are disabled or do not appear if they don't apply.

5 Enter or select (from the Grid) the proper **Severity/Scope** rating if the regulations you are using require it.

➥ To see the Severity/Scope scale, click **Grid** and then click the appropriate letter.

When a Severity/Scope change is made for a tag anywhere in ASPEN, and the tag currently exists on a revisit survey, a warning notification appears informing users that the tag may require updating on that revisit survey as well.

6 **NH only -** Select the **Past Noncompliance** indicator if applicable.

This indicator is available when the exit date for an NH survey is on or after 11/01/2005. If you select this indicator for a citation on a standard survey, the Correction Date field is displayed and enabled.

You can cite Past Noncompliance (PNC) tags on a survey as well as current noncompliance tags. PNC citations are allowed on revisits.

7 Enter the **Correction Date** if applicable.

This field appears only for followup surveys except it will appear if you select Past Noncompliance for a citation on a standard NH survey.

Note: For Transplant Hospitals, Correction Date is entered at the transplant type level in the Citation Dates by Transplant Type window.

---

8 Select or deselect **Citation Category** as appropriate.

All categories are selected by default, so you must deselect any that do not apply. For a combined survey, be sure that all categories to which the tag applies are selected.

9 For an **LSC** survey, select the **Buildings** to which the citation applies.

This field is displayed only for LSC surveys. Only buildings associated with the regulation set that the tag belongs to can be selected.

10 If applicable, provide tag-level POC dates in the **POC Detail** section.

NH - This section is disabled if the PNC indicator is selected.

These dates are automatically entered by ePOC for surveys posted to ASPEN Web: ePOC.

11 **Transplant Hospitals -** Select the transplant types (programs) to associate with the citation.

12 Enter **Completion** (X5) and **Correction** dates for each transplant type associated with the citation.

More ...

Screen: "Citation Properties window" on page 405
Screen: "Citation Properties window - NH" on page 407
Screen: "Citation Properties window - LSC Revisit" on page 406
Procedure: “Enter Tag-Level POC Dates” on page 164
Procedure: “Enter Transplant Program Types” on page 163
Screen: "Select Transplant Types window" on page 408
Screen: "Citation Dates by Transplant Type window" on page 408

Enter Citation Text

You enter citation text in the Citation word processor. If you are not a member of the survey team, you can view citations as a supervisor. This allows you to view, edit, and delete all citations.

To enter citation text:

1. Double-click a citation in the **Citations** section of the **Citation Manager** window to open the **Citation** word processor.
2. Type or paste your citation text.

   The Citation window has basic word processing capabilities that can be used to format the text. Although you can enter an unlimited amount of text, there is a limit of 128K per tag (approximately 80 printed pages) that can print on the CMS-2567 and related forms.

   You can include text from a variety of sources:

   - ➥ Insert text from any word processor or Windows application into the citation.
   - ➥ Insert Content Library tag text.
   - ➥ Copy the text of the tag you are citing or the interpretive guideline and paste it into the citation:
     - Click the **Regulations** button to view and copy the text of the regulation tag.
     - Click the **Interpretive Guidelines** button to view and copy the text of the interpretive guideline.
   - ➥ Copy text from other citations.
   - ➥ Copy the text of other tags or interpretive guidelines and paste it into the citation.

   Note: When content is copied and pasted from an external word processor such as Word, RTF (Rich Text Format) formatting is automatically stripped out and the content is pasted as plain text into the Citation word processor where you can format it as desired.

3. Click **OK** to save the citation text and return to the **Citation Manager** window.

More ...

Procedure: “Add Content Library Tag Text to Citations” on page 169

Modify a Citation

You can view and update citations for an open survey as necessary, but you cannot modify citations if a survey is closed. If you are not a member of the team, you can view citations as a supervisor. This allows you to view, edit, and delete all citations. If you are using a network version of ASPEN Survey Explorer-Quality, this also locks all other users out of all citations created for the tag you are viewing.

To modify a citation:

1. Right-click a citation in the **Citations** section of the **Citation Manager** window and select **Citation Properties**.
2. In the **Citation Properties** window, update the properties as needed.
3. When you are finished, click **OK** to return to the **Citation Manager** window.
4. To modify citation text, double-click the citation in the **Citations** section of the **Citation Manager** window to open the **Citation** word processor.
5. Edit the citation text as needed.
6. Click **OK** to save the text and return to the **Citation Manager** window.

More ...

Procedure: "Specify Citation Properties" on page 154
Procedure: "Enter Citation Text" on page 156

Delete a Citation

You can delete a citation from a survey at any time. You can only delete your own citations unless you are working as a supervisor.

Note: Deleting a citation is permanent. You cannot restore a citation after you delete it. However, you can re-create a citation deleted by mistake by inserting backup text if there were at least 500 characters of citation text.

To delete a citation:

1. In the **Citations** section of the **Citation Manager** window, right-click a citation and select **Delete**.
2. Click **Yes** in the confirmation message.

   The citation is permanently deleted.

More ...

Procedure: "Insert Backup Citation Text" (just below)

Copy Citation Text

Use this function to copy the text from one citation to any other citation from the current survey.

To copy citation text:

1. In the **Citations** section of the **Citation Manager** window, right-click a tag and select **Copy To**.
2. In the **Existing cites for survey** window, select the citation you want to copy the text to and click **Copy To**.
3. Click **OK** in the confirmation message.
4. Click **Close** to close the **Existing cites** window.

View Other Citations

From the Citation Manager or from the Regulations list in the Tree or List views of ASPEN Explorer, you can view the citation text that you and other surveyors have entered for a tag across regulation set versions for any provider and any survey.

To view other citations in Citation Manager:

1. In the **Citations** section of the **Citation Manager** window, right-click a tag and select **Others Cites**.

   The Others Cites window lists the survey, reg set ID, provider, surveyor, and scope/severity code for each time that the tag has been cited.
2. To view the citation text for an entry, select it in the list and click **Citation Text**.
3. To view regulation text for the tag, select any entry in the list and click **Regulation**.
4. To view the interpretive guidelines for the tag, select any entry in the list and click **Interpretive Guide**.

To view other citations from ASPEN Explorer:

1. On the **Alpha** tab in **Tree** view and expand the **Regulations** node.
2. Click the **plus sign** (+) next to the applicable regulation set to display its tags.

   -or-

   Click the regulation set to display the tags in the **List** view.
3. Right-click a tag in either the **Tree** or **List** view and select **Other Cites**.
4. Continue with step 2 in the procedure immediately above.

More ...

Screen: "Others Cites window" on page 411

Copy Text from Other Citations

From the Others Cites window, you can copy the text from other citations or from the regulation or interpretive guideline associated with the tag and insert it into your current citation text as appropriate.

To copy other citation text into your current citation:

1. In the [**Citation**] **Text**, **Regulation Text**, or **Interpretive Guideline Text** window opened for a tag from **Others Cites**, select the text and press **Ctrl+c** to copy it.
2. Click **Done**.
3. Click **Close** in the **Others Cites** window.
4. In the **Citations** section of the **Citation Manager** window, double-click the tag you want to paste the copied text into.
5. In the **Citation** word processor, click where you want to add the copied text.
6. Press **Ctrl+v** to paste the text.

Insert Backup Citation Text

When the Citation word processor is open for entering or editing citation text, ACO takes a "snapshot" of its contents every two minutes (if at least 500 characters have been entered) and saves the snapshot as a .txt file. These backup files are stored in the WPBackupDir folder in the ACO Data directory. ACO creates a separate file for each surveyor and for each tag.

Note: If you paste text passages containing more than 500 characters, but do not leave the Citation word processor open for at least two minutes, the text is not backed up.

If you lose a quantity of work due to:

- hardware failure,
- inadvertent deletion of a surveyor from a survey roster (which also removes all the surveyor's tags),

  -or-

- inadvertent deletion of a citation,

you can restore the citation text from within the Citation word processor. Inserted text will be attributed to the active surveyor.

To insert backup citation text:

1. In the **Citations** section of the **Citation Manager** window, locate and double-click the applicable tag to open the **Citation** word processor.

   If you are restoring text because the surveyor was removed from the survey, you will have to re-cite the tag before you can select it.

2. In the **Citation** word processor, select **Insert Backup File** from the **File** menu.

   ACO displays the contents of the WPBackupDir folder in the Select Backup File window.

3. Locate the applicable backup file.

   Citation text backup filenames consist of the following elements:

   <Survey EventID><ASPEN Reg Set ID><Tag><StaffID>.txt

   There may be variations in the filename if the text has been modified by a supervisor.

4. Double-click the file to insert the text into the **Citation** word processor.

Note: ACO overwrites existing backup citation text files every two minutes only if more than 500 new characters have been entered in the Citation word processor. This prevents the backup from being overwritten by the contents of an empty Citation word processor while you are locating and inserting the file.

Change Citation Order

Citations are listed under a tag in the order they were created, with the most recent listed last. If more than one surveyor has created a citation for the same tag, you can change the order of the citations.

To change citation order:

1. In the **Citations** section of the **Citation Manager** window, right-click a tag or citation (right-click a surveyor's name) and select **Order By**.
2. In the **Order Team Members** window, click a surveyor's name.
3. Click either **Up** or **Down** to reposition that surveyor in the list.
4. Repeat with other surveyors as needed.
5. Click **OK** to save your changes and return to the **Citation Manager** window.
6. The citations will now be printed in the order you set up.

Specify Correction Dates

The Correction Dates option lets you specify the correction date for one or more citations associated with a survey. This option is enabled only for revisit surveys and does not allow entry of a correction date before the survey that first cited the tag or after the latest revisit in which the tag is cited.

Note: For Transplant Hospitals, Correction Date is entered at the transplant type level in the Citation Dates by Transplant Type window.

To change correction dates:

1. In the **Citations** section of the **Citation Manager** window, right-click a tag or citation (right-click a surveyor's name) and select **Correction Dates**.
2. Click **Selected Citation** to change the date on the selected citation only.

   -or-

   Click **Selected Reg Set** to change the date on all citations assigned to the associated regulation set.

   -or-

   Click **All Citations** to change the correction date on all the citations associated with the survey.
3. In the **Correction Date** window, enter a new **Correction Date** and click **OK**.

   The correction date is updated accordingly.

View Regulations, IGs, and Custom Help

You can view the text of regulations, interpretive guidelines, and custom help from the Citation Manager.

To view regulation, IG, and custom help text:

1. In the **Citations** section of the **Citation Manager** window, right-click a tag in the **Regulations** section.
2. Select **Regulation Text**, **Interpretive Guidelines**, or **Custom Help**.

   The text of the selected item appears. You can copy the text and paste it into a citation.
3. Click **Done** to return to the **Citation Manager** window.

TIP: You can also view regulation, interpretive guideline, and custom help text in the Citation word processor and Regulatory Tag Properties window (right-click tag in Tree view, select Tag Properties).

Find Text: Citation, IG, Regulation

You can search for text in citations, interpretive guidelines, and regulations from the Citation Manager.

To search text in citations, IGs, and regulations:

1. In the **Citation Manager** window, click **Find...**

   Enter the exact word or phrase you are looking for.

2. Select the items you want to search for the text.

   You can search all three: citations, interpretive guidelines, regulations; or any combination of one or more.

3. Click **Find Now**.

   A list of the items that contain the text appears in the lower part of the window.

4. In the **Find** window, enter the text you want to search for.

   Enter the exact word or phrase you are looking for.

5. Select the items you want to search for the text.

   You can search all three: citations, interpretive guidelines, regulations; or any combination of one or more.

6. Click **Find Now**.

   A list of the items that contain the text appears in the lower part of the window.

7. Double-click an item in the list to display the text.

   You can copy text from any item and paste it into a citation.

8. To search for other text, repeat steps 4 through 7.

9. Click **Done** to return to the **Citation Manager** window.

Enter Remarks-Non-Confidential

You can enter survey-level comments from the Team Roster section of the Citation Manager.

To enter survey-level comments:

1. From the **Citation Manager** window, in the **Team Roster** section, highlight the surveyor for which you want to enter comments, and click the **Remarks-Non-Confidential** button to open the Pre-decision remarks window for the selected surveyor.

   -or-

   If in supervisor mode, click the **Remarks-Non-Confidential** button to open the Pre-decision Remarks for Entire Team window, listing remarks for all survey team members.

2. You can view/enter/edit remarks for the selected surveyor, or, if in Supervisor mode, for all team members.
3. Click **OK** to save your remarks and return to the Citation Manager.

Note: You can also right-click a team member in the Team node in Tree view and select Remarks – Non-Confidential, or right-click the Team node and select Team Remarks – Non-Confidential to view/enter/edit remarks for, respectively, the selected surveyor or all team members.

More ...

Screen: "Citation Manager window" on page 403

Enter Transplant Program Types

To associate transplant types with the citation:

1. Click the **Transplant Types** button.
2. In the **Select Transplant Types** window, select the transplant types (programs) to associate with the citation.

   You will receive a message if you select a transplant type that is not current for the provider, or if Surveyed for Approval in Transplant Program Summary is set to No. You can, however, select a current program that isn't surveyed for a Complaint-only citation in a combined certification/complaint survey).
3. Click **Update Dates** in the Select Transplant Types window to enter **Completion** (X5) and **Correction** dates for each transplant type associated with the citation.
4. Click **OK** to return to the Citation Properties window.

   The number on the Transplant Types button indicates how many types are currently selected.

More ...

Screen: "Select Transplant Types window" on page 408
Screen: "Citation Dates by Transplant Type window" on page 408

ACO and ePOC

Basic steps in the ePOC process are much the same as in the current paper-based process, but are completed using ePOC functionality in ACO and ACTS and the ASPEN Web ePOC application.

1. Authorized SA/RO/CO user posts SOD to ASPEN Web ePOC for provider response.
2. Provider logs into ASPEN Web ePOC to review SOD.
3. Provider submits POC (with attestation) to the SA/RO/CO via ASPEN Web ePOC; POC response entered for each tag.
4. SA/RO/CO reviews POC in ACO/ACTS.

5 SA/RO/CO accepts or rejects POC.

Note: States can specify state-specific rejection reasons (state surveys only).

6 If POC is rejected, provider resubmits POC.

States and regional offices will use ePOC functionality integrated into ACO and ACTS to post SODs and surveys, send email notifications and post relevant letters, and review and accept or reject submitted POCs. Providers will use the new ASPEN Web ePOC application to review posted SODs and letters, and submit POCs to their SA/RO/CO electronically.

The ePOC system provides many automatic email notifications to facilitate communication between SAs, ROs, COs, and providers. Several reports in ACO and ACTS are available to SAs, ROs, and COs (Reports | ePOC Management Reports) to support management and tracking of the ePOC process for ePOC-qualified provider types (currently, only NHs).

Note: The ePOC Tardy SOD Issuance report is available for non-ePOC provider types as well.

More ...

For complete information about the ePOC system and reports (including ePOC Tardy SOD Issuance):

See the ePOC guides for facilities and CMS (*ASPEN Web: electronic Plan of Correction* and *ASPEN electronic Plan of Correction* respectively), which are posted on https://qtso.cms.gov.

For surveys that are not ePOC-posted, see the following section.

Track POCs

For surveys that are not ePOC-posted, you can still enter tag-level and survey-level POC dates in ACO for tracking purposes.

Enter Tag-Level POC Dates

You can provide tag-level POC dates in the POC Detail section of the Citation Properties window.

Note: This procedure applies only to surveys that are not ePOC-posted.

NH - The POC Detail section is disabled if the PNC indicator is selected.

To enter tag-level POC dates:

1. In the **POC Received from Facility** field of the **Citation Properties/Update Citation Properties** window, enter the date the tag-level POC was received from the provider.
2. In the **Facility POC Complete** field, which corresponds to field X5 on the CMS-2567, enter the date the provider completed the POC.
3. To apply the POC dates for the current tag to all other tags cited in the survey, click **Set All Tags to These POC Dates**.
4. In the **SA POC Accepted** field, enter or select the date the State Survey Agency accepted the POC.

More ...

Screen: "Citation Manager window" on page 403

For complete information about the ePOC system:

See the ePOC guides for facilities and CMS (*ASPEN Web: electronic Plan of Correction* and *ASPEN electronic Plan of Correction* respectively), which are posted on https://qtso.cms.gov.

Enter Survey-level POC Dates

ACO provides a convenient means for recording and tracking revisions to POCs associated with certification surveys.

Note: This procedure applies only to surveys that are not ePOC-posted.

To enter tracking data for a survey-level POC:

1. Locate and expand the provider of interest.
2. Right-click the applicable certification kit, and select **Certification Kit**.
3. In the **Survey List** section of the **Certification & Surveys** tab, click **POC** in the **Track** column of the survey for which you want to check or update POC information.

   You must enter a 2567 Issued date before you can open the POC Tracking window.

   Note: For ePOC-posted surveys, the POC button opens the POC Properties window.

4 In the **POC Tracking** window, enter relevant survey-level **POC** dates and add **POC Notes** as needed.

5 Click **Letter** if you want to generate **POC-related** letters, then click **New...** in the **Notices History** window.

More ...

Screen: "POC Tracking window" on page 412

Procedure: "Generate Letters" on page 262 (start with step 2)

For complete information about the ePOC system:

See the ePOC guides for facilities and CMS (*ASPEN Web: electronic Plan of Correction* and *ASPEN electronic Plan of Correction*, respectively), which are posted on https://qtso.cms.gov.

Grant Waivers

For tags identified as Waiverable in the Regulatory Tag Properties window, you can add, modify, or delete a Federal or state waiver.

To add a waiver:

1 Locate and expand the provider of interest.

2 Right-click the applicable certification kit, and select **Certification Kit**.

3 In the **Citation List** section of the **Certification & Surveys** tab, click the **Waived** button for the citation you want to waive.

You will receive a message if tag is not waiverable, except for tags 0000 and 9999.

4 In the **Waiver Detail** window, select the waiver **Type** and **Duration**.

5 Enter the waiver **Request Date** and **Sent to CMS** date.

6 Select the waiver request **Decision**.

7 Enter the **Decision Date** and the **Last Day in Effect**.

8 Enter any **Comments** about the waiver.

9 Click **POC Text** to view a read-only copy of tag-level POC text entered via Citation Manager; click **OK** to return to the Waiver Detail window.

You can copy and paste all or part of the POC text into the Comments text box.

10 Click **Evidence** to open a read-only view of the surveyor's findings entered via Citation Manager; click **OK** to return to the Waiver Detail window.

You can copy and paste all or part of the surveyor's findings into the Comments text box.

11 Click **OK** to save the information and close the Waiver Detail window.

The Waived button indicates waiver status for the tag: Waived, Denied, or Pending depending on the Decision option selected in the Waiver Detail window.

To modify waiver details:

1. In the **Citation List** section of the **Certification & Surveys** tab, click the **Waived** button for the waiver you want to modify.
2. In the **Waiver Detail** window, enter your changes and click **OK**.

   If you change the waiver Decision option, the waiver status indicated on the Waived button is updated accordingly.

To delete a waiver:

1. In the **Citation List** section of the **Certification & Surveys** tab, click the **Waived** button for the waiver you want to delete.
2. In the **Waiver Detail** window, click the **Remove** button.
3. Click **Yes** in the confirmation message.

   The waiver is removed and the Waiver Detail window closes. The Waived button for the tag is now blank.

More ...

Screen: "Waiver Detail window" on page 336
Procedure: “Enter Tag-Level POC Dates” on page 164
Procedure: “Enter Citation Text” on page 156

Build and Use a Content Library

The Content Library feature allows you to create and maintain predefined regulation-specific tag text that is accessible from both ACO and ACTS. Add entries to the Content Library once, and then use the text again whenever needed in citations. You can export and import a Content Library and transfer Content Library entries to new regulation sets.

Note: You can incorporate existing Custom Help text into your Content Library.

Create Content Library Tag Text

You create and save new tag text entries in the Content Library Tag Text window. The tag text items can then be inserted into citations as needed.

To open the Content Library Tag Text window:

1. Click any tab in the **Tree** view and locate the applicable survey.

   TIP: You can also locate the survey in the List view.

2. Right-click the survey in **Tree** or **List** view and select **Citation Manager**.

   If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click OK.

3. In the **Citation Manager** window, right-click the applicable tag in the **Regulations** section and select **Edit Content**.

   The Content Library Tag Text window opens.

To create a tag text item in the Content Library:

1. In the **Content Library Tag Text** window, click **New...**
2. In the **Input Content Library Tag Text** window, select the **Tag** to which the text relates.

   The tag you right-clicked is selected by default.

3. Select the name of the **Surveyor** creating the tag text item for the Content Library (usually you).
4. Enter a short **Description** of the text.
5. Enter or paste the text.

   The Input Content Library Tag Text window has basic text formatting capabilities.

TIP: You can copy text from an existing citation into a Content Library tag text item. Before you create the Content Library tag text, select and copy the text you want from the citation.

More ...

Screen: "Citation Manager window" on page 403
Screen: "Content Library Tag Text window" on page 409
Screen: "Convert Content Library window" on page 410

Add Content Library Tag Text to Citations

Content Library tag text can be added to citations whenever appropriate.

To add Content Library tag text to a citation:

1. Click any tab in the **Tree** view and locate the applicable survey.

   TIP: You can also locate the survey in the List view.

2. Right-click the survey in **Tree** or **List** view and select **Citation Manager**.

   If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click OK.

3. In the **Citations** section of the **Citation Manager** window, locate and double-click the applicable tag to open the **Citation** word processor.

   TIP: You can also open the Citation word processor directly from Tree view: Locate the applicable survey on any tab, expand it to display cited tags, right-click the applicable tag, and select Edit Citation.

4. In the **Citation** word processor toolbar, click the **Content Library Tag Text** button.

Figure 33: Content Library Tag Text button in the Citation word processor

   If the tag already has a predefined text item, it is highlighted in the Content Library Tag Text window. If not, the first item is selected by default.

5. Select the Content Library text item you want to add to the citation text.
6. To view the Content Library tag text, double-click the item; click OK to return to the Content Library Tag Text window.
7. Click **Insert**.

   The system inserts the Content Library tag text into the citation text in the Citation word processor.

More ...

Screen: "Citation Manager window" on page 403
Screen: "Content Library Tag Text window" on page 409
Screen: "Convert Content Library window" on page 410

Edit Content Library Tag Text

You can view and edit Content Library tag text whenever necessary.

To edit Content Library tag text:

1. Click any tab in the **Tree** view and locate the applicable survey.

   TIP: You can also locate the survey in the List view.

2. Right-click the survey in **Tree** or **List** view and select **Citation Manager**.

   If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click OK.

3. In the **Citation Manager** window, right-click any tag in the **Regulations** section and select **Edit Content**.
4. In the **Content Library Tag Text** window, select the text item in the Content Library that you want to edit and click **Modify...**

   If the tag you selected has a predefined text item, it is highlighted in the Content Library Tag Text window. If not, the first item is selected by default.

5. In the **Input Content Library Tag Text** window, edit and format the text as needed and click **OK**.

More ...

Screen: "Citation Manager window" on page 403
Screen: "Content Library Tag Text window" on page 409
Screen: "Convert Content Library window" on page 410

Delete Content Library Tag Text

You can delete tag text items from the Content Library when you no longer intend to use them.

To delete a Content Library tag text item:

1. Click any tab in the **Tree** view and locate the applicable survey.

   TIP: You can also locate the survey in the List view.

2. Right-click the survey in **Tree** or **List** view and select **Citation Manager**.

   If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click OK.

3. In the **Citation Manager** window, right-click any tag in the **Regulations** section and select **Edit Content**.

4 In the **Content Library Tag Text** window, select the applicable Content Library text item and click **Delete**.

If the tag you selected has a predefined text item, it is highlighted in the Content Library Tag Text window. If not, the first item is selected by default.

5 Click **Yes** in the confirmation message.

More ...

Screen: "Citation Manager window" on page 403
Screen: "Content Library Tag Text window" on page 409
Screen: "Convert Content Library window" on page 410

Export a Content Library

You can export all tag text items in the ACO Content Library on your computer for use on another computer or by another user.

To export your Content Library:

1 From the **System** menu, select **Specialty Info Transfer**, then **Export Content Library**.

2 In the **Select for Export** window, navigate to the directory and specify the transfer file where you want to export the Content Library.

The export file is named ASPENTX.ZIP by default. You can assign a more descriptive name, which is recommended.

Note: Many anti-virus programs, email servers, and firewalls block .ZIP files. If this is an issue, contact your ASPEN administrator for assistance.

3 Click **Save**.

If the transfer file already exists in the directory, a message asks if you want to replace it. Click Yes to replace it.

4 In the **Finalize Transfer** window, click **Apply** to complete the transfer of the Content Library to the export file.

It is copied to the specified transfer file. That file can be shared with other ASPEN users.

Import a Content Library

You can import a Content Library that has been exported to a transfer file. Imported content library entries are merged with existing entries.

To import a Content Library:

1. From the **System** menu, select **Specialty Info Transfer**, then **Import Content Library**.
2. In the **Select for Import** window, navigate to the directory and select the transfer file containing the exported Content Library.

   ASPENTX.ZIP is the default transfer filename. The name may have been changed on export to be more descriptive.

   Note: Many anti-virus programs, email servers, and firewalls block .ZIP files. If this is an issue, contact your ASPEN administrator for assistance.

3. Click **Open**.
4. In the **Finalize Transfer** window, click **Apply** to complete the import of the Content Library to your machine.

   Entries in the imported Content Library are added to your existing Content Library and are available for use.

   Predefined text already added to citations is *not* changed.

More ...

Procedure: "Export a Content Library" on page 171

Copy Content Library Text to New Reg Sets

The Convert Content Library option lets you copy your existing Content Library tag text to new versions of regulation sets as they become available. You can also copy Custom Help items, which are converted to Content Library entries in the process.

Note: Content Library entries associated with a regulation set are transferred with the reg set when it is exported or imported.

When you use the Convert Content Library option:

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

  ACO checks the tag number, tag title, staff name, tag text description, and modified dates as it copies Content Library entries. If these items are the same in the source and destination reg sets, ACO does not make another copy.

- If you include Custom Help in the transfer/conversion, the Custom Help text from the source reg set is copied and converted into Content Library entries in the destination reg set. If Custom Help entries already exist in the destination reg set, they are not affected.

Note: To see if a tag has Custom Help, locate it in the **Regulations** node of the **Tree**, right-click it, select **Tag Properties**, then **Custom Help**.

To copy Content Library/Custom Help entries to a new regulation set:

1. From the **System** menu, select **Specialty Info Transfer**, then **Convert Content Library**.
2. In the **Convert Content Library** window, select your **Source Reg Set** and **Destination Reg Set**.

   All active and inactive regulation sets are listed. They are in alphabetical order by ASPEN ID.

   TIP: Before using the Convert function, look up and write down the ASPEN ID for the source and destination reg sets in the Regulation Set Properties window. Then you can type in the ASPEN ID to jump to the reg set in the applicable drop-down list.

   The Source and Destination Regulations grids list all tags in the selected reg sets. The # of Entries column shows the number of content library entries for each tag. Custom Help entries are not included in this count.
3. To access the Content Library text for either a source or destination tag:
   - Click in the **# of Entries** column for the tag.
   - In the **Content Library Entries for** window, select an item in the **Content Library Entries** pane and the content appears in the **Text** pane.
4. To view a list of source tags that have associated Content Library text, click anywhere in the **From Tag** column in the **Destination Regulations** grid.
5. To let ACO match the source tags with Content Library entries to destination tags, click **Auto-Select**.

   In the Match column of the Source grid, Yes indicates the source tag number exists in the destination reg set, while No indicates it does not. Match is blank for tags without Content Library entries.

   The From Tag column in the Destination grid indicates the source tag from which Content Library entries will be transferred.

6 If you want to transfer Custom Help text to the destination reg set along with or without Content Library text, select **Include Custom Help**.

Note: The Source and Destination Regulations can be the same. In that case, only Custom Help is copied and converted into Content Library entries. This is a convenient way to convert Custom Help into Content Library entries for a current regulation set.

7 Click **Transfer** to copy Content Library entries and/or Custom Help to the corresponding tags in the destination regulation set.

8 Click **OK** in the confirmation message.

When the transfer is complete, the Match and From Tag columns are cleared, and the # of Entries counts for the destination reg set are updated.

Note: Converted Custom Help entries are identified as such in the Description column of the Content Library Entries window.

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

More ...

Screen: "Convert Content Library window" on page 410

Copy Content Library Text to Split, Combined, or Deleted Tags

The new version of a regulation set sometimes adds new tags, splits or combines tags, or deletes tags. You can use the Convert Content Library function to copy your Content Library entries and convert and transfer Custom Help text to the appropriate tags in new versions of regulation sets.

To copy a Content Library/Custom Help entry to a new, split, or combined tag:

1 In the **Convert Content Library** window, select your **Source Reg Set** and **Destination Reg Set**.

2 Locate the new tag number in the **Destination Regulations** pane, and click in the **From Tag** column.

3 Select the old tag number from the list.

4 If Custom Help is associated with the old tag, select the **Include Custom Help** checkbox.

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

If you are transferring text from more than one source tag, repeat this procedure for each tag.

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

More ...

Screen: "Convert Content Library window" on page 410

Add Attachments

You can add attachments at facility, certification, and survey levels.

Attachments can include supplemental materials in electronic format, such as relevant document files and digital photos.

Add Facility-Level Attachments

You can add attachments to individual facilities. These attachments are listed on the Alpha and Type tabs in Tree view under the facility's Attachments node. Facility-level attachments are not exported.

Note: The facility-level Attachments node lists all attachments in ACO and AEM associated with a facility including survey and certification attachments. It appears whether or not there are any attachments.

To add an attachment to a facility:

1. In Tree view, right-click the **Attachments** node and select **View/Modify Attachments**.
2. In the **Survey Attachment Documents** window, enter a **Description** of the attachment and click **Attach/View**.
3. In the **Open** window, navigate to the folder containing the file you want to attach and select it, then click **Open**.

   A message asks if you want to preview or edit the attachment.
4. Click **Yes** or **No** as appropriate.

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

   If No, the File Name of the attachment is immediately added in the Survey Attachment Documents window.

   The Event column is blank for facility level attachments.

   Attachment date and time are entered automatically.
5. Click **Close** in the **Survey Attachment Documents** window.

   The new attachment is listed under the Attachments node for the provider.

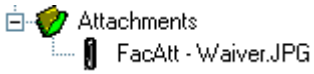


Figure 34: Attachments node with new facility-level attachment listed

Note: All attachments associated with a provider are listed on the Alpha and Type tabs in Tree view under the provider's Attachments node.

To view a facility-level attachment:

1. In **Tree** view, expand the **Attachments** node.
2. Right-click the attachment and select **View/Modify**.
3. In the **Survey Attachment Documents** window, click **Attach/View** in the applicable row to open the attachment.

To delete a facility-level attachment:

1. Select it in the **Survey Attachment Documents** window and click **Delete**.
2. Click **Yes** in the confirmation message.

More ...

Screen: "Survey Attachment Documents window" on page 414

Add Certification-Level Attachments

You can add attachments to individual certification kits. These attachments are listed on the Alpha and Type tabs in Tree view under the provider's Attachments node. Certification-level attachments are not exported.

To add an attachment to a certification kit:

1. In the footer of the certification kit, click the **Attach** button.
2. In the **Survey Attachment Documents** window, enter a **Description** of the attachment and click **Attach/View**.
3. In the **Open** window, navigate to the folder containing the file you want to attach and select it, then click **Open**.

   A message asks if you want to preview or edit the attachment.
4. Click **Yes** or **No** as appropriate.

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

   If No, the File Name of the attachment is immediately added in the Survey Attachment Documents window.

   The Track ID is entered in the Event column. Attachment date and time are entered automatically.
5. Select a category if needed.

6 Click **Close** in the **Survey Attachment Documents** window.

The new attachment is listed under the Attachments node for the provider.

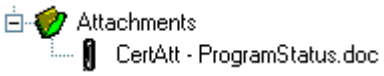


Figure 35: Attachments node with new certification-level attachment listed

Note: All attachments associated with a certification kit are listed on the Alpha and Type tabs in Tree view under the provider's Attachments node.

To view a certification-level attachment:

1 Open the **Survey Attachment Documents** window.

➥ In a certification kit, click the **Attach** button.

-or-

➥ In **Tree** view, right-click the attachment and select **View/Modify**.

2 In the **Survey Attachment Documents** window, click **Attach/View** in the applicable row to open the attachment.

To delete a certification-level attachment:

1 Select it in the **Survey Attachment Documents** window and click **Delete**.

2 Click **Yes** in the confirmation message.

More ...

Screen: "Survey Attachment Documents window" on page 414

Add Survey-Level Attachments

You can add attachments to individual surveys. These attachments are listed on the Alpha and Type tabs in Tree view under the provider's Attachments node. Survey-level attachments are included in exports.

To add an attachment to a survey:

1 In the **Citation Manager** window, click the **Attach** button.

2 In the **Survey Attachment Documents** window, enter a **Description** of the attachment and click **Attach/View**.

3 In the **Open** window, navigate to the folder containing the file you want to attach and select it, then click **Open**.

A message asks if you want to preview or edit the attachment.

4 Click **Yes** or **No** as appropriate.

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

If No, the File Name of the attachment is immediately added in the Survey Attachment Documents window.

The survey Event ID is entered in the Event column.

Attachment date and time are entered automatically.

5 Select **Immediate Jeopardy** as the category if the attachment is associated with an IJ survey.

6 Click **Close** in the **Survey Attachment Documents** window.

The new attachment is listed under the Attachments node for the provider.

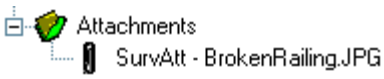


Figure 36: Attachments node with new survey-level attachment listed

To view a survey-level attachment:

1 Open the **Survey Attachment Documents** window.

➥ In **Citation Manager**, click the **Attach** button.

-or-

➥ In **Tree** view, right-click the attachment and select **View/Modify**.

2 In the **Survey Attachment Documents** window, click **Attach/View** in the applicable row to open the attachment.

Note: For ePOC-enrolled providers, you can click ePOC Attachments (#) to open the ePOC Attachments window and view files the facility attached via ASPEN Web: ePOC to support POC(s) for the selected survey as well as SA/RO survey attachments.

To delete a survey-level attachment:

1 Select it in the **Survey Attachment Documents** window and click **Delete**.

2 Click **Yes** in the confirmation message.

More ...

Screen: "Survey Attachment Documents window" on page 414

Create Revisit Surveys

Revisits can be scheduled as necessary until all deficiencies are corrected. If changes are made to the standard (initial) survey or the preceding revisit, you must manually update the current revisit as appropriate.

If the standard or preceding revisit is a combined certification/complaint survey, but survey citations are linked only to the certification or complaint, the revisit will not be created as a combined survey. It will be a certification or complaint survey as appropriate.

Note: SA, RO, and CO users can create and modify followup FMS surveys. Only RO users can create and modify standard FMS surveys. SAs usually conduct followup FMS surveys, so it is likely to be the SA that creates the FMS revisit survey record.

To create a revisit survey:

1. Scroll to the **Survey List** section on the **Certification & Surveys** tab of the **Certification** window.
2. Click the **Create Revisit** button.

   TIP: You can also right-click the survey in Tree view and select Create Followup Survey.

3. In the **Create Followup** window - as needed - change default dates, update the **Team Roster**, and select **Carry Text Forward**.

   You cannot create multiple followups with the same exit date for the same survey. You *can* add followup surveys to Prior kits.

   A message appears if you select a staff member to add to the Team Roster whose General Staff Type is 02 Clerical/Support (in the Enter/Update Surveyor Information window). You can choose whether to go ahead and add that staff member or not.

4. Click **OK** to create the revisit.

   Revisits are identified on the Alpha, Type, and Cert/Survey tabs in Tree view by an asterisk preceding the event ID. The last digit of the event ID is greater than 1 (2 for the first revisit, 3 for the second, and so on).

   You can enter Corrected dates directly in the Citation List section once a revisit is defined.

   Note: PNC tags are not carried forward from the standard survey when you create a revisit.

   If you create a revisit for a standard survey or revisit linked to an intake in ACTS, it will be automatically linked to that intake.

More ...

Screen: "Survey List" on page 337

Delete a Survey

You can permanently delete a survey from the Recycle node if you know that you no longer need it.

Note: Deleting a survey is permanent. You cannot restore a survey after you delete it.

To permanently delete a survey:

1. Right-click the survey in the **Recycle** node and select **Delete**.
2. Click **Yes** in the confirmation message.

   The survey is permanently deleted.

   -or-

1. Click the **Recycle** node to display recycled surveys in **List** view.
2. Select one or more surveys.
3. Right-click and select **Delete**.
4. Click **Yes** in the confirmation message.

   The survey(s) are permanently deleted.

TIP: If you have moved several (not all) surveys associated with a provider to the Recycle node and want to permanently delete them, you can right-click each survey and delete, right-click the provider and delete all associated recycled surveys, or display and delete all recycled surveys in List view; the provider is not deleted. If you want to delete a provider and all associated surveys, see Procedure: "Delete a Provider" on page 64.

Track State Survey Jurisdiction Processes

The Provider/Supplier's State Survey Jurisdiction History section on the Deemed/2802 tab displays a history of instances in which a deemed provider was removed from AO jurisdiction and placed under State Survey Jurisdiction because it had out-of-compliance COPs. SAs and ROs can view details of State Survey Jurisdiction processes for providers. ROs can enter dates and initiate new State Survey Jurisdiction processes, if necessary.

Start a State Survey Jurisdiction Process

RO

The RO initiates a new State Survey Jurisdiction process when at least one condition-level tag is cited on a survey linked to a certification kit that is not already linked to a State Survey Jurisdiction process. In these circumstances, a message appears in red to alert the RO.

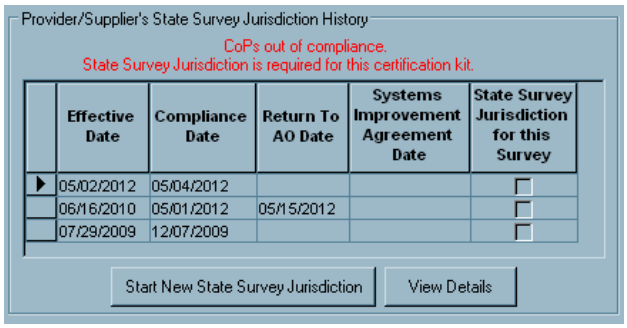


Figure 37: COPs message

Note: A single state monitoring process can include both certification and complaint investigation surveys.

To start a new State Survey Jurisdiction process:

1. In **Tree** view in **ARO**, locate the applicable certification kit, right-click it, select **Certification Kit**, and go to the **Deemed/2802** tab.
2. In the **Provider/Supplier's State Survey Jurisdiction History** section, click the **Start New State Survey Jurisdiction** button.

   WARNING! A state survey jurisdiction process cannot be deleted once it is initiated.

   The current certification kit is linked to the new State Survey Jurisdiction record and Effective and Compliance dates are calculated. State Survey Jurisdiction for this Survey is selected.

   If the survey linked to the certification kit is associated with a complaint/incident intake, the new State Survey Jurisdiction record is added there as well. If both Recertification and Complaint Investig are assigned to the condition-level deficiencies as Citation Category, the State Survey Jurisdiction for this Survey checkbox is also selected in the intake. If Complaint Investig is not assigned as a Citation Category, the checkbox is not selected in the intake.

More ...

Screen: "Provider/Supplier's State Survey Jurisdiction History" on page 351

View and Enter State Survey Jurisdiction Details

SAs and ROs can view details of State Survey Jurisdiction processes for a provider in the State Survey Jurisdiction Detail window. ROs can enter dates for the selected State Survey Jurisdiction process.

To view and enter State Survey Jurisdiction details:

1. Go to the **Deemed/2802** tab in the applicable certification kit.
2. In the **Provider/Supplier's State Survey Jurisdiction History** section, select a State Survey Jurisdiction process.
3. Click **View Details** to open the **State Survey Jurisdiction Detail** window.

   This window displays dates associated with the selected process and all surveys linked to the process at the certification kit and intake level.
4. **RO -** As applicable, enter **Compliance Date**, **Return to AO Date**, and **Systems Improvement Agreement Date**.

   Effective Date is calculated and entered by the system.
5. Click **OK** to close the window when you are done.

   Any dates entered are copied to the process record in the Provider/Supplier's State Survey Jurisdiction History grid.

More ...

Screen: "Provider/Supplier's State Survey Jurisdiction History" on page 351
Screen: "State Survey Jurisdiction Detail window" on page 352

Remove Surveys from State Survey Jurisdiction

RO

On historical (pre-ASPEN 10.1.3) state monitoring records only, the RO can remove surveys from the State Survey Jurisdiction process and return them to AO jurisdiction when Condition of Participation (COP) deficiencies are corrected.

To remove a survey from a State Survey Jurisdiction process:

1. In the **Provider/Supplier's State Survey Jurisdiction History** section, select the applicable State Survey Jurisdiction process.
2. Click **View Details** to open the **State Survey Jurisdiction Detail** window.
3. Select the survey you want to remove from the process and click **Remove Survey**.

   One or more confirmation messages will appear.

4 Make sure you want to delete the survey, and respond **Yes**.

5 Click **OK** to close the window when you are done.

More ...

Screen: "Provider/Supplier's State Survey Jurisdiction History" on page 351
Screen: "State Survey Jurisdiction Detail window" on page 352

Complete/Print Certification Forms

The certification kit format provides ready access to all certification-related forms for the supported provider types. The forms screens correspond as closely as possible to the CMS forms and instructions used in the field, except they do not capture provider and surveyor information that is collected elsewhere in ASPEN.

Enter CMS-670 Data

Initial certification and recertification surveys are sometimes conducted in combination with other surveys. ASPEN provides a single screen where you can enter all survey hours broken down by survey type (here, Category Description). Only those hours attributed to the certification survey will be uploaded with the certification kit.

If state licensure survey(s): State Licensure, Initial Licensure, Re-Licensure, and Licensure Complaint are combined with a Federal initial certification or recertification survey (or complaint/incident investigation/survey), the corresponding Licensure row(s) in the CMS-670 grid are disabled due to existing CMS-670 guidelines. Licensure rows are, however, enabled for state licensure surveys of federally certified providers that are not combined with a Federal initial certification or recertification survey (or complaint/incident investigation/survey).

Note: CMS-670 data must be complete and pass all relevant edits before a kit can be uploaded. The Facility and CMS 670 Edits Passed and CMS 670 Complete indicators on the Certification & Surveys tab let you quickly check 670 data status.

To enter CMS-670 data:

1 Scroll to the **Survey List** section on the **Certification & Surveys** tab of the **Certification** window.

2 Select a survey and click **Update 670** to open the **CMS670 Workload Detail** window.

It lists all surveyors on the roster, with rows for each survey type (here, Category Description). Survey dates and types are brought forward from the Survey Properties window.

3 Select the **Lead** checkbox to indicate the survey team leader.

4 Select or de-select **On Team** as appropriate for survey team members.

The On Team checkbox is selected by default for all team members and all survey types (Category Descriptions).

5 Enter hours for each staff member and survey type (Category Description), as appropriate.

Note: For SPRDFs, you will enter only Off Site hours, no On Site or Travel hours are required.

6 Click **Office Hours...** to enter supervisory and clerical hours for each survey type (Survey Category); click **OK** when you are done.

You will receive overridable messages if you do not enter all required office hours.

7 Click **Print** at the bottom of the window to print the **CMS-670** form.

8 Click **Close** to close the CMS 670 Workload Detail window.

You will receive overridable messages if you haven't entered all required hours.

Note: The 670 Summary report is available from the Reports menu (use path, Survey History Reports | 670 Summary (670S)). It summarizes 670 workload hours recorded for selected facility types within a specified date range.

More ...

Screen: "Survey List" on page 337
Screen: "CMS 670 Workload Detail window" on page 417

Print CMS-2567

There are several versions of the CMS-2567 form, i.e., the Statement of Deficiencies: 2567, 2567A, 2567B, and 2567L.

- CMS-2567 - SOD sent to the provider detailing deficiencies found on the survey of the facility; includes PNC tags and memo/comment tags (0000, 9999).
- CMS-2567A - Lists minor deficiencies (A-level tags) for which a POC is not required, but brings them to the facility's attention.
- CMS-2567L - Lists deficiencies to be corrected and is publicly posted.
- CMS-2567B - Lists deficiencies found on a revisit.

To print a CMS-2567 form:

1 Scroll to the **Survey List** section on the **Certification & Surveys** tab of the **Certification** window.

2 Select a survey and click **Survey Forms**.

3 In the **Select Form(s) to print** window, select the checkbox for **CMS 2567** or **CMS 2567B**, and click **OK**.

4 In the **Customize Survey Report Form** window, select the options you want:

- Include Surveyor ID Numbers prints the ID numbers of survey team members.
- Include Severity and Scope Data prints the S/S code for each tag (Federal and state) beneath the tag number if the S/S option is enabled for the regulation set(s) and S/S values have been assigned.

  Depending on provider type, this option may or may not be selected by default. For example, it is selected for NHs, but not for ESRDs (since it's not applicable).
- Include Tag 9999 prints Tag 9999 comments. Selected by default.
- Include Team List on Last Page includes the survey team roster on the last page of the form.
- Include POC Text prints the Plan of Correction. Selected by default.
- Only Active Surveyor's Info includes only the active surveyor's citations on the form.
- Use Original Name prints the form using the provider's prior name.
- Use Large Font prints the form in a larger font size.
- Print Instructions includes the Instructions for Completion of the CMS-2567 form as the cover page.
- Print Citation Summary page prints a list of citations on the survey titled Statement of Deficiencies Citation Summary Sheet on a page preceding the form.
- Print Special Tags Separately prints separate CMS-2567 reports for EMTALA and/or Swing Bed tags. Selected by default.
- Exclude Watermark (POC Not Final/Pending Acknowledgement) suppresses printing of the watermark:
  - POC Not Final on an ePOC-posted survey with tags that not yet been approved
  - Pending Acknowledgement on a survey with tags 0000/9999 only, or if Scope/Severity = A or PNC

  Enabled only for ePOC-posted surveys.

5 To include more than one survey type, regulation set, or building on the same form, click **Combine...**

If the survey contains multiple regulation sets (or buildings if LSC), ASPEN normally produces a separate CMS-2567 for each one. Use the Combine function to combine regulations or buildings on one form.

You cannot, however, combine Federal and state regulations on the same form. If state tags are cited, they print separately on the State Form (CMS-2567), or, for corrected state deficiencies, on the CMS-2567B.

6 In the **Specifications for Combined Survey Report Form** window, select the items you want to include on your form.

7 Click **OK** to return to the previous window.

8 Click **OK** to print the form(s).

The CMS-2567 form is displayed in a report preview window; there may be more than one depending on your selections.

A message appears if citations aren't found for all of the regulation sets assigned to the survey and a CMS-2567 is not printed for those regulations.

The CMS-2567L form lists citations of Federal tags, except level A tags– those assigned a scope and severity of 1/1 (A) in Citation Properties. The state CMS-2567L includes level A tags. Both the CMS-2567A and state CMS-2567A forms list only level A tags.

If your survey has a mix of level A tags and tags with other S/S values (Federal or state), you can choose to print the CMS-2567L/state 2567L, the CMS-2567A/state 2567A, or both L and A forms. If your survey has only level A Federal tags, the CMS-2567A prints by default. However, if there are only level A state tags, the State Form (CMS-2567L) prints by default.

Citations moved to another tag or removed due to IDR/Independent IDR and/or hearing/settlement will not be printed on CMS-2567s and certain other survey reports.

NH - PNC tags are printed on the CMS-2567, but not the CMS-2567B. If there are PNC tags, the following message appears in the Provider's Plan of Correction column: "Past noncompliance: no plan of correction required."

Note: The CMS 2567 Sent To Facility report (Reports | Scheduling and Tracking Reports | Tracking Reports | CMS 2567 Sent to Facilities) shows how many days after the exit date the CMS-2567 was sent. If desired, you can include surveys for which no CMS-2567 has been sent.

More ...

Screen: "Survey List" on page 337
Screen: "Select Form(s) to print window" on page 415
Fields: "Customize Survey Report Form", on page 415
Screen: "Report Preview window" on page 446

Enter CMS-1539 Data

You enter certification and transmittal information on the Transmittal (CMS-1539) tab of the Certification window. Multiple CMS-1539s can exist in cases of followup surveys that occur before scheduled submissions or when there is a change in correction dates. CMS-1539 C&T information can be updated prior to each submission to national.

To enter CMS-1539 data:

1. Click the **Transmittal (CMS-1539)** tab in the **Certification** window.

   Note: This tab does not appear for certification kits with a Prior status.

2. **SA -** Enter provider and program participation information in Part I.

   Note: Fields that do not apply to the current provider type either are disabled or are not displayed.

   - Effective Date: Change of Ownership (L9) - Disabled for initial certification kits that have not been accepted by national.
   - Type of Action (L8) - Enabled only for recertification kits that have not been accepted by national. If there are no prior kits, L8 is set to Initial and cannot be changed.
   - Accreditation Status (L10) - Automatically set according to information in the Deemed By list on the Deemed/2802 tab.
   - Deemed? - Automatically set according to information in the Deemed By list on the Deemed/2802 tab.

     For Federal certification purposes, accreditation organization information is tracked only for providers that have obtained deemed status from one or more CMS-approved accreditation organizations.

     If your state wishes to track information about providers that are accredited but do not have deemed status, you can enter this information on the Associations tab of the provider record.

     Note: When accreditations are entered on the Associations tab, L10 and Deemed? will not be populated.

   - Fiscal Year Ending Date (L35) - Use the format MM/DD, e.g., 02/04. ASPEN provides the "/".
   - Total Facility Beds (L18) - Enter the number.
   - Total Certified Beds (L17) - Calculated by the system for NHs as L37+L38+L39; for ICFs/IID, same as L43.

- Certified As section (L12) - Indicate whether the provider is certified as A - In Compliance or B - Not in Compliance. If you select A, you can also select what the compliance is Based On from options in the list box. The list varies according to provider type. You can select more than one item.

  Note: If condition-level citations exist, L12 is automatically set to Not in Compliance and cannot be changed as long as there are condition-level citations for the certification.

- Type (NH only) and LTC Certified Beds L37, L38, L39, and L43 - Enter numbers; enabled according to provider type.

  For NHs, if you need to change bed counts because the provider type has changed, first select the new provider type from the Type drop-down to enable the applicable bed fields.

  Bed counts and Type (NH only) are Implicit-Spec fields. Changes to these fields in a certification kit that has already been uploaded (automatically or manually) are sent to national as an implicit transaction, i.e., without another upload of the kit.

- Aspen Beds - Click to add, modify, or delete bed summaries. Numbers in the Beds window are not automatically transferred to the CMS-1539 beds fields.

  Note: You can also add, modify, and delete bed summaries from the Beds node in Tree view.

- Facility Meets - Select the appropriate option.
- State Remarks - Use field 30 at the bottom of the window.

  If the remarks are brief, they will appear in field 16 on the form; if they are long, they will be in field 30.

- Surveyor Sign Date (L19) and State Agency Approval date (L20) - Enter or select these dates.

3 **RO or SA -** Enter administrative information in Part II.

- Eligible to Participate (L21) - Yes or No.
- Original Date of Participation (L24) - Enter for initial certifications. Enabled in ARO; enabled only for Medicaid-only Hospital, NF, Medicaid HHA, PRTF, and ICF/IID providers in ACO. The date is stored in the national database and supplied by the system for recertifications.

- Select the Termination Code (L30) - Enabled in ARO; enabled in ACO only for non-participating (NP) Hospital, Medicaid-only Hospital, NF, Medicaid HHA, PRTF, and ICF/IID providers. Not enabled for initial certification kits that have not been accepted by national.

  Note: If you reactivate a terminated provider with a successfully uploaded certification kit, i.e., you change L30 from non-Active (≠ 00) to Active (= 00), Current Operating Status on the Facility Definition tab in Facility Properties is automatically changed from Closed to Active.

- Alternative Sanction (L44 and L45) - ICF/IID only. Disabled, but legacy dates still displayed.
- HIPDB Appeals - Enabled and required in ARO if Termination Code (L30) is 05 or 06. Select applicable HIPDB (Healthcare Integrity and Protection Data Bank) appeal status.
- Termination Date (L28) - Enter or select if Termination Code (L30) is anything other than 00 Active.
- Intermediary/Carrier No. (L31) - Provider's MAC. Optional for Non-participating and Medicaid-only Hospitals; disabled for Medicaid HHAs, PRTFs, and ICFs/IID; required for all other provider types.

  Note: If you change the selected MAC here, Prior Intermediary # (SF01) is automatically set or updated as appropriate on the Certification & Surveys tab.

- RO Receipt Date (L32) - Enabled in ARO. L32 is never required for Medicaid-only Hospital, NF, Medicaid HHA, PRTF, and ICF/IID providers. It is required for a number of other providers depending on circumstances. If this field is required but blank when the kit is uploaded, ASPEN enters the date.
- RO Analyst - enter initials.
- Determination Approval date (L33) - Enabled in ARO; enabled only for Medicaid-only Hospital, NF, Medicaid HHA, PRTF, and ICF/IID providers in ACO.

  When an unflagged recertification is uploaded, ASPEN attempts to insert the date of the upload if this field is blank. It can also be entered manually. It *must* be entered manually for other certification types.
- RO Final Rev[iew] Date # (SF15) - Enabled in ARO only if L32 is entered for certain providers. The final review date must be greater than or equal to L32.
- Remarks - If the remarks are brief, they will appear in field 16 on the form; if they are long, they will be in field 30.

4 Click **Print** at the bottom of the window to print the **CMS-1539** form.

More ...

Screen: "CMS-1539 - Part I" on page 354
Procedure: “Specify Provider Associations” on page 49
“Implicit Transactions” on page 680
Procedure: “Bed Summaries” on page 61
Screen: "CMS-1539 - Part II" on page 355
Procedure: “Terminate/Reactivate a Provider” on page 240

Enter Application Worksheet Data - HOSPITAL

The Application Worksheet tab captures information about a Hospital provider such as deeming (accreditation) dates, staffing, services, offsite locations–just to name a few.

To enter Hospital application worksheet data:

1 Click the **Application Worksheet** tab in the **Certification** window.

Note: This tab does not appear for certification kits with a Prior status.

2 Complete required and applicable fields in the various sections of the **Worksheet**:

- Accreditation and CLIA Labs
- Control and Resident Programs
- General Information
- Bed and Room Counts/Licensing
- Number of Employees
- Type of Reimbursement or Status
- Necessary Provider (CAH only)
- Services Provided
- Sprinkler Status
- Off-site locations
- Affiliated providers
- Co-Located Hospital

More ...

Screen: "Hospital Application Worksheet" on page 356
Procedure: “Add Affiliations” on page 227

Enter Transplant Programs Data - HOSPITAL

The Transplant Programs tab captures information about the transplant programs offered by a Transplant Hospital. At least one program type must be identified. You can add, delete, and reactivate programs as needed.

Note: The Transplant Programs tab appears and can be updated for certification kits with a Prior status.

Add Transplant Programs

If necessary, you can add a transplant program not already associated with the current certification.

To add a transplant program:

1. Click the **Transplant Programs** tab in the **Certification** window.
2. Click the **Add Program** button below the **Transplant Program Summary** grid.
3. Select the desired program.
4. Enter transplant program information.

More ...

Screen: "Transplant Programs" on page 359
Procedure: “Enter Transplant Program Information” (just below)

Enter Transplant Program Information

Information includes a summary of the transplant programs offered by the provider and details about each program.

To enter transplant program information:

1. On the **Transplant Programs** tab in the **Certification** window., select the program.

   Transplant Program Summary information such as program type, approval date, citations associated with the transplant program, etc. is automatically entered. Surveyed for Approval can be changed if necessary.

2. Enter **Transplant Program Details (for <Program Name>)** such as application and certification dates and other information about the selected transplant program.

More ...

Screen: "Transplant Programs" on page 359

Delete Transplant Programs

You can remove transplant programs from the current certification as long as there are no citations.

To delete a transplant program:

1. Click the **Transplant Programs** tab in the **Certification** window.
2. In the **Transplant Program Summary** grid, select the program you want to delete.
3. Click the **Remove Program** button.

More ...

Screen: "Transplant Programs" on page 359

Reactivate Transplant Programs

Terminated transplant programs are carried forward from prior certification kits and displayed in italics in the current kit. Status is Program Denied, Medicare Approval Withdrawn Voluntarily, or Medicare Approval Withdrawn Involuntarily. If appropriate a terminated kit can be reactivated.

To reactivate a terminated transplant program:

1. Click the **Transplant Programs** tab in the **Certification** window.
2. In the **Transplant Program Summary** grid, select the terminated program (Status = Denied) you want to reactivate.
3. Click the **Reactivate Program** button.

More ...

Screen: "Transplant Programs" on page 359

Enter CMS-2786 Data

Use the LSC 2786 (K9) tab to enter and print fire safety survey information for NHs, ICFs/IID, and ESRDs, and optionally for ASCs and Hospices.

To enter CMS-2786 data:

1. Scroll to the **Survey List** section on the **Certification & Surveys** tab of the **Certification** window.
2. Click the **LSC 2786 (K9)** tab.
3. As applicable, enter compliance information directly on the grid.
4. Click **Print 2786** to generate the form.

More ...

Screen: "Survey List" on page 337
Screen: "LSC 2786 (K9) tab" on page 338

Enter CMS-671 Data - NH

You enter LTC Medicare/Medicaid application information on the Application (CMS-671) tab of the Certification window.

To enter CMS-671 data:

1. Click the **Application (CMS-671)** tab in the **Certification** window.

   Note: This tab does not appear for certification kits with a Prior status.

2. Enter general information about the NH provider in the top section, e.g., surveys, ownership, and services.
3. The **Facility Staffing** section at the bottom is obsolete, but you can optionally complete it.
   - ➥ Select a checkbox in any or all of columns **A1**, **A2**, and **A3** as applicable for each service provided.
   - ➥ If you select **A1** or **A3** (to indicate the service is provided to facility residents), enter the corresponding hours of service providers in any or all of columns **B**, **C**, and **D** as applicable.

   Note: Any staffing data that has been entered for historical or current kits is uploaded, unedited, to national.

4. Click **Print** at the bottom of the window to print the **CMS-671** form.

More ...

Screen: "CMS-671 - General Information" on page 363
Screen: "CMS-671 - Facility Staffing" on page 364

Enter CMS-672 Data - NH

CMS-672 provides a snapshot of the resident population at the time of the survey.

To enter CMS-672 data:

Note: This tab does not appear for certification kits with a Prior status.

1. Enter required resident census data in the top section.
2. Enter resident condition data in sections **A**-**G**.
3. Complete several miscellaneous items at the bottom of the form.
4. Click **Print** at the bottom of the window to print the **CMS-672** form.

More ...

Screen: "CMS-672 - Resident Census" on page 365
Screen: "CMS-672 - Conditions of Residents" on page 366
Screen: "CMS-672 - Miscellaneous" on page 367

Enter CMS-1572A Data - HHA

When the HHA application for certification is received from the provider, you can enter application (survey and deficiencies) information for the provider on the Application (CMS-1572A) tab.

To enter CMS-1572A data:

1. Click the **Application (CMS-1572A)** tab in the **Certification** window.

   Note: This tab does not appear for certification kits with a Prior status.

2. Complete several required items in the **Description** section at the top of the form.

   Read-only provider identification information in this section is derived from the ACO database.

3. Enter information about the provider's administration and affiliations in the next section.

4. Enter information about services and staffing in the third section.

   Note: Services entered here are specific to the CMS-1572A. They are not included in the Services node for the provider in the Tree view.

5. Enter record review and patient census data, and complete all other required fields in the fourth section.

6. Click **Print** at the bottom of the window to print the **CMS-1572** form.

More ...

Screen: "CMS-1572A - Description" on page 368
Screen: "CMS-1572A - Administration and Affiliations" on page 369
Procedure: "Add Affiliations" on page 227
Procedure: "Assign HHA Branch ID" on page 229
Screen: "CMS-1572A - Services and Staffing" on page 370
Screen: "CMS-1572A - Visits, Census, Other" on page 370
Screen: "Define Subunits window - HHA" on page 400
Fields: "Facility Relationship Manager window - HHA", on page 400

Enter CMS-1880 Data - XRAY

You enter application information for portable X-ray suppliers on the Application (CMS-1880) tab of the Certification window.

To enter CMS-1880 data:

1. Click the **Application (CMS-1880)** tab in the **Certification** window.

   Note: This tab does not appear for certification kits with a Prior status.

2. Select the program for which the provider is applying from the **Request to Establish Eligibility In (S22)** drop-down.
3. Enter **Control** information.
4. Enter the **Number of Technologists (FTE)** by educational qualification (**S15-18**).
5. In the **Extension Offices** section, click **Add** to enter details about an extension in the **Facility Relationship Manager** window.

   When you click OK the new extension is added to the Extension Offices grid.

   Note: Only the RO can assign a Medicare Branch ID for an XRAY extension.

6. Click **Print** at the bottom of the window to print the **CMS-1880** form.

More ...

Screen: "XRAY Application (CMS-1880)" on page 373
Procedure: “Add Affiliations” on page 227
Procedure: “Assign Extension ID” on page 230

Enter CMS-1856 Data - OPT/SP

You enter application information for Outpatient Physical/Speech Therapy providers on the App (CMS-1856) tab of the Certification window.

To enter CMS-1856 data:

1. Click the **App (CMS-1856)** tab in the **Certification** window.

   Note: This tab does not appear for certification kits with a Prior status.

2. In the **Eligibility** section, select the program for which the provider is applying.
3. In the **Services Provided (R18)** section, select the checkbox by each service the provider offers, or select **All** if applicable.
4. In the **Organization** section, identify the type of organization offering the **OPT/SP** services.
5. In the **Control** section, select the type of entity operating the provider.
6. Enter the **Number of Qualified Personnel (FTE)**.

   ASPEN calculates the totals (R13, R19, R22).

7. In the **Extension Offices** section, click **Add** to enter details about an extension in the **Facility Relationship Manager** window.

   When you click OK, the new extension is added to the Extension Offices grid.

   Note: Only the RO can assign a Medicare Branch ID for an OPT extension.

8. Click **Print** at the bottom of the window to print the **CMS-1856** form.

More ...

Screen: "OPT/SP App (CMS-1856)" on page 371
Procedure: “Add Affiliations” on page 227
Procedure: “Assign Extension ID” on page 230
Screen: "Facility Relationship Manager window - HHA" on page 400

Enter CMS-3427 Data - ESRD

You enter application information for End Stage Renal Disease providers on the Application (CMS-3427) tab of the Certification window.

To enter CMS-3427 data:

1. Click the **Application (CMS-3427)** tab in the **Certification** window.

   Note: This tab does not appear for certification kits with a Prior status.

2. In Part I, enter information about the provider including details on ownership, current services provided, new services requested, number of patients, number of dialysis stations, isolation, patient shifts, and staff.
3. Complete the items in Part II: Medicare Enrollment, Type of Survey, and Network Number.
4. Click **Print** at the bottom of the window to print the **CMS-3427** form.

More ...

Screen: "CMS-3427 - Part I" on page 374
Screen: "CMS-3427 - Part II" on page 377

Enter CMS-29/30E Data - RHC

You enter application information for Rural Health Clinics on the App/CDE (CMS-29/30E) tab of the Certification window.

To enter CMS-29/30E data:

1. Click the **App/CDE (CMS-29/30E)** tab in the **Certification** window.

   Note: This tab does not appear for certification kits with a Prior status.

2. In the **Request to Establish Eligibility** section (CMS-29 fields), enter information about the provider.
3. In the **CDE - 30E** section, enter **Staff** numbers.
4. Click **Print** at the bottom of the window to print the **CMS-29** and **CMS-30E** forms. They are printed separately.

More ...

Screen: "CMS-29 - Request to Establish Eligibility" on page 360
Screen: "CMS-30E - From RHC CDE" on page 361

Enter CMS-359 Data - CORF

You enter application information for Comprehensive Outpatient Rehabilitation Facilities on the Application (CMS-359) tab of the Certification window.

To enter CMS-359 data:

1. Click the **Application (CMS-359)** tab in the **Certification** window.

   Note: This tab does not appear for certification kits with a Prior status.

2. Provide **Eligibility** and **Control** information.
3. In the **Services Provided (RD10)** grid, select the checkbox in the appropriate column(s) to indicate which services are provided and by whom.
4. In the **Extension Offices** section, click **Add** to enter details about an extension in the **Facility Relationship Manager** window.

   When you click OK the new extension is added to the Extension Offices grid.

   Note: Only the RO can assign a Medicare Branch ID for a CORF extension.

5. Click **Print** at the bottom of the window to print the **CMS-359** form.

More ...

Screen: "CORF Application (CMS-359)" on page 361
Procedure: “Add Affiliations” on page 227
Procedure: “Assign Extension ID” on page 230
Screen: "Facility Relationship Manager window - HHA" on page 400

Enter CMS-3070G Data - ICF/IID

You enter application information for Intermediate Care Facilities for Individuals with Intellectual Disability (ICF/IID) on the application (CMS-3070G) tab of the Certification window.

To enter the CMS-3070G data:

1. Click the **Application (CMS-3070G)** tab in the **Certification** window.

   Note: This tab does not appear for certification kits with a Prior status.

2. Provide **Survey** and **Control** information.
3. **Survey Team Composition** information is derived from the title(s) of the surveyors on the **Standard Health Survey**.

4 Enter **Facility Data**, **Staffing** information, and **Off-Campus Day Program** information.

5 Enter **Individual Characteristics** - enter the number of applicable clients in each field.

6 Click **Print** at the bottom of the window to print the **CMS-3070G** form.

More ...

Screen: "ICF/IID Application (CMS-3070G)" on page 378

Enter CMS-377/378E Data - ASC

You enter application information for Ambulatory Surgical Centers (ASC) on the App/CDE (CMS-377/378E) tab of the Certification window. This tab combines the CMS-377 and CMS-378E (pre-ASPEN 10.5 ASC kits only) forms.

Note: The Crucial Data Extract (378E) is obsolete, but still appears in pre-ASPEN 10.5 ASC kits if data was entered.

To enter CMS-377/378E data:

1 Click the **Application (CMS-377/378E)** tab in the **Certification** window.

Note: This tab does not appear for certification kits with a Prior status.

CMS-377 data:

2 Provide **Control** information.

3 Provide **Ancillary Services Information (AS6) -** Select the applicable method of providing **Laboratory**, **Radiology**, and **Pharmaceutical Services**.

4 **Surgical Specialties (AS7) -** select **Yes** or **No** for each specialty that is provided. If you select **Yes** in box **10 Other**, enter the specialty in the Specify text box.

5 Enter **Facility Characteristics**.

CMS-378E Data

Note: The 378E is obsolete and does not appear in ASC certification kits with a certification exit date (L34) after the ASPEN 10.5 release date (09/17/16) or pre-ASPEN 10.5 ASC kits if no data was entered, but still appears in pre-ASPEN 10.5 ASC kits if data was entered.

6 **Equipment (Q17)** - select **Yes** or **No** for each equipment item.

7 **Records (Q28)** - select **Yes** or **No** for each patient record item.

8 Click **Print** at the bottom of the window to print the **CMS-377 Request for Certification** and **378E Crucial Data Extract**.

Note: The Crucial Data Extract prints for all ASC certification kits although it is obsolete and does not appear in ASC certification kits with a certification exit date (L34) after the ASPEN 10.5 release date (09/17/16) or pre-ASPEN 10.5 ASC kits if no data was entered. Therefore, the printed form for these ASC kits contains no data.

More ...

Screen: "ASC App/CDE (CMS-377/378E)" on page 383

Enter CMS-417 Data - Hospice

You enter application information for Hospices on the Application (CMS-417) tab of the Certification window.

To enter CMS-417 data:

1 Click the **Application (CMS-417)** tab in the **Certification** window.

Note: This tab does not appear for certification kits with a Prior status.

2 Select the **Hospice type**.

3 Related **Provider Number (PH6) -** enter the related provider's Medicare number, i.e., CCN, or use the **Find Facility button** to locate the provider and insert the CCN.

You can search within your state or across states.

4 **Select For Hospitals Only -** if **PH7 Hospice Type** is **Hospital**, select the applicable accreditation option.

5 **Type of Control** (**PH8**) **-** select the type of entity operating the provider.

6 **Services Provided** (**PH9**) **-** select the method by which each service is provided. If any services are provided by contract, enter the Name, Address, and Medicare Provider/Supplier number, i.e., CCN of the contractor.

7 **Acute/Respite** (**PH10**) **-** select the appropriate type of acute or respite care.

8 Enter the number of **Employees/Volunteers**.

9 Click **Print** at the bottom of the window to print the **CMS-417 Request for Certification**.

More ...

Screen: "Hospice Application (CMS-417)" on page 386

Enter CMS-643 Data - Hospice

You enter compliance information for Hospices on the Application (CMS-643) tab of the Certification window.

To enter CMS-643 data:

1. Click the **Application (CMS-643)** tab in the **Certification** window.

   Note: This tab does not appear for certification kits with a Prior status.

2. Was this hospice surveyed for compliance with 42 CFR 418.110? (L50) - select Yes or No.
3. If this hospice provides inpatient care directly, is the inpatient care provided on premises? (L51) - select Yes or No.

   If Yes, an LSC survey must be completed for this certification.
4. Has a waiver of core nursing services been granted? (L52) - select Yes or No.
5. If L52 is Yes, enter the date (L53).
6. Indicate type of setting(s) in which the hospice provides routine home care. (L54) - click the checkbox for each of the applicable setting(s).
7. Number of hospice patients residing in a SNF, NF or other residential facility who receive routine home care from the hospice. (L55) - enter the number of patients.
8. Number of hospice patients admitted during recent 12 month period. (L56) - enter the number of patients admitted.
9. Number of records reviewed during survey. (L57) - enter the number of records.
10. Number of home visits conducted to patients in a private residence. (L58) - enter the number of home visits.
11. Number of home visits conducted to patients in residential facilities. (L59) - enter the number of visits.
12. Does this hospice operate under the same certification number, i.e., CCN, at more than one location? (L60) - select Yes or No.
13. If Yes, enter number of locations. (L61) - if L60 is Yes, enter the number of locations.
14. Does this hospice operate as part of another entity that participates in the Medicare program? (L62) - select Yes or No.

15 If Yes, enter the Medicare certification number of the entity. (L61) - if L62 is Yes, enter the related provider's Medicare number, i.e., CCN, or use Find Facility to locate the provider and insert the CCN.

You can search within your state or across states.

16 Click **Print** at the bottom of the window to print the **CMS-643 Survey and Deficiencies Report**.

More ...

Screen: "Hospice Application (CMS-643)" on page 387

Enter Application Data - PRTF

You enter application information for Psychiatric Residential Treatment Facilities (PRTF) on the Application PRTF tab of the Certification window.

To enter PRTF application data:

1 Click the **Application PRTF** tab in the **Certification** window.

Note: This tab does not appear for certification kits with a Prior status.

2 **Type of Control -** select the type of entity operating the provider.

3 Enter the two **Attestation** dates.

4 Enter the **Number of Medicaid** residents in the facility and the **Number** of residents whose benefits are paid by another state.

5 Select the states from which the facility has received payment.

6 Select **Yes** or **No** as applicable for the three **Acknowledgments**.

7 Enter the **Director's Name**.

8 Enter the **Contact Name** and **Telephone No**. at the **State Medicaid Agency**.

9 The **State Survey Agency** can enter details and explanatory information as needed in the **Remarks** section.

More ...

Screen: "Application PRTF" on page 388

Enter CMHC Add'l Information

You enter basic provider information for Community Mental Health Centers (CMHC) on the CMHC Add'l Information tab of the Certification window.

To enter additional information for a CMHC:

1. Click the **CMHC Add'l Information** tab in the **Certification** window.

   Note: This tab does not appear for certification kits with a Prior status.

2. Is this facility a distinct part of a **Medicare Provider?** - select **Yes** or **No**.
3. If **Yes**, either enter the provider's CCN, or use the **Find Facility** button to locate the provider and insert the number.

   You can search within your state or across states.

4. **Type Control -** select the type of entity operating the provider.
5. **Staffing -** enter the number of personnel (full time equivalents) employed **Directly** and by **Arrangement** for each applicable category.

More ...

Screen: "CMHC Add'l Information" on page 389

Enter Skeleton Data - FQHC

You enter basic provider information for a Federally Qualified Health Center (FQHC) on the FQHC Skeleton Form tab of the Certification window.

To enter skeleton data for an FQHC:

1. Click the **FQHC Skeleton Form** tab in the **Certification** window.

   Note: This tab does not appear for certification kits with a Prior status.

2. Is this facility a distinct part of a **Medicare** or **Medicaid Provider?** Select **Yes** or **No**.

   If Yes, either enter the CCN directly, or use the Find Facility button to locate the provider and insert the CCN.

   You can search within your state or across states.

3. **Federally Funded FFHC? -** select **Yes** or **No**.
4. **Type Control -** select the type of entity operating the provider.

More ...

Screen: "FQHC Skeleton Form" on page 390

Monitor the Certification Process

The Tracking tab provides a central point for monitoring all aspects of the certification process, both fieldwork and internal office procedures.

Certification Summary

Displays Application Received date (initial kits for non-CLIA providers only), Certification date (L34) and status, Health and LSC survey exit dates.

CLIA Authorization for State Validation Survey (CMS 2802)

This section is always disabled in non-CLIA certification kits.

Responsible Parties

You can designate responsible parties for the certification, both SA and RO. There must always be at least one responsible party. Assignments made here are carried over to Responsible Parties on the Certification & Surveys tab and Regional/State Representatives grid on the Deemed/2802 tab, and vice versa.

The Responsible Parties for the certification will receive all action items and emails related to the certification.

More ...

Procedure: “To assign a responsible party:” on page 131
Screen: "Responsible Parties" on page 342

Activities/Action Items

On this tab you can assign activities to staff members. Action items are automatically sent to the assigned personnel.

To add an activity assigned to an RO:

1. Go to the **Tracking** tab of the certification kit, then the **Activities/Action Items** tab.
2. Click **Add** to open the **Define Activity** window.
3. Supply the activity **Type** and **Due** date.
4. Click **Add R.O.**

5 Select the staff member who is to complete the activity and click **OK**.

You can also enter notes in the Comments text box.

6 Click **OK** when done.

More ...

Screen: "Activities/Action Items" on page 342
Screen: "Define Activity window" on page 343

For a comprehensive list of action item messages, refer to the *AST Procedures Guide*, which is posted on the QTSO website at https://qtso.cms.gov.

Processing Steps

The Processing Steps subtab provides detailed information about individual tasks in the certification process. In many cases, steps are created and dates are entered automatically as information is entered in ASPEN. You can add and modify items manually as needed.

To add and modify items manually:

1 Go to the **Tracking** tab of the certification kit.

2 On the **Processing Steps** tab, select **Add Step.**

3 Click the arrow to select a process from the drop-down menu and click **OK**.

To remove items manually:

➥ Select a **Process Step** and click **Remove Step**.

More ...

Screen: "Processing Steps" on page 344

2567/POC/IDR

This subtab includes/accesses a summary of dates and details for all Statements of Deficiencies (SODs), Plans of Correction (POCs), IDRs and Independent IDRs connected with the certification.

More ...

Screen: "2567/POC/IDR" on page 344

Termination

This subtab summarizes details of termination actions associated with the certification for all except NH providers.

More ...

Procedure: “Terminate/Reactivate a Provider” on page 240
Screen: "Termination" on page 345

Enforcement

This subtab provides a summary of enforcement actions associated with the certification.

More ...

Screen: "Enforcement" on page 347

Notices

From this subtab, you can print letters and view the letter history for the certification.

More ...

Screen: "Notices" on page 347

CHOW

This subtab lists CHOW events for the certification. You can view processing steps for each event.

More ...

Procedure: “Enter a CHOW” on page 237
Screen: "CHOW" on page 348

Insert Backup Text

When an ASPEN word processor/text editor is open for entering or editing text, ACO takes a “snapshot” of its contents every two minutes if at least 500 characters have been entered. The snapshot is saved as a .txt file. These backup files are stored in the WPBackupDir folder in the ACO Data directory.

Note: If you paste text passages containing more than 500 characters, but do not leave the word processor open for at least two minutes, the text is not backed up.

If you lose a quantity of work due to:

- hardware failure

  -or-

- inadvertent deletion of text,

you can restore the text from within the word processor.

To insert backup text:

1. If necessary, open the applicable word processor.
2. Place the cursor where you want to insert the backup text.

3 Select **Insert Backup File** from the **File** menu.

ACO displays the contents of the WPBackupDir folder in the Select Backup File window.

4 Locate the applicable backup file.

For example, a citation text backup filename consists of the following elements:

<Survey EventID><ASPEN Reg Set ID><Tag><StaffID>.txt

5 Double-click the file to insert the text into the word processor.

Note: ACO overwrites existing backup files every two minutes only if more than 500 new characters have been entered in the word processor. This prevents the backup from being overwritten by the contents of an empty word processor while you are locating and inserting the file.

Close a Certification Kit

When no further action on a certification kit is needed, you can mark it as closed.

To close a certification kit:

1 Go to the **Certification Properties** section at the top of the **Certification & Surveys** tab.

2 For **Status**, select **Closed**.

Locate and Track Certification Kits

The Certification Kits window lists certification kits with details about each including kit and upload status. You can filter the listed kits by provider type, status, and date. From the list, you can open individual kits.

To view a list of certification kits:

1 From the **Tracking** menu, select **Certifications** to open the **Certification Kits** window.

Initial certifications appear in red and recertifications appear in blue. In the ODIE column, a blank space indicates that no attempt has been made to upload the kit, a yellow envelope indicates at least one attempt has been made to upload, and a green check indicates that the kit has been successfully uploaded.

TIP: A certification kit is not listed in the Certification Kits window until it includes a survey.

2 Use the **Provider Type**, **Status**, and **Dates** filters to tailor the list of certification kits.

➥ Select the desired **Provider Type**(**s**) and **Status**.

➥ Enter the start and end **Dates** of the date range you want.

This is a range of certification exit dates, usually L34 calculated as the exit date of the standard Health survey.

3 After setting the filters, click **Set** to refresh the list of certification kits.

4 To see only the most recently modified kits, select **Show Kits Modified Since Last Upload**.

The list of certification kits automatically refreshes.

5 **RO -** Select the **RO Quick List** checkbox to display initial and unaccepted flagged certification kits.

The list of certification kits automatically refreshes.

6 Click **Print Tracking Report** to view/print information about the listed certification kits in report form.

The Sort Order window appears. You can sort the report by Facility Name, Provider ID (i.e., CCN), or Survey Date, in ascending or descending order.

7 Select a certification and click **View Highlighted Certification** to open the corresponding kit.

-or-

Simply double-click a certification in the list.

8 Click **Print List** to view/print the information on the **Certification Kits** screen in the order the kits are listed.

More ...

Screen: "Certification Kits window" on page 393

Upload Certification Kits

When all information has been provided and forms completed (all checkmarks are green, indicators on Cert & Surveys tab set to “Facility and CMS 670 Edits Passed” and “CMS 670 Complete”) for a certification kit, it is ready for upload to national. Certification kits created on or after 07/01/2014 are automatically uploaded, although an upload can also be triggered manually. Cert kits created before 07/01/2014 *must* be manually uploaded.

Note: Although automatic and manual uploads from ACO can be initiated at any time, upload processing to national does not occur on Saturday and Sunday.

Automatic Upload

ASPEN's automatic upload engine continually monitors for changes to certification kits created on or after 07/01/2014. Uploads occur automatically when the data appears ready for upload.

Note: An automatic upload is also triggered when you reactivate a terminated branch or extension.

Qualification Phase

In the qualification phase, data is reviewed for completeness and to ensure the applicable business rules are met. When a certification kit is created or updated, directly or through related functions such as Citation Manager or survey import, the qualification checks are applied each time the kit is saved to determine if it is ready for upload processing.

Transaction Queue

As soon as a kit successfully passes qualification, the auto-upload process queues the kit for upload. Approximately every 10 minutes, the system checks to see if any kits are queued and, if so, it sends the appropriate upload transaction (Add, Update, etc.) to national.

Auto-upload Processing

Data qualification, transaction queuing, and upload processing occur in the background. You will not be aware of these processes and can work uninterrupted.

Automatic upload transactions must pass national edit checks. In the event an auto-upload transaction fails one or more edits, responsible parties assigned to the kit receive both an e-mail and action item notification of the reasons for failure.

Many updates to a kit may be made throughout the day. These daily changes become available to the national reporting systems during the overnight load process.

Manual Upload

Manual upload is required for certification kits created before 07/01/2014. You can also manually upload kits created on or after 07/01/2014 if desired; it may be useful as a diagnostic tool if auto-uploads are failing. These kits must pass the same page, kit, and national edit checks as for automatic upload.

Note: Once a cert kit created on or after 07/01/2014 is uploaded successfully (automatically or manually), update uploads are automatic.

To manually upload a certification kit:

1. Click the **Upload** tab in the **Certification** window.

   Previous upload transactions for the certification kit are listed in the Prior Certification Kit Uploads section.

2. Click **Prevalidate and Upload** and click **Yes** in response to the confirmation prompt.

   ACO prevalidates the certification kit. If all required information is supplied and valid, ACO transmits the kit.

More ...

"Implicit Transactions" on page 680
Screen: "Upload tab" on page 391
Procedure: "Flag and Review Certification Kits" on page 218

Upload Restrictions

The following restrictions apply to certification kit uploads:

- Up to 10 Health and 10 LSC surveys can be uploaded per certification kt, that is, 1 initial survey and 9 revisits each for Health and LSC.
- A certification kit that has only offsite surveys cannot be uploaded *with the exception* of kits for SPRDF and eligible Hospital subtypes that are flagged as waived under the 1135 Waiver rule.
- Initial certification kits and unaccepted flagged kits cannot be uploaded until they are reviewed by the RO.

  Note: For cert kits created before 07/01/2014, SAs should click Prevalidate and Upload on kits of applicable providers (e.g., NH and non-deemed Hospital) that pass all state edits even before the RO review. Although the upload will be unsuccessful, this is necessary to establish the timeliness of data entry into ASPEN.

- An LSC survey linked to a Short Form regulation is excluded from the upload if the survey's exit date is on or after the cutoff date, which is currently the effective date of the LSC regulations that were released in November 2016.
- A revisit scheduled in the future, i.e., survey exit date is greater than the upload date, is excluded from the upload.
- Revisits with no citations are not uploaded. On a manual upload, a message will inform you of any revisits without citations. You can proceed with the manual upload, but the listed revisits will not be uploaded.
- Citation text for corrected deficiencies is not uploaded except for corrected PNC deficiencies.
- Certification kits will not be uploaded if deemed information on the CMS-1539, i.e., the Transmittal (CMS-1539) tab, does not match deemed information on the CMS-2802, i.e., the Deemed/2802 tab.
- Certification kits for the following provider types will not be uploaded if NPIs are not specified: Medicaid-only Hospital (01U-01Z), NF (024), Medicaid-only HHA (052), PRTF (061), XRAY (071), ICF/IID (111), ASC (151).

  Note: Certification kits without an NPI number *can* be uploaded for these providers if the kit is terminated, i.e., Termination Code (L30) on the Transmittal (CMS-1539) tab ≠ 00 Active.

- Initial certification kits can be created and uploaded for Critical Access Hospitals only with a status change (e.g., from ACU). Otherwise, a Critical Access Hospital must be certified as an ACU prior to becoming a CAH.
- Addition of the following modalities/services in ESRD recertifications and Change of Status initial certification kits requires an onsite survey. Upload will fail if a desk review (offsite survey) is associated with the kit.
  - In-center Hemodialysis (HD) (item V14-1)
  - Home HD Training & Support (item V14-4)
  - Home PD Training & Support (item V14-6)
  - Dialyzer Reuse item (V14-8)
  - In-center PD (item V14-2), but facility is not already approved for Home PD Training & Support (item V13-6 is not selected)
  - HD in LTC (item V14-5), but facility is not already approved for Home HD Training & Support (item V13-4 is not selected)
  - PD in LTC (item V14-7), but facility is not already approved for Home PD Training & Support (item V13-6 is not selected)
- At least one transplant program (of any status or type) must be identified on the Transplant Programs tab of a Transplant Hospital certification kit before it can be upload.

- Citations with an IDR/IIDR or Hearing/Settlement (AEM) status of 01, 03, 06, 07, 08, 09, 10, 11 (HHA IDR only), or 12 (Hearing/Settlement only) are included in uploads to national. Citations with an IDR/IIDR or Hearing/Settlement status of 02, 04, or 05 are not uploaded.
- If a certification kit includes a Long-term Care Survey Process (LTCSP) survey, the system checks whether the LTCSP data is complete. If not, an error message appears and the upload will fail. However, this error can be overridden by selecting the LTCSP Override checkbox on the Certification & Surveys tab.

Note: Rebuilt pre-670 certification kits contain no survey information, but they can be uploaded.

Implicit Update Transactions

When you make changes to the items listed below in kits that have been uploaded automatically or manually, regardless of the creation date of the kit, ASPEN automatically transmits the changed values to national. Another upload of the kit is neither triggered nor required.

- Implicit facility properties
- Implicit CMS-1539 fields
- Program Participation (F9) field on the CMS-671

More ...

"Implicit Transactions" on page 680
Procedure: "Change Facility Status (RO)" on page 233
Procedure: "Reactivate an HHA Branch (RO)" on page 230
Procedure: "Reactivate an Extension (RO)" on page 232

Uploading Branches

Branch/extension/offsite location/affiliate/co-located Hospital information for HHA, OPT, XRAY, CORF, and Hospital providers is uploaded when the parent provider's certification kit is uploaded. If you add or modify a branch/extension/offsite location/affiliate/co-located Hospital in a kit that was successfully uploaded, another upload is automatically triggered as long as the certification kit otherwise qualifies for upload.

Successful Uploads

The status of a successful transaction is 00 - Pending Upload. When the certification kit is accepted by national, the status changes to 10 - Successful. When a kit has been successfully uploaded to national, it is identified in Tree view by a green arrow on the certification icon. If there is no arrow, the kit has not yet been successfully uploaded.

Upload Problems

If invalid or missing data is detected, the transaction is terminated - with the exceptions noted below - and the status is -1- Failed. If the transaction is a failure at the national level, the status may be 15 - Failed. If the kit qualified for auto-upload, the responsible parties will receive an action item and an email notifying them that the kit failed the upload.

In the following cases, kits can be uploaded but you are warned of missing data:

- If a kit includes a combined survey with a complaint/incident component, you can upload the kit even if workload hours for the complaint/incident portion have not been entered on the CMS-670 form.
- For NH kits, you will receive a warning if the Services Provided section of CMS-671 is blank, so that you do not inadvertently upload an incomplete CMS-671. You can choose to stop or continue the upload process at this point.
- For revisit surveys, you will receive a warning if the system finds no deficiencies. A warning message indicates that the offending revisit(s) will not be uploaded. You can stop or continue the upload process.

To resolve an upload error:

1. For unsuccessful transactions, click the transaction on the **Upload** tab.

   The Upload Transaction Errors section appears and lists the problems.
2. Use this information to resolve the listed issue(s).
3. If necessary, cut and paste the errors information to send to support personnel.

Flag Indicator (SF08)

The first upload (Add) transaction for a certification kit (successful or not) sets the Flag Indicator status (SF08) in the Special Fields section at the bottom of the Certification & Surveys tab. The Release for CMS Review? checkbox at the top of the Certification & Surveys tab is also selected, if it has not already been manually selected by the State Agency.

An icon next to the checkbox indicates if the kit is flagged for RO extended review or not

SF08 is recalculated with each attempted Add transaction until one is successful; the status is then frozen.

More ...

Procedure: “Flag and Review Certification Kits” on page 218

Track Upload Transactions

You can view a selected list of upload transactions for a specified time period with details about each transaction.

To view upload transactions:

1. From the **Tracking** menu, select **Transactions**.
2. In the **Please Specify Transactions to List** window:
   - ➥ Enter the **Start Date** and **End Date** of the transaction date range.

     The transaction dates are system-generated when transactions occur.
   - ➥ To filter by provider type, select the **Facility Types** checkbox to open the **Filter Select Dialog**. Select the provider types you want.

     You are limited to specifying a subset of facility types in your active selection set. If you don't select any, you'll receive a message, the Facility Types checkbox will be cleared, and all facility types–not just those in your selection set–will be included.
   - ➥ Choose which of seven groups of transactions to display.
3. Click **OK** to open the **Transactions** window.

   All transactions matching your specified criteria are displayed. The list of transactions is also filtered according to your active My Selections settings.

   Initial certifications are red; recertifications are blue. The Action column shows the action assigned by ASPEN for processing each upload transaction. You can sort this list by any of the column headings.
4. Use **Start Date**, **End Date**, **Selection Criteria**, **Sort Order**, and **Facility Type Filter** at the top of the **Transactions** window to redefine filtering criteria and sort order as desired; click **Refresh List** to update the display.
5. To view the text of error messages (if any) associated with a transaction, select the transaction to open the **Upload Transaction Errors** section.
6. Select a transaction and click **View Related Certification Kit** or double-click a transaction to display the related certification kit.
7. Click **Print** to print the displayed transaction list as a report.
8. In the report preview window, click **Export** (red arrow with envelope) to generate the transaction list in the format of choice.

Note: Uploads from ASPEN to national include data identifying certification kits with no successful upload for currently participating/accepted providers. This data populates CASPER login report 1400D Recertification Kits Not Uploaded.

More ...

Screen: "Please Specify Transactions window" on page 394
Screen: "Transactions window" on page 395
Screen: "Report Preview window" on page 446

Late Certification Kits

A certification kit is considered late if it has not been successfully uploaded within a specified number of days from the certification exit date, i.e., Date of Survey (L34). Two upload monitoring emails are automatically generated and provide notification of late cert kits:

- Late Certification Kit Upload Review

  Lists certification kits that have never been uploaded and are late.

- Late Certification Kit Uploads

  Lists certification kits that have not been accepted after a given number of days and kits that were previously accepted but can no longer be uploaded due to failed validation.

More ...

"Upload Monitoring Emails" on page 679

View Failed and Overdue Uploads

From the Tracking menu, you can generate lists with details about failed and overdue uploads of:

- Certification kits
- Special surveys

By default, both lists are filtered according to your active My Selections set.

View Failed and Overdue Certification Kit Uploads

The Failed and Overdue Certification Kit Uploads window lists all certification kits in need of an upload or completion. By default, kits are listed based on the number of days elapsed since the exit date of the first visit, if available; otherwise, the date the kit was created is used. You can open the Certification window for a selected certification kit and make needed changes.

To view failed and overdue certification kit uploads:

1. From the **Tracking** menu, select **Failed and Overdue Certification Kit Uploads**.

   The Failed and Overdue Certification Kit Uploads window lists failed (orange) and overdue (yellow) cert kit uploads, and incomplete (green) kits that require additional data before an upload can occur, and you can filter the list of kits by a specified date range. Status is explicitly indicated in the Upload Status column.

   The following information is displayed:

   - Track ID
   - Provider Number
   - Created Date of certification kit

- Exit date of certification kit
- Age (in Days) of kt
- Facility Name
- Last Upload Date
- Upload Status: Failed, Overdue, or Incomplete

TIP: You can change the sort order of the list by clicking any column heading.

2. Select the appropriate Filter Options at the top as needed, either to **Show Items at least** a certain number of days old, or to **Show Items between** a specified date range; click **Refresh List** to update the display.
3. To view explanations of errors associated with a failed upload in the **Upload Transaction Errors** section, click in the applicable row.
4. Select a certification kit (row) and click the **Certification Kit** button to open the corresponding Certification screen.
5. Click **Print** to print the displayed list as a report.
6. In the report preview window, click the **Export** icon to generate the list in the format of choice.

More ...

Screen: "Failed and Overdue Certification Kit Uploads window" on page 396

View Failed and Overdue Special Survey Uploads

The Failed and Overdue Special Survey (SRVY) Uploads window lists all special surveys in need of an upload or completion. By default, kits are listed based on the number of days elapsed since the exit date of the first visit, if available; otherwise, the date the kit was created is used. You can open the Survey Properties window for a selected survey and make needed changes.

To view failed and overdue special survey uploads:

1. From the **Tracking** menu, select **Failed and Overdue Special Survey Uploads**.

   The Failed and Overdue Special Survey (SRVY) Uploads window lists failed/stalled (orange) and overdue (yellow) special surveys uploads, and incomplete (green) surveys that require additional data before an upload can occur, and you can filter the list of kits by a specified date range. Status is explicitly indicated in the Upload Status column.

   The following information is displayed:

   - Event ID
   - Provider Number

- Exit date of survey
- Age (in Days) of survey
- Facility Name
- Last Upload Date
- Upload Status: Failed, Overdue, or Incomplete

TIP: You can change the sort order of the list by clicking any column heading.

2. Select the appropriate Filter Options at the top as needed, either to **Show Items at least** a certain number of days old, or to **Show Items between** a specified date range; click **Refresh List** to update the display.
3. To view explanations of errors associated with a failed upload in the **Upload Transaction Errors** section, click in the applicable row.
4. Select a survey (row) and click the **Survey Properties** button to open the corresponding Survey Properties window.
5. Click **Print** to print the displayed list as a report.
6. In the report preview window, click the **Export** icon to generate the list in the format of choice.

More ...

Screen: "Failed and Overdue Special Survey (SRVY) Uploads window" on page 419

Delete a Certification Kit

SA or RO - You can delete certification kits that have not been successfully uploaded to national.

RO - Only RO staff can delete certifications that have been successfully uploaded or initial certification kits.

To delete a certification kit:

1. Locate and expand the provider with the certification kit you want to delete.
2. Right-click the certification, select **Remove Certification**, then click **Yes** in response to the confirmation prompt.

   Messages appear in the following cases:

   - There are pending national upload transactions, either.
   - There have been no upload transactions.
   - You are not an RO staff member, and you attempt to remove a certification kit that has been successfully uploaded.

- You attempt to delete a kit that has been successfully uploaded and the certification exit date, usually the exit date of the Health survey linked to a certification kit, has been changed since the upload.
- You attempt to delete a kit that is associated with an open enforcement case.

SA or RO - If there have been no successful upload actions, the kit and associated surveys are immediately and permanently deleted from ASPEN. For a Change of Status initial kit that hasn't been uploaded, the provider record is immediately reset to the prior CMS Certification Number and facility type.

RO - If there has been at least one successful upload transaction, a delete transaction message is sent to national to permanently remove the kit and all associated surveys from both national and ASPEN. Execution of the delete transaction message by the national database typically requires 24 hours. The status shown in the Tree view for the certification kit in the meantime is Pending Delete.

When you delete a Change of Status initial kit that has been uploaded, the provider record is reset to the prior CMS Certification Number and facility type after the delete transaction is accepted by national.

Flag and Review Certification Kits

RO intervention in the certification process is required for initial and unaccepted flagged certification kits. A kit can be flagged automatically or manually for RO review. The RO Quick List tracking option makes it easy for ROs to identify the kits they need to review.

Flag a Kit for Review by the RO

ASPEN automatically flags a certification kit for RO review, i.e., sets SF08 to 1 - Flagged, in the following circumstances:

HH:

- One or more condition-level citations exist.

  All condition-level tags are green and labeled as (Condition) in Citation Manager.
- L12 on the 1539 is B - Not in Compliance.

NH and HHA

- Termination Code (L30) on the 1539 is greater than 00.

NH

- Comp Status on LSC 2786 (K9) is B - Not in Compliance.

The SA can also manually request a review by selecting the Release for CMS Review option on the Certification & Surveys tab. Certification kits flagged for RO review cannot be uploaded until the RO has entered RO Receipt Date (L32) and Determination Approval date (L33) on the 1539.

SA - To flag a kit for review by the RO:

➥ Select the **Release for CMS Review** checkbox at the top of the **Certification & Surveys** tab.

-or-

➥ Manually upload a certification kit where **L33** is required to automatically set **SF08** to **Flagged**.

If ASPEN flagged the kit automatically during an upload attempt, the Flagged for Review icon appears next to Release for CMS Review and the certification kit will be listed in the Transactions window.

Identify Kits Requiring RO Action (RO)

To determine the need for intervention into the certification process, the Regional Office reviews the tracking records for kits from an individual State Agency to identify initial and unaccepted flagged certification kits.

To identify a kit requiring RO action:

1. Open **ARO**.
2. Select the state for certification kit review.
   ➥ Choose the state you want from the drop-down list to the left of the **Config** button on the **ARO** toolbar.

Figure 38: Config field and button

3. From the **Tracking** menu, open the **Certification Kits** window.
4. Click **RO Quick List** to display initial and unaccepted flagged kits.

More ...

Procedure: "Manage Federal Monitoring Survey Events (RO)" on page 243

Review Initial and Flagged Certifications (RO)

RO—To review an initial or flagged kit:

1. Double-click the kit in the **Certification Kits** or **Transactions** window to open it.
2. Review the **CMS-2567**(s) of the survey(s) associated with the certification.

3 Enter/review data entry hours in the **CMS-670**.

4 Click the **Transmittal (CMS-1539)** tab and enter required information.

5 Review the other provider-specific form(s) for accuracy and consistency, and update as necessary.

6 For a flagged kit, click the **Upload** tab to view prior uploads and select an unsuccessful transaction (red light icon) to display associated error messages.

Note: If a transaction failed because of missing data that must be entered by the Regional Office, then the RO needs to complete the certification kit.

7 Fill in the **RO Receipt Date (L32)** and **Determination Approval (L33)** date.

A kit that qualifies for auto-upload will be uploaded/re-uploaded automatically. When the upload is successful, the Flag Indicator status (SF08) is frozen.

If desired/necessary (kit created before 07/01/2014), you can manually upload/re-upload the kit to national. To successfully upload the kit, the RO must save and exit the kit after entering L32 and L33, reopen it, then upload. Alternatively, have the SA upload the kit. Otherwise, L33 is blanked out and the upload fails. This is because the system assumes the SA is uploading the kit and the SA can't enter L33, so the system removes the value.

More ...

Procedure: "Manage Federal Monitoring Survey Events (RO)" on page 243
Procedure: "Track Upload Transactions" on page 214
Procedure: "Print CMS-2567" on page 184
Procedure: "Enter CMS-670 Data" on page 183
Procedure: "Enter CMS-1539 Data" on page 187
Procedure: "Upload Certification Kits" on page 208

Record PPS Exemptions

To record and update Prospective Payment System (PPS) exemptions for a Hospital, you complete the Psychiatric Unit and Rehabilitation Unit sections (as applicable) in Hospital Special Fields on the Certification & Surveys tab of the certification kit. These sections are enabled for Hospital subtypes as follows:

- Short Term (011) - Psych and Rehab
- Psychiatric (012) - Rehab only
- Rehabilitation (013) - Psych only
- Critical Access (014) - Psych and Rehab
- Long Term (015) - Psych and Rehab
- Childrens (016) - Psych and Rehab

- Distinct Part Psych (018) - Rehab only
- Medicaid-only Short Term (01U) - Psych and Rehab
- Medicaid-only Childrens (01V) - Psych and Rehab
- Medicaid-only Childrens Psychiatric (01W) - Rehab only
- Medicaid-only Psychiatric (01X) - Rehab only
- Medicaid-only Rehabilitation (01Y) - Psych only
- Medicaid-only Long-term (01Z) - Psych and Rehab

To record PPS exemptions for a Hospital:

1. On the **Certification & Surveys** tab of the certification kit, scroll down to the **Hospital Special Fields** section.
2. If the provider has a **PPS** exempt psychiatric unit, select **Has a PPS Exempt Unit? (SF45)** in the **Psychiatric Unit** section.

   When you select this checkbox, the other fields in the Psychiatric Unit section (except Termination Date) will be enabled. If you clear this checkbox, all the other fields will be disabled.

   ➥ Enter the **Effective Date (SF49)** of the **PPS** exemption, the **Number of Beds (SF46)** in the exempt unit, and select the **Termination Code (SF51)**.

   If the Termination Code is other than 00 Active, Termination Date (SF52) will be enabled.

   ➥ If the **PPS** exemption for the psychiatric unit has been terminated, select the applicable **Termination Code (SF51)** and enter the **Termination Date (SF52)**.
3. If the provider has a **PPS** exempt rehabilitation unit, select **Has a PPS Exempt Unit? (SF47)** in the **Rehabilitation Unit** section.

   When you select this checkbox, the other fields in the Rehabilitation Unit section (except Termination Date) will be enabled. If you clear this checkbox, all the other fields will be disabled.

   ➥ Enter the **Effective Date (SF50)** of the **PPS** exemption, the **Number of Beds (SF48)** in the exempt unit, and select the **Termination Code (SF53)**.

   If the Termination Code is other than 00 Active, Termination Date (SF54) will be enabled.

   ➥ If the **PPS** exemption for the rehabilitation unit has been terminated, select the applicable **Termination Code (SF53)** and enter the **Termination Date (SF54)**.

Note: If a Hospital has both psychiatric and rehabilitation units and both are PPS exempt, select both SF45 and SF47.

Track IDRs and IIDRs

NH - The Informal Dispute Resolution (IDR) and Independent IDR (IIDR) features are available by default in both ACO/ARO and ACTS for Federal NH providers. These features are available for NH licensure types if IDR/IIDR functionality has been activated. If a Nursing Home requests an IDR or Independent IDR of survey findings, you can record the details and dates. IDR/IIDR functions operate on the citations of each visit or survey.

HHA - The IDR feature is available for Federal HHA providers in ACO/ARO and ACTS if a COP is cited. It is available for HHA licensure types if a COP is cited and IDR/IIDR functionality has been activated. If an HHA provider requests an IDR, you can track the details and dates. IIDR is not available for HHAs.

TIP: The system administrator can activate IDR/IIDR functionality for eligible state-defined provider types via the System menu in ACO/ARO (Facility Types | Type Maintenance).

Open the Informal Dispute Resolution window

To enter IDR (NH, HHA) and Independent IDR (NH) information, you can open the Informal Dispute Resolution window from:

- Certification & Surveys tab in the certification kit (NHs - ASPEN provider types 021, 022, 023, 024; HHAs - provider types 051 and 052)
- Tracking tab in the certification kit
- Survey Properties (all providers for which IDR/IIDR functionality is applicable and activated)

NH - For surveys associated with a CMP on an enforcement case with a cycle start date of 01/01/2012 or later, this window has two tabs: IDR and IIDR. Both have the same data fields (except IDR vs. IIDR in the field name). For surveys with no associated CMP or an enforcement cycle start date prior to 01/01/2012, you can enter only IDR information, so the Informal Dispute Resolution window does not have tabs.

HHA - The window never has tabs since IIDR is not available for HHAs.

To open the Informal Dispute Resolution window:

1. Locate the **IDR** button.
   - Certification & Surveys tab (Federal NH and HHA providers only)
     Locate the survey on the Surveys subtab in the Survey List section. You may need to scroll to the right to see the IDR button.
   - Tracking tab
     Locate the survey in the grid on the 2567/POC/IDR subtab.
   - Survey Properties window
     For Federal NH and HHA providers, on the Surveys tab in the Survey List section of the Certification & Surveys tab, select the survey and click Update. Or, for all providers activated for IDR/IIDR, locate the survey in Tree view on the Alpha, Type, or Cert/Survey tab, right-click the survey, and select Survey Properties.
2. Click the **IDR** button for the applicable survey (on the Certification & Surveys or Tracking tab) or the **IDR/IIDR** button (in Survey Properties) to open the **Informal Dispute Resolution** window.

TIP: You can also locate the survey in Tree view on the Alpha, Type, or Cert/Survey tab, right-click the survey, and select IDR/IIDR to open the Informal Dispute Resolution window for all providers activated for IDR/IIDR.

Enter IDR/Independent IDR Information

You can enter IDR and IIDR dates and details as applicable for NHs. IIDR is not available for HHAs.

To enter IDR/Independent IDR information:

1. In the **Informal Dispute Resolution** window, select the **IDR** or **IIDR** (NH only) tab.
2. Complete the top section of the tab.
   - Enter applicable IDR/Independent IDR dates, e.g., Request Received, Scheduled, Conducted, Completion.
   - Indicate who conducted the IDR/Independent IDR (Conducted by).
   - Select the IDR/IIDR Type from the drop-down list.
   - Click **Show Attendees...** to update the attendees list as needed.
3. In the **IDR/IIDR Notes** section of the IDR or IIDR tab, enter resident and ombudsman input, dates, and other relevant information.

4 If you need to add a tag as a result of IDR, click **IDR Add Tag**.

- In the Select Team Member window, select the team member who is adding the tag.
- In the Select New Tag window, select the tag to add.
- Specify citation properties and enter citation text.

The IDR Status assigned is 09 New Tag at IDR, and is read-only. You can change the new tag's IIDR Status, which makes the tag read write.

Note: You can add a tag as a result of IDR on either the IDR or IIDR tab. You cannot add a new tag as a result of Independent IDR.

5 In the **Survey Citation IDR/IIDR Status** section, view and update information about IDR/Independent IDR status for each citation.

6 Click **Print** at the bottom of the screen to print IDR/IIDR details as a report.

When changes are made to citations as a result of IDR/IIDR, trees and lists that display citations–including the list in Citation Manager–will continue to display all the original citations. However, citations removed by IDR/IIDR are displayed with a strike through.

Figure 39: Citations removed by IDR/Independent IDR displayed with a strike through

If a tag is changed or removed as a result of IDR/IIDR, the original tag will not be printed on survey forms.

If Scope/Severity for a tag changes as a result of IDR/IIDR, the latest S/S value is displayed by default. ASPEN checks to see if the tag exists on subsequent revisits to the survey. If so, ASPEN warns that S/S may need to be updated on those surveys as well.

When tags or S/S are changed or tags are removed as a result of IDR/IIDR on a certification survey, the kit is uploaded automatically to national when complete.

Note: You must manually upload kits created before 07/01/2014.

More ...

Screen: "Informal Dispute Resolution window" on page 413

Rebuild a Historical Kit

You can recover certification data from national and merge the associated surveys to rebuild historical kits as needed. If there is a Current (non-stub) kit, then all the stub certification kits have Prior status. If there are only stub kits, then the stub kit with the most recent date has Current status. If you then create a new kit, it will have Current status and the status of the most recent stub will change to Prior after the current kit is successfully uploaded.

Note: For historical stub kits, ASPEN does not know if a certification is deemed until you rebuild it from history, so unbuilt kit stubs are never displayed in blue italics.

You can fully edit a rebuilt certification kit with Current status. Prior kits cannot be modified, with the exception of revisit dates, CMS-670 and CMS-2567 (Statement of Deficiencies) data, and data on the Transplant Programs tab for Transplant Hospitals. You can add followup surveys to Prior kits.

Pre-670 certification kits (those accepted before 05/04/1992) can be built as historical certifications, but there is no survey information for these kits. Current kits for these providers that are pre-670 include the CMS-1539 and application forms populated with information from the provider history table. The modifiable data can be updated.

Note: Current kits are listed as Current on the Alpha and Type tabs and as Open or Closed on the Cert/Survey tab.

To rebuild a historical kit:

1. Locate and expand the provider with the stub certification kit (red pyramid icon) you want to rebuild.

   TIP: Survey team members associated with the stub kit must be in the state database for the kit to be reconstructed.

2. Right-click the stub and select **Build Historical Cert**.

   ASPEN indicates the build is progressing and that the build was successful, or it issues error message(s) if the build was unsuccessful, e.g., a survey team member does not exist in the state database. When a kit is successfully rebuilt, its pyramid icon changes from red to green.

Merge a Survey into a Kit

ASPEN lets you merge a historical or other survey into a certification kit as needed. A target survey must exist in the certification kit before you can perform the merge. The kit's target survey must be of the same survey category (Health or LSC) and sequence (standard or revisit). The survey you merge will be assigned the event ID of the target survey, and it will be removed from ASPEN upon a successful merger.

Note: You cannot merge Federal Monitoring surveys with other primary survey types: I-Recertification, E-Initial Certification, C-Federal Monitoring, or G-Validation *unless* the survey extent is J-Federal Jurisdictional.

To merge a survey into a kit:

1. Create a target survey in the certification kit if necessary.
2. In the **Tree** view, locate and right-click the certification kit into which you will merge the survey.
3. Select **Merge Survey**; in the **Surveys** window, click the survey you want to merge and click **OK**.

   The Surveys window lists all surveys for the provider, open or closed, having Event IDs that do not already link them to the certification kit, i.e., the first four characters of the survey Event ID do not match the Tracking ID for the certification kit. Only surveys that are actually part of the certification process should be merged.
4. Click **Yes** to continue/confirm.

   ASPEN copies the survey data into the target survey in the certification kit.
5. Click **OK** to refresh the Tree.

   The merged survey is deleted from the Tree view.

More ...

Screen: "Surveys (Merge Surveys) window" on page 397
Procedure: "Create and Conduct Surveys" on page 140

Add Affiliations

Each provider has an Affiliations node on the Alpha tab in the Tree view, which lists related providers (sibling, child, and sub-unit) and branches/extensions of the provider.

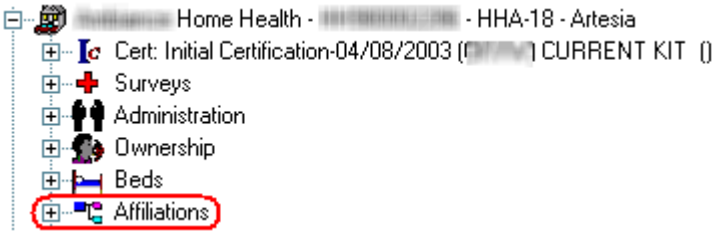


Figure 40: Affiliations node on the Alpha tab

Create an Affiliation Record

The Facility Relationship Manager is used to record the relationship (affiliation) between a provider and other related providers (sibling, child, and sub-unit), or branches/extensions/offsite locations/affiliates/co-located Hospitals of the provider. You can open it from the Affiliations node for all provider types. Related providers added via the Affiliations node are not uploaded.

A branch/extension/offsite location/affiliate/co-located Hospital must have a unique ID to support certification tracking and uploads. For the following affiliations, the Facility Relationship Manager can be accessed from the applicable application form in a certification kit, and the RO can assign a a Medicare Branch ID.

- Hospital offsite locations/affiliates/co-located Hospitals
- HHA branches
- XRAY extensions
- OPT extensions
- CORF extensions

When you create related provider records in a certification kit, they are added to the Affiliations node for the provider. Records for related providers created via the Affiliations node are listed only in the node.

Note: For Hospitals, it is recommended that you add Federal affiliations in certification kits, so they will be uploaded. State licensure affiliations should be added via the Affiliations node in the Tree view. This method can also be used to distinguish Federal/licensure affiliations for HHAs, XRAY, OPTs, and CORFs, but not for other provider types.

To create an affiliation:

1 Open the **Facility Relationship Manager** to create an affiliation record.

➥ From a provider in the **Tree** view, right-click the **Affiliations** node and select **New Relation/Branch**.

Note: Related providers added here are *not* uploaded.

-or-

➥ For Hospitals, on the **Application Worksheet** tab in the certification kit, click **Add** under the appropriate "affiliations" grid: **Off-site locations**, **Affiliated providers**, or **Co-Located Hospital**.

-or-

➥ For **HHAs**, **XRAY**, **OPTs**, and **CORFs**, on the tab for the applicable form in a certification kit, click **Add** under the "affiliations" grid (name varies).

The fields in the Facility Relationship Manager for these providers are similar to those for offsite Hospital locations.

Note: Related providers added via a certification kit *are* uploaded.

2 Select the applicable **Relationship Type**.

Relationship types vary depending on provider type.

3 Click the **Click Here to Find Facility** button to locate the affiliated provider.

ASPEN pulls in the Facility/Branch ID and all other information about the related provider, except affiliation Type, from the provider record.

4 Select the appropriate affiliation Type, as applicable.

Type options depend vary depending on the provider type of the affiliated entity.

5 Click **OK**.

More ...

Screen: "Hospital Application Worksheet - bottom section" on page 358
Fields: "Facility Relationship Manager - Off-site", on page 526
Procedure: "Assign HHA Branch ID" (just below)
Procedure: "Assign Extension ID" on page 230
Screen: "Define Subunits window - HHA" on page 400
Screen: "Facility Relationship Manager window - HHA" on page 400

Assign HHA Branch ID

HHA branches are stored as ASPEN Affiliations. For certification tracking and uploading purposes, Medicare branch IDs can be assigned via certification kits in ARO to both Medicare (051) and Medicaid Only (052) HHAs.

RO—To create an HHA branch and assign a branch ID:

1. On the **Application (CMS-1572A)** tab in the certification kit, go to the **Branch Offices** section.
2. Select **(G16) Has Branches**.
3. Click **Add** under the grid to open the **Facility Relationship Manager**.

   01 Branch/Extension/Offsite is the one available Relationship Type.
4. Enter a valid 10-character alphanumeric **Medicare Branch ID**.

   The Medicare Branch ID field appears to the right of the Facility/Branch ID field. The Facility/Branch ID is supplied by the system; you must reopen the Facility Relationship Manager after you add an HHA branch to see it.

   The format of the Medicare Branch ID for an HHA branch is:

   - first two characters of the parent provider's CCN (the State Code)
   - the letter "Q"
   - last four characters of the parent provider's CCN
   - sequential number for the branch, starting with 001

   Example: 55Q7122003 (third branch record added to the database for the parent HHA with CCN = 557122)
5. Enter identifying and contact information for the branch, then click **OK**.

   The fields in the Facility Relationship Manager for HHAs are similar to those for offsite Hospital locations.

   Note: If Relationship Type is 01, the Termination Code field is enabled only in ARO since only the RO can terminate HHA branches.

More ...

Fields: "Facility Relationship Manager - Off-site", on page 526

Reactivate an HHA Branch (RO)

If an HHA branch has been terminated, the RO user can restore it to active status if it has been uploaded and accepted by national. Branches pending acceptance cannot be reactivated.

RO—To reactivate a HHA:

1. Open the **Facility Relationship Manager**.
   - ➥ From an individual provider in the **Tree** view, right-click the branch under the **Affiliations** node and select **Modify Relation**.

     -or-

   - ➥ On the **Application (CMS-1572A)** tab in the applicable certification kit, select the branch in the **Branch Offices** grid and click **Modify**.
2. In the **Facility Relationship Manager**, change the **Termination Code** to **00 Active**.

   The Branch Terminated date is automatically removed and the field is disabled. An implicit transaction is sent to update the termination code and date for the applicable branch record on national. The certification kit does not have to be uploaded again.

More ...

"Implicit Transactions" on page 680

Assign Extension ID

XRAY, OPT, and CORF extensions are stored as ASPEN Affiliations. Medicare Branch IDs can be assigned in ARO for certification tracking and uploading purposes.

RO—To create an XRAY, OPT, or CORF extension and assign an ID:

1. Go to the applicable form tab in the certification kit:
   - XRAY - **Application (CMS-1880)**
   - OPT - **App (CMS-1856)**
   - CORF - **Application (CMS-359)**
2. Locate the **Extension Offices** section.

   You may have to scroll down to see this section.
3. Click **Add** under the grid to open the **Facility Relationship Manager**.

   01 Branch/Extension/Offsite is the one available Relationship Type.

4 Enter a valid 10-character alphanumeric **Medicare Branch ID**.

The Medicare Branch ID field appears to the right of the Facility/Branch ID field. The Facility/Branch ID is supplied by the system; you must reopen the Facility Relationship Manager after you add an extension record to see it.

5 Enter identifying and contact information for the extension, then click **OK**.

The fields in the Facility Relationship Manager for these providers are similar to those for offsite Hospital locations.

Note: If Relationship Type is 01, the Termination Code field is enabled only in ARO since only the RO can terminate extensions.

More ...

"XRAY Extension ID Format" (just below)
"OPT Extension ID Format" (below)
"CORF Extension ID Format" (below)
Fields: "Facility Relationship Manager - Off-site", on page 526

XRAY Extension ID Format

The format of the Medicare Branch ID for an XRAY extension is:

- first two characters (the State Code) of the parent provider's CCN
- the letter "V"
- last five characters of the parent provider's CCN
- two-digit sequential number for the extension, starting with 01

Example: 06V1234503 (third extension record added to the database for the parent XRAY provider with CCN = 06X0012345)

OPT Extension ID Format

The format of the Medicare Branch ID for an OPT extension is:

- first two characters (the State Code) of the parent provider's CCN
- the letter "P"
- last four characters of the parent provider's CCN
- three-digit sequential number for the extension, starting with 001

Example: 55P6832002 (second extension record added to the database for the parent OPT with CCN = 556832)

CORF Extension ID Format

The format of the Medicare Branch ID for a CORF extension is:

- first two characters (the State Code) of the parent provider's CCN
- the letter "B"
- last four characters of the parent provider's CCN
- three-digit sequential number for the extension, starting with 001

Example: 06B4587001 (first extension record added to the database for the parent CORF provider with CCN = 064587)

Reactivate an Extension (RO)

The RO user can reactivate terminated (closed) XRAY, OPT, and CORF extensions that have been successfully uploaded to national. Terminated extensions pending acceptance cannot be reactivated.

RO—To reactivate an extension:

1. Open the **Facility Relationship Manager**.

   ➥ From an individual provider in the **Tree** view, right-click the extension under the **Affiliations** node and select **Modify Relation**.

   -or-

   ➥ On the applicable form tab in a certification kit:

   - XRAY - **Application (CMS-1880)**
   - OPT - **App (CMS-1856)**
   - CORF - **Application (CMS-359)**

   select the extension in the **Extension Offices** grid and click **Modify**.

2. In the **Facility Relationship Manager**, change the **Termination Code** to **00 Active**.

   The Branch Terminated date is automatically removed and the field is disabled. An implicit transaction is sent to update the termination code and date for the applicable extension record on national. The certification kit does not have to be uploaded again.

More ...

"Implicit Transactions" on page 680

Change Facility Status (RO)

The Change Facility Status right-click option automates the process of terminating an existing provider (sponsor) and creating an initial certification after you specify the new provider type and number, i.e., CCN. This option is enabled only in ARO, and only if the current certification kit has been successfully uploaded and the Create Certification option is enabled (right-click the provider in the Tree view to check).

WARNING! Do *not* set Termination Code (L30) on CMS-1539 to 07 Provider Status Change. Use the right-click option.

The RO can change status for the following provider types:

- NH
- HHA
- ESRD
- RHC
- Hospital - see "Change Status to/from Short Term Hospital (RO)" on page 235.

To change status for NHs and HHAs, you change the provider type. For ESRDs and RHCs, you change from one number range to another within provider type. In effect, the status change is a change of provider subtype.

When an NH changes program participation from one that includes Medicare (ASPEN provider types 021, 022, or 023) to Medicaid-only (ASPEN provider type 024), or vice versa, CMS regulations require a change in provider number, i.e., CCN. Likewise, if an HHA changes program participation from Medicare (ASPEN provider type 051) to Medicaid-only (ASPEN provider type 052), or vice versa, a new provider number (CCN) is required.

Note: When you change status for an HHA, its branches retain their internal branch ID, but assume the new provider number (CCN).

ESRD and RHC providers can change from one of their assigned CCN ranges to another. For ESRDs, there are five CCN ranges (or subtypes), and for RHCs, there are two.

RO—To change provider status:

1. Locate and expand an eligible NH, HHA, ESRD, or RHC provider whose status, i.e, provider subtype, you want to change.
2. Right-click the most recent accepted certification kit, and select **Change Facility Status**.

   If the kit has not completed tracking, a message appears. You can choose to complete tracking and then the change of status process will begin, or you can cancel the status change.
3. In the **Facility Status Change** window, enter the **Termination Date (L28)** for the sponsor's current type.
4. Select the **New Facility Type**.

   Only eligible facility types are listed. This option is disabled for ESRDs and RHCs.
5. Enter the **New Medicare Provider #** (CCN) for the provider.
6. Enter the **New Original Date of Participation (L24)**.
7. Click **OK** to upload the termination to national.

   The current kit is uploaded with a terminated status. If the transaction is successful, an initial certification kit for the new provider is created and displayed. The sponsor's 2786 form will continue to display the sponsor's provider number, i.e., CCN.

   Certification data from the terminated kit, including IDR/IIDR status of tags (as applicable), is automatically loaded into the new initial certification. The new provider's CCN is entered on all affiliate records carried forward into the new certification kit.

   The Termination Code (L30) field is set to 07 Provider Status Change and disabled on the CMS-1539 tab in the certification kit for the terminated sponsor. If you entered L24 in the Facility Status Change window, it is carried forward to the new kit.

   In the Tree view, an "S" is appended to the icon for the sponsor certification kit.

Figure 41: "S" indicating sponsor kits

Note: If the status change transaction fails, the entire process is rolled back.

8 Update the initial certification kit as needed for the new provider.

TIP: If the sponsor has been terminated, but the new initial certification has not yet been uploaded, you can use the Find function to locate the sponsor by CCN.

The new initial certification kit is automatically uploaded to national under the new CCN when complete.

TIP: If you update the kit for the terminated sponsor, it will be uploaded under the former CCN.

More ...

"Change of Status: Provider" on page 684
Procedure: "Change Facility Status (RO)" below
Screen: "Facility Status Change window - ARO" on page 399
Procedure: "Upload Certification Kits" on page 208

Change Status to/from Short Term Hospital (RO)

The Change to Short-Term Hospital/Change Facility Status (from Short Term Hospital) right-click options automate the process of terminating an existing Hospital provider (sponsor) and creating an initial certification after you specify the new Hospital provider subtype and number, i.e., CCN. These options are enabled only in ARO, and only if the current certification kit has been successfully uploaded and the Create Certification option is enabled (right-click the Hospital provider in the Tree view to check).

WARNING! Do *not* set Termination Code (L30) on CMS-1539 to 07 Provider Status Change. Use the right-click option.

The RO can change status, i.e., subtype, *to or from* Short Term (Acute Care) Hospital (011) *from or to* any of the following Hospital subtypes:

- 015 - Long Term
- 012 - Psychiatric
- 013 - Rehabilitation
- 016 - Children's
- 014 - Critical Access Hospital

Note: To support the CMS policy requiring that a Critical Access Hospital be certified as an Acute Care Hospital prior to becoming a CAH, an ACU can change to a CAH.

RO—To change Hospital subtype to/from Short Term:

1. Locate and expand an eligible Hospital provider whose status, i.e, provider subtype, you want to change to or from Short Term.
2. Right-click the most recent accepted certification kit.
3. To change a Hospital of subtype 012-016 to 011 (Short Term), select **Change to Short-Term Hospital**.

   -or-

   To change a Short Term Hospital (011) to a Hospital of any subtype 012-016, select **Change Facility Status**.

   If the kit has not completed tracking, a message appears. You can choose to complete tracking and then the change of status process will begin, or you can cancel the status change.
4. In the **Facility Status Change** window, enter the **Termination Date (L28)** for the sponsor's current type.
5. Select the **New Facility Type**.

   Only eligible facility types are listed. If you are changing *to* Short Term, 011 is the only option. If you are changing *from* Short Term, 012-016 are the available options.
6. Enter the **New Medicare Provider #** (CCN) for the provider.
7. Enter the **New Original Date of Participation (L24)**.
8. Click **OK** to upload the termination to national.

   The current kit is uploaded with a terminated status. If the transaction is successful, an initial certification kit for the new provider is created and displayed. The sponsor's 2786 form will continue to display the sponsor's provider number, i.e., CCN.

   Certification data from the terminated kit, including IDR/IIDR status of tags (as applicable), is automatically loaded into the new initial certification. The new provider's CCN is entered on all affiliate records carried forward into the new certification kit.

   Note: Citations under an ACU certification are *not* carried forward into the new CAH certification kit.

   The Termination Code (L30) field is set to 07 Provider Status Change and disabled on the CMS-1539 tab in the certification kit for the terminated sponsor. If you entered L24 in the Facility Status Change window, it is carried forward to the new kit.

In the Tree view, an “S” is appended to the icon for the sponsor certification kit.

Figure 42: “S” indicating sponsor kits

Note: If the status change transaction fails, the entire process is rolled back.

9 Update the initial certification kit as needed for the new Hospital provider.

TIP: If the sponsor has been terminated, but the new initial certification has not yet been uploaded, you can use the Find function to locate the sponsor by CCN.

The new initial certification kit is automatically uploaded to national under the new CCN when complete.

TIP: If you update the kit for the terminated sponsor, it will be uploaded under the former CCN.

More ...

“Change of Status: Provider” on page 684
Screen: "Facility Status Change window - ARO" on page 399
Procedure: “Upload Certification Kits” on page 208

Enter a CHOW

Change of Ownership for NF Only, Medicaid HHA, and ICF/IID providers can be entered either in ACO or ARO. For all other provider types, CHOWs must be entered by ROs.

Enter a CHOW with Assignment

If the CHOW includes assignment of the provider agreement, the provider keeps the existing CCN (aka provider number or Medicare #/number/ID).

To enter a CHOW with assignment:

1 Locate and expand the provider node.

2 Rebuild a historical kit if necessary.

3 Right-click the most current certification and select **Certification Kit**.

4 Select the **Transmittal (CMS-1539)** tab in the **Certification** window.

5 In part I of **CMS-1539**, enter or select the **Effective Date: Change of Ownership (L9)**.

L9 must be later than the Original Date of Participation (L24) and later than any current CHOW date. If necessary, it can be changed to an earlier date after the kit has been uploaded.

The L9 field is not enabled for initial certification kits that have not been accepted by national. In ACO, it is enabled for Medicaid-only Hospital, NF Only, Medicaid HHA, PRTF, and ICF/IID providers.

Note: If an HHA changes ownership within 3 years of its Original Date of Participation, the provider cannot keep the same CCN. In this case, a CHOW without Assignment is required. The HHA will need a new provider record, CCN, and initial certification.

6 Update other information as needed.

The kit is automatically uploaded to national when complete.

Note: You must manually upload kits created before 07/01/2014.

More ...

Procedure: “Rebuild a Historical Kit” on page 225
Screen: "Transmittal (CMS-1539)" on page 354
Procedure: “Upload Certification Kits” on page 208

Enter a CHOW without Assignment

The CCN (aka provider number or Medicare #/number/ID) changes in a CHOW without assignment. You must terminate the provider to retire the existing provider agreement, then create a new provider with a new CCN, and treat it as a new applicant for a provider agreement.

To enter a CHOW without an assignment:

1 **SA or RO -** Create a new provider to be assigned a new CCN.

If performed by the RO, you must obtain the new state provider ID, i.e., Facility ID, from the SA ASPEN coordinator.

2 **RO -** Terminate the current provider.

3 Enter the **Cross Ref Provider # (SF03)**, i.e., CCN, of the new provider in the **Special Fields** section of the **Certification & Surveys** tab.

The kit is automatically uploaded to national when complete.

Note: You must manually upload kits created before 07/01/2014.

4 **SA or RO -** Create a certification kit for the new provider and proceed as usual.

More ...

Procedure: "Provider Records" on page 41
Procedure: "Terminate/Reactivate a Provider" on page 240
Procedure: "Upload Certification Kits" on page 208
Procedure: "Create a Certification Kit" on page 88

Enter a Merger

Mergers for NF Only, Medicaid HHA, and ICF/IID providers can be entered either in ACO or ARO. For all other provider types, mergers must be entered by ROs. You cannot enter a merger until the kit has been successfully uploaded.

To enter a merger:

1 Locate and expand the provider to be merged.

2 Rebuild a historical kit if necessary.

3 Right-click the most current certification and select **Certification Kit**.

4 Select the **Transmittal (CMS-1539)** tab in the **Certification** window.

5 Scroll down to **Part II** and select **01 Merger**, **Closure** as the **Termination Code (L30)**.

6 In the **Merger Information** window, indicate this is a **Merger**, use **Find Facility** to locate and enter the **Provider Number** (i.e., CCN) of the surviving provider, and click **OK**.

7 Enter the **Termination Date (L28)**.

8 Update other information as needed.

The kit is automatically uploaded to national when complete.

Note: You must manually upload kits created before 07/01/2014.

More ...

Procedure: "Rebuild a Historical Kit" on page 225
Screen: "CMS-1539 - Part II" on page 355
Procedure: "Upload Certification Kits" on page 208

Terminate/Reactivate a Provider

Termination or reactivation of a terminated provider can be entered in ACO for non-participating (NP) Hospitals, NF (024), Medicaid HHA, and ICF/IID providers. For all other provider types, terminations and reactivations are entered in ARO.

To terminate a provider:

1. In ACO or ARO as appropriate, locate and expand the provider to be terminated.
2. Rebuild a historical kit if necessary.
3. Right-click the most current certification and select **Certification Kit**.
4. Select the **Transmittal (CMS-1539)** tab in the **Certification** window and scroll down to **Part II**.
5. Update **Determination of Eligibility (L21)** if appropriate.
6. Select the applicable **Termination Code (L30)**; it cannot be 00 Active.

   If the provider is closing, for example, select 01 Merger, Closure and In the Merger Information window, indicate it is a Closure.
7. Enter the **Termination Date (L28)**.

The kit is automatically uploaded to national when complete.

Note: You must manually upload kits created before 07/01/2014.

After a successful upload, the Facility Properties window will display a Current Operating Status of Closed for the provider, and the termination date will appear as the Closed On date.

Note: ARO users can close providers without a certification kit or with a certification kit that was never successfully uploaded by setting Current Operating Status on the Facility Definition tab to 10-Closed-Owner.

To reactivate a terminated provider:

1. In ACO or ARO as appropriate, locate and expand the terminated provider you want to reactivate and complete steps 2-5 above.

   The latest certification kit for the terminated provider must have been successfully uploaded.

2 For **Termination Code (L30)**, select **00 Active**.

Termination Date (L28) is cleared and the field is disabled. Overnight processing changes Current Operating Status on the Facility Definition tab in Facility Properties from Closed to Active and clears the Closed On date.

Note: You cannot reactivate a provider that was terminated in ARO by setting Current Operating Status on the Facility Definition tab to 10-Closed-Owner because it didn't have a certification kit or had a certification kit that was never successfully uploaded.

More ...

Procedure: "Rebuild a Historical Kit" on page 225
Screen: "CMS-1539 - Part II" on page 355
Procedure: "Upload Certification Kits" on page 208

Change Deemed Status

As necessary, you can change a provider's status from deemed to non-deemed and vice versa. When you change status to deemed, you must create a new certification kit.

Change Status to Non-Deemed

To change deeming status to non-deemed:

1 In the tree, locate the most current certification, right-click it, and select **Certification Kit**.

2 On the **Deemed/2802** tab, select the current AO in the **Deemed By** grid, click **Modify**, and enter the **AO Termination Date**.

This changes Accreditation Status (L10) to Not Accredited on the Transmittal (CMS-1539) tab and sets the Deemed? indicator to null.

If the kit has no Health survey, Survey Date (L34) on the Transmittal (CMS-1539) tab keeps its current value.

The kit is automatically uploaded to national when complete.

Note: You must manually upload kits created before 07/01/2014.

More ...

Screen: "Transmittal (CMS-1539)" on page 354
Procedure: "Upload Certification Kits" on page 208

Change Status to Deemed

When a non-deemed provider becomes deemed after the most recent certification kit has been successfully uploaded, new survey(s) are required. You must create a new certification kit and perform Health and LSC surveys as applicable before uploading.

To change status to deemed:

1. In the **Tree** view, right-click the provider and select **Create Certification**.

   The Create Certification command brings forward information from the current kit for the provider into the new certification kit to save data entry time.

2. On the **Deemed/2802** tab, add the active AO to the **Deemed By** grid.

   This sets Accreditation Status (L10) to the active AO and the Deemed? indicator to Yes on the Transmittal (CMS-1539) tab.

   For Federal certification purposes, accreditation organization information is tracked only for providers that have obtained deemed status from one or more CMS-approved accreditation organizations.

   If your state wishes to track information about providers that are accredited but do not have deemed status, you can enter this information on the Associations tab of the provider record.

   Note: When accreditations are entered on the Associations tab, L10 and Deemed? will not be populated.

3. Enter other information in the kit and perform surveys as needed.

The kit is automatically uploaded to national when complete.

Note: You must manually upload kits created before 07/01/2014.

More ...

Procedure: “Carry Forward of Hospital Certification Data” on page 113
Procedure: “Enter Deeming Information” on page 132
Procedure: “Specify Provider Associations” on page 49
Procedure: “Upload Certification Kits” on page 208

Manage Federal Monitoring Survey Events (RO)

Federal Monitoring Survey (FMS) events are fully supported in ASPEN. RO/CO users access and manage FMS records in ARO from the FMS Tracking screen, which is opened through the Tracking menu.

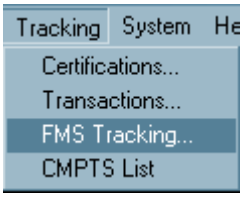


Figure 43: FMS Tracking option on Tracking menu

New and updated FMS records are uploaded to national on a nightly basis.

View FMS Events (RO)

The FMS Tracking option in ARO provides RO/CO users a central point for monitoring all aspects of FMS events. From here you can access and manage FMS records. By default, the list of FMS events is filtered according to your active selection set. You can set additional filtering criteria.

To view and filter FMS events:

1. From the **Tracking** menu, select **FMS Tracking** to open the **FMS Tracking** window.

   The Provider Type filter reflects the facility types in your active selection set. You can change this if desired, and set additional filters–one, several, or all of: FMS Exit Date range, Revisits Only, FMS Type, State, CCN.

2. To filter by a range of FMS survey exit dates, enter the starting **FMS Exit Date** and the **to** (ending date) of the desired range.
3. To display only FMS revisit events (Health and LSC), select the **Revisits Only?** checkbox.
4. To filter by event type, select the desired **FMS Type**.
5. To view FMS events for a particular **State**, select it from the drop-down list.
6. To view FMS events for a particular provider, enter its **CCN**.
7. Click **Apply Filter Settings**.

   The list of FMS events is refreshed according to the filters you specified.

More ...

Screen: "FMS Tracking window - ARO" on page 420

Create and Update FMS Records (RO)

You can create an FMS record, and view or modify information about a selected FMS record through the FMS Add/Update screen. From the FMS Tracking window, you can directly delete an FMS event.

To create an FMS record:

1. In the **FMS Tracking** window, click **Add**.
2. Enter the **CCN** in the **FMS Provider Selection** window that appears, or click **Find** to locate the provider and insert the number.
3. Click **OK** in the **FMS Provider Selection** window and **Yes** in the **Confirm Provider** window.
4. In the **FMS Add/Update** screen, enter applicable information.
5. Provider information is entered from Facility Properties and is read-only.
6. Select the **Type** and **Extent of Federal** (FMS) **Survey**.
7. The **In Casper** and **Upload Pending** indicators are automatically selected as appropriate.
8. Use the **Federal Survey** and **State Agency Survey** sections to create and/or link Federal or state surveys to the FMS event.
9. Select **Yes** or **No** and enter dates as appropriate for the items in the next section.
10. If applicable, select tags in the **Conditions/Standards** section that you intend to check for compliance on the survey.

    The Conditions/Standards section is enabled for providers other than Nursing Homes if the Extent of the Federal Survey = 7 Partial Health or, for pre-ASPEN 11.0.0 surveys, 3 Partial with LSC or 4 Partial without LSC, and a Federal survey is linked to the FMS record. This section lists the condition and standard level tags in the Federal regulation set(s) assigned to the linked survey(s). The regulation set(s) are listed under Associated Regulations.

    Note: The Conditions/Standards section isn't enabled for Health surveys linked to FMS records for Nursing Homes. However, if the FMS record was created prior to ASPEN 11.0.0 with Extent set to 3 Partial with LSC and a pre-ASPEN 11.0.0 LSC survey is linked to the FMS record, then the LSC survey tags are listed.

11. Click **OK** to save the information and close the **FMS Add/Update** window.

To modify an FMS record:

1. In the **FMS Tracking** window, select the record you want to modify and click **Modify**.
2. In the **FMS Add/Update** screen, make your changes and click **OK**.

To delete an FMS record:

1. In the **FMS Tracking** window, select the record you want to delete and click **Delete**.
2. Click **Yes** in the confirmation prompt.

More ...

Screen: "FMS Tracking window - ARO" on page 420
Screen: "FMS Add/Update window - ARO" on page 421
Procedure: “Create and Link FMS Surveys (RO)” on page 247

Print FMS Reports (RO)

From the FMS Tracking window, you can generate three reports:

- FMS Tracking Report
  Prints the information in the FMS Tracking window in report form.
- All FMS transactions
  Prints details about all cases in the FMS Tracking window that are pending upload, or have been uploaded–successfully or not.
- All Failed FMS transactions without success
  Prints details about all cases in the FMS Tracking window whose latest upload transaction failed.

You can specify filtering criteria to customize the reports for your needs, e.g., to create the equivalent of a Federal Comparative Revisits report.

To generate FMS reports:

1. In the **FMS Tracking** window, select the report you want to print from the **FMS Reports** drop-down list.
2. In the **Filters** section, specify filtering criteria for the report.

   If you enter a CCN, all other filter specifications are ignored. The report will include all FMS cases for the given provider.

   Note: To generate the equivalent of a Federal Comparative Revisits (Health and LSC) report, choose FMS Tracking Report and in the Filters section, choose A Comparative for FMS Type and select the Revisits Only checkbox.

3 Click the **Report** button to apply the filters and update the list of FMS cases that meet the criteria.

If you select FMS Tracking Report, it prints directly and includes all listed cases. The report is sorted by the column selected in the FMS Tracking window.

If you choose either "All FMS transactions" or "All Failed FMS transactions", a report review window (with the report name as title) opens and displays the specified filtering criteria (read-only) from FMS Tracking.

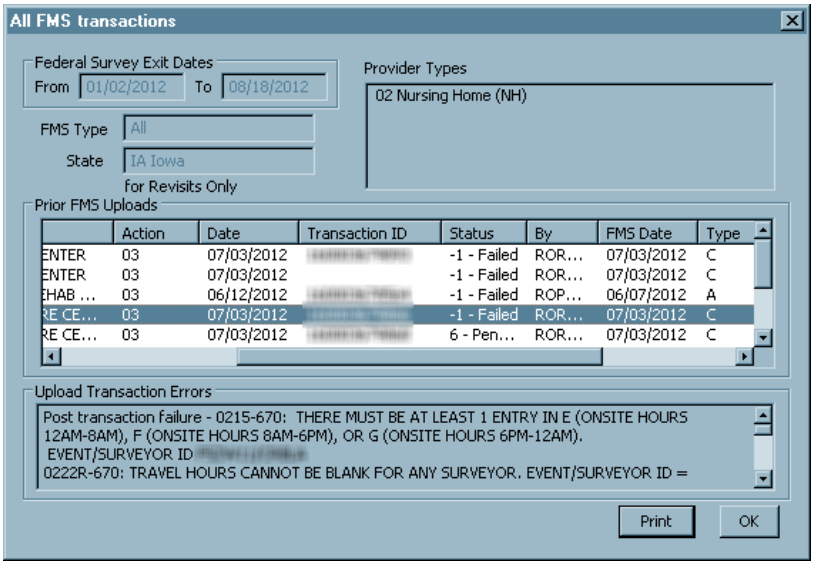


Figure 44: FMS report review window

If you selected Revisits Only in FMS Tracking, "for Revisits Only" appears under the State field. If you entered a CCN, filter settings (top part of screen) are blanked out; the CCN appears in the window title.

Prior FMS Uploads lists upload transactions for the cases listed in FMS Tracking. These are the items that will be included in the report.

4 Select a transaction in Prior FMS Uploads to view associated messages (not necessarily errors) in the Upload Transaction Errors panel.

5 To change filtering criteria, select **OK** to return to FMS Tracking.

6 To generate the "All FMS transactions" or "All Failed FMS transactions" report, click **Print** in the report review window.

The two FMS transactions reports are sorted by: CCN, then FMS ID (case number), then transaction date (descending).

More ...

Procedure: "View FMS Events (RO)" on page 243
Screen: "FMS Tracking window - ARO" on page 420

Create and Link FMS Surveys (RO)

Only RO (ARO) users can create, modify, and delete standard (initial) Federal Monitoring surveys. FMS surveys cannot be combined with other survey types except D-Follow-up/Revisit or, for LSC surveys, H-Life Safety Code.

Beginning with the ASPEN 11.0.0 release, you can associate only one survey with an FMS case, Health or LSC. Existing full FMS cases that include both Health and LSC surveys will require two uploads.

Note: SA, RO, and CO (ACO and ARO) users can create, modify, and delete FMS revisit surveys.

There are three possible ways to create and link a standard Federal survey to an FMS event:

- Create and link a survey from within an FMS record.
- Create the FMS survey directly in ARO (or import it from ASE-Q) and link it to an FMS record.
- Change Type of Survey for an existing survey to C-Federal Monitoring and link it to an FMS record.

FMS surveys are included in Tree view under the provider's FMS Surveys node, which lists only surveys of type C-Federal Monitoring. The Surveys node lists all surveys other than FMS. If an FMS survey has been successfully uploaded, that is indicated.

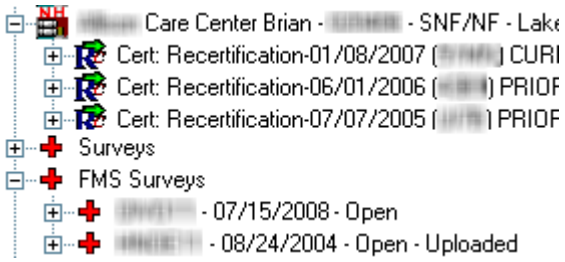


Figure 45: FMS Surveys node in Tree view

Note: SA users have read-only access to standard surveys listed under the FMS Surveys node. SA, RO, and CO users have full access to FMS revisits.

To create and link a standard survey from an FMS event:

1. In the **FMS Tracking** window, select the record you want to add a survey to and click **Modify**.
2. In the **FMS Add/Update** screen, click **Select** to the right of the **Health** or **LSC** indicator in the **Federal Survey** section to add a Health or LSC survey respectively.

   The Select buttons are enabled or disabled depending on the value of Extent of Federal Survey.

3 In the **Select FMS Health/LSC Survey** window, click **Create**.

4 In the **Create Health/LSC Survey** window, enter basic survey information.

C-Federal Monitoring is selected by default as Type of Survey. You will not be able to remove this category after the survey is saved. If you are creating an LSC survey, H-Life Safety Code is also selected by default.

For Extent(s), A-Routine/Std Survey is selected by default. If Type of Federal Survey in the FMS Add/Update window is F Federal Jurisdictional, then J-Federal Jurisdictional is also selected by default as an extent.

For FMS surveys created prior to ASPEN 11.0.0, the existing Extent options are still available for legacy surveys, i.e. Full with LSC, Full without LSC, Partial with LSC, Partial without LSC, Full LSC Only.

For new FMS surveys in ASPEN 11.0.0 or later, only the following survey extents are available:

- Full Health – Health survey only allowed
- Partial Health – Health survey only
- Full LSC – LSC survey only

5 Click **OK** to save the new survey.

The survey is automatically linked to the FMS event and listed in the Federal Survey section in the FMS Add/Update window.

To create a standard FMS survey directly:

1 In the **Tree** view, right-click the **Surveys** or **FMS Surveys** node.

2 Select **New Survey**.

3 In the **Create Health/LSC Survey** window, enter basic survey information.

4 Choose a Federal regulation set and for **Type of Survey**, select **C-Federal Monitoring**.

To link an existing standard FMS survey:

1. In the **FMS Tracking** window, select the record you want to link a survey to and click **Modify**.
2. In the **FMS Add/Update** screen, click **Select** to the right of the **Health** or **LSC** indicator in the **Federal Survey** section to link a Health or LSC survey respectively.

   The Select buttons are enabled or disabled depending on the value of Extent of Federal Survey.

   Surveys of type C-Federal Monitoring already defined for the provider (if any) are listed in the Select FMS Health/LSC Survey window.
3. Highlight the survey you want to link and click **OK**.

   The survey is linked to the FMS event and listed in the Federal Survey section in the FMS Add/Update window.

To link a related standard state survey:

1. In the **FMS Add/Update** screen, click **Select** in the **State Agency Survey** section.

   The Select button is enabled if Type of Survey = Comparative, Observational, or Look Behind.
2. In the **Select Related State Survey** window, highlight the survey you want to link and click **OK**.

   The survey is linked to the FMS event and listed in the State Agency Survey section in the FMS Add/Update window.

   Note: If an LTCSP Comparative survey is exported from ARO to ASE-Q, the linked state survey and its associated LTCSP information are included.

   State surveys are not listed until you link a Federal Health survey, or LSC survey if Extent of Federal Survey is Full LSC Only. Complaint-only surveys are included in the list only if the FMS case is Observational.

   If Extent is Full LSC or Full LSC Only, the list includes only LSC surveys. The list is further restricted to surveys that are no more than one year prior to the earlier of the linked Federal survey dates (Health or LSC, if both types are linked) and 60 days following the later of the exit dates.

   Note: You cannot create a state survey from the Select Related State Survey window. The Create button is disabled.

To remove a linked FMS or related state survey:

1. In the **FMS Add/Update** screen, click the applicable **Select** button to open the **Select FMS Health/LSC Survey** or **Select Related State Survey** window.
2. Click **Remove** to unlink the highlighted (linked) survey from the FMS record.
3. Click **OK**.

   The survey is no longer listed in the Federal Survey or State Agency Survey section (as applicable) in the FMS Add/Update window.

More ...

Screen: "FMS Tracking window - ARO" on page 420
Screen: "FMS Add/Update window - ARO" on page 421
Procedure: “Create and Conduct Surveys” on page 140 (start with step 3)
Procedure: “Create Revisit Surveys” on page 179

LTCSP Comparative Surveys (RO)

ARO supports the creation of Long-term Care Survey Process (LTCSP) comparative surveys and the consolidation and reporting of LTCSP comparative survey findings. When a Regional Office team needs to conduct an LTCSP comparative survey, the RO team coordinator or supervisor must use the FMS Tracking window in ARO to create the LTCSP comparative survey and link it to a related state survey following the procedures in this chapter.

The team coordinator then exports the LTCSP comparative survey and SA survey in one export transaction. RO surveyors import the surveys into ASE-Q. The RO survey team conducts an LTCSP comparative survey using LTCSP much as for a regular LTCSP survey, but with the following information available from the SA survey to inform the comparative process:

- Offsite Prep
- RO Surveyor Assignments
- Initial Pool (modify SA initial pool if necessary)
- Resident Manager
- Interview, Observations, and Record Review
- Team Meeting
- Finalize Sample
- Facility Tasks
- Closed Record Sample
- Investigations
- Potential Citations

The stages and tools are the same as for regular LTCSP surveys with adjustments specific to LTCSP comparative surveys. The following additional functions are available:

- Compare RO to SA Tags
- Print the Federal Monitoring Survey report for the LTCSP comparative survey

More ...

Procedure: "Create and Update FMS Records (RO)" on page 244
Procedure: "Create and Link FMS Surveys (RO)" on page 247
Screen: "FMS Tracking window - ARO" on page 420
Screen: "FMS Add/Update window - ARO" on page 421

For complete information about LTCSP comparative procedures:

See the *LTCSP User's Guide*, which is posted on the QTSO website at https://qtso.cms.gov.

Upload FMS Events

When all information has been entered for an FMS event–including survey data, citations, and 670 workload data–it should be uploaded. You must manually initiate the first upload of an FMS record. Subsequent uploads are automatic if the first upload was successful.

After the initial successful upload of an FMS event, you cannot delete linked surveys, Federal or state. You also cannot modify the following fields:

- Type of Federal Survey
- Extent of Federal Survey
- Start and Exit dates of Federal survey

Changes you make to other fields in the FMS record after the initial successful upload are sent implicitly (automatically) to national. No action is required on your part.

To upload an FMS record:

All applicable fields must be completed before you can upload an FMS survey to National, and only one add/update transaction is allowed per upload.

1. In the **FMS Tracking** window, select the record you want to upload and click **Modify**.
2. At the bottom of the **FMS Add/Update** screen, click **Upload** to open the **FMS Transactions** screen.

   Previous upload transactions for the FMS event are listed in the Prior FMS Uploads section.

3 Click **Prevalidate and Upload** to start the upload process.

ACO prevalidates the FMS record. If it encounters problems, you will receive a message. The transaction is added to the Prior FMS Uploads section with a status of -1- Failed.

If all required information is supplied and valid, ACO transmits the FMS record and a message indicates the success of the transaction. The transaction is added to the Prior FMS Uploads section with a status of 0 - Pending. When the FMS record is accepted by national, the status changes to 10 - Successful.

4 If the upload transaction failed, select it in the **Prior FMS Uploads** section to list problems in the **Upload Transaction Errors** section.

5 Make the necessary corrections and attempt the upload again.

6 To see if an FMS record has been uploaded successfully, open the **FMS Transactions** screen for the record and check **Status** in the **Prior FMS Uploads** section.

-or-

Check under the **FMS Surveys** node for the provider in **Tree** view to see if linked survey(s) are marked as **Uploaded**.

Figure 46: FMS Surveys node

More ...

Screen: "FMS Tracking window - ARO" on page 420
Screen: "FMS Add/Update window - ARO" on page 421

Transfer Data

ASPEN's data exchange functionality lets you seamlessly transfer ASPEN data from ACO/ARO to ASE-Q on laptops in the field, and import it back into ACO/ARO when surveys are completed. You can export one or more surveys at a time. When you transfer a survey from ACO/ARO, associated provider information and any linked complaint/incident information from ACTS is automatically sent along with the survey.

All exported data is encrypted to protect any confidential information. The data is compressed and copied to a transfer file with a .ZIP extension. ASPENTX.ZIP is the default transfer filename.

Note: Many anti-virus programs, email servers, and firewalls block .ZIP files. If this is an issue, contact your ASPEN administrator for assistance.

The destination location of a transfer file can be any of the following:

- USB drive
- Hard drive
- Email

To import (copy) data from an ASPEN transfer file, you must be an authorized user running an ASPEN application.

Note: Although you can export linked intake information from ACO/ARO, you cannot view it in ACO/ARO.

You can also export and import regulation sets, but you cannot email them.

Export Surveys from ACO

From ACO/ARO, you can export one or more surveys with associated provider and intake information in an encrypted format to a transfer location. When there are discrepancies between source and destination, one or more Merge windows may open to let you resolve the differences. Surveyors can import the contents of the export transfer file into ASE-Q.

Note: To add ASE-Q account information and to decrease latency between changes to RO/contract surveyor information on national and synchronization with the state database, ASPEN performs the sync for national staff assigned to state surveys at the time a survey containing such surveyors is exported. Only affected surveyors on that team will be synced.

To export a survey:

1. Locate and select the survey in the **Tree** or **List** view, and drag it to the **Export** button in the toolbar.

   TIP: To export more than one survey, you can multi-select surveys in List view (Shift+click consecutive surveys or Ctrl+click non-consecutive surveys). You can also export multiple surveys from Tree view one at a time; each additional survey is appended to the transfer file. To export all surveys for a provider, drag that provider to the Export button.

2. In the **Export** window, indicate your transfer location.

   ➥ Select **ASPEN Transfer Location** and then select the applicable location from the drop-down list (defaults are usually the roots of the C and A drives).

   -or-

   ➥ Select **Other Location**. Enter the transfer location path, or click **Find** to navigate to and select the location.

ASPENTX.ZIP is the default export transfer filename. You can assign another name if you wish. Renaming to provide meaningful descriptive information, such as event ID, is recommended.

Note: Many anti-virus programs, email servers, and firewalls block .ZIP files. If this is an issue, contact your ASPEN administrator for assistance.

3 Click **OK** in the **Export** window.

4 In the **Survey Export** window, select the surveys you want to send to the transfer destination.

The title bar indicates the Source of the listed survey(s) and the export Destination. If just one survey is listed, it is selected by default. If multiple surveys are listed, no survey is selected by default.

➥ Use **Select All** or **Select None** to select or deselect all listed surveys.

➥ To use source values for all fields, click **Always Use Source** to toggle it to Yes.

TIP: Set to Yes only if you are certain the destination does not have more current survey information.

When set to No (the default), you will be prompted to resolve conflicts between the export source and destination.

5 Select or deselect the **Include attachments** checkbox to include or exclude attachments in the transfer.

Include attachments is selected by default.

6 Click **Continue with Export**.

If there are differences between source and destination content, one or more Merge windows may appear.

7 Resolve source/destination differences and continue the transfer.

The survey(s), any survey-level attachments (unless you deselected Include attachments), and linked intake(s) are compressed, encrypted, and stored in the transfer file. The Finalize Transfer window appears for each exported survey. It displays a log of changes made during the export.

8 Click **Apply** to complete the export process, or **Cancel** to reverse the transfer.

When the export is complete, surveyors can import the survey(s) and intake(s) into ASE-Q.

More ...

Screen: "Export window" on page 422
Screen: "Survey Export window" on page 423
Procedure: “Merge Data” on page 257
Procedure: “Import Surveys” on page 255
Screen: "Finalize Transfer window" on page 424

Email Surveys from ACO

From ACO/ARO, you can email one or more surveys with associated provider and intake information to one or more recipients. ACO creates a transfer file containing the surveys as an attachment to the email. Surveyors can import the contents of the transfer file into ASE-Q.

TIP: Your agency's email system must be configured to support the MAPI email interchange protocol. Most email systems are pre-configured with this feature.

To email a survey:

1. Locate and select the survey in the Tree or List view, and drag it to the **E-mail** button in the toolbar.

   A blank email message is created and the survey(s) and any linked complaint/incident intake(s) are compressed and transferred to ASPENTx.zip, which is included as an attachment to the email.

   Note: Many anti-virus programs, email servers, and firewalls block .ZIP files. If this is an issue, contact your ASPEN administrator for assistance.

2. In the **Message** window, specify recipients and message text.
3. When recipients receive the message, they should save the transfer file to the location of choice, then import its contents into ASE-Q.

   The survey(s) and intake(s) in the transfer file will be decompressed during the import. As with any standard data transfer process, one or more Merge windows may appear if there are differences between source and destination content.

More ...

Refer to "Import Data" in the *ASE-Q Procedures Guide*, which is posted on the QTSO website at https://qtso.cms.gov.

Import Surveys

You can import surveys into ACO/ARO from transfer locations as needed. When a survey has been completed in the field, you will want to import the survey findings from ASE-Q into ACO (or ACTS). If there are discrepancies between source and destination, one or more Merge windows may open to let you resolve the differences. Survey attachments, such as digital photos and other electronic documents, are automatically imported.

Note: Survey teams using more than one laptop should merge the final findings onto a single laptop or transfer file before exporting to ACO.

An allowed import version indicator is included with source data. If the application (destination) version is older than the source's allowed import version, or the source data's version is newer than the destination version, the import is stopped. If the source version is older than the destination version, you will receive a warning.

To import a survey:

1. On the **ACO toolbar**, click **Import**.
2. In the **Import** window, select **Surveys** as the Import Type.
3. Indicate the location of the transfer file:

   ➥ Select **ASPEN Transfer Location** and then select the applicable location from the drop-down list.

   -or-

   ➥ Select **Zip or mdb file**. Enter the transfer location path, or click **Find** to navigate to and select the location.

   ASPENTX.ZIP is the default transfer filename. The name may have been changed on export to be more descriptive.

   Note: Many anti-virus programs, email servers, and firewalls block .ZIP files. If this is an issue, contact your ASPEN administrator for assistance.

4. Click **OK**.

   ACO searches for the export transfer location or file. When it is located, the Survey Import window appears. It lists the surveys contained in the transfer location or file.

5. In the **Survey Import** window, select the surveys you want to import.

   The title bar indicates the Source of the listed surveys and the import Destination. If just one survey is listed, it is selected by default. If multiple surveys are listed, no survey is selected by default.

   ➥ Use **Select All** or **Select None** to select or deselect all surveys in the list.

   ➥ To use source values for all fields, click **Always Use Source** to toggle it to Yes.

   When set to No (the default), you will be prompted to resolve conflicts between the source and destination.

6. Select or deselect the **Include attachments** checkbox to include or exclude attachments in the transfer.

   Include attachments is selected by default.

7 Click **Continue with Import**.

If there are differences between source and destination content, one or more Merge windows may appear.

If a deficiency (citation) in a survey being imported is linked to one or more allegations that were deleted in ACTS, the deficiency is imported, but the 'linked deficiency" indicator for each deleted allegation is not.

8 Resolve source/destination differences and continue the transfer.

The surveys and associated information are imported from the export transfer location or file and decompressed. The Finalize Transfer window appears for each imported survey. It displays a log of changes made during the import.

9 Click **Apply** to complete the import process, or **Cancel** to reverse the transfer.

Note: For Transplant Hospital surveys only, you will receive a warning message if there are conflicting correction or completion dates for any transplant program type.

More ...

Screen: "Import window" on page 426
Procedure: "Merge Data" (below)
Screen: "Finalize Transfer window" on page 424

Merge Data

When there are differences between source and destination text field content, field values, or row content, the applicable Merge window may open to let you resolve the differences by indicating how the content should be merged.

Note: In many cases, merge rules are predefined and Merge windows will not appear when there are source/destination conflicts.

Merge Fields

If certain field values (e.g., Scope/Severity) differ between source and destination—perhaps you are re-exporting a survey after changing some field values—the Merge fields window displays the differences. You can specify how to merge the conflicting values.

For 670 Workload values, the window displayed for resolving differences in surveyor workload data is not called Merge fields. Rather, the title bar shows the staff member's name and ID, and the name of the "problem" 670 area.

Fields marked with an asterisk in the Data Field column have a Yoke ID. When several fields relate to the same business rule, they are "yoked" together and must be selected as a group from either source or destination. Fields that share a common Yoke ID are moved as a group between source and destination: select one, move all.

To merge fields:

1. In the **Merge fields** window, examine the **Source Value** and **Destination Value** for fields that differ.

   ➥ To see all the fields being exported, not just the ones that differ, select **Show all fields**.

2. To overwrite Destination Value with Source Value for an individual field, choose the **Select Source** checkbox.
3. To keep the Destination Value for an individual field, choose the **Select Destination** checkbox.
4. To overwrite Destination Value with Source Value for all fields with differing values, click the **Use All Source** button.
5. To keep Destination Value for all fields with differing values, click the **Use All Dest** button.
6. Click **Continue with Transfer** to save the current values and continue the data transfer.

   If there are 670 discrepancies for multiple surveyors, you merge values for one surveyor at a time. When you select Continue with Transfer, the 670 Merge fields window for the next surveyor opens.

More ...

Screen: "Merge Fields" on page 427

Merge Rows

When you import Contacts data into ACO, the Multiple Row Merge window opens if there are conflicts in source and destination between information in rows; e.g., a field in row 2 in the destination has the same value as in row 4 in the source. You can specify how the conflicts should be resolved.

To merge rows:

1. In the **Multiple Row Merge** window, identify the conflicting row information in **Source** and **Destination**.
2. To include a row in the merge, select the checkbox to its left.

   All Source rows are selected by default as are Destination rows that do not conflict with Source rows.

3. To include only Source rows in the merge, click **Check All Source**.

   All Source rows are selected (checked) and the checkboxes for all Destination rows are cleared.

4. To include only Destination rows in the merge, click **Check All Destination**.

   All Destination rows are selected (checked) and the checkboxes for all Source rows are cleared.

5. To revert to the default selections, click **Autoselect**.

6. Click **Continue with Transfer** to save the current merge selections and continue the data transfer.

More ...

Screen: "Merge Rows window" on page 428

Merge Text

If there are differences between source and destination in certain text entries, e.g., citation text, the Merge Text window shows the differences and lets you specify how to resolve the differences. Since the content of attachments and letters is assumed to be static, the Merge Text window doesn't appear for them during transfers.

For intakes, you can choose whether and how to merge text in the following fields if it differs between source and destination:

- Allegation Findings text
- Investigation Notes

To merge text:

1. In the **Merge Text** window, examine the differences between **Source** and **Destination** text.

2. To replace all the Destination text with all the Source text, click **Replace Destination**.

3. To add selected Source text at the end of the Destination text, click **Append Selected**.

4. To insert selected Source text at the cursor position in the Destination text, click **Insert Selected**.

5. To undo any changes you have made to the original Destination text, click **Restore Original Destination**.

6. Click **Save Final Version** to save the current version of the Destination text and continue the data transfer.

More ...

Screen: "Merge Text window" on page 429

Export ASE-Q Sybase Database Patch

Note: This function is for internal use only. If you have questions, contact QTSO Help Desk — ASPEN Hotline:
888-477-7876
iqies@cms.hhs.gov

Transfer LTCSP Static Data

Export/Import LTCSP Static Data options

The Export option is rarely used and the Import option is never used because LTCSP static data automatically loads into ASE-Q with each survey shell. On occasion, states may need to use the Export option to get new database changes into ASE-Q when directed to do so by the Help Desk.

Transfer Regulation Sets

You can export and import both state and Federal regulation sets.

Export Regulations

Before you export a regulation set, we recommend you make it active (in the Regulation Set Properties window) so that each user who imports the reg set does not have to change the setting to be able to use the regulations.

To export a regulation set:

1. Click the **Alpha** or **Type** tab and locate the regulation set.
2. Drag the regulation set you want to export to the **Export** button on the toolbar.

   TIP: You can also export a regulation set by right-clicking it, selecting Send To, and then clicking Export.

3. In the **Export** window, indicate your transfer location.
   - Select **ASPEN Transfer Location** and then select the applicable location from the drop-down list (defaults are usually the root of the C and A drives).

     -or-

   - Select **Other Location**. Enter the transfer location path, or click **Find** to navigate to and select the location.

The default transfer filename is ASPENTX.ZIP, which is changed to REGTX.ZIP when you actually export the reg set. You can assign another name if you wish.

Note: Many anti-virus programs, email servers, and firewalls block .ZIP files. If this is an issue, contact your ASPEN administrator for assistance.

4 Click **OK**.

The regulation set is exported to the transfer file at the specified location and a message appears indicating that the export is complete.

Note: You can export more than one reg set to the same transfer file.

More ...

Screen: "Export window" on page 422

Import Regulations

You can import regulation sets as needed. You may need to add updated Federal regulations or new or revised state regulations to ACO.

Note: Do *not* use the Import function to load a regulation patch unless you delete the existing regulation set first. It will *not* be possible to delete the existing set if any surveys have been created with that set, so in most cases it is easier to use the patch utility: right-click reg set, select Import Patch File.

To import regulations:

1 Click the **Import** button on the toolbar.

2 In the **Import** window, select **Regulations** as **Import Type**.

3 Use the appropriate **Import From** option to indicate the location of the transfer file.

➥ Select **ASPEN Transfer Location** and then select the applicable location from the drop-down list (defaults are usually the root of the C and A drives).

-or-

➥ Select **Zip or mdb file**. Enter the transfer location path, or click **Find** to navigate to and select the location.

REGTX.ZIP is the default transfer filename when you import regulation sets. The name may have been changed on export.

Note: Many anti-virus programs, email servers, and firewalls block .ZIP files. If this is an issue, contact your ASPEN administrator for assistance.

4 Click **OK**.

The regulation sets in the transfer file are imported. A message appears indicating the import was successful.

Note: If any regulation set you are importing already exists, you are asked if you want to abort the transfer.

More ...

Screen: "Import window" on page 426

Send Letters

You can generate letters throughout the day as you do your routine work, then print all the letters at the same time when you're ready to send them. Options are also available to lock your letters against change and to customize batch settings.

Custom batch settings make it possible to produce hard copies of letters in an efficient manner. For example, each member of a team could add letters to the batch as they are created, then an administrative assistant could batch print them on a regular basis for the whole work unit/team.

Generate Letters

You can generate letters customized for individual surveys and recipients from form letter templates created in Letter Management.

To generate a letter:

1 In the **Tree** view, locate and right-click the survey of interest, select **Print Letters**, then **Generate New Letter**.

-or-

In the **Survey List** section of the **Certification & Surveys** tab, select the survey and click **Citations Mgr** then click **Letters...** in the **Citation Manager**, and click **Generate New Letter** in the **Letter Selection** window.

2 In the **Form Letter** section of the **Select Letters and Distribution Lists** window, select the letter you want to send.

Since you opened the window from a survey, only Survey letters for the current provider type are listed by default. Select the Show All checkbox to list all letters.

3 Select the recipient(s) of the letter in the **Distributions** section.

The Distribution List consists of the general Distribution List, which is maintained via the System menu (follow path, Lookup Values | Distribution Lists), and the provider.

4 For each recipient, click **Set Action** or double-click the recipient to cycle through distribution options (letter, cc, bcc), until the correct action is shown next to the recipient's name.

There can be only one primary recipient, i.e., Letter action, for a letter.

5 Click **Preview** to view the letter before printing it.

If custom prompts are included in the form letter template, they now appear and request information.

6 Enter the appropriate information in response to each custom prompt and click **OK**.

The letter is displayed in the letter or ASPEN word processor depending on the WP Ver (Version) of its template in the Letters window (New or Old respectively).

ACO replaces the macros in the template with applicable information from the database.

Note: If the information isn't available in the database, macro substitution is not performed.

7 Make any needed changes to the letter.

8 To print the letter, click the **Print** icon in the letter word processor, or the **Print** button in the ASPEN word processor.

- From the letter word processor, the letter is printed unless the Batch Print Letters option is selected.
- From the ASPEN word processor, the letter is displayed in a report preview window, but not printed. Go to step 10.

9 Click **Save & Exit** (letter word processor).

10 In the **Select the Reports/Labels to Print** window, choose the appropriate mailing label and click **OK**.

The mailing label(s) are generated and displayed in a report preview window.

Tip: Click Cancel in the Select the Reports/Labels to Print window if you don't want to print a mailing label.

11 Click the **Print** icon to print the mailing label(s) and/or to print an "old" letter.

12 Close the report preview window(s).

Saved letters are listed in the **Notices History** window.

To open Notices History:

➥ In **Tree** view, right-click the survey, select **Print Letters**, then **View Letter History**.

-or-

➥ Click **Letters...** in the **Citation Manager**, and click **View Letter History** in the **Letter Selection** window.

More ...

Screen: "Select Letters and Distribution Lists window" on page 431
Screen: "Letter word processor" on page 436
Screen: "ASPEN word processor" on page 447
Screen: "Letters window" on page 432
Procedure: "Batch Print Letters" on page 265
Screen: "Report Preview window" on page 446
Screen: "Notices History window" on page 430

Lock Letters

You can choose to lock a letter so that users can view the letter, but not change the text. You might want to lock a letter after it has been sent.

Note: All users, including the user who set the lock, are locked out of the letter.

To lock a letter:

1 In the **Tree** view, locate and right-click the survey of interest, select **Print Letters**, then **View Letter History**.

-or-

In the **Survey List** section of the **Certification & Surveys** tab, select the survey and click **Citations Mgr** then click **Letters...** in the **Citation Manager**, and click **View Letter History** in the **Letter Selection** window.

2 In the **Notices History** window, select the letter you want to lock in the **Letter History** list box.

3 Click **Lock** and then click **Yes** in the confirmation message.

In the Letter History list, the value in the Locked column for the letter is now Yes. Lock toggles to Unlock.

To unlock the letter:

➥ Click **Unlock**.

You can use button-level security to limit the availability of the Unlock function to system administrators or other designated individuals.

More ...

Screen: "Notices History window" on page 430
Procedure: “Set Option/Tab/Button Security” on page 273

Define a Custom Batch Filter

ACO lets you batch print letters rather than printing each letter as it is created. You can list your batched letters only, or you can define and use a custom filter that displays batched letters for the specified combination of work units/teams, users, and ASPEN applications.

To create a custom batch filter:

1. Select **Print Batched Letter** from the **Reports** menu.
2. At the bottom of the **Batched Letters** window, click the **Define Custom Batch Setting...** to open the **Customize Batch Letter Display Setting** window.
3. Select the **Work Unit**(**s**)**/Team**(**s**), **Staff member**(**s**), and **Application**(**s**) whose batched letters you want to list.
4. You can filter the selected work units/teams by Facility Work Unit/Team Assignment or Staff Work Unit/Team Assignment. This setting is stored on a user-by-user basis. If you wish to be notified that you have batched letters when you open or close ACO, select the **Start-up/Exit Notification** checkbox.
5. Click **OK** to return to the **Batched Letters** window.

Batch Print Letters

To batch letters, then view and print batched letters, you need to enable an option in the File menu. When you are ready to print the batched letters, you select the appropriate filter, then print the letters you want. You can retain the batched letters from one session to the next if desired.

To print batched letters:

1. From the **File** menu, select **Batch Print Letters**, if it isn’t already enabled.

   It stays enabled for subsequent sessions.

   Note: This option is enabled by individual users. If a team plans to batch print its letters, each team member must activate this option.

2 Create individual letters as usual.

3 When you click the **Print** icon in the letter word processor, or the **Print** button in the ASPEN word processor, the **Confirm Batch** window appears.

Note: The Confirm Batch window appears only if the Batch Print Letters option is enabled on the File menu.

4 Select **Add to Batch** to add the letter to existing batched letters.

If you select **Print Now**, the letter is printed immediately. In either case, when you return to the Notices History window, saved letters will be listed there. The Status will be Batched or Printed as appropriate.

5 When you are ready to print batched letters, select **Print Batched Letters** from the **Reports** menu.

6 To see your own batched letters, select **Show by Current User Only** from the **Filter Settings** drop-down at the bottom of the **Batched Letters** window.

-or-

To see the batched letters per your custom filter, select **Show by Custom Batch Setting**.

7 Print or delete one, several (one at a time), or all letters as desired.

Use **Print All** or **Delete All** to print or delete all letters at once.

After you have printed one letter or all letters, a message asks if you want to delete the one letter or all letters from the queue. If you choose to delete letter(s) without printing them first, a confirmation message appears.

8 Click **Yes** or **No** as appropriate.

9 When you are finished, click **Close** to close the **Batched Letters** window.

If letters remain in your batch letter queue when you close ACO, you will receive a message if:

The Start-up/Exit Notification option is enabled ***and*** the Current User filter is active.

-or-

The Custom Batch filter is active and defined so that your batched letters are included.

More ...

Procedure: “Generate Letters” on page 262

Track Notifications

The Notification History section in the lower half of the Notices History window lets you keep track of certification-related notifications at the survey level. You can include or exclude (more likely) letters listed in the Letter History section.

Note: When you open the Notices History window from a provider, the Notification History section is disabled.

To create a notification record:

1. In the **Tree** view, locate and right-click the survey of interest, select **Print Letters**, then **View Letter History**.

   -or-

   In the **Survey List** section of the **Certification & Surveys** tab, select the survey and click **Citations Mgr** then click **Letters...** in the **Citation Manager**, and click **View Letter History** in the **Letter Selection** window.
2. Click **New** to the right of the **Notification History** list box in the **Notices History** window.
3. In the **Notification Type** window, enter notice details and click **OK**.

More ...

Screen: "Notices History window" on page 430
Screen: "Notification Type window" on page 432

Print Forms and Reports

You can generate forms and reports from various places in ACO. To generate reports for a selected entity, you use right-click menus. For reports listing data from multiple providers, you use the Reports menu. You can specify filters for a number of the reports through the report customization window.

Citations moved to another tag or removed due to IDR/Independent IDR and/or hearing/settlement are excluded from the following printed forms and reports:

- CMS-2567 and CMS-2567B
- Quick Report (draft CMS-2567)
- Severity/Scope Grid

Citations moved to another tag or removed due to IDR/Independent IDR are also not printed on these reports:

- Severity/Scope Summary (SSS) and Detail (SSD)
- Administrator Survey Performance (ASP)
- Owner Survey Performance (OSP)

Display and Print Survey Forms

You can generate CMS survey forms from various places in ACO including Tree view, certification kits, and the Citation Manager.

To display and print survey forms:

1. In the **Tree** view, click the **Alpha** tab, right-click the appropriate survey, and select **Print Forms**.

   -or-

   In a certification kit, select the survey on the **Certification & Surveys** tab and click **Survey Forms**.

   -or-

   Open the **Citations Manager** for the survey and click **Forms...**

   -or-

   At the bottom of the certification kit form, click **Print...**

2. In the **Select Form(s) to Print** window, select the forms you want to display.

   You can select one or more forms.

   - If you select the CMS 2567 report, which encompasses 2567L/A, you can specify the components you want to include. The CMS 2567B is for revisits with corrected deficiencies. If state tags are cited, they print separately on the State Form (CMS-2567) or, for corrected state deficiencies, on the State Form: Revisit Report (CMS-2567B).
   - You can enter data for the CMS-670 and CMS-1539 forms using the proper Entry button.

3. Click **OK**.

   Each form you selected is displayed in a report preview window.

4. To print or export a form, click **Print** or **Export** on the preview window's toolbar. Provide requested information, then click **OK**.

5. Click the **X** in the upper-right corner to close each preview window.

More ...

Screen: "Select Form(s) to print window" on page 415
Screen: "Report Preview window" on page 446

Display and Print Quick Reports

You can generate a number of reports through right-click menus that you access from nodes and items in ACO Explorer. These quick reports present information only for the selected entity.

To create and print a quick report:

1. In the **Tree** or **List** view, right-click an item (certification kit, facility, Administration node, Ownership node, or Affiliations node).
2. Select **Quick Report** from the popup menu, then the report(s)/form(s) you want to print.
3. If report customization window(s) appear, set your report filtering criteria.
4. Click **OK**.

   A report preview window displays each report/form. Filter criteria are listed in each report's footer.
5. To print or export the report, click **Print** or **Export** on the preview window's toolbar. Provide requested information, then click **OK**.
6. Click the **X** in the upper-right corner to close each preview window.

More ...

Screen: "Report Preview window" on page 446

Display and Print LTCSP Survey Data

Once a completed Long-Term Care Survey Process (LTCSP) survey has been uploaded into ACO/ARO, you can generate the following LTCSP "quick" reports:

- Surveyor Notes – Notes entered by surveyors in Surveyor notes
- Team Meeting Notes – All information from the Team Meeting screen
- Initial Pool Data – Interview, Observations, Record Review data for all initial pool residents
- Resident Investigation Data – CE answers and notes from investigations
- Facility Task Data – CE answers and notes from facility tasks
- Potential Citation Data – Tags cited and not cited
- Summary Report – Lists survey information and selected report criteria

To print LTCSP survey data:

1. In the **Tree** or **List** view, locate and right-click the LTCSP survey.
2. Select **LTCSP Documentation Reports (confidential)** from the popup menu.

   This option is available only for LTCSP surveys.
3. On the **Survey Documentation Report** screen, select reports and set criteria.

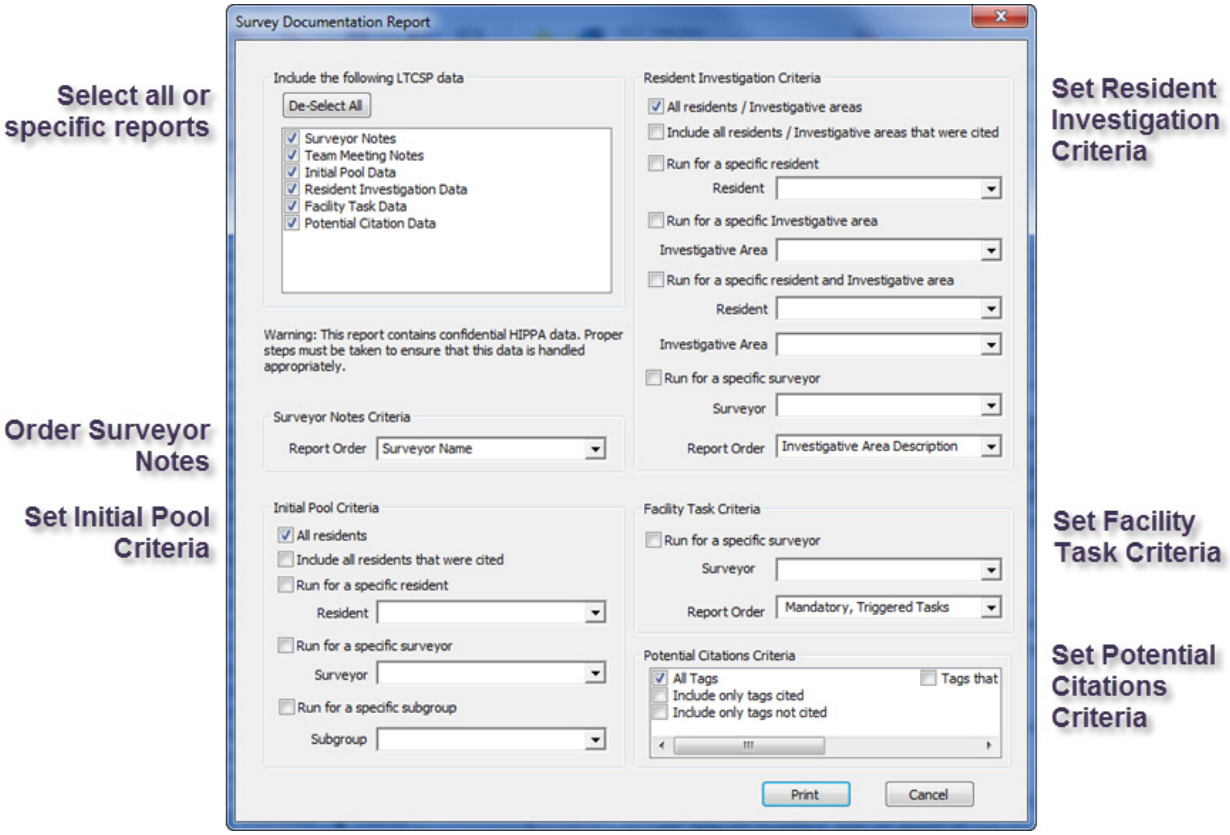


Figure 47: Survey Documentation Report screen - LTCSP

4. Click **Print to generate the reports**.

   Each report prints separately. Filter criteria for the batch of reports are printed on a separate report summary.

For complete information about the LTCSP application and surveys:

See the *LTCSP User's Guide*, which is posted on the QTSO website at https://qtso.cms.gov.

Display and Print STAR Survey Data

In ACO/ARO, you can print reports for historical STAR surveys. The available reports are:

- Surveyor Page Notes - Page notes entered by surveyors during the survey
- Staff List - List of staff and their titles at the surveyed facility
- Patient List - List of patients at the surveyed facility
- Survey Data - Full survey data grouped by surveyor and page name
- Potential Citation Data - Tags not cited, tags cited and deficiency text

To print STAR survey data:

1. Locate the survey in Tree or List view.

   Surveys with STAR data are indicated by a STAR icon.

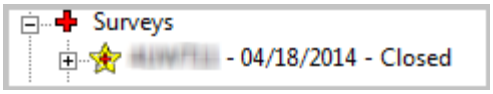


Figure 48: Survey with STAR data - Tree view

2. Right-click the survey and select **STAR Reports (confidential)**.

   This option is available only for STAR surveys.

3. On the **Survey Documentation Report** screen, select reports and options, then click **Print**.

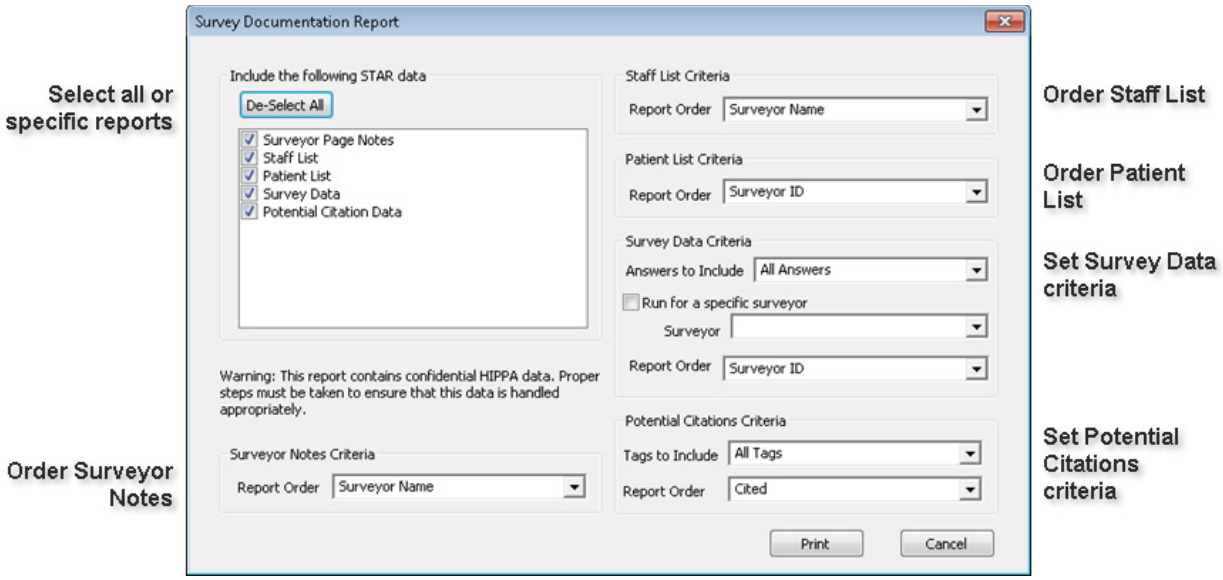


Figure 49: Survey Documentation Report screen - STAR

Each report prints separately. Filter criteria for the batch of reports are printed on a separate report summary.

Note: If you choose to print the Survey Data report for All Surveyors, it may take a long time to generate.

Display and Print Reports - Reports menu

You can generate a number of reports through the Reports menu. These reports combine and present information from multiple providers.

TIP: You can also print batched letters from the Reports menu.

To create and print a report:

1. From the **Reports** menu, select the report you want to print.
2. If report customization window(s) appear, set your report filtering criteria.
3. Click **OK**.

   The report is generated and displayed in a preview window.

   If you click Cancel before the report is completely generated, a partial report is produced.
4. To print or export the report, click **Print** or **Export** on the preview window's toolbar. Provide requested information, then click **OK**.
5. Click the **X** in the upper-right corner to close each preview window.

More ...

Procedure: "Batch Print Letters" on page 265
Procedure: "Customize Reports" (below)
Screen: "Report Preview window" on page 446

Customize Reports

The report customization window, which opens automatically when you select most reports (Reports menu), lets you set any of the multiple filters provided to narrow the focus of reports to your requirements. The generated reports will reflect the filter options you choose.

To customize a report:

1. In the customization window, specify your report criteria. Options vary depending on the report.
2. To apply a named set of report criteria, select it from the **Recall a Previous Report Specification** list.

3 If desired, use the **Store Report Definitions** section to save the criteria you have specified for later use.

➥ Select the **Save Report Specification** checkbox and enter a **Report Specification Name** for the current set of report filter settings.

Setup and Maintenance

ASPEN has a number of options for setting system security, customizing your screen display, and managing your work. SA and RO system administrators can assign access rights by defining security groups and permissions for various levels of system functionality. You can configure selection sets and groups so your screen displays only what you need to see. And, you can manage your work using action items, tracking features, etc.

Set Option/Tab/Button Security

ASPEN administrators for each state and region can use the Menu Security Editor to set and adjust security at the option (menu or right-click), tab, and button levels to define user access to specific functional areas of ACO according to their individual practices. Security groups must be defined before permissions can be assigned.

By default, new SA users are denied access to all menu and right-click options, and all SA users are denied access to new options. RO and CO users are granted read-only access unless security level is explicitly set otherwise.

All users initially have read/write permissions for all tabs and buttons in the application. However, SA users must be assigned permissions to access the menu and right-click options from which the screens or windows containing the buttons and tabs are opened. Tab and button permissions can then be adjusted as needed.

The highest level of access that a user can have to whatever is opened from a menu or right-click option depends on the assigned access level for the option. For example, if the access level for an option is read/write, then the access level for the buttons and tabs in the screen or window opened from the option can be read/write or lower. If the access level for the option is read-only, the access level for the tabs and buttons cannot be higher than read-only.

To set option/tab/button security:

1 Use **Ctrl+left-click** to select the option, tab, or button for which you are assigning permissions.

If this is the first time you are opening the Menu Security Editor during the current work session, you must enter the Menu Security Administrator password. When the Editor opens, the selected menu or right-click option, tab, or button is highlighted in the Menus section.

2 In the **Groups** section, select the group whose permissions you want to restrict.

3. Drag the group icon from the **Groups** tree to the highlighted option/tab/button in the **Menus** section.
4. Release the mouse when the icon is positioned on top of the option/tab/button.

   The group is added under the option/tab/button in the Menus tree. The default security level for the group is No Access.
5. To change the security level, right-click the group and select the desired security level from the popup menu.

   -or-

   Double-click the group to cycle through the available choices until the correct level is selected.

Set Survey View Security

State Agency system administrators can set Survey View Security through the Menu Security Editor in ACO to prevent all the users in a security group from modifying surveys if they are not assigned as survey team members. By default, ACO users can view and modify all surveys in the database. Survey View Security works in conjunction with Facility Type, Menu/Option/Button, and Future Survey Security to restrict access to surveys as needed.

Note: Future Survey Security is set on the Security/Details tab of the Enter/Update Surveyor Information window.

The system checks Facility Type, Menu, and Future Survey Security before it checks Survey View Security. If the members of a security group are otherwise granted read/write access to a survey, Survey View Security can ensure that only those security group members who are assigned to the survey team can modify the survey.

Survey View Security applies to the Survey Properties, Citation Manager, Informal Dispute Resolution, and CMS 670 Workload windows. It is imposed whenever and wherever (e.g., Tree view, certification kit) a user opens any of these windows.

Only the system administrator can open the Menu Security Editor. The Survey View Security function is disabled in ARO as it does not apply there.

To set Survey View Security:

1. From the **System** menu, select **System Configuration**, then **Operations Security**.
2. Enter the **Menu Security Administrator** password.
3. In the **Groups** section of the **Menu Security Editor**, right-click the applicable security group and select **Survey View Security**.

4 Select **View Only**, or **View and Update** as appropriate.

If you select View Only, the group name will display in yellow and group members won't be able to modify surveys if they aren't on the applicable survey team. Group names are green by default, denoting read/write privileges for group members whether or not they are on the survey team. If a user is a member of more than one security group, Survey View Security is allotted at the highest level assigned across all the groups.

State Customization

ACO includes a State Customization screen where State Agency administrators can enter information specific to their state. This includes the State Agency information that prints on CMS-2567 and CMS-2802 forms. SAs can also specify other state-specific settings to be used by ASPEN.

Enter State Agency Information

You can create records with identifying information for each of your state agencies through the State Customization screen. ASPEN includes this information on CMS-2567 and CMS-2802 forms. It is also used by the State Agency and Acronym letter macros.

The list of agencies from the State Customization screen populates the Assigned State Agency drop list in the Enter/Update Surveyor Information window in ACO. You can assign the applicable agency to individual SA employees.

You can designate an SA Default and an RO/CO Default. If a state agency is not assigned to a state user, the SA default is used by the State Agency and Acronym letter macros and in reports. RO and CO users are not assigned a state agency. When they generate reports and letters that identify the state agency, ASPEN uses the RO/CO Default.

To add a state agency:

1 From the **System** menu, select **System Configuration**, **State Customization**.

The State Customization option is *not* available in ARO.

2 Enter the **Security Clearance** password if requested.

3 In the **State Agency** section, click **Add...** to add an agency to the list.

4 In the **State Agency Entry** window, enter the name of the **State Agency**, its **Acronym**, **Address**, **City**, **State**, **Zip**, and **Phone number**; click **OK** to save the information and exit.

The agency is now listed in the State Agency section of the State Customization window.

5 To designate an **SA Default** and an **RO/CO Default**, select the agency you want to use for each.

If no agency is selected for an SA employee in the Enter/Update Surveyor Information window, the SA Default provides the State Agency and Acronym values in letter macros and in reports. RO and CO users cannot be assigned a state agency, so the RO/CO Default is used in letters and reports.

More ...

Screen: "State Customization window" on page 440

To modify state agency information:

➥ Select it in the **State Agency** list and click **Modify**.

To delete an agency from the State Agency list:

➥ Select it and click **Delete**.

A confirmation message lets you know that SA employees assigned to the agency you are deleting will now use the SA Default.

Note: You cannot delete an agency designated as the SA or RO/CO Default.

More ...

Screen: "State Customization window" on page 440

Enter State-Specific Settings

The State Customization option lets administrators specify state-specific settings to be used by ASPEN such as: the state to which ACO defaults when users create facilities, Find by preference, discharges to exclude when assessments are viewed.

To specify state-specific settings:

1 From the **System** menu, select **System Configuration**, then **State Customization** to open the **State Customization** window.

2 In the **Regulation** field, enter the term your state uses to refer to regulations.

ACO will use this term in the "This _____ was not met" sentence of each citation. This is the term you use to refer to your state regulations. Some states call them rules or statutes.

3 Enter the text you want printed in the **Form Footer** of the CMS-2567.

4 Select the appropriate **ID Used for State Forms**, which will print in the state CMS-2567.

5 Select the two-character **Abbreviation** for your state.

This is the state to which ASPEN Central Office will default when users create new facilities.

6 Select the **Default Search Preference**.

When the Find function is used to search for a facility in ACO or ACTS, this will be the initial search type.

7 To exclude recent discharges from resident assessments, enter the number of **days**.

When users view resident assessment information, they will not see discharges that have occurred within the given number of days.

8 Select the **Activate Supervisor Calendar View of Other Staff** to let users with supervisor rights view the AST personal calendar of other users.

9 Select the **Enable Facility Type Security** checkbox if appropriate.

10 Select the **Enable Guidance** checkbox to activate Hover Guidance in ASPEN applications.

Hover Guidance (Hover Help) is context-sensitive pop-up Help that provides definitions for some ASPEN fields. ARO users can see Hover Guidance when they are connected to a state that has activated it.

Note: The Set Encryption File Password function is obsolete.

11 Click **OK** to save the information and exit.

More ...

Screen: "State Customization window" on page 440

Assign Licensure-only Types

To make options in lists throughout ASPEN available for licensure-only provider types, system administrators can use the Assign Licensure-only Facility Types option to assign them as appropriate to LOOKUPVALUE records defined in the Lookup Values Dictionary. For some lookup values, assignment of facility types is irrelevant. Therefore, the Assign Licensure-only Facility Types option is enabled only if one or more Federal or state licensure types are already assigned for a lookup value, i.e., the Types list for a lookup value is populated.

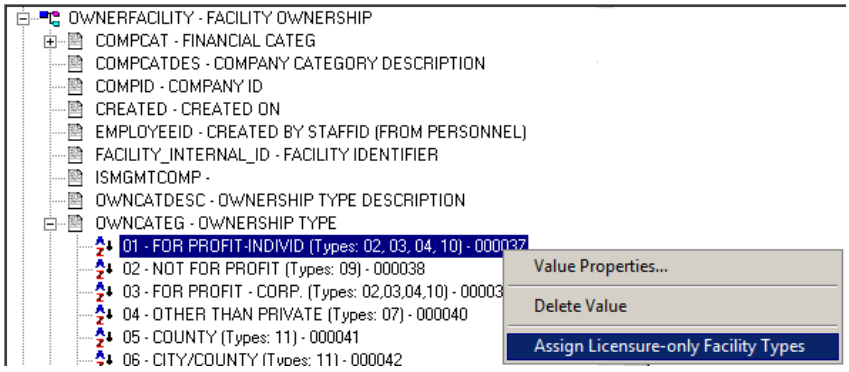


Figure 50: Assign Licensure-only Facility Types option

To assign licensure-only type(s) to an option:

1. From the **System** menu, select **Lookup Values**, then **Dictionary**.
2. Answer **Yes** or **No** (most likely) to the "**Are you a CMS Central Office User?**" question.
3. Enter a password if required.
4. In the **Lookup Values Dictionary** window, expand the applicable table, e.g., OWNERFACILITY, and column, e.g, OWNCATEG.
5. Right-click a value, e.g., 01 - FOR PROFIT-INDIVID, and select **Assign Licensure-only Facility Types**.

   This option is enabled only if the Types list for the lookup value is populated.
6. In the **Assign Licensure-only Facility Types: <lookupvalue>** window, select the state-defined provider types to assign to the lookup value.

   Federal provider types do not appear in the list. The checkboxes for previously assigned state types are selected.
7. To remove an assigned type, simply clear the checkbox.
8. Click **OK** when you're done.

   The newly assigned state facility types now appear in the Types list for the lookup value in the Lookup Values Dictionary window. Any types you de-assigned are no longer in the Types list. The lookup value–in our example, 01 - FOR PROFIT-INDIVID–will be included in the list of Parent Type options in the Enter/Update Owner Company Information window for all providers of the assigned state licensure (and Federal) types.
9. Click **Close** to exit the **Lookup Values Dictionary** screen.

Note: The maximum number of facility types–Federal and licensure-only–you can assign to an option (lookup value) is 85.

Customize State Staff Titles

Staff members are optionally assigned a state-defined position title when their personnel records are created or updated in the Enter/Update Surveyor Information window. SA administrators can customize the options listed for State Title on the Employee Identification tab.

To add a state staff title:

1. From the **System** menu, select **Lookup Values**, then **State Staff Titles**.
2. In the **Enter/Update State Staff Titles** window, click **New**.
3. In the **Enter New State Staff Title** window, enter the title **Code** and a **Description**; click **OK**.

To modify a state staff title description:

1. In the **Enter/Update State Staff Titles** window, select the title and click **Modify**.
2. In the **Modify State Staff Title** window, edit the **Description**.

   You cannot change the title Code.
3. Click **OK**.

To delete a state staff title:

1. In the **Enter/Update State Staff Titles** window, select the title and click **Delete**.
2. Click **Yes** in the confirmation prompt.

   The title is removed from the database. If the title is in use, i.e., it's assigned to one or more staff members, you won't be able to delete it.

More ...

Screen: "Enter/Update State Staff Titles window" on page 441
Screen: "Enter New State Staff Title" on page 441
Screen: "Modify State Staff Title" on page 442

Configure Groups in Tree View

In the Tree view, ACO uses default sets of groupings for three alphabetical listings on the Alpha tab: the facilities list, the Residents list under individual facilities, and the comprehensive Residents list. You can configure these groups to meet your own needs.

To configure groups in Tree view:

1. In the **Tree** view, click the **Alpha** tab.
2. Right-click the top-level **ASPEN Desktop** node, and select **Configure Groups**.
3. Select one of the following: **Configure Groups For Facility Node** (facilities list), **Configure Groups For Facility Residents Node** (Residents node under individual facilities), **Configure Groups For Residents Node** (comprehensive Residents list).

   The applicable Groups window appears with the currently configured groups listed. The Group Properties section shows properties for the highlighted group.
4. To add a group, click **New**.
5. Enter a label for the group in the **Display Value** field.

6 Enter the **Low** and **High** values that you want to include in the group.

For example, enter C as the Low value and Cz as the High value to include all items beginning with the letter C. If you want to include items only up to Co, enter Co as the High value. To include all items beginning with C and D, enter C as the Low Value and Dz as the High value.

7 Click **Save** to save changes and continue.

8 To undo changes or additions since the last **Save**, click **Undo**.

➥ To modify a group, select it and edit the **Group Properties**.

➥ To delete a group, select it and click **Delete**.

9 Click **OK** when you are done.

Example

If you have two groups C and D and you want to combine them, first create a new group with the Display Value (label) C-D, a Low value of C, and a high value of Dz. Then delete existing groups C and D. Or, modify either group C or D as appropriate, then delete the other group.

More ...

Screen: "Facility Node Groups window" on page 438
Screen: "Facility Resident Node Groups" on page 439
Screen: "Resident Node Groups window" on page 439

Configure My Selections

By default, the Tree view includes all the facilities/providers and certification kits in the ACO database. You can use My Selections to limit the display to those records that concern you, and to enhance display refresh efficiency. A selection set can be personal, i.e., visible only to you, or it can be global, i.e., visible to any user. You can create as many selection sets as you need, but you can apply only one at a time.

To create a selection set:

1 At the top of the **Tree** view on the **Alpha** tab, right-click **My Selections**, then click **New Personal Selection** or **New Global Selection**.

The New Filter window appears.

If you are creating a personal selection, the Public checkbox is blank and disabled. For a global selection, it is selected and disabled, so no user can clear it.

You can filter the display by provider type; office or location of management units; work unit; bed count range; county; provider operating status; congressional district - i.e., individual representative and/or senator, or district(s); survey type, operation status, and date range; and state region. By default, all items are included in the Tree view display until you define selections.

2 Click the tab for a filtering criterion you want to use.

3 Click the checkbox at the top to activate the filter.

4 Select the items you want to include in your selection set.

5 Repeat steps 2-4 to define as many selections as you want.

6 Enter a name in the **Filter Name** field for your new selection set.

7 Click **OK**.

The selection set is created, but is not activated, as indicated by a red checkmark.

Public (global) selection sets are denoted by a globe icon with a red checkmark when not activated.

More ...

Screen: "New Filter window" on page 437

To activate a selection set:

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

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

The red checkmark by the selection set name turns to green to indicate it is active.

To modify a selection set:

1 Click the **plus sign** (+) next to the **My Selections** node to expand it, and right-click the selection set you want to modify.

2 Select **Selection Properties - Global** or **Selection Properties - Personal** from the popup menu.

The option on the menu depends on whether you right-click a global or personal selection.

3 Make the changes you want and click **OK**.

To delete a selection set:

1 Click the **plus sign** (+) next to the **My Selections** node to expand it, and right-click the selection set you want to delete.

2 Select **Delete Global Selection** or **Delete Personal Selection** from the popup menu.

The option on the menu depends on whether you right-click a global or personal selection.

3 Respond **Yes** to the confirmation prompt.

Regulation Sets

ASPEN includes two utilities that let you:

- Duplicate an existing state reg set to create a new one.
- View crosswalks for regulation set conversions.

Duplicate State Regulation Sets

You can conveniently create a new state regulation set by duplicating (copying) the information from an existing state reg set. Then you can modify it as needed with new reg set details.

To duplicate a state regulation set:

1. In the ACO Tree, locate and right-click the state regulation set you want to copy.
2. Right-click it and select **Duplicate Regulation Set**.
3. Enter the new **Regulation Set ID**.

   ACO then copies the information from the selected regulation set to the new regulation set. It indicates the progress of the duplication (transfer) and that it was successful, or issues an error message if the duplication was unsuccessful. If successful, the new regulation set appears in the Tree.

Note: The new regulation set has exactly the same name as the source reg set. The ID you entered is not displayed in the Tree. To determine which reg set is which, you have to right-click both sets, select Regulation Properties and look at Aspen ID (aka Regulation Set ID).

View Regulation Conversion Details

ACO includes an option that lets you view and print crosswalk charts for regulation set conversions.

To view regulation conversion details:

1. From the **System** menu, select **Lookup Values**, then **View Regulation Conversion**.
2. From the **Select Crosswalk to View** list, choose the reg set conversion you are interested in.

   The crosswalk chart is populated with the original tag numbers, new tag numbers, and conversion type for each tag.
3. To print the crosswalk chart, click **Print**.

   The displayed chart is printed as a report with the selected crosswalk as its title.

View Audit History

ASPEN applications have an internal auditing capability that tracks changes to a number of significant fields in the database. The Audit History option in ACO provides an interface to the log of changes, additions, and deletions to those fields resulting from user and system actions on login, certification, survey, facility, and other records.

By viewing the Audit History, you can trace changes to values, find out dates of changes, and see who made the changes. For example, you can determine if your login ID is in use, either because you are logged in, or another user activated you (i.e., your login ID) via the Activate button in the Citation Manager. You can set criteria to filter the list of audits and also print the log and delete audit records.

To view the audit history:

1. From the **System** menu, select **Master Audit History** to open the **Audit Trail** window.

   It will be empty. You must specify a date range for the audits you want to see.

2. Click **Get Audit History** to open the **Audit History Select** window.

3. Enter a **Begin Date** and **End Date** and click **OK**.

   The shorter the time period you specify, the more quickly the audit records are retrieved. All audit records for the specified date range are displayed. The title of the window changes to Audit History from <BeginDate> to <EndDate>.

More ...

Screen: "Audit Trail window" on page 442

To filter a list of audits:

1. In the **Audit History** window, click **Filter Audits** to open the **Filter Audit Records** window.

   You can set one, several, or all of four filters: Date, Facility ID, Employee, Table/Column (in the ASPEN database).

2. To specify a **Date** filter, enter the **Start Date** and **End Date** of the desired time period.

   The date range you specified for the currently displayed audits is the default.

3 To specify a **Facility ID** filter, click **Select Facility for Audit Filter**. **Search** for and select the desired provider.

The provider's name, ID, and city/state are entered in the Filter Audit Records window. To deactivate the Facility ID filter, click the **Clear Text** button to remove the provider information.

4 To specify an **Employee and/or Table/Column** filter, select the applicable checkbox(es) and the desired employee(s) and/or table(s)/column(s).

5 Click **OK**.

The list of audits is refreshed according to the filters you specified.

More ...

Screen: "Audit Trail window" on page 442

To delete audit records:

➥ In the **Audit History** window, select the audit record(s) you want to delete and click Delete.

Use Shift+click to select a sequence of audit records, or Ctrl+click to select multiple non-sequential audit records.

The audit records you selected are deleted. You will receive a message if any of the select audit records are used in CMS reporting; they will not be deleted.

WARNING! There is no confirmation message, so be sure you want to delete the audit records you selected.

More ...

Screen: "Audit Trail window" on page 442

To print a currently displayed audit record:

1 In the **Audit History** window, click **Print**.

2 In the **List print** window, specify header/footer, font, and margins for the printed list.

3 Click **Print** in the **List print** window and **OK** in the **Print** window.

The print job goes directly to the printer. There is no report preview. All displayed audits are printed in a grid format.

More ...

Screen: "Audit Trail window" on page 442

View System Connections

The System Connection option displays basic details about the Oracle server(s) to which the client application is currently connected. This feature can assist technical support personnel with troubleshooting.

To view system connections:

➥ From the **System** menu, select **System Connection**.

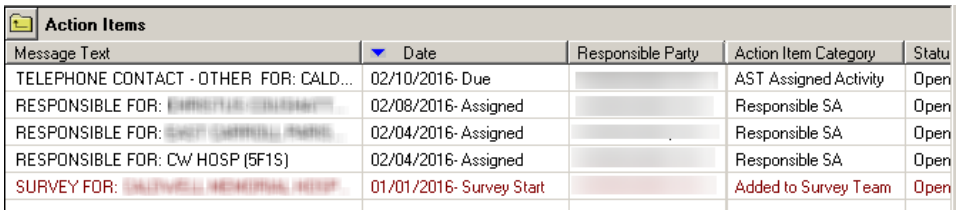
The System Connection Information screen displays details about the client and the Oracle database(s) to which the client is connected. In RO mode, information about both national and state connections is displayed. SAs see only the state client connection.

Action Items

The Action Items feature automates the process of notifying agency personnel of action items assigned to them. For example, if you have been assigned to a survey team, or the RO or CO enters an RO Response on the Deemed tab and you are a Responsible SA, you are sent an action item message.

If you are an SA staff member, your action items are listed in Detail view when you log on to ACO. If you are an RO staff member, action items are displayed at startup only if you activated an action item filter in a previous session. The listed action items are for staff members specified in the active action item filter.

You can click the My Action Items node on the Alpha tab to display action items in List view during your ACO session.



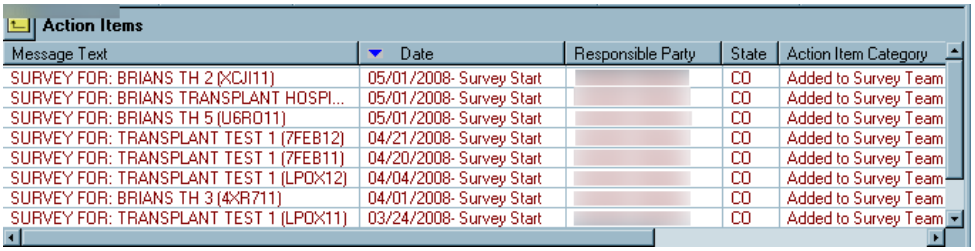
Action Items

Message Text	Date	Responsible Party	Action Item Category	Statu
TELEPHONE CONTACT - OTHER FOR: CALD...	02/10/2016- Due		AST Assigned Activity	Open
RESPONSIBLE FOR:	02/08/2016- Assigned		Responsible SA	Open
RESPONSIBLE FOR:	02/04/2016- Assigned		Responsible SA	Open
RESPONSIBLE FOR: CW HOSP (5F1S)	02/04/2016- Assigned		Responsible SA	Open
SURVEY FOR:	01/01/2016- Survey Start		Added to Survey Team	Open

Figure 51: ACO - Action items in List view

Note: The Survey For action item was previously called Investigation For.

In ARO, the grid includes a State column to identify the state to which the action item applies.



Action Items

Message Text	Date	Responsible Party	State	Action Item Category
SURVEY FOR: BRIANS TH 2 (XCJI11)	05/01/2008- Survey Start		CO	Added to Survey Team
SURVEY FOR: BRIANS TRANSPLANT HOSPI...	05/01/2008- Survey Start		CO	Added to Survey Team
SURVEY FOR: BRIANS TH 5 (U6RO11)	05/01/2008- Survey Start		CO	Added to Survey Team
SURVEY FOR: TRANSPLANT TEST 1 (7FEB12)	04/21/2008- Survey Start		CO	Added to Survey Team
SURVEY FOR: TRANSPLANT TEST 1 (7FEB11)	04/20/2008- Survey Start		CO	Added to Survey Team
SURVEY FOR: TRANSPLANT TEST 1 (LPOX12)	04/04/2008- Survey Start		CO	Added to Survey Team
SURVEY FOR: BRIANS TH 3 (4XR711)	04/01/2008- Survey Start		CO	Added to Survey Team
SURVEY FOR: TRANSPLANT TEST 1 (LPOX11)	03/24/2008- Survey Start		CO	Added to Survey Team

Figure 52: ARO - Action Items in List view

The list of action items is filtered by the Facility Type and State Region settings in your active Selection (My Selections) as well as the active Action Item filter, if any. Facility Type security applies to action items.

➥ Double-click an action item to open the certification kit that the survey is associated with if applicable, or else to open the Citation Manager for the survey.

You can click any column heading in the action item list to sort by that column. To print a list of your action items, right-click any action item and select Print Screen.

To toggle action item display in Detail view:

➥ Right-click the **My Action Items** node, and select **Hide Action Items** or **Show Action Items** as appropriate.

More ...

For a comprehensive list of action item messages, refer to the *AST Procedures Guide*, which is posted on the QTSO website at https://qtso.cms.gov.

Filter Action Items

ACO lets you create named action item filters to display subsets of your action items in List view or Detail view. You can specify multiple filters, but only one is active at a time. You can also toggle the display of action items in Detail view in the lower right hand corner of ACO at startup.

Note: If you are an RO staff member, action items are displayed at startup only if you activated an action item filter in a previous session.

To create an action item filter:

1. On the **Alpha** tab in the **Tree** view, right-click **My Action Items**, then click **New Action Filter**.
2. In the **Action Item Filter Settings** window, indicate the desired **Date** range, select the **Status(es)** and **Type(s)** of action items you want to include in the filter, and specify **Staff** members whose action item messages you will see.
3. Enter a name for the new filter, and indicate whether you want it to be **Public** (visible to other users).
4. Click **OK**.

   The action item filter is created, but is not activated, as indicated by a red checkmark
   Public filters are denoted by a globe icon with a red checkmark when not activated

More ...

Screen: "Action Item Filter Settings window" on page 438

To activate an action item filter:

1. Click the **plus sign** (+) next to the **My Action Items** node to expand it, and right-click the action item filter you want to activate.
2. Select **Activate** from the popup menu.

   The checkmark by the filter name turns green to indicate it is active.

   The display of your action items is filtered accordingly when ACO starts up and displays your action items in Detail view, or when you click the My Action Items node on the Alpha tab to display action items in List view.

   Note: The list of action items is also filtered by the Facility Type and State Region settings in your active Selection (My Selections).

To toggle action item display:

1. In **Tree** view, right-click the **My Action Items** node on the **Alpha** tab.
2. Select **Hide Action Items** or **Show Action Items** as appropriate.

   Hide Action Items hides the display of your action items in Detail view (lower right hand corner of screen) at startup. Show Action Items enables the display of your action items in Detail view again. This toggle doesn't affect the display of your action items in List view when you click the My Action Items node on the Alpha tab; they're always shown.

Delete Action Items

Action Item History in ACTS lists action items for all ASPEN modules. From here, you can delete action items by date range. RO users can delete RO action items; SA users can delete SA action items.

To delete action items:

1. From the **System** menu in **ACTS** or **ACTS RO**, select **Action Item History**.
2. In the **Action Item Trail** window, click **Delete**.
3. In the **Action Item Delete Range** window, enter a **Start Date** and **End Date** to specify the time range of the action items you want to delete.
4. Click **OK**.
5. Respond **Yes** to the confirmation prompt.

   The action items issued within the specified time range are deleted.
6. Click **Close** to close the **Action Item Trail** window.

Set Up Action Item Email Notification

ASPEN includes an optional feature that provides for the delivery of specified system-generated action item notices via email to SA or RO recipients.

Note: ASPEN action items are displayed in the main application window whether or not an email notification is also sent. Email notices use the same recipient list as the related action item.

Action Item Email Configuration Requirements

To enable action item email notification, you must:

- Specify which types of action items will be delivered via email.
- Set up action item email delivery for each staff member who is to receive notices.

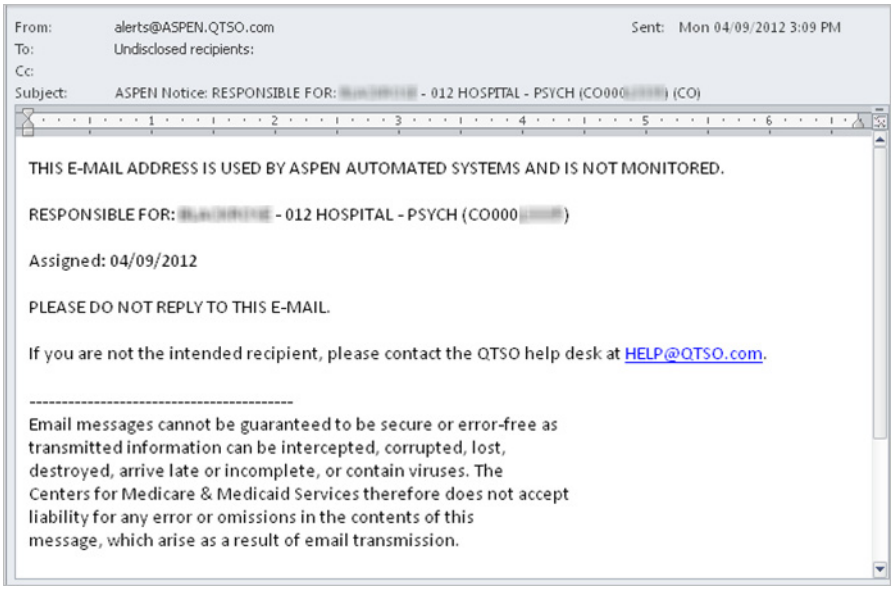
Action Item Email Delivery

Email notification of an action item is delivered to a recipient when:

- The action item type has been flagged as email deliverable.
- The recipient has been set up to receive email notifications.

Note: When an action item is added, the corresponding email message may wait in a queue for up to 10 minutes before it is delivered to recipients.

ASPEN utilizes the CMS-based central email server for all messaging. The "sender" for ASPEN action item emails is always https://qtso.cms.gov. The state of origin is indicated in the Subject line.


From: alerts@ASPEN.QTSO.com Sent: Mon 04/09/2012 3:09 PM
To: Undisclosed recipients:
Cc:
Subject: ASPEN Notice: RESPONSIBLE FOR: [redacted] - 012 HOSPITAL - PSYCH (CO000[redacted]) (CO)

THIS E-MAIL ADDRESS IS USED BY ASPEN AUTOMATED SYSTEMS AND IS NOT MONITORED.

RESPONSIBLE FOR: [redacted] - 012 HOSPITAL - PSYCH (CO000[redacted])

Assigned: 04/09/2012

PLEASE DO NOT REPLY TO THIS E-MAIL.

If you are not the intended recipient, please contact the QTSO help desk at HELP@QTSO.com.

Email messages cannot be guaranteed to be secure or error-free as transmitted information can be intercepted, corrupted, lost, destroyed, arrive late or incomplete, or contain viruses. The Centers for Medicare & Medicaid Services therefore does not accept liability for any error or omissions in the contents of this message, which arise as a result of email transmission.

Figure 53: Action item email

Server Whitelist

States may wish to add an exception to their email processing rules to always allow the incoming email server to receive ASPEN email alerts. To accomplish this, the email administrator can white-list the following email servers for emails originating from the sender aspen.alerts@qtso.cms.gov:

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

Specify Action Items for Email Delivery - SA

In ACO, you designate the ASPEN action items to be delivered by email to SA staff members.

To designate action items for email delivery - SA:

1. From the **ACO System** menu, select **System Configuration**, then **Email Configuration** to open the **Action Item Email Configuration** window.

TIP: Menu security should be set so that this option is enabled only for the individual(s) given responsibility for email configuration.

2 Select the action items to be delivered by email.

The list contains action items of interest to SAs. You can clear the checkboxes of those you don't want to be delivered to SA staff members via email.

Specify Action Items for Email Delivery - RO

In ARO, you designate the ASPEN action items to be delivered by email to RO personnel.

To designate action items for email delivery - RO:

1 On the **ARO** toolbar, click **Config** to open the **Regional Offices** window.

2 Click **Configure Action Item E-mails** to open the **Action Item Email Configuration** window.

Note: The Email Configuration option on the System menu is disabled in ARO.

3 Select the action items you want to be delivered by email.

The list contains action items of interest to ROs. You can clear the checkboxes of those you don't want to be delivered to RO staff members via email.

Enable Action Item Email Delivery for Staff Members

In addition to designating the action items for email notification, you must configure email delivery in the staff member record, i.e., the Update Surveyor Information window, in ACO/ARO for each SA and RO staff member who is to receive action item notices. You will enter an email address and set email notification filters for each user.

To enable action item email delivery for a staff member:

1 Open the **Update Surveyor Information** window.

SA - In the **ACO tree**, click the **Directory** tab and expand the **Staff Directory** node Right-click a name and select **Update Staff Member**.

RO - On the **ARO toolbar**, click **Config** to open the **Regional Offices** window, then click **Manage CMS User Accounts** to open the **CMS RO/CO Staff Manager** window. Select a user and click **Modify...**

2 On the **Employee Identification** tab, provide an **E-Mail Address** in the **Contact Information** section if not already specified.

3 Go to the **Email Settings** tab.

The E-Mail Address entered on the Employee Identification tab is carried over and is read-only.

4. Select **Receive Broadcast Emails** and/or **Receive Targeted Emails** as appropriate.

   A targeted action item email is sent to specific individuals. For example, Responsible SA is sent only to the Responsible SA staff member(s) assigned to the intake in ACTS.

   A broadcast message is sent when no other recipients, i.e., no responsible parties, are defined. It is sent to all SA or RO users (as applicable) who have Receive Broadcast Emails selected in their staff record. For example, the Complaint Closed action item is sent to all RO users configured to receive broadcast emails in the current region *only if* a Responsible RO staff member has *not* been assigned to the intake in ACTS.

5. Set filters as appropriate for the user.
6. Except for Action Items Filter, use the **Select**/**Deselect All** buttons to select/deselect all items in a given section.
7. For **Action Items Filter** only, use the **Select All** button to select and enable all filter options. Use **Deselect All** to deselect and disable all filter options in other sections and deselect (but leave enabled) its own options.

More ...

Screen: "Employee Identification tab" on page 323

Email Filter Behavior

When Receive Broadcast Emails or Receive Targeted Emails is first selected on the Email Settings tab, all filter options are selected by default. If both Receive Broadcast Emails and Receive Targeted Emails are deselected, all filter options are deselected and disabled.

Note: When Receive Broadcast Emails and/or Receive Targeted Emails are selected, the user will receive broadcast and/or targeted emails for all selected action items/activities.

Except for Action Items Filter, the Select/Deselect All buttons select/deselect all items in a given section. Select/Deselect All behave differently for the Action Items Filter section since selection/deselection of items 06, 15, and 16 selects and enables or deselects and disables (respectively) all filter options in other sections. Therefore, when Select All is activated in the Action Items Filter section, all items in all sections are selected and enabled; Deselect All deselects and disables all items in all sections except Action items Filter, where all items are deselected, but remain enabled.

If a user is to receive emails for most of the items in a filter, you can use the Select All button and then deselect the items for which the user is not to receive emails. If a user is to receive emails for just a few of the items in a filter, you can use the Deselect All button and then select the items for which the user is to receive emails.

Manage Letter Templates

The Letter Management option lets you create form letter templates from which users can generate letters customized for individual surveys, complaints/incidents, provider types, and recipients. A form letter template contains standard text and macros (merge codes), which serve as placeholders for information about the specific survey, intake, or provider.

You use the letter word processor, which was introduced in ASPEN 6.5, to create and modify the content of "new" letter templates. You cannot create templates using the ASPEN word processor, but you can still use it to modify the text in "old" templates, which were created using the ASPEN word processor prior to ASPEN 6.5.

Create Letter Templates

Creation of a letter template is a two-part process. You specify letter attributes, e.g., letter type and description, in the Letter Desc (Description) window. Then you use the letter word processor (window title is Edit Letter Text) to enter letter content.

To specify letter attributes:

1. From the **System** menu, select **Letter Management**.
2. In the **Letters** window, click **New...**
3. In the **Letter Desc** window, enter a **Description** of the letter.

   The template ID is provided by the system.

   TIP: To group similar letters together, use the Description field to provide descriptive phrases that sort together alphabetically. You could, for example, assign prefixes that will group and list the templates in the desired order.

   The Margin fields, Header/Footer section, and Logo button are disabled since you specify margins, create headers and footers, and add logos directly to the letter in the word processor.
4. In the **Letter Templates** field, select a CMS template if you are creating a new enforcement template.

   You must first select 04 for Letter Type before you can select a CMS enforcement template.

Note: Steps 5-8 apply to enforcement templates (Letter Type 04) only.

5 Select **Requires Specific Visit Info** if the enforcement letter contains references to a specific survey.

6 Select **Requires Specific Intake Info** if the enforcement letter contains references to a specific complaint/incident intake.

7 For an enforcement letter, select the **ENF Letter Class.**

8 For an enforcement letter, choose the applicable **ENF Letter Type Default**.

9 **ARO -** Select the **Federal Letter** checkbox if this is a Federal letter that should be available only to RO personnel.

10 Select the **Letter Type**.

11 For **Complaint** letters only, select the **Notification Type**.

12 To assign facility types to the letter, click the **Facility Type** tab, select the **Letter appears ...** checkbox, then select the facility types for which the letter will be available.

13 Click **OK** to open the letter word processor (window title is Edit Letter Text).

To enter letter content:

1 Enter the text of the letter in **Edit Letter Text**.

You can enter as much text as you need. Edit Letter Text includes a variety of text formatting features.

You can insert macros (merge codes) to merge information from ASPEN databases into custom complaint/incident-related letters that are generated from the template.

2 To insert headers and footers, select **Headers and Footers** from the **View** menu.

3 To include your agency's logo, select **Image** from the **Insert** menu, then navigate to and select the appropriate image file.

4 To add tables, use the **Table** menu options.

5 Click **Save & Exit** to save the text and formatting and return to the **Letters** window.

The new template is added to the list.

More ...

Screen: "Letters window" on page 432
Screen: "Letter Desc window - new" on page 433
Screen: "Letter word processor" on page 436
Procedure: "Insert Letter Macros" on page 295 (start with step 3)

Modify New Letter Templates

You can modify the attributes of New letter templates (WP Ver = New, created in ASPEN 6.5 or later) and open Edit Letter Text to modify the letter content.

Note: Federal letter templates (attributes and content) can be modified only in ARO.

To modify a New letter template:

1. From the **System** menu, select **Letter Management**.
2. In the **Letters** window, select a New letter template and click **Modify**.

   A letter's word processor version is shown in the WP Ver column.
3. In the **Letter Desc** window, change attributes, including Facility Type assignments, as needed.
4. Click **OK** to save your changes and return to the **Letters** window.
5. To modify letter content, select the letter in the **Letters** window and click **Text...** to open the letter word processor (window title is Edit Letter Text).
6. In the **Edit Letter Text** window, modify the content and insert macros (merge codes) as needed.
7. Click **OK** to save the content and return to the **Letters** window.

More ...

Screen: "Letters window" on page 432
Procedure: "To specify letter attributes:" on page 292
Screen: "Letter word processor" on page 436
Procedure: "To enter letter content:" on page 293
Procedure: "Insert Letter Macros" on page 295 (start with step 3)

Modify Old Letter Templates

You can modify the attributes of Old letter templates (WP Ver = Old, created prior to ASPEN 6.5) and access the ASPEN word processor to modify the text.

Note: Federal letter templates (attributes and content) can be modified only in ARO.

To modify an Old letter template:

1. From the **System** menu, select **Letter Management**.
2. In the **Letters** window, select an Old letter template and click **Modify**.

   A letter's word processor version is shown in the WP Ver column.
3. In the **Letter Desc** window, change attributes as needed.

4 To include your agency's logo in the letterhead: click **Logo**, navigate to the BMP file containing a bitmap of your logo, select the file, and click **Open**.

TIP: Margins must be set large enough to accommodate the logo.

5 To assign facility types to the letter, click the **Facility Type** tab and select the facility types for which the letter will be available, then click **OK**.

6 In the **Letter Desc** window, click **OK** to save your changes and return to the **Letters** window.

7 To modify letter text, select the letter in the **Letters** window and click **Text...** to open the ASPEN word processor (window title is Edit Letter Text).

8 In the **Edit Letter Text** window, change the text as needed.

You can insert macros (merge codes) to include information from ASPEN databases into custom complaint/incident-related letters that are generated from the template.

9 Click **OK** to save the text and return to the **Letters** window.

More ...

Screen: "Letters window" on page 432
Screen: "Letter Desc window - old" on page 434
Screen: "ASPEN word processor" on page 447
Procedure: "Insert Letter Macros" (below; start with step 3)

Insert Letter Macros

You can insert macros from a predefined list into letter templates. The macros function like mail merge codes in word processors. Each macro (merge code) references information stored in ASPEN databases. When letters are generated from templates, the macros are replaced with the referenced information.

Formatting Macros

Generally, macros you insert assume the formatting of the surrounding text. You can apply formatting attributes such as bold and italic directly to the macro in the template, and that transfers to the data inserted into the letter.

Brackets around Macros

When you insert a macro into a letter template, the macro text appears in brackets:

[Facility Name ()]

Brackets [ ] are used by ASPEN to identify the macros in your template letters.

These brackets, as well as the parentheses () at the end of each macro, should never be deleted. Doing so affects ASPEN's ability to process the macro.

Variable Macros

All macros have parentheses before the closing bracket. For some macros, you can enter a parameter between the parentheses that defines the macro behavior:

[Date # Days in Future (Words)()] - variable

[Date # Days in Future (Words)(10)] - variable macro with parameter

Custom Text Prompt

Custom Text Prompt is a specialized variable macro that lets users insert custom text when they print letters from templates with custom text prompt(s). When a letter is generated, ACO displays a prompt window with a text field. The user can enter up to 250 characters in this field.

For instance, if a contact name is likely to be different for each letter, you can use the Custom Text macro to have ASPEN provide a window for entering the contact name when a user generates the letter. ASPEN inserts the name at the macro location in the letter.

Use the parentheses at the end of the macro to indicate what piece of information the user should enter.

Macros and Letter Types

The list of macros available to you when creating a letter template differ depending on the type of letter you are creating.

If the Letter Type for your template is:

- **03 Facility or 01 Survey**

  You can choose from the basic macros that are available for all ASPEN form letters. They include macros like the facility name and phone number, and survey exit date.

- **02 Complaint**

  You can choose from basic macros plus complaint macros, which print allegation information, the intake ID, and other complaint-specific information.

- **04 Enforcement**

  You can choose from basic and complaint macros as well as enforcement macros, which print enforcement-specific information like remedies, CMP amounts, and due dates.

Once you generate a letter that contains macros, the macro information is normal text that can be edited as needed.

To insert a letter macro:

1. From the **System** menu, select **Letter Management**.
2. In the **Letters** window, select a letter template and click **Text...**
3. In the **Edit Letter Text** window, click in the letter text at the point where you want to insert the macro (merge code).

   For a New template, Edit Letter Text is the letter word processor; for an Old template, it is the ASPEN word processor.
4. Select the macro you want from the **Macros** drop-down list.
5. Click **Insert**.

   The system inserts the macro in the letter template. Format macros as you do other text. You can insert as many macros as you need.

More ...

Screen: "Letters window" on page 432
Screen: "Letter word processor" on page 436
Screen: "ASPEN word processor" on page 447

Print Letter Templates

Access to the Print option is available in the letter word processor for new templates and in the ASPEN word processor for old templates.

Note: The word processors are both titled Edit Letter Text.

To print a letter template:

1. From the **System** menu, select **Letter Management**.
2. In the **Letters** window, select a letter template and click **Text...**
3. For a **New** template, click the **Print** button in the **Edit Letter Text** toolbar.

   For an **Old** template, expand the **File** menu and select **Print**.

   Note: You can use the File menu for a New template as well.

More ...

Screen: "Letters window" on page 432
Screen: "Letter word processor" on page 436
Screen: "ASPEN word processor" on page 447

Export and Import Letter Templates

You can use the Export Letters and Import Letters options on the Specialty Info Transfer menu to transfer letter templates between databases, e.g., from ACO to ASE-Q (from your state ACO database to the local ASE-Q database on a laptop).

The export process supports custom selection of the letter templates to export, puts them into an export file (named LetterTx.zip by default), and saves the export file in a transfer location you specify. From there, you can import the templates into a different database/application.

To export letter templates to a transfer location:

1. On the **System** menu, select **Specialty Info Transfer** | **Export Letters**.
2. In the **Letter Export** window, select **Letter Type** to filter the list of letter templates in the **Letters** section as desired.
3. Select the templates you want to export; use the **Check All**, **Uncheck All**, **Check Highlighted**, and **Uncheck Highlighted** buttons to adjust your selections.
4. Under **Export To**, specify the transfer location.
5. Click **OK** to store the selected templates in LetterTx.zip (or rename it if desired, include the .zip extension) in the specified location.

   A message will inform you of a successful letter export.

   If an export file by the same name already exists at the location, the existing content is overwritten.

To import letter templates from an export file:

1. On the **System** menu (in ACO or ASE-Q as applicable), select **Specialty Info Transfer** | **Import Letters**.
2. In the **Import** window, specify the location of the export file and navigate to it if necessary.
3. In the **Import** window, click **OK** to load the templates into the destination database/application.

   There is no confirmation of a successful import.
4. To check that the letters were imported successfully, select **System** | **Letter Management**.

   The imported letters should be listed in the Letters window.

More ...

Screen: "Letter Export window" on page 425
Screen: "Import window" on page 426

Delete Letter Templates

When templates become outdated, you can delete one or more at a time.

To delete letter templates:

1. From the **System** menu, select **Letter Management**.
2. In the **Letters** window, select one or more letter templates and click **Delete**.
3. Click **Yes** or **Yes to All** (if you selected more than one template) in the confirmation prompt.

   If you selected multiple templates and click Yes in the confirmation prompt, the prompt will appear for each selected template.

More ...

Screen: "Letters window" on page 432

Add Recipients to the Distribution List

Use the Distribution List window to maintain name and address information of agencies and representatives with which you often correspond. You will be able to select from this list when generating letters and notices in ACO.

To add a recipient to the distribution list in ACO:

1. From the **System | Lookup Values** menu, select **Distribution Lists**.
2. In the **Distribution List** window, click **New** to add a new Recipient.
3. In the **Distribution** window, enter a 3-character alphanumeric **ID**.
4. Enter identifying and address information for the recipient.
5. Select a **Distribution Type**.
6. Select **CC by Default** if you want a cc action (copies sent to) to be set by default for all correspondence. You can remove this action for individual letters.

More ...

Screen: "Distribution List window" on page 435
Screen: "Distribution window" on page 435

ACO Screens

This chapter contains pictures and brief descriptions of screens and windows you will encounter when working in ACO. They are grouped as follows: facility properties screens, certification kit screens, other certification-related windows, survey and other windows.

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).

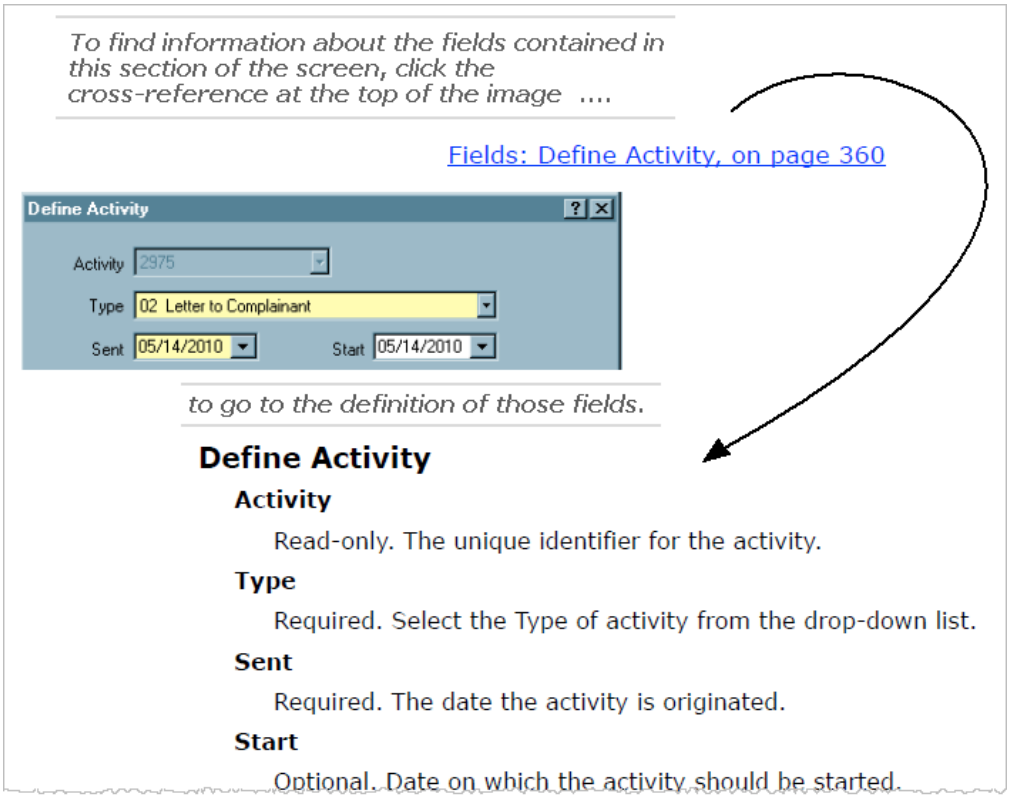


Figure 54: Cross-reference from screenshot to field descriptions

Define New Facility/Facility Properties window

You use the Define New Facility/<FacName> Definition (aka Facility Properties) window to add/modify ASPEN provider records. It is titled Define New Facility when you add a provider record and <FacName> Definition (where FacName is the name of the provider) when you modify an existing provider record, i.e., update facility properties. Since the <FacName> Definition window is commonly referred to as Facility Properties (the name of the right-click option used to access it), it is called the Facility Properties window in this procedures guide.

This window has eight tabs:

- Facility Definition
- Addresses
- Buildings/Wings
- Associations
- Administration
- Ownership
- Licensing
- Other

Facility Definition tab

The Facility Definition tab contains basic details about the facility. This tab has three sections:

- Identification
- Description
- Contact Information

TH - For Transplant Hospitals, there is a fourth section called OPTN/Representative.

Identification

In this section, you provide Federal and state ID numbers for the facility, license information, operating status, and also indicate title/licensure status.

Fields: "Identification", on page 449

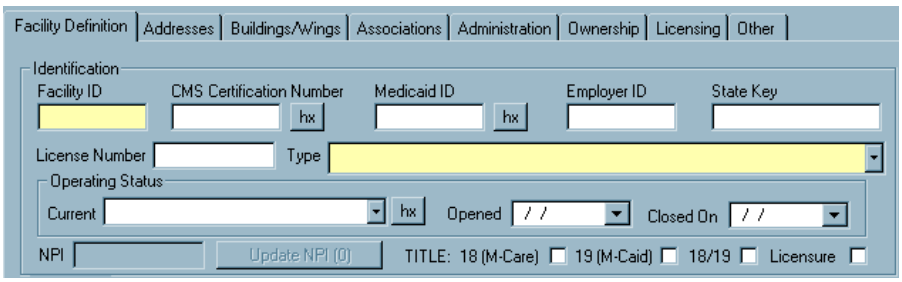


Figure 55: Identification section of Facility Definition tab

Note: The Update NPI button is disabled until you enter a CCN for the provider. Except for XRAY and ASC, the button is always disabled for providers that are not Medicaid-only.

NPI Information window

This window opens when you click the Update NPI button. It allows you to add a new, or remove a selected NPI number, and edit the date an NPI number becomes effective, or when an existing NPI number is deactivated. You can also designated an NPI as primary.

Fields: "NPI Information", on page 451

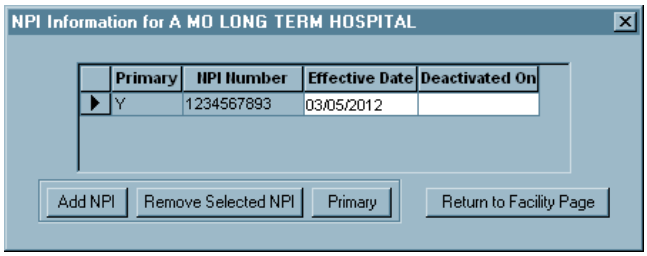


Figure 56: NPI Information window

Description

This section contains address and telephone number information for the facility.

Fields: "Description", on page 452

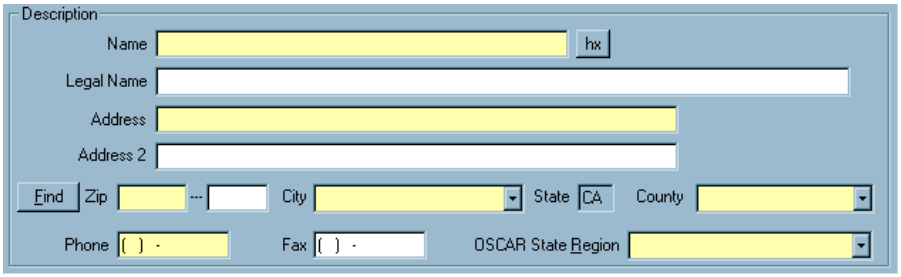


Figure 57: Description section of Facility Definition tab

For deemable provider types only, the Deemed? field appears.

Figure 58: Deemed? field in Description section

Contact Information

Emergency contact and Assessment contact information appears in this segment.

Fields: "Contact Information", on page 453

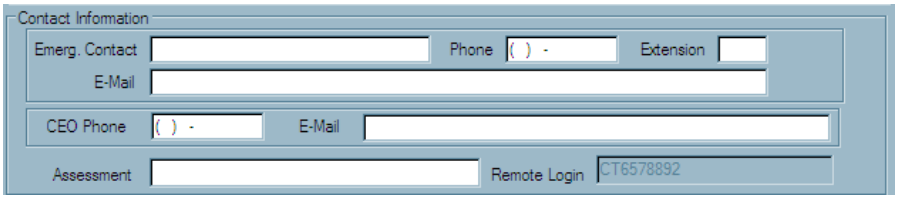


Figure 59: Contact Information section of Facility Definition tab

OPTN/Representative

These fields are included only for Transplant Hospitals.

Fields: "OPTN/Representative (TH only)", on page 454

Figure 60: OPTN/Representative section of Facility Definition tab

Addresses tab

This tab lets you add, modify, or delete address information for the facility.

Fields: "Addresses", on page 454

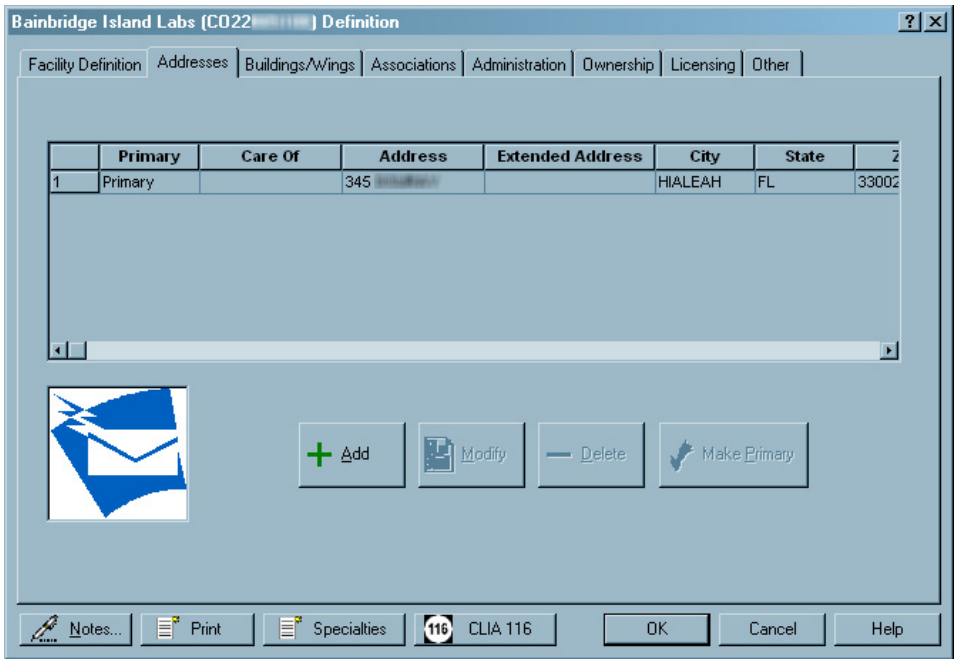


Figure 61: Addresses tab

Mailing Address window

When you select the Add or Modify button on the Addresses tab, you will add or update an address in this window.

Fields: "Mailing Address", on page 455

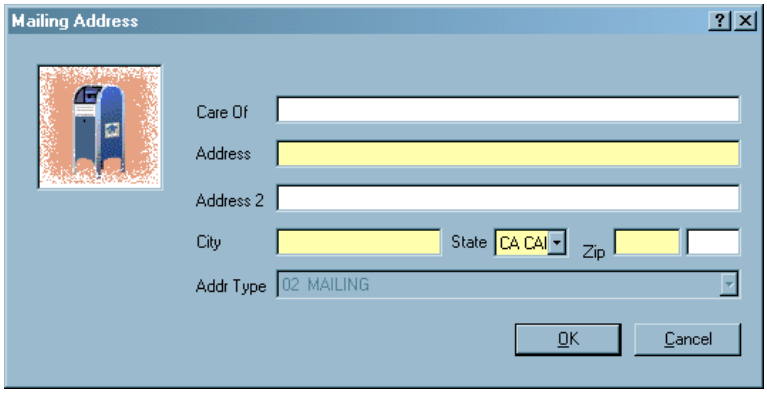


Figure 62: Mailing Address window

Buildings/Wings tab

This tab displays a grid with summary information about the facility's buildings. From here you can add, modify, or delete building information.

Fields: "Buildings/Wings", on page 456

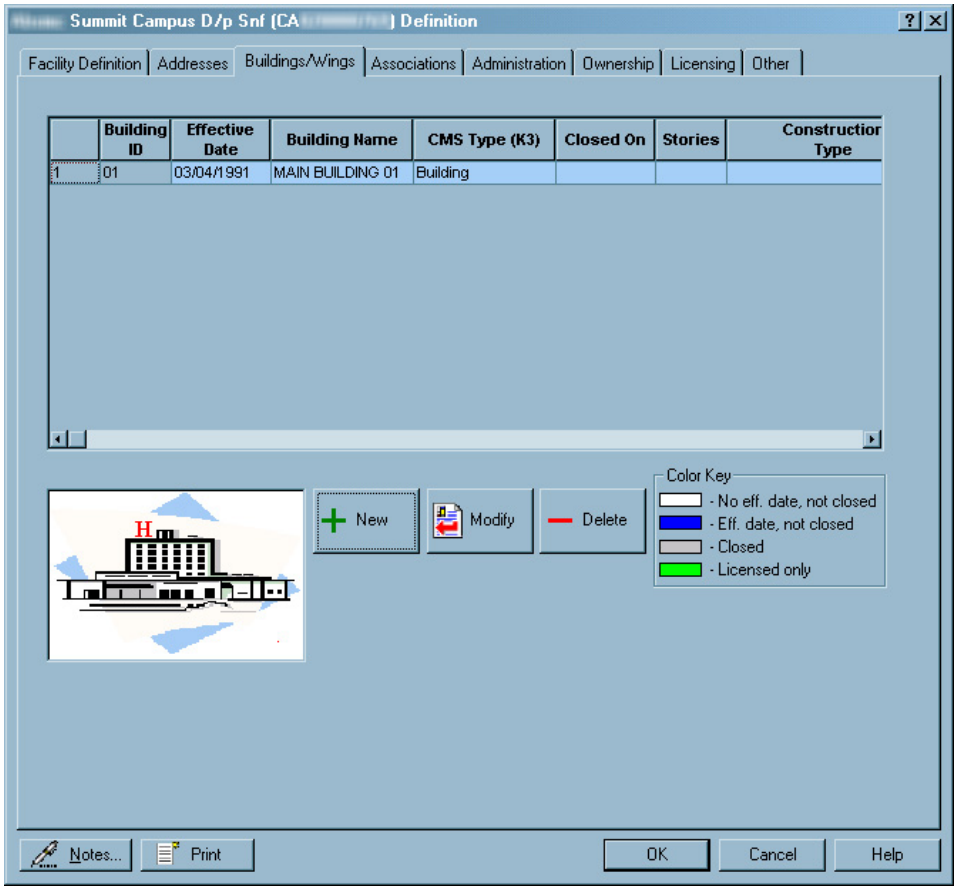


Figure 63: Buildings/Wings tab

Define New Building window

When you select the New or Modify button on the Buildings/Wings tab, the Define New/Edit Building window appears. You can enter or modify information about a building, wing, floor, or apartment unit for Hospitals, Nursing Homes, ICFs/IID, ASCs, ESRDs, and Hospices.

Fields: "Define New/Edit Building", on page 456

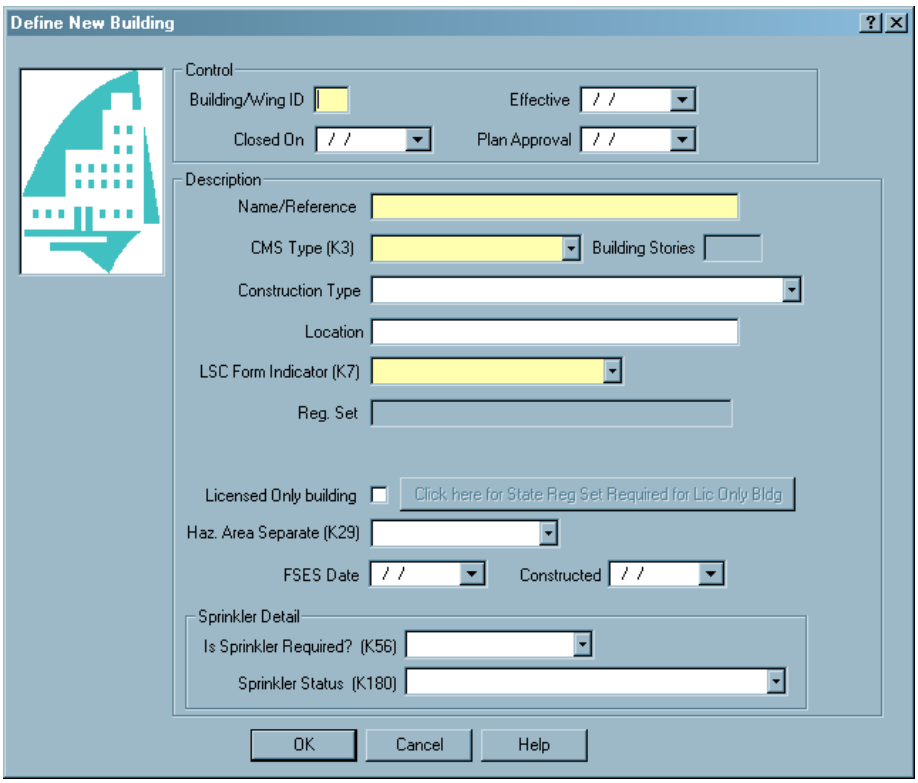


Figure 64: Define New Building window

Associations tab

This tab displays the assigned agency units, accreditation organizations, and congressional representatives for the provider. You can select two AOs maximum.

Fields: "Associations", on page 458

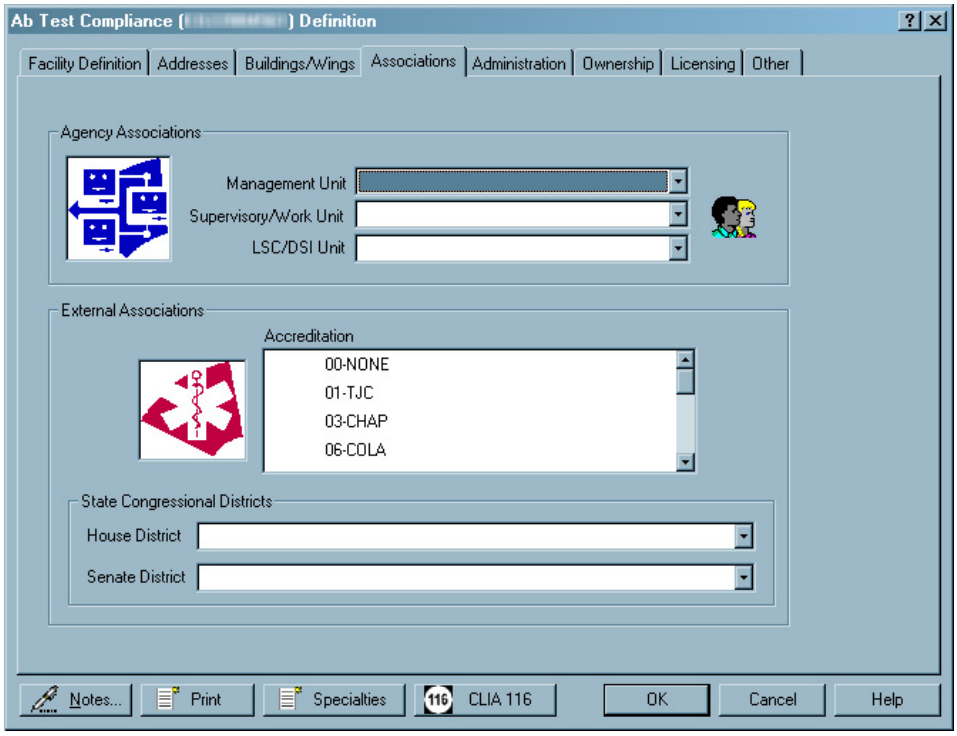


Figure 65: Associations tab

Administration tab/window

The left pane lets you search for and display facility administrators by name; you can create administrator records if necessary. In the right pane, you assign administrators/lab directors to the facility from the list in the left pane.

The fields on the Administration tab are identical to the fields on the Administration window (opened by right-clicking the Administration node under any provider in Tree view, and selecting Assign Administrators).

Fields: "Administration", on page 459

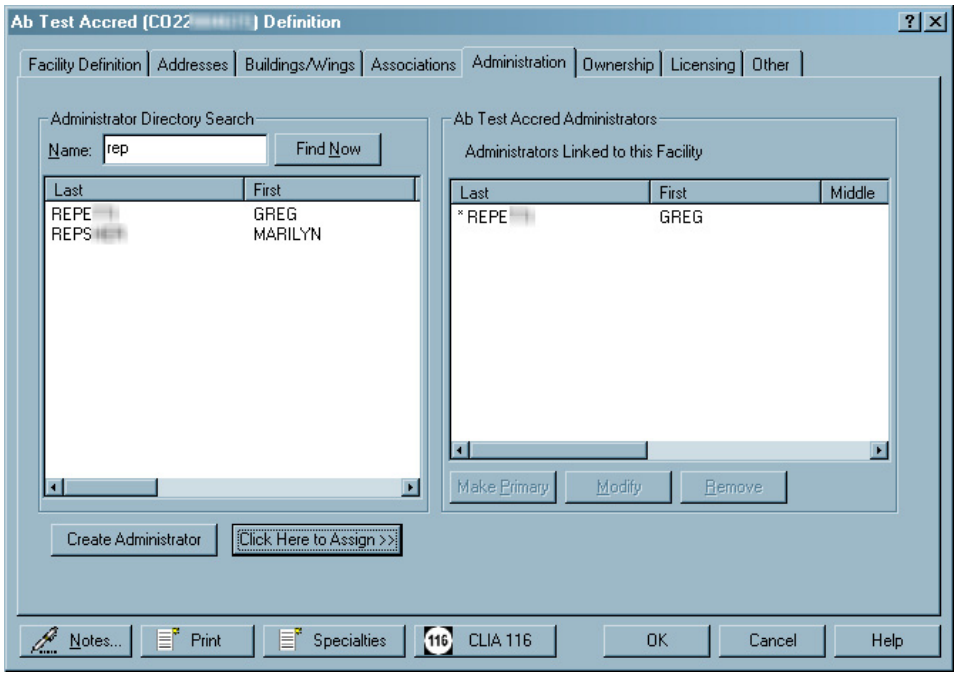


Figure 66: Administration tab/window

Enter Administrator Information window

Fields: "Enter Administrator Information", on page 460

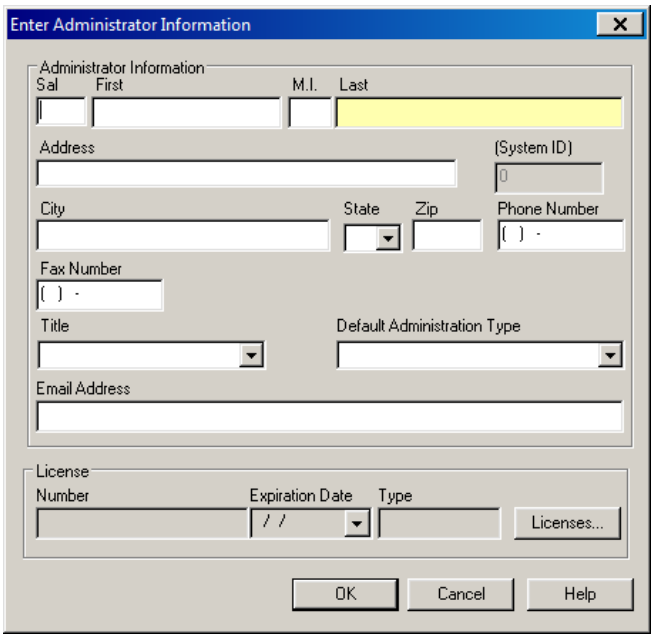


Figure 67: Enter Administrator Information window

Administrator Information

Fields: "Administrator Information", on page 461

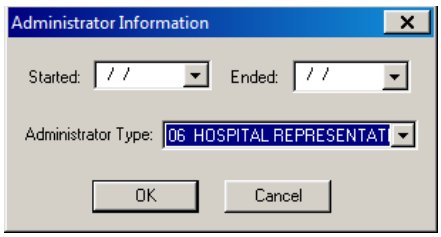


Figure 68: Administrator Information

Ownership tab/Owners window

The left pane lets you search for and display owners by name; you can create owner records if necessary. In the right pane, you assign owner companies to the facility from the list in the left pane.

The fields on the Ownership tab are identical to the fields in the Owners window (opened by right-clicking the Ownership node under any provider in Tree view, and selecting Assign Companies).

Fields: "Ownership", on page 462

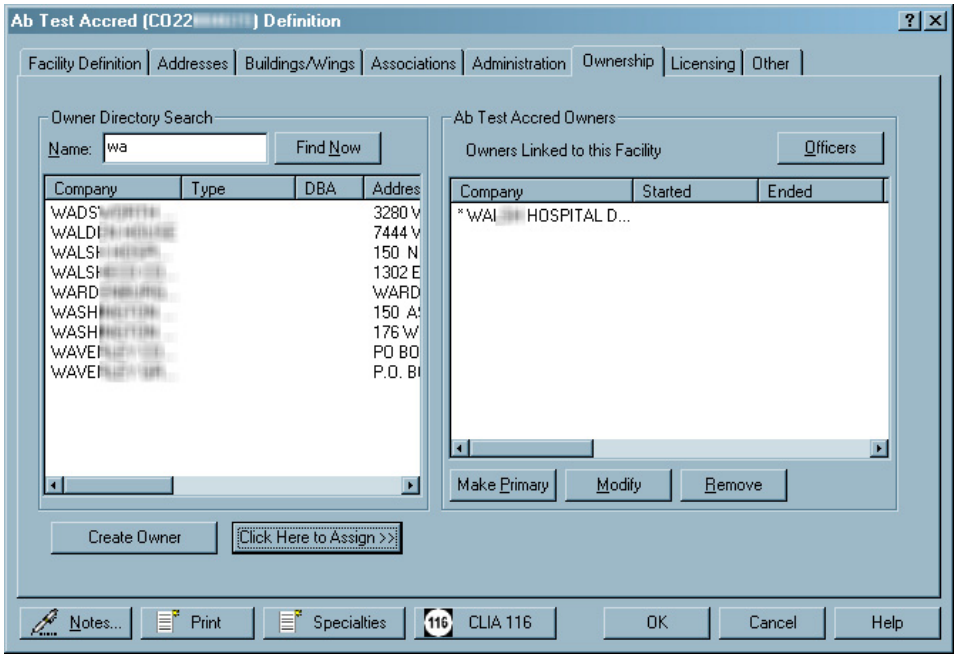


Figure 69: Ownership tab/Ownership window

Enter Owner Company Information window

Fields: "Enter Owner Company Information", on page 463

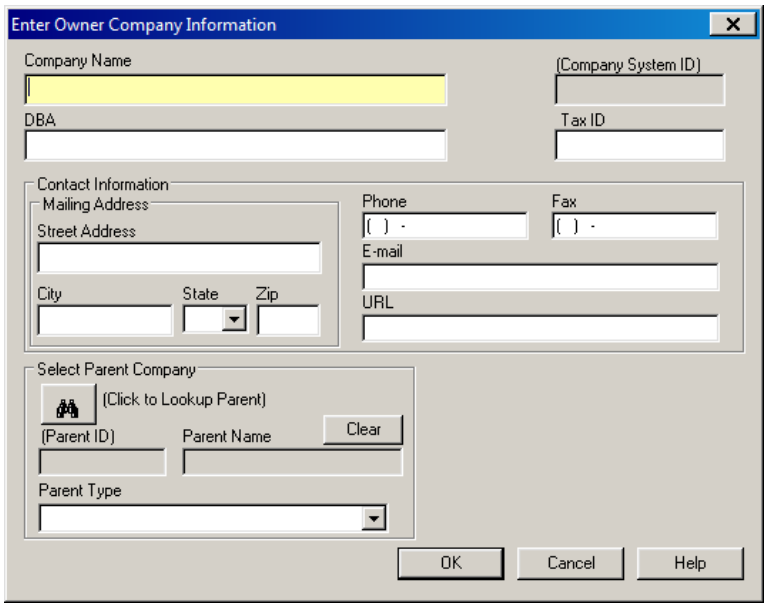


Figure 70: Enter Owner Company Information window

Update Owner Company Information

Fields: "Enter Owner Company Information", on page 463

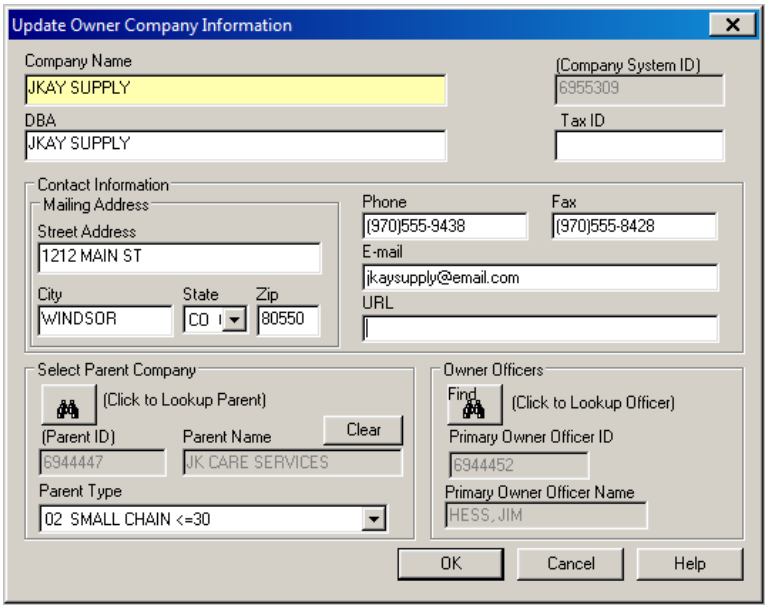


Figure 71: Update Owner Company Information window

View Ownership Companies

View Owner Company Information

This window is read only.

Fields: "Enter Owner Company Information", on page 463

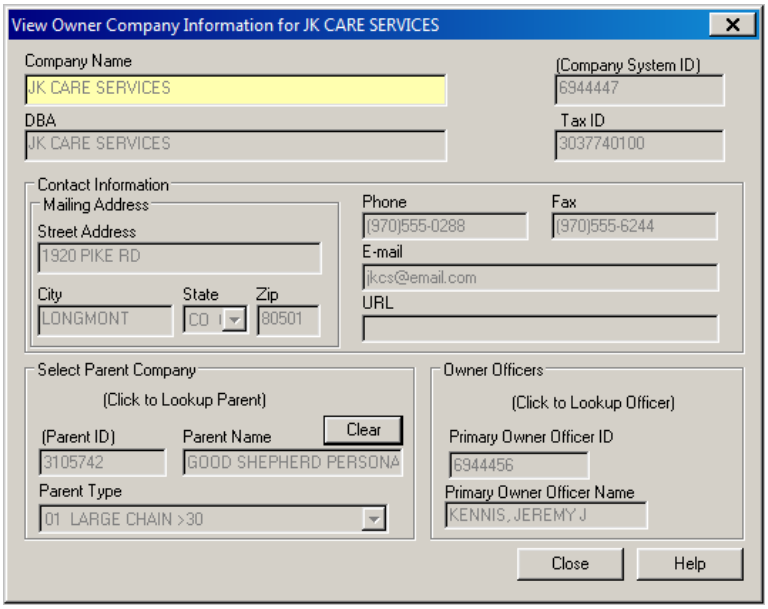


Figure 72: View Owner Company information window

Children Owner Companies

Fields: "Owners Linked to this Facility", on page 462

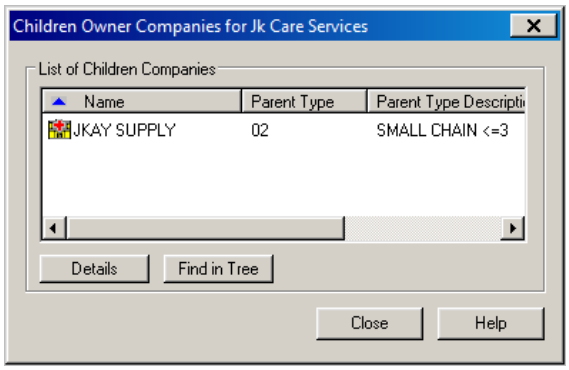


Figure 73: Children Owner Companies window

Full Family Tree

Fields: "Owners Linked to this Facility", on page 462

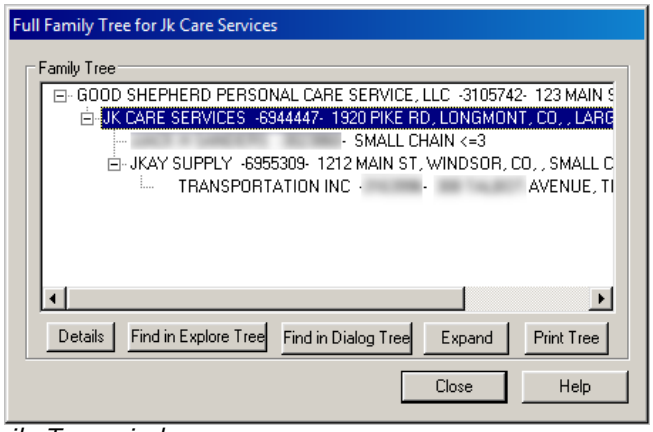


Figure 74: Full Family Tree window

Owner Properties window

Fields: "Owner Properties", on page 464

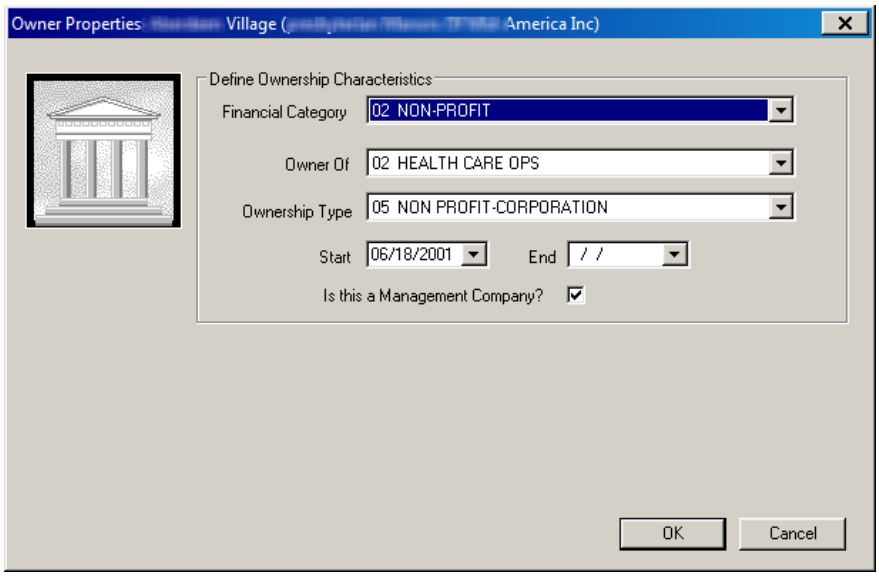


Figure 75: Owner Properties window

Select/Enter Owner Officers window

Fields: "Select/Enter Owner Officers", on page 465

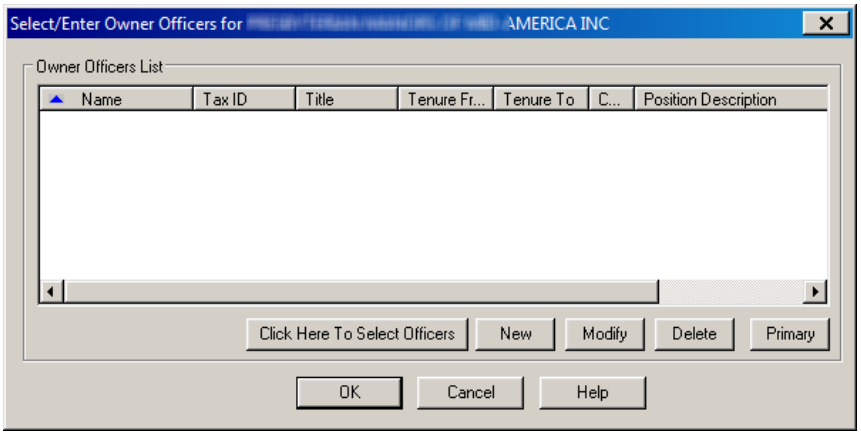


Figure 76: Select/Enter Owner Officers window

Select Owner Officer to Assign window

Fields: "Select Owner Officer to Assign", on page 466

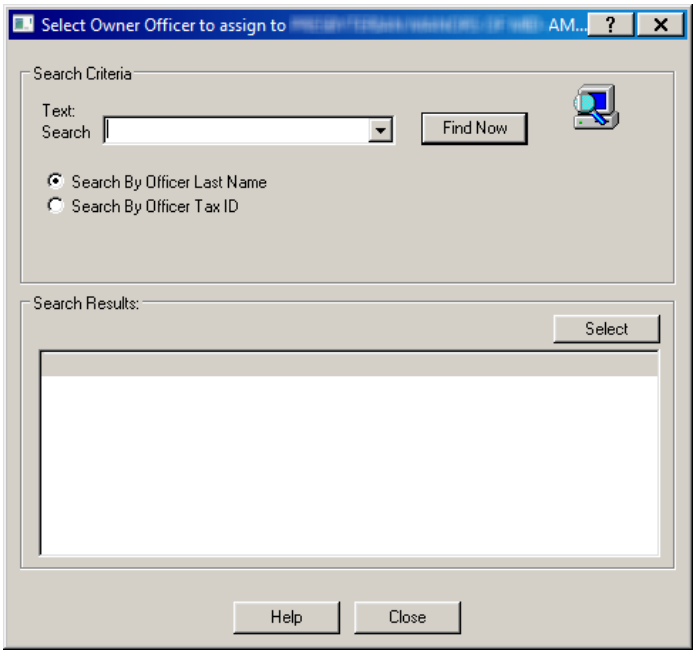


Figure 77: Select Owner Officer to Assign window

Licensing tab

This tab lets you review and enter licensing information for a specific provider including: license type, issue and effective dates, and continuation status.

Fields: "Licensing", on page 467

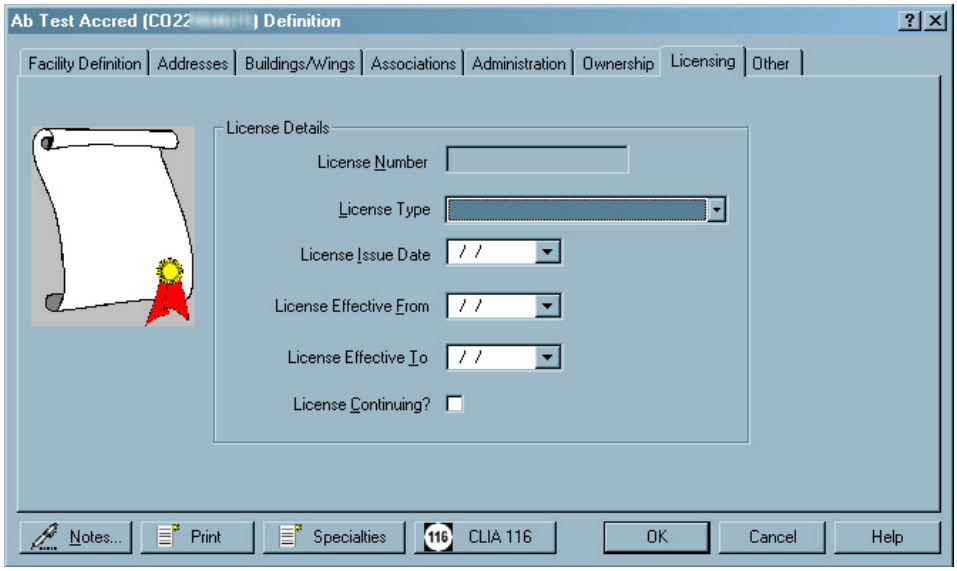


Figure 78: Licensing tab

Other tab

This tab contains miscellaneous information about a provider including geographic location, insurance information, special operating hours, NATCEP loss, and so on.

Fields: "Other", on page 467

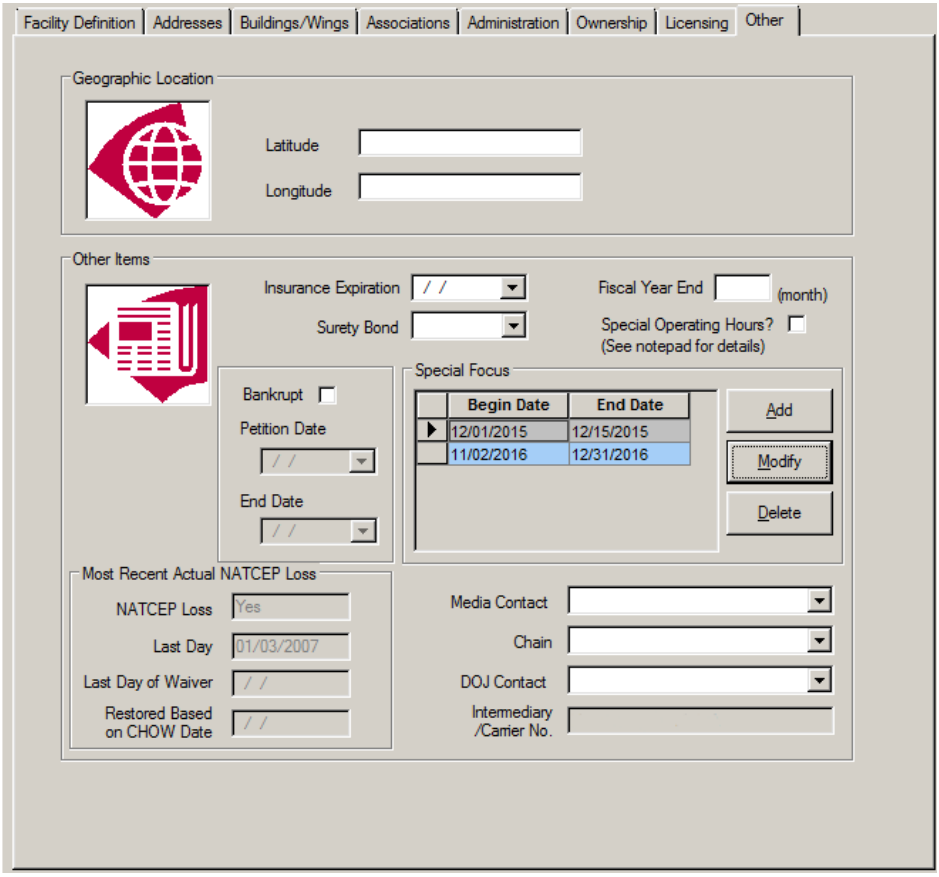


Figure 79: Other tab

Facility History window

The Facility History window is a read only display of Facility Changes and Operating Status Changes.

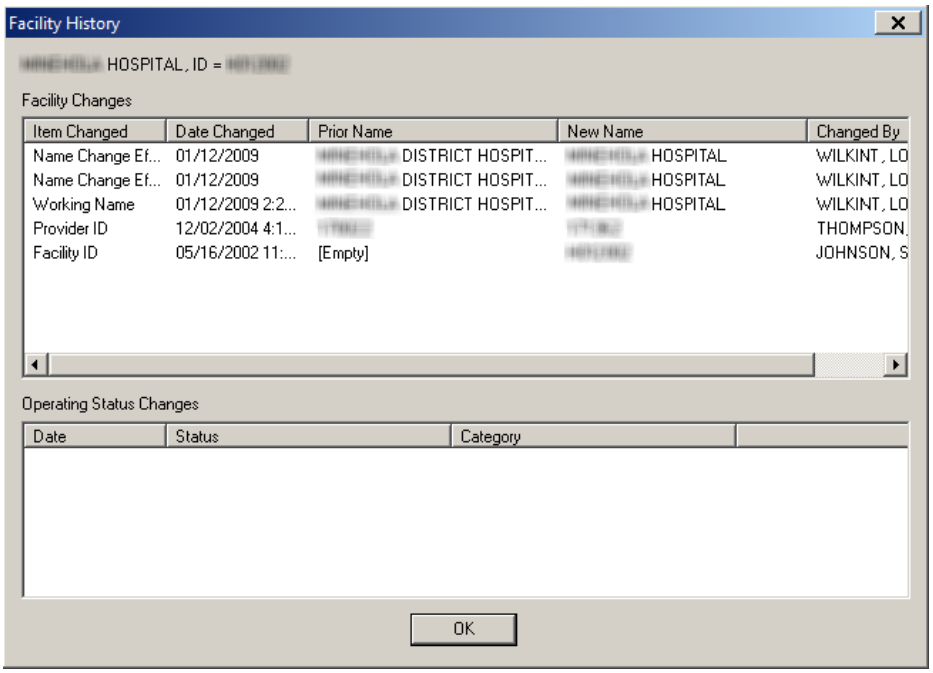


Figure 80: Facility History window

Input Bed Detail Record Effective window

To open this window, right-click the Beds node below the facility name on the Alpha tab.

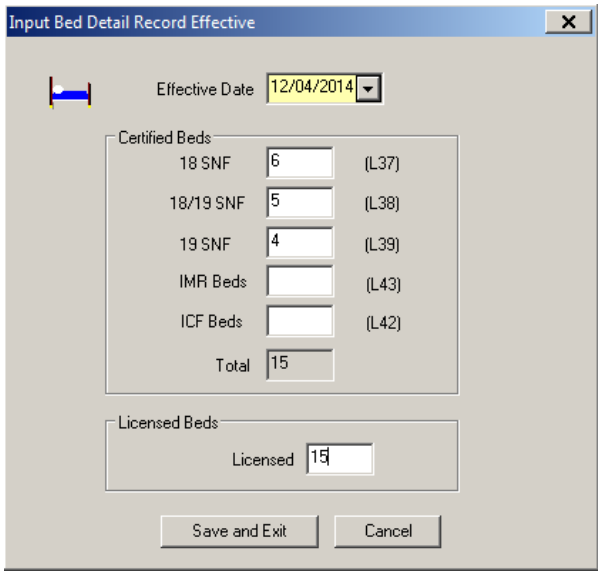


Figure 81: Input Bed Detail Record Effective window

Carry Forward window

To carry forward bed summary information that has not changed to a new bed summary enter a new effective date in this window.

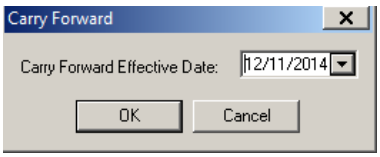


Figure 82: Carry Forward window

Management and Work Units windows

These windows are used to create and maintain management and work unit records. Management units are usually major functional or geographical units. Each management unit contains work units.

Enter Management Unit Information window

Use this window to create and modify records for management units. You should create management units before you create work units so they are available for work unit assignments.

Fields: "Enter Management Unit Information", on page 470

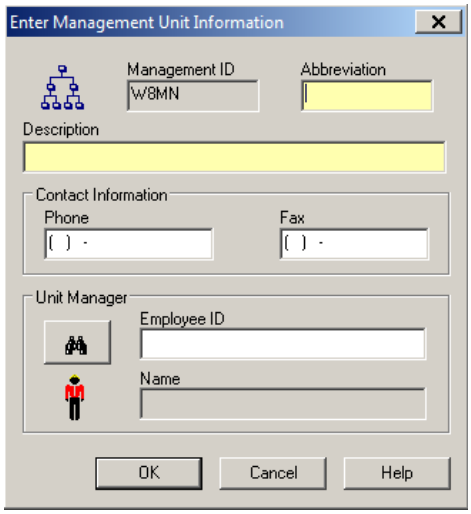


Figure 83: Enter Management Unit Information window

Enter New Work Unit Info window

Use this window to create and modify records for work units. When modifying a work unit, the window is titled Update Team Information, and has the same fields as the Enter New Work Unit Info window.

Fields: "Enter New Work Unit Info", on page 470

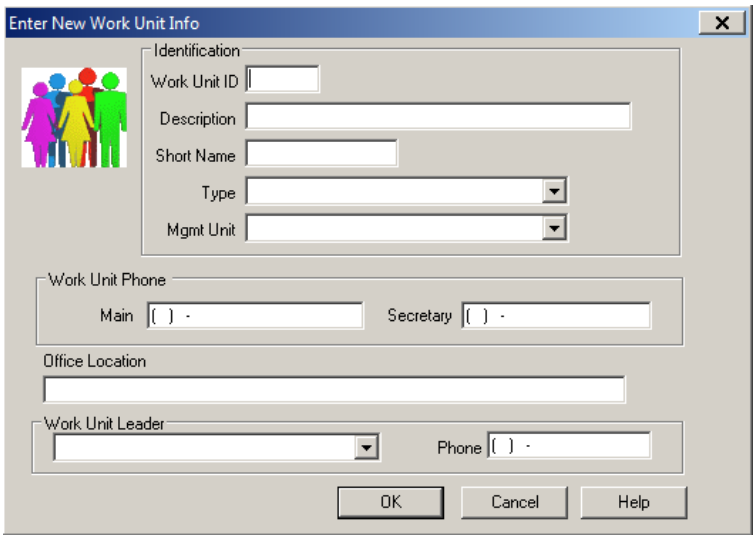


Figure 84: Enter New Work Unit Info window

Personnel Information windows

The personnel information windows in ACO and ARO are used for the creation and maintenance of all personnel records in ASPEN including records for Federal surveyors, state-only surveyors, and non-surveyor personnel, e.g., OFM staff members.

CMS RO/CO Staff Manager window - ARO

From this window in ARO, you can access the Enter/Update Surveyor Information window to create or modify personnel records for Federal-level staff. Various filtering options let you limit the list of staff members to those that concern you.

Fields: "CMS RO/CO Staff Manager - ARO", on page 471

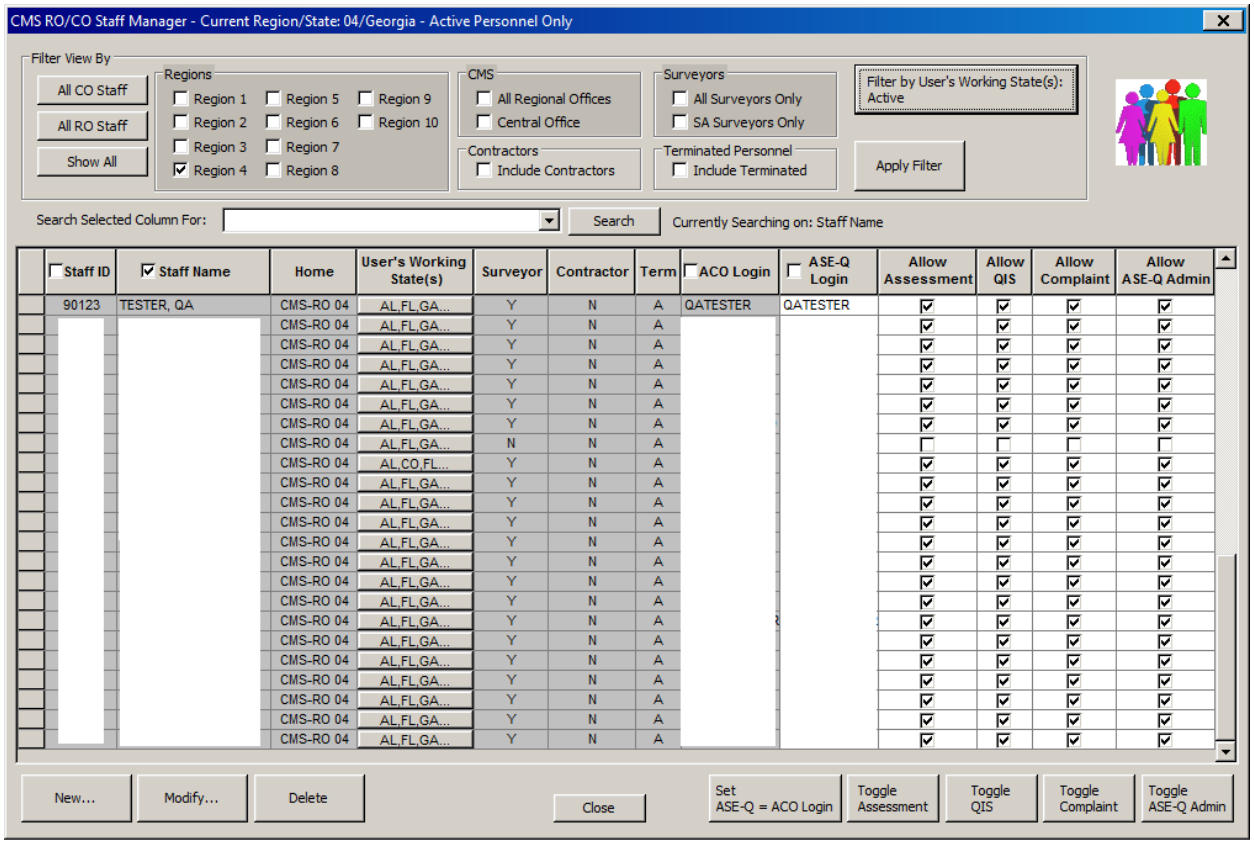


Figure 85: CMS RO/CO Staff Manager window

Enter/Update Surveyor Information window

Use this window to create and modify records for all staff members, whether Federal surveyor, State-only surveyor, contract surveyor, or non-surveyor. ASPEN automatically determines and enables the appropriate fields. This window has three tabs:

- Employee Identification
- Email Settings
- Security/Details

Employee Identification tab

On this tab you enter information about an employee such as ID numbers, name, job title(s), contact information, and access information including logins, Login Domain (ACO only), and ASE-Q rights.

Fields: "Employee Identification", on page 474

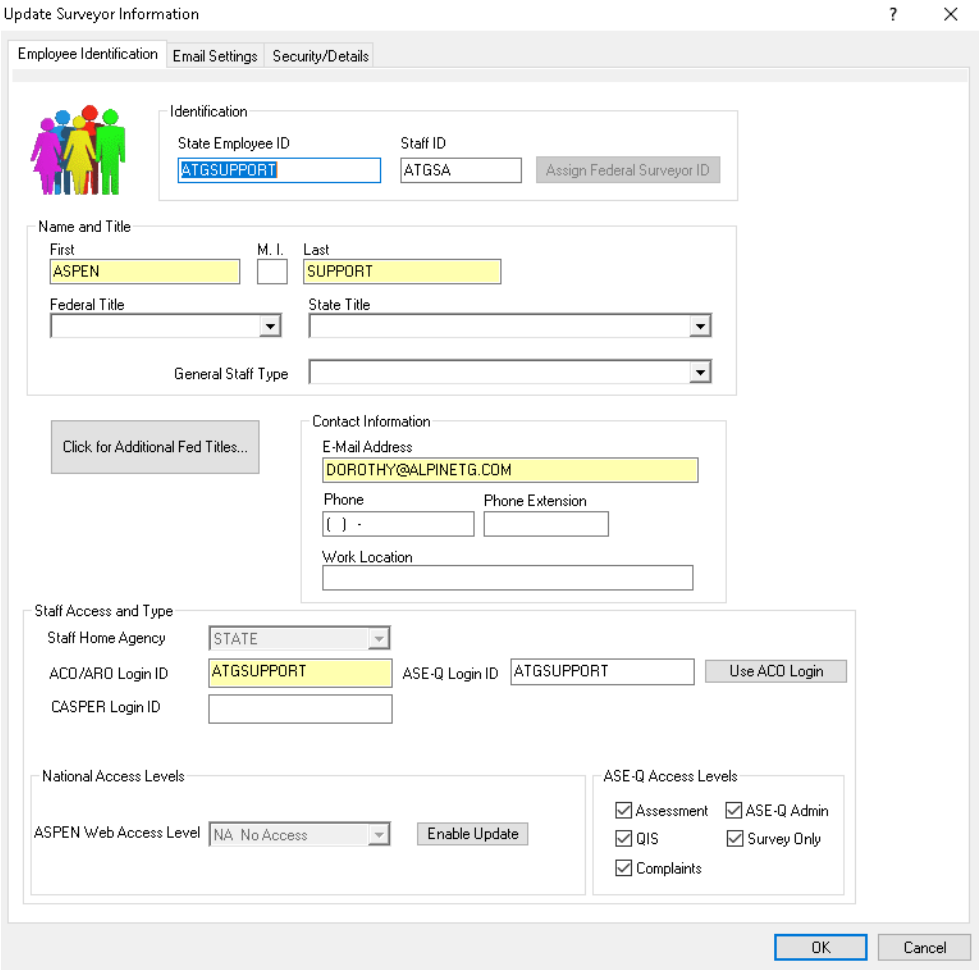


Figure 86: Employee Identification tab - ACO

There are several additional fields on the Employee Identification tab in ARO.

Fields: "Employee Identification", on page 474

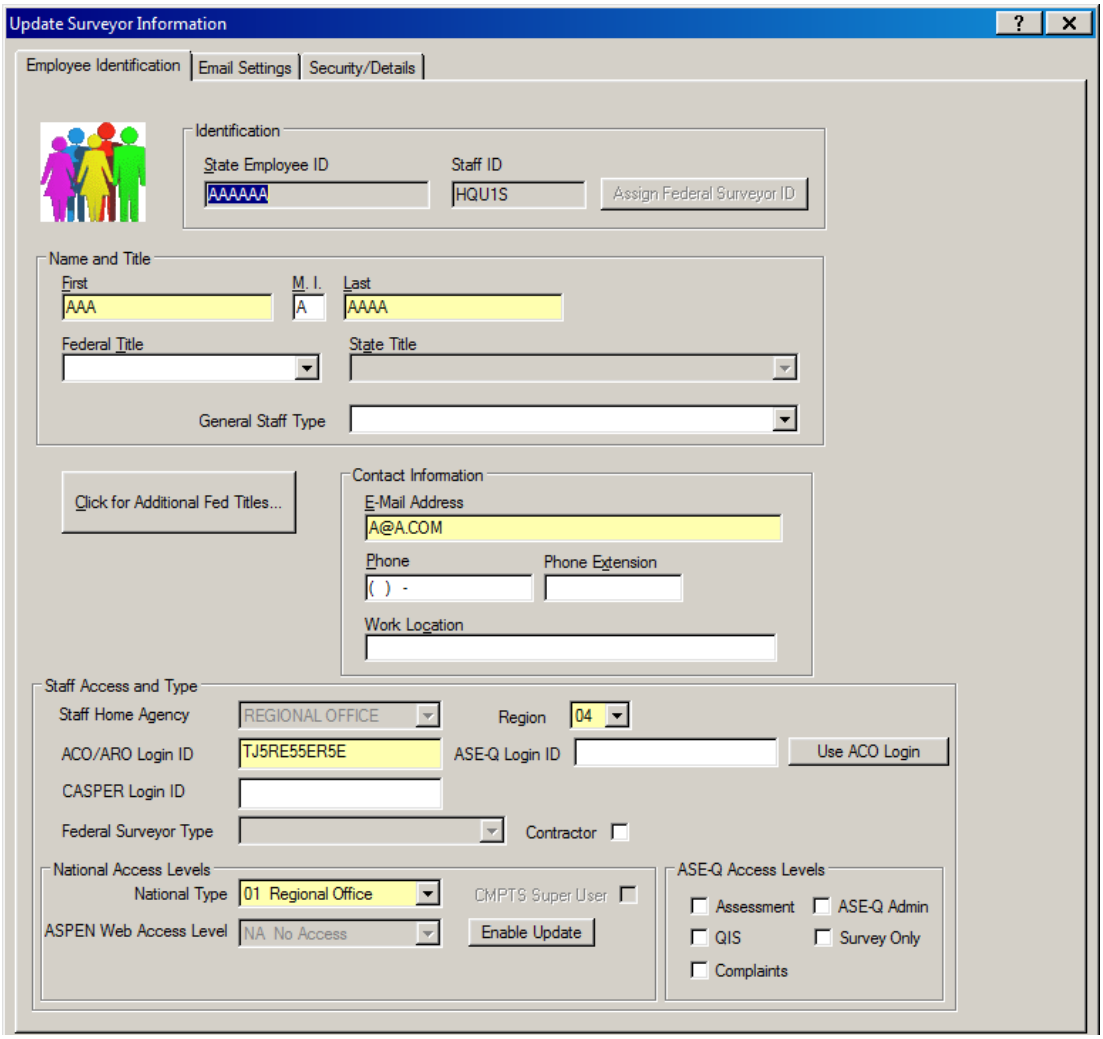


Figure 87: Employee Identification tab - ARO

For AO employees, the Accrediting Organization field replaces ASPEN Web Access Level in the National Access Levels section.

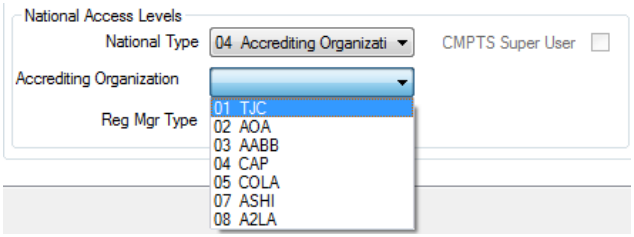


Figure 88: National Access Levels section of Employee Identification tab for AO staff

Email Settings tab

On this tab, you configure email delivery and set action item email filters for the staff member. All filters are selected by default if E-Mail Address is specified and either or both Receive Broadcast Emails and Receive Targeted Emails are selected.

Fields: "Email Settings", on page 478

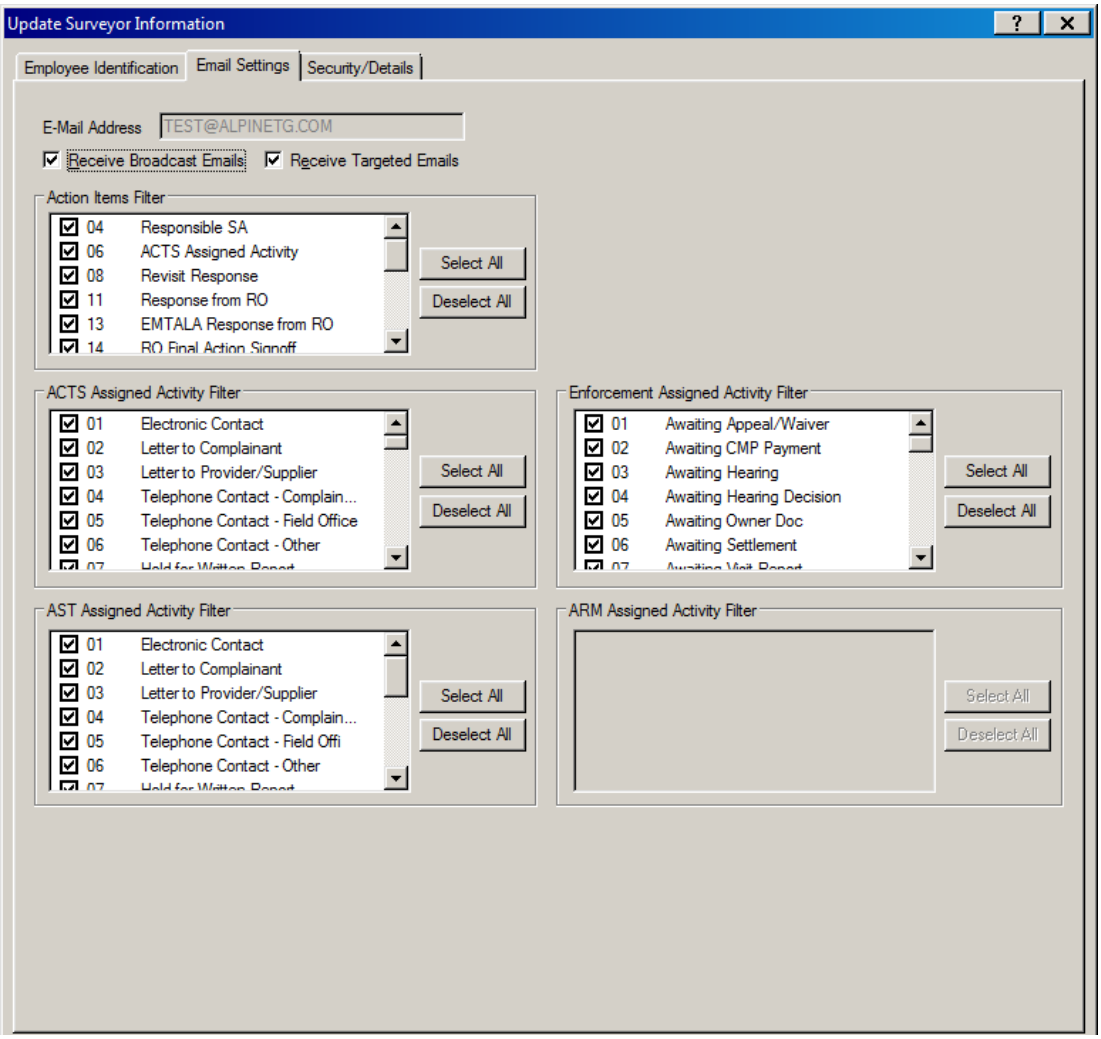


Figure 89: Email Settings tab - ACO

Security/Details tab

This tab lets you enter employment history, affiliation information, and (ARO only) assign permitted action items for the employee as well as assign menu rights in ACO and ACTS. You can assign the employee to as many security groups as appropriate. You can also limit the employee's ability to see surveys scheduled in the future to a specified number of days and specify access to surveys that the employee is not assigned to as a team member.

Fields: "Security/Details", on page 479

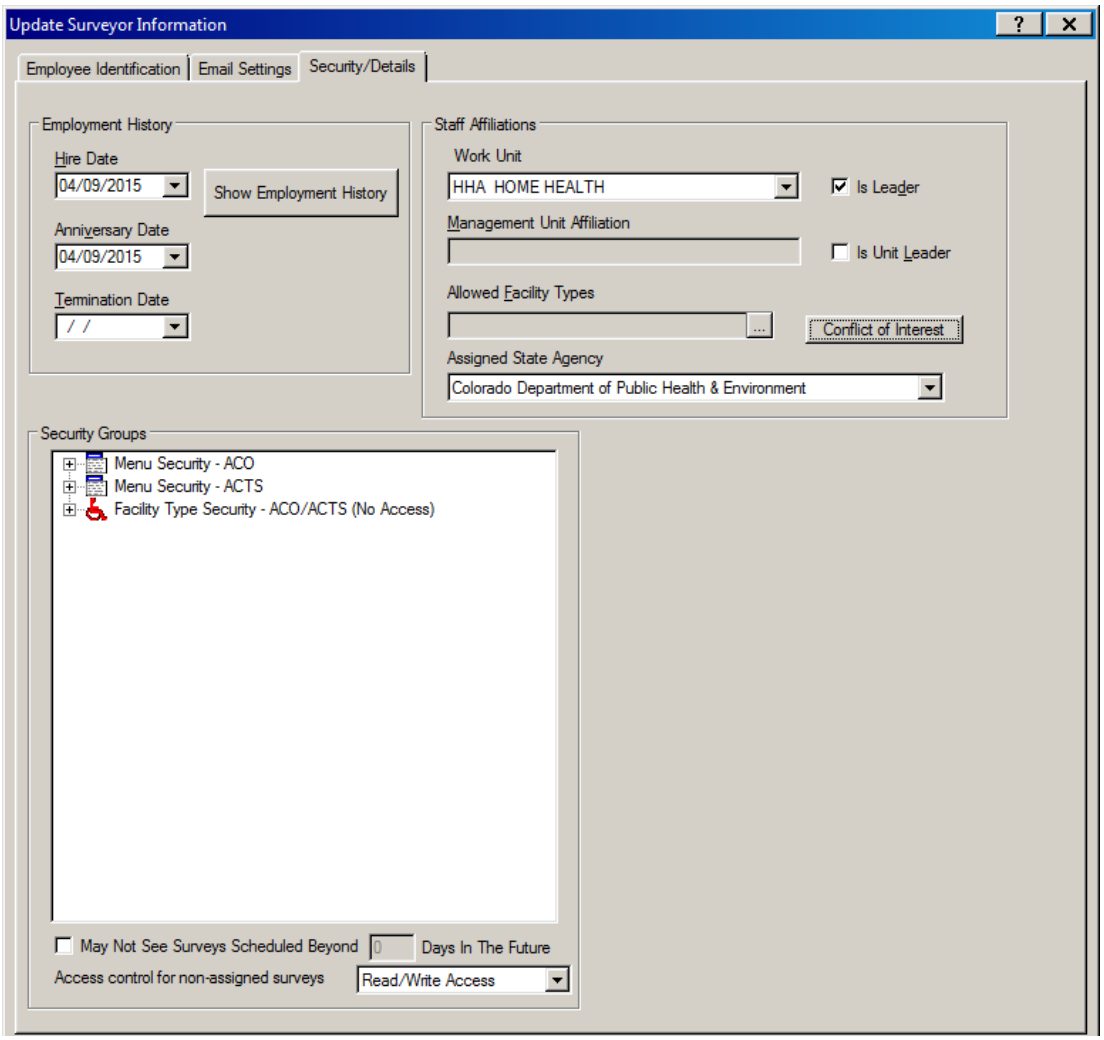


Figure 90: ACO Security/Details tab

Conflict of Interest window

Click the Conflict of Interest button on the Security/Details tab to open the Conflict of Interest window.

Fields: "Conflict of Interest", on page 480

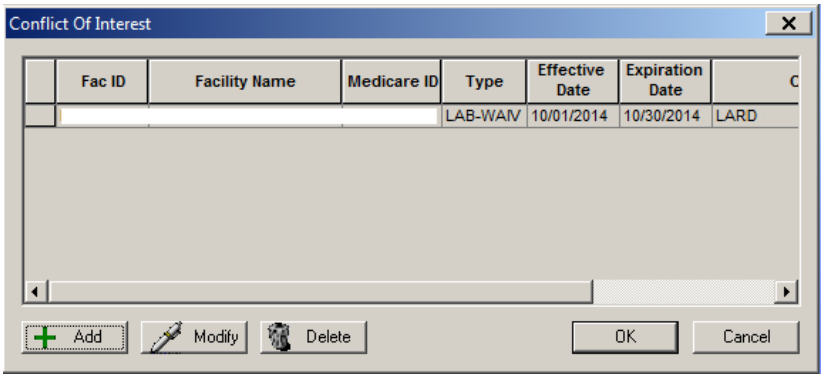


Figure 91: Conflict of Interest window

Conflict Interest Type window

The Conflict Interest Type window automatically opens after you select Add in the Conflict of Interest window and select the provider that has the conflict.

Fields: "Conflict Interest Type", on page 481

Figure 92: Conflict Interest Type window

Find Surveyor window

Click the radio button to search surveyor name or Federal ID.

Fields: "Find Surveyor", on page 481

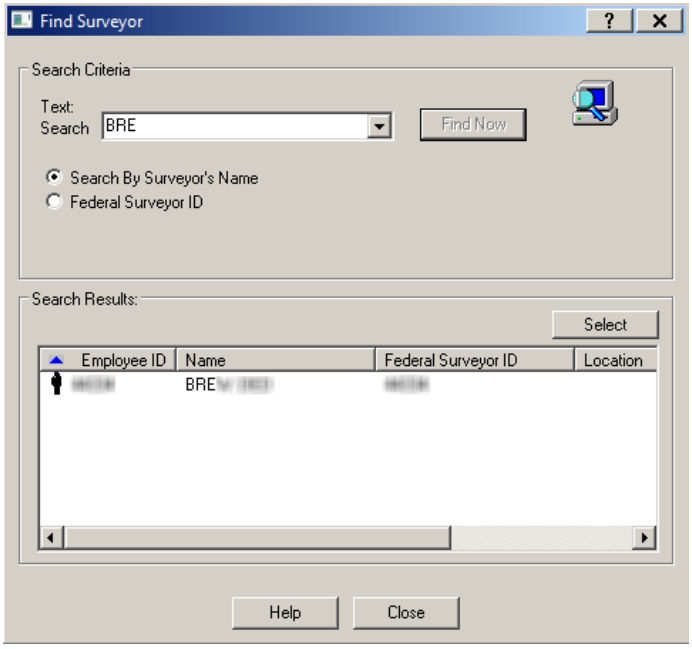


Figure 93: Find Surveyor window

Certification Kit Screens

ASPEN certification kit screens are designed to correspond as closely as possible to the CMS forms and instructions used in the field. The certification kit framework provides an updated interface for data entry, and prevalidation procedures ensure smooth uploads to the national systems. This chapter includes the screens you will see in certification kits for all provider types. All certification kits have a similar structure: Certification & Surveys tab, Tracking tab, forms tabs, Upload tab.

Hospital screens

Hospitals include the following ASPEN provider types:

HOSP-AC - Short Term - ASPEN Provider Type 011

HOSP-PSY - Psychiatric - ASPEN Provider Type 012

HOSP-RHB - Rehabilitation - ASPEN Provider Type 013

HOSP-CAH - Critical Access - ASPEN Provider Type 014

HOSP-LT - Long Term - ASPEN Provider Type 015

HOSP-CHD - Childrens - ASPEN Provider Type 016

HOSP-RNC - Religious Nonmedical Health Care Institution - ASPEN Provider Type 017

HOSP-DPP - Distinct Part Psychiatric - ASPEN Provider Type 018

HOSP-NP - Non-participating: Emergency. Federal - ASPEN Provider Type 019

HOSP-TH - Transplant - ASPEN Provider Type 01T

HOSP-MSH - Medicaid-only Short Term - ASPEN Provider Type 01U

HOSP-MCH - Medicaid-only Children's - ASPEN Provider Type 01V

HOSP-MCP - Medicaid-only Children's Psychiatric - ASPEN Provider Type 01W

HOSP-MPH - Medicaid-only Psychiatric - ASPEN Provider Type 01X

HOSP-MRH - Medicaid-only Rehabilitation - ASPEN Provider Type 01Y

HOSP-MLH - Medicaid-only Long-term - ASPEN Provider Type 01Z

Certification kits for these providers contain six tabs (unless otherwise noted):

- Certification & Surveys
- Tracking
- Deemed/2802 (except Religious Nonmedical Health Care Institutions, Non-participating Hospitals, and Transplant Hospitals)
- Transmittal (CMS-1539)
- Application Worksheet (except Transplant Hospitals)

  Transplant Programs - Transplant Hospitals only
- Upload

NH screens

Nursing Homes (NH) comprise four ASPEN provider types:

SNF/NF - Dual Cert - ASPEN Provider Type 021

SNF/NF - Distinct Part - ASPEN Provider Type 022

SNF Only - ASPEN Provider Type 023

NF Only - ASPEN Provider Type 024

Certification kits for these providers contain six tabs:

- Certification & Surveys
- Tracking
- Transmittal (CMS-1539)
- Application (CMS-671)
- Census (CMS-672)
- Upload

HHA screens

Home Health Agencies (HHA) comprise two ASPEN provider types:

Medicare - ASPEN Provider Type 051

Medicaid Only - ASPEN Provider Type 052

Certification kits for Home Health Agencies (HHA) contain six tabs:

- Certification & Surveys
- Tracking
- Deemed/2802
- Transmittal (CMS-1539)
- Application (CMS-1572A)
- Upload

XRAY screens

Certification kits for Portable X-Ray Suppliers (XRAY) contain five tabs:

- Certification & Surveys
- Tracking
- Transmittal (CMS-1539)
- Application (CMS-1880)
- Upload

OPT/SP screens

Certification kits for Outpatient Physical Therapy/Speech Pathology Services (OPT/SP) providers contain six tabs:

- Certification & Surveys
- Tracking
- Deemed/2802
- Transmittal (CMS-1539)
- App (CMS-1856)
- Upload

ESRD screens

Certification kits for End Stage Renal Disease Facilities (ESRD) contain six tabs:

- Certification & Surveys
- Tracking
- Deemed/2802
- Transmittal (CMS-1539)
- Application (CMS-3427)
- Upload

RHC screens

Certification kits for Rural Health Clinics (RHC) contain six tabs:

- Certification & Surveys
- Tracking
- Deemed/2802
- Transmittal (CMS-1539)
- App/CDE (CMS-29/30E)
- Upload

CORF screens

Certification kits for Comprehensive Outpatient Rehabilitation Facilities (CORF) contain six tabs:

- Certification & Surveys
- Tracking
- Deemed/2802
- Transmittal (CMS-1539)
- Application (CMS-359)
- Upload

ICF/IID screens

Certification kits for Intermediate Care Facilities for Individuals with Intellectual Disability (ICF/IID) contain five tabs:

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

ASC screens

Certification kits for Ambulatory Surgical Centers (ASC) contain six tabs:

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

Hospice screens

Certification kits for Hospices (HOSPICE) contain seven tabs:

- Certification & Surveys
- Tracking
- Deemed/2802
- Transmittal (CMS-1539)
- Application (CMS-417)
- Application (CMS-643)
- Upload

PRTF screens

Certification kits for Psychiatric Residential Treatment Facilities (PRTF) contain five tabs:

- Certification & Surveys
- Tracking
- Transmittal (CMS-1539)
- Application PRTF
- Upload

OPO screens

Certification kits for Organ Procurement Organizations (OPO) contain four tabs:

- Certification & Surveys
- Tracking
- Transmittal (CMS-1539)
- Upload

CMHC screens

Certification kits for Community Mental Health Centers (CMHC) contain five tabs:

- Certification & Surveys
- Tracking
- Transmittal (CMS-1539)
- CMHC Add’l Information
- Upload

FQHC screens

Certification kits for Federally Qualified Health Centers (FQHC) contain five tabs:

- Certification & Surveys
- Tracking
- Transmittal (CMS-1539)
- FQHC Skeleton Form
- Upload

Certification & Surveys tab

Every certification kit opens initially to the Certification & Surveys tab. It has the following sections:

- Certification Properties
- Responsible Parties
- Citation List
- Survey List
- Special Fields

Certification Properties and Responsible Parties

The Certification Properties section of the Certification & Surveys tab contains basic information about the current certification kit. The Responsible Parties field lists responsible parties assigned to the certification kit.

Fields: "Certification Properties and Responsible Parties", on page 482
Fields: "Responsible Parties subtab", on page 503

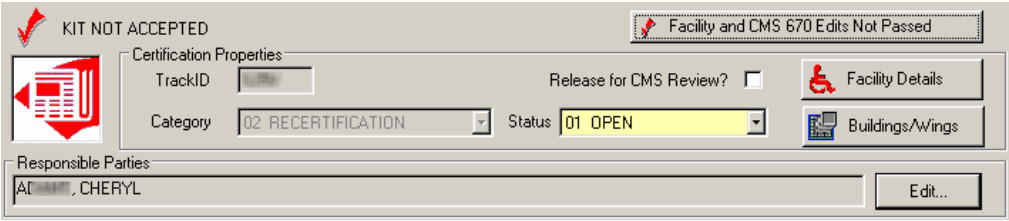


Figure 94: Certification Properties and Responsible Parties

Citation List

The Citation List section of the Certification & Surveys tab has a Health tab. There is also an LSC tab for NHs, ICFs/IID, ASCs, ESRDs, and Hospices.

Health tab

The Health tab lists all of the health tags cited on any survey linked to the certification. The counter keeps track of the total number of cites. You can update information directly in the white columns. Federal tags are red, state tags are blue. The columns displayed vary somewhat according to provider type.

Fields: "Health tab", on page 484

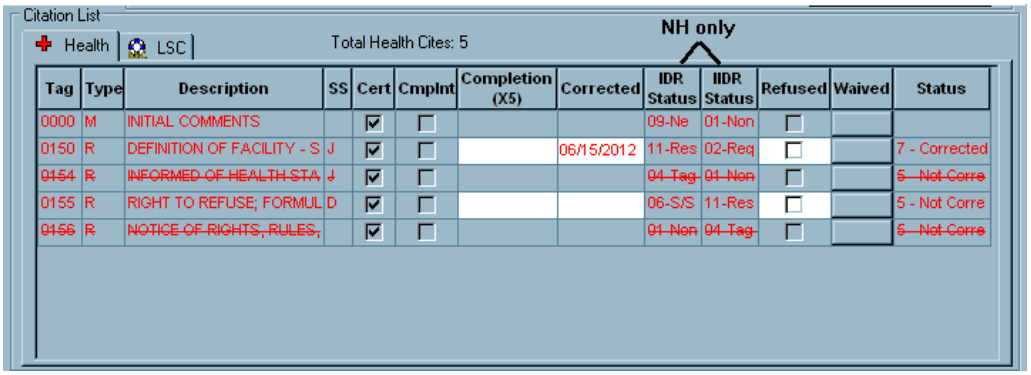


Figure 95: Citation List - Health tab

LSC tab

The LSC tab, which is displayed for NHs, ICFs/IID, ASCs, ESRDs, and Hospices, has a list of Life Safety Code citations. You can enter information directly in the white columns.

Fields: "LSC tab", on page 487

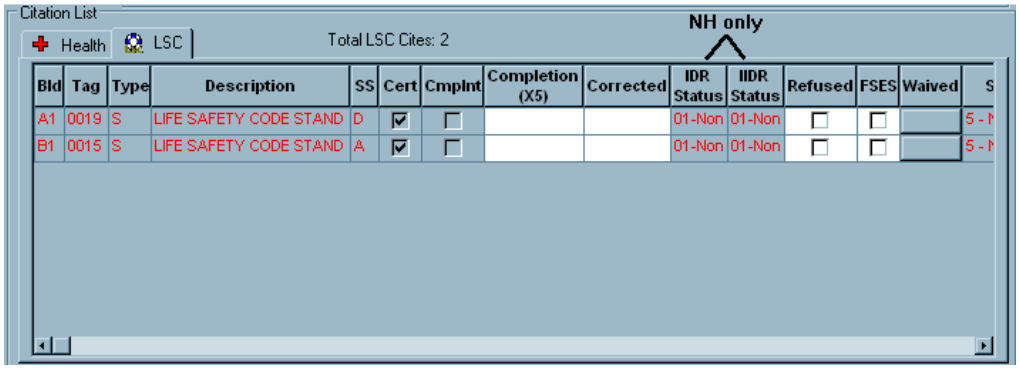


Figure 96: Citation List - LSC tab

IJ Question

For non-NH providers, the IJ question is included in the Citation List section. It is enabled as appropriate and required when enabled.

Fields: "IJ Question", on page 484

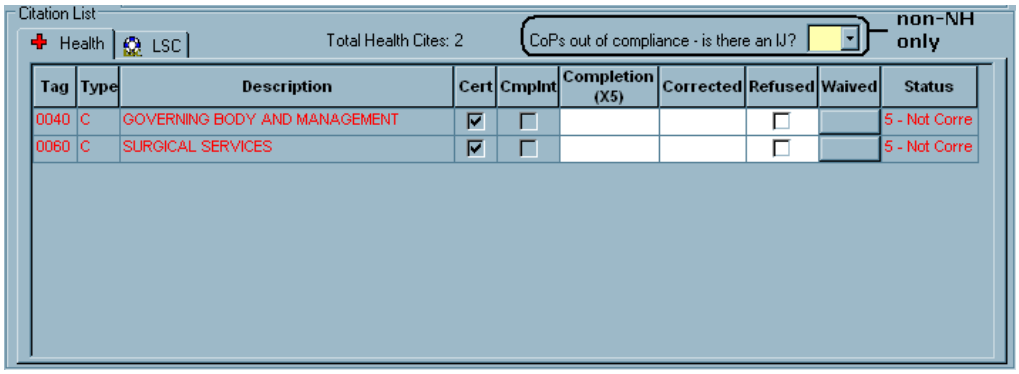


Figure 97: COPs out of compliance - is there an IJ? checkbox

Waiver Detail window

Fields: "Waiver Detail", on page 490

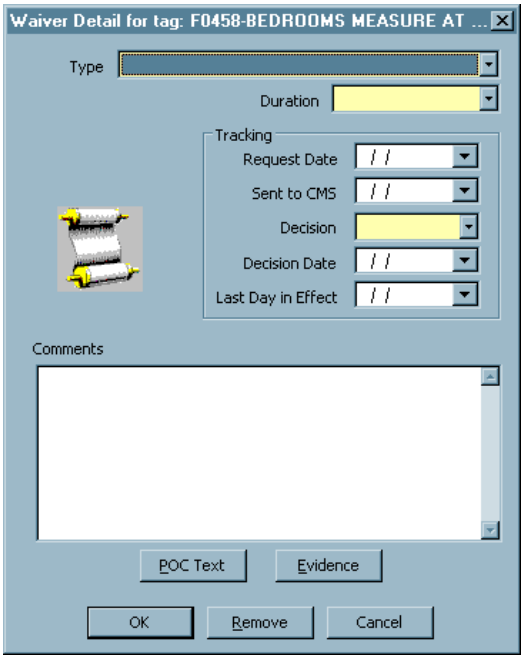


Figure 98: Waiver Detail window

Survey List

The Survey List section of the Certification & Surveys tab has a Surveys tab and, for applicable Hospitals, NHs, ICFs/IID, ASCs, ESRDs, and Hospices, an LSC 2786 (K9) tab.

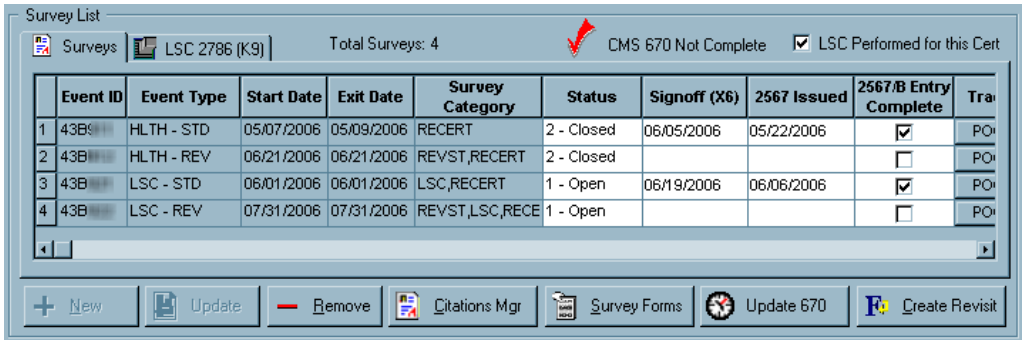
Surveys tab

The Surveys tab displays a one-line summary for each survey and revisit associated with the certification. The columns displayed vary somewhat according to provider type. You can enter information directly into the white columns.

Buttons at the bottom link to standard ASPEN survey management functions. For example, click Update to open the selected survey in the Survey Properties window so you can update it as needed.

For applicable Hospital, NH, ICF/IID, ASC, ESRD, and Hospice providers with open buildings, you can create one standard Health and one standard LSC survey in a certification kit. There are no surveys for FQHC providers. For all other providers, you can have only a standard Health survey.

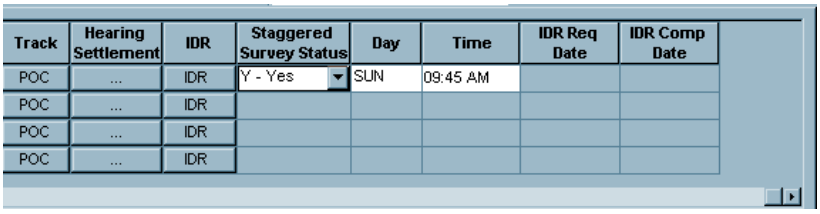
Fields: "Surveys tab: Grid", on page 491



	Event ID	Event Type	Start Date	Exit Date	Survey Category	Status	Signoff (X6)	2567 Issued	2567/B Entry Complete	Tra
1	43B	HLTH - STD	05/07/2006	05/09/2006	RECERT	2 - Closed	06/05/2006	05/22/2006	☑	PO
2	43B	HLTH - REV	06/21/2006	06/21/2006	REVST,RECERT	2 - Closed			☐	PO
3	43B	LSC - STD	06/01/2006	06/01/2006	LSC,RECERT	1 - Open	06/19/2006	06/06/2006	☑	PO
4	43B	LSC - REV	07/31/2006	07/31/2006	REVST,LSC,RECE	1 - Open			☐	PO

Figure 99: Surveys tab

When scrolling to the right side of this list, additional fields appear, as shown below:



Track	Hearing Settlement	IDR	Staggered Survey Status	Day	Time	IDR Req Date	IDR Comp Date
POC	...	IDR	Y - Yes	SUN	09:45 AM		
POC	...	IDR					
POC	...	IDR					
POC	...	IDR					

Figure 100: Surveys tab - additional fields

Note: As an aid to reading this data, the first five fields (Event ID to Survey Category) from the left do not move as the scroll bar moves to the right.

LSC 2786 (K9) tab

The LSC 2786 (K9) tab, which is displayed for applicable Hospitals, NHs, ICFs/IID, ASCs, ESRDs, and Hospices, has building-specific line summaries with access to CMS-2786 forms. You can enter information directly in the white columns. Closed buildings are not listed.

Fields: "LSC 2786 (K9) tab", on page 496

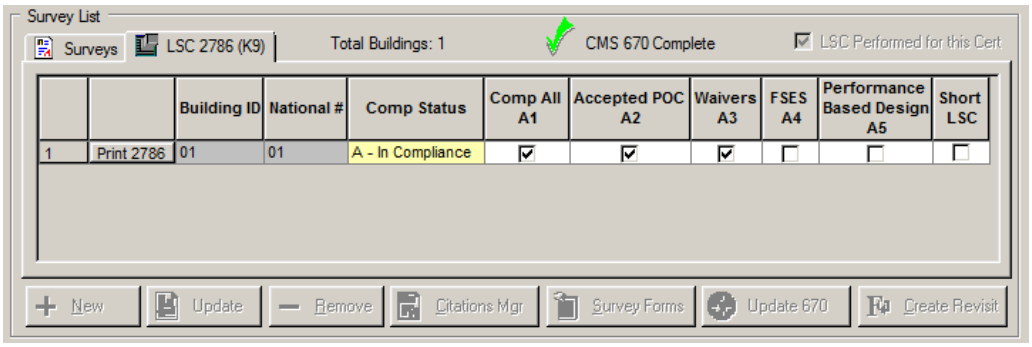


Figure 101: LSC 2786 (K9) tab

Special Fields

The Special Fields section of the Certification & Surveys tab provides an area for administrative information and instructions. Changes made to fields in this section may trigger an automatic upload if all other criteria are met.

Fields: "Special Fields", on page 497

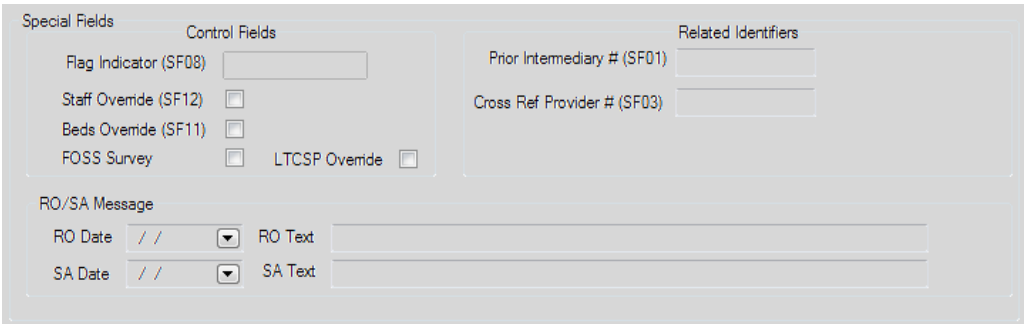


Figure 102: Special Fields section

The 1135 Waiver Type(s) subsection is included in the Special Fields section for eligible Hospital subtypes.

Fields: "1135 Waiver Type(s)", on page 498

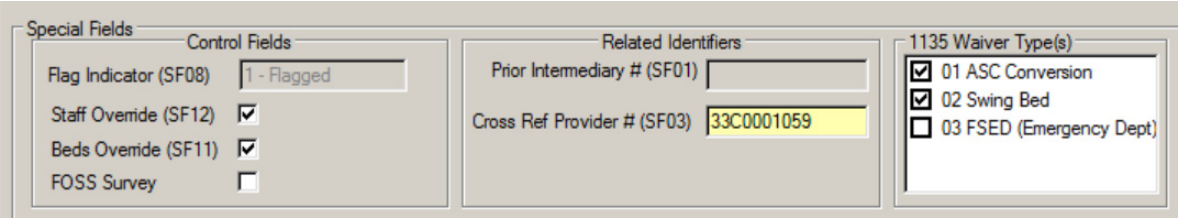


Figure 103: Special Fields including 1135 Waiver Type(s) subsection

Hospital Special Fields

When you open a certification kit for a hospital, the Hospital Special Fields section appears beneath the Special Fields portion. This area provides fields for:

- Applying the Nurse–Bed Override as needed to confirm the review of staffing ratio.
- Indicating whether a Hospital has swing beds.
- Specifying swing bed waiver period(s) for eligible Hospital subtypes.
- Entering Psychiatric and Rehabilitation PPS exemptions.

Changes made to fields in this section will trigger an automatic upload if all other criteria are met.

The Hospital Special Fields section does not appear for Transplant Hospitals and is not enabled for Non-participating Hospitals or RNHCIs. The Psychiatric Unit and Rehabilitation Unit sections in Hospital Special Fields are enabled as appropriate for Hospital subtypes.

Fields: "Hospital Special Fields", on page 499

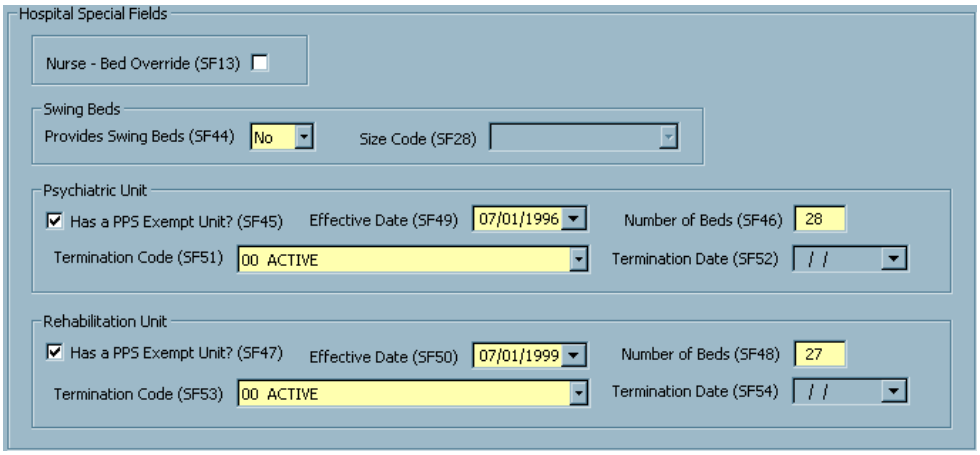


Figure 104: Hospital Special Fields section

The Swing Bed Waiver Period(s) grid is included in Hospital Special Fields for eligible Hospital subtypes.

Fields: "Swing Beds", on page 500

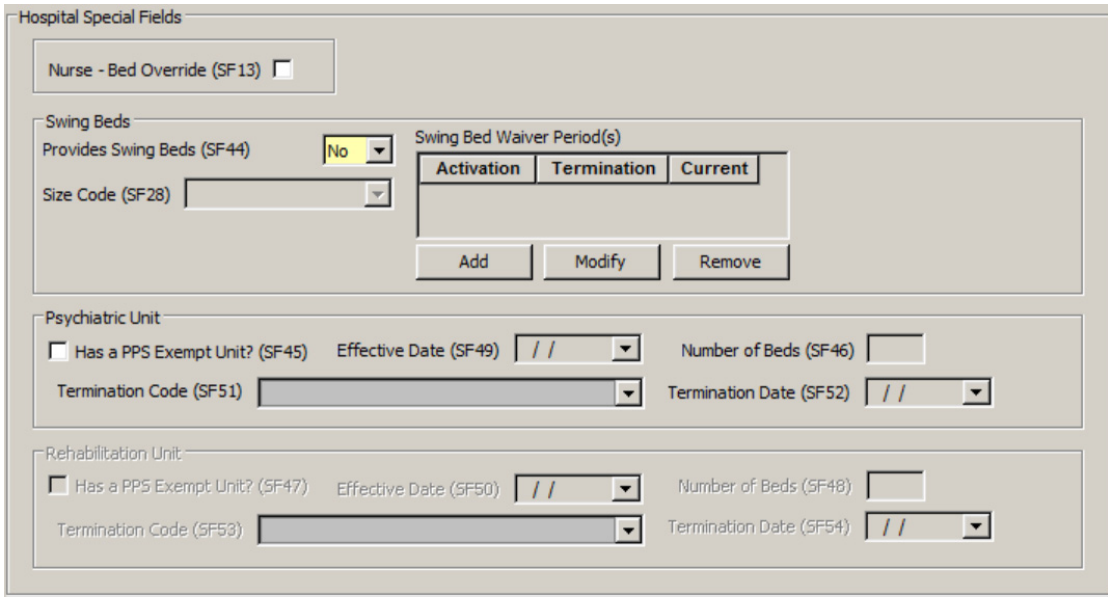


Figure 105: Hospital Special Fields including Swing Bed Waiver Period(s) grid

Tracking tab

This tab provides a central point for managing and monitoring all aspects of the certification process, both fieldwork and internal office procedures. It includes the following components:

- Certification Summary section
- CLIA Authorization for State Validation Survey (CMS-2802)
- Responsible Parties subtab
- Activities/Action Items subtab
- Processing Steps subtab
- 2567/POC/IDR subtab
- Termination subtab (except NH and HHA)/Enforcement subtab (NH and HHA)
- Notices subtab
- CHOW subtab

Certification Summary

This section at the top of the Tracking tab provides very basic details about the certification.

Fields: "Certification Summary", on page 502

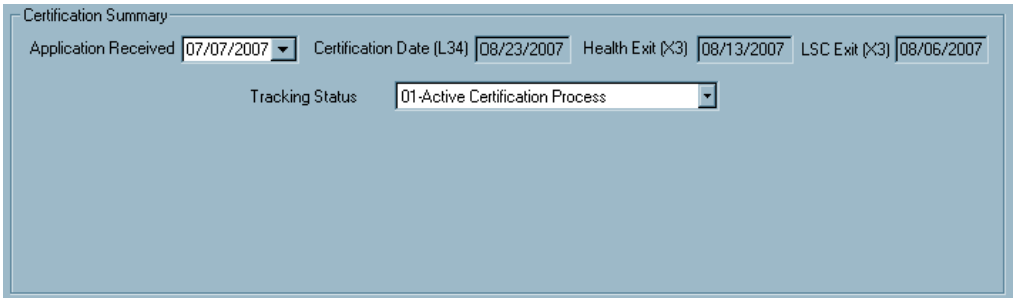


Figure 106: Certification Summary section of Tracking tab

For ICFs/IID only, read-only LTC Agreement and Extension dates are included.

Fields: "Certification Summary", on page 502

Figure 107: Certification Summary section for ICFs/IID

Note: The Application Received field is included only in initial kits for non-CLIA providers.

CLIA Authorization for State Validation Survey (CMS-2802)

This section is always disabled in non-CLIA certification kits.

Figure 108: CLIA Authorization for State Validation Survey (CMS-2802) section

Responsible Parties

Use this Tracking subtab to designate Responsible Parties for the certification, both SA and RO. The fields on the Responsible Parties tab are identical to those on the Responsible Parties window, accessed from the Edit button on the Certification & Surveys tab.

Fields: "Responsible Parties subtab", on page 503

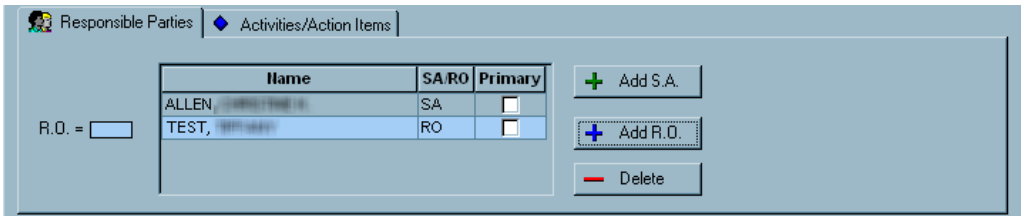


Figure 109: Responsible Parties subtab

Activities/Action Items

On this Tracking subtab, you can assign activities to staff members. Action items are automatically sent to the assigned personnel.

Fields: "Activities/Action Items subtab", on page 503

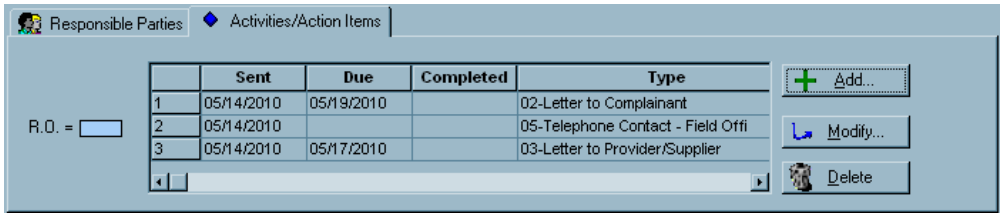


Figure 110: Activities/Action Items subtab

Define Activity window

This window opens when you click Add or select an existing activity and click Modify on the Activities/Action Items subtab on either the Tracking tab or the Termination Tracking Event window. When you add an activity, an action item is sent to designated staff members.

Fields: "Define Activity", on page 504

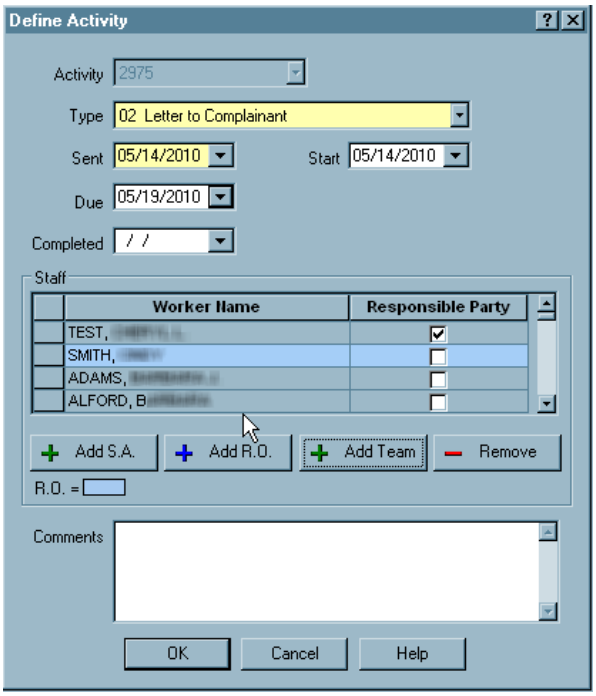


Figure 111: Define Activity window

Processing Steps

This Tracking subtab provides detailed information about individual certification tasks, e.g., Process Due and Complete dates.

Fields: "Processing Steps subtab", on page 505

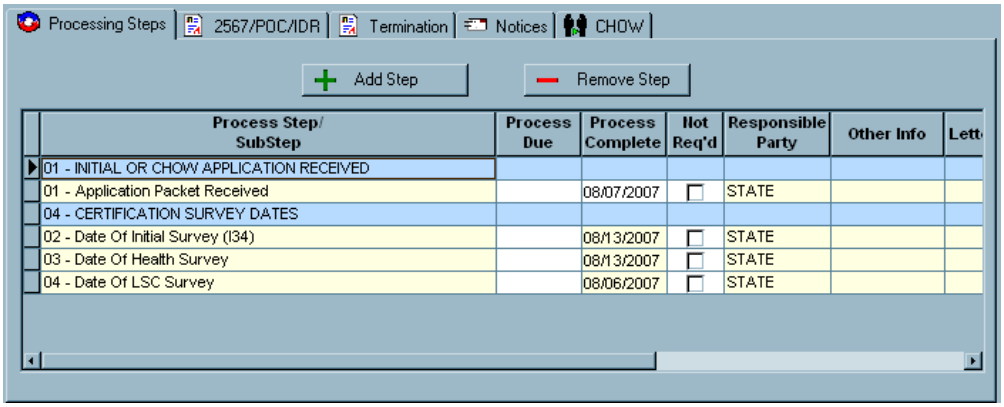


Figure 112: Processing Steps subtab

2567/POC/IDR

This Tracking subtab provides convenient access to dates and details for all SODs, POCs, IDRs and Independent IDRs associated with a certification process.

Fields: "2567/POC/IDR subtab", on page 506

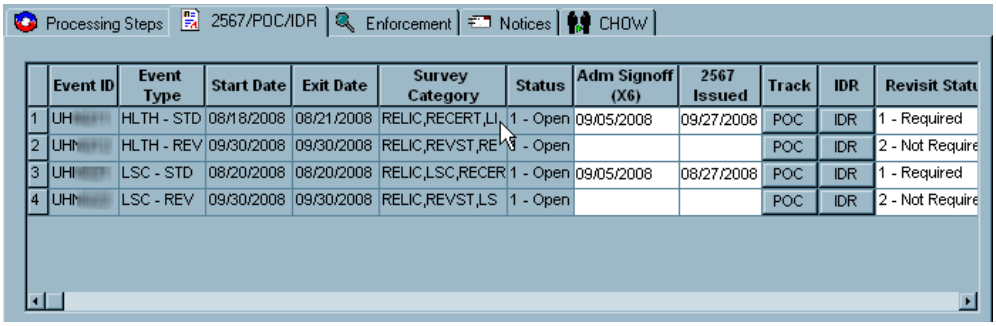


Figure 113: 2567/POC/IDR subtab

Termination

This subtab summarizes details of termination actions associated with a certification for providers except NH and HHA. The Enforcement tab appears instead for NH and HHA.

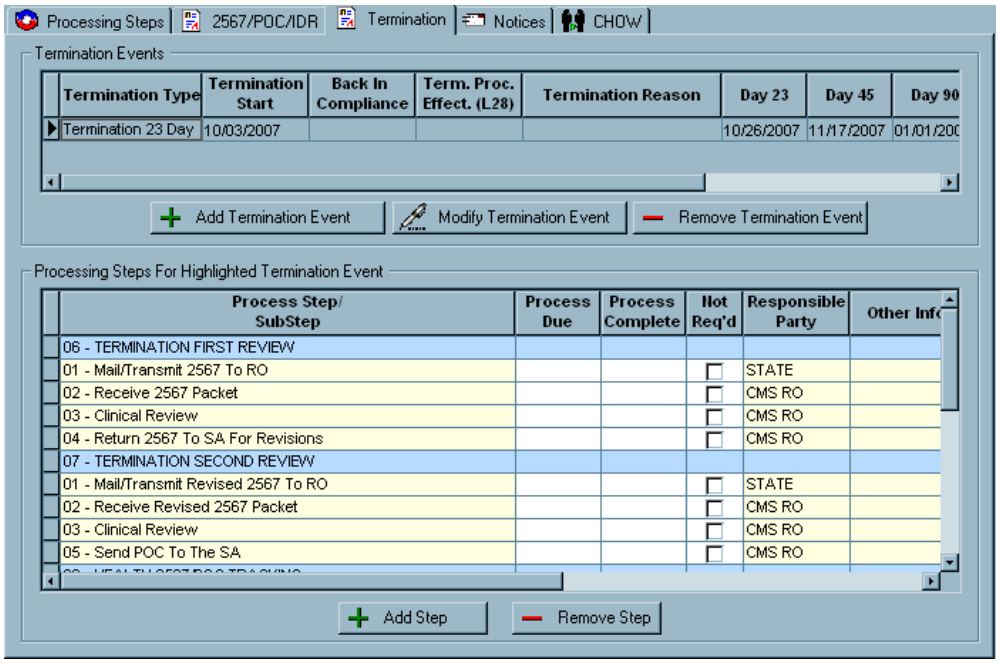


Figure 114: Termination subtab

Termination Tracking Event window

This window opens when you click Add Termination Event on the Termination subtab of the Tracking tab in a certification kit for a provider type other than NH and HHA. Use it to provide details about a termination action.

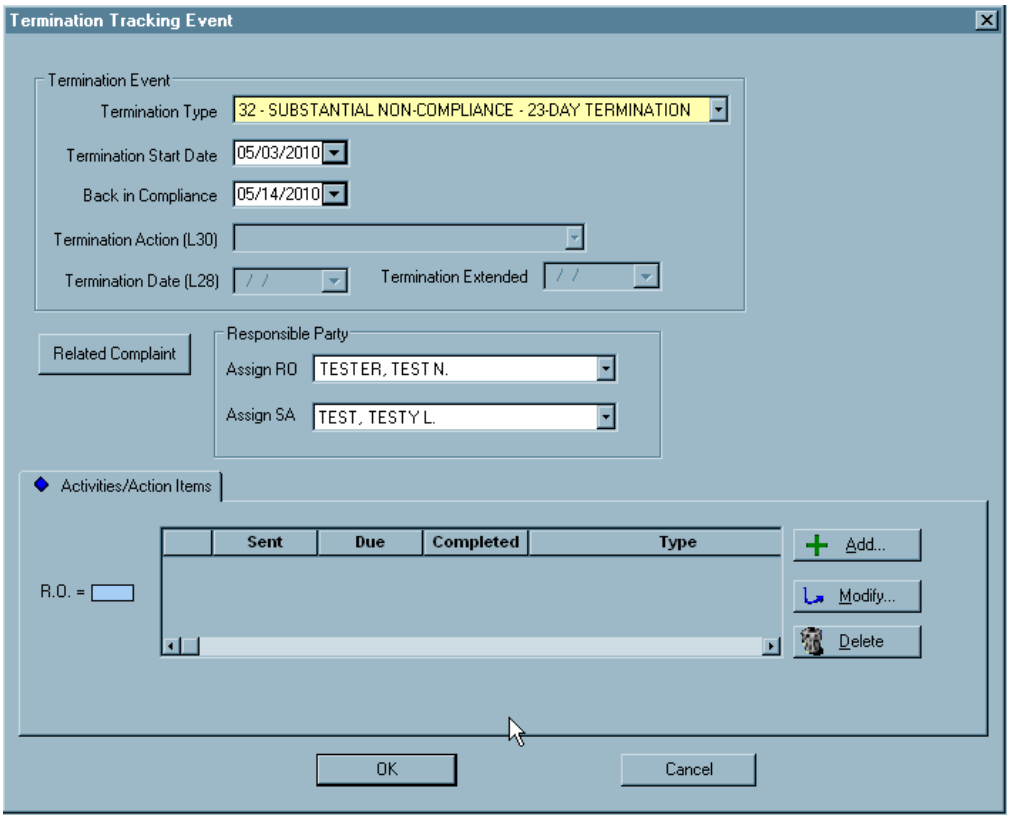


Figure 115: Termination Tracking Event window

Enforcement

For Nursing Homes and HHAs, this subtab lists enforcement actions associated with a certification process.

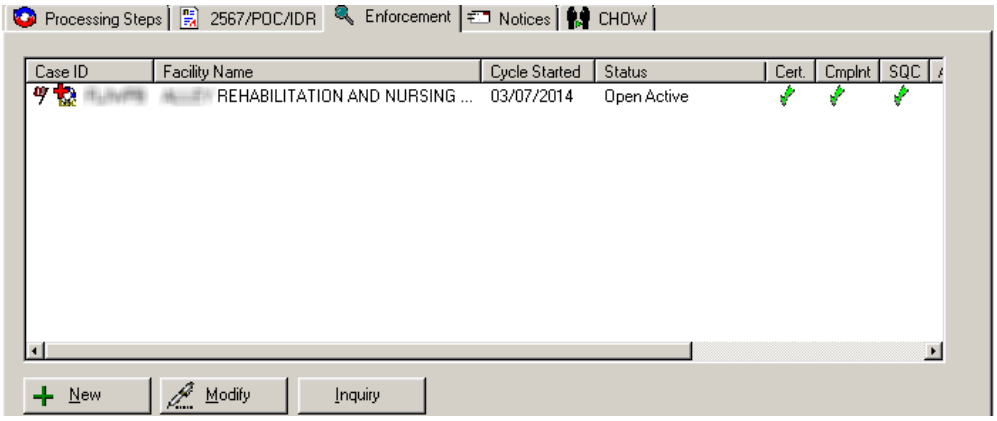


Figure 116: Enforcement subtab

Notices

Use this subtab to print letters and view the letter history associated with the certification process.

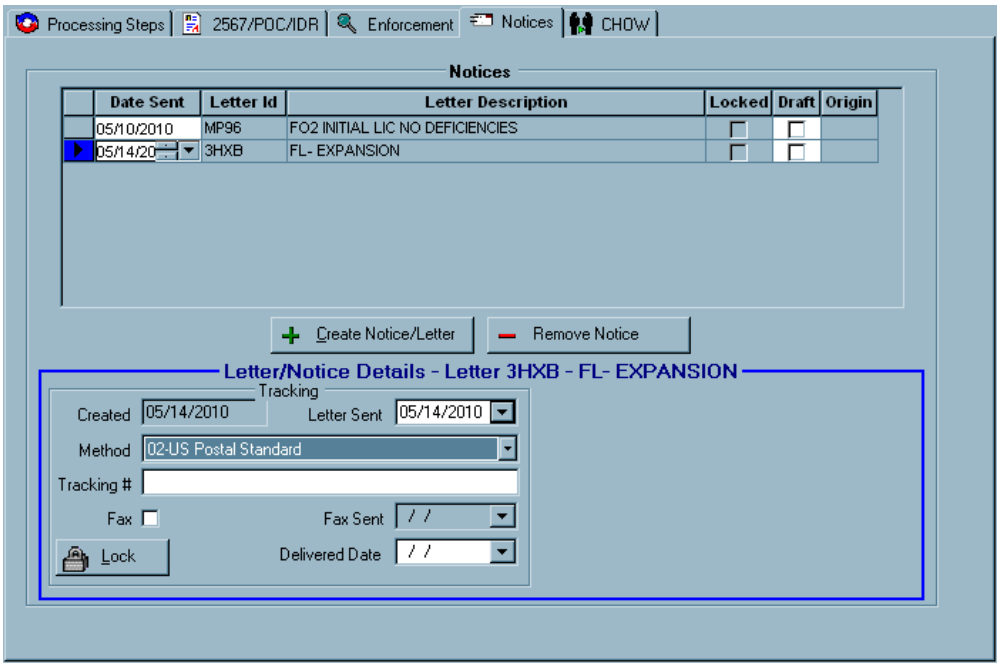


Figure 117: Notices subtab

CHOW

This subtab lists CHOW events for the certification including the processing steps for each CHOW.

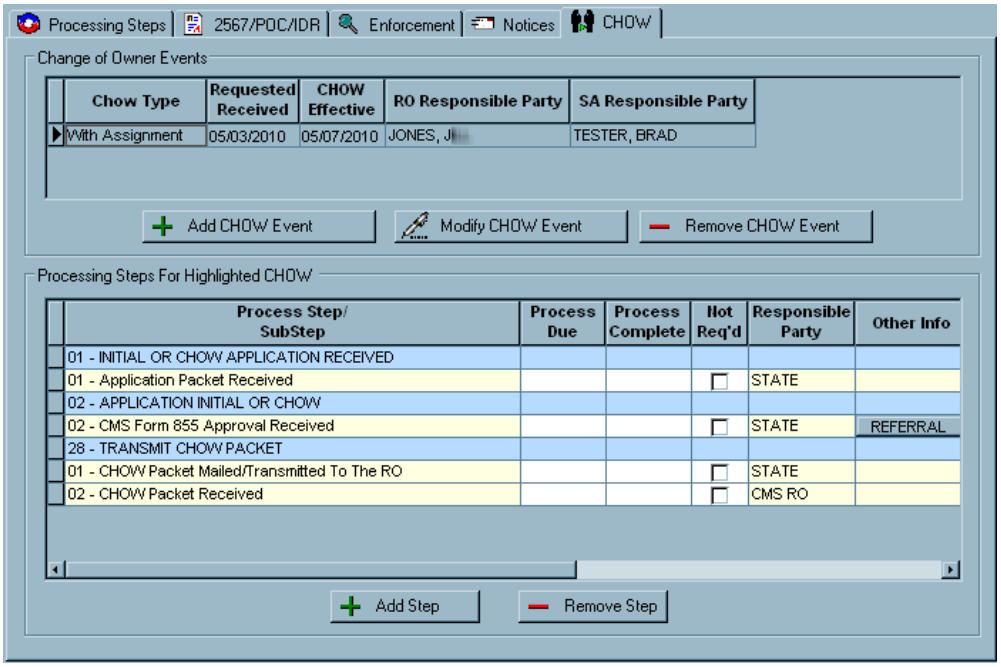


Figure 118: CHOW subtab

CHOW Event Tracking window

This window opens when you click Add CHOW Event on the CHOW subtab of the Tracking tab.

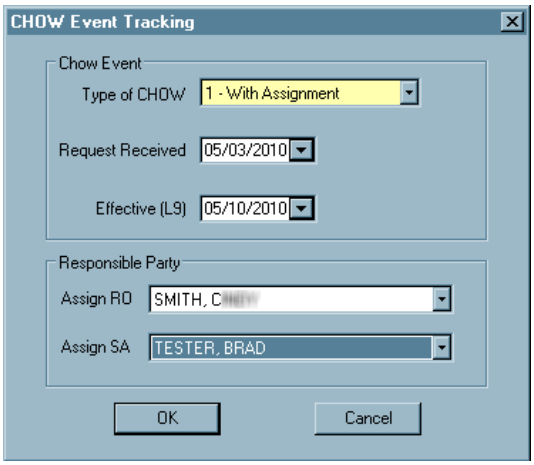


Figure 119: CHOW Event Tracking window

Deemed/2802

This tab is present in certification kits for all non-CLIA provider types that can be deemed. It provides a central point for entering and monitoring deeming/2802 information and includes the following components:

- Deemed By/Deemed By Detail/AO Information
- Provider's State Survey Jurisdiction History
- Authorization for State Validation Survey (CMS 2802)

More ...

"Facility Types that Can Be Deemed" on page 670

Deemed By

The Deemed By grid displays the provider's deeming history. Both RO and state users can maintain the list. The grid is disabled for direct input. Users enter and modify AO information in the Deemed By Detail window. Users can also access the AO history in the national table for the provider.

Fields: "Deemed By", on page 507

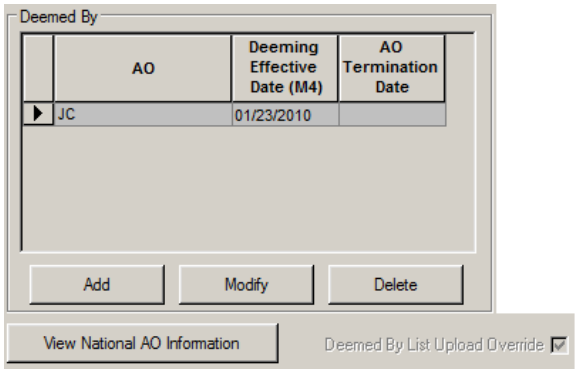


Figure 120: Deemed By grid in ACO

In ARO, the Override button is enabled to let RO users accept a mismatch between the Deemed By list in ACO/ARO and the national AO information table.

Fields: "Deemed By", on page 507

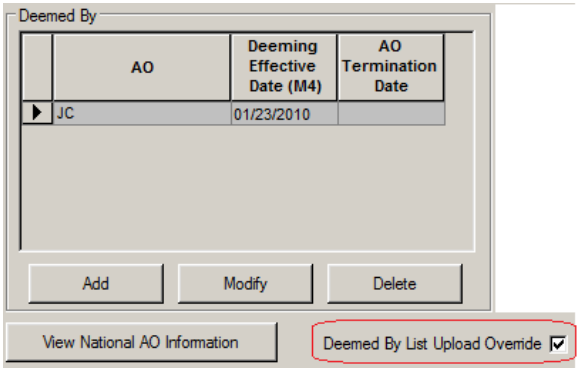


Figure 121: Deemed By grid in ARO

Deemed By Detail

Information entered here is copied to the Deemed By grid. Both RO and state users can enter, modify, and delete AO records.

Fields: "Deemed By Detail", on page 508

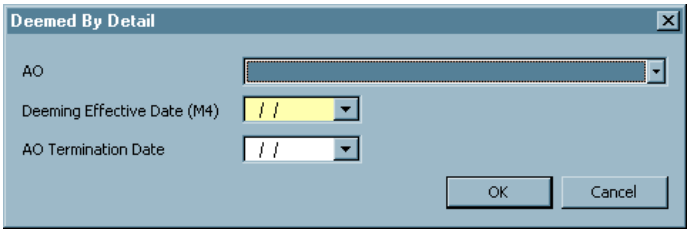


Figure 122: Deemed By Detail window

National AO Information

This window displays the AO history for the provider from the national AO information table. Only Y-matches, i.e., AOs matched to the current provider, are listed.

Fields: "National AO Information", on page 508

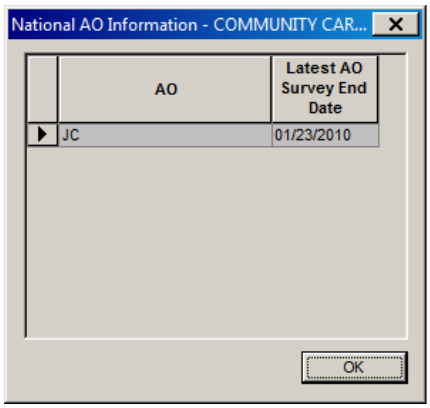


Figure 123: National AO Information window

Provider/Supplier's State Survey Jurisdiction History

This section displays a history of State Survey Jurisdiction for the current provider/supplier. Information entered here is shared with the corresponding section on the Deemed tab in related intakes, if any.

Fields: "Provider/Supplier's State Survey Jurisdiction History", on page 508

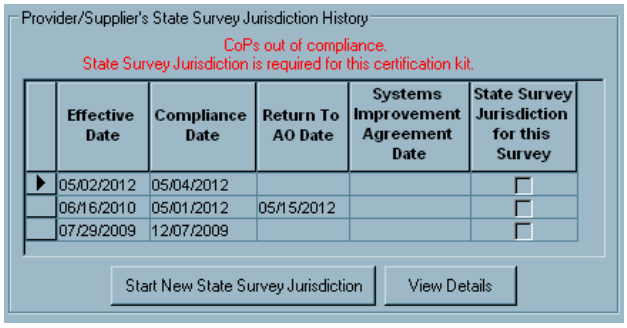


Figure 124: Provider/Supplier's State Survey Jurisdiction History section

State Survey Jurisdiction Detail window

SAs and ROs can view details of State Survey Jurisdiction processes for the current provider in this window. ROs enter dates for the selected State Survey Jurisdiction process here. The window also displays all surveys linked at the certification kit and intake level to the selected process.

Fields: "State Survey Jurisdiction Detail", on page 509

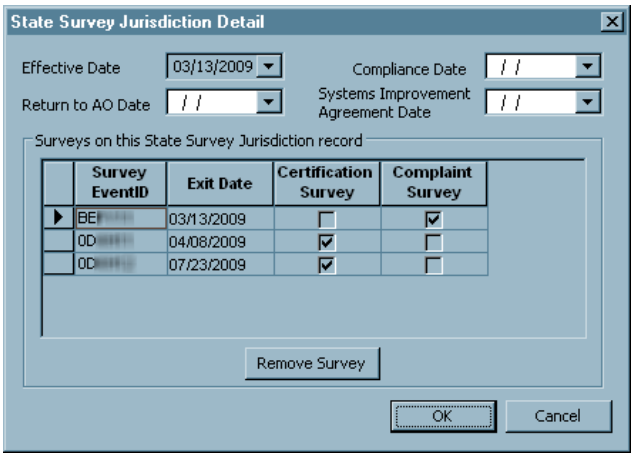


Figure 125: State Survey Jurisdiction Detail window

Authorization for State Validation Survey (CMS 2802)

This section provides deeming information and facilitates communication between the RO and states when states need to perform validation surveys. The RO uses the Authorize section to authorize validation surveys and notify the state of the authorization. Some information entered here is copied to the Transmittal (CMS-1539) tab. The Authorization section also supplies data for the CMS-2802 form.

Note: This section is read-only for SA users and in initial certification kits.

Fields: "Authorization for State Validation Survey (CMS 2802)", on page 510

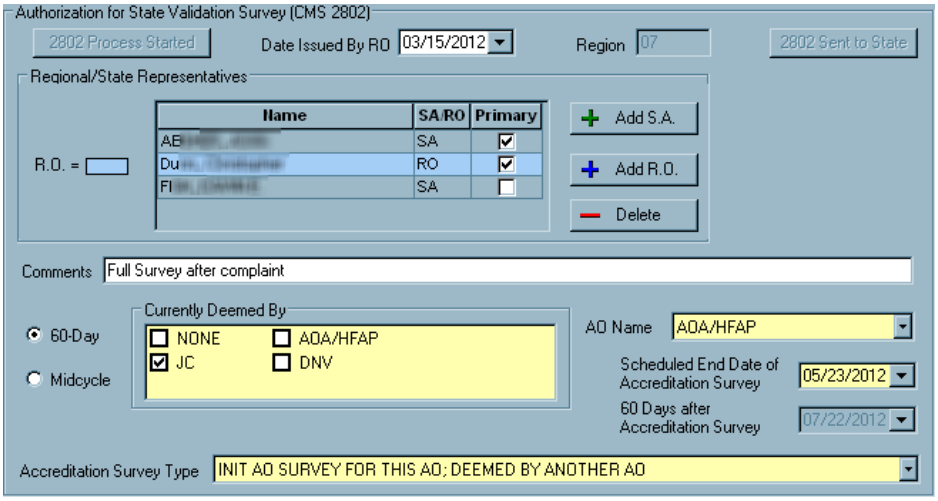


Figure 126: Authorization for State Validation Survey (CMS 2802) section

Transmittal (CMS-1539)

The Certification and Transmittal (CMS-1539) form has two parts. Enabled fields vary depending on the mode (ACO or ARO) and the provider type.

CMS-1539 - Part I

Part I of the CMS-1539 contains provider and program participation information to be supplied by State Survey Agency personnel.

Fields: "CMS-1539 Part I", on page 512

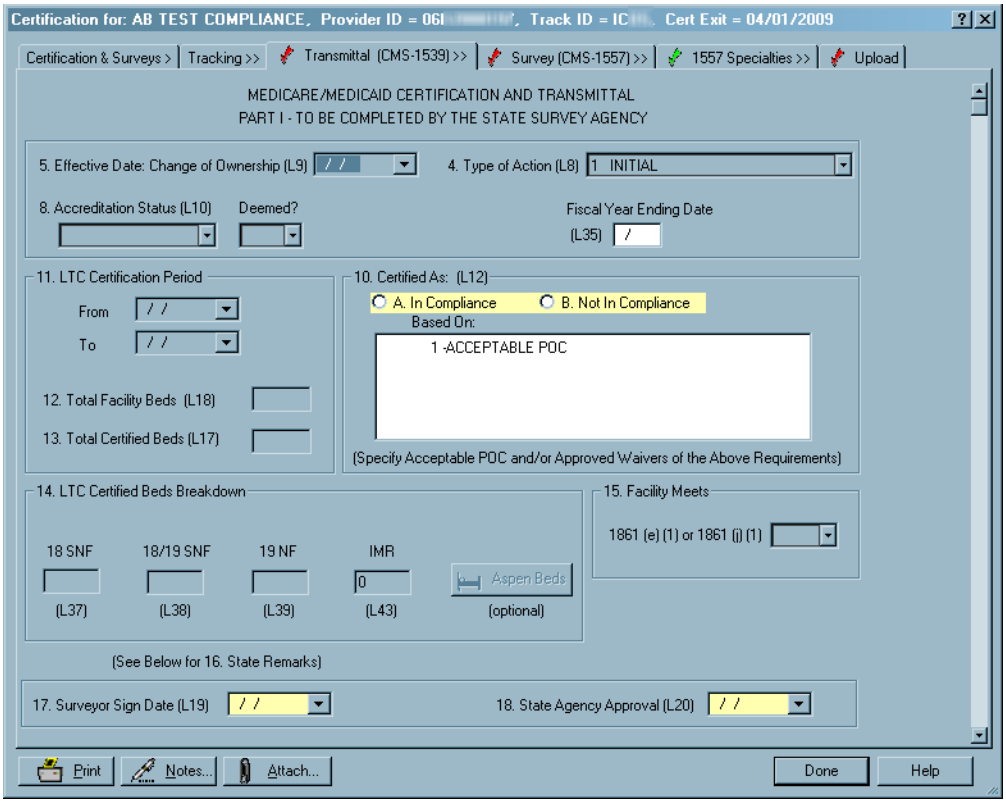


Figure 127: CMS-1539 tab - Part 1

CMS-1539 - Part II

Part II of the CMS-1539 contains administrative details to be completed by Regional Office or Single State Agency personnel.

Fields: "CMS-1539 Part II", on page 516

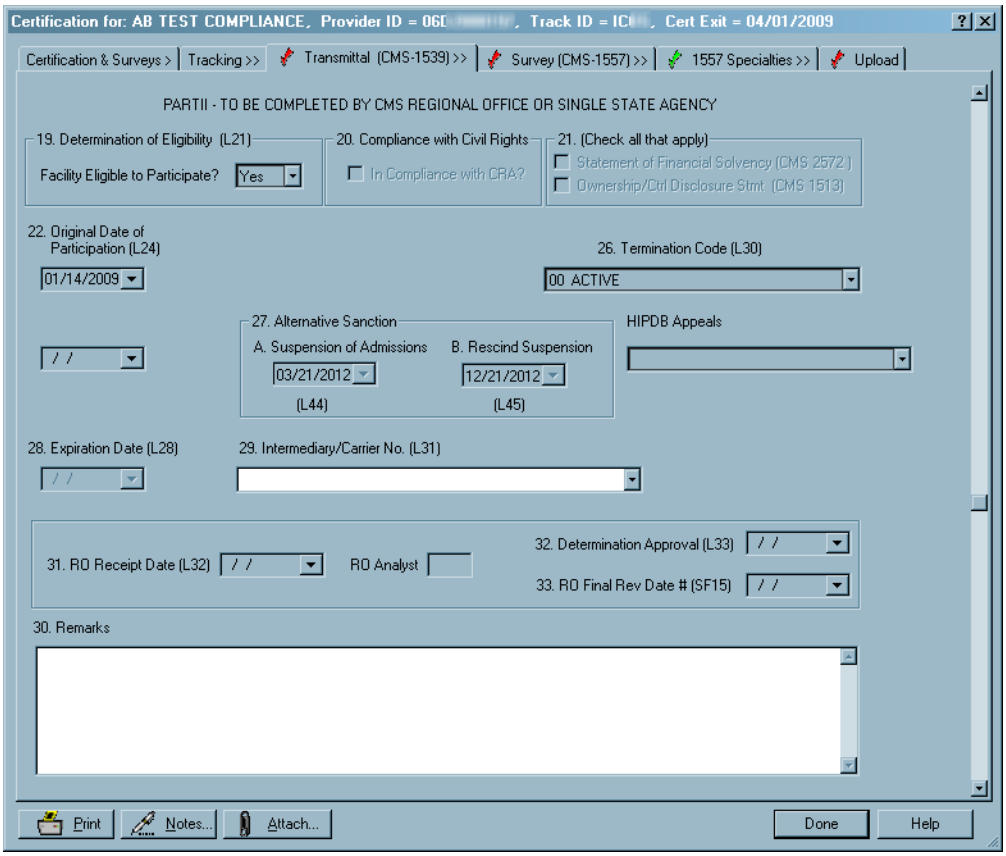


Figure 128: CMS-1539 tab - Part 2

Hospital Application Worksheet

The Application Worksheet tab is used to enter information for the Hospital/CAH Medicare Database Worksheet.

For certification kits that uploaded before 05/02/2011, Version 1 of the Hospital Application worksheet is retained.

Hospital Application Worksheet - top section

Fields: "Hospital Application Worksheet - top section", on page 520

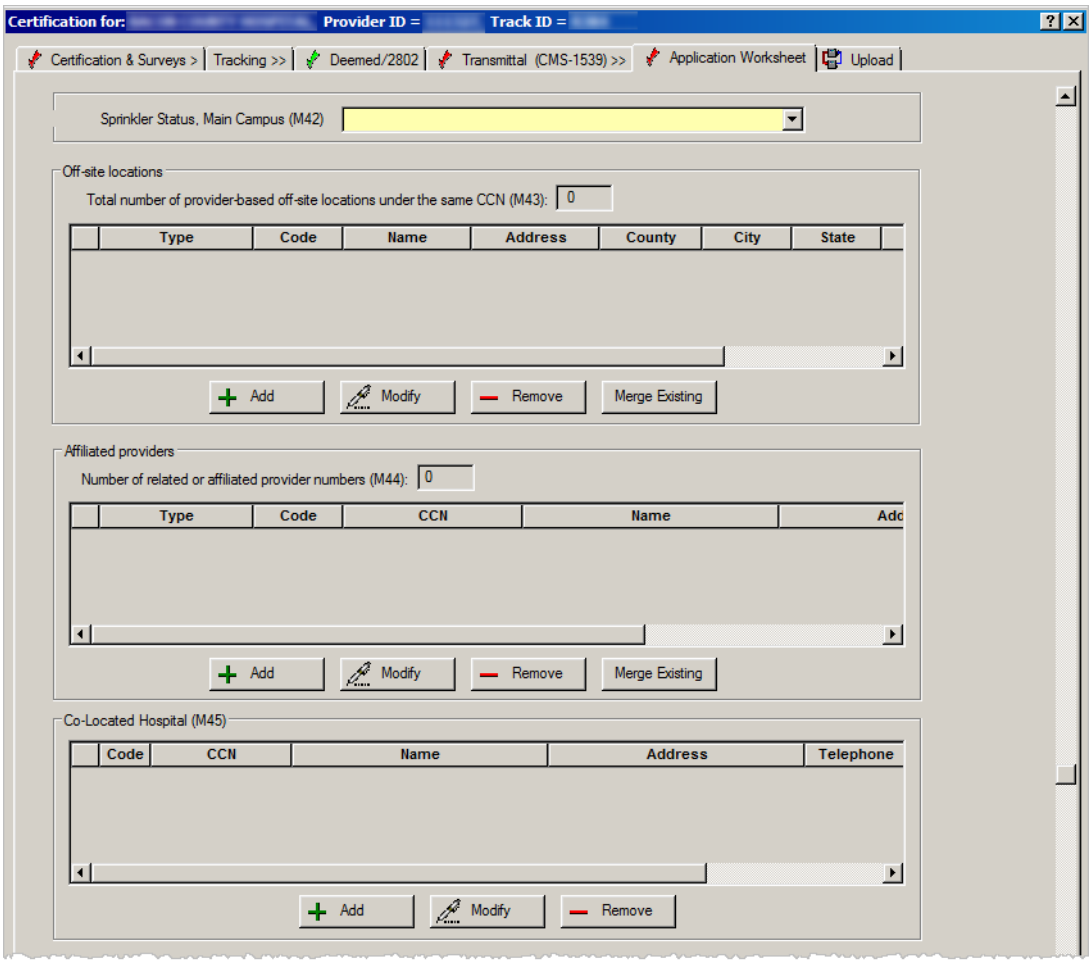


Figure 129: Hospital Application Worksheet - top section

Hospital Application Worksheet - middle section

Fields: "Hospital Application Worksheet - middle section", on page 523

Certification for: Provider ID = Track ID =

Certification & Surveys > | Tracking >> | Deemed/2802 | Transmittal (CMS-1539) >> | Application Worksheet | Upload

Number of Employees Salaried by Hospital/CAH (Use Full Time Equivalents FTE)

Physicians (Salaried only) (M20)	0.00	Medical Technologists (Lab) (M30)	0.00
Physicians - Residents (M21)	0.00	Nuclear Medicine Technicians (M31)	0.00
Physician Assistants (PA) (M22)	0.00	Occupational Therapists (M32)	0.00
Nurses - CRNA (M23)	0.00	Pharmacists (Registered) (M33)	0.00
Nurses - Practitioners (M24)	0.00	Physical Therapists (M34)	0.00
Nurses - Registered (M25)	0.00	Psychologists (M35)	0.00
Nurses - LPN (M26)	0.00	Radiology Technicians (Diagnostic) (M36)	0.00
Dieticians (M27)	0.00	Respiratory Therapists (M37)	0.00
Medical Social Workers (M28)	0.00	Speech Therapists (M38)	0.00
Medical Laboratory Technicians (M29)	0.00	All Others (M39)	0.00

Medicare Payment-Related Categories for a Hospital or a CAH (M40) (select all that apply)

CAH Categories
- 01 CAH Psychiatric DPU
- 02 CAH Rehabilitation DPU
- 03 CAH Swing Beds

Hospital Categories
- 07 Hospital PPS Excluded Psych Unit
- 08 Hospital PPS Excluded Rehab Unit
- 09 Hospital Swing Beds
- 10 Medicare Dependant Hospital
- 11 Regional Referral Center
- 12 Sole Community Hospital

Necessary Provider

- [x] Designated as a Necessary Provider

Designated Date / / Date Provider lost Necessary Provider Designation / /

Services Provided by the Facility (M41)

Service	Services Provided	Service	Services Provided
02 Alcohol and/or Drug Services		36 Optometric Services	
03 Anesthesia		38 Organ Transplant Services	
04 Audiology		39 Orthopedic Surgery	
06 Burn Care Unit		40 Outpatient Services	
07 Cardiac Catheterization Labo		41 Pediatric Services	
08 Cardiac-Thoracic Surgery		42 Pharmacy	
09 Chemotherapy Service		43 Physical Therapy Services	
10 Chiropractice Service		44 Positron Emission Tomograph	
11 CT Scanner		45 Post-Operative Recovery Ro	

Figure 130: Hospital Application Worksheet - middle section

Hospital Application Worksheet - bottom section

Fields: "Offsite locations", on page 524
Fields: "Affiliated providers", on page 525
Fields: "Co-Located Hospital (M45)", on page 526

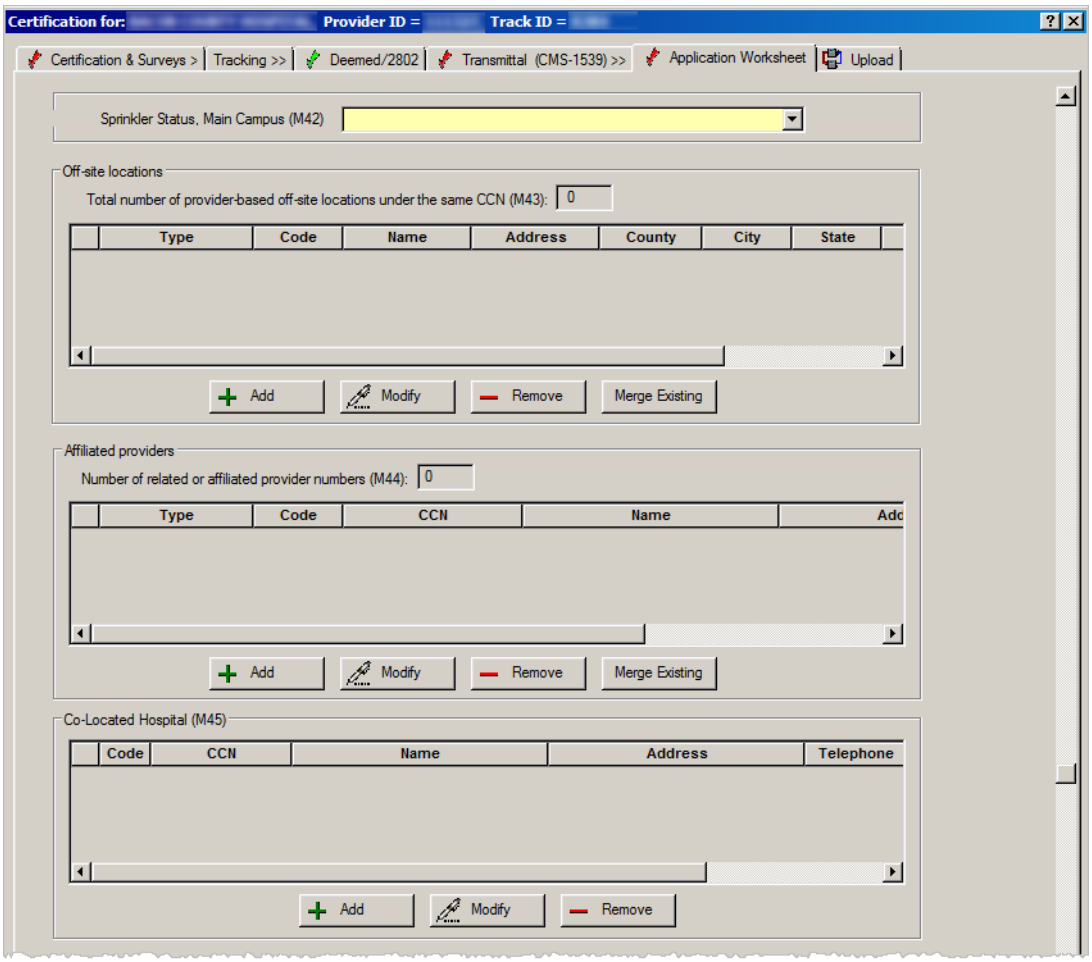


Figure 131: Hospital Application Worksheet - bottom section

Transplant Programs

For Transplant Hospitals, enter information about the provider's transplant programs and their status on this tab.

Fields: "Transplant Programs", on page 530

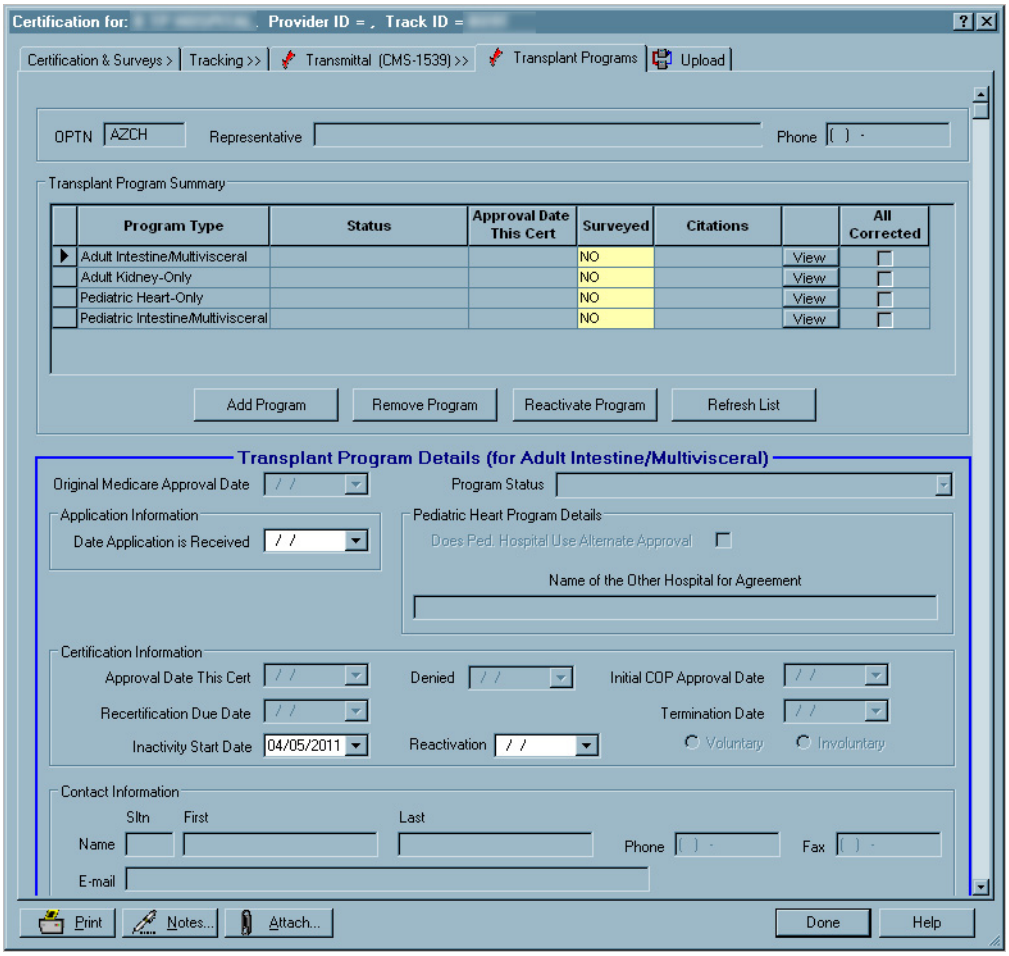


Figure 132: Transplant Programs tab

RHC App/CDE (CMS-29/30E)

The App/CDE (CMS-29/30E) tab combines two forms:

- Request to Establish Eligibility to Participate in the Health Insurance for the Aged and Disabled Program to Provide Rural Health Clinic Services (CMS-29)
- From Rural Health Clinic Survey Report Crucial Data Extract - 30E

Submission of these forms initiates the process of determining whether the Conditions of Coverage are met.

CMS-29 - Request to Establish Eligibility

CMS-29 has four sections:

- Medical Direction
- Clinical Personnel
- Control
- Federal Support

Fields: "CMS-29 - Request to Establish Eligibility", on page 533

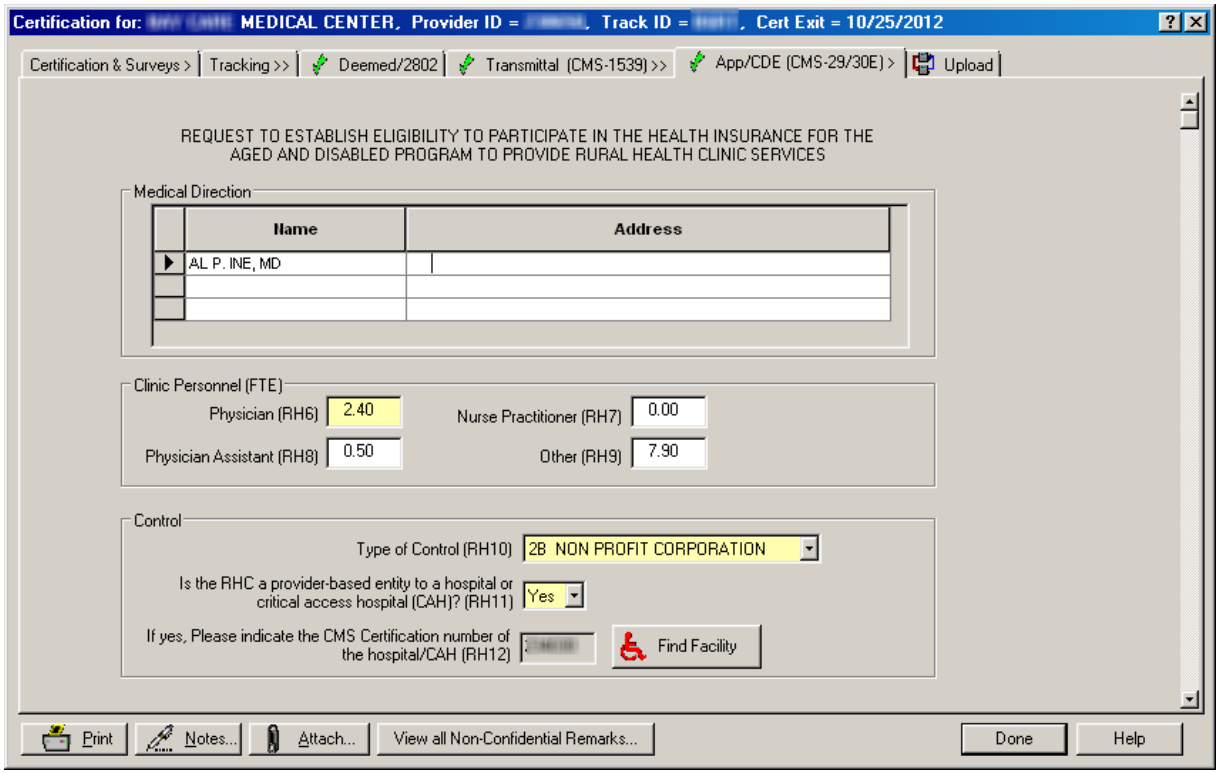


Figure 133: CMS-29 - Request to Establish Eligibility section

CMS-30E - From RHC CDE

The CMS-30E is appended at the bottom of the CMS-29.

Fields: "CMS-30E - From RHC CDE", on page 534

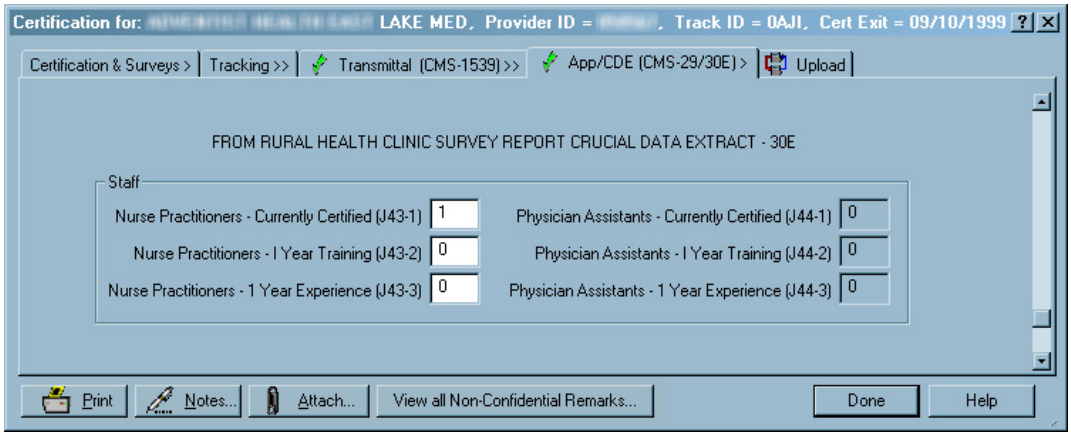


Figure 134: CMS-30E - From RHC CDE

CORF Application (CMS-359)

CMS-359 has four sections:

- Eligibility
- Control
- Services Provided
- Extension Offices

Submission of this form initiates the process of determining whether the Conditions of Coverage are met.

Fields: "CORF Application (CMS-359)", on page 534

Certification for THERAPY CENTERS, LLC, Provider ID = , Track ID = 8KHQ

Certification & Surveys > | Tracking >> | Transmittal (CMS-1539) >> | Application (CMS-359) > | Upload

COMPREHENSIVE OUTPATIENT REHABILITATION FACILITY REPORT
FOR CERTIFICATION TO PARTICIPATE IN THE MEDICARE PROGRAM

Eligibility

Request to Establish Eligibility In (RD05)

Related Provider Number (RD06) Find Facility

Control

Type of Control (RD07)

Does your organization currently participate in Medicare as a provider of Outpatient Physical/Speech Pathology (e.g., Rehabilitation Agency)? (RD08)

If yes, list Provider Number (RD09) Find Facility

Services Provided (RD10)

	Services Provided		Employees	Under Arrangement	Independent Contractor
▶	Physical Therapy	01	☐	☐	☐
	Physician Services	02	☐	☐	☐
	Social Services*	03	☐	☐	☐
	Psychological Services*	04	☐	☐	☐
	Occupational Therapy	05	☐	☐	☐
	Respiratory Therapy	06	☐	☐	☐
	Speech Pathology	07	☐	☐	☐
	Orthotic/Prosthetic Services	08	☐	☐	☐
	Nursing Service	09	☐	☐	☐

* Either Social Services or Psychological Services must be provided.

Extension Offices

	Medicare ID	Name	Address

Add | Modify | Remove

Print | Notes... | Attach... | View all Non-Confidential Remarks... | Done | Help

Figure 135: CORF Application (CMS-359) tab

NH Application (CMS-671)

There are two main parts to the Long Term Care Facility Application for Medicare and Medicaid (CMS-671):

- General Provider Information
- Facility Staffing

Submission of this form initiates the process of determining whether the Conditions of Coverage are met.

CMS-671 - General Information

The top part of the CMS-671 is for entry of general information about the NH.

Fields: "CMS-671 - General Information", on page 540

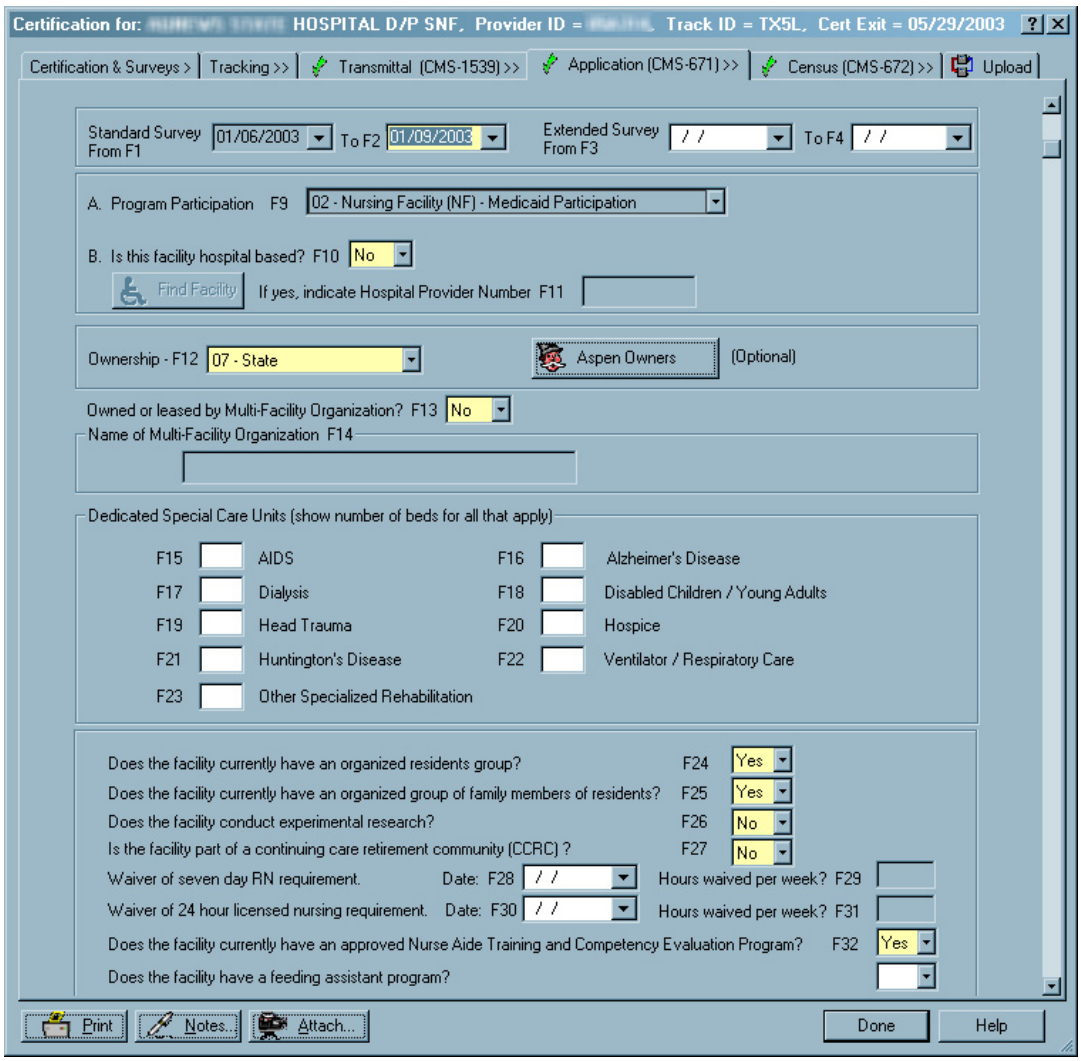


Figure 136: CMS-671 - General Information

CMS-671 - Facility Staffing

The Facility Staffing section of the CMS-671 is obsolete, but you can optionally use it to specify the services that are provided at the facility and the number of hours worked (in the prior two weeks) to provide those services.

Note: Any data that has been entered for historical or current kits is uploaded, unedited, to national.

Fields: "CMS-671 - Facility Staffing", on page 543

FACILITY STAFFING

The Facility Staffing table and corresponding table in Form CMS-671 is no longer required to be completed by facilities or surveyors as of June 1st, 2018.

Services Provided

			On Site Residents A1	On Site Non Res. A2	Off Site A3	Full Time (hours) B	Part Time (hours) C	Contract (hours) D
1	Administration	F33						
2	Physician Services	F34	☐	☐	☐			
3	Medical Director	F35						
4	Other Physician	F36						
5	Physician Extender	F37	☐	☐	☐			
6	Nursing Services	F38	☐	☐	☐			
7	RN Director of Nurses	F39						
8	Nurses with Admin. Duties	F40						
9	Registered Nurses	F41						
10	Licensed Practical/Licensed Vocational Nurses	F42						
11	Certified Nurse Aides	F43						
12	Nurse Aides in Training	F44						
13	Medication Aides/Technicians	F45						
14	Pharmacists	F46	☐	☐	☐			
15	Dietary Services	F47	☐	☐	☐			
16	Dietitian	F48						
17	Food Service Workers	F49						
18	Therapeutic Services	F50						
19	Occupational Therapists	F51	☐	☐	☐			
20	Occupational Therapy Assistants	F52						
21	Occupational Therapy Aides	F53						
22	Physical Therapists	F54	☐	☐	☐			
23	Physical Therapy Assistants	F55						
24	Physical Therapy Aides	F56						
25	Speech/Language Pathologists	F57	☐	☐	☐			
26	Therapeutic Recreation Specialist	F58	☐	☐	☐			
27	Qualified Activities Professional	F59	☐	☐	☐			
28	Other Activities Staff	F60	☐	☐	☐			
29	Qualified Social Workers	F61	☐	☐	☐			
30	Other Social Services Staff	F62	☐	☐	☐			
31	Dentists	F63	☐	☐	☐			
32	Podiatrists	F64	☐	☐	☐			
33	Mental Health Services	F65	☐	☐	☐			
34	Vocational Services	F66	☐	☐	☐			
35	Clinical Laboratory Services	F67	☐	☐	☐			
36	Diagnostic X-Ray Services	F68	☐	☐	☐			
37	Administration and Storage of Blood	F69	☐	☐	☐			
38	Housekeeping Services	F70	☐	☐	☐			
39	Other	F71						

Figure 137: CMS-671 - Facility Staffing

NH Census (CMS-672)

The Resident Census and Conditions of Residents (CMS-672) provides a snapshot of the resident population at the time of the survey. The form has three main parts:

- Resident Census
- Resident Conditions
- Miscellaneous

Submission of this form initiates the process of determining whether the Conditions of Coverage are met.

CMS-672 - Resident Census

The top part of the CMS-672 is for entry of required census and ADL data.

Fields: "CMS-672 - Resident Census", on page 547

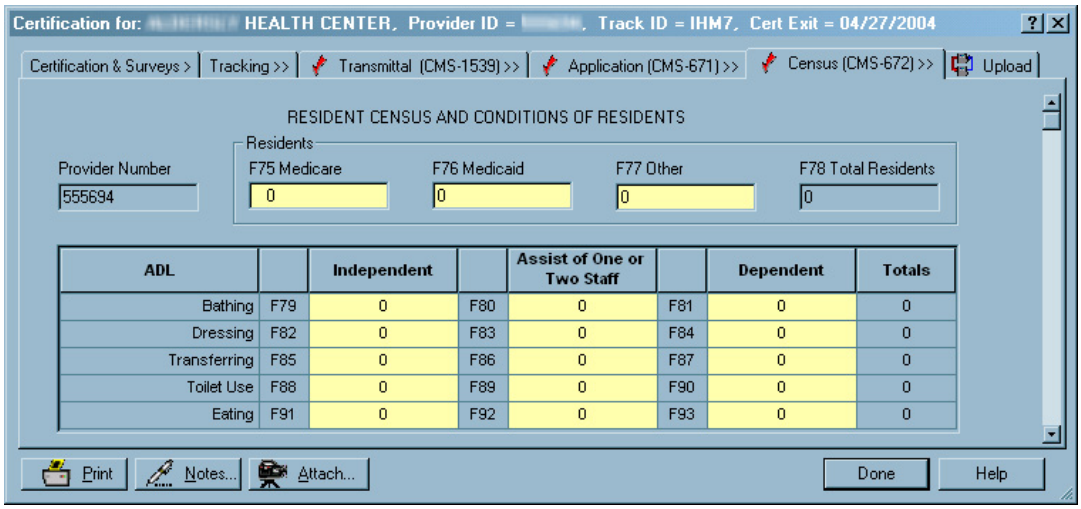


Figure 138: CMS-672 - Resident Census

CMS-672 - Conditions of Residents

Sections A-G of the CMS-672 show the number of residents in the facility who are experiencing specific conditions. Related fields may have comparison edit checks. For example, F134 cannot be greater than F133.

Fields: "CMS-672 - Conditions A & B", on page 549

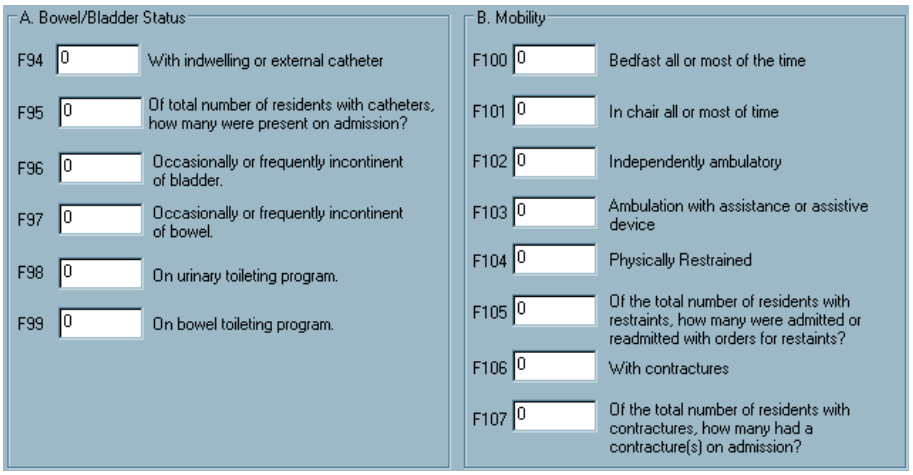


Figure 139: CMS-672 - Conditions of Residents - sections A & B

Fields: "CMS-672 - Conditions C & D", on page 550

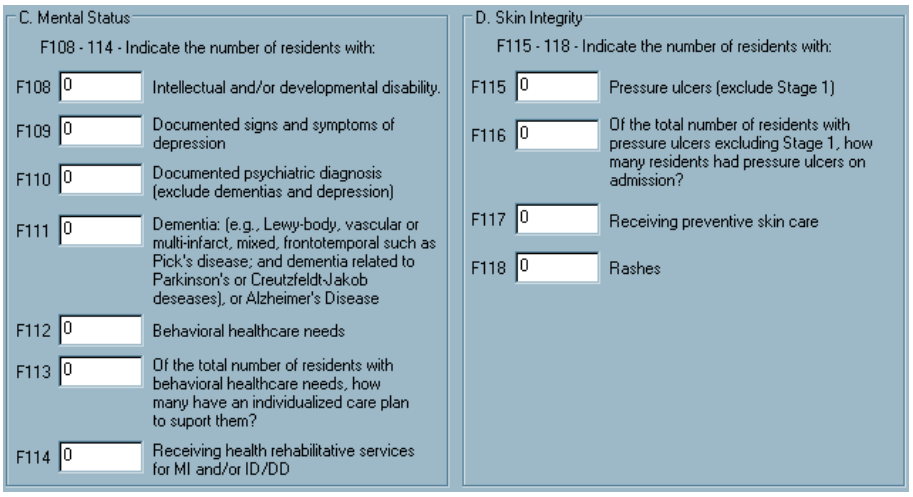


Figure 140: CMS-672 - Conditions of Residents - sections C & D

Fields: "CMS-672 - Condition E", on page 551

E. Special Care

F119 - 132 - Indicate the number of residents receiving:

F119	0	Hospice care	F127	0	Suctioning
F120	0	Radiation therapy	F128	0	Injections (exclude vitamin B12 injections)
F121	0	Chemotherapy	F129	0	Tube feedings
F122	0	Dialysis	F130	0	Mechanically altered diets including pureed and all chopped foods (not only meat)
F123	0	Intravenous therapy, IV nutrition, and/or blood transfusion	F131	0	Rehabilitative services (Physical therapy, speech-language therapy, occupational therapy, etc.) Exclude health rehabilitation for MI and/or ID/DD
F124	0	Respiratory treatment			
F125	0	Tracheostomy care	F132	0	Assistive devices while eating
F126	0	Ostomy care			

Figure 141: CMS-672 - Conditions of Residents - section E

Fields: "CMS-672 - Conditions F & G", on page 553

F. Medications

F133 - 139 - Indicate the number of residents receiving:

F133	0	Any psychoactive medication
F134	0	Antipsychotic medications
F135	0	Antianxiety medications
F136	0	Antidepressant medications
F137	0	Hypnotic medications
F138	0	Antibiotics
F139	0	On pain management program

G. Other

F140	0	With unplanned significant weight loss/gain.
F141	0	Who do not communicate in the dominant language of the facility (include those who use American sign language)
F142	0	Who use non-oral communication devices
F143	0	With advanced directives
F144	0	Received influenza immunization
F145	0	Received pneumococcal vaccine

Figure 142: CMS-672 - Conditions of Residents - sections F & G

CMS-672 - Miscellaneous

At the bottom of the CMS-672 are some survey miscellaneous items related to the ombudsman and medication errors.

Fields: "CMS-672 - Miscellaneous", on page 554

☐ F146 Ombudsman office was notified prior to survey

☐ F147 Ombudsman was present during any portion of the survey

F148 Medication Error Rate: 2 %

Figure 143: CMS-672 - Miscellaneous

HHA Application (CMS-1572A)

The CMS-1572A can be divided into four sections:

- Description
- Administration and Affiliations
- Services and Staffing
- Visits, Census, Other

Submission of this form initiates the process of determining whether the Conditions of Coverage are met.

CMS-1572A - Description

The top section of the CMS-1572A contains read-only information about the provider and basic questions about the current certification.

Fields: "CMS-1572A - Description", on page 554

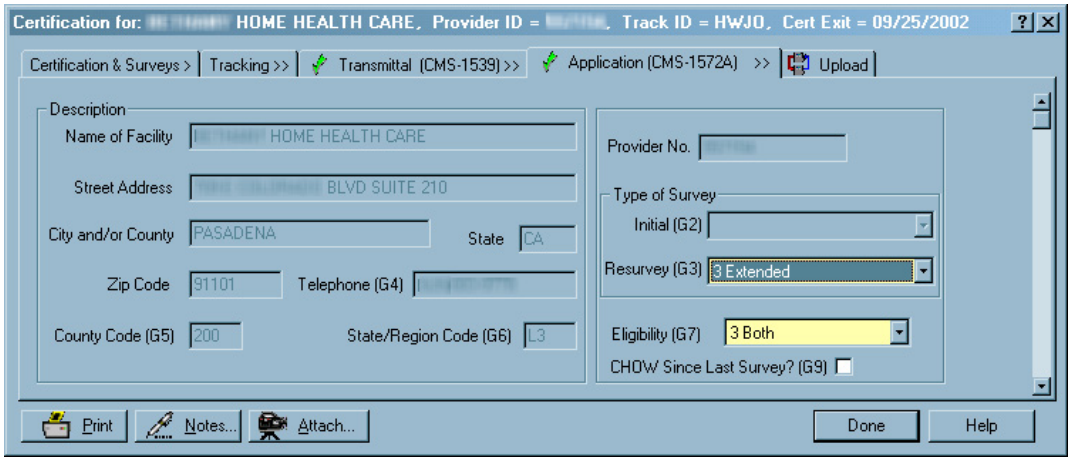


Figure 144: CMS-1572A - Description

CMS-1572A - Administration and Affiliations

The next section of the CMS-1572A deals with the provider's administration and affiliations.

Fields: "CMS-1572A - Administration & Affiliations", on page 555

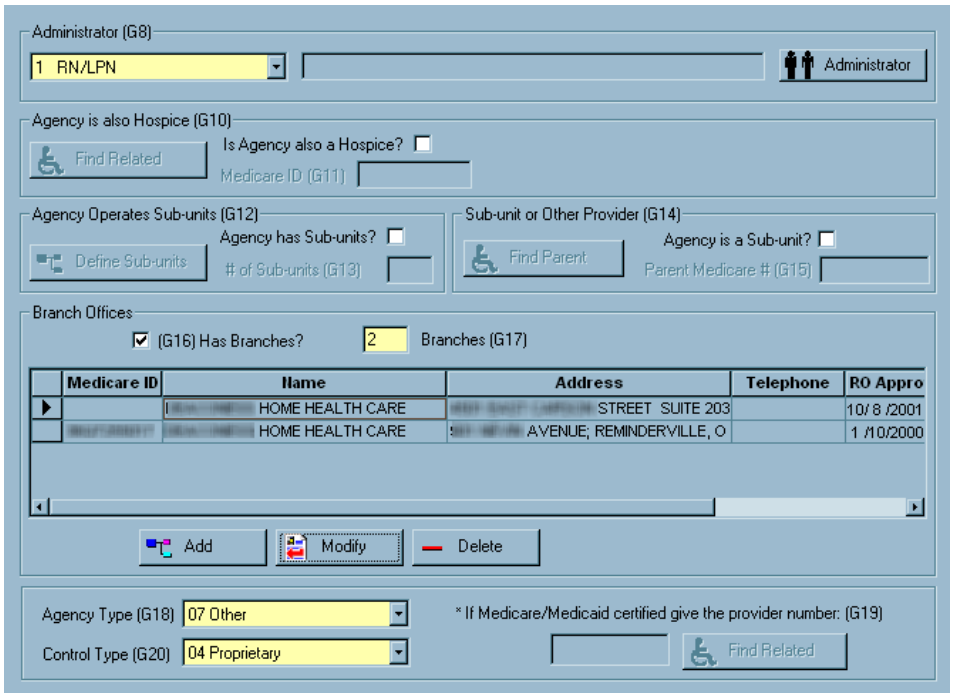


Figure 145: CMS-1572A - Administration and Affiliations

CMS-1572A - Services and Staffing

The third section of the CMS-1572A is for entry of information about services and staffing at the facility.

Fields: "CMS-1572A - Services and Staffing", on page 557

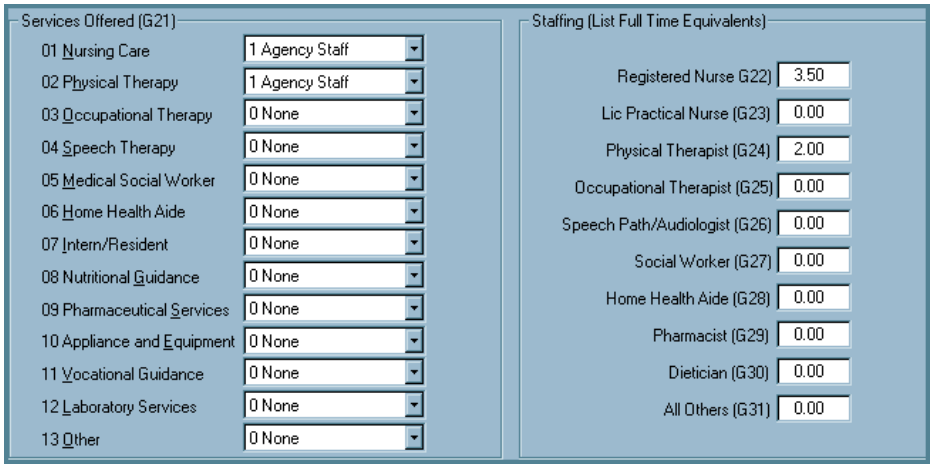


Figure 146: CMS-1572A - Services and Staffing

CMS-1572A - Visits, Census, Other

In the fourth section of the CMS-1572A, you enter data about record review of home visits, patient census, and complete all other required fields.

Fields: "CMS-1572A - Visits, Census, Other", on page 558

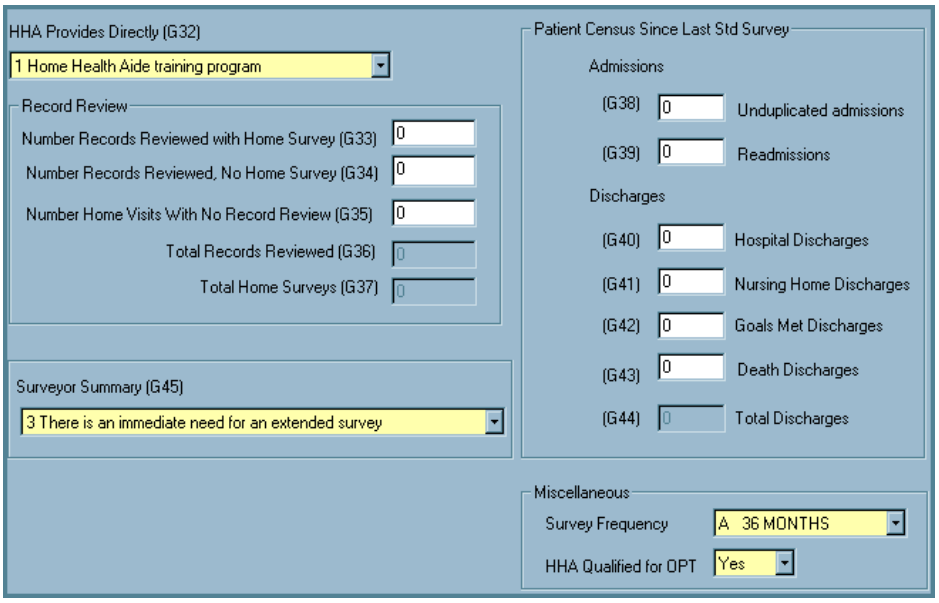


Figure 147: CMS-1572A - Visits, Census, Other

OPT/SP App (CMS-1856)

The App (CMS-1856) tab has six sections:

- Eligibility
- Services Provided (R18)
- Organization
- Control
- Number of Qualified Personnel (FTE)
- Extension Offices

Submission of this form initiates the process of determining whether the Conditions of Coverage are met.

CMS-1856 - General

In the top section of the CMS-1856, you enter data about eligibility, services provided by the facility, and organization type.

Fields: "CMS-1856 - General", on page 559

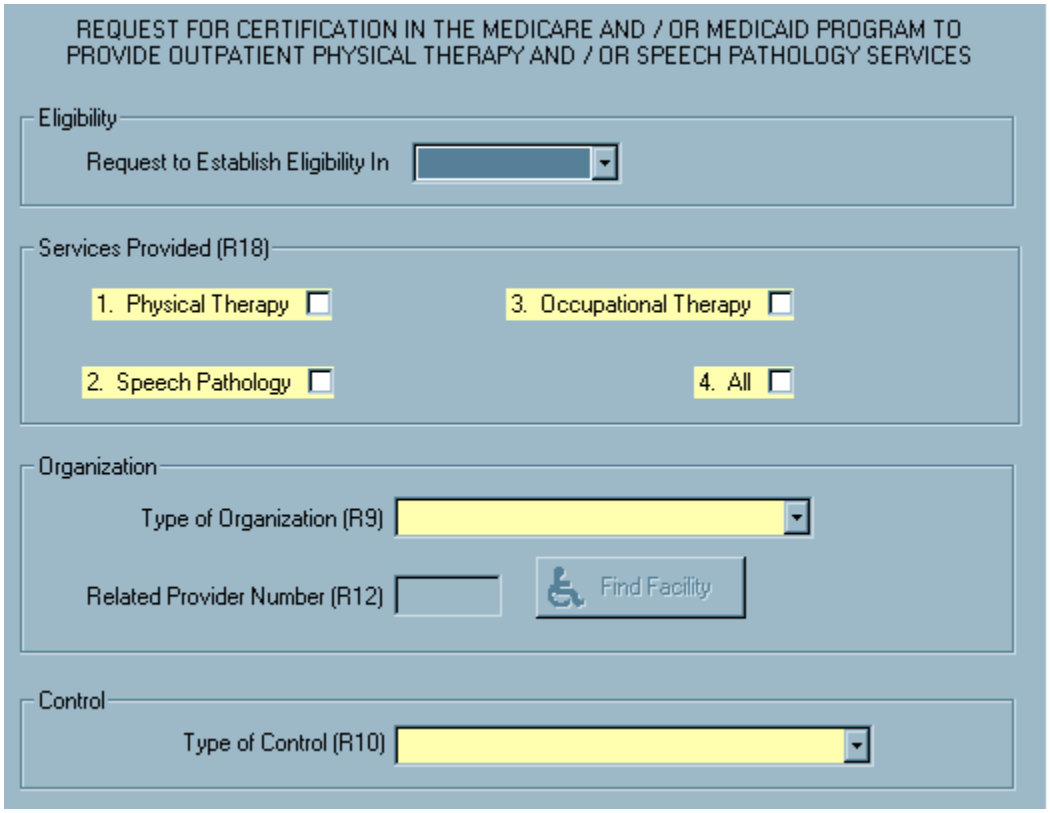


Figure 148: CMS-1856 - General

CMS-1856 - Control and Personnel

In the middle section of the CMS-1856, enter data about facility oversight and qualified staff counts.

Fields: "CMS-1856 - Control and Personnel", on page 560

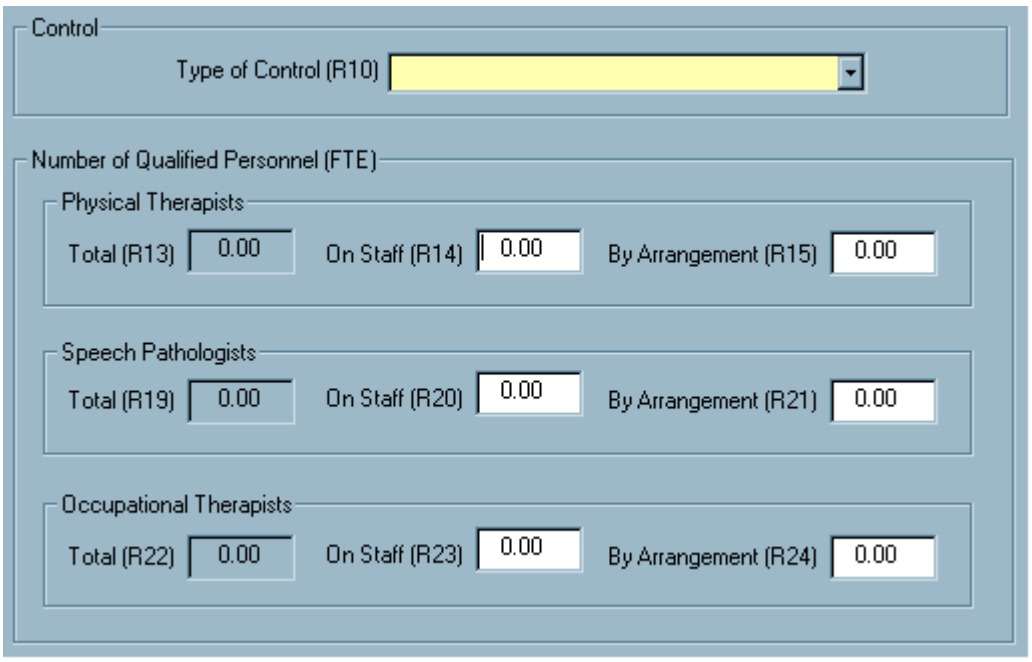


Figure 149: CMS-1856 - Control and Personnel

In the bottom section of the CMS-1856, open the Facility Relationship Manager to enter data about locations separate from the primary facility.

Fields: "CMS-1856 - Extension Offices", on page 561

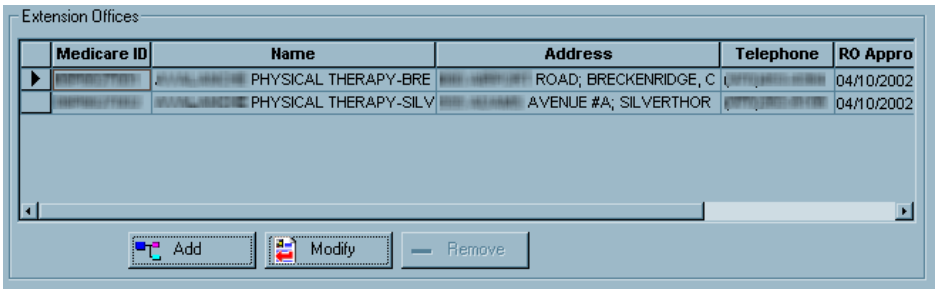


Figure 150: CMS-1856 - Extension Offices window

XRAY Application (CMS-1880)

CMS-1880 has four sections:

- Eligibility
- Control
- Number of Technologists
- Extension Offices

Submission of this form initiates the process of determining whether the Conditions of Coverage are met.

Fields: "XRAY Application (CMS-1880)", on page 561

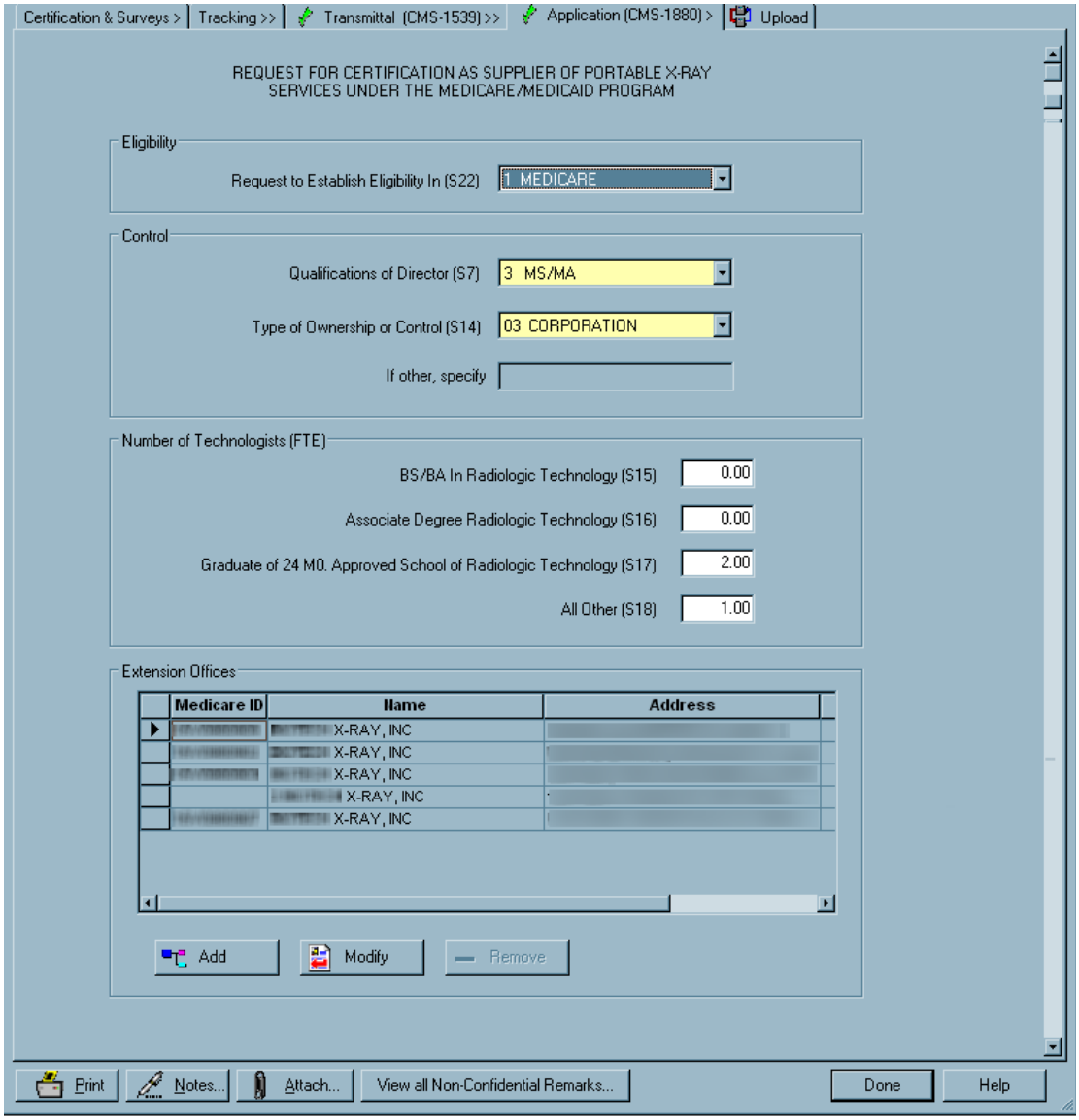


Figure 151: XRAY Application (CMS-1880) tab

ESRD Application (CMS-3427)

There are two main parts to the CMS-3427:

- End Stage Renal Disease Application/Notification and Certification Request, Part I - To Be Completed by Facility
- Part II - To Be Completed by State Agency

Submission of this form initiates the process of determining whether the Conditions of Coverage are met.

For certification kits uploaded before 05/02/2011, Version 1 of the CMS-3427 is retained. Version 1 or Version 2 displays as part of the report title.

More ...

For more information about Version 1 of the CMS-3427, refer to the *ACO 10.0 Procedures Guide*.

CMS-3427 - Part I

Part I of the CMS-3427 has 16 sections:

- Authorized Official
- Medicare Enrollment (CMS-855A) completed?
- Type of Application/Notification (V1)
- Control (V2-V12)
- Current Services (V13)
- New services being requested (V14)
- Home dialysis patients receiving dialysis in LTC facilities (V15) Shared Dialysis Staffing (V16-19)
- Number of dialysis patients (V20-25)
- Dialysis stations, home training room(s) (V26, V27)
- Additional stations being requested (V28-V31)
- How is isolation provided? (V32, V33)
- In-center patient shifts (V34)
- Dialyzer reprocessing system (V35)
- Staffing (V36-V42)
- Certificate of Need required? (V44)
- Remarks

CMS-3427 - Part I: Authorized Official-V12

Fields: "CMS-3427 - Part I", on page 572

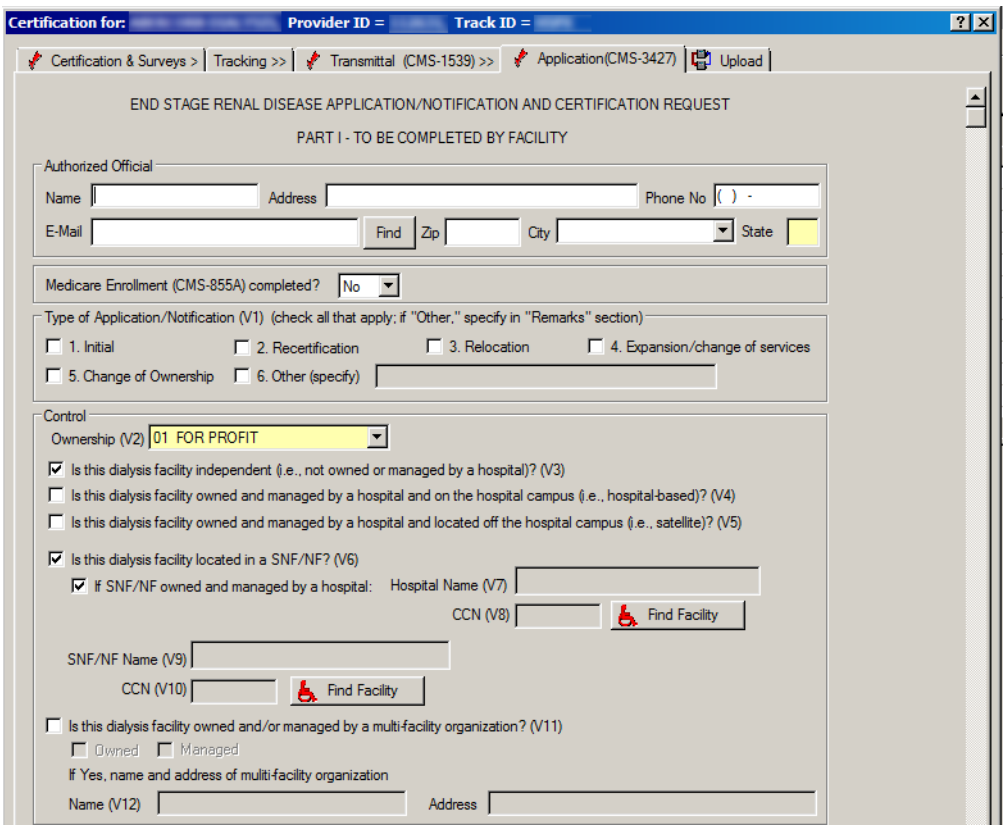


Figure 152: CMS-3427 - Part I: Authorized Official-V12

CMS-3427 - Part I: V13, V14, V15, V20-V30

Fields: "CMS-3427 - Part I: V13, V14, V15, V20-30", on page 574

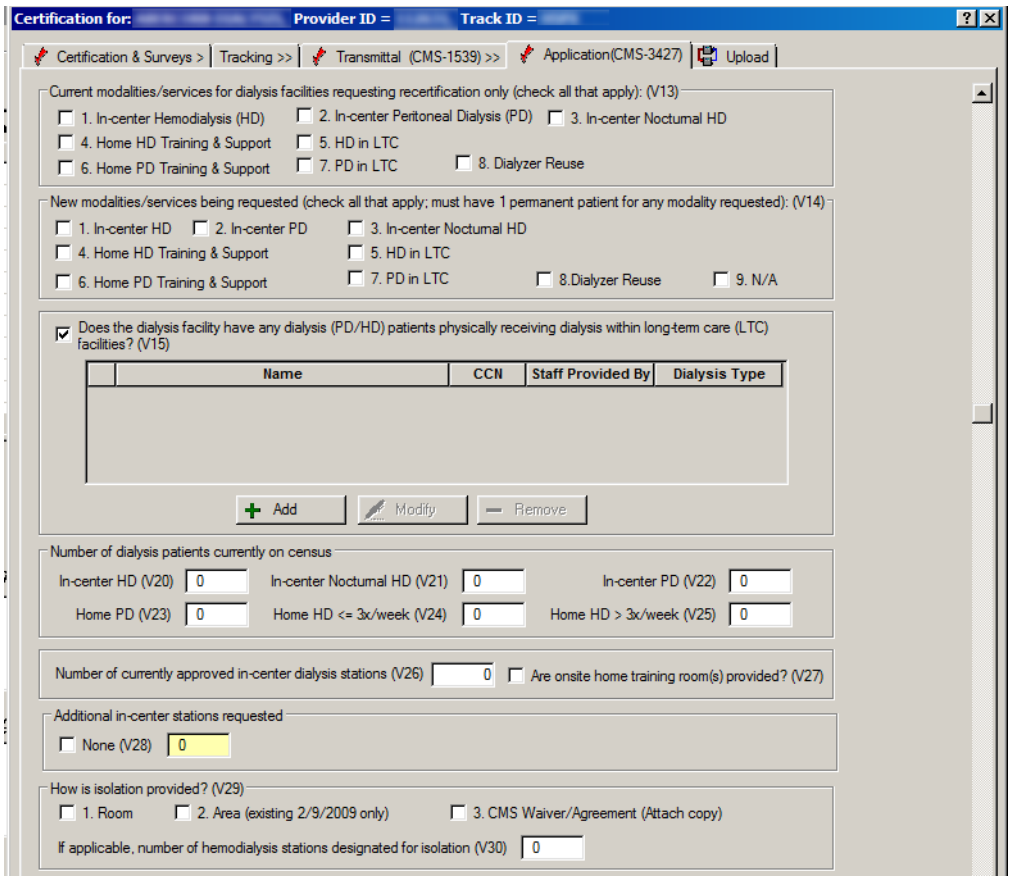


Figure 153: CMS-3427 - Part I: V13, V14, V15, V20-V30

Shared Dialysis Staffing window (V16-V19)

Fields: "Shared Dialysis Staffing window", on page 576

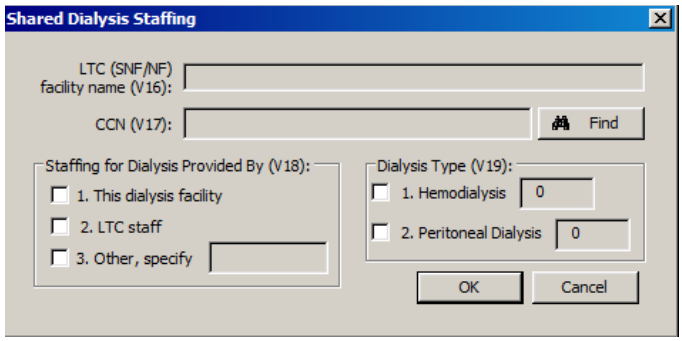


Figure 154: Shared Dialysis Staffing window (V16-V19)

CMS-3427 - Part I: V31-Remarks

Fields: "CMS-3427 - Part I: V31-Remarks", on page 577

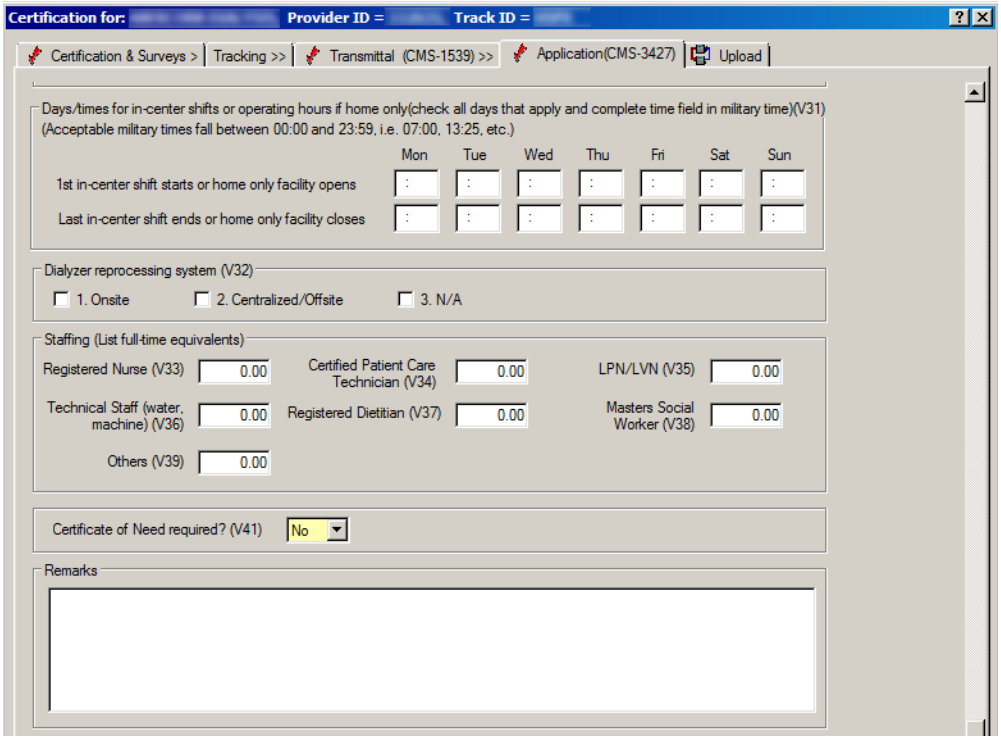


Figure 155: CMS-3427 - Part I: V31-Remarks

CMS-3427 - Part II

State Agency personnel complete Part II of the CMS-3427.

Fields: "CMS-3427 Part II", on page 577

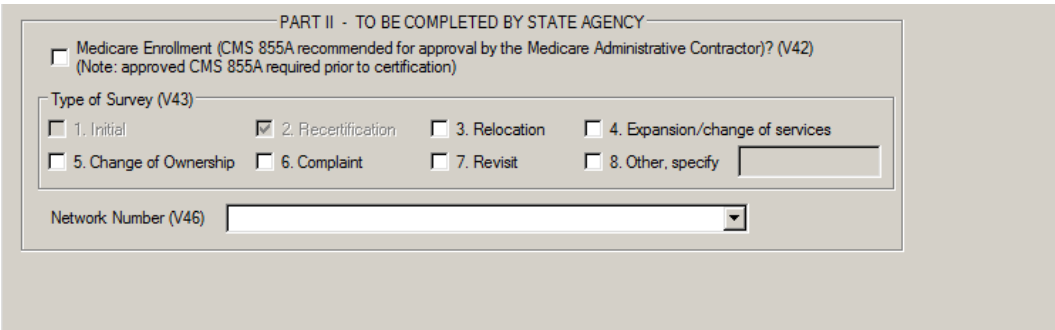


Figure 156: CMS-3427 - Part II

ICF/IID Application (CMS-3070G)

The Intermediate Care Facility for Individuals with Intellectual Disability Survey Report (CMS-3070G) is completed by the surveyors and provides information about provider characteristics, ownership, capacity, and staffing. It has seven main sections:

- Survey
- Control
- Survey Team Composition
- Facility Data
- Staffing
- Off-Campus Day Programs
- Individual Characteristics

Submission of this form initiates the process of determining whether the Conditions of Coverage are met.

CMS-3070G: Survey

Fields: "CMS-3070G - Survey Information", on page 563

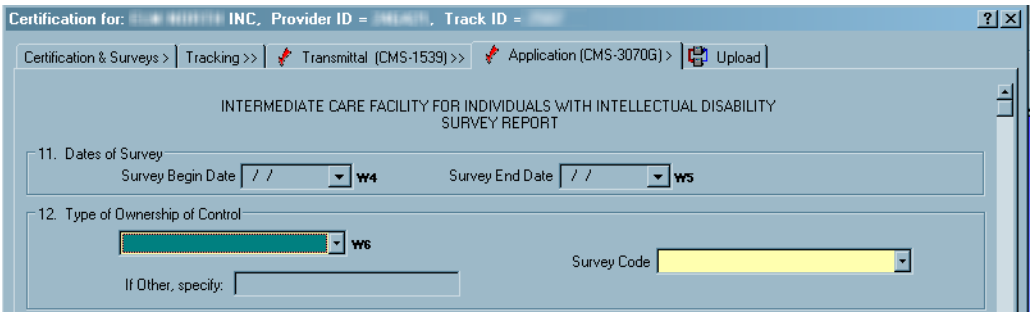


Figure 157: Survey Information section of CMS-3070G tab

CMS-3070G: Control

Fields: "CMS-3070G - Control Information", on page 564

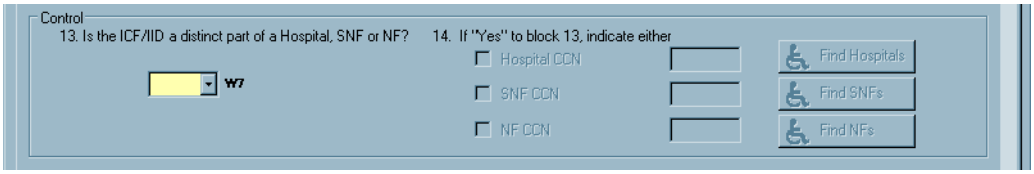
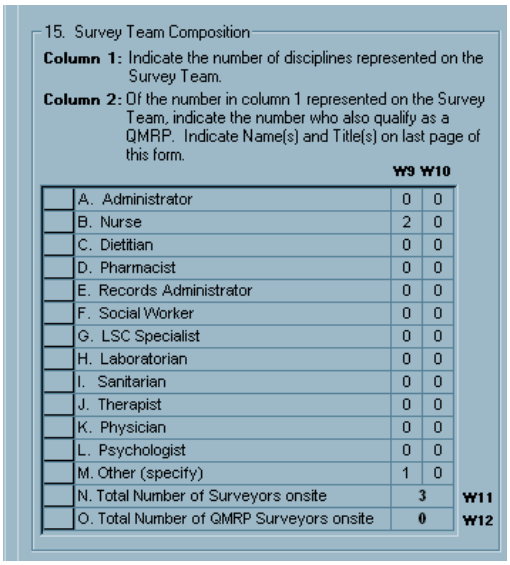


Figure 158: Control section of CMS-3070G tab

CMS-3070G: Survey Team Composition

Fields: "CMS-3070G - Survey Team Composition", on page 565



15. Survey Team Composition

Column 1: Indicate the number of disciplines represented on the Survey Team.

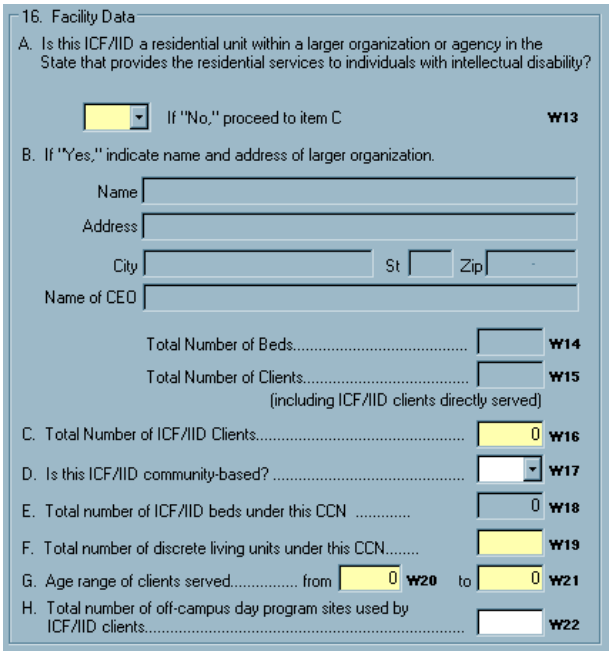
Column 2: Of the number in column 1 represented on the Survey Team, indicate the number who also qualify as a QMRP. Indicate Name(s) and Title(s) on last page of this form.

		W9	W10	
	A. Administrator	0	0	
	B. Nurse	2	0	
	C. Dietitian	0	0	
	D. Pharmacist	0	0	
	E. Records Administrator	0	0	
	F. Social Worker	0	0	
	G. LSC Specialist	0	0	
	H. Laboratorian	0	0	
	I. Sanitarian	0	0	
	J. Therapist	0	0	
	K. Physician	0	0	
	L. Psychologist	0	0	
	M. Other (specify)	1	0	
	N. Total Number of Surveyors onsite	3		W11
	O. Total Number of QMRP Surveyors onsite	0		W12

Figure 159: Survey Team Composition section of CMS-3070G tab

CMS-3070G: Facility Data

Fields: "CMS-3070G - Facility Data", on page 565



16. Facility Data

A. Is this ICF/IID a residential unit within a larger organization or agency in the State that provides the residential services to individuals with intellectual disability?

If "No," proceed to item C W13

B. If "Yes," indicate name and address of larger organization.

Name

Address

City St Zip

Name of CEO

Total Number of Beds..... W14

Total Number of Clients..... W15
(including ICF/IID clients directly served)

C. Total Number of ICF/IID Clients..... 0 W16

D. Is this ICF/IID community-based? W17

E. Total number of ICF/IID beds under this CCN 0 W18

F. Total number of discrete living units under this CCN..... W19

G. Age range of clients served..... from 0 W20 to 0 W21

H. Total number of off-campus day program sites used by ICF/IID clients..... W22

Figure 160: Facility Data section of CMS-3070G tab

CMS-3070G: Staffing

Fields: "CMS-3070G - Staffing", on page 566

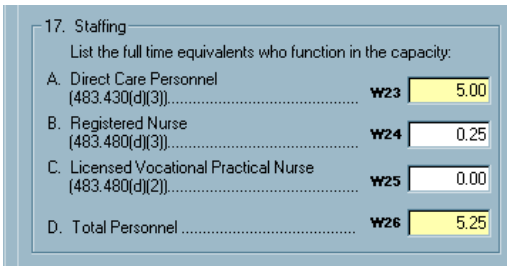


Figure 161: Staffing section of CMS-3070G tab

CMS-3070G: Off-Campus Day Programs

Fields: "CMS-3070G - Off-Campus Day Programs", on page 567

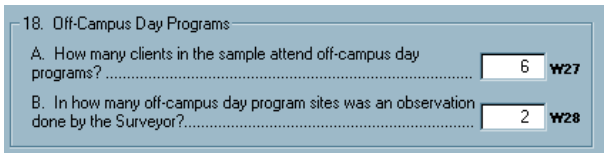


Figure 162: Off-Campus Day Programs section of CMS-3070G tab

CMS-3070G: Age, Gender

Fields: "CMS-3070G - Age and Gender", on page 567

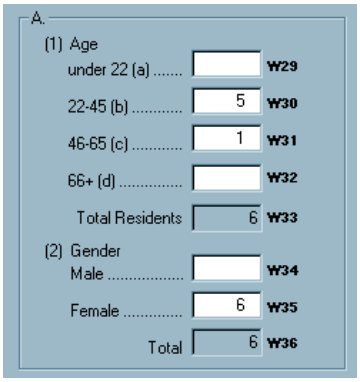


Figure 163: Age, Gender section of CMS-3070G tab

CMS-3070G: Disabilities

Fields: "CMS-3070G - Disabilities", on page 568

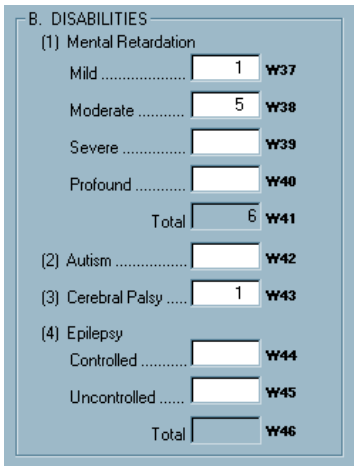


Figure 164: Disabilities section of CMS-3070G tab

CMS-3070G: Other Disabilities

Fields: "CMS-3070G - Other Disabilities", on page 569

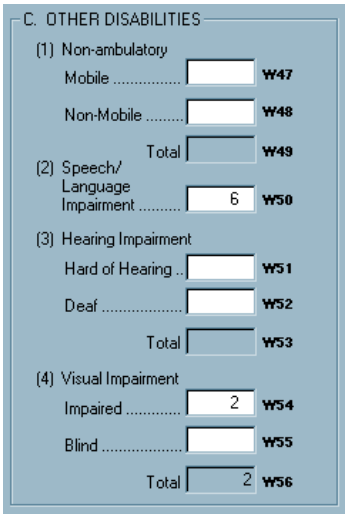


Figure 165: Other Disabilities section of CMS-3070G tab

CMS-3070G: Other Individual Characteristics

Fields: "CMS-3070G - Other Individual Characteristics", on page 570

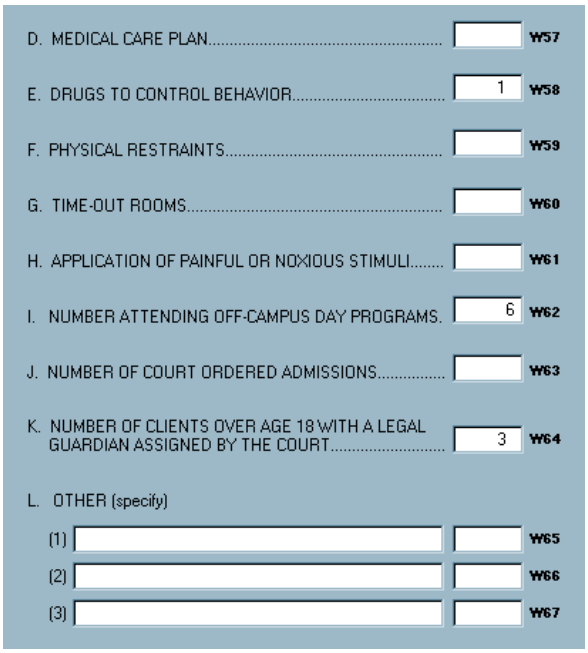


Figure 166: Other Individual Characteristics section of CMS-3070G tab

CMS-3070G: Allegations of Abuse and Neglect

Fields: "CMS-3070G - Allegations of Abuse and Neglect", on page 571

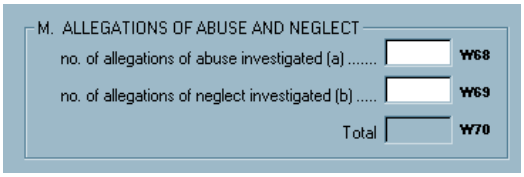


Figure 167: Allegations of Abuse and Neglect of CMS-3070G tab

CMS-3070G: Number of Deaths

Fields: "CMS-3070G - Number of Deaths", on page 571

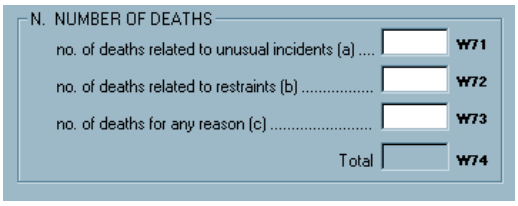


Figure 168: Number of Deaths section of CMS-3070G tab

ASC App/CDE (CMS-377/378E)

The App/CDE (CMS-377/378E) tab combines two forms:

- Ambulatory Surgical Center Request for Certification in the Medicare Program (CMS-377)

  Submission of this form initiates the process of determining whether the Conditions of Coverage are met.

- Ambulatory Surgical Center Survey Report Crucial Data Extract (CMS-378E)

  This form is obsolete, but still appears in pre-ASPEN 10.5 ASC kits if data was entered.

CMS-377 - ASC Request for Certification

CMS-377 has four sections:

- Control
- Ancillary Services
- Surgical Specialties
- Facility Characteristics

Fields: "CMS-377 - Request for Certification", on page 536

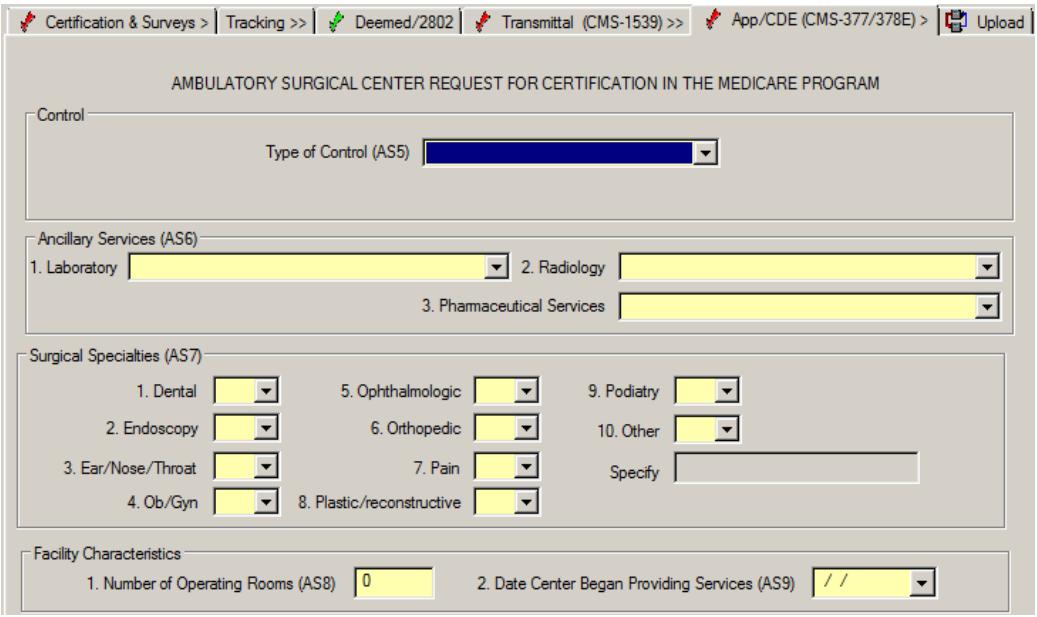


Figure 169: CMS-377 - Request for Certification, ASPEN 10.6 and later

For certification kits created prior to ASPEN 10.6, there is an additional field in the Control section.

Certification for: SURGERY CENTER, Provider ID = , Track ID = BNYX, Cert Exit

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

AMBULATORY SURGICAL CENTER REQUEST FOR CERTIFICATION IN THE MEDICARE PROGRAM

Control

Related Provider Number (AS2) | Find Facility

Type of Control (AS5) 03 GOVERNMENT

Ancillary Services (AS6)

1. Laboratory 2 PROVIDED THROUGH AN OUTSIDE SOURCE
2. Radiology 1 PROVIDED DIRECTLY BY THE FACILITY
3. Pharmaceutical Services 2 PROVIDED THROUGH AN OUTSIDE SOURCE

Surgical Specialties (AS7)

1. Dental	Yes	5. Ophthalmologic	Yes	9. Podiatry	Yes
2. Endoscopy	Yes	6. Orthopedic	Yes	10. Other	Yes
3. Ear/Nose/Throat	Yes	7. Pain	Yes	Specify	
4. Ob/Gyn	Yes	8. Plastic/reconstructive	Yes		

Facility Characteristics

1. Number of Operating Rooms (AS8) 2
2. Date Center Began Providing Services (AS9) 07/12/2007

Figure 170: CMS-377 - Request for Certification, pre-ASPEN 10.6

CMS-378E - ASC Crucial Data Extract

This form is obsolete and does not appear in ASC certification kits with a certification exit date (L34) after the ASPEN 10.5 release date (09/17/16) or pre-ASPEN 10.5 ASC kits if no data was entered, but still appears in pre-ASPEN 10.5 ASC kits if data was entered.

CMS-378E has two sections:

- Equipment
- Records

Fields: "CMS-378E - Crucial Data Extract", on page 537

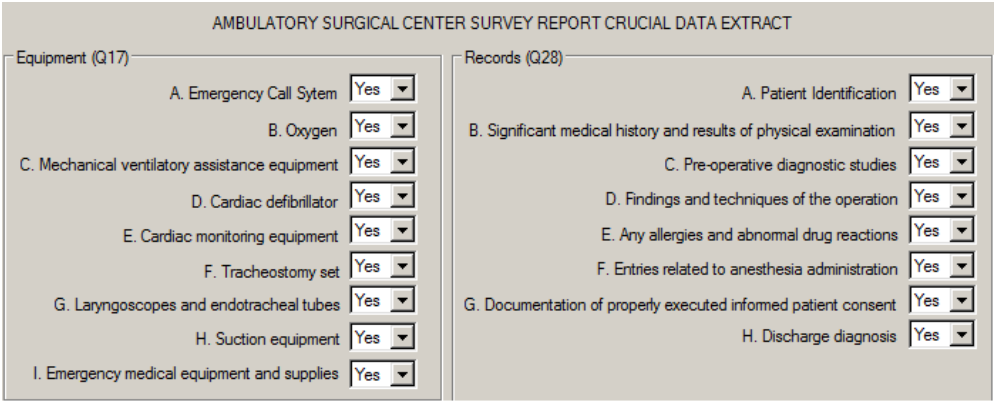


Figure 171: CMS-378E - ASC Crucial Data Extract, pre-ASPEN 10.5 kit

Hospice Application (CMS-417)

The Hospice Request for Certification in the Medicare Program (CMS-417) provides basic information about the Hospice provider. It has three sections:

- Provider information
- Services Provided
- Number of Employees/Volunteers

Submission of this form initiates the process of determining whether the Conditions of Coverage are met.

Fields: "HOSPICE Application (CMS-417)", on page 537

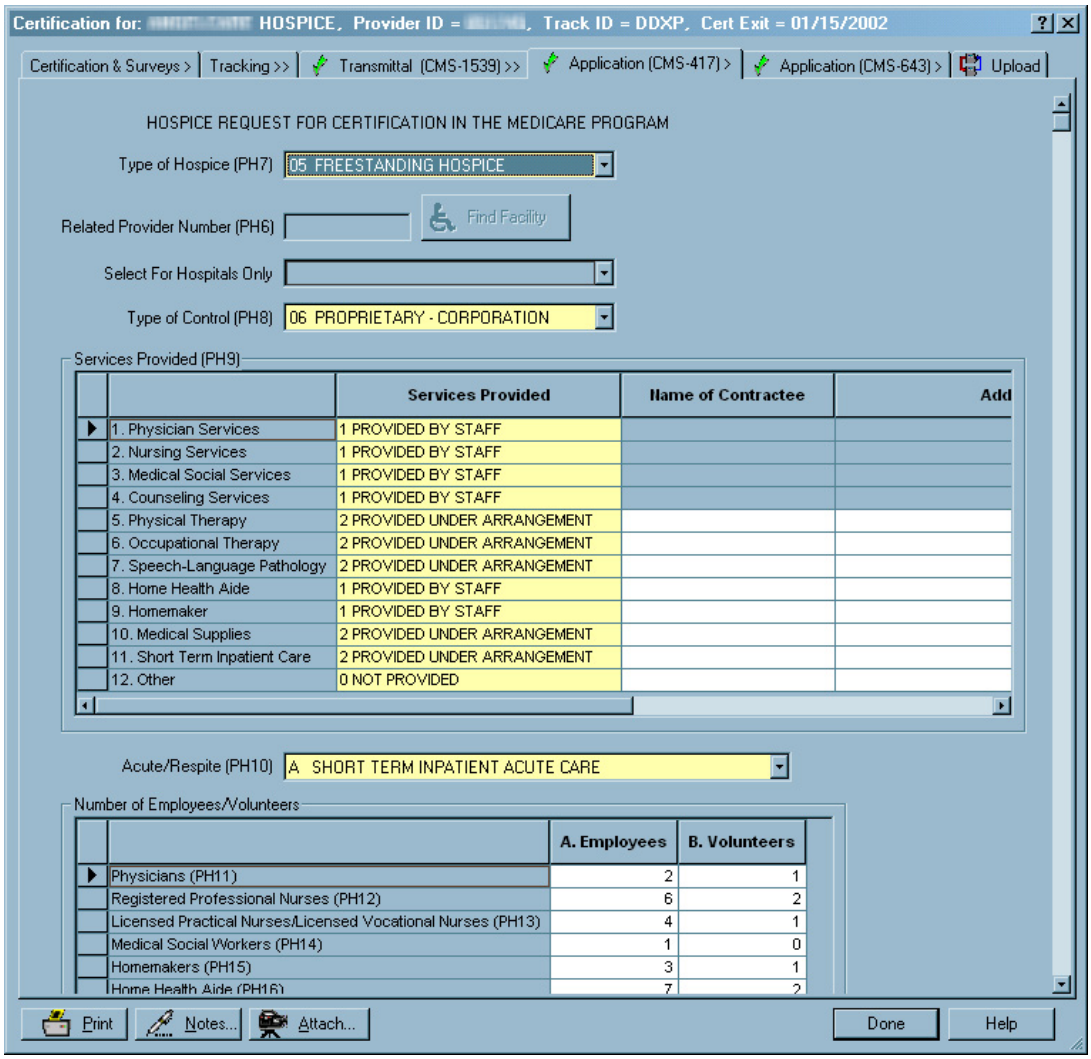


Figure 172: Application (CMS-417) tab

Hospice Application (CMS-643)

The Hospice Survey and Deficiencies Report (CMS-643) collects information about the provider's compliance with applicable Federal regulations.

Fields: "HOSPICE Survey and Deficiencies Report (CMS-643)", on page 539

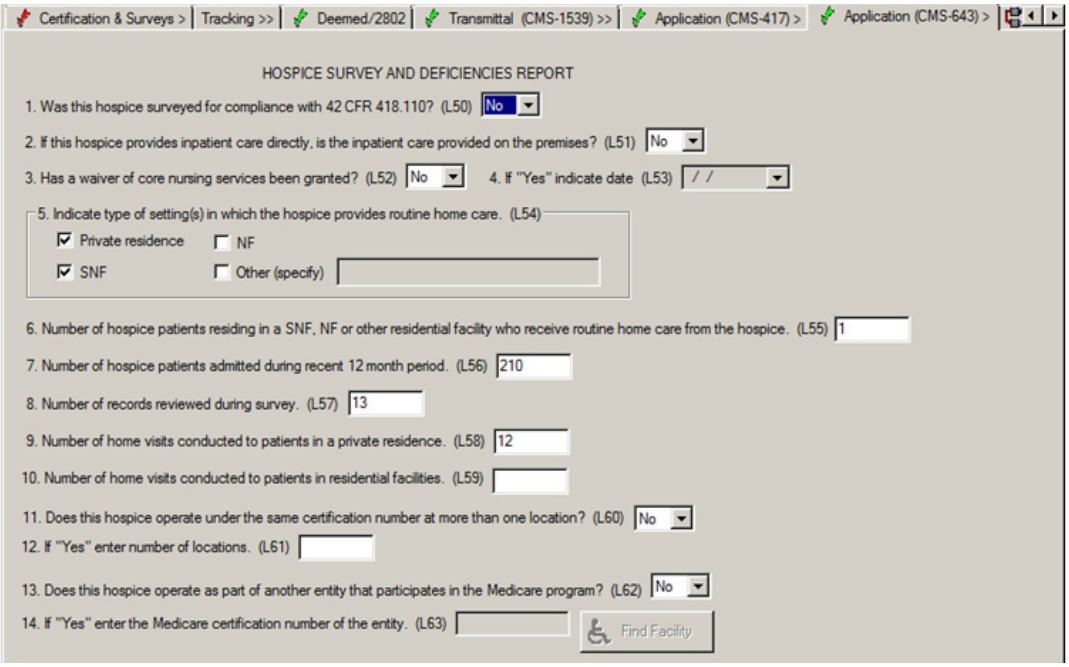


Figure 173: Hospice Application (CMS-643) tab

Application PRTF

Application PRTF provides information about the Psychiatric Residential Treatment Facility provider.

Fields: "Application PRTF", on page 578

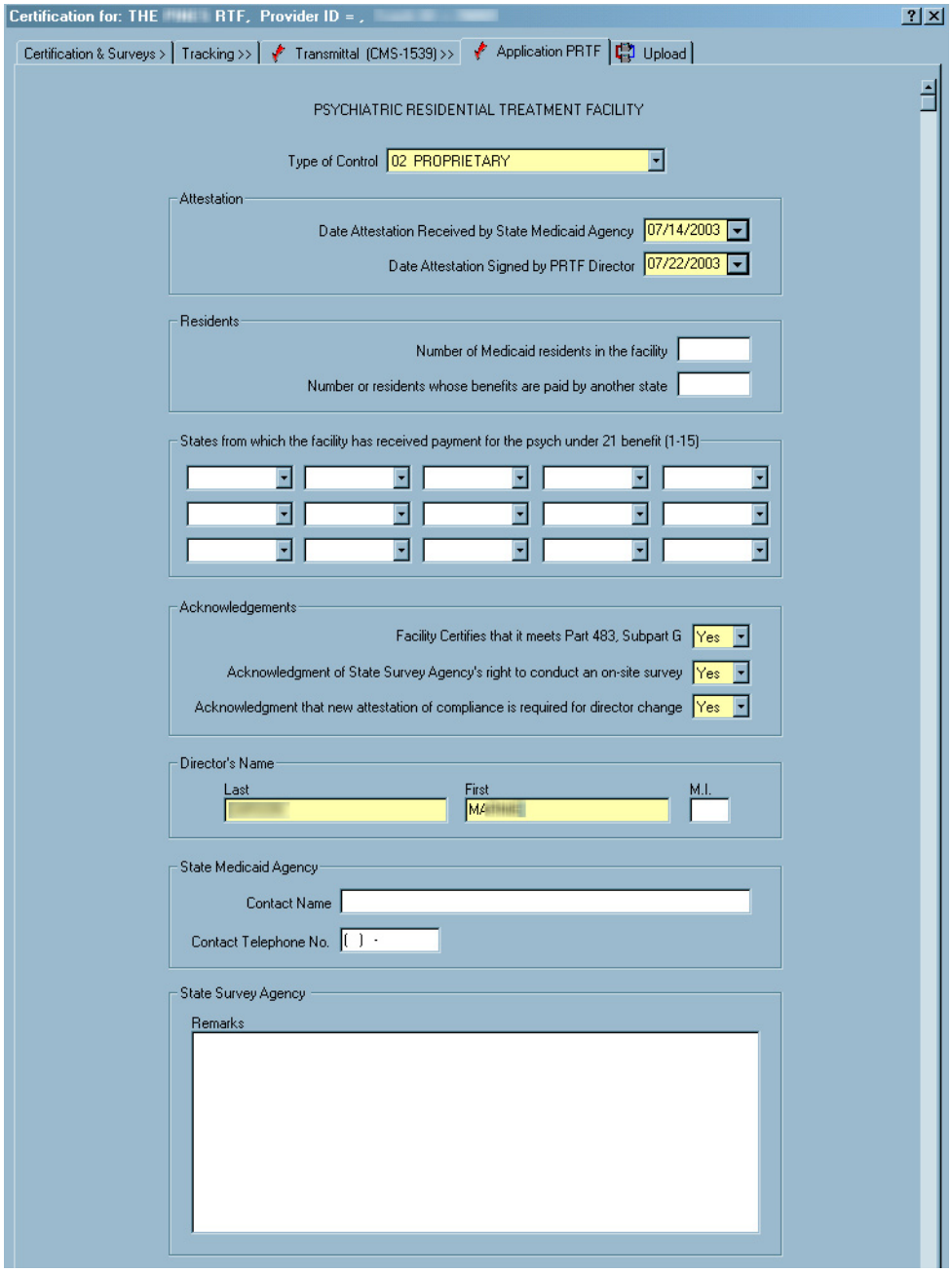


Figure 174: Application PRTF tab

CMHC Add'l Information

CMHC Add'l Information captures basic information about the CMHC provider.

Fields: "CMHC Add'l Information", on page 579

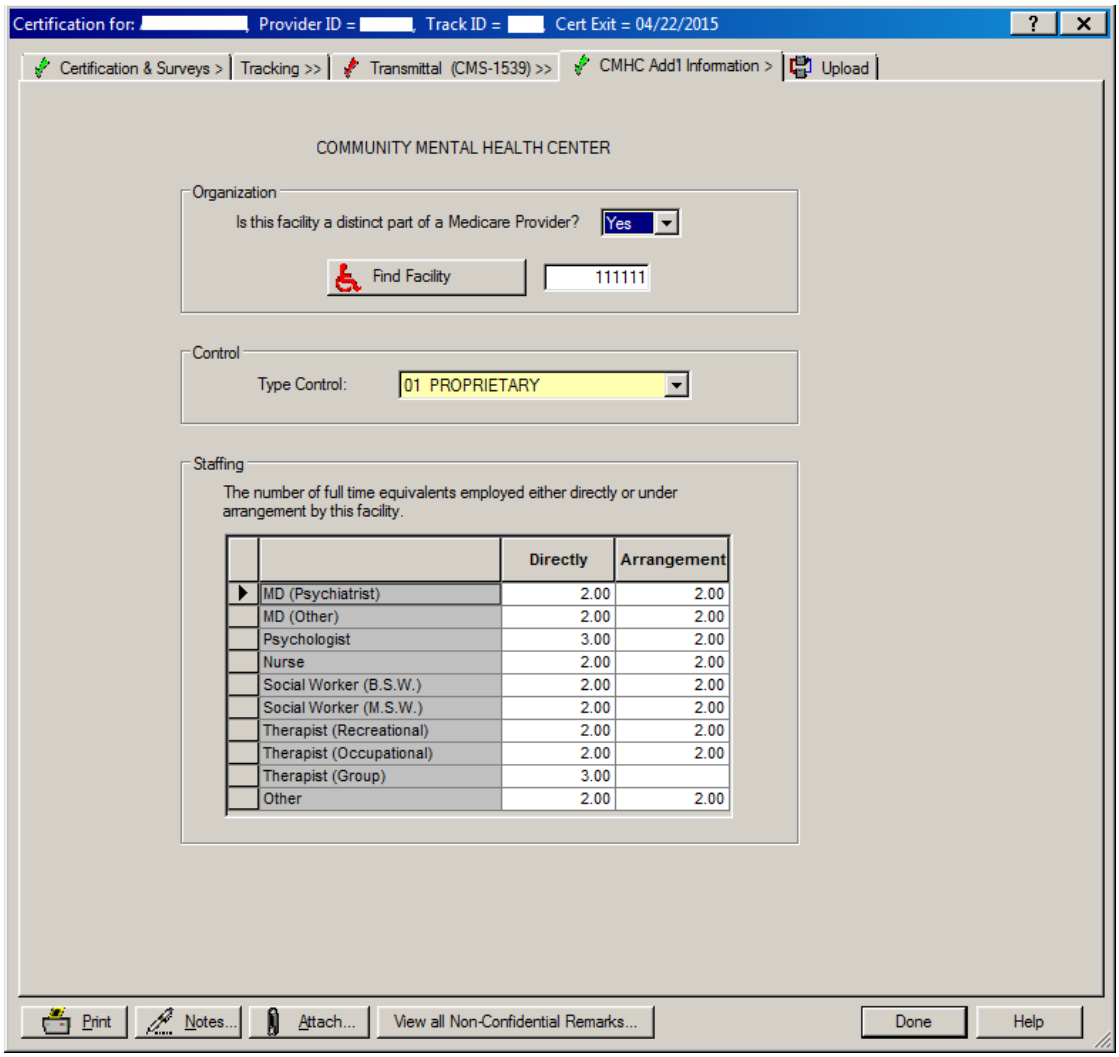


Figure 175: CMHC Add'l Information tab

FQHC Skeleton Form

The FQHC Skeleton Form captures basic information about the FQHC provider.

Fields: "FQHC Skeleton Form", on page 580

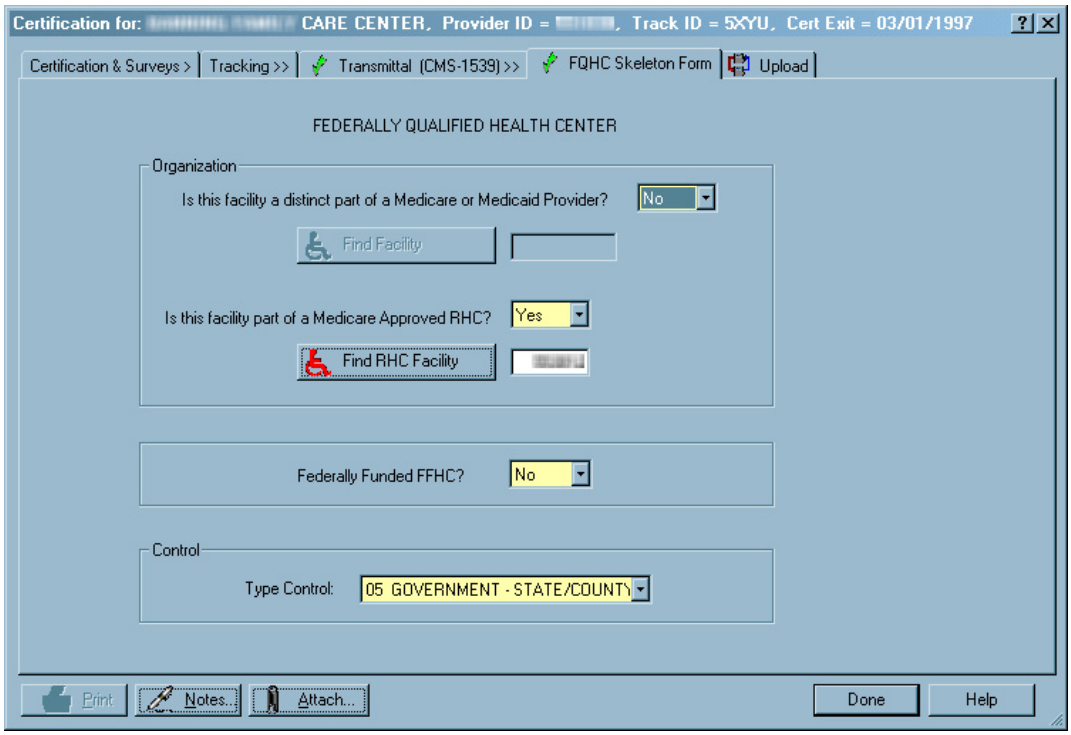


Figure 176: FQHC Skeleton Form tab

Upload tab

When all the information required for upload is entered on a form, the red checkmark on the form's tab changes to green. When all the tabs have green checkmarks and the Facility and CMS-670 Edits button (Certification & Surveys tab) is disabled, the certification kit is automatically uploaded if eligible. Or, you can manually submit the certification kit to national from the Upload tab.

Prior Certification Kit Uploads

The top section of this tab contains action buttons and lists the attempts that have been made to upload the certification kit, with indicators of success or failure.

As in many areas of ASPEN, you can click a column's heading to sort the list based on that heading. The first sort is by ascending order. Click again to reverse the sort.

Fields: "Prior Certification Kit Uploads", on page 581

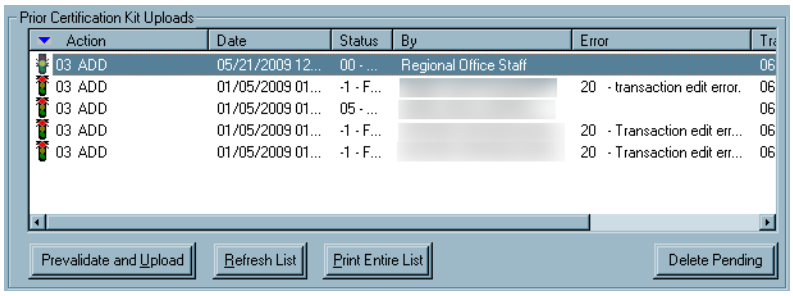


Figure 177: Prior Certification Kit Upload section of Upload tab

Upload Transaction Errors

When you click a failed transaction, a lower section opens to provide details about any errors that occurred during either the prevalidation (if manual upload) or the upload.

Fields: "Upload Transaction Errors", on page 582

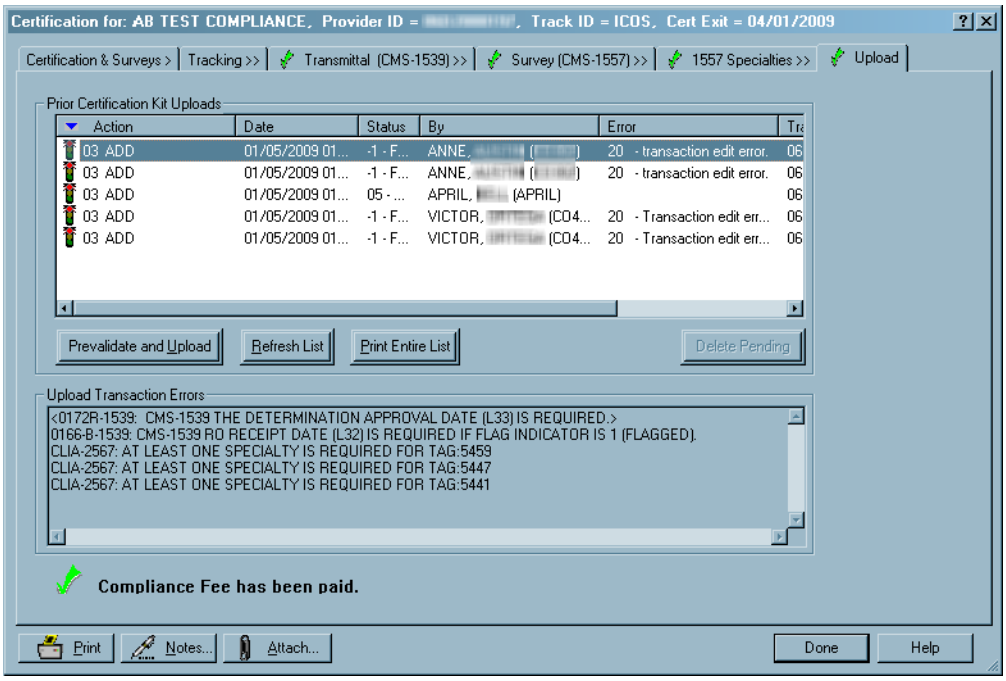


Figure 178: Upload Transaction Errors section of Upload tab

Certification Kit Button Bar

These buttons appear at the bottom of each tab in the certification kit.

Fields: "Certification Kit Button Bar", on page 583

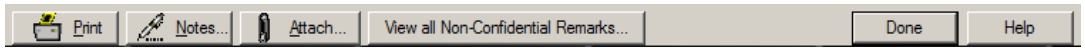


Figure 179: Certification kit button bar

Other Certification Windows

This section covers the other certification windows that you may use and are not covered in the above sections.

Certification Kits window

From the main ACO/ARO menu, select Tracking, then Certifications to see a list of all certification kits. Initial certification are red; recertifications are blue. The list can be filtered by status and date range. The date range filter uses the exit date of the certification kit. You can click a column heading to sort by that column. Double-click a certification to open the kit.

Fields: "Certification Kits (Tracking)", on page 583

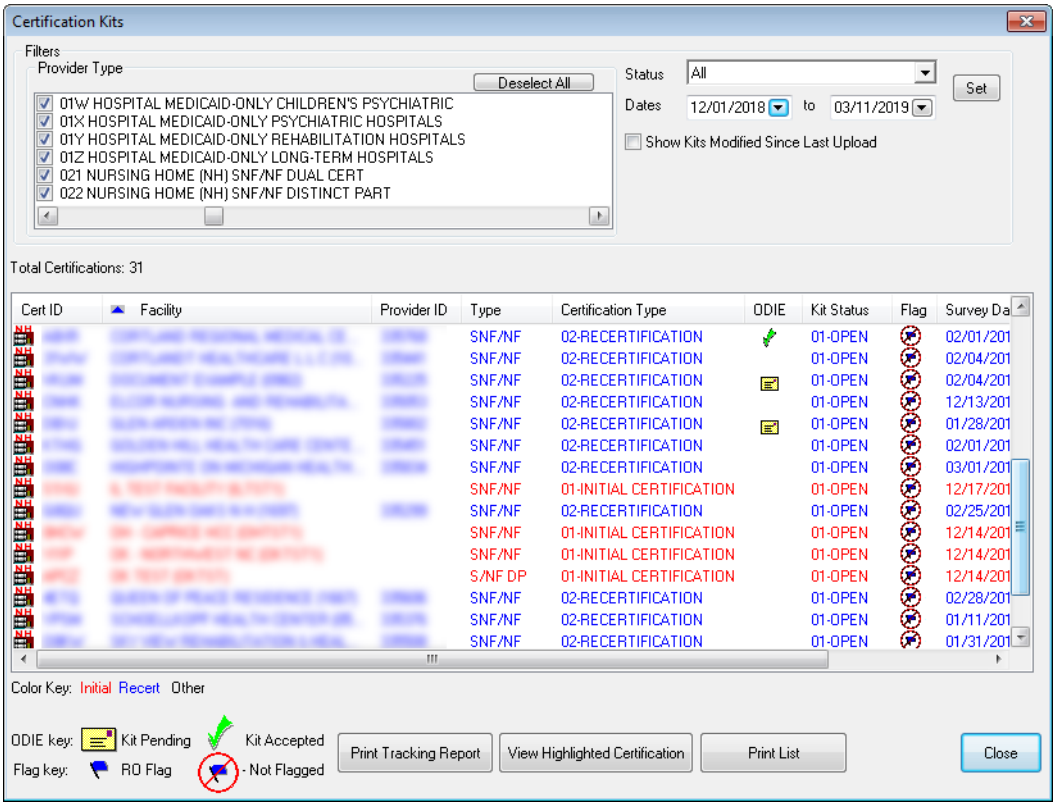


Figure 180: Certification Kits window

Please Specify Transactions window

When you select Transactions from the Tracking menu, this window appears to let you enter a transaction date range and choose which of seven groups of transactions to display.

Fields: "Please Specify Transactions To List", on page 585

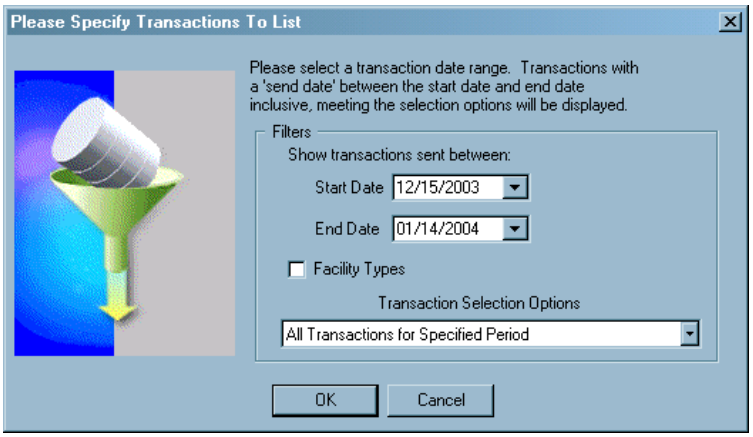


Figure 181: Please Specify Transactions window

Transactions window

The Transactions window displays transactions matching the criteria set in the Please Specify Transactions window. Initial certifications are red, recertifications are blue. You can sort this list by any of the column headings. Use the four fields at the top to redefine filtering criteria and sort order; click Refresh List to update the display. Double-click a row or click View Related Certification Kit to display the related certification kit.

Fields: "Transactions", on page 585

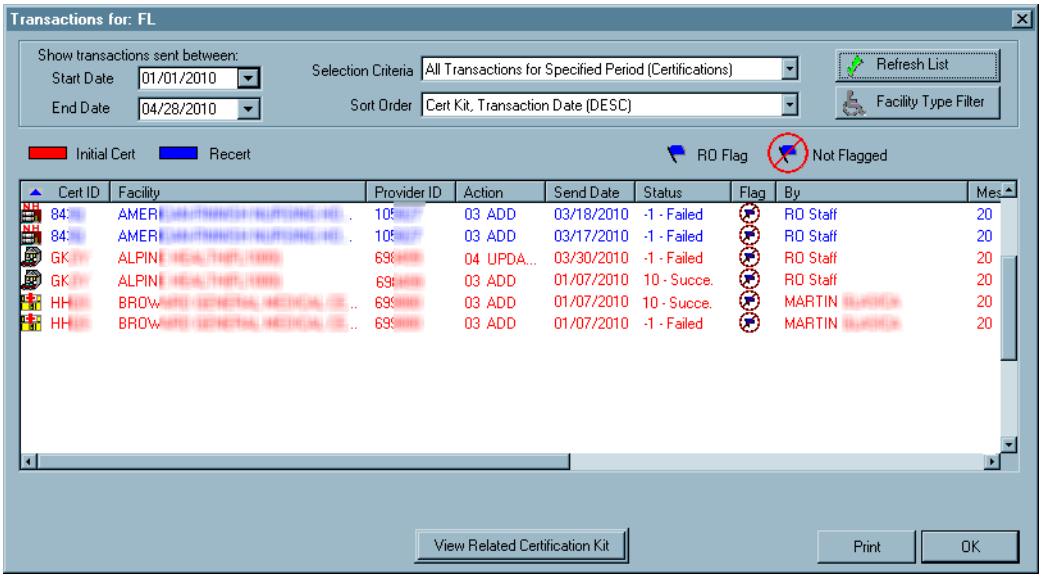


Figure 182: Transactions window

Failed and Overdue Certification Kit Uploads window

The Failed and Overdue Certification Kit Uploads window lists:

- Failed/Stalled uploads of certification kits
- Certification kits overdue for an upload
- Incomplete certification kits

Fields: "Failed and Overdue Certification Kit Uploads", on page 587

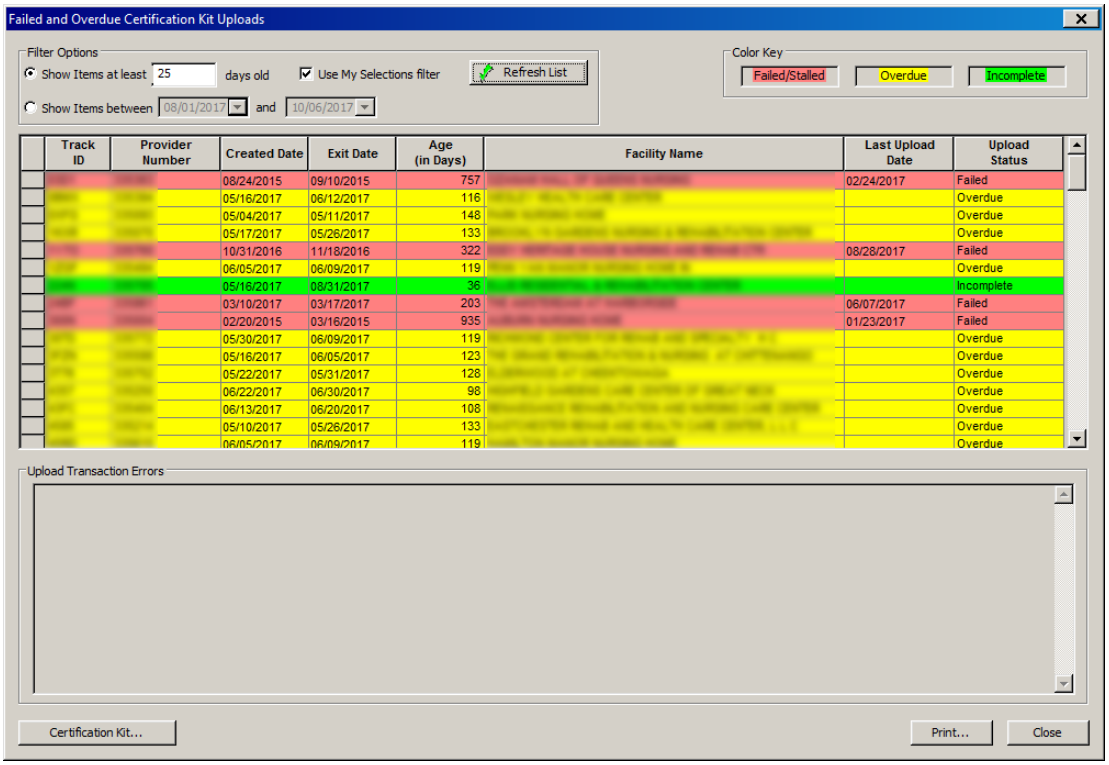


Figure 183: Failed and Overdue Certification Kit Uploads window

Surveys (Merge Surveys) window

Occasionally you may need to merge the information in a survey outside a certification kit with a survey inside the kit. You must have a “shell” survey already in the kit to receive the information. You cannot merge a standard survey with a revisit or vice versa. Once merged, the survey outside the kit will no longer exist. When applicable, ASPEN asks if you want to use the Source or the Destination information.

When you right-click a certification kit and select Merge Survey, you will see the following window listing all surveys for the provider not already linked to the certification.

Fields: "Surveys (Merge Surveys)", on page 589

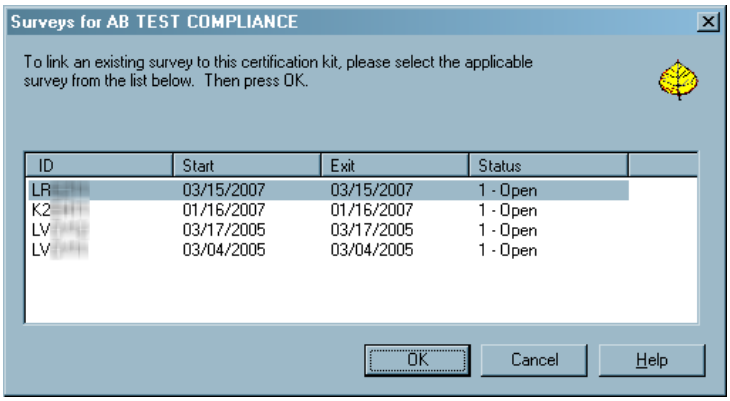


Figure 184: Surveys (Merge Surveys) window

Buildings/Wings window

For applicable Hospitals, NHs, ICFs/IID, ASCs, ESRDs, and Hospices, you can click Buildings/Wings on the Certifications & Surveys tab of the certification kit to open a window listing all of the buildings associated with the provider. This is the same list you see on the Buildings/Wings tab in the Facility Properties window (see Screen: "Buildings/Wings tab" on page 306).

Define New/Edit Building window

Use this window to add a new building or modify a building in the Buildings/Wings list. The details you provide about a building or wing vary somewhat depending on provider type.

Fields: "Define New/Edit Building", on page 456

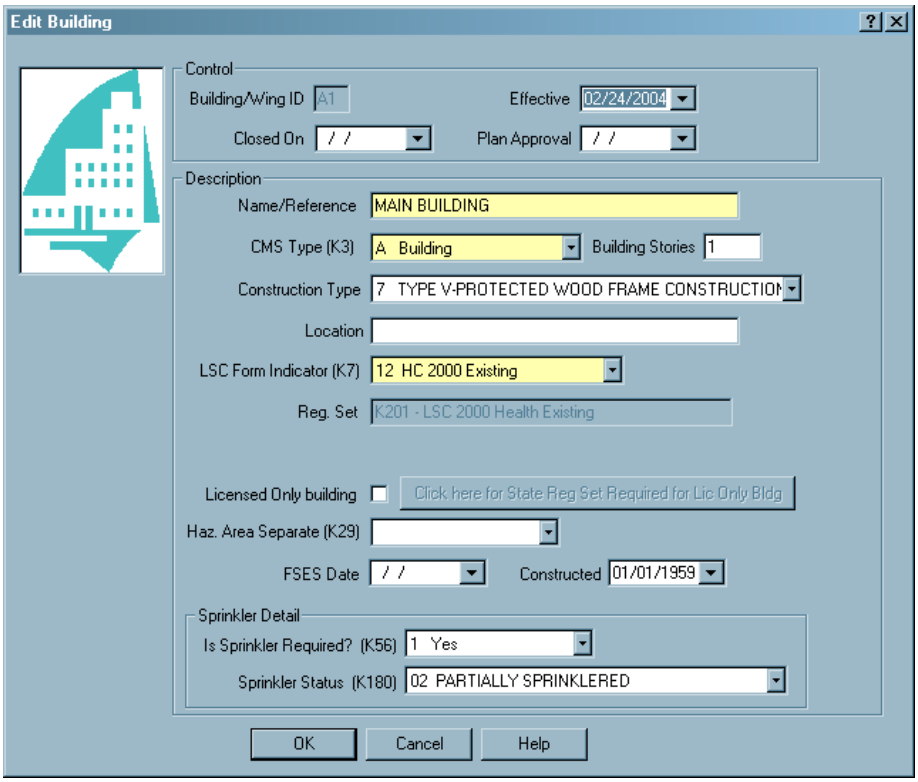


Figure 185: Edit Building window

Facility Status Change window - ARO

The Facility Status Change window lets ARO users change facility status for:

- NHs from SNF to NF or vice versa
- HHAs from Medicare to Medicaid only or vice versa
- ESRD and RHC providers, from one assigned provider number (CCN) range to another. You can change the provider number (CCN) without creating a new provider record.
- From/to Hospital subtypes PSY (012), RHB (013), CAH (014), LT (015), and CHD (016) to/from ACU (011).

Fields: "Facility Status Change - ARO", on page 589

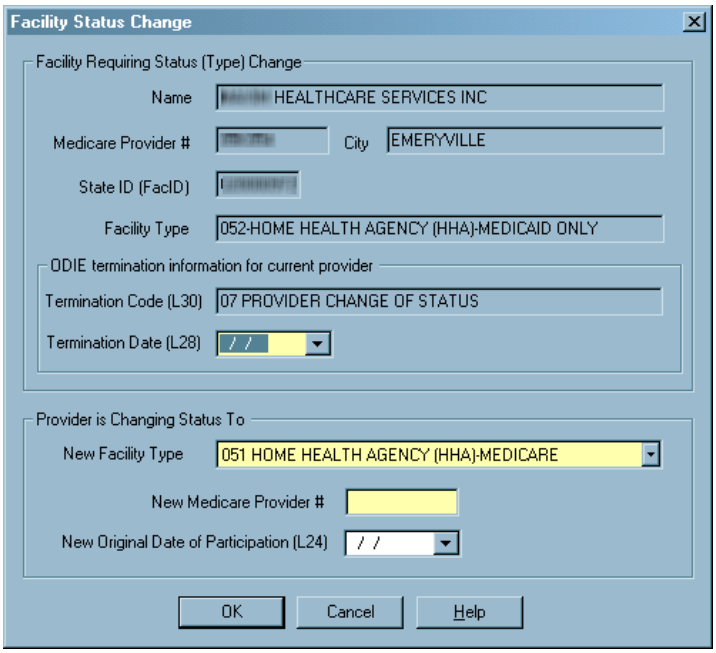


Figure 186: Facility Status Change window - ARO

Define Subunits window - HHA

From this window, you can add a new sub-unit or link to an existing provider record.Fields: "Define Subunits - HHA", on page 590

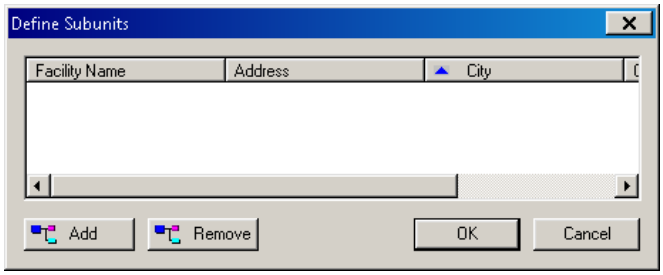


Figure 187: Define Subunits window

Facility Relationship Manager window - HHA

XRAY, OPT, CORF. On the tab for the applicable form in a certification kit, click Add under the "affiliations" grid (name varies).

The fields in the Facility Relationship Manager for these providers are similar to those for offsite Hospital locations minus Type, Location Code, Total Beds, Operating Beds.

Fields: "Facility Relationship Manager - HHA", on page 591

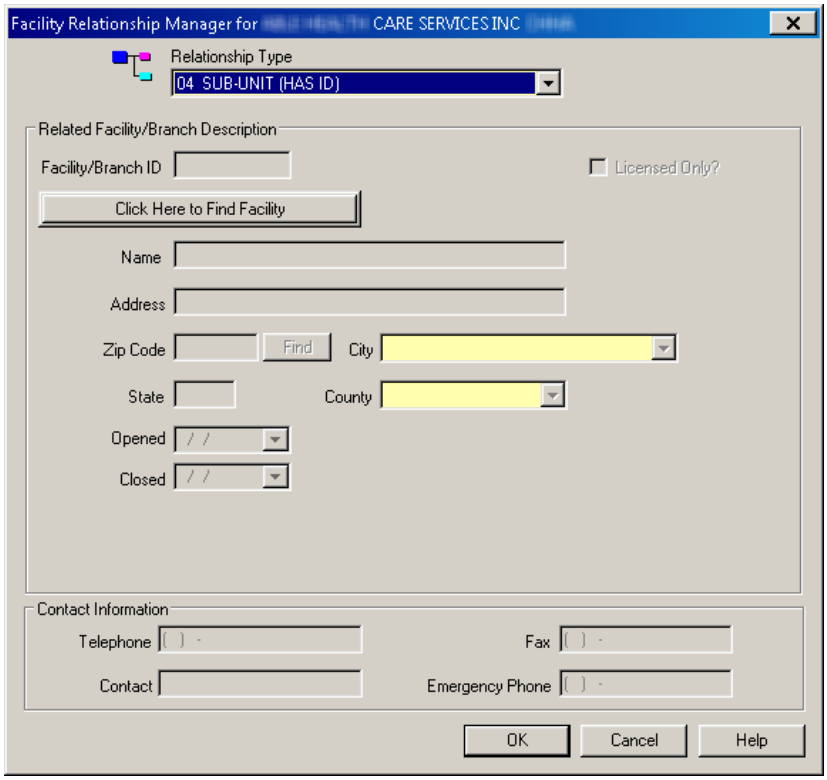


Figure 188: Facility Relationship Manager window - HHA

Survey Windows

The following sections covers the survey windows you will use to create and manage surveys.

Create Survey/Survey Properties Window

When you create a new survey, you enter basic information in this window. You can also view and change information for an existing survey.

Fields: "Create Health/LSC Survey, Survey Properties", on page 592

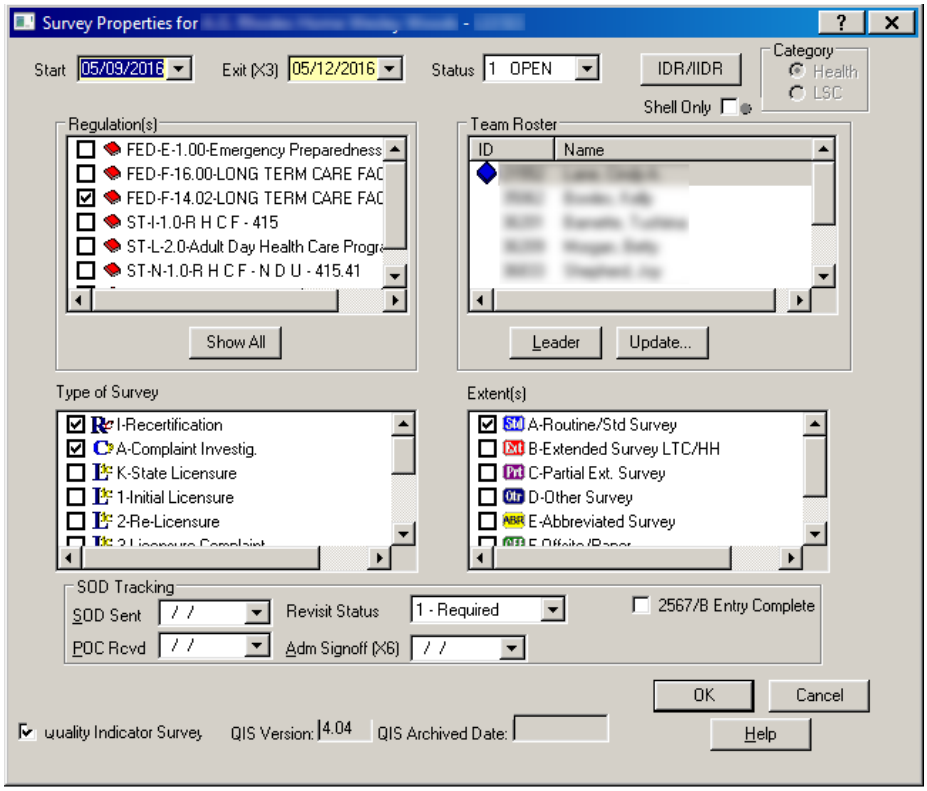


Figure 189: Create Survey/Survey Properties window

For special surveys only, a Special Survey Tracking section is included.

Fields: "Special Survey Tracking", on page 598

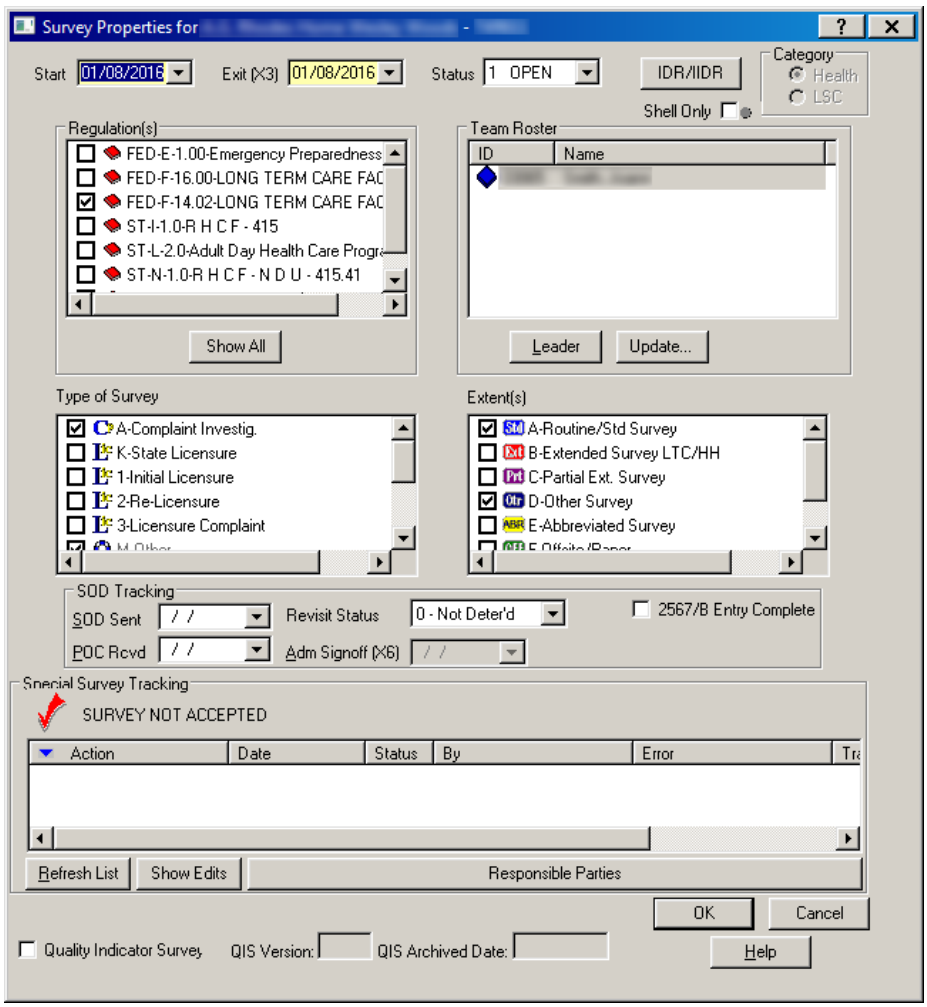


Figure 190: Survey Properties window with Special Survey Tracking section

Citation Manager window

The Citation Manager window lets you enter and modify citations, review the citations entered by other team members, and enter and review remarks. You can view the text or interpretive guidelines of any regulation (tag) and search for any text within the citations, tags, or interpretive guidelines. You can also display and print CMS forms, print customized form letters, and add attachments.

Fields: "Citation Manager", on page 600

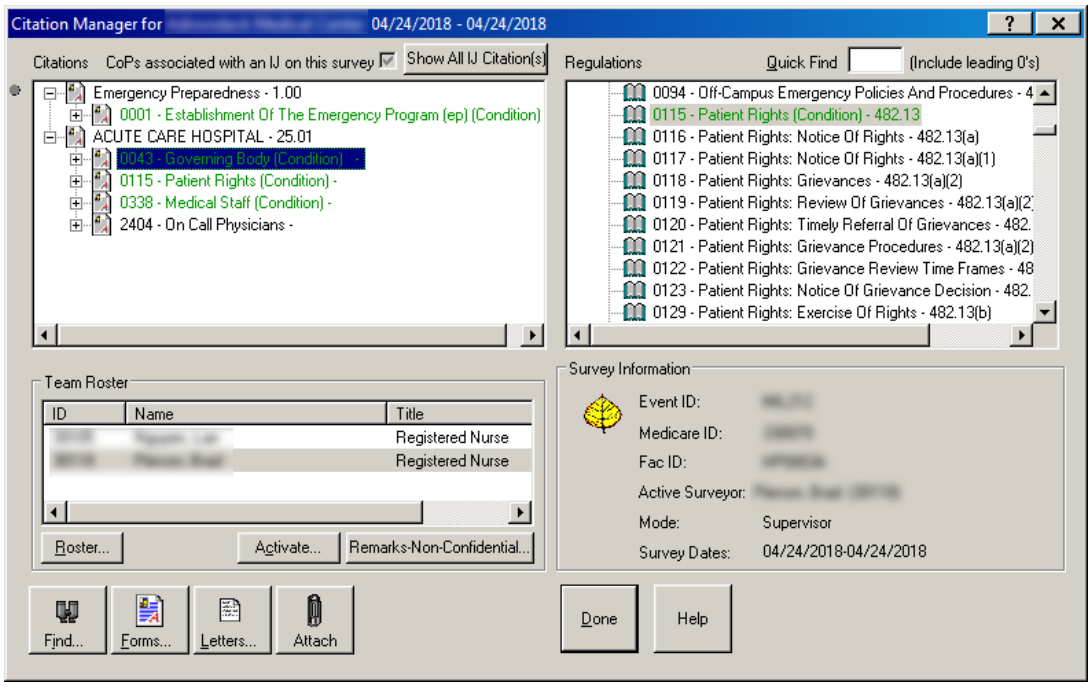


Figure 191: Citation Manager window

Citation Manager window - NH

For Nursing Homes, the IJ indicator is excluded and the Scope/Severity assigned to a tag is shown.

Fields: "Citation Manager", on page 600

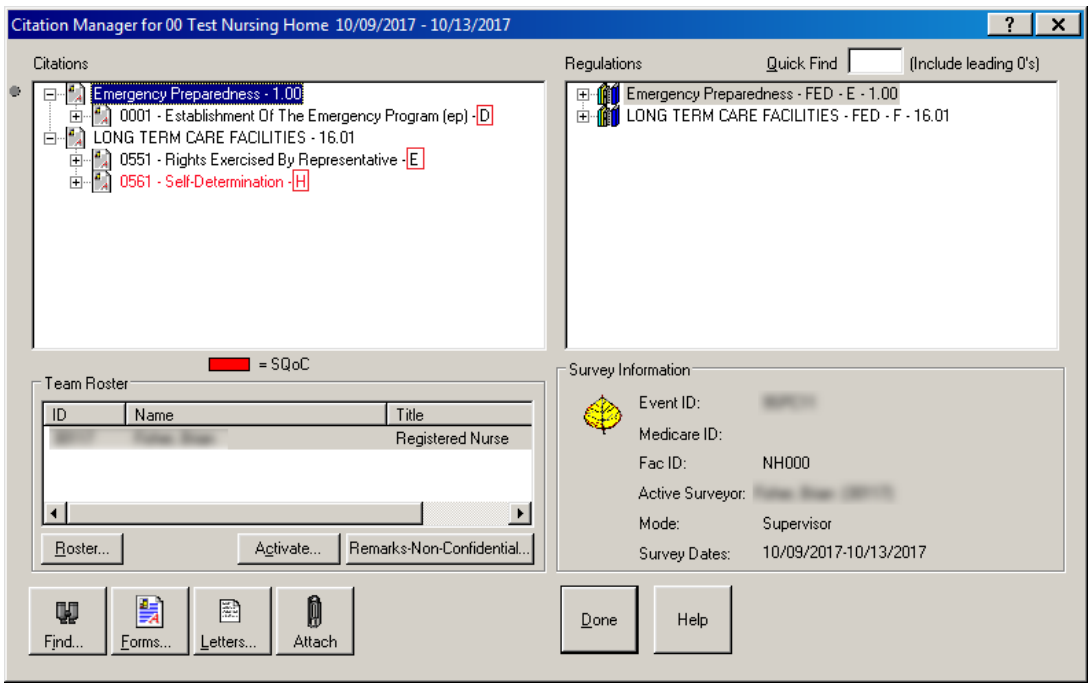


Figure 192: Citation Manager window - NH

Citation Properties window

This window opens whenever you cite a new tag in Citation Manager. You can make changes to citation properties later by right-clicking the tag in Citation Manager and selecting Citation Properties from the menu.

Fields: "Citation Properties", on page 603

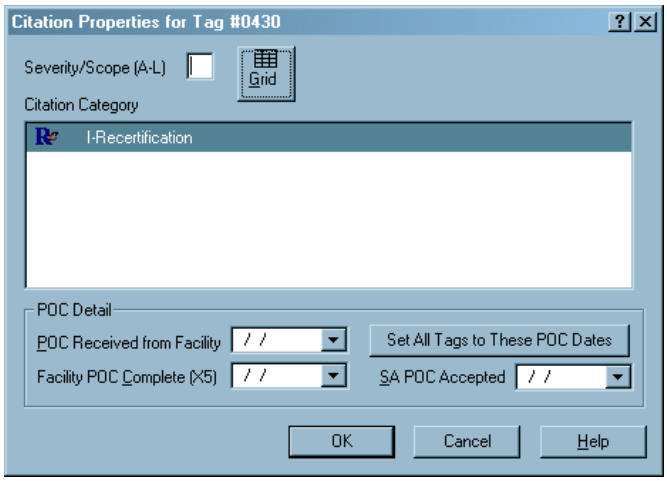


Figure 193: Citation Properties window

The fields that are displayed and enabled vary depending on the properties of the survey. Several examples follow.

When a Severity/Scope change is made for a tag anywhere in ASPEN, and the tag currently exists on a revisit survey, a warning notification appears informing users that the tag may require updating on that revisit survey as well.

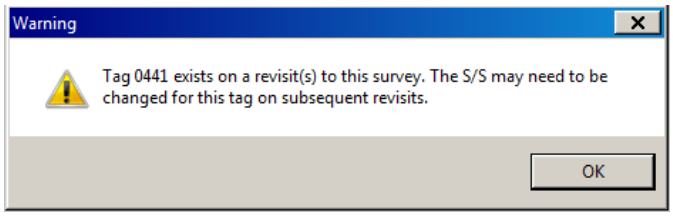


Figure 194: Severity/Scope Change warning

Citation Properties window - IJ question

The IJ question is included for condition-level citations when appropriate.

Fields: "Citation Properties", on page 603

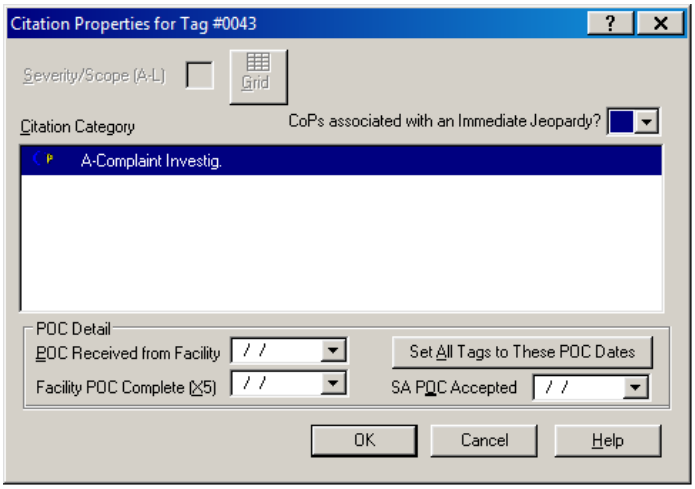


Figure 195: Citation Properties window - IJ question

Citation Properties window - LSC Revisit

If you are adding or updating a tag for an LSC revisit, you will see several additional fields.

Fields: "Citation Properties", on page 603

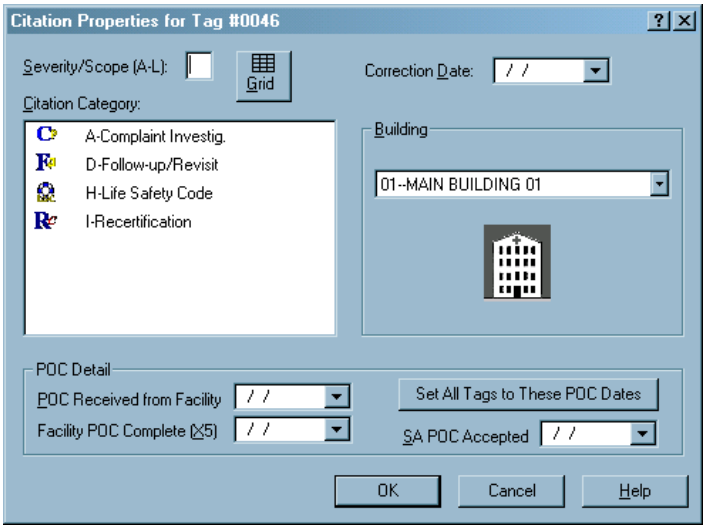


Figure 196: Citation Properties window - LSC Revisit

Citation Properties window - NH

For Nursing Homes only, you will see the Past Noncompliance indicator.

Fields: "Citation Properties", on page 603

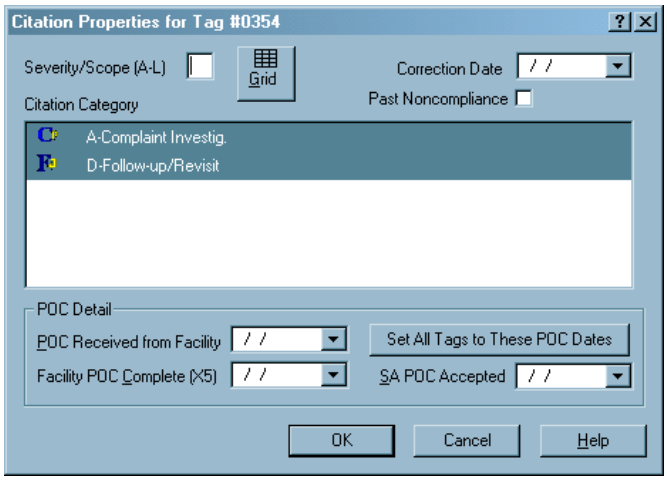


Figure 197: Citation Properties window - NH

Citation Properties window - Transplant Hospital

If you are adding or updating a tag for a standard survey of a Transplant Hospital, the Transplant Types button appears with the number of selected transplant types. The X5 and Correction Date fields are not included since Completion Date and Correction Date are entered at the transplant type level.

Fields: "Citation Properties", on page 603

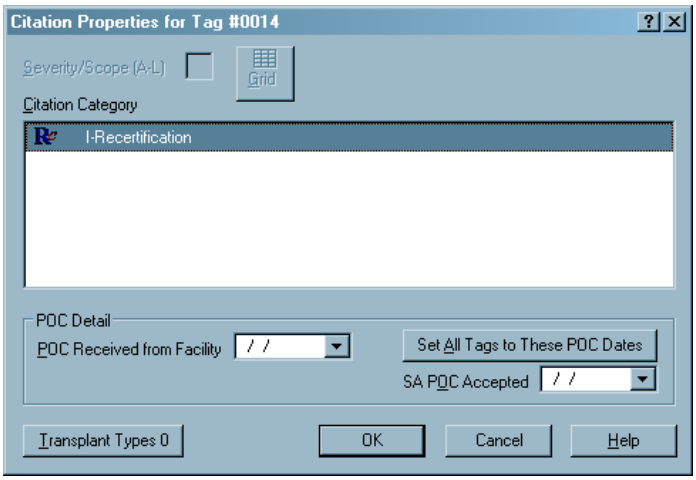


Figure 198: Citation Properties window - Transplant Hospital

More ...

Procedure: "Citation Dates by Transplant Type window" on page 408

Select Transplant Types window

For Transplant Hospital citations only, click Transplant Types in Citation Properties to open this window in which you select the transplant types associated with the citation. The number on the button indicates how many types are currently selected.

Fields: "Citation Properties", on page 603

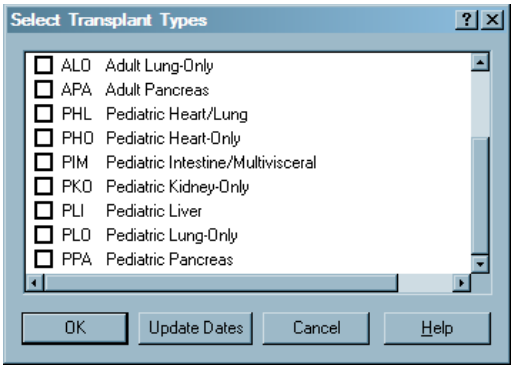


Figure 199: Select Transplant Types window

Citation Dates by Transplant Type window

For Transplant Hospital citations only, click Update Dates in the Select Transplant Types window (above) to open this window. Use it to enter Completion (X5) and Correction dates for each transplant type associated with the citation, i.e., the types chosen in the Select Transplant Types window. If there aren't any revisits, the Correction Date column is disabled.

Fields: "Citation Properties", on page 603

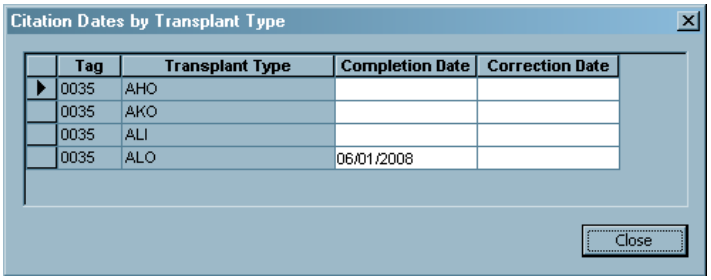


Figure 200: Citation Dates by Transplant Type window

Content Library Tag Text window

The Content Library Tag Text window lists predefined regulation-specific tag text that can be added to citations whenever appropriate. To add a predefined text item to the Content Library, the user clicks the New button.

Fields: "Content Library Tag Text", on page 607

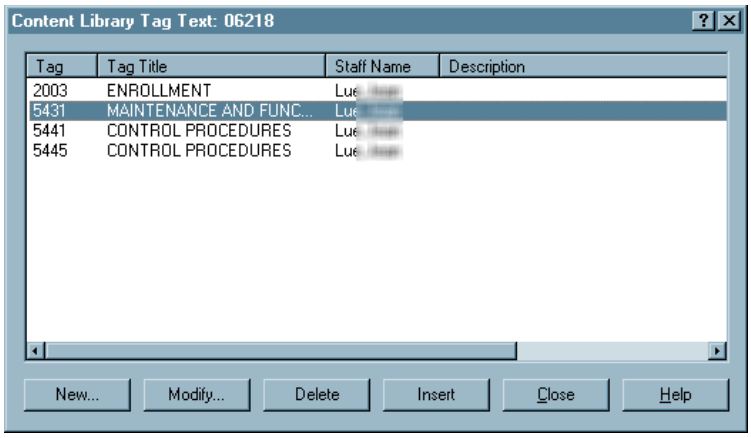


Figure 201: Content Library Tag Text window

Convert Content Library window

The Convert Content Library window lets you copy your existing Content Library tag text to new versions of regulation sets as they become available. You can also copy Custom Help items, which are converted to Content Library entries in the process.

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

Fields: "Convert Content Library", on page 606

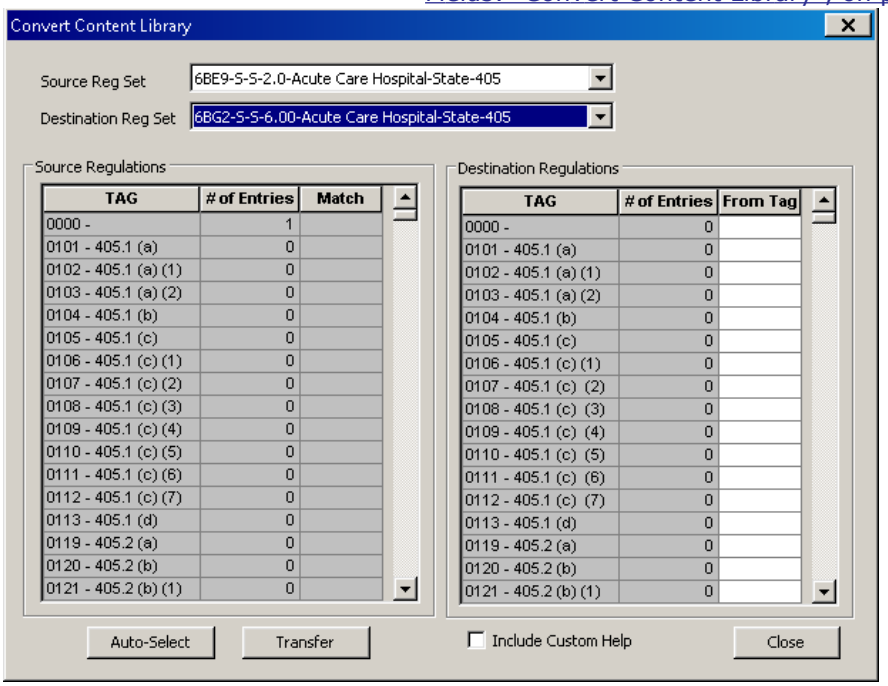


Figure 202: Convert Content Library window

Others Cites window

Right-click a tag (in the tree or in Citation Manager) and select Other Cites or Others Cites (respectively) to open a window listing citation text that surveyors have entered for that tag.

Fields: "Others Cites", on page 608

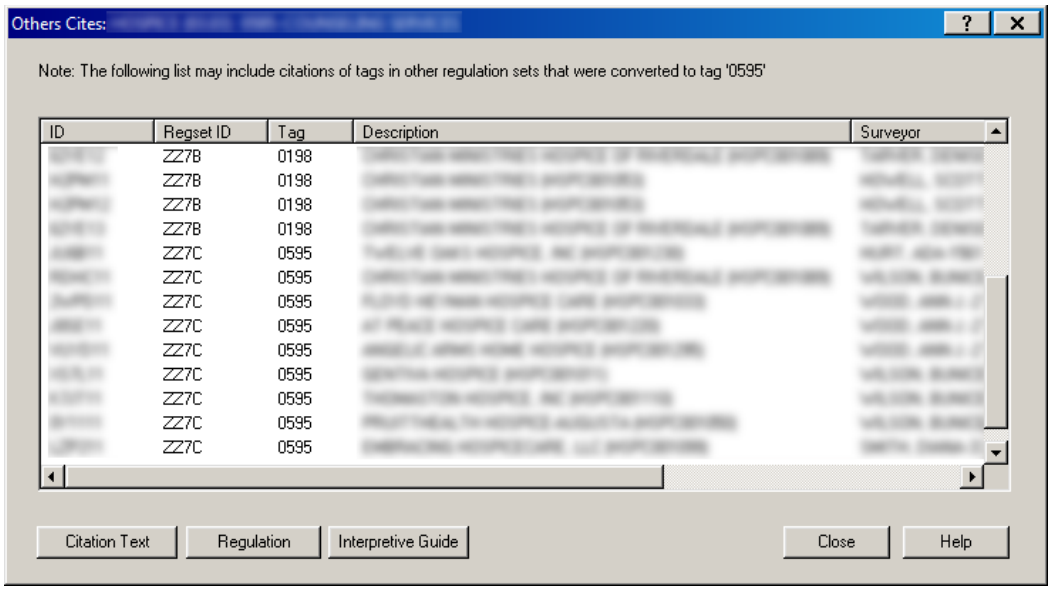


Figure 203: Others Cites window

POC Tracking window

The POC Tracking window is available for each survey event listed in the certification kit. Use it to record the progress of POCs that go through multiple revisions, with related correspondence. POC Signoff dates for individual tags are entered in Citation Properties.

Note: This window appears only for Nursing Home surveys that are not ePOC-posted.

Fields: "POC Tracking", on page 608

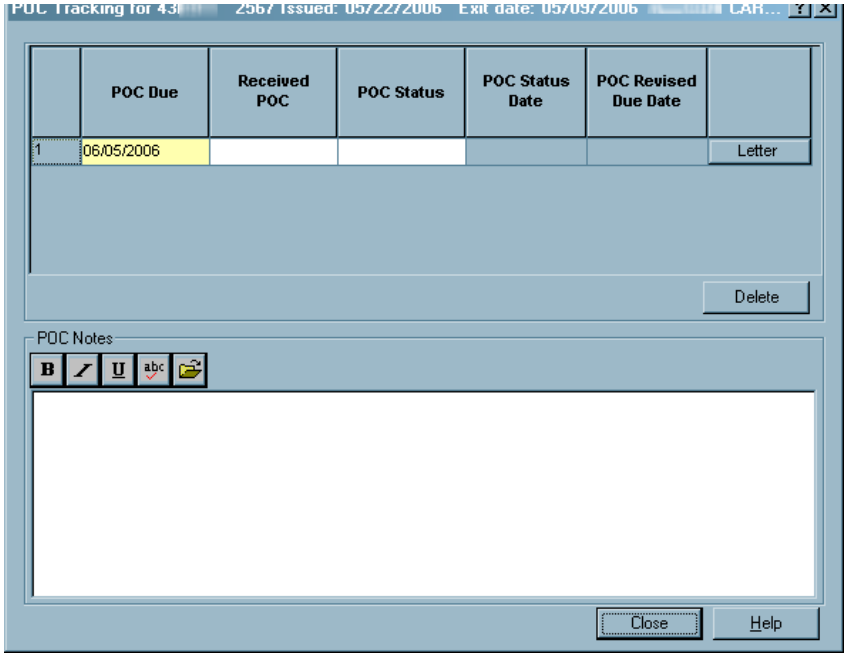


Figure 204: POC Tracking window

More ...

For complete information about the *e*POC system:

See the ePOC procedures guides for facilities (*ASPEN Web: electronic Plan of Correction*) and CMS (*ASPEN electronic Plan of Correction*), which are posted on https://qtso.cms.gov.

Informal Dispute Resolution window

Access to this window for NH provider types 021-024 and HHA types 051 and 052 is from the Certification & Surveys tab in a certification kit. For all providers activated for IDR/IIDR, you can open this window from the Survey Properties window or a right-click menu option in the Tree view. For each citation, you can record IDR details.

For NH surveys associated with a CMP on an enforcement case with a cycle start date of 01/01/2012 or later, this window has two tabs: IDR and IIDR. For NHs only, you can record IDR and Independent IDR details.

TIP: In ARO/ACO the system administrator can activate IDR/Independent IDR functionality for state-defined provider types via the System menu (Facility Types | Type Maintenance).

Fields: "Informal Dispute Resolution", on page 609

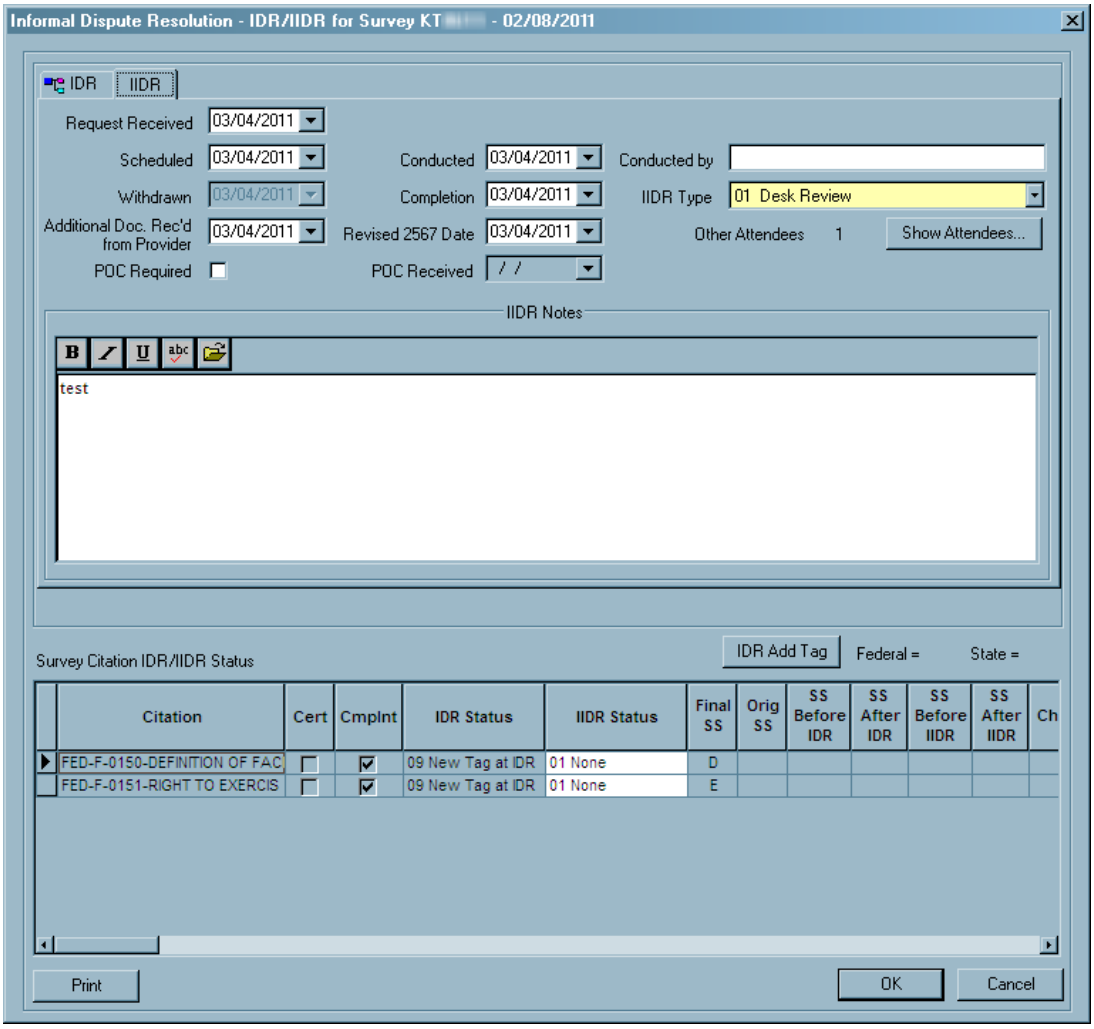


Figure 205: NH: Informal Dispute Resolution - IDR/IIDR for Survey window

Survey Attachment Documents window

Use this window to attach documents, photographs, or any other relevant files to facilities, certification kits, and surveys. To attach files to:

- Facilities - expand the provider node in Tree view and right-click the Attachments node.
- Certification kits - click Attach in the certification kit footer.
- Surveys - click Attach in Citation Manager.

When attaching documents to certification kits and surveys, the attachment window includes a Category column.

Fields: "Survey Attachment Documents", on page 614

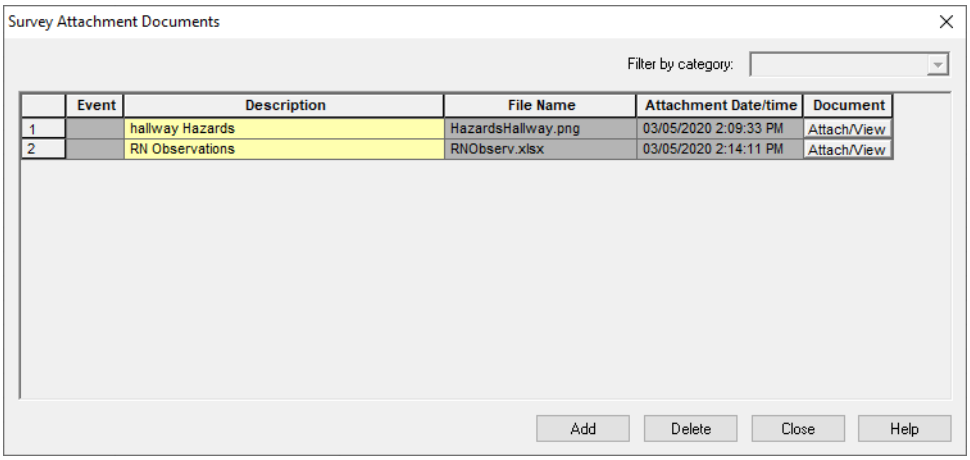


Figure 206: Survey Attachment Documents window - Facilities

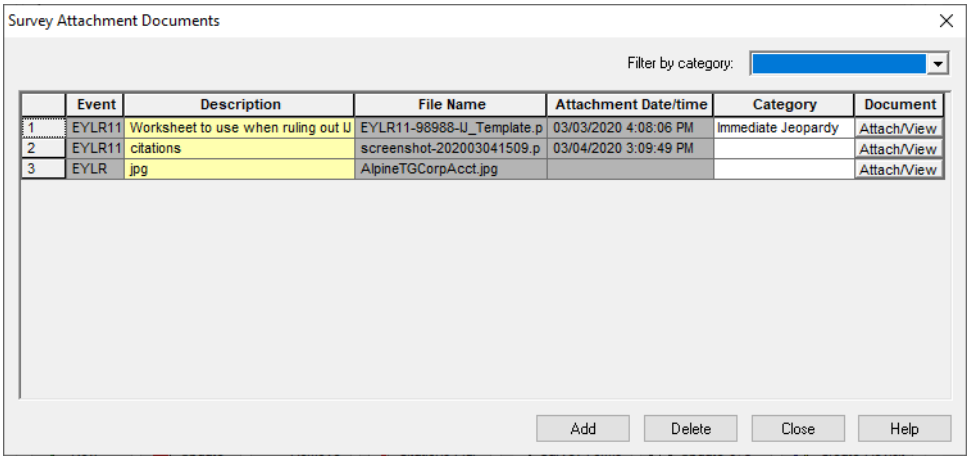


Figure 207: Survey Attachment Documents window - Surveys & Certification Kits

Select Form(s) to print window

The Select Form(s) to print window lists standard CMS forms that ACO/ARO can generate. You can generate one or more forms at a time.

Fields: "Select Form(s) to print", on page 615

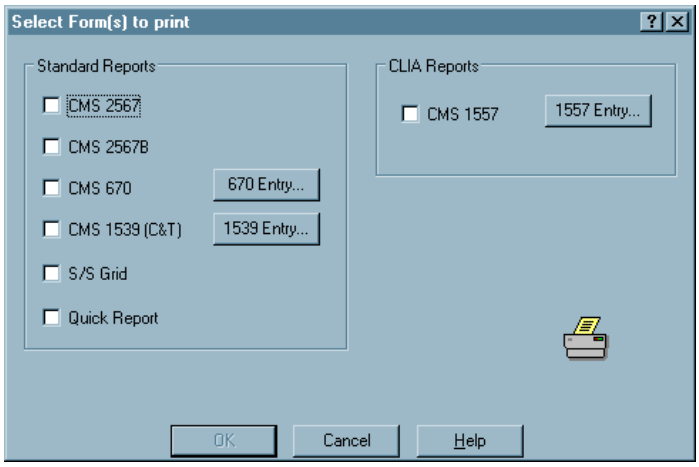


Figure 208: Select Form(s) to print window

Customize Survey Report Form

Select the desired options to customize the CMS-2567 Form.

Fields: "Customize Survey Report Form", on page 616

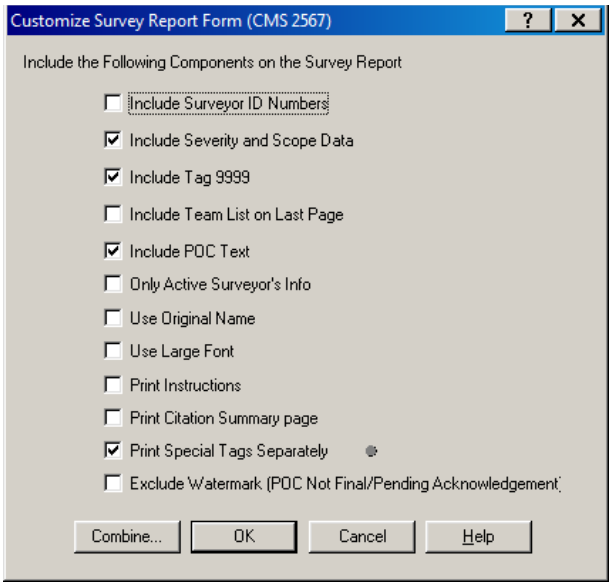


Figure 209: Customize Survey Report Form

Staff Availability List window

You access this window from the Update button on Survey Properties and Citation Manager windows, and from the Team Roster right-click option for an individual survey. Use it to select the surveyors for the survey team. The list of staff members is filtered by the Work Unit setting in the current My Selections set.

It is also filtered by the Facility Type setting in the current My Selections set and by Allowed Facility Types in the Enter/Update Surveyor window, so that only active surveyors who are eligible to work on currently displayed facility types are included *if and only if*:

- "Use facility types of active selection" is selected on the Scheduling tab of My Preferences in AST. It is deselected by default, so you must select it and then click Save Settings.

If the "Use facility types" option isn't selected in AST, the list of staff members in the Staff Availability List window is not filtered by provider type.

You can add out-of-state and other special surveyors (icon has a red jacket) if they have been assigned proper survey rights through the State Working Access system.

A message appears if you select a staff member whose General Staff Type is 02 Clerical/Support in the Enter/Update Surveyor Information window. You can choose whether to go ahead and add that staff member or not.

Fields: "Staff Availability List", on page 618

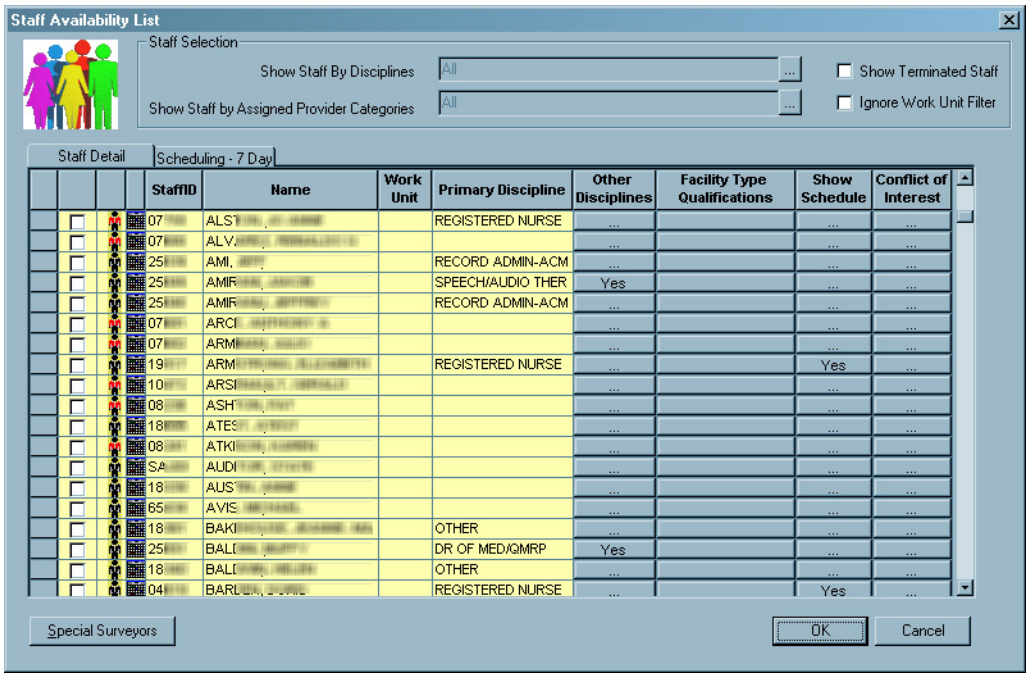
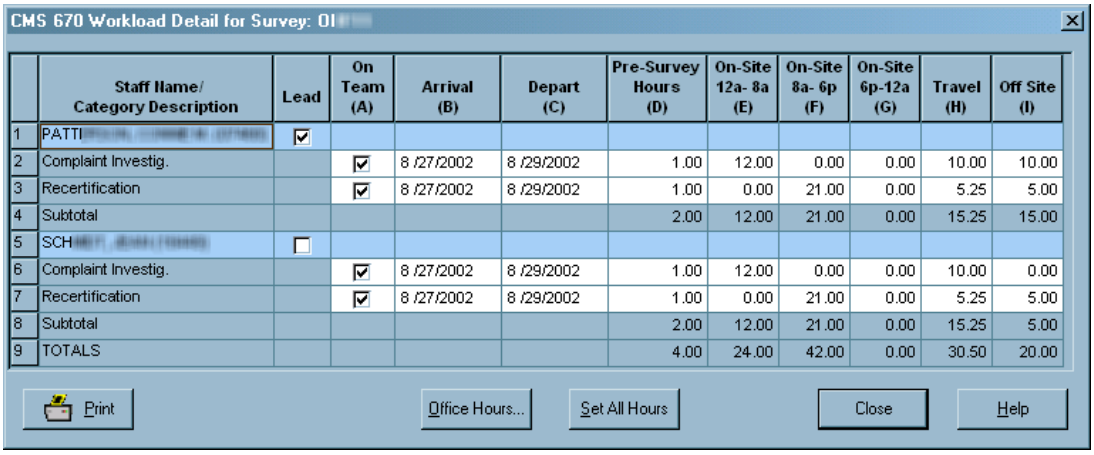


Figure 210: Staff Availability List window

CMS 670 Workload Detail window

Enter the time that surveyors spent preparing for and/or conducting a survey—onsite during different shifts, offsite, and traveling. The graphic below shows a combined CMS-670, with hours entered for each surveyor for each survey category. When a certification kit is uploaded, only certification hours are included in the upload.

Fields: "CMS 670 Workload Detail", on page 620



CMS 670 Workload Detail for Survey: OI

	Staff Name/ Category Description	Lead	On Team (A)	Arrival (B)	Depart (C)	Pre-Survey Hours (D)	On-Site 12a- 8a (E)	On-Site 8a- 6p (F)	On-Site 6p-12a (G)	Travel (H)	Off Site (I)
1	PATTI	☑									
2	Complaint Investig.		☑	8 /27/2002	8 /29/2002	1.00	12.00	0.00	0.00	10.00	10.00
3	Recertification		☑	8 /27/2002	8 /29/2002	1.00	0.00	21.00	0.00	5.25	5.00
4	Subtotal					2.00	12.00	21.00	0.00	15.25	15.00
5	SCH	☐									
6	Complaint Investig.		☑	8 /27/2002	8 /29/2002	1.00	12.00	0.00	0.00	10.00	0.00
7	Recertification		☑	8 /27/2002	8 /29/2002	1.00	0.00	21.00	0.00	5.25	5.00
8	Subtotal					2.00	12.00	21.00	0.00	15.25	5.00
9	TOTALS					4.00	24.00	42.00	0.00	30.50	20.00

Print | Office Hours... | Set All Hours | Close | Help

Figure 211: CMS 670 Workload Detail window

Note: On-Site and Travel hours are not required in kits for SPRDFs or eligible Hospital subtypes under the 1135 Waiver rule.

Create Followup window

Creates a followup survey (revisit) to the survey where noncompliance was found.

Fields: "Create Followup", on page 622

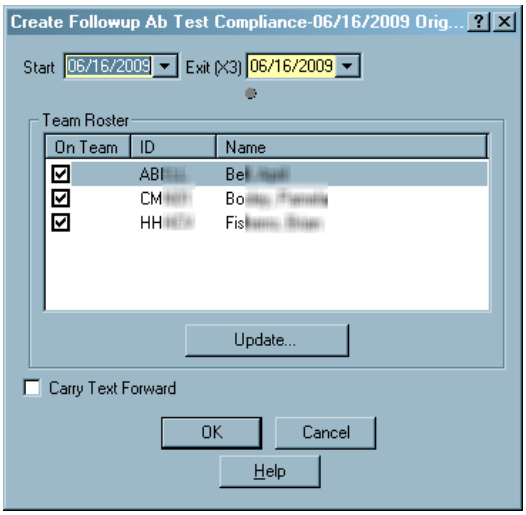


Figure 212: Create Followup window

Failed and Overdue Special Survey (SRVY) Uploads window

The Failed and Overdue Special Survey (SRVY) Uploads window lists:

- Failed special survey uploads
- Special surveys overdue for a SRVY upload
- Incomplete special surveys

Fields: "Failed and Overdue Special Survey (SRVY) Uploads", on page 622

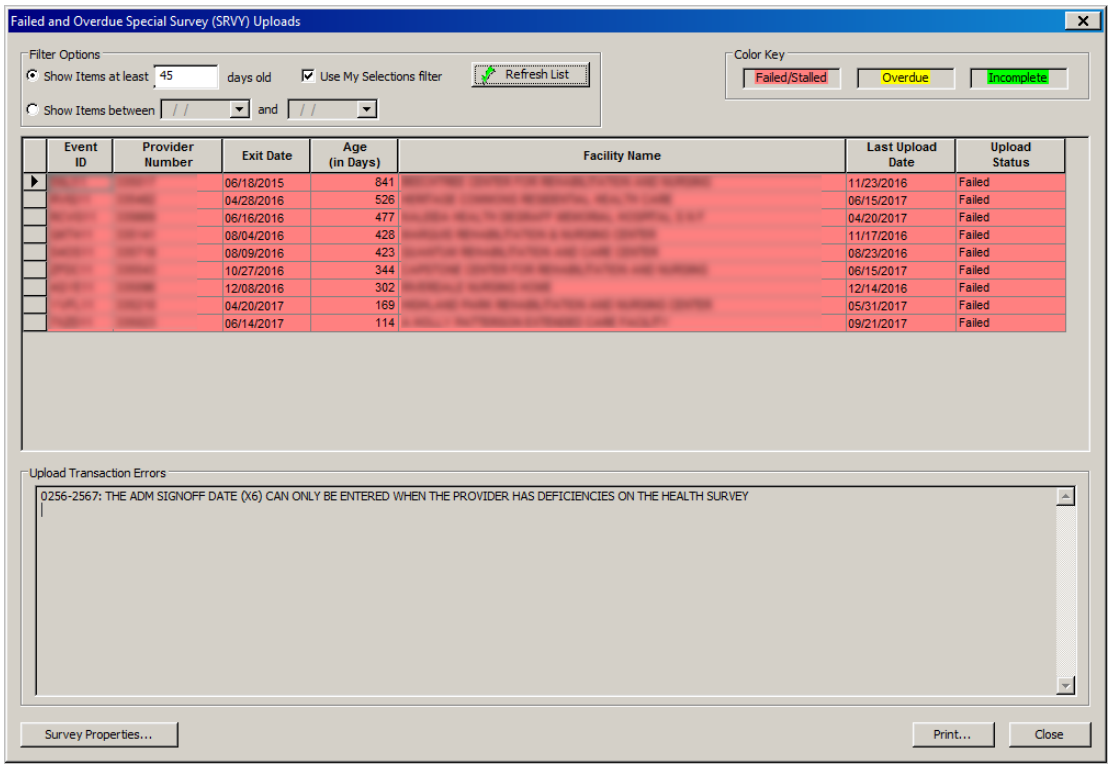


Figure 213: Failed and Overdue Special Survey (SRVY) Uploads window

FMS Tracking window - ARO

The FMS Tracking screen, which is available only in ARO, provides a central point for monitoring all aspects of FMS events. Use this window to track FMS events and as the access point to add, modify, upload, and delete FMS records.

Fields: "FMS Tracking", on page 624

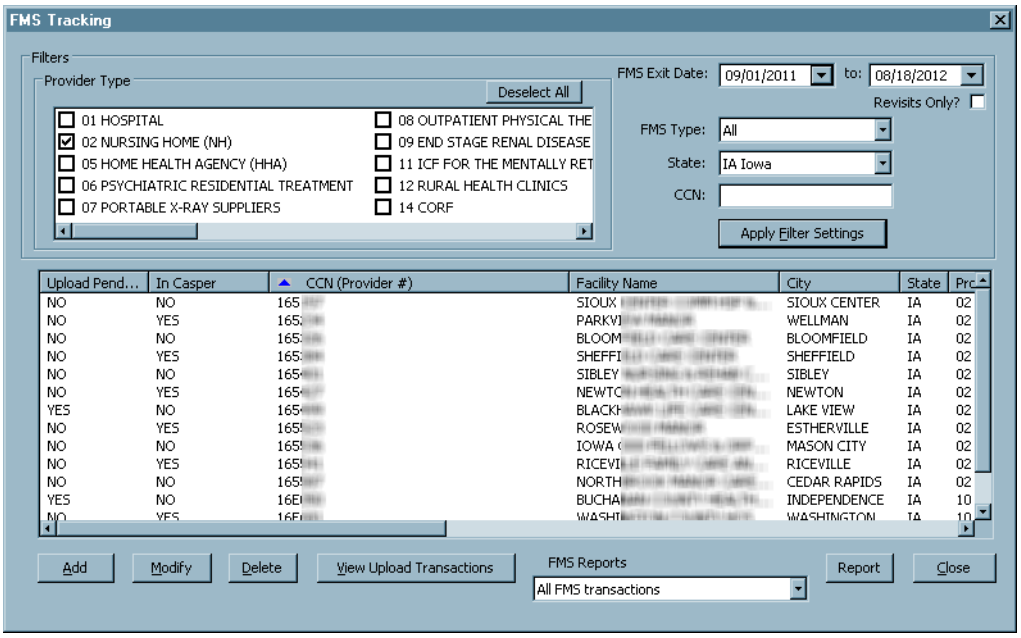


Figure 214: FMS Tracking window - ARO

FMS Add/Update window - ARO

The FMS Add/Update screen, which is available only in ARO, lets you capture, view, and modify information for individual FMS events.

Fields: "FMS Add/Update", on page 625

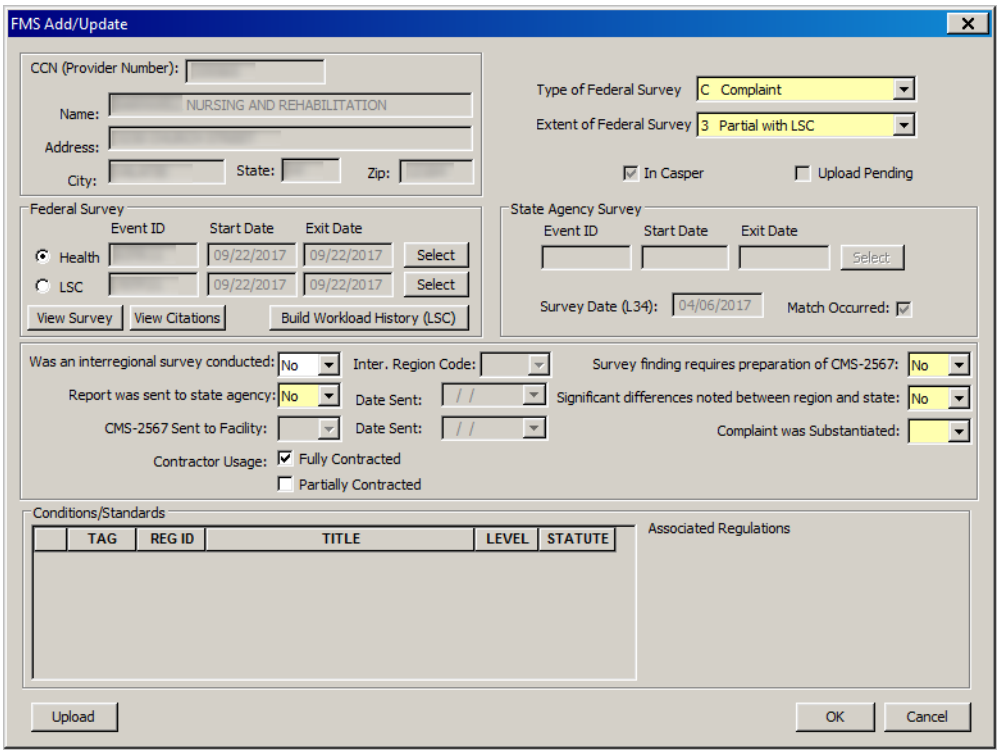


Figure 215: FMS Add/Update window - ARO

Data Transfer Windows

Export window

You can export selected survey(s) to a transfer location. From there, surveyors can import the survey(s) into ASE-Q.

TIP: You can export the surveys back to ACO/ARO (or ACTS) from ASE-Q. You will be prompted to verify any items that differ between source and destination, e.g., extents, when you export from ASE-Q to ACO/ARO or ACTS.

Fields: "Export", on page 630

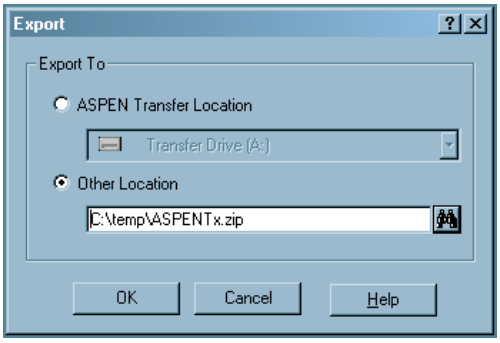


Figure 216: Export window

Survey Export window

Use this window to indicate which survey(s) to export to the specified destination. The title bar indicates the Source of the listed survey(s) and the export Destination, ACO/ACTS and Transfer File respectively in the example below.

Fields: "Survey Export", on page 630

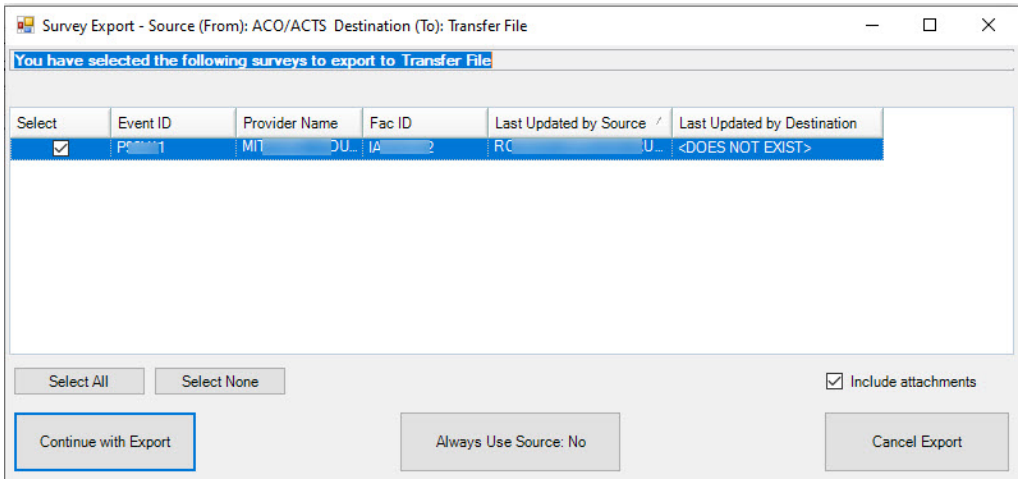


Figure 217: Survey Export window

In ARO only and only when an LTCSP comparative survey is exported, the Include related LCSP Surveys checkbox appears.

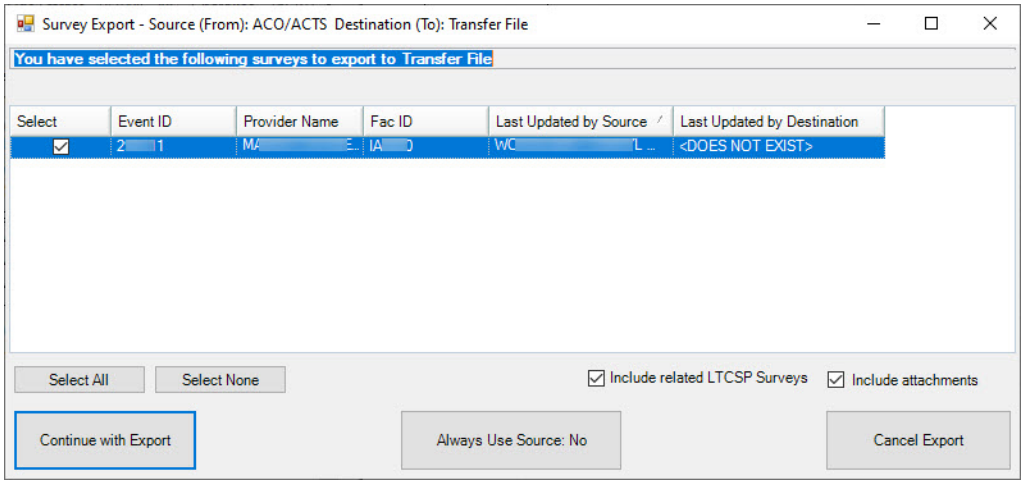


Figure 218: Survey Export window with Include related LCSP Surveys checkbox

Finalize Transfer window

Clicking Apply completes the file transfer.

Fields: "Finalize Transfer", on page 631

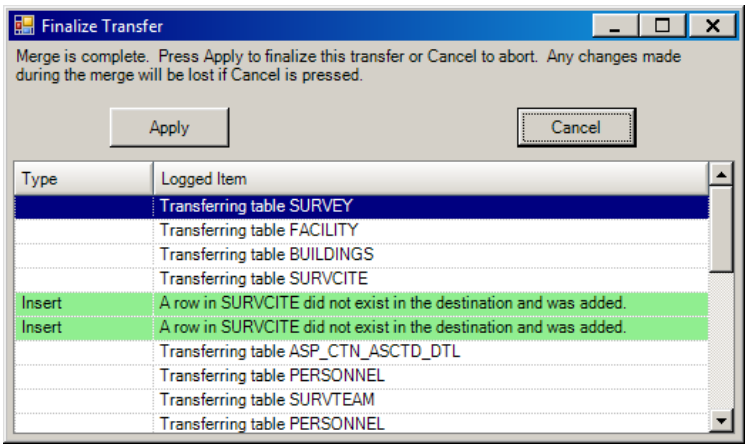


Figure 219: Finalize transfer window

Letter Export window

You can export selected letter templates to a specified transfer location. From there, the letters can be imported into another database/application, e.g., ASE-Q.

Fields: "Letter Export", on page 631

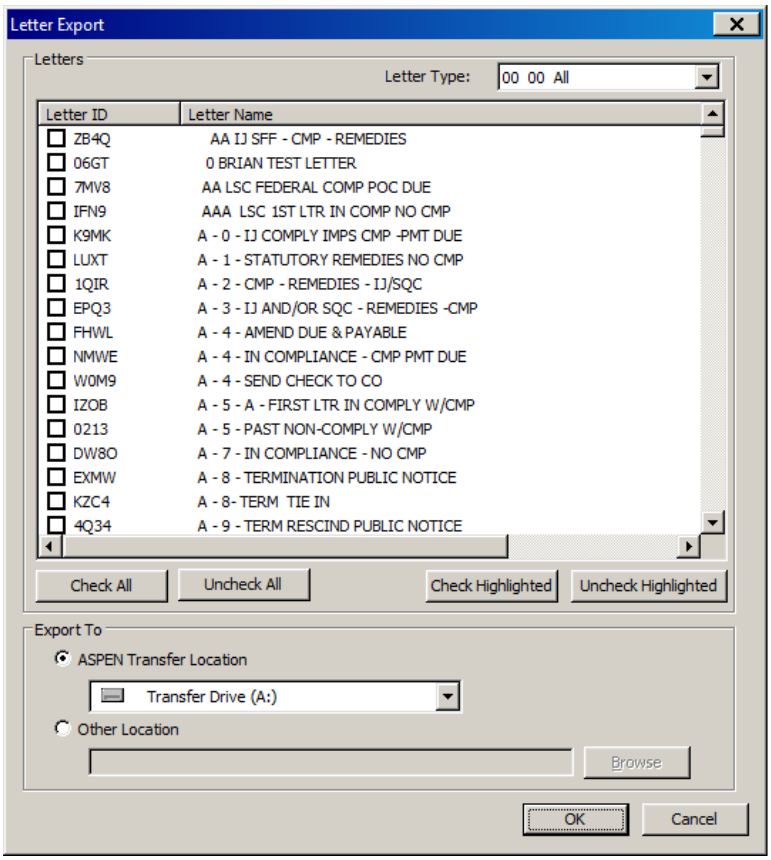


Figure 220: Letter Export window

Import window

You can select the Import icon on the toolbar to import surveys and regulations from a Transfer Location into ACO/ARO. The Import window is used to specify what you are importing and its location.

To import letter templates, you select System | Specialty Info Transfer | Import Letters. The Surveys and Regulation radio buttons will be disabled.

Fields: "Import", on page 632

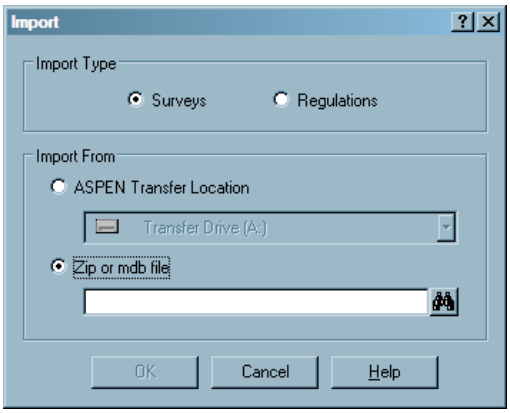


Figure 221: Import window

Merge Fields

You can specify how to merge conflicting values between source and destination in the Merge Fields window.

Fields: "Merge fields", on page 632

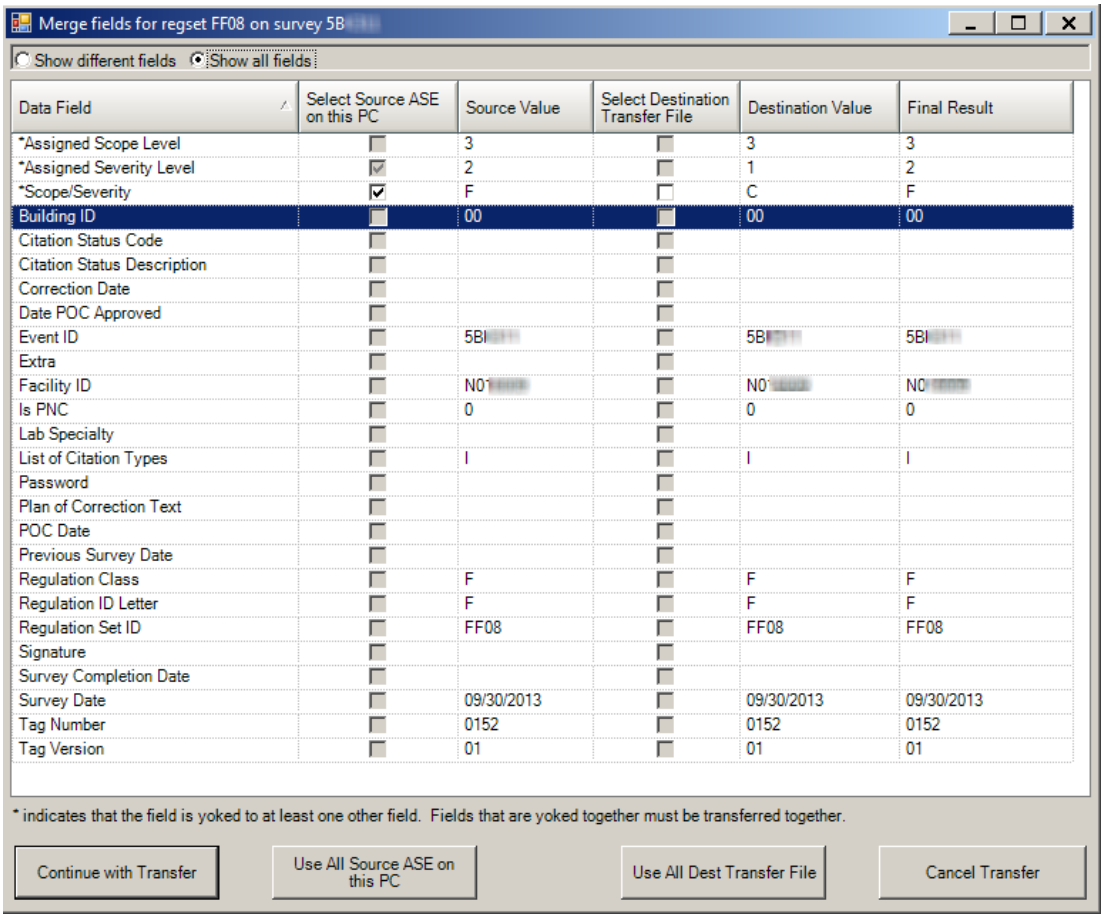


Figure 222: Merge Fields window

Merge Rows window

The Multiple Row Merge window displays conflicts between source and destination contact information.

Fields: "Multiple Row Merge", on page 633

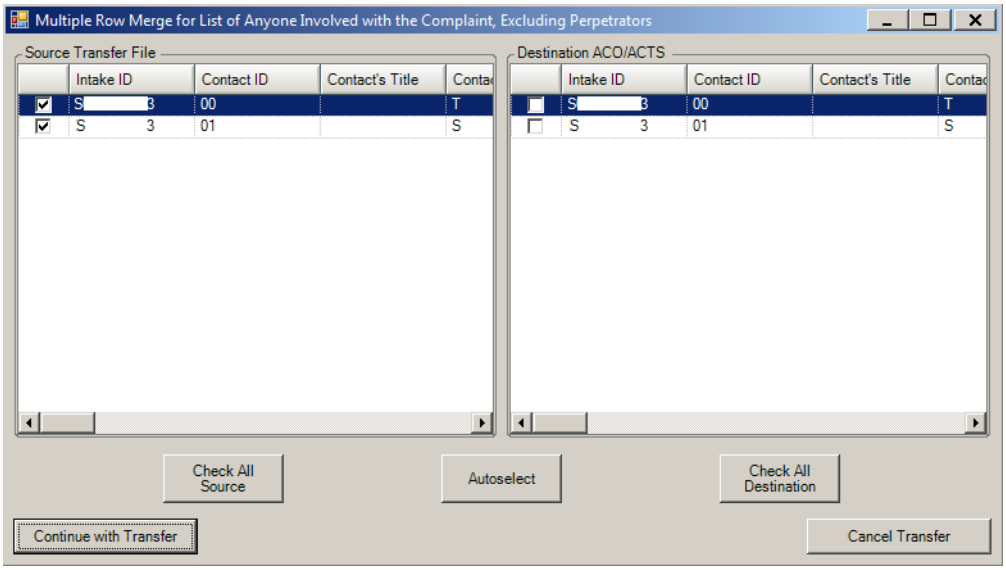


Figure 223: Multiple Row Merge window

Merge Text window

You can resolve the differences between source and destination in certain text entries, e.g., citation text in this window.

Fields: "Merge Text", on page 633

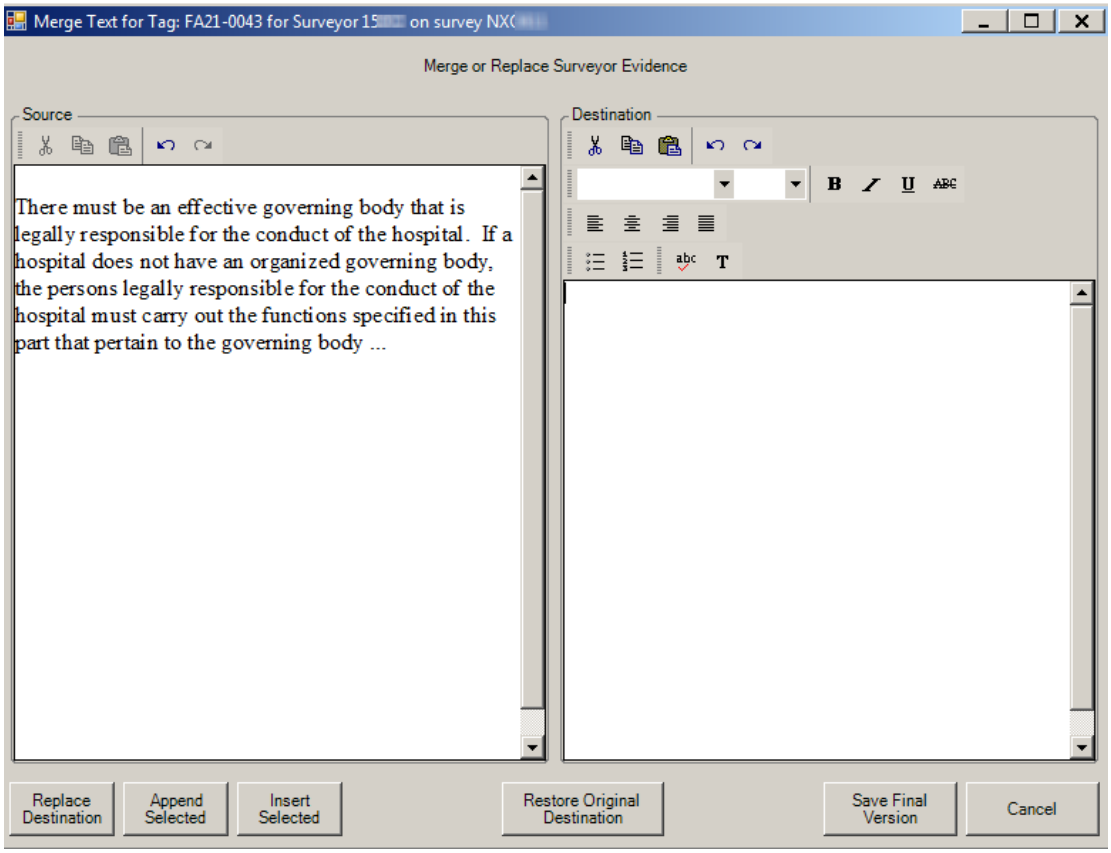


Figure 224: Merge Text window

Notices Windows

The following section describes the windows associated with notices.

Notices History window

The Notices History window lists letters and notifications that have been sent related to the current survey. You can also generate new letters and notices from this window.

Fields: "Notices History", on page 634

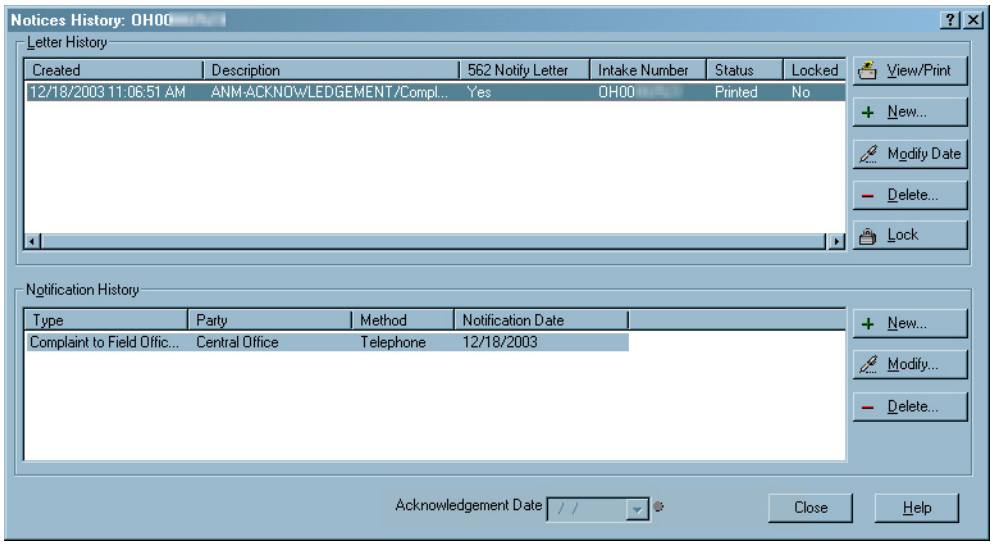


Figure 225: Notices History window

Select Letters and Distribution Lists window

The Form Letter pane in this window lists the letters that ACO can generate, and the Distributions pane lists potential recipients. You select the letter you want to send and its recipient(s), and use the Set Action button to indicate whether each recipient receives a Letter, a copy (cc), or a blind copy (bcc).

TIP: If you open this window from a survey, ACO displays Survey type letters by default. If you open it from a provider, the default display is of Facility letters. Select Show All to list all letters.

Fields: "Select Letters and Distribution Lists", on page 635

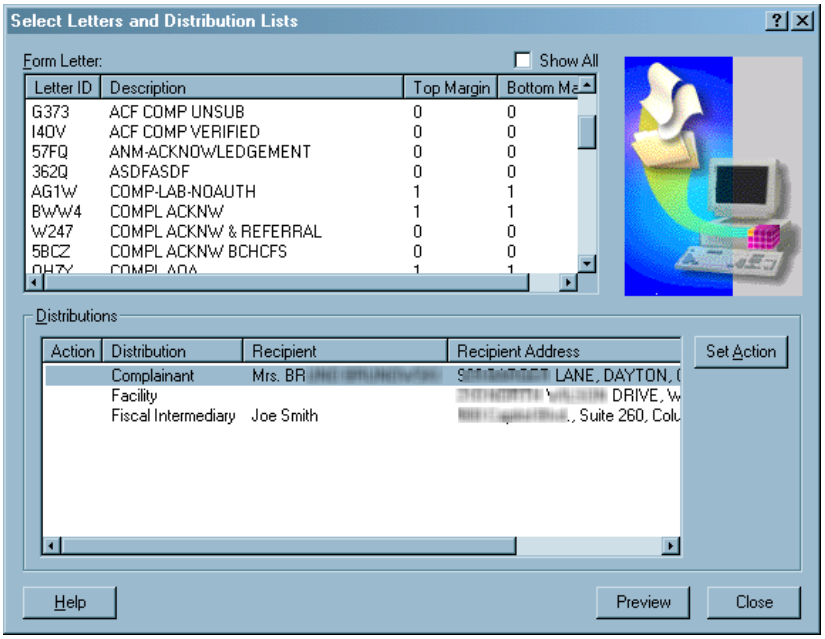


Figure 226: Select Letters and Distribution Lists window

Notification Type window

When you click New in the Notification History section of the Notices History window, you'll be asked to supply details about the notification. All fields are required.

Fields: "Notification Type", on page 636

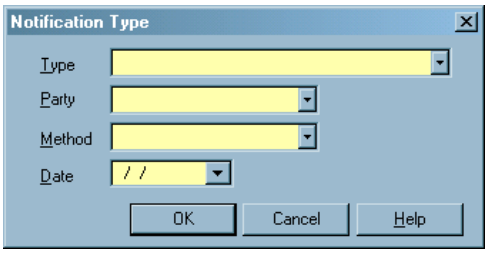
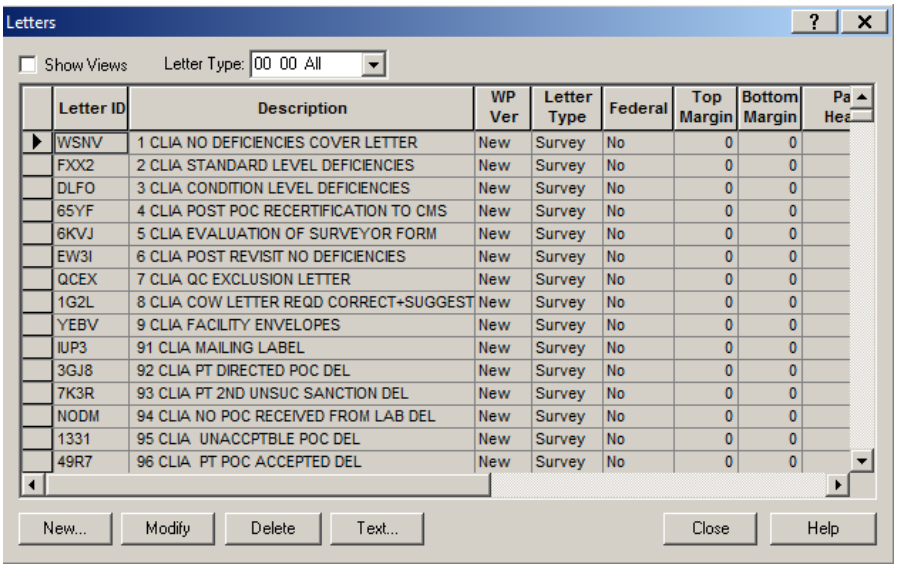


Figure 227: Notification Type window

Letters window

From this window, you create and manage form letter templates. ACO users can generate customized letters from the templates.

Fields: "Letters", on page 636



Letter ID	Description	WP Ver	Letter Type	Federal	Top Margin	Bottom Margin	Pa Hea
WSNV	1 CLIA NO DEFICIENCIES COVER LETTER	New	Survey	No	0	0	
FXX2	2 CLIA STANDARD LEVEL DEFICIENCIES	New	Survey	No	0	0	
DLFO	3 CLIA CONDITION LEVEL DEFICIENCIES	New	Survey	No	0	0	
65YF	4 CLIA POST POC RECERTIFICATION TO CMS	New	Survey	No	0	0	
6KVJ	5 CLIA EVALUATION OF SURVEYOR FORM	New	Survey	No	0	0	
EW3I	6 CLIA POST REVISIT NO DEFICIENCIES	New	Survey	No	0	0	
QCEX	7 CLIA QC EXCLUSION LETTER	New	Survey	No	0	0	
1G2L	8 CLIA COW LETTER REQD CORRECT+SUGGEST	New	Survey	No	0	0	
YEBV	9 CLIA FACILITY ENVELOPES	New	Survey	No	0	0	
IUP3	91 CLIA MAILING LABEL	New	Survey	No	0	0	
3GJ8	92 CLIA PT DIRECTED POC DEL	New	Survey	No	0	0	
7K3R	93 CLIA PT 2ND UNSUC SANCTION DEL	New	Survey	No	0	0	
NODM	94 CLIA NO POC RECEIVED FROM LAB DEL	New	Survey	No	0	0	
1331	95 CLIA UNACCPTBLE POC DEL	New	Survey	No	0	0	
49R7	96 CLIA PT POC ACCEPTED DEL	New	Survey	No	0	0	

Figure 228: Letters window

Letter Desc window - new

When you create a letter template, the first step is to supply basic information about the form letter. For templates created in ASPEN 6.5 or later, the Margin fields, Header/Footer section, and Logo button in the Letter Desc window are disabled. You specify margins, create headers and footers, and add logos directly in the letter word processor.

Fields: "Letter Desc", on page 638

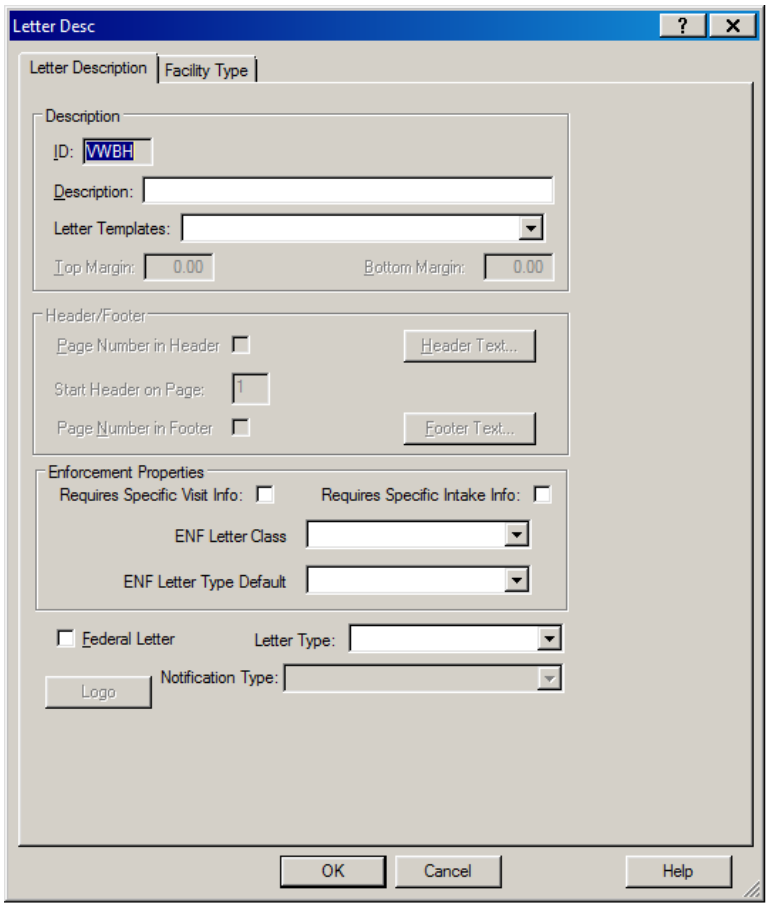


Figure 229: Letter Desc window - new

Note: The Federal Letter field appears only in ARO.

Letter Desc window - old

When you modify an old letter template (WP Ver = Old, created prior to ASPEN 6.5), you update basic information about it in this window. All fields are enabled for old letter templates. From this window, you can add margins, create headers and footers, and add logos to old templates.

Note: The Federal Letter field appears only in ARO.

Fields: "Letter Desc", on page 638

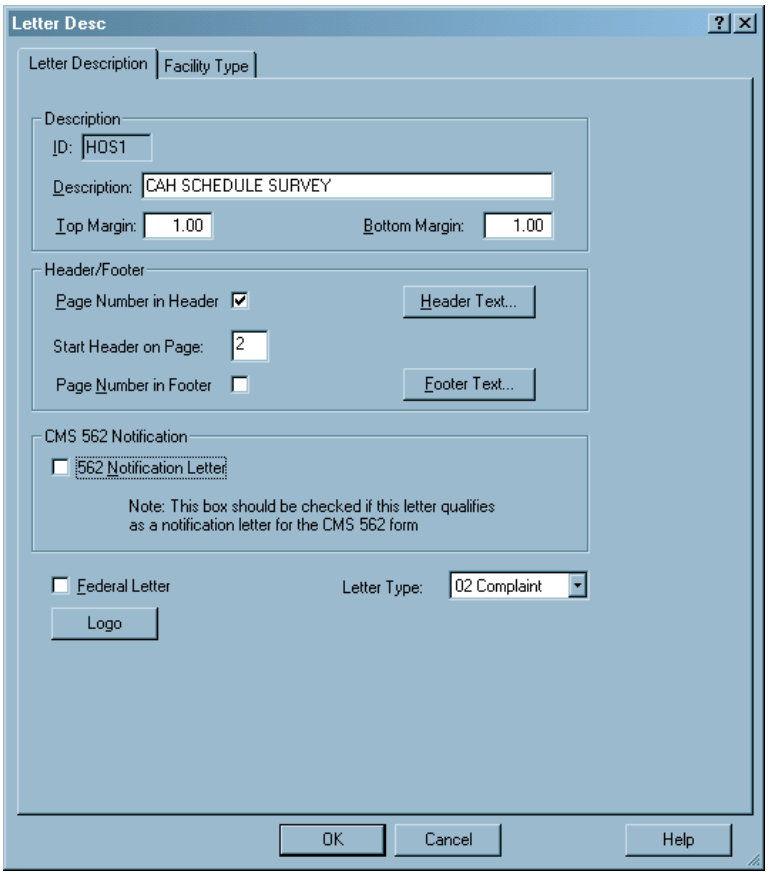


Figure 230: Letter Desc window - old

Note: The Federal Letter field appears only in ARO.

Distribution List window

The Distribution List window displays potential institutional recipients, both agencies and individuals, of the form letters in the ACO database. You can add new recipients or modify existing recipient information as needed.

When you are ready to send a form letter, you select the recipients from the Distributions list in the Select Letters and Distribution Lists window. The Distributions list includes all the recipients defined in the Distribution List window, which is maintained from the System menu.

Fields: "Distribution List", on page 640

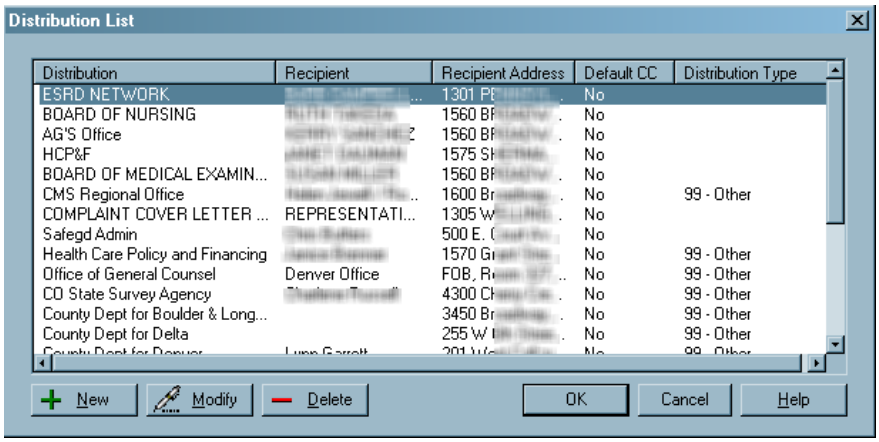


Figure 231: Distribution List window

Distribution window

When you click New on the Distribution List window, the Distribution window opens and you can enter information about the new recipient.

Fields: "Distribution", on page 641

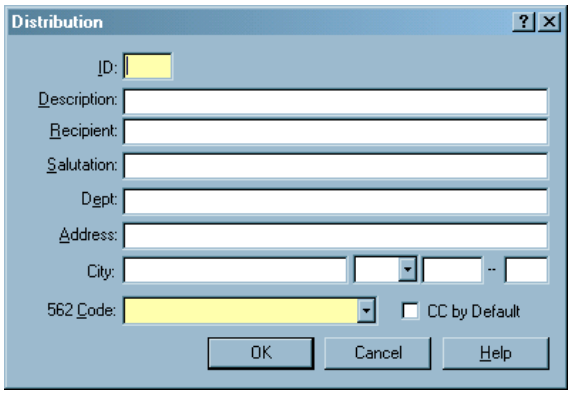


Figure 232: Distribution window

Letter word processor

This full-featured word processor is used to create and modify the content of:

- New letter templates (WP Ver = New)
- Custom letters generated from new letter templates

Fields: "Letter word processor", on page 642

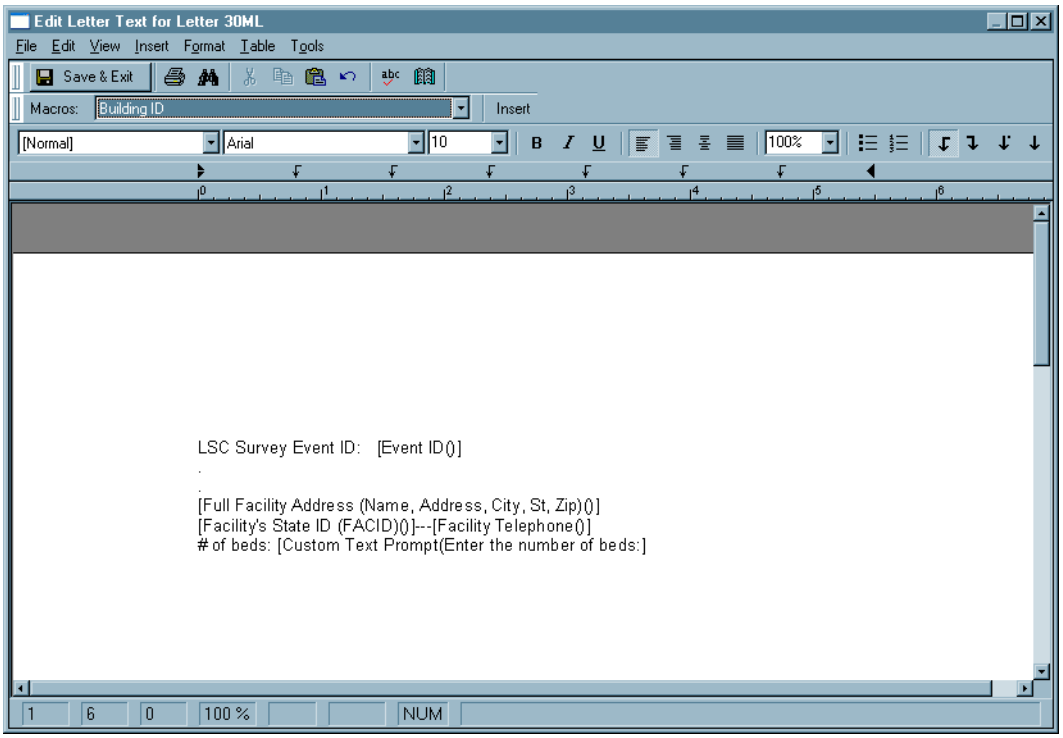


Figure 233: Letter word processor

For letter templates, the window title is Edit Letter Text. For custom letters, the title is Word Processor Dialog.

This word processor includes a variety of formatting options. You can specify margins, create headers and footers, and add logos directly to the letter.

Note: When a user previews a custom letter in this word processor, the Macros field is not displayed.

Setup and Maintenance Windows

New Filter window

The New Filter window lets you create a personal or global facility selection set using the filter criterion of your choice.

Fields: "New Filter", on page 644

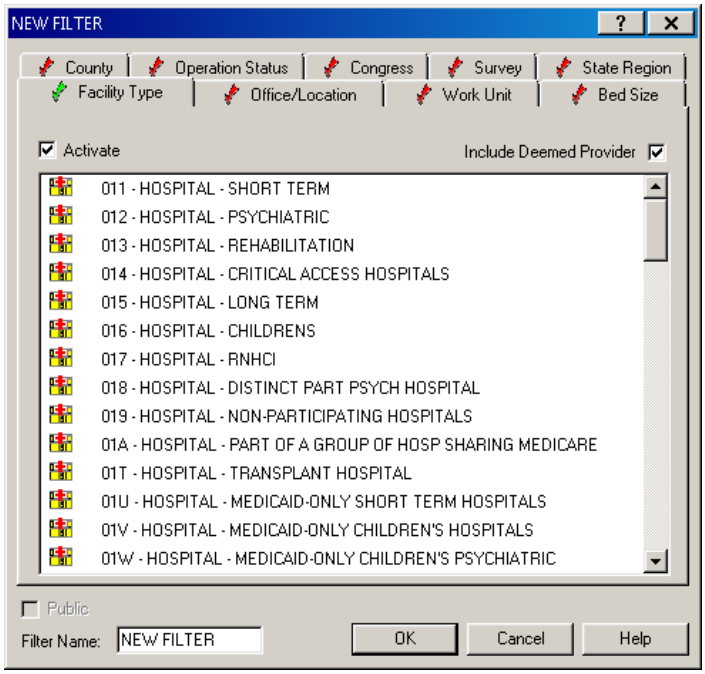


Figure 234: New Filter window

Action Item Filter Settings window

Use this window to specify filter settings for the display of action items.

Fields: "Action Item Filter Settings", on page 647

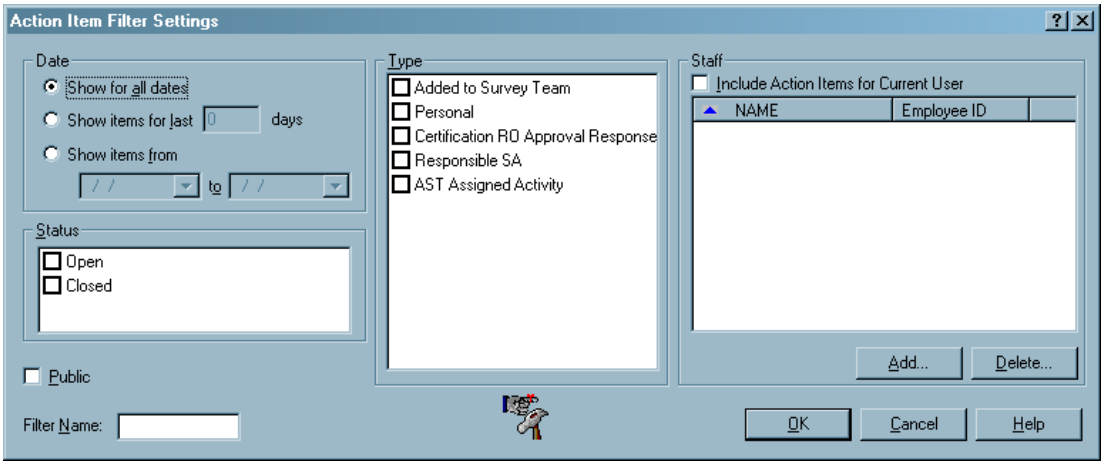


Figure 235: Action Item Filter Settings window

Node Groups

Facility Node Groups window

Configure groups for the Facilities list.

Fields: "Audit Trail", on page 653

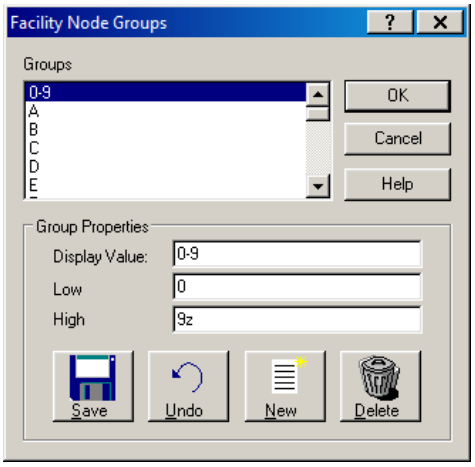


Figure 236: Facility Node Groups window

Facility Resident Node Groups

Configure groups for the Residents list under individual facilities.

Fields: "Facility Resident Node Groups", on page 649

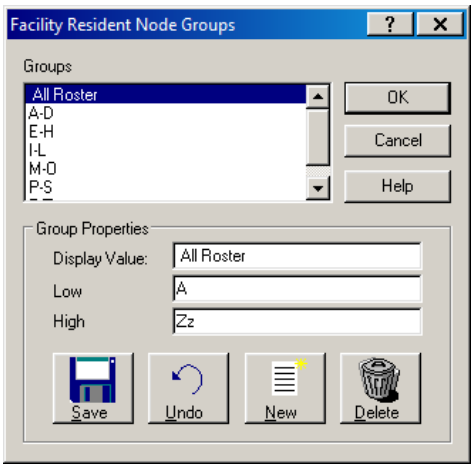


Figure 237: Facility Resident Node Groups window

Resident Node Groups window

Configure groups for the comprehensive Residents list.

Fields: "Resident Node Groups", on page 649

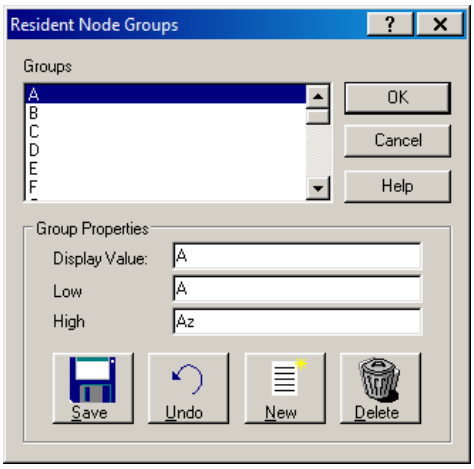


Figure 238: Resident Node Groups window

State Customization window

ACO includes a State Customization window where State Agency administrators can enter information specific to their state. This includes the State Agency information that prints on CMS-2567 and CMS-2802 forms. SAs can also specify other state-specific settings to be used by ASPEN.

Fields: "State Customization", on page 650

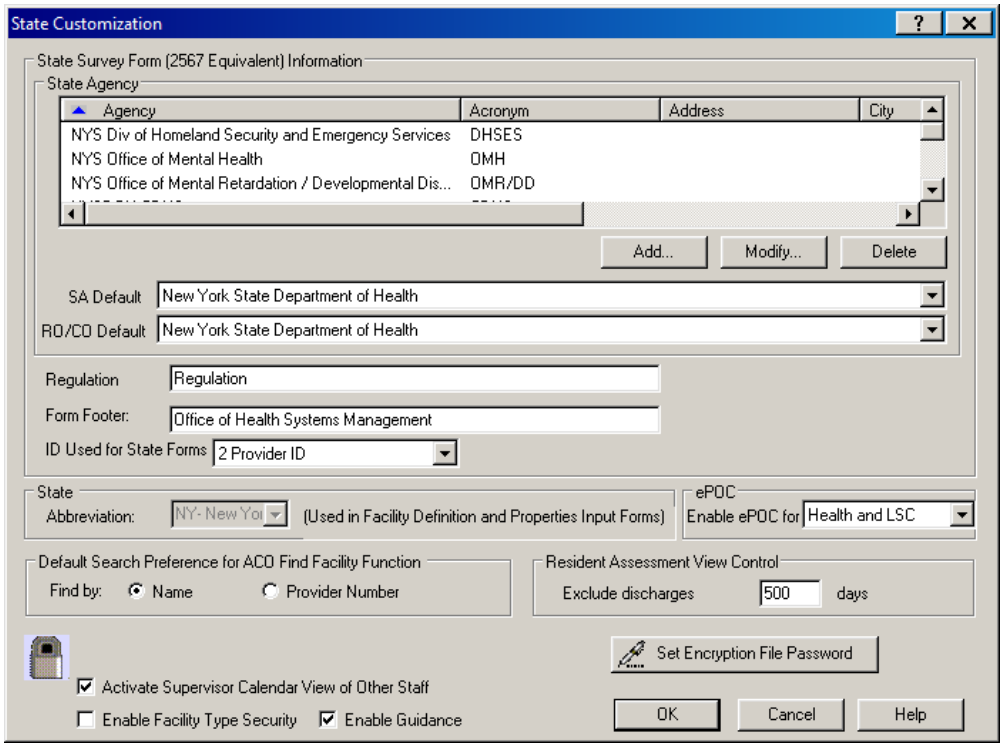


Figure 239: State Customization window

Enter/Update State Staff Titles window

SA administrators can customize the options listed for State Title on the Employee Identification tab of the Enter/Update Surveyor Information window.

Fields: "Enter/Update State Staff Titles", on page 652

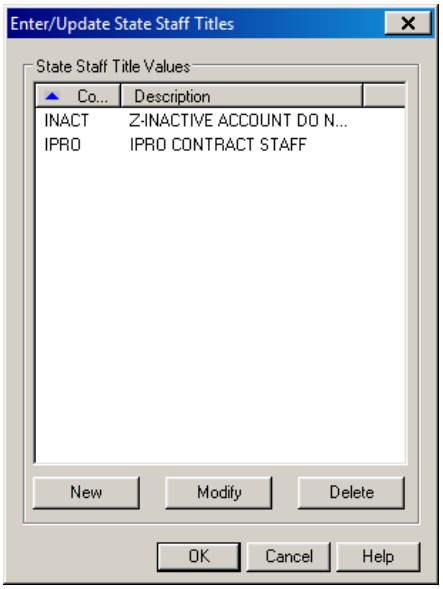


Figure 240: Enter/Update State Staff Title window

Enter New State Staff Title

Fields: "Enter New State Staff Title", on page 653

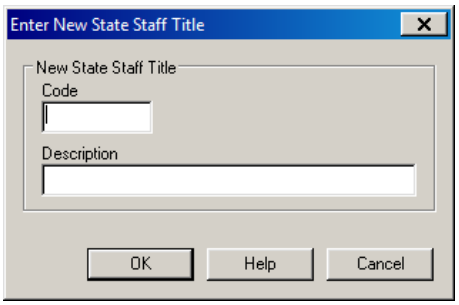


Figure 241: Enter New State Staff Title

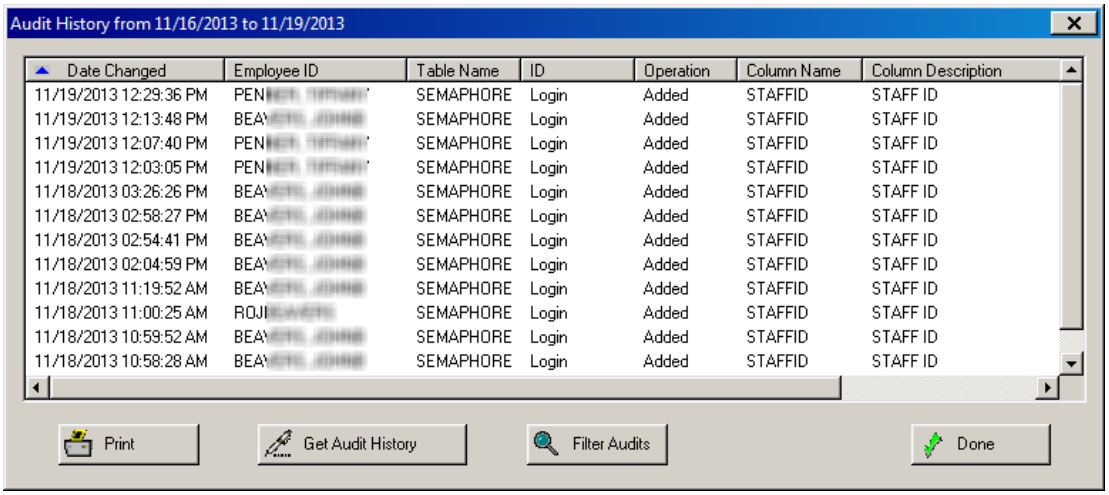
Modify State Staff Title

Fields: "Modify State Staff Title", on page 653

Figure 242: Modify State Staff Title

Audit Trail window

Fields: "Audit Trail", on page 653



Date Changed	Employee ID	Table Name	ID	Operation	Column Name	Column Description
11/19/2013 12:29:36 PM	PEN	SEMAPHORE	Login	Added	STAFFID	STAFF ID
11/19/2013 12:13:48 PM	BEA	SEMAPHORE	Login	Added	STAFFID	STAFF ID
11/19/2013 12:07:40 PM	PEN	SEMAPHORE	Login	Added	STAFFID	STAFF ID
11/19/2013 12:03:05 PM	PEN	SEMAPHORE	Login	Added	STAFFID	STAFF ID
11/18/2013 03:26:26 PM	BEA	SEMAPHORE	Login	Added	STAFFID	STAFF ID
11/18/2013 02:58:27 PM	BEA	SEMAPHORE	Login	Added	STAFFID	STAFF ID
11/18/2013 02:54:41 PM	BEA	SEMAPHORE	Login	Added	STAFFID	STAFF ID
11/18/2013 02:04:59 PM	BEA	SEMAPHORE	Login	Added	STAFFID	STAFF ID
11/18/2013 11:19:52 AM	BEA	SEMAPHORE	Login	Added	STAFFID	STAFF ID
11/18/2013 11:00:25 AM	ROJI	SEMAPHORE	Login	Added	STAFFID	STAFF ID
11/18/2013 10:59:52 AM	BEA	SEMAPHORE	Login	Added	STAFFID	STAFF ID
11/18/2013 10:58:28 AM	BEA	SEMAPHORE	Login	Added	STAFFID	STAFF ID

Figure 243: Audit Trail window

Account Administration window

You can configure multiple ASE-Q user accounts at once using this window.

Fields: "Account Administration", on page 654

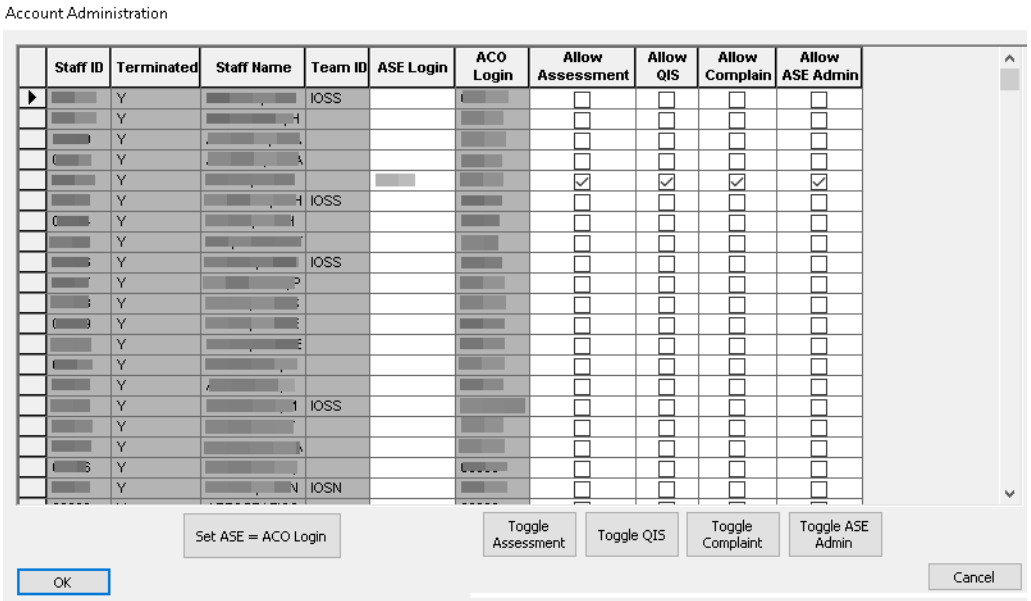


Figure 244: Account Administration window

ASE User Export window

You can use this window to export ASE-Q user account files from ACO to populate ASE-Q databases with surveyor records.

Fields: "ASE User Export", on page 655

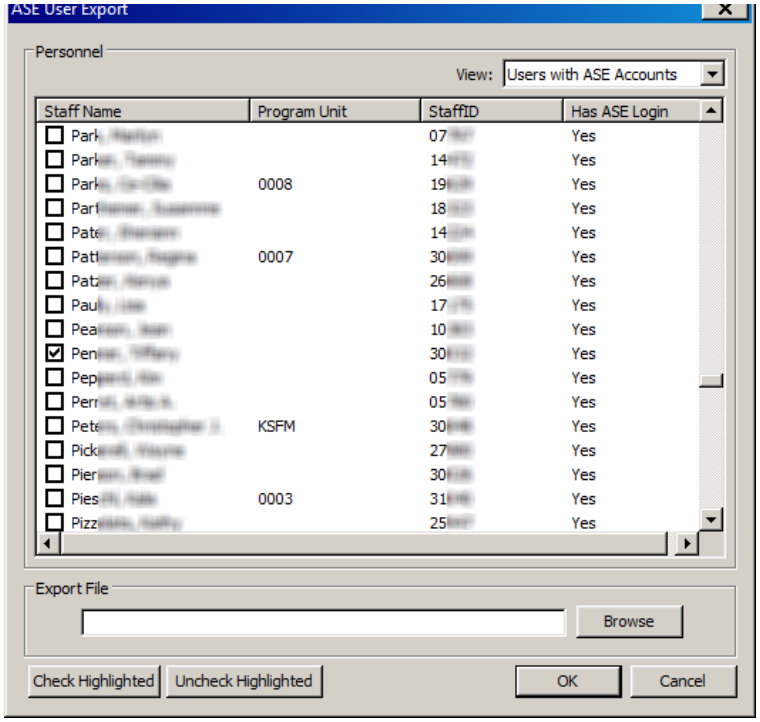


Figure 245: ASE User Export window

Other Windows

Find window

The Find window lets you search the database for providers, certifications, surveys, enforcement cases, etc. using the search criterion of your choice. You can choose whether to include closed facilities in the results. The name of the window varies depending on where you open it from.

Fields: "Find", on page 656

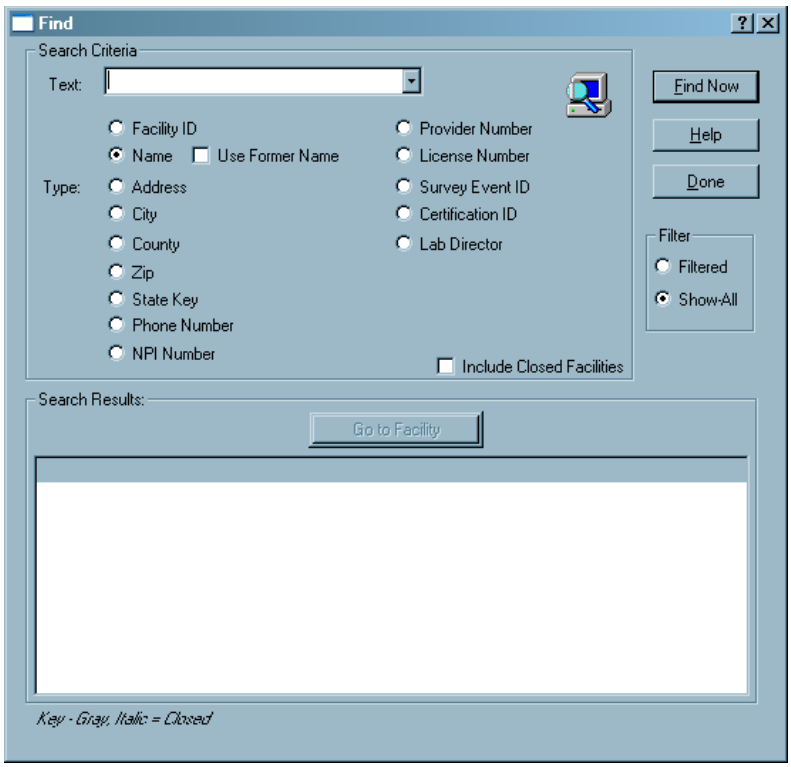


Figure 246: Find window

Report Preview window

ACO forms, reports, and letters (if WP Ver = Old) are displayed initially in a report preview window, where you can view the contents, then send the report to a printer or to an export file. The name of the report appears in the title bar. The preview window includes a toolbar for convenient activation of commonly used commands.

Fields: "Report Preview", on page 657

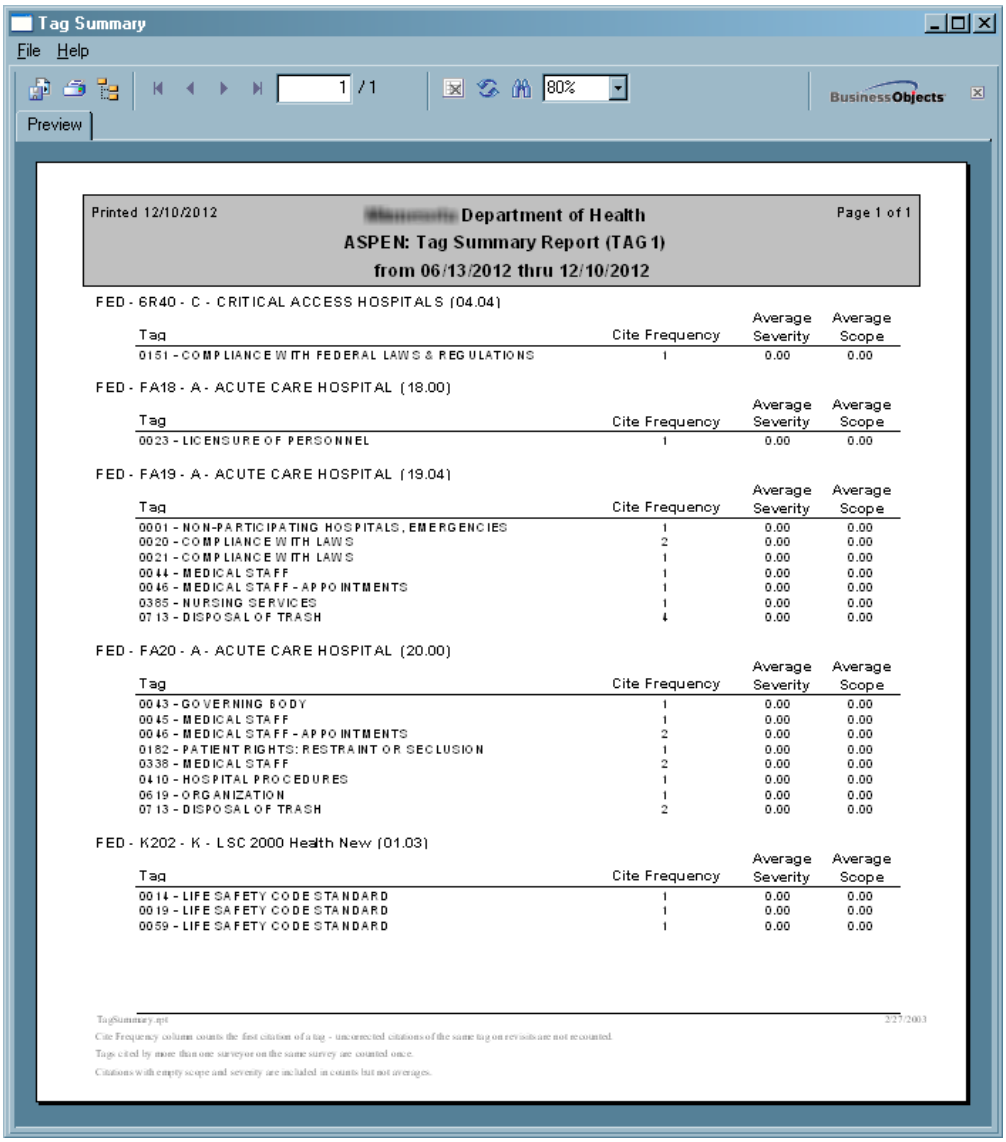


Figure 247: Report Preview window

ASPEN word processor

This word processor has basic formatting features. Use it to:

- Enter supporting text or comments, e.g., citation text, notes.
- Modify content of custom letters generated from old letter templates (WP Ver = Old).

The title of the ASPEN word processor window as well as layout and options vary somewhat depending on what you use it for. The example below is the word processor you see when you click Notes... at the bottom of the Certification window.

Fields: "ASPEN word processor", on page 658

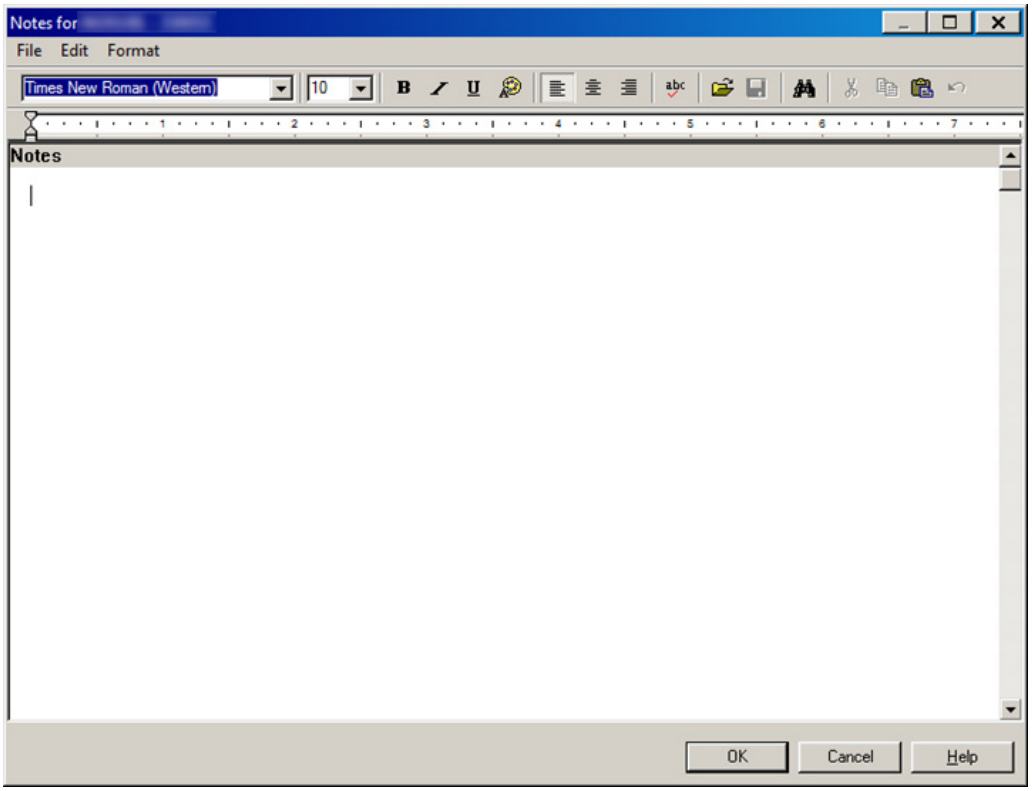


Figure 248: ASPEN word processor

Note: When content is copied and pasted from an external word processor such as Word, RTF formatting is automatically stripped out and the content is pasted as plain text into the ASPEN word processor where you can format it as desired.

You cannot cut text from or paste text into a read-only word processor pane. For example, you cannot cut or paste in the Regulations or Interpretive Guidelines panes of the Citation word processor. You can, however, copy text from a read-only pane and paste it into an editable pane as shown below. Editable word processor panes are white, read-only panes are various colors.

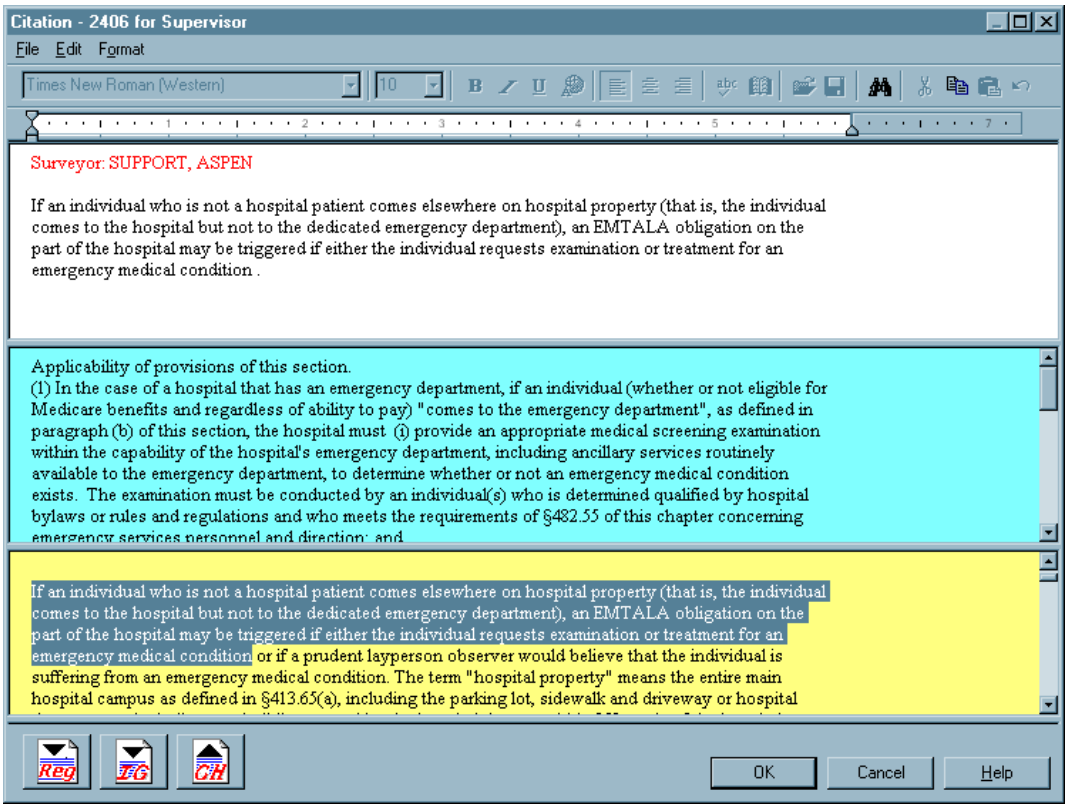


Figure 249: Citation word processor panes

Note: Although an unlimited amount of text can be entered in the word processor, there is a limit of 128K of citation text per tag (approximately 80 printed pages) that can print on the CMS-2567 and related forms.

ACO Fields and Buttons

This chapter provides detailed descriptions of the fields and buttons on various data entry screens throughout ACO. Their order corresponds to the order of the screen graphics in the previous chapter, "ACO Screens".

Included are descriptions of the fields and buttons on the tabs of the Facility Definition window, the Update Surveyor Information window, certification kits, survey windows, and other windows that appear throughout the application.

Note: Required fields are highlighted in yellow throughout the application.

Define New Facility/Facility Properties Fields

Facility Definition

You will see the **hx** (History) button to the right of certain fields, e.g., CMS Certification Number. Click it to display a history of changes to the value entered for a field.

Identification

Facility ID

Unique facility identifier assigned by the state for the facility, except it is system-generated for a 225 lab. Cannot be changed once the record is saved.

A provider must have this ID to be entered into ASPEN. It cannot match the ID of an existing provider in your state's ASPEN database.

CMS Certification Number

Federal identifier (aka provider number or Medicare #/number/ID). All providers requiring certification must have a CMS Certification Number. Providers that are licensed by the state typically do not have a CCN unless they also require certification. Some licensed-only providers may have a CCN for tracking purposes at the national level.

You cannot change the CMS Certification Number if an ADD of an initial certification is pending or has been accepted. If a pending ADD of an initial fails, then the CCN can be updated until an ADD is accepted.

Medicaid ID

If your state uses a separate Medicaid (vendor) ID for internal controls or billing, enter that number here.

Employer ID

Federal tax identification number known as the Employer Identification Number (EIN) used to identify a business entity, the provider in this case.

State Key

Optional alternate state identification number for the provider. 16 alphanumeric characters maximum, uppercase only. Read-only in ARO.

License Number

State-assigned license identifier. Maximum number of characters is 10. Shared with the License Number field on the Licensing tab.

Type

Select the provider type. Licensure-only provider categories defined by your state are included in the list.

Note: Type cannot be changed here after a kit is accepted. If necessary, NH type can be changed via the 1539, or HHA or NH type can be changed via the Change Facility Status option (ARO only).

Current

Current operating status of the provider.

Opened

Date the facility opened.

Closed On

Date the facility closed.

NPI, Update NPI (#)

Provider's National Provider Identifier (NPI). Required for successful upload.

Required for the following provider types: Medicaid-only Hospitals (01U-01Z), NFs (024), Medicaid Only HHAs (052), PRTFs (061), XRAY (071), ICFs/IID (111), and ASCs (151).

Click the Update NPI button to enter the provider's assigned NPIs; enabled only for the specified provider types when a CCN is specified.

The NPI must begin with 1, 2, or 3; be 10 digits long; and pass a validation test. A single provider can have multiple NPIs or multiple providers can share a single NPI. If a provider has multiple NPIs, one is designated as primary.

TITLE:

18 (M-Care)

Select this box if the provider is a Medicare provider.

19 (M-Caid)

Select this box if the provider is a Medicaid provider.

18/19

Select this box if the provider is a dual provider, both Medicare and Medicaid.

Licensure

Select this box to indicate the provider is inspected by the state.

NPI Information

NPI Information: Grid

Primary

Y if primary NPI for facility, which is entered in the NPI field on the Facility Definition tab.

NPI Number

Number assigned to provider by the National Plan and Provider Enumeration System (NPPES).

Effective Date

Date NPI was entered in ACO. Can be modified, e.g., to effective date supplied by provider.

Deactivated On

Date NPI is deactivated; can be current or future date.

NPI Information: Buttons

Add NPI

Opens Add a New NPI window.

Remove Selected NPI

Deletes the selected NPI after confirmation. You cannot remove the primary NPI.

Primary

Designates the selected NPI as primary.

Return to Facility Page

Saves any changes, closes NPI Information, and returns to the Facility Definition tab.

Description

Name

Enter the working name of the provider, up to 50 characters (depending on character width). The working name appears in the Tree and List views, and in survey forms, reports, and letters that you create in ACO for this provider.

ACO displays the name in upper case (all capital letters) in this window, but displays it in mixed case (initial capital letters) in lists, reports, and letters.

Deemed?

Appears for deemable provider types only. Automatically set by referencing the Deemed/2802 tab on the most recent certification kit for the facility; read-only.

Legal Name

Full legal name of the provider. Mixed case (initial capital letters), up to 80 characters.

When it is necessary to include the provider's legal name in a letter, you can insert the Facility Legal Name macro in the form letter template.

Address

Street address of provider.

Address 2

Second line of street address, if applicable.

Find

Finds and enters the Zip Code, which is required, in the first part of the field. You can manually enter the optional 4-digit extension in the second part of the field.

Zip

9-digit Zip+4 code for the provider.

City

City in which the provider is located.

State

2-character postal code for the state in which the provider is located.

County

County Code for the county where the provider is located.

Phone

Phone number of the provider, including area code.

Fax

Fax number of the provider, including area code.

OSCAR State Region

OSCAR State Region Code of the region in which the provider is located.

Website Address

Hospital only.

Website address of provider.

Contact Information

Emerg. Contact

Name of an emergency contact for the provider.

Phone

Phone number of the emergency contact.

Extension

Phone extension of the emergency contact.

E-Mail

Email address of the emergency contact.

CEO Phone

Hospital only.

Phone number of the CEO.

E-Mail

Hospital only.

Email address of the CEO.

Assessment

Name of the assessment contact for the provider.

Remote Login

ACO generates a Remote Login ID for each new provider after you close the Define New Facility window. It consists of the state postal abbreviation plus the state Facility ID. You will see it when you open the Facility Properties window for the provider.

OPTN/Representative (TH only)

OPTN

Four-letter OPTN (Organ Procurement and Transplantation Network) membership code.

Hospital Representative

Name of the administrator assigned as 06 Hospital Representative on the Administration tab. Read-only.

Detail

Button displays information about the Hospital Representative, i.e., the primary administrator, extracted from the Administrator Directory. Read-only.

Addresses

This tab contains a grid that lists the provider's address(es). The first eight columns (Primary - Address Type) are described in Mailing Address below.

Addresses: Grid

ID

Assigned by ASPEN.

Extended Zip

Optional 4-digit Zip Code extension.

Type Code

Two digit code determined by ASPEN. The address entered on the Facility Definition tab is the Physical address (01). Addresses added on the Addresses tab are Mailing addresses (02).

Addresses: Buttons

Add

Opens the Mailing Address window where you can add an additional mailing address.

Modify

Opens the Mailing Address window to modify the selected address in the grid.

Delete

Deletes the selected address in the grid. If you delete the primary address, you are reminded to select another.

Make Primary

Designates the selected address in the grid as the primary address.

Mailing Address

Primary

Designates the primary address.

Care Of

Name of recipient to which mail should be addressed. This is the only field you can modify for the physical address here; other changes must be made on the Facility Definition tab.

Address

Street address or post office box number where the facility receives its mail.

Extended Address

Second line of street address, if applicable.

City

Name of the city where the facility receives its mail.

State

Name of the state where the facility receives its mail.

Zip

9-digit Zip+4 code for the mailing address. Enter the Zip code, which is required, in the first part of the field, and the optional 4-digit Zip extension in the second part of the field.

Address Type

ACO determines the Addr (Address) Type. The address listed on the Facility Definition tab is the physical address (01 Physical). ACO designates all additional addresses as 02 Mailing.

Buildings/Wings

This tab contains a grid with summary information about the facility's buildings and wings. All of the columns are described in Define New/Edit Building below. Entering information in ASPEN about buildings/wings is essential for providers that receive Life Safety Code (LSC) surveys: NHs, ICFs/IID, ASCs, ESRDs, Hospices, and some Hospitals.

Note: Updates to building information are uploaded to national even when LSC surveys are not performed for a certification.

New

Button opens the Define New Building window where you can add a new building record.

Modify

Button opens the Edit Building window where you can modify the building information for the selected building in the grid.

Delete

Button deletes the selected building in the grid.

Color Key

Indicates color/status correlation. Buildings are grouped by color, i.e., status, in the grid, and sorted within each color/status by ID number.

Note: The color key indicates closed buildings display in gray. Actually, they display in the screen background color.

Define New/Edit Building

Note: Updates to building information are uploaded to national even when LSC surveys are not performed for a certification.

Building/Wing ID

Unique two-character identifier given to the building record when it is created. It is read-only thereafter.

Effective

Date the building record was added to the provider record.

Closed on

Date the building closed, if applicable.

Plan Approval

Date the building plan was approved.

Name/Reference

Name of the building. This can be a simple reference to identify the building for surveyors.

CMS Type (K3)

Options are:

A Building

B Wing

C Floor

D Apartment Unit.

This prints in box K-3 on the CMS-2786 form.

Building Stories

Number of stories in the building. This field is activated if A Building or B Wing is selected.

Construction Type

Construction type options are listed in the drop-down list.

Location

A brief description of the building location.

LSC Form Indicator (K7)

When you select the Form Indicator here, ASPEN will enter the appropriate LSC regulation set for the building in the Reg. Set field underneath.

Reg. Set

Read-only, based on the LSC Form Indicator selected in K7.

ICF/IID Indicator (K8)

Available and required for ICF/IID facilities only. Options are: Small (16 beds or less), Apartment House, Large (17 beds or more).

Evacuation Level

ICF/IID only.

Only available and required if the LSC form indicator is 9, 16, or 17. Enter the appropriate level: Prompt, Slow, or Impractical.

E-Score

ICF/IID only.

Only available and required if the LSC form indicator is 9, 16, or 17. Enter the calculated E-Score.

Licensed Only building

Indicates if the building is state-licensed only.

Click here for State Reg Set Required for Lic Only Bldg

This button is activated you select the Licensed Only building checkbox, Click to choose the appropriate regulation set for the building.

Haz. Area Separate (K29)

Indicate whether the building requires a designated separate hazardous area. If you select any of the three options, the value uploaded to national is 3 Not Applicable. If the field is left blank, no value is uploaded.

FSES Date

Date of latest Fire Safety Equivalency System survey.

Constructed

Date the building was constructed.

Is Sprinkler Required? (K56)

Options are: 1 Yes, 2 No, 3 Not applicable.

Sprinkler Status (K180)

Options are:01 Fully Sprinklered, 02 Partially Sprinklered, 03 Unsprinklered.

Associations

Agency Associations

Management Unit

Select the management unit of the State Agency responsible for the provider.

Supervisory/Work Unit

Select the supervisory/work unit responsible for the provider. Listed units are determined by which management unit was selected.

LSC/DSI Unit

LSC/DSI unit of the State Agency responsible for the provider.

External Associations

Accreditation

If your state wishes to track accreditations for a provider that is accredited but does not have deemed status, select the applicable accreditation organizations here. You can select two maximum.

Note: For providers that have deemed status, AO and deeming information is entered on the Deemed/2802 tab of the certification kit. Accreditation information is not shared between the Associations tab and the certification kit.

State Congressional Districts

House District

Select the congressional House District representative for the provider.

To add or change the values in the drop-down list, go to System | Lookup Values | Congress. Then restart the application.

Senate District

Select the congressional Senate District representative for the provider.

To add or change the values in the drop-down list, go to System | Lookup Values | Congress. Then restart the application.

Administration

Administrator Directory Search

Name

To search for an administrator, enter all or part of the name here and click Find Now.

List of returned names

List of all administrators that met the search criteria specified in the Name field.

Create Administrator

Button opens the Enter Administrator Information window where you can add an administrator to the Administrator Directory.

Click Here to Assign >>

Button assigns the selected administrator to the facility. The Administrator Information window appears for you to enter start date, end date, and type for the administrator.

Administrators Linked to this Facility

List of linked admins

List of administrators who are linked (assigned) to the facility.

Make Primary

Button designates the selected administrator as the primary administrator for the facility.

Modify

Button selects a linked administrator and opens the Administrator Information window where you can modify assignment information.

Remove

Button deletes the selected administrator from the list of linked administrators. If you delete the existing primary administrator, a message reminds you to pick another primary administrator.

Enter Administrator Information

Sal

The administrator’s salutation (title).

First

Administrator’s first name.

M.I

Administrator’s middle initial.

Last

Required. Administrator’s last name.

Address

Administrator’s street address.

System ID

ID code assigned by the system.

City

Administrator’s location city.

State

Administrator’s location state.

Zip

State postal code.

Phone Number

Administrator phone number.

Fax Number

Administrator fax number.

Title

Administrator's formal title.

Default Administration Type

The administration type.

Email Address

Administrator email address.

License

Number

Shared from the License Number field on the Facility Definition tab. Read-only here.

Expiration Date

Date the license expires.

Type

Provider type. Licensure-only provider categories defined by your state are included in the list.

Licenses

Select this button to add administrator licenses.

Administrator Information

Started

The date the administrator started.

Ended

End date of the administration.

Administrator Type

Select from 01 Administrator, 02 Asst Administrator, 03 Medical Director, 04 Director of Nursing, 05 Coordinator, 06 Hospital Administrator, and 81 MDS Coordinator.

Ownership

Owner Directory Search

Name

To search for an owner company, enter all or part of the company name here and click **Find Now**.

List of returned names

List of all owner companies that met the search criteria specified in the **Name** field.

Create Owner

Button opens the **Enter Owner Company Information** window where you can add an owner company to the Owner Directory.

Click Here to Assign >>

Button assigns the selected owner company to the facility. The **Owner Properties** window appears for you to enter information about the owner.

<Owner Company Name> Owners

Owners Linked to this Facility

Officers

Select an owner company in the list below and click to open the **Select/Enter Owner Officers** window. From there you can add, modify, or delete officers of the owner company, and designate the primary officer.

List of linked owners

List of owner companies that are linked (assigned) to the facility.

Make Primary

Button designates the selected owner company as the primary owner of the facility.

Modify

Button opens the **Owner Properties** window where you can modify ownership information for the selected linked owner.

Remove

Button deletes the selected owner company from the list of linked owners. If you delete the existing primary owner, a notification reminds you to pick another primary owner.

Enter Owner Company Information

Company Name

Required. Name of the company that holds ownership.

Company System ID

The company is automatically assigned a Company System ID number by ACO. The ID number, which is for site system administrators' use, appears in the (Company System ID) field and cannot be changed.

DBA

Company Doing Business As name.

Tax ID

Company Tax ID number.

Contact Information

Phone

Company telephone number.

Fax

Company fax number.

Email

Company contact email address.

URL

Company Internet address.

Mailing Address

Street Address

Company street address.

City

City in which the company is located.

State

Two digit state code in which the company is located.

Zip

Company postal code.

Select Parent Company

Click to Lookup Parent

Select this button to look up a parent company already in the system.

Clear

Use this button to clear the inserted parent company.

Parent ID

Read-only. Parent ID number that is filled upon selection of a parent company.

Parent Name

Read-only. Parent name that is filled upon selection of a parent company.

Parent Type

Select the parent company type.

Owner Properties

Define Ownership Characteristics

Financial Category

Select the Financial Category. Options are: 01 Profit, 02 Non-Profit, 03 Other.

Owner Of

Select what is owned; 01 Building, or 02 Health Care OPS.

Ownership Type

Select the type of ownership.

- 01 FOR PROFIT-INDIVID
- 02 FOR PROFIT-PARTNERSHIP
- 03 FOR PROFIT - CORP
- 04 NON PROFIT-CHURCH RELATED
- 05 NON PROFIT-CORPORATION
- 06 NON PROFIT-OTHER
- 07 GOVERNMENT
- 08 GOVERNMENT-COUNTY
- 09 GOVERNMENT-CITY
- 10 GOVERNMENT CITY/COUNTY
- 11 GOVERNMENT-HOSP. DIST.
- 12 GOVERNMANT-FEDERAL

Start

Start date of ownership.

End

End date of ownership.

Is this a Management Company?

Enable to indicate if this is a management company.

Select/Enter Owner Officers

Owner Officers List grid

Name

The owner officer's name.

Tax ID

The tax ID for the owner officer.

Company

The owner officer's company.

Title

The owner officers official title.

Tenure From

Date the owner officer's tenure began.

Tenure To

Date the owner officer's tenure will end.

Code

The position code. Filled in from the Position Code and Description field on the Enter Owner Officer Data window.

Position Description

Description of the position.

Percentage Owned

The percentage of ownership.

Select/Enter Owner Officers: Buttons

Click Here to Select Officers

Use this button to open the **Select Owner Officer to Assign** window.

New

User this button to open the **Enter Officer Information** window.

Modify

This button opens the **Enter Owner Officer Data** window. Fields that can be modified are Tenure From, Tenure To, Is Primary, Position Code and Description, and Percentage Owned.

Delete

Use this button to remove the selected officer from the company.

Primary

Use this button to make the selected officer the primary officer.

Select Owner Officer to Assign

Search Criteria

Text Search

In the Text field, enter all or part of the last name or Officer Tax ID you want to search for.

Search By Last Name

Select this option to search by the last name of the officer.

Search by Officer Tax ID

Select this option to search by the Officer Tax ID number.

Find Now

Click this button to load the search results into the Search Results grid.

Search Results grid

Tax ID

The officer’s tax ID number.

Name

The officer’s full name; last, first.

Title

The officer’s formal title.

Select

After clicking the appropriate row in the grid, click this button to open the **Enter Owner Officer Data** window.

Licensing

License Number

Shared from the License Number field on the Facility Definition tab. Read-only here.

License Type

Select the applicable license type, i.e., renewal interval.

License Issue Date

Date the license was issued to the provider.

License Effective From

Starting effective date of the license.

License Effective To

Ending effective date of the license.

License Continuing?

Select if the license is continuing.

Other

Geographic Location

Latitude

Latitude of facility location in decimal degrees–12 characters maximum, e.g., 39.55.

Longitude

Longitude of facility location in decimal degrees–12 characters maximum. e.g., -87.683333.

Other Items

Insurance Expiration

Date the provider’s insurance expires.

Surety Bond

HHA only. Has the provider obtained a surety bond? Options are: No, Waiver, Yes.

Fiscal Year End

Month in which provider’s fiscal year ends. You must specify it as a number, e.g., 02 for February.

Special Operating Hours?

Select if the facility has special operating hours. If yes, click the Notes button at the bottom of the screen to enter the hours.

Bankrupt

Select if provider has declared bankruptcy and enter Petition Date and End Date (below).

Petition Date

Enabled only if Bankrupt checkbox is selected. Enter the date that the provider filed the bankruptcy petition.

End Date

Enabled only if Bankrupt checkbox is selected. Enter the date of the final bankruptcy court order.

Special Focus

NH only. If the facility has been identified currently or in the past as a Special Focus Facility that must substantially improve its quality, use the Add, Modify, and Delete buttons to list its SFF monitoring periods. Active SFF periods are highlighted in blue.

If substantial improvement is not achieved, the facility is subject to termination. The Special Focus Facilities report (Reports | Facility Reports) is based on the SFF periods entered here.

Begin Date

Enter start date of the SFF monitoring period.

End Date

Enter end date of the SFF monitoring period.

NATCEP Loss

NH, HHA. Read-only.

Are there circumstances that will result in a NATCEP prohibition for the provider? Options are: Yes, blank. Carried forward from the Most Recent Actual NATCEP Loss section on the NATCEP tab of the enforcement case screen.

Last Day

NH, HHA. Read-only.

Last day the NATCEP prohibition is in effect. Carried forward from the Most Recent Actual NATCEP Loss section on the NATCEP tab of the enforcement case screen.

Last Day of Waiver

NH only; present but never populated for HHA. Read-only.

Last day that the waiver of NATCEP loss is in effect. Carried forward from the Most Recent Actual NATCEP Loss section of the enforcement case screen.

Restored Based on CHOW Date

NH only; present but never populated for HHA. Read-only.

NATCEP loss was canceled due to a change of ownership. This is the CHOW effective date. Carried forward from the Most Recent Actual NATCEP Loss section on the NATCEP tab of the enforcement case screen.

Media Contact

Name of provider's media contact.

Chain

Name of chain that provider belongs to.

DOJ Contact

NH, HHA. Name of contact at Department of Justice.

Intermediary/Carrier No.

Current active Medicare Administrative Contractor (MAC). Carried forward from L31 on the CMS-1539 Read-only here. If you change the MAC on the CMS-1539, it is updated here.

Input Bed Detail Record Effective

Effective Date

Date bed record takes effect.

Certified Beds

Enter number of certified beds by category for the facility. ACO automatically calculates the Total.

Licensed Beds

Enter number of licensed beds for the facility.

Save and Exit

Saves entries and exits window.

Cancel

Exits without saving changes.

Management and Work Units Fields

Enter Management Unit Information

Management ID

Number assigned by ACO. Cannot be changed.

Abbreviation

Used on ACO screens and reports. You can enter up to 6 characters.

Description

Label appears in the Directory tree.

Phone

Phone number of management unit contact.

Fax

Fax number of management unit contact.

Employee ID

Employee ID number of unit manager.

Name

Entered by system after you enter the Employee ID.

Enter New Work Unit Info

Work Unit ID

Alphanumeric identifier for the work unit.

Description

Work Unit description.

Short Name

Abbreviated name - 3 character maximum.

Type

Survey type conducted by work unit. Options are: 01 Health Survey, 02 LSC Survey, 03 Both Health/LSC Survey.

Mgmt Unit

Management unit associated with this work unit.

Main

Main phone number.

Secretary

Secretary’s phone number.

Office Location

Office location of work unit.

Work Unit Leader

Work Unit Leader name selected from drop-down list.

Phone

Phone number of Work Unit Leader.

Personnel Information Fields

CMS RO/CO Staff Manager - ARO

Filter Views By

All CO Staff

Click button to select Central Office in CMS section and Include Contractors in Contractors section. Refreshes grid to display all CO staff and contractors.

ALL RO Staff

Click button to select all regions in Regions section, All Regional Offices in CMS section and Include Contractors in Contractors section. Refreshes grid to display all RO staff and contractors.

Show All/Default

Click Show All button to select all options in Regions, CMS, and Contractors sections. Refreshes grid to display all RO and CO staff and contractors; Show All toggles to Show Default. Click Show Default to return default filter selection(s) and refresh grid accordingly.

Regions

Filter options include all regions. For RO users, the current user’s region is selected by default. If all regions are selected, All Regional Offices is auto-selected in CMS section.

CMS

Filter options are: All Regional Offices, Central Office. When All Regional Offices is selected, all Regions options are auto-selected.

Contractors

When Include Contractors is selected, at least one Regions option, one CMS, or one Surveyors option must also be selected.

Surveyors

Filter options are: All Surveyors Only, SA Surveyors Only.

Terminated Personnel

Option is Include Terminated to include terminated employees in grid listing.

Filter by User's Working State(s): Active/Inactive

Button displays window of same name. Select desired states. If any states are selected, button/dialog title says Active; if none, title says Inactive.

Apply Filter

Button refreshes list of employees in grid according to specified filtering criteria.

CMS RO/CO Staff Manager - ARO: Grid

Search Selected Column For:, Search

Searchable columns are:

- Staff ID
- Staff Name
- ACO Login
- ASE-Q Login

Select checkbox of column to search, enter text to search, and click Search to find first occurrence of entered text in specified column. Click Search again to find next occurrence. Currently Searching on: label indicates which column is being searched.

Staff ID

Staff member's ID.

Staff Name

Name of staff member.

Home

Staff member's home agency.

User's Working State(s)

Lists employee's working states. Click button to open State Working Access window and update the list of states.

Surveyor

Y if staff member is a surveyor, N if not.

Contractor

Y if staff member is a contractor, N if not.

Term

A if staff member is active; T if terminated.

ACO Login

Staff member's unique ACO login; read-only.

ASE-Q Login

Staff member's unique ASE-Q login.

Allow Assessment

Select to let the employee view MDS 3.0 data for nursing home residents in ASE-Q.

Allow QIS

Select to let the employee access the integrated QIS Tool in ASE-Q.

Allow Complaint

Select to let the employee view complaint information in ASE-Q.

Allow ASE-Q Admin

Not currently active. It may be used in the future.

CMS RO/CO Staff Manager - ARO: Buttons

Set ASE-Q = ACO Login

Sets the ASE-Q Login for the selected staff member(s) to their ACO Login.

Toggle Assessment

Toggles the Allow Assessment checkbox for the selected staff member(s). If multiple staff members are selected, Allow Assessment is set for all as it is for the first selected staff member.

Toggle QIS

Toggles the Allow QIS checkbox for the selected staff member(s). If multiple staff members are selected, Allow QIS is set for all as it is for the first selected staff member.

Toggle ASE-Q Admin

Toggles the Allow ASE-Q Admin checkbox for the selected staff member(s). If multiple staff members are selected, Allow ASE-Q Admin is set for all as it is for the first selected staff member.

Enter/Update Surveyor Information

Descriptions of all possible fields and buttons on the tabs of the Enter/Update Surveyor Information are provided below. ASPEN enables fields as appropriate depending on employee type.

Employee Identification

Identification

State Employee ID

Required. ID assigned by state based on its staff numbering system.

This ID is required for all staff members, not just surveyors, so states should devise their own ID system for non-surveyors. We recommend that the first two characters be the state postal code. This ID cannot be changed after a new staff record is saved.

Staff ID/Federal Surveyor ID

Required. Up to 5 characters.

Staff ID - Default field label. Alphanumeric ID assigned to an employee who isn't a Federal surveyor. The first character must be a letter. Cannot be changed directly; use the Change Surveyor ID option ("Change Staff ID" on page 82).

Federal Surveyor ID - Staff ID label changes to Federal Surveyor ID when you click the Assign Federal Surveyor ID button ACO generates a unique ID. Cannot be changed.

Assign Federal Surveyor ID

Select this button if the new employee will participate in surveys of Federal providers. Staff ID label changes to Federal Surveyor ID and ACO generates a unique ID.

Name and Title

First

Required. Employee's first name.

M.I.

Employee's middle initial.

Last

Required. Employee's last name.

Federal Title

Required for Federal surveyors. Employee's primary Federal position title.

State Title

Employee's state position title. States can customize the list of titles (see "Customize State Staff Titles" on page 278).

General Staff Type

Employee's staff category.

Click for Additional Fed Titles...

Button displays list of Federal titles. Choose applicable secondary title(s) if employee has more than one qualification. You must first select the primary Federal Title.

Contact Information

E-Mail Address

Required. Employee's email address at work. Shared on the Employee Details tab. Used in system-generated action item emails.

Phone

Employee's work phone number including area code.

Phone Extension

Employee's phone extension at work.

Work Location

Office where employee works.

Staff Access and Type

Staff Home Agency

Read-only. Set to staff member's base agency, i.e., <ST> (state postal abbreviation) for SA staff members, CMS-RO <#> for RO staff, and CMS-CO for CO staff.

Region/State

ARO - When the Staff Home Agency is an SA, the field label is State; click to select the applicable state from the drop-down. When Staff Home Agency is an RO, the field label is Region; click to select the applicable region from the drop-down. When the Staff Home Agency is CO, the field does not appear.

ACO/ARO Login ID

Required. Unique login ID used to access the network. Must match the Windows login that the user enters to access the state network.

CASPER Login ID

CLIA only - Unique login ID used to access ASPEN CLIA 116; 20 alphanumeric characters maximum.

ASE-Q Login ID

Provides authentication and access control for ASE-Q users. Enter the user's Windows login, which will also serve as the user's ASE-Q login.

Use ACO Login

Select this button to specify the employee's ACO login as the ASE-Q login.

Federal Surveyor Type

ARO - Enabled and required if a Federal Surveyor ID is assigned. Options may be Central Office Surveyor, Regional Office Surveyor, or State Agency Surveyor depending on Staff Home Agency.

Contractor

ARO - Enabled and required for a Central or Regional Office surveyor. Select if the surveyor is a contractor.

National Access Levels

National Type

ARO - Select the appropriate user type: Regional Office, Central Office. If logged on user is a Super User, additional options are:

Office Financial Management

Accrediting Organization

Veterans Administration

Billing Contractor

Lockbox user

CMPTS Super User

ARO - If selected, indicates the staff member has CMPTS super user privileges. Enabled only if the current user is a CO super user, i.e., National Type is Central Office or Regional Office and ASPEN Web Access Level (below) is Super User.

ASPEN Web Access Level, Enable Update

Indicates employee's access level for ASPEN Web. The Enable Update button activates the field. Choose the appropriate access level. Default is No Access.

In ACO, you assign access level for SA users, including Exempt states.

In ARO, you assign access level for national users, except AOs. The field and Enable button are displayed and enabled when Federal Surveyor Type is Regional Office or Central Office.

Reg Mgr Type

ARO - Displayed and enabled only for members of the Authorize group when they create or edit CO personnel records. Specifies employee's level of access to the Regulation Manager. Options are:

No Access

Authorize Group

Development Group

QA Group

Accrediting Organization

ARO, AO - Displayed and required when National Type is Accrediting Organization. Select the applicable accreditation organization.

ASE-Q Access Levels

Assessment

Lets the user view MDS 3.0 data for nursing home residents.

QIS

Provides the user access to the integrated QIS Tool.

Complaints

Lets the user view complaint information in ASE-Q.

ASE-Q Admin

Not currently active. It may be used in the future.

Survey Only

Provides the user with an operation mode in ASE-Q so they can perform standard survey functions common to all providers with no EAR detection. This can be used by non-government users or non-NH state and contract surveyors. Since EAR provides all users entry (with a warning) in the current release, this option is not relevant at this time.

Email Settings

E-Mail Address

Employee's email address entered on the Employee Identification tab. Used in system-generated action item emails.

Receive Broadcast Emails

Select if employee should receive broadcast action item emails, i.e., messages sent to all SA or RO users when no SA or RO responsible parties are assigned.

Receive Targeted Emails

Select if employee should receive targeted action item emails, i.e., messages for which the employee is specified as a recipient.

Action Items Filter

Lists all action items, except for 01-Added to Survey Team, for which email notification is available. SA users see only SA action items, RO users see only RO action items. This section is enabled when Receive Broadcast Emails or Receive Targeted Emails is selected.

ACTS Assigned Activity Filter

Lists all ACTS activity types. This section is enabled (all options selected by default) only if 06 ACTS Assigned Activity is selected in the Action Items Filter section. Use the Select/Deselect All buttons select/deselect all options in this section.

Enforcement Assigned Activity Filter

Lists all Enforcement activity types. This filter is enabled (all options selected by default) only if 15 Enforcement Assigned Activity is selected under Action Items Filter. Use the Select/Deselect All buttons select/deselect all options in this section.

AST Assigned Activity Filter

Lists all AST activity types. This section is enabled (all options selected by default) only if 16 AST Assigned Activity is selected in the Action Items Filter section. Use the Select/Deselect All buttons select/deselect all options in this section.

Note: This filter does not affect AST reminder emails.

ARM Assigned Activity Filter

Enabled only in ARO and relevant only for Central Office users. Use the Select/Deselect All buttons select/deselect the one option in this section.

Security/Details

Employment History

Hire Date

Date the employee was hired.

Anniversary Date

Date on which employee's work anniversaries are based. Accommodates employment trial periods, leaves of absence, etc.

Termination Date

Date employment was terminated. For Federal surveyors, this date cannot be before the exit date of any survey to which the surveyor is assigned.

Once you enter the Termination Date, ASPEN removes the surveyor from the list under the Surveyors node in Alpha tree view. You can view active and terminated surveyors in the Directory tree by selecting Active & Terminated on the Staff Directory node.

Show Employment History

Button accesses a list of Hire and Termination Date changes.

Staff Affiliations

Work Unit

ACO - Select employee's Work Unit.

Is Leader

ACO - Select if the employee is the leader of the designated Work Unit.

Management Unit Affiliation

ACO - Automatically entered when the Work Unit is selected.

Is Unit Leader

ACO - Select if the employee is the leader of the designated Management Unit.

Assign Permitted Action Items

ARO - Use this button to display and assign permitted action items.

Allowed Facility Types

Specifies the provider categories a surveyor is qualified to visit. Used to filter the list of available staff by allowed provider category when survey teams are assigned.

Conflict of Interest

Opens the Conflict of Interest window where you can add, modify, or delete providers with which the surveyor may have a conflict of interest.

Assigned State Agency

Select the applicable agency if the employee works in an agency other than the default agency. State agency name(s) and acronym(s) are defined in System | System Configuration | State Customization. If an SA employee is not assigned an agency here, the SA Default specified in State Customization is used in letter macros and reports.

Security Groups

Menu Security - ACO

Expand to assign the employee to ACO menu security group(s), thereby granting the associated access rights. You can assign the employee to as many menu security groups as appropriate.

Menu Security - ACTS

Expand to assign the employee to ACTS menu security group(s), thereby granting the associated access rights. You can assign the employee to as many menu security groups as appropriate.

Facility Type Security - ACO/ACTS

Expand to assign the employee access rights by provider type. The default for all provider types is No Access. Both ACO and ACTS use these assignments.

Note: Facility type security must be separately enabled in each application for these settings to take effect. In ACO, go to System | System Configuration | State Customization.

May Not See Surveys Scheduled Beyond N Days in The Future

Limit the employee's ability to see surveys scheduled in the future to a specified number of days.

Access control for non-assigned surveys

Specify access to surveys that the employee is not assigned to as a team member. The default is Read/Write.

Conflict of Interest

Fac ID

State facility ID generated by ASPEN when the provider record is created.

Facility Name

Name of facility.

Medicare Id

Provider CCN.

Type

Provider category.

Effective Date

Effective date of conflict.

Expiration Date

Expiration date of conflict.

City

City where facility is located.

Conflict Interest Type

Effective Date

Effective date of conflict.

Expiration Date

Expiration date of conflict.

Conflict of Interest Notes

Notes about the conflict.

Find Surveyor

Text Search

Enter all or part of the surveyor's last name or ID. If the text you enter does not appear at the start of the name or number, type an asterisk (*) before the text.

Search By Surveyor's Name

Select radio button to search by surveyor's name. You can perform only one type of search at a time.

Federal Surveyor ID

Select radio button to search by Federal surveyor's ID. You can perform only one type of search at a time.

Find Now

Button locates the matching record(s). Results are shown in the Search Results box.

Search Results

The staff members who match the search criteria appear in the Search Results section.

Select

Press this button to choose the highlighted surveyor in the Search Results List.

-or-

You can double-click to select the surveyor.

Certification Kit Fields

This section provides detailed descriptions of the fields and buttons in ASPEN certification kits. Their order corresponds to the order of the screen graphics in the previous chapter, "ACO Screens". All possible fields for each tab are listed, some of which are enabled for only for certain provider types, or only in ACO or ARO. If a tab has fields that vary according to provider type, the applicable types are listed.

Certification & Surveys tab

Certification Properties and Responsible Parties

Kit Accepted / Kit Not Accepted

Indicates whether or not the kit has been successfully uploaded to national. Not displayed for Prior kits, which by definition have been successfully uploaded.

If information for any form is changed after the kit has been accepted by national so that all the information required for upload is no longer entered, the green checkmark on the form's tab changes to red but the Kit Accepted indicator remains.

Facility and CMS 670 Edits Passed/Not Passed

Indicates whether or not facility and CMS-670 edits have been passed. If passed, the button is disabled. If not passed, the checkmark is red and selecting the button displays a list of failed edits.

TrackID

A unique identifier supplied by ASPEN.

All surveys associated with the certification use this number in their Event ID.

Category

Category is determined by the national database:

If there has been a prior successful upload of a certification kit for the current provider, the new kit is a Recertification. If there are no prior uploads, the new kit is an Initial Certification.

Release for CMS Review?

When the Release for CMS Review? checkbox is selected, either manually or automatically when the kit is submitted to national, a flag icon appears that indicates whether or not the certification is flagged for RO review.

The blue flag icon means that the certification requires RO review.

The blue flag with a line through it means no need for RO review has been indicated.

See "Special Fields" on page 497 for a description of Flag Indicator (SF08) and the criteria used to flag a certification.

The relationship between L32 (RO Receipt Date), L33 (Determination Approval date), SF08, SF15 (RO Final Rev Date #), and SF24 (Approval Date Entered) is complicated. The system enforces the relevant rules and issues user messages as necessary.

Status

This field is not uploaded to national. Users can change the status to Closed so when they see the certification listed in the Tree or in the Tracking window, they will know that no further action is necessary.

Facility Details

Button opens a read-only view of information about the provider. To correct information you see here, right-click the provider in the Tree view and select Facility Properties.

Buildings/Wings

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

Button opens the Buildings/Wings window for the provider. You can view, add, modify, or delete buildings/wings. Only open buildings are brought forward from the provider record into the certification kit.

Responsible Parties/Edit

Lists responsible parties assigned to the certification kit. There must always be at least one responsible party. When a certification kit is first created, the kit's creator is made a responsible party automatically.

Click the Edit button to open the Responsible Parties window, where you can update the assigned parties. The fields are the same as on the Responsible Parties subtab on the Tracking tab, and the Regional/State Representatives grid on the Deemed/2802 tab. When you enter a responsible party in one location, it is automatically entered in the other locations.

Citation List

IJ Question

CoPs out of compliance - is there an IJ?

All except NH.

Supports Immediate Jeopardy (IJ) tracking for non-Nursing Home providers. Y if there is an IJ situation, N if not.

Displayed for non-NH providers. Enabled and required only if:

- a certification survey has condition-level citations

  and/or

- an EMTALA survey has EMTALA citations, i.e., any of the tags A2400, A2404, A2406, A2407, A2408, A2409, or A2410 is cited

Set to null and disabled if all condition-level tags on a survey and/or all EMTALA citations on an EMTALA survey are deleted.

Upload is prevented if the IJ question is not answered when required.

For kits with a certification exit date on or after 06/04/2018, you will receive a message if tag/survey-level and kit-level IJ flag settings do not match.

Health tab

Tag

Number of the tag that was cited. The citation list is sorted by tag number.

Type

Tag Type as entered in the Regulatory Tag Properties window (right-click tag in Tree view, select Tag Properties). Possible values are:

C - Condition
E - Element
L - Licensure
M - Memo
R - Requirement
S - Standard

Description

Tag Title from the Regulatory Tag Properties window.

S/S

Applicable provider type depends on the reg set.

The alphabetical designation for the scope/severity level of the deficiency from Citation Properties. If you import findings for a single tag from more than one surveyor, S/S is determined by the last entry saved.

S/S must be entered for all NH Health and LSC citations. You cannot enter or change S/S on the Health tab. You must use the Citation Properties window.

If scope/severity for a tag changes as a result of IDR/Independent IDR, the latest S/S value is displayed by default.

If an S/S change is made for a tag anywhere in ASPEN, and the tag currently exists on a revisit survey, a warning notification appears informing users that the tag may require updating on that revisit survey as well.

Deficiencies with an S/S code of A and those for which IDR/Independent IDR has been requested are not uploaded to national.

If the S/S code is changed in a standard survey (subsequent to IDR/Independent IDR, for instance), the change will be uploaded to national.

If scope/severity changes as a result of a followup visit, that change can be recorded in the revisit record, but it will not be uploaded to national unless the new S/S is a higher finding of G or above.

Cert, Complnt

These checkboxes indicate whether the citation applies to the Recertification and Complaint survey categories. ACO marks Cert when Initial Certification or Recertification is selected in the Citation Properties window, and Complnt when Complaint Investig. is selected.

Completion (X5)

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC.

Set to the date the facility indicates the final POC for the tag is approved.

ACO: Date the provider states the deficiency will be corrected.

This is the Facility POC Complete date from Citation Properties. You can edit the date on the grid and the change will be stored in Citation Properties or vice versa.

NH - Disabled if the PNC indicator is selected in Citation Properties (see "Citation Properties" on page 603). If an X5 date is entered and then the PNC indicator is selected, the X5 date is removed.

Corrected

The Correction Date from Citation Properties. It is the date the deficiency was found to be corrected during a revisit.

IDR Status

NH, HHA

Shows the status of disputed tags. The default is 01 - None. To change the status, you must use the Informal Dispute Resolution window.

IIDR Status

NH only

Shows the status of disputed tags. The default is 01 - None. To change the status, you must use the Informal Dispute Resolution window.

Refused

If selected, indicates the provider refused to correct the citation.

NH - Disabled if the PNC indicator is selected in Citation Properties (see "Citation Properties" on page 603).

Waived

All but HHA

For tags identified as Waiverable in the Regulatory Tag Properties window, this button opens the Waiver Detail for tag window in which you can add, modify, or delete a Federal or state waiver.

Note: Disabled if tag is not waiverable; you will receive a message except for tags 0000 and 9999.

Current waiver Decision status is displayed on the button:

- blank if no waiver information is entered
- Pending if the waiver has not yet been approved
- Waived if the waiver was approved
- Denied if the waiver was not approved

NH - Disabled if the PNC indicator is selected in Citation Properties (see "Citation Properties" on page 603).

Status

ACO assigns status as follows:

3 - PNC. NH only. Assigned when the Past Noncompliance checkbox is selected in Citation Properties.

5 - Not Corrected. A tag is cited and no Corrected date has been entered.

6 - Accepted. A Completed date has been specified, but not a Corrected date. The Completed date is the date by which the provider says corrections will be implemented.

7 - Corrected. A date has been entered for Corrected, or the Completed date is the same as the exit date of the survey, which indicates the correction was made during the survey, and there is no need for a Corrected date.

8 - Waived. Assigned when the Waived checkbox is selected (in column to left).

9 - Refused. Assigned when the Refused checkbox is selected (two columns to left).

LSC tab

The LSC tab is displayed for Hospital (though it is not applicable for all subtypes), NH, ICF/IID, ASC, ESRD, and Hospice providers.

Bld

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

The 2-character Building/Wing ID specified when the building is defined. LSC citations are sorted by this ID.

Tag

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

Number of the tag that was cited. The citation list is sorted by tag number.

Type

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

Tag Type as entered in the Regulatory Tag Properties window (right-click tag in Tree view, select Tag Properties). Possible values are:

C - Condition
E - Element
L - Licensure
M - Memo
R - Requirement
S - Standard

Description

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

Tag Title as entered in the Regulatory Tag Properties window.

S/S

Applicable provider type depends on the reg set.

The alphabetical designation for the scope/severity level of the deficiency. If you import findings for a single tag from more than one surveyor, S/S is determined by the last entry saved.

If scope/severity for a tag changes as a result of IDR/Independent IDR, the latest S/S value is displayed by default.

Deficiencies with an S/S code of A are not included when uploading to national. Deficiencies for which IDR/Independent IDR has been requested are not uploaded to national.

S/S must be entered for all NH Health and LSC citations. You cannot enter or change S/S on the LSC tab. You must use the Citation Properties window.

If scope/severity is changed in a standard survey (subsequent to IDR/Independent IDR, for instance), the change will be uploaded to national.

If an S/S change is made for a tag anywhere in ASPEN, and the tag currently exists on a revisit survey, a warning notification appears informing users that the tag may require updating on that revisit survey as well.

If scope/severity changes as a result of a followup visit, that change can be entered and recorded in the revisit record, but it will not be uploaded to national unless the new S/S is a higher finding of G or above.

Cert, Complnt

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

These checkboxes indicate whether the citation applies to the Recertification and Complaint survey categories. ACO marks Cert when Initial Certification or Recertification is selected in the Citation Properties window, and Complnt when Complaint Investig. is selected.

Completion (X5)

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC.

ACO: Date the provider states the deficiency will be corrected.

This is the Facility POC Complete date from Citation Properties. You can edit the date on the grid and the change will be stored in Citation Properties or vice versa.

NH - Disabled if the PNC indicator is selected in Citation Properties (see "Citation Properties" on page 603). If an X5 date is entered and then the PNC indicator is selected, the X5 date is removed.

Corrected

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

The Correction Date from Citation Properties. It is the date the deficiency was found to be corrected during a revisit.

IDR Status

NH only.

Shows the IDR status of disputed tags. The default is 01 - None. To change the status, you must use the Informal Dispute Resolution window.

IIDR Status

NH only.

Shows the IIDR status of disputed tags. The default is 01 - None. To change the status, you must use the Informal Dispute Resolution window.

Refused

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

If selected, indicates the provider refused to correct the citation. Applies only to specific tags.

NH - Disabled if the PNC indicator is selected in Citation Properties (see "Citation Properties" on page 603).

FSES

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

If selected, indicates an FSES deficiency. Cannot select unless tag is identified as FSES in the Regulatory Tag Properties window.

Waived

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

For tags identified as Waiverable in the Regulatory Tag Properties window, opens the Waiver Detail for tag window in which you can add, modify, or delete a Federal or state waiver.

Current waiver Decision status is displayed on the button.

- blank if no waiver information is entered
- Pending if the waiver has not yet been approved
- Waived if the waiver was approved
- Denied if the waiver was not approved

NH - Disabled if the PNC indicator is selected in Citation Properties (see "Citation Properties" on page 603).

A tag cannot be both FSES and Waived.

Status

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

ACO determines status as follows:

3 - PNC. NH only. Assigned when the Past Noncompliance checkbox is selected in Citation Properties.

4 - FSES. Assigned to FSES tags on LSC surveys; i.e., FSES is the value in the Waived/FSES field (in column to left).

5 - Not Corrected. A tag has been cited and no Corrected date has been entered.

6 - Accepted. A Completed date has been specified, but not a Corrected date. The Completed date is the date by which the provider says corrections will be implemented.

7 - Corrected. A date has been entered for Corrected, or the Completed date is the same as the exit date of the survey, which indicates the correction was made during the survey, and there is no need for a Corrected date.

8 - Waived. Assigned when Waived is selected in Waived/FSES field (column to left).

9 - Refused. NH only. Assigned when the Refused checkbox is selected (two columns to left).

Waiver Detail

Type

Required. Waiver type: Federal or State.

Duration

Required. Waiver duration: Temporary or Continuing.

Request Date

Date waiver was requested.

Sent to CMS

Date waiver request was sent to CMS.

Decision

Required. Decision on waiver request by CMS: Approved, Denied, or Pending. The waiver status on the Waived button for the tag is determined by the option selected here.

Decision Date

Date CMS made a decision on the waiver request.

Last Day in Effect

Day the waiver expires. Enabled and required if Duration is Temporary; not enabled if Duration is Continuing.

Comments

Enter relevant notes about the waiver in this text box.

POC Text button

Click to view a read-only copy of tag-level POC text entered via Citation Manager or ePOC. You can copy all or part of the text and paste it into the Comments text box.

Evidence button

Click to open a read-only copy of the surveyor's findings entered via Citation Manager. You can copy all or part of the findings text and paste it into the Comments text box.

Remove button

Click to delete the waiver.

Survey List

CMS 670 Complete/Not Complete

Indicator displayed when the first survey is added. Indicates whether or not CMS-670 data is complete. If complete, the checkmark is green. If not complete, the checkmark is red.

LSC Performed for this Cert

Hospital, NH, ICF/IID, ASC, ESRD, and Hospice.

Appears and is selected by default in new certification kits for providers that receive LSC surveys. When an LSC survey is created, the checkbox becomes read-only.

Clear this checkbox if an LSC survey is not conducted.

Note: This checkbox does not appear in deemed Hospital kits.

Surveys tab: Grid

EventID

Unique identifier assigned by ASPEN when the survey is created. In certification kits, the first four characters of survey EventIDs match the four-digit TrackID of the kit.

Event Type

Category of survey, either Health or LSC (NH only), standard or revisit.

Start Date

Date the survey started as entered in Survey Properties.

Exit Date

Final date of survey as entered in Survey Properties.

Survey Category

From Type(s) of Survey selected in Survey Properties.

For a complete list of the abbreviations used in this column along with the corresponding Type of Survey, see "Survey Categories/Types" on page 668.

Status

Indicates whether the survey is Open or Closed.

Signoff (X6)

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC. Set to the date when the facility has submitted a Plan of Correction for all deficiencies on a survey that require a POC.

> **Note:** Certification kits including ePOC surveys without federal tags (deficiency-free or only state and/or EP tags cited), which therefore do not require a POC, will successfully upload even if a Signoff date exists.

ACO: Date the administrator signed the Plan of Correction.

Enabled only if correctable citation(s) are present. Required for a successful upload.

NH: Not required for upload when only Past Noncompliance (PNC) tags are present (with or without memo tags 0000 and 9999).

2567 Issued

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC.

ACO: Date CMS-2567 (Statement of Deficiencies) was sent to the provider. Automatically updated if user manually changes SOD Sent Date in POC Properties (ePOC-related screen).

You will receive a message if you enter this date and the survey has no correctable citations. You can choose to retain the 2567 Issued date and allow revisit scheduling anyway, or not.

This field is also seen on the 2567/POC/IDR tab in the third section on the Tracking tab.

2567/B Entry Complete

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC. Indicates all CMS-2567 or CMS-2567B data entry is complete. Checkbox selected when the survey is posted to ASPEN Web: ePOC if it is not already selected.

ACO: Select this checkbox when all CMS-2567 or CMS-2567B data entry in ASPEN is complete. Shared with 2567/B Entry Complete in Survey Properties.

When selected, an audit record is created. The system retains the date the checkbox was first selected and the date it was last changed (selected or cleared). This audit date cannot be changed. The date is used in national performance reports.

Track/POC

POC button is enabled when a 2567 Issued date is entered. For surveys not posted to ePOC, opens the POC Tracking window, where you can enter dates and notices relevant to the POC tracking process. For ePOC-posted surveys, opens the POC Properties window.

Hearing Settlement

NH, HHA

Button opens the Hearing/Settlement window, which displays changes to citations that resulted from hearings and settlements. You can enter or change the Revised 2567 Date. All other information is read-only; it can be entered or changed in AEM.

If a tag is changed or removed as a result of a hearing/settlement, the original tag will not be printed on the following survey forms and reports:

- CMS-2567 and CMS-2567B
- Quick Report (draft CMS-2567)
- Severity/Scope Grid

Citations with a Hearing /Settlement status of 01, 03, 06, 07, 08, 09, 10, or 12 are included in uploads to national. Citations with a status of 02, 04, or 05 are not uploaded.

IDR

NH, HHA

Button opens the Informal Dispute Resolution window where you can enter IDR and, for NHs only, IIDR information.

Available by default for Federal NH providers, i.e., ASPEN provider types 021, 022, 023, 024. Available for state-created NH licensure subtypes such as 02L if IDR/IIDR functionality has been activated.

Available for Federal HHA providers, i.e., ASPEN provider types 051, 052 if a COP is cited. Available for HHA licensure types such as 05S if a COP is cited and IDR/IIDR functionality has been activated.

TIP: In ACO/ARO, the system administrator can activate IDR/IIDR functionality for eligible state licensure providers via the System menu (Facility Types | Type Maintenance).

If a tag is changed or removed as a result of IDR/IIDR, the original tag will not be printed on the following survey forms and reports:

- CMS-2567 and CMS-2567B
- Quick Report (draft CMS-2567)
- Severity/Scope Grid
- Severity/Scope Summary (SSS) and Detail (SSD)
- Administrator Survey Performance (ASP)
- Owner Survey Performance (OSP)

Citations with an IDR/IIDR status of 01, 03, 06, 07, 08, 09, 10, or 11 (HHA only) are included in uploads to national. Citations with a status of 02, 04, or 05 are not uploaded.

Staggered Survey Status

NH

For standard staggered surveys, select Yes for Staggered Survey indicating the survey starts at an off-hour time—evening, Saturday, Sunday, or Federal holiday.

Specify day and time (see below). If the start date is not Saturday, Sunday, or a Federal holiday, the system will ask to verify that this day is considered a holiday when you click Done. If it is not, select No for Staggered Survey to clear the day and time fields.

Required for NH standard Health and LSC surveys (no revisits).

Day

NH

Day the staggered survey starts. The system will automatically pull the day from the Start Date entered.

Day should be Saturday, Sunday, or a Federal holiday—if not, the system warns you that this is not a staggered survey day when you click Done.

Time

NH

Time the staggered survey starts. If Staggered Survey is Yes, you must enter a start time.

Start time must be before 8:00 a.m. or after 6:00 p.m. on a week day or any time on a Saturday, Sunday, or a Federal holiday—if not, the system warns you that this is not a staggered survey time when you click Done.

IDR Req Date

NH, HHA

Read-only. Date the IDR request was received from the provider. To change this date, you must use the Informal Dispute Resolution window.

IDR Comp Date

NH, HHA

Read-only. Date the results of the review were formally sent to the provider. To change this date, you must use the Informal Dispute Resolution window.

Surveys tab: Buttons

New

Creates a new standard Health or LSC survey. For applicable Hospitals, NHs, ICFs/IID, ASCs, ESRDs and Hospices, you can create one standard Health and one standard LSC survey in a certification kit. You do not create surveys for FQHCs. For all other provider types, you can create one standard Health survey. After you create the standard survey(s), this button is disabled. For subsequent surveys, use the Create Revisit button.

Note: You cannot create LSC surveys for applicable Hospital, NH, ICF/IID, ASC, ESRD, and Hospice providers without open building records.

Update

Opens the Survey Properties window for the selected survey. You first select a survey by clicking anywhere in the survey row, then click this button.

Remove

Removes the selected survey from the kit and sends it to the Recycle bin, where it is listed under the associated provider. If you intend to create a new survey to replace the one you "recycled", locate and delete the recycled survey from the Recycle node. This will re-activate the New button in the certification kit.

Citations Mgr

Opens the Citation Manager window for the selected survey.

Survey Forms

Opens the Select Form(s) to print window.

Update 670

Opens the CMS 670 Workload Detail window for the selected survey. You can enter both surveyor team hours and office supervisory and clerical hours.

Create Revisit

Creates a followup survey to the selected survey.

LSC 2786 (K9) tab

Displayed only for applicable Hospitals, NHs, ICFs/IID, ASCs, ESRDs, and Hospices.

Print 2786

Print the 2786 for the selected building.

Building ID

A user-defined two-character alphanumeric identifier for the building.

National #

The building number that is transmitted to national, which may differ from the Building ID.

Comp Status

Required. A drop-down list for selecting compliance status. If you select A - In Compliance, you must also select one of the next four options to indicate the basis for the compliance.

Comp All A1

The provider is in compliance with all provisions of the applicable Life Safety Code.

Accepted POC A2

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC.

ACO: The provider is in compliance based on the submission of an acceptable Plan of Correction.

Waivers A3

The provider is in compliance based on waiver recommendations.

FSES A4

The provider is in compliance based on a Fire Safety Evaluation System (FSES) evaluation.

Performance Based Design A5

The provider is in compliance based on its Performance Based Design.

Short LSC

A short form, CMS-2786C, was used for the survey.

Special Fields

Control Fields

Flag Indicator (SF08)

Determined by ASPEN when the certification kit is sent to national. Certifications are automatically flagged for RO review when:

HHA - Condition-level citations exist, L12 on the CMS-1539 is B - Not in Compliance.

NH and HHA - Termination Code (L30) on the CMS-1539 is greater than 00.

NH - Comp Status on LSC CMS-2786 (K9) is B - Not in Compliance.

The relationship between L32 (RO Receipt Date), L33 (Determination Approval date), SF08, SF15 (RO Final Rev Date #), and SF24 (Approval Date Entered) is complicated. ACO enforces the relevant rules and issues user messages as necessary.

Staff Override (SF12)

Enabled for Hospital, NH, and HHA only.

When pre-validating the kit for upload, ASPEN compares current staffing levels with those in the latest survey prior to the current certification. If there is a significant change in staffing numbers, office personnel must select this checkbox to complete the upload.

Beds Override (SF11)

When pre-validating the kit for upload, ASPEN compares the number of certified beds in the kit to those in the latest survey prior to the current certification. If there is an increase or decrease of 25% or more, office personnel must select this checkbox to complete the upload.

FOSS Survey

NH.

Select this checkbox if surveys in the certification kit are subject to the Federal Oversight/Support Survey (FOSS) monitoring system.

LTCSP Override

NH. Displayed only if the cert kit includes an LTCSP survey.

Select if you do not want an error to be generated and the upload to fail when the system detects that LTCSP data is incomplete.

Related Identifiers

Prior Intermediary # (SF01)

Read-only. If the MAC for the provider is changed on the CMS-1539 (L31), ASPEN sets or updates the number of the prior MAC here.

Cross Ref Provider # (SF03)

This can be the CCN of any provider (or former provider) that you want to link to the current provider. In the case of mergers or closures, use this field to record the CCN of the other provider.

The number you enter must be a valid CCN. You can enter the CCN of a terminated provider. After a change in provider status, ACO inserts the previous CCN here when the new initial kit is accepted by national.

1135 Waiver Type(s)

Available only for eligible Hospital subtypes.

Select the waiver(s)–01 ASC Conversion, 02 Swing Bed, 03 FSED (Emergency Dept)–in effect for the hospital.

This section and options are displayed for Hospital subtypes as follows:

1135 Waiver Type	Facility Types
01 ASC Conversion	011 Short Term Hospitals
02 Swing Bed	011 Short Term Hospitals
	013 Rehabilitation Hospitals
	014 Critical Access Hospitals
	01U Medicaid-only Short Term Hospitals
	01V Medicaid-only Children's Hospitals
	01Y Medicaid-only Rehabilitation Hospitals
03 FSED (Emergency Dept)	011 Short Term Hospitals

Figure 250: 1135 Waiver Type(s) availability by Hospital subtype

RO/SA Message

RO Date

Date of text entered in the RO Text field.

RO Text

Text field provided for entry of notes and instructions by RO personnel. 30-character limit.

SA Date

Date of text entered in the SA Text field.

SA Text

Text field provided for entry of notes and instructions by SA personnel. 30-character limit.

Hospital Special Fields

This section is not enabled for Non-participating Hospitals or RNHCIs.

Nurse - Bed Override (SF13)

Select this checkbox to OK a record that is flagged for review because the ratio of nurses (M25 & M26) to certified beds (L17 on the 1539) is less than 1 to 10.

Swing Beds

Provides Swing Beds (SF44)

Required. Indicates whether a Hospital has swing bed services. Set to No by default. Not applicable for Psychiatric, Childrens, RNHCI, Transplant, or Medicaid-only Psych Hospitals, so field is set to No and disabled.

If SF44 = Yes when an initial survey (Type of Survey must be Initial Certification or Recertification) is created for a deemed Hospital, Revisit Status in the SOD Tracking section of Survey Properties is set to 2-Not Required. If SF44 is changed from No to Yes after the survey is created, Revisit Status is not changed.

To change swing bed status from Yes to No for a deemed Hospital when the certification kit has not been uploaded, first delete the existing survey.

Can be changed from No to Yes in kits that have been uploaded.

Size Code (SF28)

Indicates the size of the Hospital providing swing bed services. Required when SF44 is Yes.

Swing Bed Waiver Period(s)

Available only for eligible Hospital subtypes when 02 Swing Bed is selected under 1135 Waiver Type(s) in the Special Fields section. Use the buttons below the grid to add, modify, and remove swing bed waiver periods.

Psychiatric Unit

The **Psychiatric Unit** section is enabled for the following Hospital subtypes:

- Short Term (011)
- Rehabilitation (013)
- Critical Access (014)
- Long Term (015)
- Childrens (016)
- Medicaid-only Short Term (01U)
- Medicaid-only Childrens (01V)
- Medicaid-only Rehabilitation (01Y)
- Medicaid-only Long-term (01Z)

Psychiatric - Has a PPS Exempt Unit? (SF45)

Select when a Hospital has a PPS exempt psychiatric unit. When you select this checkbox, the other fields in the Psychiatric Unit section (except Termination Date) will be enabled.

Psychiatric - Effective Date (SF49)

The date a psychiatric unit became PPS exempt.

Psychiatric - Number of Beds (SF46)

The number of beds in a PPS exempt psychiatric unit of a Hospital.

Psychiatric - Termination Code (SF51)

Select 00 Active unless the PPS exemption has been terminated. In that case, select the reason the psychiatric unit is no longer exempt. When Termination Code does *not* = 00 Active, Termination Date (SF52) is enabled.

Psychiatric - Termination Date (SF52)

The date the psychiatric unit is no longer PPS exempt.

Rehabilitation Unit

The **Rehabilitation Unit** section is enabled for the following Hospital subtypes:

- Short Term (011)
- Psychiatric (012)
- Critical Access (014)
- Long Term (015)
- Childrens (016)
- Distinct Part Psych (018)
- Medicaid-only Short Term (01U)
- Medicaid-only Childrens (01V)
- Medicaid-only Childrens Psychiatric (01W)
- Medicaid-only Psychiatric (01X)
- Medicaid-only Long-term (01Z)

Rehabilitation - Has a PPS Exempt Unit? (SF47)

Select when a Hospital has a PPS exempt rehabilitation unit. When you select this checkbox, the other fields in the Rehabilitation Unit section (except Termination Date) will be enabled.

Rehabilitation - Effective Date (SF50)

The date the rehabilitation unit became PPS exempt.

Rehabilitation - Number of Beds (SF48)

The number of beds in the PPS exempt rehabilitation unit of a Hospital.

Rehabilitation - Termination Code (SF53)

Select 00 Active unless the PPS exemption has been terminated. In that case, select the reason the rehabilitation unit is no longer exempt. When Termination Code does *not* = 00 Active, Termination Date (SF554) is enabled.

Rehabilitation - Termination Date (SF54)

The date the rehabilitation unit is no longer PPS exempt.

Tracking tab in Certification Kits

Certification Summary

Application Received

Date the initial certification was created. Automatically inserted by AST; you can change it if necessary. Included only in initial kits for non-CLIA providers.

Certification Date (L34)

The exit date (X3) of the Health survey linked to a certification kit. For deemed kits that do not have surveys, ASPEN enters the Survey Date (L34) from the 1539; see "Date of Survey for Deemed Kits without Surveys" on page 91 for details.

Health Exit (X3)

Exit date of Health survey.

LSC Exit (X3)

Exit date of LSC survey.

Tracking Status

AST assigns a Tracking Status of 01-Active Certification Process when a certification is created.

When all information is entered and the certification has been successfully uploaded (as indicated by Tracking milestone: Uploaded-Ready for Closure), change the Tracking Status to 10-Processing Complete. This signals AST to remove the certification from AST Tracking. For NHs, HHAs, and ICFs/IID, AST calculates a target date for the beginning of the next certification cycle, and places the facility record in Certifications to be Scheduled for that date. For other provider types, AST deletes the existing target date.

LTC Agreement, Extension dates

ICF/IID only. Current and prior LTC Agreement and Extension dates, if present, are ignored by AST.

Responsible Parties subtab

Assignments made here are carried over to Responsible Parties on the Certification & Surveys tab and Regional/State Representatives grid on the Deemed/2802 tab, and vice versa.

Name

Name of SA/RO staff member.

Email Address

Email address from the staff member's personnel record.

SA/RO

Indicates whether the responsible party is a State Agency or Regional Office staff member.

Primary

Selecting the checkbox designates the primary responsible party.

Add S.A.

Add (assign) an SA responsible party to the activity and as a recipient of the related action item message.

Add R.O.

Add (assign) an RO responsible party to the activity and as a recipient of the related action item message.

Delete

Deletes the selected SA or RO.

Activities/Action Items subtab

Sent

Date activity/action item was sent to responsible party.

Due

Due date of activity/action item entered in Define Activity window.

Completed

Completed date of activity/action item entered in Define Activity window.

Type

Type of activity/action item entered in Define Activity window.

Responsible Party

Responsible Party designated in Define Activity window.

Add

Click to open the Define Activity window and add a new activity.

Modify

Select the activity, then click the Modify button to open the Define Activity window and edit the activity.

Delete

Select the activity, then click the Delete button.

Define Activity

Activity

Read-only. Unique identifier for the activity.

Type

Required. Select the Type of activity from the drop-down list.

Sent

Required. The date the activity is originated.

Start

Optional. Date on which the activity should be started.

Due

Optional. Date by which the activity should be completed.

Completed

Enter a date here after the activity is finished. When a Completed date is entered for an activity, the status of related action items is automatically changed from Open to Closed.

Staff

Required. To add a staff member, click the appropriate button under the Staff grid (see below), and select an individual or team from the drop-down list in the Add Activity Recipient window.

When you add an individual, the activity is added to that person’s action items. If you add a team, all team members are added to the Staff grid and will receive an action item for the activity.

Only one individual listed in the Staff grid can be designated the Responsible Party.

Add S.A.

Button adds (assigns) an SA staff member to the activity, and as a recipient of the related action item message.

Add R.O.

Button adds (assigns) an RO staff member to the activity and as a recipient of the related action item message.

Add Team

Button adds (assigns) a team to the activity. All team members will be added to the Staff grid and will receive the related action item message.

Remove

Button removes (unassigns) the selected Staff member from the activity. All members of an assigned team must be removed individually.

Comments

Enter relevant notes about the activity in this text box.

Processing Steps subtab

The Processing Steps subtab provides detailed information about individual tasks in the certification process. In many cases, steps are created and dates are entered automatically as information is entered in ASPEN. You can add and modify items manually as needed.

Add Step

Select this button to add a processing step or sub-step.

Remove Step

Select this button to remove the selected processing step or sub-step.

Processing Steps subtab: Grid

Process Step/SubStep

Number and title of the process.

Process Due

Date when the process is due.

Process Complete

Date the process was completed.

Not Req'd

Select this checkbox if the process is not required.

Responsible Party

The party responsible for completing the process. Options are: State, RO, Both State & RO.

Other Info

Additional information regarding the process.

Letter

Letters sent as part of the process.

Message

Click this cell in the row to send a message to the responsible parties.

Other Info Description

Further information describing other process information.

2567/POC/IDR subtab

Event ID

Unique identifier assigned by ASPEN when the survey is created. In certification kits, the first four characters of survey Event IDs match the four-digit Track ID of the kit.

Event Type

Category of survey, either Health or LSC (NH only), standard or revisit.

Start Date

Date the survey started as entered in Survey Properties.

Exit Date

Final date of survey as entered in Survey Properties.

Survey Category

From Type(s) of Survey selected in Survey Properties.

Status

Indicates whether the survey is Open or Closed.

Adm Signoff (X6)

Date the administrator signed the Plan of Correction. Enabled only if correctable citation(s) are present. Required for a successful upload.

NH: Not required for upload when only Past Noncompliance (PNC) tags are present (with or without memo tags 0000 and 9999).

2567 Issued

Date the CMS-2567 (Statement of Deficiencies) was sent to the provider.

You will receive a message if you enter this date and the survey has no correctable citations. You can choose to retain the 2567 Issued date and allow revisit scheduling anyway, or not.

Track/POC

POC button is enabled when a 2567 Issued date is entered. Click to open the POC Tracking window, where you can enter dates and notices relevant to the POC tracking process.

Track/IDR

NH, HHA. Click the IDR button to open the Informal Dispute Resolution window, where you can enter IDR and IIDR (NH only) information.

Revisit Status

Used by AST. Determines which providers go on the Revisits to be Scheduled list. Set by the system to 1-Required for standard surveys with the exception noted below, and to 2-Not Required for revisits. You can manually override the auto-entered value. For licensure-only surveys, Revisit Status is set manually.

Note: If Provides Swing Beds (SF44) = Yes in a related certification kit when an initial survey is created for a deemed Hospital, Revisit Status is set to 2-Not Required by default. If SF44 is changed from No to Yes after the survey is created, Revisit Status is not changed.

When a 2567 Issued date is entered for any survey, Revisit Status is updated to 1-Required, and the survey is flagged for revisit scheduling. You will receive a message if the survey has no correctable citations. You can choose to retain the 2567 Issued date and allow revisit scheduling anyway, or not.

If an intake is finalized and Revisit Status is 1-Required for the most recent investigation revisit survey (based on exit date) associated with the intake, Revisit Status is automatically set to 2-Not Required for that revisit. If an investigation does not have any revisits, Revisit Status is not changed for the investigation.

Deemed/2802

Deemed By

AO

Required. Active or inactive accreditation organization for the provider. Copied in from Deemed By Detail.

Deeming Effective Date (M4)

Required. Deeming effective date for the AO. Copied in from Deemed By Detail.

AO Termination Date

Deeming termination date for the AO. Copied in from Deemed By Detail.

View National AO Information

Button opens the National AO Information window, which displays the provider’s AO history from the national table.

Deemed By List Upload Override

Enabled only in ARO. Select to prevent upload errors if entries in the Deemed By list in ACO/ARO do not match those in the national AO information table.

Deemed By Detail

AO

Required. Select an applicable AO. Only accreditation organizations approved for the current provider type are listed for selection.

Deeming Effective Date (M4)

Required. Effective date of the current deeming period by the CMS-approved accreditation organizations.

AO Termination Date

When applicable, enter date that deeming by the AO was terminated.

National AO Information

AO

Abbreviated name (acronym or initialism) of an active or inactive accreditation organization matched to the current provider, i.e., a Y-match AO.

Latest AO Survey End Date

Last day of the most recent full, deeming survey of the provider by the AO.

Provider/Supplier's State Survey Jurisdiction History

CoPs out of compliance
State Survey Jurisdiction is required …

Message displays in red when the certification kit has out-of-compliance CoPs and it is not already linked to a State Survey Jurisdiction process.

Effective Date

Effective date of the State Survey Jurisdiction process. Calculated as the exit date of the earliest survey related to the State Survey Jurisdiction process.

These surveys must contain one or more condition-level citations. A single state monitoring process can include both certification and complaint investigation surveys.

Compliance Date

Entered from State Survey Jurisdiction Detail window.

Latest correction date across qualifying citations for all surveys related to the State Survey Jurisdiction process.

Calculated by the system for State Survey Jurisdiction records created in ASPEN 10.1.3 release or later. Can be entered by RO for historical (pre-ASPEN 10.1.3) state monitoring records.

Return to AO Date

Entered from State Survey Jurisdiction Detail window.

Date the provider was returned to AO Jurisdiction.

Enabled in ARO only and only if Compliance Date is entered. Must be on or after Compliance Date.

Systems Improvement Agreement Date

Entered from State Survey Jurisdiction Detail window.

Enabled in ARO only. Date provider entered into Systems Improvement Agreement with CMS to fix problems and avoid closure.

State Survey Jurisdiction for this Survey

Selected if the current certification kit is linked to the State Survey Jurisdiction record.

Start New State Survey Jurisdiction

Button is enabled when the certification kit has out-of-compliance CoPs, is not already linked to a State Survey Jurisdiction record, and there are no other open State Survey Jurisdiction records for the provider.

Creates a new State Survey Jurisdiction record. The current certification kit is linked to the new record and Effective and Compliance dates are calculated.

View Details

Button opens the State Survey Jurisdiction Detail window where you can view/enter detailed information for the selected State Survey Jurisdiction record.

State Survey Jurisdiction Detail

Effective Date

Effective date of the State Survey Jurisdiction process. Calculated as the exit date of the earliest survey related to the State Survey Jurisdiction process.

These surveys must contain one or more condition-level citations. A single state monitoring process can include both complaint investigation and certification surveys.

Compliance Date

Latest correction date across qualifying citations for all surveys related to the State Survey Jurisdiction process.

Calculated by the system for State Survey Jurisdiction records created in ASPEN 10.1.3 release or later. Can be entered by RO for historical (pre-ASPEN 10.1.3) state monitoring records.

Return to AO Date

Date the provider was returned to AO Jurisdiction.

Enabled in ARO only and only if Compliance Date is entered. Must be on or after Compliance Date.

Systems Improvement Agreement Date

Enabled in ARO only. Date provider entered into Systems Improvement Agreement with CMS to fix problems and avoid closure.

Surveys on this State Survey Jurisdiction record

Lists all surveys linked to the process at the certification kit and intake level. The record in the Provider/Supplier's State Survey Jurisdiction History grid shows only the starting survey for the process.

Remove Survey

Button removes the selected survey from State Survey Jurisdiction when COP deficiencies are corrected. i.e., the condition cites have correction dates.

Enabled in ARO only for historical (pre-ASPEN 10.1.3) state monitoring records.

Authorization for State Validation Survey (CMS 2802)

This section is read-only for SA users and in initial certification kits. Fields enabled in ARO as appropriate.

Start 2802 Process
2802 Process Started

ARO. Start 2802 Process button enables fields as appropriate in the Authorization section; label changes to 2802 Process Started.

Date Issued By RO

ARO. Date the RO issued authorization to the SA to perform a validation survey. Set to date the RO pressed the Start 2802 Process button by default, but can be changed.

Region

Read-only. Set to the current region.

Send 2802 to State
2802 Sent to State

ARO. Press the Send 2802 to State button when fields in the Authorization section are complete; label changes to 2802 Sent to State.

Regional/State Representatives grid

List of SA and RO staff members who are responsible for the validation survey. These individuals receive an RO Response - Validation action item/email.

The RO staff member who presses the Start 2802 Process button is added automatically and designated as Primary if a primary RO rep is not already listed. At least one primary State representative must be added. Once designated, the primary RO and SA representatives cannot be changed.

The fields are the same as on the Responsible Parties subtab on the Tracking tab. Assignments made here are carried over to Responsible Parties on the Tracking and Certification & Surveys tabs, and vice versa.

Add S.A.

Button displays a list of SA staff members from which to select an individual to add to the Representatives list.

Add R.O.

Button displays a list of RO staff members from which to select an individual to add to the Representatives list.

Delete

Button deletes the selected individual from the Representatives list.

Comments

ARO. Remarks about the 2802/validation survey process. They are included on the CMS-2802 form.

60-Day/Midcycle

ARO. Select the appropriate option.

Currently Deemed By

ARO. Required. Select at least one accreditation organization. None is an option if 60-Day is selected.

The selected AOs should usually correspond to AOs in the Deemed By list.

AO Name

ARO. Name of the active accreditation organization. Required if 60-Day is selected. Cleared and disabled if Midcycle is selected.

Scheduled End Date of Accreditation Survey

ARO. Survey end date. Required if 60-Day is selected. Cleared and disabled if Midcycle is selected.

60 Days after Accreditation Survey

Read-only. When 60-Day is selected, the date 60 calendar days after Scheduled End Date of Accreditation Survey is automatically entered. Field is cleared if Midcycle is selected.

Accreditation Survey Type

ARO. Select applicable option. Required if 60-Day selected; optional for Midcycle.

Transmittal (CMS-1539)

CMS-1539 Part I

To be completed by the State Survey Agency.

Effective Date: Change of Ownership (L9)

Enabled only in ARO for Medicare providers. Enabled in ACO and ARO for Medicaid Hospitals (01U-01Z), NFs (024), Medicaid HHAs (052), PRTFs (061), and ICFs/IID (111). Not enabled for initial certifications that have not been accepted by national.

If there has been a Change of Ownership since the last survey prior to the current certification, enter the date the change was made. This date must be later than current participation date (L24) and current CHOW date, if any. It cannot be later than one year from today's date. If necessary, it can be changed to an earlier date after the kit has been uploaded.

Note: If an HHA changes ownership within 3 years of its Original Date of Participation, the provider cannot keep the same CCN. In this case, a CHOW without Assignment is required. The HHA will need a new provider record, CCN, and initial certification.

The CHOW date is kept in synch if there is more than one current kit. It is carried forward from prior recertifications.

Type of Action (L8)

Can be Initial, Recertification, or Termination. Enabled only for recertification kits that have not been accepted by national. If there are no prior kits for the provider, Type of Action is designated as Initial and cannot be changed.

For deemed providers, if Accreditation Status (L10) has a value other than 0 UNACCREDITED (NOT ACCREDITED for Hospital), then an additional value, 5 VALIDATION, is available as an option for Type of Action.

Also for deemed providers, one more value, 8 FULL SURVEY AFTER COMPLAINT is available to allow full (not validation) surveys following a complaint for providers that would not otherwise require a survey.

Accreditation Status (L10)

Hospital, HHA, OPT/SP, RHC, CORF, ASC Hospice

Automatically set according to information in the Deemed By list on the Deemed/2802 tab.

Note: This value is not tied to the accreditation organizations selected on the Associations tab of the Facility Properties window.

The system administrator can maintain L10 options via the System menu (select Lookup Values | Dictionary | SURV1539).

The accreditation organization can be changed (on the Deemed/2802 tab) in an accepted certification kit.

If a provider changes its accreditation (deeming) status after a successful upload, a new certification kit should be created.

Deemed?

Hospital, HHA, OPT/SP, RHC, CORF, ASC Hospice

Automatically set according to information in the Deemed By list on the Deemed/2802 tab.

For Federal certification purposes, accreditation organization information is tracked only for providers that have obtained deemed status from one or more CMS-approved accreditation organizations.

If your state wishes to track information about providers that are accredited but do not have deemed status, you can enter this information on the Associations tab of the provider record.

If a provider changes its deemed status after a successful upload, a new certification kit should be created.

Date of Survey (L34)

Appears on the CMS-1539 tab in certification kits for deemed Hospitals and other deemed providers (as Survey Date). For deemed kits with surveys, it is the exit date of the survey. For deemed kits without surveys, see "Date of Survey for Deemed Kits without Surveys" on page 91 for details.

For non-deemed kits, it is the exit date of the Health survey linked to the certification kit. It appears on the printed CMS-1539, but not on the screen.

This date is displayed on the certification kit's title bar as the Cert Exit date, and on the Tracking tab as Certification Date.

Fiscal Year Ending Date (L35)

MM/DD format. ACO supplies the /. Optional for Medicaid-only Hospital (01U-01Z), NF (024), Medicaid HHA (052), PRTF (061), and ICF/IID (111) provider types. Kept in synch if there is more than one current kit. Carried forward from prior kits.

LTC Certification Period From/To

These fields are not used, so they are always disabled.

Certified As (L12)

Select either A. In Compliance or B. Not in Compliance. When you generate the CMS-1539 form for a provider that is In Compliance, an X is placed by 10.A in the L12 field and the Code is A. If the provider is Not in Compliance, an X is placed by 10.B and the Code is B.

For a provider that is In Compliance, you can also select what the compliance is Based On from the options in the list box. If you indicate the basis, the form reflects this. For example, if you select 1 -ACCEPTABLE POC and 9 -BEDS PER ROOM (a Nursing Home option), an X is placed by 10.A, 10.A.1, and 10.A.9; the Code is A19.

For a regular deemed Hospital kit, L12 defaults to In Compliance.

This field is set to B - Not in Compliance and disabled when Type of Action (L8) is Termination. It is also set to Not in Compliance if condition-level citations exist, and cannot be changed as long as there are condition-level citations for the certification.

Certifications are flagged for RO review if L12 is B - Not in Compliance.

Total Facility Beds (L18)

Hospital, NH, ICF/IID

The total number of beds in the facility, including those in non-participating and non-licensed areas. This number is kept in synch if there is more than one current kit. It is carried forward from prior certifications.

The number must be between 1 and 9999 inclusive.

For NHs, you cannot have fewer beds (L18) than residents (F78 on Form CMS-672) prior to the first upload of a certification kit. Once the kit has been successfully uploaded, you can change the number, and that change will be sent to national implicitly (without uploading the kit). In this case there will be no comparison of L18 to the number of residents on CMS-672.

Total Certified Beds (L17)

Hospital, NH, ICF/IID

This field is calculated by ASPEN for NHs and ICFs/IID. For NHs, it is the total of the numbers entered in L37, L38 and L39. For ICFs/IID, it is the same as L43.

For Hospitals, there is no beds breakdown, so L37, L38, L39, and L43 are not enabled and L17 is not automatically calculated.

L17 must be greater than zero except for an involuntary termination, i.e., Termination Code (L30) is 05 or 06.

LTC Certified Beds Breakdown

Type

NH

The Type drop-down list appears for NH Medicare providers (021, 022, 023) if at least one kit for the provider (not necessarily the current kit) has been uploaded and accepted by national. To change the Medicare provider type, select the new type from the Type drop-down, which enables the applicable bed fields. Update bed counts as needed. You cannot change Type for a Medicaid provider (024).

L37, L38, L39, L43

NH, ICF/IID

Enter the number of beds in the applicable field(s): 18 SNF (L37), 18/19 SNF (L38), 19 NF (L39). Fields are enabled as appropriate for the current NH provider type. IID Beds (L43) is enabled for any ICF/IID. The bed fields may be left blank in the case of an involuntary termination, i.e., Termination Code (L30) is 05 or 06.

Bed counts and Type are Implicit-Spec fields. For a certification kit that has already been successfully uploaded, ACO/ARO updates these fields in the national database implicitly, i.e., without another upload; see "Implicit Transactions" on page 680.

Note: For Hospitals, there is no beds breakdown–only totals–so L18 and L17 are enabled, but this section is disabled.

ASPEN Beds

NH, ICF/IID

If your office maintains ASPEN bed summary information (Beds node in Tree view), this button provides a link to that data. You can create new bed summaries, or modify/delete existing summaries from here as well as from the Beds node. The information is for reference only; bed summary numbers do not automatically transfer to the CMS-1539 beds fields.

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

Hospital, NH

Yes/No. Does the facility meet the provisions of the specified sections of the Social Security Act?

For Hospitals, this field is read-only. It is set automatically to Yes for Non-participating emergency hospitals ("E" is last character of CMS Certification Number) and blank for all others.

See Below for 16. State Remarks

Brief remarks entered in 30 Remarks (at the bottom of the tab) will print under 16. State Remarks when you print the form. Longer remarks will print on additional pages to be attached to the form.

Surveyor Sign Date (L19)

Required. Date the surveyor signed the CMS-1539. Must be equal to or later than the survey date, but not later than today's date. SAs cannot change this date once the kit is uploaded successfully.

State Agency Approval (L20)

Required. Date the State Agency approved the certification. This date must be equal to or later than the Surveyor Sign Date (L19), but not later than today's date. SAs cannot change this date once the kit is uploaded successfully.

CMS-1539 Part II

To be completed by CMS Regional Office or Single State Agency.

Determination of Eligibility (L21)

Required. Select Yes or No. If No, a Termination Code (L30) is required.

Compliance with Civil Rights

Not applicable for Federal provider types.

Statement of Financial Solvency (CMS-2572)

Not applicable for Federal provider types.

Ownership/Ctrl Disclosure Stmt (CMS-1513)

Not applicable for Federal provider types.

Original Date of Participation (L24)

Required. Enabled in ARO; enabled in ACO and ARO only for Medicaid-only Hospitals (01U-01Z), NFs (024), Medicaid HHAs (052), and ICFs/IID (111). For initial certifications with no deficiencies (for NH, no deficiencies with SS greater than D), this date should be equal to or later than the survey date. If correctable deficiencies exist on an initial certification, this date should be equal to or later than the date the administrator signed the CMS-2567 (X6).

For recertifications, the only qualifier is that L24 should be earlier than the termination date, if there is one. L24 is kept in sync if there is more than one current kit, and is carried forward from prior kit(s).

Termination Code (L30)

Required. Enabled in ARO; enabled both in ACO and ARO only for Non-participating Hospitals (019), Medicaid-only Hospitals (01U-01Z), NFs (024), Medicaid HHAs (052), and ICFs/IID (111). It is not enabled for initial certification kits that have not been accepted by national. It also is disabled for a provider terminated as the result of a change of status.

If you select anything but 00 Active here, you must also supply a Termination Date (L28). If you select Merger or Provider Status Change, you need to enter a Cross-Reference Provider # (SF03 on the Certification & Surveys tab).

Note: 07 Provider Status Change is not included as an L30 option for Transplant Hospitals or FQHCs.

If multiple current certification kits exist for a single provider, L30 is enabled in the newer current kit. It is disabled in the older current kit, but updated as necessary to match the value in the newer current kit.

Alternative Sanction (L44, L45)

ICF/IID

Disabled, but legacy dates still displayed.

Date that payments for new admissions to a long-term care facility were to be denied if an intermediate sanction was taken against the facility, and date this action was rescinded.

HIPDB Appeals

All but NH

Enabled and required in ARO if Termination Code (L30) is 05 or 06. Indicates HIPDB (Healthcare Integrity and Protection Data Bank) appeal status. Options are:

1 – No appeal, termination final

2 – Appeal in progress

3 – All appeals exhausted, termination final

Termination Date (L28)

Must be entered when Termination Code is anything but 00 Active. Must be later than the Original Date of Participation (L24).

If multiple current certification kits exist for a single provider, L28 is enabled in the newer current kit. It is disabled in the older current kit, but updated as necessary to match the value in the newer current kit.

Note: If you reactivate a terminated provider, this field is cleared and disabled.

Intermediary/Carrier No. (L31)

Must be a valid and active Medicare Administrative Contractor (MAC). Listed options include only those MACs that are valid for the current provider type.

Optional for Non-participating and Medicaid-only Hospitals (019, 01U-01Z), disabled for Medicaid HHAs (052) and ICFs/IID (111), required for all other provider types. Kept in sync if there is more than one current kit, and carried forward from prior certifications.

If you change the MAC here, the prior MAC number is set or updated as appropriate in SF01 on the Certifications & Surveys tab.

RO Receipt Date (L32)

Enabled in ARO only. Required for flagged initial certifications, recertifications, and validations.

If nothing is entered, ASPEN will insert the date and time of the first upload attempt except for validation certifications, Medicaid Hospitals (01U-01Z), NFs (024), Medicaid HHAs (052), PRTFs (061), ICFs/IID (111), or unflagged recertifications.

If the RO chooses to review, this date must be equal to or earlier than the Determination Approval date (L33), except in the case of unflagged recertifications, when it is equal to or later than L33.

The relationship between L32, L33 (Determination Approval date), SF08 (Flag Indicator), SF15 (RO Final Rev Date #), and SF24 (Approval Date Entered) is complicated. It depends on a number of factors such as provider type, certification category, existence of condition-level deficiencies, and so on. The system enforces the relevant rules and issues user messages as necessary.

RO Analyst

ARO - 3 characters. Enter the initials of the RO reviewer.

Determination Approval (L33)

Required. Enabled in ARO; enabled in ACO and ARO for Medicaid Hospitals (01U-01Z), NFs (024), Medicaid HHAs (052), PRTFs (061), and ICFs/IID (111). Must be equal to or later than RO Receipt date (L32).

When you upload an unflagged recertification, ASPEN attempts to insert the date of the upload if this field is blank. It can also be entered manually. This date *must* be entered manually for initial certifications, flagged recertifications, and terminations.

Note: If the RO attempts to upload a kit directly after entering L33, the system blanks out L33 and the upload fails. This is because the system assumes the SA is uploading the kit and the SA can't enter L33, so the system removes the value. To successfully upload the kit, the RO must save and exit the kit after entering L33, reopen it, then upload. Alternatively, have the SA upload the kit.

The relationship between L32 (RO Receipt Date), L33, SF08 (Flag Indicator), SF15 (RO Final Rev Date #), and SF24 (Approval Date Entered) is complicated. It depends on a number of factors such as provider type, certification category, existence of condition-level deficiencies, and so on. The system enforces the relevant rules and issues user messages as necessary.

RO Final Rev Date # (SF15)

Regional Office final review date. Available to ROs only for Medicaid Hospitals (01U-01Z), NFs (024), Medicaid HHAs (052), PRTFs (061), and ICFs/IID (111). If L32 is entered, Final Review Date (SF15) is enabled and must be provided. Cannot be entered if L32 is blank.

The relationship between L32 (RO Receipt Date), L33 (Determination Approval date), SF08 (Flag Indicator), SF15, and SF24 (Approval Date Entered) is complicated. It depends on a number of factors such as provider type, certification category, existence of condition-level deficiencies, and so on. The system enforces the relevant rules and issues user messages as necessary.

Remarks

Used to enter notes and instructions (up to 32 K characters) relevant to the certification. Brief remarks entered will print under 16. State Remarks when you print the form. Longer remarks will print on additional pages to be attached to the form.

Hospital Application Worksheet

For certification kits that uploaded before 05/02/2011, Version 1 of the Hospital Application worksheet is retained. Version 1 or Version 2 displays as part of the report title.

More ...

For more information about Version 1 of the worksheet, refer to the *ACO 10.0 Procedures Guide*.

Hospital Application Worksheet - top section

Date Updated (M1)

Required. Date the agency updated the worksheet with current information. For deemed providers, the worksheet may be periodically refreshed with new information provided by the hospital.

Effective Date of Accreditation (M4)

Copied in from Deemed By list on the Deemed/2802 tab. For multiple accreditations, it's the most recent date across all AOs.

Expiration Date of Accreditation (M5)

Optional. The expiration date of the current period of accreditation (deeming) by the CMS-approved accreditation organization. Cannot be entered when Accreditation Status (L10) is 0 Not Accredited.

Multiple Accreditation Status

Populated according to entries on the Deemed By list. Yes if more than one active AO is listed; No if 0 or 1 AO. Applicable AOs are selected here.

Type of Program Participation (M8)

Required. Indicate whether the provider participates in: 1 Medicare Only, 2 Medicaid Only, or 3 Medicare and Medicaid.

Note: 2 Medicaid Only appears only for HOSP-MNP and HOSP-NP providers and is the sole option for them.

CLIA ID Numbers (M9)

If the Hospital laboratories participate in CLIA, list the CLIA ID numbers for each lab. Numbers must correspond to an active lab for upload to national, but once the kit is accepted, terminated numbers will not cause errors.

Find

Opens the Find CLIA Lab window, so you can search the national database for active labs by Name or CCN. Select a lab and click Return Selection (or double-click the lab) to insert its CCN into the next available CLIA ID Number field.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

Medicare CAH Status or Type of Medicare Hospital (M10)

Subtype code and description for the Hospital. Brought forward by ASPEN from Facility Properties.

Affiliation with a Medical School (M11)

Required. The type of affiliation the Hospital has with a medical school. Options are:

1 Major

2 Limited

3 Graduate

4 No Affiliation

Resident Programs (M12)

Required. Select all that apply: 01 Allopathic, 02 Dental, 03 Osteopathic, 05 Podiatric, 09 Other.

Ownership Type (M13)

Required. Type of organization that operates the Hospital. Must be 01 Voluntary Nonprofit Church when Type of Hospital (M10) is Religious Nonmedical Healthcare Institution. Selecting 03 Other enables the Specify field where you can enter the ownership type.

Average Daily Census (M14)

Required. The Hospital's Average Daily Census.

Number of Staffed Beds (M15)

Required. Number of staffed beds. Cannot be greater than Total Beds (L18) on the 1539.

Type of Chain/Health System Involvement (M16)

Required. Options are:

01 None

02 Joint Venture/Partnership

03 Operated/Related

04 Managed/Related

05 Wholly Owned

06 Leased

07 Other

Name of System (M17)

Name of the system that owns and/or manages the Hospital.

Corporate Headquarters City (M18)

Name of the city where corporate headquarters is located.

State (M19)

Corporate headquarters state.

Number of State Licensed Beds

Required but can be zero.

Number of Operating Rooms/Separately Licensed

Required but can be zero. The drop-down list for Separately Licensed requires a Yes/No answer.

Number of Endoscopy Procedure Rooms/Separately Licensed

Required but can be zero. The drop-down list for Separately Licensed requires a Yes/No answer.

Number of Cardiac Catheterization Procedure Rooms/Separately Licensed

Required but can be zero. The drop-down list for Separately Licensed requires a Yes/No answer.

Hospital Application Worksheet - middle section

Number of Employees Salaried by Hospital/CAH (M20-M39)

In the box next to each classification, enter the number of full time equivalents (to the nearest quarter-hour) of that type employed by the provider.

Under All Others (M39) include all other regularly employed personnel (medical and non-medical) that are not included in the other classifications.

M23, M27, M28, M30, M31, M32, M34, M36, M37, and M38 have cross-checks with Services Provided (M41).

Medicare Payment-Related Categories for a Hospital or a CAH (M40)

Select all that apply.

At this time, the PPS fields in this section have no cross-checks with the PPS fields in the Hospital Special Fields section on the Certifications & Surveys tab.

Necessary Provider

CAH only.

Qualifying CAHs with an Original Date of Participation (L24) *before* 01/01/2006 can be designated as necessary providers. This info is uploaded to national.

When a new CAH recertification kit is created, necessary provider information is carried forward; it will be kept in synch between a recertification kit that has not been uploaded and the current, uploaded kit until the newer recertification kit is uploaded.

Designated as a Necessary Provider

Select to designate the CAH as a necessary provider.

Designated Date

Enabled and required when Designated as a Necessary Provider is selected. Enter date the CAH was designated a necessary provider.

Date Provider lost Necessary Provider Designation

Enabled and required when Designated as a Necessary Provider is de-selected unless the provider is terminated. Enter date the CAH's necessary provider designation was removed.

Services Provided by the Facility (M41)

Required except for FSED conversions to 011 ACU.

For each type of service (01-66), indicate how it is provided. Options are: 0 Not Provided, 1 Provided by Staff, 2 Provided by Arrangement or Agreement, 3 Provided by Staff and Through Agreement.

If the service is provided directly by the facility (includes hourly or per visit contracts), select 1. If a service is provided under arrangement with an outside resource, select 2. If a service is provided by a combination of both, select 3.

Sprinkler Status, Main Campus (M42)

Required. Select the appropriate sprinkler status for the Hospital's primary location. At this time, there is no cross-check between this field and Sprinkler Status (K180) in the building record. Both this field and K180 for each building are uploaded to the national systems.

Offsite locations

Services provided in a separate location that are certified under the parent provider's CCN.

Information about offsite locations is uploaded when the parent Hospital provider's certification kit is uploaded. If you add or modify an offsite location in a kit that has already been successfully uploaded, another upload is automatically triggered as long as the certification kit otherwise qualifies for upload.

Total number of provider-based off-site locations under the same CCN (M43)

Generated by ASPEN based on the number of records entered in the Off-site Locations grid.

Add

Button opens the Facility Relationship Manager, where you can add a 01 Branch/Extension/Offsite record; see "Facility Relationship Manager - Off-site" on page 526.

Modify

Button opens the Facility Relationship Manager for the selected record, so you can make changes.

Remove

Button removes the selected offsite location record.

Merge Existing

Button opens the Merge Aspen Affiliations window, where you can select from records added to the Affiliations node of the provider prior to the ASPEN 8.5 release, and merge them into the Off-site Locations section.

Affiliated providers

Services provided by the parent Hospital that are certified under a separate CCN, e.g., an ESRD center operating within or affiliated with the Hospital.

Information about affiliates is uploaded when the parent Hospital provider's certification kit is uploaded. If you add or modify an affiliation a kit that has already been successfully uploaded, another upload is automatically triggered as long as the certification kit otherwise qualifies for upload.

Number of related or affiliated provider numbers (M44)

Generated by ASPEN based on the number of affiliations entered in the Affiliated Providers grid.

Add

Button opens the Facility Relationship Manager, where you can add a 03 Affiliate (Child of non-hospital type) record; see "Facility Relationship Manager - Affiliations" on page 528.

Modify

Button opens the Facility Relationship Manager for the selected record, so you can make changes. However, affiliated provider records are read-only.

Remove

Button removes the selected affiliated provider record.

Merge Existing

Button opens the Merge Aspen Affiliations window, where you can select from records added to the Affiliations node of the provider prior to the ASPEN 8.5 release, and merge them into the Affiliated Providers section.

Co-Located Hospital (M45)

Information about co-located Hospitals is uploaded when the parent Hospital provider's certification kit is uploaded. If you add or modify a co-located Hospital in a kit that has already been successfully uploaded, another upload is automatically triggered as long as the certification kit otherwise qualifies for upload.

Add

Button opens the Facility Relationship Manager, where you can add a 02 Affiliate (Sibling Hospital); see "Facility Relationship Manager - Co-Located Hospital" on page 529).

Modify

Button opens the Facility Relationship Manager for the selected record, so you can make changes.

Remove

Button removes the selected Co-Located Hospital record.

Facility Relationship Manager - Off-site

Relationship Type

For offsite locations, the only option is 01 Branch/Extension/Offsite.

Related Facility/Branch Description

Facility/Branch ID

Supplied by the system.

Licensed Only?

Always disabled. Use the Affiliations node in the Tree view to add state licensure affiliations for a Hospital. Offsite locations are not added to the Off-site Locations grid on the Worksheet and aren't uploaded.

Type

Select the appropriate offsite location type from the drop-down list.

Name

Name of the offsite location.

Location code

Offsite location number. Supplied by the system. The first two positions indicate the offsite location Type, the second two identify the location itself. For example, 0302 identifies the second offsite location of Type 03 added to the provider.

Address

Street address of offsite location.

Zip Code

Zip code of offsite location.

City

Offsite location city.

State

Postal code for state of offsite location.

County

Offsite location county.

RO Approved

Not required for Hospitals.

Total Beds

Not required for Hospitals.

Operating Beds

Not required for Hospitals.

Branch Terminated

Effective termination date of the offsite location. This field becomes active when Termination Code (L30) on the 1539 is other than 00 Active.

Termination Code

If the offsite location is terminated, select the appropriate termination code.

Contact Information

Telephone

Telephone number of affiliated facility.

Fax

Fax number of affiliated facility.

Contact

Name of contact at affiliated facility.

Emergency Phone

Emergency phone number of affiliated facility.

Facility Relationship Manager - Affiliations

Relationship Type

The only option for Affiliated providers is 03 Affiliate (Child of Non-Hospital Type).

Related Facility/Branch Description

Facility/Branch ID

Supplied by the system after you locate the affiliated facility using the Click Here to Find Facility button (see below). If the facility information is typed in (button is not used), Facility/Branch ID is not visible until after the window is closed and reopened.

Licensed Only?

Not enabled for Ambulance Service.

Click Here to Find Facility button

Click to locate the affiliated facility. If the affiliated facility is out-of-state, you must do a Cross State Search on the out-of-state Provider Number (CCN). When you find the provider, ASPEN pulls in the other information to complete the screen.

Type

Supplied by the system after you locate the affiliated facility using the Click Here to Find Facility button. Otherwise, the only option is 01 Ambulance Service.

Name

Name of the affiliated facility.

Location code

Affiliated facility location number. Supplied by the system. The first two positions indicate the affiliated facility Type, the second two identify the location itself. For example, 0302 identifies the second affiliated facility location of Type 03.

Address

Street address of affiliated facility.

Zip Code

Zip code of affiliated facility.

City

Affiliated facility city.

State

Postal code for state of affiliated facility.

County

County name of affiliated facility.

Opened

Date facility opened. Not enabled for Ambulance Service.

Total Beds

Not required for Ambulance Service.

Operating Beds

Not required for Ambulance Service.

Closed

Date facility closed. Not enabled for Ambulance Service.

Contact Information

Telephone

Telephone number of affiliated facility.

Fax

Fax number of affiliated facility.

Contact

Name of contact at affiliated facility.

Emergency Phone

Emergency phone number of affiliated facility.

Facility Relationship Manager - Co-Located Hospital

Once you find the Co-Located Hospital, ASPEN provides the rest of the information from the provider record. The facility information is read-only.

Relationship Type

The only option for Co-Located Hospitals is 02 Affiliate (Sibling Hospital).

Related Facility/Branch Description

Licensed Only?

Not enabled.

Click Here to Find Facility

Button locates the Co-Located Hospital. If the facility is out-of-state, you must do a Cross State Search on the out-of-state Provider Number (CCN).

When you find the provider, ASPEN pulls in description information to complete the screen.

Type

The only option is 15 Co-located Hospital.

Contact Information

Entered by ASPEN after you locate the facility using the Click Here to Find Facility button.

Transplant Programs

OPTN

Four-letter OPTN membership code. Read-only; copied in from Facility Properties.

Representative

Name of the primary administrator specified on the Administration tab. Read-only.

Phone

Telephone number of the representative specified in the Administrator Directory record. Read-only.

Transplant Program Summary

Summary information about the transplant programs offered by the provider. At least one program type (of any status or type) is required.

Transplant Program Summary: Grid

Program Type

Type of transplant program.

Status

Read-only. Indicates status of the transplant program. Updated automatically as needed during the certification process.

Approval Date This Cert

Date the transplant program was approved by CMS for this certification cycle. Read-only; same as Approval Date This Cert in Transplant Program Details section.

Surveyed for Approval

Indicate if the program was included on the current certification survey, and if so, indicate if survey was Onsite, Offsite, or Both. If exit date is more than 60 days in the past, only the RO can change the value; a new certification should be considered.

On a Complaint-only citation in a combined certification/complaint survey, you can specify a transplant program that is not surveyed in the current kit. In that case, ACO ignores the Surveyed for Approval value.

Citations

Citations on the current certification survey associated with the transplant program.

View

Button opens the Citation Dates window for the associated citations. It lists Completion Date (X5) and Correction Date for each citation.

All Corrected

Select if all citations associated with the transplant program have been corrected.

Transplant Program Summary: Buttons

Add Program

Button adds a transplant program not already associated with the current certification. The list of programs is limited to those offered by the provider.

Remove Program

Button removes the selected transplant program from the current certification. You cannot remove a program type with associated survey information.

Reactivate Program

Button reactivates a program terminated in a prior certification kit, i.e., a program with Status = Program Denied, Medicare Approval Withdrawn Voluntarily, or Medicare Approval Withdrawn Involuntarily. Terminated programs are carried forward from a prior kit and displayed in italics in the current kit.

Refresh List

Button updates the summary grid after changing information in the Details section (below).

Transplant Program Details (for <Program Name>)

Lets you enter application and certification dates and other details about the transplant program selected in the Transplant Program Summary grid.

Original Medicare Approval Date

Date CMS originally approved the selected transplant program.

Program Status

Current status of the transplant program. This field is populated from the Status column in the Transplant Program Summary grid.

Application Information

Date Application is Received - date CMS received the application for approval of the selected transplant program from the provider. Must be entered for the initial program approval process.

Date CMS Sends Application Received Letter - date CMS sent a letter to the provider indicating it received the application for the selected transplant program.

Program New to Medicare - Choose if the selected transplant program is new to Medicare.

Pediatric Heart Program Details

The fields in this section are enabled only if the selected program is Pediatric Heart-Only.

Does Ped (Pediatric) Hospital Use Alternate Approval - Select if the answer is Yes.

Name of the Other Hospital for Agreement - Name of the Hospital jointly operating the program. Enabled only if Alternate Approval is checkbox is selected.

Certification Information

Approval Date This Cert - Date the selected transplant program was approved by CMS for this certification cycle. Must be on or after the survey Exit date (X3). Enabled if Surveyed for Approval is not set to No for the program in the Transplant Program Summary grid. If entered, this date is copied to Approval Date This Cert in the Program Summary grid.

Recertification Due Date - Date that recertification is calculated to be due.

Inactivity Start Date - Date the selected transplant program became inactive.

Denied - Date the program was denied approval (initial denial). This field is relevant and enabled only during initial certification (of each transplant program, not the provider).

Reactivation - Date the transplant program was reactivated. Enabled only if program was removed.

Initial COP Approval Date - Date that CMS initially approved Conditions of Participation (COPs) for the selected transplant program.

Termination Date - Date the selected transplant program, once certified but no longer certified, was terminated. Status for a terminated program must be Program Denied, Medicare Approval Withdrawn Voluntarily, or Medicare Approval Withdrawn Involuntarily. Terminated programs are displayed in italics in the Transplant Program Summary grid.

Voluntary, Involuntary - When you enter a Termination Date, a prompt asks if the termination is voluntary or involuntary. The applicable option is automatically selected based on your response. You can switch the selected option if necessary.

Contact Information

Enter Name (Sltn [Salutation], First, Last), Phone and Fax numbers, E-mail address, street Address, City, State, and Zip code of the individual to contact regarding the application for the selected transplant program. Disabled if Surveyed for Approval is NO.

RHC App/CDE (CMS-29/30E)

CMS-29 - Request to Establish Eligibility

Medical Direction

Name(s) and Address(es) of the physician(s) who provide medical direction for the clinic. These are free form text fields.

Clinic Personnel (FTE)

Number of full-time equivalents for a full week (expressed as a number to the nearest quarter-hour) for the following categories of clinic personnel: Physician (RH6), Nurse Practitioner (RH7), Physician Assistant (RH8), Other salaried personnel (RH9).

You must enter a value for Physician (RH6) and for Nurse Practitioner (RH7) or Physician Assistant (RH8). When you enter a value for RH7 or RH8, you must also enter a value on the 30E respectively for at least one of the Nurse Practitioner fields (J43 1-3) or Physician Assistant fields (J44 1-3).

Type of Control (RH10)

Required. Select the category that best describes the type of entity operating the provider.

Options are:

03 State Government

04 Local Government

05 Federal Government

1A For Profit - Individual

1B For Profit - Corporation

1C For Profit - Partnership

2A Non Profit Individual

2B Non Profit Corporation

2C Non Profit Partnership

Is the RHC a provider-based entity to a hospital or Critical Access Hospital (CAH)? (RH11)

Required. Select Yes or No.

If yes, Please indicate the CMS Certification number of the hospital/CAH (RH12)

Enabled and required if RH11 is Yes. Use Find Facility to locate the hospital/CAH and insert its CMS Certification number. You can search within your state or across states.

CMS-30E - From RHC CDE

Staff

If you enter an FTE value for RH7 in CMS-29, you must also enter a value in the 30E Staff section for at least one of the Nurse Practitioner fields (J43 1-3). J43-1 is the number of currently certified primary care nurse practitioners. J43-2 is the number who have completed a formal one-year training program. J43-2 is the number with at least 12 months experience in an expanded role in the delivery of primary care.

Likewise, if you enter an FTE value for RH8, you must also enter a value for at least one of the Physician Assistant fields (J44 1-3).
J44-1 is the number who are currently certified by the national association. J44-2 is the number with one year of training and supervised clinical experience. J44-3 is the number with training and at least 12 months experience assisting primary care physicians.

CORF Application (CMS-359)

CMS-359 - Eligibility

Request to Establish Eligibility In (RD05)

Program in which the provider wants to participate.

Related Provider Number (RD06)

Enter if the facility houses more than one distinct provider. You can type in the related provider's 6 or 10-digit CCN, or use Find Facility to locate and insert the number.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

CMS-359 - Control

Type of Control (RD07)

Required. Select the category that best describes the type of organization operating the provider. There are four options:

- **Proprietary -** A for profit corporation.
- **Non Profit Church -** A church affiliated organization governed by a board of directors and financed by contributions and earnings.

- **Non Profit Other -** A non-profit organization other than a church, which is generally governed by a community-based board of directors and financed by contributions and earnings.
- **Government -** An organization primarily administered by the state, county, city, or other local unit of government.

Does your organization currently participate in Medicare as a provider of Outpatient Physical Therapy/Speech Pathology (e.g., Rehabilitation Agency)? (RD08)

Required. Select Yes or No as appropriate. If Yes, complete RD09.

If yes, list Provider Number (RD09)

Required if you select Yes for RD08. You can type in the Medicare provider number (CCN) for the OPT/SP, or use the Find Facility button to locate and insert the number, which must be a valid, active CCN for an OPT/SP. You can search within your state or across states.

CMS-359 - Services Provided (RD10)

Select the checkbox in the appropriate column(s) for each service provided to indicate who provides the service. You must select at least one category for Physical Therapy and Physician Services, and either Social Services or Psychological Services.

Employees

Individuals paid a salary per unit time of work, covered under Social Security and Workmen's Compensation, and accruing benefits.

Under Arrangement

Individuals from an organization with which the provider has an agreement. The provider pays the organization and not the individuals.

Independent Contractor

Individual paid a sum based on services rendered or units of work time, but not covered under Social Security through the provider, and not accruing benefits. The individual generally has a contract with the provider.

CMS-359 - Extension Offices

Click the Add button to open the Facility Relationship Manager, where you can add an extension record. Only ROs can enter a 10-digit Medicare Branch ID for the extension office.

Select an extension and click the Modify button to make changes to the extension record.

Click the Remove button to remove the selected extension. Enabled for all users when a Medicare Branch ID *is not* entered for the extension; enabled only for RO users if the Medicare Branch ID *is* entered. The deletion is not allowed if there is an associated Assessment. If this is the most recent kit and it has been uploaded, a warning tells you to upload it again.

CORF extensions that are pending upload or have already been accepted by national can be deleted only in ARO. The Facility Relationship Manager is read-only for extensions with a status of Pending Delete.

Information about extensions is uploaded when the parent CORF's certification kit is uploaded. If you add or modify an extension in a kit that has already been successfully uploaded, another upload is automatically triggered as long as the certification kit otherwise qualifies for upload.

ASC App/CDE (CMS-377/378E)

CMS-377 - Request for Certification

Control

Related Provider Number (AS2)

Appears only in pre-ASPEN 10.6 kits.

If the provider is related to a Hospital, you can type in the Hospital's 6 digit Medicare provider number (CCN), or use the Find Facility button to locate and insert the number, which must be a valid, active CCN for a category 01 provider (Hospital).

Find Facility

Appears only in pre-ASPEN 10.6 kits.

Opens the Find Parent Provider Number window, where you can search for a Hospital by Facility ID, Name, Former Name, Address, City, County, Zip code, Phone Number, CCN (current and prior), or License Number. Facilities returned in this search window are limited to category 01 providers (Hospitals) on the state server.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

Type of Control (AS5)

Required. Select the category that best describes the type of organization operating the provider.

Options are: 01 Proprietary, 02 Non Profit, 03 Government.

Ancillary Services (AS6)

Required. Select the appropriate sources for Laboratory, Radiology, and Pharmaceutical Services.

Surgical Specialties (AS7)

Required. Y/N. For each of the specialties listed, indicate if the provider provides this type of surgery. If a non-specified surgical specialty is provided, specify the surgical type in the Specify box.

Facility Characteristics

Number of Operating Rooms (AS8)

Required. Enter the number of operating rooms in the surgical center.

Date Center Began Providing Services (AS9)

Required. Enter the date the provider first began performing health care services.

CMS-378E - Crucial Data Extract

Note: This form is obsolete and does not appear in ASC certification kits with a certification exit date (L34) after the ASPEN 10.5 release date (09/17/16) or pre-ASPEN 10.5 ASC kits if no data was entered, but still appears in pre-ASPEN 10.5 ASC kits if data was entered.

Equipment (Q17)

For each item of equipment, select Yes if the ASC has it, No if not.

Records (Q28)

For each patient record item, select Yes if the ASC maintains it, No if not.

HOSPICE Application (CMS-417)

CMS-417 - Facility Information

Type of Hospice (PH7)

Required. Select the appropriate Hospice type from the list.

Related Provider Number (PH6)

Enabled only if the Type of Hospice (PH7) has been entered and it is not 05 Freestanding Hospice. You can type in the related provider's 6 digit Medicare provider number (CCN), or use the Find Facility button to locate and insert the number, which must be a valid, active CCN for the type of provider listed in Type of Hospice (PH7).

Find Facility

Opens the Find Parent Provider Number window, where you can search for a Hospital by Facility ID, Name, Former Name, Address, City, County, Zip code, Phone Number, CCN (current and prior), or License Number. Facilities (providers) returned in this search window are limited to the type of provider listed in Type of Hospice (PH7).

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

Select For Hospitals Only

Enabled only if Type of Hospice (PH7) is 01 Hospital. Select the appropriate accreditation organization for the parent Hospital.

Type of Control (PH8)

Required. Select the category that best describes the type of organization operating the provider.

Options are:

01 Voluntary Non-Profit - Church

02 Voluntary Non-Profit - Private

03 Voluntary Non-Profit - Other

04 Proprietary - Individual

05 Proprietary - Partnership

06 Proprietary - Corporation

07 Proprietary - Other

08 Government - State

09 Government - County

10 Government - City

11 Government - City-County

12 Combination Gov & Nonprofit

13 Other

CMS-417 - Services Provided (PH9)

For each service, select the method by which it is provided from the drop-down list. For any service provided by contract, enter the Name, Address, and Medicare Provider/Supplier number, i.e., CCN of the contractor.

Acute/Respite (PH10)

Select the type of acute or respite care provided from the drop-down list.

CMS-417 - Number of Employees/Volunteers

For each category, enter the number of employees and volunteers on staff. The Total Number (PH19) of employees and volunteers is calculated automatically.

Note: If Services Provided for 1 Physician Services in PH9 is set to 2 Provided Under Arrangement, no values are required for Physicians (PH11) A & B.

HOSPICE Survey and Deficiencies Report (CMS-643)

Was this hospice surveyed for compliance with 42 CFR 418.110? (L50)

Y/N. Select Yes if the provider was surveyed for 42 CFR 418.110 compliance.

If this hospice provides inpatient care directly, is the inpatient care provided on premises? (L51)

Y/N. Select Yes if the provider provides direct, on premises, inpatient care.

Has a waiver of core nursing services been granted? (L52)

Y/N. Select Yes if the provider has received a waiver of core nursing services.

If "Yes" indicate date (L53)

If L52 is Yes, enter the date the waiver was granted. The date must be later than 10/31/1983 and no later than today's date.

Indicate type of setting(s) in which the hospice provides routine home care (L54)

Indicate if the Hospice routinely provides home care in a Private Residence, Skilled Nursing Facility, Nursing Facility, or Other. If Other is selected, please specify. At least one setting must be selected.

Number of hospice patients residing in a SNF, NF or other residential facility who receive routine home care from the hospice (L55)

Number of Hospice patients residing in a SNF, NF or other residential facility who receive routine home care from the Hospice, if any.

Number of hospice patients admitted during recent 12 month period (L56)

Number of Hospice patients admitted during a recent 12 month period, if any.

Number of records reviewed during survey (L57)

Number of records reviewed during the survey, if any.

Number of home visits conducted to patients in a private residence (L58)

Number of home visits conducted to patients in a private residence, if any.

Number of home visits conducted to patients in residential facilities (L59)

Number of home visits conducted to patients in residential facilities, if any.

Does this hospice operate under the same provider number at more than one location? (L60)

Y/N. Select Yes if this Hospice operates under the same provider number, i.e., CCN, at multiple locations.

If "Yes" enter number of locations (L61)

If L60 is Yes, enter the number of locations from which the Hospice operates. Must be greater than one.

Does this hospice operate as part of another entity that participates in the Medicare program? (L62)

Y/N. Select Yes if this Hospice operates as part of another entity that participates in the Medicare program.

If "Yes" enter the Medicare provider number of the entity (L63)

Enabled and required only if L62 is Yes. You can type in the related provider's 6 or 10 digit Medicare provider number, i.e., CCN, or use the Find Facility button to locate and insert the number, which must be a valid, active CCN.

Find Facility

Opens the Find Parent Provider Number window, where you can search for a related facility by Facility ID, Name, Former Name, Address, City, County, Zip code, Phone Number, CCN (current and prior), or License Number.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

NH Application (CMS-671)

CMS-671 - General Information

Standard Survey From (F1)

ASPEN supplies this date. It is the start date of the standard Health survey.

Standard Survey To (F2)

Required. This date must be on or before the survey Exit date (X3) of the standard Health survey.

Extended Survey From (F3)

Start date of extended survey, if there is one. If you enter a start date in F3, you must also enter an end date in F4. F3 cannot be later than F4.

Extended Survey To (F4)

End date of extended survey. If a date is entered in F3, you must enter a date here. It cannot be earlier than F3 and must be on or before the survey Exit date (X3) of the standard Health survey.

Program Participation (F9)

Program participation is determined by the provider Type selected in the Facility Properties window as shown below; the corresponding national code that prints in L7 on CMS-1539 is also indicated.

ASPEN Provider Type: 021 SNF/NF Dual Cert
F9 on CMS-671: 03 SNF/NF Medicare/Medicaid
National Code: 02

ASPEN Provider Type: 022 SNF/NF Distinct Part
F9 on CMS-671: 03 SNF/NF Medicare/Medicaid
National Code: 03

ASPEN Provider Type: 023 SNF Only
F9 on CMS-671: 01 Nursing Facility (NF) - Medicare only
National Code: 04

ASPEN Provider Type: 024 NF Only
F9 on CMS-671: 02 Nursing Facility (NF) - Medicaid only
National Code: 10

Is this facility hospital based? (F10)

Required. If the facility is under the administrative control of a Hospital, select Yes. If Yes, you must enter the Hospital Provider Number (F11).

Find Facility

Enabled when you select Yes for F10. Opens the Find Hospitals window, where you can search for a Hospital by Facility ID, Name, Former Name, Address, City, County, Zip code, Phone Number, CCN (current and prior), or License Number. Facilities/providers returned in this search window are limited to category 01 providers (Hospitals) on the state server.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

If yes, indicate Hospital Provider Number (F11)

Required if you select Yes for F10. You can type in the Hospital's 6-digit CCN, or use the Find Facility button to locate and insert the number, which must be a valid, active CCN for a category 01 provider (Hospital).

Ownership (F12)

Category that best describes the type of organization that controls and operates the provider.

ASPEN Owners

If your office maintains ownership information in ASPEN, this button provides a link to that data. You can add and assign new owners, or modify/remove existing owners from here. The information is for reference only; ASPEN ownership information is not automatically transferred to certification forms.

Owned or leased by Multi-Facility Organization? (F13)

Required. Y/N. Select Yes if the provider is owned or leased by an organization that owns two or more LTC providers. This includes leasing by corporate chains. If Yes, you must supply the name of the organization in F14. Do not leave this field blank; select Yes or No.

Name of Multi-Facility Organization (F14)

Required if you select Yes for F13. Enter the name of the corporate owner of the multi-facility organization–38 alphanumeric characters maximum.

Dedicated Special Care Units

Number of beds that have been identified and dedicated by the provider for each type of special care:

- AIDS (F15)
- Alzheimer's Disease (F16)
- Dialysis (F17)
- Disabled Children/Young Adults (F18)
- Head Trauma (F19)
- Hospice (F20)
- Huntington's Disease (F21)
- Ventilator/Respiratory Care (F22)
- Other Specialized Rehabilitation (F23)

Does the facility currently have an organized residents group? (F24)

Required. Y/N. Select Yes if the facility has a residents group that meets regularly to offer suggestions, provide support, plan activities, or for other purposes.

Does the facility currently have an organized group of family members of residents? (F25)

Required. Y/N. Select Yes if the facility has a group or groups of family members that meet regularly to offer suggestions, provide support, plan activities, or for other purposes.

Does the facility conduct experimental research? (F26)

Required. Y/N. Select Yes if the facility uses residents for development and/or testing of new drugs or therapy that involves treatment and control groups. Clinical trials are experimental research.

Is the facility part of a continuing care retirement community (CCRC)? (F27)

Required. Y/N. Select Yes if the facility operates under state regulations as a continuing care retirement community.

Waiver of seven day RN requirement (F28)

If the provider has been granted a waiver of the seven day RN requirement by CMS or the State Agency, enter the last approval date of the waiver.

Hours waived per week? (F29)

If you entered a date in F28, enter the number of hours being waived in this field.

Waiver of 24 hour licensed nursing requirement (F30)

If the provider has been granted a waiver of the 24 hour licensed nursing requirement by CMS or the State Agency, enter the last approval date of the waiver.

Hours waived per week? (F31)

If you entered a date in F30, provide the number of hours being waived in this field.

Does the facility currently have an approved Nurse Aide Training and Competency Evaluation Program? (F32)

Required. Y/N. Answer Yes if the facility has a state-approved NATCEP program.

Does the facility have a feeding assistant program?

Y/N. Answer Yes if the facility has a feeding assistant program.

CMS-671 - Facility Staffing

This section is obsolete, but you can optionally complete it. Any staffing data that has been entered for historical or current kits is uploaded, unedited, to national.

To complete, select a checkbox in columns A1, A2 and/or A3 for each type of service provided. If you select A1 or A3 to indicate the service is provided to residents of the facility, provide the corresponding hours in columns B, C, and/or D.

Services Provided

On Site Residents A1

Services provided onsite to residents, by employees or contractors.

On Site Non Res. A2

Services provided onsite to non-residents.

Off Site A3

Services provided to residents offsite, or that are not routinely provided onsite.

Full Time (hours) B

Full-time is 35 or more hours per week. Round to the nearest whole hour. Hours worked are based on the most recent 14-day pay period.

Part Time (hours) C

Part-time is less than 35 hours per week. Round to the nearest whole hour. Use the hours worked in the most recent 14-day pay period.

Contract (hours) D

Includes both individuals and organizations (such as nursing agencies) under contract. Round to the nearest whole hour. Use the hours worked in the most recent 14-day pay period.

Service Hours

The descriptions given are condensed from the full CMS instructions for completing the CMS-671. If you have questions about completing this form, see the *CMS General Instructions and Definitions*.

Administration (F33)

Hours worked by administrators and staff responsible for provider management, who do not perform any of the other described services. Does not include food service, housekeeping or engineering managers.

Physician Services (F34)

Work performed by physicians at the facility, except residents' personal physicians. Select A1, A2, A3 as appropriate, then enter hours for:

Medical Director (F35) - the physician who coordinates Medicare care at the facility.

Other Physician (F36) - a salaried physician, and/or a physician available to provide emergency services 24 hours a day.

Physician Extender (F37) - nurse practitioner or physician assistant.

Nursing Services (F38)

Management and implementation of nursing care plans. Do not enter the same hours in more than one category. Do not include volunteers. Select A1, A2, A3 as appropriate, then enter hours for:

RN Director of Nursing (F39) - RN(s) responsible for managing nursing services. Only RN hours are entered here.

Nurses with Admin. Duties (F40) - RNs, LPNs, LVNs who perform resident assessment and other administrative functions not considered to be direct care giving. If the provider does not have an RN as DON, put all administrative nursing hours here.

Registered Nurses (F41) - Hours for persons licensed to practice as registered nurses. These hours are nursing hours, not physician-delegated tasks.

Licensed Practical/Vocational Nurses (F42) - Hours for persons licensed to practice as licensed practical/vocational nurses.

Certified Nurses Aides (F43) - Hours for those who have completed an approved training and competency program, or have been determined competent and are providing nursing or nursing-related services.

Nurse Aides in Training (F44) - Hours for individuals in the first 4 months of employment and training in a state training program who are under supervision of a licensed or registered nurse.

Medication Aides/Technicians (F45) - Hours for those who are not licensed professionals, but fulfill state requirements for administering medications to residents.

Pharmacists (F46)

The licensed pharmacist(s) who provides pharmacy services.

Dietary Services (F47)

All activities related to providing dietary needs. Select A1, A2, A3 as appropriate, then enter hours for:

Dietitian (F48) - Can be full, part-time or consultant, who is either registered or otherwise qualified to plan and implement dietary programs.

Food Service Workers (F49) - Workers, excluding the dietician but including supervisors, who carry out the dietary programs.

Therapeutic Services (F50)

These are services other than medical and nursing that enhance residents' functional abilities or quality of life. Select A1, A2, A3 appropriate, then enter hours for:

Occupational Therapists (F51) - Licensed/registered in the state where the provider is located. Include OTs who spend less than 50% of their time as activities therapists.

Occupational Therapy Assistants (F52) - Licensed/registered to carry out OT plan of care without direct supervision. Include OT Assistants who spend less than 50% of their time as activities therapists.

Occupational Therapy Aides (F53) - Trained to Assist an OT under direct supervision of the OT.

Physical Therapists (F54) - Licensed/registered in the state where the provider is located.

Physical Therapy Assistants (F55) - Licensed/registered to carry out PT plan of care without direct supervision.

Physical Therapy Aides (F56) - Trained to assist a PT under direct supervision of the PT.

Speech-Language Pathologists (F57) - Licensed/registered in the state where the provider is located to provide speech therapy and related services.

Therapeutic Recreation Specialist (F58) - Licensed/registered and eligible for certification.

Qualified Activities Professional (F59) - Activities professional who provide on-going activities programs for residents. Do not include hours reported in other categories.

Other Activities Staff (F60) - Others providing on-going activities programs for residents. Do not include volunteers or hours reported in other categories.

Qualified Social Workers (F61) - Persons licensed or otherwise qualified to practice social work in the state where the provider is located.

Other Social Services Staff (F62) - Persons other than qualified social workers who provide social services to residents. Not volunteers.

Dentists (F63)

Dentists licensed in the state where the provider is located who provide dental services to residents.

Podiatrists (F64)

Podiatrists licensed in the state where the provider is located who provide podiatric services to residents.

Mental Health Services (F65)

Staff (excluding those included elsewhere) who perform mental health services including administration, psychotherapy, counseling, and monitoring of psychiatric medications.

Vocational Services (F66)

Job training and evaluations for residents.

Clinical Laboratory Services (F67)

Entity performing laboratory services that is approved by Medicare as an independent laboratory.

Diagnostic X-Ray Services (F68)

Radiology services for diagnosis of disease or condition.

Administration and Storage of Blood (F69)

Blood storage bank and transfusion service.

Housekeeping Services (F70)

Services to maintain facility environment. Includes housekeeping supervisor and engineer.

Other (F71)

Total hours of all personnel not recorded elsewhere.

NH Census (CMS-672)

Required census and ADL data is entered in the top section of the CMS-672. Fields F94 through F145 in the middle sections of the form list common conditions of residents in nursing homes. Enter the number of residents with each condition at the time of the survey.

CMS-672 - Resident Census

Provider Number

Read-only. CCN entered in the Facility Properties window.

Residents section

Number of Medicare (F75), Medicaid (F76), and Other (F77) residents in the facility on the day the survey begins. 0 is acceptable. These fields are enabled according to the provider type and program participation.

Medicare (F75)

Number of residents whose primary payer is Medicare. Required for all NH providers except NF Only (024).

Medicaid (F76)

Number of residents whose primary payer is Medicaid. Required for all NH providers except SNF Only (023).

Other (F77)

Number of residents whose primary payer is neither Medicare nor Medicaid. Required for all NH providers.

Total Residents (F78)

ASPEN calculates this total from the entries in F75, F76, and F77. This number cannot be more than the number of Total Beds (L18 on CMS-1539) for a new certification kit. Once the kit has been accepted by national, the edits between bed counts and Total Residents (F78) are not applied.

ADL section

The ADL section lists five Activities of Daily Living with three levels of assistance for each. The number of residents recorded for each activity must equal Total Residents (F78). ASPEN maintains totals for each activity in the far right column for your convenience.

Bathing

Indicate the number of residents for whom bathing:

is an independent activity (F79),

requires the assistance of one or two staff (F80),

or is completely dependent (F81).

The total of F79-F81 must equal Total Residents (F78).

Dressing

Indicate the number of residents for whom dressing:

is an independent activity (F82),

requires the assistance of one or two staff (F83),

or is completely dependent (F84),

The total of F82-F84 must equal Total Residents (F78).

Transferring

Indicate the number of residents for whom transferring between surfaces:

is an independent activity (F85),

requires the assistance of one or two staff (F86),

or is completely dependent (F87).

The total of F85-F87 must equal Total Residents (F78).

Toilet Use

Indicate the number of residents for whom toilet use:

is an independent activity (F88),

requires the assistance of one or two staff (F89),

or is completely dependent (F90).

The total of F88-F90 must equal Total Residents (F78).

Eating

Indicate the number of residents for whom eating:

is an independent activity (F91),

requires the assistance of one or two staff (F92),

or is completely dependent (F93).

The total of F91-F93 must equal Total Residents (F78).

CMS-672 - Conditions A & B

A. Bowel/Bladder Status

F94

Number of residents with indwelling or external catheters at the time of the survey; cannot be more than Total Residents (F78).

F95

Of the total number of residents with catheters, how many had catheters at the time they were admitted? This number cannot be more than F94, for certifications newly-entered in ASPEN. If the kit is rebuilt from national history tables, there is no edit check with F94.

F96

Number of residents that are occasionally or frequently incontinent of bladder; cannot be more than Total Residents (F78).

F97

Number of residents that are occasionally or frequently incontinent of bowel; cannot be more than Total Residents (F78).

F98

Number of residents on a urinary training program; cannot be more than Total Residents (F78).

F99

Number of residents on a bowel toileting program; cannot be more than Total Residents (F78).

B. Mobility

F100

Number of residents who are bedfast all or most of the time; cannot be more than Total Residents (F78).

F101

Number of residents who are in a chair all or most of the time; cannot be more than Total Residents (F78).

F102

Number of residents who are independently ambulatory; cannot be more than Total Residents (F78).

F103

Number of residents who are ambulatory with assistance or with an assistive device; cannot be more than Total Residents (F78).

F104

Number of residents who are physically restrained; cannot be more than Total Residents (F78).

F105

Of the total number of residents with restraints (F104), how many were admitted or readmitted with orders for restraints? This number cannot be greater than F104, for kits newly-entered in ASPEN. If the kit is rebuilt from national history tables, no comparison with F104 is made.

F106

Number of residents who have contractures; cannot be more than Total Residents (F78).

F107

Of the total number of residents with contractures (F106), how many had a contractures at the time of admission? This number cannot be greater than F106, for kits newly-entered in ASPEN. If the kit is rebuilt from national history tables, no comparison with F106 is made.

CMS-672 - Conditions C & D

C. Mental Status

F108

Number of residents with intellectual and/or developmental disability; cannot be more than Total Residents (F78).

F109

Number of residents with documented signs and symptoms of depression; cannot be more than Total Residents (F78).

F110

Number of residents with documented psychiatric diagnosis (excluding dementias and depression); cannot be more than Total Residents (F78).

F111

Number of residents with dementia (e.g., Lewy-body, vascular or multi-infarct, mixed, frontotemporal such as Pick’s disease; and dementia related to Parkinson's or Creutzfeldt-Jakob diseases), or Alzheimer’s Disease; cannot be more than Total Residents (F78).

F112

Number of residents with behavioral healthcare needs; cannot be more than Total Residents (F78).

F113

Of the total number of residents with behavioral healthcare needs, how many have an individualized care plan to support them? This number cannot be greater than F112, for kits newly-entered in ASPEN. If the kit is rebuilt from national history tables, no comparison with F112 is made.

F114

Number of residents receiving health rehabilitative services for MI or ID/DD; cannot be more than Total Residents (F78).

D. Skin Integrity

F115

Number of residents with pressure ulcers (exclude Stage 1); cannot be more than Total Residents (F78).

F116

Of the total number of residents with pressure ulcers excluding Stage 1, how many residents had pressure ulcers on admission? This number cannot be greater than F115, for kits newly-entered in ASPEN. If the kit is rebuilt from national history tables, no comparison with F115 is made.

F117

Number of residents who are receiving preventive skin care; cannot be more than Total Residents (F78).

F118

Number of residents at the facility with rashes; cannot be more than Total Residents (F78).

CMS-672 - Condition E

E. Special Care

F119

Number of residents who are receiving hospice care; cannot be more than Total Residents (F78).

F120

Number of residents who are receiving radiation therapy; cannot be more than Total Residents (F78).

F121

Number of residents who are receiving chemotherapy; cannot be more than Total Residents (F78).

F122

Number of residents who are receiving dialysis; cannot be more than Total Residents (F78).

F123

Number of residents who are receiving intravenous therapy, parenteral nutrition, and/or blood transfusion; cannot be more than Total Residents (F78).

F124

Number of residents who are receiving respiratory treatment; cannot be more than Total Residents (F78).

F125

Number of residents who are receiving tracheostomy care; cannot be more than Total Residents (F78).

F126

Number of residents who are receiving ostomy care; cannot be more than Total Residents (F78).

F127

Number of residents who are receiving suctioning; cannot be more than Total Residents (F78).

F128

Number of residents who are receiving injections (excluding vitamin B12 injections); cannot be more than Total Residents (F78).

F1te

Number of residents who are receiving tube feedings; cannot be more than Total Residents (F78).

F130

Number of residents who are receiving mechanically altered diets including pureed and all chopped foods (not only meat); cannot be more than Total Residents (F78).

F131

Number of residents who are receiving rehabilitative services (Physical therapy, speech-language therapy, occupational therapy, etc.) Exclude health rehabilitation for MI and/or ID/DD; cannot be more than Total Residents (F78).

F132

Number of residents who have assistive devices while eating; cannot be more than Total Residents (F78).

CMS-672 - Conditions F & G

F. Medications

F133

Number of residents who are receiving any psychoactive medication. Cannot be more than Total Residents (F78).

F134

Number of residents who are receiving antipsychotic medications. Cannot be greater than F133 for kits newly entered in ASPEN. If the kit is rebuilt from national history tables, no comparison with F133 is made.

F135

Number of residents who are receiving antianxiety medications. Cannot be greater than F133 for kits newly entered in ASPEN. If the kit is rebuilt from national history tables, no comparison with F133 is made.

F136

Number of residents who are receiving antidepressant medications. Cannot be greater than F133 for kits newly entered in ASPEN. If the kit is rebuilt from national history tables, no comparison with F133 is made.

F137

Number of residents who are receiving hypnotic medications.This number cannot be greater than F133, for kits newly-entered in ASPEN. If the kit is rebuilt from national history tables, no comparison with F133 is made.

F138

Number of residents who are receiving antibiotics; cannot be more than Total Residents (F78).

F139

Number of residents who are on a pain management program; cannot be more than Total Residents (F78).

G. Other

F140

Number of residents with unplanned significant weight loss/gain; cannot be more than Total Residents (F78).

F141

Number of residents who do not communicate in the dominant language of the facility (including those who use American sign language); cannot be more than Total Residents (F78).

F142

Number of residents who use non-oral communication devices; cannot be more than Total Residents (F78).

F143

Number of residents with advanced directives; cannot be more than Total Residents (F78).

F144

Number of residents who have received influenza immunization since the last survey.

F145

Number of residents who have received pneumococcal vaccine since the last survey.

CMS-672 - Miscellaneous

F146 Ombudsman notified

Select if the ombudsman's office was notified prior to the survey.

F147 Ombudsman present

Select if the ombudsman was present during any part of the survey.

F148 Medication Error Rate

Required. The medication error rate at the time of survey, based upon observation by the surveyor. This is a percentage. You can enter only whole numbers up to 999.

HHA Application (CMS-1572A)

CMS-1572A - Description

Description section

Read-only information about the agency. If you see incorrect information here, go to the Facility Properties window to make the changes.

Provider No.

Read-only. As entered in the Facility Properties window.

Type of Survey Initial (G2)

Required. Enabled for initial certifications. Select the type (extent) of survey conducted for the initial certification.

Type of Survey Resurvey (G3)

Required. Enabled for recertifications. Select the type (extent) of survey conducted for the recertification.

Eligibility (G7)

Required. Select the program eligibility from the drop-down list.

CHOW Since Last Survey? (G9)

Not enabled for initial certifications. Select if there has been a change of ownership since the survey prior to the current survey.

CMS-1572A - Administration & Affiliations

Administrator (G8) type

Required. Select the discipline of the primary administrator.

Note: If a primary administrator is already defined, the administrator's type is not automatically entered here. You must select the appropriate option.

Administrator (G8) name

Optional. Name of the primary administrator.

Button opens the Administration window, where you can create, modify, and/or assign administrators. When you close the Administration window, the name of the primary administrator is entered in the G8 name field.

Note: If a primary administrator is already defined, you must open and close the Administration window to enter the administrator's name.

Administrators who depart a provider and later return can be added more than once to the provider with the appropriate dates specified.

Agency is also Hospice (G10) and Medicare ID (G11)

When the Agency is Also Hospice? checkbox is selected, the Medicare ID (i.e., CCN) field is then required. You can type it in the field, or click the Find Related button to locate it.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

Agency operates Sub-units? (G12) and # of Sub-units (G13)

When applicable, select the Agency has Sub-units? checkbox. You will have to supply the number of sub-units. You can enter the number, or click the Define Sub-units button to either add a new sub-unit or link to an existing provider record. You must use the Define Sub-units method if you want sub-unit information to be included on the Full Facility Profile report.

Sub-unit or Other Provider? (G14) and Parent Medicare # (G15)

When this checkbox is selected, Parent Medicare # (G15)–i.e., CCN–is then required. You can type in the CCN, or click the Find Parent button to open the Find Parent Agency window. Search for the parent agency, select it, and click Return Selection to supply the Parent Medicare # (G15).

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

TIP: A provider cannot both be a sub-unit and have sub-units.

(G16) Has Branches?

When applicable, select the Has Branches? checkbox (G16).

Click the Add button to open the Facility Relationship Manager, where you can add a branch record. Only ROs can enter a 10-digit Medicare Branch ID for the branch.

Branch ID format:

- First 2 positions of the parent facility Medicare ID (State Code)
- Followed by capital letter Q
- Followed by the next 4 positions of the Medicare ID
- Followed by the next sequential number of facility branches starting with 001

Select a branch and click the Modify button to make changes to the branch record.

Click the Delete button to remove the selected branch. Enabled for all users when a Medicare Branch ID *is not* entered for the branch, and enabled only for RO users if the Medicare Branch ID *is* entered. The deletion is not allowed if there is an associated Assessment. If this is the most recent kit and it has been uploaded, a warning tells you to upload it again.

Branches of Federal HHA providers that are pending upload or have already been accepted by national can be deleted only in ARO. Accepted/pending branches of Medicaid-only HHAs can be deleted in both ACO and ARO.

The Facility Relationship Manager is read-only for branches with a status of Pending Delete.

Information about branches is uploaded when the parent HHA's certification kit is uploaded. If you add or modify a branch in a kit that has already been successfully uploaded, another upload is automatically triggered as long as the certification kit otherwise qualifies for upload.

Branches (G17)

Read-only. Automatically calculated and updated by ASPEN when a certification kit is opened and when branches are added or removed.

A branch is not included in the count if it:

- Is licensure-only.
- Does not have a Medicare Branch ID.
- Is terminated, i.e., Termination Code > 00.

Agency Type (G18)

Required. Select the Agency Type from the drop-down list. If the Agency Type you select is marked with an asterisk (*), you must also enter G19.

Provider number (G19)

Enabled and required only if the Agency Type (G18) you selected has an asterisk (*). Type in the provider's CCN, or click the Find Related button to locate the CCN.

Control Type (G20)

Required. Category that best describes the type of organization operating the provider.

Options are:

01 Religious Affiliation

02 Private

03 Other

04 Proprietary

05 State/County

06 Comb., Govt., Voluntary

07 Local Government

CMS-1572A - Services and Staffing

Services Offered (G21)

Nursing Care (01) and at least one other of Physical Therapy (02), Occupational Therapy (03), Speech Therapy (04), Medical Social Worker (05), or Home Health Aide (06) must be offered for the application to be complete. For each of the services listed, the options are:

0 None

1 Agency Staff

2 Under Arrangement

3 Combination

For service 01 Nursing Care, you must select 1, 2, or 3.

For services 01 through 06, at least one must have a code of 1 or 3.

For services 02 through 06, at least one must be 1, 2, or 3.

Staffing (G22 - G31)

When you select 1 or 3 for any of the Services Offered 01 through 09, you must enter the number of Full Time Equivalents in the corresponding staffing field. For instance, if you select 1 Agency Staff for 01 Nursing Care, at least one of Registered Nurse (G22) or Lic Practical Nurse (G23) must be greater than 0.

A significant increase or decrease in total staff will trigger an error message. Review all staffing numbers to ensure the information is accurate. If it is, select the Staff Override (SF12) checkbox on the Certification & Surveys tab.

CMS-1572A - Visits, Census, Other

HHA Provides Directly (G32)

Required. Select the programs from the drop-down list.

Record Review (G33 - G37)

Use this section to indicate the number of records reviewed by the surveyors, and the number of home visits the surveyors made.

Number Records Reviewed with Home Survey (G33)

Number Records Reviewed, No Home Survey (G34)

Number of Home Visits with No Record Review (G35)

ASPEN uses the numbers provided to calculate:

Total Records Reviewed (G36)

Total Home Surveys (G37)

Surveyor Summary (G45)

Required. The Surveyor Summary indicates the appropriate action to be taken. Select it from the drop-down list.

Patient Census since Last Std Survey (G38 - G44)

This section reports patient census between the last survey and the current survey. Enter numbers in the appropriate fields.

Admissions

Unduplicated admissions (G38)

Readmissions (G39)

Discharges

Hospital Discharges (G40)

Nursing Home Discharges (G41)

Goals Met Discharges (G42)

Death Discharges (G43)

ASPEN calculates total discharges (G44)

Survey Frequency

Required. Select the survey frequency from the drop-down list.

HHA Qualified for OPT

Required. Y/N. Is the HHA qualified to provide outpatient physical therapy?

OPT/SP App (CMS-1856)

CMS-1856 - General

Request to Establish Eligibility In

Program in which the provider wants to participate.

Services Provided (R18)

Required. Select the appropriate option(s) to indicate which OPT/SP services are provided, or select All if applicable.

Type of Organization (R9)

Required. Select the option that best characterizes the organization providing the OPT/SP services. If you select 01 Hospital, 02 Skilled Nursing Facility, or 03 Home Health Agency, complete R12 as well. The following definitions apply to options 04-07.

Rehabilitation Agency - Provides an integrated multidisciplinary program designed to upgrade the physical function of disabled individuals.

Clinic - A facility that primarily provides outpatient physician's services. The medical services are provided by a group of physicians, i.e., more than two, practicing medicine together.

Public Health Agency - An official agency established by a state or local government, the primary function of which is to maintain the health of the population served by performing environmental health services, preventive medical services, and, in certain cases, therapeutic services.

Related Provider Number (R12)

Enabled and required only if you selected 01, 02, or 03 for R9. You can type in the related provider's 6 or 10-digit provider number (CCN), or use the Find Facility button to locate the related provider and insert the number, which must be a valid, active CCN.

If Yes, either type the CCN, or use the Find Facility button to locate the provider and insert the CCN, which must be valid and active.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

CMS-1856 - Control and Personnel

Type of Control (R10)

Required. Category that best describes the type of entity operating the provider.

Options are:

01 Vol. Non-Prof. Not Church

02 Voluntary Non Profit Church

03 State Government

04 Local Government

05 Combination Government & Vol.

06 Proprietary

Number of Qualified Personnel (FTE)

Number of full-time equivalents (to the nearest quarter-hour) of:

Physical Therapists - Number of those On Staff (R14), i.e., employed by the provider, and the number who work By Arrangement (R15). ASPEN provides the Total (R13).

Speech Pathologists - Number of those On Staff (R20), and the number who work By Arrangement (R21). ASPEN provides the Total (R19).

Occupational Therapists - Enter the number of those On Staff (R23), and the number who work By Arrangement (R24). ASPEN provides the Total (R22).

CMS-1856 - Extension Offices

Extension Offices

Click the Add button to open the Facility Relationship Manager, where you can add an extension record. Only ROs can enter a 10-digit Medicare Branch ID for the extension office.

Select an extension and click the Modify button to make changes to the extension record.

Click the Remove button to remove the selected extension. Enabled for all users when a Medicare Branch ID *is not* entered for the extension, and enabled only for RO users if the Medicare Branch ID *is* entered. The deletion is not allowed if there is an associated Assessment. If this is the most recent kit and it has been uploaded, a warning tells you to upload it again.

OPT extensions that are pending upload or have already been accepted by national can be deleted only in ARO. The Facility Relationship Manager is read-only for extensions with a status of Pending Delete.

Information about extensions is uploaded when the parent OPT's certification kit is uploaded. If you add or modify an extension in a kit that has already been successfully uploaded, another upload is automatically triggered as long as the certification kit otherwise qualifies for upload.

XRAY Application (CMS-1880)

CMS-1880 - Eligibility

Request to Establish Eligibility In (S22)

Select the program in which the provider wants to participate.

CMS-1880 - Control

Qualifications of Director (S7)

Required. Select an option from the drop-down list.The director is the owner or person with administrative control and responsibility for the operation of the portable X-ray equipment. Select the highest degree held. Select 1 Physician if the director is licensed to practice medicine and osteopathy.

Type of Ownership or Control (S14)

Required. Category that best describes the type of organization that owns and/or operates the provider.

Options are:

01 Individual

02 Partnership

03 Corporation

04 Other Than Private

If other, specify

If S14 is 4 Other Than Private, you can specify the type of ownership here.

CMS-1880 - Number of Technologists (FTE)

Number of full-time equivalents for a full week (expressed as a number to the nearest quarter-hour) of radiologic technologists by educational qualification:

BS/BA In Radiologic Technology (S15)

Associate Degree Radiologic Technology (S16)

Graduate of 24 MO. Approved School of Radiologic Technology (S17)

All Other (S18)

You must enter an FTE number for at least one category. Include only those regularly employed. Do not include the director. Count each technologist once. If more than one option is applicable, select the highest educational qualification.

CMS-1880 - Extension Offices

Extension Offices

Click the Add button to open the Facility Relationship Manager, where you can add an extension record. Only ROs can enter a 10-digit Medicare Branch ID for the extension office.

Select an extension and click the Modify button to make changes to the extension record.

Click the Remove button to remove the selected extension. Enabled for all users when a Medicare Branch ID *is not* entered for the extension, and enabled only for RO users if the Medicare Branch ID *is* entered. If this is the most recent kit and it has been uploaded, a warning tells you to upload it again.

XRAY extensions that are pending upload or have already been accepted by national can be deleted only in ARO. The Facility Relationship Manager is read-only for extensions with a status of Pending Delete.

Information about extensions is uploaded when the parent XRAY's certification kit is uploaded. If you add or modify an extension in a kit that has already been successfully uploaded, another upload is automatically triggered as long as the certification kit otherwise qualifies for upload.

ICF/IID Application (CMS-3070G)

CMS-3070G - Survey Information

Survey Begin Date (W4)

ASPEN supplies this date. It is the start date of the standard Health survey.

Survey End Date (W5)

ASPEN supplies this date. It is the exit date of the standard Health survey.

Type of Ownership Control (W6)

Required. Category that best describes the type of organization that owns the provider.

Options are:

01 Private Non Profit

02 Private Proprietary

03 State

04 City/Town

05 County

06 City/County

07 Other

If Other, Specify

If you selected Other above, specify the ownership type.

Survey Code

Required when W5 is at least 10/01/1996. Select the appropriate survey type code.

CMS-3070G - Control Information

Is the ICF/IID a distinct part of a Hospital, SNF or NF? (W7)

Required. Y/N. Select Yes if the ICF/IID is a distinct part of a Hospital, Skilled Nursing Facility, or Nursing Facility. If Yes, you must select the appropriate checkbox to the right.

Hospital CCN (W8)
SNF CCN (W8)
NFCCN (W8)

Enabled only if W7 is Yes. Select if the ICF/IID is a distinct part of a Hospital, SNF, or NF. You can only select one provider type. Then you will be able to type in the provider's CCN or use the appropriate Find button to locate and insert the CCN, which must be a valid, active CCN for the selected provider type.

Find Hospitals

Enabled when you select the Hospital CCN checkbox. Opens the Find Hospitals window, where you can search for a Hospital by Facility ID, Name, Former Name, Address, City, County, Zip code, Phone Number, CCN (current and prior), or License Number. Facilities/providers returned in this search window are limited to category 01 providers (Hospitals) on the state server.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

Find SNFs

Enabled when you select the SNF CCN checkbox. Opens the Find SNF Facilities window, where you can search for an SNF by Facility ID, Name, Former Name, Address, City, County, Zip code, Phone Number, CCN (current and prior), or License Number. Facilities (providers) returned in this search window are limited to category 02, 03, and 04 providers (SNFs) on the state server.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

Find NFs

Enabled when you select the NF CCN checkbox. Opens the Find NF Facilities window, where you can search for an NF by Facility ID, Name, Former Name, Address, City, County, Zip code, Phone Number, CCN (current and prior), or License Number. Facilities/providers returned in this search window are limited to category 10 providers (NFs) on the state server.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

CMS-3070G - Survey Team Composition

W9

Calculated by ASPEN. For standard surveys, ASPEN determines which category each surveyor belongs in based upon their title codes. This column counts only non-QMRP surveyors.

W10

Calculated by ASPEN. For standard surveys, ASPEN determines which category each surveyor belongs in based upon their title codes. This column counts only QMRP surveyors.

Total Number of Surveyors onsite (W11)

Calculated by ASPEN. This totals the values in columns W9 and W10 for all categories.

Total Number of QMRP Surveyors onsite (W12)

Calculated by ASPEN. This totals the values in column W10 for all categories.

CMS-3070G - Facility Data

A. Is this ICF/IID a residential unit within a larger organization or agency in the state that provides the residential services to individuals with intellectual disability? (W13)

Required. Select Yes is this ICF/IID is part of a larger organization or agency in the state that provides the residential services to individuals with intellectual disability.

B. If "Yes," indicate name and address of larger organization.

Enabled only if W13 is Yes. Enter the name, address, city, state abbreviation, Zip Code and CEO name of the larger organization.

Total Number of Beds (W14)

Enabled only if W13 is Yes. Enter the total number of beds in the larger organization, including any beds for this ICF/IID. The number entered must be greater than zero.

Total Number of Clients (W15)

Enabled only if W13 is Yes. Enter the total number of clients for the larger organization, including any clients for this ICF/IID. The number entered must be greater than zero.

Total Number of ICF/IID Clients (W16)

Required. Enter the total number of clients for this ICF/IID.

Is the ICF/IID community-based? (W17)

Y/N. Select Yes if the ICF/IID is community based.

Total number of ICF/IID beds under this Provider No (W18)

Calculated by ASPEN. This is copied forward from field L43 on the 1539.

Total number of discrete living units under this Provider No (W19)

Required. Enter the total number of discrete living units for this provider.

Age Range of Clients served from (W20)

Age of the youngest resident served by this provider. The age entered must be less than or equal to the age given in W21.

Age Range of Clients served to (W21)

Age of the oldest resident served by this provider. The age entered must be greater than or equal to the age given in W20.

Total number of off-campus day program sites used by ICF/IID clients (W22)

Total number of off-campus day program sites used by clients of this provider. If entered, this number must be greater than zero.

CMS-3070G - Staffing

Full-time equivalents for personnel in the listed categories.

Direct Care Personnel (483.430(d)(3)) (W23)

Required. Enter the full-time equivalent Direct Care Personnel.

Registered Nurse (483.480(d)(3)) (W24)

Full-time equivalent Registered Nurses at this provider.

Licensed Vocational Practical Nurse (483.480(d)(2)) (W25)

Full-time equivalent Licensed Vocational Practical Nurses at this provider.

Total Personnel (W26)

Required. Must be equal to or greater than the sum of fields W23, W24, and W25. Enter the full time equivalent for all personnel at this provider.

CMS-3070G - Off-Campus Day Programs

How many clients in the sample attend off-campus day programs? (W27)

Number of clients in the sample that attend off-campus day programs. If entered, this number must be greater than zero.

In how many off-campus day program sites was an observation done by the Surveyor? (W28)

Number of off-campus day program sites where an observation was done by a surveyor. If entered, this number must be greater than zero.

CMS-3070G - Age and Gender

Under 22 (a) (W29)

Number of clients under 22 years of age. If entered, this number must be greater than zero.

22-45 (b) (W30)

Number of clients at least 22 years of age but not older than 45 years of age. If entered, this number must be greater than zero.

46-65 (c) (W31)

Number of clients at least 46 years of age but not older than 65 years of age. If entered, this number must be greater than zero.

66+ (d) (W32)

Number of clients at least 66 years of age. If entered, this number must be greater than zero.

Total Residents (W33)

Calculated by ASPEN. This is the total of W29, W30, W31, and W32.

Male (W34)

Number of male clients. If entered, this number must be greater than zero.

Female (W35)

Number of female clients. If entered, this number must be greater than zero.

Total (W36)

Calculated by ASPEN. This is the total of W34 and W35. This number must equal W33.

CMS-3070G - Disabilities

Mild (W37)

Number of clients with mild intellectual disability. If entered, this number must be greater than zero.

Moderate (W38)

Number of clients with moderate intellectual disability. If entered, this number must be greater than zero.

Severe (W39)

Number of clients with severe intellectual disability. If entered, this number must be greater than zero.

Profound (W40)

Number of clients with profound intellectual disability. If entered, this number must be greater than zero.

Total (W41)

Calculated by ASPEN. This is the total of W37, W38, W39, and W40. This total cannot exceed W33.

Autism (W42)

Number of clients with autism. If entered, this number must be greater than zero but cannot exceed W33.

Cerebral Palsy (W43)

Number of clients with cerebral palsy. If entered, this number must be greater than zero but cannot exceed W33 or W36 from the Age and Gender section.

Controlled (W44)

Number of clients with controlled epilepsy. If entered, this number must be greater than zero.

Uncontrolled (W45)

Number of clients with uncontrolled epilepsy. If entered, this number must be greater than zero.

Total (W46)

Calculated by ASPEN. This is the total of W45 and W46. This total cannot exceed W33.

CMS-3070G - Other Disabilities

Mobile (W47)

Number of clients who are mobile, non-ambulatory. If entered, this number must be greater than zero.

Non-Mobile (W48)

Number of clients who are non-mobile, non-ambulatory. If entered, this number must be greater than zero.

Total (W49)

Calculated by ASPEN. This is the total of W47 and W48. This total cannot exceed W33.

Speech/Language Impairment (W50)

Number of clients who are speech and/or language impaired. If entered, this number must be greater than zero but cannot exceed W33.

Hard of Hearing (W51)

Number of clients who are hard of hearing. If entered, this number must be greater than zero.

Deaf (W52)

Number of clients who are deaf. If entered, this number must be greater than zero.

Total (W53)

Calculated by ASPEN. This is the total of W51 and W52. This total cannot exceed W33.

Impaired (W54)

Number of clients who are visually impaired. If entered, this number must be greater than zero.

Blind (W55)

Number of clients who are blind. If entered, this number must be greater than zero.

Total (W56)

Calculated by ASPEN. This is the total of W54 and W55. This total cannot exceed W33 or W36 from the Age and Gender section.

CMS-3070G - Other Individual Characteristics

Medical Care Plan (W57)

Number of clients with medical care plans. If entered, this number must be greater than zero but cannot exceed W33.

Drugs to Control Behavior (W58)

Number of clients who need drugs to control their behavior. If entered, this number must be greater than zero but cannot exceed W33.

Physical Restraints (W59)

Number of clients physically restrained (belt, vest, cuffs, etc.) If entered, this number must be greater than zero but cannot exceed W33.

Time-out Rooms (W60)

Number of clients with use of time-out rooms for behavior modification included in their active treatment plan. If entered, this number must be greater than zero but cannot exceed W33.

Application of Painful or Noxious Stimuli (W61)

Number of clients who require application of painful or noxious stimuli. If entered, this number must be greater than zero but cannot exceed W33.

Number Attending Off-campus Day Programs (W62)

Number of clients who attend off-campus day programs. If entered, this number must be greater than zero but cannot exceed W33.

Number of Court Ordered Admissions (W63)

Number of clients who are court ordered admissions. If entered, this number must be greater than zero but cannot exceed W33.

Number of Clients Over Age 18 With a Legal Guardian Assigned by the Court (W64)

Number of clients over age 18 with a legal guardian Assigned by the court. If entered, this number must be greater than zero but cannot exceed W33.

Other (Specify) (W65, W66, W67)

You may enter up to three additional individual characteristics and the client count, if needed. If entered, the client count must be greater than zero but cannot exceed W33.

CMS-3070G - Allegations of Abuse and Neglect

no. of allegations of abuse investigated (a) (W68)

Number of abuse allegations investigated. If entered, this number must be greater than zero.

no. of allegations of neglect investigated (b) (W69)

Number of neglect allegations investigated. If entered, this number must be greater than zero.

Total (W70)

Calculated by ASPEN. This is the total of W68, and W69.

CMS-3070G - Number of Deaths

no. of deaths related to unusual incidents (a) (W71)

Number of deaths related to unusual incidents. If entered, this number must be greater than zero.

no. of deaths related to restraints (b) (W72)

Number of deaths related to restraints. If entered, this number must be greater than zero.

no. of deaths for any reason (c) (W73)

Number of deaths for reasons not listed above. If entered, this number must be greater than zero.

Total (W74)

Calculated by ASPEN. This is the total of W71, W72, and W73.

ESRD Application (CMS-3427)

For certification kits uploaded before 05/02/2011, Version 1 of the CMS-3427 is retained. Version 1 or Version 2 displays as part of the report title.

More ...

For more information about Version 1 of the CMS-3427, refer to the *ACO 10.0 Procedures Guide*.

CMS-3427 - Part I

To be completed by the facility.

CMS-3427 - Part I: Authorized Official-V12

Name

Name of the authorized individual responsible for the management of the provider.

Address

Address of an authorized individual responsible for the management of the provider.

Telephone number

Telephone number of an authorized individual responsible for the management of the provider.

E-Mail

E-mail for an authorized individual responsible for the management of the provider.

Find/Zip, City, and State

Use the Find button to search for and enter the Zip, City, and State (required) of an authorized individual responsible for the management of the provider. Use the Find button to search for and enter the Zip, City, and State. You can search by Zip Code, City, or County.

Medicare Enrollment (CMS-855A) completed?

Required. Options are: Yes, No, N/A.

Type of Application/Notification (V1)

Select all categories that apply. Separate building locations require separate approvals. Expansion/change of services (option 4) indicates any change in Current Modalities/Services (V13). If Other (option 6), specify in the Remarks section at the end of Part I.

Ownership (V2)

Required. Select the category that best describes the type of organization that owns the provider: 01 For Profit, 02 Not For Profit, 03 Public.

Is this dialysis facility ... independent? (V3)

If the provider is *not* owned or managed by a hospital, select this checkbox.

Is this dialysis facility ... hospital-based? (V4)

If the provider is owned or managed by a hospital and on the hospital campus, select this checkbox.

Is this dialysis facility … a hospital … satellite? (V5)

If the provider is owned or managed by a hospital and *not* on the hospital campus, select this checkbox.

Is this dialysis facility located in a SNF/NF (V6)

If the provider is owned and managed by a hospital, select the subordinate checkbox.

Hospital Name (V7), Hospital CCN (V8)

Find Facility button is used to locate and insert the hospital name and CCN if V6 and subordinate checkbox is selected. The CCN must be a valid, active provider number for a category 01 provider (Hospital). Upload is prevented if the CCN is not valid.

Find Facility (Hospital)

Opens the Find Hospitals window, where you can search for a hospital by Facility ID, Name, Former Name, Address, City, County, Zip code, Phone Number, CCN (current and prior), or License Number. Facilities (providers) returned in this search window are limited to category 01 providers (Hospitals) on the state server.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

SNF/NF Name (V9)

Find Facility button is used to locate and insert the SNF/NF name if V6 is selected.

SNF CCN (10)

Required if you select V6. Use the Find Facility button to locate and insert the SNF's 6-digit CCN. This number must be a valid, active CCN for a category 02 (SNF/NF), 03 (S/NF DP), or 04 (SNF) provider.

Find Facility

Enabled when you select V6. Opens the Find Nursing Homes window, where you can search for a SNF by Facility ID, Name, Former Name, Address, City, County, Zip, Phone Number, CCN (current and prior), or License Number. Facilities (providers) returned in this search window are limited to category 02, 03, and 04 providers on the state server.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

Is this dialysis facility owned and/or managed by a multi-facility organization? (V11)

Select if the ESRD facility is owned and/or managed by an organization that owns or leases two or more nursing facilities. If so, select either or both Owned and Managed, and enter the Name (V12) and Address of the parent organization.

Name (V12)

Required if you selected V11. Enter the name of the parent organization that owns and/or manages the ESRD. This is a free form text field.

Address

Address of the parent organization that owns and/or manages the ESRD. This is a free form text field.

CMS-3427 - Part I: V13, V14, V15, V20-30

Current Modalities/Services (V13)

Select all services that the ESRD provides. Specify details in the Remarks section at the end of Part I

For recertifications, you must select at least one service. If any values entered for V20-25 are greater than 0, you must select the corresponding V13 item(s).

For existing federally certified ESRD providers, you can enter and update the following service/modality data on recertifications and Change of Status initial certification kits with an associated desk review (offsite survey), and upload the kits.

- In-center Nocturnal HD (item V14-3)
- In-center PD (item V14-2) AND the facility is already approved for home training and support (item V13-6 = TRUE)
- HD in a Long Term Care facility (item V14-5) AND the facility is already approved for home training and support (item V13-4 = TRUE).
- PD in a Long Term Care Facility (item V14-7) AND the facility is already approved for home training and support (item V13-6 = TRUE).

Any addition of modalities/services not listed above requires an onsite survey. These include the following:

- In-center Hemodialysis (HD) (item V14-1)
- Home HD Training & Support (item V14-4)
- Home PD Training & Support (item V14-6)
- Dialyzer Reuse item (V14-8)
- In-center PD (item V14-2), but facility is not already approved for Home PD Training & Support (item V13-6 is not selected)
- HD in LTC (item V14-5), but facility is not already approved for Home HD Training & Support (item V13-4 is not selected)
- PD in LTC (item V14-7), but facility is not already approved for Home PD Training & Support (item V13-6 is not selected)

New services being requested (V14)

Select all that apply; items 1 and 8 cannot be selected in combination with other items. Specify details in the Remarks section at the end of Part I.

Does the facility have any home dialysis (PD/HD) patients receiving dialysis in long-term care (LTC) facilities? (V15)

If yes, select the checkbox and the Add button is enabled. If the checkbox is deselected and LTC facilities are listed in the grid, a message asks if facilities listed as supported should be removed. If Yes, all currently supported LTCs are removed and the grid is disabled.

Add

Button enabled when V15 is selected. Opens the Shared Dialysis Staffing window, where you add a supported LTC.

Modify

Button enabled when you first select a Nursing Home in the grid. Opens the Shared Dialysis Staffing window for the selected provider so you can make changes.

Remove

Button enabled when you first select a Nursing Home in the grid. Removes the selected provider from the grid after displaying a confirmation prompt.

Number of dialysis patients currently on census

Entries in these fields are required depending on the selections made for Current Modalities/Services (V13). Specify the number of patients receiving the applicable types of dialysis:

In-center HD (V20)

Must have a value greater than 0 if In-center Hemodialysis (HD) is selected in V13.

In-center Nocturnal HD (V21)

Must have a value greater than 0 if In-center Nocturnal HD is selected in V13.

In-center PD (V22)

Must have a value greater than 0 if In-center Peritoneal Dialysis (PD) is selected in V13.

Home PD (V23)

Must have a value greater than 0 if either Home HD Training & Support or Home PD Training & Support is selected in V13.

Home HD <= 3x/week (V24)

V24 and/or V25 must have a value greater than 0 if either Home HD Training & Support or Home PD Training & Support is selected in V13.

Home HD > 3x/week (V25)

V25 and/or V24 must have a value greater than 0 if either Home HD Training & Support or Home PD Training & Support is selected in V13.

Number of currently approved in-center dialysis stations (V26)

Total number of approved in-center hemodialysis stations.

For existing federally certified ESRD providers, you can enter and update dialysis station numbers on recertifications and Change of Status initial certification kits with an associated desk review (offsite survey), and upload the kits.

Onsite home training room(s) provided? (V27)

Select if yes.

None (V28)

No additional stations being requested. If selected, ACO/ARO sets In-center HD, Nocturnal HD, and PD (V29-V31) to 0 and disables them.

How is isolation provided (V29)

Select all that apply: Room, Area, CMS Waiver/Agreement. At least one must be selected.

If applicable, number of hemodialysis stations designed for isolation (V30)

Number of isolation stations.

Shared Dialysis Staffing window

LTC (SNF/NF) facility name (V16)

Name of supported LTC provider. Use the Find button to find and insert the facility name and CCN.

CCN (V17)

CCN of supported LTC provider. Use the Find button to find and insert the CCN and facility name.

Find

You can search for an LTC provider by Facility ID, Name, Former Name, Address, City, County, Zip code, Phone Number, CCN, or License Number.

Staff for Dialysis Provided By (V18)

Select all that apply: This dialysis facility, LTC staff, Other, specify (in text box). Must select at least one.

Note: DME appears in the "Other, specify" text box if DME was selected prior to the ASPEN 10.1.3 release.

Dialysis Type (V19)

Select one or both as applicable: Hemodialysis, Peritoneal Dialysis. Must select at least one.

CMS-3427 - Part I: V31-Remarks

Days/times for in-center shifts or operating hours if home only (V31)

Complete all that apply.

Time (in military, i.e., 24-hour format) that 1st shift starts and last shift ends for each applicable day.

Dialyzer reprocessing system (V32)

Select options that apply: Onsite, Centralized/Offsite, N/A. If N/A, the other two options are cleared and disabled.

Staffing

Number of full-time equivalents for the following categories of clinic personnel: Registered Nurse (V33), Certified Patient Care Technician (V34), LPN/LVN (V35), Technical Staff (water, machine) (V36), Registered Dietitian (V37), Masters Social Worker (V38), Others (V39).

Certificate of Need required? (V41)

Required. Select Yes, No, or N/A.

Remarks

Explanatory information as needed for Part I items.

CMS-3427 Part II

To be completed by the State Survey Agency.

Location

Medicare Enrollment (CMS-855A) approved by MAC/FI? (V42)

Select if the Medicare Enrollment Application (CMS-855A) was approved by the provider's MAC/Fiscal Intermediary (FI).

Type of Survey (V43)

Initial or Recertification is automatically selected as appropriate. For a combined survey, additional applicable types are: Relocation, Expansion/change of services, Change of Ownership, Complaint, Revisit, Other, specify (in text box).

Network Number (V46)

Network number assigned to the ESRD. The networks act as liaisons between the Federal government and ESRD providers.

Application PRTF

Type of Control

Required. Category that best describes the type of entity operating the provider.

Options are:

01 Private Non Profit

02 Proprietary

03 Religious Affiliation

04 Vol. Non-Prof. - Religious Aff.

05 For Profit

06 Non For Profit

07 Corporation

08 State

09 Local Government

Date Attestation Received ...

Required. Date the attestation of compliance was received by the State Medicaid Agency. Must be greater than or equal to 07/01/2001, but cannot be greater than today's date.

Date Attestation Signed ...

Required. Date the attestation of compliance was signed by the PRTF director. Must be greater than or equal to 07/01/2001, but cannot be greater than today's date.

Number of Medicaid residents in the facility

Enter the applicable number.

Number of residents whose benefits are paid by another state

Enter the applicable number.

States from which the facility has received payment ...

Select up to 15 states from which the PRTF has received payment for the psych under 21 benefit.

Facility Certifies that it meets Part 483, Subpart G

Required. Select Yes or No.

Acknowledgment of State Survey Agency's right to conduct an on-site survey

Required. Select Yes or No.

Acknowledgment that new attestation of compliance is required for director change

Required. Select Yes or No.

Director's Name

Required. Enter the PRTF Director’s last name, first name, and middle initial.

State Medicaid Agency

Name of the contact at the State Medicaid Agency and the contact’s telephone number.

Remarks

The State Survey Agency can enter details and explanatory information as needed here.

CMHC Add’l Information

Is this facility a distinct part of a Medicare Provider?

Required. Y/N. Select Yes if the CMHC is a distinct part of a Medicare Provider.

If Yes, you must either type the provider’s CCN, or use the Find Facility button to locate the provider and insert the CCN, which must be valid and active.

Type Control

Required. Select the category that best describes the type of entity operating the provider.

Options are:

01 Proprietary

02 Church Related

03 Nonprofit Corporation

04 Other Nonprofit

05 State

06 Local

07 Federal

Staffing

Number of personnel (full time equivalents) employed Directly and by Arrangement for each applicable category:

MD (Psychiatrist)

MD (Other)

Psychologist

Nurse

Social Worker (B.S.W.)

Social Worker (M.S.W.)

Therapist (Recreational)

Therapist (Occupational)

Therapist (Group)

Other

FQHC Skeleton Form

Is this facility a distinct part of a Medicare or Medicaid Provider?

Required. Y/N. Select Yes if the FQHC is a distinct part of a Medicare or Medicaid Provider.

If Yes, either type the CCN, or use the Find Facility button to locate the provider and insert the CCN, which must be valid and active.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

Is this facility part of a Medicare Approved RHC?

Required. Y/N. Select Yes if the FQHC is part of an approved Rural Health Clinic.

If Yes, either type the CCN, or use the Find Facility button to locate the provider and insert the CCN, which must be valid and active.

You can search within your state or across states, unless (for a cross state search) County, License Number, or Former Name is a search parameter.

Federally Funded FFHC?

Required. Y/N. Select Yes if the FQHC is a Federally Funded Health Center.

Type Control

Required. Category that best describes the type of entity operating the provider.

Options are:

01 Religious Affiliation

02 Private

03 Other

04 Proprietary

05 Government - State/County

06 Combination - Gov & Vol

Upload tab

Prior Certification Kit Uploads

Prior Certification Kit Uploads: Grid

Action

Type of action, i.e., transaction type, can be:

00 Chgdate - changed certification exit date, i.e., Date of Survey (L34) or survey Exit date (X3)

01 Delete - deleted an uploaded kit, RO only

03 Add - uploaded a new certification kit

04 Update - uploaded change(s) to an existing kit

05 Prior - uploaded change(s) to a Prior kit

The traffic light icon is red if the transaction failed, yellow if the transaction is pending, and green if the transaction was successful.

Date

Date of the transaction.

Status

Status codes are:

-1 - Failed

Invalid or missing data detected, transaction terminated.

00 - Pending Upload

Transaction successful, but certification kit not yet uploaded to national.

05 - Upload in Process

Certification kit is in the process of being uploaded to national.

10 - Successful

Certification kit accepted by national.

15 - Failed

Transaction failed at the national level.

By

If the transaction was initiated in ACO, this is the name and Federal ID of the person who initiated the upload. If the transaction was initiated in ARO, "Regional Office" is displayed here.

Error

Type of error.

Transaction ID

Identifier assigned by ASPEN to each transaction uploaded to national.

Sender Type

R (Region) or S (State).

Prior Certification Kit Uploads: Buttons

Prevalidate and Upload

Prevalidates (checks the kit to make sure required information is present and in the appropriate formats), and initiates an upload transaction. This button is disabled when the kit is read-only (locked for use by another user).

Refresh List

Returns the list to the original sort order.

Print Entire List

Prints a Transaction Report listing all upload transactions in ascending or descending order.

Upload Transaction Errors

When you select a transaction that had errors, this section appears and lists the errors.

Examples:

670 WorkLoad for staff [survey] … is not complete.

Regional Office has not approved Validation survey.

You can cut and paste the error information to send to support personnel.

Certification Kit Button Bar

Print

Prints forms depending on selected tab.

Notes

Opens word processor for entering facility notes.

Attach

Opens Survey Attachment Documents window.

View all Non-Confidential Remarks

Opens read-only view of surveyors' remarks from all surveys linked to the certification.

Done

Saves the information and closes the certification window.

Other Certification Fields

Certification Kits (Tracking)

Provider Type

Select the provider type(s) to include.

Status

You can filter this list to show All certifications, Open certifications, or Closed certifications.

Dates

To

You can also specify a date range for the list. ASPEN will show only those kits with a certification exit date between the dates you select.

Set

After choosing Status and Dates, click Set to activate the filter.

Show Kits Modified ...

Select if you want to see only kits that have been modified, but not uploaded again since the last upload. If not selected, all kits meeting current filtering criteria are shown, whether modified or not.

Total Certifications

The number of certification kits listed on the screen.

RO Quick List

When selected, lists certification kits of interest to ROs, i.e., initial and unaccepted flagged kits. Filters settings are ignored.

Cert ID

4-character unique tracking ID for the kit.

Facility

Facility name.

Provider ID

Federally-assigned provider number, i.e., CCN.

Type

Provider type.

Certification Type

Options are: 01 Initial Certification, 02 Recertification.

ODIE

Shows indicators of transaction status, if any. An envelope means at least one attempt has been made to upload the kit. A green checkmark means the kit has been accepted.

Kit Status

Options are: 01 Open, 02 Closed. Status is set on the Certifications & Surveys tab of the certification kit.

Flag

Indicates whether the kit has been flagged for RO review.

Survey Date

This is the certification exit date, shown as Cert Exit in the title bar of the certification kit. For all provider types, it is the Health survey exit date.

CLIA Payment Rcvd

Blank for non-CLIA providers.

Print Tracking Report

Prints information about the listed certification kits, using any filters that have been applied in the Filters section. You can specify Sort Order in the window that appears.

View Highlighted Certification

Opens the highlighted certification for viewing and editing.

Print List

Prints the list of certification kits and details in report form.

Please Specify Transactions To List

Start Date

Enter desired start date of transaction date range.

End Date

Enter desired end date of transaction date range.

Facility Types

Click to open the Filter Select Dialog, which lists the facility types in your active My Selections setting. Select the ones you want; only transactions for the selected types will be displayed.

If you don't select any, you'll receive a message, the checkbox will be cleared, and all facility types–not just those in your selection set–will be included.

Transaction Selection Options

Choose which group of transactions to display. Options are:

- All Transactions for Specified Period (Certifications)
- RO Quick List - Initials and Flagged Kits
- All Failed Transactions With No Following Success
- ODIE Overnight Failures (15s) with No Following Success
- All Failed Transactions For Current Work Unit
- All Transactions for Specified Period (Enforcements)
- All Failed AEM Transactions With No Following Success
- CLIA - All Failed Transactions without a Follow-up Success

Transactions

Start Date

Enter desired start date of transaction date range.

End Date

Enter desired end date of transaction date range.

Selection Criteria

Lets you select from seven groups of transactions. Same as Transaction Selection Options in the Please Specify Transactions window.

Sort Order

Offers three sort order options.

Refresh List

When you change criteria, the checkmark turns red. Click the button to refresh the display to reflect the changed criteria. The checkmark then turns green to indicate the display is current.

Facility Type Filter

Click to open the Filter Select Dialog, which lists the facility types in your active My Selections setting. Select the ones you want; only transactions for the selected types will be displayed.

Cert ID

4-character unique tracking ID for the certification kit.

Facility

Facility name.

Provider ID

Federally-assigned CCN for the facility.

Action

Indicates what kind of transaction was performed. Possible actions are:

00 Chgdate - Changed certification exit date, i.e., Date of Survey (L34) or Health survey Exit date (X3).

01 Delete - Deleted an uploaded kit, RO only.

02 Purge - Deleted a provider, or changed provider type in an Initial kit that's been uploaded.

03 Add - Uploaded a new certification kit.

04 Update - Uploaded change(s) to an existing kit.

05 Prior - Uploaded change(s) to a Prior kit.

06 Implicit Update - Implicitly (automatically) transmitted a change in value.

07 Implicit-Spec - Implicitly (automatically) transmitted changed values as a group.

Send Date

Date the transaction was sent.

Status

Status codes are:

-1 - Failed - Invalid or missing data detected, transaction terminated.

00 - Pending Upload - Transaction successful, but certification kit not yet uploaded to national.

05 - Upload in Process - Certification kit is in the process of being uploaded to national.

10 - Successful - Certification kit accepted by national.

15 - Failed - Transaction failed at the national level.

By

Staff member who entered the transaction. If the transaction was initiated by an RO, "Regional Office" is displayed.

Message

A brief descriptor for failed transactions. Click a failed transaction to open the Upload Transaction Errors window, which has a more complete list of error messages.

Transaction ID

Unique ID given to every upload transaction.

Type

Provider type.

Certification Type

Options are: 01 Initial, 02 Recertification.

Kit Status

Options are: 01 Open, 02 Closed. Status is set on the Certifications & Surveys tab of the certification kit.

Cert Date

This is the Date of Survey (L34).

View Related Certification kit

Button opens the certification kit for the highlighted row.

Print

Prints the transaction data as a report.

Failed and Overdue Certification Kit Uploads

Filter Options

Show items at least x days old

Enter the desired number of days; the default is 45.

Show Items between x and x

Select/Enter the desired date range

Use My Selections filter

Selected by default. Filters the list of certification kits according to your active My Selections settings. If not selected, all applicable certification kits are shown. Checkbox disabled if there is no active My Selections filter.

Refresh List

The checkmark is green on the Refresh List button until you reset filter options. Then it turns red. At that point, click **Refresh List** to update the display according to the new criteria. The checkmark turns green again after you refresh the list.

Failed and Overdue Certification Kit Uploads: Grid

Track ID

Unique identifier assigned to the certification kit by ASPEN.

Provider Number

Provider's CCN.

Created Date

Date certification kit was created.

Exit Date

Exit date of the first visit.

Age (in Days)

Age in days of the certification kit; today's date minus the Created Date.

Facility Name

Name of the provider.

Last Upload Date

Date the certification kit was last uploaded.

Upload Status

Status options are:

Failed/Stalled

The most recent upload attempt failed, or the certification kit was previously successfully uploaded but can no longer be uploaded because of missing or incorrect data.

Overdue

Certification kit is overdue for an upload,i.e., Age is more than 30 days.

Incomplete

Additional data required before an upload can occur.

Certification Kit

Button opens the Certification window for the selected certification kit.

Print

Button prints the displayed list of certification kits as a report.

Surveys (Merge Surveys)

ID

Survey EventID for the listed survey.

Start

Survey start date.

Exit

Survey exit date.

Status

Options are: 01 Open, 02 Closed.

Facility Status Change - ARO

The RO can change the status for these provider types: HOSP-ACU to/from PSY, RHB, CAH, LT, CHD; NH; HHA; ESRD; and RHC.

Facility Requiring Status (Type) Change

Name, Medicare Provider #, City, State ID (FacID), Facility Type

Information from the current provider record.

ODIE termination information for current provider

Termination Code (L30)

07 Provider Change of Status is automatically selected.

Termination Date (L28)

Required. Enter the termination date. Must be after the facility's current Original Date of Participation (L24), and no more than 180 days in the future.

Provider is Changing Status To

New Facility Type

Required. Select the Type from the drop-down list if necessary. In many cases, there is only one choice. This option is disabled for ESRDs and RHCs.

New Medicare Provider #

Required. Enter the provider number, i.e., CCN, for the new facility; must be valid and unique. The sponsor's CMS-2786 form will continue to display the sponsor's CCN. The new provider's CCN is automatically entered on all affiliate records carried forward into the new initial certification kit.

New Original Date of Participation (L24)

Optional. Enter the initial participation date for the new provider type. If entered here, it is carried forward to the new kit.

Define Subunits - HHA

Facility Name

Name of the provider.

Address

Street Address, including Suite or Office number, of the provider.

City

Name of the city in which the provider is located.

Opened

Date the subunit opened.

Closed

Date the subunit closed.

BRHTYPE

Branch type.

Define Subunits: Buttons

Add

Button opens the Facility Relationship Manager, where you can add 04 SUB-UNIT (HAS ID).

Remove

Button removes the selected subunit record without confirmation.

OK

Saves subunit information and exits the Define Subunits window.

Cancel

Closes the Define Subunits window (no operation performed).

Facility Relationship Manager - HHA

Click Add on the Define Subunits window to open the Facility Relationship Manager for an HHA.

Relationship Type

For subunits, the only option is 04 SUB-UNIT (HAS ID).

Related Facility/Branch Description

Facility/Branch ID

Supplied by the system.

Click Here to Find Facility button

Click to locate the subunit. If the subunit is out-of-state, you must do a Cross State Search on the out-of-state Provider Number (CCN). When you find the provider, ASPEN pulls in the other information to complete the screen.

Licensed Only?

Is the related facility licensure only? Not enabled for HHA.

Name

Name of the subunit location.

Address

Street address of the subunit location.

Zip Code

Zip code of the subunit location.

Find button

Disabled for subunits.

City

Subunit location city.

State

Postal code for state of subunit location.

County

County name of subunit location.

Opened

Date subunit opened.

Closed

Date subunit closed.

Contact Information

Telephone

Telephone number of subunit.

Fax

Fax number of subunit.

Contact

Name of contact at subunit.

Emergency Phone

Emergency phone number of subunit.

Survey Fields

Create Health/LSC Survey, Survey Properties

Survey Info

Start date

Start date for the onsite survey. Click the down arrow to display the ASPEN calendar and select the date, or type the date in the format mmddyyyy. A provider should not have more than one survey with identical dates.

This field is disabled for standard surveys associated with Prior certification kits, but you can change revisit start dates.

Exit date (X3)

Exit date of the onsite survey. Click the down arrow to display the calendar in which you can select the date, or type the date in the format mmddyyyy. A provider should not have more than one survey with identical dates.

For LSC surveys, available regulation sets are not shown until you enter this date.

This field is disabled for standard surveys associated with Prior certification kits, but you can change revisit exit dates.

Always uploaded when a survey exists.

Status

By default, the status for a new survey is 1 Open. To change the status to Closed, click the down arrow and select 2 Closed.

IDR/IIDR

Click to open the Informal Dispute Resolution window and enter IDR and, for NHs only, Independent IDR information.

Available by default for Federal NH providers, i.e., ASPEN provider types 021, 022, 023, 024. Available for state-created NH licensure subtypes such as 02L if IDR/IIDR functionality has been activated.

Available for Federal HHA providers, i.e., ASPEN provider types 051, 052 if a COP is cited. Available for HHA licensure types such as 05S if IDR/IIDR functionality has been activated.

TIP: In ARO only, the system administrator can activate IDR/Independent IDR functionality for other facility types, state-only facilities in particular. From the System menu, select Facility Types | Type Maintenance.

For NHs, ICFs/IID, ASCs, ESRDs, Hospices, and some Hospitals, you can create either a Health or an LSC survey. For other providers, you can create only a Health survey.

Shell Only

NH, HHA - Selected by default for new surveys and revisits. When this checkbox is selected, the survey will not be added automatically to an AEM case. When cleared, AEM determines if the survey belongs on an existing enforcement case. If so, AEM automatically adds it to the case.

Users can manually clear this checkbox. ACO will automatically clear it in the following cases:

- 2567/B Complete checkbox selected
- 670 hours entered
- Tags entered (other than 0000 and 9999)
- Correction Dates entered

Note: When a revisit is created, uncorrected tags from the previous visit are carried forward. If tags are added after the initial creation, the Shell Only checkbox is cleared.

If you select the Shell Only indicator when any of the above conditions exist, a warning message indicates that if the survey is on an enforcement case, it will not be removed.

Category

If enabled, indicate the survey category by checking either Health or LSC. You can set the category only when creating a new survey. If you create the survey from within a certification kit, you specify the category in the Initial Survey Type window.

Regulation(s)

Select one or more regulation sets that apply to the survey. The regulations that appear in this list box are determined by selections in the Regulation Set Properties and Define New/Modify Facility Type windows. If you want to add regulation sets to the list, use these two windows.

For Health surveys, only current applicable Federal regulation sets and any applicable state regulation sets for the provider type are listed. You can toggle the display to show additional regulations using Show All (see below).

For LSC surveys, available regulation sets are not shown until you enter the Exit date (X3). By default, the list includes only current Federal regulation sets that apply to the facility's buildings based on the K7 LSC Form Indicator(s) selected for the buildings on the Buildings/Wings tab of Facility Properties.

If you specify both Federal and state survey types (see Type of Survey below), you must select at least one Federal regulation set. You cannot select more than one Federal K regulation set *unless* you have multiple buildings with different LSC Form indicators (K7s). You can select state regulation set(s) as well, but you cannot select only state regulation set(s).

Show All/Filter

This button toggles between a primary (filtered) and secondary (unfiltered) list of regulation sets. The primary list is displayed by default.

For Health surveys–in the most basic case–the primary list displays current applicable Federal regulation sets, and the secondary list adds all state regulation sets.

For LSC surveys, the basic primary list displays current Federal K regulation sets that are available for the facility's buildings. The secondary list adds non-current applicable Federal K regulation sets, the Short Form K regulations, and all state regulation sets.

The applicable regulation sets shown in the primary display for both Health and LSC surveys are determined by selections in the Regulation Set Properties and Define New/Modify Facility Type windows. If a state regulation set is selected for certain provider types, for instance, it will be included in the primary list for those provider types. After a reg set is selected for the survey, whether from the primary or secondary list, it is included in the primary display.

Note: You cannot select multiple versions of the same regulation set for an LSC survey. Selection of a Short Form regulation is prevented if the survey's exit date is on or after the cutoff date, which is currently the effective date of the LSC regulations that were released in November 2016.

Team Roster

IDs and names of surveyors on the survey team. Click the Update button to add or remove surveyors.

Leader

Designates highlighted surveyor as team leader. Disabled in closed surveys.

Update

Accesses the Staff Availability List window, where you can select the surveyors you want on the survey team. You can add out-of-state and other special surveyors (icon has a red jacket) if they have been assigned proper survey rights through the State Working Access system.

A message appears if you select a staff member whose General Staff Type is 02 Clerical/Support (in the Enter/Update Surveyor Information window). You can choose whether to go ahead and add that staff member or not.

A warning message appears when you attempt to remove a team member from a survey when that team member has citations on the survey. You can continue or cancel the removal.

Type of Survey

Click the checkbox next to a survey type to select it. Listed types vary according to provider type and situation. For a complete list of survey types, see "Survey Categories/Types" on page 668.

If a Federal regulation set is linked to the survey, you must select at least one Federal survey type.

You can select a maximum of 5 survey types.

Only ROs can create surveys of type C-Federal Monitoring.

Special surveys are listed after M-Other. They are specific to provider type with the exception of U-COVID19, which is available to all Federal provider types. For details, see "Create a Special Survey" on page 143.

You can select Type M-Other by itself for standalone surveys, i.e., surveys not linked to certification kits or intakes, and not assigned special survey type(s).

Extent(s)

Click the checkbox(es) next to the extent(s) that apply to the survey. Extent options for Federal provider types (except CLIA) are:

A-Routine/Std Survey

B-Extended Survey LTC/HH

C-Partial Ext. Survey

D-Other Survey

E-Abbreviated Survey

F-Offsite/Paper

I-COVID19

Do *not* use the I-COVID19 extent exclusively on a standard survey with a COVID-19 focus; the extent will not upload as an independent transaction. You *must* also select U-COVID19 for Type of Survey.

J-Federal Jurisdictional

W-1135 Waiver

Valid only for SPRDFs and eligible Hospital subtypes. If assigned to other provider types, upload of certification kits will fail. In a certification kit for an SPRDF or eligible Hospital subtype, create a standard survey and assign both F-Offsite/Paper and W-1135 Waiver as extents.

SOD Tracking

SOD Sent

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC. Set to the current date as soon as the SA/RO posts (releases) the survey to the ePOC facility web site.

ACO: Date the Statement of Deficiencies was sent to the provider. Automatically updated if user manually changes SOD Sent Date in POC Properties (ePOC-related screen).

POC Rcvd

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC. Set to the first date the POC for all non-0000, non-9999 tags has been submitted by the provider for the survey.

ACO: Date the Plan of Correction was received from the provider.

Revisit Status

Used by AST. Determines which providers go on the Revisits to be Scheduled list. Shared with the 2567/POC/IDR subtab on the Tracking tab in a related certification kit.

Set by the system to 1-Required for initial surveys with the exception noted below, and to 2-Not Required for revisits. You can manually override the auto-entered value. For licensure-only surveys, you set Revisit Status manually.

Note: If Provides Swing Beds (SF44) = Yes when an initial survey (Type of Survey must be Initial Certification or Recertification) is created for a deemed Hospital, Revisit Status is set to 2-Not Required. If SF44 is changed from No to Yes after the survey is created, Revisit Status is not changed.

When a 2567 Issued date is entered for any survey, Revisit Status is updated to 1-Required, and the survey is flagged for revisit scheduling in AST. You will receive a message if the survey has no correctable citations. You can choose to retain the 2567 Issued date and allow revisit scheduling anyway, or not.

Adm Signoff (X6)

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC. Set to the date when the facility has submitted a Plan of Correction for all deficiencies on a survey that require a POC.

Note: Certification kits including ePOC surveys without federal tags (deficiency-free or only state and/or EP tags cited), which therefore do not require a POC, will successfully upload even if a Signoff date exists.

ACO: Date the administrator signed the POC. Enabled only if correctable citation(s) are present. Required for a successful upload.

NH: Not required for upload when only Past Noncompliance (PNC) tags are present (with or without memo tags 0000 and 9999).

2567/B Entry Complete

ePOC: This date is are automatically entered by ePOC for surveys posted to ASPEN Web: ePOC. Indicates the CMS-2567 or CMS-2567B data entry in ASPEN is complete. Checkbox selected when the survey is posted to ASPEN Web: ePOC if it is not already selected.

ACO: Select this checkbox when all CMS-2567 or CMS-2567B data entry in ASPEN is complete. Shared with 2567/B Entry Complete for the survey in the Surveys grid on the Certification & Surveys tab of a related certification kit.

When selected, an audit record is created. The system retains the date the checkbox was first selected and the date it was last changed (selected or cleared). This audit date cannot be changed. The date is used in national performance reports.

Special Survey Tracking

Checkmark

Red - Survey Not Accepted

Survey has been uploaded to national, but not accepted.

Yellow - Survey Not Uploaded

Survey has not been uploaded to national.

Green - Survey Accepted

Survey has been uploaded to national and accepted.

Black - Pending Delete

Survey is pending delete from national.

A checkmark of the appropriate (not necessarily matching) color also appears on the icon for a special survey in Tree view.

Action

Upload transaction type: 00 ChgDate, 01 Delete, 03 Add or 04 Update.

Date

Date of the transaction.

Status

Status codes are:

-1 - Failed

Invalid data detected, transaction terminated.

00 - Pending Upload

Transaction successful, but survey not yet uploaded to national.

05 - Upload in Process

Survey is in the process of being uploaded to national.

10 - Successful

Survey accepted by national.

15 - Failed

Transaction failed at the national level.

By

Party that initiated the upload.

Error

Type of error.

Transaction ID

Identifier assigned to transaction by the system.

Sender Type

S = State, R = Region

Refresh List

Button returns the list to the original sort order.

Show Edits

Button opens a list of edits associated with the upload transaction.

Responsible Parties

Button opens the Manage Special Survey Responsible Parties dialog, which lets you assign non-surveyors to a special survey as responsible parties. The surnames of the assigned responsible parties are displayed on the Responsible Parties button as they fit. An ellipsis (…) is added if they do not all fit.

QIS Info

Quality Indicator Survey

Displayed only for QIS surveys. Enabled under the following conditions:

- The survey is associated with a nursing home facility.
- The facility is located in a QIS state.

The QIS indicator is not displayed in ASE-Q; all QIS surveys must be initiated in ACO/ARO.

QIS Version

Displayed only for QIS surveys. Read-only; system-generated QIS version number for the survey. Not updated if the start date of a completed QIS survey is changed.

QIS Archived Date

Displayed only for QIS surveys. Date the completed QIS survey was imported back into ACO.

Citation Manager

Citations

Tags cited during the survey. Condition-level tags are displayed in green.

Right-click in this area to give yourself supervisor privileges, delete a citation, view citation properties or POC text, or to rearrange the order of the citations.

A red checkmark appears to the left of a citation in the Citations list if the deficiency has been corrected and a correction date has been entered. Only revisits can have corrected deficiencies *except* standard NH surveys can include corrected PNC deficiencies.

To add a citation, select a tag in the Regulations section and drag it to this section. To edit or view your citation text for a single tag, double-click the tag. If you are in Supervisor mode, you can edit or view all surveyors' citation text when you double-click the tag. To edit or view one citation, double-click the surveyor's name beneath the tag.

NH - Federal tags identified as SQC-eligible in the Regulatory Tag Properties window (right-click tag in Tree view, select Tag Properties) are shown in red (NH only). An SQC deficiency has a scope/severity level of F, H, I, J, K, or L and also falls under one of the following regulatory groupings: Resident Behavior and Facility Practices, Quality of Life, Quality of Care.

CoPs associated with an IJ on this survey

All except NH. Survey-level IJ indicator supports IJ tracking for non-Nursing Home providers. Checkbox is automatically selected if the citation-level IJ indicator in Citation Properties is set to Y for any citation on the survey.

For kits with a certification exit date on or after 06/04/2018, you will receive a message if tag/survey-level and kit-level IJ flag settings do not match.

Show All IJ Citation(s)

All except NH. Click this button to display a list of all condition-level and designated EMTALA standard-level citations on the current survey that have IJ set to Yes in Citation Properties.

Regulations

This section lists the regulation sets that were selected when the survey was originally defined (see "Regulation(s)" on page 594). Tags are listed beneath each set. Condition-level tags are displayed in green.

Bold tags have content library text available. You can add content library text to any tag: right-click the tag, select Edit Content, then click New in the Content Library Tag Text window.

To enter a citation, you must be the active surveyor. You can click a tag and drag it to the Citations field, or you can right-click a tag and click Add Citation.

To view the text of the regulation, tag, or interpretive guideline, right-click the regulation or a tag, then click Regulation Text or Interpretive Guidelines.

Quick Find

If you know the tag number, enter all or part of it in the Find field above the Regulations list, and ACO will locate the tag in the list for you. This function is case-sensitive (upper/lower), so if the tag number is alphanumeric, use the correct case for the alpha characters. If you enter part of a number, start with the left most digit and include leading zeroes.

Double-click the tag in the Regulations list to move it to the Citations section.

Team Roster

The surveyors assigned to the survey. From this list, you can change the active surveyor or change the roster of team members.

Roster

Opens the survey Team Roster window. You can add or remove surveyors from the team, and designate a team leader.

A message appears if you select a staff member whose General Staff Type is 02 Clerical/Support (in the Enter/Update Surveyor Information window in ACO). You can choose whether to go ahead and add that staff member or not.

Activate

Makes the selected surveyor the active surveyor. New citations entered are associated with the active surveyor's name. The active surveyor's name appears in the Survey Information area of the Citation Manager.

To make a surveyor active, click the name or ID in the Survey Team list and then click Activate. Click Yes in the confirmation message.

Remarks-Non-Confidential

Opens the Pre-decision remarks - Non-Confidential window, which displays the selected surveyor’s notes about the survey, if any. You can enter or edit remarks for the surveyor.

If you are in Supervisor mode, the Pre-decision Remarks for Entire Team - Non-Confidential window opens and displays all team members’ remarks. You can enter or edit notes for any listed surveyor.

Survey Information

General information about the survey, including:

Event ID

The ID assigned to the survey by ASPEN. ACO uses this number to identify the surveys and to merge information collected by different surveyors into the same survey record.

Medicare ID

6-digit CCN of the provider being investigated.

Fac ID

State facility ID generated by ASPEN when the provider record is created.

Active Surveyor

New citations entered are attributed to the Active Surveyor. If you are not listed as the active surveyor, click your name in the Survey Team field and then click Activate.

Mode

Displays either Normal or Supervisor. Normal mode means that the active surveyor is on the team and can add citations. Supervisor mode means that the active surveyor opened the Citation Manager as supervisor and can review but not add citations.

Survey Dates

Start and exit dates of the investigation.

Citation Manager: Buttons

Find

Opens the Find window, in which you can type text that you want to find in a citation, a regulation, or an interpretive guideline. Use this feature to find citations that already address a problem, or to find the tag and regulation that applies to a problem you've found.

Forms

Opens the Select Form(s) to print window, from which you can print survey-related forms.

Letters

Opens the Letter Selection window, where you can generate a new letter, or view letter and notification history.

Attach

Opens the Survey Attachment Documents window. You can attach supporting documents and digital pictures to the survey. You can also view existing attachments.

Citation Properties

Severity/Scope

Enter a code from A through L that indicates the combined severity and scope of the problem being cited. If the field is disabled, the tag you are citing does not require this code, or the regulation does not require it for the current provider type. For example, LSC regulation sets require S/S only for NHs.

When a Severity/Scope change is made for a tag anywhere in ASPEN, and the tag currently exists on a revisit survey, a warning notification appears informing users that the tag may require updating on that revisit survey as well.

CMS-2567 forms include the S/S for both Federal and state tags when the following conditions are met:

- you choose to include S/S data
- the S/S option is enabled for the regulation set(s)
- S/S values have been assigned

Grid

Displays the Severity/Scope Grid, with a graphic representation of the codes from A to L. Severity increases from the bottom to the top of the grid, Scope increases from left to right.

CoPs associated with an Immediate Jeopardy?

All except NH. Appears when appropriate for a citation on any federal survey: certification, complaint, special survey, FMS, combined.

Supports IJ tracking for non-Nursing Home providers. Y if there is an IJ situation, N if not.

Displayed for:

- Condition-level citations
- EMTALA citations, i.e., any of the tags A2400, A2404, A2406, A2407, A2408, A2409, or A2410 is cited

When you initially select a condition-level or EMTALA tag in Citation Manager, a prompt asks if an IJ is associated with the citation. The IJ indicator in Citation Properties is set according to your response; it can be changed if needed.

For kits with a certification exit date on or after 06/04/2018, you will receive a message if tag/survey-level and kit-level IJ flag settings do not match.

Correction Date

This field is displayed only for revisits with one exception: it is displayed and enabled if you select the Past Noncompliance indicator (see Past Noncompliance description below) for a citation on a standard NH survey.

It is the date on which the provider corrected the original problem. If multiple surveyors have cited a tag and one surveyor enters a correction date, that date is automatically entered in this field for the other surveyors' cites.

Transplant Hospital - This field is not present because Correction Date is entered at the transplant type level in the Citation Dates by Transplant Type window.

NH - Correction Date is optional for PNC tags, but if entered, must be before the Start date of the survey during which the PNC was discovered.

For *current* noncompliance tags, the Correction Date cannot be earlier than the exit date of the survey on which the tag was first cited, or later than the exit date of the latest revisit that included the tag.

Past Noncompliance

Available only for Nursing Homes when the survey exit date is on or after 11/01/2005. If you select this indicator for a citation on a standard survey, the Correction Date field will be displayed and enabled. PNC tags are not eligible for Refused or Waived status.

You can cite PNC tags on a survey as well as current noncompliance tags. PNC tags are allowed on revisits, but they are not carried forward from the standard survey when you create a revisit.

If a tag in the surveys associated with a certification kit is cited for both current noncompliance and past noncompliance (PNC), the current noncompliance information is uploaded.

Citation Category

This list comes from the Type(s) of Survey that were selected in Survey Properties. Select the category (or categories) appropriate for the current tag.

Building

LSC surveys only - Select the building you are citing. The drop-down includes open buildings that are associated with the current regulation set. The same surveyor cannot cite the same tag more than once for a single building.

The regulation set for each building is determined by the LSC Form Indicator selected when the building was added to the provider record.

POC Received from Facility

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC. Set to the date the Plan of Correction for the current tag was received from the facility.

ACO: Date the Plan of Correction for the current tag was received from the facility.

NH - This field is disabled if the PNC indicator is selected. If this date is entered and then the PNC indicator is selected, the date is removed.

Facility POC Complete (X5)

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC. Set to the date the facility indicates the POC will be completed for the tag.

ACO: Date by which the provider states the deficiency will be corrected.

This date appears as the Completion date (X5) for the tag in the Citation List section of the Certification & Surveys tab. If the date is changed in one location, the change is stored in both locations.

Transplant Hospital - This field is not present because Completion Date is entered at the transplant type level in the Citation Dates by Transplant Type window.

NH - This field is disabled if the PNC indicator is selected. If this date is entered and then the PNC indicator is selected, this date is removed.

Set All Tags to These POC Dates

Applies the POC dates entered for the current tag to all other tags cited in the survey.

NH - Disabled if the PNC indicator is selected. When selected for a non-PNC tag, the date will not cascade to PNC tags.

SA POC Accepted

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC.

ACO: Date the State Agency accepted the POC for the current tag.

NH - This field is disabled if the PNC indicator is selected. If this date is entered and then the PNC indicator is selected, the date is removed.

Transplant Type

Transplant Hospital only - Click to open the Select Transplant Types window and choose the transplant types associated with the citation. The number on the button indicates how many types are currently selected.

You will receive a message if you select a transplant type that is not current for the provider, or if Surveyed for Approval is set to No on the Transplant Programs tab of the certification kit.

A program type is considered current if it is listed in Transplant Program Summary section and Status is: Applied but not Surveyed, Survey in Progress, or Program Approved. The value for Surveyed is also set in the Transplant Program Summary section.

Note: You can select a current program that isn't surveyed for a Complaint-only citation in a combined certification/complaint survey). If the citation is changed from Complaint-only to combined, you will receive a message if transplant types that aren't surveyed are selected.

In the Select Transplant Types window, click the Update Dates button to open the Citation Dates by Transplant Type window and enter Completion (X5) and Correction dates as applicable for each transplant type associated with the citation. The Citation Dates window lists only the transplant types selected in the Select Transplant Types window.

Convert Content Library

Source Reg Set

Text from the source reg set is copied and converted into Content Library entries in the destination reg set.

Destination Reg Set

Source text entries are copied to the destination reg set, unless ACO sees that an entry already exists in the destination reg set.

ACO checks the tag number, tag title, staff name, tag text description, and modified dates as it copies Content Library entries. If these items are the same in the source and destination reg sets, ACO does not make another copy.

Source Regulations

TAG

The TAG column displays the tag number.

of Entries

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

Match

In the Match column of the Source grid, Yes indicates the source tag number exists in the destination reg set, while No indicates it does not. Match is blank for tags without Content Library entries.

Destination Regulations

TAG

The AG column displays the tag number.

of Entries

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

From Tag

The From Tag column in the Destination grid indicates the source tag from which Content Library entries will be transferred.

Convert Content Library: Buttons

Auto-Select

Click to let ACO match the source tags with Content Library entries to destination tags.

Transfer

Click to copy Content Library entries and/or Custom Help to the corresponding tags in the destination regulation set.

Include Custom Help

Select this checkbox to copy Custom Help items, which are converted to Content Library entries in the process.

Close

Closes the Convert Content Library window.

Content Library Tag Text

Predefined text list

Lists existing predefined text entries in the Content Library. If there is already predefined text for the current tag, the tag will be highlighted.

New...

Opens the Input Content Library Tag Text window, so you can type or paste content for a new predefined text item.

Modify

Opens the Input Content Library Tag Text window, so you can edit the existing content for a predefined text item.

Delete

Deletes the selected predefined text item from the Content Library. You will be asked to confirm.

Insert

Inserts the selected predefined text item into the Citation word processor at the cursor's location.

Close

Closes the Content Library Tag Text window.

Others Cites

List of citations

Lists all citations of the current tag by surveyors in your state's ACO database. It includes citations of the tag across regulation set versions for any provider and any survey. For each citation, listed data includes the survey Event ID, Regset ID, Tag number, provider name (Description), Surveyor name and ID, scope/severity (S/S), and the survey Exit Date.

Citation Text

Opens the read-only Text window showing the text of the selected citation.

Regulation

Opens the Regulation Text window so you can read the actual regulation text for the current tag.

Interpretive Guide

Opens the Interpretive Guidelines Text window so you can read the guidelines for the current tag.

POC Tracking

This window appears only for surveys that are not ePOC-posted. For information about ePOC, see the ePOC guides for facilities and CMS (*ASPEN Web electronic Plan of Correction* and *ASPEN electronic Plan of Correction*, respectively).

POC Tracking: Grid

POC Due

Defaults to the 2567 Issued date + 10 days.

Received POC

Date the POC was actually received.

POC Status

Indicate whether the POC was Accepted or Not Accepted.

POC Status Date

Date the POC Status was entered. If POC Status is Accepted, this is entered as the POC Approved date for the investigation survey in the Investigation and Survey section on the Investigation tab of the intake.

POC Revised Due Date

Enabled if POC Status is Not Accepted. Date the revised POC is due.

Letter

Button opens the Notices History window, where you can see the letters that have already been sent concerning the investigation, and select a new letter to send.

Delete

Button deletes POC dates in the selected row.

POC Notes

A text editor in which you can enter notes about the POC process.

Informal Dispute Resolution

Can be accessed for:

- Federal NH providers (ASPEN provider types 021, 022, 023, 024)
- Federal HHA providers, i.e., ASPEN provider types 051, 052 if a COP is cited. IIDR is not available for HHAs.
- State-created NH licensure subtypes such as 02L activated for IDR/IIDR
- State-created HHA licensure types such as 05S if IDR functionality has been activated.
- Other state-defined providers activated for IDR/IIDR

Request Received

Date the IDR/Independent IDR request was received from the provider.

Scheduled

Date the IDR/Independent IDR was scheduled to be conducted.

Conducted

Date the review occurred.

Conducted By

Name of the individual or entity conducting the IDR/Independent IDR review.

Withdrawn

If the request for IDR/Independent IDR was withdrawn, the date the withdrawal was received.

Completion

Date the results of the review were formally sent to the provider.

IDR/IIDR Type

Options are:

01 Desk Review

02 Phone Review

03 Face to Face Review

Additional Doc. Rec'd from Provider

Date additional documentation was received from the provider.

Revised 2567 Date

New CMS-2567 date.

POC Required

ePOC: Automatically selected as applicable by ePOC for surveys posted to ASPEN Web: ePOC.

ACO: Otherwise, select if applicable. Activates the POC Received field.

POC Received

ePOC: This date is automatically entered by ePOC for surveys posted to ASPEN Web: ePOC. Set to the date when the facility has submitted a Plan of Correction for all deficiencies on a survey that require a POC.

ACO: Date the POC was received from the provider.

Show Attendees button

Opens the Select Attendees window, which shows who attended the review. You can add or remove attendees.

IDR/IIDR Notes

Enter relevant notes about the IDR/IIDR in this text editor.

Survey Citation IDR/IIDR Status grid

Shows current IDR/IIDR status and related information for each tag cited in the selected survey.

IDR Add Tag button

Opens the Select Team Member window, then opens Select New Tag window to let you add a new tag when there is a determination that a new citation should be added as a result of IDR.

Citation

Tag number and description.

Cert

Selected if the tag was cited as part of a certification survey (Certification is selected in Citation Properties).

Complnt

Selected if the tag was cited as part of a complaint survey (Complaint Investig. is selected in Citation Properties).

IDR Status, IIDR Status

Two drop-down lists of status options. This field indicates changes to a citation as a result of IDR. Options are:

01 None

IDR/Independent IDR not requested for the citation. This is the default IDR/IIDR status.

02 Requested

IDR/Independent IDR requested but not completed for the citation. Tags with a status of 02 are not included in uploads to national.

03 No Change

IDR/Independent IDR performed, state determines no change warranted.

04 Tag Change

IDR/Independent IDR determined citation should be moved to different tag. Original tag is considered removed, new tag cited. Original tag will not be printed on survey forms.

05 Tag Removed

IDR/Independent IDR determined tag should be removed. Original tag will not be printed on survey forms.

06 S/S Change

IDR/Independent IDR determined new Scope/Severity level warranted. New S/S value will be printed on survey forms.

07 Examples Removed

IDR/Independent IDR determined evidence should be changed.

08 S/S Change/Examples Removed

Combines 06 & 07.

09 New Tag at IDR

IDR/Independent IDR determined a new citation is warranted.

10 Request Withdrawn

Provider withdrew IDR/Independent IDR determined request before review.

11 Result of Tag Change

HHA IDR only. Status assigned to tag that replaced a tag with IDR/IIDR Status = 04.

Citations with an IDR/IIDR status of 01, 03, 06, 07, 08, 09, 10, or 11 are included in uploads to national. Citations with an IDR/IIDR status of 02, 04, or 05 are not uploaded.

Citations moved to another tag or removed due to IDR/Independent IDR are excluded from a number of printed forms/reports:

- CMS-2567 and CMS-2567B
- Quick Report (draft CMS-2567)
- Severity/Scope Grid
- Severity/Scope Summary (SSS) and Detail (SSD)
- Administrator Survey Performance (ASP)
- Owner Survey Performance (OSP)

Final SS

Final Scope/Severity level for the tag. S/S changes due to IDR and Independent IDR are allowed on the same tag. The Final S/S value defaults to the latest S/S change, but you can change it. A warning is issued if Final S/S does not match S/S After IDR or After IIDR.

Orig SS

When Scope/Severity level changes as a result of IDR/Independent IDR, the original level is stored in this column.

SS Before IDR

Scope/Severity level for the tag before IDR.

SS After IDR

Scope/Severity level for the tag after IDR.

SS Before IIDR

Scope/Severity level for the tag before Independent IDR.

Scroll to the right to see additional fields.

IDR Changed To

If the tag changes as a result of IDR, this column shows the new tag number.

IIDR Changed To

If the tag changes as a result of Independent IDR, this column shows the new tag number.

Evidence

Opens a read-only view of the surveyor's findings about the tag.

IDR Request Reason

Select the primary reason given by the provider for requesting IDR. If new information is offered for a tag, select 05 New Information Available as the primary reason.

IIDR Request Reason

Select the primary reason given by the provider for requesting Independent IDR. If new information is offered for a tag, select 05 New Information Available as the primary reason.

Corrected

The Correction Date entered in Citation Properties.

IDR Reason for Decision

Indicate the primary reason for the IDR decision. Select 01 No Change when there is no change to the citation. If there is more than one reason for a change, and if 02 Additional Information Provided is one of them, always indicate one of the others as the primary reason.

IIDR Reason for Decision

Indicate the primary reason for the Independent IDR decision. Select 01 No Change when there is no change to the citation. If there is more than one reason for a change, and if 02 Additional Information Provided is one of them, always indicate one of the others as the primary reason.

Undo IDR

Click button to undo the assigned IDR Status and return it to the default 01 None.

Undo IIDR

Click button to undo the assigned IIDR Status and return it to the default 01 None.

Print button

Click to print the IDR/IIDR details as a report.

Survey Attachment Documents

Event

This field is blank for a facility attachment, contains the Event ID of the survey for a survey attachment, and contains the Track ID of the certification kit for a certification attachment.

Description

User-defined description of the attachment. A description is required before you can attach a file.

File Name

File name and extension of the attachment.

Attachment Date/time

Date and time of attachment are automatically entered.

Category - Survey and Certification Kit attachments only

Select a Category if needed. For example, select Immediate Jeopardy if attachment is associated with an IJ survey.

Attach/View

Button adds a new attachment, or views an existing attachment. Some attachment types open minimized, so check your Task bar if you do not see your attachment full screen.

Filter by category - Survey and Certification Kit attachments only

Only displays attachments assigned the selected category.

ePOC Attachments (#)

Enabled only for ePOC-enrolled providers. Opens the ePOC Attachments window to display SA/RO survey attachments and files the facility attached via ASPEN Web: ePOC to support POC(s) for the selected survey until final POC approval. If attachments exist, a number is displayed on the button.

Note: This button is not displayed in facility or certification-level versions of the window, all of which are titled Survey Attachment Documents.

Delete

Deletes the selected attachment. You will be asked to confirm the deletion.

Select Form(s) to print

Standard Reports

The forms you can print from this window are:

CMS 2567

Generates the Statement of Deficiencies and Plan of Correction for the survey. When you select this form, the Customize Survey Report Form window lets you can customize the report as needed.

Citations moved to another tag or removed due to IDR/Independent IDR and/or hearing/settlement are excluded from CMS-2567. If state tags are cited, they print separately on the State Form (CMS-2567).

CMS 2567B

Generates the Post Certification Revisit Report. Citations moved to another tag or removed due to IDR/Independent IDR and/or hearing/settlement are excluded from CMS-2567B. If state tags were cited and the deficiencies corrected, they print separately on the State Revisit Report (CMS-2567B).

CMS 670

When you select CMS 670 and click OK, the Form 670 Print Preferences window appears. You can indicate whether you want a combined report or separate CMS-670s. For a combined survey–a recertification and a complaint/incident investigation, for instance–you can choose to print a separate CMS-670 for each survey type (category), or combine the data for the survey types you select into one CMS-670 report. State licensure hours cannot be combined with Federal survey hours.

670 Entry

Button opens the CMS 670 Workload Detail window, which lists the IDs and names of surveyors on the survey team, and their hours. You can also enter State and RO clerical hours from this window. This information is required for a successful upload.

CMS 1539 (C&T)

For non-certification surveys, generates the Federal Medicare/Medicaid Certification and Transmittal Report for the survey.

1539 Entry

Opens the C&T 1539 window for non-certification surveys, where you can enter information that will print on the CMS-1539. For certification surveys, you must enter CMS-1539 information on the Transmittal (CMS-1539) tab of the certification kit.

CMS 1557

CLIA labs only. NA for non-CLIA providers.

1557 Entry

CLIA labs only. NA for non-CLIA providers.

You can also print two reports:

S/S Grid

Shows the distribution of citations by severity/scope level. Citations moved to another tag or removed due to IDR/Independent IDR and/or hearing/settlement are excluded from the Severity/Scope Summary (SSS) and Detail (SSD) reports.

Quick Report

Prints a draft of information that will be included on the CMS-2567. Useful for reviewing citation text before printing the final CMS-2567. Citations moved to another tag or removed due to IDR/Independent IDR and/or hearing/settlement are excluded from the Quick Report.

Customize Survey Report Form

Include Surveyor ID Numbers

Prints the ID numbers of survey team members.

Include Severity and Scope Data

Prints the S/S code for each tag (Federal and state) beneath the tag number if the S/S option is enabled for the regulation set(s) and S/S values have been assigned.

Depending on provider type, this option may or may not be selected by default. For example, it is selected for NHs, but not for ESRDs (since it’s not applicable).

Include Tag 9999

Prints Tag 9999 comments. Selected by default.

Include Team List on Last Page

Includes the survey team roster on the last page of the form.

Include POC Text

Prints the Plan of Correction. Selected by default.

Only Active Surveyor's Info

Includes only the active surveyor's citations on the form.

Use Original Name

Prints the form using the provider's prior name.

Use Large Font

Prints the form in a larger font size.

Print Instructions

Includes the Instructions for Completion of the CMS-2567 form as the cover page.

Print Citation Summary Page

Prints a list of citations on the survey titled Statement of Deficiencies Citation Summary Sheet on a page preceding the form.

Print Special Tags Separately

Prints separate CMS-2567 reports for EMTALA and/or Swing Bed tags. Selected by default.

Exclude Watermark (POC Not Final/Pending Acknowledgement)

Suppresses printing of the watermark:

- POC Not Final on an ePOC-posted survey with tags that not yet been approved
- Pending Acknowledgement on a survey with tags 0000/9999 only, or if Scope/Severity = A or PNC

Enabled only for ePOC-posted surveys.

Combine

Click to include more than one survey type, regulation set, or building on the same form. If the survey contains multiple regulation sets (or buildings if LSC), ASPEN normally produces a separate CMS-2567 for each one. Use the Combine function to combine regulations or buildings on one form.

You cannot, however, combine Federal and state regulations on the same form. If state tags are cited, they print separately on the State Form (CMS-2567), or, for corrected state deficiencies, on the State Form: Revisit Report (CMS-2567B).

Staff Availability List

The list of staff members is filtered by the Work Unit setting in the current My Selections set.

The list of staff members is also filtered by the Facility Type setting in the current My Selections set in ACO and by Allowed Facility Types in the Enter/Update Surveyor window, so that only active surveyors who are eligible to work on currently displayed provider types are included:

- *if* you have AST installed
- *and if* "Use facility types of active selection" is selected on the Scheduling tab of My Preferences in AST. It is deselected by default, so you must select it and then click the Save Settings button.

If these conditions are not met, the list of staff members in the Staff Availability List window is not filtered at all by provider type.

Show Staff By Disciplines

Lets you filter the list of staff members by discipline. Click the ellipsis button to open the Additional Federal Titles window and select the discipline(s) you want. For example, to display only surveyors, select 09 Generalist Surveyor.

Show Staff by Assigned Provider Categories

Lets you further filter the list according to provider categories assigned to staff members. Click the ellipsis button to open the Allowed Facility Categories window, and select the provider category(s) you want.

TIP: If you have AST installed, the list of facility categories will be filtered by the Facility Type setting in the current My Selections set in ACO if "Use facility types of active selection" is selected on the Scheduling tab of My Settings in AST. It is deselected by default.

Show Terminated Staff

Includes terminated staff members in the list.

Ignore Work Unit Filter

Select if you want to list staff members regardless of the Work Unit filter setting in the active My Selections set.

Right Arrow icon

The arrow icon indicates the focus is on the current row, i.e., the user has clicked in this row.

Pencil icon

The pencil icon indicates the user has clicked in the checkbox to the right to select or deselect the staff member.

Surveyor icon

Current staff member.

Special Surveyor icon

Special surveyor. You can add out-of-state and other special surveyors to survey teams if they have been assigned proper survey rights through the State Working Access system.

Terminated Surveyor icon

Terminated staff member.

StaffID

ID assigned in Enter/Update Surveyor Information window.

Name

Name of staff member from Enter/Update Surveyor Information window.

Work Unit

Work unit assigned in Enter/Update Surveyor Information window.

Primary Discipline

Federal Title assigned in Enter/Update Surveyor Information window.

Other Disciplines

If "Yes" is on the button, click to show Additional Federal Titles assigned to the staff member in the Enter/Update Surveyor Information window.

Facility Type Qualifications

Shows Allowed Facility Categories assigned to the staff member in the Enter/Update Surveyor Information window.

TIP: To assign a staff member to particular facility type(s): in the Enter/Update Surveyor window, click the Employee Details tab and select the Allowed Facility Types.

Show Schedule

Button shows Scheduled Activities for the staff member from AST. "Yes" appears on the button if the surveyor has a scheduling conflict with the dates of the current survey.

Conflict of Interest

Button shows Conflict(s) of Interest specified for the staff member in the Enter/Update Surveyor Information window. Yes” appears on the button if the surveyor has a current conflict of interest with the provider to be surveyed.

Special Surveyors

Button opens the Find Special Surveyor window where you can search for and select a special surveyor to add to the list of available surveyors. You can add special surveyors to survey teams if they have been assigned proper survey rights through the State Working Access system.

CMS 670 Workload Detail

For a combined survey, you can enter hours spent for each portion of the survey, and print either separate or combined 670 forms. If State Licensure is combined with an initial certification, recertification, or complaint/incident investigation/survey, the State Licensure row in the CMS-670 grid is disabled due to existing CMS-670 guidelines.

Staff Name

Each surveyor’s name and unique 5-digit ID is on a shaded row. Surveyors listed are those that are on the Team Roster in Survey Properties.

Category Description

Survey category. Those listed are the Type(s) of Survey specified for the survey in Survey Properties. For a complete list of survey types, see “Survey Categories/Types” on page 668.

Lead

Indicates the survey team leader. You can select only one.

On Team (A)

Select this checkbox for each category of survey in which the surveyor participated. You cannot enter hours for a survey category, and the surveyor is not included on the printed 670 for a survey category until you select this checkbox.

Arrival (B)

The date the surveyor arrived at the facility. Start date is brought forward from Survey Properties. If you change the Arrival date, it must be on or before the survey Exit date (X3), and you should also manually update Start date in Survey Properties.

Depart (C)

The final date the surveyor departed from the facility. Exit date (X3) is brought forward from Survey Properties. If you change the Depart date, it must be on or before X3, and you should also manually update X3 in Survey Properties.

Pre-Survey Hours (D)

Number of hours the surveyor spent preparing for the survey. Includes phone calls, conferences and paperwork. Enter hours to the nearest quarter hour.

Pre-survey hours are optional except for one surveyor on the team.

On-Site hours (E), (F) and (G)

The number of working hours the surveyor spent onsite, in the specified time frames. There must be at least one entry in either (E), (F) or (G) for each surveyor on the team *unless* the standard survey is offsite. Enter hours to the nearest quarter-hour.

Travel (H)

Hours (entered to the nearest quarter-hour) the surveyor spent traveling from home to site or office to site (the lesser of the two). ACO expects travel hours when onsite hours have been entered.

Off Site (I)

Hours (entered to the nearest quarter-hour) the surveyor spent offsite working on the survey and preparing reports.

Off Site hours are optional except for one surveyor on the team.

Print

Button opens the Form 670 Print Preferences window, where you can choose to print either separate or combined 670 forms.

Office Hours

Button opens the Form 670 Input Office Hours window, for entry of supervisory and clerical hours for both SA and RO. Also use this window to indicate whether or not a Statement of Deficiencies was given to the provider at the completion of the survey.

Office hours are required for upload.

As in the CMS 670 Workload Detail window, office hours can be split among different portions of a combined survey.

Set All Hours

Button copies the selected team member’s hours to all the other members of the team.

When there is more than one survey type/category (e.g., recertification and complaint), hours are copied from the selected surveyor to those surveyors who have the On Team box selected for those types.

Create Followup

Start date

Beginning date of the revisit.

Exit date (X3)

Date the revisit is completed. You cannot create multiple followups with the same exit date for the same survey.

Shell Only

NH, HHA - Selected by default for new surveys and revisits. When this indicator is selected, the survey will not be added automatically to an AEM case. When a revisit is created, uncorrected tags from the previous visit are carried forward. If tags are added after the initial creation, the Shell Only checkbox is cleared.

Team Roster

IDs and names of members of the survey team. Click the Update button to add or remove surveyors.

Update

Button opens the Select Surveyors window, where you select the surveyors you want to add to the team roster. You can also add out-of-state and other special surveyors from this window if they have been assigned proper survey rights through the State Working Access system.

A message appears if you select a staff member whose General Staff Type is 02 Clerical/Support (in the Enter/Update Surveyor Information window). You can choose whether to go ahead and add that staff member or not.

Carry Text Forward

Select this box to copy all the surveyor tag text into the followup survey.

Failed and Overdue Special Survey (SRVY) Uploads

Filter Options

Show items at least x days old

Enter the desired number of days; the default is 14.

Show Items between x and x

Select/Enter the desired date range

Use My Selections filter

Selected by default. Filters the list of special surveys according to your active My Selections settings. If not selected, all applicable special surveys are shown. Checkbox disabled if there is no active My Selections filter.

Refresh List

The checkmark is green on the Refresh List button until you reset filter options. Then it turns red. At that point, click the button to update the display according to the new criteria. The checkmark turns green again after you refresh the list.

Failed and Overdue Special Survey Uploads: Grid

Event ID

ID assigned to the survey by ASPEN.

Provider Number

Provider's CCN.

Exit Date

Final date of survey as entered in Survey Properties.

Age (in Days)

Age in days of the survey; today's date minus the Exit Date.

Facility Name

Name of the provider.

Last Upload Date

Date the survey was last uploaded.

Upload Status

Status options are:

Failed

The most recent upload attempt failed, or the survey was previously successfully uploaded but can no longer be uploaded because of missing or incorrect data.

Overdue

Survey is overdue for an upload, i.e., Age is more than 14 days.

Incomplete

Additional data required before an upload can occur.

Survey Properties

Button opens the **Survey Properties** window for the selected survey.

Print

Button prints the displayed list of surveys as a report.

FMS Tracking

Provider Type

Provider type(s) for which you want to display FMS events. The type(s) selected by default are those specified in your active selection set.

Deselect All / Select All

Button toggles the selected provider types between none and all.

FMS Exit Date ... to

Enter the starting FMS Exit Date and the to (ending date) to filter listed FMS events by a range of FMS survey exit dates.

Revisits Only?

Select checkbox to include only FMS revisit events (Health and LSC).

FMS Type

To filter listed FMS events by type, select the desired type.

State

Select a state (or multi-state entity) to view FMS events for that state/entity. The first option is All States in Region followed by states in the current region in alphabetical order, then the other states in alphabetical order with All (for all states) as the first option in that section.

CCN

Enter the CCN of a provider to view FMS events for that provider only.

Apply Filter Settings

Button refreshes the list of FMS events according to the filters you specified.

FMS Events grid

Shows FMS records filtered according to your specifications.

This grid includes the following columns:

- Upload Pending (Y or N)
- In Casper (Y or N)
- CCN (Provider #)
- Facility Name
- City
- State
- Provider Category
- FMS Type
- FMS Extent

- FMS Health Exit
- FMS LSC Exit
- State Survey ID
- Assoc. State Exit
- Significant Citation Difference (Y or N)
- Health Event ID
- LSC Event ID
- State Event ID

Add

Button opens the FMS Add/Update window where you can create a new FMS record.

Modify

Button opens the FMS Add/Update window where you can modify the FMS record selected in the FMS Tracking grid.

Delete

Button deletes the selected FMS record.

View Upload Transactions

Button opens the FMS Transactions window for the FMS event selected in the FMS Tracking grid. It lists prior uploads and transaction errors for the FMS record.

FMS Reports

Drop-down list of reports you can print using the Report button.

Report

Button prints the report selected in the FMS Reports drop-down list.

FMS Add/Update

CCN (Provider Number), Name, Address, City, State, Zip

Provider information is entered from Facility Properties. Read-only.

Type of Federal Survey

Type of Federal survey you plan to conduct.

Options are:

A Comparative

> **Note:** If an LTCSP Comparative survey is exported from ARO to ASE-Q, the linked state survey and its associated LTCSP information are included.

B Observational

C Complaint

D Reconsideration

E Special Cytology Survey

F Federal Jurisdictional

G Validation

H Look Behind

I Other Federal Survey

J Federal Followup

Extent of Federal Survey

Select the extent of the Federal survey. The options vary according to provider type. LSC options are not listed for providers that do not receive LSC surveys.

For FMS surveys created prior to ASPEN 11.0.0, the existing Extent options are still available for legacy surveys:

1 Full with LSC

2 Full without LSC

3 Partial with LSC

4 Partial without LSC

5 Full LSC Only

For new FMS surveys in ASPEN 11.0.0 or later, only the following survey extents are available:

6 Full Health

7 Partial Health

8 Full LSC

In Casper

Automatically selected if the FMS record was successfully uploaded to the national reporting system (CASPER).

Upload Pending

Automatically selected if a manual or automatic upload transaction for the FMS record from ARO was sent, but the record hasn’t yet been uploaded to national.

Federal Survey

Health/LSC

Always enabled for all provider types. Click to enable View Survey and View Citations buttons if you want to view survey properties and citations of a linked Health or LSC survey. If you click either indicator and a survey of that type is not linked, the indicator is selected but nothing happens.

Event ID

Read-only. Event ID of the Federal Health or LSC survey linked to the FMS record. Entered from Survey Properties.

Note: If an LTCSP Comparative survey is exported from ARO to ASE-Q, the linked state survey and its associated LTCSP information are included.

Start Date

Read-only. Start date of the Federal Health or LSC survey linked to the FMS record. Entered from Survey Properties.

Exit Date

Read-only. Exit (X3) date of the Federal Health or LSC survey linked to the FMS record. Entered from Survey Properties.

Select

Click to locate (or create) and link a Health or LSC survey to the FMS record. The two buttons are enabled or not depending on Extent of Federal Survey:

Extent	Health	LSC
Full Health	X	N/A
Partial Health	X	N/A
Full LSC	N/A	X
Full with LSC	X	X
Full without LCS	X	N/A
Partial with LSC	X	X
Partial without LSC	X	N/A
Full LSC Only	N/A	X

View Survey

Click the Health or LSC indicator first. Button provides a read-only view of the Survey Properties screen for the selected survey. Not enabled if a survey of the selected type is not linked to the FMS record.

View Citations

Click the Health or LSC indicator first. Button (enabled only if a survey of the selected type is linked to the FMS record) provides a read-only view of citations in the Citation Manager. Read-only except that the Forms button is enabled so that you can update 670 data if necessary.

Build Workload History (LSC)

LSC only. Obsolete. If you press this button and workload data is already present, you will receive a message. Otherwise, nothing happens.

State Agency Survey

Event ID

Read-only. Event ID of the state survey linked to the FMS record. Entered from Survey Properties.

Note: If an LTCSP Comparative survey is exported from ARO to ASE-Q, the linked state survey and its associated LTCSP information are included.

Start Date

Read-only. Start date of the state survey linked to the FMS record. Entered from Survey Properties.

Exit Date

Read-only. Exit (X3) date of the state survey linked to the FMS record. Entered from Survey Properties.

Select

Click to locate and link a related state survey to the FMS record.

Survey Date (L34)

Read-only. Exit date (X3) of related state Health survey linked to the FMS event on national.

Match Occurred

Automatically selected if the system found a matching state survey having an exit date within 30 days of the Federal survey created and linked to the FMS event.

Was an interregional survey conducted

Select **Yes** or **No**.

Inter. Region Code

Enabled if an interregional survey was conducted. Select applicable interregional visiting region code.

Survey finding requires preparation of CMS-2567

Required. Select **Yes** or **No**.

Report was sent to state agency

Select **Yes** or **No**.

Date Sent

Enabled if a report was sent to the state agency. Enter the date the report was sent.

Significant differences noted between region and state

Select **Yes** or **No**. Indicate if substantial differences, e.g., in the number of citations or tags cited, exist between the Federal and state surveys.

CMS-2567 Sent to Facility

Select **Yes** or **No**. This field is enabled only if the Federal Survey type is A Comparative or B Observational.

Date Sent

Date the CMS-2567 was sent to the provider after the FMS survey (comparative or observational) was conducted. Required if CMS-2567 Sent to Facility = Yes.

Complaint was Substantiated

Select **Yes** or **No**. Enabled only if Type of Federal Survey is C Complaint.

Contractor Usage

Select the checkbox to indicate is the Federal survey was partially or fully contracted. You can only select one option.

Conditions/Standards

Enabled only if Extent of Federal Survey = 3 Partial with LSC or 4 Partial without LSC and a Federal survey (Health and/or LSC) is linked to the FMS record. Lists the Condition and Standard level tags (if any) in the Federal regulation set(s) assigned to the linked survey(s). Select the tags that you plan to check for compliance on the survey(s).

NH - Condition and Standard level tags are listed only if Extent is 3 Partial with LSC and an LSC survey is linked to the FMS record. It doesn’t apply for Health visits.

Associated Regulations

The regulation set(s) assigned to the linked Federal survey(s). Extent of Federal Survey must be 3 Partial with LSC or
4 Partial without LSC.

NH - Applicable only if Extent is 3 Partial with LSC and an LSC survey is linked to the FMS record. If a Health survey is linked to the FMS record, the regulation set(s) assigned to it are listed, but no tags appear in Conditions/Standards.

Upload

Button initiates an upload of the FMS record.

Data Transfer Fields

Export

Aspen Transfer Location

A drop-down list of transfer locations to which you can export the data; usually the roots of the A and C drives.

Other Location

If you want to use a transfer location not specified above, enter the complete path to the export destination, or click the binoculars icon to browse to that location.

Survey Export

Survey List

Lists all the surveys selected for export with Event ID, Provider Name, Fac (Facility) ID, and Last Updated by Source and Destination (user, date, time) for each. Updates may be by transfer or changes made in the application.

Select the surveys you want to send to the transfer destination. If you exported a survey, only that survey is listed and it is selected by default. If you chose to export a provider, all surveys associated with that provider are listed; no survey is selected by default.

Select All

Selects all surveys in the list.

Select None

De-selects all surveys in the list.

Include related LCSP Surveys

Displayed in ARO only and only when an LTCSP comparative survey is exported. Select to include the linked state survey and its associated LTCSP information.

For complete information about LTCSP comparative procedures:

See the *LTCSP User's Guide*, which is posted on the QTSO website at https://qtso.cms.gov.

Include attachments

Select or deselect to include or exclude attachments in the transfer; selected by default.

Continue with Export

Select this button or press Enter to continue the export process.

Always Use Source: No/Yes

Button toggles between No and Yes. If No (the default), you will be prompted to resolve conflicts between the export source and destination. If Yes, source values will be used for all data fields.

Cancel Export

Select to stop the export process.

Finalize Transfer

Apply

Completes the export/import process.

Cancel

Cancels the export/import process.

Transfer Log

Lists items transferred and merged.

Letter Export

Letter Type

Select the type of letter templates to list for possible export. The default is All.

Letters

Lists all letter templates of the specified type. Select the letters you want to send to the transfer destination.

Check All

Selects checkboxes for all letters in the list.

Uncheck All

De-selects checkboxes for all selected letters.

Check Highlighted

Selects checkboxes for all highlighted letters.

To multi-select letters to highlight, use Shift+click to select consecutive letters or Ctrl+click to select non-consecutive letters.

Uncheck Highlighted

De-selects checkboxes for all selected highlighted letters.

Aspen Transfer Location

A drop-down list of transfer locations to which you can export the letter templates; usually the roots of the A and C drives.

Other Location

If you want to use a transfer location not specified above, enter the complete path to the export destination, or click the binoculars icon to browse to that location.

Import

Import Type options

Click an option to tell ACO/ARO to import surveys or regulations. If you are importing letter templates, these options will be disabled.

ASPEN Transfer Location

A drop-down list of transfer locations to which you can import the survey. ASPEN Transfer Locations are usually the root of the A and C drives.

Zip or mdb file

If the transfer file is in a location not specified in this screen, enter the complete path here, or click the binoculars to browse to that location.

Merge fields

Show Different Fields

Shows only fields that differ between the source and destination transfer files.

Show ALL Fields

Shows all fields being exported.

Select Source ACO/ACTS

Overwrites Destination Value with Source Value for an individual field.

Select Destination Transfer File

Keeps the Destination Value for an individual field.

Continue With Transfer

Saves the current values and continues the data transfer.

Use All Source ACO/ACTS

Overwrites Destination Value with Source Value for all fields with differing values.

Use All Dest Transfer File

Keeps Destination Value for all fields with differing values.

Cancel Transfer

Halts the transfer process.

Multiple Row Merge

Source Transfer Files

Contents of files that you are exporting.

Destination Transfer Files

Contents of existing transfer files.

Check All Source

Check to include only Source rows in merge.

Autoselect

Reverts to default selections. All Source rows are selected by default as are Destination rows that do not conflict with Source rows.

Check All Destination

Check to include only Destination rows in merge.

Continue With Transfer

Saves current merge selections and continues with transfer.

Cancel Transfer

Halts the transfer process.

Merge Text

Source

Contents of file that you are exporting.

Destination

Contents of existing transfer file.

Replace Destination

Replaces all the Destination text with all the contents of the Source text.

Append Selected

Appends the text you highlight in the Source pane to the end of the text in the Destination pane.

Insert Selected

Inserts the text you highlight in the Source pane at the position of your cursor in the Destination pane.

Restore Original Destination

Undoes any changes you made to the Destination text.

Save Final Version

Saves your changes. If more than one citation has been changed, another Merge Text window opens for the next citation.

Cancel

Closes window without saving changes.

Notices Fields

Notices History

Letter History section

Lists summary information about letters generated for the current certification kit or survey including: date Created, Letter ID, letter Description, Intake Number, Status (Batched/Printed), and Locked status (Yes/No).

Intake Number is entered for intake-level letters but not survey-level letters. If a letter has been added to the print batch, Status = Batched. Otherwise, Status = Printed whether or not the letter has been sent to a printer.

View/Print

Button opens the selected letter in the letter or ASPEN word processor depending on the WP version of its template (New or Old respectively), so you can view and re-print if necessary. Click a letter to select it before clicking this button.

New

Button opens the Select Letters and Distribution Lists window, so you can select the letter you want to send and its recipients.

Modify Date

Button opens the Modify Letter History Date window, so you can change the date the letter was sent if necessary.

Delete

Button deletes the selected letter from the intake's letter history.

Lock/Unlock

Button toggles to let you lock a letter so it is read-only, or unlock a locked letter. You can use button-level security to limit the availability of the Unlock function to system administrators or other designated individuals.

Notification History

Lists notifications that have been made concerning the current certification kit or survey. You can include or exclude (more likely) letters listed in the Letter History section.

New

Button opens the Notification Type window, where you specify the type of notification, the party sending it, the method (telephone, written, or email) and the date. All fields are required.

Modify

Button opens the Notification Type window for the selected notification so you can make changes.

Delete

Button deletes the selected notification from the intake's Notices History.

Select Letters and Distribution Lists

Show All

When you open Select Letters and Distribution Lists from a facility, ACO displays only Facility type letters by default. If you open the window from a survey or Citation Manager, the default display is of Survey letters. Select this checkbox to show all letters.

Form Letter section

Lists letter templates from which custom form letters can be generated. You can modify individual letters before sending them. To create new form letter templates that will be added to this list, select Letter Management from the System menu.

Distributions section

Lists possible recipients for the letter. The list includes recipients from the ACO Distribution List (System Menu | Lookup Values | Distribution Lists) and the provider.

Set Action

Button toggles through the action options for the selected recipient: Letter (sends the letter to the recipient), cc (sends a copy with a notation on the main letter that a copy has been sent to this recipient), bcc (sends a copy with no indication on the main letter that a copy has been sent), or blank (no action).

Preview

Opens the letter in the letter or ASPEN word processor depending on the WP version of its template (New or Old respectively), where you can make changes. Once you print the letter from the word processor, it is added to the intake's Letter History.

Notification Type

Type

Select a type for the notification from the pre-defined list.

To modify the list: from the System menu, select
Lookup Values | Dictionary | NOTIFICATION | NOTIFYTYPE, then make your modifications.

Party

Indicate whether the notification originated from the 01 Central Office, 02 Field Office, or 03 CMS Regional Office.

Method

Options are: 01 Telephone, 02 Written, 03 E-mail.

Date

Enter the date of the notification.

Letters

Show Views

Select this checkbox to include templates designated as "views" on the list (ISVIEW = 1). Views are not letter templates. CMS maintains all views except State Prompts, which SAs can modify as needed.

Letter Type

Select the type of letter templates to list in the grid. The default is All.

Columns in grid

Letter ID

Unique identifier generated by ACO.

Description

Brief description of the letter template.

WP Ver

Indicates whether the template and its content was created in ASPEN 6.5 or later using the letter word processor (New), or prior to ASPEN 6.5 using the ASPEN word processor (Old).

Letter Type

This field is required when you create a new letter template. When you generate custom letters, the default list displays Survey templates.

Federal

Yes/No. RO users can designate a letter template as Federal. Federal letter templates can be modified only in ARO.

Top/Bottom Margin

You can specify margins when creating the template.

Page Header/ Page Footer

Text of header and/or footer.

Page Num in Header/Page Num in Footer

Indicates whether or not page numbers are in the header and/or footer of the template.

Logo

Yes/No. Indicates whether an Old template contains a logo. Logos are added to Old templates via the Logo button in the Letter Desc window. Not applicable for New templates; value is always No.

HasOrigLett

If 1, letter was converted from the “old” ASPEN word processor to the “new” letter word processor and it can be rolled back to the original format, if desired.

ISVIEW

Indicates the item is a view rather than a letter template. Views are not letter templates. CMS maintains all views except State Prompts, which SAs can modify as needed.

Letters: Buttons

New

Opens the Letter Desc window, where you specify the attributes of new letters.

Modify

Makes changes to letter attributes of selected template.

Delete

Deletes selected templates from the database. You are asked to confirm.

Use Shift+click to select a consecutive group of templates to delete, or Ctrl+click to select multiple non-sequential templates.

Text

Opens the letter or ASPEN word processor, depending on the WP version of its template (New or Old respectively), where you can add or modify text in the selected template.

Note: Federal letter templates (attributes and content) can be modified only in ARO.

Letter Desc

ID

Unique identifier generated by ACO.

Description

Brief description of the letter. 40 characters are permitted, but you may have to scroll to the right in the Letters screen to see the last several characters if the description is longer than 35 characters or so.

TIP: To group similar letters together, provide descriptions that sort together alphabetically. You could, for example, assign prefixes that will group and list the templates in the desired order.

Letter Templates

List of CMS templates available when creating a new enforcement template (Letter Type 04) only.

Top/Bottom margin

Enter a value in inches.

Disabled for New letter templates.

Page Number in Header

Checkbox to inserts “Page x of x” in the header, left aligned.

Disabled for New letter templates.

Header Text

Button adds header text to Old letter templates and even inserts letter macros (merge codes). Font is 10 pt Times New Roman, and cannot be changed.

Disabled for New letter templates.

Start Header on Page

Specify the first page on which you want the header to print.

Disabled for New letter templates.

Page Number in Footer

Checkbox to inserts “Page x of x” in the footer, left aligned.

Disabled for New letter templates.

Footer Text

Button adds footer text to Old templates and even inserts letter macros (merge codes). Font is 10 pt Times New Roman, and cannot be changed.

Disabled for New letter templates.

Requires Specific Visit Info

For enforcement templates (Letter Type 04) only, select if the letter contains references to a specific survey.

Requires Specific Intake Info

For enforcement templates (Letter Type 04) only, select if the letter contains references to a specific complaint/incident intake.

ENF Letter Class

For enforcement templates (Letter Type 04) only, select one or both options: Federal, State Licensure.

ENF Letter Class

For enforcement templates (Letter Type 04) only, select the applicable options. This enables AEM to put the letter on short lists in appropriate areas. You still have access to all enforcement letters.

Federal Letter

ARO - Regional Office staff can indicate whether the letter is a Federal letter and should be available only to RO personnel.

Letter Type

Required. Choices are: Survey, Complaint, Facility, Enforcement, CMS Enforcement.

When you send a letter from an intake, the default list shows only Complaint letters, from survey windows you will see Survey letters, and so on. You can select the Show All checkbox to display all letters if you need to.

Logo

Button inserts a file containing a bitmap of your agency's logo.

Disabled for New letter templates.

Notification Type

Enabled only for Complaint letters. Whenever a Complaint letter is generated from a template with Notification Type specified, a notification record is automatically added to the Notification History section in the Notices History window.

Facility Type tab

Assigns facility types to the letter template. Select the "Letter appears" checkbox, then select the desired facility types. When you generate a letter, only letters assigned to the current facility type will appear. You can select the Show All checkbox to display all letters if you need to.

Distribution List

Contains the following information about each recipient:

Distribution List: Grid

Distribution

A user-defined description of the recipient.

Recipient

Recipient's name.

Recipient Address

Recipient's address.

Default CC

Yes or No. Indicates whether this recipient is set to receive a copy of all complaint correspondence by default. You can change this when you print individual letters.

Distribution Type

Entered in Distribution window. Options are:

01 Attorney

02 Media Contact

03 DOJ Contact

04 Fiscal Intermediary (i.e., MAC)

99 Other

Distribution List: Buttons

New

Adds a new recipient to the Distribution List.

Modify

Modifies information for selected recipient.

Delete

Deletes the selected recipient.

Distribution

ID

Required. 3 characters alphanumeric. Once the record is saved, this ID cannot be changed.

Type

Required. Options are:

01 Attorney

02 Media Contact

03 DOJ Contact

04 Fiscal Intermediary (i.e., MAC)

99 Other

Description

A brief description of the recipient.

Recipient

Recipient’s full name.

Salutation

Salutation (title) you may want to use in letter macros (merge codes). Options are:

Ms.

Mr.

Mrs.

Miss

Dept

Enter an agency Department, if applicable.

Address

Street Address, including Suite or Office number.

City, State, Zip

City, state, and Zip code for recipient.

E-mail

Recipient's email address.

Distribution Type

Required. Select the appropriate type. Options are:

1 Facility

2 Complainant

3 Representative

4 Other

CC by Default

Checkbox sets the default recipient (person or agency) to receive copies of all complaint correspondence. You can change the cc setting when you send individual letters.

Letter word processor

File menu

File menu options are:

Save

Save As - The only format supported for Save As is RTF.

Page Setup

Print Preview

Print

Save & Exit

Exit

Edit menu

Standard editing tools such as cut and paste, find and replace.

View menu

Lets you choose among several view layouts, display headers and footers, choose toolbar display preferences, and set zoom level.

Insert menu

Options are:

File

Image

Object

Page Break

Page Number

Format menu

Define and change character and paragraph formats, set tab stops, apply bullets, define and apply styles, and choose text and background color.

Table menu

Options for creating and customizing tables.

Tools menu

Access a spell checker and thesaurus.

Save & Exit

Button saves the document and exits.

Print icon

Opens the Print dialog window.

Find icon

Opens the Find dialog window.

Cut icon

Removes selected text from the letter and pastes it into the Windows clipboard.

Copy icon

Copies selected text to the Windows clipboard.

Paste icon

Pastes the contents of the Windows clipboard into your text at the insertion point.

Undo icon

Undoes the last action performed.

Spell Check icon

Opens the spell checker.

Thesaurus icon

Opens the Thesaurus dialog.

Bold/Italic/Underline icon

Applies bold/italic/underline attributes to the selected text.

Alignment icon

Applies left, right, centered, and justified alignment to the selected text.

Bullet icon

Inserts a bulleted paragraph.

Number icon

Inserts a numbered paragraph. Use to create numbered lists or steps.

Tab Stop icons

Sets left, right, decimal, and center tab stops.

Setup and Maintenance Fields

New Filter

Facility Type tab

By default, all items are included until you define selections.

Activate

Select the checkbox at the top to activate the filter grid for the tab.

Include Deemed Provider

Select the checkbox to include deemed providers in the new selection set.

Facility Types

Select the provider types to include in the selection set.

Office/Location tab

By default, all items are included until you define selections.

Activate

Select the checkbox at the top to activate the filter grid for the tab.

Grid

Select the office or location of management units to include in the selection set.

Work Unit tab

By default, all items are included until you define selections.

Activate

Select the checkbox at the top to activate the filter grid for the tab.

Grid

Select the work units to display in the selection set.

Bed Size tab

By default, all items are included until you define selections.

Activate

Select the checkbox at the top to activate the filter grid for the tab.

Bed Count from/to

Enter the bed count range to include in the selection set.

County tab

By default, all items are included until you define selections.

Activate

Select the checkbox at the top to activate the filter grid for the tab.

Grid

Select the county or counties to include in the selection set.

Operation Status tab

By default, all items are included until you define selections.

Activate

Select the checkbox at the top to activate the filter grid for the tab.

Grid

Select the provider operating status to include in the selection set.

Congress tab

By default, all items are included until you define selections.

Activate

Select the checkbox at the top to activate the filter grid for the tab.

House District

Select the congressional districts and/or individual representative to include in the selection set.

Senate District

Select the senator and/or district(s) to include in the selection set.

Survey tab

By default, all items are included until you define selections.

Activate

Select the checkbox at the top to activate the filter grid for the tab. Filter will only be active on the Survey Tree.

Survey Type grid

Select the survey type(s) to include in the selection set.

All

Select this option to include all survey types.

Survey Status

All

Selected by default. Open and closed surveys will be included.

Open Surveys

Select this option to include open surveys only in the selection set.

Closed Surveys

Select this option to include closed surveys only in the selection set.

Date Select

By default, all items are included until you define selections.

All

Select this option to include all date ranges.

Surveys within [] days

Enter a number. Surveys with exit dates within the specified number of days will be included in the selection set.

Surveys from [date] to [date]

Enter a date range. Surveys with exit dates within the date range will be included in the selection set.

State Region tab

By default, all items are included until you define selections.

Activate State Region Filter

Select the checkbox at the top to activate the filter grid for the tab.

State

Select the state to include in the selection set.

list of

Options are dependent on selected state and region.

Filter Attributes

These two fields appear at the bottom of the New Filter window.

Public

If you are creating a personal selection, the Public checkbox is blank and disabled. For a global selection, it is selected and disabled, so no user can clear it.

Filter Name

Type a name in the Filter Name field for the selection set.

Action Item Filter Settings

Date

Date range options for filtering the display of action item messages.

You can show messages for all dates, for a specified number of days, or for a specified date range. The default is all dates.

Status

Select Open if you want to see only open action item messages. Select Closed to see only closed action item messages. By default, both open and closed action item messages are displayed.

Type

This section lists the various types of action item messages. Select the type(s) you want to display.

Staff

This section lists the recipients whose action item messages you will see when this filter is active. The action items will all be filtered according to the criteria specified for this filter.

Public

Select this checkbox to make the action item filter available to other users.

Filter Name

Required. Type a brief descriptive name for the action item filter.

Facility Node Groups

Groups grid

The Facility Node Groups grid displays a list of currently configured groups.

Group Properties

Display Value

The label displayed for the group.

Low

The low value that you want to include in the group.

High

The high value that you want to include in the group.

Group Properties: Buttons

Save

Select to save changes and continue.

Undo

Select to undo changes or additions since the last save.

New

Select to create a new group.

Delete

Select the group to remove and click Delete.

Facility Resident Node Groups

Groups grid

The Facility Resident Node Groups grid displays a list of currently configured groups.

Group Properties

Display Value

The label displayed for the group.

Low

The low value that you want to include in the group.

High

The high value that you want to include in the group.

Group Properties: Buttons

Save

Select to save changes and continue.

Undo

Select to undo changes or additions since the last save.

New

Select to create a new group.

Delete

Select the group to remove and click Delete.

Resident Node Groups

Groups grid

The Resident Node Groups grid displays a list of currently configured groups.

Group Properties

Display Value

The label displayed for the group.

Low

The low value that you want to include in the group.

High

The high value that you want to include in the group.

Properties: Buttons

Save

Select to save changes and continue.

Undo

Select to undo changes or additions since the last save.

New

Select to create a new group.

Delete

Select the group to remove and click Delete.

State Customization

State Survey Form (CMS-2567 Equivalent) Information

State Agency grid

Agency

Working name used throughout ASPEN to identify the provider.

Acronym

Initials of State Agency.

Address

Street address of the provider.

City

Name of the city in which the provider is located.

State

2-character postal code for the state in which the provider is located.

County

County Code for the county where the provider is located.

Zip

9-digit Zip+4 code for the provider.

Telephone

Phone number of the provider, including area code.

State Survey Form (CMS-2567 Equivalent): Buttons

Add

Opens the State Agency Entry window where you can add a state agency to the grid.

Modify

Opens the State Agency Entry window to modify the selected state agency in the grid.

Delete

Deletes the selected state agency in the grid.

SA Default

Select the agency you want to use as the SA Default.

RO/CO Default

Select the agency you want to use as the RO/CO default.

Regulation

Enter the term your state uses to refer to regulations.

Form Footer

Enter the text you want printed in the Form Footer of the CMS-2567.

ID Used for State Forms

Select the appropriate ID Used for State Forms.

State

Abbreviation

Select the two-character Abbreviation for your state.

ePOC

Enable ePOC for

Select the survey type(s) to enable for ePOC. Options are:

Health and LSC

Health Surveys

LSC Surveys

Not Applicable

Default Search Preference for ACO Find Facility Function

The selected option defines the facility search preference for both ACO and ACTS.

Name

When the Find function is used to search for a facility in ACO, Name (working) will be the initial search type; in ACTS, it will be Search By Name(working).

Provider Number

When the Find function is used to search for a facility in ACO, CCN will be the initial search type; in ACTS, it will be Search By Provider Number.

Resident Assessment View Control

Exclude discharges [ ] days

To exclude recent discharges from resident assessments, enter the number of days.

When users view resident assessment information, they will not see discharges that have occurred within the given number of days.

Activate Supervisor Calendar View of Other Staff

Select the Activate Supervisor Calendar View of Other Staff to let users with supervisor rights view the AST personal calendar of other users.

Enable Facility Type Security

Select the Enable Facility Type Security checkbox if appropriate.

Enable Guidance

Select the Enable Guidance checkbox to activate Hover Guidance in ASPEN applications.

Set Encryption File Password

The Set Encryption File Password function is obsolete.

Enter/Update State Staff Titles

State Staff Title Values grid

Code

Title code for the description.

Description

State title description.

State Staff Titles: Buttons

New

Opens the Enter New State Staff Title window.

Modify

Opens the Modify State Staff Title window.

Delete

Removes the title from the database. If the title is in use, i.e., it's assigned to one or more staff members, you won't be able to delete it.

Enter New State Staff Title

Code

Enter the title code. You cannot edit the title code after saving the record.

Description

Enter the state title description.

Modify State Staff Title

Code

Read-only. You cannot edit the title code after saving the record.

Description

Edit the state title description.

Audit Trail

Audit Trail: Grid

Date Changed

Date and time the record was changed.

Employee ID

Last Name, First Name of the employee who made the data change.

Table Name

Name of the table in which the data change occurred.

ID

Login ID of the employee making the data change.

Operation

Type of data change. Options are: Added, Modified.

Column Name

Column in the table where the data was modified.

Column Description

Description of the column in the table where the data was modified.

Old Value

The previously entered data value.

New Value

The updated data value.

Audit Trail: Buttons

Print

Opens the List Print window.

Get Audit History

Opens the Audit History Select window for you to enter a date range.

Filter Audits

Opens the Filter Audit Records window to narrow your search results.

Done

Closes the window.

Account Administration

Staff ID

Alphanumeric ID assigned to an employee who isn’t a Federal surveyor.

Terminated

Indicates whether staff member is terminated, Yes/No.

Staff Name

Employee name.

Team ID

ID of Work Unit to which staff member is assigned.

ASE Login

Unique ASE-Q login ID.

ACO Login

Unique ACO login ID; read-only.

Allow Assessment

Select to let the employee view MDS 3.0 data for nursing home residents in ASE-Q.

Allow QIS

Select to let the employee access the integrated QIS Tool in ASE-Q.

Allow Complaint

Select to let the employee view complaint information in ASE-Q.

Allow ASE Admin

Not currently active. It may be used in the future.

Account Administration: Buttons

Set ASE = ACO Login

Sets the ASE Login for the selected staff member(s) to their ACO Login.

Toggle Assessment

Toggles the Allow Assessment checkbox for the selected staff member(s). If multiple staff members are selected, Allow Assessment is toggled for each.

Toggle QIS

Toggles the Allow QIS checkbox for the selected staff member(s). If multiple staff members are selected, Allow QIS is toggled for each.

Toggle ASE-Q Admin

Toggles the Allow ASE-Q Admin checkbox for the selected staff member(s). If multiple staff members are selected, Allow ASE-Q Admin is toggled for each.

ASE User Export

Personnel

View

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

Personnel: Grid

Staff Name

Select the surveyors whose user accounts you want to export.

Program Unit

The surveyor’s program unit.

Staff ID

The surveyor's staff ID.

Has ASE Login

Indicates if the ASE User has an assigned ASE Login. Options are: Yes, No.

Export File

Browse

Locate and select the user transfer file, or type in the location of the file.

The default transfer filename is ASEUSERTX.ZIP. You can change the name if you wish, e.g., to create different user transfer files for use on different laptops. On import, ASE-Q will check the transfer file to confirm it contains personnel records, then import the records.

Check Highlighted

When multiple unchecked ASE users are highlighted, selecting this button adds a checkmark to the highlighted users.

Uncheck Highlighted

When multiple checked ASE users are highlighted, selecting this button adds a removes the checkmark from the highlighted users.

Other Fields

Find

Text

Enter all or part of alphanumeric text (name, ID, street address, etc.) that you want ACO/ARO to locate.

Type options

Click an option to tell ACO/ARO which field to search for the text you entered. If you entered a county name, for instance, select County.

The initial Type default in ACO (when Find is accessed from all tabs except Directory) can be Name (of provider) or CCN (aka provider number or Medicare #/number/ID); there isn't a default in ARO. To change from one to the other in ACO (and ACTS), go to the System menu and select System Configuration | State Customization and make the change. The default when Find is opened from the Directory tab is Search By Surveyor's Name.

For subsequent searches, Type will default to the last option selected until you close the application.

You can choose whether to include closed facilities in Search Results.

Find Now

Button locates the matching record(s). Results are shown in the Search Results box.

Filter

This section appears in the Find window when accessed from the Alpha or Type tab in Tree view. The selected Filter option persists from session to session.

Select Filtered to include in Search Results only those items specified in your active selection set (e.g., facility type) and allowed by your facility type permissions (if you are searching for a provider).

Select Show-All to display all items meeting the search criteria. This is the initial default. However, if you select an “inappropriate” item in the Search Results list, e.g., a provider of a facility type not included in your active selection set, you will receive a message and be denied access.

Search Results

All records that match the search string and selected Filter option (see above) are listed in this area.

Go To Facility

Highlight an item in the Search Results area and click this button to go to that item in the Tree, as allowed by the current Filter option. Or, double-click an item and ACO/ARO will locate it in the Tree for you.

Report Preview

Export icon

Opens the Export window, where you select a format and destination for the report. Standard Crystal Reports options are available.

Print icon

Send the report to the printer. This opens your system’s default Print window so you can select print options.

Toggle Group Tree icon

Show/hides the report's group tree. When the Group Tree is displayed, you can use it to navigate through your report's data.

First Page icon

Go to the first page of the report.

Previous Page icon

Go to the previous page in the report.

Next page icon

Go to the next page in the report.

Last Page icon

Go to the last page of the report.

Page x of x pages

Shows which page is currently in view out of the total number of pages in the report.

Stop Loading

Stop processing. Used when you want to cancel processing of long reports.

Refresh

Updates the report data.

Search Text

A convenient Find tool for locating text or numbers in a report. Type in an alphanumeric string, then click the binoculars to have ACO locate that string in the report.

Magnification Level

Permits you to set an exact magnification level for viewing. The number represents the percentage of actual page size.

ASPEN word processor

File menu

File menu options are:

Save

Export

Import

Insert Backup File

Print

Page Setup

Print Preview

and (when applicable) Complainant Prompts

Edit menu

Standard editing tools such as cut, paste, and search.

Format menu

Change fonts, apply bullets, adjust paragraph and tab settings.

Bold/Italic/Underline icon

Applies (respectively) bold, italic, and underline attributes to the selected text.

Font Color icon

Applies color to selected text.

Alignment icons

Apply left, center and right alignment to the selected text.

Spell Check icon

Opens the Check Spelling window, from which you can check your text.

Import icon

Opens the Import window, from which you can import a text or RTF file.

Save icon

Disabled. Click OK to save your notes.

Find icon

Opens the Find dialog window.

Cut icon

Removes selected text from the letter and pastes it into the Windows clipboard.

Copy icon

Copies selected text to the Windows clipboard.

Paste icon

Pastes the contents of the Windows clipboard into your text at the insertion point.

Undo icon

Undoes the last action performed.

Tab Stop icons

Sets left, right, decimal, and center tab stops.

Supporting Materials

CCN and State Facility ID

The changes, if any, that must be made to the CCN and State Fac ID in various scenarios are spelled out below.

HHA Subunit to/from Parent

Certification Action

- Update subunit and parent provider information on the CMS-1572A screen in ASPEN and upload to national.
- No survey required

CCN

- No change

Fac ID

- No change

Assessment Rules

- No action required

SNF to/from NF

Certification Action

- Terminate SNF or NF
- No survey required
- Certify NF or SNF

CCN

- Create new provider record and CCN
- Cross ref to previous provider's CCN

Fac ID

- No change

Assessment Rules

- No action required

Comments

- Use the Change Facility Status option in ARO

Change of Ownership

A CHOW may be with or without assignment of the provider agreement.

CHOW With Assignment

Certification Action

- Assign agreement to new owner
- Change owner name and indicate CHOW in national/ASPEN
- No survey required

CCN

- No change

Fac ID

- No change

Assessment Rules

- No action required

CHOW Without Assignment

Certification Action

- Terminate old provider agreement
- Survey
- Certify new provider
- New provider agreement

CCN

- Create new provider record and CCN
- Cross ref to previous provider’s CCN

Fac ID

- New Fac ID

Assessment Rules

- Discharge and re-admit

Merger of Two Medicare Providers

Certification Action

- Terminate non-surviving provider agreement and number

CCN

- Retain surviving provider's CCN
- Cross ref to non-surviving provider's CCN

Fac ID

- One Fac ID survives

Assessment Rules

- Discharge from non-surviving provider and re-admit to surviving

Medicare-certified to Private Pay

Certification Action

- Terminate Medicare provider agreement

CCN

- Terminate CCN

Fac ID

- No change

Assessment Rules

- Discharge all

Private Pay to Medicare-certified

Two scenarios are possible when a private pay provider switches to Medicare-certified:

- Provider has never been Medicare-certified
- Provider was previously Medicare-certified and then terminated

Provider Never Medicare-certified

Certification Action

- Survey
- Certify new provider
- Issue provider agreement

CCN

- Create new provider record and CCN

Fac ID

- No change if Fac ID already established in ASPEN

Assessment Rules

- Admit all

Provider Previously Medicare-certified

Certification Action

- Survey
- Certify new provider
- Issue provider agreement

CCN

- Create new provider record and CCN

Fac ID

- New Fac ID because existing Fac ID already has a CCN associated with it

Assessment Rules

- Admit all

Comments

- Fac ID cannot have two associated CCNs

Medicare HHA or NH with State-licensed Components

In this scenario, a Medicare HHA or NH has two separate state-licensed components.

Certification Action

- Certify as one Medicare provider
- Survey entire provider

CCN

- One CCN for entire Medicare provider

Fac ID

- One Fac ID for Medicare provider
- Additional Fac IDs in ASPEN, OASIS, or MDS for the same provider prohibited by CMS

Assessment Rules

- All assessments tied to the one Fac ID for the Medicare provider

Adding a Second Hospital-based SNF or NF

Certification Action

- Prohibited under Medicare & Medicaid regs

Comments

- Additional SNFs or NFs must be freestanding

Hospital-based SNF to Freestanding

Certification Action

- No change
- No survey
- Update to F/S in national/ASPEN

CCN

- No change

Fac ID

- No change

Assessment Rules

- No action required

Certifying a Distinct Part SNF within an NF

Certification Action

- No survey
- Terminate NF
- Certify as SNF/NF with DP

CCN

- Create new provider record and CCN
- Cross ref to previous provider's CCN

Fac ID

- No change

Assessment Rules

- Carry forward with Fac ID

Comments

- Use the Change Facility Status option in ARO

Provider Moves to Another Address

Certification Action

- Survey at SA/RO discretion
- Change address in ASPEN

CCN

- No change

Fac ID

- No change

Assessment Rules

- No change

Hospital Changes Subtype to/from Short Term

In this scenario, a Short Term Hospital changes to Psych, Distinct Part Psych, Long Term, Rehab, Childrens, Religious Non-Medical *or* vice versa.

Certification Action

- Terminate previous hospital as a provider status change
- Survey (State or TJC/AOA) at RO discretion
- Certify new provider type

CCN

- Create new provider record and CCN
- Cross ref to previous provider's CCN

Acute Care (ACU) to Critical Access Hospital (CAH)

Certification Action

- Terminate ACU
- Certify as CAH

CCN

- Create new provider record and CCN for the CAH
- Cross ref to previous provider's CCN

Fac ID

- No change

Assessment Rules

- Carry forward with Fac ID

ESRD Changes Subtype

For detailed information, see SOM Section 27791.

Certification Action

- Terminate current subtype
- Certify new subtype

CCN

- Create new provider record and CCN
- Cross ref to previous CCN

Fac ID

- No change

Assessment Rules

- No action required

Comments

- Use the Change Facility Status option in ARO

Provider-based RHC to/from Freestanding

Certification Action

- Terminate current subtype
- Certify new subtype

CCN

- Create new provider record and CCN
- Cross ref to previous CCN

Fac ID

- No change

Assessment Rules

- No action required

Comments

- Use the Change Facility Status option in ARO

Survey Categories/Types

Abbreviations for survey types used in the:

- Survey Category column in certification kits (Certification & Surveys tab/Survey List)
- Category Description field in the CMS 670 Workload window

are listed below along with the corresponding Type of Survey from Survey Properties where available types depend on circumstances.

Note: Only "Other" types are abbreviated in the Category Description field.

RECERT = I-Recertification

INCERT = E-Initial Certification

CMPIVT = A-Complaint Investig.

REVST = D-Follow-up/Revisit

VALID = G-Validation

LICEN = K-State Licensure

INLIC = 1-Initial Licensure

RELIC = 2-Re-Licensure

CMPLI = 3-Licensure Complaint

FEDMON = C-Federal Monitoring

IOC = F-Inspection of Care

LSC = H-Life Safety Code

SANCT = J-Sanctions/Hearing

CHOW = L-Change of Owner

DUMP = B-Dumping Investig.

OTHER = M-Other

MDS = N-MDS

DMNTA = O-Dementia Care

ADVEVT = P-Adverse Events

QAPI = Q-QAPI

DSCHRG = R-Discharge Planning

INFCTN = T-Infection Control

COVID = U-COVID19

For a list including CLIA-specific types:

Refer to the latest version of the *CLIA 116 and Certification Procedures Guide,* which is posted on the QTSO website at https://qtso.cms.gov.

Survey Pending Date

When field information in certification kits is updated in ACO, it is transmitted to the national reporting system via explicit or implicit transactions. Explicit updates to the corresponding fields in the national reporting database occur when the certification kit in which the changes were made is uploaded from ACO to the national reporting system. Implicit updates are automatically sent to the national reporting system; the kit does not need to be uploaded.

The Survey Pending Date is not visible to the user. It is set in the database to the survey exit date when an initial or recertification survey shell (type E or I) is created, and it is sent to the national reporting system overnight as an implicit transaction. It is also set for validation surveys.

Any changes to the exit date in the standard survey are sent to the national reporting system as implicit updates of the Survey Pending Date. It is not updated by revisits.

If the survey or certification kit is deleted, the Survey Pending Date value is removed from the national reporting database. It is also removed when the certification kit is accepted.

Since a facility may not move with a survey pending, changes to the Zip code, or City and State tied to the Zip code are not permitted if there is a Survey Pending Date for the facility. If a certification kit with a pending survey is deleted or successfully uploaded from ACO and the Survey Pending Date therefore cleared, the Zip code/City/State for the facility can then be changed.

Facility Types that Can Be Deemed

Facility Types that can be deemed including the following:

Category	Provider Type
011	Short Term Hospital
012	Psychiatric Hospital
013	Rehabilitation Hospital
014	Critical Access Hospital
015	Long Term Hospital
016	Childrens Hospital
018	Distinct Part Psych Hospital
01u	Medicaid-only Short Term Hospital
01v	Medicaid-only Children’s Hospital
01w	Medicaid-only Children’s Psychiatric Hospital
01x	Medicaid-only Psychiatric Hospital
01y	Medicaid-only Rehabilitation Hospital
01z	Medicaid-only Long-term Hospital
051	Home Health Agency (HHA) - Medicare/Medicaid
052	Home Health Agency (HHA) - Medicaid Only
081	Outpatient Physical Therapy/speech Pathology Services
091	End Stage Renal Disease Facilities (ESRD)
121	Rural Health Clinics
141	Comprehensive Outpatient Rehabilitation Facilities
151	Ambulatory Surgical Center
161	Hospice

Note: All Hospitals can be deemed except 017 RHNCI, 019 NON-PARTICIPATING, and 01T TRANSPLANT.

Hospital Certification

Data requirements and collection procedures for Hospital certification vary depending on deemed status, Hospital subtype, swing bed status, and other factors. The following tables show supported Hospital subtypes, allowed surveys for Hospital subtypes, and allowed regulation sets for Health surveys of Hospitals.

Hospital Subtypes

ASPEN fully supports the certification process for the Hospital subtypes shown below.

Short Term

Subtype Code	01
ASPEN FacType Code	011
ASPEN FacType Abbrev.	HOSP-ACU
Valid CCN Ranges	0001-0879

Long Term

Subtype Code	02
ASPEN FacType Code	015
ASPEN FacType Abbrev.	HOSP-LT
Valid CCN Ranges	2000-2299

Religious Nonmedical Health Care Institution (RNHCI)

Subtype Code	03
ASPEN FacType Code	017
ASPEN FacType Abbrev.	HOSP-RNC
Valid CCN Ranges	1990-1999

Psychiatric

Subtype Code	04
ASPEN FacType Code	012
ASPEN FacType Abbrev.	HOSP-PSY
Valid CCN Ranges	4000-4499

Rehabilitation

Subtype Code	05
ASPEN FacType Code	013
ASPEN FacType Abbrev.	HOSP-RHB
Valid CCN Ranges	3025-3099

Childrens

Subtype Code	06
ASPEN FacType Code	016
ASPEN FacType Abbrev.	HOSP-CHD
Valid CCN Ranges	3300-3399

Distinct Part Psychiatric

Subtype Code	07
ASPEN FacType Code	018
ASPEN FacType Abbrev.	HOSP-DPP
Valid CCN Ranges	4000-4499

Critical Access

Subtype Code	11
ASPEN FacType Code	014
ASPEN FacType Abbrev.	HOSP-CAH
Valid CCN Ranges	1300-1399

Note: A Critical Access Hospital must first be certified as an Acute Care (aka Short Term) Hospital, then you use the Change to Critical Access Hospital option to change the ACU to a CAH.

More ...

Procedure: "Change Facility Status (RO)" on page 233

Transplant

Subtype Code	20
ASPEN FacType Code	01T
ASPEN FacType Abbrev.	HOSP-TH
Valid CCN Ranges	9800-9899

Medicaid-only Short Term

Subtype Code	22
ASPEN FacType Code	01U
ASPEN FacType Abbrev.	HOSP-MSH
Valid CCN Ranges	J001-J099

Medicaid-only Children's

Subtype Code	23
ASPEN FacType Code	01V
ASPEN FacType Abbrev.	HOSP-MCH
Valid CCN Ranges	J100-J199

Medicaid-only Children's Psychiatric

Subtype Code	24
ASPEN FacType Code	01W
ASPEN FacType Abbrev.	HOSP-MCP
Valid CCN Ranges	3200-3299

Medicaid-only Psychiatric

Subtype Code	24
ASPEN FacType Code	01X
ASPEN FacType Abbrev.	HOSP-MPH
Valid CCN Ranges	J300-J399

Medicaid-only Rehabilitation

Subtype Code	26
ASPEN FacType Code	01Y
ASPEN FacType Abbrev.	HOSP-MRH
Valid CCN Ranges	J400-J499

Medicaid-only Long-term

Subtype Code	27
ASPEN FacType Code	01Z
ASPEN FacType Abbrev.	HOSP-MLH
Valid CCN Ranges	J500-J599

Non-participating: Emergency Federal

Subtype Code	Blank
ASPEN FacType Code	019
ASPEN FacType Abbrev.	HOSP-NP
Valid CCN Ranges	E, F is sixth character in CCN

Surveys Allowed for Hospitals

The surveys, if any, that are required or can optionally be performed for Hospitals depend on:

- Subtype
- Deemed status, i.e., the value of L10 Accreditation Status on CMS-1539
- Type of Action, i.e., the value of L8 on CMS-1539

ASPEN automatically enables or disables survey creation for Hospitals according to these factors, which are detailed below.

Emergency/Non-Participating

HOSP-NP, FacType: 019

Health: No

LSC: No

Transplant

HOSP-TH, FacType: 01T

Health: Yes

LSC: No

Regular Non-Deemed

CMS-1539 L10 Accreditation Status = 0 Not Accredited for:

HOSP-ACU, HOSP-PSY, HOSP-RHB, HOSP-CAH, HOSP-LT, HOSP-CHD, HOSP-RNC, HOSP-DPP, HOSP-MSH, HOSP-MCH, HOSP-MCP, HOSP-MPH, HOSP-MRH, HOSP-MLH

FacType: 011, 012, 013, 014, 015, 016, 017, 018, 01U, 01V, 01W, 01X, 01Y, 01Z

Health: Yes

LSC: Yes

Regular Deemed

CMS-1539 L10 Accreditation Status>0 and CMS-1539 L8 Type of Action = 2 Recertification for:

HOSP-ACU, HOSP-PSY, HOSP-RHB, HOSP-CAH, HOSP-LT, HOSP-CHD, HOSP-DPP, HOSP-MSH, HOSP-MCH, HOSP-MCP, HOSP-MPH, HOSP-MRH, HOSP-MLH

FacType: 011, 012, 013, 014, 015, 016, 018, 01U, 01V, 01W, 01X, 01Y, 01Z

Health: No

LSC: No

Validation

CMS-1539 L10 Accreditation Status>0 and CMS-1539 L8 Type of Action = 5 Validation for:

HOSP-ACU, HOSP-PSY, HOSP-RHB, HOSP-CAH, HOSP-LT, HOSP-CHD, HOSP-DPP, HOSP-MSH, HOSP-MCH, HOSP-MCP, HOSP-MPH, HOSP-MRH, HOSP-MLH

FacType: 011, 012, 013, 014, 015, 016, 018, 01U, 01V, 01W, 01X, 01Y, 01Z

Health: Yes

LSC: Optional

Deemed Full Survey

CMS-1539 L10 Accreditation Status>0 and CMS-1539 L8 Type of Action = 8 Full Survey After Complaint for:

HOSP-ACU, HOSP-PSY, HOSP-RHB, HOSP-CAH, HOSP-LT, HOSP-DPP, HOSP-MSH, HOSP-MCH, HOSP-MCP, HOSP-MPH, HOSP-MRH, HOSP-MLH

FacType: 011, 012, 013, 014, 015, 018, 01U, 01V, 01W, 01X, 01Y, 01Z

Health: Yes

LSC: Optional

Deemed Swing Bed

CMS-1539 L10 Accreditation Status>0 and Special Fields Swing Bed Indicator set to Yes for:

HOSP-ACU, HOSP-RHB, HOSP-CAH, HOSP-LT, HOSP-MSH, HOSP-MCH, HOSP-MRH, HOSP-MLH

FacType: 011, 013, 014, 015, 01U, 01V, 01Y, 01Z

Health: Yes

LSC: No

Deemed Psychiatric

Non-validation survey, CMS-1539 L10 Accreditation Status>0 and CMS-1539 L8 Type of Action <> 5 Validation for:

HOSP-PSY, HOSP-DPP, HOSP-MCP, HOSP-MPH

FacType: 012, 018, 01W, 01X

Health: Yes

LSC: No

Regulation Sets Allowed for Hospital Health Surveys

The regulation sets allowed for Health surveys depend on Hospital subtype and survey type as shown below.

Short Term

Type Code	011
Not Deemed, **Regular Survey**	A
Deemed, **Validation Survey**	A
Deemed, **Non-Validation Survey**	A (Swing bed only)

Psychiatric

Type Code	012
Not Deemed, **Regular Survey**	A, B
Deemed, **Validation Survey**	A, B
Deemed, **Non-Validation Survey**	B

Rehabilitation

Type Code	013
Not Deemed, **Regular Survey**	A
Deemed, **Validation Survey**	A
Deemed, **Non-Validation Survey**	A (Swing bed only)

Critical Access

Type Code	014
Not Deemed, **Regular Survey**	A, C
Deemed, **Validation Survey**	A, C
Deemed, **Non-Validation Survey**	A (Swing bed only)

Long Term

Type Code	015
Not Deemed, Regular Survey	A
Deemed, Validation Survey	A
Deemed, Non-Validation Survey	A (Swing bed only)

Childrens

Type Code	016
Not Deemed, Regular Survey	A
Deemed, Validation Survey	A
Deemed, Non-Validation Survey	N/A

RNHCI

Type Code	017
Not Deemed, Regular Survey	R
Deemed, Validation Survey	N/A
Deemed, Non-Validation Survey	N/A

Distinct Part Psych

Type Code	018
Not Deemed, Regular Survey	A, B
Deemed, Validation Survey	A, B
Deemed, Non-Validation Survey	B

Transplant

Type Code	01T
Not Deemed, Regular Survey	X
Deemed, Validation Survey	N/A
Deemed, Non-Validation Survey	N/A

Medicaid-only Short Term

Type Code	01U
Not Deemed, Regular Survey	A
Deemed, Validation Survey	A
Deemed, Non-Validation Survey	A (Swing bed only)

Medicaid-only Children's

Type Code	01V
Not Deemed, Regular Survey	A
Deemed, Validation Survey	A
Deemed, Non-Validation Survey	A (Swing bed only)

Medicaid-only Children's Psychiatric

Type Code	01W
Not Deemed, Regular Survey	A, B
Deemed, Validation Survey	A, B
Deemed, Non-Validation Survey	B

Medicaid-only Psychiatric

Type Code	01X
Not Deemed, Regular Survey	A, B
Deemed, Validation Survey	A, B
Deemed, Non-Validation Survey	B

Medicaid-only Rehabilitation

Type Code	01Y
Not Deemed, Regular Survey	A
Deemed, Validation Survey	A
Deemed, Non-Validation Survey	A (Swing bed only)

Medicaid-only Long-term

Type Code	01Z
Not Deemed, Regular Survey	A
Deemed, Validation Survey	A
Deemed, Non-Validation Survey	A (Swing bed only)

Upload Monitoring Emails

This section contains descriptions and boilerplate text of the automatically generated email notices that alert applicable users to late certification kits. A kit is considered late if it has not been successfully uploaded within a specified number of days from the certification exit date, i.e., Date of Survey (L34).

Late Certification Kit Upload Review

This email lists certification kits that have never been uploaded and are past due for uploading.

Recipients

Management units, team/work units in the given state configured as recipients (File | Email Recipients).

Frequency

Every night.

Email Text

Subject: Late Certkit Upload Review - <State> - <MGMTUNIT> - <Team/Work Unit> <Facility Category>

The following certification kits have not yet been uploaded within x days of their certification exit date.

<Cert Track ID> <Cert Exit Date> Days Since Exit> <CCN> <FacName>

…

Please do not reply to this message.
Thank you.

Late Certification Kit Uploads

This email lists late certification kits. i.e., kits that:

- Have been uploaded but not accepted after a given number of days.
- Were previously accepted but can no longer be uploaded due to failed validation checks.

Recipients

SA/RO staff members who are a responsible party for at least one late certification kit.

Frequency

Every Sunday night.

Email Text

Subject: Late Certkit Uploads for <State> - <Staff ID> - <Staff Name>

The following certification kits have not yet been completed within x days of their certification exit date.

<Cert Track ID> <Cert Exit Date> Days Since Exit> <CCN> <FacName>

…

The following certification kits were previously uploaded but can no longer be uploaded.

<Cert Track ID> <Cert Exit Date> Days Since Exit> <CCN> <FacName>

…

Please do not reply to this message.
Thank you.

Implicit Transactions

When field information in certification kits is updated in ASPEN, it is transmitted to national via explicit or implicit transactions. Explicit updates to the corresponding fields in the national database occur when the certification kit in which the changes were made is uploaded automatically or manually from ASPEN to national. Implicit updates are automatically sent to national; another upload is neither triggered nor required.

Most Update transactions are explicit (i.e., require an upload), but two types of implicit Update transactions occur in certain cases: Implicit and Implicit-Spec. Implicit updates are sent for individual fields whereas Implicit-Spec transactions are sent for a group of fields.

FMS records are also updated implicitly after the first successful upload to national.

Implicit - Facility Properties

After an initial certification kit has been uploaded to national and accepted, changes to certain fields on the Facility Definition tab are implicitly updated on national. The processing Action listed in the Transactions window will be 06 Implicitly updated.

The following fields on the Facility Definition tab (right-click facility | New Facility or Facility Properties) are Implicit.

- **Employer ID**
  Federal tax identification number (Employer Identification Number or EIN) used to identify a business entity.

- **Type**
  Provider type selected from the drop-down list.

  Note: Type is defined as an implicit field, but is never uploaded implicitly due to other dependencies. It can, however, be uploaded as an implicit-spec for NHs; see "Implicit-Spec" on page 681.

- **Name**
  Working name used throughout ASPEN to identify the provider.
- **Address**
  Street address of the provider.
- **City**
  Name of the city in which the provider is located.
- **Zip**
  9-digit Zip Code for the provider.
- **State**
  Postal abbreviation for the state in which the provider is located.
- **County**
  Name of the county in which the provider is located.
- **Phone**
  Telephone number of the provider.
- **Fax**
  Fax number for the provider.
- **OSCAR State Region**
  Code supplied by ASPEN according to the Zip Code or selected by the user.

Implicit-Spec

Fields related to bed counts in certification kits for Hospitals, NHs, and ICFs/IID are defined as Implicit-Spec (Special). After a certification kit has been uploaded to national and accepted, Implicit-Spec fields will be implicitly updated as a group on national.

Implicit-Spec fields include bed count fields on the CMS-1539 tab and, for NHs only: Type (CMS-1539), Program Participation (CMS-671), and Type (Facility Definition). When you change a bed count or, for NHs only, Type (CMS-1539), all the related Implicit-Spec values are automatically sent to national. The processing Action listed in the Transactions window will be 07 Implicit-Spec.

CMS-1539

The following fields on the Transmittal (CMS-1539) tab are Implicit-Spec. These fields are displayed or enabled as applicable for the provider type.

- **Total Facility Beds (L18)**
  Total number of beds in the facility (Hospital, NH, ICF/IID)
- **Total Certified Beds (L17)**
  Hospital - Total number of certified beds
  NH - Total of the LTC bed counts entered in L37, L38, and L39 as calculated by ASPEN
  ICF/IID - IID bed count entered in L43; auto-entered here by ASPEN
- **Type**
  Medicare provider type. (NH Medicare providers 021, 022, 023)
- **18 SNF (L37)**
  Number of Title 18 beds at the facility (NH)
- **18/19 SNF (L38)**
  Number of Title 18/19 beds at the facility (NH)
- **19 NF (L39)**
  Number of Title 19 beds at the facility (NH)
- **IID (L43)**
  Number of IID beds at the facility (ICF/IID)

CMS-671

One field on the Application (CMS-671) tab for NHs is Implicit-Spec.

- **Program Participation (F9)**
  Supplied by ASPEN according to the facility Type selected in Facility Properties. F9 is updated for NH Medicare providers in sync with Type on the CMS-1539 tab.

More ...

Fields: "Program Participation (F9)", on page 541

Facility Properties

One field on the Facility Definition tab for NHs is Implicit-Spec.

- **Type**
  Provider type. Updated for NH Medicare providers in sync with Type on the CMS-1539 tab.

Implicit FMS Uploads

The first upload of an FMS record to national must be explicit, i.e., you must initiate it manually in ARO. After that, the FMS record is updated implicitly.

Following the initial successful upload of an FMS event, you cannot delete linked surveys, Federal or state. You also cannot modify the following fields:

- Type of Federal Survey
- Extent of Federal Survey
- Start and Exit dates of Federal survey

Changes to any other fields in the FMS record are sent to national implicitly.

Status Values for Upload Transactions

The status of an Upload Transaction can be determined by the value assigned:

Code	Status	Description
-1	Failure	Transaction failed ASPEN edits and was not upload. Data needs to be corrected and re-uploaded. The transactions must be manually re-uploaded once the data is corrected.
00	Pending	Transaction passed ASPEN edits and will be processed during the next overnight cycle. The certification kit will be read-only while there is a pending transaction.
05	In Process	Overnight cycle has begun. Transaction was pending (00) and has been sent to national; waiting for response. Users will not see the 05 status value as it exists only during the nightly job cycle.

Code	Status	Description
10	Successful	Transaction was successfully loaded in national.
15	Failure	Transaction failed national edits and was not loaded. Data needs to be corrected in ASPEN and uploaded again. The transactions must be manually re-uploaded once the data is corrected.

Change of Status: Provider

The Change Facility Status/Change to Short-Term Hospital option, which is enabled only in ARO, automates the process of terminating an existing provider (sponsor) and creating a new provider record. ASPEN automatically creates a new initial certification and populates it with data from the sponsor.

The provider types that can change status (subtype) and the supported status change function for each are shown below.

More ...

Procedure: "Change Facility Status (RO)" on page 233
Procedure: "Change Status to/from Short Term Hospital (RO)" on page 235

Nursing Home (NH)

Permitted Status Changes

From Medicare/Medicaid or Medicare-only (ASPEN types 021, 022, 023) to Medicaid-only (ASPEN type 024) or vice versa.

Medicare

- SNF/NF Dual Cert (021)
- SNF/NF Distinct Part (022)
- SNF Only (023)

Medicaid

- NF Only (024)

Home Health Agencies (HHA)

Permitted Status Changes

From Medicare/Medicaid (ASPEN type 051) to Medicaid Only (ASPEN type 052) or vice versa.

End Stage Renal Disease Facilities (ESRD)

Permitted Status Changes

From CCN in assigned ESRD subtype range to CCN in another ESRD range.

ESRD Subtype Ranges

- 2300-2499 Chronic Renal Disease Facilities (Hospital Based)
- 2500-2899 Non-Hospital Renal · Disease Treatment Centers
- 2900-2999 Independent Special Purpose Renal Dialysis Facility
- 3500-3699 Renal Disease Treatment Centers (Hospital Satellites)
- 3700-3799 Hospital Based Special Purpose Renal Dialysis Facility

Rural Health Clinics (RHC)

Permitted Status Changes

From CCN in assigned RHC subtype range to CCN in the other RHC subtype range.

The two subtype number ranges are discontinuous.

RHC Subtype Ranges

- 3400-3499 Provider-Based (continuation)
- 3800-3974 Freestanding
- 3975-3999 Provider-Based
- 8500-8899 Provider-Based (continuation)
- 8900-8999 Freestanding (continuation)

Short Term Hospital (ACU)

Permitted Status Changes

From/to CCN in the Psychiatric - PSY (012), Rehabilitation - RHB (013), Critical Access - CAH (014), Long Term - LT (015), and Childrens - CHD (016) subtype ranges to/from CCN in the ACU (011) subtype range.

- 0001-0879 HOSP-ACU
- 4000-4499 HOSP-PSY
- 3025-3099 HOSP-RHB
- 1300-1399 HOSP-CAH
- 2000-2299 HOSP-LT
- 3300-3399HOSP-CHD

State Customization

ACO includes a number of functions that allow states to customize the application to accommodate their specific needs. Various customization options are listed below with access to them briefly specified.

- **Create state-specific primary provider categories.**

  System menu | Facility Types | Primary Categories | New

- **Add state licensure facility types to primary provider categories.**

  System menu | Facility Types | Type Maintenance | New

- **Create state licensure providers.**

  File menu | New Facility

- **Create state regulation sets.**

  Alpha or Type tab | right-click Regulations node | New Regulation Set

- **Add tags to state regulation sets.**

  Alpha or Type tab | right-click applicable state regulation set | New Tag

- **Add regulation text to state tags.**

  Alpha or Type tab | right-click applicable state tag | Tag Properties| click Regulations.

- **Add interpretive guidelines to state tags.**

  Alpha or Type tab | right-click applicable state tag | Tag Properties | click Interpretive Guidelines.

- **Add Custom Help to state tags.**

  Alpha or Type tab | right-click applicable state tag | Tag Properties | click Custom Help.

- **Assign state regulation sets to provider types.**

  System menu | Facility Types | Type Maintenance | select applicable facility type | Modify | select applicable state regulations in Allowed Regulation Sets list

- **Create content library tag text for individual state tags and store in Content Library.**

  Open Citation Manager | right-click applicable state tag in Regulations pane | Edit Content | New

- **Activate CMS-provided Hover Guidance.**

  System menu | System Configuration | State Customization | select Enable Guidance (selected by default)

- **Configure Action Item notification by e-mail.**

  System menu | System Configuration | Email Configuration

- **Define user access to surveys scheduled in the future.**

  Directory tab | Staff Directory | right-click staff member | Update Staff Member | Security tab | May Not See Surveys Scheduled Beyond

- **Define user access to surveys they are not assigned to as a team member.**

  Directory tab | Staff Directory | right-click staff member | Update Staff Member | Security tab | Access control for non-assigned surveys

- **Add values to certain lookup tables.**

  System menu | Lookup Values | Dictionary | No | expand applicable table | right-click applicable column | New Value

More ...

"Modify Lookup Tables" on page 688

- **Modify or delete state-specified values in certain lookup tables.**

  System menu | Lookup Values | Dictionary | No | expand applicable table and column | right-click applicable state value | Value Properties or Delete Value

More ...

"Modify Lookup Tables" on page 688

- **Assign state licensure facility types to Federal lookup values.**

  System menu | Lookup Values | Dictionary | No | expand applicable table and column | right-click applicable value | Assign Licensure-only Facility Types

  Note: This option is enabled only if one or more Federal or state-licensure types are already assigned for a lookup value, i.e., the Types list is populated.

- **Customize spell check dictionaries.**

  System menu | Spell Check Dictionary

- **Create custom form letter templates.**

  System menu | Letter Management

- **Assign facility types (Federal and state) to letter templates.**

  System menu | Letter Management | Facility Type tab

- **Customize distribution lists.**

  System menu | Lookup Values | Distribution Lists

- **Customize State Prompts view with state-specific Questions to Ask the Caller.**

  System menu | Letter Management | enable Show Views | select State Prompts view | Text

- **Create custom reports.**

  Use your preferred report generator with the ability to connect to an Oracle database: Seagate Crystal Reports 10, Sybase InfoMaker 8.0, Microsoft Access 97 or higher, and others.

Modify Lookup Tables

The items in drop-down lists in ASPEN applications are stored in lookup tables in the ASPEN database. SAs and ROs can customize the following drop-down lists in ACO/ARO by modifying values in the indicated lookup table/column.

Drop-down list	Lookup Tables	Lookup Column
New Call dialog: Category	HOTLINE	CATEG
Allegation Input dialog:	COMP_ALG	SERIOUS
Define Activity dialog:	INVEST	TYPES
Proposed Action dialog (State): Action	CINTAKE	PROACTST
Notification Type dialog: Type	NOTIFICATION	NOTIFYTYPE
Notification Type dialog: Party	NOTIFICATION	NOTIFYTYPE
Alleged Perpetrator Directory Input dialog: Title	PERSP	TITLES

Updated POC-related Fields in ASPEN

The electronic POC process automatically updates several tag level and survey level POC-related fields in ASPEN.

ASPEN Tag Level POC Fields

ePOC updates the following ASPEN tag level POC fields when a POC is submitted. These fields are updated only upon submission of a tag. The fields are not updated when a user saves the POC as a draft. When a Revisit is created, these fields do not carry forward from the prior survey.

POC Text (SurvCite.POC)

Set to the POC text submitted by the facility.

POC Submitted Date (SurvCite.POCDate)

Set to the first date the provider submits the POC for the tag. If a tag is rejected and POC resubmitted, the POC Date is not updated.

POC Approval Date (SurvCite.POCAppr)

Set to the date the final POC for the tag is approved.

POC Complete Date (X5) (SurvCite.CompleteDt)

Set to the date the facility indicates the POC will be completed for the tag.

ASPEN Survey Level POC-related Fields

ePOC updates the following ASPEN survey level POC-related fields as indicated:

Sent Date (Survey.POCSent)

Set to the current date as soon as the SA/RO posts (releases) the survey to the ePOC facility web site.

POC Due date (Survey.POC_Due_dt)

Date the POC for all tags on the survey is due. Set to the Sent Date plus 10 calendar days when the survey is posted to ASPEN Web: ePOC *unless* SA/RO sets this date *before* posting the survey. Not reset on re-posting.

2567/B Entry Complete (SURVEY.CMPLT_2567_SW)

Indicates all CMS-2567 or CMS-2567B data entry in ASPEN is complete. Checkbox selected when the survey is posted to ASPEN Web: ePOC if it is not already selected.

POC Received Date (Survey.POCRecvd)

Set to the date when the facility has submitted a Plan of Correction for all deficiencies on a survey that require a POC.

Survey's POC Approval date (Survey.POCAppr)

Set to the date the final POC for the last tag is approved.

Survey's Admin Signoff (X6) date (Survey.Admsignoff)

Set to the date when the facility has submitted a Plan of Correction for all deficiencies on a survey that require a POC.

Note: Certification kits including ePOC surveys without federal tags (deficiency-free or only state and/or EP tags cited), which therefore do not require a POC, will successfully upload even if a Signoff date exists.

Keyboard Shortcuts

Windows 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.

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
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

Press this	To do this (Continued)
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
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

Press this	To do this (Continued)
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
F4	Display the address bar list in Windows Explorer
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

Press this	To do this
Ctrl+Tab	Move forward through tabs
Ctrl+Shift+Tab	Move back through tabs
Tab	Move forward through options/fields
Shift+Tab	Move back through options/fields
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 checkbox if the active option is a checkbox
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 or drop-down list
Backspace	Open a folder one level up if a folder is selected in the Save As or Open dialog box