Table of Contents

ASPEN Vaccine Requirement Surveys Overview ....................................................... 2

Vaccine Requirement Surveys .................................................................................. 2
  Vaccine Requirement Special Survey Type ............................................................. 2
  Standalone Vaccine Requirement Special Surveys ............................................... 2
    Create a standalone Vaccine Requirement special survey .................................. 2

Vaccine Requirement/ FMS Surveys ..................................................................... 3
  Create and Link a Vaccine Requirement/FMS Survey in an FMS Record .............. 5
  Create a Vaccine Requirement/FMS Survey Outside FMS Tracking and Link to an FMS Record .... 7
ASPEN Vaccine Requirement Surveys Overview

CMS Regional/Central Offices can begin creating Vaccine Requirement surveys in ASPEN 12.0.0 on April 6, 2022. This functionality will allow CMS surveyors to inspect for compliance with the staff Vaccine requirement regulations and to document findings of Vaccine requirement deficiencies in states that do not inspect for this Vaccine requirement. Currently, these states are Florida, Kansas, and Texas.

CMS users can create standalone Vaccine Requirement special surveys or combined Vaccine Requirement/FMS surveys as described in detail below.

For complete information about ASPEN applications, please refer to the applicable procedures guides.

Vaccine Requirement Surveys

CMS users can now create Vaccine Requirement special surveys—either standalone or combined with FMS surveys—for providers in Florida, Kansas, and Texas.

Vaccine Requirement Special Survey Type

A new special survey category, 4 – Vaccine Requirement, has been added to the Create Health Survey/Survey Properties dialog in ARO and ASE-Q.

Only CMS users can create a Vaccine Requirement special survey or combined Vaccine Requirement/FMS survey and only for the affected states: FL, KS, TX. State surveyors cannot create these surveys nor can CMS users for any states other than FL, KS, and TX.

Standalone Vaccine Requirement Special Surveys

CMS users can create standalone Vaccine Requirement special surveys in ARO or ASE-Q for Florida, Kansas, and Texas. CMS may opt to conduct a standalone Vaccine Requirement survey when a State is not surveying for the requirement. The survey might be based on an attestation or offsite documents, or it could be an onsite survey. In all cases, the purpose of the survey would be to inspect for compliance with the vaccine requirement. However, if surveyors were to find another issue, that deficiency could be cited.

Create a standalone Vaccine Requirement special survey

1. **ARO** – In the **Tree** view, right-click the **Surveys** node under the applicable provider.
2. **ASE-Q** – In the **Tree** view, right-click the applicable provider.
3. **Select New Survey.**
3 In the **Create Health Survey** dialog, select **4-Vaccine Requirement** for **Type of Survey**; **M-Other** will automatically be selected by the system (as for all special surveys).

![Figure 1: Defining a standalone Vaccine Requirement special survey](image)

4 Complete other fields as needed and select **OK**.

**Vaccine Requirement/ FMS Surveys**

Vaccine Requirement surveys in Florida, Kansas, and Texas will be performed during all onsite Federal Monitoring Survey types. All FMS surveys conducted in those three states should be coded as both an FMS survey and a vaccine requirement survey.
CMS users can create Vaccine Requirement/FMS surveys for Florida, Kansas, and Texas by combining Vaccine Requirement special surveys with FMS surveys. These surveys will be displayed to CMS users under the FMS Surveys node in the ASPEN tree.

![Figure 2: FMS Surveys node displaying FMS surveys]

The Create Health Survey/Survey Properties dialog for ARO and ASE-Q has been updated to permit defining special surveys for Vaccine Requirement inspections with FMS surveys. CMS users will create Vaccine Requirement/FMS surveys by selecting C-Federal Monitoring for Type of Survey in the Create Health Survey/Survey Properties dialog to specify an FMS survey, then also selecting 4-Vaccine Requirement; M-Other will also automatically be selected by the system (as for all special surveys).

![Figure 3: Defining a Vaccine Requirement/FMS survey]
There are two ways to create and link a Vaccine Requirement/FMS survey to an FMS event:

- Create and link a Vaccine Requirement/FMS survey from within an FMS case in the FMS Manager.
- Create the Vaccine Requirement/FMS survey directly in ARO by right-clicking the FMS Survey branch under the facility and selecting the New Survey option (or import it from ASE-Q) and link it to an FMS record.

This survey can be selected as the survey on an FMS case through the standard FMS Tracking interface.

Create and Link a Vaccine Requirement/ FMS Survey in an FMS Record

1. In the FMS Tracking dialog, select the record you want to add a Vaccine Requirement survey to and click Modify.
2. In the **FMS Add/Update** screen, specify **Type of Federal Survey** and **Extent of Federal Survey**.

![Figure 5: Specify Type and Extent of Federal Survey](image)

Although all **Type of Federal Survey** options are enabled, **B Observational** or **I-Other Federal Survey** are recommended for a FOSS/Vaccine Requirement survey.

Vaccine Requirement surveys, like all special surveys, cannot be linked to FMS LSC cases. Therefore, **Full Health** or **Partial Health are the only options that** should be selected for **Extent of Federal Survey**.
3. In the **FMS Add/Update** screen, click **Select** to the right of the **Health** indicator in the **Federal Survey** section.

![Figure 6: Click Select by Health in Federal Survey section of FMS Add/Update](image)

4. In the **Select FMS Health Survey** dialog, click **Create**.

![Figure 7: Click Create in Select FMS Health Survey](image)

5. In the **Create Health Survey** dialog, select the **Type of Survey** options shown in Figure 3. C-Federal Monitoring is selected by default.

6. Complete other fields as needed and select **OK**.

**Create a Vaccine Requirement/FMS Survey Outside FMS Tracking and Link to an FMS Record**

1. Create the Vaccine Requirement/FMS survey directly in ARO or ASE-Q (and then import it into ARO).

2. In the **Create Health Survey** dialog, select the **Type of Survey** options shown in Figure 3. Complete other fields as needed and select **OK**.

3. In the **FMS Tracking** dialog, select the record you want to add the Vaccine Requirement/FMS survey to and click **Modify**.

4. In the **FMS Add/Update** screen, specify **Type of Federal Survey** and **Extent of Federal Survey**.
5 In the **FMS Add/Update** screen, click **Select** to the right of the **Health** indicator in the **Federal Survey** section.

![Figure 8: Click Select by Health in Federal Survey section of FMS Add/Update](image)

6 In the **Select FMS Health Survey** dialog, select the Vaccine Requirement/FMS survey you created and click **OK**.

![Figure 9: Select Vaccine Requirement/FMS survey](image)

Category displays the Type of Survey options selected in Create Health Survey/Survey Properties.