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INTRODUCTION

Overview and Purpose

A Certification of Accreditation is issued to a laboratory once the accrediting organization (AO) verifies to CMS the accreditation status of the laboratory.

Accreditation by an AO is voluntary and is not required for Medicare certification.

The AO must find a provider where all the applicable conditions are met or exceeded, before the AO may verify that those requirements to be met by the provider or supplier.

To accomplish this, the laboratory must request the AO’s services. The AO must accept and confirm their participation for the laboratory. The AO performs a survey and submits the survey data into the CLIA system.

The AOs use the CMS software, ASPEN Web [CLIA CMS-116] Application, to record their participation and results. The AO Upload Process is a portion of that application.

This document provides the step-by-step instructions how to utilize the AO Upload Process as an Accrediting Organization ONLY. AOs are assigned access with the AO Role security.

Note: Central Office SuperUsers may also use the AO Upload Process. However, they do not have the same security and the screens they see are somewhat different.

SHORTCUT KEYS

To skip the header functions use the following Shortcut Keys:

- ALT-N (Skip Headers…go on to first field)

The following table lists the shortcut keys, which can be used within the AO Upload Process.

<table>
<thead>
<tr>
<th>Screen</th>
<th>Shortcut</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>File Upload</td>
<td>Alt-2 – File Name</td>
<td>File Name (field)</td>
</tr>
<tr>
<td></td>
<td>Alt-3 – Upload button</td>
<td>Upload (button)</td>
</tr>
<tr>
<td></td>
<td>Alt-1 – Home</td>
<td>Upload Home Page</td>
</tr>
<tr>
<td>File</td>
<td>Alt-2 – To Date</td>
<td>To Date (field)</td>
</tr>
<tr>
<td>Screen</td>
<td>Shortcut</td>
<td>Title</td>
</tr>
<tr>
<td>---------------------</td>
<td>-------------------------------------------------</td>
<td>------------------------------</td>
</tr>
<tr>
<td>Download</td>
<td>Alt-3 – Prior Days</td>
<td>Prior Days (field)</td>
</tr>
<tr>
<td></td>
<td>Alt-S – Refresh</td>
<td>Refresh (button)</td>
</tr>
<tr>
<td>Overwrite Screen</td>
<td>Alt-2 – Overwrite the existing file.</td>
<td>Overwrite (button)</td>
</tr>
<tr>
<td></td>
<td>Alt-3 – Cancel this upload. Do not overwrite the existing file.</td>
<td>Cancel (button)</td>
</tr>
<tr>
<td>Help Screen</td>
<td>ALT-7 - Accessibility Policy</td>
<td>Accessibility Policy (hyperlink)</td>
</tr>
<tr>
<td></td>
<td>ALT-8 - Contact Us</td>
<td>Contact us (hyperlink)</td>
</tr>
<tr>
<td></td>
<td>ALT-9 - Privacy Policy</td>
<td>Privacy Policy (hyperlink)</td>
</tr>
</tbody>
</table>

Table 1 - Application Shortcut Keys

NAVIGATION

There are four (4) functions on the CLIA AO File Submission screen.

- File Upload
- File Download
- Help
- Logout (Log Out)

These are found across the top of the body of this screen in the application Menu Bar.

Figure 1 - CLIA AO Upload Menu Bar
HELP

Contact Us - Help Desk

The Help screen contains a hyperlink labeled Contact Us, which will put the User in contact with the QTSO Help Desk via e-mail or telephone.

Figure 2 - CLIA AO Upload Help Screen – Contact Us

If you have any questions concerning this information, please contact the QTSO Help Desk at help@qtso.com or call 1 (888) 477-7876.

CLIA AO Upload User Manual

Not available as yet.
**Accessibility Policy**

The Help screen contains a hyperlink labeled Accessibility Policy, which explains the 508 Compliant status of the AO Upload process and web pages. It also contains the QTSO Help Desk e-mail address and telephone number.

![CLIA AO File Submission](Image)

**Figure 3 - CLIA AO Upload Help Screen – Accessibility Policy**

**Privacy Policy**

The Help screen contains a hyperlink labeled Privacy Policy, which explains the government policy concerning privacy.

![CLIA AO File Submission](Image)

**Figure 4 - CLIA AO Upload Help Screen – Privacy Policy**
ACCESS THE AO FILE UPLOAD PROCESS

Access to the Accrediting Organization Upload is accomplished through the ASPEN Web Application. The ASPEN Web Application may be accessed in two ways, with the proper security and access Login ID/Password assignments.

- Direct Web Access
- Access through ASPEN ACO/ARO

The Direct Web Access is discussed in this document.

Access through ASPEN ACO/ARO is documented in the ASPEN product documentation.

The User must have access, and be in, the CMS network.

Note: Outside Users will require Medicare Data Communication Network (MDCN) access from AT&T in order to get into the CMS network.

Access CMS Network using AT&T

An Outside User will apply for and be assigned an AT&T Account to access the Medicare Data Communication Network (MDCN). The required AT&T Global Network Client software application must be installed on the User Personal Computer/Laptop.

The user can then connect into the CMS network.

Figure 5 - AT&T Global Network Client
Use the following URL to access a QTSO web site. https://www.qtso.com/
This web site has all the information about the AT&T/MDCN account required.

**Access the ASPEN Web Application**

Once the User is inside the CMS Network, they must follow the follow steps to access the AO Upload Process.

1. The User will access **QIES for Success**: https://web.qiesnet.org/aspen/

![Figure 6 - QIES to Success](image)

2. Locate the **ASPEN Web** selection from the navigation panel on the left.

![Figure 7 - ASPEN Access Web Page](image)
3. Click the **ASPEN Web** hyperlink to gain access to the login screen. This allows access to the **ASPEN Web Application Login** screen, **ASPEN Web – CLIA 116**.

![ASPEN Web - CLIA 116 Login Screen](image)

**Figure 8 - ASPEN Web - CLIA 116 Login Screen**

4. The ASPEN Web CMS-116 Login screen displays the Login window.

5. Enter pre-assigned **CASPER User ID** and **Password** in their respective fields.

6. Click the **Login** button.

![Login Screen with Required Government Warning Window](image)

**Figure 9 - Login Screen with Required Government Warning Window**

7. The government-required Warning window displays.
8. Click the OK button.
9. The **ASPEN Web - CMS-116** Search Screen displays.

![Figure 10 - CLIA 116 Search Screen](image)

10. Locate and click the **AO Upload** button in the Header, upper right. This is the means of accessing the AO Upload process.

![Figure 11 - CLIA AO File Submission File Upload Screen](image)

11. The File Upload screen is the first screen displayed.
UTILIZE THE AO FILE UPLOAD APPLICATION

Once the **AO Upload** button is clicked, the AO Upload CLIA AO File Submission system displays the File Upload screen.

![CLIA AO File Submission](image)

Select the CLIA AO file to submit by pressing the *Browse* button and choosing a file from your computer to send. Once you have selected a file, press the *Upload* button to upload the file.

**Figure 12 - CLIA AO File Submission File Upload Screen with Menu Bar**

*Note: If you do not have the proper AO User Role security, the Upload button will be disabled.*

There are four (4) function selections available to the AO User.

- File Upload
- File Download
- Logout
- Help

The following subsections describe how to perform these functions.

**File Upload**

An AO may create a text file containing their AO information and then upload that file to the CLIA System. The system will process the data using the same logic that is used when this information is input directly into the system via the CMS-116 application.

Once the file is created, the upload process must be initiated.

If the User is not already on the File Upload screen, they can use the File Upload function / hyperlink from the Menu bar to navigate to the File Upload screen.
1. Select the Browse button.
2. Windows opens a window to manipulate in locating the file to be uploaded.
3. Highlight the file to upload.
4. Click the Open button.
5. The file that was located and selected appears in the **File Name** field.

![Figure 15 - Upload File Located & Selected](image)

6. Click the Upload button.
7. The upload is successfully, the system displays a confirmation message.
8. The File Download screen displays the status of the file successfully uploaded.

![Figure 16 - Uploaded File's Status - Successful](image)
Unsuccessful Results from Your Upload

The system performs pre-defined verification and validation on the file being uploaded. If the file does not pass, an error message is displayed.

Figure 17 - Error Message Screen

1. If an error is encountered, then:
   a. Error messages displays. “File upload was denied due to the following reason:” followed by the actual reasons and the record # of the first record found to be in error.
   b. If a duplicate file is uploaded, an option message to overwrite the previously submitted file displays, “There is an existing version. Do you want to overwrite?” See Overwrite A File below.

2. You can view the unsuccessful file on the Download Screen.
   a. You may download and open the text file to see the error that was found.

Figure 18 - Upload File’s Status – Unsuccessful – Errors Found
**Overwrite A File**

The system will allow overwrites of file. That is, if there is a file in a “pending” state waiting to be processed, a new file can be uploaded and made to overwrite the existing file.

**Note: Only one pending file can exist in the system at one time.**

![Image of CMS CLIA AO File Submission](image)

**Figure 19 – Overwrite an Existing Pending File**

**CAUTION:** Review the original download screen to find the actual file that is there before selecting **OK**. Make sure you know exactly what file it is you are about to overwrite.

1. If the current file must be overwritten, click the **OK** button. The system will process the **Overwrite**.
   a. The system removes the old file, which was overwritten. It is no longer available.
   b. The system returns the message that the new file was uploaded successfully.

![Image of CMS CLIA AO File Submission](image)

**Figure 20 - Successful Upload Message Screen**

2. If an overwrite is not what is needed, click the **Cancel** button. The system returns to the **File Download** screen.
Figure 21 - Overwritten File’s Status

File Download

1. Select the File Download button located directly under the screen header.

Figure 22 - File Download Function / Hyperlink

2. The system displays a list of all the files previously uploaded. The following fields will be included.
3. The To Date field defaults to Today’s date, but can be modified using the date format mm/dd/yyyy.
4. The Prior Days field defaults to ‘1’, but may be modified using the dropdown list provided.
5. The Refresh button may always be used to re-populate this screen.
6. The following data columns display:
   a. Submission Date
   b. File Name
   c. Process Date (blank if processing has not yet occurred).
d. Status
   i. File Processing Pending
   ii. File Processed Successfully
   iii. File Formatting Errors
   iv. File Overridden
   v. File In Processing
   vi. File Validation In Process OR Terminated Abruptly
   vii. File Recalled

7. The **Download** buttons can be used to download files:
   a. That have already been successfully processed or
   b. The files that have file validation errors.

![CLIA AO File Submission](image)

**List of Files for Download**

<table>
<thead>
<tr>
<th>Submission Date</th>
<th>File Name</th>
<th>AO Code</th>
<th>Process Date</th>
<th>Status</th>
<th>Result File Download</th>
<th>Recall AO</th>
</tr>
</thead>
<tbody>
<tr>
<td>08/14/2009 13:53:31</td>
<td>AO Upload 001.txt</td>
<td>05</td>
<td></td>
<td>08/14/2009</td>
<td>Download</td>
<td>Recall File</td>
</tr>
<tr>
<td>08/14/2009 13:48:43</td>
<td>AO Upload 001.txt</td>
<td>05</td>
<td></td>
<td>File Formatting Errors</td>
<td>Download</td>
<td>Recall File</td>
</tr>
<tr>
<td>08/13/2009 09:20:03</td>
<td>Upload file 08102009.txt</td>
<td>05</td>
<td>08/13/2009 20:00:32</td>
<td>File Processed Successfully</td>
<td>Download</td>
<td>Recall File</td>
</tr>
</tbody>
</table>

**Figure 23 – Successfully Upload File – File Download Button**

*Note: The Recall buttons are used to recall files that are pending processing. See [Recall A File](#) below.*

8. Locate the file that needs to be downloaded. Click the **Download** button.
9. The text file displays in its own small window.

**Note:** These downloaded files can be saved offline, if that is what is needed.
10. A file that was found to contain errors may be downloaded as well. However, these are “results” files and contain only the first error that was encountered.

Figure 26 - Downloaded an Unsuccessful Upload File

**Recall A File**

Once an AO File has been successfully uploaded AND has NOT yet been processed, it may be recalled.

1. Select the **File Download** button located directly under the screen header.
2. The system displays a list of all the files previously uploaded. The following fields will be included.
   a. The **To Date** field defaults to Today’s date, but can be modified using the date format mm/dd/yyyy.
   b. The **Prior Days** field defaults to ‘1’, but may be modified using the dropdown list provided.
   c. The **Refresh** button may always be used to re-populate this screen.
   d. The data columns displayed will be:
      i. Submission Date
      ii. File Name
      iii. Process Date (blank if processing has not yet occurred).
iv. Status
(1) Waiting to be Processed
(2) File processing completed
(3) File Formatting Errors
(4) File Override
(5) File in processing
(6) File validation in process of terminated Abruptly

Note: The Download buttons are used to download files that have already been successfully processed or files that have file validation errors. See Downloading a File.

3. The Recall buttons are used to recall files that are pending processing. Locate the file that needs to be downloaded. Click the Recall File button.

![CLIA AO File Submission](image)

**List of Files for Download**

- Upload Date: 08/18/2009
- Prior Days: 1
- Refresh

<table>
<thead>
<tr>
<th>Submission Date</th>
<th>File Name</th>
<th>AO Code</th>
<th>Process Date</th>
<th>Status</th>
<th>Result File Download</th>
<th>Recall AO</th>
</tr>
</thead>
<tbody>
<tr>
<td>08/18/2009 14:16:22</td>
<td>Test_File_A.txt</td>
<td>06</td>
<td>File Formatting Errors</td>
<td>Download</td>
<td>Recall File</td>
<td></td>
</tr>
<tr>
<td>08/18/2009 14:15:14</td>
<td>Test_File_A.txt</td>
<td>06</td>
<td>File Formatting Errors</td>
<td>Download</td>
<td>Recall File</td>
<td></td>
</tr>
<tr>
<td>08/18/2009 09:30:13</td>
<td>AO upload file 08/18/2009.txt</td>
<td>06</td>
<td>File Overidden</td>
<td>Download</td>
<td>Recall File</td>
<td></td>
</tr>
</tbody>
</table>

**Figure 27 - Enabled Recall Button**

4. A confirmation window displays.
   a. To recall the AO File, Click the OK button.
   b. To stop the recall, click the Cancel button. The recall is not performed.
5. The system displays the refreshed Download screen. The message, “The recall operation has been successfully completed,” will be display across the top of body of the screen.

6. The new updated Status field has been updated to “File Recalled.” The system recalled the file. It will not longer be available.
Log Out

The User uses the Logout function to leave the system.

Figure 30 - Logout Function / Hyperlink

1. Select the **Logout** button located in the application Menu Bar.

Figure 31 - Completed Logged Out with Hyperlink back to the Login

2. The system logs the User out of the AO Upload process. and displays the Logout screen. This screen will allow the User to log into the ASPEN Web Application anew by providing a link back to the **Login** screen.
### TERMINOLOGY

<table>
<thead>
<tr>
<th>Term</th>
<th>Acronym</th>
<th>Description / Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accrediting Organization</td>
<td>AO</td>
<td>Many provider or supplier types (such as hospitals, ambulatory surgery centers, hospices, and home health agencies), have the option of becoming Medicare-certified on the basis of accreditation by a CMS-approved Accrediting Organization instead of a survey by CMS or States. In such cases, the applicants may receive Medicare certification via CMS’ acceptance of the AO’s accreditation. The following are CMS-Approved Accrediting Organizations used for CLIA labs: Joint Commission (JC) American Osteopathic Association (AOA) American Society of Histocompatibility and Immunogenetics (ASHI) College of American Pathologists (CAP) Commission on Laboratory Accreditation (COLA) American Association of Blood Banks (AABB)</td>
</tr>
<tr>
<td>Accredited Laboratory</td>
<td></td>
<td>A laboratory that has voluntarily applied for and been accredited by a private, nonprofit Accrediting Organization approved by CMS.</td>
</tr>
<tr>
<td>Automated Survey Processing Environment</td>
<td>ASPEN</td>
<td>The ASPEN Automated Survey Processing Environment system developed by Alpine Technology Group provides state-level secure data collection of healthcare provider demographic, surveillance and certification information, with timely replication of required information into the national repository.</td>
</tr>
<tr>
<td>Term</td>
<td>Acronym</td>
<td>Description / Definition</td>
</tr>
<tr>
<td>-------------------------------------</td>
<td>---------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>ASPEN Central Office</td>
<td>ACO</td>
<td>This is one of the modules provided in the ASPEN suite of products.</td>
</tr>
<tr>
<td>ASPEN Regional Office</td>
<td>ARO</td>
<td>This is one of the modules provided in the ASPEN suite of products.</td>
</tr>
<tr>
<td>ASPEN Web Application</td>
<td>None</td>
<td>The is a web-based on-line CLIA system. It is used for inputting and tracking CLIA-116 and survey data. It can be referred to as ASPEN Web, ASPEN Web App, or ASPEN Web - CLIA-116.</td>
</tr>
<tr>
<td>Central Office</td>
<td>CO</td>
<td>CMS Central Office.</td>
</tr>
<tr>
<td>Certificate of Accreditation</td>
<td>COA</td>
<td>A Certification of Accreditation is issued to a laboratory once the accrediting organization (AO) verifies to CMS the accreditation status of the laboratory.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The Certificate Accreditation will reflect the effective date for each specialty/subspecialty approved by the accreditation organization.</td>
</tr>
<tr>
<td>Certification and Survey Provider</td>
<td>CASPER</td>
<td>This is a database for storing current and historical Medicare data for CMS. It uses this data to provide pre-defined and ad hoc reporting per CMS direction.</td>
</tr>
<tr>
<td>Enhanced Reporting</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Center for Medicare and Medicaid</td>
<td>CMS</td>
<td>CMS provides direction and technical guidance for the administration of the Federal effort to plan, develop, manage and evaluate health care financing programs and policies.</td>
</tr>
<tr>
<td>Services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Term</td>
<td>Acronym</td>
<td>Description / Definition</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>---------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Medicare Data Communication Network</td>
<td>MDCN</td>
<td>Medicare fiscal intermediaries and carriers shall use the Government furnished Medicare Data Communications Network to support all Medicare operational data connectivity requirements. Such uses include Common Working File communications, shared processing remote operations, remote printing, shared system maintenance support (testing, release/fix distribution, remote diagnostics) and functional subcontracting arrangements necessitating the transfer of data to remote sites. AT&amp;T Global Networking Services is the vendor for MDCN managed network services.</td>
</tr>
<tr>
<td>SuperUser</td>
<td>SU</td>
<td>CMS Central Office SuperUser is a ASPEN/CLIA role that allows the Central Office CLIA users administrative-type security in order to maintain unusually circumstances that arise in the system.</td>
</tr>
</tbody>
</table>

Table 2 - Terminology Table