



ASPEN 11.9.3

Release Notes

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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.

Changes and New Features

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.

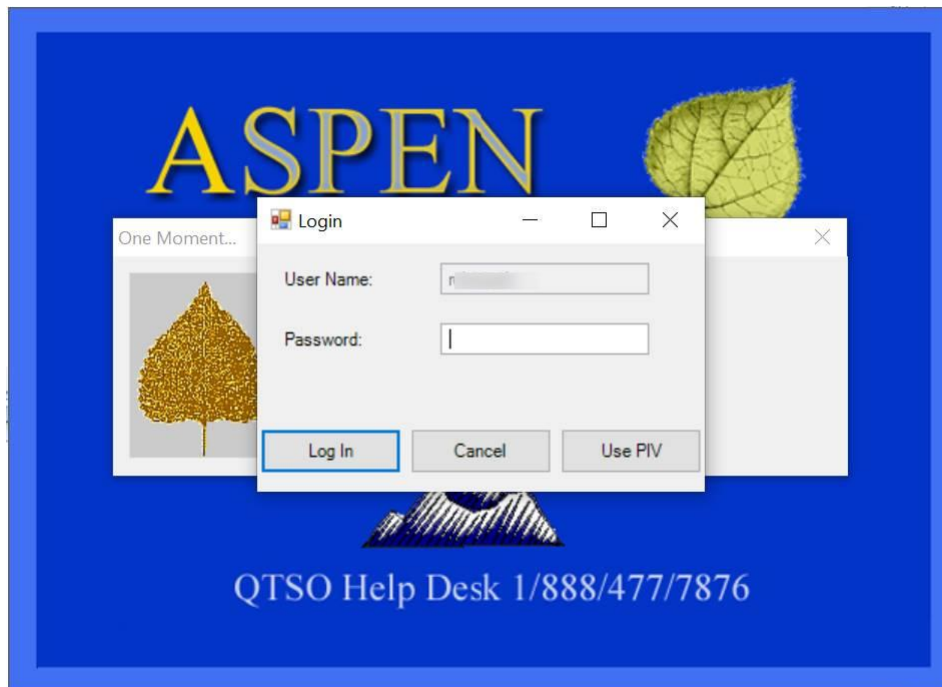


Figure 1: Login dialog—ACO, ACTS

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.



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	Control Fields	Related Identifiers	1135 Waiver Type(s)
Flag Indicator (SF08)	<input type="text"/>	Prior Intermediary # (SF01)	<input type="text"/>
Staff Override (SF12)	<input type="checkbox"/>	Cross Ref Provider # (SF03)	<input type="text"/>
Beds Override (SF11)	<input type="checkbox"/>		
FOSS Survey	<input type="checkbox"/>		
			<input type="checkbox"/> 01 ASC Conversion <input type="checkbox"/> 02 Swing Bed <input checked="" type="checkbox"/> 03 FSED (Emergency Dept)

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.

The screenshot shows the 'Survey Properties' dialog box. On the left, under 'Type of Survey', several options are listed with checkboxes: 'E-Initial Certification' (checked), 'A-Complaint Investig.' (unchecked), 'K-State Licensure' (unchecked), '1-Initial Licensure' (unchecked), '2-Re-Licensure' (unchecked), and '2-Licensure Complaint' (unchecked). On the right, under 'Extent(s)', several options are listed with checkboxes: 'E-Abbreviated Survey' (unchecked), 'F-Offsite/Paper' (checked), 'I-COVID19' (unchecked), 'J-Federal Jurisdictional' (unchecked), and 'W-1135 Waiver' (checked).

Figure 4: Survey type and extents for FSED conversion

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

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 5: 670 Workload hours for 1135 waiver survey

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.

Services Provided by the Facility (M41)

Service	Services Provided	Service	Services Provided
02 Alcohol and/or Drug Services		36 Optometric Services	
03 Anesthesia		38 Organ Transplant Services	
04 Audiology		39 Orthopedic Surgery	
06 Burn Care Unit		40 Outpatient Services	
07 Cardiac Catheterization Labo		41 Pediatric Services	
08 Cardiac-Thoracic Surgery		42 Pharmacy	
09 Chemotherapy Service		43 Physical Therapy Services	
10 Chiropractic Service		44 Positron Emission Tomograph	
11 CT Scanner		45 Post-Operative Recovery Ro	
12 Dental Service		46 Psychiatric Services - Emerg	
13 Dietetic Service		47 Psychiatric - Child/Adolescen	

Figure 6: M41 not required

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.

CDC Reporting Enforcement Manager: For CDC File Cycle 05/18/2020 (Covering Reporting Period From 05/11/2020 to 05/17/2020)

Filter

Show Records for

☒ All

☐ Non-Compliance Only

☐ Compliant Only

Region

☐ Region 1 ☒ Region 2 ☐ Region 3 ☐ Region 4 ☐ Region 5

☐ Region 6 ☐ Region 7 ☐ Region 8 ☐ Region 9 ☐ Region 10

Select Specific State(s): Inactive

☒ Apply Filter

☐ Exclude Closed Facilities

Clear All Filters

Search CCN and Name for

Search

■ = Not Compliant i Italics = Closed Facility

Compliant With CDC	Current CCN	Facility Name	City	State	CMS Region	Last Report Compliance	Total CMPs Imposed/Paid/Balance	Days Since Last Report	Enforcement Cases (Click Button to View)	Last Compliance Date Res.
<input type="checkbox"/>	1	REHABILITATION	IO		02		\$0.00 / \$0.00 / \$0.00		View Cases (0)	
<input checked="" type="checkbox"/>	2	CARE	K		02	05/18/2020	\$0.00 / \$0.00 / \$0.00	45	View Cases (0)	05/16/2020 - i
<input checked="" type="checkbox"/>	5	REHABILITATION AND N			02	05/18/2020	\$0.00 / \$0.00 / \$0.00	45	View Cases (0)	05/13/2020 - i
<input checked="" type="checkbox"/>	8	HEALTHCARE AND RE S			02	05/18/2020	\$0.00 / \$0.00 / \$0.00	45	View Cases (0)	05/13/2020 - i
<input type="checkbox"/>	9	REHABILITATION B			02		\$0.00 / \$0.00 / \$0.00		View Cases (0)	-

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.

CDC Reporting Enforcement Manager: For CDC File Cycle 05/18/2020 (Covering Reporting Period From 05/11/2020 to 05/17/2020)

Filter

Show Records for

☒ All

☐ Non-Compliance Only

☐ Compliant Only

Region

☐ Region 1 ☒ Region 2 ☐ Region 3 ☐ Region 4 ☐ Region 5

☐ Region 6 ☐ Region 7 ☐ Region 8 ☐ Region 9 ☐ Region 10

Select Specific State(s): Inactive

☒ Apply Filter

☒ Exclude Closed Facilities

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Compliant With CDC	Current CCN	Facility Name	City	State	CMS Region	Last Report Compliance	Total CMPs Imposed/Paid/Balance	Days Since Last Report	Enforcement Cases (Click Button to View)	Last Compliance Date Res.
<input checked="" type="checkbox"/>	8	HEALTHCARE AND RE S			02	05/18/2020	\$0.00 / \$0.00 / \$0.00	45	View Cases (0)	05/13/2020 - i
<input type="checkbox"/>	9	REHABILITATION B			02		\$0.00 / \$0.00 / \$0.00		View Cases (0)	-

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.

Compliant Current With CDC CCN	Facility Name	City	CMS ST Region	Last Report Compliance	Total CMPs Imposed/Paid/Balance	Days since Last Report	Entry Cases Collection Date	Last Complaint Date	Active Status
<input type="checkbox"/>	1 CENTER REHABILITATION	O	02		\$0.00/\$0.00/\$0.00	0			Closed
<input checked="" type="checkbox"/>	2 CARE CENTER	K	02	05/18/2020	\$0.00/\$0.00/\$0.00	45	0	5/16/20-5/16/20	Closed
<input checked="" type="checkbox"/>	5 AND HEALTHCARE CENTER	E	02	05/18/2020	\$0.00/\$0.00/\$0.00	45	0	5/13/20-5/13/20	Closed
<input checked="" type="checkbox"/>	8 REHABILITATION CENTER	O	02	05/18/2020	\$0.00/\$0.00/\$0.00	45	0	5/13/20-5/13/20	Open
<input type="checkbox"/>	19 REHABILITATION & HEALTHCARE	B	NJ 02		\$0.00/\$0.00/\$0.00	0			Open

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.

Compliant Current With CDC CCN	Facility Name	City	CMS ST Region	Last Report Compliance	Total CMPs Imposed/Paid/Balance	Days since Last Report	Entry Cases Collection Date	Last Complaint Date	Active Status
<input checked="" type="checkbox"/>	8 REHABILITATION CENTER	O	02	05/18/2020	\$0.00/\$0.00/\$0.00	45	0	5/13/20-5/13/20	Open
<input checked="" type="checkbox"/>	19 REHABILITATION & HEALTHCARE	B	02		\$0.00/\$0.00/\$0.00	0			Open

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

Compliant Current With CDC CCN	Facility Name	City	CMS ST	Last Report Region Compliance	Total CMPs Imposed/Paid/Balance	Days since Last Report	Enfr Cases	Last Compliant Collection Date	Active Res-Staff Status
<input type="checkbox"/>	1	T C U	O	02	\$2,500.00/\$0.00/\$2,500.00	2	-	-	Open
<input type="checkbox"/>	3	HOSPITAL T C U	W	02	\$0.00/\$0.00/\$0.00	0	-	-	Open
<input checked="" type="checkbox"/>	4	L T C	V	02	\$0.00/\$0.00/\$0.00	45	0	5/15/20-5/15/20	Open
<input type="checkbox"/>	6	REHABILITATION AND	D	02	\$0.00/\$0.00/\$0.00	0	-	-	Open

CDC ENFORCEMENT REPORT SUMMARY

Total Number of Facilities Listed:	985
Total Number of Facilities That Have Never Reported:	436
Total Number Currently Compliant :	544
Total Number Currently non-Compliant:	441

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.

AEM Enforcement Case Log

Report Time Period: First Date: 06/01/2020, Last Date: 07/01/2020, Based On: Enf Date

Report Order: Provider Number, Fed Case Status: All, State Region: All

CDC Cases: Include CDC Cases (selected), Exclude CDC Cases, Show CDC Cases Only

Figure 12: CDC Cases filter for AEM Enforcement Case Log

AEM Case Counts Report

Report Time Period: Date Range: 01/03/2020 to 07/01/2020, Year: , Based On: Enf Date

Report Order: Provider Number, Fed Case Status: All, State Region: All

CDC Cases: Include CDC Cases (selected), Exclude CDC Cases, Show CDC Cases Only

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.

The screenshot shows the 'IDR/IIDR Report' window. On the left, there are fields for 'Report Time Period' (Date Range, First Date: 01/08/2020, Last Date: 07/06/2020, Year, Based On: Survey Date) and 'Facility Type'. In the center, 'Report Order' is set to 'Facility Name' and 'State Region' is 'All'. A red box highlights the 'CDC Surveys' dropdown menu, which is open and shows three options: 'Include CDC Surveys' (selected), 'Exclude CDC Surveys', and 'Show CDC Surveys Only'. On the right, there are fields for 'Show Tags', 'IDR Type', 'IDR Status', 'IIDR Type', 'IIDR Status', 'Visit Type' (set to 'Fed Health+LSC'), 'S/S Level', and 'Show IIDR/IDR' (set to 'IDR and IIDR').

Figure 14: CDC Surveys filter for IDR/IIDR Report

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.

The screenshot shows the 'Case Basics' tab of the AEM system. On the left, there are checkboxes for 'Health' (checked), 'LSC', 'IJ' (None), and 'SQC' (No). Below these is a checkbox for 'Sent To HIPDB'. On the right, there are fields for 'Case Status' (Open-Active), 'Beginning Case Type' (Opportunity to Correct), 'Federal Type' (Opportunity to Correct), 'State Licensure', and 'Double G'. A red box highlights the 'Infection Control (IC)' checkbox at the bottom right, which is currently unchecked.

Figure 15: Infection Control (IC) indicator on Case Basics tab

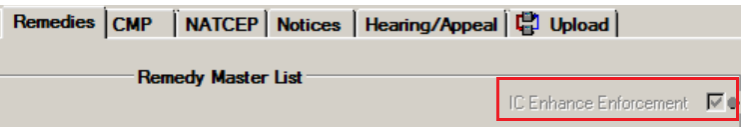


Figure 16: IC Enhance Enforcement indicator on Remedies tab

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.

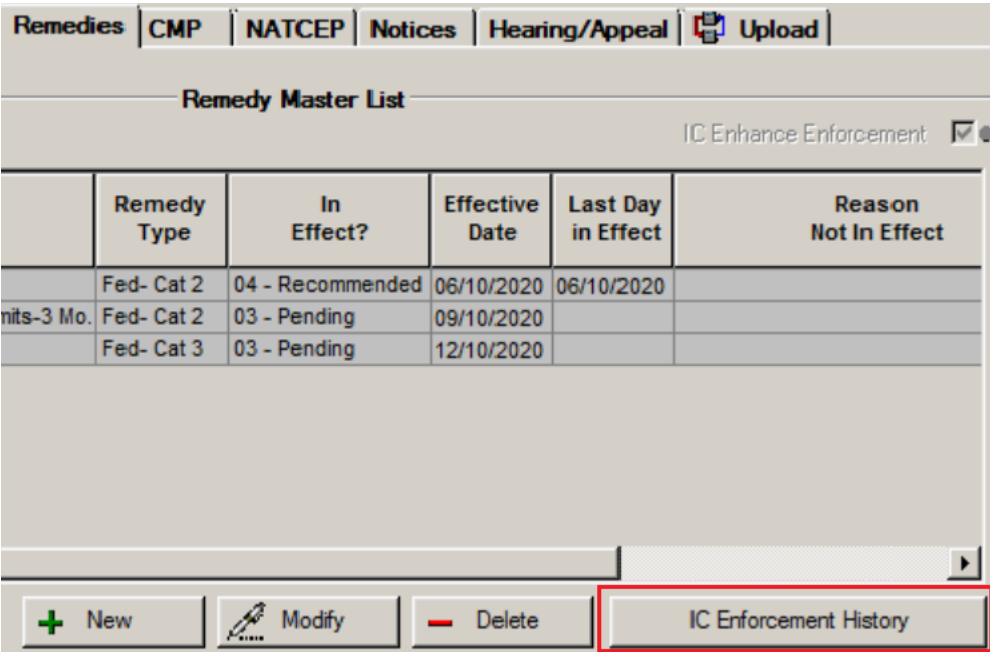


Figure 17: IC Enforcement History button on Remedies tab

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.

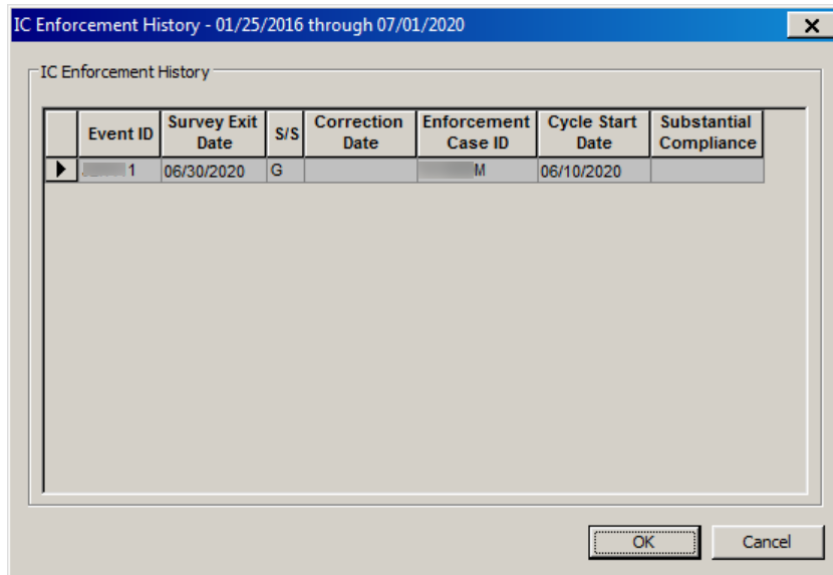


Figure 18: IC Enforcement History list of F880 cites

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.

The screenshot shows a dialog box titled "Installment Detail (OFM Mode) - OR5NTV". It contains several input fields and checkboxes. The "Received from MAC" checkbox is checked and highlighted with a red rectangle. The fields include:

- Payment Due Date: 01/14/2019
- Check #: 1
- Deposit Ticket #: 2
- Interest Amount: 0.00
- Medicaid Amount: 100.00
- Total Medicare Amount Retained: 200.00
- Escrow Amount Collected: 0.00
- Collection Status: Retained
- Payment Collection Date: 03/24/2020
- Report Receipt #: 3
- Total CMP Amount: 300.00
- Program Use Retained: 180.00
- Trust Fund Retained: 20.00

Figure 19: Received from MAC checkbox in Installment Detail dialog

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.

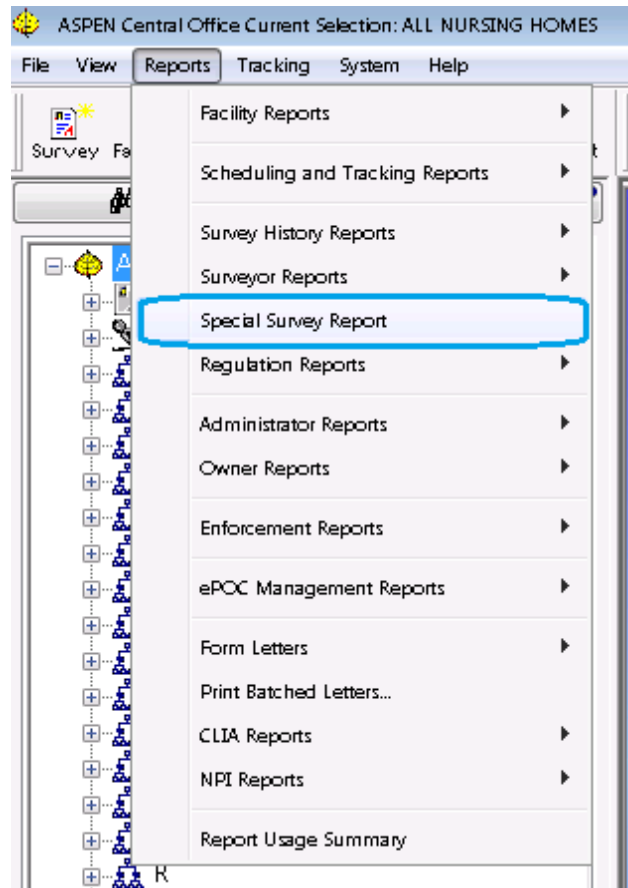


Figure 20: Special Survey Report available from Reports menu

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.



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.

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 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.

