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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.
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.

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.

![Figure 2: Team member highlighted for selection](image)

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.

![Figure 3: Reports menu in ACO](image)

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 Date (L34) in certification kit](image)

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

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.

![670 Arrival date more than one year before Certification Date/Date of Survey](image)

**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.
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.

Figure 6: 116 specialty test volume for a compliance lab
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.

![1557 Specialties tab in certification kit](image)

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

- Displays the test 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.

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
Changes and New Features: CLIA

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.

**Figure 11: 116 specialty test volume for an accredited lab**
**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
**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).

![Figure 12: Add AO dialog](image)

![Figure 13: Update AO dialog](image)

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.

![Figure 14: PSYCHHOSP ONLY (12) selected in Add AO](image)
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.

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.

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.

![Figure 17: HOSP and PSYCHHOSP ONLY correctly resolved in Update AO](image-url)
## ASPEN Database Additions and Modifications

### State Server

#### Create Tables

<table>
<thead>
<tr>
<th>Object Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>EPOC_TMP_CTN_STG</td>
<td>Staging table of temporary ePOC results from State for input EventID.</td>
</tr>
</tbody>
</table>

#### Modify Tables

<table>
<thead>
<tr>
<th>Object Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>NGS_LOG</td>
<td>Size of column LVL was modified</td>
</tr>
</tbody>
</table>

#### Remove Tables

<table>
<thead>
<tr>
<th>Object Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CIINTAKE_BAK</td>
<td>Drop deprecated table.</td>
</tr>
<tr>
<td>CIINTAKE_CONVERT_BKUP</td>
<td>Drop deprecated table.</td>
</tr>
</tbody>
</table>

#### Modify Table Content

<table>
<thead>
<tr>
<th>Object Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>APPLICATION</td>
<td>Update version within table.</td>
</tr>
<tr>
<td>ATTACHMENTS</td>
<td>Update table content.</td>
</tr>
<tr>
<td>TABCOLUMN</td>
<td>Insert records within table.</td>
</tr>
<tr>
<td>TRANSACTDICT</td>
<td>Insert records within table.</td>
</tr>
</tbody>
</table>
**Sybase Server**

### Create Tables

<table>
<thead>
<tr>
<th>Object Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>NGS_DOC_HSTRY</td>
<td>Table to store the prior versions of CLOBs stored on other tables.</td>
</tr>
</tbody>
</table>

### Modify Tables

<table>
<thead>
<tr>
<th>Object Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>NGS_RSDNT_ASMT</td>
<td>Column DSCHRG_SW was added to the table.</td>
</tr>
<tr>
<td>NGS_LOG</td>
<td>Size of column LVL was modified.</td>
</tr>
<tr>
<td>NGS_SRVY</td>
<td>Column MDS_PRCSG_DONE_DT was changed to be a datetime field from a date only field.</td>
</tr>
</tbody>
</table>