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ASPEN 11.6 Overview

ASPEN 11.6 is scheduled for deployment to states and CMS Regional/Central Offices starting Sunday, December 9, 2018. This ASPEN release includes additions and enhancements to existing functionality in the following applications:

- ACO/ARO
- ACTS/ACTS RO
- AEM
- ePOC
- ASSURE

Updates are described in the *Changes and New Features* section for each application. Requirements marked as ACO and ACTS affect ACO/ARO and ACTS/ACTS RO.

These release notes provide a summary of new and updated features in ASPEN 11.6. For detailed information about ASPEN applications, please refer to existing versions of the applicable procedures guides.

The last section of these release notes, *ASPEN Database Additions and Modifications*, describes the changes implemented in the database to support the ASPEN 11.6 release. States that have developed custom reports and data extract functions should review this section as these may be affected by structural changes in the database.

Changes and New Features: Across ASPEN

IDR

Add tag via IDR/IIDR - ACO, ACTS, AEM

When there is a determination that a new citation should be added as a result of IDR/IIDR, you can open the Informal Dispute Resolution window and click the IDR Add Tag button.

mal Dispute Resolution - IDR fo									
Request Received 777	•								
Scheduled 1/	-	(Conducted 77	•	Conducted by	у 🗌			
Withdrawn 77	-	(Completion 77	v	IDR Type	•			•
Additional Doc. Rec'd 777	-	Revised	2567 Date 📝 /	•	0	ther Atte	ndees 0	Show	Attendees
POC Required		POC	Received 77	•					
			IDR	Notes					
В 🖌 Ц 🕸 🚔									
iurvey Citation IDR Status							Add Tag]	Federal =	State =
urvey Citation IDR Status Citation	Cert	CmpInt	IDR Status		brig SS Before IDR	SS After IDR	Add Tag IDR Changed To	Federal =	IDR Req
Citation			01 None	SS S	Before	SS After	IDR Changed		IDR Req
Citation FED-E-0001-Establishment of th FED-E-0006-Plan Based on All H		<u>र</u> र	01 None 01 None	A A	Before	SS After	IDR Changed		IDR Req
Citation			01 None	SS S	Before	SS After	IDR Changed		IDR Requ
FED-E-0001-Establishment of th FED-E-0006-Plan Based on All H		<u>र</u> र	01 None 01 None	A A	Before	SS After	IDR Changed		State = IDR Requ Reaso
Citation FED-E-0001-Establishment of th FED-E-0006-Plan Based on All H		<u>र</u> र	01 None 01 None	A A	Before	SS After	IDR Changed		IDR Requ
Citation FED-E-0001-Establishment of th FED-E-0006-Plan Based on All H		<u>र</u> र	01 None 01 None	A A	Before	SS After	IDR Changed		IDR Req
Citation FED-E-0001-Establishment of th FED-E-0006-Plan Based on All H		<u>र</u> र	01 None 01 None	A A	Before	SS After	IDR Changed		IDR Req
Citation FED-E-0001-Establishment of th FED-E-0006-Plan Based on All H		<u>र</u> र	01 None 01 None	A A	Before	SS After	IDR Changed		IDR Req Reas
Citation FED-E-0001-Establishment of th FED-E-0006-Plan Based on All H FED-E-0009-Local, State, Tribal		<u>र</u> र	01 None 01 None	A A	Before	SS After	IDR Changed		IDR Req

Figure 1: IDR Add Tag button

You will then select survey team members and the new tag. An error occurred previously if you highlighted a surveyor in the Select Team Member ... window and pressed the Enter key instead of clicking the Select button or double-clicking the surveyor.

Select Team Member for IDR tag addition ? ×							
	ID	🔺 Name					
	C8111 39242 ATGSA	A Test A, A Test A A Test B, A Test B Support, Aspen					
	Select	Cancel					

Figure 2: Team member highlighted for selection

All three methods for selecting surveyors now work properly.

Reports

Generate reports when user name contains apostrophe - ACO, ACTS

For users with an apostrophe in the first and/or last names in the Staff Directory, an error occurred previously when they attempted to generate reports from the Reports menu.

🔅 ASPEN C	entral Offi	ce Current S	Selection:	ALL NU	RSI			
File View	Reports	Tracking	System	Help				
I 🛒 🖪	Facilit	Facility Reports						
Survey Faci	Sched	Scheduling and Tracking Reports						
<i>i</i> 4	Survey	Survey History Reports						
🖃 🔶 ASI	Survey	yor Reports			•			
÷	Regul	ation Repor	ts		•			
± 🖋	Administrator Reports							
±	Owner Reports							
🗉 🖾	Enforcement Reports							
±	ePOC Management Reports							
⊡	Form Letters							
± 🕸	Print Batched Letters							
± 🞄	CLIA Reports							
±	NPI Re	eports			•			
±	Repor	t Usage Sun	nmary					

Figure 3: Reports menu in ACO

The reports now generate as expected and are added to the monitoring table in National with correct date/time information entered.

Surveys

Eliminate gap maximum between 670 arrival and Date of Survey - ACO, ACTS

A business rule mandated that the Arrival date specified on the CMS-670 for personnel on:

- Health and/or LSC survey(s) associated with a certification kit
- Complaint investigation surveys

could not be more than one year before Date of Survey (L34) - aka Certification Date, i.e., the survey Exit date.

📌 Certification & Surveys >	Tracking >> 🕴 🦨 Tran	smittal (CMS-1539) >>	Application (CMS-671) >>	🥐 Census (CMS-672) >> 🛛 📳 Upload	
Certification Summary					
Centineation Summary	Certificatio	n Date (L34) 10/01/201	8 Health Exit (X3) 10/01/201	8 LSC Exit (X3) 09/28/2018	

Figure 4: Certification Date (Date of Survey) in certification kit

	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)
	A TEST A, A TEST A (C8111)										
2	Complaint Investig.		☑	06/01/2017	06/01/2017	2.00	2.00	8.00	2.00	2.00	4.00
5	Subtotal					2.00	2.00	8.00	2.00	2.00	4.00
ł	A TEST B, A TEST B (39242)										
	Complaint Investig.		v	06/01/2017	06/01/2017	2.00	2.00	8.00	2.00	2.00	4.00
	Subtotal					2.00	2.00	8.00	2.00	2.00	4.00
	Cł (3)										
	Complaint Investig.		v	06/01/2017	06/01/2017	2.00	2.00	8.00	2.00	2.00	4.00
	Subtotal					2.00	2.00	8.00	2.00	2.00	4.00
0	N (8 :)										
1	Complaint Investig.		v	06/01/2017	06/01/2017	2.00	2.00	8.00	2.00	2.00	4.00
2	Subtotal					2.00	2.00	8.00	2.00	2.00	4.00
3	SUPPORT, ASPEN (ATGSA)										
4	Complaint Investig.		v	06/01/2017	06/01/2017	2.00	2.00	8.00	2.00	2.00	4.00
5	Subtotal					2.00	2.00	8.00	2.00	2.00	4.00
6	TOTALS					10.00	10.00	40.00	10.00	10.00	20.00

Figure 5: 670 Arrival date more than one year before Certification Date/Date of Survey

As a result:

- Program Change Requests (PCRs) had to be processed for surveys that fell outside the threshold.
- An edit check (0204-670) prevented uploads of completed surveys that did not meet the stipulated limit.

To address these issues and improve survey processing efficiency, the business rule and upload edit check have been eliminated.

Changes and New Features: CLIA

Batch Billing

Ensure total test volume does not exceed maximum

The Batch Billing program is currently limited to a maximum fee of 9999999.99. Fees are calculated based on the annual test volume entered into the system prior to the calculation of fees. When the annual test volume was greater than 500,099,999, the fee calculation formerly errored out, which stopped Batch Billing and resulted in:

- CLIA 116 web app unavailable the following day
- Billing tasks delayed for a day

The system now prevents entry of test volumes that exceed the annual allowed maximum of 500,099,999 in order to ensure that the submitted data does not negatively impact job processing. A new edit enforces the test volume maximum and prevents the fee calculation process in Batch Billing from failing. The following error message is generated when the annual test volume maximum is exceeded.

TEST VOLUME CANNOT BE GREATER THAN 500,099,999. PLEASE REVIEW ALL SPECIALTY TEST VOLUMES.

Compliance Labs

For CLIA compliance labs, users enter or update:

- 116 specialty test volumes through the CLIA 116 web app
- Survey specialty test volumes through the CLIA 116 web app or, for SA/RO/CO users, in ACO certification kits

Annual test volumes over 500,099,999 will not be accepted for 116 specialties or survey specialties.

116 and survey specialty test volumes for labs can be entered on the Specialties tab in the CLIA 116 app.

chedule Codes 116 1557			
Comp A Accred Comp A Accr	ed be	Sche	dule Code Chart
pecialty Source		Last U	pdate Date
116 Specialties Osurvey Specialties Ospecialty History	1	16 04/20/2016	Survey 06/04/2015
otal Annual test volume for:			
All Waived Tests: 0 🗹 No Testing			
All PPM Tests: 0 🔽 No Testing			
SUB-SPECIALTY			TEST VOLUME
10 Histocompatability			
010 HISTOCOMPATABILITY			
Transplant Non Transplant			
00 Microbiology			
110 BACTERIOLOGY			
115 MYCOBACTERIOLOGY			
120 MYCOLOGY			
130 PARASITOLOGY			
140 VIROLOGY			
00 Diag Immunology			
210 SYPHILIS SEROLOGY			
220 GENERAL IMMUNOLOGY			4921
00 Chemistry			
310 ROUTINE CHEMISTRY			
320 URINALYSIS			
330 ENDOCRINOLOGY			
340 TOXICOLOGY			

Figure 6: 116 specialty test volume for a compliance lab

Demographics Multiple Sites Accred Org	Info Specialties Additional Info PT Info	An asterisk (*) indicates the field is require
Schedule Codes		
116	1557	
Comp A Accred	Comp A Accred	Schedule Code Chart
Specialty Source	7	Last Update Date
O 116 Specialties Survey Specialties	Specialty History 1:	16 04/20/2016 Survey 06/04/2015
Total Annual test volume for:		
All Waived Tests: 0	✓ No Testing	
All PPM Tests: 0	✓ No Testing	
SUB-SPECIALTY	EFFECTIVE DATE	EXPIRATION DATE TEST VOLUME
010 Histocompatability		
010 HISTOCOMPATABILITY		
Transplant Non Transplant		
100 Microbiology		
110 BACTERIOLOGY		
115 MYCOBACTERIOLOGY		
120 MYCOLOGY		
130 PARASITOLOGY		
140 VIROLOGY		
200 Diag Immunology		
210 SYPHILIS SEROLOGY		
220 GENERAL IMMUNOLOGY	05/20/2015 💌	₹ 4000
300 Chemistry		
310 ROUTINE CHEMISTRY		
320 URINALYSIS		
330 ENDOCRINOLOGY		
340 TOXICOLOGY		

Figure 7: Survey specialty test volume for a compliance lab

If a user enters specialty test volumes that cause the total annual test volume to exceed the maximum and then navigates away from the Specialties tab, the system:

• Displays the error message indicating the test volume has exceeded the maximum

If the user ignores the edit and attempts to save the changes, the system:

- Displays the error message again
- Does not update specialty test volumes for the laboratory

SA/RO/CO users can enter survey specialty test volumes for a lab on the 1557 Specialties tab of the certification kit in ACO.

Certification & Surveys > Tracking >> 🕴 📌 Tra	ansmittal (CMS-1539) >>	Survey (CMS-1557) >>	1557 Specialties >> Vpload	1557 Specialties >> 🛛 🦑 Uploa
SPEC	IALTIES AND SUB-	SPECIALTIES		
	EFFECTIVE DATE	EXPIRATION DATE	TEST VOLUME	
10 Histocompatability	11 -	// •		TEST VOLUME
Transplant Non Transplant	,	,		
100 Microbiology 110 BACTERIOLOGY	// 💌	// •		
115 MYCOBACTERIOLOGY	1/ •			
V 120 MYCOLOGY	10/07/2018		436	
	10/07/2018			
T 130 PARASITOLOGY				
V 140 VIROLOGY	10/07/2018 💌	// 💌		
200 Diag Immunology				436
210 SYPHILIS SEROLOGY	// 💌	// •	132	
220 GENERAL IMMUNOLOGY	10/07/2008 🖵	// 💌	,	
300 Chemistry				
310 ROUTINE CHEMISTRY	// 👻	// 💌		
S20 URINALYSIS	10/07/2018 🖵	.//	1149	
330 ENDOCRINOLOGY	// •	// •	1.1.5	132
S40 TOXICOLOGY	// •	// •		
400 Hematology	05/13/1994 👻		9080	
400 HEMATOLOGY	05/13/1994	//	3000	
320 URINALYSIS	ļ	02/01/2007 👻	// 🔻	1149
330 ENDOCRINOLOGY		// 🔻	// 🔻	
340 TOXICOLOGY		// 🔻	//	
400 Hematology				
400 HEMATOLOGY		05/13/1994 👻	//	9080

Figure 8: 1557 Specialties tab in certification kit

When a test volume is entered that causes the total annual test volume to exceed the maximum, the system:

• Displays the text volume maximum error message

If the user bypasses the edit and attempts to upload the kit, the system:

- Displays the error message
- Does not upload the certification kit

Accredited Labs

AO users submit survey specialty test volumes for sponsored labs either by:

- Using the CLIA 116 web app
- Submitting a file to be processed (AO Upload)

Survey test volumes for an accredited lab are entered on the Specialties tab in the CLIA 116 app.

Demographics Multiple Sites Accred Org Info	o Specialties Additional Info	PT Info An asterisk (*) indicates the field is required
Schedule Codes		
116	1557	
Comp Accred C Co	omp Accred C	Schedule Code Chart
Specialty Source		Last Update Date
○ 116 Specialties	O Specialty History	116 11/21/2014 Survey 01/25/2016
Total Annual test volume for:		
All Waived Tests: 12425	No Testing	
All PPM Tests: 200	No Testing	
SUB-SPECIALTY	ACCREDITING ORG EFFECTIVE I	DATE EXPIRATION DATE
010 Histocompatability		
010 HISTOCOMPATABILITY	~	
Transplant 🗌 Non Transplant		
100 Microbiology		
110 BACTERIOLOGY	\sim	
□ 115 MYCOBACTERIOLOGY	~	
✓ 120 MYCOLOGY	01 TJC 🗸 10/05/2011	
✓ 130 PARASITOLOGY	01 TJC V 10/05/2011	
140 VIROLOGY	~	
200 Diag Immunology		
210 SYPHILIS SEROLOGY	~	
220 GENERAL IMMUNOLOGY	~	
300 Chemistry		
☑ 310 ROUTINE CHEMISTRY	01 TJC 🗸 06/02/2005	
320 URINALYSIS	~	
330 ENDOCRINOLOGY	~	
340 TOXICOLOGY	✓	

Figure 9: Survey specialty test volume for an accredited lab

If a user (AO or other) enters volumes that cause the total annual survey test volume to exceed the maximum and then navigates away from the Specialties tab, the system:

• Displays the test volume maximum error message

If the user ignores the edit and attempts to save the changes, the system:

- Displays the error message again
- Does not update survey specialty test volumes for the laboratory

The AO Upload option is available to AOs in the CLIA web app for submitting data, including test volumes, for processing.



Figure 10: AO Upload option

AO Upload will not accept test volumes over the maximum. When a file submitted by an AO contains surrey specialty test volumes for a lab (or labs) that would generate a total test volume greater than the maximum allowed, the system:

- Adds the test volume maximum error message to the error output file
- Skips processing the specialty record for the associated laboratory
- Does not upload the associated laboratory

SA/RO/CO users enter 116 specialty test volumes for accredited labs on the Specialties tab in the CLIA 116 app and the test volume maximum is enforced.

Demographics Multiple Sites Accred Org 1	Info Specialties Additional Info	PT Info An asterisk (*) indicates the field is required
Schedule Codes		
116	1557	
Comp Accred C	Comp Accred C	Schedule Code Chart
Specialty Source		Last Update Date
116 Specialties O Survey Specialties	O Specialty History	116 11/21/2014 Survey 01/25/2016
Total Annual test volume for:		
All Waived Tests: 12425	No Testing	
All PPM Tests: 200	No Testing	
SUB-SPECIALTY	ACCREDITING ORG	TEST VOLUME
010 Histocompatability		
010 HISTOCOMPATABILITY	\sim	
Transplant 🗌 Non Transplant		
100 Microbiology		
110 BACTERIOLOGY	\sim	
□ 115 MYCOBACTERIOLOGY	\sim	
✓ 120 MYCOLOGY	01 TJC 🗸	200
✓ 130 PARASITOLOGY	01 TJC 🗸	
140 VIROLOGY	\sim	
200 Diag Immunology		
210 SYPHILIS SEROLOGY	\sim	
220 GENERAL IMMUNOLOGY	~	
300 Chemistry		
310 ROUTINE CHEMISTRY	01 TJC 🗸	
✓ 320 URINALYSIS	01 TJC 🗸	9120
330 ENDOCRINOLOGY	\sim	
340 TOXICOLOGY	\sim	

Figure 11: 116 specialty test volume for an accredited lab

Changes and New Features: ePOC

Attachments

Scan provider attachments during upload

Providers can attach supplemental documentation related to the POCs for tags on surveys at any time prior to final POC approval. ASPEN Web: ePOC now leverages an existing CMS virus scanning implementation to scan all provider attachments for viruses during upload, prior to committing the file to the database. If a file is virus-infected, the user will receive a notification and the file will not be attached, i.e., it will not be saved to the database.

The file size limit and supported file types remain the same. The maximum file size for attachments is 4 MB. As before, the following file types can be attached:

- DOC
- DOCX
- XLS
- XLSX
- PDF
- RTF
- JPG
- JPEG
- GIF
- TIFF
- TXT
- ZIP

Citation Display

Retrieve citation information

To display survey citation information (regulation, POC, surveyor evidence) on the Survey Detail page and generate the 2567 report, the ASPEN Web: ePOC app utilizes a complex DB view. Previously, on occasion, certain facility users encountered a "stuck thread" error that prevented display of a survey's citations, which prevented viewing, submitting, updating, or printing survey Plan of Correction information. To minimize the risk of this error, ePOC will now retrieve citation data from the DB view via a different pathway.

Changes and New Features: LTCSP

Surveyor Notes

New history feature for Surveyor Notes

As you enter and edit notes in the Surveyor Notepad, the system will keep a history of the changes (notes save anytime you close notes or every two minutes once you start adding text). Access the list of surveyor notes from the Surveyor Notepad. Click the date/time of any note to view. You can copy and paste all or part of any historical note. This feature will also assist when Surveyor Notes disappear as some users have reported and will address this issue until a solution is found.

Investigations

Disappearing completion checkmarks for Investigations

Some surveyors reported that their completion checkmarks on the Investigations screen would disappear. This issue has been fixed in this release.

MDS

New MDS indicator for pressure ulcers

The two pressure ulcer MDS indicators have been updated to

- New or Worsened Pressure Ulcer; was Facility Acquired Pressure Ulcer and Worsening Pressure Ulcer
- · Presence of Stage 3 or 4 Pressure Ulcer; new

Changes and New Features: ASSURE

AO

Assign Program Type ID correctly

As a CMS super user in ASSURE, you can add and update AOs (Administrative->AO Administration->Add New AO/Update Selected AO).

Abbreviation: * Description: *			
Associated Program Types: (Hold CTRL to select multiple reasons)?	HHA HOSP HSPC OPT PSYCH PSYCH/HOSP ONLY RHC	~	

Figure 12: Add AO dialog

Abbreviation: *	AAAF	
Description: *	American Association for Accreditation of Facilities, Inc.	
Associated Program Types: (Hold CTRL to select multiple reasons)?	HOSP HOSP HSPC OFF PSYCH PSYCH/HOSP ONLY RHC	

Figure 13: Update AO dialog

Previously, if you selected just one program type with a two-digit code (code not displayed to the end user) for an AO—e.g., 12 for PSYCHHOSP ONLY—it was incorrectly treated by the system as two one-digit codes—i.e., 1 and 2 instead of 12.

Abbreviation: *	AAA	
Description: *	American Association for Accreditation	
Associated Program Types: (Hold CTRL to select multiple reasons)?	HOSP HOSP HSPC OPT PSYCHUHOSP ONLY RHC	

Figure 14: PSYCHHOSP ONLY (12) selected in Add AO

As a result, two incorrect program types (ASC and CAH) were assigned to the AO, which was apparent when you opened the Update AO dialog for the AO.

Abbreviation: *	AAA	
Description: *	American Association for Accreditation	
Associated Program Types: (Hold CTRL to select multiple reasons)?	ASC CAH HHA HOSP HSPC OPT PSYCH	

Figure 15: PSYCHHOSP ONLY (12) resolved as ASC (1) and CAH (2) in Update AO

Now, a two-digit program code is correctly treated as a single two-digit code when it is the only one assigned to the AO. The correct program type is selected in the Update AO dialog.

Update AO	
Abbreviation: * Description: *	AAA American Association for Accreditation
Associated Program Types: (Hold CTRL to select multiple reasons)?	HHA HOSP HSPC OPT PSYCH PSYCH RHC
	(Back to List) (Update)

Figure 16: PSYCHHOSP ONLY (12) correctly resolved in Update AO

If you select more than one program type in Add AO—e.g., both HOSP and PSYCHHOSP ONLY—they were and are treated correctly. Two program types are assigned, HOSP with its one-digit code and PSYCHHOSP ONLY with its two-digit code.

Update AO	
Abbreviation: * Description: * Associated Program Types: (Hold CTRL to select multiple reasons)?	AAA American Association for Accreditation HOSP HSPC OPT PSYCH PSYCH RHC
	(Back to List) (Update

Figure 17: HOSP and PSYCHHOSP ONLY correctly resolved in Update AO

ASPEN Database Additions and Modifications

State Server

Create Tables

Object Name	Description
EPOC_TMP_CTN_STG	Staging table of temporary ePOC results from State for input EventID.

Modify Tables

Object Name	Description
NGS_LOG	Size of column LVL was modified

Remove Tables

Object Name	Description
CINTAKE_BAK	Drop deprecated table.
CINTAKE_CONVERT_BKUP	Drop deprecated table.

Modify Table Content

Object Name	Description
APPLICATION	Update version within table.
ATTACHMENTS	Update table content.
TABCOLUMN	Insert records within table.
TRANSACTDICT	Insert records within table.

Sybase Server

Create Tables

Object Name	Description
NGS_DOC_HSTRY	Table to store the prior versions of CLOBs stored on other tables.

Modify Tables

Object Name	Description
NGS_RSDNT_ASMT	Column DSCHRG_SW was added to the table.
NGS_LOG	Size of column LVL was modified.
NGS_SRVY	Column MDS_PRCSG_DONE_DT was changed to be a datetime field from a date only field.