



## QTSO MEMORANDUM

### MEMO

**NUMBER:** 2022-050

**TO:** QIES State Coordinators

**CC:** CMS Central and Regional Office Contacts

**FROM:** Greg Goetzel, QIES Technical Support Office

**DATE:** 09/30/2022

**SUBJECT:** ASPEN 12.2.0 Release Information

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The ASPEN 12.2.0 release will be deployed to production on Saturday, October 22, 2022. State and CMS staff can begin using ASPEN 12.2.0 by the start of business on Monday, October 24.

### Included in This Release

This release includes executables for ACO, ACTS, LTCSP and ASE-Q, and a new LTC regulation set. Details on application changes are provided below in the Release Notes section of this memo.

### Download Information for State Agencies

ASPEN 12.2.0 will be provided to your state agency as standard ASPEN thin installs. The planned posting of the thin installs to the ASPEN website is by close of business on Wednesday, October 12 to allow for your agency's release planning. These download links below are not active until the thin install files are posted on the 12<sup>th</sup>.

**Note:** No action is necessary by CMS users – these upgrades are automatically applied to your CMS systems and should not be downloaded separately from these links.

ACO:

[http://star.alpinetq.com/upgrade/Thin/ACO12.2.0\\_PR1\\_Thin.zip](http://star.alpinetq.com/upgrade/Thin/ACO12.2.0_PR1_Thin.zip)

ACTS:

[http://star.alpinetq.com/upgrade/Thin/ACTS12.2.0\\_PR1\\_Thin.zip](http://star.alpinetq.com/upgrade/Thin/ACTS12.2.0_PR1_Thin.zip)

ASE-Q:

[http://star.alpinetq.com/upgrade/Thin/ASE12.2.0\\_PR1\\_Thin.zip](http://star.alpinetq.com/upgrade/Thin/ASE12.2.0_PR1_Thin.zip)

### Auto-upgrade

For states using auto-upgrade, the ASE-Q/LTCSP upgrade will be posted by COB on Friday October 21. For CMS Regional Office users, all applications will be deployed automatically to your computers through the auto-upgrade process beginning with logons after close of business on Friday, October 21.

## Transition Information

We recommend all survey team members use the same version of LTCSP; either all upgrading to ASEQ/LTCSP version 12.2.0 or all continuing to use ASEQ/LTCSP version 12.0.

If a survey is exported from ACO version 12.2.0, ensure the survey team has upgraded to ASEQ/LTCSP version 12.2.0 prior to going out in the field. The new functionality will not be fully implemented until the application is updated.

**Note:** If a survey team does have some team members who upgrade to version 12.2.0 and some who do not, any data gathered using the new features in version 12.2.0 may be lost.

If teams are mid-survey at the time of release or the team is working with a survey shell exported using ACO version 12.0, we recommend all team members postpone updating until they complete their current survey.

If the team has not yet begun a survey using a shell exported using ACO version 12.0, the shell can be re-exported answering Yes to the recalculation question and team members would then all upgrade to ASEQ/LTCSP version 12.2.0. The survey team would then be able to use all the new functionality during the survey.

If the team does upgrade mid-survey, they will see some but not all phase 3 functionality. For instance, the Arbitration question will be available on the Entrance Conference screen, but the Arbitration task will not be available, and there will not be a side menu on the Finalize Sample screen tracking investigation coverage.

## Release Notes

### General/Menus

- Add Residents for Task icon

In order to easily add residents to facility tasks from any screen, the Add Residents for Task icon was added to the Quick Access menu.

*To add residents to facility tasks:*

1. Select the 'Add Resident for Task' icon in the Quick Access menu.
2. Select the residents to add to the facility task.
3. Open the drop-list and select the facility task.
4. Select OK to save changes.

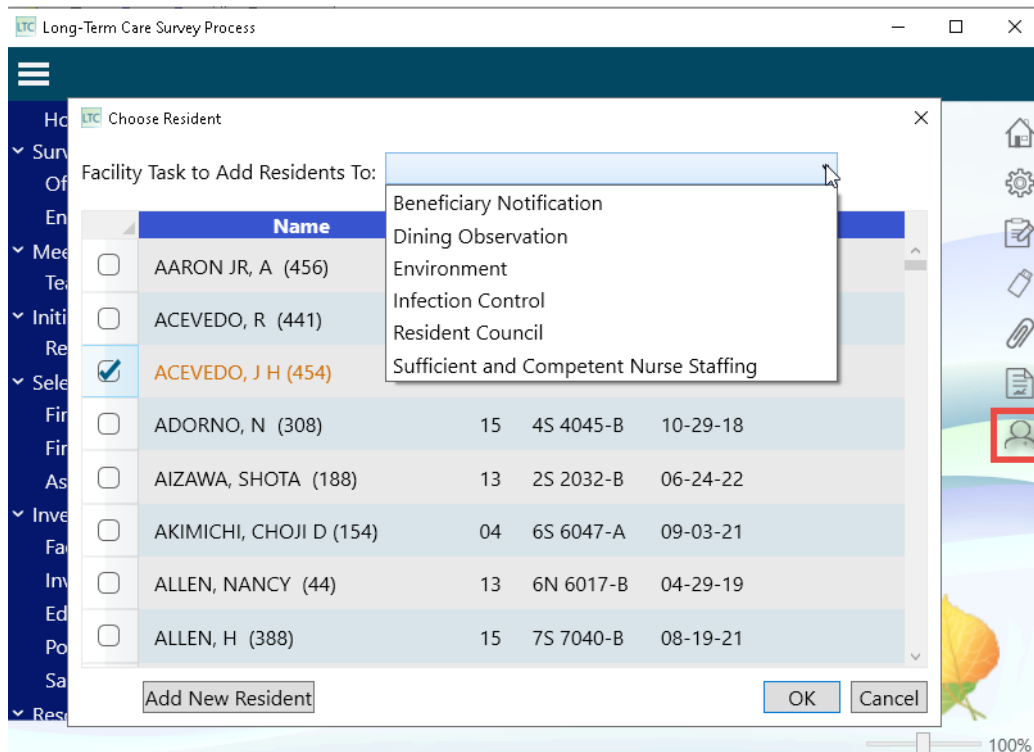


Figure 1: Select Add Resident to Facility Task icon to open Choose Resident screen

- Additional Updates
  - Reordered main navigation menu.
  - MDS indicators were refined to increase the quality of selection of offsite selected residents.

### Offsite Prep

- CASPER PBJ Staffing Concerns and Notes

CASPER PBJ staffing concerns and staffing waivers can now be entered on the Offsite Preparation screen and are accessible via PBJ Staffing links from the Interview and Observations screen, the staffing concerns sections on the Team Meeting screens, and in Facility Tasks, for CE11 on the Resident Council pathway, and at the top (beside the Pathway link) of Sufficient and Competent Nurse Staffing.

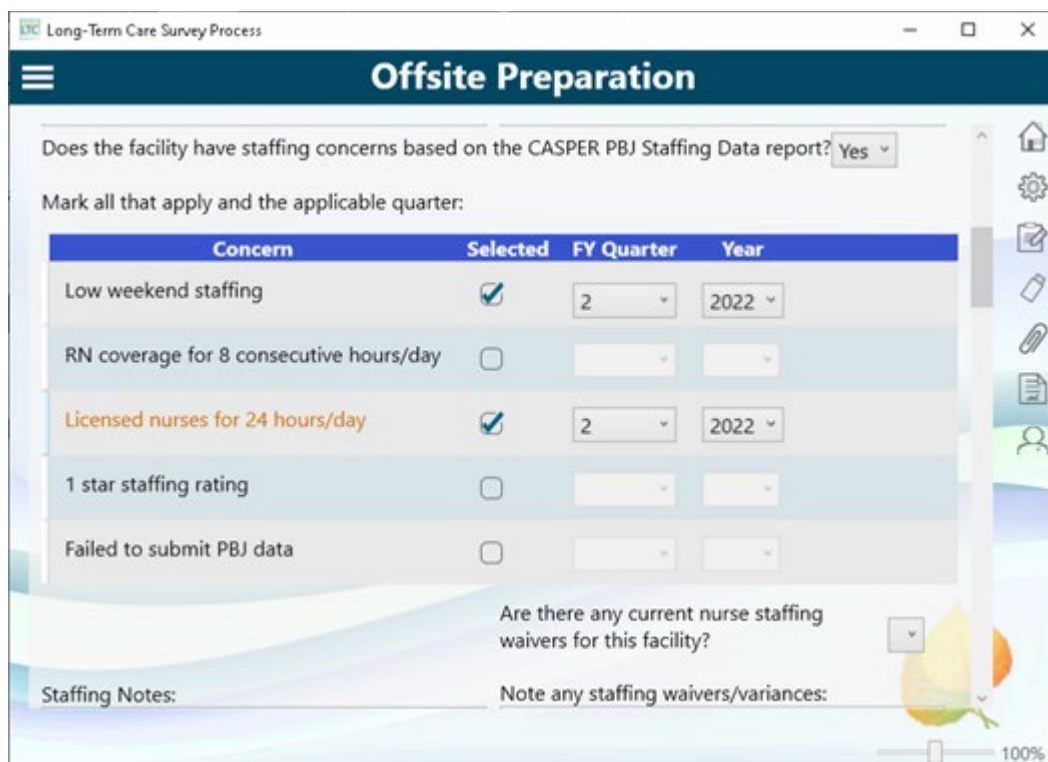


Figure 2: Staffing Concerns and Notes section of Offsite Preparation screen

- Additional Updates
  - SAs can enter the majority of the Offsite Prep information in ACO before exporting the survey to ASE-Q (excluding outstanding complaint/FRIs, CASPER 3 review, and CASPER PBJ Staffing Data Report information).
  - The active Complaints/FRIs section is expanded by default to ensure the TC links complaint allegations to LTCSP areas.

### Entrance Conference

- Updated worksheet for new line items.
- Added a new question to the screen to determine whether the facility has asked residents/representatives to enter into a binding arbitration agreement. A response of Yes will trigger the Arbitration facility task.

### Team Meeting

- Team Meeting Day 1 and Day 2 labels changed to Initial Pool and Investigation respectively.
- Team members can view Team Meeting in read only mode.
- Added new line items (e.g., identify compliance and ethics concerns).

### Initial Pool

- Closed record/discharge reasons are now: Expired, Hospitalized, Unplanned (Facility Initiated) Discharge, and Planned (Resident Initiated) Discharge.
- When adding a new resident, the subgroup defaults to New Admissions.
- Updated initial pool area probes.

## Finalize Sample

- New screen layout includes slide-out menu (to easily ensure all areas are sampled) and sort features, and Harm/IJ column is added back.

Sample	Name	Room	# CAs	Unnec Meds	Sys Sel	IJ/Harm	Initial Pool Surveyor
<input checked="" type="checkbox"/>	<a href="#">AARON JR. AUSTIN (485)</a>	7S 7031-B	2	No	<input checked="" type="checkbox"/>		SWOOPES-98988
<input type="checkbox"/>	Included in Investigation Y Y	Care Areas <a href="#">Choices</a> <a href="#">Infection Control (Task)</a> <a href="#">Modify Care Areas</a>					
<input checked="" type="checkbox"/>	<a href="#">BENJAMIN ELVIRA A (198)</a>	2N 2010-A	1	No	<input checked="" type="checkbox"/>		SWOOPES-98988
<input type="checkbox"/>	Included in Investigation Y	Care Areas <a href="#">Dental</a> <a href="#">Modify Care Areas</a>					
<input checked="" type="checkbox"/>	<a href="#">BURGESS, BETTY A (285)</a>	2S 2032-A	1	No	<input checked="" type="checkbox"/>		SWOOPES-98988
<input type="checkbox"/>	Included in Investigation Y	Care Areas <a href="#">Mood/Behavior</a> <a href="#">Modify Care Areas</a>					
<input checked="" type="checkbox"/>	<a href="#">CRUZ, EDWARD (503)</a>	2S 2049-B	2	Yes <input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		SWOOPES-98988
<input type="checkbox"/>	Included in Investigation Y	Care Areas <a href="#">Nutrition</a>					

Figure 3: Finalize Sample

- The Team Coordinator is now required to finalize the closed records before starting sample finalization.
- The View Current Workload link is removed from the Finalize Sample and Finalize Closed Record Sample screens.
- Residents who only have facility task concerns can now be included in the sample size.

## Assignments

- Investigation Assignments screen

The LTCSP application assigns the surveyors to the residents they added during the initial pool process. Surveyors can be reassigned to better distribute the workload before or after finalizing the sample or conducting investigations from the Investigation Assignments screen.

Infection Control, Dining, and Sufficient and Competent Nurse Staffing allow the team coordinator to identify the surveyor who has primary responsibility.

*To view workload:*

- Click the **View Current Workload** link on the Facility Tasks or Investigations screen, or select **Assignments** from the Navigation menu.

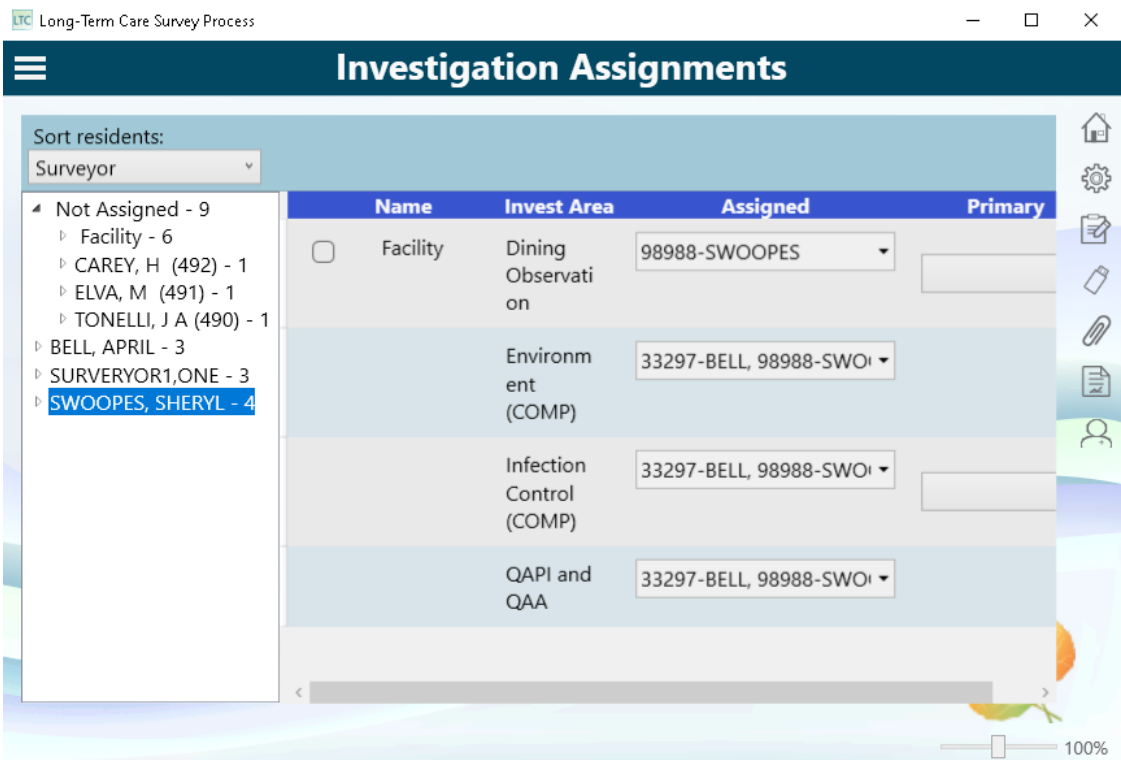


Figure 4: Investigation Assignments

## Facility Tasks

- Arbitration

The Arbitration task is triggered immediately if Resident Council question #24 is answered Yes, or if the arbitration question above Notes in Entrance Conference is answered Yes.

For any resident listed or added to the Arbitration facility task screen, use the drop-list in the Reason field to identify the reason each resident was selected.

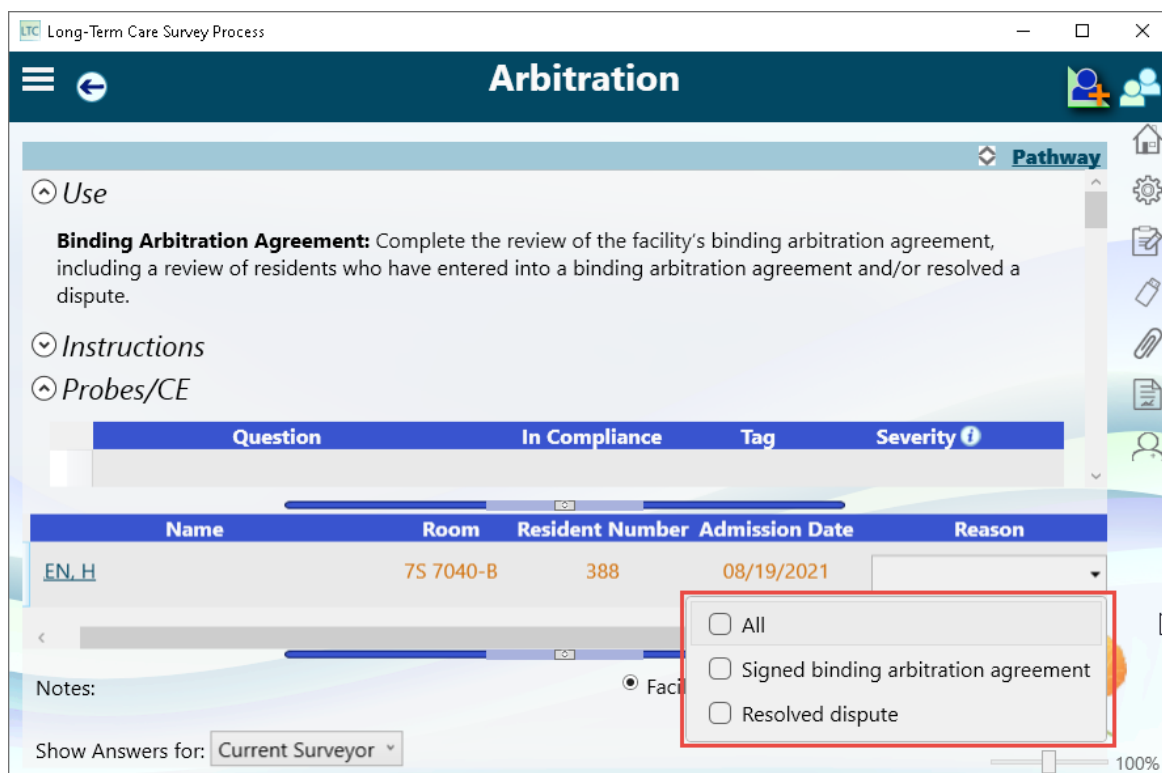


Figure 5: Arbitration

- Additional Updates
  - Updated pathway forms.
  - The text and critical elements are switched on the screen to more closely match the pathway forms.
  - Residents where the first critical element for an Abuse investigation was found as not in compliance are listed in the QAPI/QAA facility task.
  - Residents marked FI during the initial pool for Infections (non-UTI, PU, Respiratory) and TBP are automatically listed in the Infection Control facility task.
  - The Primary surveyor responsible for all CEs can be identified for Dining Observation, Infection Control, and Sufficient and Competent Nurse Staffing.

### Investigations

- Moved the checkmark indicating completed Investigations next to the investigation name (not in front of resident name) and added a completion check next to resident's name once all care area investigations are complete.
- Hide Completed Investigations checkbox is checked by default.

## Potential Citations

- New Singular Event and Start/End Date fields, including a link to the definitions, are available for tags cited for Harm or Immediate Jeopardy (scope/severity J, K, or L).

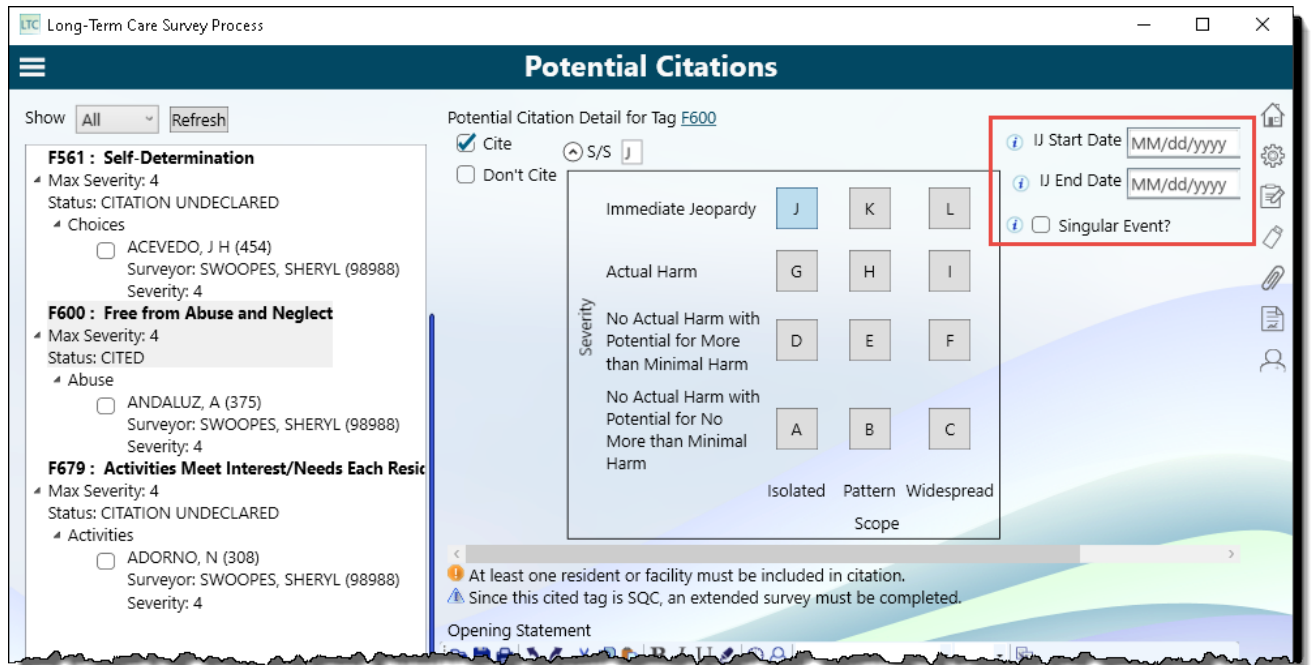


Figure 6: Potential Citations

## Comparative Surveys

- Review FMS Report Data feature was added to ARO for preparing the Federal Monitoring Survey Documentation report which was updated.

*To access and use the Review FMS Report Data window:*

1. In **ARO**, right-click the LTCSP Comparative survey in the Tree and select **FMS Citation Compare**.
2. In the FMS Compare Options window, select the **Review FMS Report Data** tab.

*To print the Federal Monitoring Survey Documentation Report:*

1. In **ARO**, right-click your survey in the tree and select **LTCSP Documentation Reports (confidential)**.
2. All reports are selected by default, click **De-select All** and then select the **Federal Monitoring Survey**.
3. Click **Print**. A PDF of the report opens.



## Regulation Set Changes (v17.00)

The LTC regulation set consists of new tags, IG and regulation text changes, and one deleted tag.

Regulation	Title	Version	Tag	Type of Change
LTC	Long Term Care Facilities	17.00	F-0557	Revised IG text
LTC	Long Term Care Facilities	17.00	F-0561	Revised IG text
LTC	Long Term Care Facilities	17.00	F-0563	Revised IG text
LTC	Long Term Care Facilities	17.00	F-0578	Revised Reg/IG text
LTC	Long Term Care Facilities	17.00	F-0582	Revised IG
LTC	Long Term Care Facilities	17.00	F-0584	Revised IG
LTC	Long Term Care Facilities	17.00	F-0600	Revised IG
LTC	Long Term Care Facilities	17.00	F-0602	Revised IG
LTC	Long Term Care Facilities	17.00	F-0603	Revised IG
LTC	Long Term Care Facilities	17.00	F-0604	Revised IG
LTC	Long Term Care Facilities	17.00	F-0605	Revised IG
LTC	Long Term Care Facilities	17.00	F-0606	Revised IG
LTC	Long Term Care Facilities	17.00	F-0607	Revised CFR/Reg text/IG
LTC	Long Term Care Facilities	17.00	F-0608	Delete
LTC	Long Term Care Facilities	17.00	F-0609	Revised CFR/IG
LTC	Long Term Care Facilities	17.00	F-0622	Revised IG
LTC	Long Term Care Facilities	17.00	F-0623	Revised IG
LTC	Long Term Care Facilities	17.00	F-0624	Revised IG
LTC	Long Term Care Facilities	17.00	F-0626	Revised IG
LTC	Long Term Care Facilities	17.00	F-0641	Revised IG
LTC	Long Term Care Facilities	17.00	F-0656	Revised CFR/Reg text/IG
LTC	Long Term Care Facilities	17.00	F-0658	Revised IG
LTC	Long Term Care Facilities	17.00	F-0659	Revised IG
LTC	Long Term Care Facilities	17.00	F-0675	Revised IG
LTC	Long Term Care Facilities	17.00	F-0679	Revised IG
LTC	Long Term Care Facilities	17.00	F-0686	Revised IG
LTC	Long Term Care Facilities	17.00	F-0687	Revised IG
LTC	Long Term Care Facilities	17.00	F-0689	Revised IG
LTC	Long Term Care Facilities	17.00	F-0690	Revised IG
LTC	Long Term Care Facilities	17.00	F-0694	Revised IG
LTC	Long Term Care Facilities	17.00	F-0695	Revised IG
LTC	Long Term Care Facilities	17.00	F-0697	Revised IG
LTC	Long Term Care Facilities	17.00	F-0699	New
LTC	Long Term Care Facilities	17.00	F-0700	Revised IG
LTC	Long Term Care Facilities	17.00	F-0712	Revised IG
LTC	Long Term Care Facilities	17.00	F-0725	Revised IG
LTC	Long Term Care Facilities	17.00	F-0727	Revised IG
LTC	Long Term Care Facilities	17.00	F-0729	Revised IG
LTC	Long Term Care Facilities	17.00	F-0732	Revised IG
LTC	Long Term Care Facilities	17.00	F-0740	Revised IG
LTC	Long Term Care Facilities	17.00	F-0741	Revised IG
LTC	Long Term Care Facilities	17.00	F-0742	Revised IG
LTC	Long Term Care Facilities	17.00	F-0743	Revised IG
LTC	Long Term Care Facilities	17.00	F-0744	Revised IG
LTC	Long Term Care Facilities	17.00	F-0755	Revised IG
LTC	Long Term Care Facilities	17.00	F-0758	Revised IG
LTC	Long Term Care Facilities	17.00	F-0801	Revised RegText

<b>Regulation</b>	<b>Title</b>	<b>Version</b>	<b>Tag</b>	<b>Type of Change</b>
LTC	Long Term Care Facilities	17.00	F-0812	Revised IG
LTC	Long Term Care Facilities	17.00	F-0847	Revised IG
LTC	Long Term Care Facilities	17.00	F-0848	Revised IG
LTC	Long Term Care Facilities	17.00	F-0851	Revised IG
LTC	Long Term Care Facilities	17.00	F-0865	Revised CFR/RegText/IG
LTC	Long Term Care Facilities	17.00	F-0867	Revised CFR/RegText/IG
LTC	Long Term Care Facilities	17.00	F-0868	Revised CFR/RegText/IG
LTC	Long Term Care Facilities	17.00	F-0880	Revised IG
LTC	Long Term Care Facilities	17.00	F-0881	Revised IG
LTC	Long Term Care Facilities	17.00	F-0882	Revised CFR/RegText/IG
LTC	Long Term Care Facilities	17.00	F-0883	Revised IG
LTC	Long Term Care Facilities	17.00	F-0884	Revised CFR/RegText
LTC	Long Term Care Facilities	17.00	F-0887	Revised RegText
LTC	Long Term Care Facilities	17.00	F-0895	New
LTC	Long Term Care Facilities	17.00	F-0919	Revised CFR/RegText/IG
LTC	Long Term Care Facilities	17.00	F-0940	New
LTC	Long Term Care Facilities	17.00	F-0941	New
LTC	Long Term Care Facilities	17.00	F-0942	New
LTC	Long Term Care Facilities	17.00	F-0944	New
LTC	Long Term Care Facilities	17.00	F-0945	New
LTC	Long Term Care Facilities	17.00	F-0946	New
LTC	Long Term Care Facilities	17.00	F-0947	Revised IG
LTC	Long Term Care Facilities	17.00	F-0949	New

If you have any questions concerning this information, please contact the ASPEN Help Desk at [icies@cms.hhs.gov](mailto:icies@cms.hhs.gov) or 1 (888) 477-7876.