



ASPEN 11.9.2

State Agency Release Notes

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ASPEN 11.9.2 Overview

ASPEN 11.9.2 is scheduled for deployment to states and CMS Regional/Central Offices the weekend of May 30, 2020. This ASPEN release includes the following additions to ACO/ARO:

- Centers for Disease Control and Prevention (CDC) Reporting Enforcement
- Expanded 1135 Waiver tracking
- Special Survey Report

These updates are described in the *Changes* section that follows.

These release notes provide a summary of new and updated features in ASPEN 11.9.2. For detailed information about ASPEN applications, please refer to the applicable procedures guides and training materials.

Changes and New Features

CDC COVID-19 Reporting Enforcement

ASPEN 11.9.2 implements a highly automated CDC Reporting Enforcement process in ARO to facilitate CMS' tracking and management of compliance with CDC's COVID-19 reporting requirements for active Nursing Homes. Beginning June 8, enforcement for non-compliance with CDC reporting requirements begins.

Nursing Homes are in compliance with CDC requirements if they submit resident and staff COVID-19 information in a timely fashion and in the correct format to CDC's National Healthcare Safety Network (NHSN) reporting system. For non-compliant facilities identified by ASPEN, a CDC enforcement case with a Per Day CMP is automatically created. A CDC COVID desk survey with tag 884 cited at scope/severity = F is also created and attached to the enforcement case. Citation text is automatically entered. CDC enforcement letters and CMS-2567 forms are automatically generated and delivered to non-compliant facilities.

SAs can access CDC reporting enforcement cases from the ACO Enforcement tree. They are distinguished by the yellow RE (Reporting Enforcement) icon.

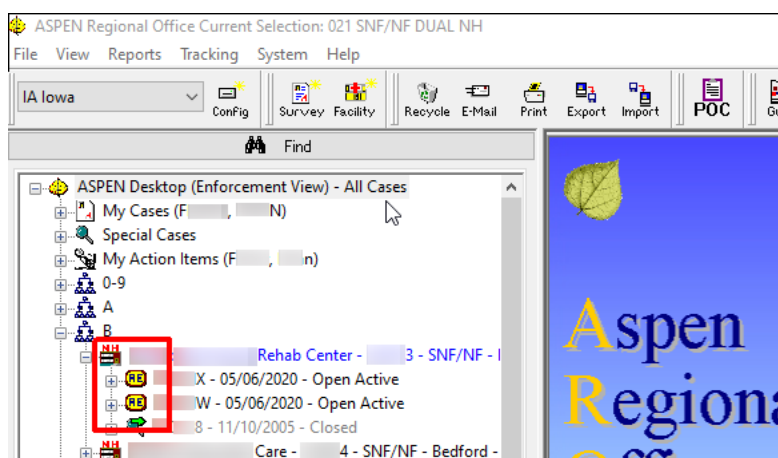


Figure 1: CDC cases in the Enforcement tree

CDC Enforcement cases are read-only in ACO unless your state has requested access and the RO has then released the requested case(s) to you on an individual basis. For CDC enforcement cases only, the new read-only Special Case Type field appears with CDC Reporting automatically entered.

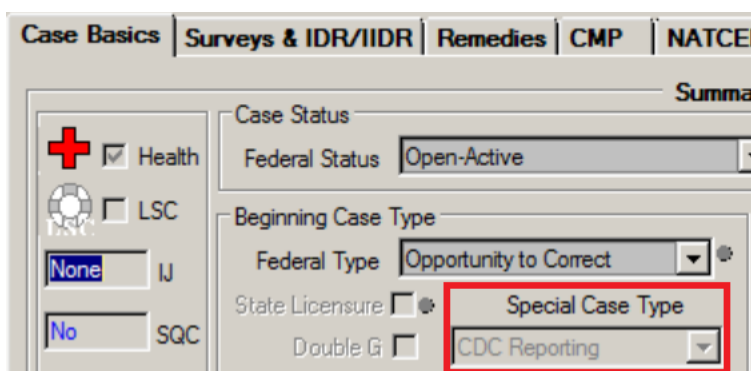


Figure 2: CDC enforcement case read-only in ACO

If the RO has released a CDC enforcement case to your state, the new Release Special Case To State checkbox on the Case Basics tab is selected and the case is read/write in ACO.

The screenshot shows the 'Case Basics' tab with the following details:

- Case Status:** Federal Status: Open-Active, Closed: / /, State Status: / /
- Beginning Case Type:** Federal Type: Opportunity to Correct, State Licensure: /, Special Case Type: CDC Reporting, Double G: /
- Key Dates:** Correction Due Date for Opportunity to Correct: / /, Substantial Compliance: 05/11/2020, Cycle Start to Compliance: 0, Initial Transfer to RO: / /
- Release Special Case To State:** ☒ (highlighted with a red box)

Figure 3: CDC enforcement case released to SA, read/write in ACO

When the RO releases a case to your state, fields are enabled in the case and related items (e.g., surveys) in ACO as appropriate. Compare the graphics below showing a portion of the CMP tab in a read-only CDC enforcement case and a read/write case released to the SA.

The screenshot shows the 'CMP' tab with the following details:

- Case CMP Detail:** Referred to DOJ: / /, DOJ Response Due: / /, DOJ Response NOT Received: / /, Financial Condition Assessment Completed and Documented: / /, First CMP Imposition Notice: 05/18/2020
- Current Total Across All CMPs:**

	Amt. Due	Pmts. Rec'd	Escrow Pmts Rec'd
Federal	1500.00	1500.00	0.00
State	0.00	0.00	0.00
- Residents:**

	Medicare (F75)	Medicaid (F76)
104	38 %	570.00
171	62 %	930.00

Figure 4: CMP tab in read-only CDC enforcement case

The screenshot shows the 'CMP' tab with the following details:

- Case CMP Detail:** Referred to DOJ: / /, DOJ Response Due: / /, DOJ Response NOT Received: / /, Financial Condition Assessment Completed and Documented: / /, First CMP Imposition Notice: 05/11/2020, Escrow Outcome Notice: / /
- Current Total Across All CMPs:**

	Amt. Due	Pmts. Rec'd	Escrow Pmts Rec'd
Federal	1000.00	1000.00	0.00
State	0.00	0.00	0.00
- Residents:**

	Medicare (F75)	Medicaid (F76)
0	0 %	1000.00
0	0 %	0.00

Figure 5: CMP tab in CDC enforcement case released to state by RO

1135 Waiver Tracking

CMS 1135 waiver tracking has been extended in the ASPEN 11.9.2 release. 1135 tracking for certifications of the SPRDF class of ESRDs was introduced in ASPEN 11.9.1. Now, certification-level tracking of 1135 waivers for Ambulatory Surgical Center (ASC) conversions to Short-term Acute Care Hospitals and Hospital swing bed expansion has been implemented for eligible Hospital subtypes.

Two new sections to support 1135 waiver tracking for Hospitals were added to the Certification & Surveys tab:

- 1135 Waiver Type(s) in the Special Fields section
- Swing Bed Waiver Period(s) in the Swing Beds subsection of the Hospital Special Fields section

The screenshot displays the 'Certification & Surveys' tab with the 'Tracking' sub-tab selected. The interface includes several sections:

- Special Fields:**
 - Control Fields:** Flag Indicator (SF08) set to '2 - Unflagged', Staff Override (SF12), Beds Override (SF11), and FOSS Survey, all with checkboxes.
 - Related Identifiers:** Prior Intermediary # (SF01) and Cross Ref Provider # (SF03) set to '7'.
 - 1135 Waiver Type(s):** A list box containing '01 ASC Conversion' and '02 Swing Bed', both checked.
 - RO/SA Message:** Fields for RO Date, RO Text, SA Date, and SA Text.
- Hospital Special Fields:**
 - Nurse - Bed Override (SF13):** A checkbox.
 - Swing Beds:**
 - Provides Swing Beds (SF44):** A dropdown menu set to 'Yes'.
 - Size Code (SF28):** A dropdown menu set to '3 100 OR MORE'.
 - Swing Bed Waiver Period(s):** A table with columns 'Activation', 'Termination', and 'Current'. It contains two rows of data: '03/01/2020' with a checked 'Current' box, and '02/28/2020' with an unchecked 'Current' box. Below the table are 'Add', 'Modify', and 'Remove' buttons.
 - Psychiatric Unit:**
 - Has a PPS Exempt Unit? (SF45):** A checkbox.
 - Effective Date (SF49):** A date field.
 - Number of Beds (SF46):** A text field.
 - Termination Code (SF51):** A dropdown menu.
 - Termination Date (SF52):** A date field.
 - Rehabilitation Unit:**
 - Has a PPS Exempt Unit? (SF47):** A checkbox.
 - Effective Date (SF50):** A date field.
 - Number of Beds (SF48):** A text field.
 - Termination Code (SF53):** A dropdown menu.
 - Termination Date (SF54):** A date field.

Figure 6: 1135 waiver tracking interface for hospitals

These sections are available when appropriate in new and existing certification kits for eligible Hospital subtypes.

A new swing bed Size Code option, 3 100 OR MORE, was also added in the Hospital Special Fields/Swing Beds section.

Swing Beds

Provides Swing Beds (SF44)

Yes

Size Code (SF28)

3 100 OR MORE

Figure 7: New swing bed size code

1135 Waiver Type(s)

The 1135 Waiver Type(s) section designates the type of waivers in effect for the hospital. The two waiver types, 01 ASC Conversion and 02 Swing Bed, are discussed in more detail later.

1135 Waiver Type(s)

☐ 01 ASC Conversion

☐ 02 Swing Bed

Figure 8: 1135 Waiver Type(s)

The 1135 Waiver Type(s) section and options are displayed for Hospital subtypes as follows:

1135 Waiver Type	Facility Types
01 ASC Conversion	011 Short Term Hospitals
02 Swing Bed	011 Short Term Hospitals
	013 Rehabilitation Hospitals
	014 Critical Access Hospitals
	01U Medicaid-only Short Term Hospitals
	01V Medicaid-only Children's Hospitals
	01Y Medicaid-only Rehabilitation Hospitals

Figure 9: Availability of 1135 Waiver Type(s) options by Hospital subtype

1135 Waiver Surveys

When an 1135 Waiver type is selected, the certification kit can be uploaded with Offsite survey(s) performed as the standard surveys for the kit. For an 1135 waiver survey, F-Offsite/Paper and W-1135 Waiver should be selected under Extent(s) in the Survey Properties window, and minimal 670 Workload hours (.25 hr. each) need to be entered for Pre-Survey Hours, Offsite, and applicable Office Hours.

Extent(s)	
<input type="checkbox"/>	E-Abbreviated Survey
<input checked="" type="checkbox"/>	F-Offsite/Paper
<input type="checkbox"/>	I-COVID19
<input type="checkbox"/>	J-Federal Jurisdictional
<input checked="" type="checkbox"/>	W-1135 Waiver

Figure 10: Extents for 1135 waiver survey

CMS 670 Workload Detail

	Staff Name/ Category Description	Pre-Survey Hours (D)	On-Site 12a- 8a (E)	On-Site 8a- 6p (F)	On-Site 6p-12a (G)	Travel (H)	Off Site (I)
1	AAA TEST (28994)	0.25	0.00	0.00	0.00	0.00	0.25
2	Other (COVID)	0.25	0.00	0.00	0.00	0.00	0.25
3	Subtotal	0.25	0.00	0.00	0.00	0.00	0.25
4	TOTAL	Total RO Supervisory/ Review Hours		Total RO Clerical/ Data Entry Hours			
		0.25		0.25			

Figure 11: 670 Workload hours for 1135 waiver survey

01 ASC Conversion

For ASC conversions, a new Hospital initial certification kit is created of type 011 Acute Care (ACU)/Short Term Hospital. The 01 ASC Conversion option is the only waiver type available for ASCs newly converted to the 011 ACU Hospital type.

The conversions do not involve change of status. The ASC provider number is entered as Cross Ref Provider # (SF03) in Special Fields/Related Identifiers. 01 ASC Conversion is not available as a waiver type for Hospital subtypes other than 011.

When a new Hospital initial certification is created for an ASC conversion, a survey record should also be created with F-Offsite/Paper and W-1135 Waiver assigned as extents in Survey Properties.

Type of Survey	Extent(s)
<input checked="" type="checkbox"/> E-Initial Certification	<input type="checkbox"/> E-Abbreviated Survey
<input type="checkbox"/> A-Complaint Investig.	<input checked="" type="checkbox"/> F-Offsite/Paper
<input type="checkbox"/> K-State Licensure	<input type="checkbox"/> I-COVID19
<input type="checkbox"/> 1-Initial Licensure	<input type="checkbox"/> J-Federal Jurisdictional
<input type="checkbox"/> 2-Re-Licensure	<input checked="" type="checkbox"/> W-1135 Waiver
<input type="checkbox"/> 3-Licensure Complaint	

Figure 12: Survey type and extents for ASC conversion

Note: It is possible that a Hospital created as an ASC Conversion may at some point add swing bed capacities under the Swing Bed 1135 waiver. In that case, both waiver types 01 and 02 can be selected for the same hospital as in Figure 6.

02 Swing Bed

To support hospital swing bed expansion, the 02 Swing Bed 1135 waiver type can be applied to existing initial certification, recertification, or validation kits for the following Hospital subtypes:

- 011 - SHORT TERM
- 013 - REHABILITATION
- 014 - CRITICAL ACCESS HOSPITALS
- 01U - MEDICAID-ONLY SHORT TERM HOSPITALS
- 01V - MEDICAID-ONLY CHILDREN'S HOSPITALS
- 01Y - MEDICAID-ONLY REHABILITATION HOSPITALS

Note: It is possible that a Hospital created as an ASC Conversion may at some point add swing bed capacities under the Swing Bed 1135 waiver. In that case, both waiver types 01 and 02 can be selected for the same Hospital as in Figure 6.

Swing Bed Waiver Period(s)

The Swing Bed Waiver Period(s) section is available in the Swing Beds section in Hospital Special Fields when 02 Swing Bed is a waiver type option.

Hospital Special Fields

Nurse - Bed Override (SF13) ☐

Swing Beds

Provides Swing Beds (SF44) Yes

Size Code (SF28) 3 100 OR MORE

Swing Bed Waiver Period(s)

Activation	Termination	Current
03/01/2020		<input checked="" type="checkbox"/>
02/28/2020	03/01/2020	<input type="checkbox"/>

Add Modify Remove

Psychiatric Unit

Figure 13: Swing Bed Waiver Period(s) section

Swing bed 1135 waiver periods are stored at the facility level. The Swing Bed Waiver Period(s) section lists all swing bed 1135 waiver periods for the facility with the most recent period listed first. Use the buttons below the grid to add, modify, and remove swing bed waiver periods.

The following rules apply to swing bed waiver periods:

1. The Activation date cannot be blank and must be on or after March 1, 2020.
2. The Termination date must be after the Activation date.
3. Only one swing bed waiver period can be Current, with no Termination date.
Current is automatically selected when there is no Termination date.

4. A new swing bed waiver period cannot be added when another period is active (marked as Current) with no Termination date, and it must be after the latest swing bed waiver period.
5. Swing bed waiver periods cannot overlap with the exception of the Termination date of one period overlapping the Activation date of another.

Special Survey Report

The new Special Survey Report was added to the Reports menu in ACO/ARO. It provides details such as facility CCN and name; survey event ID, type, extent, and team composition.

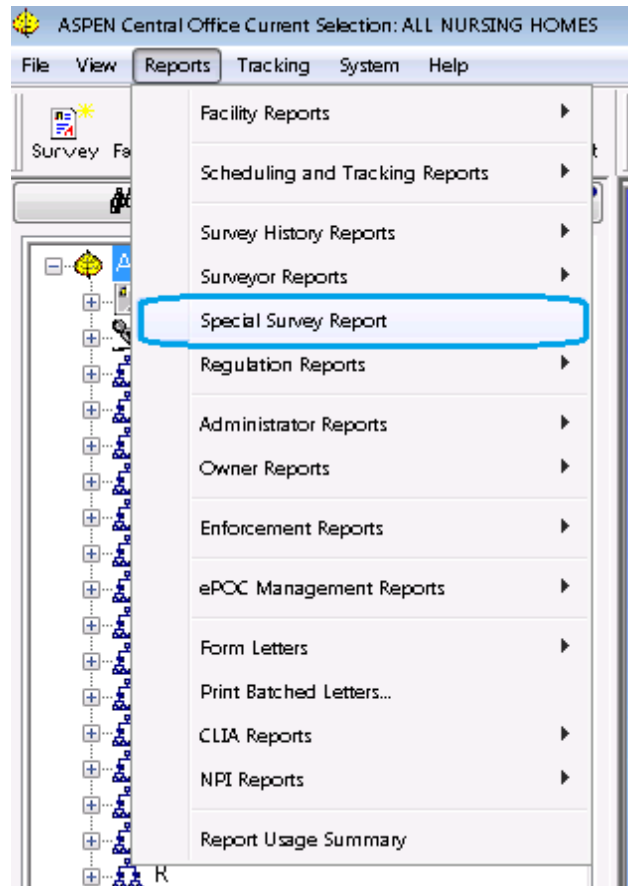


Figure 14: Special Survey Report available from Reports menu

You can specify report filtering criteria in the Choose Report Options window. Report criteria include date range, special survey type(s), and facility type(s).

Note: CDC reporting enforcement surveys will *not* be included in this report.

The 'Choose Report Options' dialog box contains the following settings:

- Report Dates:** Start Date: 04/01/2020, End Date: 05/22/2020.
- Special Survey Type:**
 - ☐ R-Discharge Planning
 - ☐ T-Infection Control
 - ☒ U-COVID19
 - ☐ V-PT Desk Review
 - ☐ X-Cytology
 - ☐ Y-Certificate of Waiver
- Facilities:**
 - ☒ Generate by Facility Type
 - ☐ 01Y - HOSPITAL (MEDICAID-ONLY REHABILITATION HOSPITAL)
 - ☐ 01Z - HOSPITAL (MEDICAID-ONLY LONG-TERM HOSPITALS)
 - ☒ 021 - NURSING HOME (NH) (SNF/NF DUAL CERT)
 - ☒ 022 - NURSING HOME (NH) (SNF/NF DISTINCT PART)
 - ☒ 023 - NURSING HOME (NH) (SNF ONLY)
 - ☒ 024 - NURSING HOME (NH) (NF ONLY)
 - ☐ 02S - NURSING HOME (NH) (STATE NH)
 - ☐ 051 - HOME HEALTH AGENCY (HHA) (MEDICARE)
 - ☐ 052 - HOME HEALTH AGENCY (HHA) (MEDICAID ONLY)
 - ☐ 053 - HOME HEALTH AGENCY (HHA) (FGJFHJHHGJ)
 - ☐ 061 - PSYCHIATRIC RESIDENTIAL TREATMENT FACILITIES (MI)

Buttons at the bottom: Select All, OK, Cancel.

Figure 15: Filters for Special Survey Report



The criteria set in the example above will generate a Special Survey Report listing COVID-19 special surveys for Nursing Homes in your state in the given time period.

Special Survey Report
From 04/01/2020 To 05/22/2020
Printed 05/22/2020

CCN	Facility Name	Event ID	Survey Date	Exit Date	Survey Type	Type Extent	Uploaded to National	Survey Status	Team Composition
021 - SNF/NF DUAL CERT (SNF/NF DUAL CERT)									
3	FACILITY	EXTENDED CARE	1	04/15/2020	04/15/2020	OTHER,COVID	OFF	No	Open SA
1	CENTER	HEALTH CARE	1	05/12/2020	05/12/2020	CMPIVT,OTHER,COVID	STD SUR	No	Open SA
3	FACILITY	EXTENDED CARE	1	05/11/2020	05/11/2020	OTHER,MDS,COVID	STD SUR,COVID	No	Open SA
9	FACILITY	EXT CARE	1	05/21/2020	05/21/2020	OTHER,COVID	STD SUR,OFF	No	Open SA
		NURSING AND REHAB	1	05/07/2020	05/07/2020	OTHER,COVID	STD SUR	No	Open SA

Figure 16: Special Survey Report

Note: If you select a special survey type that doesn't apply to the selected facility type(s), e.g., T-Infection Control (Hospital special survey type) and Nursing Home facility type(s), the report will be blank.

- To export or print the report, click Export  or Print  in the toolbar. Provide requested information, then click OK.

