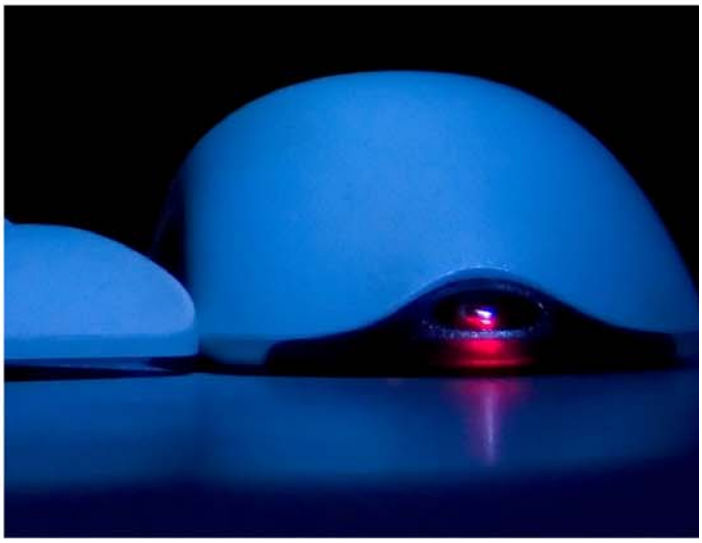
ASPEN
SURVEY
EXPLORER-QUALITY

ASE-Q
11.9.2
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) Survey Explorer-Quality provides centralized survey management to help State Agencies (SAs) with information-based administration of the health care providers under their oversight. ASPEN Survey Explorer-Quality (ASE-Q) stores data about certified providers regulated by the Centers for Medicare & Medicaid Services (CMS) and the regulations pertinent to those providers. ASE-Q 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 *ASE-Q Procedures Guide* gives you the information you need to:

- Manage provider and surveyor records
- Create/modify surveys, citations, and intakes
- Build and use a Content Library
- Manage regulations

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

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

- ASE-Q Procedures

  Provides task-based procedures for using ASE-Q.
- ASE-Q Screens

  Contains pictures and brief descriptions of ASE-Q screens and windows.
- ASE-Q Fields

  Presents descriptions of fields and buttons in ASE-Q screens and windows.
- Supporting Materials

  Contains supplemental information and reference items.

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.

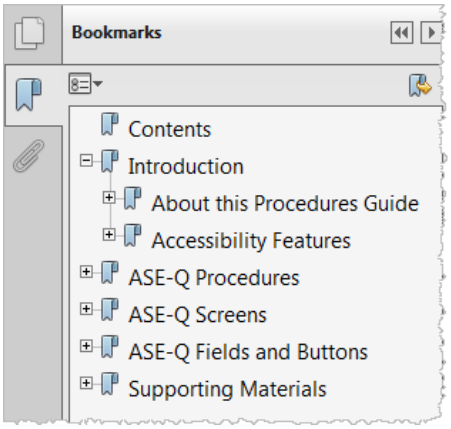


Figure 1: Bookmarks

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: “Schedule a Survey” on page 49
Screen: "Define Survey/Survey Properties window" on page 161
Procedure: “Survey Event ID” on page 40

- 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: "Citation Properties", on page 218

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

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

View a Printed Copy of this Document

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

Conventions

This guide uses the following conventions:

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

ACO Generic reference to ASPEN Central Office (ACO) and ASPEN Regional Office (ARO). When necessary, ARO is explicitly identified.

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

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 *ASE-Q Procedures Guide* and the ASE-Q 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 not used for formatting, so all text is accessible to screen readers.
- The last chapter lists Windows keyboard shortcuts for easy reference.
- Reading order is optimized, so content is read correctly by screen readers.

In ASE-Q

ASE-Q includes the following 508-compliant accessibility features:

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

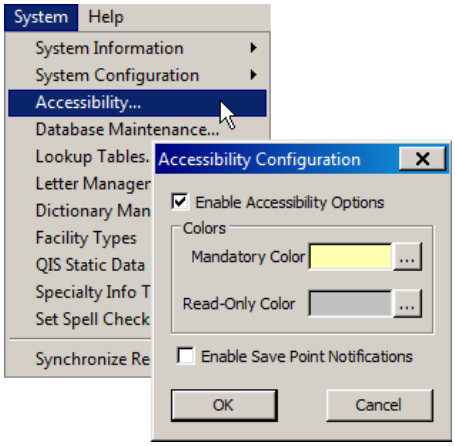


Figure 2: Accessibility option and Accessibility Configuration window

- The main ASE-Q 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 ASE-Q screens are included in a tabbing sequence, making them keyboard-accessible.
- Keyboard shortcuts exist for all options, making ASE-Q 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.

ASE-Q Procedures

ASE-Q includes full survey operations support, which enables agencies to centralize survey event planning and team assignment. Different categories of surveys can be performed simultaneously as one integrated survey. For writing citations, ASE-Q includes a word processor that also offers instant access to the text of and interpretive guidelines for the relevant regulations.

Starting ASE-Q

At startup, ASE-Q can detect and apply software and data updates if you have Internet access. When the upgrade process is complete, you will log in to open the ASE-Q application.

Note: CMS Central Office (CO) and Regional Office (RO) staff should use a Personal Identity Verification (PIV) card (aka smart card) to access the software.

Software and Data Upgrades

ASE-Q supports software upgrades and data synchronization at startup from a central server over the Internet. This encompasses updates of:

- ASE-Q software
- Federal regulation sets and related facility category assignments
- Long-Term Care Survey Process (LTCSP) software
- Sybase database patches

Upgrade Process

The upgrade process utilizes standard thin-install application components and Sybase database patches. You can configure the upgrade procedure to run always, on demand, or never.

Configure Upgrades

You can configure when/how the upgrade procedure detects and applies available upgrades to be:

- Always—Check and apply upgrades automatically every time ASE-Q is launched.
- Ask (i.e., on demand)—Check and prompt to apply upgrades when ASE-Q is launched.
- Never—Do not check for upgrades. Select this option, for example, if your SA uses other methods to upgrade ASE-Q software.

To specify the upgrade method and whether to display connection errors, you use the Upgrade Configuration option in ASE-Q. You can also change the settings “on the fly” when the upgrade procedure runs in Ask mode.

To configure the upgrade process:

1. On the **System** menu, select **System Configuration**, then **Upgrade Configuration** to open the **Upgrade Information** window.

   -or-

   If an upgrade is running in Ask mode, you can change configuration settings (and choose to apply the upgrade, or not) in the window that appears.

2. In either case, select the **Run Configuration** method you want to use.

   Options are: Never, Ask, Always.

3. Select a **Notify Site Connection Failure** option (Yes or No) to indicate whether you want to receive connection failure errors or not.

   The default is No.

More ...

Screen: "Upgrade Information window" on page 192

Login

To run ASE-Q, your login and security privileges must first be entered in the ASE-Q Sybase database. Logins and permissions are maintained in ASPEN Central Office (ACO) and exported to local ASE-Q databases. User permissions are also exported for team members on surveys created in ASPEN 10.0 or later. For details, refer to the latest version of the *ACO Procedures Guide*, which is posted on https://qtso.cms.gov.

After you launch ASE-Q and the upgrade process completes (if it runs), log in with your Windows user ID and password. If you are using a PIV card, enter a personal identification number (PIN). In special cases, you may also need to specify a domain.

Each login attempt is validated as follows:

- Windows authenticates the login.
- ASE-Q verifies you are in the Sybase database.
- ASE-Q checks the local installed Sybase version against the production release version. If the version is not the same, a message is issued. You can choose to continue, or not.
- ASE-Q determines whether the computer is “trusted”, i.e., an accepted encryption-at-rest (EAR) system is installed, or ASE-Q is running on a trusted network. You receive a warning if it is not trusted.

Once you are logged in, your permissions as defined in ASPEN Central Office (ACO) control access to features in ASE-Q that display privacy information such as complaints, LTCSP surveys, and MDS data.

Run ASE-Q

When you launch ASE-Q, the upgrade process runs (if configured to do so), and then you can log in to start the application.

To start ASE-Q:

1. Insert your PIV card, if you have one.
2. From the Start menu on the Windows Desktop, select **Programs**, then locate **ASPEN Survey Explorer** and click **ASE-Q**.

   -or-

   Double-click the ASE-Q icon on your desktop.
3. Click **OK** in the startup warning message to continue.

   The upgrade procedure runs, unless configured not to. If configured to run on demand, you are prompted to run an upgrade, if found, and you can change upgrade procedure parameters as well. A progress bar appears as the updates are applied, whether automatically or on demand. If there is a connection failure, you will receive an error message only if your machine is configured to do so.

   When the upgrade process is complete, a Login screen is displayed. ASE-Q attempts to detect a PIV card. If found (CMS CO and RO users), the Login screen requests a personal identification number (PIN). If a PIV card is not found (SA users), the usual Login screen appears.

4 On the **Login** screen:

- **SA -** Enter your Windows **User Name** and **Password**.

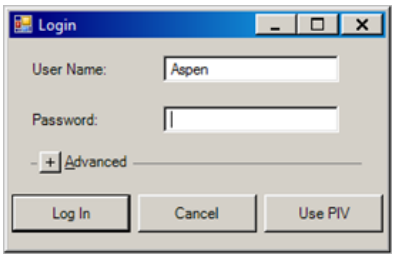


Figure 3: Login: SA

User Name defaults to the name of the currently logged-in Windows user.

- **CMS CO**, **RO -** Enter your **PIN** if you are using a PIV card.

Figure 4: Login: CO, RO using PIV card

Note: ASE-Q "remembers" the login method used and displays the applicable Login window the next time you log in.

5 If you need to change domain, click the **plus sign** (+) to expand **Advanced**, select **Use alternate domain** and enter the **Domain** name.

6 Click **Log In**.

You will receive a message if Windows or ASE-Q cannot validate the login.

If you are opening ASE-Q for the first time and your Sybase database contains no user accounts (including yours), you are given the opportunity to import user accounts.

For other login problems, check with your ASPEN administrator for a fix.

When you log in successfully, ASE-Q opens the ASPEN Explorer screen.

More ...

Procedure: "Import ASE-Q User Accounts" on page 94

System Information

After logging into ASE-Q, you can access system information, which can be used for troubleshooting.

To view system information:

1 From the **System** menu, select **System Information**.

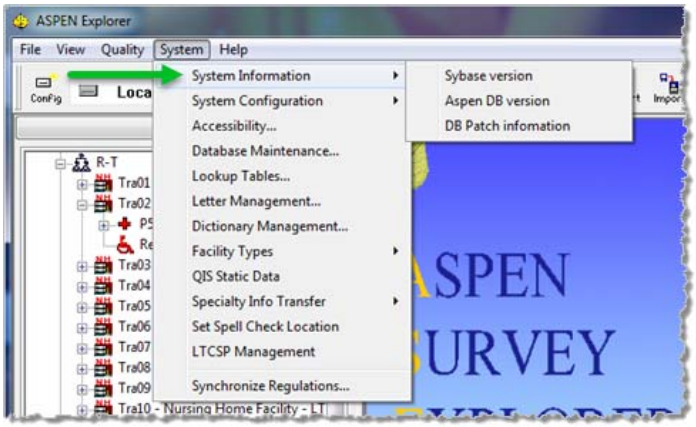


Figure 5: ASE-Q System Information menu

2 Select **Sybase version** to see the version number of your installed Sybase software.

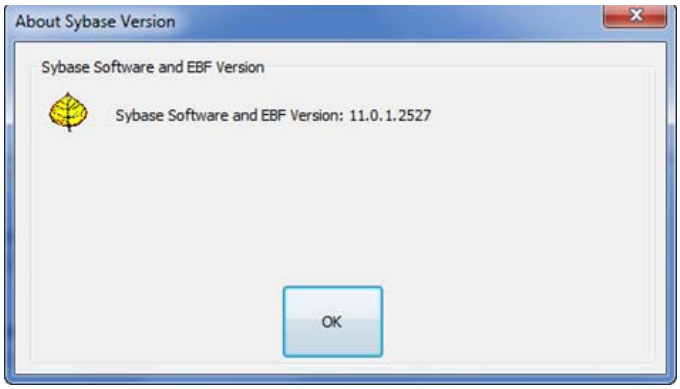


Figure 6: About Sybase Version window

3 Select **Aspen DB version** to see the version number of your ASPEN database, last login details, and database script version.

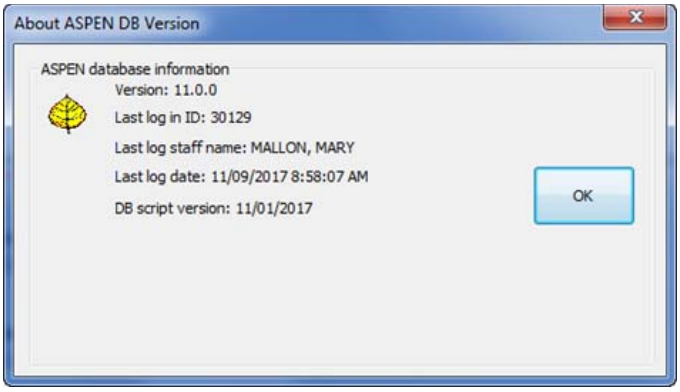


Figure 7: About ASPEN DB Version window

4 Select **DB Patch information** to see details about database patch history.

The About DB patch Info window lists all database scripts that were run on your computer and whether they passed or failed. If failed, the Database Version field in the Upgrade Information window is not updated.

Note: To display the most recent patches at the top of the window, sort in descending order by Application Version.

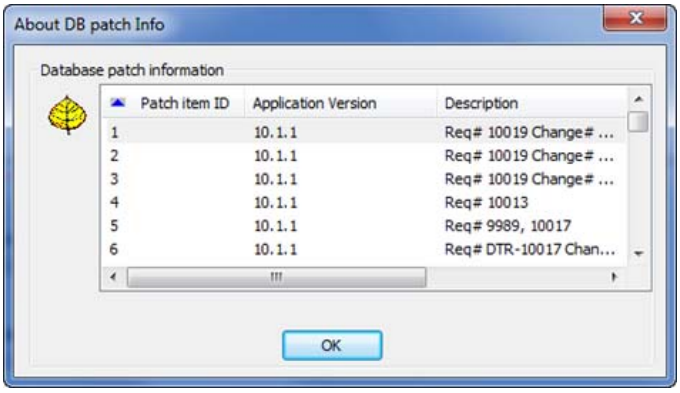


Figure 8: About DB patch Info window

ASPEN Explorer

ASPEN Explorer, the main application window, provides quick access to information about providers, surveys, regulations, and surveyors. Each section of the window offers a different level of information.

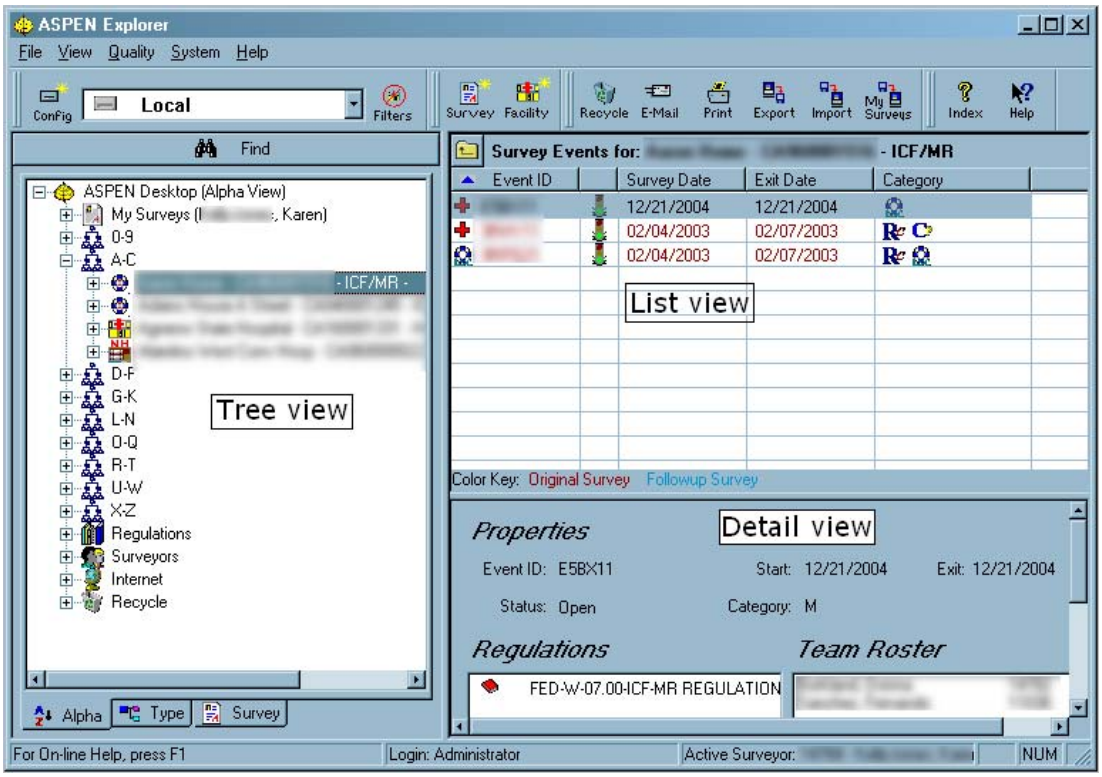


Figure 9: ASPEN Explorer window

ASE-Q Toolbar

The toolbar allows fast access to some of the commonly used functions in ASE-Q. The toolbar is divided into four groups with double line separators: Workarea bar, Wizard bar, Drag-drop bar, and Toolbar group.

Figure 10: ASE-Q toolbar

Click a button to access the associated function.

Workarea bar

- Config – Configure Data Locations – Set up one or more ASPEN work area locations, transfer locations, and Oracle repositories.
- ASPEN Locations – Display a list of data locations.
- Filters – Filter the list of providers and surveys displayed in Tree and List views.

Wizard bar

- New Survey – Create a new survey in ASE-Q.
- New Facility – Create a new provider in ASE-Q.

Drag-drop bar

- Recycle – Drag and drop a survey or provider to remove it from (respectively) your survey or provider list in Tree view and List view. This action sends the item to the Recycle node where you can restore it or delete it permanently.

  Note: If you recycle a survey, it is listed under the provider in the Recycle node, but the provider is not removed from the provider list in Tree and List views.

- Email – Drag and drop a provider (including all associated surveys), survey, or Federal regulation set to email it.
- Print – Drag and drop a provider, survey, or regulation set to print relevant reports or forms. You can choose to include or exclude Custom Help when you print a regulation set. For ASE-Q 10.0 or later, Custom Help can be converted to Content Library entries, but this option remains for states still using Custom Help.
- Export – Drag and drop a provider (including all associated surveys), individual survey, or Federal regulation set to send it to an export file.

  Note: When you export a provider from ASE-Q, all associated surveys and linked intakes are transferred, but not the provider information.

- Import – Import surveys or regulation sets.

  Note: When you import surveys, associated provider information is also imported into ASE-Q.

- My Surveys – Import surveys from ACO on which you are a team member. An Oracle repository must be defined first; click Config to do this.

More ...

Procedure: “Configure an Oracle Connection” on page 142

Customize the Toolbar

You can customize the ASPEN Survey Explorer-Quality toolbar groups as follows:

- Hide or display any of the toolbar groups.

  From the View menu, select the group (bar) that you want to hide. When a group is hidden, the checkmark adjacent to the group name on the View menu no longer appears. To redisplay the group, select the group from the View menu again.

- Move each toolbar group to a location anywhere on the ASE-Q desktop.

  Click the separator on the left and drag the group to the desired location.

- Resize a toolbar group.

  Move the cursor over any edge of the individual group (bar) until it changes to a double-headed arrow. Press the left mouse button and drag the edge of the toolbar to change the shape. You cannot resize the toolbar if it is docked along one of the edges of the ASE-Q toolbar.

You can also display or hide the status bar at the bottom of ASPEN Explorer:

In the View menu, select Status Bar and the status bar will disappear. To redisplay the status bar, select the Status Bar option again.

Tree view

Tree view has three tabs: Alpha, Type, and Survey. When you first start ASE-Q, the nodes on all three tabs are collapsed.

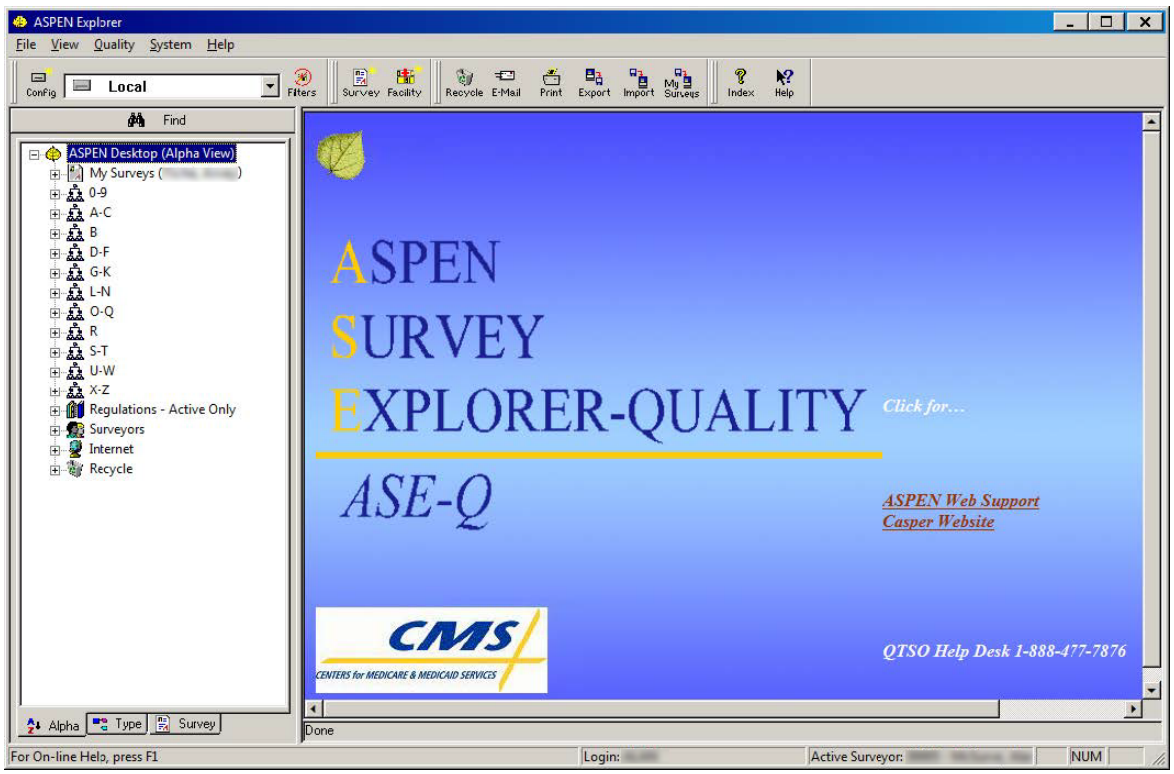


Figure 11: Tree view

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

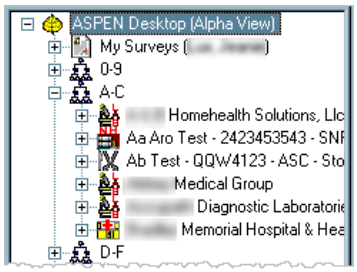


Figure 12: Expanded node

You can also double-click the node itself. You can expand as many nodes as you want. At some point, each node in the tree ends and clicking the plus sign does not further expand the tree. The plus sign still appears if there is no data associated with a particular node; however, it disappears after it is clicked.

You can collapse each node by clicking the minus sign (-) next to it. This collapses the node and lets you see other parts of the tree more easily.

Alpha tab

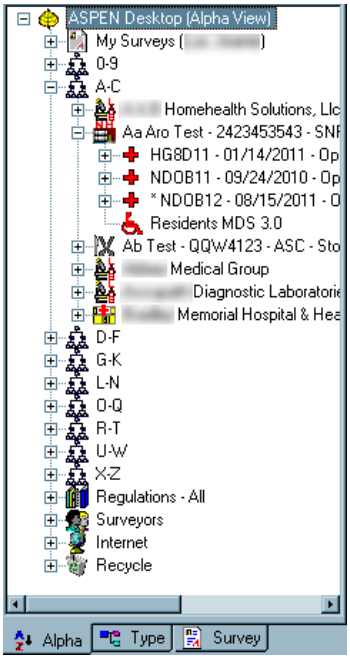


Figure 13: Alpha tree

Expand the various nodes) to view related information. Right-click an item for a menu of options.

My Surveys – Lists only the surveys you are assigned to as a team member.

Providers – Lists providers (in alphabetical groups) and surveys in your ASE-Q database. Expand a provider node to see associated surveys. Revisits are identified 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).

Regulations – Lists active regulations and tags, with the option of adding and modifying new state regulations, creating and modifying state tags for regulation sets, and importing and exporting regulation sets as needed (based upon your security settings).

ASPEN allows for updated versions of LSC regulation sets and determines which regulation sets are valid for facility buildings based on the LSC Form Indicator (K7) field in ACO. Only one version of a regulations set for the LSC Form Indicator (K7) can be selected for a survey.

Surveyors – Lists all surveyors in your ASE-Q database, with Staff ID, Name, Title, and Login ID. Click a name to select it.

Internet – The Internet node is currently disabled.

Recycle – To remove facilities and surveys from the tree, drag them to this node. If you recycle a facility, all associated surveys appear under the facility in the Recycle node; the facility and surveys no longer appear in Tree or List view. If you recycle one or more surveys, 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, you can either restore or permanently delete facilities and surveys from this node.

Type tab

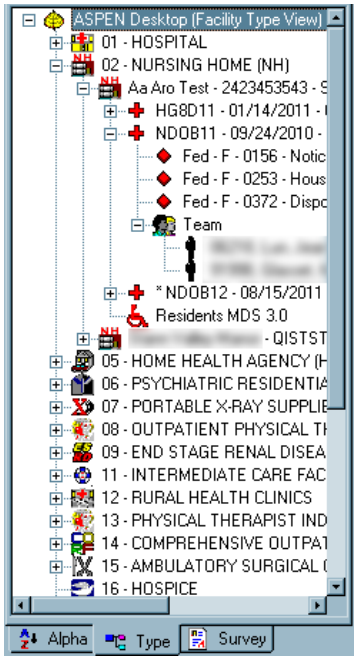


Figure 14: Type tree

Expand the various facility type nodes to view related information. Right-click an item below the facility level node for a menu of options.

Provider Types – Lists providers (in alphabetical order) grouped by provider type as well as surveys in your ASE-Q database. Expand a provider node to see associated surveys. Revisits are identified 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).

Regulations – Lists active regulations and tags, with the option of adding and modifying new state regulations, creating and modifying state tags for regulation sets, and importing and exporting regulation sets as needed (based upon your security settings).

Surveyors – Lists all surveyors in your ASE-Q database, with Staff ID, Name, Title, and Login ID. Click a name to select it.

Internet – The Internet node is currently disabled.

Recycle – To remove facilities and surveys from the tree, drag them to this node. If you recycle a facility, all associated surveys appear under the facility in the Recycle node; the facility and surveys no longer appear in Tree or List view. If you recycle one or more surveys, 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, you can either restore or permanently delete facilities and surveys from this node.

Survey tab

Lists Health and Life Safety Code (LSC) surveys, the deficiencies associated with each, and the surveyor team currently assigned to the survey.

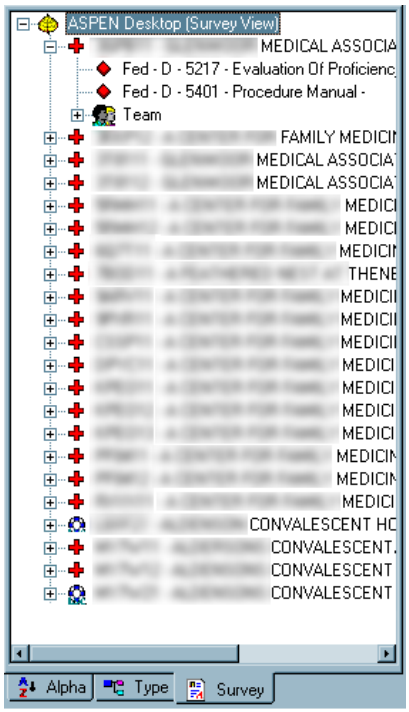


Figure 15: Survey tree

List view

When you select a node in the Tree view, the List view in the right pane of ASPEN Explorer lists the items you would see if you expanded the node in Tree view. For example, if you select a provider on the Alpha tab in the Tree view, a list of the surveys associated with that provider appears in the List view.

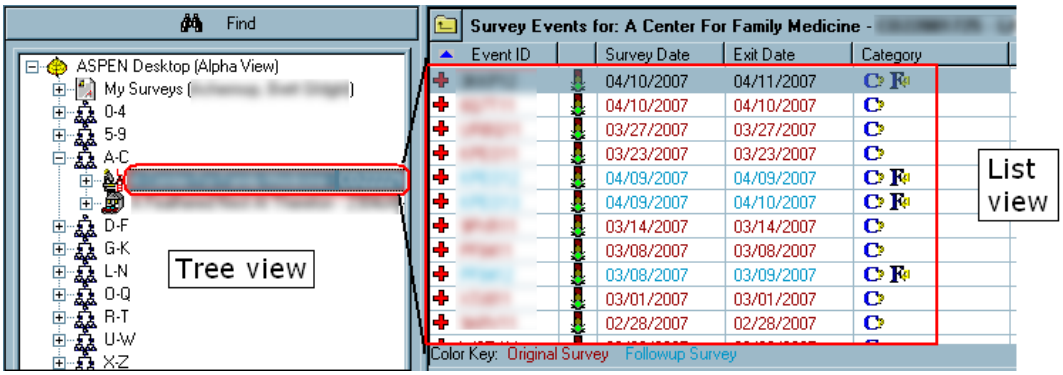


Figure 16: List view

Columns

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

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

Specify View Format

You can choose which of three formats to use to display items in List view:

- Icon View

  Displays the icons for the items and their names or IDs in rows.

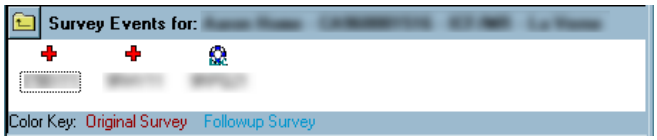


Figure 17: Icon view

- List View

  Displays the icons for the items and their names in columns.

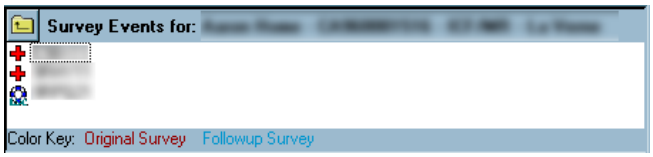


Figure 18: List view

- Report View (default view)

  Displays item names and details on a grid with labeled columns.

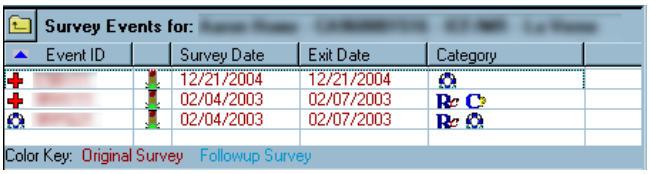


Figure 19: Report view

To specify view format:

1. In the **List** view, move the cursor to an empty area and right-click.

   -or-

   Right-click an item in **List** view and select **View**.

2. Select the option you want: **Icon View**, **List View**, or **Report View**.

Print List View

You can print certain items (surveys, regulations) in List view and specify formatting. You can set the margins, select the font for the header, text, and footer, and enter header and footer text.

To print items in List view:

1. Right-click anywhere in the **List** view, and select **Print Screen** to open the **List print** window.
2. Select a **Header** font style and size.
3. Enter the header text.

4 Select a **Content** font style and size for the text in the **List** view. Enter a **Page format** for page numbering.

Use **%d** to indicate the page number. Three possible page numbering formats are shown below; assume the page number is 3.

Page %d of %d would print “Page 3 of 20” for a report with 20 pages.

Page %d would print “Page 3”.

%d would only print “3”.

The page number is printed by default in the upper right-hand corner of the report.

5 Select a **Footer** font style and size.

6 Enter the **Footer** text.

7 Click the **Margins** tab and enter the **Top**, **Left**, **Right**, and **Bottom** margins for the main body of text.

The units are in pixels and are multiplied by 1,000 to calculate the margin. For example, a top margin of 1 is equal to a margin of 1,000 pixels, and a top margin of 10 is equal to 10,000 pixels.

8 Click **Print...** on either tab to print the data in the **List** view.

You can click the **Printer Setup...** button on either tab to adjust the printer settings.

9 In the **Print** window, click **OK**.

Items in the List view are printed. Information represented in icon form does not print.

Detail view

When you select an item in the List view, the Detail view in the lower right pane of ASPEN Explorer lists details about that item. For example, if you select a survey in the List view, details about the survey appear in the Detail view.

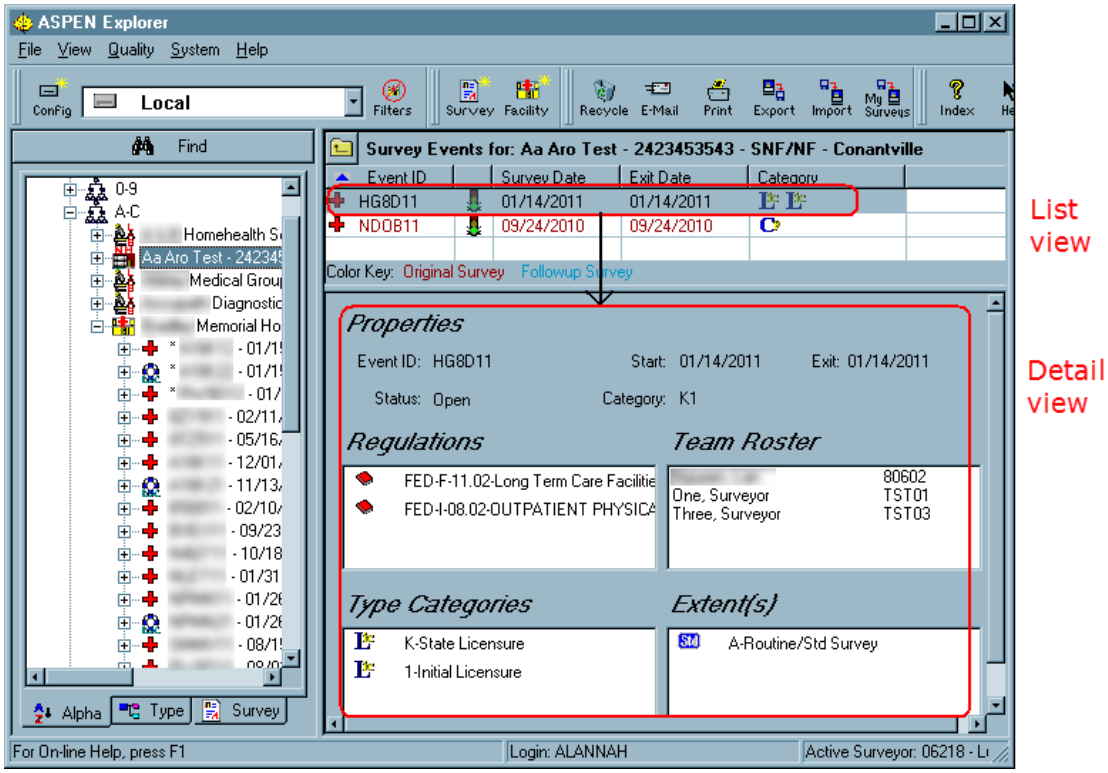


Figure 20: Detail view

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 allegation on any tab in Tree view or List view to display allegation details and findings

-or-

➥ Select a tag in Tree view to display citation text.

2 Highlight the text you want to copy.

3 Right-click and select **Copy**.

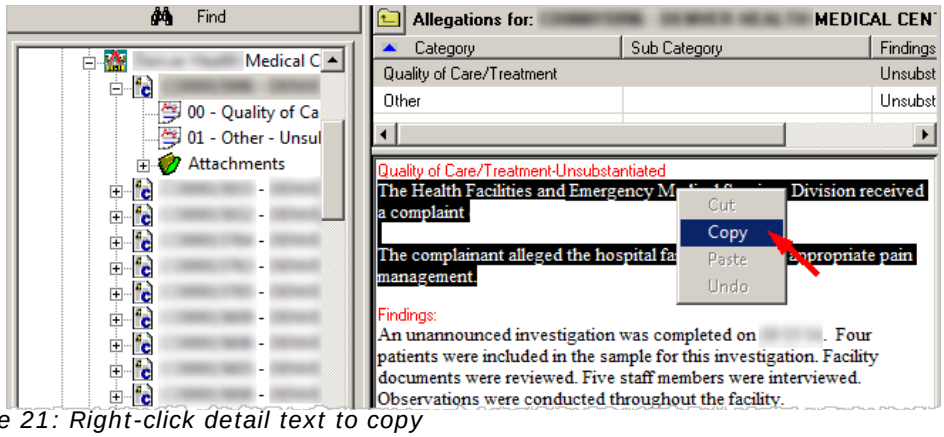


Figure 21: Right-click detail text to copy

Filter the Display

We recommend that you customize your Tree view. It helps save time if you are working on a network version of ASE-Q. It also lets you see only what you need to see. You can change these settings at any time.

By default, Tree view includes all the facilities/providers and surveys in your ASE-Q database. By defining filters, you can:

- Limit the display to those records that concern you.
- Reduce the amount of scrolling you have to do.
- Increase application response time.
- Enhance display refresh (redrawing) efficiency.

ASE-Q maintains a list of each user's filter settings.

To filter the display:

1 In the ASE-Q toolbar, click **Filters**.

2 In the **Survey View Selection** window, click the **Activate Filter** box to turn on the filter.

3. To limit the display by **Facility Type** and/or **Survey** type, select the types you want to see.

   To display providers and/or surveys of all types, select All as appropriate.

4. To filter the surveys you see by date, select "**Surveys within**" or "**Surveys from**."

   If you selected "Surveys within", enter a number of days. This tells ASE-Q to list surveys with a date within that number of days.

   If you selected "Surveys from", enter the earliest and latest dates of the surveys you want to display.

5. To limit the surveys you see by status, select **Open Surveys** or **Closed Surveys**.

6. Click **OK** to save your changes.

   The system redisplays the tree. Tree and List views now show only those items that match your selections. You can change your selections at any time.

More ...

Screen: "Survey View Selection window" on page 193

Interface Features

ASPEN Survey Explorer-Quality has a standardized user interface. Elements of this interface are described here once, rather than repeatedly throughout the guide.

Keyboard Navigation

You can use your mouse or keyboard to move around in ASE-Q. The instructions in this guide generally assume you use your mouse. If you prefer to navigate via keyboard, use the following keys:

Tab

Moves from field to field or button to button.

Shift + Tab

Moves backward from field to field or button to button.

Enter

Performs the action of the currently highlighted button.

Alt + letter key

Use the **Alt** key plus the letter that is underlined in a menu to access a menu. Then use just the underlined letter key to access a menu option. For example, press **Alt+f** to access the **File** menu, then press **s** to select **New Survey**.

Drop-down Lists

Many ASE-Q windows display drop-down lists, also known as list or combo boxes, that give you a list of items to choose from. To use your mouse to make a selection, click the drop-down arrow to display the list. Then click the item you want.

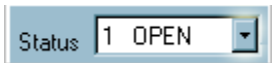


Figure 22: Drop-down list

To use the keyboard, press **Tab** or **Shift+Tab** as needed to go to the field. Then press the **Down Arrow** or **Up Arrow** on your keyboard to scroll through the list of options.

Date Entry

You can enter dates manually or select them using ASE-Q's built-in calendar.

To enter a date manually:

➥ Use the format **mm/dd/yyyy**.

Type only the numbers and the system automatically formats them.

If you enter just the last two digits of the year, ASE-Q supplies the first two digits: 19 if you enter 80 or more, 20 if you enter less than 80.

To select a date:

1 Click the drop-down arrow next to a date field to display the calendar.

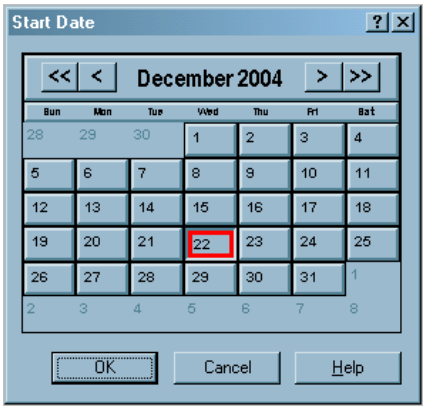


Figure 23: Calendar

2 Click **<** or **>** to move backward or forward one month. Click **<<** or **>>** to move backward or forward one year.

3 When the proper month and year are displayed, click the appropriate day on the calendar, and click **OK**.

ASE-Q inserts the date into the field using the format, **mm/dd/yyyy**.

Note: To enter today's date, **Ctrl+click** the drop-down arrow by the date field.

Wildcards

When you search the ASE-Q database, you can use an asterisk (*) as a wildcard or place holder in your search text. If you place the asterisk at the start of the search text, ASE-Q finds all items that start with any text, including your search text, and contain your search text. If you place the asterisk between two characters in your search text, ASE-Q finds items that contain the two characters in the order you typed them but allows other characters to occur between them.

Here are some examples of name searches:

You type	ASE-Q finds
bu	**Bu**chanan
*bu	**Bu**chanan Jaco**bu**s
b*u	**B**an**u**elos **Bu**chanan Jaco**bu**s Rora**b**a**u**gh

Here are some examples of provider ID searches:

You type	ASE-Q finds
23	**23**7711
*23	**23**7711 461**23**6
2*3	**23**7711 **2**9863**5**
*2*3	**23**7711 **2**9863**5** 461**23**6

Required Fields

Some required fields are highlighted in yellow. You will receive an error message and may not be able to save changes and exit a window if required fields are not completed.

Configure Facility Groups

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

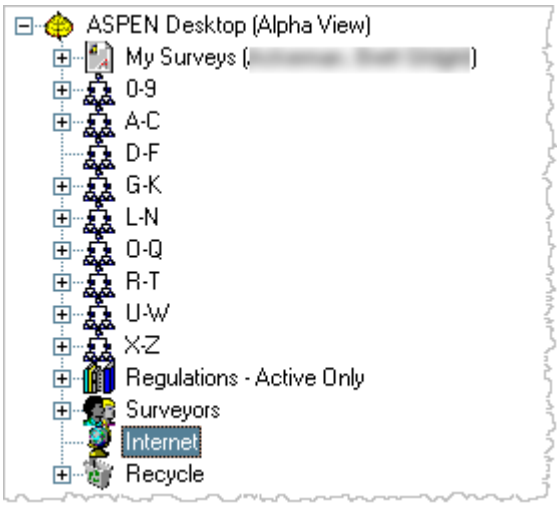


Figure 24: Tree view

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

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

To configure facility groups:

1. In the main window, right-click **ASPEN Desktop (Alpha View)**.
2. From the right-click menu, select **Configure Groups** to display the **Facility Groups** menu.
3. Select a group to reconfigure; for example, change the 0-9 group into two groups, 0-4 and 5-9.
4. In the **Facility Groups** menu, highlight the **0-9** node.
5. In the **Group Properties** section, supply a **Display Value** to appear in the tree (i.e., **0-4**), and **Low** (**0**) and **High** (**4**) values.
6. Click **Save**.

7 Click **New** to create a second node for the rest of the numeric facilities.

8 In the **Group Properties** section, supply a **Display Value** to appear in the tree (i.e., **5-9**), and **Low** (**5**) and **High** (**9**) values.

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

The ASPEN tree will refresh to display the new values.

ASE-Q IDs

ASPEN Survey Explorer-Quality uses the following IDs to identify providers and surveys:

- State Facility ID
- State License number
- Medicare Provider ID
- Medicaid Provider number
- Survey Event ID

State Facility ID

Each state assigns IDs to identify its own providers. This ID must be unique to a provider and should be permanent. It can apply to only one provider and can never be changed or reused regardless of changes in ownership, the provider's operational status, or other characteristics. This ID allows ASE-Q to maintain and report on both active and inactive providers.

The state facility ID helps states to easily relate information within ASE-Q and other CMS components, such as the MDS system, and provider information already maintained in existing state databases. Therefore, if your state already uses a unique, permanent facility ID in another system, it is highly recommended that you use this existing ID for the provider in ASE-Q.

State License Number

A state may assign a license number to a provider as well as a facility ID.

Medicare Provider ID

This number is the federally assigned Medicare identifier for a provider. This value may exist for Medicaid-only providers as well. It is also referred to as the CMS Certification Number, CCN, OSCAR or Medicare number/ID or, for CLIA, CLIA number/ID).

Medicaid Provider Number

This number is the Medicaid identifier assigned to a provider, typically for use by a state's Medicaid payment system.

Survey Event ID

When you create a survey, the system generates a unique Event ID (or Event Tracking Number). The ID allows for more than one survey event per day and more than one regulation set per survey event. Thus, if both state licenses and Federal citations are involved, you can create survey reports for both from one investigation.

The survey event ID contains six characters.

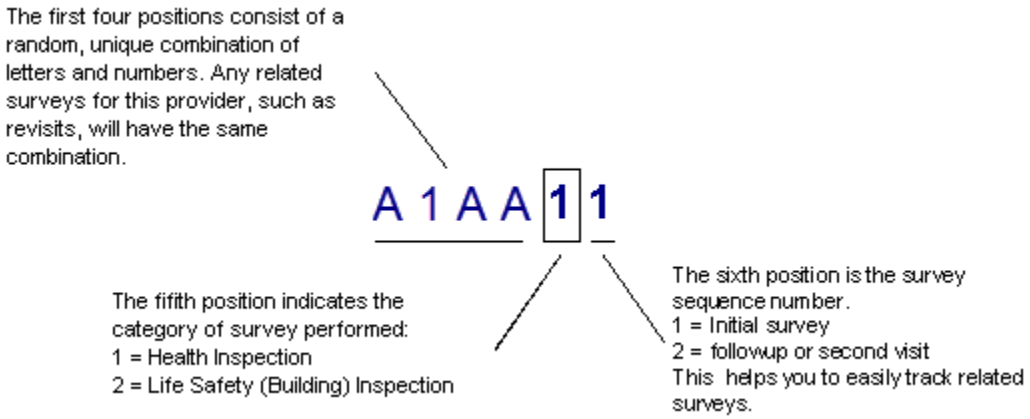


Figure 25: Survey Event ID

Providers

A provider must exist in your ASE-Q database before you can create a survey for it. The recommended practice is to create provider records in ACO, then export them to ASE-Q. For unusual circumstances, you can create provider records in ASE-Q. You can include identifying and descriptive information about the provider, an alternative mailing address, and information about buildings and wings.

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

Add a Provider

You use the Define New Facility/<FacName> Definition window to add/modify ASE-Q provider records. It is titled Define New Facility when you add a provider record. When you modify an existing provider record, i.e., update facility properties, it is called <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 will be called the Facility Properties window in this procedures guide.

Provider information that you enter in ASE-Q is not included in the state database. You cannot export provider information to ACO. You might enter provider information in ASE-Q if a situation in the field demands it. You can then enter the information again in ACO if appropriate.

TIP: You should always import provider information from ACO. It is included with surveys exported from ACO.

Facility Definition

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

To enter basic facility information:

1. On the ASE-Q toolbar, click the **Facility** icon on the toolbar to open the **Define New Facility** window.

   -or-

   From the **File** menu, select **New Facility**.

   -or-

   Right-click a facility grouping (e.g., A-C) on the **Alpha** tab or right-click a facility on the **Alpha** or **Type** tab and select **New Facility**.

2. On the **Facility Definition** tab, enter the **Facility ID**, **Provider Number**, **State License Number**, and **Medicaid** number for the provider.

3. Select the provider **Type**.

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

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

5 Enter the provider **Name**, street **Address**, **City**, **State**, **Zip code**, **Phone** and **Fax** numbers.

6 Select the **Accreditation** category for the provider.

7 Enter the **Salutation**, **First** and **Last** names, and **Title** of the **Administrator**.

Salutation is the form of address for letters to the administrator.

Values for these fields are retrieved from the Primary Administrator fields in the ACO facility record. They are populated during the transfer process.

CLIA only - The Administrator section is titled Director. You can enter only First and Last names for a laboratory director.

8 Enter the **State County Code** and the **State Region Code** for the provider.

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

More ...

Screen: "Facility Definition tab" on page 155
Procedure: “Enter NPIs” (below)

Enter NPIs

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 901Y), 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 and 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 for the provider.

   Note: The Update NPI button is disabled until you enter a Provider Number (CCN) for the facility. 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.

More ...

Screen: "NPI Information window" on page 156
Screen: "Add a New NPI window" on page 156

Mailing Address

If the mailing address is different from the physical location address you entered on the Facility Definition tab of the Define New Facility window, you can enter it on the Mailing Address tab.

To enter a mailing address:

1. In the **Define New Facility** window, click the **Mailing Address** tab.
2. Enter the **Address** of the provider; use the **Extended Address** field if the address has multiple lines.
3. Enter the **City**, **State** (select from drop-down list), and **Zip code**.
4. Select another tab, or click **OK** to save the information and exit.

More ...

Screen: "Mailing Address tab" on page 157

Buildings / Wings

The Buildings/Wings tab in the Define New Facility window provides a permanent record of buildings. When you include information about buildings, wings, etc. in the ASE-Q database, surveyors can link LSC deficiencies to the individual buildings.

Note: Building information that you enter in ASE-Q is not automatically included in the ASPEN (ACO) database. LSC surveys that are uploaded to national from ACO must have every deficiency linked to a building, so building records must be entered separately in ACO.

To add a building or wing:

1. In the **Define New Facility** window, click the **Buildings / Wings** tab.
2. Click **New** to open the **Define New Building** window.

   A message informs you that new buildings will not go to ACO if they are not already defined in ACO, i.e., new buildings will not automatically be added to the ACO (ASPEN) state database.
3. Click **Yes** to proceed.
4. Enter a two-character **Building / Wing ID**.

5 Enter the **Effective date** for the building.

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

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

Closed buildings are not brought forward into new surveys.

7 Enter the **Plan Approval** date for the building.

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

9 Select the building's **CMS Type (K3)**.

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)**.

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

13 For **ICF/IID** buildings only, select the **ICF/IID Indicator**.

Note: The Evacuation Level and E-Score fields that may be included in a building record in ACO are not displayed in ASE-Q, not even for buildings imported from ACO.

14 Specify whether the building has separate hazardous areas - **Haz. Area Separate**.

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

15 Enter the **FSES** (Fire Safety Evaluation System) **Date** and the date the building was **Constructed**.

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

17 Click **OK**.

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

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

More ...

Screen: "Buildings/Wings tab" on page 158
Screen: "Define New/Edit Building window" on page 159

Update Provider Information

You can update all information except the State Facility ID (see "Change a State Facility ID") from the Facility Properties window.

Note: Changes you make in ASE-Q are not reflected in corresponding records in the state database. You cannot export provider information to ACO.

You might update provider information in ASE-Q if a situation in the field demands it. You can then enter the information again in ACO if appropriate.

To update provider information:

1. Click the **Alpha** or **Type** tab and locate the applicable provider.
2. Right-click the provider and select **Facility Properties**.
3. In the **Facility Properties** window, click the appropriate tab and edit the information about the provider as needed.
4. Click **OK** to save your changes.

Change a State Facility ID

Generally, once you have defined a provider in ASE-Q, you should not change its state facility ID number. However, if you have entered an incorrect number, you can change it using this window.

Note: When you change a state facility ID in ASE-Q, the corresponding provider record (if there is one) in the state database is not automatically updated to reflect this.

To change a state facility ID:

1. Click the **Alpha** or **Type** tab and locate the provider with the **ID** you want to change.
2. Right-click the provider and select **Change Facility ID** to open the **Change Facility ID** window.
3. Enter the **New Facility ID** and click **OK**.

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.

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 ASE-Q 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.

You should be sure that you export the surveys to your permanent repository before deleting the provider. The repository varies according to your state's environment. Be sure to check with your ASE-Q coordinator for details on storing and deleting surveys.

Note: Changes you make in ASE-Q are not automatically reflected in corresponding records in the state database.

To permanently delete a provider:

1. Right-click the provider in the **Recycle** node and select **Delete**.
2. Click **Yes** in the confirmation message.

   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.

Surveys

The recommended practice is to first create survey shells in ACO or ACTS, then export them to ASE-Q. For unusual circumstances, you can create standard Health and LSC surveys and revisits in ASE-Q.

To complete a survey, you perform the following major tasks:

- Create the facility that is the subject of the survey, if necessary.
- Enter basic survey information.
- Export survey to the survey team (optional).
- Enter citation information.
- Import surveys from all team members and combine into a single survey, if applicable.

- Print letters, forms, reports.
- Create followup surveys, if needed.

Note: For information about LTCSP surveys and related procedures, refer to the *State Operations Manual Appendices*. Scroll down to Appendix P and download it.
For information about creating and administering ASE-Q user accounts in ACO, refer to the latest version of the *ACO Procedures Guide*, which is posted on https://qtso.cms.gov.

More ...

Procedure: "Add a Provider" on page 41
Procedure: "Schedule a Survey" on page 49
Procedure: "Schedule a Revisit" on page 54
Procedure: "Record Deficiencies" on page 59
Procedure: "Import Data" on page 103
Procedure: "Export Data" on page 105
Procedure: "Email Data" on page 110
Procedure: "Generate Custom Letters" on page 127
Procedure: "Print Survey Forms" on page 130
Procedure: "Print Quality Reports" on page 137

Schedule a Survey

A new survey can be set up at any time, even before the survey visit. Keep in mind that the recommended practice is to first create survey shells in ACO or ACTS that specify the dates and team, then export them to ASE-Q. This makes it easier to combine the surveys from all team members. When you import a survey into ASE-Q from ACO or ACTS, team members and the provider are added to your ASE-Q database if they are not already there. See "Data Transfer" on page 101 for details.

In the unusual circumstance that you need to create a survey in ASE-Q, the option is available from the Alpha or Type tab, from the File menu, or from the New Survey button on the toolbar. When you save a new survey, it is assigned an event ID number and listed in the Tree view. 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. For example, you cannot add or edit citations if a survey is closed.

Set up filters if you want to limit the surveys that are listed in ASPEN Explorer. For example, you might want to list only open surveys. If you do not define any filters, ASE-Q lists all surveys. See "Filter the Display" on page 34 for more information.

If both a Health and LSC survey are required, you can link them to show that they are related. See "Link Health and LSC Surveys" on page 53.

After you conduct the survey, you can enter citations. See "Record Deficiencies" on page 59.

To create a survey via the Alpha or Type tab:

1 Click the **Alpha** or **Type** tab and locate the provider you plan to survey.

2 Right-click the provider and select **New Survey**.

3 In the **Define Survey** window, enter the **Start** and **Exit** dates.

4 Select the **Status**.

5 Click **Facility Details** for a read-only view of information about the current provider in the **Facility Properties** window.

6 Select the survey **Type**.

7 Select the **Regulations** that apply to the survey.

8 If you want to update the **Team Roster**, click **Update...**.

➥ In the window, select the names of one or more surveyors you want to add to this survey. Click **OK** to save your additions and return to the **Define Survey** window.

Note: At least one surveyor must be listed in order to cite a tag.

9 Select the **Survey Categories** and **Extents**, then click **OK**.

You can select more than one of each if appropriate.

10 When asked if you want to proceed to **Citation Manager**, click **Yes** to enter citation details now, or click **No** and enter them later.

Yes is the default.

To create a survey via the New Survey button or File menu:

1 Click **Survey** on the ASE-Q toolbar.

-or-

From the **File** menu, select **New Survey**.

2 In the **Find Facility** for **New Survey** window, enter all or part of the **Facility ID**, **Provider Name**, **Provider ID**, or **License Number** in the **Text** field.

You can enter part of a name or ID and use wildcards.

3 Select the search **Type**.

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

4 Click the **Find Now** button.

The providers 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.

The Define Survey window appears.

6 Continue with 3 in the “create a survey via the Alpha or Type tab” procedure above.

More ...

Screen: "Define Survey/Survey Properties window" on page 161
Procedure: “Assign Regulation Sets” on page 51
Screen: "Select Surveyors window" on page 162
Procedure: “Record Deficiencies” on page 59
Screen: "Find Facility for New Survey window" on page 160
Procedure: “Wildcards” on page 37
Screen: "Define Survey/Survey Properties window" on page 161

Assign Regulation Sets

Your ASE-Q coordinator has linked regulation sets to each provider type. This determines which regulation sets are listed in the Regulations section of the Define Survey window. See your coordinator if the list of regulation sets needs to be updated.

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 currently 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. ASPEN determines which regulation sets are valid for the buildings based on the LSC Form Indicator (K7) in ACO. Only one version of a regulation set for the LSC Form indicator (K7) can be selected for a survey.

- To see the Short Form K regulation set and all state regulation sets as well, click **Show All**.

  If you specify both Federal and state survey categories, 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 sets as well, but you cannot select only state regulation sets.

  You cannot select a Short Form regulation for an LSC survey if the Exit Date is on or after 11/01/2016. 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.

Update a Survey

You can view and update an open survey as necessary. You can view, but not make changes, to closed surveys.

To update a survey:

1. Click any tab in **Tree** view and locate the applicable survey.
2. Right-click the survey and select **Survey Properties**.
3. In the **Survey Properties** window, update the survey information as needed.

   To add or remove Regulations, Survey Categories, or Extents, simply select or deselect items.

   TIP: You should change the survey Status to Closed at the end of a survey. You can then exclude those surveys from display in ASPEN Explorer.

4. To update the **Team Roster**, click **Update...**.
5. In the **Select Surveyors** window, select or deselect the names of surveyors for the survey team.

6 Click **OK** to save your changes and return to the **Survey Properties** window.

7 Click **OK** to save your changes.

8 To see who last updated a survey, locate it in the ASE-Q 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: "Define Survey/Survey Properties window" on page 161
Screen: "Select Surveyors window" on page 162

Link Health and LSC Surveys

If you are performing both a Health and LSC survey for a full certification of a provider, you can link the two surveys. This gives both surveys in ASE-Q the same first four digits in the event ID and makes it easier to track the surveys related to the same certification.

To link a Health and LSC survey:

1 Create one of the survey types.

2 In **Tree** view, right-click the survey you just created and select either **Create Health Survey** or **Create LSC Survey**.

The available option depends on which type of survey you have already created. For example, if you created a Health survey, click Create LSC Survey to create a linked LSC survey.

3 Enter the survey information and click **OK**.

The new survey is added to the tree in ASPEN Explorer. It assigns the same event ID to the new survey as for the original survey except for the next to last digit. This tells you that the surveys are related.

For example, if the Health survey event ID is ABCD11, the linked LSC survey event ID will be ABCD21. The 2 in the fifth position indicates LSC.

More ...

Procedure: “Schedule a Survey” on page 49

Schedule a Revisit

Once you complete a survey and receive a plan of correction (POC), you can schedule a revisit to ensure the POC has been properly implemented. ASE-Q lets you easily 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.

To schedule a revisit:

1. Click any tab in **Tree** view and locate the applicable survey.
2. Right-click the survey and select **Create Followup Survey**.
3. In the **Create Followup** window, enter the **Start** and **Exit** dates for the revisit.

   The dates of the original survey appear by default. You can change the dates as needed.
4. If necessary, click **Update...** to add or remove team members.
5. If you want to copy your original citation text into the revisit survey, select the **Carry Text Forward** checkbox.

   Note: Past Non-Compliance (PNC) tags are not carried forward from the standard survey when you create a revisit.
6. Click **OK**.

   A revisit survey is created and added to the tree in ASPEN Explorer. It has the same event ID as the standard survey, except the last digit is incremented by one. Revisits are identified on the Alpha and Type tabs by an asterisk preceding the event ID.

   You can now create citations for the revisit survey. The process for revisits is the same as for standard surveys.

Note: If changes are made to the standard survey or the preceding revisit, you must manually update the current revisit as appropriate.

More ...

Screen: "Create Followup window" on page 162
Procedure: “Record Deficiencies” on page 59

Change Event ID

You can change the event ID that ASPEN Survey Explorer-Quality assigns *only* for surveys that are *not* certification-related or linked to an investigation. You might do this to match your event ID to the event ID that another surveyor has for the same survey. This enables you to transfer the surveys and combine them into a single survey.

TIP: Rather than changing the event ID after team members have created separate surveys on their computers, we recommend that you create a single shared survey as outlined in "One Survey–Multiple Surveyors" on page 96.

If you are transferring a survey, it is better to first go to the computer to/from which you are exporting/importing and change the event ID there, then export/import the survey. That way, the transferred survey is automatically merged and the event ID matches on both computers.

When you change the event ID for a survey in ASE-Q, the corresponding survey (if there is one) in the state database is not automatically updated to reflect this.

To change an event ID:

1. Click any tab in **Tree** view and locate the applicable survey.
2. Right-click the survey and select **Change Event ID**.
3. In the **Change Event ID** window, enter the new event **ID** and click **OK**.

   If the event ID matches that of a survey on your machine, a prompt asks if you want to merge the surveys.
4. Click **Yes** or **No** as appropriate in the confirmation message.

   If No, the event ID is not changed.

Remove a Survey

You can move one or more surveys to the Recycle node in the Tree view to remove them from your survey 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 survey(s) from the Recycle node.

Recycle a Survey

When you move a survey to the Recycle node in the Tree view, it is removed from your survey list, but you can restore it later if necessary.

To move a survey to the Recycle node:

1. Click any tab in **Tree** view and locate the survey.
2. Drag the survey to the **Recycle** button on the ASE-Q toolbar.
3. Click **Yes** in the confirmation message.

   The survey is moved from the survey list to the Recycle node in the Tree view. It is listed there under its associated provider.

   -or-

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

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

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

   The survey(s) are moved from the survey list to the Recycle node in the Tree view.

Restore a Recycled Survey

If you need to access a survey that was moved to the Recycle node, you can restore it to the survey list.

To restore a recycled survey:

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

   The survey is moved back to the survey list.

   -or-

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

   The survey(s) are moved back to the survey list.

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.

You should be sure that you export the survey to your permanent repository before deleting it. The repository varies according to your state's environment. Be sure to check with your ASE-Q coordinator for details on storing and deleting surveys.

Note: When you delete a survey in ASE-Q, the corresponding survey (if there is one) in the state database is not automatically deleted.

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 "Delete a Provider" on page 48.

Citations

Once you have conducted a survey, you can enter citations. From the Citation Manager window, you can perform the following tasks:

- Create new citations.
- Enter citation information.

- Enter your citation text.
- Update citations.
- Delete citations.
- Restore lost citation text.
- Create and insert Content Library tag text.
- Copy citation text from one citation to another.
- View former citations for a tag.
- Change the order of citations.
- Enter or change correction dates.
- View the text of regulations and interpretive guidelines.
- Search citation text, interpretive guidelines, and regulations.
- Enter Plan of Correction (POC) text.
- Enter tag-level POC dates.
- Add and view survey-level attachments.
- Print CMS survey forms.
- Print customized form letters.

More ...

Procedure: “Record Deficiencies” on page 59
Procedure: “Specify Citation Properties” on page 60
Procedure: “Enter Citation Text” on page 62
Procedure: “Modify a Citation” on page 64
Procedure: “Delete a Citation” on page 64
Procedure: “Insert Backup Citation Text” on page 66
Procedure: “Build and Use a Content Library” on page 73
Procedure: “Copy Citation Text” on page 65
Procedure: “View Former Citations” on page 67
Procedure: “Specify Correction Dates” on page 69
Procedure: “View Regulations, IGs, and Custom Help” on page 70
Procedure: “Find Text: Citation, IG, Regulation” on page 70
Procedure: “Enter POC Text” on page 71
Procedure: “Enter Tag-Level POC Dates” on page 72
Procedure: “Add Survey-Level Attachments” on page 81
Procedure: “Print Survey Forms” on page 130
Procedure: “Generate Custom Letters” on page 127

Record Deficiencies

If you are a member of the survey team, you can add citations to an open survey as necessary, but you cannot add citations if a survey is closed.

To record a citation:

1. Click any tab in **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.

   Note: When you create a new survey, you can choose to go directly to the Citation Manager.

3. In the **Regulations** section, select the tag you want to cite and drag it to the **Citations** section.

   -or-

   Double-click the tag in the **Regulations** list.

   Condition level tags are displayed in green in both the Regulations and Citations sections.

4. In the **Citation Properties** window, enter the citation information and click **OK**.
5. Enter citation text in the **Citation** word processor.
6. Repeat steps **3** through **5** for each citation.
7. To enter survey-level comments, select a surveyor in the **Team Roster** and click **Remarks-Non-Confidential**.
8. Attach supplemental materials in electronic format, if any, to the survey.
9. Click **Done** to exit the **Citation Manager** window.

More ...

Screen: "Citation Manager window" on page 163
Procedure: “Specify Citation Properties” on page 60
Procedure: “Enter Citation Text” on page 62
Procedure: “Add Survey-Level Attachments” on page 81
Procedure: “Enter Remarks-Non-Confidential” on page 82

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 Severity/Scope field, Grid, Correction Date, and Buildings section are disabled or do not appear if they do not apply.

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. Click any tab in **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. Right-click a citation in the **Citations** section of the **Citation Manager** window and select **Citation Properties**.

4. In the **Citation Properties** window, enter a **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 anywhere in ASPEN for a tag, 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.

5. **NH only -** Select the **Past Noncompliance** indicator if applicable.

   If you select this indicator for a citation on a standard survey, the Correction Date field will be displayed and enabled.

   You can cite PNC tags on a survey as well as current non-compliance tags. PNC citations are allowed on revisits.

6 **CLIA only** - Select the **IQCP** (Individualized Quality Control Plan) checkbox, if appropriate.

The checkbox appears only for eligible tags on surveys marked as IQCP. A 'P' is appended to IQCP tags in the Citations section of the Citation Manager.

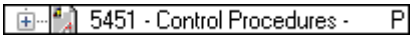


Figure 26: IQCP tag

If you cite an eligible tag, but do not mark it as IQCP, the P does not appear.

Tags marked as IQCP are included on the CMS-2567 (though they are not distinguished as IQCP) and are uploaded.

7 Enter the **Correction Date** if applicable.

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 for NHs, but they are deselected by default for other provider types.

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 of the **Citation Properties** window.

NH - The POC Detail section is disabled if the PNC indicator is selected.

CLIA - If the QC Exclusion checkbox was selected for a tag prior to 01/01/16, the POC Detail section is disabled.

11 **Transplant Hospitals only -** Click the **Transplant Types** button and select the transplant types to which the citation applies.

The number on the button indicates how many types are currently selected.

➥ Click **Update Dates** in the Select Transplant Types window to enter **Completion** (X5) and **Correction** dates for each transplant type associated with the citation.

12 **CLIA only -** Click **Specialties...** and select the applicable specialties and sub-specialties (tests) to associate with the citation.

Only specialties applicable to the current D tag are listed.

Note: The Specialties button is enabled only for tags that require specialty information.

13 For each selected test, specify its **Complexity**.

More ...

Screen: "Citation Manager window" on page 163
Screen: "Citation Properties window" on page 166
Procedure: “Enter Tag-Level POC Dates” on page 72
Screen: "Select Transplant Types window" on page 169
Screen: "Citation Dates by Transplant Type window" on page 170
Screen: "Select CLIA Specialties/Sub-specialties window" on page 171

Enter Citation Text

You enter/edit 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 Click any tab in **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 Double-click a citation in the **Citations** section of the **Citation Manager** window to open the **Citation** word processor.

TIP: To open the Citation word processor from the 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 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.

---

5 Click **OK** to save the citation text and return to the **Citation Manager** window.

More ...

Screen: "Citation Manager window" on page 163
Screen: "ASPEN word processor" on page 201
Procedure: “Build and Use a Content Library” on page 73
Procedure: “Copy Citation Text” on page 65
Procedure: “View Regulations, IGs, and Custom Help” on page 70

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. Click any tab in **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. Right-click a citation in the **Citations** section of the **Citation Manager** window and select **Citation Properties** to open the **Citation Properties** window.
4. Update the properties as needed.
5. When you are finished, click **OK** to return to the **Citation Manager** window.
6. Open the **Citation** word processor for the citation and edit the citation text as needed.
7. Click **OK** to save the text and return to the **Citation Manager** window.

More ...

Screen: "Citation Manager window" on page 163
Procedure: “Specify Citation Properties” on page 60
Procedure: “Enter Citation Text” on page 62

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 in ASE-Q as a supervisor.

To delete a citation:

1. Click any tab in **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, right-click a citation and select **Delete**.

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

The citation is permanently deleted.

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 if there were at least 500 characters of citation text.

More ...

Screen: "Citation Manager window" on page 163
Procedure: “Insert Backup Citation Text” on page 66

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 Click any tab in **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, right-click a tag and select **Copy To**.

4 In the **Existing cites for survey** window, select the citation you want to copy the text to and click **Copy To**.

5 Click **OK** in the confirmation message.

6 Click **Close** to close the **Existing cites** window.

More ...

Screen: "Citation Manager window" on page 163

Insert Backup Citation Text

When the Citation window is open for entering or editing citation text, ASE-Q 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 ASE-Q Data directory. ASE-Q 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 window 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. Click any tab in **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.

   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.

   TIP: To open the Citation word processor 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** window, select **Insert Backup File** from the **File** menu.

ASE-Q displays the contents of the WPBackupDir folder in the Select Backup File window.

5 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.

6 Double-click the file to insert the text into the **Citation** window.

Note: ASE-Q overwrites existing backup citation text files every two minutes only if more than 500 new characters have been entered in the Citation window. This prevents the backup from being overwritten by the contents of an empty Citation window while you are locating and inserting the file.

More ...

Screen: "Citation Manager window" on page 163

View Former 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 previously for a tag for any provider and any survey. You can copy the text from these former citations or from the associated regulation or interpretive guideline and insert it into your current citation text as appropriate.

To view former citations in Citation Manager:

1 In the **Citations** section of the **Citation Manager** window, right-click a tag and select **Former Cites**.

The Former Cites window lists the surveys, providers, surveyors, and scope/severity code for each time that this 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 former 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 **Former Cites**.
4. Continue with step 2 in the "view former citations in Citation Manager" procedure above.

To copy text into your citation:

1. In the [**Citation**] **Text**, **Regulation Text**, or **Interpretive Guideline Text** window, select the text and press **Ctrl+c** to copy it.
2. Click **Done**.
3. Click **Close** in the **Former 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** window, click where you want to add the copied text.
6. Press **Ctrl+v** to paste the text.

More ...

Screen: "Former Cites window" on page 174

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. Click any tab in **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, right-click a tag or citation (right-click a surveyor's name) and select **Order By**.

4 In the **Order Team Members** window, click a surveyor's name.

5 Click either **Up** or **Down** to reposition that surveyor in the list.

6 Repeat with other surveyors as needed.

7 Click **OK** to save your changes and return to the **Citation Manager** window.

The citations will now be printed in the order you set up.

More ...

Screen: "Citation Manager window" on page 163

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 specify correction dates:

1 In **Tree** or **List** view, locate the survey with citations for which you want to add or change the **Correction Date**.

2 Expand the survey in **Tree** view to display the citations.

-or-

Click the survey in **Tree** view to display the citations in **List view**.

3 In **Tree** or **List** view, right-click a citation and select **Correction Dates**.

4 Click **All** to change the correction date on all the citations associated with the survey.

-or-

Click **Selected** to change the date on the selected citation only.

5 In the **Correction Date** window, enter a new **Correction Date** and click **OK**.

The correction date for all citations or the selected citation 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.

TIP: You can also view regulation, interpretive guideline, and custom help text from the Citation word processor and Regulatory Tag Properties windows.

To view regulation, IG, and custom help text:

1. Click any tab in **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 a tag in the **Regulations** section.

4. 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.

   If text of the selected type does not exist for the current tag, a message tells you: “No <TextType> for Citation Tag <nnnn>.” Click OK to return to the Citation Manager window.

5. Click **Done** to return to the **Citation Manager** window.

More ...

Screen: "Citation Manager window" on page 163

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. Click any tab in **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, click **Find...**.

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.

More ...

Screen: "Citation Manager window" on page 163

Enter POC Text

To enter Plan of Correction (POC) text into ASE-Q, you can either:

- Enter information directly into the ASPEN POC word processor.

  -or-

- Scan the POC text and import it into the ASPEN POC word processor.

  You must first scan the POC, convert the file to text, and save it as a .txt or .rtf file before importing. Refer to your scanner manual for information about how to do this.

To enter POC text:

1 Click any tab in **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, right-click a citation and select **POC Text** to open the **POC Details** word processor.

TIP: To open the POC Details word processor from Tree view:
Locate the applicable survey and expand it to display associated citations, then right-click a citation and select **POC Text**.

4 Enter the **POC** text.

You can enter as much text as you need. This window has basic word processing capabilities that you can use to format the text.

5 Click **OK** to save the text and return to the **Citation Manager** window.

To import scanned POC text:

1 Open the **POC Details** window as above and select **Import** from the **File** menu.

2 In the **Import** window, navigate to the folder where the scanned file is stored.

3 Select the file and click **Open**.

The text is imported from the file into the POC Details window.

This window has basic word processing capabilities that you can use to format the text.

4 Click **OK** to save the text and return to the **Citation Manager** window.

More ...

Screen: "Citation Manager window" on page 163

Enter Tag-Level POC Dates

You can enter tag-level POC dates in the Citation Properties/Update Citation Properties window or POC Details word processing window. If you enter or change a POC date in one location, it is updated in the other location.

NH - The POC Detail section in the Citation Properties/Update Citation Properties window is disabled if the PNC indicator is selected.

CLIA - The POC Detail section is disabled if the QC Exclusion checkbox is selected.

To enter tag-level POC dates:

1 Click any tab in **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, right-click a citation and:

Select **Citation Properties** to open the **Update Citation Properties** window.

The POC date fields are in the POC Detail section at the bottom.

-or-

Select **POC Text** to open the **POC Details** word processor.

The POC date fields are at the bottom.

TIP: To open the POC Details word processor from Tree view:
Locate the applicable survey and expand it to display associated citations, then right-click a citation and select POC Text.

---

4 In the **POC Received from Facility** field, enter the date the POC was received from the provider.

5 In the **Facility POC Complete** field, which corresponds to field **X5** on the **CMS-2567**, enter the date the provider promised to correct the deficiency.

6 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**.

7 In the **SA POC Accepted** field, enter the date the State Survey Agency accepted the POC.

More ...

Screen: "Citation Manager window" on page 163

Build and Use a Content Library

The Content Library feature allows you to create and maintain predefined regulation-specific tag text for all tags. Add entries to the Content Library once, and then use the text again whenever needed in citations. More than one Content Library entry can be linked to one tag. You can export and import a Content Library and transfer Content Library entries to new regulation sets.

Note: Beginning with ASPEN 10.0, 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 applicable citations as needed.

To open the Content Library Tag Text window:

1. Click any tab in **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 your 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 word processing capabilities that can be used to format the text.

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 163
Screen: "Content Library Tag Text window" on page 172

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 **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.

4 In the **Citations** section of the **Citation Manager** window, locate and double-click the applicable tag to open the **Citation** word processor.

TIP: To open the Citation word processor 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.

5 In the **Citation** word processor toolbar, click the **Content Library Tag Text** button.

Figure 27: Content Library Tag Text button in the Citation word processor toolbar

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.

6 Select the Content Library text item you want to add to the citation text.

➥ 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 163
Screen: "Content Library Tag Text window" on page 172

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 **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...**

   Note: 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 the text as needed and click **OK**.

   Use the basic word processing capabilities to format the text.

More ...

Screen: "Citation Manager window" on page 163
Screen: "Content Library Tag Text window" on page 172

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 **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**.

Note: 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 163
Screen: "Content Library Tag Text window" on page 172

Export a Content Library

You can export all tag text items in the ASE-Q 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 transfer 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 and can be imported into another copy of ASE-Q, or copied to a USB drive and transferred to another machine.

Import a Content Library

You can import a Content Library that has been exported to a transfer file; see "Export a Content Library" on page 77 above. 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.

   The imported Content Library entries are added to your existing Content Library, and are now available for use.

   Note: Predefined text already added to citations is *not* changed. That is, if citations include predefined text items from the previous Content Library that are different in the imported Content Library, the existing citation text is *not* updated.

Copy Content Library Text to New Reg Sets

Content Library entries are linked to tags in a specific regulation set version. As new regulations are published, you can use the Convert Content Library tool to conveniently transfer Content Library entries linked to individual tags from an existing regulation set to a new regulation set. You can also copy Custom Help items for specific tags, which are converted to Content Library entries in the process.

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 ASE-Q sees that an entry already exists in the destination reg set.

  ASE-Q 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, ASE-Q 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.

  ➥ 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.
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. Click in the From Tag field for the destination tag to display a list of source regulation set tags with Content Library entries, and select the appropriate tag.
5. To let ASE-Q 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 173

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 173

Add Survey-Level Attachments

You can add survey-level attachments to individual surveys. These attachments are listed on the Alpha, Type, and Survey tabs in Tree view under the Attachments node for the survey. Survey-level attachments are included in exports.

Attachments can include supplemental materials in electronic format, such as relevant document files and digital photos.

Note: The survey-level Attachments node does not appear if there are no attachments.

To add a survey-level attachment:

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 ASE-Q, 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 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 survey.

Figure 28: Attachments node

To view or modify 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** to open the attachment you want to view or modify.

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 175

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 163

View Repeat Deficiencies - CLIA

For the current CLIA lab, the Citation Manager provides access to a list of repeat deficiencies from previous surveys (conducted since 1/12/2004) that used the same regulation set as the current survey. You can view citation text to determine if a tag is cited on the current survey for the same reason it was cited previously. You can also view regulation text and interpretive guidelines for each previously cited tag.

To view repeat deficiencies for a CLIA lab:

1. Click the **Alpha**, **Type**, or **Survey** tab and locate the applicable survey.
2. Right-click the survey 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, click the **Repeat Deficiencies** button at the bottom of the screen to open the **Repeat Deficiencies** window.

Note: The Repeat Deficiencies button appears only for CLIA labs.

The Repeat Deficiencies window lists tags cited in the current survey that were cited in previous surveys conducted for the lab using the same regulation set.

TIP: In ASE-Q, the Repeat Deficiencies option will only compare citations from surveys stored in your local ASE-Q database. To view repeat citations from all previous surveys (meeting criteria specified above) for a CLIA lab in the state database, use the Repeat Deficiencies option in ACO.

The graphic below shows a case where no repeat deficiencies were found for a CLIA lab in the ASE-Q database, but several were found for the same lab in ACO.

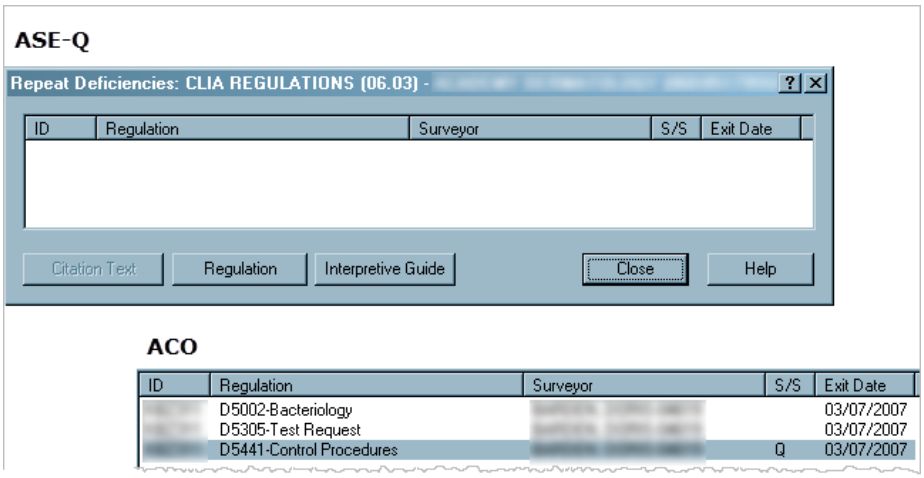


Figure 29: Repeat Deficiencies windows

4 To view citation evidence text, regulation text, or the interpretative guidelines for a tag, select the item and click select the tag and click the **Citation Text**, **Regulation**, or **Interpretive Guide** button (respectively) at the bottom of the screen.

You can copy citation, regulation, or interpretive guideline text and paste it into citations on the current survey.

More ...

Screen: "Citation Manager window" on page 163
Screen: "Repeat Deficiencies window" on page 166

LTCSP

Access LTCSP

NH only. Long-Term Care Survey Process (LTCSP) is fully integrated into ASE-Q.

To activate the LTC Survey button and access a survey:

- The survey must be defined as an LTC survey for a Federal nursing home. Survey types currently include—
  - Initial visits for an initial certification
  - Recertifications
  - FMS LTCSP Comparative surveys, ROs only
- You must be on the survey team and have Assessment Access.

Access LTCSP in ASE-Q in one of two ways:

- Option 1: Right-click option for LTCSP surveys in the Tree:
  - ➥ Right click your survey in the Tree.
  - ➥ Select **LTCSP**.

Note: You must be a member of the team and have appropriate permissions for the selection to activate.

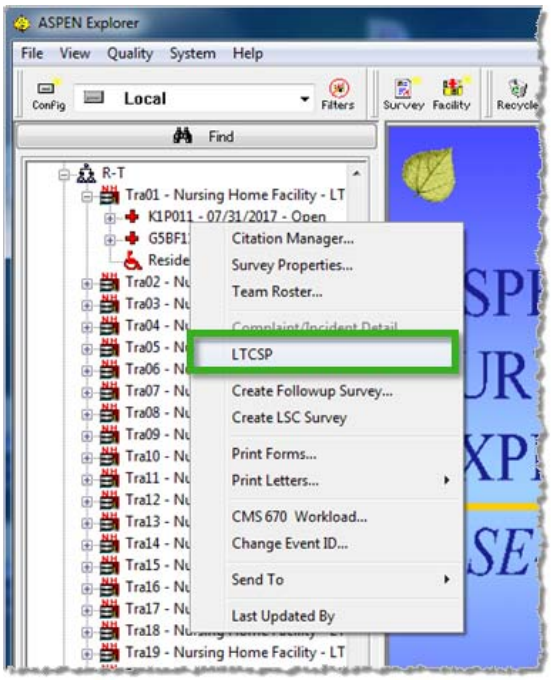


Figure 30: LTCSP right-click option

- Option 2:LTCSP button for LTCSP surveys in the Citation Manager:
  - ➥ Right click your survey in the Tree.
  - ➥ Select **Citation Manager**.
  - ➥ Click the **LTC Survey** button.

Note: You must be a member of the team and have appropriate permissions for the button to activate.

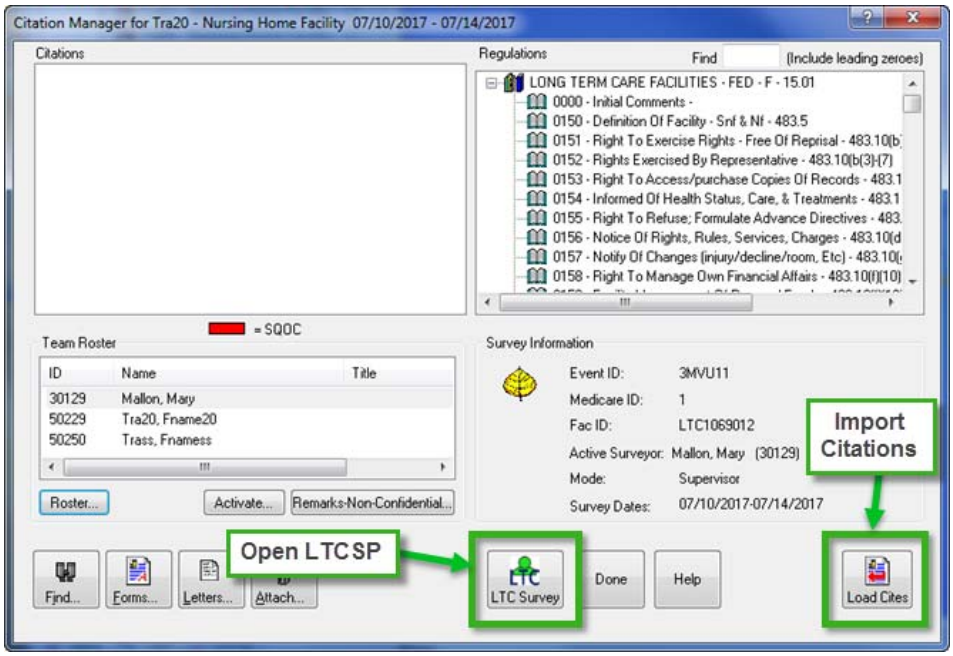


Figure 31: LTCSP Tool and Load Cites buttons in Citation Manager

LTCSP Documentation

Documentation covering the LTC survey process and the LTCSP application can be found in the following places:

- For information about the LTC survey process, refer to the *State Operations Manual Appendices*.
- For more information on the LTC survey process refer to the *Long-Term Care Survey Process Procedure Guide* available from the LTCSP Navigation menu.
- For details on administrating and using LTCSP, see the latest version of the *LTCSP User Guide*, which is posted on https://qtso.cms.gov.

Load Citations

When tags have been cited on the Potential Citation screen in the LTCSP system, they must be imported into Citation Manger.

To load citations into Citation Manager:

- ➥ If not already open, right-click the survey you are working on in ASE-Q and select **Citation Manager**.
- ➥ Click **Load Cites**.

If the system detects any issues with the tags, a message appears listing the involved tags (e.g., not declared cited or not cited, incomplete declarations). The system will not allow you to load citations into ASE-Q until all tags have been declared cited or not cited.

You will also receive a message if no Extended survey was conducted and SQC (Substandard Quality of Care) tags were cited at a scope/severity level of F, H, I, J, K, or L. You have no later than 14 calendar days after the completion of the standard survey to conduct the extended. If the extended survey is completed after the standard survey, documentation of non-compliance should be completed in the same survey shell. You can load cites into Citation Manager before completing the Extended survey.

If you revise tags in LTCSP and need to re-import the revised tags into Citation Manager, you must first delete the tag from Citation Manager—only tags not listed in Citation Manager will import. Therefore, you will not overwrite edits already made in Citation Manager for any other tags if you do re-import from LTCSP.

LTCSP Management

ASE-Q provides some specific processes for working with LTCSP. In the **LTCSP Management** dialog you can perform a health check, reassign the server port, or, when working with the ASPEN Help Desk, send log files for troubleshooting.

To access LTCSP Management options:

➥ From the **System** menu, select **LTCSP Management**.

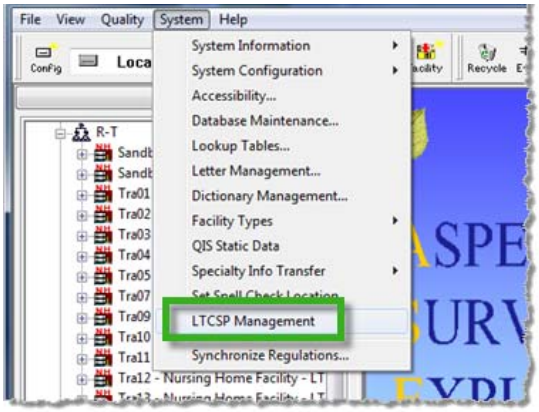


Figure 32: LTCSP Management on the ASE-Q System menu

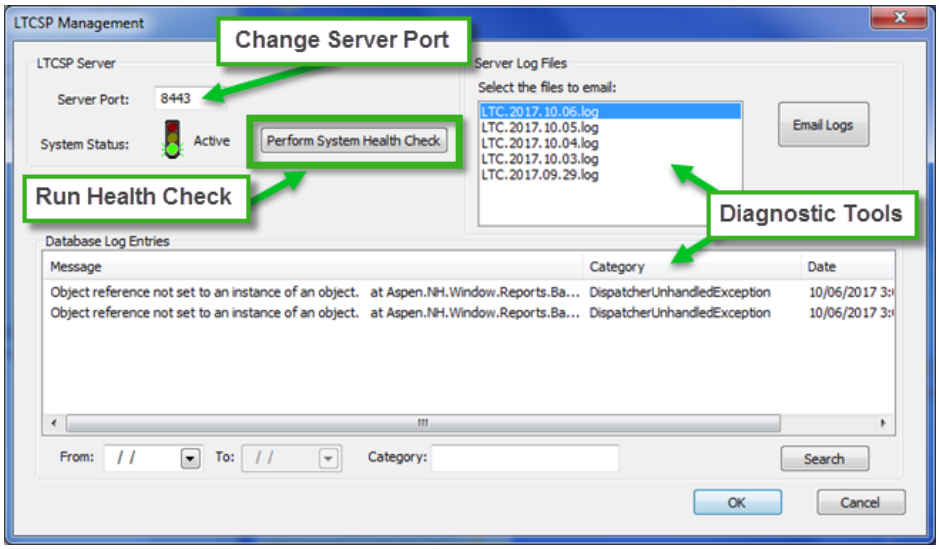


Figure 33: LTCSP Management dialog

LTCSP Server

Server Port

Do not change this number unless directed by your IT department. LTCSP needs an open server port on each machine. The default port is 8443 and most user PCs will have this port open. Some states or individual users may use port 8443 for other applications. In this case, another port must be opened for LTCSP and assigned here.

To reassign the port:

1. Select **LTCSP Management** from the **System** menu.
2. Enter the new port number in **Server Port**.
3. Click **OK**.

System Status

Use the health check option if you receive an error message when trying to open LTCSP or when LTCSP will not open. The Health Check is a good place to start if you are having any issues.

To run the LTCSP Health Check:

1. Select **LTCSP Management** from the **System** menu.
2. Click **Perform System Health Check**. Click **OK** in the progress dialog.
   - If the stop light shows a red light, LTCSP software cannot communicate with the local LTCSP server.
   - If the stop light shows a green light, the software and server can communicate but there may still be a problem that running the Health Check may solve.
3. Click **OK**.

Note: If LTCSP still will not open, you may need to reboot your PC. If you still can't open LTCSP after a reboot call the QTSO Help Desk.

Server and Database Information

Server Log File

When you are working with the ASPEN Help Desk to resolve an issue, they may want to see your log file. You can easily email the relevant log files to the help desk when they ask. You must have an Internet connection to send the email.

Database Log Entries

This section displays errors that may prevent LTCSP from functioning properly. This list provides another diagnostic tool when working with the help desk.

Import LTCSP Static Data

LTCSP static data is transferred to ASE-Q with each survey shell; therefore, this menu option is no longer used.

Intakes

You can view investigation and intake information imported into ASE-Q from ACTS (or ACO) and modify certain intake fields.

Note: While you can export linked intake information from ACO, you cannot view it in ACO.

View an Imported Intake

You can view intakes imported into ASE-Q from ACTS (or ACO).

To view an imported intake:

1. Click any tab in **Tree** view and locate the applicable provider.
2. Expand the provider node and the imported investigation survey node to see the linked complaint/incident intake.
3. Right-click the intake and select **Modify Intake**.

   The intake is displayed. You can view data on all tabs. All fields and buttons are disabled on the Intake tab. Certain function buttons are enabled on other tabs so you can modify information if necessary.

Note: The Actions/Close and Upload Intake tabs are not displayed in ASE-Q.

CLIA intakes - The Alleged Perpetrators tab is not displayed on the Intake tab because ASPEN does not track alleged perpetrator information for CLIA complaints.

More ...

Screen: "Intake window" on page 198
Procedure: “Modify Intake Information” on page 91

View Investigation Detail

You can view investigation information imported into ASE-Q from ACTS (or ACO).

To view investigation detail:

1. Click any tab in **Tree** view and locate the applicable provider.
2. Expand the provider node to see the imported investigation survey, then expand the survey node to see the linked complaint/incident intake.

3 Right-click the survey and select **Complaint/Incident Detail**.

-or-

Right-click the complaint/incident intake and select **View Investigation Detail**.

The Investigation window displays two sections from the Investigation Properties tab:

- Complaints/Incidents Assigned to Investigation
- Allegations of All Complaints/Incidents Assigned to Investigation

More ...

Screen: "Investigation window" on page 198

Modify Intake Information

You can modify certain fields in intakes imported into ASE-Q from ACTS (or ACO).

Note: Changes you make to intakes in ASE-Q are not reflected in ACTS or ACO.

To modify intake information:

1 Click any tab in **Tree** view and locate the applicable complaint/incident intake.

2 Right-click the intake and select **Modify Intake**.

-or-

Click **Modify Intake** in the **Complaints/Incidents Assigned to Investigation** section of the **Investigation** window.

You can make the following additions/modifications to intake fields in ASE-Q:

Allegations tab

Modify Allegation Findings - select allegation, click **Modify**.

Add/Edit Findings Text - click **Find Text**.

Link Deficiencies - click **Link Deficiencies**.

Contact/Refer tab

Contact/Witnesses - click **Add** or select contact and click **Modify**.

Activities tab

Modify Activity (only Completed date and only for activities assigned to current surveyor) - select activity, click **Modify**.

Investigation tab

Update Survey Properties - click **Survey Properties**.

Add/Modify Citations - click **Citation Manager**.

Generate Survey Forms - click **Survey Forms**.

Update CMS-670 Data - click **Update 670**.

Create a Revisit - click **Create Revisit**.

Add/Update Investigation Notes - click **View Investigation Notes**.

The following tabs are read-only:

- Intake
- EMTALA
- Deemed/RO Approval

  This tab is called RO Approval for CLIA intakes only.

Print Intake Reports

You can preview and print the Intake Information report, Investigation Report, Intake Notes, and the CMS-2802 form.

Note: You can print the CMS-2802 only for deemed intakes (non-CLIA) with Deemed for Medicare Participation selected and RO Response = Approved on the Deemed tab. To print the CMS-2802A for CLIA labs, Certificate At Time of Alleged Event Type must be Accreditation or Registration (Accreditation) and RO Response = Approved.

To print an intake report:

1. Click any tab in **Tree** view and locate the applicable complaint/incident intake.
2. Right-click the intake and select **Quick Report**.

   TIP: You can also click **Print** in the Complaints/Incidents Assigned ... section of the Investigation window, or at the bottom of the intake.

3. Select the reports you want to print and click **OK**.

4 Choose whether to hide brackets around redacted information, except for the CMS-2802.

The selected reports print one at a time.

CLIA intakes - The Alleged Perpetrators section is not displayed in any report since alleged perpetrator information is not tracked for CLIA. The Intake Information report and Investigation Report are customized as appropriate for CLIA labs, e.g., Certificate Type is included.

Note: You can print allegation details and findings text up to a length of 96K. Any text beyond the 96K limit is truncated when printed.

The Investigation and Facility History with Names reports display "- No Data" in the header of sections that do not contain data, as shown below:

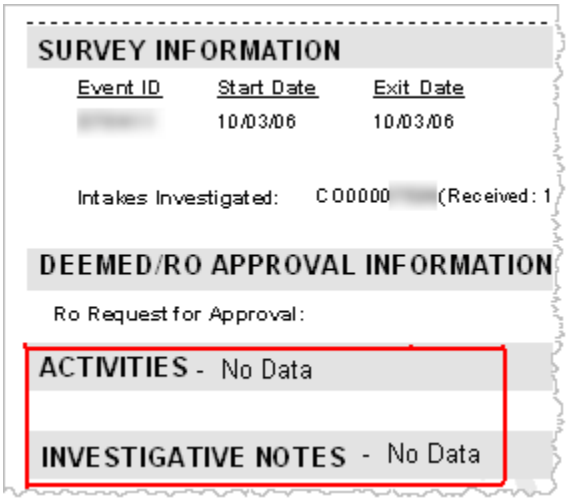


Figure 34: Print example of header sections that do not contain data

More ...

Screen: "Quick Report window" on page 182

Surveyors

There must be a record for a surveyor in your ASE-Q database before you can assign that individual to a survey team. To support central administration of ASPEN user accounts, ASE-Q user records are created in ACO and exported to ASE-Q. You *cannot* create new surveyor records in ASE-Q.

You can modify and delete surveyor records in ASE-Q as desired, *but* changes to surveyor records in your ASE-Q database are not reflected in the state database. An option is available to let you batch update surveyor records in ASE-Q with current information from ACO.

Export ASE-Q User Accounts from ACO

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 in ACO, 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.

More ...

Screen: "Data Transfer Screens" on page 186

Import ASE-Q User Accounts

To populate your ASE-Q database with surveyor records, you must import them from ACO. The records include identification, employment, and login information as well as ASE-Q permissions.

To import ASE-Q user accounts from ACO:

1. From the **System** menu in **ASE-Q**, select **Specialty Info Transfer**, then **Import ASE Users**.
2. In the **Select for Import** window, navigate to and select the transfer file containing the ASE-Q surveyor accounts and click **Open**.

   ASEUSERTX.ZIP is the default transfer filename. The name may have been changed on export. If so, change “Files of type” to All Files.

   Note: Many anti-virus programs, email servers, and firewalls block .ZIP files. If this is an issue, contact your ASPEN administrator for assistance.

ASE-Q imports the surveyor records from the transfer file into your ASE-Q database. The Finalize Transfer window lists the surveyors that were transferred.

Note: If ASE-Q already contains identical login values that belong to a different staff member, an error message indicates the records that are in conflict and the import is halted.

3 In the **Finalize Transfer** window, click **Apply** to complete the import, or **Cancel** to reverse it.

More ...

Screen: "Finalize Transfer window" on page 186

Synchronize Surveyor Information with ACO

ASE-Q provides a direct-connect utility to let you conveniently update staff records with current permissions and logins from ACO for surveyors already loaded into your ASE-Q database. Your ASE-Q device must be connected to your agency's network.

To synchronize surveyor records with ACO:

1 On the **File** menu, select **Synchronize Surveyor Info with ACO**.

ASE-Q verifies the connection with the ACO database, then updates surveyor records in your ASE-Q database. The Finalize Transfer window indicates the records that were synchronized.

2 In the **Finalize Transfer** window, click **Apply** to complete the synchronization, or **Cancel** to reverse it.

More ...

Screen: "Finalize Transfer window" on page 186

Modify Surveyor Information in ASE-Q

Note: Changes to surveyor records in your ASE-Q database are not reflected in corresponding records in the state database.

To modify surveyor information:

1 Click the **Alpha** or **Type** tab and locate the surveyor.

You may need to scroll down the Tree view to see the Surveyors node.

2 Right-click the surveyor's name and select **Modify Surveyor**.

3 In the **Modify Information** window, make changes as needed.

You cannot change the Federal Surveyor ID.

Delete a Surveyor from ASE-Q

Note: When you delete a surveyor from your ASE-Q database, the corresponding surveyor record in the state database is *not* automatically deleted.

To delete a surveyor from ASE-Q:

1. Click the **Alpha** or **Type** tab and locate the surveyor.

   You may need to scroll down the Tree view to see the Surveyors node.

2. Right-click the surveyor and select **Delete Surveyor**.

   You cannot delete the active surveyor.

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

Survey Teams

Members of a survey team are usually designated when a survey is created. As needed, you can modify the team roster. Surveyors must be added to your ASE-Q database before you can assign them to survey teams. The members of a survey team can simultaneously enter their findings for a single survey.

One Survey–Multiple Surveyors

States can ensure coordinated and accurate survey definition and facilitate ASPEN data transfer by creating all survey events in ACO or ACTS. These centrally defined shell surveys are then distributed to surveyors in the field, which enables all team members to work simultaneously with the same survey definition and easily merge the results.

This approach offers several advantages:

- Centralized survey definition by knowledgeable staff.
- Survey definition within a secure ACO/ACTS environment.
- Data consistency and accuracy in the shell survey since facility, building, and surveyor information comes directly from the Oracle database.
- Simplified data exchange and merging between ASE-Q users.
- Straightforward merging of field results back into ACO/ACTS.

Note: Survey teams using more than one laptop should merge the final findings onto a single laptop or transfer file before exporting to ACO.

Set Up Laptops

If your surveyors use laptop computers in the field to enter survey findings and citations, one person, usually the scheduling supervisor or team leader, creates a shell survey (usually in ACO) before the visit and then exports it to all team members. This allows all team members to use the same survey definition with the same event ID to create citations. The chances for errors are reduced and ASPEN can merge the surveys more easily later.

To set up a field laptop:

1. Before the visit, the scheduling supervisor or team leader creates the survey (usually in ACO/ACTS) and enters basic survey information.

   This creates a survey shell with a unique event ID for the survey.

2. The scheduling supervisor or team leader exports the survey to one or more USB drives.

3. The other team members import the survey shell from a USB drive to their laptops and use it to document their survey findings and enter citations.

   Each team member's copy of the survey has the same event ID, so ASPEN can merge all citations for the survey into a single master survey after the visit.

4. After all team members finish their citations, they each export their survey to a USB drive for merging with other team members' copies of the survey.

5. One team member, usually the team leader, imports all team members' copies of the survey.

   ASPEN automatically combines all surveys that have the same event ID into a single survey, using the Start and End date from the original survey.

6. The team member with the combined survey can now print all required forms and letters.

More ...

Procedure: "Export Data" on page 105
Procedure: "Import Data" on page 103

Add Survey Team Members

To add one or more survey team members, you can access the Select Surveyors window from ASPEN Explorer, the Citation Manager, or the Survey Properties window.

Note: When you add team members to a survey in ASE-Q, the corresponding survey (if there is one) in the state database is not automatically updated to reflect this.

To add a survey team member:

1 Click any tab in **Tree** view and locate the applicable survey.

TIP: You can also locate the survey in the List view.

2 Right-click the survey and select **Team Roster**.

-or-

In the **Citation Manager** window, click the **Roster...** button under the **Team Roster** list.

The Team Roster window appears with a list of the current team members.

3 Click the **Update** button to open the **Select Surveyors** window.

A checkmark by a surveyor indicates the surveyor is on the team.

TIP: You can also click the **Update** button below the Team Roster section in the Survey Properties window to open the Select Surveyors window.

4 To add a surveyor to the team, click to place a checkmark by the surveyor.

5 Click **OK** to return to the **Team Roster** window in which the new team members are now listed.

If you opened the Select Surveyors window directly from the Survey Properties window, you will return to Survey Properties.

6 In the **Team Roster** window, click the **Done** button.

More ...

Screen: "Team Roster window" on page 174
Screen: "Select Surveyors window" on page 162

Remove a Survey Team Member

To delete one or more survey team members, you can start from ASPEN Explorer, the Citation Manager, or the Survey Properties window.

Note: When you delete members of a survey team in ASE-Q, the corresponding survey (if there is one) in the state database is not automatically updated to reflect this.

To remove a survey team member:

1 Click any tab in **Tree** view and locate the applicable survey.

TIP: You can also locate the survey in the List view.

2 Right-click the survey and select **Team Roster**.

-or-

In the **Citation Manager** window, click the **Roster...** button under the **Team Roster** list.

The Team Roster window appears with a list of the current team members.

3 Select the team member you want to remove from the team, click the **Delete** button and go to step 6.

-or-

4 Click the **Update** button in the **Team Roster** window.

TIP: You can also click the **Update...** button below the Team Roster section in the Survey Properties window.

---

5 In the **Select Surveyors** window, clear the checkmark by one or more surveyors to remove the surveyors from the team, and click **OK**.

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

The surveyors are no longer listed in the Team Roster window.

More ...

Screen: "Team Roster" on page 222
Screen: "Select Surveyors window" on page 162

Change the Active Surveyor

The name of the active surveyor is indicated in the status bar at the bottom of the ASPEN Explorer screen. ASE-Q assumes the currently logged-in user is the active surveyor. If another surveyor needs to enter findings, ASE-Q allows a change of active surveyor.

If an ASE-Q permission is disabled in the ACO staff record for the logged-in surveyor, that permission will remain disabled for the newly-activated surveyor, even if the new surveyor is configured with that permission granted. If the logged-in surveyor has an ASE-Q permission enabled, but the newly-activated surveyor does not, then that permission will be disabled for the new active surveyor. Once an ASE-Q permission is disabled, it will remain disabled for all users until ASE-Q is restarted.

To change the active surveyor:

1 Click the **Alpha** or **Type** tab in **Tree** view and locate the applicable surveyor.

- Expand either the **Team** node for an individual survey or the **Surveyors** node to find the surveyor. You may need to scroll down the tree to see the Surveyors node.

  -or-

- Click the **Team** or **Surveyors** node in **Tree** view to display the surveyors in **List** view.

➥ Right-click the surveyor's name in **Tree** or **List** view and select **Make Active Surveyor**.

-or-

➥ Open the **Citation Manager**, select a name in the **Team Roster** section, and click the **Activate...** button.

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

The surveyor you selected is shown as the active surveyor in the ASE-Q status bar.

Designate the Team Leader

You can specify the team leader for a survey from ASPEN Explorer, the Citation Manager, or the CMS 670 Workload window. Only one person can be designated the team leader.

Note: When you designate a team leader for a survey in ASE-Q, the corresponding survey (if there is one) in the state database is not automatically updated to reflect this.

To designate a team leader from ASPEN Explorer:

1 Click any tab in **Tree** view and locate the applicable survey.

TIP: You can also locate the survey in the List view.

2 Right-click the survey and select **Team Roster**.

3 In the **Team Roster** window, select the team leader and click **Leader**.

A blue diamond is displayed next to the leader's ID.

To designate a team leader from Citation Manager:

1. Open the **Citation Manager**: locate the applicable survey in **Tree** or **List** view, right-click it, 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.

2. Click the **Roster...** button under the **Team Roster** list.

3. In the **Team Roster** window, select the team leader and click the **Leader** button.

   A blue diamond is displayed next to the leader's ID.

To designate a team leader from the CMS 670 Workload window:

1. Open the **CMS 670 Workload Detail** window:

   Locate the applicable survey in **Tree** or **List** view, right-click it, and select **CMS 670 Workload**.

   -or-

   In the **Citation Manager** window, click the **Forms...** button then select the **670 Entry...** button in the **Select Form(s) to print** window and click **OK**.

2. In the **CMS 670 Workload Detail** for **Survey** window, select the **Lead** checkbox to indicate the survey team leader.

Data Transfer

ASE-Q provides the framework to let you easily transfer a variety of ASPEN data including:

- Surveys
- Complaint/incident intakes
- ASE-Q user accounts
- Regulation sets

ASE-Q supports the following methods for importing and exporting ASPEN data:

- Transfer files
- Direct-connect ACO/ACTS to ASE-Q
- Wireless ASE-Q to ASE-Q
- Wired ASE-Q to ASE-Q

You can use the method most suitable for your office procedures, hardware setup, and the task at hand. All data is encrypted as it is transferred to protect personal and confidential information.

For surveys, the recommended practice is to create the provider record in ACO, create a survey shell with dates and team members specified, and export it. Field surveyors then import the survey into ASE-Q. When the survey is completed, the survey and citations are exported or emailed back to ACO (or ACTS).

Note: The procedures in this section cover basic ASPEN import/export steps. Your state's encryption procedures may necessitate additional steps.

ASPEN Transfer Files

The Export and Import buttons on ASPEN application toolbars let you easily transfer ASPEN data from ACO/ARO and ACTS/ACTS-RO to ASE-Q on laptops in the field. Exported data is compressed, encrypted, and copied to a transfer file with a .ZIP extension. ASPENTX.ZIP is the default transfer filename. You can change the 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.

You can export one or more surveys at a time along with related facility and complaint/incident intake information. 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.

Complaint/Incident Information Transfer

Transfer of intake information is integrated within existing data replication functions in all ASPEN applications. ACTS and ACO share the same data, so whether a survey is transferred from ACTS or ACO, linked intake information is automatically sent along with the survey when it is exported.

Note: While you can export linked intake information from ACO, you cannot view it in ACO.

ASE-Q ensures that the Referred to OCR data transferred from ACTS correctly appears on the EMTALA page of the ASE-Q intake form. The Referred to OCR field is read-only in ASE-Q.

Import Data

When you import a survey and linked complaint/incident intakes (if any), the provider and surveyor records are added or updated in your ASE-Q database. If there are discrepancies between source and destination, one or more Merge windows may open to let you resolve the differences. Survey-level attachments, such as digital photos and other electronic documents, are automatically imported.

With ASPEN 10.1.7, 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 data:

1. If you are importing data from a transfer file on a USB drive, insert it into your USB port.
2. On the ASE-Q toolbar, click the **Import** button.
3. In the **Import** window, select **Surveys**.
4. Use the appropriate **Import From** option to indicate the location of the transfer file.
   - **ASPEN Transfer Location**–Select the applicable location.

     Note: ASE-Q detects and lists any removable drives (such as USB drives) plugged in at the time of transfer.

     -or-

   - **Other Zip File Location**–Enter the path to the transfer file, or click **Find** (binoculars) to navigate to and select the location.

   Note: The **Locate ASE Database** option is for ASE-Q to ASE-Q network transfers (wired or wireless).

5. Click **OK**.

   ASE-Q searches for the export transfer file. When the file is located, the Survey Import window appears. It lists the surveys contained in the transfer file.

6 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 export source and destination.

Note: Many fields have predefined merge rules that may override the Always Use Source setting.

7 Select or deselect the **Include attachments** checkbox to include or exclude attachments in the transfer.

Include attachments is selected by default.

8 Click **Continue with Import**.

If there are differences between source and destination content, one or more Merge windows may appear.

9 Resolve source/destination differences and continue the transfer.

If the surveys and associated provider records do not already reside in ASE-Q, they are imported from the export transfer file and decompressed. The Finalize Transfer window appears for each imported survey. It displays a log of changes made during the import.

10 Click **Apply** to complete the import process, or **Cancel** to reverse the transfer.

The imported surveys and providers are now included on tabs in the Tree view. Any linked intakes are listed under the applicable surveys. All survey-level attachments are imported (unless you deselected Include attachments).

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 189
Procedure: “ASE-Q to ASE-Q Direct Transfers” on page 114
Procedure: “Merge Data” on page 107
Screen: "Finalize Transfer window" on page 186

Export Data

When a survey is complete, you will typically export the survey and citations from ASE-Q for import into ACO (or ACTS). You can export a single survey and linked intakes from ASE-Q, or export a provider in order to transfer all associated surveys and linked intakes, but not the provider information.

When there are discrepancies between source and destination, one or more Merge windows may open to let you resolve the differences. If the provider, surveyors, or intakes do not exist in the state database, the export from ASE-Q will fail.

To export data:

1. Click any tab in **Tree** view and locate the survey or provider you want to export.
2. Drag the survey/provider to the **Export** button in the toolbar, or simply click the survey/provider and then click the button.
3. In the **Export** window, use the appropriate option to specify the export location:
   - **ASPEN Transfer Location**–Select the desired location.

     Note: ASE-Q detects and lists any removable drives (such as USB drives) plugged in at the time of transfer.

     -or-
   - **Other Zip File Location**–Enter the path to the transfer file, or click **Find** (binoculars) to navigate to and select the location.

   Note: The **Locate ASE Database** option is for ASE-Q to ASE-Q network transfers (wired or wireless).

   ASPENTX.ZIP is the default 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.
4. Click **OK** in the **Export** window.

5 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 surveys 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 surveys in the list.

➥ 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.

Note: Many fields have predefined merge rules that may override the Always Use Source setting.

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 Export**.

If there are differences between source and destination content, one or more Merge windows may appear.

8 Resolve source/destination differences and continue the transfer.

The surveys, any survey-level attachments (unless you deselected Include attachments), and linked intakes 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.

9 Click **Apply** to complete the export process, or **Cancel** to reverse the transfer.

When the export is complete, you can import the surveys and intakes into ACO or ACTS.

In several situations, imports of data exported from ASE-Q into ACO or ACTS will fail:

- A survey imported into ACO or ACTS has an event ID matching that of a survey associated with a certification kit for another provider.
- A Transplant Hospital survey imported into ACO has citations for transplant types that are not included in the related certification kit.
- Intake data is imported into a finalized intake in ACO or ACTS.

More ...

Screen: "Export window" on page 187
Screen: "Survey Export window" on page 187
Procedure: “ASE-Q to ASE-Q Direct Transfers” on page 114
Screen: "Survey Export window" on page 187
Procedure: “Merge Data” on page 107
Screen: "Finalize Transfer window" on page 186

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.

Note: Many fields have predefined merge rules, e.g., destination is never updated. Only fields without a predefined rule appear in this dialog.

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 window" on page 189

Merge Rows

When you import Contacts data into ACO or ACTS, 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 190

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. Some text fields have predefined merge rules that may override the Always Use Source setting in the Survey Export/Import window. For example, if Always Use Source is set to Yes, the Merge Text window will still display if there are differences between source and destination text for a tag in order to avoid the potential for an unrecoverable loss of critical data.

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

Note: Since the content of attachments and letters is assumed to be static, the Merge Text window does not appear for them during transfers.

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 191

Email Data

When a survey is complete, you have the option of emailing the survey and citations from ASE-Q to a recipient. ASE-Q creates a transfer file containing the survey (and citations) as an attachment to the email. The recipient can then import the survey from the transfer file back into ACO or ACTS. You can email a single survey and linked intakes from ASE-Q, or email a provider in order to transfer all associated surveys and linked complaint/incident intakes, but not the provider information. If the provider, surveyors, or intakes do not exist in the state database, you will not be able to import the items from the emailed transfer file into ACO/ACTS.

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 data:

1. Click any tab in **Tree** view and locate the survey/provider you want to email.
2. Drag the survey/provider to the **Email** button in the toolbar, or simply click the survey and then click the button.

   A blank email message is created and the surveys and any linked complaint/incident intakes 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.

3. In the **Message** window, specify recipients and message text.
4. When recipients receive the message, they should save the transfer file to the location of choice, then import its contents into ACO or ACTS.

   The surveys and intakes 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.

ASE-Q to ACO / ACTS Direct Transfers

ASE-Q is capable of directly transferring survey, complaint/incident, and other information between its database and the central QIES State Oracle server, i.e., between field systems and ACO/ACTS. This approach can be especially useful when surveyors use the same laptop both in the office and in the field.

You can use direct-connect data transfers to:

- Transfer pre-scheduled surveys from your state's Oracle database to ASE-Q.
- Merge survey findings from field laptops to the Oracle database.
- Update regulation sets on ASE-Q with the latest versions and patches.
- Update surveyor information on ASE-Q with recent changes entered in ACO/ARO.

To use the direct-connect feature, the ASE-Q device must have:

- Direct wired or wireless connection (must be a WPA-2 encryption type) to the state agency's secure local area network that can access ASPEN's central Oracle server.
- Oracle client installed.

  Note: If you install the Oracle client onto a laptop with an existing ASE-Q installation, you will need to reinstall the ASE-Q client after installing Oracle.

- Oracle configuration in ASE-Q to support connecting to the Oracle server when logged into a state network.

More ...

Procedure: "Transfer Pre-scheduled Surveys" on page 112
Procedure: "Merge Survey Findings" on page 113
Procedure: "Synchronize Regulations" on page 126
Procedure: "Survey Teams" on page 96
Procedure: "Configure an Oracle Connection" on page 142

Transfer Pre-scheduled Surveys

The My Surveys button on the ASE-Q toolbar uses a direct connection to pull scheduled surveys on which you are a team member from the ACO/ACTS (Oracle) database into ASE-Q if:

- survey Exit date is in the future (subject to Future Survey Security), or less than or equal to 90 days old
- survey Status is Open

This is a convenient way for you to quickly load your assigned surveys without having to transfer files.

Note: You must have an Oracle connection configured in ASE-Q. Future Survey Security is set on the Security tab of the Enter/Update Surveyor Information window in ACO/ARO.

To load your pre-scheduled surveys:

1. On the ASE-Q toolbar, click the **My Surveys** button.

   ASE-Q generates a connection to the Oracle database and locates your surveys. Give it a minute to do this. The standard data transfer process then takes place.

2. In the **Survey Import** window, select the surveys you want to import.
3. Click **Continue with Import**.

   If there are differences between source and destination content, one or more Merge windows may appear.

4. Resolve source/destination differences and continue the transfer.

   If the surveys and associated provider records do not already reside in ASE-Q, they are imported from the export transfer file and decompressed. The Finalize Transfer window appears for each imported survey. It displays a log of changes made during the import.

5. Click **Apply** to complete the import process, or **Cancel** to reverse the transfer.

   The imported surveys and providers are now included on tabs in the Tree view. Any linked intakes are listed under the applicable surveys. All survey-level attachments are imported (unless you deselected Include attachments).

More ...

Procedure: “Configure an Oracle Connection” on page 142
Procedure: “Merge Data” on page 107
Screen: "Finalize Transfer window" on page 186

Merge Survey Findings

When a survey is completed, you and other team members can use the standard ASE-Q Export function in direct-connect mode to quickly merge the survey findings entered in ASE-Q on your field device into the central Oracle database.

Note: When you export CLIA surveys from ASE-Q using direct-connect, specialty data is not transferred.

To export findings via direct-connect:

1. Locate and drag the completed survey to the **Export** button in the toolbar, or simply click the survey and then click the button.
2. In the **Export** window, select the Oracle server (however it is named) as the **ASPEN Transfer Location** (must be configured to be listed).
3. Click **OK** in the **Export** window.

   The standard data transfer process then takes place.
4. In the **Survey Export** window, select the completed survey.

   If it is the only survey listed, it is selected by default.
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, any survey-level attachments (unless you deselected Include attachments), and linked intakes are compressed, encrypted, and stored in the transfer file. The Finalize Transfer window appears for the 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.

   The survey is replicated from your ASE-Q Sybase database into the Oracle database.

More ...

Screen: "Export window" on page 187
Procedure: “Configure an Oracle Connection” on page 142
Screen: "Survey Export window" on page 187
Procedure: “Merge Data” on page 107
Screen: "Finalize Transfer window" on page 186

ASE-Q to ASE-Q Direct Transfers

ASE-Q supports direct-connect data transfers between two ASE-Q devices via wired or wireless network connections, provided they are properly configured. This streamlines data exchange between surveyors in the field by eliminating the need for file-based transfers using USB drives or other removable media.

ASE-Q to ASE-Q: Wireless Data Exchange

From ASE-Q on one laptop, you can wirelessly export one or more surveys to another ASE-Q laptop if both machines are connected to a wireless network with WPA-2 encryption.

ASE-Q to ASE-Q transfer–wireless

1. Sender: Drag and drop the survey on the **Export button**, or simply click the survey and then click the button.
2. In the **Export window**, select **Locate ASE Database**, then click **Find** (binoculars).

   All ASE-Q (Sybase) databases on the network that are candidates for direct-connect transfers (wired or wireless) are detected and listed.

   Note: ASE-Q checks the status of any wireless network your machine is connected to. If a wireless network with security authentication less than WPA-2 is detected, the data transfer is halted.

3. In the **Select Database** window, select the database you are connecting to. If the screen is blank, click **Refresh List** and **OK**.
4. Click **OK** in the **Export** window.
5. In the **Survey Export** window, select the survey.

   If it is the only survey listed, it is selected by default.
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 Export**.

   ASE-Q transfers the survey, any survey-level attachments (unless you deselected Include attachments), and linked intakes. This may take several minutes.

   If there are differences between source and destination content, one or more Merge windows may appear.

8 Resolve source/destination differences and continue the transfer.

9 In the **Finalize Transfer** window, click **Apply** to complete the export process.

When the transfer is complete, ASE-Q terminates the wireless connection. The survey is now available on the receiving user's laptop.

More ...

Screen: "Survey Export window" on page 187
Procedure: "Merge Data" on page 107

ASE-Q to ASE-Q: Wired Data Exchange

A wired ASE-Q to ASE-Q transfer is a convenient method for data exchange between SA surveyors and RO observers. A crossover cable is required to connect the sender's and receiver's computers. In some cases a standard Ethernet cable will suffice. Your IT support staff should determine the correct cable type for your configuration.

ASE-Q to ASE-Q transfer–wired

1 Connect the Sender (Export) and Receiver (Import) computers together using the appropriate Ethernet cable.

2 Sender: Drag and drop the survey on the **Export** button, or simply click to highlight the survey, and then click the **Export** button.

3 In the **Export window**, select **Locate ASE-Q Database**, then click **Find** (binoculars).

All ASE-Q (Sybase) databases on the network that are candidates for direct-connect transfers (wired or wireless) are detected and listed.

Note: ASE-Q checks the status of any wireless network your machine is connected to. If a wireless network with security authentication less than WPA-2 is detected, the data transfer is halted.

4 In the **Select Database** window, select the database you are connecting to. If the screen is blank, click **Refresh List** and **OK**.

Note: In the special case of an RO surveyor joining a state survey team, it is possible to directly enter the IP address or name of the destination database in the Locate ASE Database field.

5 Click **OK** in the **Export** window.

6 In the **Survey Export** window, select the survey.

If only one survey is listed, it is selected by default.

7 Select or deselect the **Include attachments** checkbox to include or exclude attachments in the transfer.

Include attachments is selected by default.

8 Click **Continue with Export**.

ASE-Q transfers the survey, any survey-level attachments (unless you deselected Include attachments), and linked intakes. This may take several minutes.

If there are differences between source and destination content, one or more Merge windows may appear.

9 Resolve source/destination differences and continue the transfer.

10 In the **Finalize Transfer** window, click **Apply** to complete the export process.

When the transfer is complete, the exported survey is now available in the receiving computer's database.

More ...

Screen: "Survey Export window" on page 187
Procedure: "Merge Data" on page 107

Regulations

You can add your state regulations to the ASE-Q Sybase database so that surveyors can create citations for deficiencies based on those regulations.

To set up state regulations, you must complete three major tasks:

- Create the regulation set.
- Create each tag within the regulation set.
- Assign the regulation set to the provider types to which it applies.

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

TIP: You can also view, print, and delete Federal regulations that come with ASE-Q. You cannot edit them.

Find Regulation Sets and Tags

The Tree view displays all the information stored in your ASE-Q database. To find state and Federal regulation sets and tags, you must locate the Regulations node in the Tree view and then find the regulation set you want. It is easier to find the Regulations node if you first collapse your list of facilities and surveys.

To find a regulation set or tag:

1. Click the **Alpha** or **Type** tab.
2. Scroll down until you see the **Regulations** node.

➥ To collapse part of the tree before or instead of scrolling, click the minus sign (-) next to one or more nodes. Press **F5** to collapse the entire tree.

3. Click the **plus sign** (+) next to the **Regulations** node to see a list of regulation sets.
4. Click the **plus sign** (+) next to a regulation set to see a list of the tags in that set.

The File menu lets you select whether to view all regulations or only currently active regulations. By default, only current regulation sets display. A check mark appears in the menu when this option is active; select the option to remove or add this restriction.

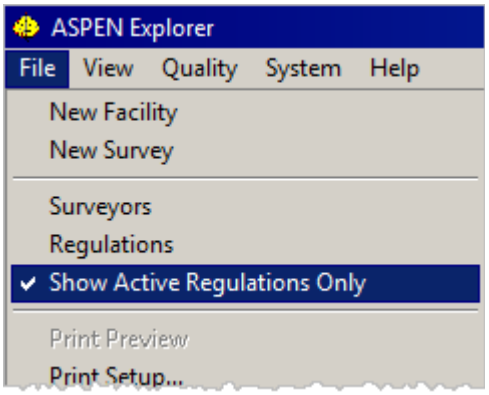


Figure 35: Show Active Regulations Only option on File menu

The Regulations node of the tree will indicate the viewing status as either “Regulations - Active Only” or “Regulations - All.”

Create a State Regulation Set

You can create state regulations for use by all ASE-Q users. You must first create a regulation set. Then you can create each tag.

To create a state regulation set:

1. Click the **Alpha** or **Type** tab.
2. Right-click **Regulations** and select **New Regulation Set**.

   The New State Regulation Set window appears. The Aspen ID is automatically assigned by ASE-Q.
3. Enter a one-character **Regulation Set** code.
4. Enter the regulation **Version** number.
5. Enter the **Created** and **Effective Dates**.
6. Class is set to **State** by ASE-Q.
7. Enter the **Regulation Title**, **Abbreviation**, and **Created By**.

   ASE-Q uses the abbreviation on system windows when the full name of the set is too long.
8. If you want users to select a severity/scope level when creating citations, select the **Severity / Scope** checkbox.
9. If the regulation set is currently applicable, select the **Regulation Set Currently Active** checkbox.

   If you have to export the regulation set to other users when it is complete, be sure to check this box before exporting. Otherwise each user will have to change this setting.

   TIP: You probably do not want the new regulations to be active until you finish entering all of the tags. This is especially true if you are working on a network installation of ASE-Q.
10. Click **OK**.

You can now assign this regulation set to the facility types to which it applies and create the tags.

Note: Facility type (Type Maintenance) assignments made in ASE-Q do not transfer to ACO.

More ...

Screen: "New State Regulation Set window" on page 193
Procedure: “Assign State Regulations to Facility Types” on page 122
Procedure: “Create State Tags” on page 119

Modify a State Regulation Set

When you modify a state regulation set, be sure to export the changed version to laptop users.

Note: The only Federal regulation set property you can change is Regulation Set Currently Active.

To modify a state regulation set:

1. Click the **Alpha** or **Type** tab and select the **Regulations** node.
2. Right-click the state regulation set you want to modify and select **Regulation Properties**.
3. In the **Regulation Set Properties** window, modify the information as needed.

   You cannot change the Aspen ID.
4. To make the regulation set active, select the **Regulation Set Currently Active** checkbox.

   If you have to export the regulation set to other users when it is complete, be sure to select this box before exporting it. Otherwise, each user will have to change this setting.
5. To see which facility types are set up to use this regulation set, click **Facility Types Using These Regs**.

   They are listed in the Facility Types Using <*selected reg set*> Regulations window. Buttons are disabled, but if you double-click a facility type, ASE-Q displays the Define Facility Type window and you can edit facility type properties (see Screen: "Define Facility Types window" on page 195 for more information).
6. Click **Close** to exit the **Facility Types Using Xxx Regulations** window.
7. Click **OK** to save your changes and exit the **Regulation Set Properties** window.

More ...

Screen: "New State Regulation Set window" on page 193

Create State Tags

After you set up a state regulation set, you can create tags for it. After you create all the tags, you can make the set available to users. If users are accessing a network installation of ASE-Q, you can make the regulation set active for all users. If users have ASE-Q installed on laptop computers, you should export the set.

To create a state tag:

1. Click the **Alpha** or **Type** tab.
2. Locate and right-click the new state regulation set.
3. Select **New Tag**.
4. In the **Regulatory Tag Properties** window, enter the **Tag Number** and select the **Tag Type**.

   Each Tag Number must be unique.
5. Enter the **Version** and **Version Date** for the tag.
6. Enter the tag **Title** and applicable **CFR/Statute**.

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

To enter regulation text for a state tag:

1. Click the **Regulation** button.
2. Enter the regulation text in the **Regulation Text** window.
3. Click **OK** to return to the **Regulatory Tag Properties** window.

To enter interpretive guidelines for a state tag:

1. Click the **Interpretive Guidelines** button.
2. Enter the text in the **Interpretive Guidelines Text** window and click **OK**.

To enter custom help:

1. Click the **Custom Help** button.
2. Enter the text in the **Custom Help Text** window and click **OK**. You can provide additional information about the tag here.
3. Click **OK**.

Note: You can add custom help for both state and Federal regulations. Use it to provide additional guidance for your surveyors.

More ...

Screen: "Regulatory Tag Properties window" on page 194

Modify State Tags

When you modify state tags, be sure to export the new version for laptop users.

Note: You cannot modify Federal tags. CMS is responsible for the content of all Federal regulations.

To modify a state tag:

1. Click the **Alpha** or **Type** tab.
2. Locate the state regulation set with the tag you want to modify.
3. Right-click the tag and select **Tag Properties**.
4. In the **Regulatory Tag Properties** window, modify the information as needed.

   You cannot change the Tag Number.
5. To edit **Regulation**, **Interpretive Guideline**, or **Custom Help text**, click the appropriate button, make your changes, and click **OK**.
6. Click **OK** to close the **Regulatory Tag Properties** window.

More ...

Screen: "Regulatory Tag Properties window" on page 194

Delete a Regulation Set

You can delete any state or Federal regulation set that has not been cited in ASE-Q.

To delete a regulation set:

1. Click the **Alpha** or **Type** tab.
2. Locate the regulation set you want to delete.
3. Right-click the regulation set and select **Delete Regulation Set**.
4. Click **Yes** in the confirmation message.

Delete a Tag

You can delete state or Federal tags that have not been cited in ASE-Q.

To delete a tag:

1. Click the **Alpha** or **Type** tab.
2. Locate the regulation set with the tag you want to delete.
3. Right-click the tag and select **Delete Tag**.
4. Click **Yes** in the confirmation message.

Assign State Regulations to Facility Types

You cannot use regulations on a survey until they are assigned to one or more facility types. After you create a state regulation set, you can assign the facilities to which the regulations apply. When you create a new survey for an assigned facility type, the regulations will automatically be listed in the Define Survey window.

To assign a state regulation to a facility type:

1. From the **System** menu, select **Facility Types**, then **Type Maintenance** to display the **Facility Types** window.

Note: If security is enabled, you will first have to enter a password in the Security Clearance window to open the Facility Types window.

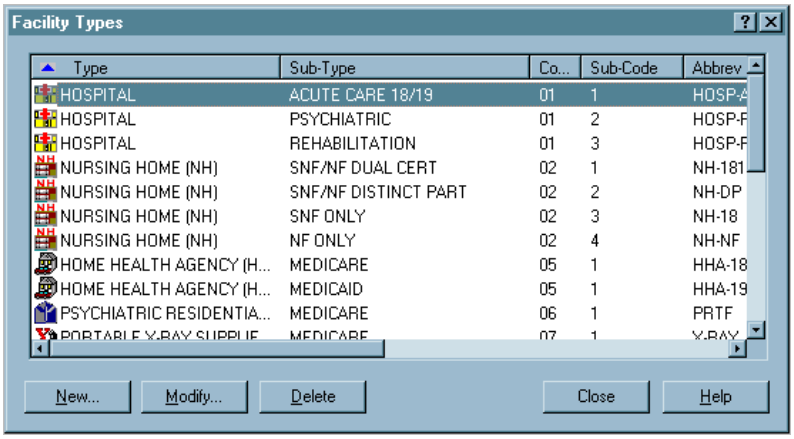


Figure 36: Facility Types window

2 In the **Facility Types** window, select the facility type to which you want to assign the regulation set and click the **Modify...** button.

3 In the **Define Facility Type** window, select your new state regulation set in the **Allowed Regulation Sets** list and click **OK**.

State regulation sets are identified with the prefix ST.

TIP: You can also assign Federal regulation sets (FED prefix) and other state regulation sets. You can click an already assigned (highlighted) regulation set to unassign it.

4 Repeat steps **2** and **3** for each facility type to which you want the regulations to apply.

5 Click the **Close** button.

ASPEN Explorer users can now select the new regulation set when they create a survey for the assigned facility types.

Note: Facility type (Type Maintenance) assignments made in ASE-Q do not transfer to ACO.

More ...

Screen: "Define Facility Types window" on page 195

Print a Regulation Set

To print a regulation set:

1 Click the **Alpha** or **Type** tab.

2 Locate the regulation set you want to print.

3 Drag the regulation set to the **Print** button on the toolbar.

4 Choose whether to include **Custom Help**.

5 In the **Print Regulation Set** window, click the **Print** button.

Transfer and Update Regulation Sets

Export Regulations

When you finish creating the tags for your state regulation set, you can export the set. Other ASE-Q users can then import it into their systems. You can also export Federal regulation sets.

Before you export a regulation set, we recommend you make it active so that each user who imports the reg set does not have to change the setting to be able to use the regulations. See step 4 in "Modify a State Regulation Set" on page 119.

Note: You can export state regulations, then import them into ACO, which then serves as the central repository from which ASE-Q users download them, i.e., export them to a transfer file, then import them to their laptops.

To export a regulation set:

1. If you are exporting regulations to a USB drive, insert it into your USB port.
2. Click the **Alpha** or **Type** tab and locate the regulation set.
3. 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.

4. In the **Export** window, use the appropriate option to specify the location of the transfer file:
   - **ASPEN Transfer Location**–Select the desired location.

     Note: ASE-Q detects and lists any removable drives (such as USB drives) plugged in at the time of transfer.

     -or-

   - **Other Zip File Location**–Enter the path to the transfer file, or click **Find** (binoculars) 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.

   Be aware that many anti-virus programs, email servers, and firewalls block .ZIP files. If this is an issue, contact your ASPEN administrator for assistance.

   Note: The **Locate ASE Database** option is for ASE-Q to ASE-Q network transfers (wired or wireless).

5 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 187
Procedure: “ASE-Q to ACO/ACTS Direct Transfers” on page 111

Import Regulations

You can import regulation sets as needed. You may need to add updated Federal regulations or new or revised state regulations to your version of ASPEN Survey Explorer-Quality.

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.

To import regulations:

1 If you are importing regulations from a transfer file on a USB drive, insert it into your USB port.

2 Click the **Import** button on the toolbar.

3 In the **Import** window, select **Regulations** as **Import Type**.

4 Use the appropriate **Import From** option to indicate the location of the transfer file.

- **ASPEN Transfer Location**–Select the applicable location.

  Note: ASE-Q detects and lists any removable drives (such as USB drives) plugged in at the time of transfer.

  -or-

- **Other Zip File Location**–Enter the path to the transfer file, or click **Find** (binoculars) to navigate to and select the location.

Note: The **Locate ASE Database** option is for ASE-Q to ASE-Q network transfers (wired or wireless).

5 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 ...

Procedure: “Import a Regulation Patch” on page 126
Screen: "Import window" on page 189
Procedure: “ASE-Q to ACO/ACTS Direct Transfers” on page 111

Import a Regulation Patch

The Regulation Patch utility is used to apply updates to existing state or Federal regulation sets.

To import a regulation patch:

1 Click the **Alpha** or **Type** tab and locate the regulation set you want to update.

2 Right-click the regulation set and select **Import Patch File**.

3 In the **ASPEN Regulation Patch Utility** window, enter the location of the patch utility in the **Source Information** section, or click **Find** to locate and select the file.

The patch filename is RegPatch.zip. The default location for the patch is in the directory where you installed ASE-Q.

4 In the **Log Information** section, enter the location where you want to save the log file, or click **Find** to locate and select the file.

5 Select the **Click Here to Begin Transfer** button. The transfer process occurs. A log file of the patch process is created by the utility.

Synchronize Regulations

ASE-Q supports automatic detection and loading of regulation set changes and facility associations over a network. If ASE-Q is connected to your agency’s network and has access to the ASPEN Oracle database, you can synchronize ASE-Q regulation sets. This option does not supersede the basic Import Regulations function (“Import Regulations” on page 125), which is available for standard regulation transfers.

As with direct survey transfers between ASE-Q and ACO/ACTS, the Synchronize Regulations utility uses your Oracle repository (see “Configure an Oracle Connection” on page 142). If an Oracle repository is not configured, you will receive a warning.

To sync ASE-Q reg sets using direct-connect

1. In ASE-Q, select **System**, then **Synchronize Regulations**.

   A message indicates the number of regulation sets, patches, and reg set status changes to be imported.

2. Click **Yes** to continue.

   If ASE-Q cannot connect to the Oracle server, a warning appears.

3. Click **OK** in the confirmation window.

   New active regulation sets are added to the ASE-Q database and the applicable existing reg sets are updated. The most recent version of each regulation is set as "current" and the appropriate facility types are assigned. If a regulation set in ACO is inactive or deleted, Synchronize Regulations automatically sets the Status of the corresponding regulation set in ASE-Q, if present, to Inactive.

   Note: If you lose the connection during the update process, unsuccessfully imported regulations revert back to their original state.

Letters

ASE-Q lets you generate customized form letters from templates to send to facility administrators and others as needed. You can view the letter history for one survey at any time.

TIP: Before you can print from ASE-Q, you must have the Windows printer drivers installed on your computer. See your ASE-Q coordinator for more information.

Letters have been stored in a compressed format in ACO, ACTS, AEM, and AST since ASPEN 8.7. Letters are *not* compressed in ASE-Q. When letters are imported into ASE-Q, they will be decompressed. When they are exported from ASE-Q, they will be compressed on import into another ASPEN application.

More ...

For additional information about ASPEN letters:

Refer to "Send Letters" in the *ACO Procedures Guide*, which is posted on https://qtso.cms.gov.

Generate Custom Letters

To generate a customized form letter, you select the appropriate letter template. The template contains standard text and may include macros that serve as placeholders for applicable information in your ASE-Q database. Macro substitution is performed when you generate a custom letter.

To create a custom form letter:

1. Locate and right-click a survey on any tab in **Tree** view 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.

2. In the **Citation Manager** window, click the **Letters...** button.

3. In the **Letter Selection** window, click the **Generate New Letter** button.

   TIP: Alternatively, you can right-click a survey on any tab in Tree view, select Print Letters, then select Generate New Letter.

   The Select Letters and Distribution Lists window appears. The Form Letter section lists all form letter templates in your ASE-Q database. The Distributions section is disabled.

4. Select the form letter you want to print and click the **Preview** button.

   If the letter template contains one or more Custom Text Prompt macros, ASE-Q displays a window for each macro in which you can enter text to be included in the letter.

5. Enter the requested text in each prompt window 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).

   ASE-Q replaces the macros in the template with applicable information from the database.

   Note: If the information is not available in the database, macro substitution is not performed.

6. Make any needed changes to the letter.

7. To print the letter, click **Print**.

8. In the **Print** window, select the appropriate options and click **OK**.

   The letter is printed. When you return to or open the Notices History window, the letter will be listed there.

9. Click the **Save & Exit** button from the ASPEN word processor.

   Note: You cannot print mailing labels in ASE-Q as you can in ACO and ACTS because distribution information is not available.

More ...

Screen: "Letter word processor" on page 180
Procedure: “ASPEN word processor” on page 201
Screen: "Letter Selection window" on page 176

View Letter History

The Letter History section of the Notices History window lists the letters that have been generated for a survey. You can view, print, change the Created date, or delete any of the letters in the history list. You can also open the Select Letters window in order to generate a new letter.

To view letter history:

1. Locate and right-click a survey on any tab in **Tree** view 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.

2. In the **Citation Manager** window, click **Letters...**.

3. In the **Letter Selection** window, click the **View Letter History** button.

TIP: Alternatively, you can right-click a survey on any tab in the Tree view, select Print Letters, then select View Letter History.

The Notices History window appears with a list of letters generated for the current survey in the Letters History section.

- To view the contents of a letter and print it, select the letter and click the **View/Print** button.

  The letter is displayed in a word processor window. Since the letter has been generated previously, all macro substitution has been done.

- To generate a new letter, click the **New** button.

  The Select Letters and Distribution Lists window opens. Select the appropriate template to generate the letter.

- To change the Created date for a letter, select it and click the **Modify Date** button.

- To delete a letter from Letter History, select it, click the **Delete** button and click **Yes** in the confirmation message.

  The letter is deleted from the Letter History list.

TIP: If you printed intermediate drafts of a letter before sending it, you may want to delete the earlier versions.

More ...

Screen: "Letter Selection window" on page 176
Screen: "Notices History window" on page 176

Forms and Reports

ASPEN Survey Explorer-Quality provides online options for producing the "paperwork" associated with provider and survey management. When you need hard copies, you can print them.

TIP: Before you can print from ASE-Q, you must have the Windows printer drivers installed on your computer. See your ASE-Q coordinator for more information.

You can generate and print:

- CMS survey forms
- Quality reports

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

Print Survey Forms

You can generate the following CMS forms for a selected survey in ASE-Q from ASPEN Explorer or the Citation Manager:

- CMS 2567L/A - Deficiency reports
- CMS 2567B - Corrected Deficiencies
- CMS 670 - Workload
- CMS 1557 - CLIA

You can enter data for the CMS-670 form and select the information to include on a CMS-2567. The CMS-2567B is only applicable for followup surveys with corrected deficiencies. You can select what to include on the CLIA reports.

You can also view and print a Severity/Scope Grid report for the survey.

Note: For state licensure surveys or surveys that cite both Federal and state tags, ASE-Q produces a form similar to the CMS-2567 for the state tags, but without the Federal identifiers.

To print survey forms:

1. In **Tree** view: click the **Alpha**, **Type**, or **Survey** tab; locate the survey; right-click it and select **Print Forms**.

   TIP: You can also locate the survey in List view.

   -or-

   Open the **Citation Manager** for the survey and click the **Forms** button.

   ➥ To open Citation Manager, right-click the survey in **Tree** or **List** view and select **Citation Manager**.

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 form, which encompasses 2567L/A, you can specify the components you want to include. The CMS-2567B is for revisits with corrected deficiencies.
   - You can enter data for the CMS-670 form using the 670 Entry button.

3. Click **OK**.

   Each form you selected is displayed in a report preview window.

4. To print or export a form, click the **Print Report** button or **Export Report** button 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.

Print a Draft CMS-2567

You can print a draft of the CMS-2567 form without the formatting. This allows you to review a hard copy of the citations before producing the final report. You can choose to:

- Print only your citations.
- Print citations entered by a specific surveyor.
- Print all citations in the survey.
- Print only selected tags.

As with the final CMS-2567, you can combine multiple surveys into a single form.

To print a draft CMS-2567:

1. Click any tab in **Tree** view and locate the applicable survey.
2. Right-click the survey 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, click the **Forms...** button.
4. In the **Select Form(s) to print** window, select **Quick Report** and click **OK**.
5. In the **Quick Report** window, select the desired option in the **Choose a Quick Report** section.
6. Select one or more of the three checkbox items as appropriate.
7. Click **OK** to display the report.
   - If you chose Specific Surveyor, the Select Team Member for Quick Report window appears. Select the name of the surveyor whose tags you want to report and click **Select**.
   - If you chose Selected Tags, the Tags in Survey window appears. It lists all the tags cited in the survey. Select one or more tags to include in the report and click **OK**.

More ...

Screen: "Select Forms to print window" on page 181
Screen: "Quick Report window" on page 182

Print CMS-2567

You can specify the information you want to include on the CMS-2567L/A form. For state licensure surveys or surveys that cite both Federal and state tags, ASE-Q produces a form similar to the CMS-2567 for the state tags, but without the Federal identifiers.

The CMS-2567L form lists citations of Federal tags, except those with a severity/scope rating of 1/1 (A); the state CMS-2567L includes level A tags. Both the CMS-2567A and state CMS-2567A forms list only level A tags.

To print the CMS-2567:

1. Click any tab in **Tree** view and locate the applicable survey.
2. Right-click the survey 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, click **Forms**.
4. In the **Select Form(s) to print** window, select **CMS 2567** and click **OK**.

5 In the **Customize Survey Report Form (CMS 2567)**, select the items you want to include.

6 If you want to print EMTALA and/or Swing Bed tags separately, select **Print Special Tags Separately**.

The Print Special Tags Separately option is selected by default. When selected, up to three separate CMS-2567 reports are generated: one shows only EMTALA tags, another shows only Swing Bed tags, and the third shows all other tags. If not selected, one CMS-2567 report with all tags is generated.

7 If you want to include more than one survey type, regulation set, or building on the same form, click **Combine**.

If your survey contains multiple regulations (or buildings if LSC), ASE-Q normally produces a separate CMS-2567 for each one. The Combine function lets you combine survey types, regulations, or buildings on one form.

Only one version of a regulation set for the LSC Form indicator (K7) selected in ACO can be selected for a survey.

8 In the **Specifications for Combined Survey Report Form (CMS 2567)** window, select the **Survey Types**, **Regulations**, and **Buildings** you want to include on the form.

9 Click **OK** to return to the previous window.

10 Click **OK** to return to the **Select Form(s) to print** window.

11 Click **OK**.

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 are not 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; 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 CMS-2567L, the CMS-2567A/state CMS-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 CMS-2567L prints by default.

NH only - PNC tags are printed on the CMS-2567, but not the CMS-2567B (for revisits). If there are PNC tags, the following message appears in the Provider's Plan of Correction column: “Past noncompliance: no plan of correction required.”

12 Click the **Maximize** button in the upper-right corner of the title bar to maximize the preview window. To print or export the form, click the **Print Report** button or **Export Report** button on the toolbar. Provide requested information, then click **OK**.

13 Click **X** in the upper-right corner to close the report preview window.

More ...

Screen: "Select Forms to print window" on page 181
Screen: "Customize Survey Report Form (CMS-2567) window" on page 181
Fields: "CMS 2567", on page 230

Enter 670 Workload Data

To enter 670 data, you can open the CMS 670 Workload Detail window from ASPEN Explorer or the Citation Manager.

To enter 670 workload data:

1 Locate the applicable survey in **Tree** or **List** view, right-click it, and select **CMS 670 Workload**.

-or-

In the **Citation Manager** window, click **Forms** then select the **670 Entry** button in the **Select Form(s) to print** window and click **OK**.

The CMS 670 Workload Detail for Survey window lists all surveyors on the roster, with rows for each survey category.

Survey dates and categories are brought forward from the Survey Properties window.

TIP: Multiple surveyors can record 670 hours simultaneously for the same investigation survey. You will receive a message when you attempt to access a survey that has been locked by another user, but you will be able to access the CMS 670 Workload Detail window.

2 Select the **Lead** checkbox to indicate the survey team leader.

3 Select or deselect **On Team** as appropriate for survey team members.

The On Team checkbox is selected by default for all team members and all survey categories.

4 Enter hours for each staff member and survey category, as appropriate.

5 Click **Office Hours...** to enter supervisory and clerical hours for each survey category in the **Form 670 Input Office Hours** window; click **OK** when you are done.

You will receive overridable messages if you do not enter all required office hours.

6 Click **Print** at the bottom of the **CMS 670 Workload Detail** window to print the **CMS-670** form.

7 Click **Close** to finish the **CMS 670 Workload Detail** window.

Overridable messages appear if you have not entered all required hours.

More ...

Screen: "CMS 670 Workload Detail window" on page 183

Enter CMS-1557 Data - CLIA

Enter Personnel Data

The 1557 Entry button on the Select Form(s) to print window opens the 1557 Detail window where you can enter lab employees' qualifications and specialty data. On the Survey tab of the 1557 Detail window, enter the number of lab employees qualified for each applicable regulatory section.

To enter CMS-1557 personnel data:

1 In the **Alpha** tree view, locate and right-click the applicable survey.

2 Select **Print Forms**... to open the **Select Form(s) to print** window.

3 Click the **1557 Entry...** button to display the **1557 Detail** form.

4 State License Number - carried over from the **Facility Definition** tab; read-only.

5 Simultaneous Survey - **Yes** or **No**. Enabled only for **Validation** kits and available on the **CMS-1557** screen.

6 Survey Status - entered by system based on **Type of Action** (**L8**) and **Type of Survey**; read-only.

7 Personnel section - enter number of qualified personnel in each applicable regulatory area.

View / Maintain CMS-1557 Specialty Information

Specialty information is required for initial certifications. Kits for Pending Initial labs (220) display CLIA specialty data from the 116 on the 1557 Specialties tab. You can update it as needed.

Recertifications display current national specialty data. You can update this information in initial or recertification kits. For validation kits, Accrediting Organizations (AOs) either provide specialty data electronically to the national reporting system or use the ODIE option 5 menu to enter and maintain it. For validation surveys, the 1557 specialty screen is read only, except for the Discrepancy Found field.

To view and maintain CMS-1557 specialty data:

1. In the **Alpha** tree view, locate and right-click the applicable survey.
2. Select **Print Forms** to open the **Select Forms** window.
3. Click the **1557 Entry** button to display the **1557 Detail** form.
4. Click the **1557 Specialties** tab.
5. Compliance kits - Select applicable sub-specialties and enter the **Effective Date** (required) for each.

   Validation kits - Confirm specialties, test volume, and dates entered by the AO.
6. **Total Annual Test Volume**, **Certificate Schedule**, and **Compliance Schedule** are automatically entered.
7. For validation kits, select the appropriate **Discrepancy Found** option.
   - None
   - Specialty
   - Test Volume
   - Specialty/Test Volume

More ...

Screen: "Select Forms to print window" on page 181

Print the Severity/Scope Grid

The Severity/Scope Grid report lets you analyze the distribution of citations on a survey by severity/scope rating.

To print the severity/scope grid:

1. Click any tab in **Tree** view and locate the applicable survey.
2. Right-click the survey 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, click **Forms**.
4. In the **Select Form(s) to print** window, select **S/S Grid** and click **OK**.

   The Severity/Scope Grid report is displayed in a report preview window. A message appears if the form contains no data.
5. Click the **Maximize** button (in report preview window) in the upper-right corner of the title bar to maximize the preview window. To print or export the form, click the **Print Report** button (in report preview window) or **Export Report** button (in report preview window) on the toolbar. Provide requested information, then click **OK**.

6 Click **X** in the upper-right corner to close the report preview window.

7 Click **OK** to return to the **Select Form(s) to print** window.

Note: Citations moved to another tag or removed due to IDR/IIDR and/or hearing/settlement are excluded from the Severity/Scope Grid report for a survey.

More ...

Screen: "Select Forms to print window" on page 181

Print Quality Reports

You can print three quality reports from ASE-Q:

- Review by surveyor
- Severity/Scope Summary
- 670 Summary

Review by Surveyor

This report lets you analyze how often a surveyor cites violations of specific tags.

To print the review by Surveyor report:

1 From the **Quality** menu, select **Review** and then **By Surveyor**.

2 In the **Customize Review By Tag** window, enter the **Start** and **End** dates of the surveys you want to check for the report.

3 Select one or more **Survey Types**.

4 Select a **Regulation Set**.

You can only select one.

5 Click **OK**.

The Review by Surveyor report is displayed in a report preview window.

6 Click the **Maximize** button (in report preview window) in the upper-right corner of the title bar to maximize the preview window. To print or export the form, click the **Print Report** button (in report preview window) or **Export Report** button (in report preview window) on the toolbar. Provide requested information, then click **OK**.

7 Click **X** in the upper-right corner to close the report preview window.

Severity/Scope Grid

The Severity/Scope Grid report lets you analyze the distribution of citations on a group of surveys by severity/scope level.

To print the severity/scope grid:

1. From the **Quality** menu, select **Scope/Severity Summary**.
2. In the **Customize Severity/Scope Summary report** window, enter the **Start** and **End** dates of the surveys you want to check for the report.
3. Select one or more **Survey Types**.
4. Select a **Regulation Set**.

   You can only select one.
5. Click **OK**.

   The ASPEN Severity/Scope Grid is displayed in a report preview window. A message appears if no information meets the criteria you specified.
6. Click the **Maximize** button (in report preview window) in the upper-right corner of the title bar to maximize the preview window.
7. To print or export the form, click the **Print Report** button (in report preview window) or **Export Report** button (in report preview window) on the toolbar. Provide requested information, then click **OK**.
8. Click **X** in the upper-right corner to close the report preview window.

Note: Citations moved to another tag or removed due to IDR/IIDR and/or hearing/settlement are excluded from the Severity/Scope Grid report for a group of surveys.

More ...

Screen: "Report Preview window" on page 200

670 Summary

The 670 Summary shows survey team workload for selected regulation sets.

To print the 670 Summary:

1. From the **Quality** menu, select **670 Summary**.
2. In the **Print 670 Summary** window enter the **Report Title**.
3. To group surveys in the report by type, select **Group By Survey Type**.
4. Enter the **Start Date** and **End Date** of the period you want to cover in the report.

5 Click **OK**.

6 In the **Choose Regulations** window, select the **Regulations** you want to check for the report.

All are selected by default. You can click **De-Select All** and then select the ones you want; the button toggles to **Select All**.

7 Click **OK**.

The 670 summary report with the title you specified is displayed in a report preview window. A message appears if no information meets the criteria you specified.

8 Click the **Maximize** button (in report preview window) in the upper-right corner of the title bar to maximize the preview window. To print or export the form, click the **Print Report** button (in report preview window) or **Export Report** button (in report preview window) on the toolbar. Provide requested information, then click **OK**.

9 Click **X** in the upper-right corner to close the report preview window.

Setup and Maintenance

Define Data Locations

A data location is any location where data can be stored or transferred. There are several types:

- ASPEN Workarea: The location of the ASE-Q Sybase database where surveys, citations, regulations, etc. are stored. When ASE-Q is initially installed, the default ASPEN work area is the local computer. You can add workareas that allow ASE-Q to use a database on a remote computer over a network.
- Transfer Location: A pre-defined location, such as a USB drive, which is consistently used for ASPEN transfer files. Transfer locations are defined for convenience so you do not have to manually navigate to these locations each time an import or export is performed.
- Oracle repository: Your agency's Oracle database, to or from which data can be stored or transferred using a direct network connection. This is a special type of transfer location.

You can configure as many data locations as needed to accommodate your hardware configuration and work procedures.

Configure ASE-Q Workareas

Your workarea is the instance of the ASE-Q database you are using, i.e., your active database. It can be local or remote. There can be only one local workarea, the Sybase database on your machine. You can configure multiple remote workareas, i.e., instances of Sybase on remote machines, and work on them over a network (one at a time) as needed, provided the devices are properly configured.

Remote workareas are also included in the ASPEN Transfer Location list in Export and Import windows for selection as source and destination locations for data transfer. Your local workarea cannot be a transfer location.

To configure an ASE-Q workarea:

1. In the ASE-Q toolbar, click **Config**.

   The Define Data Workarea window appears. The **Existing Locations** section lists the data locations that are already defined.

2. In the **Data Location Properties** area of the **Define Data Workarea** window, click **New**.

3. Enter a **Description** of the workarea; for a new workarea, select and type over the default “New Item”.

   A local workarea is defined for all ASE-Q installations and named Local by default. You can change the name if you wish, but this is not recommended.

4. For **Type**, select **ASPEN Workarea**, ASPEN meaning ASE-Q.

5. To enter the **Location** of a remote workarea, click **Find** (binoculars) to open the **Select Database** window, and select the desired database.

6. Select the appropriate **Icon** to visually indicate the device the workarea represents.

7. If you want this to be your default ASE-Q workarea, select **Default ASPEN Database**.

8. Click **Save** to store your workarea; **OK** to close the **Define Data Workarea** window.

   The next time you start ASE-Q, it will connect to this location.

   When you save a new workarea, it is added to the drop-down list next to the Config button on the ASE-Q toolbar.

Note: You must have a valid ASE-Q user account for each defined workarea in order to connect to it.

Change Your Workarea Location

If you have both a local and one or more remote workareas configured, you can easily switch between them. When you change to a different workarea, ASE-Q validates your ASE-Q user account in the new location. You must have a valid account for each ASE-Q database you connect to, otherwise, your connection is not accepted.

➥ To switch to another workarea, simply select it in the drop-down list next to the Config button on the ASE-Q toolbar.

Configure ASPEN Transfer Locations

A transfer data location is used to store data during export/import processes, whether data is exchanged using a transfer file or a direct-connect method. All configured transfer locations are included as options for ASPEN Transfer Location in the Export and Import windows.

To configure a transfer location:

1. In the ASE-Q toolbar, click **Config**.

   The Define Data Workarea window appears. The **Existing Locations** section lists the data locations that are already defined.

2. In the **Data Location Properties** area of the **Define Data Workarea** window, click **New**.

3. Enter a **Description** of the transfer location; for a new location, select and type over the default “New Item”.

   A short and descriptive name is recommended.

4. For **Type**, select **Transfer**.

5. To enter the **Location** of the transfer area, click **Find** (binoculars) to navigate to and select it.

6. Select the appropriate **Icon** to visually indicate the device the transfer location represents.

7. Click **Save** to store your transfer location; **OK** to close the **Define Data Workarea** window.

Configure an Oracle Connection

In order to connect to the ACO and ACTS data on your state's Oracle server from your ASE-Q machine, you must define an Oracle repository location.

To configure an Oracle connection:

1. In the ASE-Q toolbar, click **Config**.

   The Define Data Workarea window appears. The **Existing Locations** section lists the data locations that are already defined.

2. In the **Data Location Properties** area of the **Define Data Workarea** window, click **New**.

3. Enter a **Description** of the Oracle data location.

   A short and descriptive name is recommended, e.g., **Oracle Server**.

4. For **Type**, select **Repository (Oracle)**.

5. **SA -** For **Location**, enter **MDSDB**.

   RO, CO - Type in the abbreviation of the state you want to connect to, for example IA. Repeat the steps for each state to which connectivity is desired.

6. For **Icon**, select **Oracle**.

7. Click **Save** to store your Oracle configuration; **OK** to close the **Define Data Workarea** window.

   When you save an Oracle connection, it is added to the ASPEN Transfer Location list in the Export and Import windows.

Delete Data Locations

You can easily delete data locations you no longer use.

To delete a data location:

1. In the **Existing Locations** section of the **Define Data Workarea** window, select the data location you want to delete.

2. Click the **Delete** button to the right of the Data Location Properties section.

3. Click **Yes** in the confirmation messages to delete the location, then to save changes.

Specify State 2567 Information

If you set up your state regulations in ASE-Q, you can specify state-specific information for your CMS-2567 forms and the state entered by default in new provider records. These settings are database specific.

To specify state CMS-2567 information:

1. From the **System** menu, select **System Configuration**, then **State Customization**.
2. In the **State Customization** window, enter your **State Agency** name.
3. In the **Regulation** field, enter the term your state uses to refer to regulations.

   ASE-Q 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.
4. Enter the text you want printed in the **Form Footer** of the **CMS-2567**.
5. Select the appropriate **ID**.
6. Select the two-character **Abbreviation** for your state.

   This is the state ASE-Q will enter by default when users create new providers.

Import ASE-Q Sybase Database Patch

ASPEN includes a mechanism for deploying database changes to ASE-Q without going through a software release process. Changes to the Sybase database are posted to the state Oracle server (ACO) and your agency is notified that an ASE-Q patch file can be created. You can then use standard transfer functions to update your ASE-Q database with the patch. This process is designed to streamline maintenance of the distributed ASE-Q database.

To import a Sybase database patch into ASE-Q:

1. From the **File** menu in **ASE-Q**, select **Import Database Patch**.
2. In the **Import** window, indicate the location of the transfer file containing the patch.
   - Select **ASPEN Transfer Location** and then choose the applicable location from the drop-down list.

     Note: ASE-Q detects and lists any removable drives (such as USB drives) plugged in at the time of transfer.

     -or-
   - Select **Other Zip File Location** and enter the path to the transfer file, or click **Find** (binoculars) 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.

     Be aware that many anti-virus programs, email servers, and firewalls block .ZIP files. If this is an issue, contact your ASPEN administrator for assistance.

   Note: You can also use the direct-connect method (discussed in the following section) to import the patch from Oracle (ACO). For ASPEN Transfer Location, select the Oracle server (however it is named).
3. Click **OK** in the **Import** window.

   A message indicates the patch was supplied successfully, or if problems occur, processing is terminated and an error message is displayed.

Note: ASPEN automatically tracks which database patches have been applied to ASE-Q on your machine to ensure you do not import a DB patch again after it has been successfully applied.

More ...

Screen: "Import window" on page 189

Insert Backup Text

When an ASPEN word processor/text editor is open for entering or editing text, ASE-Q 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 ASE-Q 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.

   ASE-Q 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: ASE-Q overwrites existing backup files every two minutes only if more than 500 new character, 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.

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 a letter template.
- Modify a New letter template.
- Insert macros (merge codes) into a letter template.
- Print letter templates.
- Delete one or more letter templates.

More ...

Procedure: “Create Letter Templates” on page 146
Procedure: “Modify New Letter Templates” on page 148
Procedure: “Insert Letter Macros” on page 148
Procedure: “Print Letter Templates” on page 149
Procedure: “Delete Letter Templates” on page 151

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 ASPEN 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.

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.

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.

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 Select the **Letter Type**.

10 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.

11 Click **OK** to open the ASPEN 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 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 178
Screen: "Letter Desc window" on page 179
Screen: "Letter word processor" on page 180
Procedure: "Insert Letter Macros" on page 148

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...**.
6. In **Edit Letter Text**, modify the content and insert macros (merge codes) as needed.
   Start with step 3.
7. Click **OK** to save the content and return to the **Letters** window.

More ...

Screen: "Letters window" on page 178
Procedure: "To specify letter attributes:" on page 146
Screen: "Letter word processor" on page 180
Procedure: "To enter letter content:" on page 147
Procedure: "Insert Letter Macros" on page 148

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.

Custom Text Prompt is a specialized macro that lets users insert custom text when they print letters from templates with custom text prompt(s). When a letter is generated, ASE-Q displays a prompt window with a text field. The user can enter up to 250 characters in this field.

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 Click in the letter text at the point where you want to insert the macro (merge code).

4 Select the macro you want from the **Macros** drop-down list.

5 Click **Insert**.

The system inserts the macro in the letter template. 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. You can insert as many macros as needed.

More ...

Screen: "Letters window" on page 178

Print Letter Templates

Access to the Print option is available in the ASPEN word processor for all letter templates.

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 printer icon 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 178
Screen: "Letter word processor" on page 180

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/applications via a transfer file, e.g., from the ASE-Q database on your laptop to ASE-Q on another laptop or from ASE-Q to ACO
- to/from defined Workareas (except the one you are connected to) and removable media plugged in at the time of export/import
- from ASE-Q Sybase databases on the current network

The export process supports custom selection of the letter templates to export.

If you use a transfer file, the templates are exported to a file (named LetterTx.zip by default) to the location you specify. From there, you can import the templates into a different database/application from the transfer file.

When you use a Workarea or removable medium, the selected templates are transferred directly over a network and can then be imported directly to databases.

If you choose to import from a remote ASE-Q Sybase database, just the letter templates are imported.

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 export location.
5. Click **OK** to store the selected templates in:
   - the specified ASPEN Transfer Location (Workarea or removable medium)

     -or-

   - LetterTx.zip (or rename it if desired, include the .zip extension) in the specified location (Other Location)

   A message will inform you of a successful letter export.

Note: If you exported to a transfer file and a file of the same name already exists at the location, the existing content is overwritten.

To import letter templates:

1. On the **System** menu, select **Specialty Info Transfer** | **Import Letters**.
2. In the **Import** window, specify the location of templates you want to import. There are three options:
   - a selected ASPEN Transfer Location (Workarea or removable medium)
   - a .zip export file in the specified Other Zip File Location; navigate to it if necessary
   - a remote ASE-Q database on the network; select Locate ASE Database to specify the desired database

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 ...

Procedure: “Define Data Locations” on page 139
Screen: "Letter Export window" on page 188
Screen: "Import window" on page 189

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 178

ASE-Q Screens

This chapter contains pictures and brief descriptions of screens and windows you will encounter when working in ASE-Q. They are grouped as follows: facility properties windows, survey and citation windows, and other survey-related 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).

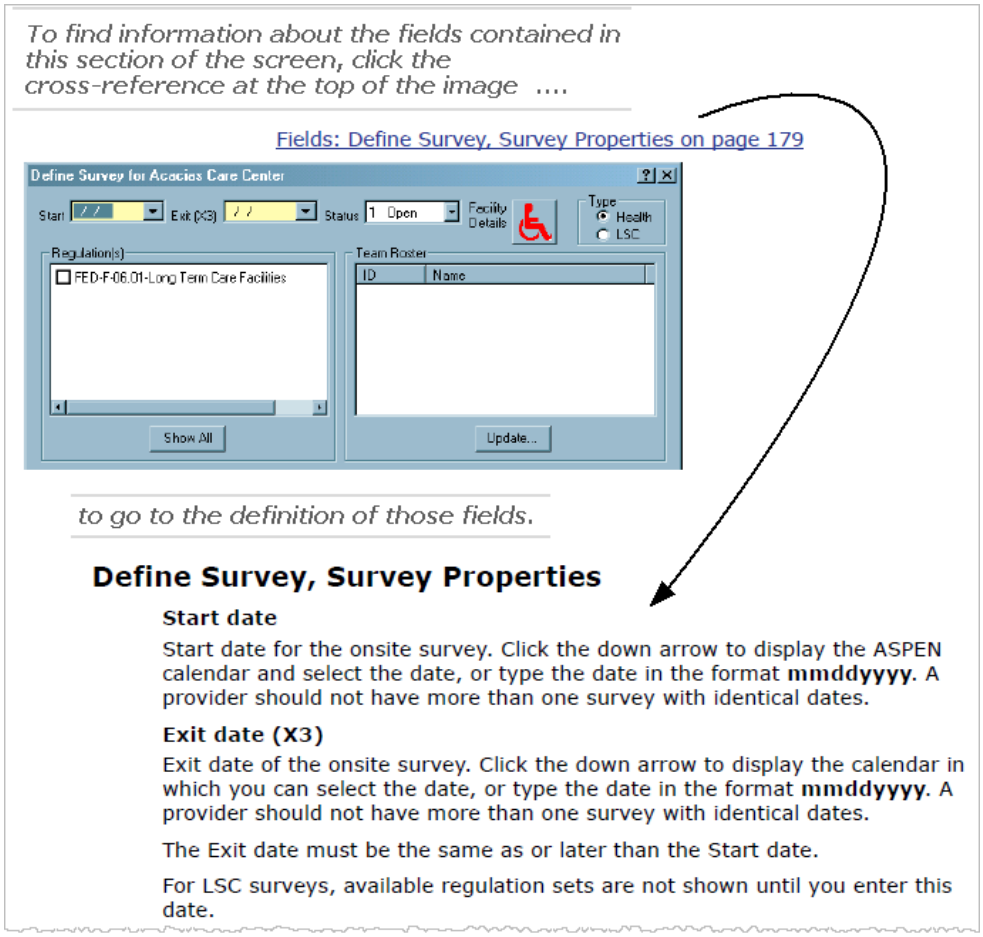


Figure 37: Cross-reference from screenshot to field descriptions

Define New Facility/Facility Properties window

The recommended practice is to create provider records in ACO, then export them to ASE-Q. In the unusual circumstance you need to create a provider record in ASE-Q, you will use the Define New Facility window. The Define New Facility/<FacName> Definition (aka Facility Properties) window lets you add/modify provider records in ASE-Q. 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 Define New Facility window has three tabs:

- Facility Definition
- Mailing Address
- Buildings/Wings

Note: Provider information that you enter in ASE-Q is not included in the state database.

Facility Definition tab

The Facility Definition tab stores the basic facility description and contact information for the provider.

Fields: "Facility Definition", on page 203

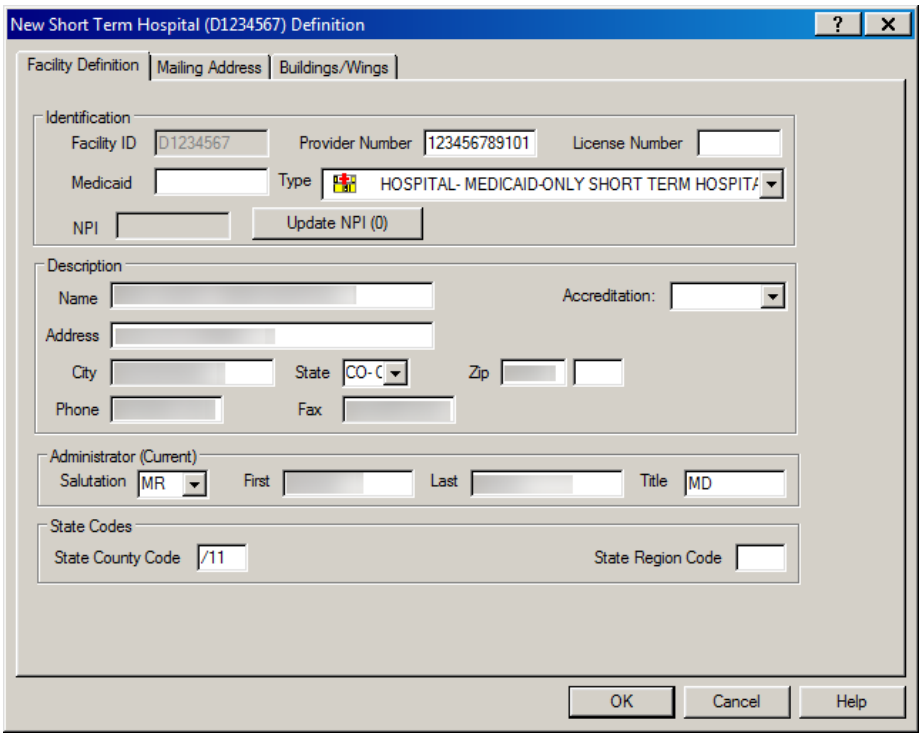


Figure 38: Facility Definition tab

Note: The Update NPI button is disabled until you enter a Provider Number (CCN) for the facility. The button is always disabled for providers that are not Medicaid-only.

CLIA - The Administrator section is titled Director. Only the First and Last name fields are present.

NPI Information window

This window opens when you click the Update NPI button. The Update NPI button is disabled until you enter a Provider Number (CCN) for the facility and is always disabled for provider types that do not require an NPI.

Fields: "NPI Information", on page 205

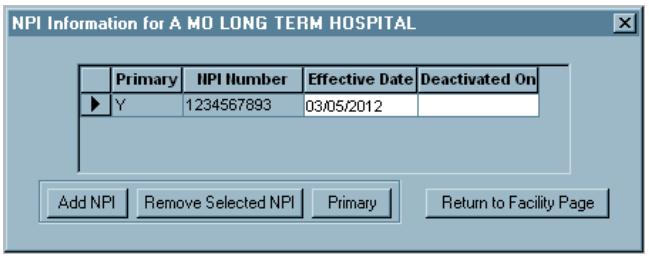


Figure 39: NPI Information window

Add a New NPI window

This window opens from the NPI Information window when you click Add NPI.

Fields: "Add a New NPI", on page 206

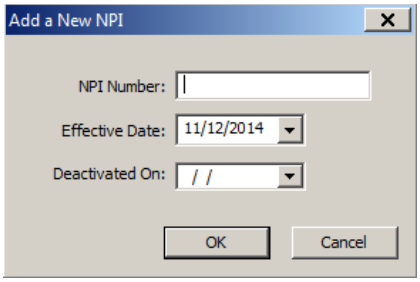


Figure 40: Add a New NPI window

Mailing Address tab

You use the Mailing Address tab to enter an additional address other than the primary address for a provider. You can then use the Mailing Address macro to insert this address into a letter.

Fields: "Mailing Address", on page 206

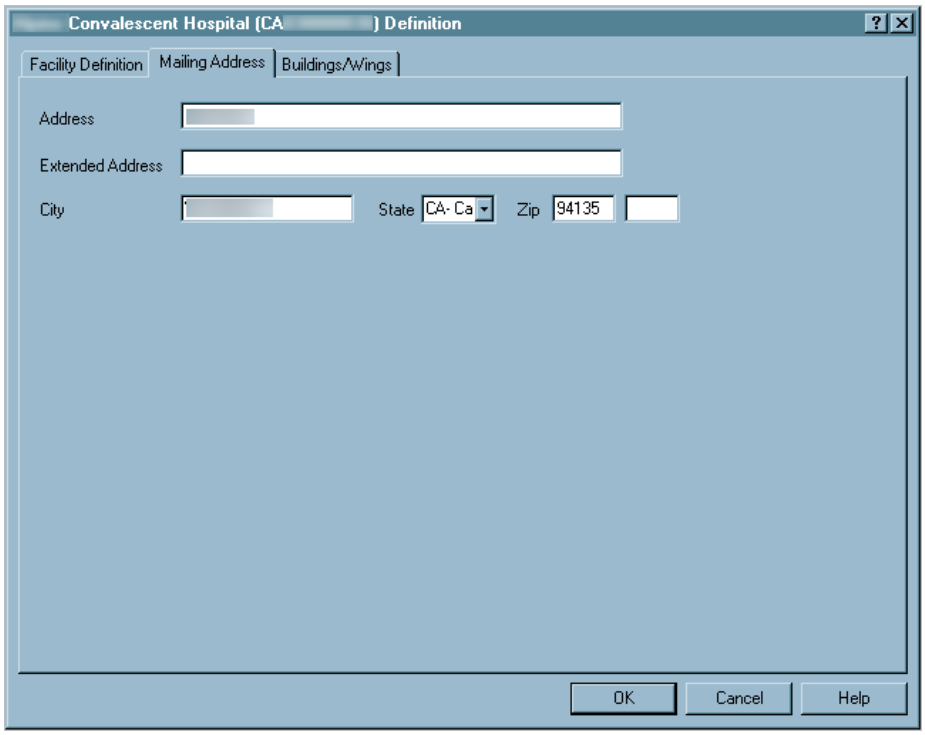


Figure 41: Mailing Address tab

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 207

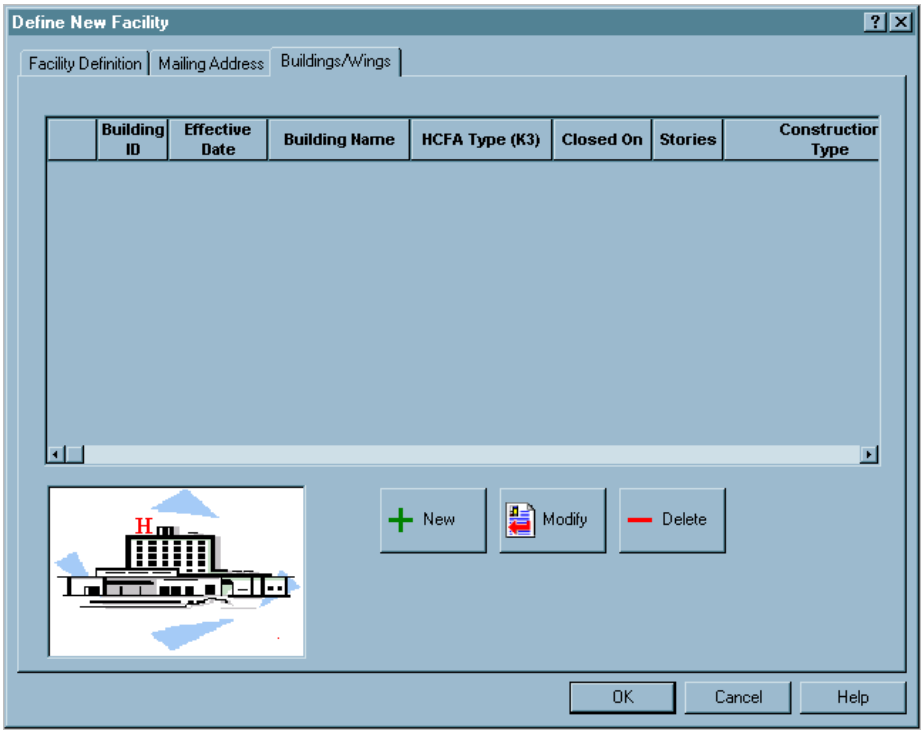


Figure 42: Buildings/Wings tab

Define New/Edit Building window

When you select the New button or select a building and click Modify on the Buildings/Wings tab, the Define New/Edit Building window appears. Use this window to create or maintain an individual building record.

Fields: "Define New/Edit Building", on page 207

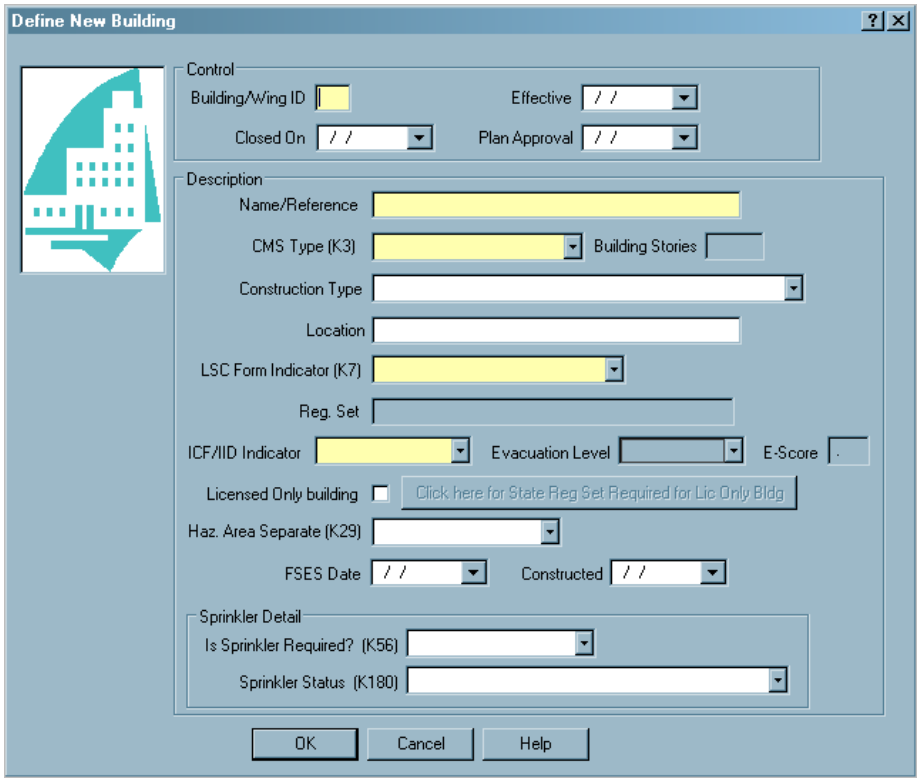


Figure 43: Define New Building window

Survey and Citation Screens

Find Facility for New Survey window

The Find Facility for New Survey window lets you quickly locate the provider in your ASE-Q database.

Note: The recommended practice is to create survey shells in ACO/ACTS, then export them to ASE-Q. In the unusual circumstance you need to create a survey in ASE-Q, you will use this window.

Fields: "Find Facility for New Survey", on page 209

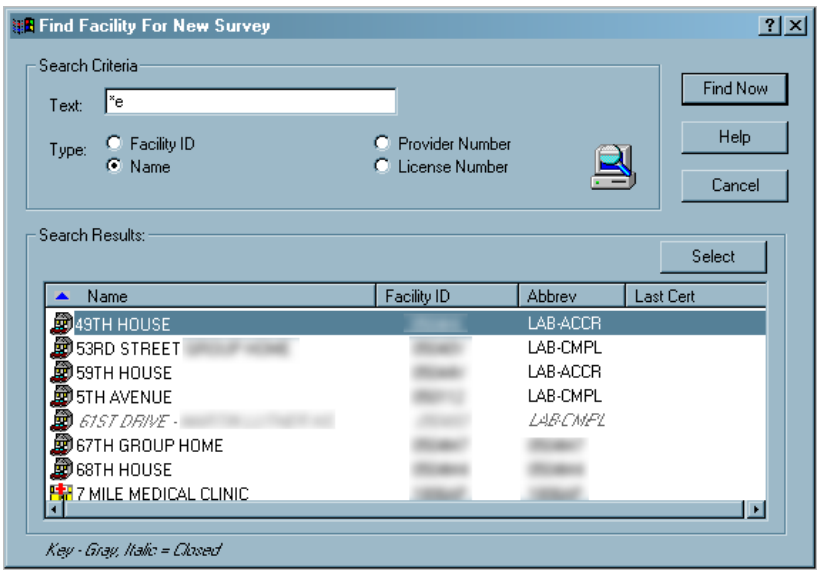


Figure 44: Find Facility for New Survey window

Define 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: "Define Survey, Survey Properties", on page 209

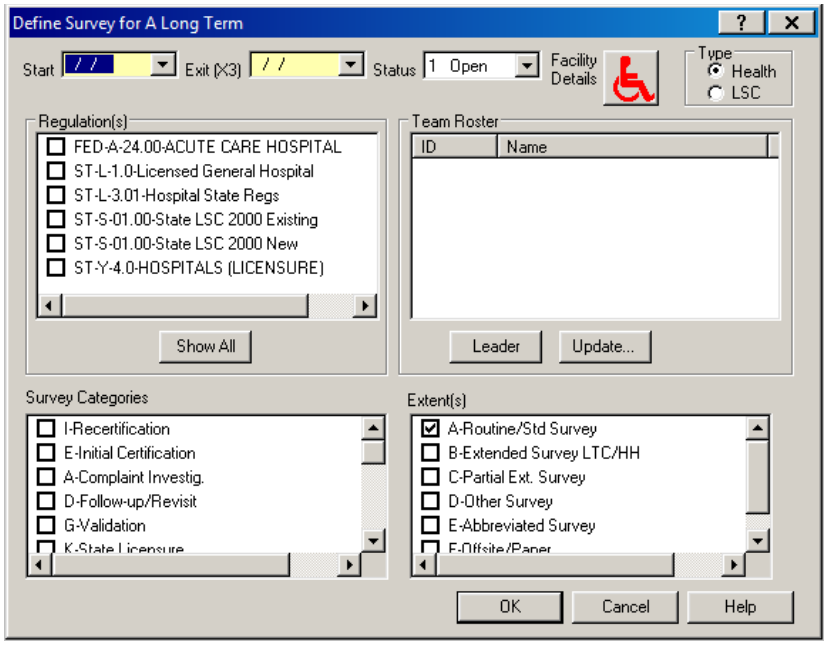


Figure 45: Define Survey/Survey Properties window

Select Surveyors window

You can access this window from the Survey Properties and Citation Manager windows, and from the Team Roster right-click option for an individual survey. Use it to select the surveyors you want to add to the team roster.

Fields: "Select Surveyors", on page 212

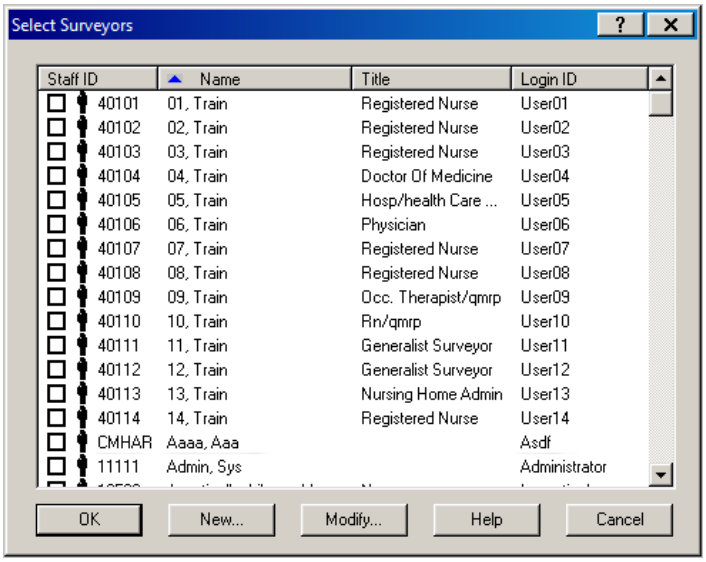


Figure 46: Select Surveyors window

Create Followup window

Creates a followup survey (revisit) to the survey where noncompliance was found.

Fields: "Create Followup", on page 213

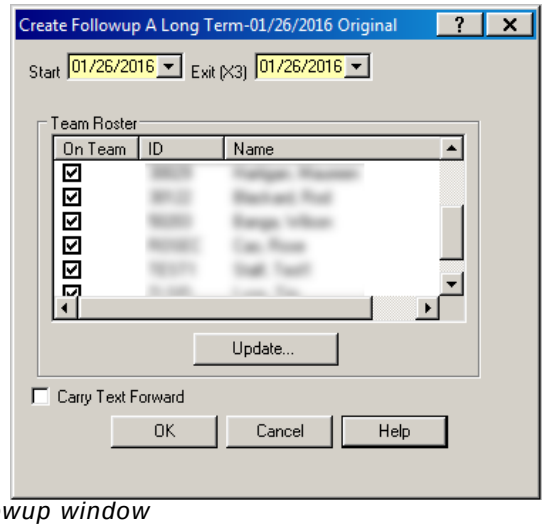


Figure 47: Create Followup window

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 survey-level attachments.

Fields: "Citation Manager", on page 214

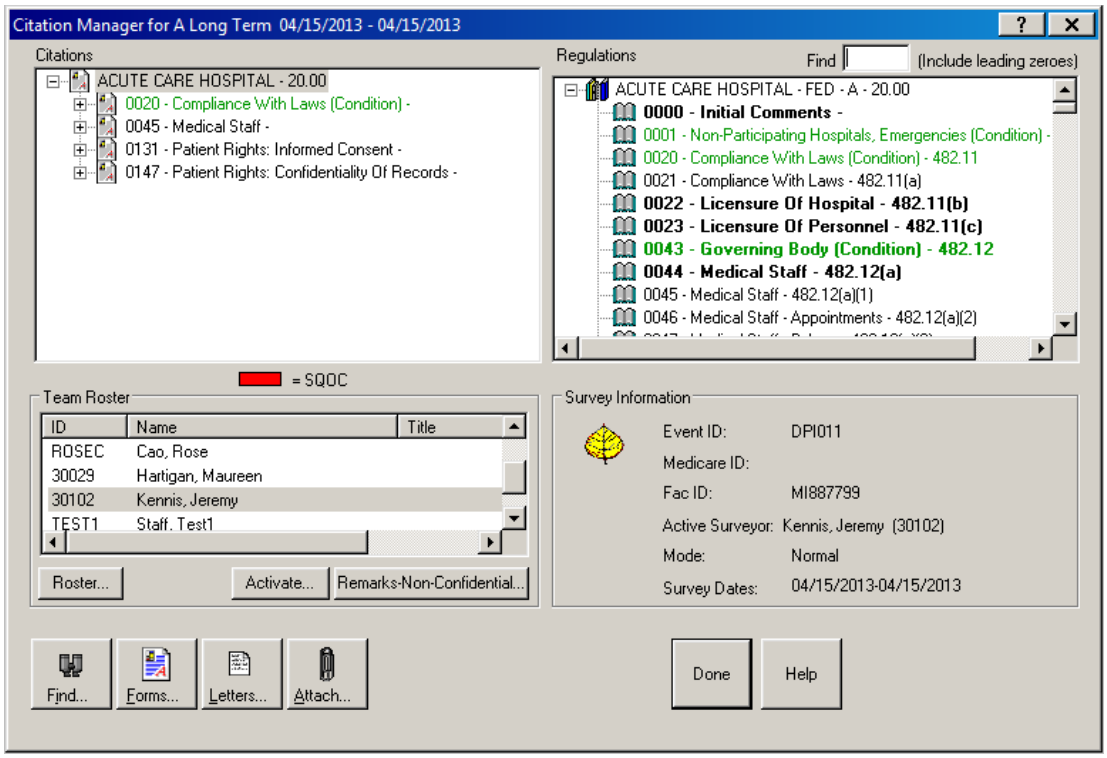


Figure 48: Citation Manager window

Citation Manager - NH window

For Nursing Homes, the Scope/Severity assigned to a tag during Potential Citations displays when the TC loads cites.

Fields: "Citation Manager", on page 214

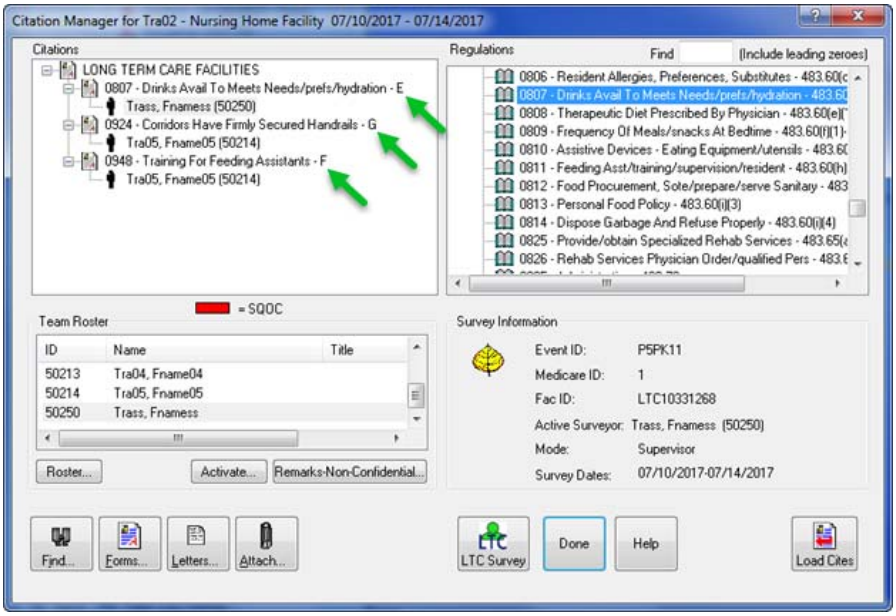


Figure 49: Citation Manager – NH window.

Citation Manager - CLIA window

When you add citations to a CLIA lab survey, a ‘P’ indicates a tag was marked for an Individualized Quality Control Plan (IQCP). A 'Q' appended to a tag indicates it was flagged for QC exclusion prior to 01/01/16. The Repeat Deficiencies button opens a list of tags cited in previous surveys that match tags cited in the current survey.

Fields: "Citation Manager", on page 214

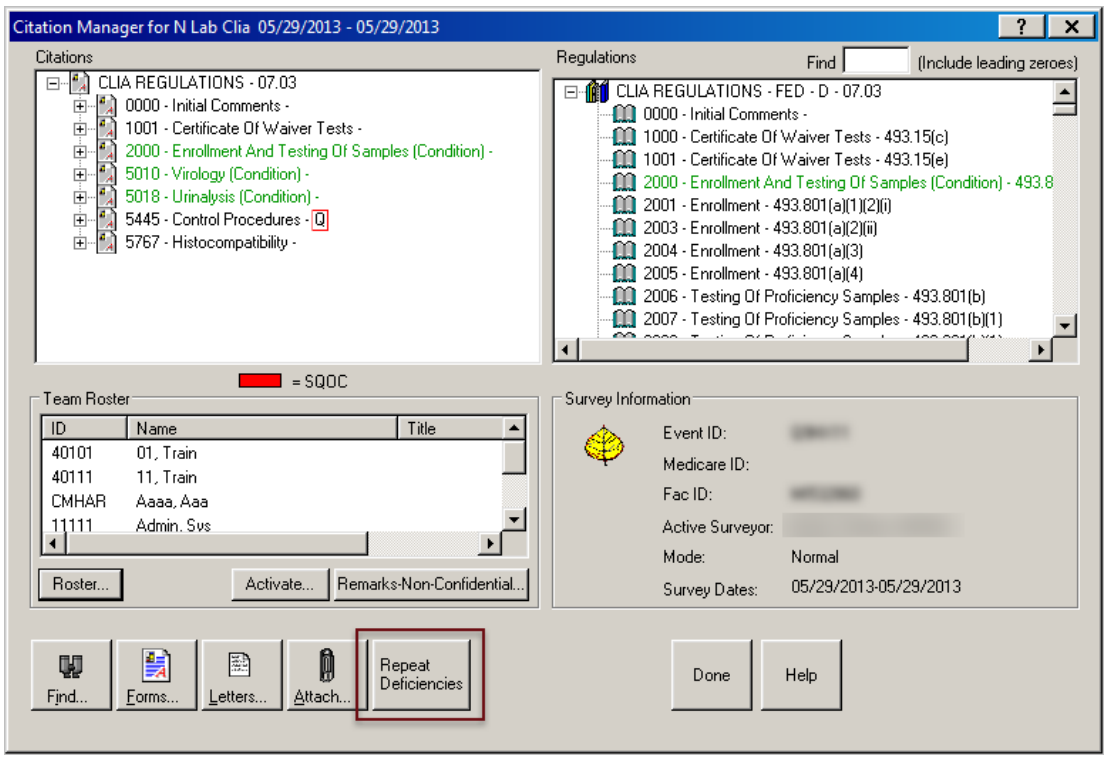


Figure 50: Citation Manager window - CLIA window

More ...

For more information about IQCP, see the *CLIA 116 and Certification Procedures Guide*, which is posted on https://qtso.cms.gov.

Repeat Deficiencies window

For CLIA labs, the Citation Manager provides access to a list of repeat deficiencies from previous surveys that used the same regulation set as the current survey. You can view citation text to determine if a tag is cited on the current survey for the same reason it was cited previously. You can also view regulation text and interpretive guidelines for each previously cited tag.

Fields: "Repeat Deficiencies", on page 217

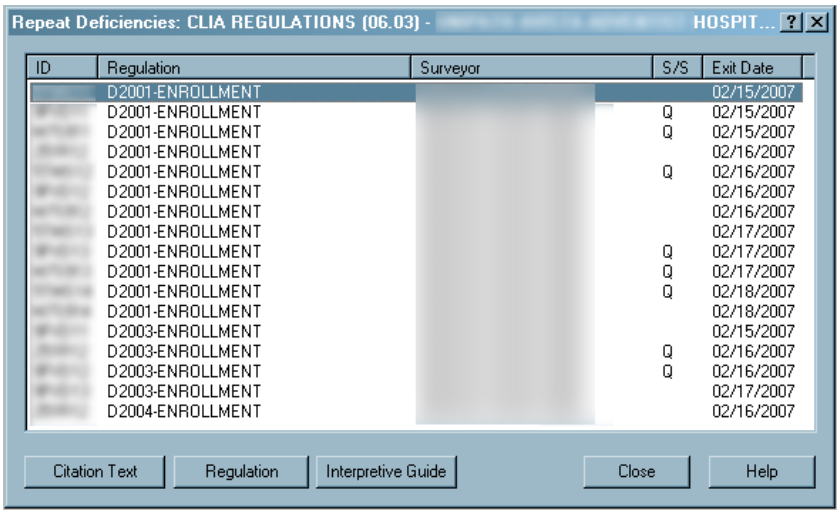


Figure 51: Repeat Deficiencies window

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 and selecting Citation Properties from the menu.

Fields: "Citation Properties", on page 218

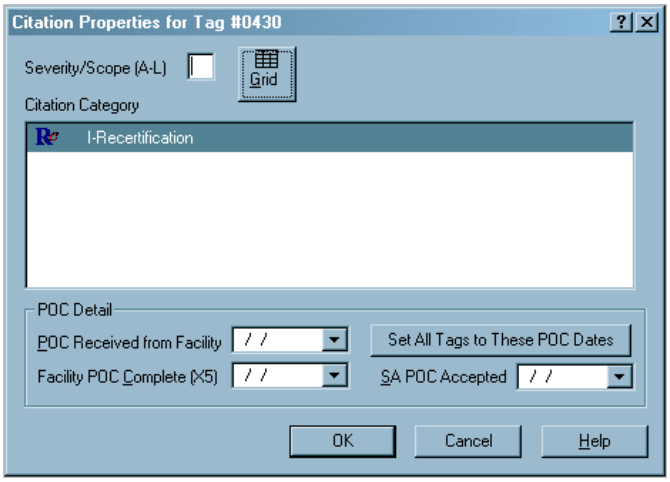


Figure 52: Citation Properties window for Health survey window

The fields that are displayed and enabled in Citation Properties 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.

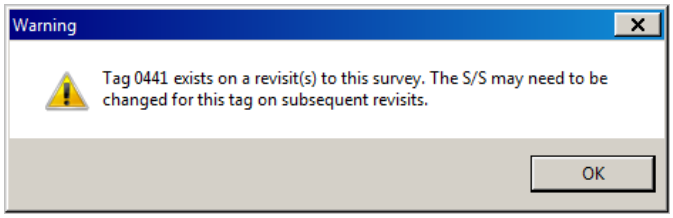


Figure 53: Severity/Scope Change warning

Citation Properties - LSC window

If you are adding or updating a tag for an LSC survey, the Building section is displayed.

Fields: "Citation Properties", on page 218

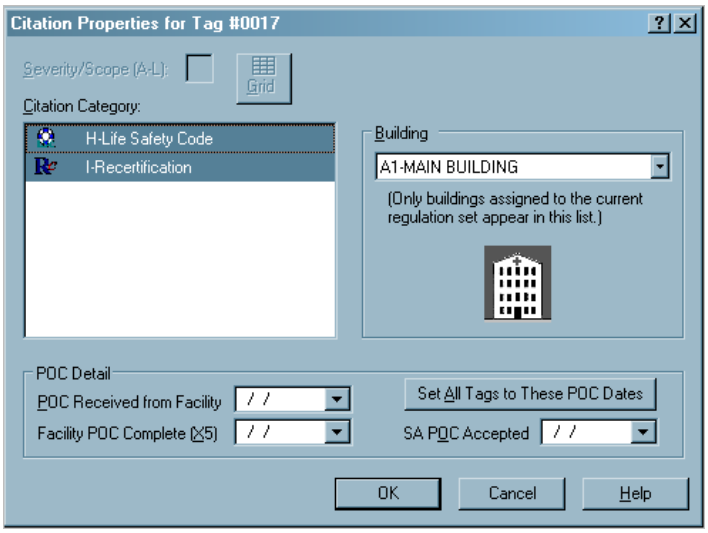


Figure 54: Citation Properties window for LSC survey

Citation Properties - Revisit window

For a revisit, the Correction Date field is added.

Fields: "Citation Properties", on page 218

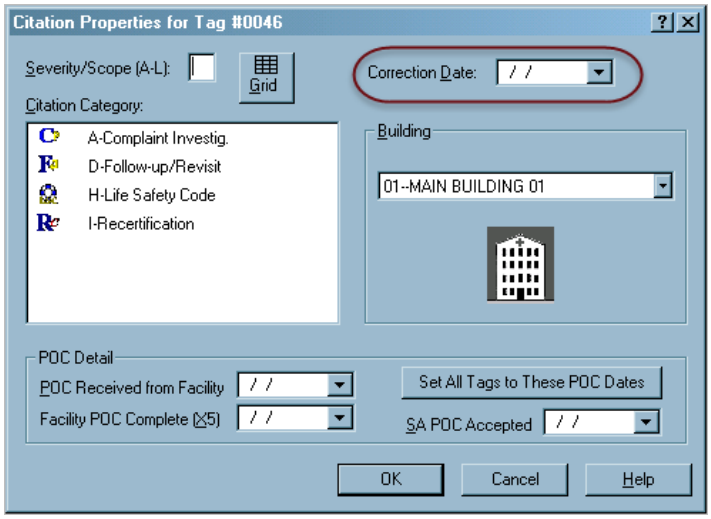


Figure 55: Citation Properties for Revisit window

Citation Properties - NH window

For Nursing Homes, the Past Noncompliance indicator is present. This example shows Citation Properties fields for a citation being added to an NH revisit.

Fields: "Citation Properties", on page 218

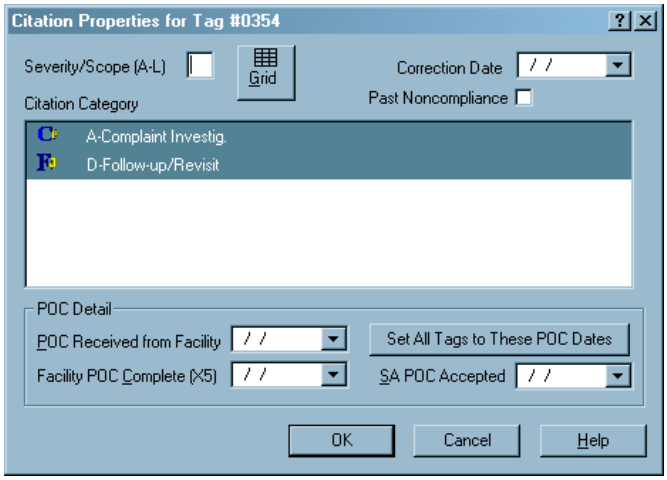


Figure 56: Citation Properties for Nursing Homes window

Citation Properties - Transplant Hospital view

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 field is not included since Completion Date is entered at the transplant type level (see "Citation Dates by Transplant Type window" on page 170).

Fields: "Citation Properties", on page 218

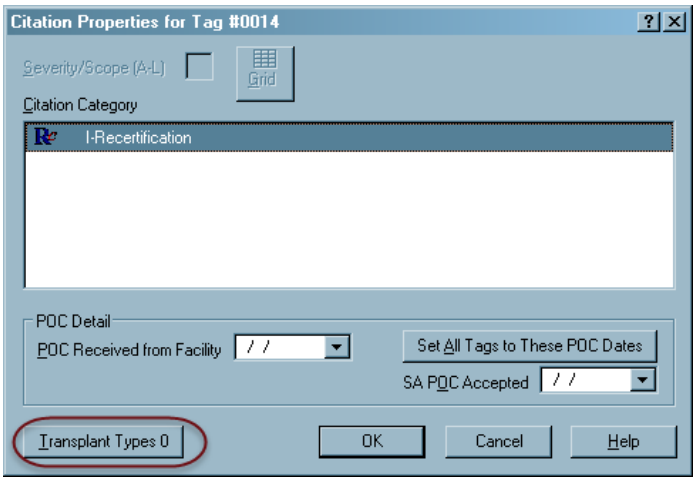


Figure 57: Citation Properties for Transplant Hospitals window

Note: For revisits, the Correction Date field is not included since it is entered at the transplant type level (see "Citation Dates by Transplant Type window" on page 170).

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 to which the citation applies. The number on the button indicates how many types are currently selected.

Fields: "Citation Properties", on page 218

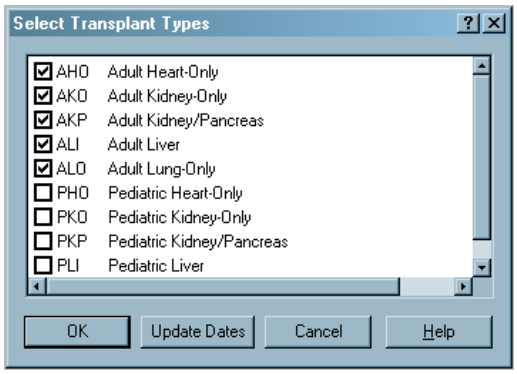


Figure 58: Select Transplant Types window

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 to which the citation applies, i.e., the types chosen in the Select Transplant Types window. If there are not any revisits, the Correction Date column is disabled.

Fields: "Citation Properties", on page 218

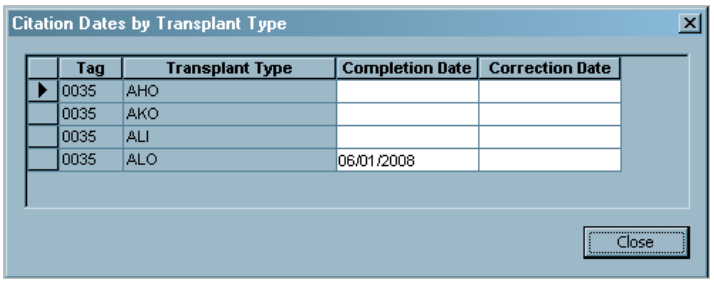


Figure 59: Citation Dates by Transplant Type window

Citation Properties - CLIA window

For CLIA tags, the Specialties button is included to let you select applicable specialties and sub-specialties to associate with the citation; it is enabled only for tags that require specialty information.The IQCP checkbox appears only for D-tags that are IQCP-eligible. If a tag was marked as QC exclusion prior to 01/01/16, the QC Exclusion checkbox appears.

Fields: "Citation Properties", on page 218

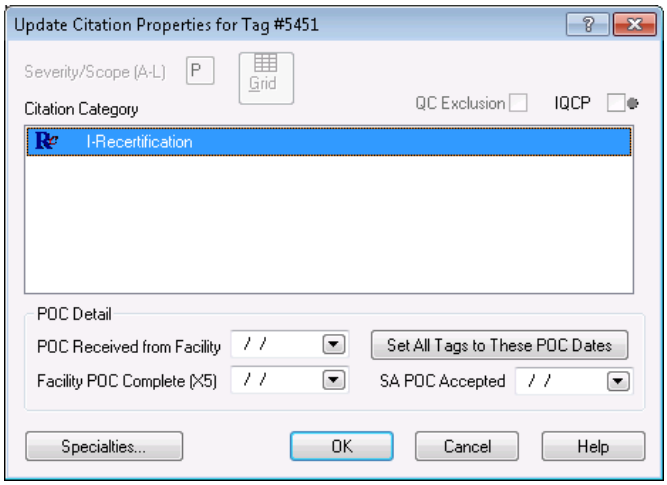


Figure 60: Citation Properties - CLIA

The Refused field is included for citations assigned any CLIA special survey type.

Fields: "Citation Properties", on page 218

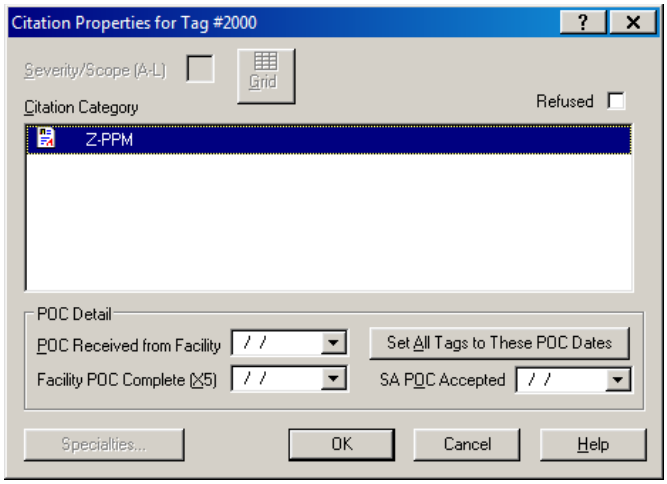


Figure 61: Citation Properties - CLIA special survey

Select CLIA Specialties/Sub-specialties window

For CLIA citations only, when you click the Specialties button in Citation Properties, this window opens. Use it to associate applicable tests with the citation. For each selected test, specify its Complexity.

Fields: "Citation Properties", on page 218

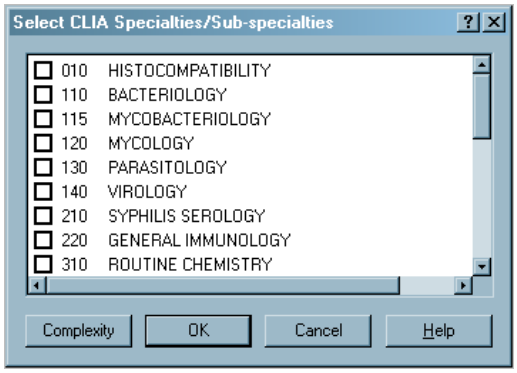


Figure 62: Select CLIA Specialties window

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 220

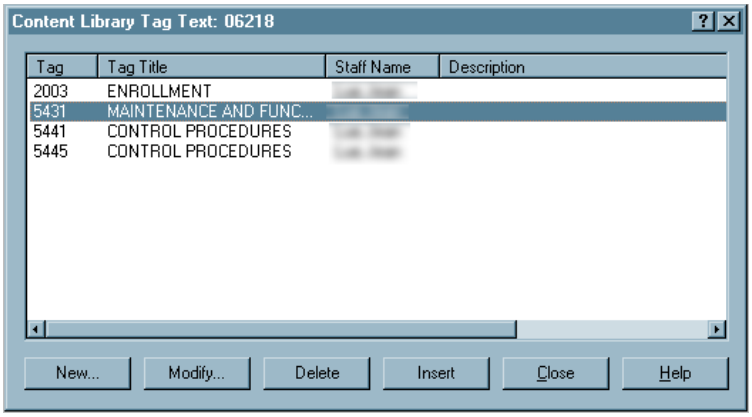


Figure 63: Content Library Tag Text window

Convert Content Library window

Use this window to copy Content Library/Custom Help from an existing regulation set to a new regulation set. You can view Content Library text for either source or destination tags in either the source or destination regulation set.

Fields: "Convert Content Library", on page 221

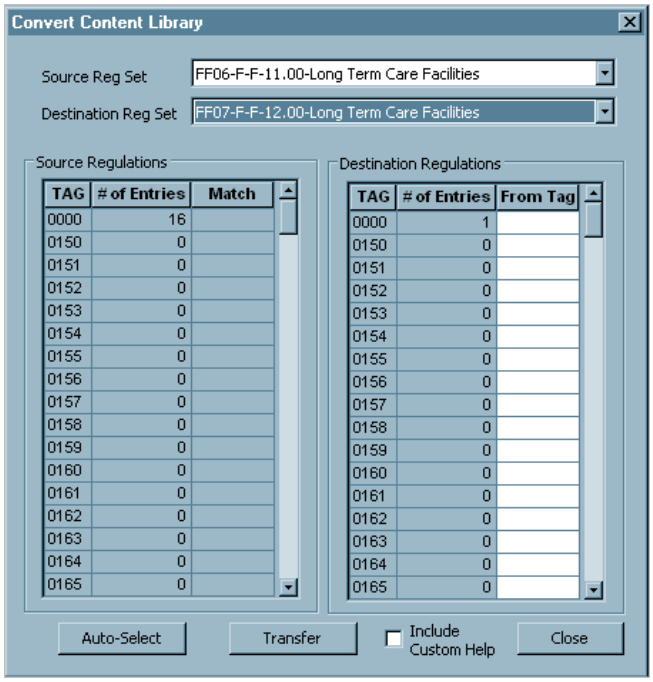


Figure 64: Convert Content Library window

Former Cites window

Right-click a tag (in the tree or in Citation Manager) and select Former Cites to see a window listing citation text that other surveyors have entered for that tag.

Fields: "Former Cites", on page 222

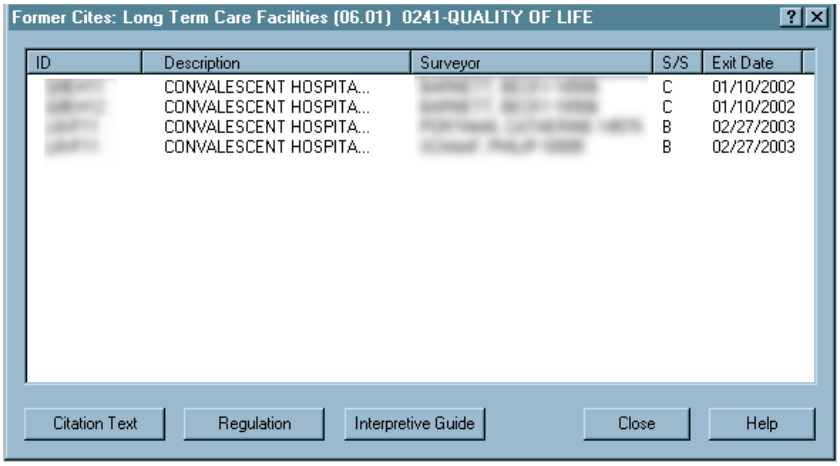


Figure 65: Former Cites window

Team Roster window

Click **Roster** in Citation Manager to open the Team Roster window, where you can add/delete team members, and designate a team leader.

Fields: "Team Roster", on page 222

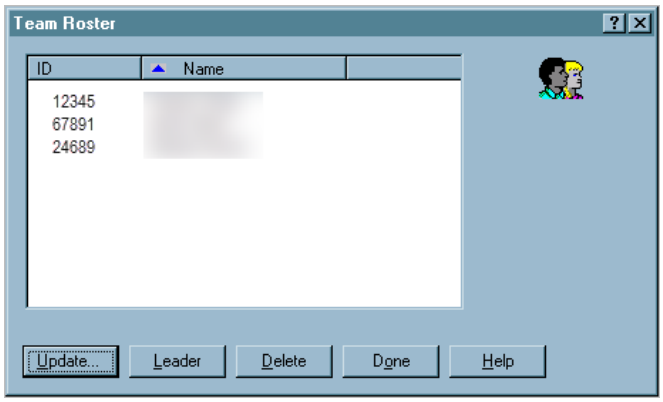


Figure 66: Team Roster window

Find (Citation, Guidelines, Reg Text) window

When you click **Find** in Citation Manager, you can search the applicable regulation set regulations, citations, and interpretive guidelines for a text string.

Fields: "Find (Citation, Guidelines, Reg Text)", on page 223

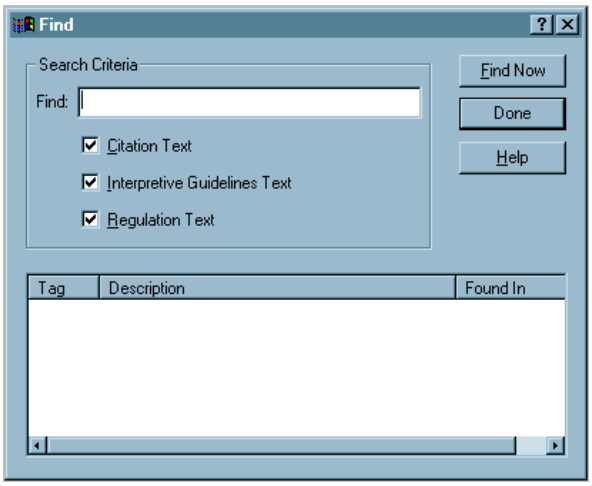


Figure 67: Find (Citation, Guidelines, Reg Text) window

Survey Attachment Documents window

Use this window to attach documents, photographs, or any other relevant files to surveys by clicking the Attach button in Citation Manager.

Fields: "Survey Attachment Documents", on page 223

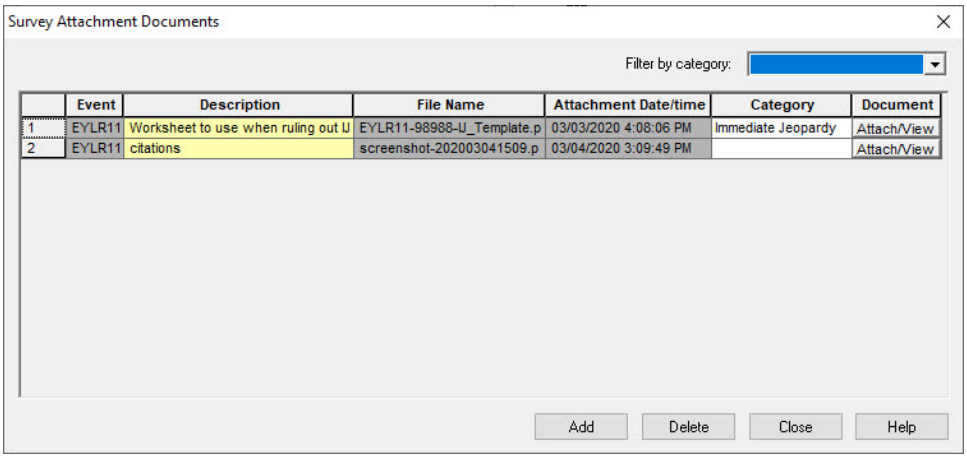


Figure 68: Survey Attach Documents window

Letters Screens

Communicating with facilities is a key component in the survey process. Any letter sent to a facility must be accurate and timely, as these are legal documents.

Letter Selection window

When you click Letters... in Citation Manager you have the following choices:

Fields: "Letter Selection", on page 224

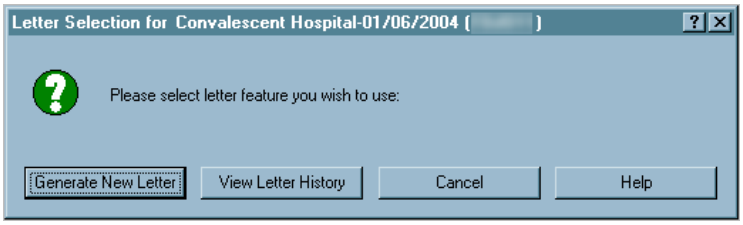


Figure 69: Letter Selection window

Notices History window

The View Letter History option displays letters that have been generated for a selected survey. It provides summary information for each letter such as date Created and Description. The Notification History section is disabled.

Fields: "Notices History", on page 224

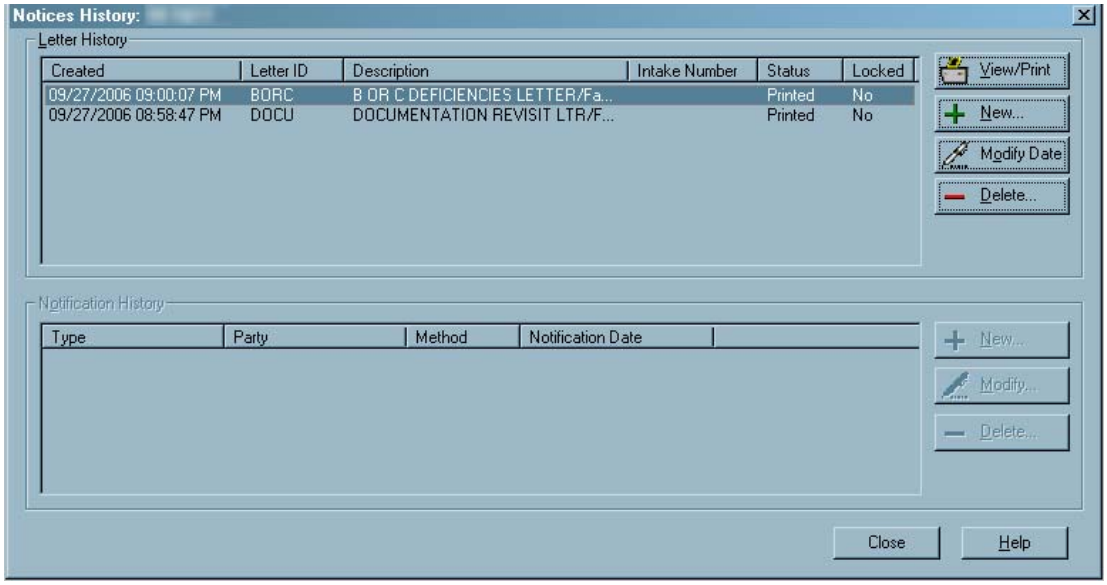


Figure 70: Notices History window

Select Letters and Distribution Lists window

This window opens when you right-click a survey in the Tree view, select Print Letters, then Generate New Letter; or click Letters... in the Citation Manager, then click Generate New Letter in the Letter Selection window.

The Form Letter section lists all form letter templates in your ASE-Q database. To generate a customized form letter, you select the appropriate letter template. The Distributions section is disabled.

Fields: "Select Letters and Distribution Lists", on page 225

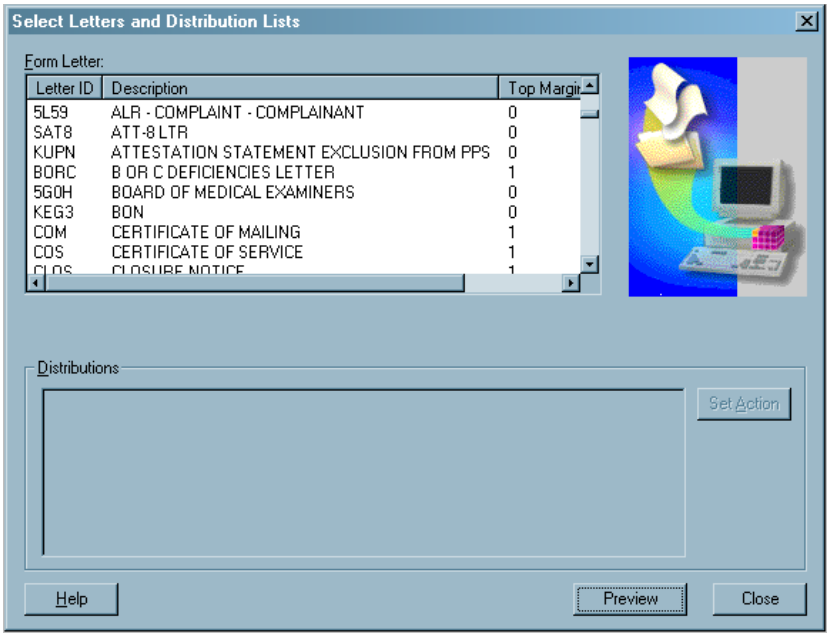
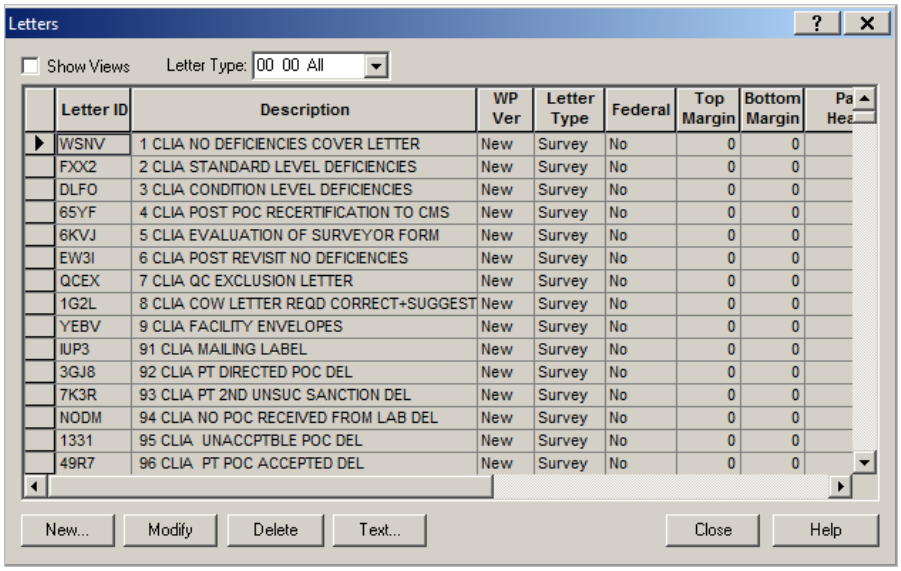


Figure 71: Select Letters and Distribution Lists window

Letters window

From this window, you create and manage form letter templates. ASE-Q users can generate customized letters from the templates.

Fields: "Letters", on page 225



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 72: Letters window

Letter Desc window

When you create a new letter template, the first step is to supply basic information about the form letter. For new templates, the Margin fields and Header/Footer section are disabled. You will specify margins and create headers and footers in the ASPEN word processor.

Fields: "Letter Desc", on page 227

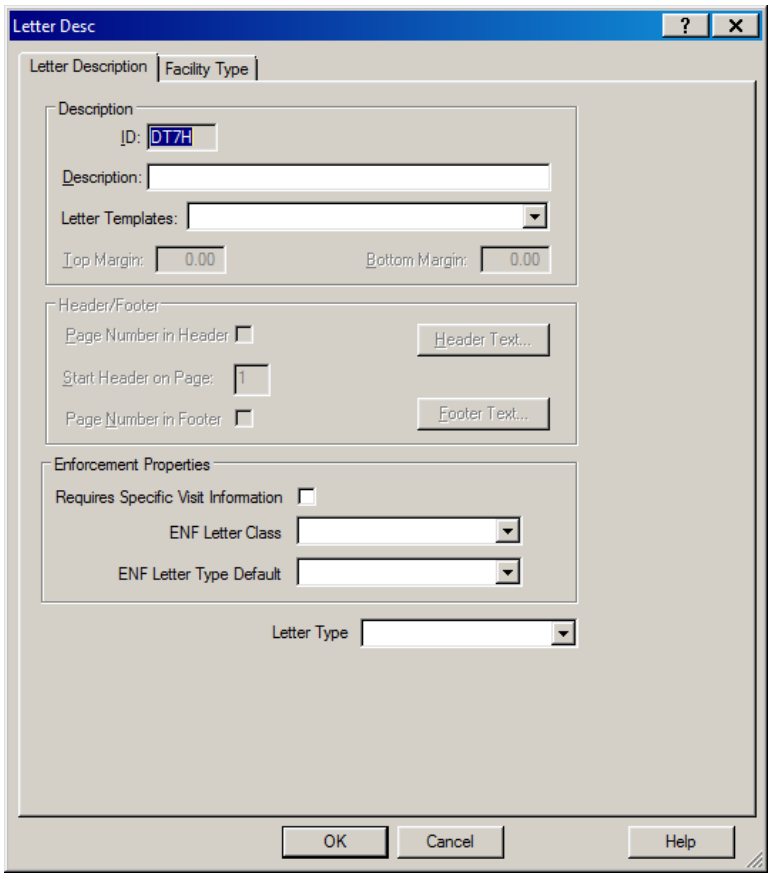


Figure 73: Letter Desc window

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 228

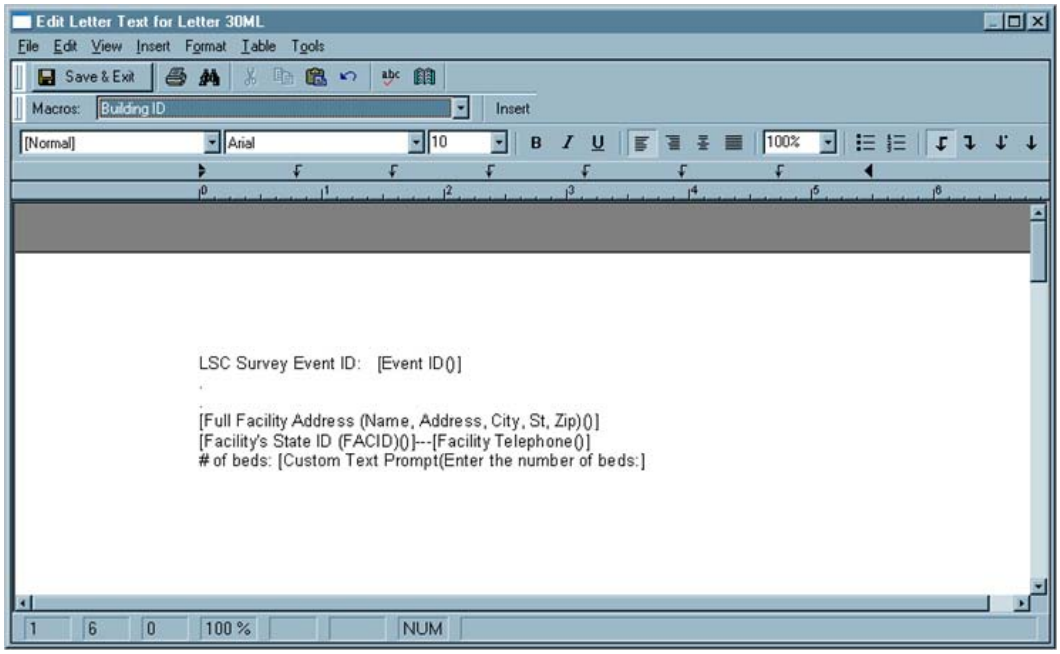


Figure 74: Letter word processor

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 the word processor, the Macros field is not displayed.

Forms and Reports Screens

Select Forms to print window

The Select Form(s) to Print window lists standard CMS forms that ASE-Q can generate. You can generate one or more forms at a time.

Fields: "Select Forms to print", on page 230

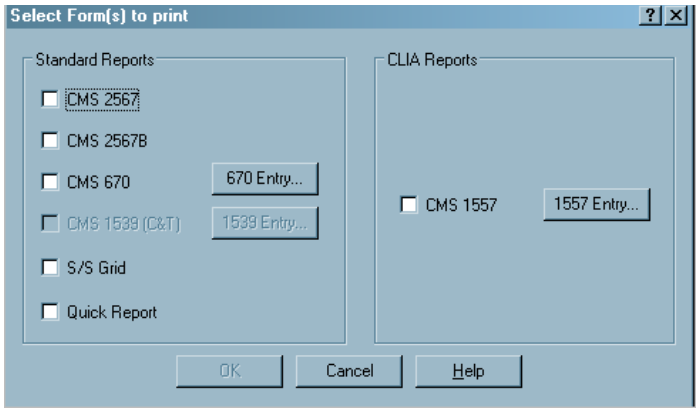


Figure 75: Select Forms to print window

Note: You cannot access the CMS-1539 in ASE-Q.

Customize Survey Report Form (CMS-2567) window

Select the options to customize the CMS-2567 Form.

Fields: "Customize Survey Report Form", on page 231

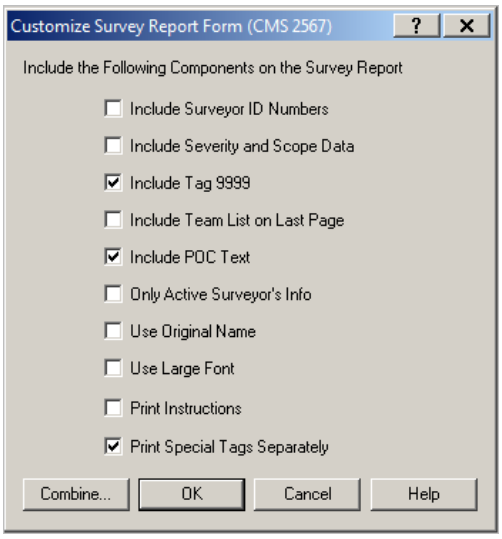


Figure 76: Customize Survey Report Form window

Quick Report window

The Quick Report window prints a draft of information that will be included on the CMS-2567. This is useful for reviewing citation text before printing the final CMS-2567.

Note: IDR/IIDR and/or hearing/settlement are excluded from the Quick Report.

Fields: "Quick Report", on page 232

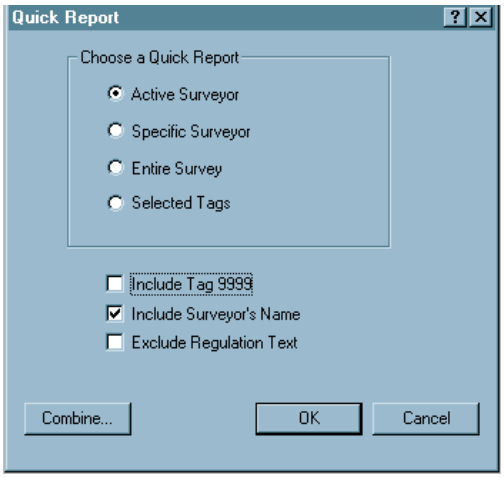
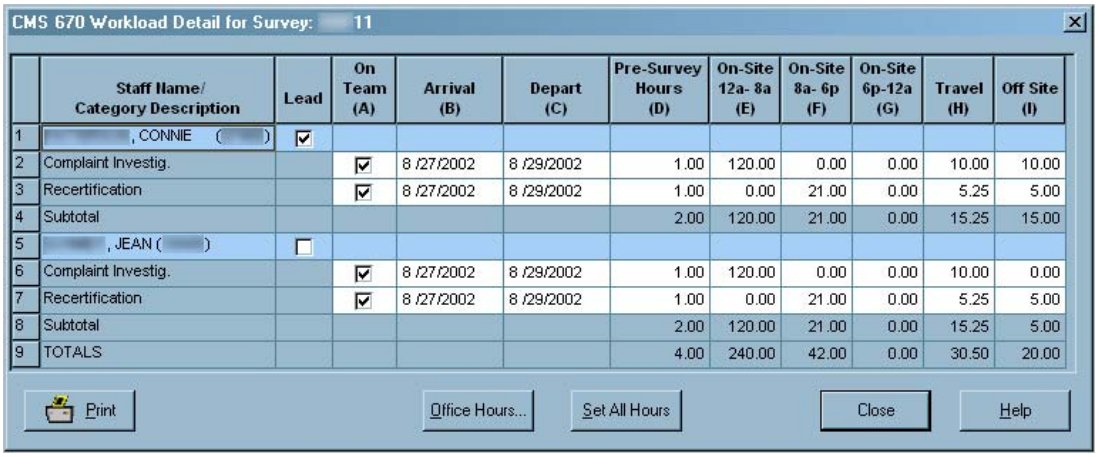


Figure 77: Quick Report window

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 233



CMS 670 Workload Detail for Survey: 11

	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	, CONNIE ( )	☑									
2	Complaint Investig.		☑	8 /27/2002	8 /29/2002	1.00	120.00	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	120.00	21.00	0.00	15.25	15.00
5	, JEAN ( )	☐									
6	Complaint Investig.		☑	8 /27/2002	8 /29/2002	1.00	120.00	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	120.00	21.00	0.00	15.25	5.00
9	TOTALS					4.00	240.00	42.00	0.00	30.50	20.00

Print | Office Hours... | Set All Hours | Close | Help

Figure 78: CMS 670 Workload Detail window

1557 Detail window

The CMS-1557 window has two tabs:

- Survey
- 1557 Specialties

Survey (CMS-1557) tab

In the Survey (CMS-1557) tab (which displays by default), enter the number of lab employees qualified for each applicable regulatory section.

Fields: "Survey (CMS-1557) tab", on page 235

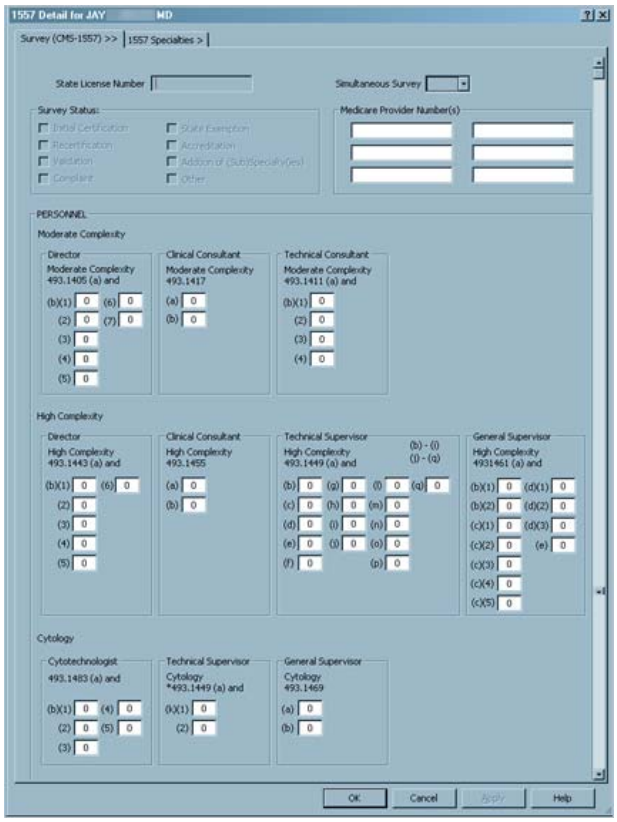


Figure 79: Survey (CMS-1557) tab

1557 Specialties tab

The 1557 Specialties tab lists the CLIA facility testing programs.

Fields: "1557 Specialties tab", on page 236

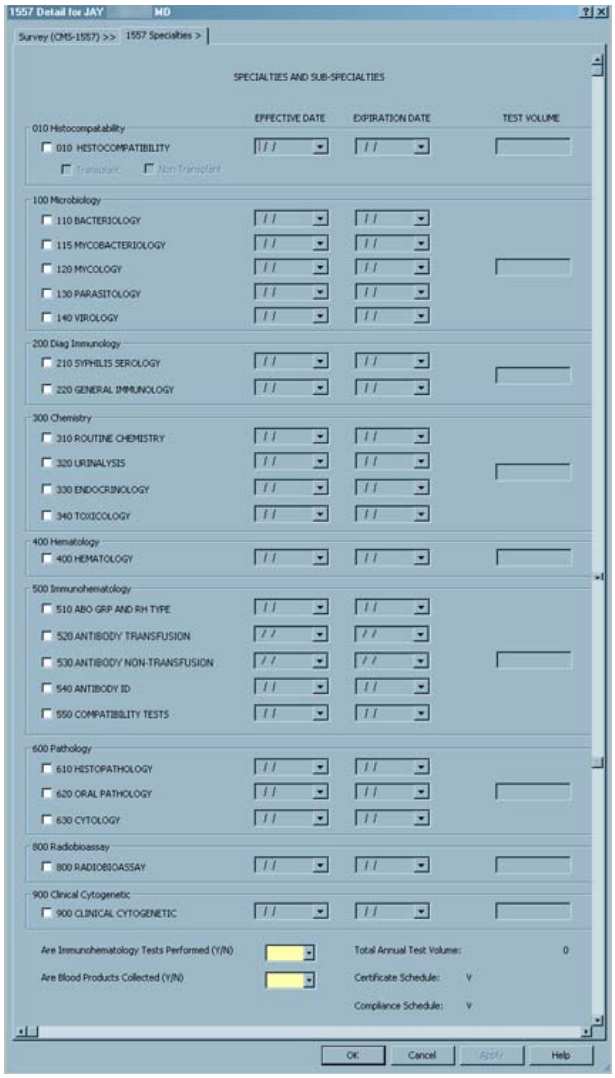


Figure 80: 1557 Specialties

Data Transfer Screens

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 236

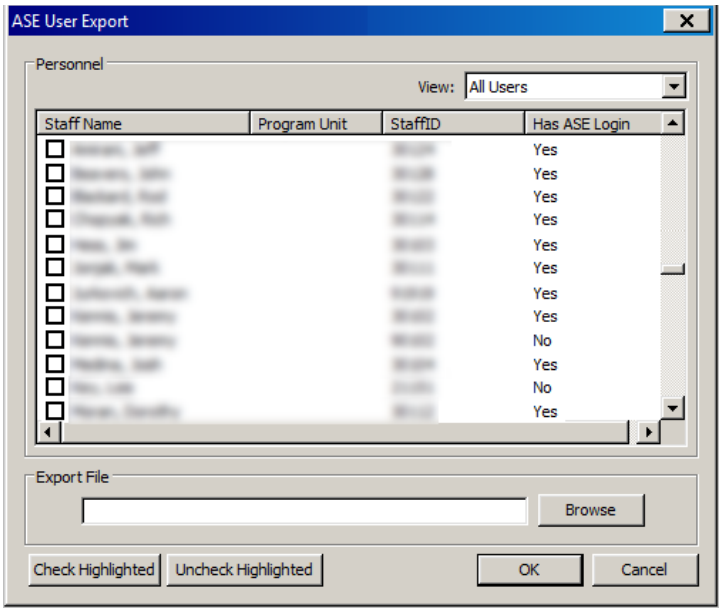


Figure 81: ASE User Export window

Finalize Transfer window

Click Apply to complete the file transfer.

Fields: "Finalize Transfer", on page 237

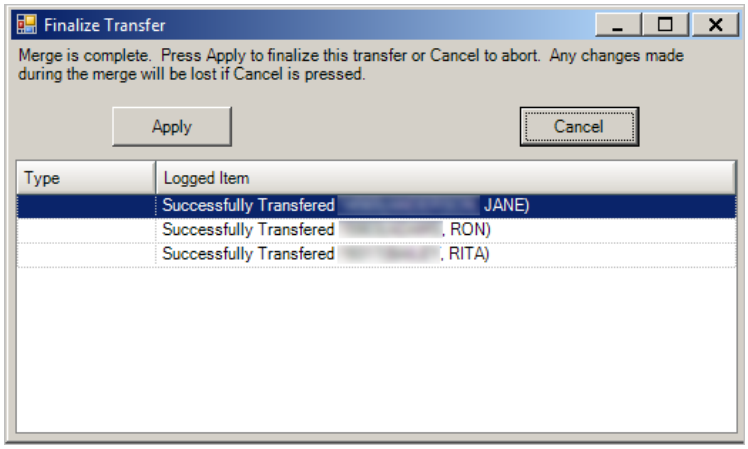


Figure 82: Finalize Transfer window

Export window

You can export any survey you select to a Transfer Location. From there, other surveyors can import the survey 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/ACTS-RO.

Fields: "Export", on page 237

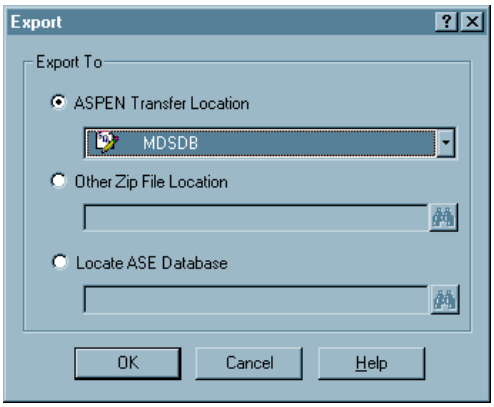


Figure 83: Export window

Survey Export window

Use this window to indicate which surveys to export to the specified destination. The title bar indicates the Source of the listed surveys and the export Destination, ASE-Q on this PC and Transfer File, respectively, in the example below.

Fields: "Survey Export", on page 238

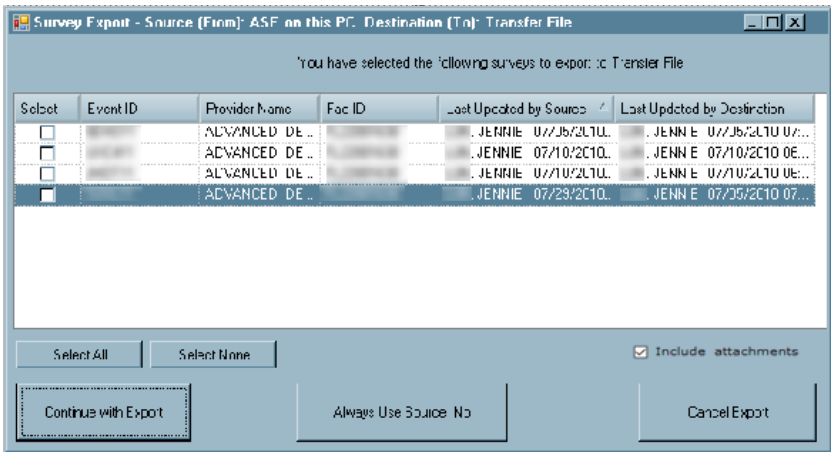


Figure 84: Survey Export window

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., a remote ASE-Q database on your network.

Fields: "Letter Export", on page 238

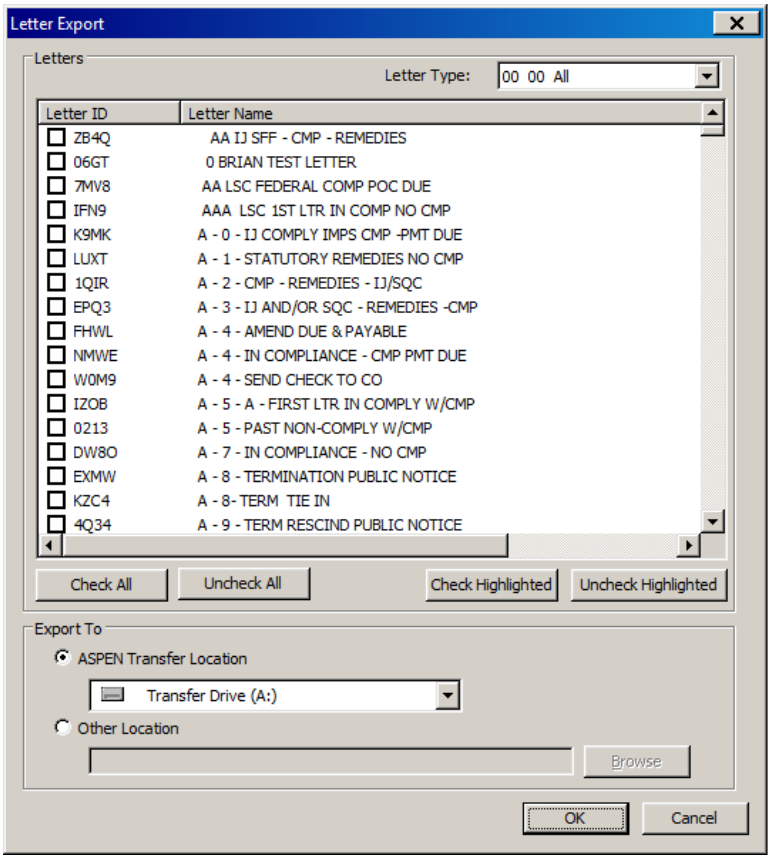


Figure 85: Letter Export window

Import window

You can select the Import icon on the ASE-Q toolbar to import surveys and regulations from a Transfer Location into ASE-Q. 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 239

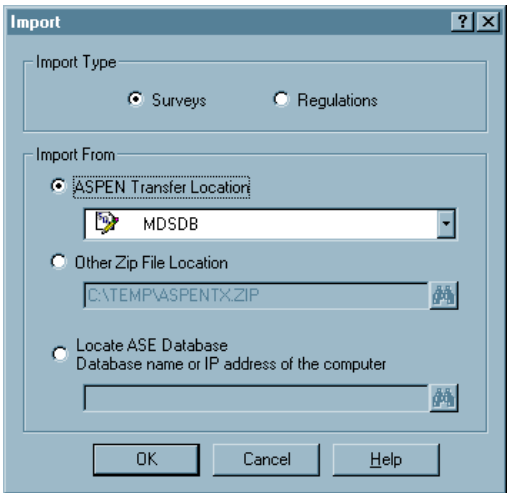


Figure 86: Import window

Merge fields window

The Merge fields window displays differences in field values between source and destination files and lets you specify how to merge the conflicting values.

Fields: "Merge fields", on page 240

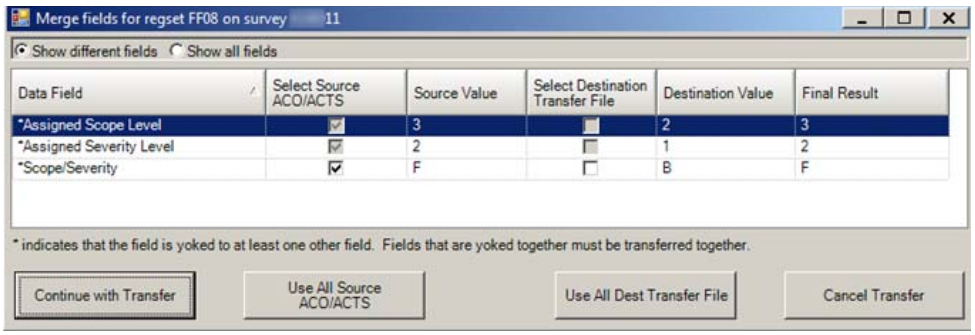


Figure 87: Merge Fields window

Merge Rows window

The Multiple Row Merge window displays conflicts between source and destination contact information.

Fields: "Multiple Row Merge", on page 240

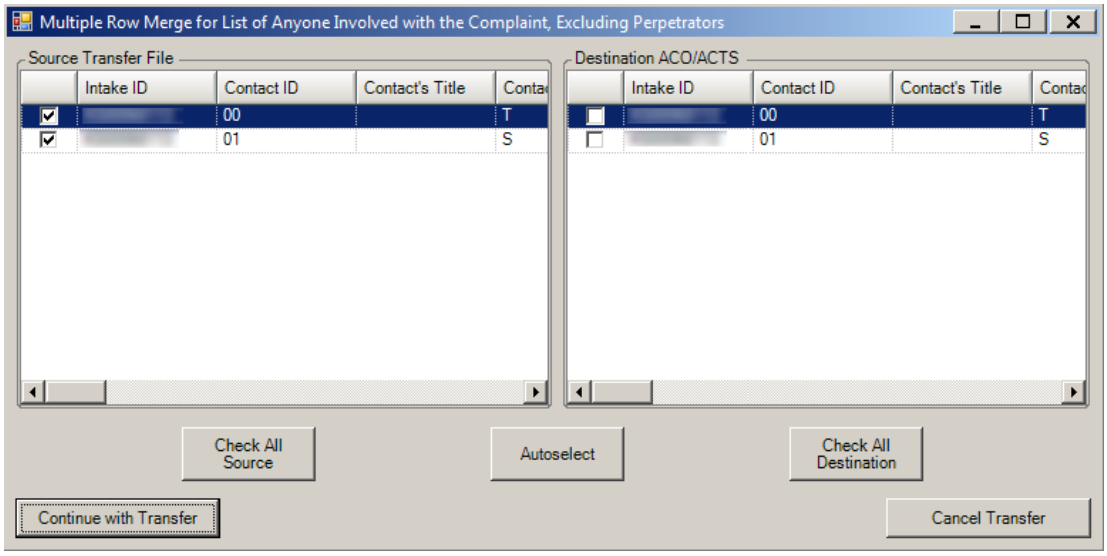


Figure 88: Multiple Row Merge window

Merge Text window

The Merge Text window shows the differences between source and destination in certain text entries, e.g., citation text.

Fields: "Merge Text", on page 241

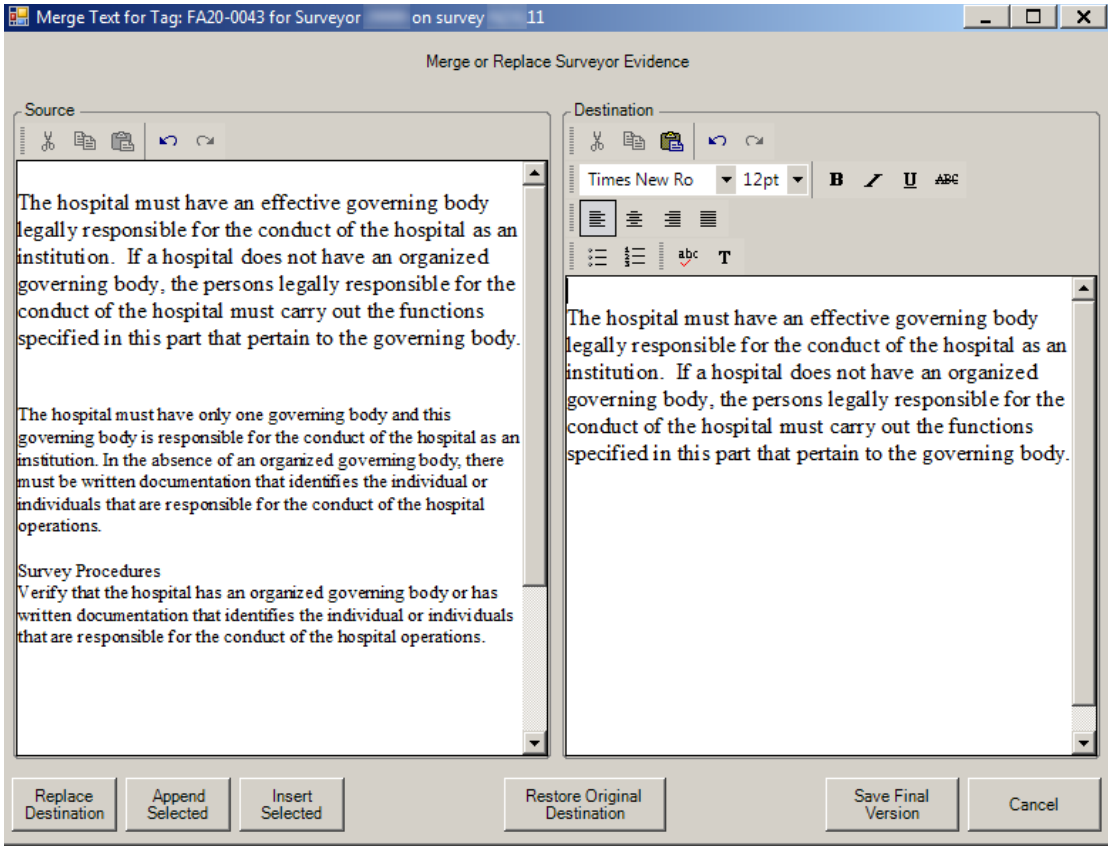


Figure 89: Merge Text window

Setup and Maintenance Screens

Upgrade Information window

The Upgrade Information window displays upgrade and configuration information.

Fields: "Upgrade Information", on page 242

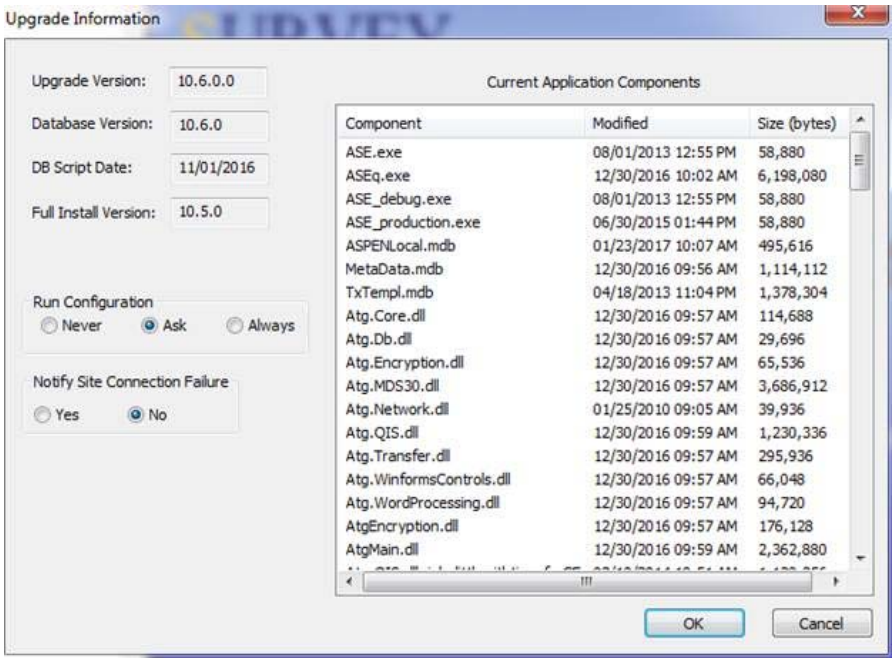


Figure 90: Upgrade Information window

Survey View Selection window

Use the Survey View Selection window to filter the display of surveys in ASE-Q.

Fields: "Survey View Selection", on page 242

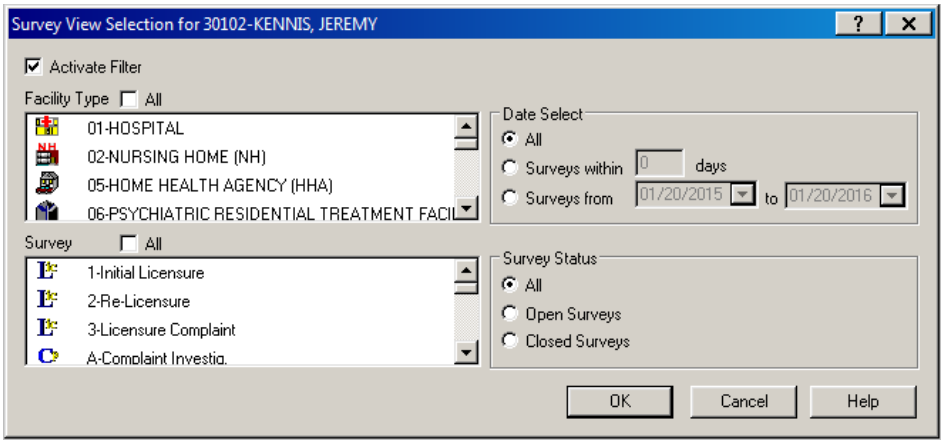


Figure 91: Survey View Selection window

New State Regulation Set window

Use the New State Regulation Set/Regulation Set Properties window to specify properties for state regulation sets.

Fields: "New State Regulation Set", on page 242

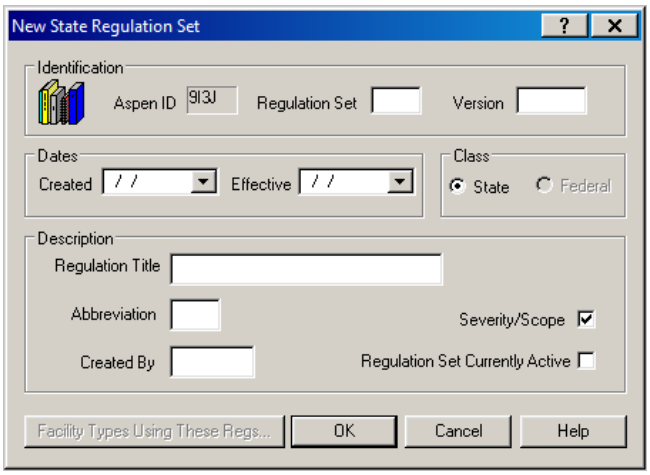


Figure 92: New State Regulation Set window

Regulatory Tag Properties window

Use the Regulatory Tag Properties window to specify properties and content of the tags in state regulation sets. You can view properties for tags in Federal regulation sets.

Fields: "Regulatory Tag Properties", on page 244

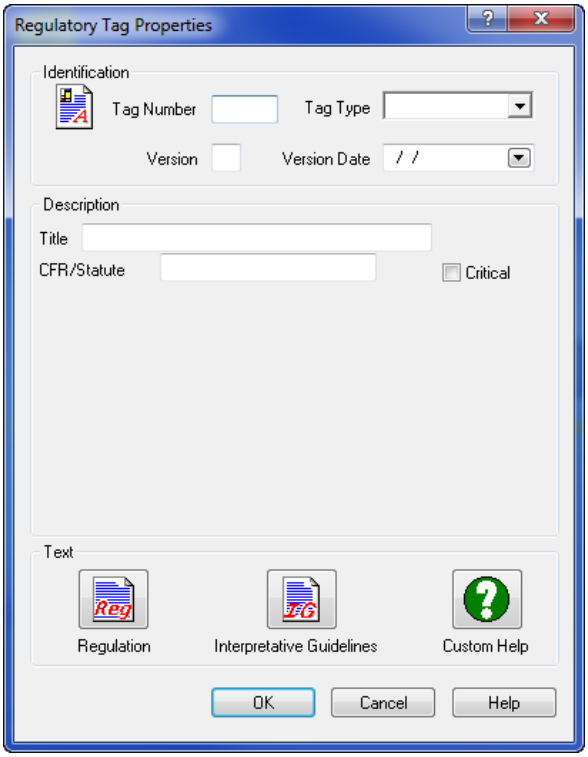


Figure 93: Regulatory Tag Properties window for a state tag

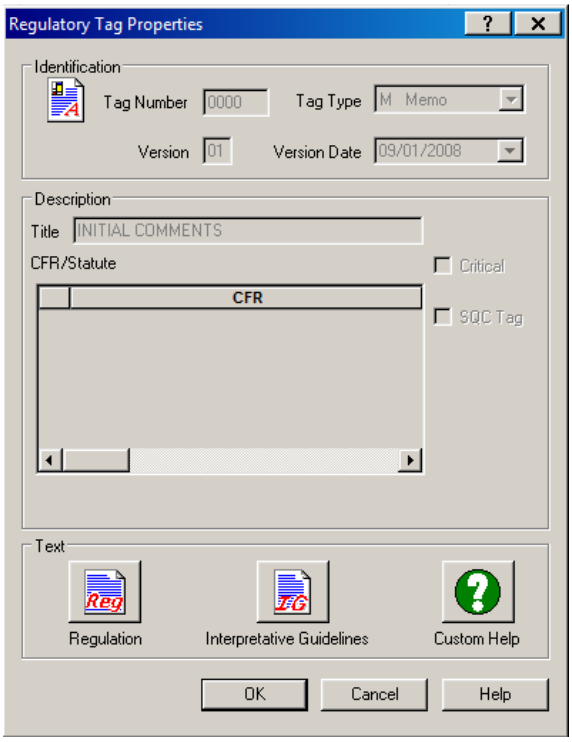


Figure 94: Regulatory Tag Properties window for a Federal tag

Define Facility Types window

Use the Define Facility Types window to specify the properties and associated regulation sets for facility types.

Fields: "Define Facility Types", on page 245

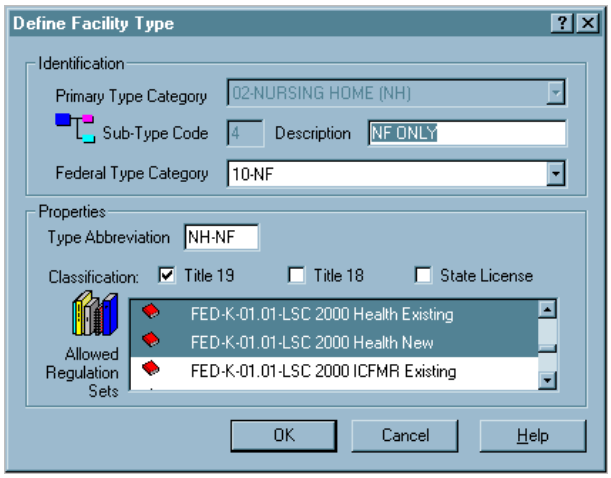


Figure 95: Define Facility Types window

Other ASE-Q Screens

Modify <StaffName> Information window

Use the Modify <StaffName> Information to update surveyor information in your ASE-Q database.

Note: Changes to surveyor information in your ASE-Q database are not reflected in corresponding records (if they exist) in the state database.

Fields: "Modify <StaffName> Information window", on page 246

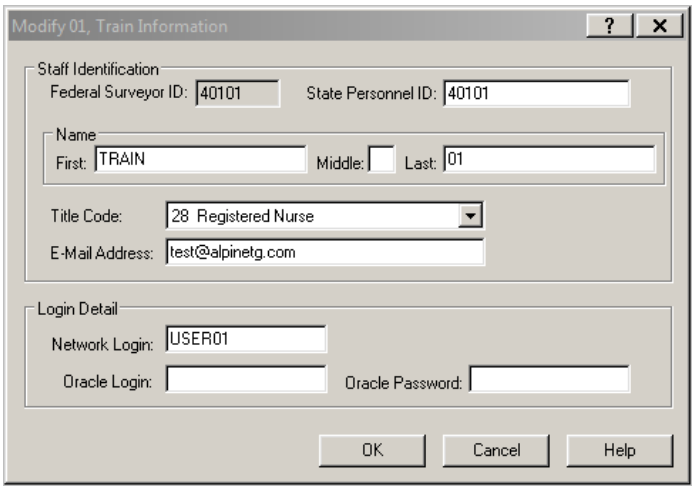


Figure 96: Modify <StaffName> Information window

Find (Facility, Survey) window

The Find window lets you search your ASE-Q database for providers and surveys using the search criterion of your choice. The name of the window varies depending on where you open it.

Fields: "Find (Facility, Survey)", on page 246

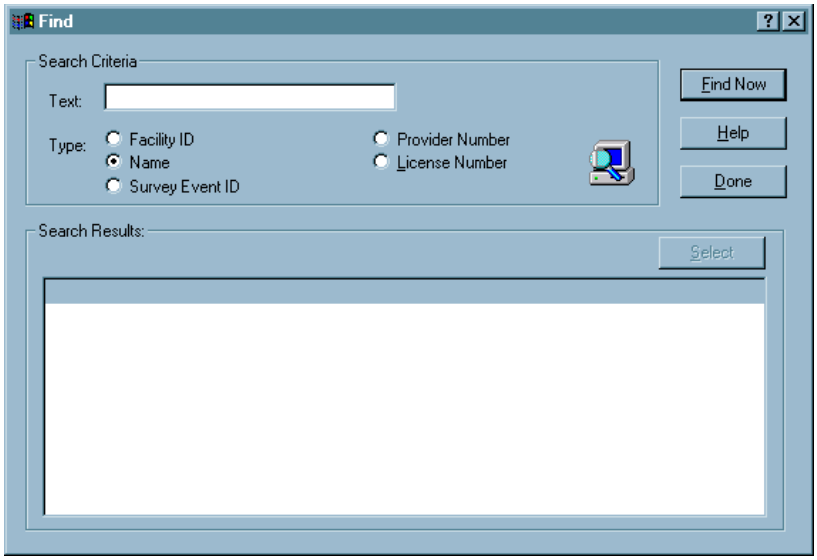


Figure 97: Find (Facility, Survey) window

Investigation window

If you right-click a survey that is a complaint investigation, you can choose Complaint/Incident Detail, which accesses the Investigation window. This window lists any intakes linked to the survey and all allegations from those intakes.

Fields: "Halts the transfer process.", on page 240

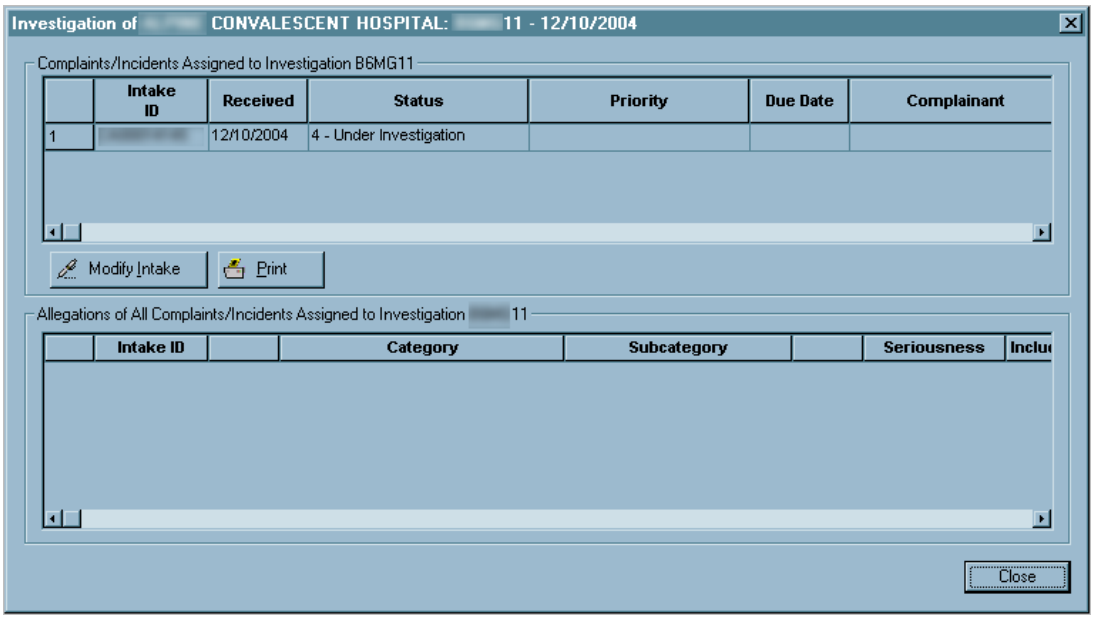


Figure 98: Investigation window

Intake window

This window opens when you right-click an intake in Tree view and select Modify Intake. The fields you see may vary depending on provider type. Note several differences on the Intake tab between the NH intake and the CLIA intake below (differences are circled in the CLIA intake).

Intake — NH window

Fields: "Intake", on page 248

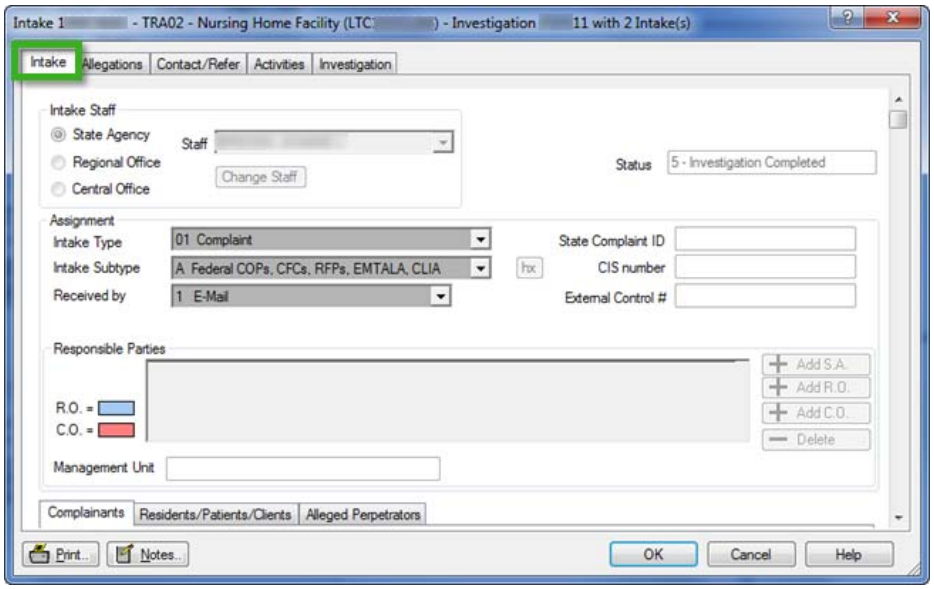


Figure 99: Intake window — NH window

Intake — CLIA window

Fields: "Intake", on page 248

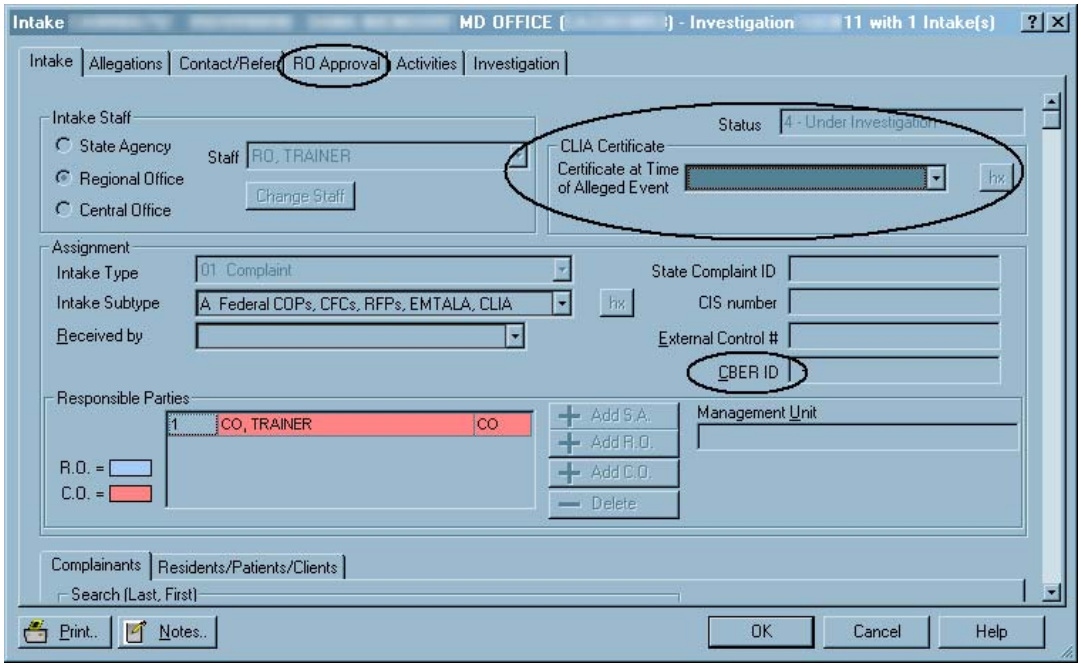


Figure 100: Intake - CLIA window

Report Preview window

Forms, reports, and custom letters (if template 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 249

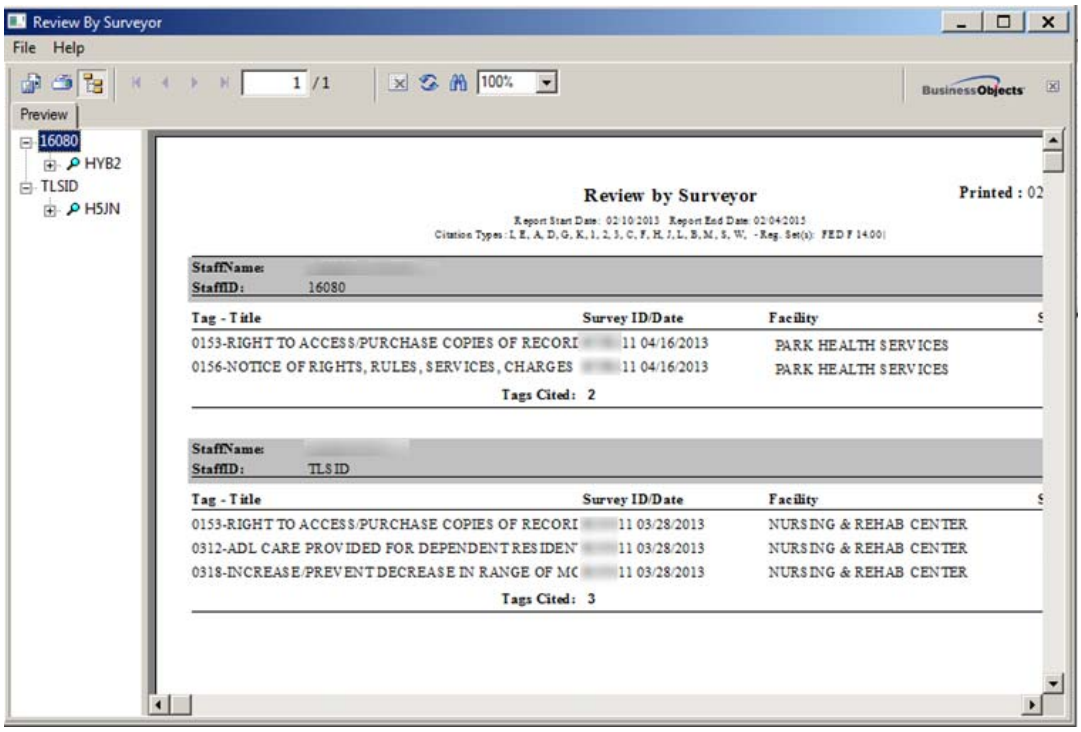


Figure 101: Report Preview window

ASPEN word processor

This word processor has basic formatting features. It is used to:

- Enter supporting text or comments, e.g., citation text, POC Details text.
- 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 shows the version of the ASPEN word processor you use for entering citation text.

Fields: "ASPEN word processor", on page 250

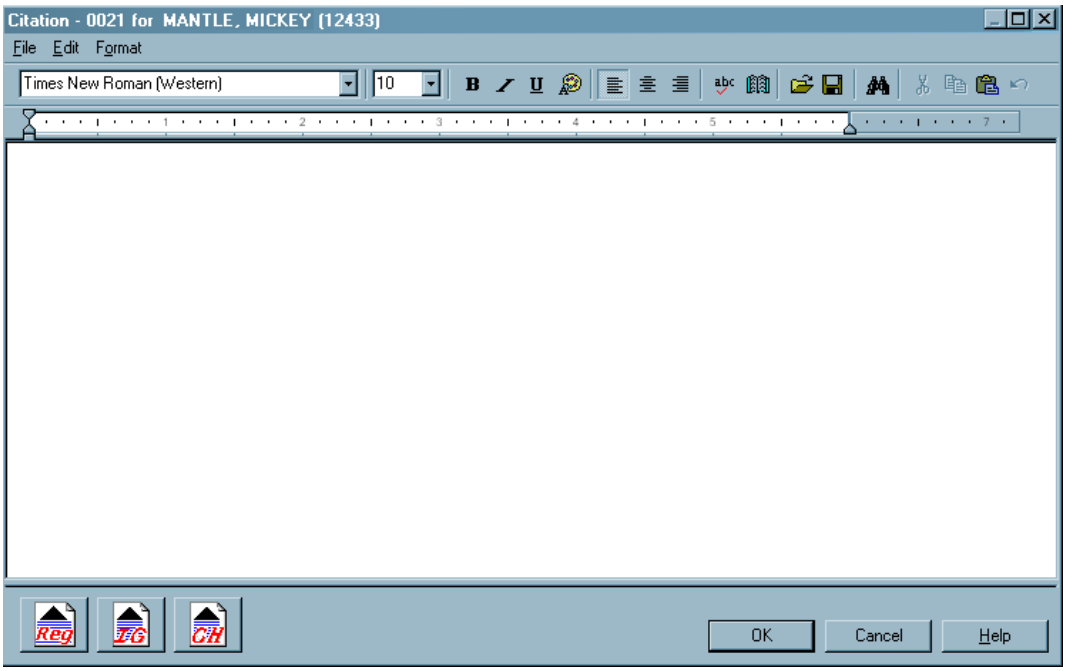


Figure 102: ASPEN word processor

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, and read-only panes are various colors.

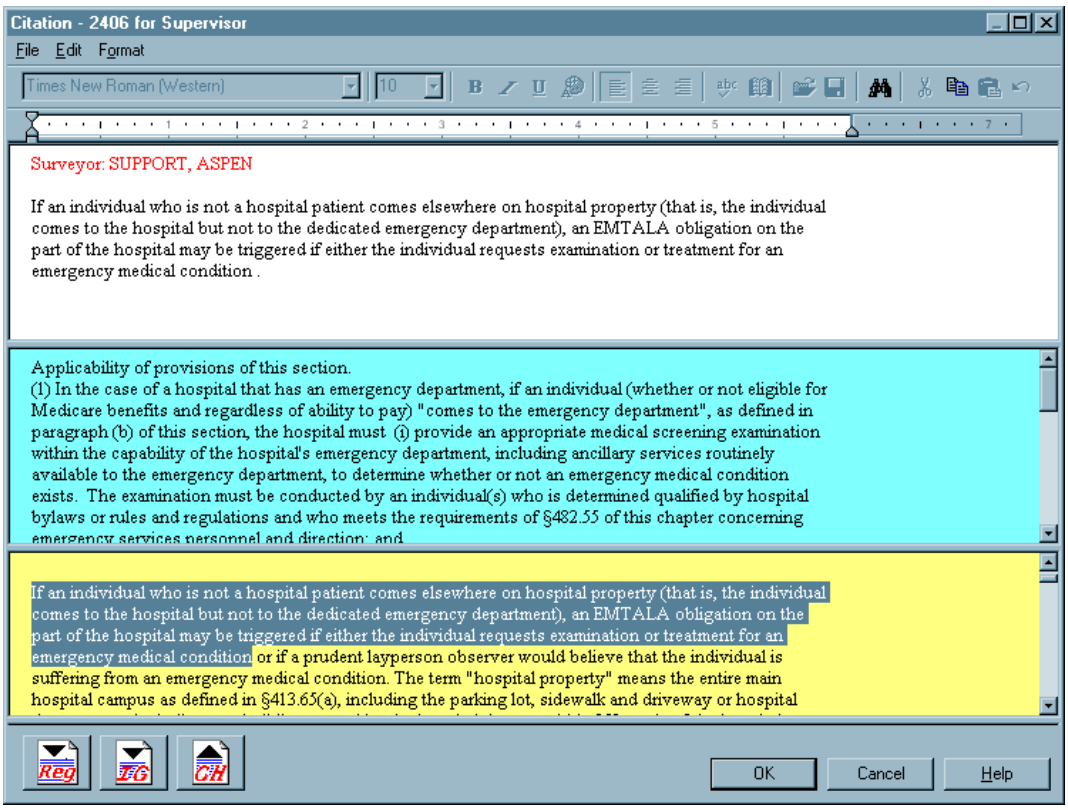


Figure 103: Citation word processor

ASE-Q Fields and Buttons

This chapter provides detailed descriptions of the fields and buttons in ASE-Q. Their order corresponds to the order of the screen graphics in the previous chapter, "ASE-Q Screens". For each field in a screen or section of screen, the field or button name is given, followed by a description.

Define New Facility/Facility Properties Fields

Facility Definition

The recommended practice is to create facility records in ACO, then export them to ASE-Q. In the unusual circumstance you need to create a provider record in ASE-Q, you will use the Define New Facility window. The Define New Facility/<FacName> Definition (aka Facility Properties) window lets you add/modify provider records in ASE-Q.

Identification

Facility ID

Identifying number generated by ASPEN when provider is created in ACO/ARO or ACTS. If you are defining the provider in ASE-Q, you will need to supply the ASPEN Facility ID if you want to be able to import provider information from ACO into this provider record.

Provider Number

The Federal provider number (aka CMS Certification Number, CCN, OSCAR or Medicare number/ID or, for CLIA, CLIA number/ID). All providers requiring certification have a Federal provider number. Providers that are licensed by the state typically do not have a Federal provider ID unless they also require certification. Some Medicaid only providers may have a Federal provider ID for tracking purposes at the national level.

License Number

State license number, if any.

Medicaid

If your state uses a separate Medicaid (vendor) ID for internal controls or billing, enter that number here.

Type

Click the down arrow to select the provider type.

NPI, Update NPI (#)

Provider's National Provider Identifier (NPI).

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, which is enabled only for the specified provider types when a Provider Number (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.

Description

Name

Name of the provider.

Accreditation

Click the down arrow to select the accrediting agency, if any.

Address

Primary provider address. This address, with the city, state and zip, and used by the Full Facility Address letter macro.

City

City in which the provider is located.

State

Click the down arrow to select the postal code for the state in which the provider is located.

Zip

Zip code of the provider.

Phone

Phone number of the provider, including area code.

Fax

Fax number of the provider, including area code.

Administrator (Current) / Director

For CLIA labs, the Administrator section is titled Director. You can enter only First and Last names for a laboratory director.

Salutation

Click the down arrow and select the appropriate salutation for this administrator. Salutation is the form of address for letters to the administrator. It can be inserted in form letters by using letter macros.

CLIA only - Field not present.

First

Administrator's/lab director's first name. It can be inserted in form letters by using letter macros.

Last

Administrator's/lab director's last name. It can be inserted in form letters by using letter macros.

Title

Administrator's title. It can be inserted in form letters by using letter macros.

CLIA only - Field not present.

State Codes

State County Code

OSCAR County Code for this county.

State Region Code

OSCAR State Region Code for this county.

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 ASE-Q. 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.

Add a New NPI

NPI Number

Number assigned to provider by the National Plan and Provider Enumeration System (NPPES).

Effective Date

Date NPI was entered in ASE-Q. Can be modified, e.g., to effective date supplied by provider.

Deactivated On

Date NPI is deactivated; can be current or future date.

Mailing Address

Address

Mailing street address of the provider. Used by the ASE-Q Full Facility Mailing Address letter macro.

Extended Address

Mailing street address second line, if applicable. Used by the ASE-Q Full Facility Mailing Address letter macro.

City

Mailing address city. Used by the ASE-Q Full Facility Mailing Address letter macro.

State

Mailing address state. Used by the ASE-Q Full Facility Mailing Address letter macro.

Zip

Mailing address zip code. Used by the ASE-Q Full Facility Mailing Address letter macro.

Buildings/Wings

Buildings List

This window lists all buildings associated with a facility. The columns are defined in Define New/Edit Building (just below).

Define New/Edit Building

Building/Wing ID

Unique two-character identifier given to the building record when it is created. This cannot be changed.

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 of Form CMS-2786.

Building Stories

Number of stories in the building. This field is activated if A Building or B Wing are 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)

This specifies the LSC regulation set that applies to the building. ASPEN determines which regulation sets are valid for facility buildings based on the LSC Form indicator (K7) field. Only one version of a regulation set for this field can be selected for a survey.

When you select the Form Indicator here for building records imported from ACO or ACTS, ASE-Q will enter the appropriate regulation set for the building in the field below. Nothing is entered for building records created in ASE-Q.

Licensed Only building

Indicates if the building is state-licensed only. If a Form Indicator has been selected, it is removed and the field is disabled. For building records imported from ACO or ACTS, the regulation set listed in the field below K7 is also removed.

ICF/IID Indicator

Available and required only for ICF/IID building records.

Indicate whether the facility is Small (16 beds or less), Large (17 beds or more), or an Apartment House. If Licensed Only is selected, this value (if any) is removed and the field (if displayed) is disabled.

Haz. Area Separate (K29)

If the building does not have separate hazardous areas, select 3 - Not Applicable.

FSES Date

Fire Safety Equivalency System inspection date.

Constructed

Date the building was constructed.

Is Sprinkler Required? (K56)

Options are: 1 Yes, 2 No, 3 Not applicable.

Sprinkler Status

Options are: 01 Fully Sprinklered, 02 Partially Sprinklered, 03 Unsprinklered.

Survey and Citation Fields

Find Facility for New Survey

Text

Enter all or part of alphanumeric text (Facility ID, name, provider or license number) that you want ASE-Q to locate.

Type options

Click an option to tell ASE-Q which field to search for the text you entered. If you entered the provider name, for instance, select **Name**.

Find Now button

Click to locate the matching records. Results are shown in the Search Results box (just below).

Search Results

All records that match the search string are listed in this area.

Define Survey, Survey Properties

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.

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.

The Exit date must be the same as or later than the Start date.

For LSC surveys, available regulation sets are not shown until you enter this date.

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**. This designation can be used to filter the surveys you see in ASE-Q.

Facility Details button

Click to open the Facility Properties window for a read-only view.

Type

If enabled, indicate the survey type by checking either Health or LSC. You can set the type only when creating a new survey.

For NH, ICF/IID, ASC, Hospice, and some Hospital providers, you can create either a Health or an LSC survey. For other providers, you can create only a Health survey.

IQCP

CLIA only. Enabled if:

- The regulation set selected in Regulation(s) has at least one tag eligible for IQCP (per regulation set definition).

  and

- At least one selected Type of Survey option supports IQCP (Recertification, Initial Certification, Complaint Investig., or Federal Monitoring).

Select only if the lab has implemented IQCP for one or more test systems and is following the IQCP process for the survey.

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 Facility Type windows. If you want to add or change the regulation sets in the list, use these two windows (right-click Regulation Set | Regulation Properties or System | Facility Types | Type Maintenance | Modify).

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 by clicking the Show All button (see below).

For LSC surveys, available regulation sets are not shown until you enter the Exit date (X3). By default, only current Federal regulation sets that apply to the facility's buildings are shown. ASPEN determines which regulation sets are valid for facility buildings based on the LSC Form indicator (K7) field, and only one version of a regulation set for this field can be selected for an LSC survey.

If you specify both Federal and state survey categories on an LSC 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 (K7s). You can select state regulation sets as well, but you cannot select only State regulation sets.

Show All/Filter button

This button toggles the list of regulation sets between the primary (filtered) list of regulation sets and a secondary (unfiltered) list.

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 in ACO. 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 11/01/2016.

Team Roster

IDs and names of surveyors on the survey team. Click Update... to add or remove surveyors.

Update button

Accesses the Select Surveyor window, where you can select the surveyors you want to add to the roster. You can add out-of-state and other special surveyors from this window if they are in your ASE-Q database.

Survey Categories

Click the checkbox next to a survey category to select it. Listed categories vary according to provider type and situation. For a complete list of survey categories, see "Survey Categories" on page 253.

You can select a maximum of 5 survey types.

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 "Special Surveys" on page 254.

Type M-Other can be selected by itself for standalone surveys, i.e., surveys not linked to certification kits or intakes, and not assigned special survey type(s).

Extent(s)

Select the extents 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

Extent options for CLIA labs are:

A-Routine/Std Survey

D-Other 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

K-Participating

Select Surveyors

Surveyor list

Lists all staff members in your ASE-Q database. To add a surveyor to the current team roster, click the checkbox next to the surveyor's Staff ID number.

OK button

Saves the team roster settings and closes the windows.

New button

Opens the Enter New Staff Information window, so you can add a new staff member to your ASE-Q database.

Note: Surveyor records added to your ASE-Q database are not added to the state database.

Modify button

Opens the Modify <StaffName> Information window for the selected surveyor, so you can make changes to surveyor information as needed.

Note: Changes made in ASE-Q are not reflected in corresponding records (if they exist) in the state database.

Create Followup

Start Date

Beginning date of the revisit.

Exit Date

Date the revisit is completed. You cannot create multiple followups with the same exit date for the same survey.

Team Roster

IDs and names of members of the survey team. Click **Update...** 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 add out-of-state and other special surveyors from this window if they are in your ASE-Q database.

Carry Text Forward

Select this box if you want to copy all the surveyor tag text into the followup survey.

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, which 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.

SQC (Substandard Quality of Care) tags 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.

CLIA only - ‘P’ is appended to tags marked as IQCP. They are included on the CMS-2567 and are uploaded. ‘Q’ is appended to tags marked as QC exclusion prior to 01/01/16. They are not included on the CMS-2567 and are not uploaded.

Regulations

This section lists the regulation sets that were selected when the survey was originally defined. 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.

Find

If you know the tag number, enter all or part of it in the Find field above the Regulations list, and ASE-Q 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 leftmost digit and include leading zeros.

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.

Citation Manager: Buttons

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 the system. ASE-Q uses this number to identify the surveys and to merge information collected by different surveyors into the same survey record.

Medicare ID

6-digit Medicare Provider ID of the provider being surveyed.

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 survey.

Button Bar

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 survey-level attachments.

Repeat Deficiencies

CLIA only - Lists tags cited in the current survey that were cited in previous surveys conducted for the lab using the same regulation set. This can help you identify any repeated deficiencies that remain unfixed.

Repeat Deficiencies

Repeat Deficiencies: Grid

ID

The survey event ID.

Regulation

The cited regulation tag.

Surveyor

The name and ID of the surveyor who cited the tag.

S/S

The scope and severity of the tag.

Exit Date

The survey exit date.

Repeat Deficiencies: Buttons

Citation Text

View citation text to determine if a tag is cited on the current survey for the same reason it was cited previously.

Regulation

View regulation text for each previously cited tag.

Interpretive Guide

View the interpretive guidelines for each previously cited tag.

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.

CMS-2567 forms include the S/S for both Federal and state tags when you choose to include S/S data, the S/S option is enabled for the regulation sets, and S/S values have been assigned.

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.

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.

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 next) 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 - Correction Date is not present because it 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. 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 tags. PNC tags are allowed on revisits, but they are not carried forward from the standard survey when you create a revisit.

QC Exclusion

CLIA only - This checkbox appears for D-tags that were flagged as QC exclusion prior to 01/01/16. QC exclusion tags are not included on the CMS-2567 and are not uploaded.

IQCP

CLIA only - This checkbox appears only for D-tags that are IQCP-eligible (per Regulatory Tag Properties). Select if the tag is being cited under the lab's IQCP and the citation references deficiencies related to IQCP, even if non-IQCP deficiencies are also included. Tags marked as IQCP are included on the CMS-2567 and are uploaded.

Refused

Included for citations assigned any CLIA special survey type. Select to indicate the provider has refused to submit a Plan of Correction for the tag.

Citation Category

This list comes from the Survey Categories that were selected in Survey Properties. Select the category (or categories) appropriate for the current tag.

Building

This field is displayed only for LSC surveys.

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

The date the Plan of Correction for the current tag was received from the provider.

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.

CLIA - Disabled if the QC Exclusion checkbox was selected for a tag prior to 01/01/16.

Facility POC Complete (X5)

The date by which the provider states the deficiency will be corrected.

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, the date is removed.

CLIA - Disabled if the QC Exclusion checkbox was selected for a tag prior to 01/01/16.

Set All Tags to These POC Dates button

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.

CLIA - Disabled if the QC Exclusion checkbox was selected for a tag prior to 01/01/16.

SA POC Accepted

The date the State Agency accepted the POC for the current tag.

NH only - 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.

CLIA - Disabled if the QC Exclusion checkbox was selected for a tag prior to 01/01/16.

Transplant Types button

Transplant Hospitals only - Click to open the Select Transplant Types window and choose the transplant types to which the citation applies. You will receive a message if you select a transplant not currently offered by the provider.

The number on the button indicates how many types are currently selected.

In the Select Transplant Types window, click Update Dates to open the Citation Dates by Transplant Type window and enter Completion (X5) and Correction dates for each transplant type associated with the citation.

Specialties button

CLIA only - Enabled only for tags that require specialty info. Click to open the Select CLIA Specialties/ Sub-specialties window and associate applicable tests with the citation.

Only specialties applicable to the current D tag are listed. For each selected test, specify its Complexity in the Text Complexity window that appears.

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 bolded.

New button

Opens the Input Content Library Tag Text window, so you can type or paste content for a new predefined text item.

Modify button

Opens the Input Content Library Tag Text window, so you can edit the existing content for a predefined text item.

Delete button

Deletes the selected predefined text item from the Content Library. You will be asked to confirm.

Insert button

Inserts the selected predefined text item into the Citation word processor at the cursor's location.

Close button

Closes the Content Library Tag Text window.

Convert Content Library

Source Reg Set

Drop-down lists of all active and inactive regulation sets in alphabetical order by ASPEN ID. Select the desired source regulation set.

Destination Reg Set

Drop-down list of all active and inactive regulation sets in alphabetical order by ASPEN ID.Select the desired destination regulation set.

Tag

Assigned tag number.

of Entries

Number of Content Library entries for the tag. Custom Help entries are not included in this count.

Match

This column in the Source Regulation grid is blank until you click the Auto-Select button. Auto-Select matches the source tags that have Content Library entries with destination tags. YES/NO indicates whether the source tag number exists in the destination regulation set. The Match column is blank if the tag does not have Content Library entries.

From Tag

Specifies the source tag from which to copy Content Library text to a destination tag in the Destination Regulation grid. Click in the From Tag field for the destination tag to display a list of source regulation set tags with Content Library entries and select the appropriate tag.

Auto-Select button

Matches the source tags that have Content Library entries with destination tags and enters YES/NO in the Match column to indicate whether the source tag number exists in the destination regulation set. The Match column is blank if the tag does not have Content Library entries.

Transfer

Copies Content Library entries and/or Custom Help to the corresponding tags in the destination regulation set.

Include Custom Help

Copies Custom Help entries to the destination reg set as content library entries.

Former Cites

Former Cites list

Lists all text written for the current tag by surveyors in your ASE-Q database. The list includes the survey Event ID, the provider name, the surveyor name and ID, scope/severity and the survey exit date.

Citation Text button

Opens a read-only Text window showing the contents of the text entry.

Regulation button

Opens the Regulation Text window so you can read the actual regulation text for the current tag.

Interpretive Guide button

Opens the Interpretive Guidelines Text window so you can read the guidelines for the current tag.

Team Roster

Team list

Lists the Staff ID and Name of surveyors on this survey team.

Update button

Opens the Select Surveyors window, where you can add or delete survey team members, and add/modify surveyor records in your ASE-Q database.

Leader button

Assigns the selected surveyor as Team Leader. The team Leader is denoted by a blue diamond.

Delete button

Deletes the selected surveyor from the survey team.

Find (Citation, Guidelines, Reg Text)

Find

Enter the alphanumeric text string that you want ASE-Q to find. Also indicate whether you want to look in Citation text, Interpretive Guidelines text, Regulations text, or all three.

Find Now button

Click to have ASE-Q search for the text string you entered.

Search results area

Lists the instances where the searched text occurred. The list shows the tag number, the description (actually the first line of text), and the type of entry (citation, guideline, regulation) that it is.

Survey Attachment Documents

Attachment Properties

Event

The Event ID of the survey.

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

Click this button to add a new survey-level attachment, or to view 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

Only displays attachments assigned the selected category.

Delete button

Deletes the selected survey-level attachment. You will be asked to confirm the deletion.

Letters Fields

Letter Selection

Generate New Letter button

Opens the Select Letters and Distribution Lists window so you can select the letter you want to generate.

View Letter History button

Opens the Notices History window for the current survey. You can view, print, or delete letters listed in the Letter History section. You can also generate a new letter.

Notices History

The Letter History section lists letters that have been generated for the selected survey. The Notification History section is disabled.

Letter History section

Lists letters generated for the current survey with summary information for each letter including: date Created, Letter ID, letter Description, Intake Number, Status (Printed/Batched), and Locked status (Yes/No).

Intake Number is not populated in ASE-Q. If a letter imported from ACO or ACTS was added to the print batch in the original application, Status = Batched; otherwise, Status = Printed whether or not the letter has been sent to a printer. Likewise, Locked = Yes only for letters imported from ACO or ACTS that were locked in the original application.

View/Print button

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, edit, and print it.

New button

Opens the Select Letters and Distribution Lists window, so you can select the letter you want to send.

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 your ASE-Q database.

Select Letters and Distribution Lists

The Form Letter section lists all form letter templates in your ASE-Q database. The Distributions section is disabled.

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.

Preview button

Displays the selected letter in the letter word processor. You can view, edit, or print the letter.

Letters

Show Views

Select this checkbox to include templates designated as “views” in the list (ISVIEW = Yes). Views are not letter templates; ASE-Q uses them to store text for display in various areas of the application. CMS maintains all views except State Prompts.

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 ASE-Q.

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.

Federal

Yes/No. ARO or ACTS RO users can designate a letter template as Federal. This field is not enabled in ASE-Q.

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.

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; ASE-Q uses them to store text for display in various areas of the application. CMS maintains all views except State Prompts.

Letters: Buttons

New button

Opens the Letter Desc[ription] window, where you enter basic information about New templates.

Modify button

Select a New template and click this button to make changes to basic information about the template.

Note: You cannot modify Old templates because the old word processor is no longer supported.

Delete button

Select a template and click this button to delete the letter 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 button

Select a New template and click this button to open the new word processor (depending on WP Ver) and add or modify template text.

Letter Desc

ID

Unique identifier generated by ASE-Q.

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

Disabled for new letter templates. Specify margins in the letter word processor.

Page Number in Header

Disabled for new letter templates. Define headers in the letter word processor.

Header Text button

Disabled for new letter templates. Define headers in the letter word processor.

Start Header on Page

Disabled for new letter templates. Define headers in the letter word processor.

Page Number in Footer

Disabled for new letter templates. Define footers in the letter word processor.

Footer Text button

Disabled for new letter templates. Define footers in the letter word processor.

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.

Letter Type

Required. Choices are: Survey, Complaint, Facility, Enforcement, CMS Enforcement.

Facility Type tab

Use to assign 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 appear.

Letter word processor

Menus

File

File menu options are:

Save As

Page Setup

Print Preview

Print

Save & Exit

Exit

Edit

Standard editing tools such as cut and paste, find and replace.

View

Lets you choose among several view layouts, display and define headers and footers, choose toolbar display preferences, and set zoom level.

Insert

Options are:

File

Image

Object

Page Break

Page Number

Format

Define and change character and paragraph formats, set tab stops, apply bullets, define and apply styles, and choose text and background color.

Table

Options for creating and customizing tables.

Tools

Access a spell checker and thesaurus.

Letter word processor: Buttons

Save & Exit

Saves the document and exits.

Print

Lets you send data to a designated printer.

Find

Displays the Find dialog box to help you search for data.

Paste

Pastes the contents of the Windows clipboard into your text at the insertion point.

Undo

Removes the previous action.

Spell Check

Opens the spell checker.

Thesaurus

Thesaurus lets you search for a word to replace the one you select from the letter.

Change Text to Black

Changes all text to black.

Macros field

Displayed for letters only. This drop-down list displays available macros from which you can select.

Insert button

Inserts the selected macro from the Macros list into your text at the insertion point.

Formatting toolbar

The formatting functions found in the bottom toolbar operate exactly as in Microsoft Word.

Forms and Reports Fields

IDR/Independent IDR and/or hearing/settlement will not be printed on certain survey forms and reports.

Select Forms 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 opens so you can customize the report as needed.

IDR/IIDR 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. IDR/IIDR and/or hearing/settlement are excluded from CMS-2567B. If state tags were cited and the deficiencies corrected, they print separately on the State 2567B Revisit Report.

CMS 670

When you select the CMS 670 checkbox and click OK, the Print Preferences window appears. You can indicate whether you want a combined report or separate 670s. For a combined survey–a recertification and a complaint/incident investigation, for instance–you can choose to print a separate 670 for each survey category, or combine the data for the survey categories you select into one 670 report. State licensure hours cannot be combined with Federal survey hours.

670 Entry...

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

Disabled in ASE-Q.

1539 Entry...

Disabled in ASE-Q. For certification surveys, you must enter 1539 information on the Transmittal (CMS-1539) tab of the certification kit in ACO.

S/S Grid

Shows the distribution of citations on the survey by severity/scope level.

IDR/IIDR and/or hearing/settlement are excluded from the Severity/Scope Grid report.

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.

IDR/IIDR and/or hearing/settlement are excluded from the Quick Report.

CLIA Reports

CMS 1557

Generates the Survey Report Form (CLIA) for the survey.

1557 Entry...

Opens the 1557 Detail window, which has two tabs where you can supply and examine information that prints on the CMS-1557 for CLIA labs.

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 is 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.

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.

Note: IDR/IIDR and/or hearing/settlement are excluded from the Quick Report.

Active Surveyor

When selected, the name of the active surveyor is included in the quick report.

Specific Surveyor

If you select Specific Surveyor, the Select Team Member for Quick Report window appears. Select the name of the surveyor whose tags you want to report and click Select.

Entire Survey

When selected, prints a draft of the entire survey.

Selected Tags

If you chose Selected Tags, the Tags in Survey window appears. It lists all the tags cited in the survey. Select one or more tags to include in the report and click OK.

Include Tag 9999

When selected, the quick report includes Tag 9999.

Include Surveyor's Name

When selected, the quick report includes the surveyor's name.

Exclude Regulation Text

If you choose Exclude Regulation Text, the regulation text is not included in the Quick Report.

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 Survey Categories selected for the survey in Survey Properties. For a complete list of survey categories, see "Survey Categories" on page 253.

Lead

Indicates the survey team leader. You can select only one.

On Team (A)

Select this checkbox for each survey category 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.

Not needed for offsite visits; Start date is not brought forward.

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.

Not needed for offsite visits; Exit date is not brought forward.

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. Enter hours to the nearest quarter-hour.

Not required for offsite visits.

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). When onsite hours are entered, you should also enter travel hours.

Not required for offsite visits.

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 CMS-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

Highlight a team member and click this button to copy that person's hours to all the other members of the team.

When there is more than one survey 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.

1557 Detail window

Survey (CMS-1557) tab

State License Number

Read-only field displays the provider’s State license number.

Simultaneous Survey

Enabled and required only for Validation surveys. Yes or No. Select Yes if the SA or RO does a survey at the same time an AO is surveying the lab.

Survey Status

Read-only. Entered by system based on Survey Categories selected in Survey Properties.

Medicare Provider Numbers

Enter associated Medicare Provider Numbers if applicable.

Personnel

Grouped into three regulatory areas: Moderate Complexity, High Complexity, and Cytology. Enter the number of qualified lab personnel for each applicable area.

1557 Specialties tab

Specialties/Sub-Specialties list

Sections grouped by testing specialty let you select the process each facility uses. When selected, the Effective Date and Expiration Date fields become active (needing a date entered to define length of license) and the Test Volume field needs you to enter the number of tests handled by the facility.

Are Immunohematology Tests Performed?

Select an answer from the Yes/No options on drop-down menu provided.

Are Blood Products Collected?

Select an answer from the Yes/No options on drop-down menu provided.

Total Annual Test Volume

Read-only display of the sum of selected specialties.

Schedule code

Read-only display of both Certificate and Compliance schedule codes.

Note: Schedule codes, calculated and displayed on the 1557 specialty tab for CLIA certification kits, only counts specialties—not sub-specialties.

Data Transfer Fields

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 and No.

Finalize Transfer

Apply

Completes the export/import process.

Cancel

Cancels the export/import process.

Transfer Log

Lists items transferred and merged.

Export

Aspen Transfer Location

A drop-down list of transfer locations to which you can export data. All locations configured in the Define Data Workarea window are listed (select the Config icon in the ASPEN Explorer toolbar to open), except the one you are currently connected to. Removable media such as USB drives that are plugged in at the time of the export are also automatically detected and listed.

Other Zip File Location

If you want to use a transfer location not specified in this screen, enter the complete path to the export destination, or click the binoculars icon to browse to that location.

Locate ASE Database

Displays a list of ASE-Q databases on the current network, if any. For ASE-Q to ASE-Q direct-connect transfers (wired or wireless), choose a destination database.

In the special case of an RO surveyor joining a state survey team, it is possible to directly enter the IP address or name of the destination database.

Note: ASE-Q checks the status of any wireless network you are connected to. If a wireless network with security authentication less than WPA-2 is detected, the data transfer is halted.

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 happen 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

Click to select all surveys in the list.

Select None

Click to deselect all surveys in the list.

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

Click the button to toggle 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.

Many fields have predefined merge rules that may override the Always Use Source setting. For example, if it is set to Yes, the Merge Text window will still display if there are differences between source and destination text for a tag in order to avoid the potential for an unrecoverable loss of critical data. It is best to set Always Use Source to Yes only when you expect that no text differences exist.

Cancel Export

Select to stop the export process.

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 letter templates. All locations configured in the Define Data Workarea window are listed (select the Config icon in the ASPEN Explorer toolbar to open), except the one you are currently connected to. Removable media such as USB drives that are plugged in at the time of the export are also automatically detected and listed.

Other Location

If you want to export the letter templates to a transfer file (LetterTx.zip or rename it if desired, include the .zip extension), enter the complete path to the export destination or click the binoculars icon to browse to that location.

Import

Import Type

Indicate whether you are importing Surveys or Regulations. If you are importing letter templates, these options will be disabled.

Import From

Indicate the location of the transfer file containing the data you want to import. Options are:

Aspen Transfer Location

A drop-down list of possible transfer locations. All locations configured in the Define Data Workarea window are listed (select the Config icon in the ASPEN Explorer toolbar to open), except the one you are currently connected to. Removable media such as USB drives that are plugged in at the time of the import are also automatically detected and listed.

Other Zip File Location

If the transfer file is in a location not listed in this screen, enter the full path here, or click the binoculars icon to browse to that location.

Locate ASE Database

Displays a list of ASE-Q databases on the current network, if any. For network direct or wireless connections, choose the database containing the transfer file or enter the IP address or name of the database.

Note: ASE-Q checks the status of any wireless network you are connected to. If a wireless network with security authentication less than WPA-2 is detected, the data transfer is halted.

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.

Setup and Maintenance Fields

Upgrade Information

Upgrade Version

Version of the last auto upgrade. Manually applied thin installs do not update this version.

Database Version

Version of last full install. Set by ASEQ.exe file.

DB Script Date

Set when database patch files are applied.

Full Install Version

Version of last full install.

Survey View Selection

Activate Filter

Select this box to enable the Facility Type and Survey areas.

Facility Type

Select All if you want to display all providers, or click to select individual provider types.

Survey

Select All if you want to display all surveys, or click to select the specific survey categories you want to see.

Date Select

You can choose All dates, or display only those surveys with exit dates within a certain number of days, or within a specified date range.

Survey Status

You can choose to see All surveys, or only open or only closed surveys.

New State Regulation Set

Aspen ID

Internal identifier automatically assigned by ASE-Q for the regulation set.

Regulation Set

One-character code for the regulation set.

Version

Current version number for the regulation set. 5 characters maximum.

Created

Date the regulation set was created.

Effective

Date the regulation set went (goes) into effect.

Class

Indicates whether the regulation set is Federal or state. Class is automatically set to State in this window.

Regulation Title

Title of the regulation set.

Abbreviation

Enter a 4-character abbreviation that ASE-Q can use in windows, forms, and reports when there is not enough space to display the full title of the regulation set.

Created By

Initials of the person who set up the regulation set.

Severity/Scope

Select to indicate that the regulation set requires assignment of a severity/scope code.

Regulation Set Currently Active

When selected, indicates that the regulation set is currently applicable. If you are going to export the regulation set to other users, be sure to select this option before exporting. Otherwise each user will have to change this setting. Whenever a regulation set becomes obsolete, clear this option.

Note: You probably do not want the new regulations to be active until you finish entering all of the tags. This is especially true if you are working on a network installation of ASE-Q.

Facility Types Using These Regs button

Accesses the Facility Types Using Xxx Regulation Set window, which lists all the facility types to which the regulation set applies. To assign a regulation set to one or more facility types, from the System menu, select Type Maintenance, then Facility Types.

Regulatory Tag Properties

Fields are enabled as appropriate for state tags. All fields are read-only for Federal tags.

Tag Number

4-digit number for the current tag. Each Tag Number must be unique within the regulation set.

Tag Type

Select the applicable type. Choices are:

A Level A

B Level B

C Condition

E Element

L Licensure

M Memo

R Requirement

S Standard

Version

One or two-character version number for the tag.

Version Date

Date on which this version of the tag went into effect.

Title

Title of the tag.

CFR / Statute

Enter your state's statutory reference.

Critical

Select to indicate that this tag is especially important.

SQC Tag

Selected for those Federal tags that meet the Substandard Quality of Care (SQC) criteria.

Regulation button

Accesses the ASPEN word processor so you can enter the tag text. Surveyors can view this text in the Citation Manager.

Interpretive Guidelines button

Accesses the ASPEN word processor so you can enter the text of the interpretive guideline for the tag. Surveyors can view this text in Citation Manager.

Custom Help button

Accesses the ASPEN word processor so you can create custom help text for the tag. Surveyors can view this text in Citation Manager. When you print a regulation set, you can choose whether to include custom help text or not.

More ...

Procedure: “Print a Regulation Set” on page 123

Define Facility Types

Primary Type Category

Select the appropriate facility category from the drop-down list. Only active when creating a new facility type; otherwise, read-only field.

Sub-Type Code

State-defined, single alphanumeric character to further identify the facility type. An alphabetic character is recommended.

Description

State-defined text useful to identify a facility.

Federal Type Category

If creating a new facility type, select 99-Other from the drop-down menu. Federal categories are associated with facility type.

Type Abbreviation

This field content appears in fields throughout ASPEN when space is limited.

Classification

Select a classification type check box if it applies to the facility type being created or modified.

Allowed Reg Sets

Select the regulation sets to associate with this field type.

Other ASE-Q Fields

Modify <StaffName> Information window

Federal Surveyor ID

The employee's Federal Surveyor ID. This field cannot be changed once the record is saved.

State Personnel ID

Your State's identifying number for this employee.

Name

The First, Middle (Initial), and Last name of the employee.

Title Code

Select the appropriate Title Code from the drop-down list. This list is maintained in System|Lookup Tables|Personnel.

Email Address

The employee's email address.

Network Login

The login ID for the network that is used to run ASPEN Oracle-based products.

Oracle Login

No longer applicable.

Oracle Password

No longer applicable.

Find (Facility, Survey)

Text

Enter all or part of alphanumeric text (name, ID, street address, etc.) that you want ASE-Q to locate.

Type options

Click an option to tell ASE-Q which field to search for the text you entered. If you entered a provider name, for instance, select Name.

Find Now button

Click to locate the matching records. Results are shown in the Search Results box (just below).

Search Results

All records that match the search string are listed in this area.

Select button

Highlight an item in the Search Results area and click this button to go to that item in the Tree. Or, double-click an item and ASE-Q will locate it in the Tree for you.

Investigation

Complaints/Incidents Assigned to Investigation

Lists every complaint/incident intake linked to the investigation, with summary information.

Modify Intake

Opens a predominantly read-only copy of the ACTS intake that is linked to this investigation. See "Intake" below.

Print button

Opens the Select the Reports to Print window. You can print Intake Information, Investigation Report, Intake Notes, and the CMS-2802 Form.

Note: You can print the CMS-2802 only for deemed intakes (non-CLIA) with Deemed for Medicare Participation selected and RO Response = Approved on the Deemed tab of the intake. To print the CMS-2802A for CLIA labs, Certificate At Time of Alleged Event Type must be Accreditation or Registration (Accreditation) and RO Response = Approved on the RO Approval tab of the intake.

Allegations of All Complaints/Incidents Assigned to Investigation

Lists allegations from all complaint/incident intakes linked to the investigation.

Details

Opens Allegation word processor with read-only Details and Findings: Non-confidential text.

Find Txt

Opens Allegation word processor. You can enter or edit notes about findings in the Findings: Non-confidential pane. Text in the Details pane is read-only.

Intake

ACTS intakes viewed in ASE-Q are predominantly read-only, but certain information can be modified in ASE-Q as detailed below.

Note: The Actions/Close and Upload Intake tabs are not displayed in ASE-Q.

You can also preview and print the Intake Information report, Investigation Report, Intake Notes, and the CMS-2802 form. For complete information about ACTS intakes, see the *ACTS Procedures Guide*, which is posted on https://qtso.cms.gov.

Note: You can print the CMS-2802 only for deemed intakes (non-CLIA) with Deemed for Medicare Participation selected and RO Response = Approved on the Deemed tab. To print the CMS-2802A for CLIA labs, Certificate At Time of Alleged Event Type must be Accreditation or Registration (Accreditation) and RO Response = Approved on the RO Approval tab.

Intake

Contains basic information about the intake and complaint/incident such as status, type, complainants, source, and so on. All information on this tab is read-only in ASE-Q.

CLIA intakes - A CBER ID field is included in the Assignment section. The Alleged Perpetrators tab is not displayed on the Intake tab because ASPEN does not track alleged perpetrator information for CLIA complaints.

Priority options specific to CLIA labs are displayed on the Intake, Allegations, and RO Approval tabs. For pre-8.6 intakes, any non-CLIA Priority options selected prior to 8.6 are included.

Allegations

Contains details of the allegations made against the provider.

In ASE-Q, you can:

- Click **Find Txt** to edit the Non-confidential Findings text.
- Select an allegation and click **Link Deficiencies** to link a specific tag to an allegation. This button is not enabled until tags are cited.

Contact/Refer

Lists contacts/witnesses and referrals. You can add new or edit existing contacts and witnesses.

When printing, if multiple contacts are logged for the intake, each one appears within this same Contact section, ordered by last name in ascending order.

Activities

Lists investigation activities and assignments. You can change the Completed date for existing activities assigned to you.

Investigation

Contains investigation and survey information for the intake.

In ASE-Q, you can:

- Click **Survey Properties** to update Survey Properties.
- Click **Citation Manager** to add and/or modify citations.
- Click **Survey Forms** to generate survey forms.
- Click **Update 670** to enter 670 workload information.
- Click **Create Revisit** to create a revisit.
- Click **View Investigation Notes** to add or update investigation notes.

Report Preview

Export Window 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

Hides/displays Tree view.

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 icon

Shows which page is currently in view out of the total number of pages in the report.

Stop Processing icon

Stop processing. Used when you want to cancel processing of long reports.

Find icon

A convenient Find tool for locating text or numbers in a report. Type in an alphanumeric string, then click the binoculars to locate that string in the report.

Magnification Level icon

Permits you to set an exact magnification level for viewing. The number represents the percentage of actual page size.

Close Window icon

Closes the report preview window.

ASPEN word processor

Menus

File

File menu options are:

- Save
- Export
- Import
- Insert Backup File
- Print
- Page Setup
- Print Preview
- Complainant Prompts (when applicable)

Edit

Standard cut, paste, search and language tools.

Format

Change fonts, apply bullets, adjust paragraph and tab settings.

ASPEN word processor: Buttons

Bold, Italic, Underline

Applies bold, italic and underline attributes to the selected text.

Text Color

Applies color to selected text.

Alignment

Applies left, center and right alignment to the selected text.

Spell Check

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

Survey Categories

A master list of Survey Categories options in Survey Properties follows along with the corresponding abbreviations used in the Category Description field in the CMS 670 Workload window. Some categories will never appear for surveys created in ASE-Q, e.g., C-Federal Monitoring.

Note: Only “Other” types are abbreviated in the 670 Workload window.

I-Recertification = RECERT

E-Initial Certification = INCERT

A-Complaint Investig. = CMPIVT

D-Follow-up/Revisit = REVST

G-Validation = VALID

K-State Licensure = LICEN

1-Initial Licensure = INLIC

2-Re-Licensure = RELIC

3-Licensure Complaint = CMPLI

C-Federal Monitoring = FEDMON

F-Inspection of Care = IOC

H-Life Safety Code = LSC

J-Sanctions/Hearing = SANCT

L-Change of Owner = CHOW

B-Dumping Investig. = DUMP

M-Other = OTHER

N-MDS = MDS

O-Dementia Care = DMNTA

P-Adverse Events = ADVEVT

Q-QAPI = QAPI

R-Discharge Planning = DSCHRG

S-Add of Specialties = ADDSPC

T-Infection Control = INFCTN

U-COVID19 = COVID

V-PT Desk Review = PTRVW

W-CW Project = CWPROJ - obsolete, may appear on older surveys

X-Cytology = CYT

Y-Certificate of Waiver = CRTW

Z-PPM = PPM

Special Surveys

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

CLIA

V-PT Desk Review – Compliance labs only (221)

W-CW Project - obsolete, may appear on older surveys

X-Cytology - Compliance or Accredited labs (221, 223)

Y-Certificate of Waiver - Waiver labs (222) only; replaced W-CW Project

Z-PPM (Physician Performed Microscopy) - PPM labs only (224)

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.
- Z-PPM surveys cannot be combined with any other survey, standard or special.
- With the exception of Z-PPM, special surveys can be combined on a single survey event record.
- With the exception of Z-PPM, special surveys can be combined with certification and/or complaint survey events. In this case, each transaction type is uploaded (from ACO/ACTS) 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 or any CLIA lab type except 225.
- 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.

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.

More ...

Procedure: “Schedule a Survey” on page 49

COVID-19 Surveys

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.

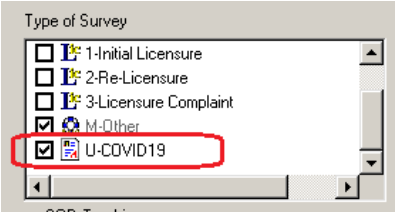


Figure 104: COVID19 special survey type

To create an infection control/COVID-19 special survey:

➥ In ASPEN 11.9.1 or later, follow the usual steps for scheduling 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.

More ...

Procedure: “Schedule a Survey” on page 49
Procedure: “Special Surveys” on page 254

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.

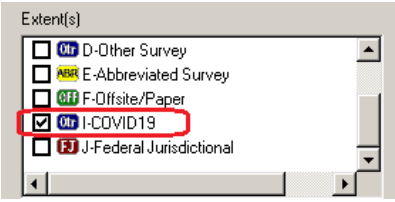


Figure 105: COVID19 survey extent

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.

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 log key + u	Open the Ease of Access Center

General keyboard shortcuts

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

Press this	To do this (Continued)
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 task bar by using Aero Flip 3-D
Ctrl + Windows logo key + Tab	Use the arrow keys to cycle through programs on the task bar by using Aero Flip 3-D
Alt + Esc	Cycle through items in the order in which they were opened
F6	Cycle through screen elements in a window or on the desktop
F4	Display the address bar list in Windows Explorer
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 sub-menu
Left Arrow	Open the next menu to the left, or close a sub-menu
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

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