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ASPEN 11.9.3 Overview

ASPEN 11.9.3 is scheduled for release to production on the weekend of July 11, 2020. State and CMS staff can begin using ASPEN 11.9.3 on Monday, July 13. This release updates ACO/ARO, including AEM, and ACTS with the following new and enhanced features:

- User authentication in ACO/ARO and ACTS
- 1135 waiver tracking in ACO/ARO for Freestanding Emergency Department (FSED) conversions to Acute Care Hospital
- Closed facilities displayed in italics in the CDC Dashboard and the CDC Dashboard report in AEM RO; filter option to exclude them
- Count totals in the CDC Dashboard report in AEM RO
- Filter in AEM Enforcement Case Log and AEM Case Counts Report to include or exclude CDC enforcement cases
- Filter in IDR/IIDR report to include or exclude CDC enforcement surveys
- Infection control (IC) indicator added in AEM
- Button in AEM displays history of F880 cites
- Per Instance CMP minimum in AEM changed to $5000 for tag F880
- Received From MAC checkbox in CMPTS Installment dialog in AEM RO
- Special Survey Report

These updates are described in the Changes section that follows. Requirements marked as ACO, AEM, and ACTS affect ACO/ARO, AEM/AEM RO, and ACTS/ACTS RO

These release notes provide a summary of new and updated features in ASPEN 11.9.3. For detailed information about ASPEN applications, please refer to the applicable procedures guides and training materials.
**User authentication: ACO, ACTS**

The approach to user authentication has been simplified so that domain validation will not be required. The domain definition and assignment features will be removed in 11.9.3.

Similar to ASE-Q, ACO and ACTS and their CMS RO versions now require users to manually log in using their Windows login and password credentials.

When starting ACO/ACTS, a login dialog will appear and users will be required to enter their Windows User Name and Password. The Windows user name will be provided by ASPEN and read-only.

*Figure 1: Login dialog—ACO, ACTS*
CMS Regional and Central Office users can optionally authenticate to ASPEN using their CMS-issued PIV cards and entering a PIN rather than a password.

![Login dialog for users authenticating with PIV cards—ARO, ACTS RO](image)

**Figure 2: Login dialog for users authenticating with PIV cards—ARO, ACTS RO**

### 1135 waiver tracking for FSED to ACU conversion: ACO

CMS 1135 waiver tracking has been extended in the ASPEN 11.9.3 release to support certification-level tracking of 1135 waivers for Freestanding Emergency Department (FSED) conversions to 011 Acute Care Hospital.

**FSED conversions**

For FSED conversions, a new facility of type 011 Acute Care (ACU)/Short Term Hospital and an initial certification kit are created. The new waiver type 03 FSED (Emergency Dept) is available as an 1135 Waiver Type(s) option in the Special Fields section on the Certification & Surveys tab of the certification kit for FSEDs newly converted to the 011 ACU Hospital type.

![Special Fields for certification kit](image)

**Figure 3: 03 FSED (Emergency Dept) waiver type option**

**Note:** 03 FSED (Emergency Dept) is not available as an 1135 waiver type for Hospital subtypes other than 011.
1135 waiver surveys

When a new 011 ACU Hospital initial certification is created for an FSED conversion, the certification kit can be uploaded with Offsite survey(s) performed as the standard surveys for the kit. A survey record should be created with F-Offsite/Paper and W-1135 Waiver assigned as extents in Survey Properties to represent the Attestation process.

![Survey type and extents for FSED conversion](image)

Minimal 670 Workload hours (.25 hr. each) need to be entered for Pre-Survey Hours, Offsite, and applicable Office Hours.

![670 Workload hours for 1135 waiver survey](image)

**M41 not required**

On the Application Worksheet in the certification kit, Services Provided by the Facility (M41) is not required for FSED conversions to 011 ACU.

![M41 not required](image)
LSC surveys not required
Life Safety Code (LSC) surveys are not required for FSED conversions.

Closed/terminated facilities in CDC Dashboard and Report: AEM RO

CDC Dashboard
Closed/terminated facilities are now displayed in italics in the CDC Reporting Enforcement Manager aka the Dashboard. A key in the header indicates this convention.

![Dashboard figure](image)

*Figure 7: Dashboard—Italics = Closed Facility key, closed/terminated facilities italicized*

To remove closed facilities from the display, the new Exclude Closed Facilities filter option is available.

![Dashboard figure](image)

*Figure 8: Dashboard—Exclude Closed Facilities filter active, closed facilities not listed*

**Note:** Remember that to apply filter(s) after making your selections, you must click the Apply Filter button, which will have a red exclamation point. It will change to a green checkmark to indicate the filter(s) have been set.

CDC Dashboard Report
The CDC Nursing Home Reporting Monitoring Report, which formats the information displayed in the Dashboard as a report, reflects the conventions for closed facilities implemented in the Dashboard.
If closed/terminated facilities are displayed in the Dashboard, they are included in the report and italicized as indicated by a key in the header.

![Dashboard Report Example](image)

**Figure 9:** Report—Italics = Terminated Provider key, closed/terminated facilities italicized

If the Exclude Closed Facilities filter is active in the Dashboard, the report will indicate it; closed facilities will not be included in the report; the “Italics” key will still be displayed.

![Dashboard Report Example](image)

**Figure 10:** Report—Exclude Closed Facs filter active, closed facs not listed, It. key present

**CDC Dashboard Report count totals: AEM RO**

A summary at the end of the Dashboard Report lists the following totals:

- Total number of facilities listed: total number of facilities included in the report
- Total number of facilities that have never reported: number of listed facilities with no Last Report Compliance date
- Total Number currently compliant: number of listed facilities that have Compliant With CDC marked with an X
- Total Number currently non-compliant: number of listed facilities that do not have Compliant With CDC marked with an X
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Figure 11: CDC Enforcement Report Summary with totals

**CDC Cases report filter: ACO/AEM**

A filter was added to the AEM Enforcement Case Log and AEM Case Counts Report in both ACO/AEM and RO Regional Reports to include, exclude, or include only CDC enforcement cases.

[Figure 12: CDC Cases filter for AEM Enforcement Case Log]

[Figure 13: CDC Cases filter for AEM Case Counts Report]

If you select:

- Include CDC Cases - all enforcement cases (standard and CDC) that meet the other filter criteria will be included in the report.
- Exclude CDC Cases - only standard cases that meet the other filter criteria will be included.
- Show CDC Cases Only - only CDC cases that meet the other filter criteria will be included in the report.
**CDC Surveys report filter: ACO/AEM**

A filter was added to the IDR/IIDR Report in both ACO/AEM and RO Regional Reports to include, exclude, or include only CDC surveys.

If you select:

- Include CDC Surveys - all surveys (standard and CDC) that meet the other filter criteria will be included in the report.
- Exclude CDC Surveys - only standard surveys that meet the other filter criteria will be included.
- Show CDC Surveys Only - only CDC surveys that meet the other filter criteria will be included in the report.

**Infection Control indicator: AEM**

A checkbox to indicate the need for enhanced enforcement of infection control was added on two tabs. On the Case Basics tab it’s called Infection Control (IC); on the Remedies tab it’s called IC Enhance Enforcement.
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Figure 16: IC Enhance Enforcement indicator on Remedies tab

The field is always read-only. If tag F880 (Infection Prevention & Control) is cited at a Scope/Severity level of D or higher on any survey on the case, the checkbox is automatically selected on both tabs and indicates the need for immediate imposition of remedies and transfer of the case to CMS.

**F880 citation history: AEM**

The IC Enforcement History button was added to the Remedies tab to display a history of tag F880 cites for the facility. The button is enabled only if tag F880 is cited on any survey on the case.

Figure 17: IC Enforcement History button on Remedies tab
When selected, the IC Enforcement History screen opens and displays the tag F880 cites for the facility within two years or on the two most recent certification kits, whichever is sooner.

![IC Enforcement History](image)

*Figure 18: IC Enforcement History list of F880 cites*

**CMP minimum for F880: AEM**

For tag F880 only, the minimum Per Instance CMP amount has been adjusted to $5000.
**Received from MAC checkbox: AEM RO**

The new Received from MAC (Medicare Administrative Contractor) checkbox was added to the CMPTS Installment Detail dialog.

![Figure 19: Received from MAC checkbox in Installment Detail dialog](image)

The OFM will select the checkbox when a CMP installment payment has been sent by MAC. The field is read-only for ROs; all Installment Detail fields are read-only for SAs.
Special Survey Report: ACO

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 20: 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.

![Filters for Special Survey Report](image1)

*Figure 21: 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](image2)

*Figure 22: 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.