



ASPEN 12.0.0

Vaccine Requirement

Surveys

Release Notes

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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.
ASE-Q – In the **Tree** view, right-click the applicable provider.
- 2** 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).

The screenshot shows the 'Survey Properties for' dialog box. The 'Type of Survey' section is highlighted, with '4-Vaccine Requirement' selected and enclosed in a red box. The 'Regulation(s)' section lists several regulations, with 'FED-F-16.06-LONG TERM CARE FACILIT' selected. The 'Team Roster' section shows a table with one entry: ID 90130, Name Dill, Nick. The 'Extent(s)' section lists several survey types, with 'A-Routine/Std Survey' selected. The 'SOD Tracking' section shows 'SOD Sent' as //, 'Revisit Status' as 1-Required, and 'POC Rcvd' as //. The 'Social Survey Tracking' section shows a table with columns for Action, Date, Status, By, Error, and Tr.

Figure 1: Defining a standalone Vaccine Requirement special survey

- 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.

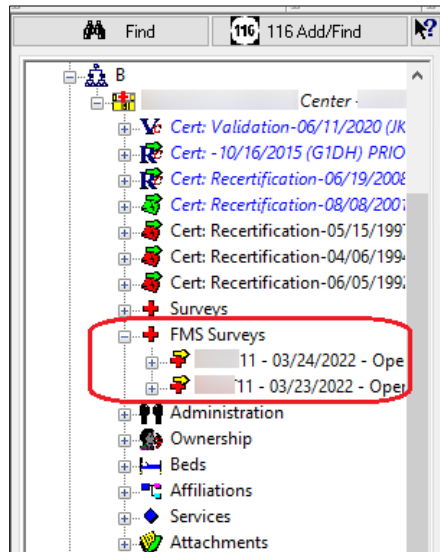


Figure 2: FMS Surveys node displaying FMS surveys

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).

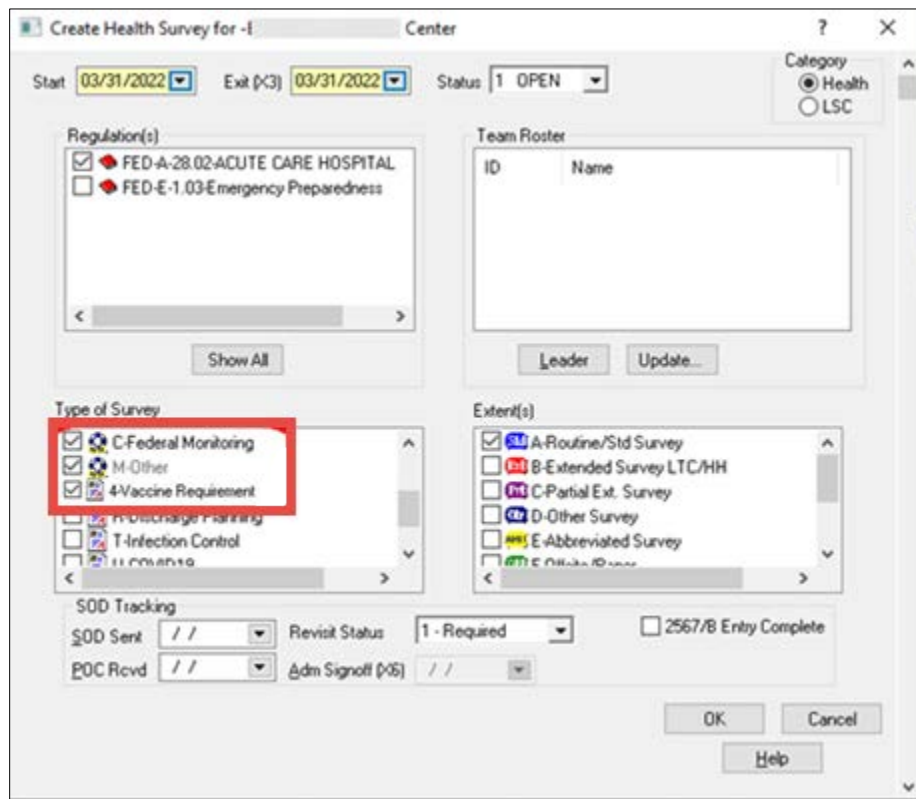


Figure 3: Defining a Vaccine Requirement/FMS survey

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**.

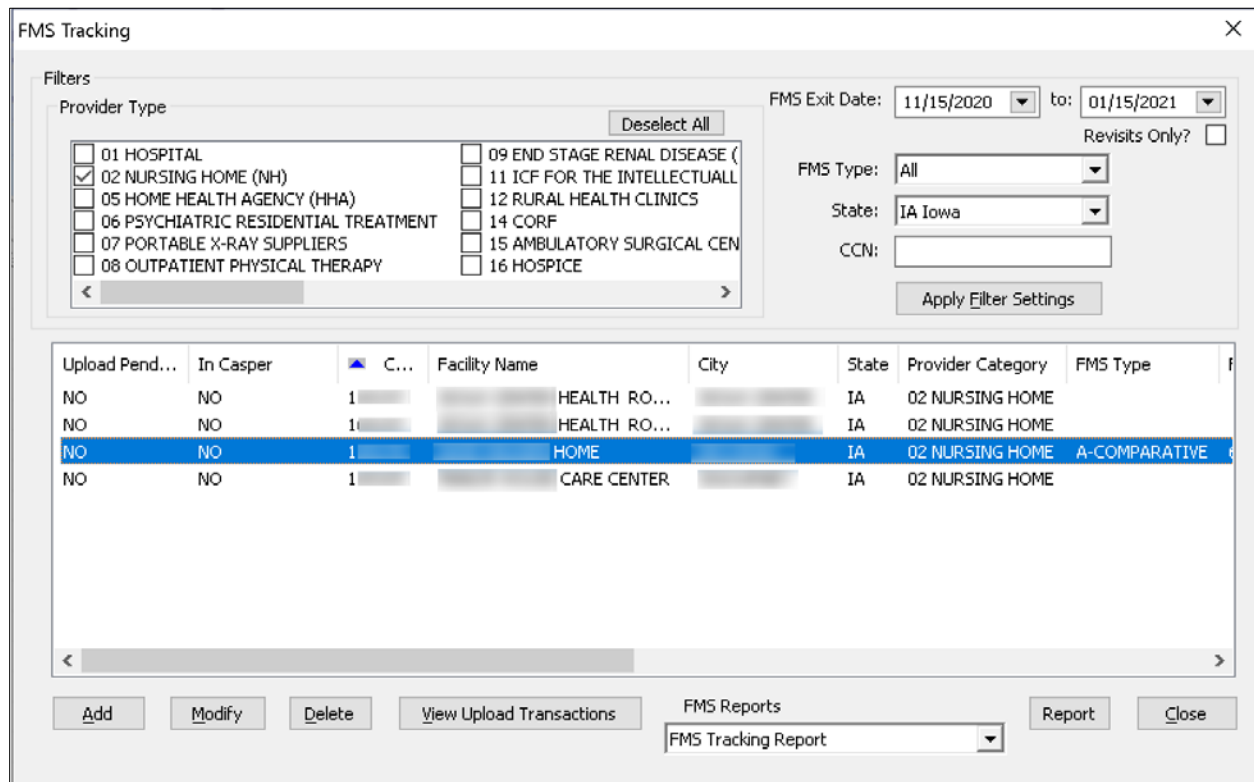


Figure 4: Select FMS record

2 In the FMS Add/Update screen, specify Type of Federal Survey and Extent of Federal Survey.

The screenshot shows the 'FMS Add/Update' window with the following fields and options:

- CCN (Provider Number):** Text input field.
- Name:** Text input field.
- Address:** Text input field.
- City:** Text input field.
- State:** Text input field.
- Zip:** Text input field.
- Type of Federal Survey:** Dropdown menu with 'B Observational' selected.
- Extent of Federal Survey:** Dropdown menu with a list showing '6 Full Health', '7 Partial Health', and '8 Full LSC'.
- In Caspe:** Unchecked checkbox.
- Federal Survey:** Section with radio buttons for 'Health' and 'LSC', and 'Select' buttons for each.
- State Agency Survey:** Section with 'Event ID', 'Start Date', and 'Exit Date' fields, and a 'Select' button.
- Survey Date (L34):** Text input field.
- Match Occurred:** Unchecked checkbox.
- Was an interregional survey conducted:** Dropdown menu.
- Inter. Region Code:** Dropdown menu.
- Survey finding requires preparation of CMS-2567:** Dropdown menu.
- Report was sent to state agency:** Dropdown menu.
- Date Sent:** Date input field.
- Significant differences noted between region and state:** Dropdown menu.
- CMS-2567 Sent to Facility:** Dropdown menu.
- Date Sent:** Date input field.
- Complaint was Substantiated:** Dropdown menu.
- Contractor Usage:** Radio buttons for 'Fully Contracted' and 'Partially Contracted'.
- Conditions/Standards:** Table with columns: TAG, REG ID, TITLE, LEVEL, STATUTE.
- Associated Regulations:** Text area.
- Buttons:** 'Upload', 'OK', and 'Cancel'.

Figure 5: Specify Type and Extent of Federal Survey

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.

Federal Survey			
	Event ID	Start Date	Exit Date
<input checked="" type="radio"/> Health			Select
<input type="radio"/> LSC			Select

View Survey View Citations Build Workload History (LSC)

Figure 6: Click Select by Health in Federal Survey section of FMS Add/Update

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

Event ID	Survey Date	Exit Date	Category

Create Remove OK Cancel

Figure 7: Click Create in Select FMS Health Survey

- 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.

	Event ID	Start Date	Exit Date	
<input checked="" type="radio"/> Health				Select
<input type="radio"/> LSC				Select

View Survey View Citations Build Workload History (LSC)

Figure 8: Click Select by Health in Federal Survey section of FMS Add/Update

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

Event ID	Survey Date	Exit Date	Category
11	03/31/2022	03/31/2022	FEDMON, OTHER, VacMan

Create Remove OK Cancel

Figure 9: Select Vaccine Requirement/FMS survey

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