ASPEN
SCHEDULING and TRACKING SYSTEM

AST
10.7
Procedures Guide
Information in this procedures guide is subject to change without notice.
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**Systems Environment**
Application Development: Microsoft Visual C++ and C# 2008 (9.0), .NET 3.51 SP1
Desktop Database (ASE-Q only): SQL Anywhere 11
CMS-supported operating systems and MS Internet Explorer versions are posted on the QTSO Website [https://www.qtso.com](https://www.qtso.com) under the Minimum System Requirements section
Oracle Database 12c
Enterprise Edition Release 11.2.0.3.0

**Optional System Environments**
MAPI Compliant E-mail client to support e-mail transfer of survey information

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**Note:** This document can be viewed online or printed in a duplex (two-sided) format. Blank pages have been automatically inserted as needed for correct pagination in the printed copy.
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Introduction

ASPEN Scheduling and Tracking System (AST) is an add-in to ASPEN Central/Regional Office (ACO/ARO). AST enables states to use existing data in the ASPEN system to facilitate scheduling and monitoring of the survey process for certifications, complaint investigations, enforcement cases, and state licensed-only facilities.

About this Procedures Guide

The AST Procedures Guide gives you the information you need to:

- Configure My Settings in AST
- Add, modify, and delete staff member activities
- Schedule certifications, license visits, and revisits
- Begin an initial certification process
- Add a CHOW event to an existing certification
- Use Preschedule to automatically select and provide target dates for a specified percentage of a single provider type

**Note:** This guide assumes that you are familiar with basic Windows operations and that you have attended AST training offered by your agency.

This guide consists of this introduction and the following four chapters:

- AST Procedures
  Provides task-based procedures for using the AST application.
- AST Screens
  Contains pictures and brief descriptions of AST screens and windows.
- AST Fields and Buttons
  Presents descriptions of the fields and buttons in AST screens and windows.
- Supporting Materials
  Contains supplemental information and reference items.
View this Document Online

You must have Adobe Reader installed to view this document online. You can download the latest version from https://get.adobe.com/reader/.

On any page, you can click the Increase (+) or Decrease (-) button in the toolbar to adjust the page magnification to your comfort level. Use the bookmarks in the left pane of Adobe Reader to locate and go (click the bookmark) to relevant information in this procedures guide.

![Figure 1: Bookmarks](image)

You can also click the Contents bookmark and then click links in the table of contents to go to relevant topics.

**Tip:** For best viewing quality in Adobe Reader, go to Edit | Preferences | Page Display (path may vary somewhat depending on version). Select the applicable Smooth Text option.

If you need more information, links to relevant additional material are included. Click a link to directly access the related information.

In the Procedures chapter, there are three types of links (cross-references) to additional material. They are grouped at the end of a procedure or descriptive section.

**More ...**

- Procedure: “Processing Steps” on page 60
- Screen: “Processing Steps tab” on page 113
- "Processing Step Definitions" on page 155

- Click the first link to go to the indicated procedure.
- Click the second link to go to a graphic and description of the indicated screen or section of screen.
- Click the third link to go to descriptive information about the indicated topic.
In the Screens chapter (usually), there is another type of link (cross-reference) to additional material:

Fields: "All Certifications node", on page 132

Click the link to go to the field/column descriptions for the indicated screen or section of screen.

There may also be cross-references in the Fields and Supporting Materials chapters.

View a Printed Copy of this Document

While it is designed to be used easily online, you can print this document if you prefer. If you print this document, use the Table of Contents to locate the information you need. Links (cross-references) to additional material in this document include page numbers; simply go to the indicated page.

Conventions

This guide uses the following conventions:

**Bold**  In procedures: names of screens, screen sections, windows you open; and buttons, menu options, keys you press.

**web**  Generic reference to the World Wide Web.

**ACO**  Generic reference to ASPEN Central Office (ACO) and ASPEN Regional Office (ARO). When necessary, ARO is explicitly identified.

**Facility Properties**  Generic reference to the <FacName> Definition window/screen.

**More ...**  Introduces a list of “see also” cross-references.

**Note:** Notes give you important information that may affect how you use a function.

**TIP:** Tips give you useful hints, suggestions, or alternative approaches.

**WARNING!** Warnings tell you actions to avoid that may cause harm, or precautions you should take to avoid causing harm.
Accessibility Features

This AST Procedures Guide and the AST user interface include a number of 508-compliant accessibility features, which are detailed below.

In this Guide

This procedures guide incorporates the following 508-compliant accessibility features:

- Alternate text (alt text), which screen readers can read, is defined for all graphics. In the Screens chapter, there are links (cross-references) to the field/column descriptions for the indicated screen or section of screen.
- All graphics have captions.
- Information is not conveyed by means of color alone.
- Tables are not used for formatting, so all text is accessible to screen readers.
- Windows keyboard shortcuts are included in the Supporting Materials chapter for easy reference.
- Reading order is optimized, so content is read correctly by screen readers.

In AST

AST includes the following 508-compliant accessibility features:

- The Accessibility menu option on the System menu lets you specify field color preferences and enable/disable save point notification, i.e., audible confirmation upon saving.

Figure 2: Accessibility option and Accessibility Configuration window
• The main AST menu includes options corresponding to all toolbar buttons. The menu command IDs are exactly the same as the toolbar command IDs.

• In Tree, List, and Detail views, you can press Tab to move forward through elements, Shift+Tab to move backward. To move from one view to another, press Ctrl+Tab or Ctrl+Shift+Tab.

• All fields on AST screens are included in a tabbing sequence, making them keyboard-accessible.

• Keyboard shortcuts exist for all options, making AST completely keyboard-accessible.

• All error messages are accessible to screen readers.

Acceptable Date Range in ASPEN

ASPEN does not allow dates outside of the range January 1, 1890 to December 31, 2050. You will be notified of an invalid date that is outside this range when it is entered in a field or grid, or on upload to national. A message will indicate the acceptable date range and you cannot save or upload until a valid date is entered.
AST Procedures

Although AST is located in ACO/ARO, it shares data with the ASPEN Complaints/Incident Tracking System (ACTS) and ASPEN Enforcement Manager (AEM). Information gathered through any ASPEN system component is automatically available in other system views.

You can use AST to schedule and track surveys for all provider types that are supported for upload to the national repository system, as well as for state licensure-only facilities.

How is AST integrated with ACO?

Use the ACO and AST buttons on your toolbar to switch between applications.

![Figure 3: ACO toolbar](image)

In ASPEN certification kits, there is a Tracking tab for recording information related to AST.

![Figure 4: Tracking tab in certification kit](image)

Other components of ACO that affect AST include:

- The Staff Availability List for adding personnel to survey teams.
- Fields for provider qualifications and conflicts of interest in personnel records.
- A Revisit Status indicator in Survey Properties and ACO/ACTS (ASPEN Complaints/Incidents Tracking System) survey grids.
- A Scheduling tab in Facility Type Maintenance (used only by AST).
- Tables for Personal Activities and Processing Steps in Lookup Values (used only by AST).
Open AST Directly

ACO opens in ACO mode by default, i.e., the main ACO application window opens when you start ACO. You can easily configure ACO to open instead in AST mode. This is convenient if you are primarily an AST user as it eliminates the need to manually switch to AST every time you open ACO.

1. In the AST shortcut bar, click **My Settings**.
2. In the **My Preferences** section, set **Start application in mode** to **ACO** or **AST**.

AST-related Fields in ACO/ARO

For AST to function effectively, it must have all the information it needs. States need to ensure that fields affecting AST functionality are maintained throughout ASPEN in a consistent and timely manner.

These fields and their locations are:

**Work Units**
- **LOCATION**: ACO Directory tab.
- **AST Relationship**: AST can filter and sort many displays and reports by work unit.

**Operating Status**
- **LOCATION**: Facility Definition tab in Facility Properties.
- **AST Relationship**: Operating Status must be 01 Active for providers to be scheduled or tracked in AST.
  
  Licensure-only facilities are listed regardless of Operating Status.

**Licensure information**
- **LOCATION**: Licensing tab in Facility Properties.
- **AST Relationship**: Licensure expiration dates are available to schedulers in AST.

**Tracking Status**
- **LOCATION**: Tracking tab in certification kit.
- **AST Relationship**: Status of 01 Active Certification Process indicates the certification is currently in AST Tracking. Status of 10 Processing Complete places the provider in line to be scheduled for the next certification cycle.

**LTC Agreement Dates**
- **LOCATION**: Tracking tab in ICF/IID certification kits.
- **AST Relationship**: Read-only in ACO for ICFs/IID and ignored, if present, in AST. Target date for the next certification cycle is based on the last certification exit date.
CHOW Effective (L9)

LOCATION: Entered by the RO in the certification kit on the CHOW subtab of the Tracking tab. AST inserts L9 into the most recent 1539.

AST Relationship: Entry of L9 removes the CHOW from AST Tracking.

Revisit Status

LOCATION: Survey Properties, survey grids in certification kits and ACTS intakes, 2567/POC/IDR tab on the Tracking tab in certification kits.

AST Relationship: Determines which providers go on the Revisits to be Scheduled list.

Revisit Status is set by the system to 1-Required for starting surveys with the exception noted below, and to 2-Not Required for revisits. You can manually override the auto-entered value. For licensure-only surveys, Revisit Status is set manually.

Note: If Provides Swing Beds (SF44) = Yes in a related certification kit when an initial survey is created for a deemed Hospital, Revisit Status is set to 2-Not Required by default. If SF44 is changed from No to Yes after the survey is created, Revisit Status is not changed.

When a 2567 Issued date is entered for any survey, Revisit Status is updated to 1-Required, and the survey is flagged for revisit scheduling. You will receive a message if the survey has no correctable citations. You can choose to retain the 2567 Issued date and allow revisit scheduling anyway, or not.

If an intake is finalized and Revisit Status is 1-Required for the most recent investigation revisit survey (based on exit date) associated with the intake, Revisit Status is automatically set to 2-Not Required for that revisit. If an investigation does not have any revisits, Revisit Status is not changed for the investigation.

SOD Sent (2567 Issued) Date

LOCATION: Survey Properties, and survey grids in certification kits and ACTS intakes.

AST Relationship: Governs where the certification or complaint appears in AST Tracking - if there are correctable deficiencies and no SOD Sent, the item is listed under Requires SOD Issuance. Once this date is entered, the item proceeds to the next applicable node in AST Tracking.
POC Status Date
LOCATION: POC Tracking window – this is the date the Plan of Correction (POC) status changed to Accepted.

Note: This is not the same as POC Received - a POC may have been received, but not accepted.

AST Relationship: Certifications and complaints are listed under Waiting for Acceptable POC in AST Tracking until this date is entered.

IDR Request Received
LOCATION: Informal Dispute Resolution window.
AST Relationship: Places the certification or complaint under IDR Review Pending in AST Tracking.

IDR Completion date
LOCATION: Informal Dispute Resolution window.
AST Relationship: Removes the certification or complaint from IDR Review Pending in AST Tracking.

Allowed Facility Types
LOCATION: Employee Details tab in employee record.
AST Relationship: Indicating specific provider types for each surveyor allows you to limit the Staff Availability List to those staff qualified to survey a specified provider type.

Conflicts of Interest
LOCATION: Employee Details tab in employee record.
AST Relationship: AST can alert schedulers to possible conflicts of interest between a surveyor and the facility being scheduled.

Email Notification
LOCATION: Identification and Employee Details tabs in employee record.
AST Relationship: Enables sending of automatic emails to employees regarding AST activities, if your state server is configured to do so.

Future Survey Security
LOCATION: Security tab in the employee record.
AST Relationship: Restricts each user's future survey displays throughout AST to the limits you set in the employee record.
What does AST baselining do?

When AST is re-baselined, the system searches the state database for existing certifications, complaints, enforcement actions, and licensure-only facilities. Providers are added either to the Scheduling or the Tracking component of AST, depending on the current status of their survey events.

For example, if a provider's most recent certification has already been accepted by national, AST lists the provider in Scheduling, in anticipation of the next certification cycle. If the provider's active certification kit has not yet been uploaded, AST places the provider in the appropriate stage of the Tracking segment of the system, where staff can monitor the progress of the certification process.

The next several sections outline rules the system uses to distribute the following items in the Scheduling and Tracking functions in AST:

- Certifications
- Complaints
- Revisits
- Enforcement actions
- Licensure-only facilities

Note: Re-baselining does not affect calendar display of scheduled events or personal activities.

Certifications

In Scheduling

- The Certification to be Scheduled folder includes providers with certifications that have already been uploaded and accepted by the national reporting system:

  **NHs** - are given a target date for their next certification cycle based on a performance score algorithm. The algorithm can be modified and re-calculated if necessary. These providers are listed under Certifications to be Scheduled in the Schedule view.

  **HHAs** - are given a target date for the next certification cycle based on the Survey Frequency code entered on the 1572. These providers are listed under Certifications to be Scheduled in the Schedule view.

  **ICFs/IID** - are given a target date for the next certification cycle. It is calculated as 12 months from the last certification exit date. These providers are listed under Certifications to be Scheduled in the Schedule view.

  **CLIA Labs** - are given a target date for the next certification cycle. A target date is a required condition for a lab to appear in the AST Schedule view.
**Other providers** - are not given target dates. States use AST Prescheduling to select specific providers for recertification based on the percent sampling indicated in the annual CMS Mission and Priority Document. Once given target dates, these providers are listed under Certifications to be Scheduled.

**In Tracking**
- Providers with existing certifications that have not yet been accepted.

These providers are placed into the Tracking section of AST. Here they may be tracked by function (e.g., recertification) or by the particular step in the process requiring activity (e.g., waiting for revisit scheduling).

**Complaints**

**In Scheduling**
- Open intakes that have not been assigned an investigation are placed under Complaints to be Scheduled in the Schedule view.

**In Tracking**
- Open intakes linked to an investigation are listed under appropriate Investigation Processing points in AST Tracking.
- All open intakes (whether or not an investigation has been scheduled) are listed under their Complaint Status in AST Tracking.

You can open and work in ACTS intake and investigation forms without leaving the AST complaint tracking area.

**Enforcement Actions**

Open enforcement cases are distributed in AST Tracking according to the survey types that are associated with the case. There are Enforcement tracking sections in Certifications, Complaints, and Licensure. A single case may show up in more than one section.

**Licensure-only Facilities**

Special views have been created within AST to assist states in scheduling and tracking their licensure-only providers.

**More ...**

"Target Date Calculations - NH and CLIA Labs" on page 166
AST Components

AST has three main sections:

- **Scheduling**
  This section is used for scheduling events. The Schedule view lists certifications, complaints, revisits, and license visits that are due to be scheduled, and provides convenient drag-and-drop scheduling.
  
  Scheduling has additional function buttons for prescheduling, starting an initial certification, creating validation surveys, adding CHOWs, and viewing licensure-only facilities.

- **Tracking**
  After an event is scheduled, its progress is monitored from the Tracking view, which organizes scheduled events according to significant process milestones. States and regions can track ongoing certifications, complaint investigations, enforcement actions, and licensure-only surveys.

- **My ASPEN**
  Staff members use My ASPEN to see their assigned surveys and action items/activities. My ASPEN has a personal calendar for adding other types of activities as well. Go to My Settings to configure your AST displays.

Scheduling

The Schedule view on the navigation bar is open by default when you enter AST (this can be changed in My Settings). Certifications, complaints, and revisits that are due to be scheduled are listed. To schedule you simply drag-and-drop them to the calendar.

The lists of providers are filtered by the currently active AST selection set and are listed in alphabetical order for the target date range specified in the title bar. Each record (one per line) provides substantial information about the provider.

The navigation bar, on the left, also provides access to related functions: prescheduling, starting an initial certification, creating validation surveys, adding CHOW events, and viewing licensure-only facilities.

You can use Schedule view to schedule a certification survey, revisit, or complaint investigation. Subsequent progress of the event is monitored with AST Tracking.

**To navigate in Schedule view:**

1. Click a folder button to expand or collapse the list.
2. Scroll to the right for more columns.
3. Drag the bottom border of the folder to change list height.
4. Use My Settings to hide lists you never use.
5 Click buttons in the Scheduling shortcut bar to access additional functions.

More ...

Screen: "Schedule View window" on page 98
Procedure: "Scheduling tab" on page 51
"Schedule View" on page 32

Scheduling Display Features

Many methods are available for customizing the display of information in Schedule view.

Title bar Options

The folders in Schedule view have options for refining the list of displayed providers:

*To specify target dates:*

- Click the Date button and enter the new date range.

*To ignore target dates:*

- Select the Show All checkbox.

*To include/exclude deemed providers:*

- In the title bar, select Show Deemed.

AST applies a yellow background to the Name field for deemed providers.
This option exists in the Certifications to be Scheduled folder only.

More ...

Screen: "Certifications to be Scheduled folder" on page 99

Text Attributes

Bolded

In the scheduling lists, certifications and surveys that are overdue to be scheduled are bolded. Overdue items include:

- Certifications with a target date earlier than today.
- Complaints with an investigation due date earlier than today.
- Revisits for surveys that have an exit date more than 45 days earlier than today.

Red

In the Complaints to be Scheduled folder, IJ complaints are red and have IJ in the Priority column.
Italicized
After you schedule an item, it is **ITALICIZED** for the remainder of the scheduling session, then removed from the list when you leave Scheduling.

Columns and Drilldowns
For each item to be scheduled, AST provides numerous columns of information that may impact scheduling decisions. To sort the list by a column, single-click the column heading. Many columns have buttons that drill down to additional detail.

**To see additional detail:**
- In the **Open Complaints** column, click on numbered buttons to open a detail window listing complaints.
- In the **Active Enforcement** column, click a **Yes** button to see details about active enforcement cases.

![Figure 5: Drilldown buttons](image)

Right-click Options
Right-click options provide easy-access to many features. In the Scheduling folders, right-clicking conveniently opens appropriate forms and reports.

View Forms and Calendar Events
**To see right-click menu options:**
- Right-click any item in the lists or on the calendar.
  Where there are relevant items, like certification kits, enforcement cases, or ACTS intakes, you can open them directly.

![Figure 6: Right-click menu options](image)
Right-click calendar events to make schedule adjustments.

Figure 7: Right-click menu options for calendar

**Set/Change Target Dates**

*To change the target date for a facility:*

1. In the **License Visits to be Scheduled** and **Certifications to be Scheduled** folders, right-click the provider name and select **Set Scheduling Target Dates**.

2. In the **Target Date Settings** window, enter a new target date for the Health/LSC survey.

3. Select **Do not allow Automatic Updates** if you do not want the date you are entering to be affected by internal calculations.

4. Click **OK** when done.

**Note:** You can also change target dates on the Alpha and Type tabs in ACO by right-clicking the facility name in the tree.
Item Synchronization

Each folder has a synchronization feature to find items in other folders related to the same facility.

To synchronize items for a facility:

- Double-click a complaint to be scheduled (double-click in the empty area beside the Name), and if there are any items for the same facility in the Certifications or Revisits folders, they will be isolated.

Note: Open all folders before synchronizing. When you synchronize items, double-click in an empty area of the row, not on top of text.

To reload the original lists:

- In the title bar of the top folder, click the Reset Grids button or double-click again in the empty area beside the Name.

Staff Availability List

The Staff Availability List can be reviewed at any point during the scheduling process. While working in Schedule view, you can view the Staff Availability List from the Staff Availability button to check surveyor qualifications, conflicts of interest, scheduled events, and other relevant information prior to scheduling surveys (you cannot select surveyors from this view). When scheduling a survey, you can use the Staff Availability List to select surveyors for the survey team.

Note: Events include both surveys and personal activities such as staff meetings or leave.
To access the Staff Availability List:

- In Schedule view, click the Staff Availability button for a view only list.
- or -

- In a survey, click Update in the Survey Properties window to select surveyors for the team.

Note: Schedulers can view the personal calendar of a surveyor from the Staff Availability List only if Activate Supervisor Calendar View of Other Staff is selected in System | System Configuration | State Customization.

More ...

"Staff Availability List Filters" on page 27
Screen: "Staff Availability List in AST" on page 119

Staff Availability List Behavior

Behavior of the Staff Availability List depends on how you open it.

- If opened from the Staff Availability button in Schedule view:

  Show Schedule button - Click to display all events scheduled for a surveyor in the specified Target date range.

  Conflict of Interest button - Yes indicates the surveyor has conflicts of interest with one or more providers; click button to view all the conflicts of interest.

  Scheduling - 7 Day tab - Displays green diamonds for surveyors with events scheduled during the selected week (WEEK OF).

- If opened from a specific survey, AST targets the display of scheduled items and conflicts of interest to those that are directly related to the provider and survey with which you are working:

  Show Schedule button indicates only events that conflict with the dates of the survey you are scheduling.

  Conflict of Interest button - Yes indicates the surveyor has conflicts of interest win one or more providers; click button to view all the conflicts of interest.

  The Conflict of Interest button displays Yes only when there is a conflict with the provider you are scheduling.

  The Scheduling – 7 Day tab displays red diamonds for surveyors who have events scheduled within the date range of the survey you are scheduling, including members of the survey team. Green diamonds indicate that surveyors have events scheduled during the 7 day period, but outside the survey date range.

  The Special Surveyors button allows you to search for and select special surveyors to add to the list of available surveyors, if your state allows it.
Staff Availability List Filters

In AST, you can filter the Staff Availability List with AST - My Selections, the “Use facility types of active selection when displaying available staff?” option under My Preferences, and by Disciplines and Assigned Provider Categories in the Staff Availability List.

AST - My Selections

Selection sets in AST - My Selections use criteria entered in ACO to filter scheduling views and the Staff Availability List in AST. AST selection sets are similar to ACO selection sets.

The Schedule view folders and the Staff Availability List can be filtered by selections entered in the Selection Criteria section of My Settings. However, the Facility Type tab behaves differently than the other tabs when filtering the Staff Availability List. The Staff Availability List is filtered by selections on the Facility Type tab if and only if:

- Use facility types of active selection is selected on the Scheduling tab of My Preferences in AST. It is deselected by default, so you must select it and then click Save Settings.

If Use facility types of active selection is not selected, the list of staff members in the Staff Availability List is not filtered by facility type.

The tabs in the AST Selection Criteria section are listed below. Listed underneath each tab is the ACO field used by the filter and the field’s location.

- Facility Type:
  Allowed Facility Types - Update Staff Member/Employee Details
- Office Location:
  Management Unit - Facility Properties/Associations
- Work Unit:
  Work Unit - Update Staff Member/Employee Details
- County:
  County - Facility Properties/Facility Definition
- State/Region:
  State and OSCAR State Region - Facility Properties/Facility Definition
- Operating Status:
  Operating Status/Current - Facility Properties/Facility Definition

Note: If your selection set contains a Work Unit filter, the Staff Availability List shows only members of that work unit, but the filter can be overridden by selecting Ignore Work Unit Filter in the Staff Availability List.
Use facility types of active selection when displaying available staff?

This option is found under My Preferences on the Scheduling tab in My Settings. If this option is selected and if you are filtering by Facility Type in AST - My Selections, the Staff Availability List is filtered by facility type. If this option is not selected, all staff are listed on the Staff Availability List regardless of the Facility Type selection.

If you are using selection criteria on tabs other than Facility Type, the Staff Availability List is filtered by these selections whether Use facility types of active selection when displaying available staff? is selected or not.

**Note:** If your state has not entered allowed facility types for staff members, do not select the option Use facility types of active selection when displaying available staff? Your staff list will be empty.

**Figure 9: Staff Availability List filtered by Facility Type - Rural Health**

The AST Staff Availability List above lists only staff members who have Rural Health assigned in the Allowed Facility Types field on the Employee Details tab of the Update Surveyor Information window in ACO. The following AST selections/filters were used to create this Staff Availability List:

- Facility Type is sorted by Rural Health and is the active selection set.
- Use facility types of active selection when displaying available staff? is selected.

**Disciplines/Assigned Provider Categories**

From within the Staff Availability List, you can filter by Disciplines and/or Assigned Provider Categories; however, you can filter by Assigned Provider Categories only if Use facility types of active selection when displaying available staff? is not selected.
If Use facility types of active selection when displaying available staff? is selected, choosing Show Staff by Assigned Provider Categories displays a blank window when the Staff Availability List is opened from Survey Properties. If opened from the Staff Availability button, the Allowed Facility Categories window shows only facility types already selected in the selection set.

The ACO field used by the filter and the field’s location are listed below:

- Show Staff By Disciplines:
  - Federal Title - Update Staff Member/Employee Identification

- Show Staff by Assigned provider Categories:
  - Allowed Facility Types - Update Staff Member/Employee Details

**To filter by Disciplines and/or Assigned Provider Categories:**

1. In the **Staff Availability List**, click the button to the right of the selection option:

   Clicking the button beside **Show Staff by Disciplines** opens the **Additional Federal Titles** window.

   Clicking the button beside **Show Staff by Assigned Provider Categories** opens the **Allowed Facility Categories** window.

![Allowed Facility Categories window](image)

*Figure 10: Allowed Facility Categories window*
**Note:** If “Use facility types of active selection set ...?” is selected, this window lists only the categories already selected in AST - My Settings if Staff Availability List was opened from the Staff Availability button. If Staff Availability List was opened from Update in Survey Properties, this window is blank.

2. Select the categories/disciplines you want to see, and click **OK**.

   For example, to display only surveyors, in the **Additional Federal Titles** window, select 09 Generalist Surveyor.

**Note:** The selections made in Show Staff By Disciplines and Show Staff by Assigned Provider Categories are saved. The next time you open the Staff Availability List from Survey Properties or from the Staff Availability button, these selections will be active.

---

**Resolve Conflicts**

When scheduling surveys, Yes on the Show Schedule button indicates events that conflict with the dates of the survey you are scheduling. The Conflict of Interest button displays Yes when there is a conflict with the provider you are scheduling.

**To show scheduling conflicts:**

1. In the **Show Schedule** column of the Staff Availability List, click the **Yes** button.

   AST advises you of the schedule conflict by displaying a warning.

2. In the **Warning** window, click **Show Conflicts** for details.

   The **Scheduled Activities** window is displayed.

---

![Scheduled Activities window](image)

*Figure 11: Scheduled Activities window*
3 Click **OK** to return to the message.
   ➞ Click **Continue Assignment** to schedule the surveyor anyway.
   -or-
   ➞ Click **Cancel Assignment** to return to the **Staff Availability List**.

**To show conflicts of interest:**

1 In the **Conflict of Interest** column in the **Staff Availability List**, click the **Yes** button.

   The **Conflict of Interest** detail window opens.

   If you select a surveyor with a conflict of interest, a message appears notifying you that there is a potential conflict of interest with this provider.

2 Click **OK** to return to the **Staff Availability List**.

   You can assign the surveyor or cancel the assignment.

![Figure 12: Conflict Of Interest window](image)

**Staff Member Activities**

Schedulers can add office days, staff meetings, and training sessions to staff calendars, and make calendar adjustments when staff request days off. Surveyors are often out in the field without access to AST and cannot maintain their calendars in a timely manner.

Administrators with appropriate security rights can view individual staff calendars, via the Staff Availability List. They can also edit personal activities on staff member calendars.

**Note:** Schedulers can view the personal calendar of a surveyor from the Staff Availability List only if Activate Supervisor Calendar View of Other Staff is selected in System | System Configuration | State Customization.
To view scheduled activities:

- In the **Staff Availability List**, click the **calendar** icon next to the surveyor name.
  
  This opens the surveyor's personal calendar.

To add a personal activity:

- In the My ASPEN calendar, double-click the day (click in an empty area) for which you want to schedule the activity.
  
  The **Personal Activity for** window opens, where you can enter the details.

To edit a personal activity:

- Double-click the activity to open its **Personal Activity for** window.

To delete a personal activity:

- Right-click the activity and select **Delete**.

More ...

Procedure: "To add a personal activity to your calendar:" on page 57
Screen: "Personal Activity for window" on page 110

**Schedule View**

You can schedule certifications, licensure visits, complaints, and revisits from Schedule view. The folder contents are filtered by the user’s active AST selection set.

**Certifications to be Scheduled**

Included in this folder:

- Active providers specified in the user’s current selection set.

- Providers for which a certification survey has not been scheduled, and a certification kit has not been created.

- Providers that meet the target date range selected at the top of the folder.

  AST provides target dates for HHAs, NHs, CLIA labs, and ICFs/IID. Users enter target dates for other provider types either individually or with AST Prescheduling. If you want to see providers that do not yet have target dates, click Show All. You can also right-click any provider to change the target date.

**Note:** If you have created a certification kit in ACO without scheduling a survey, that provider is not listed in either AST Scheduling. Go to AST Tracking and locate the certification kit under Health/LSC Std Visit Req’d under the Process Tracking: Certifications node.
To schedule a certification:

Before beginning: Make sure your active selection set allows display of the provider you want to schedule, and the calendar is displaying the month you want to schedule.

1. In Schedule view, open the Certifications to be Scheduled folder and the Calendar.

2. In the Certifications to be Scheduled folder, locate the provider you want to schedule. Press and hold the mouse button on the provider name. Your cursor changes to an icon of a hand holding a document.

3. Drag the icon to the day on the calendar that you want to start the survey. The X disappears from the document icon.

4. Release the mouse button and AST creates a new certification kit, and asks if you want to schedule a Health or LSC survey.

5. Select the Survey Type and click OK.

   AST opens the Create Health/LSC Survey window.

More ...

Procedure: "Staff Availability List" on page 25

For information on creating a survey, refer to the ACO Procedures Guide, which is posted on https://www.qtso.com/aspenmanguide.html.
Complaints to be Scheduled

To view the Complaints to be Scheduled folder, you must be one of the Responsible Parties assigned to the intake.

By default, the list is sorted alphabetically by facility name.

Included in this folder:
- Open intakes that have not yet been assigned to an investigation.
- Open intakes for providers that meet the user’s active selection set criteria.
- Open intakes for providers from categories whose certifications are currently supported for upload.
- Open intakes with investigation due dates matching the date range specified (select Show All to ignore due dates).
- In all of the above cases, the intake must have a Responsible Team assigned.

To schedule a complaint investigation:

Before beginning: Make sure your active selection set allows display of the provider you want to schedule, and your calendar displays the month you want to schedule.

1. In Schedule view, open the Complaints to be Scheduled folder and the Calendar.
2. In the Complaints to be Scheduled folder, locate and click the intake and drag it to the appropriate date on the calendar.

   Note: Intakes listed in Red have an IJ priority. IJ priority is also indicated by an IJ in the Priority column.

3. Select the Survey Type and click OK.

More ...

Procedure: “Staff Availability List” on page 25
For information on creating a complaint, refer to the ACTS Procedures Guide, which is posted on https://www.qtso.com/aspenmanguide.html.

Revisits to be Scheduled

The Revisit list contains revisits for certifications, complaints, enforcement cases and licensure-only facilities.

Included in this folder:
- Open surveys (including Licensure) with a Revisit Status of 1-Required.
- Open surveys that have not yet been assigned a revisit.
- Open surveys for providers that meet the user's active selection set.
• Open surveys for providers currently supported for upload to the national repository and licensure-only facilities.

• Open surveys for hospitals.

• Open surveys with an X5 (Completion) date in the range specified (select Show All to ignore X5 dates).

**About Revisit Status**

Revisit Status defaults to 1-Required for original surveys with the exception noted below, and 2-Not Required for revisits. Revisit Status can be changed if circumstances require it. For licensure-only surveys, Revisit Status is set manually.

**Note:** If Provides Swing Beds (SF44) = Yes in a related certification kit when an initial survey is created for a deemed Hospital, Revisit Status is set to 2-Not Required by default. If SF44 is changed from No to Yes after the survey is created, Revisit Status is not changed.

When a 2567 Issued date is entered for any survey, Revisit Status is updated to 1-Required, and the survey is flagged for revisit scheduling. You will receive a message if the survey has no correctable citations. You can choose to retain the 2567 Issued date and allow revisit scheduling anyway, or not.

If an intake is finalized and Revisit Status is 1-Required for the most recent investigation revisit survey (based on exit date) associated with the intake, Revisit Status is automatically set to 2-Not Required for that revisit. If an investigation does not have any revisits, Revisit Status is not changed for the investigation.

**To change revisit status:**

In the Revisits to be Scheduled list, click the appropriate line in the Revisit Status column or:

• For certifications, Revisit Status is on the 2567/POC/IDR tab on the Tracking tab in the certification kit.

• For complaint investigations, Revisit Status is on the Investigation and Investigation Properties tabs in ACTS.

• For licensure-only surveys, Revisit Status can be changed in Survey Properties.

**To schedule a revisit:**

**Before beginning:** Make sure the calendar is displaying the month you want to schedule, and that the selection set includes the provider you are scheduling.

1. In **Schedule view**, open the **Revisits to be Scheduled** folder and the **Calendar**.
2 In the **Revisits to be Scheduled** folder, locate the event for which you are scheduling a followup, press and hold the left mouse button and drag the event to the appropriate day on the **Calendar**.

The **Create Followup** window opens.

3 In the **Create Followup** window, clear checkboxes to remove surveyors from the team, or click **Update** to open the **Staff Availability List**.

4 Indicate whether or not to **Carry Text Forward** (Copies all the surveyor tag text into the followup survey).

5 Click **OK**.

The revisit is entered on the AST Calendar.

**More ...**

*Procedure: “Staff Availability List” on page 25*

*Screen: “Revisits to be Scheduled folder” on page 102*

---

**Calendar Scheduling**

AST's scheduling calendar is a standard Windows calendar that shows events scheduled for a given month (default view is the current month). All scheduled events for providers that meet the user's active selection set are included. Surveys are scheduled as all-day events.

**To change the displayed month/year:**

- At the top of the calendar, click the right arrow buttons to go to the next month/year or click the left arrow buttons to go to the previous month/year.

**Event Display**

On the calendar, icons differentiate Health (Red Cross icon) and LSC (Lifesaver icon) surveys. Abbreviations indicate if the survey is for certification, revisit, complaint investigation, or licensure-only.

A triangle pointing down on a day in the calendar indicates that there are more events scheduled than fit in the viewable area for that day.

![Survey icons](image)

*Figure 15: Survey icons*

**To see all events:**

1 Click the triangle to activate a scroll bar.

Events on the calendar days are necessarily abbreviated.
2. Hold your mouse pointer over an event to see a popup window of extended information.

![Figure 16: Popup shows extended information](image)

**Change Calendar Views**

The default calendar shows Monday through Friday.

- Click **Change View** to cycle through the Rolling Day (day detail), 7-day, 7-day with Stacked Weekends, and 5-day (default) views.

**Schedule Specific Hours**

By default, surveys in AST are scheduled as all-day events. If your surveyors are not going to be at the facility all day, you can indicate the hours they will be there.

**Note:** You cannot set specific hours for surveys that last more than one day.

**To set specific hours for a survey:**

1. On the **Calendar**, right-click the survey and select **Set Specific Time**.
2. In the **Set Specific Time** window, use the drop-down arrows to select the **Start** and **End** times for the visit.
3. Click **OK**.

**Note:** Times are not shown on the default calendar view.

**To check scheduled times:**

- Double-click the day on the calendar (or click **Change Views**) to open the **Rolling Day** view, then scroll to the selected times.

![Figure 17: Rolling Day view - selected times](image)
Delete Scheduled Events

To delete a scheduled event from the calendar:

- You can delete any event from the calendar by right-clicking the event, and selecting the appropriate delete option.
  
  - **Delete Certification Visit** - Deletes both the survey and the certification kit that contains it. Events deleted from the calendar are deleted permanently; they do not go to the recycler.
  
  - **Delete Investigation** - Permanently deletes the scheduled survey. Before you can delete a complaint investigation, you must remove its link to any intakes.
  
  - **Delete Survey** - Permanently deletes the survey.

Calendar Reports

- Click **Print** to print either a **Schedule Calendar Report** or a **Schedule Detail Report**.

More ...

- Screen: "Calendar folder" on page 103
- "Schedule Calendar Report" on page 191
- "Schedule Detail Report" on page 192

Preschedule

The Preschedule function facilitates the scheduling of providers (other than NHs, HHAs, ICFs/IID, and CLIA labs) that have coverage levels specified in the annual CMS Mission and Priority Document. Preschedule can automatically select and provide target dates for a specified percentage of a single provider type.

AST maintains current percentages of the number selected from each category. The Preschedule view can also be used to enter target dates for licensure-only facilities.

Preschedule is typically used just once a year, when the MPD (Mission Priority Document) is distributed, although you can make adjustments later as needed.

**Note:** If target dates are entered for individual providers in Schedule view, that does not make them selected in Prescheduling. To ensure that your coverage percentages are accurate, always use the Preschedule view to provide target dates for all provider types for which you use Preschedule.
To preschedule a provider type:

Before beginning: Work unit filters in the active selection set apply to the preschedule list.

1. In the Scheduling shortcut bar, click Preschedule.

The Pre-selection Filter window opens where you can:

- Select the CMS provider type you want to schedule. CMS provider types are the only supported provider types.
- Choose to include or exclude providers by accreditation status.
- Optionally ask AST to select a percentage of providers based on the longest duration since the last certification (since last survey, for licensed-only facilities), and to provide target dates for them.

You can change the providers selected and their target dates manually. AST will maintain current percentages of those selected.

**Note:** Clear All removes all the selections and target dates on the Preschedule list. Use it with care.

2. Make your selections and click OK.

**Note:** AST saves all selections until they are either manually deselected, or deselected with Clear All in the Pre-Selection Filter window. Either method also deletes the associated target dates. If selections already exist when you ask AST to auto-select a percentage of providers, it adds that percentage to the already-selected providers.

3. To change or enter a target date, select the checkbox next to the facility (if the facility is already selected, click the box two times to clear it) to open the Target Date window.

4. Enter a target date and click OK.

Now, when scheduling certifications for the month for this provider type, those with target dates during that month are included on the Certifications to be Scheduled list.

More ...

Screen: "Preschedule window" on page 104
Screen: "Pre-selection Filter window" on page 104
Start Initial Cert

Upon receipt of an application for enrollment in the Medicare and/or Medicaid program, states can use AST to create the certification kit, schedule the initial survey, and track the certification process.

**To create an initial certification kit:**

**Before beginning:** Make sure the active selection set allows display of the provider.

1. In the **Scheduling** shortcut bar, click **Start Initial Cert**.
   A Special Action window opens.

2. Select **Use Existing Facility** or **Define New Facility**.
   - **Use Existing Facility Record** - Opens a **Find** window for locating the facility. Eligible facilities must have a pending or active operating status, and be assigned to one of the certified categories supported for upload to the national repository.
   - **Define New Facility** - Opens the **Define New Facility** window, where you can add a new facility record. After creating the facility record, AST opens **Survey Properties** for scheduling the initial survey, and creates an initial certification kit.

   **Note:** In **Facility Properties**, you must set **Operating Status** to **01-Active**. AST lists only certifications for active providers.

3. Complete the required fields, then click **OK**.

4. In the **Initial Survey Type** window, select the **Survey Type** and click **OK**.

5. In the **Create Health/LSC Survey** window, select the appropriate **Start** date, **Exit** date, and **Regulation** set for the survey (select **Show All** if you do not see the regulation set you need).

   To enter the dates, click the down arrow to display the calendar in which you can select the date, or type the date in the format mmddyyyy.

6. Click **Update** to open the **Staff Availability List** and add team members.

   - To filter the list by disciplines or assigned provider categories, click the button to the right of the selection option.
   - To add out-of-state and other special surveyors, if your state allows it, select the **Special Surveyor** button when accessing the **Staff Availability List** from a survey.

   A message appears if you select a staff member whose **General Staff Type** is **02 Clerical/Support** in the **Enter/Update Surveyor Information** window. You can choose whether to go ahead and add that staff member or not.
7 Select the members of your survey team then click OK.

8 In the Create Health/LSC Survey window, click OK. Click No to the question about the Citation Manager.

AST creates the initial certification and schedules the survey. If configured to do so, Added to Survey Team action items are sent to the surveyors.

Certification Kit Tracking tab Information

9 On the calendar, right-click the survey and select View Certification.

10 On the Tracking tab, AST inserts the date the initial certification is created in the Application Received field (you can change that if necessary), and adds the appropriate Processing Steps for an initial certification.

The Application Received field is on the Tracking tab only in initial certification kits for non-CLIA providers.

More ...

Screen: "Staff Availability List in AST" on page 119
Screen: "Tracking" on page 106
Screen: "Tracking tab in Certification Kits" on page 111

Validation

You can use this function to create a certification kit to hold a validation survey.

To create a validation survey:

1 In the Scheduling shortcut bar, click Validation.

This opens the Facility Category window.

2 Select the Facility Type (Hospital, HHA, ASC, or Hospice) receiving the validation survey and click OK.

3 In the Find Facility window, locate the specific provider.

4 Select the provider name and click Select.

AST creates the certification kit and allows you to add the survey.

Start CHOW

Use the Start CHOW button to enter a change of ownership for a provider. AST adds the CHOW and its associated processing steps to the Tracking tab of the most recent certification kit. Both States and ROs can initiate a CHOW event, but only RO staff can enter the CHOW Effective Date (L9).

You can add more than one CHOW to a certification. AST enters the most recent L9 on the CMS-1539 Form. When the kit is uploaded, ASPEN updates the CHOW counter in the national reporting system.
To add a CHOW to a certification:

Before beginning: Make sure the active selection set allows display of the provider.

1. In the Scheduling shortcut bar, click Start CHOW.
2. In the Find window, enter the provider name and click Find. You must enter an existing certified provider.
3. In Search Results, select the name and click OK.
   This opens the CHOW Event Tracking window.

![CHOW Event Tracking window](image)

Figure 18: CHOW Event Tracking window

4. Enter the Type of CHOW (1-With Assignment or 2-Without Assignment) and the Request Received date. ROs can enter Effective (L9) dates, if known (states can enter L9 for Medicaid-only providers).
5. Select RO and SA Responsible Parties for the CHOW.
   If configured, action items will go to the Responsible Parties.
6. Click OK.
   AST opens the certification kit at the Tracking tab, where you can supply additional information as needed.
   - To change the CHOW event information, select the CHOW in the grid and click Modify CHOW Event.
   - To add dates to the processing steps, click in the appropriate column and enter the date.
7. Click Done to close the certification kit.

More ...

Screen: "Tracking tab in Certification Kits" on page 111
Screen: "CHOW tab" on page 118
Screen: "CHOW Event Tracking window" on page 118
License View

Selecting License View toggles the top folder from Certifications to be Scheduled to License Visits to be Scheduled. The License Visits to be Scheduled folder lists all licensure-only facilities that do not have an active licensure survey (a licensure survey with survey status of Open).

Included in this folder:

- All facilities that are not Federal provider types.
- Facilities with target dates matching the date range specified (select Show All to ignore target dates).

Use the same procedure to schedule License Visits and Certifications.

To view the License Visits to be Scheduled folder:

- In the Scheduling shortcut bar, click the License View button.

To enter target dates for licensure-only facilities:

- In the License Visits to be Scheduled folder, right-click a provider and select Set Scheduling Target Dates.

- or -

- Use the Preschedule function.

More ...

Procedure: “Certifications to be Scheduled” on page 32
Procedure: “Preschedule” on page 38
Screen: "License Visits to be Scheduled folder" on page 100

Tracking

Once an event is scheduled, you can monitor its progress using Tracking view. Tracking view organizes certifications, licensure surveys, enforcement actions, and complaint investigations by milestones that mark where they are in the process, such as Waiting for Acceptable POC or IDR Review Pending. The active AST selection set applies to all Tracking displays.

There are three folders in Tracking view:

- Certification and Licensing
- Complaints
- Calendar
In the Certification and Licensing and Complaints folders, the Tracking view uses the same tree and list organization found in other areas of ASPEN. Each node in Tree view lists certifications and events according to defined rules.

**Note:** Revisits are identified in the Certification and Licensing tree by an asterisk preceding the event ID. The last digit of the event ID is greater than 1 (2 for the first revisit, 3 for the second, and so on).

Certifications and survey events may be listed under more than one node at a time. To simplify security, visits scheduled in the future are excluded from all Tracking lists except Future Visits.

Survey and certification tracking is managed both in the AST Tracking view, and for certifications, on the Tracking tab in the certification kit.

**To navigate in Tracking view:**

1. Select an item in the Tree view (left pane), to see its details in the List view (right pane).
   
   The List view on the right, however, shows only those surveys that fall under the conditions of the node.

2. Expanding a certification in the Tree view lists all associated surveys, except future surveys, beneath it.

3. Expand Future Visits to see surveys scheduled in the future.

4. In either the Tree or the List view, right-click on a certification or event to open the related forms.

**Milestones**

Tracking simplifies the monitoring of ongoing certifications and complaint investigations by using the ASPEN tree configuration to list certifications, complaints, and licensure surveys under milestone nodes. With Tracking milestones, you can quickly determine which providers have a POC due, or a revisit to be scheduled.

Tracking milestones are not mutually exclusive - it is possible for a certification, complaint, or licensure survey to be listed under more than one.

The active AST selection set applies to all lists in the Tracking view.
**Process Tracking**

Each milestone in Tracking has specific conditions that place a certification, complaint, or licensure survey on its list. To use tracking effectively, you should be aware of the conditions that place a certification or complaint under a particular milestone node. Then you can make sure your office procedures include consistent entry and updating of the fields that affect tracking.

For example, a certification remains listed under IDR Review Pending until you enter the IDR Completion Date; a complaint remains under Waiting for Acceptable POC until you change its POC Status to Accepted.

As new data is entered, certifications, surveys, and complaints progress through the milestone nodes. When there are no conditions left to fulfill, the item moves to Waiting for Tracking Closure.

**Closing the Tracking Cycle**

**Remove Certifications from Tracking**

At this time, there is no automated closing of certifications. Once a certification is uploaded and accepted into the national repository, it is listed under the Waiting for Tracking Closure node. Survey supervisors have an opportunity to evaluate each kit before closing the certification cycle.

**To close the certification cycle:**

- In the Certification Summary section of the Tracking tab, click the down arrow to change Tracking Status to 10-Processing Complete.

  Selecting 10-Processing Complete removes the certification from AST Tracking. NHs, HHAs, CLIA labs, and ICFs/IID are given target dates for the next certification cycle. For other provider types, AST removes any existing target date.

**Remove Complaints/Incidents from Tracking**

**To remove complaints/incidents from tracking:**

- In the intake, the SA selects the Finalized checkbox or the Finalize All button in the Complaints/Incidents section on the Investigation Properties tab.

  -or-

  The RO completes the Final Action Signoff on that tab.

**More ...**

For details on finalizing intakes, refer to the ACTS Procedures Guide, which is posted on https://www.qtso.com/aspenmanuide.html.
Remove Licensure-only Surveys from Tracking

*To remove licensure-only surveys from the tracking process:*

➥ Change the **Status** in **Survey Properties** to **Closed**.

More ...

“Tracking Status” on page 58

Isolation of Pertinent Surveys

The Tree and List views in AST Tracking have a number of features that make it easier to pinpoint events requiring attention.

*To see all surveys associated with a certification kit:*

➥ Expand a certification under the Process Tracking milestone (left pane).

Every associated survey is listed below it.

When you look at the List view (right pane), you see only surveys that meet the condition of the milestone.

*Example:*

In the figure below, expanding a certification listed under the Requires SOD Issuance node shows three surveys listed in the tree, but only one survey is displayed on the right pane, in the List view. That is the only survey that requires SOD issuance.

![Figure 19: Requires SOD Issuance node](image)

Future Survey Security

Surveys scheduled in the future are excluded from all lists in the Tracking view except Future Visits.
My ASPEN

My ASPEN provides access to My Settings and My Activities.

My Activities displays a personalized view of action items, events, and scheduled activities to the logged-on user.

To open associated forms:

- Double-click an item in any list.

My Settings is a powerful customization tool used to limit your AST displays to just those items you need to see, saving yourself time and improving application performance. The My Settings button is available from all three AST views.

![My ASPEN Screenshot](image)

Figure 20: AST My ASPEN view

**Tip:** You may have to scroll down to see the My Settings button in Scheduling view.
My Settings

My Settings was designed to help you tailor the lists and features in AST to your unique work habits. Use My Settings to create AST selection sets. The selection sets filter the providers you see by type, work unit, or location. These filters work much like the selection filters in ACO and ACTS.

In addition to selection sets, My Preferences allows you to configure application mode and the lists you would like to see when AST opens. You can choose specific settings on the My ASPEN tab.

Figure 21: My Settings view
Selection Sets in AST

AST selection sets use selection criteria to filter information so you see just those items you need to see. They are similar to ACO selection sets, but operate independently.

The Global/Personal button, immediately under the selection set list, toggles between Global and Personal. When Global is displayed, the selection set is available to all users in the state. Personal means the filter is available only to the user who created it.

States can use ASPEN button-level security to control access to Global filters.

To define an AST selection set:

1. In the AST shortcut bar, expand Scheduling and click My Settings. The currently active selection set is displayed.

2. Click New.

3. Type a brief label for the selection set in Filter Name.

4. Toggle the Personal/Global button to indicate whether the selection set is available to the creator only, or to all users in your state or region.

5. In the Selection Criteria section, go to each tab you want to apply as a filter, click Activate, and select the criteria.

Note: In AST, if there is a work unit filter in the active selection set, it is applied to the Staff Availability List. To see other surveyors, there is an option on the staff list to Ignore Work Unit Filter.

6. Click Save.

7. If you want to activate the filter you just created, click the Activate button.
To modify a selection set:
1. In the **AST - My Selections** list, click the selection set to select it.
2. Make your changes, and click **Save**.

To delete a selection set:
1. In the **AST - My Selections** list, click the selection set to select it.
2. Click **Delete**.

**My Preferences**

In the My Preferences (lower) section of My Settings, you can set application mode and AST view so that you do not have to spend time adjusting what is displayed to meet your work needs every time you start AST.

ACO opens in ACO mode by default, i.e., the main ACO application window opens when you start ACO. You can easily configure ACO to open instead in AST mode. This is convenient if you are primarily an AST user as it eliminates the need to manually switch to AST every time you open ACO.

You can also select the items you want to show/hide in the Scheduling, Tracking, and My ASPEN. For instance, if you are not involved with Scheduling, you can set AST to go directly to the Tracking view. If you work only with complaint investigations, you can tell AST to open only complaint folders. You are still able to open other folders and views as needed.

Finally, you can specify how you would like to be reminded in advance of events on your calendar. You can choose to receive action items and/or email notifications.

To set application mode:
1. In the AST shortcut bar, expand **Scheduling** and click **My Settings**.
2. In the **My Preferences** section, set **Start application in mode** to **ACO** or **AST**.

To choose the view you want to see when you open AST:
- In the **My Preferences** section of My Settings, in the **Start AST in view** field, select **Scheduling**, **Tracking**, or **My ASPEN**.

*Figure 23: AST view selection*
To set up reminders:

In the **My Preferences** section of **My Settings**, select the **Remind me** checkbox, and then choose **Action Item** or **E-mail and Action item**.

For email notifications, your staff member record must be set up with an email address and set to receive action item emails. You can set the reminder to occur more than 24 hours before the scheduled event. For an event scheduled on Monday, you can be notified on Friday, rather than Saturday or Sunday.

**Figure 24: Reminder selections**

**Note:** You cannot set reminders here for personal activities entered on your My ASPEN calendar.

More ...

- **Screen:** "My Preferences window" on page 111
- **Procedure:** "To add a personal activity to your calendar:" on page 57

**Scheduling tab**

The Scheduling tab lists folders and views you can select from to create a personalized display when you open the Schedule view.

You can also select whether you want to filter the Staff Availability List, when opened from Schedule view, to see only surveyors qualified to survey the provider types specified in AST - My Selections.

**Figure 25: Scheduling tab**
To personalize the Schedule view:

- In the **My Preferences** section of **My Settings**, on the **Scheduling** tab, select the checkboxes next to the folders/view you want to see.
  
  Limiting your initial view to only necessary folders saves data loading time and increases the calendar's viewable area.

To filter the Staff Availability List by qualified surveyor:

- In the **My Preferences** section of **My Settings**, on the **Scheduling** tab, select **Use facility types of active selection when displaying available staff?**

More ...

"Staff Availability List Filters" on page 27

**Tracking tab**

In the My Preferences section of My Settings, the Tracking tab lists folders you can select from to create a personalized display when you select Tracking from the AST shortcut bar.

![Figure 26: Tracking tab](image)

**My ASPEN tab**

Your personal scheduled events in My ASPEN are displayed on the six tabs listed on the left under Show Tabs.

![Figure 27: My ASPEN tab](image)
To customize display of your scheduled events:

1. In the My Preferences section of My Settings, on the My ASPEN tab, clear the checkboxes for any tabs that do not apply to you.

   To the right are additional filters you can set to make sure the events listed are the ones you need to see.

2. Under Initially Show, select the folders you want to see when you open My Activities.

My Activities

My Activities provides logged-on users with a personalized view of their action items, events, and scheduled activities.

Figure 28: My Activities window
• One-stop shopping

The My Activities screen gives you an instant view of all your action items (including those sent by ACTS) and all of your scheduled events. Right-click options enable you to open certification kits, complaint intakes, complaint investigations, enforcement forms, and licensure surveys, all from this screen.

• Personalized calendar

Your personal calendar shows only your activities and events. You can add your personal meetings, appointments, and leave time to the calendar in My Activities. Schedulers can view your personal calendar from the Staff Availability List.

Schedulers with appropriate security privileges can add, modify, and delete personal activities on individual surveyor calendars if Activate Supervisor Calendar View of Other Staff is selected in System | System Configuration | State Customization.

There are three folders available to you in My Activities:

- My Action Items
- My Events
- Calendar

### My Action Items

My Action Items lists all of your action items delivered through ACTS, AEM, and ACO/ARO certification kits.

![My Action Items folder](image)

### Filters

The filters in the active AST selection set and the active ACO/ARO action item filter apply to the action item list. Action items are not affected by future survey security settings in the employee record.

To ignore filters in AST:

- Select Show All.

### Forms

AST opens the appropriate form - certification kit, complaint intake, complaint investigation, enforcement action, or Citation Manager (for licensure surveys) for any action item.
To access these forms:

- Right-click any action item and click on Open Contextual Dialog. The appropriate form for the line item opens.

The appropriate form for the line item opens.

My Events

My Events organizes your survey and certification activity on individual tabs. Use My Settings to show or hide any of these tabs, or to filter complaints and certifications by date. My Events is filtered by the active selection set.

- Right-click any listed event to open the appropriate form - certification kit, intake, etc.

There are six tabs available in My Events:

- **My Certifications** lists all active certifications for which the current logged-on user is listed as a Responsible Party on the Tracking tab, and/or is a team member of any survey related to the certification kit, or has open tasks listed in the certification kit.

- **My Complaint Intakes** lists all active intakes for which the current logged-on user is named responsible party.
• **My Complaint Investigations** lists all complaint investigations to which the current logged-on user is a survey team member or Responsible Party on any intake related to the investigation.

![My Complaint Investigations tab](image)

Figure 33: My Complaint Investigations tab

• **My Enforcements** lists all enforcement actions for which the current logged-on user is named Case Worker.

![My Enforcements tab](image)

Figure 34: My Enforcements tab

• **My Terminations** lists active terminations for which the current logged-on user is named Responsible Party. Modifying a termination event is restricted to ROs, except for Medicaid-only providers.

![My Terminations tab](image)

Figure 35: My Terminations tab

• **My CHOWs** lists all CHOW events for which the current logged-on user is named Responsible Party.

![My CHOWs tab](image)

Figure 36: My CHOWs tab
**Calendar**

The personal calendar in My Activities displays scheduled events to which you (the logged-on user) are assigned, either as survey team member or Responsible Party. All events have right-click command options so you can open forms directly. The calendar also shows any personal activities you add, like leave, training, and meetings. These personal activities show up as conflicts if an administrator tries to schedule you during that time.

A triangle pointing down on a day in the calendar indicates that there are more events scheduled than fit in the viewable area for that day.

**To see the full day's events:**

- Click for a scroll bar.
- or-
  - Choose **Change View**.

  Change View cycles the calendar through Rolling Day (half-four increments), 7-day, and 7-day with stacked weekends.

Supervisors or administrators with appropriate security rights can add, modify, or delete the personal activities on your calendar. This enables schedulers to add office days, meetings, and training sessions to your calendar as needed.

AST ships with a basic list of personal activities; states can add to it through the System | Lookup Values menu.

**Note:** The personal calendar is not filtered by the active selection set.

**To add a personal activity to your calendar:**

1. In the AST shortcut bar, expand **My ASPEN** and select **My Activities**.
2. Expand the **Calendar** folder.
3. Double-click the day (click in an empty area) for which you want to schedule the activity.

   The **Personal Activity for** window opens, where you can enter the details.
4. Select **Activity Type** from the drop-down list.
5. You can enter a Description and Location for the activity.
6. In the Activity Scheduled For section:
   - You can change the dates for Start Time and End Time.
   - To add Start and End times, deselect the All Day Activity checkbox.
7 To create a reminder for the activity:
   • Select the **Remind me of this Activity** checkbox.
   • In the By field, select **Action Item in ASPEN** or **E-Mail and Action Item**.
   • For all day activities, your only option is to select *At Least 24 Hours Before Start*. If you deselect the All Day Activity checkbox, you can select from a range of options, from *At Least 15 Minutes* to *24 Hours Before Start*.

8 You can enter text in the Activity Notes section.

9 To save your changes, select **Save Activity**.
   The activity is entered on the calendar.

10 Use the **Print** button to print a **Schedule Calendar Report** or a **Schedule Detail Report** of your scheduled events.

**More ...**

- **Screen:** "Personal Activity for window" on page 110
- **Procedure:** "Add Personal Activities to Lookup Values" on page 86
- "Schedule Calendar Report" on page 191
- "Schedule Detail Report" on page 192

## Tracking Information in Certification Kits

For certifications, the Tracking tab in the certification kit provides a central point for monitoring all aspects of the certification process, from survey fieldwork to internal office procedures. Certification kits are accessed from the Tracking tree.

- The Application Received field appears only in initial certification kits for non-CLIA providers.
- LTC Agreement dates for ICFs/IID, if present, are ignored.
- The Termination tab is replaced with the Enforcement tab for NH providers.
- Process Steps are in a table in Lookup Values. Only CMS Central Office can modify Process Steps.

## Tracking Status

Tracking Status affects the most basic aspects of AST functionality. Variations in state procedures make it impossible to automate this important field. Tracking Status must be 01-Active Certification Process for the certification to appear in AST Tracking.

AST assigns a Tracking Status of 01-Active Certification Process when a certification is created.
When all information is entered and the certification has been successfully uploaded (as indicated by Tracking milestone: Uploaded-Ready for Closure), change the Tracking Status to 10-Processing Complete.

More ...
Procedure: “Closing the Tracking Cycle” on page 45

Responsible Parties

You can use the Tracking tab to designate Responsible Parties for the certification, both SA and RO, and assign activities and action items to any staff member. The Responsible Parties for the certification will receive all action items and emails related to the certification.

To add a Responsible Party to a certification:

1. In the Tracking tree, right-click the provider name, select Certification Kit, and go to the Tracking tab.
2. Locate the Responsible Parties tab.
3. Click Add S.A. or Add R.O. to open the Select SA/RO member window.
4. Click the down arrow to display a list of available SA or RO staff members, as applicable. Scroll the list to find who you want and click on the name.
5. Click OK to make that person a Responsible Party and return to the Tracking tab.
6. To make the person you just added the primary Responsible Party, select the Primary checkbox next to the name.

More ...
Screen: "Responsible Parties tab" on page 113
Activities and Action Items

State and ROs can assign activities on the Activities/Action Items tab. Action items are automatically sent to the assigned personnel.

To add an activity assigned to an RO:
1. Go to the Tracking tab of the certification kit, then the Activities/Action Items tab.
2. Click Add to open the Define Activity window.
3. Supply the activity Type and Due date.
4. Click Add R.O.
5. Select the staff member who is to complete the activity and click OK.
   You can also enter notes in the Comments box.
6. Click OK when done.

More ...
- Screen: "Activities/Action Items tab" on page 113
- Screen: "Define Activity window" on page 116
- "Action Item Messages" on page 172

Processing Steps

For states and regions who want detailed process information, the Tracking tab provides Processing Steps. The Processing Steps section maintains dates Due and Complete for individual tasks in a certification, and AST has reports for these processing times. User upkeep has been minimized wherever possible - in most cases, steps are created and dates are supplied automatically as entries are made in other areas of ASPEN.

To add and modify items manually:
1. Go to the Tracking tab of the certification kit.
2. On the Processing Steps tab, select Add Step.
3. Click the arrow to select a process from the drop-down menu and click OK.

To remove items manually:
⇒ Select a Process Step and click Remove Step.

More ...
- Screen: "Processing Steps tab" on page 113
Survey Tracking

The Tracking tab also contains a 2567/POC/IDR tab that provides a quick view of essential survey information, and access to POC and IDR detail windows.

More ...

Screen: "2567/POC/IDR tab" on page 114

Enforcement

If the certification contains a survey that is part of an active enforcement case, the Enforcement tab provides a line summary of case information.

Note: For non-NH providers, this tab shows termination events.

More ...

Screen: "Enforcement tab" on page 117
Screen: "Termination tab" on page 114

Notices History

AST incorporates a Notices tab in Tracking where you can view Notices history, and generate and maintain letters.

More ...

Screen: "Notices tab" on page 117

CHOW Events

The CHOW tab shows all CHOW events for the certification, and the processing steps associated with them. You can add, modify, and remove CHOW events here.

More ...

Screen: "CHOW tab" on page 118
Procedure: "Start CHOW" on page 41

Authorizing Validation Surveys

The Authorization for State Validation Survey (CMS 2802) section facilitates communication between the RO and states when states need to perform validation surveys on deemed providers and CLIA labs. This section is located on the Deemed/2802 tab of certification kits for non-CLIA deemed providers. For CLIA labs, it is called CLIA Authorization for State Validation Survey (CMS 2802) and is on the Tracking tab.

Note: Validation surveys cannot be authorized for initial certifications.
Non-CLIA Validation Surveys

For a non-CLIA deemed provider (Hospital other than RNHCI, Non-participating, and Transplant; HHA; ASC; Hospice; OPT; RHC), the RO uses the Authorization for State Validation Survey (CMS 2802) section on the Deemed/2802 tab of the certification kit to both authorize a validation survey and notify the state to perform it. This section supplies data for the CMS-2802.

**Note:** This section is read-only for SA users and in initial certification kits.

**RO - To authorize a validation survey:**

1. In **AST RO**, right-click the provider name in the **Recertifications** node of the **Tracking/Certification and Licensing** tree.
2. Select **Certification Kit**, and go to the **Deemed/2802** tab.
3. In the **Authorization for State Validation Survey (CMS 2802)** section, click the **Start 2802 Process** button.
   - All fields are disabled in the Authorization section until you press this button. Fields are then enabled and required as appropriate.
   - Region is set to the current region and is read-only.
   - The RO user who pressed the button is added to the Regional/State Representatives list and designated as Primary.
4. Enter the **Date Issued By RO**.
   - It is set to today’s date by default, but you can change it.
5. In the **Regional/State Representatives** section, use the **Add S.A.** and **Add R.O.** buttons to add SA and RO staff members as needed.
   - You must add at least one primary State representative. You can add more RO representatives, but you cannot change the primary RO rep. Likewise, once you have designated a State representative as Primary, you cannot change that.
6. Enter any **Comments**.
   - These remarks will appear on the CMS-2802 form.
7. Choose either the **60-Day** or **Midcycle** option.
   - If you choose **60-Day**, select an AO in the **AO Name** list and enter **Scheduled End Date of Accreditation Survey**.
     - 60 Days after Accreditation Survey is set to a read-only date 60 calendar days after the Scheduled End Date. Also, you should add the AO indicated in the AO Name field to the Deemed By list if it is not already there.
   - If you choose **Midcycle**, AO Name and Scheduled End Date are cleared and disabled. The read-only 60 Days after Accreditation Survey field is also cleared, if populated.
8 In the **Currently Deemed By** box, select applicable AOs.
   You must choose at least one AO. The selected AOs should usually correspond to AOs in the Deemed By list.

9 Select the applicable **Accreditation Survey Type**.

10 When the section is complete, click the **Send 2802 to State** button.
   Warning messages are issued if required information is missing.
   When complete, ASPEN sends an RO RESPONSE - VALIDATION action item/email to the RO and SA representatives, which notifies them of the 2802. The button label changes to 2802 Sent to State.

11 To print the CMS-2802 form, click the **Print** button at the bottom of the certification kit while on the Deemed/2802 tab.

**More ...**

Procedure: "Responsible Parties” on page 59 (start with step 3)

For more information about the Deemed/2802 tab, refer to the **ACO Procedures Guide**, which is posted on [https://www.qtso.com/aspenmanguide.html](https://www.qtso.com/aspenmanguide.html).

**CLIA Validation Surveys**

For CLIA labs, the SA and RO use the CLIA Authorization for State Validation Survey (CMS 2802) section on the Tracking tab in a CLIA certification kit to respectively request and authorize a validation survey. This section supplies data for the CMS-2802A.

**Note:** A variant of the CLIA Authorization section appears on the Tracking tab in non-CLIA certification kits. It is always disabled.

**SA - To request RO approval for a CLIA validation survey:**

1 In **AST**, right-click the provider name in the **Tracking/Certification and Licensing** tree.

2 Select **Certification Kit**, and go to the **Tracking** tab.

3 In the **CLIA State Validation Survey (CMS 2802)** section, select the **Request for RO Approval** checkbox. Today’s date is entered as the date of the request, but you can change it.
   This sends an RO APPROVAL REQUEST - VALIDATION action item to the RO Responsible Party specified on the Responsible Parties tab.
**RO - To approve or deny the validation survey:**

1. In AST RO, right-click the provider name in the Tracking/Certification and Licensing tree.
2. Select Certification Kit, and go to the Tracking tab.
3. In the CLIA State Validation Survey (CMS 2802) section, enter 01 Approved or 02 Disapproved in the RO Response field and record the Date. Today’s date is entered by default, but you can change it.

   Completing this information sends an RO RESPONSE - VALIDATION action item to the SA Responsible Party specified on the Responsible Parties tab.

4. Enter the name of the Regional Representative who approved/denied the validation survey.
5. Enter the Region code.

   It is set to the number of the current region by default, but you can change it.

6. In the Comments field, enter any remarks.

   They will appear on the CMS-2802A form.

More ...

- Screen: "Tracking tab in Certification Kits" on page 111
- Procedure: "Responsible Parties” on page 59

**AST Security**

Before anyone can begin working with AST, ASPEN administrators must assign security and access control.

AST integrates with existing ASPEN security for:

- Menu
- Tab
- Button
- Facility type

More ...

For more information about ASPEN security, refer to the ASPEN Technical Training guide.
Survey View Security

ASPEN provides a means of limiting users from viewing or modifying surveys to which they are not assigned as a team member. This is not strictly an AST feature, but is an extension to the existing security group profiles within the Security Manager.

The security group right-click menu now has a Set Survey View Security command. Members of the group have the following access level options for viewing surveys when they are not team members:

- View Only
- View and Update

Security groups in the security manager tree display in green (current default) when View/Update access is allowed for members of a group, and in yellow when View Only is set. Survey view security applies to Survey Properties, Citation Manager, IDR Manager, and CMS 670 Manager.

Security Group Organization

You can simplify the process of assigning AST security by structuring security groups to correspond to your agency's internal organization. Some points you need to consider:

- Is there more than one agency in your state using ASPEN? If so, please coordinate between agencies to ensure proper AST configuration.
- What provider types and work units/teams will use AST?
- Who has responsibility for determining certification, complaint, and revisit schedules?
- Who has responsibility for tracking certifications and complaints once they have started, to ensure all forms are completed, letters sent, and processing steps are completed in a timely manner?
- Will your state use the user-specific functions of calendaring, assignment tracking, and event management provided by AST's My ASPEN section?

Using the above information, you can create security groups to reflect your agency's use of AST. Then you can assign these groups to the desired access level for AST functions.
Security Group and AST Assignment Examples

- **Scheduling Planner**
  Supervisor or administrator responsible for long term certification planning and establishment of target dates for one or more provider types.
  AST Access:
  - Scheduling Views - Read/Write
  - Scheduling Menu Items - Read/Write
  - Set Scheduling Target Date menu - Read/Write
  - Preschedule button - Read/Write
  - My ASPEN Views - Read/Write

- **Scheduling Operations**
  Team leaders or other staff responsible for determining actual survey schedules for certification, complaints, and revisits including assignment of team.
  AST Access:
  - Scheduling Views - Read/Write
  - Set Scheduling Target Date menu - No Access
  - Preschedule button - Read Only
  - My ASPEN Views - Read/Write

- **Scheduling Support**
  Support staff responsible for selected scheduling activities.
  AST Access:
  - Scheduling Views - Read/Only
  - Scheduling Menu Items - Read/Only
  - Scheduling Start CHOW button - Read/Write
  - Scheduling Start Initial - Read/Write
  - Certification Kit Tracking Tab - Read/Write
  - My ASPEN Views - Read/Write
• **Processing Operations**
  Supervisor and support staff responsible for tracking certification and complaint processes, form completion, and letter generation for active certification and complaint events.

  AST Access:
  - Scheduling Views - No Access
  - Tracking Views - Read/Write
  - Tracking Menus - Read/Write
  - Certification Kit Tracking Tab - Read/Write
  - My ASPEN Views - Read/Write

• **Surveyor and Investigators**
  All tasks typically performed by surveyors or complaint investigators can be accessed through the personalized My Aspen views. Access to scheduling and tracking areas is not recommended for members of this group.

  AST Access:
  - My ASPEN - Read/Write
  - Scheduling Views - No Access
  - Tracking Views - No Access
  - Certification Kit Tracking Tab - Read/Write

**Future Survey Security**

Future survey security allows control over who can see future scheduled events in all ASPEN products. Future survey security is assigned in the individual staff member's record.

**More ...**

Procedure: “Specify Future Survey Security” on page 78
Shortcut Button Security

You can assign security to the Scheduling, Tracking, and My ASPEN buttons in the AST shortcut bar.

If the ASPEN Administrator is not part of the EVO (Everyone) security group, the first step is to add the administrator to the group. You do this in the Menu Security Editor.

To add the administrator to the group:


   The Menu Security Editor opens.

2. Right-click the EVO (Everyone) group and select Members.

3. Select the checkbox beside the Staff Names you want to assign to the group.

4. Click OK to save your changes.

5. Click OK to close the Menu Security Editor.

Note: You cannot apply security to a button that is currently active.

Figure 38: Menu Security Editor
To assign security to Scheduling:

1. On the ACO toolbar, click AST to go to ASPEN Scheduling and Tracking. If the Scheduling button is active (meaning you are currently looking at the Scheduling view), move to another view of AST before assigning security to the Scheduling button.
2. Click Tracking to go to the Tracking area of AST. This de-activates the Scheduling button.
3. Ctrl-click Scheduling.
4. In the Menu Security Editor, assign security groups and access levels for this button. Click OK.

To assign security to Tracking:

1. Position your cursor on Tracking and Ctrl-click (hold down the Ctrl key and click your mouse button). Enter the password if asked.
2. In the Menu Security Editor, assign security groups and access levels for this button. Click OK.

To assign security to My ASPEN:

1. Ctrl-click My ASPEN.
2. In the Menu Security Editor, assign security groups and access levels for this button. Click OK.

Function Button Security

There are function buttons in each of the Scheduling, Tracking, and My ASPEN shortcut bars. You can assign security to all of these buttons.

To assign security to Scheduling buttons:

1. Click Scheduling to go to the Scheduling view.
2. In the Scheduling shortcut bar, ctrl-click Schedule and assign security.
3. Ctrl-click Preschedule and assign security.
5. Ctrl-click Start CHOW and assign security.
6. Ctrl-click License View and assign security.
7. Ctrl-click My Settings and assign security.

Scheduling has a special case, because the License View button is actually a toggle:

8. Click License View to toggle the button. The button changes to Certifications View.
9. Ctrl-click Certifications View and assign security.
To assign security to Tracking buttons:
1. Click Tracking to go to the Tracking view. Tracking has only two buttons.
2. Ctrl-click Tracking and assign security.
3. Ctrl-click My Settings and assign security.

To assign security to My ASPEN buttons:
1. Click My ASPEN to go to the My ASPEN view.
2. Ctrl-click My Activities and assign security.
3. Ctrl-click My Settings and assign security.

Right-click Option Security

You can right-click items many places in AST to see a list of command options. The menus vary, depending on what item you click. Every option on every menu needs security.

Note: ASPEN Administrators: In order to perform this task, you need to have records in the database that you can right-click. This means you must create and activate an AST selection set. AST selection sets are very similar to those in ACO. They are created in My Settings.

To assign security to Scheduling right-click options:
1. Click Scheduling to go to the Scheduling view.

Certifications to be Scheduled folder
2. Expand the Certifications to be Scheduled folder by clicking the Folder button.
3. Right-click any row and Ctrl-click Set Scheduling Target Dates to assign security.

Complaints to be Scheduled folder
4. Expand the Complaints to be Scheduled folder.
5. Right-click any intake and Ctrl-click Modify to assign security.

Revisits to be Scheduled folder
6. Expand the Revisits to be Scheduled folder.
7. Right-click any survey.
8. Ctrl-click an available menu item to assign security.
9. Repeat steps 7 and 8 for each menu item.
Scheduling Calendar

**ASPEN Administrators** - Before security can be assigned to the scheduling calendar, scheduled events must exist on the calendar. You should work with a scheduling administrator to create initial scheduled events for certifications, complaints, revisits, and licensure surveys. Once these initial events are created you may proceed with this task to assign Calendar security.

On the AST calendar, abbreviations indicate if the survey is a certification, revisit, complaint investigation, or licensure.

![Calendar Abbreviations](image)

**Figure 39: Calendar Abbreviations**

**To assign security to Calendar right-click options:**

1. Right-click a certification (CERT) event in the calendar and assign security to each of its menu items.
2. Right-click a complaint investigation (INV) event in the calendar and assign security to each of its menu items.
3. Right-click a revisit (REV) event in the calendar and assign security to each of its menu items.

**To assign security to Tracking right-click options:**

1. Click **Tracking** to go to the **Tracking** view.

**Certification/Licensure view - Tree**

2. Expand the **Certification** and **Licensing** folders.
3. Expand the **Recertification** tree node.
4. Right-click any certification and assign security to the options on its right-click menus.

**Note:** The Survey and Team sub-nodes that are under the certification nodes in the Tracking tree are identical to the nodes in ACO/ARO. They automatically inherit pre-existing security from ACO/ARO.
Certification/Licensure - List
5 Select Recertification in the tree to see a list of all recertifications in the List view (right pane).
6 Right-click any recertification in the list and assign security to the options on its right-click menus.

Note: When security is assigned from this tree and list section for recertifications, all other certification views under AST Tracking automatically inherit these assignments.

Process Tracking - Certifications
If you assigned the certification node security in step 4, you're done. No additional security is required for the section. Survey nodes and lists in this section use existing security from ACO/ARO. This includes the surveys displayed under the Process Tracking: Licensure section.

Complaints - Tree
7 Expand the Investigation Processing node and the Requires SOD Issuance node.
8 Right-click any listed complaint and assign security to the displayed menu items.

Complaints - List
9 Select Requires SOD Issuance to see a list of those complaints in the List view (right pane).
10 Right-click any complaint in the list and assign security to its menu items.

To assign security to My ASPEN right-click options:

Note: ASPEN administrators - Before security can be assigned to My ASPEN views, scheduled events must exist for these views. Work with a scheduling administrator to create initial scheduled events for certifications, complaints, terminations, and CHOWs. Once these initial events are created you may proceed with this task to assign Calendar security.

My Action Items
1 Expand the My Action Items folder.
2 Right-click any action item to see Open Contextual Dialog.
3 Ctrl-click Open Contextual Dialog and assign security.
My Events
There are six tabs in My Events and each tab lists a different event type. Fortunately, the right-click menus for each event type have only one option.

4 On the My Certifications tab, right-click a certification to see Open Certification.

5 Ctrl-click Open Certification and assign security.

6 Repeat for all other tabs in My Events.

Calendar

Note: ASPEN Administrators - Before security can be assigned to the personal calendar, events must exist on the calendar. Work with a scheduling administrator to create events for certifications, complaints, revisits and licensure surveys.

7 Right-click an event on the calendar and assign security to the displayed menu options.
Configuring AST for Your State

State Customization

Schedulers can view the personal calendars of individual surveyors from the Staff Availability List if the viewing feature is activated in the State Customization window. This feature has been extended to allow schedulers to add, modify, and delete personal activities on surveyor calendars.

To activate supervisor calendar view:

1. From the System menu, select System Configuration, then State Customization.

2. Select Activate Supervisor Calendar View of Other Staff.

3. Click OK.
Surveyor Records
To take full advantage of the features in the Staff Availability List, states should supply the following information for each surveyor:

- Allowed facility types
- Conflicts of interest
- Permission to view future surveys

These details can all be specified on the Employee Details tab of a surveyor’s staff record.

Access Staff Member Records
Staff members are listed in the Staff Directory on the Directory tab in ACO. From here, you can open individual staff member records.

To open a staff member record:
1. Go to the Directory tab in ACO.
2. Click the plus sign (+) next to Staff Directory to expand it.
3. Right-click the staff member you want to update.
4. Select Update Staff Member from the shortcut menu.
5. In the Update Surveyor Information window, go to the Employee Details tab.

Specify Allowed Facility Types
In the staff member record, you can specify which provider categories a surveyor is qualified to visit. When scheduling a particular provider type, you can filter the list of available staff to display only those surveyors who are qualified for that provider. You can even ask AST (in My Settings) to do that for you automatically.

To add allowed facilities to the staff member record:
1. On the Employee Details tab, click the button to the right of Allowed Facility Types to open the Allowed Facility Categories window.
Figure 41: Allowed Facility Categories window

**Note:** Selected provider types are abbreviated in the Allowed Facility Types field.

2 Select the checkbox next to each provider category for which the surveyor is qualified.

3 Click **OK** when done.

**Specify Conflicts of Interest**

In the staff member record, you can list facilities with which the surveyor may have a conflict of interest. Schedulers see this information when considering team members. Additionally, AST alerts you if you try to schedule a surveyor for a provider with which there is a conflict of interest.
To add conflicts of interest to the staff member record:

1. On the Employee Details tab, click Conflict of Interest.

![Figure 42: Conflict of Interest window](image)

2. Click Add to open the Find Conflict of Interest window. Locate and select the provider with which the staff member has a potential conflict.

![Figure 43: Find Conflict of Interest window](image)
3 This window operates like other Find windows in ASPEN. Type in the search string (Text), select the search Type, then click Find Now.

4 In Search Results, select the provider you want to add and click Return Selection to open the Conflict Interest Type window.

![Conflict Interest Type window](image)

**Figure 44: Conflict Interest Type window**

5 In the Conflict Interest Type window, add an Effective Date and Expiration Date for the conflict, if applicable. You can also enter explanatory details. Click OK when done.

Schedulers can view this information from the Staff Availability List when considering team members.

6 Click OK to close the window.

AST provides a warning message if a scheduler assigns a surveyor to visit any provider with which there is a conflict.

**Specify Future Survey Security**

In the staff member record, you can indicate whether a staff member is allowed to see surveys scheduled in the future, and how many days into the future the staff member can see.

**Note:** The filter that excludes future surveys from view for the logged-on user applies to surveys listed in all areas of ACO, AST, and ACTS, for all provider types.
To add future survey security to the staff member record:

1. In the **Update Surveyor Information** window, go to the **Security** tab.
2. Click **Yes** in the confirmation message.

3. Select the checkbox beside **May Not See Surveys Scheduled Beyond ____ Days In The Future**, and enter a number of days. Click **OK** when done.

AST excludes all surveys with an Exit Date greater than the number of days entered from lists and calendars when this surveyor is logged on.
Set Up Action Item Email Notification

ASPEN includes a feature that provides for the delivery of specified system-generated action item notices via email to SA or RO recipients.

**ASPEN Configuration Requirements**

To enable action item email notification, you must:

- Specify which types of action items will be delivered via email.
- Set up action item email delivery for each staff member who is to receive notices.

**ASPEN Implementation**

Email notification of an action item is delivered to a recipient when:

- The action item type has been flagged as email deliverable.
- The recipient has been set up to receive email notifications.

**Note:** When an action item is added, the corresponding email message may wait in a queue for up to 10 minutes before it is delivered to recipients.

ASPEN utilizes the CMS-based central email server for all messaging. The “sender” for ASPEN action item emails is always `Alerts@ASPEN.QTSO.com`. The state of origin is indicated in the Subject line.

---

*Figure 46: Action Item email example*
**Note:** ASPEN action items are displayed in the main application window whether or not an email notification is also sent. Email notices use the same recipient list as the related action item.

**Server Whitelist**

States may wish to add an exception to their email processing rules to always allow the incoming email server to receive ASPEN email alerts. To accomplish this, the email administrator can white-list the following email servers for emails originating from the sender *Alerts@ASPEN.QTSO.com*:

- SMTPRELAY.SDPS.ORG
- SMTPRELAY2.SDPS.ORG
- SMTPRELAY3.SDPS.ORG

**Specify Action Items for Email Delivery - SA**

In ACO, you designate the ASPEN action items to be delivered by email to SA staff members.

*To designate action items for email delivery - SA:*

1. From the ACO System menu, select System Configuration, then Email Configuration to open the Action Item Email Configuration window.

   **Tip:** Menu security should be set so that this option is enabled only for the individual(s) given responsibility for email configuration.

2. Select the action items to be delivered by email.

   The list contains action items of interest to SA. You can clear the checkboxes of those you do not want to be delivered to SA staff members via email.

![Figure 47: Action Item Email Configuration window - ACO](image)
Specify Action Items for Email Delivery - RO

In ARO, you designate the ASPEN action items to be delivered by email to RO personnel.

To designate action items for email delivery - RO:

1. On the ARO toolbar, click Config to open the Regional Offices window.
2. Click Configure Action Item E-mails to open the Action Item Email Configuration window.

Note: The Email Configuration option on the System menu is disabled in ARO.

3. Select the action items you want to be delivered by email.

The list contains action items of interest to ROs. You can clear the checkboxes of those you do not want to be delivered to RO staff members via email.

Figure 48: RO Action Item Email Configuration window - ARO
Enable Action Item Email Delivery for Staff Members

In addition to designating the action items for email notification, you must configure email delivery in the staff member record, i.e., Update Surveyor Information window, in ACO/ARO for each SA and RO staff member who is to receive action item notices. You will enter an email address and set email notification filters for each user.

To enable action item email delivery for a staff member:

1. Open the Update Surveyor Information window.
   - SA - In the ACO tree, click the Directory tab and expand the Staff Directory node. Right-click a name and select Update Staff Member.
   - RO - On the ARO toolbar, click Config to open the Regional Offices window, then click Manage RO User Accounts to open the RO Users window. Select a user and click Modify....

2. On the Employee Identification tab, provide an E-Mail Address in the Contact Information section.

3. Go to the Email Settings tab.
   The E-Mail Address entered on the Employee Identification tab is carried over and is read-only.

4. Select Receive Broadcast Emails and/or Receive Targeted Emails as appropriate.
   A targeted action item email is sent to specific individuals. For example, Responsible SA is sent only to the Responsible SA staff members assigned to the current certification kit in ACO or intake in ACTS.

   A broadcast message is sent to RO users for certain action items when no RO responsible parties are defined even if SA responsible parties are assigned. It is sent to those RO users who have Receive Broadcast Emails selected in their staff record.

5. Examples
   - The Complaint Closed action item is sent to all RO users configured to receive broadcast emails in the current region only if a Responsible RO staff member has not been assigned to the intake in ACTS.
   - The RO Approval Requested action item is broadcast to all configured RO users in the region only if a Responsible RO staff member has not been assigned, as applicable, to the certification kit in ARO or intake in ACTS.

   Note: Broadcast emails are not generated for SA users even though you can select Receive Broadcast Emails for them.

5. Set filters as appropriate for the user.

6. Except for Action Items Filter, use the Select/Deselect All buttons to select/deselect all items in a given section.
7 For Action Items Filter only, use the Select All button to select and enable all filter options. Use Deselect All to deselect and disable all filter options in other sections and deselect (but leave enabled) its own options.

Email Notification Filters

The Email Settings tab groups action items/activities into five filters:

- **Action Items Filter**—Lists all action items, except for 01-Added to Survey Team, for which email notification is available. SA users see only SA action items, RO users see only RO action items. This section is enabled when Receive Broadcast Emails or Receive Targeted Emails is selected.

- **ACTS Assigned Activity Filter**—Lists all ACTS activity types. This section is enabled (all options selected by default) only if 06 ACTS Assigned Activity is selected in the Action Items Filter section.

- **Enforcement Assigned Activity Filter**—Lists all Enforcement activity types. This filter is enabled (all options selected by default) only if 15 Enforcement Assigned Activity is selected under Action Items Filter.

- **AST Assigned Activity Filter**—Lists all AST activity types. This section is enabled (all options selected by default) only if 16 AST Assigned Activity is selected in the Action Items Filter section.

- **ARM Assigned Activity Filter**—Enabled only in ARO and relevant only for Central Office (CO) users.

Filter Behavior

When Receive Broadcast Emails or Receive Targeted Emails is first selected on the Email Settings tab, all filter options are selected by default. If both Receive Broadcast Emails and Receive Targeted Emails are deselected, all filter options are deselected and disabled.

**Note:** When Receive Broadcast Emails and/or Receive Targeted Emails are selected, the user will receive broadcast and/or targeted emails for all selected action items/activities.

Except for Action Items Filter, the Select/Deselect All buttons select/deselect all items in a given section. Select/Deselect All behave differently for the Action Items Filter section since selection/deselection of items 06, 15, and 16 selects and enables or deselects and disables (respectively) all filter options in other sections. Therefore, when Select All is activated in the Action Items Filter section, all items in all sections are selected and enabled; Deselect All deselects and disables all items in all sections except Action items Filter, where all items are deselected, but remain enabled.

If a user is to receive emails for most of the items in a filter, you can use the Select All button and then deselect the items for which the user is not to receive emails. If a user is to receive emails for just a few of the items in a filter, you can use the Deselect All button and then select the items for which the user is to receive emails.
State Licensure Information

States can store state licensure information and dates on the Licensing tab in Facility Properties. License expiration dates are listed for licensure-only facilities on the Scheduling view in AST.

Add licensure information to a facility record:

1. On the Alpha tab in ACO, right-click the facility in the tree and select Facility Properties.
2. In Facility Properties, go to the Licensing tab.
3. Fill in the licensing information. Click OK when done.

Facility Type Maintenance

Certification surveys to be scheduled in AST are listed by the Target Date that is set for the provider’s next certification cycle. The system calculates Target Dates for NHs, HHA, ICFs/IID, and CLIA labs when AST is activated. States manually insert target dates for other supported provider types.

The Scheduling tab in the Facility Type Maintenance window shows the target date calculating method for the provider type, and provides information about performance scoring for nursing homes.

To view the Scheduling tab for facility types:

1. From the System menu, select Facility Types, then Type Maintenance.
2. Enter the password and click OK.

---

Figure 49: RO Action Item Email Configuration window - ARO
3. Select the facility type you want to view (our example shows 021 Nursing Home selected) and click **Modify**.

4. Go to the **Scheduling** tab.

   The Scheduling tab is primarily informational, although states come here if they need to make adjustments to nursing home schedule groups.

![Figure 50: Scheduling tab](image)

**More ...**

Procedure: "Set/Change Target Dates" on page 24

### Lookup Values

CMS provides lookup values for personal activities and processing steps.

### Add Personal Activities to Lookup Values

AST allows scheduling of non-survey activities such as leave time, training sessions, and staff meetings. You can add activities like this to your personal calendar in My ASPEN. Schedulers are alerted if they try to schedule you for a visit on the same day you have a personal activity.

Your personal activities do not show on the main scheduling calendar, but schedulers can check individual activities by using the Show Schedule button on the Staff Availability List.
CMS has added six primary categories of personal activities to Lookup Values:

01 LEAVE
05 ADMINISTRATIVE
10 MEETING
15 TRAINING
20 TRAVEL (NON-SURVEY)
99 OTHER

States can use these as is, or add custom subcategories to them. The primary categories cannot be modified.

**Add a personal activity to Lookup Values:**

1. From the ACO/ARO System menu, select the path **Lookup Values | Personal Activities**.

   ![Select Lookup Values | Personal Activities menu](image_url)

   **Figure 51: Select Lookup Values | Personal Activities menu**

   The Calendar Personal Activities Configuration menu opens.

   ![Calendar Personal Activities Configuration window](image_url)

   **Figure 52: Calendar Personal Activities Configuration window**

2. In the **Calendar Personal Activities Configuration** window, click **Add**.
3 In the **Create Personal Activity** window, supply a **Code** (required, 3-character alphanumeric) and **Description** (40 characters are allowed), then choose the **Activity Category**.

![Create Personal Activity window](image)

*Figure 53: Create Personal Activity window*

4 Click **OK** when done.

**Processing Steps**

AST Processing Steps are a breakdown of the processes involved in survey and certification, CHOWs, enforcement actions (NH), and terminations (non-NH). They provide users with a means to record and monitor time spent on these activities.

Processing Steps are maintained on the Tracking tab of the certification kit. Most steps are added to the Tracking tab automatically following specific user entries in AST. States and ROs can add additional steps to the Tracking tab manually as needed.

Processing Steps are Lookup Values pre-defined by CMS Central Office. They correspond to report specifications for the certification profile and timeliness reports.

**More ...**

- Procedure: “Processing Steps” on page 60
- Screen: “Processing Steps tab” on page 113
- “Processing Step Definitions” on page 155
AST Reports

The Scheduling and Tracking Reports menu contains three classifications: Profile Reports, Scheduling Reports, and Tracking Reports.

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**Figure 54: Scheduling and Tracking Reports menu**

In addition, right-click menus on each of the Scheduling folders provide access to reports that print folder contents.

---

**Figure 55: Print folder contents options**
While profile reports generate information about a specific provider, scheduling and tracking reports generate information about a group of providers. Scheduling and tracking reports have powerful customization features. You can define and save multiple report formats.

Fields: "Report Customization", on page 153

Figure 56: Customization Options window
Profile Reports

Profile reports provide information about a single facility. All of the profile reports use the same basic procedure.

*To print a profile report:*

This example demonstrates printing an **Initial Certification Profile**.

1. From the **Reports** menu, select the path **Scheduling and Tracking Reports | Profile Reports | Initial Certification Profile**.

![Figure 57: Initial Certification Profile report option](image)

2. In the **Find** window, type a search string (to locate the facility), indicate the **Type** of search, and click **Find Now**.

![Figure 58: Find window](image)
3 In **Search Results**, double-click the provider for which you want to print a report.

AST locates the certification for that provider and places it in the right pane. You can select more than one. AST prints a separate report for each.

![Figure 59: Right pane lists certifications for selected providers](image)

4 In the right pane, select the providers you want for the reports and click **OK**. AST prints the reports.

### Scheduling Reports

Scheduling and tracking reports generate information about a group of providers that you select.

The following example demonstrates how to print the Target Certification Month Report for all of the nursing homes in a specific region.

**To print a Target Certification Month Report:**

1 From the **Reports** menu, select **Scheduling and Tracking Reports**, then **Scheduling Reports**, then **Schedule – Target Month** to go to the **Report Custom For: Target Certification Month Report** window.
Fields: "Report Customization", on page 153

2. In the **Definition (Click to Set)** column, click the **All** button to open the **Facility Category** window.

   You can filter by Facility Type, Work Unit, Management Unit, and State Region Code. By default, all categories are selected.
3 In the **Facility Category** window, click **Deselect All** to uncheck all categories. Select the checkbox beside the categories you want to display.

![Facility Category window](image)

**Figure 61: Facility Category window - only Nursing Homes selected**

4 Click **OK** to return to the **Report Custom For: Target Certification Month Report** window.

**Save the report format**

5 If you want to save these report specifications to use again, select **Save Report Specification** and supply the **Report Specification Name**.

   The format is saved when you print the report.

6 Click **Print Now**.

   AST prints the report.
Certification Milestones Report

Another valuable report that is new with AST is the Certification Milestones report. This report can be printed from the Reports menu (where it’s called Facility Milestones) or as a Quick Report in ACO.

To print a Certification Milestones report:

- Right-click a certification kit (anywhere in ACO or AST) and select Quick Reports, then Certification Milestones.

Other AST reports are also available from this menu.

Figure 62: Quick Reports menu

More ...

“Certification Milestones” on page 203
This chapter contains pictures and brief descriptions of screens and windows encountered when working in the ASPEN AST application.

If you are viewing this document online, take advantage of the hyperlinks. You can click the cross-reference at the top of each graphic to jump to detailed descriptions of the fields on that section of screen, as shown in the example below (page number may not be current).

Figure 63: Cross-reference from screen shot to field descriptions
Scheduling

The Scheduling navigation bar provides access to schedule view, prescheduling, starting an initial certification, creating validation surveys, adding CHOW events, and viewing licensure-only facilities. Schedule view is open by default when you enter AST (this can be changed in My Settings).

Schedule View window

The License View button on the Scheduling shortcut bar toggles the appearance of the top folder between Certification Visits to be Scheduled and License Visits to be Scheduled.

Schedule view has the following folders:

- Certifications to be Scheduled
- License Visits to be Scheduled (License View)
- Complaints to be Scheduled
- Revisits to be Scheduled
- Calendar
Certifications to be Scheduled folder

Certifications to be Scheduled lists providers for which a certification survey has not been scheduled, and a certification kit has not been created. By default, the list is sorted alphabetically by provider name. Schedulers can specify a date range using the Target dates in the title bar.

Certifications to be Scheduled—Title bar

Certifications displayed in this folder are determined by the settings on the title bar.

Fields: "Certifications to be Scheduled—Title bar", on page 121
**Certifications to be Scheduled grid window**

Providers are listed according to the Target date range specified in the title bar and are filtered by the active AST selection set.

Fields: "Certifications to be Scheduled—Grid", on page 121

![Certifications to be Scheduled grid window](image)

Figure 66: Certifications to be Scheduled grid window

For CLIA labs, there are additional CLIA-specific fields.

Fields: "Certifications to be Scheduled—Grid", on page 121

![Certifications to be Scheduled grid - CLIA lab window](image)

Figure 67: Certifications to be Scheduled grid - CLIA lab window

**License Visits to be Scheduled folder**

The License Visits to be Scheduled folder lists all licensure-only facilities that do not have an active licensure survey (a licensure survey with survey status of Open). By default, the list is sorted alphabetically by provider name. Schedulers can specify a date range using the Target dates in the title bar.

**License Visits to be Scheduled—Title bar**

License visits displayed in this folder are determined by the settings on the title bar.

Fields: "License Visits to be Scheduled—Title bar", on page 124

![License Visits to be Scheduled title bar](image)

Figure 68: License Visits to be Scheduled title bar
**License Visits to be Scheduled grid window**

Providers are listed according to the state-assigned target date for the next planned visit.

*Fields: "License Visits to be Scheduled—Grid", on page 125*

![Figure 69: Licensed Visits to be Scheduled grid window](image)

**Complaints to be Scheduled folder**

Complaints to be Scheduled lists all open intakes that have not yet been assigned an investigation. By default, the list is sorted alphabetically by facility name. Schedulers can specify a date range using the Due Date in the title bar.

**Complaints to be Scheduled—Title bar**

Complaints/incidents displayed in this folder are determined by the settings on the title bar.

*Fields: "to be Scheduled—Title bar", on page 126*

![Figure 70: Complaints to be Scheduled title bar](image)

**Complaints to be Scheduled grid window**

Providers are listed according to the Due Date range specified in the title bar and are filtered by the active AST selection set.

*Fields: "to be Scheduled—Grid", on page 126*

![Figure 71: Complaints to be Scheduled grid window](image)
Revisits to be Scheduled folder

Revisits to be Scheduled includes surveys with a Revisit Status of 1-Required. The Revisit list contains revisits for certifications, complaints, enforcement cases, and licensure-only facilities.

Revisits to be Scheduled—Title bar

Revisits displayed in this folder are determined by the settings on the title bar.

Fields: "Revisits to be Scheduled—Title bar", on page 127

Figure 72: Revisits to be Scheduled title bar

Revisits to be Scheduled grid window

Providers are listed according to the X5 Date range specified in the title bar and are filtered by the active AST selection set.

Fields: "Revisits to be Scheduled—Grid", on page 127

Figure 73: Revisits to be Scheduled grid window
**Select Date Range window**

Use this window to set:

- Target date range in the Certifications/License Visits to be Scheduled folders.
- Investigation Due Date range in the Complaints to be Scheduled folder.
- X5 Date range in the Revisits to be Scheduled folder.

![Select Date Range window](image)

*Figure 74: Select Date Range window*

**Calendar folder**

AST's scheduling calendar is a standard Windows calendar that shows events scheduled for a given month.

**Calendar—Title bar**

![Calendar—Title bar](image)

*Fields: "Calendar—Title bar", on page 130*

*Figure 75: Calendar title bar*

**Calendar window**

![Calendar window](image)

*Figure 76: Calendar window*
Preschedule

Pre-selection Filter window

Use this window to pre-select the provider type you want to preschedule. The Preschedule window is populated based on your selections in this window.

Fields: "Pre-Selection Filter window", on page 130

Figure 77: Pre-selection Filter window

Preschedule window

AST Prescheduling is designed to simplify scheduling for provider categories that have a coverage level specified in the CMS annual CMS Mission and Priority Document.

In addition to the customary provider information, the Preschedule window shows you:

- The date the last survey was performed for each provider.
- The number of elapsed months since the last survey.
- The received date for a substantiated complaint (if there is one).
- The number of deficiencies cited in the last year.
Figure 78: Preschedule window

Fields: "Preschedule window", on page 131
Tracking

Tracking View window

There are three folders in Tracking view:

- Certification and Licensing
- Complaints
- Calendar

Enforcement cases may be listed more than once depending on whether the surveys linked to the case are certification surveys and/or complaint investigations.

![Tracking View window]

Figure 79: Tracking view window

Certification and Licensing folder

All Certifications node window

Fields: "All Certifications node", on page 132

![All Certifications node window]

Figure 80: All Certifications node window
Process Tracking: Certifications node window

Fields: "Process Tracking: Certifications node", on page 133

![Figure 81: Process Tracking: Certifications node window](image1)

Process Tracking: Licensure node window

Fields: "Process Tracking: Licensure node", on page 134

![Figure 82: Process Tracking: Licensure node window](image2)
Complaints folder

**Complaint Status node window**

Fields: "Complaint Status node", on page 135

![Complaint Status node window](image)

*Figure 83: Complaint Status node window*

**Investigation Processing node window**

Fields: "Investigation Processing node", on page 136

![Investigation Processing node window](image)

*Figure 84: Investigation Processing node window*

Calendar folder

This is AST’s standard scheduling calendar (see and Fields: "Calendar folder", on page 130).
My ASPEN window

My ASPEN provides access to My Settings and My Activities.

- My Settings lets you configure your AST displays.
- My Activities displays a personalized view of action items, events, and scheduled activities to the logged-on user.

Figure 85: My ASPEN window
**Personal Activity for window**

The Personal Activity for window opens when you double click on any day or existing activity in the My ASPEN calendar. Details of the activity are entered/displayed here.

*Fields: "Personal Activity for", on page 137*

*Figure 86: Personal Activity for window*
My Preferences window

In the My Preferences (lower) section of My Settings, you can set application mode and AST view so that you do not have to spend time adjusting what is displayed to meet your work needs every time you start AST.

Figure 87: Graphic of My Preferences section of My Settings window

Tracking tab in Certification Kits

The Tracking tab in certification kits provides a central point for managing and monitoring all aspects of the certification process, both fieldwork and internal office procedures. It includes the following components:

- Certification Summary section
- CLIA Authorization for State Validation Survey (CMS 2802) section (enabled for CLIA only)
- Responsible Parties tab
- Activities/Action Items tab
- Processing Steps tab
- 2567/POC/IDR tab
- Termination tab (except NH)
- Enforcement tab (NH only)
- Notices tab
- CHOW tab
Certification Summary

This section at the top of the Tracking tab provides very basic details about the certification.

Fields: "Certification Summary", on page 138

For ICFs/IID only, LTC Agreement and Extension dates may be present, but are read-only and ignored by AST.

Fields: "Certification Summary", on page 138

CLIA Authorization for State Validation Survey (CMS 2802)

States use this section to request approval for validation surveys of CLIA labs. ROs use it to enter their response to a request. Information entered here appears on the CMS-2802 form.

Fields: "CLIA Authorization for State Validation Survey (CMS 2802)", on page 139

Figure 89: Certification Summary section of the Tracking tab for ICFs/IID

Figure 90: CLIA Authorization for State Validation Survey (CMS 2802) section of the Tracking tab
Responsible Parties tab

Use this Tracking subtab to designate Responsible Parties for the certification, both SA and RO.

Fields: "Responsible Parties tab", on page 139

![Figure 91: Responsible Parties section of the Tracking tab](image)

Activities/Action Items tab

On this Tracking subtab, you can assign activities to staff members. Action items are automatically sent to the assigned personnel.

Fields: "Activities/Action Items tab", on page 140

![Figure 92: Activities/Action Items section of the Tracking tab](image)

Processing Steps tab

The Processing Steps subtab provides detailed information about individual certification tasks.

"Processing Step Definitions" on page 155

![Figure 93: Processing Steps section of the Tracking tab](image)
2567/POC/IDR tab

This subtab provides a convenient summary of dates and details for all SODs, POCs, and IDRs associated with a certification process.

Fields: "2567/POC/IDR tab", on page 140

Termination tab

This subtab summarizes details of IJ/termination actions associated with a certification for non-NH providers. The Enforcement tab appears instead of the Termination tab for NHs.

Fields: "Termination tab", on page 142
Termination Tracking Event window

This window opens when you click Add Termination Event on the Termination subtab in a certification kit for a non-NH provider. Use it to provide details about an IJ/termination action.

Fields: "Termination Tracking Event window", on page 143

Figure 96: Termination Tracking Event window
Define Activity window

This window opens when you click Add, or select an existing activity and click Modify, on the Activities/Action Items subtab of the Tracking tab or tab of the Termination Tracking Event window. When you add an activity, an action item is sent to designated staff members.

Fields: "Define Activity", on page 144
Enforcement tab

For Nursing Homes only, the Enforcement subtab lists enforcement actions associated with a certification process.

Figure 98: Enforcement section of the Tracking tab

Notices tab

Use this subtab to print letters and view the letter history associated with the certification process.

Figure 99: Notices section of the Tracking tab
**CHOW tab**

This subtab lists CHOW events for the certification including the processing steps for each CHOW.

*Fields: "CHOW tab", on page 148*

![CHOW Events Tracking](image1.png)

*Figure 100: CHOW section of the Tracking tab*

**CHOW Event Tracking window**

This window opens when you click Add CHOW Event on the CHOW subtab of the Tracking tab.

*Fields: "CHOW Event Tracking window", on page 148*

![CHOW Event Tracking](image2.png)

*Figure 101: CHOW Event Tracking window*
Staff Availability List in AST

You access the Staff Availability List from the Scheduling folder or from an individual survey.

Click any column heading to sort the list by that column. Four columns have button drilldowns to more specific detail:

- Other Disciplines
- Facility Type Qualifications
- Show Schedule
- Conflict of Interest

The Calendar button provides access to each surveyor's personal calendar but is visible only if **Activate Supervisor Calendar View of Other Staff** is selected in System | System Configuration | State Customization.

The Staff Availability List has two tabs for displaying relevant surveyor information: Staff Detail and Scheduling - 7 Day.

**Staff Detail tab**

The Staff Detail tab shows surveyor specifics such as Work Unit, Discipline, and Qualifications, with drill-down access to scheduled activities, conflicts of interest, and individual surveyors' personal calendars.

*Figure 102: Staff Availability List - Staff Detail tab*
The Scheduling – 7 Day tab shows the entire staff list with graphic indicators for those who have events already scheduled that week.

Figure 103: Staff Availability List - Scheduling 7-Day tab
AST Fields and Buttons

For each field, column, or button in a screen or section of screen, the name is given followed by a description. Function buttons not included within a section are listed under the heading Buttons.

Scheduling

Schedule View

Click Schedule to open Schedule view on the Scheduling shortcut bar. You can expand the Certifications to be Scheduled, Complaints to be Scheduled, and Revisits to be Scheduled folders. To toggle between Certifications to be Scheduled and License Visits to be Scheduled, click the License View button.

Certifications to be Scheduled folder

Certifications to be Scheduled—Title bar

Target
  Shows target date range.

Grid button
  Click to open the Select Date Range window and set the target date range.

Show All
  Select/deselect to use/ignore target dates.

Show Deemed
  Select/deselect to include/exclude deemed providers.

Staff Availability
  Opens Staff Availability List.

Certifications to be Scheduled—Grid

Fac ID
  Unique ASPEN identifier for the facility.
Name
Current facility/provider operating name.

Medicare ID
The provider's Medicare identification number.

Initial
CLIA only.
When this checkbox is selected, an initial certification is required.

Type
Provider category.

Current Certificate Type
CLIA only.
Type of certificate currently held by the lab (1 Compliance, 2 Waiver, 4 PPMP, or 9 Registration. Registration has two subtypes: 1 Compliance and 3 Accreditation).

Team
Team ID of the survey team assigned to the facility/provider.

LSC Team
For applicable Hospital subtypes, NH, ICF/IID, ASC, ESRD, Hospice.
Team ID assigned to the LSC team.

Last Health Survey
Exit date of the last health survey; null if the last certification kit did not have a health survey.

Elapsed Months To Today
Number of months between today and last survey.

Elapsed Months To Target
Number of months between target date and last survey.

Std Score
Calculated value used to assign NHs to scheduling groups.

Target Health Survey
An approximate date by which the next health certification survey should begin.

Tot Affil/Cert Affil
Indicates the number of affiliations or branches of this facility, and those affiliates with certifications.
**Target LSC Survey**
An approximate date by which the next LSC certification survey should begin. This defaults to the same date as the Target Health Survey date, but can be changed by the user.

**Certificate Effective Date**
CLIA only.
Date the most recent pending or current CLIA lab certificate takes effect.

**Certificate Expiration Date**
CLIA only.
Date the most recent pending or current CLIA lab certificate expires.

**Prior Certificate Type**
CLIA only.
Provider category with values: LAB-COMPL, -ACCR, -WAIV, -PPMP, -NEW

**Payment Received**
CLIA only.
When this checkbox is selected, indicates that facility has made payment for the current certification cycle.

**116 SCHED CD**
CLIA only.
Billing schedule code for a Compliance or Accredited lab based on self-reported specialties on the lab’s CMS-116 form.

**1557 SCHED CD**
CLIA only.
1557 billing schedule code for a Compliance or Accredited lab based on survey-verified specialties.

**Open Complaints**
Number of open complaints.

**Subst. Complaint**
The date on which the last substantiated complaint occurred.

**Active Enforcement**
A Yes in this column indicates the provider has at least one open active case that has no Substantial Compliance date entered. Click the Yes button for details.

**Last LSC Survey**
Exit date of the last LSC survey; null if the last certification kit did not have an LSC survey.
Beds
Total bed count (including held beds).

Bankruptcy
Indicates the provider has declared bankruptcy. From selection in Facility Properties | Other.

NATCEP Loss
Select to indicate the provider has experienced a loss of NATCEP in the past. NATCEP Loss is entered in AEM on the NATCEP tab of the enforcement case.

City
City in which the provider is located.

Address
Current facility/provider primary street (not mailing) address.

County Name
County in which the facility/provider is located.

Telephone
Facility/provider main telephone number.

Fax
Facility fax number, as entered in Facility Properties.

Email
Facility email address, as entered in Facility Properties.

License Expires
The date on which the facility's state license is scheduled to expire, as entered in Facility Properties.

License Visits to be Scheduled folder

License Visits to be Scheduled—Title bar

Target
Shows target date range.

Grid button
Click to open the Select Date Range window and set the target date range.

Show All
Select/deselect to use/ignore target dates.

Staff Availability
Opens Staff Availability List.
License Visits to be Scheduled—Grid

Fac ID
Unique ASPEN identifier for the facility.

Name
Current facility/provider operating name.

Type
Provider category.

Team
Team ID of the survey team assigned to the facility/provider.

Last Survey
The date the last survey was performed for each provider.

Target Health
An approximate date by which the next health certification survey should begin.

Target Lic Survey
An approximate date by which the next licensure certification survey should begin.

Lic Expire
The date on which the facility's state license is scheduled to expire, as entered in Facility Properties.

Subst. Complaint
The date on which the last substantiated complaint occurred.

Elapsed Months
The number of elapsed months since the last survey.

Cite Count
Number of citations in the past year.

City
City in which the facility/provider is located.

Address
Current facility/provider primary street (not mailing) address.

County
County in which the facility is located.
**Bankruptcy**

A 1 in the column indicates the provider has declared bankruptcy. Pulled from selection in Facility Properties | Other. If checkbox in Facility Properties | Other has not been selected, a 0 appears in this column.

**Complaints to be Scheduled folder**

*to be Scheduled—Title bar*

**Due Date**

Shows investigation due date range.

**Grid button**

Click to open the Select Date Range window and set the investigation due date range.

**Show All**

Select/deselect to use/ignore target dates.

**Staff Availability**

Opens Staff Availability List.

*to be Scheduled—Grid*

**Fac ID**

Unique ASPEN identifier for the facility.

**Name**

Current facility/provider operating name.

**Type**

Provider category.

**Intake ID**

The ASPEN ID assigned to the complaint.

**Received Date**

The date on which the complaint was received.

**Status**

The status of the complaint.

**Priority**

The priority assigned to the complaint.

**Due Date**

The date by which the complaint investigation must begin.
Team
Team ID of the survey team assigned to the facility/provider.

Complainant
The person/entity lodging the complaint.

Revisits to be Scheduled folder

Revisits to be Scheduled—Title bar

X5 Date
Shows X5 (Completion) date range.

Grid button
Click to open the Select Date Range window and set the X5 date range.

Show All
Select/deselect to use/ignore target dates.

Staff Availability
Opens Staff Availability List.

Revisits to be Scheduled—Grid

Revisit Status
Determines which providers go on the Revisits to be Scheduled list. Set by the system to 1-Required for standard surveys with the exception noted below, and to 2-Not Required for revisits. You can manually override the auto-entered value. For licensure-only surveys, Revisit Status is set manually.

Note: If Provides Swing Beds (SF44) = Yes in a related certification kit when an initial survey is created for a deemed Hospital, Revisit Status is set to 2-Not Required by default. If SF44 is changed from No to Yes after the survey is created, Revisit Status is not changed.

When a 2567 Issued date is entered for any survey, Revisit Status is updated to 1-Required, and the survey is flagged for revisit scheduling. You will receive a message if the survey has no correctable citations. You can choose to retain the 2567 Issued date and allow revisit scheduling anyway, or not.

If an intake is finalized and Revisit Status is 1-Required for the most recent investigation revisit survey (based on exit date) associated with the intake, Revisit Status is automatically set to 2-Not Required for that revisit. If an investigation does not have any revisits, Revisit Status is not changed for the investigation.
Fac ID
Unique ASPEN identifier for the facility.

Name
Current facility/provider operating name.

Medicare ID
The provider's Medicare identification number.

Type
Provider category.

Team
Team ID of the survey team assigned to the facility/provider.

Event Type
Type of Survey – Health or LSC, Standard or Revisit.

Start Date
The date on which the survey began.

Exit Date
Survey exit date.

Event ID
The survey identification number.

Survey Category
Type of survey, as selected in Survey Properties.

HiCite
Tag having the highest scope of severity for the survey.

Std Score
For NH and HHA only.

NH - Derived from the raw score. To determine target dates for nursing homes, AST totals the deficiency results from Health and LSC surveys, both certification and complaint. Deficiency totals are then weighted by scope/severity, Substandard Quality of Care (SQC), and period of non-compliance to produce a raw performance score.

HHA - Selected in Survey Frequency field of Certification Kit, Application tab (CMS-1572A), Miscellaneous section.

2567 Issued
The date on which Form CMS-2567 was sent to the provider.

Admin Signoff
Date the administrator signed the Plan of Correction (POC).
POC Approved
Date the POC is approved by the investigating agency.

Completion (X5)
POC Complete date, i.e., date by which the facility states the deficiency will be corrected.

StateID
License Number as entered in Facility Properties | Facility Definition window.

Staggered Survey
A Yes in this column indicates that the survey qualifies as staggered - began on a weekend, or in the early morning or evening hours.

Day
For staggered surveys, the day on which the staggered survey began.

Time
For staggered surveys, the time at which the staggered survey began.

IDR Req Date
The date on which an Informal Dispute Resolution (IDR) was requested.

IDR Comp Date
The date on which the IDR was completed.

POC Tracking
Displays POC Tracking information as entered in the certification kit.

IDR
Displays IDR information as entered in the certification kit.

Select Date Range

Target Start Date
Start date of the target date range for (depending on “to be Scheduled” folder) certification surveys/license visits, complaint investigations, or revisits to be scheduled.
Date entered automatically depending on option chosen in Select Target Date Range list. You can change the date if necessary.

Target End Date
End date of the target date range.
Date entered automatically depending on option chosen in Select Target Date Range list. You can change the date if necessary.
**Select Target Date Range**
Select the appropriate option and the Target Start Date and Target End Date are automatically entered. To specify a custom range, enter the dates directly.

**Include past due facilities?**
If selected, includes providers with due dates prior to the specified Target Start Date.

**Calendar folder**

**Calendar—Title bar**

**Month/Year**
Select the double-arrow button to move the calendar to previous/next year. Select the single-arrow button to move the calendar to previous/next month.

**Print button**
Offers a printed copy of the current calendar, plus a Schedule Detail report for which you can specify a date range and survey type.

**Change View button**
Selects the calendar view. Options are: 5-day, 7-day, 7-day with stacked weekends, Rolling Day view, which breaks days down into half-hour increments.

**Preschedule**

**Pre-Selection Filter window**

**Facility Type**
Select any supported provider or state licensed-only facility type.

**Exclude**
For provider types other than hospitals, filters the list of facilities to be scheduled by accreditation status, choosing whether you want to include/exclude specified accreditations.

**Automatically Select Facilities Based on Duration from Last Certification**
Select to have AST automatically select a percentage of facilities. AST chooses those with the longest duration since their last certification. For licensed-only facilities, AST uses the last survey date.
Specify percent of facilities to select
Enter percentage.

Clear All button
Removes all the selections and target dates on the Preschedule list.

Preschedule window

Fac ID
Unique ASPEN identifier for the facility.

Name
Current facility/provider operating name.

Type
Provider category.

Team
Team ID of the survey team assigned to the facility/provider.

Last Survey
The date the last survey was performed for each provider.

Target Health
An approximate date by which the next health certification survey should begin.

Target Lic Survey
An approximate date by which the next licensure survey should begin.

Lic Expire
The date on which the facility's state license is scheduled to expire, as entered in Facility Properties.

Subst. Complaint
The date on which the last substantiated complaint occurred.

Elapsed Months
The number of elapsed months since the last survey.

Survey Count
The number of deficiencies cited in the last year.

City
City in which the facility/provider is located.

Address
Current facility/provider primary street (not mailing) address.
**County**
County in which the facility is located.

**Bankruptcy**
A 1 in the column indicates the provider has declared bankruptcy. Pulled from selection in Facility Properties | Other. If checkbox in Facility Properties | Other has not been selected, a 0 appears in this column.

**Selection Details**
**Figures and Percentages**
Numbers shown apply to providers that match conditions specified in the Pre-selection Filter. Apply to all the providers of the type selected.

**Tracking**
**Tracking View**
The following is a list of the nodes in Tracking view and the events they contain.

---

**Certification and Licensing folder**

**All Certifications node**

**Initial Certifications**
All active initial certifications meeting the current selection criteria.

**Recertifications**
All active recertifications meeting the current selection criteria.

**CHOWs**
All active CHOWs meeting the current selection criteria. An active CHOW includes any certification kit regardless of tracking status that has a CHOW event defined that does not have L9 entered.
Process Tracking: Certifications node

Health/LSC Std Visit Req’d

Active certifications for which both Health and LSC surveys are required, and one or the other or both has not been scheduled.

Future Visits

Active certifications containing scheduled visits for which the survey Exit Date is greater than today.

Requires SOD Issuance

Active certifications containing at least one visit that requires a CMS-2567 to be sent (as indicated by the presence of Federal correctable citations), but a CMS-2567 has not been issued.

Note: Federal correctable citations for LTC providers are those citations with a Scope/Severity of D and above. For non-LTC providers, any citation is considered correctable.

Waiting for Acceptable POC

Active certifications for which at least one survey has a CMS-2567 issued, but there is no Accepted POC date (a POC may have been received, but not accepted). Also lists those certifications for which POC Required is selected in the Informal Dispute Resolution window, and for which there is no POC Received date.

IDR Review Pending

Active certifications for which at least one survey has an IDR Request Received date, but not an IDR Completion date.

Revisits to be Scheduled

Active certifications with at least one survey visit which meets the conditions of requiring a revisit (as defined in the Scheduling: Surveys Awaiting Revisit section) but for which a revisit has not yet been scheduled. Qualifying visits that have the Revisit Status changed manually to Not Required are excluded from this list.

RO Review/Approval

Active certifications requiring RO signoff (initials/flagged recertifications) that have been released by the State for RO review. (This is equivalent to the RO Pending list in the national reporting system.)
Enforcement
Active certifications that contain a visit related to an enforcement case. Certifications with enforcements are listed under the following categories:

**Active IJ**
Certifications containing a visit associated with an enforcement case that has an active IJ situation.

**Non-IJ < 70 Days**
Certifications containing a visit associated with an active enforcement case that has no current IJ situation and has a Cycle Start date less than 70 days earlier than today.

**MDOPNA in 20 Days**
Certifications containing at least one visit associated with an active enforcement case that has no Substantial Compliance date and is within 20 days of the Effective Date of a Mandatory Denial of Payment for New Admissions remedy.

**Case > 90 Days old**
Certifications containing at least one visit associated with an active enforcement case that has a Cycle Start date more than 90 days earlier than today.

**Waiting for Upload**
Active certifications for which the SOD has been issued and the POC received.

**Uploaded: Waiting for Tracking Closure**
Active certifications that are not listed in any of the above categories, indicating that the tracking process is completed.

**Process Tracking: Licensure node**

**Requires SOD Issuance**
Facilities for which a licensure survey exists and requires a CMS-2567 to be sent (as indicated by the presence of correctable citations), but a CMS-2567 has not been issued.

**Future Visits**
Facilities with licensure visits scheduled for which the survey Exit Date is greater than today.

**Waiting for Acceptable POC**
Facilities for which a licensure survey exists and a CMS-2567 has been issued, but there is no Accepted POC date.
**IDR Review Pending**
Facilities for which a licensure survey exists which has an IDR Request Received date, but not an IDR Completion date.

**Revisits to be Scheduled**
Facilities for which a licensure survey exists which meets the conditions of requiring a revisit (as defined in the Scheduling: Surveys Awaiting Revisit section) but for which a revisit has not yet been scheduled. Qualifying visits which have the Revisit not Required box selected are excluded from this list.

**Enforcement**
Facilities for which a licensure survey exists which is related to an active enforcement case.

**Waiting for Tracking Closure**
Facilities for which a licensure survey exists that is not listed in any of the above categories, indicating that the tracking process is completed.

**Complaints folder**

**Complaint Status node**
Status nodes in AST Tracking use the same rules as ACTS:

**1-Triage/Prioritization**
Default status for new intake.

**2-Pending RO Approval**
Request for RO Approval selected (EMTALA or Deemed/Accredited).

**3-Pending Review/Assignment**
- For a Non-EMTALA, non-Deemed/Accredited intake, Priority level entered.
- For an EMTALA or Deemed/Accredited intake, RO Response entered.
- For an intake that is both EMTALA and Deemed/Accredited, RO Response entered for both.

**4-Under Investigation**
Investigation Start Date or Overall Findings entered.

**5-Investigation Completed**
Investigation Completed date entered.

**6-Forwarded to R.O./CO**
Forwarded to RO/CO date entered.

**7-Pending SA Finalization**
Final Action signoff date entered, but intake is not yet finalized.
Investigation Processing node

Note: All complaints under the Investigation Processing nodes have a status of 4-Under Investigation or above.

Future Visits

Complaint/incident investigations containing scheduled visits for which the survey Exit Date is greater than today.

Offsite Investigations

Complaint/incident investigations for which Offsite has been selected as a survey Extent in Survey Properties.

Requires SOD Issuance

Complaint/incident investigations that require a CMS-2567 to be sent as indicated by the presence of correctable citations, but a CMS-2567 has not been issued.

Waiting for Acceptable POC

Complaint/incident investigations for which at least one survey has a CMS-2567 issued, but there is no Accepted POC date.

IDR Review Pending

Complaint/incident investigations for which at least one survey has an IDR Request Received date, but not an IDR Completion date.

Waiting for Revisit

Those investigations with at least one survey visit that meets the conditions of requiring a revisit (as defined in the Scheduling: Surveys Awaiting Revisit section) but for which a revisit has not yet been scheduled.

RO Review/Approval

Those complaints/incidents requiring RO signoff.

Enforcement

Open complaint/incident investigations containing a visit related to an enforcement case. Investigations with enforcements are listed under the following categories:

Active IJ

Open complaint/incident investigations containing a visit associated with an enforcement case that has an active IJ situation.

Non-IJ < 70 Days

Open complaint/incident investigations containing a visit associated with an active enforcement case that has no current IJ situation and has a Cycle Start date less than 70 days earlier than today.
**MDOPNA in 20 Days**
Open complaint/incident investigations containing at least one visit associated with an active enforcement case that has no Substantial Compliance date and is within 20 days of the Effective Date of a Mandatory Denial of Payment for New Admissions remedy.

**Case > 90 Days old**
Open complaint/incident investigations containing at least one visit associated with an active enforcement case that has a Cycle Start date more than 90 days earlier than today.

**Waiting for Upload**
Open complaint/incident investigations for a POC is either not required, or has been received and approved.

**Uploaded: Waiting for Tracking Closure**
Open complaint/incident investigations that have been successfully uploaded to the national repository.

---

**My ASPEN**

**Personal Activity for**

**Activity Type**
Required. Drop-down list of activity types. Manage list in System | Lookup Values | Personal Activities.

**Description**
Optional. Description of activity.

**Location**
Optional. Activity location.

**Start Time**
Date activity begins.

**End Time**
Date activity ends.

**All Day Activity**
If checked, indicates activity lasts all day. If unchecked, two fields display for entering start and end times for the activity.

**Remind me of this Activity**
Optional. Select checkbox to be notified prior to activity start.
By
Notification options are: Action Item in ASPEN or E-Mail, Action Item.

At Least ___ Before Start
If All Day Activity is selected, you can receive a reminder 24 hours in advance of the activity start date. If All Day Activity is deselected, you have the following reminder options: 15 Minutes, 30 Minutes, 1 Hour, 2 Hours, 4 Hours, 8 Hours, 24 Hours.

Activity Notes
Optional text field for entering activity notes.

Tracking tab in Certification Kits

Certification Summary

Application Received
Date the initial certification was created. Automatically inserted by AST; you can change it if necessary. Included only in initial kits for non-CLIA providers.

Certification Date (L34)
The latest exit date of the standard surveys linked to a certification kit. For deemed kits that do not have surveys, ASPEN enters the Survey Date (L34) from the 1539.

Health Exit (X3)
Exit date of Health survey.

LSC Exit (X3)
Exit date of LSC survey.

Tracking Status
AST assigns a Tracking Status of 01-Active Certification Process when a certification is created.

When all information is entered and the certification has been successfully uploaded (as indicated by Tracking milestone: Uploaded-Ready for Closure), change the Tracking Status to 10-Processing Complete. This signals AST to remove the certification from AST Tracking. For NHs, HHAs, CLIA labs, and ICFs/IID, AST calculates a target date for the beginning of the next certification cycle, and places the facility record in Certifications to be Scheduled for that date. For other provider types, AST deletes the existing target date.

LTC Agreement, Extension dates
ICF/IID only. Current and prior LTC Agreement and Extension dates, if present, are ignored by AST.
CLIA Authorization for State Validation Survey
(CMS 2802)

Request for RO Approval
Select checkbox to send an RO APPROVAL REQUEST - VALIDATION action item to the RO Responsible Party. If no RO Responsible Party is specified, the message goes to all CLIA RO users in the region.

Today’s date is automatically entered as the date of the request. You can change it if necessary.

RO Response
RO’s response to the request for approval of a validation survey. Options are: 01 Approved, 02 Disapproved.

Date
Date of RO’s response. Today’s date is automatically entered. You can change it if necessary.

Regional Representative
Name of regional representative who approved or disapproved the survey.

Region
Region code of the responding RO; automatically entered by system. You can change it if necessary.

Comments
Regional representative can enter any comments that apply. They will appear on the CMS-2802A form.

Responsible Parties tab

Name
Name of SA/RO staff member.

SA/RO
Designate as State Agency or Regional Office staff.

Primary
Selecting the checkbox designates the primary responsible party.

Add S.A.
Add (assign) an SA responsible party to the activity and as a recipient of the related action item message.
Add R.O.
Add (assign) an RO responsible party to the activity and as a recipient of the related action item message.

Delete
Deletes the selected SA or RO.

Activities/Action Items tab

Sent
Date activity/action item was sent to responsible party.

Due
Due date of activity/action item entered in Define Activity window.

Completed
Completed date of activity/action item entered in Define Activity window.

Type
Type of activity/action item entered in Define Activity window.

Responsible Party
Responsible Party designated in Define Activity window.

Add
Click to open the Define Activity window and add a new activity.

Modify
Select the activity, then click the Modify button to open the Define Activity window and edit the activity.

Delete
Select the activity, then click the Delete button.

Processing Steps tab

"Processing Step Definitions" on page 155

2567/POC/IDR tab

Event ID
Unique identifier assigned by ASPEN when the survey is created. In certification kits, the first four characters of survey EventIDs match the four-digit TrackID of the kit.

Event Type
Category of survey, either Health or LSC (NH only), standard or revisit.
**Start Date**
Date the survey started as entered in Survey Properties.

**Exit Date**
Final date of survey as entered in Survey Properties.

**Survey Category**
From Types of Survey selected in Survey Properties.

**Status**
Indicates whether the survey is Open or Closed.

**Adm Signoff (X6)**
Date the administrator signed the Plan of Correction. Enabled only if correctable citation(s) are present.

**2567 Issued**
The date CMS-2567 (Statement of Deficiencies) was sent to the provider.
You will receive a message if you enter this date and the survey has no correctable citations. You can choose to retain the 2567 Issued date and allow revisit scheduling anyway, or not.

**Track**
Button is enabled when a 2567 Issued date is entered. Click to open the POC Tracking window, where you can enter dates and notices relevant to the POC tracking process.

**Revisit Status**
Determines which providers go on the Revisits to be Scheduled list. Set by the system to 1-Required for standard surveys with the exception noted below, and to 2-Not Required for revisits. You can manually override the auto-entered value. For licensure-only surveys, Revisit Status is set manually.

**Note:** If Provides Swing Beds (SF44) = Yes in a related certification kit when an initial survey is created for a deemed Hospital, Revisit Status is set to 2-Not Required by default. If SF44 is changed from No to Yes after the survey is created, Revisit Status is not changed.

When a 2567 Issued date is entered for any survey, Revisit Status is updated to 1-Required, and the survey is flagged for revisit scheduling. You will receive a message if the survey has no correctable citations. You can choose to retain the 2567 Issued date and allow revisit scheduling anyway, or not.
If an intake is finalized and Revisit Status is 1-Required for the most recent investigation revisit survey (based on exit date) associated with the intake, Revisit Status is automatically set to 2-Not Required for that revisit. If an investigation does not have any revisits, Revisit Status is not changed for the investigation.

**Termination tab**

**Termination Type**
Selected in Termination Tracking Event window. Options are:
- 32 - SUBSTANTIAL NON-COMPLIANCE - 23-DAY TERMINATION
- 39 - NON-COMPLIANCE WITH COPS - 90 DAY TERMINATION
- 40 - 23 TO 90 DAY CONVERSION

**Termination Start**
Date selected in Termination Tracking Event window.

**Back In Compliance**
Date provider is back in compliance. You cannot initiate a new IJ/termination action until this date is entered for an existing termination action.

**Term. Proc. Effect (L28)**
Date entered if Termination Code (L30) is anything other than 00 Active.

**Termination Reason**
Lists Termination Action from Termination Tracking Event window.

**Day 23**
Lists date that is 23 days from Termination Start date.

**Day 45**
Lists date that is 45 days from Termination Start date.

**Day 90**
Lists date that is 90 days from Termination Start date.

**RO Responsible Party**
RO responsible party assigned in Termination Tracking Event window.

**SA Responsible Party**
SA responsible party assigned in Termination Tracking Event window.

**Add Termination Event**
Click to open the Termination Tracking Event window and add a new event.

**Modify Termination Event**
Select an existing event and click this button to modify it.
Remove Termination Event
Select an existing event and click this button to remove it.

Termination Tracking Event window

Termination Event

Termination Type
Options are:
32 - SUBSTANTIAL NON-COMPLIANCE - 23-DAY TERMINATION
39 - NON-COMPLIANCE WITH COPS - 90 DAY TERMINATION
40 - 23 TO 90 DAY CONVERSION

Termination Start Date
Select start date.

Back in Compliance
Date provider is back in compliance. You cannot initiate a new IJ/termination action until this date is entered for an existing termination action.

Termination Action (L30)
Enabled in ARO only for non-participating (NP) Hospitals, NF, Medicaid HHA providers, and ICF/IID providers in ACO. Not enabled for initial certification kits that have not been accepted by the national reporting system.

Termination Date (L28)
Enter or select if Termination Action (L30) is anything other than 00 Active.

Termination Extended
Enter date To extend the termination period. This field is disabled if the Termination Type is 23-day.

Related Complaint
Links associated investigations to termination actions.

Responsible Party

Assign RO
Select a Regional Office responsible party.

Assign SA
Select a State Agency responsible party.
**Activities/Action items**

**Sent**
Date activity/action item was sent to responsible party.

**Due**
Due date of activity/action item entered in Define Activity window.

**Completed**
Completed date of activity/action item entered in Define Activity window.

**Type**
Type of activity/action item entered in Define Activity window.

**Responsible Party**
Responsible Party designated in Define Activity window.

**Add**
Click to open the Define Activity window and add a new activity.

**Modify**
Select the activity, then click the Modify button to open the Define Activity window and edit the activity.

**Delete**
Select the activity, then click the Delete button.

**Define Activity**

**Activity**
Read-only. The unique identifier for the activity.

**Type**
Required. Select the Type of activity from the drop-down list.

**Sent**
Required. The date the activity originated.

**Start**
Optional. Date on which the activity should be started.

**Due**
Optional. Date by which the activity should be completed.

**Completed**
Enter a date here after the activity is finished. When a completed date is entered for an activity, the status of related action items is automatically changed from Open to Closed.
Staff

Required. To add a staff member, click the appropriate button under the Staff grid (see below), and select an individual or team from the drop-down list in the Add Activity Recipient window.

When you add an individual, the activity is added to that person’s action items. If you add a team, all team members are added to the Staff grid and receive an action item for the activity.

Only one individual listed in the Staff grid can be designated the Responsible Party. The Activities/Action Items grid in the Termination Tracking Event window lists only the Responsible Party for each activity.

Add S.A. button

Add (assign) an SA staff member to the activity and as a recipient of the related action item message.

Add R.O. button

Add (assign) an RO staff member to the activity and as a recipient of the related action item message.

Add Team

Add (assign) a team to the activity. All team members are added to the Staff grid and receive the related action item message.

Remove button

Removes (de-assigns) the selected Staff member from the activity. All members of an assigned team must be removed individually.

Comments

Enter relevant notes about the activity in this text box.

Enforcement tab

Case ID

Identifier for the enforcement case.

Facility Name

Name of facility.

Cycle Started

The exit date of the survey that began the enforcement case. If the case is a combined Health/LSC case, the Health survey is always the starting survey.

Status

As selected in the Federal Status field (Field #3 on the Case Basics tab).
Cert.

Checked if the tag was cited as part of a certification survey or revisit (Certification is selected in Citation Properties).

Cmplnt

Checked if the tag was cited as part of a complaint survey or revisit (Complaint is selected in Citation Properties).

SQC

A flag is in this column if SQC tags have been cited on the survey. Click the flag to open a window listing the SQC tags that were cited.

Alleg. Cmpl.

Date the facility alleges it will be in compliance.

Cmpl. Due

Date by which the facility should be in compliance, or remedies will be applied.

Subst. Cmpl.

Date on which substantial compliance was achieved.

New

Select to add a new enforcement event.

Modify

Select the event, then click the Modify button to edit it.

Notices tab

Date Sent

Date the notice (letter) is sent. You can enter this date in the Select Letters and Distribution List window when you create the letter, or you can supply the date later.

Letter ID

The 4-character ID number assigned to the letter template. The actual specific letter does not have a separate ID number.

Letter Description

Title of the letter template that was the basis for the actual letter.

Locked

Indicates whether or not the letter is locked against further editing.

Draft

Indicates whether this letter is a draft.
**Origin**

SA or RO.

**Create Notice/Letter button**

Opens the Notices History window, from which you create, edit or view letters and other communications associated with this case.

**Remove Notice button**

If the letter is a draft, click Remove Notice to remove the letter entirely from Letter History. If the letter is not a draft, the button marks the Notice as Removed in Notices History, and puts a strikethrough on the letter in the list.

When you select a letter that has been removed, the button label switches to Restore Notice, so you can restore the letter if necessary.

**Letter/Notice Details**

This section provides fields for storing useful information about each letter.

**Created**

The date the letter or notice was first created in AEM. Read-only at this location, you can change it in the Notices History window (click Create Notice/Letter) by selecting the letter and clicking Modify Date.

**Letter Sent**

AEM supplies the Date Sent from the letter/notice record. You can edit the date as necessary in this field, and AEM updates the letter record accordingly.

**Method**

Delivery method. Options are:

01 Certified Mail
02 US Postal Standard
03 Overnight UPS
04 Overnight FedEx
05 Overnight-Airborne
06 Overnight-Other
07 Other

**Tracking #**

Use this field to record a delivery service tracking number.

**Fax**

If you fax this letter or notice, use the checkbox to indicate this, even if you also send it by mail or some other means. Checking the box activates the Fax Sent field.
Fax Sent
Date the notice was faxed, if applicable.

Lock/Unlock button
Locks/Unlock the selected letter. Locked letters cannot be edited or deleted. Lock a letter when it goes in the mail or has been faxed.

Delivered Date
Date the letter or notice was delivered, if known.

CHOW tab

Chow Type
Type entered in CHOW Event Tracking window. Options are: 1 - With Assignment, 2 - Without Assignment

Requested Received
Request Received date entered in CHOW Event Tracking window.

CHOW Effective
Effective date entered in CHOW Event Tracking window.

RO Responsible Party
Name of RO responsible party entered in CHOW Event Tracking window.

SA Responsible Party
Name of SA responsible party entered in CHOW Event Tracking window.

Add CHOW Event
Select to add new CHOW event.

Modify CHOW Event
Select an existing CHOW event and click this button to modify it.

Remove CHOW Event
Select an existing CHOW event and click this button to remove it.

Processing Steps
"Processing Step Definitions" on page 155

CHOW Event Tracking window

Type of CHOW
Options are: 1 - With Assignment, 2 - Without Assignment.

Request Received
Date CHOW request was received.
Effective (L9)
Effective date of CHOW. Must be later than any current CHOW. This field is not enabled for initial certification kits that have not been accepted by the national reporting system.

Assign RO
Assign RO responsible party.

Assign SA
Assign SA responsible party.

Staff Availability List
You can access the Staff Availability List in AST from the Scheduling folder or from an individual survey.

The Staff Availability List has two tabs for displaying relevant surveyor information: Staff Detail and Scheduling - 7 Day.

Staff Detail tab
Shows surveyor specifics such as Work Unit, Discipline, and Qualifications, with drill-down access to scheduled activities, conflicts of interest, and individual surveyors' personal calendars.

Show Staff By Disciplines
Filters the list of staff members by discipline.

Show Staff by Assigned Provider Categories
Lets you further filter the list according to provider categories assigned to staff members.

Note: The provider types you see in the Allowed Facility Categories window are filtered by provider types and work units specified in the current selection set, and also by the Use facility types of active selection when displaying available staff? option in My Settings. Check all these settings if the provider type you need is not listed.

Show Terminated Staff
Select to include terminated staff members in the list.

Ignore Work Unit Filter
Select if you want to list staff members regardless of the Work Unit filter setting in the active My Selections set.

Right arrow icon
Indicates the focus is on the current row, i.e., the user has clicked in this row.
**Marker icon**
Indicates the user has clicked in the checkbox to the right to select or deselect the staff member.

**Person icon**
Current staff member.

**Person with red vest icon**
Special surveyor. You can add out-of-state and other special surveyors to survey teams if your state allows it.

**Person with red slash icon**
Terminated staff member.

**StaffID**
ID assigned in Enter/Update Surveyor Information window.

**Name**
Name of staff member from Enter/Update Surveyor Information window.

**Work Unit**
Work unit assigned in Enter/Update Surveyor Information window.

**Primary Discipline**
Federal Title assigned in Enter/Update Surveyor Information window.

**Other Disciplines button**
If Yes appears on the button in the Other Disciplines column, click to show Additional Federal Titles assigned to the staff member in the Enter/Update Surveyor Information window.

**Facility Type Qualifications**
Click to show Allowed Facility Categories assigned to the staff member in the Enter/Update Surveyor Information window.

**Show Schedule button**
Click to show Scheduled Activities for the staff member from AST. Yes appears on the Show Schedule button if the surveyor has a scheduling conflict with the dates of the current survey.

**Conflict of Interest button**
Click to show Conflicts of Interest specified for the staff member in the Enter/Update Surveyor Information window. Yes appears on the Conflict of Interest button if the surveyor has a current conflict of interest with the provider to be surveyed.

**Special Surveyors button**
Click to search for and select a special surveyor to add to the list of available surveyors, if your state allows it.
Scheduling - 7 Day tab

The Scheduling – 7 Day tab shows the entire staff list with graphic indicators for those who have events already scheduled that week.

Show Staff By Disciplines

Filters the list of staff members by discipline.

Show Staff by Assigned Provider Categories

Lets you further filter the list according to provider categories assigned to staff members.

Note: The provider types you see in the Allowed Facility Categories window are filtered by provider types and work units specified in the current selection set, and also by the Use facility types of active selection when displaying available staff? option in My Settings. Check all these settings if the provider type you need is not listed.

Show Terminated Staff

Select to include terminated staff members in the list.

Ignore Work Unit Filter

Select to list staff members regardless of the Work Unit filter setting in the active My Selections set.

Right arrow icon

Indicates the focus is on the current row, i.e., the user has clicked in this row.

Marker icon

Indicates the user has clicked in the checkbox to the right to select or deselect the staff member.

Person icon

Current staff member.

Person wearing red icon

Special surveyor. You can add out-of-state and other special surveyors to survey teams if your state allows it.

Person with red slash icon

Terminated staff member.

StaffID

ID assigned in Enter/Update Surveyor Information window.

Name

Name of staff member from Enter/Update Surveyor Information window.
Report Customization

Customization Options

Recall a Previous Report Specification
Lists saved report specifications. Select one to set filter criteria accordingly.

Sort By
Choose desired option: Duration, Provider Name, Target Month (Desc)

Desc
Select to sort the report in descending order. Not selected by default.

Delete
Deletes saved report specification selected in Recall a Previous Report Specification.

From Date
Start date of time range.

To Date
End date of the time range.

Show All
Select to include all dates of the selected type.

Define Selection of Records to be Displayed

Facility Type
Click the Definition button to open the Facility Category window where you can select those you want to include.

Work Unit
Click the Definition button to open the Work Unit window where you can select those you want to include.

Management Unit
Click the Definition button to open the Management Unit window where you can select those you want to include.

State Region Code
Click the Definition button to open the State Region window where you can select those you want to include.

Set All
To change the setting for a filter on the Definition button back to All, click the little red bar in the Set All column. You may have to scroll right to see the bar.

Set All is grayed out when Definition = All.
**Store Report Definitions**

**Save Report Specification?**
Select this checkbox to save the current set of criteria for later use.

**Report Specification Name**
Enter the name of current report specification, which you are saving.

**Print Now**
Click this button to generate the report, which will reflect the current set of filtering criteria.
Supporting Materials

Processing Step Definitions

This section describes AST processing steps. Processing steps are a breakdown of the individual steps involved in processing certifications, CHOWs, enforcement actions (NH), and terminations (non-NH). Associated Events are as follows:

- IC: Initial Certification
- RC: Recertification
- H: Change of Ownership
- T2: Termination (23 Days)
- T9: Termination (90 Days)

**Process name: 01-INITIAL OR CHOW APPLICATION RECEIVED**

- Processing Step: 01-Application Received
  - Description: Application Packet Received.
  - Responsible Party: SA
  - Associated Events: IC, CH

**Process name: 02-APPLICATION INITIAL OR CHOW**

- Processing Step: 01-Request to Area Office to Conduct Initial Certification Survey
  - Description: Date the provider requested that the (local) Area Office conduct an initial certification survey.
  - Responsible Party: PROV

- Processing Step: 02-CMS Form 855 Approval Received
  - Description: Date the SA received the CMS Form 855 approval.
  - Responsible Party: SA
  - Associated Events: CH
• Processing Step: 03-Application for Survey Cleared  
  Description: Date the SA approved the application and scheduled an Initial Certification survey for the provider.  
  Responsible Party: SA

**Process name: 03-CHOW REFERRED FOR REVIEW BY SA**

• Processing Step: 01-Referred For Additional Information  
  Description: Date and Office the Application is referred to, if necessary (e.g. Licensure).  
  Responsible Party: SA

**Process Name: 04-CERTIFICATION SURVEY DATES**

• Processing Step: 01-Schedule Recertification Survey  
  Description: Dates the recertification surveys are scheduled.  
  Responsible Party: SA

• Processing Step: 02-Date of Initial Survey (L34)  
  Description: Date the SA conducted the Initial Certification survey for the provider.  
  Responsible Party: SA  
  Associated Events: IC, RC

• Processing Step: 03-Date of Health Survey  
  Description: Exit date of the health survey.  
  Responsible Party: SA  
  Associated Events: IC, RC

• Processing Step: 04-Date of LSC Survey  
  Description: Exit date of the LSC survey.  
  Responsible Party: SA  
  Associated Events: RC

**Process Name: 05-COMPLETE CMS FORM 2567**

Processing Step: 01-Complete CMS Form 2567  
Description: Date the CMS Form 2567 was completed by the SA in ACO.  
Responsible Party: SA
Process Name: 06-TERMINATION FIRST REVIEW

- Processing Step: 01-Mail/Transmit 2567 to RO
  Description: Date the CMS Form 2567 was mailed or transmitted to the RO.
  Responsible Party: SA
  Associated Events: T9, T2

- Processing Step: 02-Receive 2567 Packet
  Description: Date the RO received the packet from the SA.
  Responsible Party: RO
  Associated Events: T9, T2

- Processing Step: 03-Clinical Review
  Description: Date the Packet is reviewed by the RO.
  Responsible Party: RO
  Associated Events: T9, T2

- Processing Step: 04-Return 2567 to SA for Revisions
  Description: Date the RO send the reviewed 2567 back to the SA.
  Responsible Party: RO
  Associated Events: T9, T2

Process Name: 07-TERMINATION SECOND REVIEW

- Processing Step: 01-Mail/Transmit Revised 2567 to RO
  Description: Date the revised 2567 is sent to the RO by the SA.
  Responsible Party: SA
  Associated Events: T9, T2

- Processing Step: 02-Receive Revised 2567 Packet
  Description: Date the RO received the revised 2567.
  Responsible Party: RO
  Associated Events: T9, T2

- Processing Step: 03-Clinical Review
  Description: Date the 2567 is reviewed for the second time.
  Responsible Party: RO
  Associated Events: T9, T2
• Processing Step: 04-Return Revised 2567 to SA  
  Description: Date the RO send the reviewed revised 2567 back to the SA.  
  Responsible Party: RO  
  Associated Events: T9, T2
• Processing Step: 05-Send POC to the SA  
  Description: Date the RO sends the approved POC to the SA.  
  Responsible Party: RO

**Process Name: 08-HEALTH 2567/POC TRACKING**

• Processing Step: 01-Health 2567 Sent to Facility  
  Description: Date the Health 2567 is sent to the provider along with any accompanying letters.  
  Responsible Party: Both  
  Associated Events: T9, T2
• Processing Step: 02-Health POC Due  
  Description: Date the POC is due back from the provider.  
  Responsible Party: Both  
  Associated Events: T9, T2
• Processing Step: 03-Health POC Received  
  Description: Date the POC is received from the provider.  
  Responsible Party: Both  
  Associated Events: T9, T2
• Processing Step: 04-Health POC Approved  
  Description: Date the received POC is approved.  
  Responsible Party: Both  
  Associated Events: T9, T2
• Processing Step: 05-Health Followup Survey  
  Description: Date the health followup survey is completed.  
  Responsible Party: SA  
  Associated Events: T9, T2
**Process Name: 09-REVISED HEALTH POC**
- Processing Step: 01-Request Revised Health POC
  Description: Date a revised POC is requested from the provider.
  Responsible Party: Both
- Processing Step: 02-Receive Revised Health POC
  Description: Date the revised POC is received from the provider.
  Responsible Party: Both

**Process Name: 11-LSC 2567/POC TRACKING**
- Processing Step: 01-LSC 2567 Sent to Facility
  Description: Date the LSC 2567 is sent to the provider along with any accompanying letters.
  Responsible Party: Both
  Associated Events: T9, T2
- Processing Step: 02-LSC POC Due
  Description: Date the POC is due back from the provider.
  Responsible Party: Both
  Associated Events: T9, T2
- Processing Step: 03-LSC POC Received
  Description: Date the POC is received from the provider.
  Responsible Party: Both
  Associated Events: T9, T2
- Processing Step: 04-LSC POC Approved
  Description: Date the received POC is approved.
  Responsible Party: Both
  Associated Events: T9, T2
- Processing Step: 05-LSC Followup Survey
  Description: Date the LSC followup survey is completed.
  Responsible Party: SA
  Associated Events: T9, T2
Process Name: 12-REVISED LSC POC
• Processing Step: 01-Request Revised LSC POC
  Description: Date a revised POC is requested from the provider.
  Responsible Party: Both
• Processing Step: 02-Receive Revised LSC POC
  Description: Date the revised POC is received from the provider.
  Responsible Party: Both

Process Name: 13-IDR 2567 REVISION
• Processing Step: 01-Post IDR 2567 Sent to Facility Health
  Description: Date the amended 2567 is sent to the facility (after IDR).
  Responsible Party: SA
• Processing Step: 02-Post IDR 2567 Sent to Facility LSC
  Description: Date the amended 2567 is sent to the facility (after IDR).
  Responsible Party: SA
  Associated Events: T2

Process Name: 14-LAST HEALTH REVISIT 2567/POC TRACKING
• Processing Step: 01-Last Health Revisit 2567 Sent to Facility
  Description: Date the Health 2567 is sent to the provider along with any accompanying letters.
  Responsible Party: SA
• Processing Step: 02-Last Health Revisit POC Due
  Description: Date the POC is due back from the provider
  Responsible Party: SA
• Processing Step: 03-Last Health Revisit Received
  Description: Date the POC is received from the provider.
  Responsible Party: SA
• Processing Step: 04-Last Health Revisit Approved
  Description: Date the received POC is approved.
  Responsible Party: SA
**Process Name: 17-LAST LSC REVISIT 2567/POC TRACKING**
- **Processing Step: 01-Last LSC 2567 Revisit Sent to Facility**
  Description: Date the last LSC 2567 is sent to the provider along with any accompanying letters.
  Responsible Party: SA
- **Processing Step: 02-LSC POC Due**
  Description: Date the POC is due back from the provider.
  Responsible Party: SA
- **Processing Step: 03-Last LSC 2567 Revisit POC Received**
  Description: Date the POC is received from the provider.
  Responsible Party: SA
- **Processing Step: 04-Last LSC 2567 Revisit POC Approved**
  Description: Date the received POC is approved.
  Responsible Party: SA

**Process Name: 18-COMPLIANCE STATUS**
- **Processing Step: 01-Provider back in compliance**
  Description: Date the provider is determined to be back in compliance.
  Responsible Party: SA
- **Processing Step: 02-Provider remains out of compliance**
  Description: Date the provider is determined to remain out of compliance.
  Responsible Party: SA

**Process Name: 19-TERMINATION THIRD REVIEW**
- **Processing Step: 01-Revisit 2567 packet to RO**
  Description: Date the revisit CMS Form 2567 was mailed or transmitted to the RO.
  Responsible Party: SA
- **Processing Step: 02-Receive Revisit 2567 Packet**
  Description: Date the RO received the revisit packet from the SA.
  Responsible Party: RO
• Processing Step: 03-Clinical Review  
  Description: Date the revisit packet is reviewed by the RO.  
  Responsible Party: RO

• Processing Step: 04-Return Revisit 2567 Packet  
  Description: Date the RO send the reviewed revisit 2567 back to the SA.  
  Responsible Party: RO

**Process Name: 20-TERMINATION FINAL REVIEW**

• Processing Step: 01-Transmit revised revisit 2567 packet to RO  
  Description: Date the revised revisit CMS Form 2567 was mailed or transmitted to the RO.  
  Responsible Party: SA

• Processing Step: 02-Received revised revisit 2567 packet  
  Description: Date the RO received the revised revisit packet from the SA.  
  Responsible Party: RO

• Processing Step: 03-Final Clinical Review  
  Description: Date the revised revisit packet is reviewed by the RO.  
  Responsible Party: RO

**Process Name: 21-TERMINATION COMPLETED 2567 PACKET**

• Processing Step: 01-Complete 2567 Packet  
  Description: Date the SA completes the 2567 packet.  
  Responsible Party: SA

• Processing Step: 02-Send Completed 2567 Packet to RO  
  Description: Date the completed 2567 packet is sent to the RO.  
  Responsible Party: SA

• Processing Step: 03-Receive Completed 2567 Packet  
  Description: Date the RO received the completed 2567 from the SA.  
  Responsible Party: RO
**Process Name: 22-TERMINATION/BACK IN COMPLIANCE STATUS**
- Processing Step: 01-Termination
  Description: Enter the termination date.
  Responsible Party: Both
- Processing Step: 02-Back in Compliance
  Description: Enter the date the provider is determined to be back in compliance.
  Responsible Party: Both

**Process Name: 24-COMPLETE CERTIFICATION PACKET STATUS**
- Processing Step: 01-Complete Recertification Packet
  Description: Date the SA completed the Recertification packet
  Responsible Party: SA
- Processing Step: 02-Certification Packet Mailed/Transmitted to the RO
  Description: Date the SA sent Certification packet to the RO.
  Responsible Party: SA
- Processing Step: 03-Certification Packet Received
  Description: Date the RO received the Certification packet from SA.
  Responsible Party: RO

**Process Name: 26-CERTIFICATION APPROVAL**
- Processing Step: 01-Certification Application Approved
  Description: Date the RO approved the Certification packet.
  Responsible Party: RO

**Process Name: 28-TRANSMIT CHOW PACKET**
- Processing Step: 01-CHOW Packet Mailed/Transmitted to the RO
  Description: Date the SA sent CHOW packet to the RO.
  Responsible Party: SA
  Associated Events: CH
- Processing Step: 02-CHOW Packet Received
  Description: Date the RO received the CHOW packet from the SA.
  Responsible Party: SA
  Associated Events: CH
**Process Name: 30-CHOW REFERRED TO ANOTHER OFFICE BY RO**
- Processing Step: 01-Refereed to Another Office
  Description: Office the CHOW is referred to for review, if necessary (e.g. OGC).
  Responsible Party: RO

**Process Name: 32-CHOW APPROVED**
- Processing Step: 01-CHOW Application Approved
  Description: Date the RO approved the CHOW packet.
  Responsible Party: RO

**Process Name: 35-DENY CERTIFICATION**
- Processing Step: 01-Deny Certification
  Description: Date the Certification packet was denied by the RO.
  Responsible Party: RO
- Processing Step: 02-Denial Letter Mail/Transmit to Provider
  Description: Date the RO sent the Denial Letter to the provider.
  Responsible Party: RO
- Processing Step: 03-Denial Letter /C&T Mail/Transmit to SA
  Description: Date the RO sent a copy of the Denial Letter and/or C&T (CMS Form 1539) to the SA.
  Responsible Party: RO
- Processing Step: 04-Denial Letter /C&T Received by SA
  Description: Date the SA received a copy of the Denial Letter and/or C&T (CMS Form 1539).
  Responsible Party: SA

**Process Name: 38-CERTIFICATION RECONSIDERATION REQUEST**
- Processing Step: 01-Reconsideration Request Submitted to RO
  Description: Date the provider submitted the Reconsideration Request to the RO.
  Responsible Party: PROV
- Processing Step: 02-Reconsideration Request Received
  Description: Date the RO received the Reconsideration Request.
  Responsible Party: RO
• Processing Step: 03-Approved Reconsideration Request /Back in Compliance
  
  Description: Date the RO approved Denied packet or the date that the Initial Certification packet is back in compliance.
  
  Responsible Party: RO

Process Name: 41-CERTIFICATION OVERTURNED DECISION

• Processing Step: 01-Mail/Transmit Overturned Decision Letter to Provider
  
  Description: Date the RO sent the Overturned Decision Letter to the Provider.
  
  Responsible Party: RO

• Processing Step: 02-Mail/Transmit Copy of Overturned Decision Letter to SA
  
  Description: Date the RO sent a copy of the Overturned Decision Letter to the SA.
  
  Responsible Party: RO

• Processing Step: 03-Date Copy of the Overturned Decision Letter Received
  
  Description: Date the SA received a copy of the Overturned Decision Letter.
  
  Responsible Party: SA

Process Name: 44-CERTIFICATION RECONSIDERATION DENIED

• Processing Step: 01-Reconsideration Request Denied
  
  Description: Date the RO denied the Reconsideration Request.
  
  Responsible Party: RO

• Processing Step: 02-Mail/Transmit Denied Reconsideration Request Letter to the Provider
  
  Description: Date the RO sent the denied Reconsideration Request Letter to the provider.
  
  Responsible Party: RO

• Processing Step: 03-Mail/Transmit Denied Reconsideration Request Letter to the SA
  
  Description: Date the RO sent a copy of the denied Reconsideration Request Letter to the SA.
  
  Responsible Party: RO

• Processing Step: 04-Copy of Denied Reconsideration Request Letter Received by SA
  
  Description: Date the SA received a copy of the denied Reconsideration Request Letter.
  
  Responsible Party: SA
Process Name: 47-CERTIFICATION ADMINISTRATIVE HEARING

- Processing Step: 01-Administrative Hearing Request Letter to the Appeals Board Submitted
  Description: Date the provider submitted the Hearing Request Letter to the Administrative Law Judge.
  Responsible Party: PROV

- Processing Step: 02-Received Administrative Hearing Request Letter by ALJ
  Description: Date Letter by ALJ received by RO
  Responsible Party: RO

Process Name: 50-FINAL DATA ENTERED

- Processing Step: 01-Final Data Entered into System
  Description: Date the RO and/or SA entered the approved packet data into the system.
  Responsible Party: BOTH

Target Date Calculations - NH and CLIA Labs

About NH Performance Scores and Target Dates

To determine target dates for nursing homes, AST totals the deficiency results from Health and LSC surveys, both certification and complaint. Deficiency totals are then weighted by scope/severity, Substandard Quality of Care (SQC), and period of non-compliance to produce a raw performance score.

To provide easily compared values, AST applies a standard deviation to the raw score resulting in the NH Standard Score.

Scheduling Groups

AST compares each NH provider's standard score with the peer group mean for that provider type, and uses the result to assign the NH to one of three scheduling groups:

Scheduled Group

- **Accelerated** (standard score is higher than the mean)
  Target Date: Prior L34 date + 270 days + uniform random number of days between 1 and 30

- **Deferred** (standard score is lower than the mean)
  Target Date: Prior L34 date + 420 days + uniform random number of days between 1 and 30
• **Normal** (standard score is neither higher nor lower)
  Target Date: Prior L34 date + 300 days + uniform random number of days between 1 and 120

**Standard Deviations**

By default, AST uses a standard deviation of 1 above or below the mean to assign providers to either the Accelerated or Deferred group. This setting should be statistically suitable for most states, but AST permits adjustments if a state finds that one deviation is not distributing nursing homes appropriately among the three schedule groups.

**To update NH performance scores:**

Periodically, as deficiency and complaint information is added to nursing home records, you should recalculate standard scores and deviations. This action adjusts the scores and may change target dates for NHs awaiting scheduling. We recommend recalculating once per quarter. Only system administrators with appropriate security rights should perform this procedure.

1. From the ACO Main menu, select **System, Facility Types, Calculate NH Statistics**.

![Figure 104: Calculate NH Statistics menu](image)

You will see a confirmation request:

![Figure 105: Warning](image)

2. Select **Yes** to perform the calculation.
NH Visit Scoring Specification

This section describes the rule for scheduling nursing home certification visits. This rule allows the state to determine the interval between visits within a 9 to 15 month period, with an average interval across all nursing homes of 12 months. To assist states in separating nursing home (NH) providers to be visited earlier versus later in this interval, the following method is used.

AST calculates a continuous scale score based on numeric values assigned to survey deficiency results weighted by scope/severity, SQC, and period of non-compliance. These scores are then standardized by transformation into standard deviations from peer group means.

Each facility is then assigned to one of the following three scheduling categories:

- Accelerated schedule
- Deferred schedule
- Normal schedule

These assignments are made according to the standardized ‘distance’ from the peer group mean as follows:

- Standard deviations or greater above the mean are categorized in the ACCELERATED SCHEDULE group.
- Standard deviations or greater below the mean are categorized in the deferred schedule group.
- The central area bounded by the mean ± 1.0 standard deviations are categorized in the normal schedule group.

With a normal distribution of scores, and using the ± 1.0 standard deviation rule, approximately 16% providers are categorized into each of the accelerated and deferred groups, while the remaining 68% of providers are assigned to the ‘Normal’ group.

Based on these scheduling group assignments, AST generates a target date for each nursing home provider’s next certification cycle as follows:

- Accelerated group: Prior L34 date + 270 days + uniform random # days between 1 and 30.
- Deferred group: Prior L34 date + 420 days + uniform random # days between 1 and 30.
- Other group: Prior L34 date + 300 days + uniform random # days between 1 and 120.

The interval of possible scheduling days (from the entire 9 to 15 month range) assigned to each group approximates the percentage of providers expected in each group.
Information on active cutoff values is saved by AST, which provides an interface to maintain these values. Access to this configuration interface may be for CMS only, or states may be given the option of specifying their own limits – according to CMS policy.

**Note:** The 1.0 standard deviation rule can be easily adjusted in AST. Also, AST allows the upper and lower cutoffs to be non-symmetric; that is, the upper bound can be set to 1.0 standard deviations, while the lower bound can be set to 1.25 deviations.

Each NH provider has a scheduling score calculated based on the standard deviation formula. Results from both Health and LSC surveys are included in the score calculation.

The Scope/Severity and SQC weights assigned to each deficiency considered in the score in the following tables.

<table>
<thead>
<tr>
<th>S/S</th>
<th>Weight</th>
<th>SQC</th>
<th>Weight</th>
</tr>
</thead>
<tbody>
<tr>
<td>A, B and C</td>
<td>0</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>D</td>
<td>2</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>E</td>
<td>4</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>F</td>
<td>6</td>
<td>F SQC</td>
<td>10</td>
</tr>
<tr>
<td>G</td>
<td>10</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>H</td>
<td>20</td>
<td>H SQC</td>
<td>25</td>
</tr>
<tr>
<td>I</td>
<td>30</td>
<td>I SQC</td>
<td>35</td>
</tr>
<tr>
<td>J</td>
<td>50</td>
<td>J SQC</td>
<td>75</td>
</tr>
<tr>
<td>K</td>
<td>100</td>
<td>K SQC</td>
<td>125</td>
</tr>
<tr>
<td>L</td>
<td>150</td>
<td>L SQC</td>
<td>175</td>
</tr>
</tbody>
</table>

**More ...**

“Peer groups” on page 170

**Scoring Components**

Calculation of the scheduling score includes the following three components:

- The sum of deficiency scores derived from citations in the most recent certification survey in which substantial compliance was eventually achieved.
- The sum of deficiency scores derived from citations of complaint surveys within the last 365 days of the date of calculation.
• A third component reflecting extended non-compliance is calculated based on the number of revisits required before the facility achieved substantial compliance on the most recent standard health certification visit, as follows:

<table>
<thead>
<tr>
<th>Revisit</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Revisit</td>
<td>0 points</td>
</tr>
<tr>
<td>2nd Revisit</td>
<td>50 points</td>
</tr>
<tr>
<td>3rd Revisit</td>
<td>75 additional points</td>
</tr>
<tr>
<td>4th Revisit</td>
<td>100 additional points</td>
</tr>
</tbody>
</table>

The raw scheduling score is calculated as:

\[
\text{Raw score} = \text{Certification Score} + \text{Complaint Score} + \text{Non-compliance Score}
\]

**Peer groups**

Each facility’s raw score calculation is standardized by conversion to standard deviations from peer group averages (as detailed below). For this purpose, ‘Peer Groups’ are defined as facilities sharing the same ASPEN FacType. An ASPEN FacType is equivalent to each of the national repository nursing home categories: 02, 03, 04, and 10, as well as each of a state’s defined nursing home licensure subtypes. Facilities in each type are standardized to the raw score averaged across all facilities of that type.

**Standardizing raw scores**

To allow for standardized comparison of values derived from the raw score algorithm, raw scores are expressed in terms of standard deviations from peer group means. AST uses the following formula to determine peer group standard deviations:

\[
\sigma_{\text{peer}} = \frac{\sum_{i=1}^{n} x_i^2 - (\sum_{i=1}^{n} x_i)^2}{n(n-1)}
\]

Where:

- \( n \) = number of facilities in peer group
- \( X_i \) = raw score for \( i \)th facility in peer group
- \( i = 1 \)

**Note:** Each peer group is considered to be the complete population of interest for scheduling. Therefore, \( n \) is used in the standard deviation denominator versus \( n-1 \), which is appropriate for estimates of a population’s standard deviation derived from population samples.
The standard score for each provider is therefore calculated as:

\[
\text{Std score} = \frac{\text{Rawscore} - \mu_{\text{peer}}}{\sigma_{\text{peer}}}
\]

Where:
- \( \mu_{\text{peer}} \) = Peer group mean
- \( \sigma_{\text{peer}} \) = Peer group standard deviation

For example, if the average raw score for the SNF/NF (02) peer group is 75 with a standard deviation of 25, a facility within this peer group with a raw score of 112.5 has a standard score of 1.5, placing it in the accelerated scheduling group, as shown below:

\[
112.5 - 75 / 25 = 1.5
\]

**CLIA Target Date Calculation**

CLIA Labs are given a target date for the next certification cycle. A target date is a required condition for a lab to appear in the AST Schedule view. During the 9.0 baseline process, this was initially calculated for non-terminated, non-foreign labs that were or were becoming compliance labs with labclass=1-Regular.

The calculation is performed as described in the following sections.

**Pending Certificate Present**

If Certificate type = 9-Registration and Application type = 1-Compliance, then:

\[
L8 = \text{1-Initial Cert and Target date} = \text{Certificate effective date} + 90
\]

If Certificate type = 1-Compliance and Application type = 1-Compliance, then:

\[
L8 = \text{2-Recert and Target date} = \text{Certificate effective date} - 270
\]

**Note:** If a change of status occurs with pending certificate application type = 1-Compliance, but the current certification type = 3, a new target date is not calculated during the initial database upgrade. The lab cannot be scheduled until the new current certificate is issued with Certificate type = 9 and the Application type = 1-Compliance. This certificate is issued when the fee is paid and generated by the weekly billing run.
No Pending Certificate Present

If Certificate type = 9-Registration and Application type = 1-Compliance, then:

L8 = 1-Initial Cert and Target date = Certificate effective date + 90

Subsequent Certifications

When a current certification for a compliance lab is completed, uploaded to a success status, and the user changes the Tracking Status to 10 - Processing Complete from the Tracking tab, AST sets the next target date for the lab to 270 days prior to the expiration date of the current pending certificate.

Action Item Messages

The comprehensive list of action items for the logged-on user appears in AST. This includes all action items delivered through ASPEN applications: ACO, ACTS, AEM, and AST, as well as reminders of personal activities.

The action items described here will appear in the application that generates them as applicable for the logged-on user. CO users can see all RO broadcast messages, regardless of region.

The messages are listed in alphabetical order. The message number (if there is one) is in parentheses after the message title.

2567 REVISED FOR APPEALED SURVEY - When the Revised 2567 Date is changed on a survey that has a hearing associated with it in an AEM case, a 2567 REVISED FOR APPEALED SURVEY activity is added to the case and an action item advising of the changed date is sent to the primary case workers.

Recipient: Primary case workers

Format: 2567 REVISED FOR APPEALED SURVEY TO ENF CASE FOR: <FACILITY NAME> (<CASE ID>)

2802 Sent to State - Message is created when the Send 2802 to State button is pressed on the Deemed/2802 tab of the certification kit (with required fields present).

Recipient: All Responsible Parties

Format: 2802 SENT TO STATE FOR: <FACILITY NAME> (<TRACK ID>)

ACTS Assigned Activity (6) - Message is created when an activity is added on the Activities tab of an intake in ACTS.

Recipient: SA and RO staff

Format: <ACTIVITY TYPE> FOR: <FACILITY NAME> (<INTAKE ID>)
<CCN>

Ex: LETTER TO PROVIDER/SUPPLIER FOR: <FACILITY NAME> (<INTAKE ID>)
<CCN>
Added to Survey Team (1) - Message is created when user is added to a survey team. Message is deleted when user is removed from the survey team or the survey is deleted.

   Recipient: SA, RO, or CO survey team members

   Format:  SURVEY FOR: <FACILITY NAME> (<EVENT ID>) <CCN>
            formerly INVESTIGATION FOR: <FACILITY NAME>
            (<EVENT ID>)

ARM Assigned Activity (28) - Message is created when an ARM activity is added.

   Recipient: ARM staff

AST Assigned Activity (16) - Message is created when an activity is added to the My Activities section of My ASPEN.

   Recipient: SA and RO staff

   Format:  <ACTIVITY TYPE> FOR: <FACILITY NAME> (<ITEM ID>)
            <CCN>

AUTOMATIC INITIAL UPLOAD PENDING - When an automatic initial upload to national occurs, AEM sends an action item.

   Recipient: Primary case workers

Certification Forward to RO (27) - Message is created when a certification kit is flagged for RO review (SF08 set to 1) upon an upload attempt.

   Recipient: All CLIA RO and CO Responsible Parties, if any assigned to the certification; otherwise, broadcast to all CLIA RO users and all CO users

Certification RO Approval Request (25)

   Recipient: All CLIA RO and CO Responsible Parties, if any assigned to the certification; otherwise, broadcast to all CLIA RO users and all CO users

Certification RO Approval Response (26) - Message is created when an RO or CO user enters an RO Response and date.

   Recipient: All SA Responsible Parties

CMP PAYMENT POSTED BY OFM - When a Civil Money Penalty (CMP) payment is posted by OFM in the Installment Detail window, AEM sends an action item to the primary RO case worker. If a primary RO case worker is not assigned to the case, the action item is not sent.

A payment is considered posted when any/all of the following fields are changed and non-zero: Interest Amount, Medicaid Amount, Medicare Amount, Escrow Amount Collected, Total CMP Amount.

   Recipient: Primary case workers
Complaint Closed (3) - Message is created when an intake is marked Finalized on the Actions/Close tab and the intake's status is set to 8 - Closed.

Recipient: All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users for current region, or all CLIA RO users if CLIA intake, as well as all CO users

Format:  COMPLAINT CLOSED: <FACILITY NAME> (<INTAKE ID>) <CCN>

COW Request RO Approval (23) - CLIA only. Message is created when the Request for RO Approval checkbox is selected on the RO Approval tab of the intake, Certificate Type is Waiver, and intake status is set to 2 - Pending RO Approval. The date on the action item is the request date.

Recipient: All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all CLIA RO users for current region as well as all CLIA CO users

Format:  COW REQUEST RO APPROVAL - <FACILITY NAME> (<INTAKE ID>) <CCN>

COW RO Approval (24) - CLIA only. Message is created when an RO or CO user enters an RO Response and its Date on the RO Approval tab of the intake, and Certificate Type is Waiver. All COW Request RO Approval messages for the current intake are closed.

Recipient: All SA Responsible Parties

Format:  COW RO APPROVAL: <FACILITY NAME> (<INTAKE ID>) <CCN>

Death-Rstrnt/Sclsn, Request Determntn (18) - Message is created when the Request RO Determination checkbox is selected in the Death Associated with the Use of Restraints/Seclusion section on the Allegations tab of the intake. The date on the action item is the request date if entered; otherwise, the action item creation date.

Recipient: All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users for current region as well as all CO users

Format:  Death-Rstrnt/Sclsn, Request Determntn - <FACILITY NAME> (<INTAKE ID>) <CCN>

Death-Rstrnt/Sclsn, RO Response (19) - Message is created when an RO or CO user enters an RO Determination and its Date in the Death Associated with the Use of Restraints/Seclusion section on the Allegations tab of the intake.

Recipient: All SA Responsible Parties

Format:  Death-Restrain/Sceclusion, RO Response - <FACILITY NAME> (<INTAKE ID>) <CCN>
EMTALA Response from RO (13) - Message is created when an RO or CO user enters an EMTALA RO Response and its Date on the EMTALA tab of the intake. All EMTALA RO Approval Requested messages for the current intake are closed.

Recipient: All SA Responsible Parties

Format: EMTALA Response from RO - <FACILITY NAME> (<INTAKE ID>) <CCN>

EMTALA RO Approval Requested (12) - Message is created when the EMTALA Request for RO Approval checkbox is selected on the EMTALA tab of the intake. The date on the action item is the request date if entered; otherwise, the action item creation date.

Recipient: All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users for current region as well as all CO users

Format: EMTALA request RO approval - <FACILITY NAME> (<INTAKE ID>) <CCN>

Enforcement Assigned Activity (15) - Message is created when an activity is added to the Activities section on the Case Basics tab of a case in AEM.

Recipient: SA and RO staff

Format: <ACTIVITY TYPE> FOR: <FACILITY NAME> (<CASE ID>) <CCN>

Forwarded to CO (20) - Message is created for designated provider types when an RO or CO user enters a Forwarded to CO date. This field is at the bottom of the Investigation tab and also on the Actions/Close tab of the intake. Message is not created if provider type is 01U, 01V, 01W, 01X, 01Y, 01Z - Medicaid Only Hospitals, 024 NH - NF Only, 052 HHA - Medicaid Only, 061 PRTF - Medicare, or 111 ICF/IID - Medicaid.

Recipient: All CO Responsible Parties, if any assigned to the intake

Format: FORWARD TO CO: <FACILITY NAME> (<INTAKE ID>) <CCN>

Forwarded to RO (10) - Message is created for designated provider types when a user enters a Forwarded to RO/MSA date (Forwarded to RO date if CLIA). This field is at the bottom of the Investigation tab and also on the Actions/Close tab of the intake. Message is not created if provider type is 01U, 01V, 01W, 01X, 01Y, 01Z - Medicaid Only Hospitals, 024 NH - NF Only, 052 HHA - Medicaid Only, 061 PRTF - Medicare, or 111 ICF/IID - Medicaid.
Recipient: All RO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users (CLIA RO users if CLIA intake) for current region, as well as all CO users (CLIA CO users if CLIA intake)

Format: FORWARDED TO RO: <FACILITY NAME> (<INTAKE ID>) <CCN>

HEARING RESOLVED - When a hearing's Settle/Withdraw Date or Final Decision Date is entered, this action item is sent to both primary case workers. If the date is entered by one of the primary case workers, the action item is not sent to that person.

Recipient: Primary case workers

IJ SITUATION ADDED - NH, HHA. When an IJ situation is added to an enforcement case, AEM sends an action item.

Recipient: Primary case workers

Format: IJ SITUATION ADDED TO ENF CASE FOR: <FACILITY NAME> (<CASE ID>)

IJ CHANGED/REMOVED BY IDR/IIDR - NH only. When an IJ-level tag's Scope/Severity (S/S) is changed as a result of Informal Dispute Resolution/Independent IDR (IIDR) or hearing, and the S/S change affects the status of the IJ situation, an IJ SITUATION CHANGED BY IDR/IIDR activity is added to the case and the primary case workers receive an action item.

Recipient: Primary case workers

Format: IJ SITUATION CHANGED BY IDR/IIDR TO ENF CASE FOR: <FACILITY NAME> (<CASE ID>)

Investigation Activity Auto-Creation - When an activity of Type 08 - Schedule Onsite Visit is added on the Activities tab of the intake, message 06 - ACT Assigned Activity is sent if there is at least one survey team member. If not, it is automatically created when the team member(s) are first assigned. The survey team leader or, in lieu thereof, the first team member, is designated as the Responsible Party.

Also, message 01 - Added to Survey Team is sent to all members newly assigned to the survey team. This message uses Alert 1 functionality; therefore, it will not appear as a separate type on Action Item filter lists.

Investigation Activity Auto-Update - When an intake is linked to a different survey, an existing activity of Type 08 - Schedule Onsite Visit is automatically updated with the appropriate survey date and team leader information. This message uses Alert 1 functionality; therefore, it will not appear as a separate type on Action Item filter lists.

NEW SURVEY ADDED - New survey activities and action items are triggered when a survey is created anywhere in ASPEN (ACO, ARO or ACTS) for a provider that has an active AEM enforcement case. The visit is added to the enforcement case, a NEW SURVEY ADDED activity is created for the case, and a NEW SURVEY ADDED action item is sent.
**Recipient:** Primary case workers  

**Format:** NEW SURVEY ADDED TO ENF CASE FOR: <FACILITY NAME>  
(<CASE ID>)

**NEW VISIT - COMPLIANCE REMOVED** - NH, HHA. When the Shell Only option in Survey Properties is deselected, either manually or automatically, AEM adds the survey to an enforcement case, if appropriate. If the enforcement case had Substantial Compliance and adding the survey removes compliance, AEM sends an action item.

**Recipient:** Primary case workers

**Personal (PR)** - Message is created when a personal activity is added to the My ASPEN personal calendar in AST.

**Recipient:** Staff member who added the activity

**Format:** Reminder:<HH:MMa/p> <Category-Activity>

**Ex:** Reminder: 9:30a Meeting-Team Meeting

**PPMP Request RO Approval (21)** - CLIA only. Message is created when the Request for RO Approval checkbox is selected on the RO Approval tab of the intake, Certificate Type is PPMP, and intake status is set to 2 - Pending RO Approval. The date on the action item is the request date.

**Recipient:** All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all CLIA RO users for current region as well as all CLIA CO users

**Format:** PPMP REQUEST RO APPROVAL: <FACILITY NAME>  
(<INTAKE ID>) <CCN>

**PPMP RO Approval (22)** - CLIA only. Message is created when an RO or CO user enters an RO Response and its Date on the RO Approval tab of the intake, and Certificate Type is PPMP. All PPMP Request RO Approval messages for the current intake are closed.

**Recipient:** All SA Responsible Parties

**Format:** PPMP RO APPROVAL: <FACILITY NAME>  
(<INTAKE ID>) <CCN>

**REMOVE FROM NATIONAL UPLOAD PENDING** - When an automatic remove from national occurs, AEM sends an action item.

**Recipient:** Primary case workers

**Response from RO (11)** - Message is created when an RO or CO user enters an RO Response and its Date on the Deemed or RO Approval tab of the intake. All RO Approval Requested messages for the current intake are closed.

**Recipient:** All SA Responsible Parties

**Format:** RESPONSE FROM RO FOR: <FACILITY NAME>  
(<INTAKE ID>) <CCN>
**Responsible RO (5) -** Message is created when a Responsible RO or CO is specified on the Intake tab of the intake.

*Recipient:* RO or CO staff member assigned to the intake as a Responsible Party

*Format:* RESPONSIBLE FOR: <FACILITY NAME> (<INTAKE ID>) <CCN>

**Responsible SA (4) -** Message is created when a Responsible SA is specified on the Intake tab of the intake.

*Recipient:* SA staff member assigned to the intake as a Responsible Party

*Format:* RESPONSIBLE FOR: <FACILITY NAME> (<INTAKE ID>) <CCN>

**Restraints/Seclusion Death (17) -** Message is created when an allegation of type 05 - Restraints/Seclusion - Death is added to the Allegations tab of the intake.

*Recipient:* All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users for current region as well as all CO users

*Format:* RESTRAINTS/SECLUSION DEATH - <FACILITY NAME> (<INTAKE ID>) <CCN>

**Revisit Requested (7) -** Message is created when an SA user first enters a date in the Request RO Approval for Revisit field for a survey. This field is on the Investigation and Survey grid on the Investigation tab and on the Investigation/Revisit grid on the Investigation Properties tab in Investigation Properties->Survey View.

*Recipient:* All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users for current region, or all CLIA RO users if CLIA intake, as well as all CO users

*Format:* REVISIT REQUESTED FOR: <FACILITY NAME> (<EVENT ID>) <CCN>

**Revisit Response (8) -** Message is created when an RO or CO user enters an RO Response and RO Response Date. These fields are on the Investigation and Survey grid on the Investigation tab.

*Recipient:* SA user who initially entered the Request RO Approval for Revisit date (see Revisit Requested message)

*Format:* RESPONSE RECEIVED FROM RO FOR REVISIT REQUEST: <FACILITY NAME> (<EVENT ID>) <CCN>
**RO Approval Requested (2)** - Message is created when the Request for RO Approval checkbox is selected on the Deemed or RO Approval tab of the intake, and intake status is set to 2 - Pending RO Approval. For CLIA intakes, Certificate Type on the RO Approval tab must be Accreditation. The date on the action item is the request date.

*Recipient:* All RO and CO Responsible Parties, if any assigned to the intake; otherwise, broadcast to all RO users for current region, or all CLIA RO users if CLIA intake, as well as all CO users

*Format:* RO APPROVAL - <FACILITY NAME> (<INTAKE ID>) <CCN>

**RO Final Action Signoff (14)** - Message is created when the Final Action Signoff date is entered on the Investigation Properties tab. All RO action items for the current intake are closed. This message is deleted if the Final Action Signoff date is deleted, but all other closed RO action items will remain closed.

*Recipient:* All SA Responsible Parties

*Format:* FINAL ACTION SIGNOFF: <FACILITY NAME> (<INTAKE ID>) <CCN>

**SUBSTANTIAL COMPLIANCE ACHIEVED** - NH, HHA. When Substantial Compliance is achieved in a case, AEM sends an action item to the primary case workers.

*Recipient:* Primary case workers

**SUBSTANTIAL COMPLIANCE REMOVED/CASE REOPENED** - NH, HHA. When Substantial Compliance is removed from a closed enforcement case, the case is reopened (Federal Status is set to Open-Active) and AEM sends an action item.

*Recipient:* Primary case workers

*Format:* SUBSTANTIAL COMPLIANCE ACHIEVED TO ENF CASE FOR:<FACILITY NAME> (<CASE ID>)

**Unable to Upload Certkit (30)** - Message is created when a certification kit upload (CERT) fails. Recipient can double-click to open the kit.

*Recipient:* All Responsible Parties assigned to the certification kit

**Unable to Upload Investigation (29)** - Message is created when an investigation survey upload (CSP-SRV) fails. Recipient can double-click to open the investigation.

*Recipient:* All Responsible Parties assigned to all linked intakes

**Unable to Upload Survey (32)** - Message is created when a survey upload (SRVY) fails. Recipient can double-click to open the survey.

*Recipient:* All survey team members and, if special survey, all Responsible Parties assigned to the survey
AST Report Samples

This section provides column definitions and information for some of the reports you can generate using AST. All of the reports in this section are run from the Reports/Scheduling and Tracking Reports menu in ACO, ARO, or AST.

The following reports are available in AST from:

**Reports Menu | Scheduling and Tracking Reports**

- **Profile Reports**
  - Initial Certification Profile
  - Change of Ownership Profile
  - Recertification Profile
  - Termination (90 Days)
  - Termination (23 Days)
  - Branch Office
  - Full Facility Profile

- **Scheduling Reports**
  - Scheduling – Target Month
  - Scheduled Survey Report by Period
    - By Facility
    - By Survey/Team
  - Survey Average (Interval) Report
  - Months Since Last Certification
  - Certifications to be Scheduled
  - Complaints to be Scheduled
  - Revisits to be Scheduled

- **Tracking Reports**
  - Pending/Initial Aging Report
  - Tracking – Comprehensive
  - Certification Tracking by Responsible Party
  - Termination Summary Report
  - Involuntary Termination 23
  - Involuntary Termination 90
  - Certification Processing Time
    - Initial Certification Processing Time
    - Recertification Processing Time
CHOW Tracking
CHOW Processing Time
COPs Out of Compliance
Survey Overdue (HHA)
Revisit Due Date
Overdue Revisits
POC Tracking
Facility Milestone

• **Calendar Reports**
  Schedule Calendar
  Schedule Detail

• **Schedule View Right-click Reports**
  Certifications to be Scheduled
  Complaints to be Scheduled
  Revisits to be Scheduled

• **Tracking View Right-click Reports**
  Certification Milestones
  Tracking Report
  Recertification Profile
  Change of Owner Profile
  Termination (90 Days)
  Termination (23 Days)
  Branch Office
Branch Office

This report provides basic information on the branch offices associated with an HHA, as entered on CMS-1572A.

**Figure 106: Branch Office report sample**

**Report column definitions:**

- **Branch Office**
  Current branch operating name.

- **Branch ID (OASIS MO16)**
  10-digit Medicare branch identification number, entered by the RO.

- **Address**
  The address of the branch.

- **Contact**
  The contact person at the branch.

- **Phone**
  The phone number of the branch.
Opened
Date the RO approved the establishment of the branch.

Closed
The branch termination date.

Change of Owner Tracking Profile
This report lists the change of ownership (CHOW) processing steps for a provider.

<table>
<thead>
<tr>
<th>Event Type CHOW</th>
<th>Effective CHOW Date</th>
<th>Responsible Party</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHOW: Change of Owner</td>
<td>01/01/2019</td>
<td>STATE</td>
<td>01/01/2019</td>
</tr>
<tr>
<td>CHOW: Packet Mailed/Transmitted to the RO</td>
<td>01/01/2019</td>
<td>STATE</td>
<td>01/01/2019</td>
</tr>
<tr>
<td>CHOW: Packet Received</td>
<td>01/01/2019</td>
<td>CMS RO</td>
<td>01/01/2019</td>
</tr>
</tbody>
</table>

Figure 107: Change of Owner Tracking Profile report sample

Report column definitions:

**Event Type CHOW**
Type of CHOW requiring action.

**Effective CHOW Date**
Date on which the CHOW became effective.

**Processing Step**
Action or occurrence relating to the CHOW.

**Responsible Party**
Entity responsible for the processing step: State, CMS Regional Office, CMS Central Office, or the provider.

**Date**
Date on which the processing step occurred.
Full Facility Profile (FFP)

This report presents comprehensive information about each facility/provider selected for the report, including basic information from Facility Properties and survey performance history.

Figure 108: Full Facility Profile report sample

**Report column definitions:**

**Certification Track ID**
A unique identifier supplied by ASPEN. All surveys associated with a certification kit use this number in their Event ID.

**Categories**
Categories of surveys related to the certification.

**Cert Exit (L34)**
Taken from CMS-1539, this is the latest exit date of the standard surveys in the certification kit. For all provider types except for nursing homes (NHS), it is the exit date of the Health standard survey. For NHS, it is the later of the exit dates of the Health standard and LSC standard surveys.

**Building ID**
A user-defined two-character identifier for the building.
**Tag Cited**
The tag number for the citation.

**Cited On**
The date on which the citation occurred.

**Severity/Scope**
A code from A through L that indicates the combined severity and scope of the problem being cited.

**Completion Date (X5)**
The provider Plan of Correction completion date. This is the date on which the provider representative states the deficiency will be corrected.

**Corrected On**
The date on which the deficiency was corrected.

**Cert**
An X in this column indicates that the tag was cited as part of a certification survey.

**Comp**
An X in this column indicates that the tag was cited as part of a complaint/incident investigation.

**Waived**
An X in this column indicates that the deficiency was waived.

**IDR Status**
The status of disputed tags, as defined by the IDR Key at the bottom of the report.
Initial Provider Certification Tracking Profile

This report provides information and status on the certification process for the provider selected for the report.

Figure 109: Initial Provider Certification Tracking Profile report sample

Report column definitions:

**Event Type**
The type of event necessitating the processing steps.

**Effective Initial Certification Date**
The date on which the provider's initial certification became effective.

**Effective Denial Date**
The date on which the provider's denial of initial certification occurred.

**RO Analyst**
The Regional Office analyst assigned to the initial certification.

**SA Analyst**
The State Agency analyst assigned to the initial certification.

**Processing Step**
An action or step to be performed as part of the initial certification.

**Responsible Party**
Entity responsible for the completion of the processing step.

**Date**
The date on which the processing step was completed.
Recertification Provider Certification Tracking Profile

This report provides recertification status and information for each provider selected for the report.

**Figure 110: Recertification Provider Certification Tracking Profile report sample**

**Report column definitions:**

- **Provider Name**
  Current provider operating name.

- **Provider ID**
  Medicare provider number.

- **Medicare Initial Tracking #**
  The initial Medicare number assigned to the provider.

- **Continuing Lic #**
  The continuing state license number assigned to the provider.

- **CMS Region**
  The Centers for Medicare and Medicaid Services region in which the provider is located.

- **State**
  The state in which the provider resides.

- **Region/Area Office**
  The identifier for the Regional Office for the provider.

- **Provider Address**
  The street address of the provider.

- **Telephone Number**
  The main telephone number of the provider.
**Audit FI**
Audit fiscal intermediary.

**Claims FI**
Audit fiscal intermediary.

**License Type**
Indicates whether the provider’s state license is permanent, annual, or bi-annual.

**License Effective From**
The date on which the provider's state license went into effect.

**License Effective To**
The date on which the provider's state license expires.

**License Continuing**
A “Yes” in this column indicates that the state license is continuing.

**Event Type**
Category as determined by the national reporting system. If there has been a prior successful upload of a certification kit for the provider, the Event Type is a Recertification. If there are no prior uploads, the Event Type is an Initial Certification.

**Effective Recertification Date**
Date on which the recertification is effective.

**Effective Denial Date**
Date on which a denial of recertification occurs.

**RO Analyst**
Regional Office analyst assigned to the recertification.

**SA Analyst**
State Office analyst assigned to the recertification.

**Processing Step**
Action or occurrence relating to the recertification.

**Responsible Party**
Entity responsible for the processing step.

**Date**
Date on which the processing step occurred.
Involuntary Termination (23 Days)

This report lists providers involuntarily terminated within 23 days of being notified of non-compliance.

Figure 111: Involuntary Termination (23 Days) report sample

Report column definitions:

Provider Name
Current provider operating name.

Provider ID
Medicare provider number.

Provider Address
The provider primary address.

Telephone Number
The main provider telephone number.

RO Analyst
The Regional Office analyst.
SA Analyst
The State Agency analyst.

Survey Date
Exit date of the survey leading to termination. This date is from CMS-1539.

Processing Step
A step or action in the termination process.

Responsible Party
The entity responsible for the processing step.

Date
The date on which the processing step was completed.

Involuntary Termination (90 Days)
This report lists providers involuntarily terminated within 90 days of being notified of non-compliance.

<table>
<thead>
<tr>
<th>Provider Name:</th>
<th>Provider ID:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Termination Processing Step</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Survey Date (1/12) 02/10/2010</td>
<td></td>
</tr>
<tr>
<td>Processing Step</td>
<td>Responsible Party</td>
</tr>
<tr>
<td>HEALTH 2667 SENT TO FACILITY</td>
<td>BOTH SA &amp; RO</td>
</tr>
<tr>
<td>HEALTH FOC DUE</td>
<td>BOTH SA &amp; RO</td>
</tr>
<tr>
<td>HEALTH FOC RECEIVED</td>
<td>BOTH SA &amp; RO</td>
</tr>
<tr>
<td>HEALTH FOC APPROVED</td>
<td>BOTH SA &amp; RO</td>
</tr>
<tr>
<td>HEALTH FOLLOW-UP SURVEY</td>
<td>STATE</td>
</tr>
<tr>
<td>LSC 2667 SENT TO FACILITY</td>
<td>BOTH SA &amp; RO</td>
</tr>
<tr>
<td>LSC FOC DUE</td>
<td>BOTH SA &amp; RO</td>
</tr>
<tr>
<td>LSC FOC RECEIVED</td>
<td>BOTH SA &amp; RO</td>
</tr>
<tr>
<td>LSC FOC APPROVED</td>
<td>BOTH SA &amp; RO</td>
</tr>
<tr>
<td>LSC FOLLOW-UP SURVEY</td>
<td>STATE</td>
</tr>
<tr>
<td>MALTRANSPORT 2667 TO RO</td>
<td>STATE</td>
</tr>
<tr>
<td>RECEIVE 2667 PACKET</td>
<td>CMS RO</td>
</tr>
<tr>
<td>CLINICAL REVIEW</td>
<td>CMS RO</td>
</tr>
<tr>
<td>RETURN 2667 TO SA</td>
<td>CMS RO</td>
</tr>
</tbody>
</table>

Figure 112: Involuntary Termination (90 Days) report sample
Report column definitions:

**Provider Name**
Current provider working name.

**Provider ID**
Provider Medicare ID.

**Provider Address**
The current provider address.

**Telephone Number**
The main provider telephone number.

**RO Analyst**
The Regional Office analyst.

**SA Analyst**
The State Agency analyst.

**Survey Date**
The date on which the survey leading to termination was completed. From CMS-1539.

**Processing Step**
A step or action in the termination process.

**Responsible Party**
The entity responsible for tracking the processing step.

**Date**
The date on which the processing step was completed.

**Schedule Calendar Report**

The report lists scheduled certifications and recertifications in a standard calendar format.

*Figure 113: Calendar for: report sample*
Schedule Detail Report

This report lists scheduled survey details by facility for a user-defined period.

**Report column definitions:**

- **FacID/Provider#**
  Identification number generated by ASPEN when the facility/provider is created, followed by a slash and the provider's Medicare identification number.

- **Team**
  Short name of the survey team assigned to the facility.

- **Name**
  Current working name.

- **Address**
  The primary address of the facility.

- **Telephone**
  The main telephone number of the facility.

- **Entry Date**
  The date on which the survey began.

- **Exit Date**
  The date on which the survey was completed.

- **Survey Type**
  Type of Survey performed, as entered in Survey Properties.

- **Staff Name**
  The names of the surveyors.

---

**Figure 114: Schedule Detail Report sample**

<table>
<thead>
<tr>
<th>FacID/Provider#</th>
<th>Team</th>
<th>Name</th>
<th>Address</th>
<th>Telephone</th>
<th>Entry Date</th>
<th>Exit Date</th>
<th>Survey Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>20111001</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>888888</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>777777</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

**Schedule Detail Report**

From: 12/16/2009 To: 03/31/2010

---

**Agency for Health Care Administration**

---

**Page 1 of 3**
Primary Discipline
The primary discipline of the surveyor.

Leader
A “Yes” in this column indicates that the indicated staff member served as the survey team’s leader.

Survey Average Interval Report
The Survey Average Interval Report provides a report that, depending on user selections:

- Shows the interval in months between the most recent accepted certification exit date and the immediate prior accepted certification exit date.
- Shows the interval in months between the certification target date as entered in AST and the most recent accepted certification exit date.
- Shows the interval in months between the next scheduled survey (most recent unaccepted certification exit date) and the most recent accepted certification exit date.
- May be run for a specified date range, or ignoring date ranges.
- Has enhanced sort and filter options.

Note: The previous Survey Average Interval Report has been retained and given a new name, Months Since Last Certification.
Report column definitions:

**Provider#/Facility ID**
The provider's Medicare identification number, followed by a slash and the identification number generated by ASPEN when the facility/provider is created.

**Name – City**
Current working name and the city in which the facility is located.

**State Region Code**
State region code, as entered in Facility Properties.

**Deemed**
Has an X if the provider is Deemed. You must select Show Deemed in the report options for deemed providers to be included in the report.

**Type**
Provider Category.

**Team**
Short name of the work unit assigned to the facility.

**Prior Health Exit (X3)**
Exit date of the accepted certification kit that is immediately prior to the Recent Health Exit.

When Prior Health Exit is not applicable, the 0 interval is not included in the Average Interval Calculation.

**Recent Health Exit (X3)**
Dates that appear in this column depend on which options were selected for the report:

- Default options use the most recent accepted certification exit date that falls within the specified date range.

- When **Use Target Date for Most Recent Survey?** is selected, the report supplies the target date that falls within the specified date range in this column. If no target date is found, the report uses the most recent accepted certification exit date. Target Dates are marked by an asterisk on the report.

- When **Use Scheduled Surveys for Most Recent Survey?** is selected, the report includes unaccepted certification exit dates that fall within the specified date range (date range must include future dates when this option is selected). If there is no unaccepted certification exit date, the report uses the most recent accepted certification exit date.
**Months Between**
Interval in months between dates in Prior Health Exit column and Recent Health Exit column

**Still in Tracking**
A Yes in this column indicates the certification contains a scheduled survey and Tracking Status is not 10 Processing Complete.

* / **
* means the date used in the Most Recent Health Exit (X3) column is a Target Date
** means the date used in the Most Recent Health Exit (X3) column is a scheduled survey (latest unaccepted certification exit date)

**Months Since Last Certification**
This report details the number of months since the last certification for a user-defined set of providers.

---

**Report column definitions:**

**Facility ID/Provider #**
Identification number generated by ASPEN when the facility/provider is created, followed by a slash and the provider's Medicare identification number.

**Name – City**
Current facility working name and the city in which it is located.

**State Region Code**
The facility state region code.

---

*Figure 116: Months Since Last Certification report sample*

---
Type
The facility type.

Team
Short name of the survey team assigned to the facility.

Last Certification (L34)
The exit date of the most recent certification.

Months Since Last
The number of months since the last certification.

Is Scheduled/In Progress
When a certification is either scheduled or in progress, the date of the next scheduled health survey is in this column.

Target Certification Month Report
This report details a user-selected set of providers, providing their last certification dates, their target scheduled dates, how much time has passed since their last certification, and whether they have been scheduled for their next certification.

Figure 117: Target Certification Month Report sample

Report column definitions:

Facility ID/Provider #
ASPER facility ID and Medicare provider number.

Name - City
Provider name and the city in which it is located.

State Region Code
The provider's state region code.

Type
Provider type.

Team
Short name of the survey team assigned to the provider.
**Last Certification (L34)**
The last certification exit date, from CMS-1539.

**Month Since Last**
Number of months since the last certification.

**Next Target Schedule Date**
Target Date for the next recertification.

**Is Scheduled**
An "X" in this column indicates that the next recertification is already scheduled.

**Aging Report of Pending Initial Survey Activity Detail**

This report details facilities/providers that have pending initial certification activity.

---

**Fac ID**
Identification number generated by ASPEN when the facility/provider is created.

**Name**
Current operating name.

**City**
The city in which the facility is located.

**Category**
The provider category.

**Certification Date (L34)**
The date on which the provider's initial certification was complete.

**Survey Application Received**
The date on which the provider's application for a certification survey was received.
Duration
The number of days elapsed from the date the survey application was received and the date on which the report was run.

Released To RO
A “Yes” in this column indicates that the certification was released to the Regional Office.

Initial Certification Processing Times Report
This report defines the average number of days elapsed during the steps required for initial certification processing.

<table>
<thead>
<tr>
<th>Actions</th>
<th>State Providers Considered</th>
<th>State Avg # of Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>04 DATE OF LSC SURVEY</td>
<td>4</td>
<td>44.00</td>
</tr>
<tr>
<td>04 DATE OF INITIAL SURVEY (LSA)</td>
<td>12</td>
<td>24.00</td>
</tr>
<tr>
<td>09 HEALTH 2007 SENT TO FACILITY</td>
<td>1</td>
<td>213.00</td>
</tr>
<tr>
<td>01 APPLICATION PACKET RECEIVED</td>
<td>12</td>
<td>45.00</td>
</tr>
<tr>
<td>04 DATE OF HEALTH SURVEY</td>
<td>11</td>
<td>4.00</td>
</tr>
</tbody>
</table>

*Figure 119: Initial Certification Processing Times Report sample*

Report column definitions:

**Actions**
The actions or steps involved in initial certification processing.

**State Providers Considered**
The number of state providers considered in calculating the state average number of days.

**State Avg # of Days**
The average number of days elapsed for each action type.
CHOW Processing Times Report

This report defines the average number of days elapsed during the steps required for change of ownership (CHOW) processing.

<table>
<thead>
<tr>
<th>Actions</th>
<th>State Providers Considered</th>
<th>State Avg # of Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>APPLICATION PACKET RECEIVED</td>
<td>2</td>
<td>52.86</td>
</tr>
<tr>
<td>CHOW PACKET MAILED/TRANSMITTED TO THE RO</td>
<td>2</td>
<td>52.86</td>
</tr>
<tr>
<td>CMS FORM #868 APPROVAL RECEIVED</td>
<td>2</td>
<td>52.86</td>
</tr>
<tr>
<td>CHOW PACKET RECEIVED</td>
<td>2</td>
<td>52.86</td>
</tr>
</tbody>
</table>

Figure 120: CHOW Processing Times Report sample

Report column definitions:

**Actions**
The actions or steps involved in CHOW processing.

**State Providers Considered**
The number of state providers considered in calculating the state average number of days.

**State Avg # of Days**
The average number of days elapsed for each action type.
## Change of Owner Tracking Detail

This report details facilities/providers that have changed ownership during the user-specified period.

### Report column definitions:

**Fac ID**
Identification number generated by ASPEN when the facility/provider is created.

**Provider Name – ID**
Current facility/provider operating name, as well as its Medicare identification number.

**CHOW Requested**
The date on which the CHOW for the provider was requested.

**CHOW Effective**
The date on which a CHOW occurred since the last survey and prior to the current certification.

**Related Cert Kit**
The certification kit containing the provider's CHOW information.

**RO Resp. Party**
The person from the Regional Office responsible for tracking the CHOW.

**SA Resp. Party**
The responsible party from the State Agency.

### Figure 121: Change of Owner Tracking Detail report sample

<table>
<thead>
<tr>
<th>Fac ID</th>
<th>Provider Name – ID</th>
<th>CHOW Requested</th>
<th>CHOW Effective</th>
<th>Related Cert Kit</th>
<th>RO Resp. Party</th>
<th>SA Resp. Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>000001</td>
<td>ABC HEALTH SERVICES INC</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>000002</td>
<td>DEF HEALTH SERVICES INC</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>000003</td>
<td>GHI HEALTH SERVICES INC</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

[Agency for Health Care Administration]
[Change of Owner Tracking Detail]
[Printed 03/01/2010]
[From: 03/18/2009 To: 03/31/2010]
Recertification Processing Times Report

This report details the certification status of all user-selected providers, indicating the dates of last certification, next target certification, and the duration between the two. It also lists pending complaints for each facility/provider.

Recertification Processing Times Report

Agency for Health Care Administration
Recertification Processing Times Report
From: 03/10/2009 To: 03/31/2010

<table>
<thead>
<tr>
<th>Actions</th>
<th>State Providers Considered</th>
<th>State Avg # of Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>04 SCHEDULE RECERTIFICATION SURVEY</td>
<td>q</td>
<td>0.75</td>
</tr>
<tr>
<td>04 DATE OF INITIAL SURVEY (L54)</td>
<td>q</td>
<td>0.00</td>
</tr>
<tr>
<td>04 DATE OF HEALTH SURVEY</td>
<td>q</td>
<td>0.00</td>
</tr>
</tbody>
</table>

Figure 122: Recertification Processing Times Report sample

Report column definitions:

**FacID/Provider#**
Identification number generated by ASPEN when the facility record is created, followed by a slash and the provider’s Medicare identification number.

**Facility/ Description**
Current facility operating name and category.

**City**
The city in which the provider is located.

**Cert/Tot Beds**
The number of certified beds and the number of total beds for the provider.

**Last Cert Exit Date (L34)**
The last certification exit date, from CMS-1539.

**Next Cert Target Date**
The target date for the next certification for the provider.

**Duration Months**
The number of months between the last certification exit date and the next certification target date.

**Pending Complaints**
The number of pending complaint surveys for the provider.
Conditions of Participation (COP) Out of Compliance

This report details out-of-compliance conditions of participation (COPs) for each selected facility.

Figure 123: Conditions of Participation (COP) Out of Compliance report sample

Report column definitions:

FacID/Provider#
Identification number generated by ASPEN when the facility record is created.

Facility Description
Current operating name and the provider type.

Address
The Address of the facility.

Telephone
The main telephone number of the facility.

Condition Tag
Condition-level tag that is not in compliance.

Cited
The date on which the tag was cited.

Completion Date (X5)
The date by which the provider states the deficiency will be corrected.

Corrected
The date on which the deficiency was corrected.
Certification Milestones

This report details all of the certification milestones for the user-selected facilities.

Figure 124: Certification Milestones report sample

Report column definitions:

**Name**
Current facility operating name.

**Facility ID**
Identification number generated by ASPEN when the facility record is created.

**Address**
The street address of the facility.

**Provider #**
The Medicare provider number for the facility.

**City/State/Zip/County**
The city, state, zip code, and county for the facility.

**Type**
The provider type.
**Telephone**  
The main provider telephone number.

**Administrator**  
The provider administrator.

**Event ID**  
The survey identification number.

**Event Type**  
The survey event type.

**Start Date**  
The date on which the event or milestone started.

**Exit Date**  
The date on which the event or milestone was completed.

**Categories**  
The categories of the event or milestone.

**Admin Signoff**  
The date on which the administrator signed the survey.

**Team Leader**  
The surveyor designated as the team leader.

**Staggered Survey**  
A “Yes” in this column indicates that the survey qualifies as staggered, and began on a weekend, or in the early morning or evening hours.

**2567 Due**  
The date on which CMS-2567, Statement of Deficiencies (SOD), is due.

**2567 Sent**  
The date on which CMS-2567, SOD, was sent.

**POC Due**  
The date on which the Plan of Correction is due.

**Acceptable POC received**  
The date on which an acceptable Plan of Correction was received.

**POC Letter Sent**  
The date on which the Plan of Correction letter was sent.

**Alleged Compliance**  
The date on which the provider alleged that the deficiency cited was corrected.

**Requested**  
The date on which an Informal Dispute Resolution (IDR) was requested by the provider.
**Documents Received**
The documents received pertaining to the IDR.

**Withdrawn**
If the request for IDR was withdrawn, the date the withdrawal was received.

**Conducted**
The date the IDR review was conducted.

**Completed**
The date the results of the review were formally sent to the provider.

**Revised 2567 Sent**
The date the revised CMS-2567 was sent to the facility.

**Type**
The IDR type, such as phone review, desk review, or face-to-face review.

**Survey Exit Date**
The date on which the survey was completed.

**Date Certain**
The date by which correction must be made, which is reflected by the completion dates on the POC.

**DOPNA Effective**
The date on which the Denial of Payment for New Admissions (DoPNA) goes into effect.

**All Revisits Due By**
The date by which all revisits must be complete.

**6 Month Termination**
The date on which the 6-month termination will occur if the provider remains out of compliance.

**Last Day to Send DOPNA Letter**
The latest date on which the DoPNA letter can be sent to the facility.
**Involuntary Termination 23 Day**

This report lists facilities involuntarily terminated within 23 days of the exit date of the terminating survey.

<table>
<thead>
<tr>
<th>FacID/Provider#</th>
<th>Facility Description</th>
<th>Term Start Date</th>
<th>Back in Compliance</th>
<th>Termination Date (L28)</th>
<th>Termination Code (L30)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>09/17/2016</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>01/22/2016</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>02/29/2008</td>
<td>05/01/2009</td>
<td></td>
<td>05 - FAIL TO MEET HEALTH SAFETY</td>
</tr>
<tr>
<td></td>
<td></td>
<td>10/02/2009</td>
<td>11/04/2009</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>02/23/2009</td>
<td>04/05/2009</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>09/15/2009</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Figure 125: Involuntary Termination 23 Day report sample*

**Report column definitions:**

**FacID/Provider#**
Identification number generated by ASPEN when the facility record is created, followed by a slash and the provider's Medicare identification number.

**Facility Description**
Current facility/provider operating name and category.

**Term Start Date**
The date on which the termination of the provider was initiated.

**Back in Compliance**
The date on which the provider was recognized as being back in compliance.

**Termination Date (L28)**
The date on which the provider was terminated.

**Termination Code (L30)**
The termination code describing the reason for termination.
Involuntary Termination 90 Day

This report lists facilities/providers involuntarily terminated within 90 days of being notified of non-compliance.

Figure 126: Involuntary Termination (90 Day) report sample

Report column definitions:

Provider Name
Current facility operating name.

Provider ID
Identification number generated by ASPEN when the facility record is created.

Provider Address
The provider address.

Telephone Number
The main provider telephone number.

RO Analyst
The Regional Office analyst.

SA Analyst
The State Agency analyst.

Survey Date
The date on which the survey leading to termination was completed. From CMS-1539.

Processing Step
A step or action in the termination process.
**Responsible Party**
The staff member responsible for tracking the processing step.

**Date**
The date on which the processing step was completed.

## Overdue Revisit Report

This report details facilities that have an overdue required revisit.

<table>
<thead>
<tr>
<th>FacID/Provider#</th>
<th>Team</th>
<th>Name – Address</th>
<th>Type</th>
<th>Telephone</th>
<th>EventID</th>
<th>Survey Type</th>
<th>Exit Date</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>HOSP-123-456</td>
<td>W11</td>
<td>John Doe, 123 Main St.</td>
<td>HOSP</td>
<td>123-4567</td>
<td>56789</td>
<td>Inlic</td>
<td>05/01/2019</td>
<td>60</td>
</tr>
<tr>
<td>HOSP-789-012</td>
<td>W33</td>
<td>Jane Smith, 789 Park Ave.</td>
<td>HOSP</td>
<td>890-0123</td>
<td>32109</td>
<td>Inlic, Licen</td>
<td>06/15/2019</td>
<td>60</td>
</tr>
<tr>
<td>MED-456-789</td>
<td>W55</td>
<td>Medical Services, 456 City Rd.</td>
<td>MED</td>
<td>789-6543</td>
<td>98765</td>
<td>Inlic, Licen</td>
<td>07/21/2019</td>
<td>51</td>
</tr>
</tbody>
</table>

*Figure 127: Overdue Revisit Report sample*

**Report column definitions:**

**FacID/Provider#**
Identification number generated by ASPEN when the facility record is created, followed by a slash and the provider's Medicare identification number.

**Team**
Survey team ID assigned to the provider.

**Name – Address**
Current provider operating name and address.

**Type**
The provider type.

**Telephone**
The main phone number of the provider.

**EventID**
The identification number for the survey.

**Survey Type**
Type of Survey, as entered in Survey Properties.
Exit Date
The date on which the survey was completed.

Duration
The number of days from the exit date to the date the report was generated.

Surveys Awaiting Acceptable Plan of Correction
This report lists facilities that have received one or more surveys indicating deficiencies and have not yet supplied an acceptable Plan of Correction indicating how they will correct those deficiencies.

<table>
<thead>
<tr>
<th>Facility ID</th>
<th>Facility Name</th>
<th>Event ID</th>
<th>Exit Date</th>
<th>Survey Type</th>
<th>SOD Sent</th>
<th>Duration</th>
<th>Federal Tags</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>EDU211</td>
<td>03/08/2010</td>
<td>NLTH-STD</td>
<td>03/08/2010</td>
<td>23</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>MEDICAL HOSP</td>
<td>E01311</td>
<td>02/05/2010</td>
<td>NLTH-STD</td>
<td>02/12/2010</td>
<td>19</td>
<td>1</td>
</tr>
</tbody>
</table>

Figure 128: Surveys Awaiting Acceptable Plan of Correction report sample

Report column definitions:

Facility ID
Identification number generated by ASPEN when the facility record is created.

Facility Name
Current facility/provider operating name.

Event ID
The event identification number.

Exit Date
The date on which the event was completed.

Survey Type
Category of survey, as entered in Survey Properties.

SOD Sent
The date on which the Statement of Deficiencies (SOD) was sent to the facility.

Duration
The number of days elapsed between the survey exit date and the date on which the report was run.

Federal Tags
Number of Federal tags.
Provider Number
The provider’s Medicare identification number (aka CMS Certification Number, CCN, OSCAR or Medicare number/ID or, for CLIA, CLIA number/ID).

Facility Type
The type of facility.

Survey Category
Type of Survey, as entered in Survey Properties.

State Tags
Number of state tags.

Recertification Processing Times Report

This report shows the average number of days elapsed during recertification processing.

<table>
<thead>
<tr>
<th>Actions</th>
<th>State Providers Considered</th>
<th>State Avg # of Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>04 SCHEDULE RECERTIFICATION SURVEY</td>
<td>4</td>
<td>5.75</td>
</tr>
<tr>
<td>04 DATE OF INITIAL SURVEY (LSG)</td>
<td>4</td>
<td>4.00</td>
</tr>
<tr>
<td>04 DATE OF HEALTH SURVEY</td>
<td>4</td>
<td>4.00</td>
</tr>
</tbody>
</table>

Figure 129: Recertification Processing Times Report sample

Report column definitions:

Actions
The actions or steps involved in recertification processing.

State Providers Considered
The number of state providers or facilities considered in calculating the state average number of days.

State Avg # of Days
The average number of days that elapsed for each action or step.
Surveys Awaiting Revisits

This report details facilities/providers with scheduled survey revisits that have not yet occurred.

**Figure 130: Surveys Awaiting Revisits report sample**

**Report column definitions:**

**Facility ID**
Identification number generated by ASPEN when the facility/provider is created.

**Facility Name**
Current provider operating name.

**Event ID**
The survey identification number.

**Survey Type**
Category of survey, as entered in Survey Properties.

**SOD Sent**
The date on which the Statement of Deficiencies (SOD) was sent to the facility/provider.

**Duration**
The number of days elapsed from the survey exit date to the date the report was run.

**Federal Tags**
Number of Federal tags cited.
**Provider Number**
The provider's Medicare identification number (aka CMS Certification Number, CCN, OSCAR or Medicare number/ID or, for CLIA, CLIA number/ID).

**Facility Type**
The provider type.

**Exit Date**
The date on which the survey requiring a revisit was completed.

**Survey Category**
Type of Survey requiring a revisit, as entered in Survey Properties.

**POC Recvd**
The date on which the Plan of Correction was received.

**Revisit Due**
The date by which the survey revisit is supposed to have occurred.

**State Tags**
Number of state tags.

---

**HHA Survey Overdue Report**

This report details Home Health Agencies (HHAs) that are overdue for a survey.

---

**Agency for Health Care Administration**

**HHA Survey Overdue Report**

<table>
<thead>
<tr>
<th>Medicare Provider Number:</th>
<th>Last Survey Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>03/20/2010</td>
</tr>
<tr>
<td></td>
<td>03/24/2010</td>
</tr>
<tr>
<td></td>
<td>03/25/2010</td>
</tr>
<tr>
<td></td>
<td>03/27/2010</td>
</tr>
<tr>
<td></td>
<td>03/28/2010</td>
</tr>
<tr>
<td></td>
<td>03/29/2010</td>
</tr>
<tr>
<td></td>
<td>03/30/2010</td>
</tr>
<tr>
<td></td>
<td>03/31/2010</td>
</tr>
</tbody>
</table>

**TOTAL NUMBER OF HHAs THAT EXCEEDS 12-MONTH STATUTORY REQUIREMENT:** 14

---

*Figure 131: HHA Survey Overdue Report sample*
Report column definitions:

**Medicare Provider Number**
The provider's Medicare identification number (aka CMS Certification Number, CCN, OSCAR or Medicare number/ID or, for CLIA, CLIA number/ID).

**Last Survey Date**
The date on which the last survey was conducted.

**Medicaid Provider Number**
The provider's Medicaid identification number.

Termination Summary Report

This report details the number of terminations for the selected providers, broken down by termination type and provider category.

<table>
<thead>
<tr>
<th>Category</th>
<th>Merger Closure</th>
<th>Dissatisfied with Reimbursement</th>
<th>Risk of Involuntary Termination</th>
<th>Other Reasons</th>
<th>Failure to Meet Health &amp; Safety Code</th>
<th>Failure to Meet Agreement</th>
<th>Change of Status</th>
<th>Total Terminations</th>
</tr>
</thead>
<tbody>
<tr>
<td>OPT-SP</td>
<td>7</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>7</td>
</tr>
<tr>
<td>X-RAY</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>HHA-1B</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>CORF</td>
<td>17</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>17</td>
</tr>
<tr>
<td>RHC</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>SNF/NF</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>27</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>27</td>
</tr>
</tbody>
</table>

*Figure 132: Termination Summary Report sample*

Report column definitions:

**Category**
The provider category.

**Merger Closure**
Number of providers voluntarily terminated due to a merger or closure.

**Dissatisfied with Reimbursement**
Number of providers voluntarily terminated due to dissatisfaction with reimbursement.

**Risk of Involuntary Termination**
Number of providers at risk of involuntary termination.
**Other Reasons**
Number of providers terminated for other reasons than those listed here.

**Failure to Meet Health/Safety Codes**
Number of providers involuntarily terminated due to their failure to meet health and/or safety codes.

**Failure to Meet Agreement**
Number of providers involuntarily terminated due to their failure to meet the terms of their certification agreement.

**Change of Status**
Number of providers terminated due to a change of status or category.

**Total Voluntary Terminations**
Total number of providers voluntarily terminated during the user-selected report period.

**Total Involuntary Termination Types**
Total number of providers involuntarily terminated during the user-selected report period.

**Total Voluntary and Involuntary**
Total number of providers voluntarily and involuntarily terminated during the user-selected report period.

**Total Terminations**
Total number of providers terminated during the user-selected report period.
Keyboard Shortcuts

Windows keyboard shortcuts are combinations of two or more keys that, when pressed, can perform the same task as using a mouse or other pointing device.

Ease of Access keyboard shortcuts

<table>
<thead>
<tr>
<th>Press this</th>
<th>To do this</th>
</tr>
</thead>
<tbody>
<tr>
<td>Right Shift for eight seconds</td>
<td>Turn Filter Keys on and off</td>
</tr>
<tr>
<td>Left Alt + Left Shift + PrtScn (or PrtScn)</td>
<td>Turn High Contrast on or off</td>
</tr>
<tr>
<td>Left Alt + Left Shift + Num Lock</td>
<td>Turn Mouse Keys on or off</td>
</tr>
<tr>
<td>Press Shift five times</td>
<td>Turn Sticky keys on or off</td>
</tr>
<tr>
<td>Num Lock for five seconds</td>
<td>Turn Toggle Keys on or off</td>
</tr>
<tr>
<td>Windows logo key + u</td>
<td>Open the Ease of Access Center</td>
</tr>
</tbody>
</table>

General keyboard shortcuts

<table>
<thead>
<tr>
<th>Press this</th>
<th>To do this</th>
</tr>
</thead>
<tbody>
<tr>
<td>F1</td>
<td>Display Help</td>
</tr>
<tr>
<td>Ctrl + c (or Ctrl + Insert)</td>
<td>Copy the selected item</td>
</tr>
<tr>
<td>Ctrl + x</td>
<td>Cut the selected item</td>
</tr>
<tr>
<td>Ctrl + v (or Shift + Insert)</td>
<td>Paste the selected item</td>
</tr>
<tr>
<td>Ctrl + z</td>
<td>Undo an action</td>
</tr>
<tr>
<td>Ctrl + y</td>
<td>Redo an action</td>
</tr>
<tr>
<td>Delete (or Ctrl + d)</td>
<td>Delete the selected item and move it to the Recycle Bin</td>
</tr>
<tr>
<td>Shift + Delete</td>
<td>Delete the selected item without moving it to the Recycle Bin first</td>
</tr>
<tr>
<td>F2</td>
<td>Edit/Rename the selected item</td>
</tr>
<tr>
<td>Ctrl + Right Arrow</td>
<td>Move the cursor to the beginning of the next word</td>
</tr>
<tr>
<td>Ctrl + Left Arrow</td>
<td>Move the cursor to the beginning of the previous word</td>
</tr>
<tr>
<td>Ctrl + Down Arrow</td>
<td>Move the cursor to the beginning of the next paragraph</td>
</tr>
<tr>
<td><strong>Press this</strong></td>
<td><strong>To do this (Continued)</strong></td>
</tr>
<tr>
<td>------------------------------------</td>
<td>------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Ctrl + Up Arrow</td>
<td>Move the cursor to the beginning of the previous paragraph</td>
</tr>
<tr>
<td>Ctrl + Shift with an arrow key</td>
<td>Select a block of text</td>
</tr>
<tr>
<td>Shift with any arrow key</td>
<td>Select more than one item in a window or on the desktop, or select text within a document.</td>
</tr>
<tr>
<td>Ctrl with any arrow key + Spacebar</td>
<td>Select multiple individual items in a window or on the desktop</td>
</tr>
<tr>
<td>Ctrl + a</td>
<td>Select all items in a document or window</td>
</tr>
<tr>
<td>F3</td>
<td>Search for a file or folder</td>
</tr>
<tr>
<td>Alt + F</td>
<td>Open the file menu for the active window</td>
</tr>
<tr>
<td>Alt + Enter</td>
<td>Display properties for the selected item</td>
</tr>
<tr>
<td>Alt + F4</td>
<td>Close the active item, or exit the active program</td>
</tr>
<tr>
<td>Alt + Spacebar</td>
<td>Open the shortcut menu for the active window</td>
</tr>
<tr>
<td>Ctrl + Spacebar</td>
<td>Activate the current grid row</td>
</tr>
<tr>
<td>Ctrl + F4</td>
<td>Close the active document (in programs that allow you to have multiple documents open simultaneously)</td>
</tr>
<tr>
<td>Alt + Tab</td>
<td>Switch between open items</td>
</tr>
<tr>
<td>Ctrl + Alt + Tab</td>
<td>Use the arrow keys to switch between open items</td>
</tr>
<tr>
<td>Ctrl + Mouse scroll wheel</td>
<td>Change the size of icons on the desktop</td>
</tr>
<tr>
<td>Windows logo key + Tab</td>
<td>Cycle through programs on the taskbar by using Aero Flip 3-D</td>
</tr>
<tr>
<td>Ctrl + Windows logo key + Tab</td>
<td>Use the arrow keys to cycle through programs on the taskbar by using Aero Flip 3-D</td>
</tr>
<tr>
<td>Alt + Esc</td>
<td>Cycle through items in the order in which they were opened</td>
</tr>
<tr>
<td>F6</td>
<td>Cycle through screen elements in a window or on the desktop</td>
</tr>
<tr>
<td>F4</td>
<td>Display the address bar list in Windows Explorer</td>
</tr>
<tr>
<td>Press this</td>
<td>To do this (Continued)</td>
</tr>
<tr>
<td>------------------------------------</td>
<td>----------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Ctrl + Up Arrow</td>
<td>Move the cursor to the beginning of the previous paragraph</td>
</tr>
<tr>
<td>Ctrl + Shift with an arrow key</td>
<td>Select a block of text</td>
</tr>
<tr>
<td>Shift with any arrow key</td>
<td>Select more than one item in a window or on the desktop, or select text within a document.</td>
</tr>
<tr>
<td>Ctrl with any arrow key + Spacebar</td>
<td>Select multiple individual items in a window or on the desktop</td>
</tr>
<tr>
<td>Ctrl + a</td>
<td>Select all items in a document or window</td>
</tr>
<tr>
<td>F3</td>
<td>Search for a file or folder</td>
</tr>
<tr>
<td>Alt + F</td>
<td>Open the file menu for the active window</td>
</tr>
<tr>
<td>Alt + Enter</td>
<td>Display properties for the selected item</td>
</tr>
<tr>
<td>Alt + F4</td>
<td>Close the active item, or exit the active program</td>
</tr>
<tr>
<td>Alt + Spacebar</td>
<td>Open the shortcut menu for the active window</td>
</tr>
<tr>
<td>Ctrl + Spacebar</td>
<td>Activate the current grid row</td>
</tr>
<tr>
<td>Ctrl + F4</td>
<td>Close the active document (in programs that allow you to have multiple documents open simultaneously)</td>
</tr>
<tr>
<td>Alt + Tab</td>
<td>Switch between open items</td>
</tr>
<tr>
<td>Ctrl + Alt + Tab</td>
<td>Use the arrow keys to switch between open items</td>
</tr>
<tr>
<td>Ctrl + Mouse scroll wheel</td>
<td>Change the size of icons on the desktop</td>
</tr>
<tr>
<td>Windows logo key + Tab</td>
<td>Cycle through programs on the taskbar by using Aero Flip 3-D</td>
</tr>
<tr>
<td>Ctrl + Windows logo key + Tab</td>
<td>Use the arrow keys to cycle through programs on the taskbar by using Aero Flip 3-D</td>
</tr>
<tr>
<td>Alt + Esc</td>
<td>Cycle through items in the order in which they were opened</td>
</tr>
<tr>
<td>F6</td>
<td>Cycle through screen elements in a window or on the desktop</td>
</tr>
<tr>
<td>F4</td>
<td>Display the address bar list in Windows Explorer</td>
</tr>
<tr>
<td><strong>Press this</strong></td>
<td><strong>To do this (Continued)</strong></td>
</tr>
<tr>
<td>-------------------------</td>
<td>----------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Shift + F10</td>
<td>Display the shortcut menu for the selected item</td>
</tr>
<tr>
<td>Ctrl + Esc</td>
<td>Open the Start Menu</td>
</tr>
<tr>
<td>Alt + underlined letter</td>
<td>Display the corresponding menu</td>
</tr>
<tr>
<td>Underlined letter</td>
<td>Perform the menu command (or other underlined command)</td>
</tr>
<tr>
<td>F10</td>
<td>Activate the menu bar in the active program</td>
</tr>
<tr>
<td>Right Arrow</td>
<td>Open the next menu to the right, or open a submenu</td>
</tr>
<tr>
<td>Left Arrow</td>
<td>Open the next menu to the left, or close a submenu</td>
</tr>
<tr>
<td>F5 (or Ctrl + r)</td>
<td>Refresh the active window</td>
</tr>
<tr>
<td>Alt + Up Arrow</td>
<td>View the folder one level up in Windows Explorer</td>
</tr>
<tr>
<td>Esc</td>
<td>Cancel the current task</td>
</tr>
<tr>
<td>Ctrl + Shift + Esc</td>
<td>Open Task Manager</td>
</tr>
<tr>
<td>Shift</td>
<td>When CD is inserted, prevent it from automatically playing</td>
</tr>
<tr>
<td>Left Alt + Shift</td>
<td>Switch the input language when multiple input languages are enabled</td>
</tr>
<tr>
<td>Ctrl + Shift</td>
<td>Switch the keyboard layout when multiple keyboard layouts are enabled</td>
</tr>
<tr>
<td>Right or Left Ctrl + Shift</td>
<td>Change the reading direction of text in right-to-left reading languages</td>
</tr>
</tbody>
</table>
## Dialog Box keyboard shortcuts

<table>
<thead>
<tr>
<th>Press this</th>
<th>To do this</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ctrl + Tab</td>
<td>Move forward through tabs</td>
</tr>
<tr>
<td>Ctrl + Shift + Tab</td>
<td>Move back through tabs</td>
</tr>
<tr>
<td>Tab</td>
<td>Move forward through options</td>
</tr>
<tr>
<td>Shift + Tab</td>
<td>Move back through options</td>
</tr>
<tr>
<td>Alt + underlined letter</td>
<td>Perform the command (or select the option) that goes with that letter</td>
</tr>
<tr>
<td>Enter</td>
<td>Replaces clicking the mouse for many selected commands</td>
</tr>
<tr>
<td>Spacebar</td>
<td>Select or clear the check box if the active option is a check box</td>
</tr>
<tr>
<td>Arrow keys</td>
<td>Select a button if the active option is a group of option buttons</td>
</tr>
<tr>
<td>F1</td>
<td>Display Help</td>
</tr>
<tr>
<td>F4</td>
<td>Display the items in the active/drop-down list</td>
</tr>
<tr>
<td>Backspace</td>
<td>Open a folder one level up if a folder is selected in the Save As or Open dialog box</td>
</tr>
</tbody>
</table>