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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
under the Minimum System Requirements section
Server Database:
Oracle Database 11g/12c
Enterprise Edition Release 12.1.0.2

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

**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 Web includes the online CLIA accounting modules. Qualified users can access the CLIA accounting functions on ASPEN Web to enter and maintain billing records for CLIA laboratories. Records that are added and updated through ASPEN Web’s accounting processes are uploaded overnight to national.

CLIA Accounting on ASPEN Web provides a simplified graphic interface that incorporates CLIA business rules, which enables auto-entry of many data entry fields and eliminates manual entry of invalid data. The system also alerts users to overnight errors at a national level, a state level, and an individual provider level.

About this Procedures Guide

The CLIA Accounting Procedures Guide gives you the information you will need to:

- Browse and locate CLIA billing records by provider and by lockbox.
- Use the inquiry functions for certificates and billing.
- Print the Billing Inquiry windows.
- Create, print, and delete unresolved accounting records.
- Apply cash to CLIA accounting records.
- Move and cancel payments.
- Locate and authorize refunds.
- Generate fee coupons.
- Search CLIA 116 records for provider numbers required in CLIA Accounting screens.
- Use the System Inquiry function to learn about overnight errors.

Note: This guide assumes that you are familiar with basic Windows operations.
Introduction

The *CLIA Accounting Procedures Guide* consists of this introduction and the following chapters:

- **CLIA Accounting Procedures**
  Contains task-based procedures for using ASPEN Web accounting functions.

- **CLIA Accounting Screens**
  Contains pictures and brief descriptions of ASPEN Web accounting screens.

- **CLIA Accounting Fields and Buttons**
  Presents descriptions of the fields and buttons in the ASPEN Web accounting screens.

- **Supporting Materials**
  Contains supplemental reference material.

**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/](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.

![Bookmarks](image)

*Figure 1: Bookmarks*

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 in this document 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: “Apply Cash to Lab Accounts” on page 22
Screen: “Apply Cash window” on page 52
“Processing Rules for Apply Cash” on page 25

➥ 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: “Apply Cash window”, on page 68

➥ 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 chapter.

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:

**web**

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

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

This CLIA Accounting Procedures Guide and the accounting functions on ASPEN Web both 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.
- Reading order is optimized, so content is read correctly by screen readers.

In ASPEN Web

The ASPEN Web accounting functions include the following 508-compliant accessibility features:

- All fields on accounting-related screens are included in a tabbing sequence, making them keyboard-accessible.
- Keyboard shortcuts exist for application options, making ASPEN Web keyboard-accessible.
- All error messages are accessible to screen readers.
Help Desk

The ASPEN Help Desk can assist you with any issue you have related to ASPEN Web or overnight processing.

**Call:** 888-477-7876

**Email:** help@qtso.com
CLIA Accounting Procedures

CO Super Users and the Billing Contractor can access, create, and maintain billing records for CLIA laboratories through ASPEN Web CLIA. Business rules for CLIA accounting are integrated into the ASPEN Web software infrastructure, which enables auto-entry of data in many cases and prevents manual entry of invalid data. New and edited accounting records are uploaded overnight to national.

Open ASPEN Web CLIA

To open ASPEN Web CLIA from your browser, you need to know the URL and have a current QIES national system login.

To open ASPEN Web CLIA:

1. In your browser, enter the URL for ASPEN Web CLIA: https://web.qiesnet.org/AspenWeb/Clia
2. In the Login window, enter your national User ID and Password and click Login.
3. Click OK in the startup warning message to continue.

ASPEN Web CLIA opens and the Select Application window appears; available options are specific to your user type.

More ...

Screen: "Login window" on page 44
Screen: "Select Application window" on page 45

Browse Accounts

The Browse Accounts module lets you locate and review CLIA accounting information. You can search by provider number or lockbox criteria, but not both simultaneously.
Locate Accounts by Provider

You can use the Provider Search section of the Browse Accounts window to search accounting records by provider number for up to three labs. ASPEN Web CLIA locates accounting records for the labs and displays the information in the Certificates and Billing Inquiry window.

**Note:** When you perform a Provider Search, any Lockbox Search criteria also entered are ignored.

**To locate accounting information by provider:**

1. Open **ASPEN Web CLIA**.
2. On the **Select Application** window, click **Browse Accounts**.
3. In the **Provider Search** section of the Browse Accounts window, enter up to 3 valid CLIA provider numbers.
   A message is displayed if a number is not valid.
4. If you do not know a provider's CLIA number, click **116 Lookup** next to the Provider field to search for the provider and get the number.
5. Click **Find Provider** to locate account information for the specified labs and display it in the Certificates and Billing Inquiry window.

More ...

Procedure: “Open ASPEN Web CLIA” on page 13
Screen: “Select Application window” on page 45
Screen: “Browse Accounts window” on page 46
Procedure: “116 Lookup” on page 35
Screen: “Certificates and Billing Inquiry window” on page 47
“Billing Category Descriptions” on page 81

Locate Accounts by Lockbox

To locate accounting information based on lockbox data, you use the Lockbox Search section of the Browse Accounts window. Lockbox search criteria include process date, batch number, item number, and check number.

ASPEN Web CLIA locates accounting records that meet the specified criteria and displays the information in the Lockbox Inquiry window. By default, all accounting records are searched, but an option lets you limit the search to unresolved accounting records.

**Note:** When you perform a Lockbox Search, any provider numbers entered in the Provider Search section of Browse Accounts are ignored.

**To locate accounting information by lockbox:**

1. Open **ASPEN Web CLIA**.
2. On the **Select Application** window, click **Browse Accounts**.
3 In the **Lockbox Search** section of the Browse Accounts window, enter one or more search criteria: **Lockbox Process Date** or date range, **Batch** number, **Item** number, and **Check #**.

You must always enter a Lockbox Process Date or date range.

4 To search only unresolved accounting records, select **Show unresolved Only**.

A message is displayed if the search criteria you specify are invalid. For example:

- A Lockbox Process Date in the future is not allowed.
- If you enter a Lockbox Process Date range, you must also enter a Check # and/or select Show unresolved Only.

5 Click **Find Lockbox** to locate accounting information that matches your criteria and display it in the Lockbox Inquiry window.

**More ...**

- Procedure: “Open ASPEN Web CLIA” on page 13
- Screen: “Select Application window” on page 45
- Screen: “Browse Accounts window” on page 46
- Screen: “Lockbox Inquiry window” on page 49

**Open Lockbox Inquiry from Certificates and Billing Inquiry**

You can open the Lockbox Inquiry window by selecting a payment record in the Certificates and Billing Inquiry window.

**To open Lockbox Inquiry from Certificates and Billing Inquiry:**

1 Open the **Certificates and Billing Inquiry** window and select a payment record in the **Billing Inquiry** section.

2 Click the **Lockbox Inquiry** button.

3 In the **Inquire By** window, choose to search lockbox records by **Process Date**, **Batch #**, or **Item #**.

   The values shown for these options are copied from the payment record you selected. You can choose only one option.
4 Click **Inquire** to search lockbox records and display matching records in the Lockbox Inquiry window.

A search by Process Date returns all lockbox records with that process date. Batch # returns all records with that process date and batch number. Item # returns all records with that process date, batch number, and item number.

5 Click **Exit** to return to the **Certificates and Billing Inquiry** window.

**More ...**

*Procedure: "Locate Accounts by Provider" on page 14*
*Screen: "Certificates and Billing Inquiry window" on page 47*
*Screen: "Inquire By window" on page 48*
*Screen: "Lockbox Inquiry window" on page 49*

**Open Certificates and Billing Inquiry from Lockbox Inquiry**

You can open the Certificates and Billing Inquiry window from a payment record selected in the Lockbox Inquiry window.

**To open Certificates and Billing Inquiry from Lockbox Inquiry:**

1 Open the **Lockbox Inquiry** window, select a payment record, and click the **Certificate/Billing Inquiry** button.

   The Certificates and Billing Inquiry window for the CLIA lab associated with the selected payment record opens up.

2 Click **Exit** to return to the **Lockbox Inquiry** window.

   The Lockbox Inquiry button is disabled as it is redundant.

**More ...**

*Procedure: "Locate Accounts by Lockbox" on page 14*
*Screen: "Lockbox Inquiry window" on page 49*
*Screen: "Certificates and Billing Inquiry window" on page 47*

**Access Accounting Audit History**

From Browse Accounts, authorized CLIA users can search for an audit trail of CLIA accounting transactions by lockbox. Search criteria include process date, batch number, item number, and check number. The Audit Inquiry window displays applicable accounting records based on search criteria entered.

Accounting transactions include:

- Cash applied
- Overpayment processed
- Money refunded
- Money moved to Unresolved
• Unresolved record deleted
• Payment canceled or deleted

Audit data includes:
• What changes were made
• When changes were made
• Who made the changes

To locate accounting audit history by lockbox:
1. Open ASPEN Web CLIA.
2. On the Select Application window, click Browse Accounts.
3. In the Audit Search section of the Browse Accounts window, enter one or more search criteria: Lockbox Process Date, Batch number, Item number, and Check #.
   
   You must always enter a Lockbox Process Date.
   
   A message is displayed if the search criteria you specify are invalid. For example, a Lockbox Process Date in the future is not allowed.
4. Click Find Lockbox to locate accounting audit information that matches your criteria and display it in the Audit Inquiry window.

More ...
Screen: "Browse Accounts window" on page 46
Screen: "Audit Inquiry window" on page 50
Access Lab Records (CMS-116 Forms)

From the Certificates and Billing Inquiry window, opened directly or through the Lockbox Inquiry window, you can open a read-only copy of the CLIA CMS-116 form for the lab on the active tab.

To open a read-only CMS-116 from Certificates and Billing Inquiry:

1. Open the Certificates and Billing Inquiry window and select the 116 Detail button at the bottom of the window.

   The CLIA 116 application opens and displays the lab record (CLIA CMS-116 form) in Inquiry (read-only) mode for the provider on the active tab of the Certificates and Billing Inquiry window.

   Note: For detailed information about the CLIA 116 application and screens, refer to the latest version of the CLIA Procedures Guide, which is posted on https://www.qtso.com/aspenmanquide.html.

2. Click Exit to return to the Certificates and Billing Inquiry window.

   Note: If you click the Certificate/Billing Inquiry button, it opens the CLIA Certificate and Billing Inquiry window in the CLIA 116 application. It does not return you to the Certificates and Billing Inquiry window. The two windows contain similar, but not identical information.

More ...

Procedure: “Locate Accounts by Provider” on page 14
Procedure: “Open Certificates and Billing Inquiry from Lockbox Inquiry” on page 16
Screen: “Certificates and Billing Inquiry window” on page 47

Print Billing Inquiry Windows

Print the Certificates and Billing Inquiry window

The Print option in the Certificates and Billing Inquiry window prints a hard (paper) copy of all certificate and billing information for the laboratory on the active tab. Information you must scroll to view in the window is included in the printed version.

To print the contents of the active tab in the Certificates and Billing Inquiry window, simply click the Print button at the bottom.

Print the Lockbox Inquiry window

The Print option in the Lockbox Inquiry window prints the contents on all pages of the Lockbox Inquiry window in PDF format.

To print the Lockbox Inquiry window:

1. Click the Print button at the bottom of the window.
Unresolved Monies

Unresolved records are created both automatically and manually for money that enters the system but is not tied to a lab. When necessary, you can delete unresolved records.

Create Unresolved Records

CO users and the Billing Contractor can manually create unresolved records. The usual sources of unresolved funds are:

- Payments received from labs without a fee coupon, commonly known as anomalies.
  In this case, unresolved records are automatically created during nightly lockbox processing.
- Payments sent directly to CMS (batch 9999).
- Returned refund checks (batch 5555).
- Credit card payments entered through pay.gov (batch numbers 6000-6010 and 6500-6510).

Except for anomalies, you must manually create unresolved records for these monies, assigning them to the applicable batch and providing lockbox information. ASPEN Web CLIA processes the data and generates the unresolved records at the click of a button. Then you can use Apply Cash to apply the unresolved monies to lab accounts by associating unresolved money records with lab records.

To manually create unresolved monies:

1. Open ASPEN Web CLIA.
2. On the Select Application window, click Create Unresolved.
3. For the first item, enter the Date of Deposit, assign the Lockbox Batch number, and enter the Check Amt (Amount) and Check # (number) in the Create Unresolved window.
   All information is required except Check #.
4. To enter additional items, click Add and complete the fields.
5. To delete an item (row) prior to processing, select it and click Remove.
   If only one item is present, you cannot remove it. Simply press Exit to close the Create Unresolved window.
When you have added information for all the unresolved records you need to create, click **Process** and answer **OK** to the prompt.

ASPEN Web CLIA generates a new unresolved record (type 80) for each item (row) in the Create Unresolved window using the data as follows:

- The Date of Deposit becomes the Lockbox Process Date.
- The Batch number is the one you selected.
- The Item number is the current largest Item number within the batch for the given Lockbox Process Date incremented by 1.

When processing is complete, the Create Unresolved window displays the data you entered and the generated Item number for each new unresolved record; the information is read-only. The monies associated with the new unresolved records are available to apply to lab accounts.

**Note:** If you discover after processing that an unresolved record was created in error, use the Delete Unresolved function to remove it.

**To print the contents of the Create Unresolved window:**

Simply click the **Print** button at the bottom.

You can print the Create Unresolved window before or after processing.

**Delete Unresolved Records**

If an unresolved money record was created in error (by the lockbox or a user), you can remove it.

**To delete an unresolved record:**

1. Open **ASPEN Web CLIA**.
2. On the **Select Application** window, click **Delete Unresolved**.
3. Enter the lockbox **Process Date**, **Batch #**, and **Item #** for the unresolved record in the Delete Unresolved window.

**Note:** Item # must be two digits. If < 10, precede with 0, e.g., 02.
4 Click **Process**.

ASPEN Web CLIA looks up the unresolved record using the criteria you entered. If the record is located, the dollar Amount is entered in the Delete Unresolved window.

If the record is not located, you receive an error message and cannot continue.

5 Answer **OK** to the prompt.

ASPEN Web CLIA audits off the specified unresolved record so the money cannot be applied to lab accounts. It is assigned an internal audit code of 58 (Canceled unresolved).

When processing is complete, the Delete Unresolved window displays the data you entered (read-only) and indicates the unresolved record was successfully deleted. Its status is changed to Prior Unresolved, which you can see by opening the Lockbox Inquiry window.

![Figure 2: Deleted unresolved record with Prior Unresolved status](image)

**Note:** If you need to cancel an overpayment (70), you must first move it to Unresolved, then delete the unresolved record.

**To print the contents of the Delete Unresolved window:**

✈ Simply click the **Print** button.

You can print the Delete Unresolved window before or after processing.

**More ...**

- Procedure: “Open ASPEN Web CLIA” on page 13
- Screen: "Select Application window" on page 45
- Screen: “Delete Unresolved window” on page 51
- “Audit Codes” on page 83
- Procedure: “Move Payments to Unresolved” on page 26
Apply Cash

The Apply Cash function lets you apply unresolved monies to lab accounts. You can apply cash from one or more unresolved records to one or more CLIA lab accounts at a time.

In the two-part process, you indicate the labs and unresolved funds to apply, then ASPEN Web CLIA processes the information and applies the cash according to specific rules. These rules are similar to those used by the lockbox batch program for applying funds from incoming checks.

Apply Cash to Lab Accounts

To apply unresolved monies to lab accounts, you first specify the labs and the unresolved money items to apply to the lab accounts in the Apply Cash window. To indicate the labs, you simply enter their CLIA provider numbers. To identify the money to be applied, you provide lockbox information for the relevant unresolved accounting records.

To apply unresolved monies to lab accounts:

1. Open ASPEN Web CLIA.
2. On the Select Application window, click Apply Cash to Lab Accounts.
3. For the first item in the Apply Cash window, enter the Provider # of the lab to which cash is to be applied.
   A message is displayed if a number is not valid.
4. If you do not know a provider's CLIA number, click 116 Lookup next to the Provider # field to search for the provider and get the number.
5. To specify lockbox criteria: lockbox process Date, Batch number, and Item number, use one of the methods below.
   ➤ Click the Edit button (diamond within square) to open the Alter Values window and enter lockbox information there.
   ➤ Click Lockbox Inquiry to open the Find Apply Cash Lockbox Information window and locate the applicable lockbox record.
   With either approach, the system copies the lockbox information that specifies the unresolved record from which money is to be applied and enters it in the selected row in the Apply Cash window. It enters the Check Amt (Amount) from the unresolved record.
6. To enter additional Apply Cash items, click Add to open a new row and complete the fields (steps 3-5).
7. To delete an item (row) prior to processing, select it and click Remove.
   If only one item is present, you cannot remove it. Simply press Exit to close the Apply Cash window.
When you have entered all the labs and specified all the unresolved monies to apply to the lab accounts, click **Process** and answer **OK** to the prompt.

Cash from the specified unresolved records is applied to labs in the order they are entered in the window, from top to bottom. For labs with multiple fees, rules determine the order of pay off.

**More ...**

- Procedure: "Open ASPEN Web CLIA" on page 13
- Screen: "Select Application window" on page 45
- Screen: "Apply Cash window" on page 52
- Procedure: "116 Lookup" on page 35
- Procedure: "Enter Lockbox Criteria: Alter Values" below
- Procedure: "Locate Lockbox Information: Lockbox Inquiry" on page 23
- "Processing Rules for Apply Cash" on page 25

**Enter Lockbox Criteria: Alter Values**

When you enter lockbox criteria directly in the Alter Values window, the system validates the data and populates the corresponding fields in the selected row in the Apply Cash window. You can open the Alter Values window later if you need to edit the data.

**To enter or edit lockbox criteria via the Alter Values window:**

1. In the **Apply Cash** window, click the **Edit** button (diamond within square) in the applicable row.

2. In the **Alter Values** window, enter or edit a valid lockbox **Process Date**, **Batch #** (number) within the lockbox file, and **Item #** in the given batch.

   You must specify all three values.

3. Click **Done** to enter corresponding values (**Date**, **Batch**, **Item**) in the selected Apply Cash row after validation. The system also enters the **Check Amt** (Amount) from the unresolved record.

   You will receive a message if a matching unresolved record is not found.

**More ...**

- Screen: "Apply Cash window" on page 52
- Screen: "Alter Values window" on page 53

**Locate Lockbox Information: Lockbox Inquiry**

If you do not have all the lockbox information on hand to enter directly in Alter Values, you can use the Lockbox Inquiry option to locate and copy the lockbox information to corresponding fields in Apply Cash.

**To locate and copy lockbox information:**

1. Click the **Lockbox Inquiry** button below the **Apply Cash** window.
2 In the **Find Apply Cash Lockbox Information** window, enter at least the **Lockbox Process Date**.

If any of the lockbox information is already present in the Apply Cash window, it is copied to Find Apply Cash Lockbox Information.

Show unresolved Only is selected by default and disabled, since you are trying to locate unresolved accounting records.

3 Click **Find Lockbox** to display unresolved accounting records matching the lockbox criteria you entered.

You will receive a message if matching unresolved records are not found.

4 Choose the applicable unresolved record and click **Select** to copy the lockbox data to the corresponding fields (**Date**, **Batch**, **Item**) in the selected Apply Cash row. The system also enters the **Check Amt** (Amount) from the unresolved record.

**Copy Lockbox Details**

You can use the Copy function in the Apply Cash window to copy the lockbox information in a selected row to as many new rows as you want. This is convenient when you want to apply funds from one unresolved record to multiple lab accounts.

**To copy lockbox details:**

1 In the **Apply Cash** window, select the item (row) with the lockbox details you want to copy.

2 Click the **Copy** button below the window.

3 Enter the **Number of copies** you want to make in the prompt window and click **Done**.

ASPEN Web CLIA opens the requested number of rows in the Apply Cash window and copies the lockbox information from the selected row to each new row. You must enter a Provider # in each copied row before processing.

**Print the Apply Cash window**

You can print the Apply Cash window before or after processing.

To print the contents of the Apply Cash window, simply click the **Print** button below the window.
Processing Rules for Apply Cash

The rules ASPEN Web CLIA uses to apply unresolved funds to lab accounts are summarized below.

- For each unresolved check (or electronic payment), funds are applied to the labs that have it as their Apply Cash source one lab at a time in the order they are entered in the Apply Cash window.
- Oldest fees are paid off first.
- Registration or certificate fees are paid off before other fees, 01 before 02, 04 before 05 as follows:

<table>
<thead>
<tr>
<th>App/Cert Type</th>
<th>Pay by Record Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>1(9)</td>
<td>01 (cert), then 02 (comp)</td>
</tr>
<tr>
<td>1(9) initial survey uploaded</td>
<td>01 and 02 fully paid, then 04 (cert) paid</td>
</tr>
<tr>
<td>1(1) renewal comp</td>
<td>02 (comp) must be fully paid</td>
</tr>
<tr>
<td>1(1) resurvey uploaded</td>
<td>02 fully paid, then 04 (cert) paid</td>
</tr>
<tr>
<td>2 or 4</td>
<td>01 must be paid</td>
</tr>
<tr>
<td>3(9)</td>
<td>01 must be paid</td>
</tr>
<tr>
<td>3(3) initial/renewal</td>
<td>05 (valid) must be paid, then 06 (cert)</td>
</tr>
</tbody>
</table>

- If an unresolved item does not fully pay fees for all labs that have it as their Apply Cash source, a partial payment is applied to the last lab processed before the money runs out. Any other labs tied to that check/electronic payment are not paid after the partial payment is applied.
- When a payor submits a single check for multiple laboratories, the payment amount is applied to the balance owed on all included lab accounts in the order entered either:
  - on the Apply Cash screen when applying unresolved money
  - in the lockbox file as an 8000 batch with multiple CLIA numbers

If the payment exceeds outstanding fees for the included laboratories, the overpayment will be applied to the labs in the order entered based on prior full or partial payments made on the active bills. If additional unapplied money remains after applying those refunds, the amount remaining will be applied to the last lab.
Move Money

You can move funds from individual accounts to Refund or Unresolved, or cancel payments as needed. For active labs only, ASPEN Web CLIA automatically generates new fees, applies unapproved refund money, and bubbles up certificates as necessary when money is moved.

More ...

"When Money is Moved ..." on page 29

Move Payments to Refund

If a lab requests refund of a payment, usually because it has closed or is no longer testing, you can move the payment record to Refund (Unreconciled in national). ASPEN Web CLIA automatically completes first level authorization of the refund.

Note: In some cases the system automatically creates a refund record, e.g., if a lab paid a fee twice.

To move a payment to Refund:

1. Open the Certificates and Billing Inquiry window for the lab.
2. In the Billing Inquiry section, select the applicable payment and click the Refund button.
   
   The Refund button is enabled only if you select a payment from the most recent billing cycle that has not already been moved.
3. Answer OK to the prompt.

   The payment is moved to Refund. ASPEN Web CLIA automatically sets Authorization 1 to recommend approval of the refund. You can manually change the Authorization 1 setting to recommend denial instead.

   For active labs only, the system generates a new fee, applies existing refund money, and bubbles up the lab’s certificate as appropriate.

More ...

Procedure: "Locate Accounts by Provider" on page 14
Screen: "Certificates and Billing Inquiry window" on page 47
Procedure: "Complete Authorization 1" on page 31

Move Payments to Unresolved

When a payment is applied to the wrong lab through a lockbox file or Apply Cash, often due to a data entry error, you must manually move these monies to Unresolved. To move the money, you simply select the applicable payment record in the Certificates and Billing Inquiry or Lockbox Inquiry window and click a button.
To move money to Unresolved:

1. Open the Certificates and Billing Inquiry or Lockbox Inquiry window.
2. Select the applicable payment from the most recent billing cycle.
   - In the Certificates and Billing Inquiry window, you select the payment in the Billing Inquiry section.
3. Click the Unresolve button and answer OK to the prompt.
   - When you OK out of the prompt, the payment is moved from the lab account to Unresolved and is available to Apply Cash. For active labs only, ASPEN Web CLIA automatically generates a new fee, applies existing refund money, and bubbles up the lab’s certificate as appropriate.

Note: If you need to cancel an overpayment (70), you must first move it to Unresolved, then delete the unresolved record.

More ...
- Procedure: "Locate Accounts by Provider" on page 14
- Procedure: "Locate Accounts by Lockbox" on page 14
- Screen: "Certificates and Billing Inquiry window" on page 47
- Screen: "Lockbox Inquiry window" on page 49
- "When Money is Moved ..." on page 29
- "Apply Cash" on page 22
- Procedure: "Move Payments to Unresolved" on page 26
- Procedure: "Delete Unresolved Records" on page 20

Cancel Payments

If a check is returned due to insufficient funds, or the bank erroneously applies a payment to CLIA, you cancel the payment record.

To cancel a payment:

1. Open the Certificates and Billing Inquiry or Lockbox Inquiry window.
2. Select the applicable payment record from the most recent billing cycle.
   - In the Certificates and Billing Inquiry window, you select the payment in the Billing Inquiry section.
3. Click the Cancel Pmt button and answer OK to the prompt.
   - The payment is canceled. It is assigned an internal audit code of 56 (Cancel payment). For active labs only, ASPEN Web CLIA automatically generates a new fee, applies existing refund money, and bubbles up the lab’s certificate as appropriate.
In Lockbox Inquiry, the status of the payment record is changed from `<FeeType>` Payment to Prior `<FeeType>` Payment and the Transaction date is changed to the date the payment was canceled. The status assigned to the canceled payment record is Prior `<FeeType>` Fee Removed.

**Figure 3: Payment to be canceled**

**Figure 4: Updated payment record and new canceled payment record**
In the Billing Inquiry section of the Certificates and Billing Inquiry window, a canceled payment record and a new fee record are added.

![Figure 5: New fee and canceled payment records](image)

**Note:** If the payment to be canceled is an overpayment (70), you must first move it to Unresolved, then delete the unresolved record.

**More ...**

- Procedure: "Locate Accounts by Provider” on page 14
- Procedure: "Locate Accounts by Lockbox” on page 14
- Screen: "Certificates and Billing Inquiry window” on page 47
- Screen: "Lockbox Inquiry window” on page 49
- "When Money is Moved ...” below
- "Audit Codes” on page 83
- Procedure: “Move Payments to Unresolved” on page 26
- Procedure: "Delete Unresolved Records” on page 20

**When Money is Moved ...**

When you move money to Refund or Unresolved, or cancel payments, ASPEN Web CLIA automatically generates new fees, applies refunds, and bubbles up current certificates as follows:

- ASPEN Web CLIA cancels the payment, audits off the original fee, and creates a JV (journal voucher) record.
- If the lab is active, ASPEN Web CLIA generates a new fee for the outstanding amount. The schedule codes and fee date from the original fee are carried forward to the new fee.
- If unapproved refund money exists, the system automatically applies it to the new fee.
• If money is moved off a current certificate, the system bubbles up the certificate, i.e., moves it to pending.

**Note:** For a terminated lab, the system does not generate a new fee or bubble up a current certificate. You must reactivate a terminated lab before moving money from it if you need to generate a new fee, apply refund money, or bubble up a certificate. Then you must reterminate the lab.

---

**More ...**

Procedure: "Authorize Refunds" below

---

**Authorize Refunds**

Refund authorization is a 2-step process:

• Recommend approval or denial of the refund.

**Note:** When you create a refund record, ASPEN Web CLIA automatically recommends approval. You can manually recommend denial instead.

• Approve or deny the refund.

  Only CMS can do this.

  Both steps cannot be completed in the same session.

---

**Locate Refund Requests**

You can locate refund requests either by provider number or refund authorization status. If you search by both provider number and authorization status, you may get unexpected results.

**Find Refund Requests by Provider**

You can locate refund requests for up to ten providers at a time. All refund requests for the specified providers are returned, whatever the refund authorization status.

**To search refund requests by provider:**

1. Open **ASPEN Web CLIA**.
2. On the **Select Application** window, click **Refund Authorization**.
3. In the **Refund Selection Criteria** window, enter up to 10 valid CLIA provider numbers.
   A message is displayed if a number is not valid.
4. If you do not know a provider’s CLIA number, click **116 Lookup** next to the **Provider #** field to search for the provider and get the number.
5 Click **Find Now** to search for the matching refund requests.

The Refund Authorization window opens and lists all refund requests for the specified providers. The number of items found is indicated.

**More ...**
- Procedure: "Open ASPEN Web CLIA" on page 13
- Screen: "Select Application window" on page 45
- Screen: "Refund Selection Criteria window" on page 54
- Procedure: "116 Lookup" on page 35
- Screen: "Refund Authorization window" on page 54

**Find Refund Requests by Authorization Status**

You can search refund requests by authorization status, one at a time. All refund requests with the specified status are returned.

**To search refund requests by authorization status:**

1. Open **ASPEN Web CLIA**.
2. On the **Select Application** window, click **Refund Authorization**.
3. In the **Refund Selection Criteria** window, select the authorization status to search by, e.g., Pending Recommendation or List Final Approvals.
   - You can select only one option.
4. Click **Find Now** to search for the matching refund requests.

The Refund Authorization window opens and lists the refund requests with the specified authorization status. The status selected for the search and the number of items found is indicated.

**More ...**
- Procedure: "Open ASPEN Web CLIA" on page 13
- Screen: "Select Application window" on page 45
- Screen: "Refund Selection Criteria window" on page 54
- Screen: "Refund Authorization window" on page 54

**Complete Authorization 1**

The first step in authorizing refunds is to recommend approval or denial of the refund. Authorization 1 values must be entered and processed in order to go on to the second step, Authorization 2.

When you create a refund record, ASPEN Web CLIA automatically sets Authorization 1 to recommend approval of the refund. You can manually change the setting to recommend denial instead. For refund records created by the system (through Apply Cash or Lockbox), you must complete all steps of first level authorization.
To complete first level refund authorization:

1. Locate the applicable refund request.

2. In the Refund Authorization window, select a Rec. (Recommend) option for the refund request: Yes to recommend approval of the refund, No to recommend denial.

   For payments moved to Refund (Move Money), the system automatically sets Rec. to Yes. You can change it to No.

3. If approval of the refund is recommended (Rec. = Yes), you must select the Reason; optional if Rec. = No.

   For payments moved to Refund (Move Money), the system automatically sets Reason to 11 Overpaid Clia. You can select another option if appropriate.

4. Click Confirm.

   The Confirm Refund Authorization window opens. The New Values section displays the values present in the Refund Authorization window when you clicked Confirm.

5. In the New Values section of the Confirm Refund Authorization window, review the Authorization 1 values.

6. If the values are not correct, click Exit to return to the Refund Authorization window, change the values, and click Confirm again.

7. When you are certain the Authorization 1 values are correct, click Process.

   If approval of the refund was recommended, it is moved to Pending Final Approval. If you recommended against approval, it is moved to Recommended Denials.

Note: Authorization status for refunds with automatic first level authorization is already Pending Final Approval.

More ...

Procedure: "Locate Refund Requests" on page 30
Screen: "Refund Authorization window" on page 54
Screen: "Confirm Refund Authorization window" on page 55

Complete Authorization 2

Only CMS can complete second-level refund authorization, and only after first-level authorization is completed. For Authorization 2, CMS reviews the refund recommendation, i.e., Authorization 1 values, and then approves or denies the refund.
To complete second level refund authorization:

1. Locate the applicable refund request. If searching by refund authorization status, choose **Pending Final Approval** or **List Recommended Denials** based on the Authorization 1 recommendation.

2. In the **Refund Authorization** window, select an **Aprvl** (Approval) option: Yes to approve the refund, No to deny the refund.

3. If you choose to approve the refund (Aprvl = Yes), you must select the **Reason**; optional if Aprvl = No.

4. Click **Confirm**.
   The Confirm Refund Authorization window opens. The New Values section displays the values present in the Refund Authorization window when you clicked Confirm.

5. In the **New Values** section of the **Confirm Refund Authorization** window, review the **Authorization 2** values.

6. If the values are not correct, click **Exit** to return to the **Refund Authorization** window, change the values, and click **Confirm** again.

7. When you are certain the Authorization 2 values are correct, click **Process**.
   If you approved the refund, it is moved to Final Approvals. If not, it is moved to Approved Denials.

More ...

Procedure: “Locate Refund Requests” on page 30
Screen: "Refund Authorization window" on page 54
Screen: "Confirm Refund Authorization window" on page 55

Print Refund Authorization windows

As needed, you can print the contents of the three windows related to refund authorization:

- Refund Selection Criteria
- Refund Authorization
- Confirm Refund Authorization

Print the Refund Selection Criteria window

The Print button in the Refund Selection Criteria window prints a hard (paper) copy of the contents in the window.

To print the contents of the Refund Selection Criteria window:

➥ Simply click the **Print** button.
Print the Refund Authorization window

The Print option in the Refund Authorization window prints the contents on all pages to PDF.

To print the contents of the Refund Authorization window:

1. Click the Print button at the bottom of the window.
   ASPEN Web CLIA generates a report in PDF format that captures all the content in the Lockbox Inquiry window.
2. To view the report, click Open in the File Download window, or click Save to save the report file.
3. To print a hard copy of the report, use the Print function in your PDF viewer.

Print the Confirm Refund Authorization window

The Print button in the Confirm Refund Authorization window prints a hard (paper) copy of the contents in the window.

To print the contents of the Confirm Refund Authorization window:

⇒ Simply click the Print button at the bottom of the window.

Generate Fee Coupons

The following users can issue fee coupons:

- RO - Full Access
- CO - Super User
- Billing Contractor

To generate a fee coupon for a provider:

1. Open the Certificates and Billing Inquiry window for the provider.
   The lab must be active or terminated with an 08 (nonpayment of fees), non-exempt, and have an amount outstanding on a fee that was previously sent.
2. In the Billing Inquiry section, select a row with an outstanding Billing Amt and click the Generate Fee Coupon button at the bottom of the window.
   The button is enabled for billing records with a payment status code of 08 (fee sent), i.e., the fee was sent, but has not been paid.
3. Answer OK to the prompt to generate the fee coupon.
   The system indicates the fee coupon processing was successful.
4 Answer **OK** to the prompt.

The system audits off the current billing record and creates a new fee. It adds a new billing item at the top of the Billing Inquiry section. The following Saturday, the fee will be included in the file sent to the Billing Contractor, who will resend the fee.

**More ...**

- Procedure: “Locate Accounts by Provider” on page 14
- Screen: “Certificates and Billing Inquiry window” on page 47

---

**116 Lookup**

The following ASPEN Web CLIA accounting windows require the CLIA provider number for one or more laboratories as a parameter:

- Browse Accounts: Provider Search section
- Apply Cash
- Refund Selection Criteria

If you do not have a lab’s CLIA number on hand, you can use the 116 Lookup function to search CLIA CMS-116 forms in the database and return the provider number for the selected lab to the requesting window.

**To use 116 Lookup to locate a provider number:**

1 In a window requiring the CLIA number for a lab, click the **116 Lookup** button next to the **Provider** or **Provider #** field.

   The Find Accounting Providers window opens. It has the same fields as the CLIA 116 Find window.

2 Enter your search criteria and click **Find Now**.

   ASPEN Web CLIA searches the CLIA CMS-116 forms in the database and opens the Find Accounting Providers window, which displays a list of the laboratories matching your search criteria.

3 Choose the row in the results list with the lab whose CLIA number you need, and click **Select**, or simply double-click the row/provider.

   ASPEN Web CLIA enters the CLIA # from the selected lab’s 116 record into the applicable Provider or Provider # field in the requesting window.

**More ...**

- Screen: "Browse Accounts window" on page 46
- Screen: "Apply Cash window" on page 52
- Screen: "Refund Selection Criteria window" on page 54
- Screen: "Find Accounting Providers window" on page 56
- Screen: "Accounting Providers Find Results window" on page 57
Upload Lockbox

Upload Lockbox functionality may be fully integrated into ASPEN Web CLIA in a future release. Currently, the bank posts the lockbox file on national and it is moved to ASPEN for processing. Qualified users (CO Super User and Billing Contractor) can use the Upload Lockbox function to review previously submitted lockbox files or the related results files.

To view lockbox and results files:

1. Open ASPEN Web CLIA.
2. On the Select Application window, click Lockbox Upload.

More ...

Procedure: “Open ASPEN Web CLIA” on page 13
Screen: "Select Application window" on page 45

System Information

The System Information window displays notes about system status, details about failed CLIA transactions, and current user information. It also provides access to batch billing job logs (audit files).

To view system information:

1. Open ASPEN Web CLIA.
2. On the Select Application window, click System Information.
   Current system information and a list of batch billing job logs from the past week are displayed.
3. In the Batch Jobs section, enter From Date and To Date to specify the date range you want and click Find to update the list of audit files.
4. In the View Audit Messages column, click View for the audit file you want to view.
   It opens in a text editor, which you can close when you are done.
5. To print the contents of the System Information window, click the Print button.
6. To close the System Information window and return to the Select Application window, click Done.

More ...

Procedure: “Open ASPEN Web CLIA” on page 13
Screen: "Select Application window" on page 45
Screen: "System Information window" on page 58
View Batch Bill Files

Central Office and Billing Contractor users can open the CLIA Billing Extract application from the Select Application window to view output files from the batch billing jobs.

The following procedure summarizes use of the Batch Bill Files function. For details, refer to the *CLIA Billing Extract User’s Guide*.

**To view batch bill files:**
1. Open **ASPEN Web CLIA**.
2. In the **Select Application** window, click the **Batch Bill Files** button. The CLIA Billing Extract application opens.
3. Specify the **To Extract Date** and **Prior Days** number.
4. Click **Refresh** to update the list of extracted files.
5. Click the **Download** button for a file to download and view it in a separate window.
6. To close the CLIA Billing Extract application, select **Logout** at the top of the screen.
   You are returned to the Login screen.

**More ...**
- Procedure: “Open ASPEN Web CLIA” on page 13
- Screen: "Select Application window" on page 45

CLIA Maintenance (CO)

The CLIA Maintenance application provides Central Office users access to:
- Compliance/Certificate Fee Table
- Accreditation Fee Table
- State Agency List

Open CLIA Maintenance (CO)

**To open the CLIA Maintenance application:**
1. Open **ASPEN Web CLIA**.
2. In the ASPEN Web CLIA - **Select Application** window, click the **Aspen Web** button at the bottom of the screen.
3 In the ASPEN Web - **Select Application** window, select **CLIA Maintenance System**.

   The ASPEN Web CLIA Maintenance - Select Application window opens.

   **More ...**
   
   Procedure: “Open ASPEN Web CLIA” on page 13
   Screen: "Select Application window" on page 45

**View Accreditation Fee Information (CO)**

Central Office personnel can review accreditation fee information for the latest version in the Accreditation Fee Table.

**To access the Accreditation Fee Table:**

1 Open the **CLIA Maintenance** application.

2 In the ASPEN Web CLIA Maintenance - **Select Application** window, select **Accreditation Fee Table**.

   The Accreditation Fee Table lists all entries in the CLIA State Fee view for the given version number.

![Accreditation Fee Table](image)

*Figure 6: Accreditation Fee Table*

3 Use the navigation tools at the top (First, Previous etc.) to page through the table.

4 To print the entire table, click **Print** at the bottom.
5 Click **Exit** to close the table and return to the Select Application window.

*More ...*

Procedure: "Open CLIA Maintenance (CO)" on page 37

**View Compliance/Certificate Fee Information (CO)**

Central Office personnel can open the Compliance/Certificate Fee Table to review compliance and certificate fee information for the latest version.

**To access the Compliance/Certificate Fee Table:**

1. Open the **CLIA Maintenance** application.
2. In the ASPEN Web CLIA Maintenance - **Select Application** window, select **Comp/Cert Fee Table**.
   
   The Compliance/Certificate Fee Table lists all entries in the CLIA State Fee view for the given version number.

![Compliance/Certificate Fee Table](image)

*Figure 7: Compliance/Certificate Fee Table*

3. Use the navigation tools at the top (First, Previous etc.) to page through the table.
4. To print the entire table, click **Print** at the bottom.
5. Click **Exit** to close the table and return to the Select Application window.

*More ...*

Procedure: "Open CLIA Maintenance (CO)" on page 37
View and Modify State Agency Information (CO)

The State Agency List displays state agency information used on correspondence to labs. CO Super Users can update or add records as necessary.

Open the State Agency List

*To display the State Agency List:*

1. Open the CLIA Maintenance application.
2. In the ASPEN Web CLIA Maintenance - Select Application window, select Comp/Cert Fee Table.

The State Agency list opens.

---

**Figure 8: State Agency List**

3. Use the navigation tools at the top (First, Previous etc.) to page through the table.
4. To print the entire list, click **Print**.
5. Click **Exit** to close the table and return to the Select Application window.

More ...

*Procedure: "Open CLIA Maintenance (CO)" on page 37*
View and Modify Information for a State Agency

To view and modify information for a State Agency:

1. In the State Agency List, select the agency and click Inquiry.
2. To update agency information, click Edit and enter the changes.
3. To print the information, click Print.
4. Click Save to save the changes and return to the State Agency List. Click Cancel to exit without making changes or without saving changes you made.

More ...
Procedure: “Open the State Agency List” on page 40

Add a State Agency

To add a State Agency:

1. In the State Agency List, select an agency and click Add.
2. Enter information for the new agency.
3. To print the new agency details, click Print.
4. Click Save to save the new agency record and return to the State Agency List. Click Cancel to exit without a new record or without saving the information you entered.

More ...
Procedure: “Open the State Agency List” on page 40
CLIA Accounting Screens

This chapter contains pictures and brief descriptions of screens you will encounter when working with ASPEN Web CLIA accounting functions.

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).

To find information about the fields, click the cross-reference at the top of the image.

![Create Unresolved Window](image)

*Figure 9: Cross-reference from screenshot to field descriptions*
ASPN Web CLIA Startup

Login window

Fields: "Login window", on page 77

Figure 10: ASPN Web CLIA Login window
Select Application window

This window appears after you log in to ASPEN Web CLIA on the web browser. The options that appear, i.e., the applications/functions you can access, depend on your security access level.

A CO Super User sees a full set of options:

![Figure 11: Select Application window with all options](image)

A State Agency user with Full Access sees three options:

![Figure 12: Select Application window–State Agency user with Full Access](image)
CLIA Accounting

Browse Accounts window

*Fields: “Browse Accounts window”, on page 59*

*Figure 13: Browse Accounts window*
Certificates and Billing Inquiry window

This window displays the certificate and billing history for up to three labs specified when you search by provider in Browse Accounts. The Certificate Inquiry section displays details about the lab’s future (pending), current, and prior certificates. The Billing Inquiry section provides various details about a lab’s billing history. All information is read-only.

**Figure 14: Certificates and Billing Inquiry window opened from Browse Accounts**

<table>
<thead>
<tr>
<th>Certificate Inquiry</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cert Status</td>
</tr>
<tr>
<td>Current</td>
</tr>
<tr>
<td>History</td>
</tr>
<tr>
<td>History</td>
</tr>
<tr>
<td>History</td>
</tr>
<tr>
<td>History</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Billing Inquiry</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cert Date</td>
</tr>
<tr>
<td>11/08/2013</td>
</tr>
<tr>
<td>* 09/16/2013</td>
</tr>
<tr>
<td>12/03/2011</td>
</tr>
<tr>
<td>01/08/2011</td>
</tr>
</tbody>
</table>

* - No certificate issued

**Fields: "Certificates and Billing Inquiry window", on page 60**
Inquire By window

Inquire By opens when you select a payment in the Billing Inquiry section of the Certificates and Billing Inquiry window and click the Lockbox Inquiry button. You can choose to search lockbox records by one of the options.

"Inquire By window" on page 63

Figure 15: Inquire By window
#### Lockbox Inquiry window

**Fields: "Lockbox Inquiry window", on page 63**

![Lockbox Inquiry window](image)

**Figure 16: Lockbox Inquiry window**

<table>
<thead>
<tr>
<th>Provider #</th>
<th>Rec. Type</th>
<th>Lock-box</th>
<th>Batch</th>
<th>Item</th>
<th>Billed</th>
<th>Amount Paid</th>
<th>Status</th>
<th>Transaction</th>
<th>Transaction Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>01/02/2014</td>
<td>0000</td>
<td>300</td>
<td>100</td>
<td>10</td>
<td>0.00</td>
<td>250.00</td>
<td>CHECK# 990703</td>
<td>01/02/2014</td>
<td></td>
</tr>
<tr>
<td>00</td>
<td>01/02/2014</td>
<td>3000</td>
<td>16</td>
<td>0.00</td>
<td>250.00</td>
<td>UNRESOLVED</td>
<td>01/02/2014</td>
<td></td>
<td></td>
</tr>
<tr>
<td>00</td>
<td>01/06/2014</td>
<td>3000</td>
<td>05</td>
<td>0.00</td>
<td>150.00</td>
<td>UNRESOLVED</td>
<td>01/06/2014</td>
<td></td>
<td></td>
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Audit Inquiry window

Figure 17: Audit Inquiry window
Create Unresolved window

Fields: "Create Unresolved window", on page 66

Figure 18: Create Unresolved window

Delete Unresolved window

Fields: "Delete Unresolved window", on page 67

Figure 19: Delete Unresolved window
Apply Cash window

Figure 20: Apply Cash window
**Alter Values window**

When you click the Edit button in the current row on the Apply Cash window, the Alter Values window opens to let you enter or edit lockbox criteria for the check to be applied.

"Alter Values window" on page 69

![Figure 21: Alter Values window opened for selected Apply Cash row](image)

**Find Apply Cash Lockbox Information window**

Fields: "Find Apply Cash Lockbox Information window", on page 70

![Figure 22: Find Apply Cash Lockbox Information window](image)
Refund Selection Criteria window

Figure 23: Refund Selection Criteria window

Refund Authorization window

Fields: "Refund Authorization window", on page 71

Figure 24: Refund Authorization window
Confirm Refund Authorization window

*Figure 25: Confirm Refund Authorization window*
Find Accounting Providers window

This window opens when you click the 116 Lookup button in a window requiring the CLIA number for a lab. It lets you search CLIA CMS-116 forms in the database.

Fields: "Find Accounting Providers window", on page 74

Figure 26: Find Accounting Providers window
Accounting Providers Find Results window

This window displays a list of the laboratories that match the search criteria entered in the Find Accounting Providers window. You select a lab to return its provider number to the requesting screen.

Fields: "Accounting Providers Find Results window", on page 76

Figure 27: Accounting Providers Find Results window
System Information window

The System Information window displays:

- System status notes
- Failed CLIA transaction details
- Current user information
- Batch billing job logs (audit files) for a specified date range

Figure 28: System Information window
For each field or button in a window or section of window, the name is given followed by a description. Function buttons not included within a section are listed under the heading Buttons.

CLIA Accounting

Browse Accounts window

Provider Search

Provider #1 - 3
Enter up to 3 valid CLIA provider numbers.

116 Lookup button
Click to open the Find Accounting Providers window to locate a lab if you do not know its provider number.

Find Provider button
Click to initiate search and open Certificates and Billing Inquiry window with certificate and billing information for the specified CLIA providers.

Lockbox Search

Lockbox Process Date ... to
Single lockbox process date or a range. If you specify a date range, the search pulls all Lockbox data in the range, inclusive of the dates entered.

When you enter a Lockbox Process Date range, you must also enter a Check # and/or select Show unresolved Only.

Batch
Batch number within the lockbox file.

Item
Item (accounting record) number within the batch.
Check #
Check number in the accounting record.

Show unresolved Only
Limits the search to unresolved accounting records.

Find Lockbox button
Click to initiate search for accounting records matching the specified lockbox criteria and open Lockbox Inquiry window displaying the matching records.

Buttons
New Search
Clears the current search criteria.

Exit
Returns to the Select Application window.

Certificates and Billing Inquiry window

General Information

CLIA # on tab
The lab’s CLIA number (aka CCN, provider number). Up to three tabs, one for each provider.

Name of lab
Lab’s name is at the top of the tab.

Outstanding Amount
Balance of outstanding fee, if any.

Certificate Inquiry grid
Displays up to nine historical certificates, plus one current and one pending certificate, for a total of eleven. All fields are read-only.

Cert Status
Status of the certificate.

Certificate
The certificate type: 1 Compliance, 2 Waiver, 3 Accreditation, 4 PPMP - Microscopy, or 9 Registration.
Registration has two subtypes: 1 Compliance and 3 Accreditation, depending on application type; the subtype appears in the H Ap column.

Class Code
Lab’s classification code: Regular, Exempt, or VA.
Effective Date
The certificate's effective date.

Expiration Date
The certificate's expiration date.

Mailed Date
Date the certificate was mailed to the lab/owner.

Termination Code
The lab’s termination code.

H Ap
Application type code, or subtype for Registration, for current and historical certificates. Taken together, entries in the column provide a history of application types for a lab.

Billing Inquiry grid
Lab’s complete billing and payment history. All fields are read-only.

Cert Date
Date the certificate was issued.

Trans Date
Date the billing transaction was recorded.

Description
Short text description of the billing activity.

App
Numeric ID of the application type.

Sched
The lab’s schedule code.

State
State where the lab is located.

Billing Amt
Amount billed to the lab.

Payment Amt
Amount paid by the lab.

Lockbox Date
Date the payment was entered by the bank vendor, i.e., date the lockbox batch job was run.

Batch
Lockbox batch job number.

Item
Lockbox item (accounting record) number within the batch.
**Buttons**

**Print**
Prints all certificate and billing information for the lab on the active tab. Includes information you must scroll to view on the screen.

**Refund**
Creates a Refund record, i.e., moves money associated with the selected record (row) in Billing Inquiry to Refund. Enabled only for users with appropriate permissions and if the lab and billing record meet the following conditions:

- Class code for lab is Regular (CLIA); can't be exempt or VA.
- Lab is active or terminated.
- Billing record is for either full or partial payment.
- Record type is 01, 02, 04, 05, or 06.
- Certificate date associated with the payment to be moved is for the most current cycle: pending, if present; otherwise current.

**Unresolve**
Creates an Unresolved record, i.e., moves money associated with the selected record (row) in Billing Inquiry to Unresolved. Enabled only for users with appropriate permissions and if the lab and billing record meet the following conditions:

- Class code for lab is Regular (CLIA); can't be exempt or VA.
- Lab is active or terminated.
- Billing record is for either full or partial payment.
- Record type is 01, 02, 04, 05, or 06.
- Certificate date associated with the payment to be moved is for the most current cycle: pending, if present; otherwise current.

**Generate Fee Coupon**
Generates a replacement fee coupon if the current laboratory is active or terminated with an 08 (nonpayment of fees), non-exempt, and has an outstanding fee. Enabled only for users with appropriate permissions.

**116 Detail**
Opens the CLIA 116 in Inquiry mode (read-only) for the current lab.

**Lockbox Inquiry**
Accesses the Lockbox Inquiry window after you enter search criteria in the Inquire By window.
Cancel Pmt
Cancels payment for a Paid record selected in Billing Inquiry if:
- Class code for lab is Regular (CLIA); can't be exempt or VA.
- Lab is active or terminated.
- Record type is 01, 02, 04, 05, or 06.
  Enabled only for users with appropriate permissions.

Previous
Exits Certificates and Billing Inquiry and returns to the previous window.

Menu
Exits Certificates and Billing Inquiry and returns to the Select Application window.

Inquire By window
The values shown for the lockbox criteria are copied from the selected payment record in the Billing Inquiry section of the Certificates and Billing Inquiry window. You can choose to search lockbox records by one option only.

Process Date
Select to open the Lockbox Inquiry window and show all records associated with the process date.

Batch #
Select to open the Lockbox Inquiry window and show all records associated with the process date and batch number.

Item #
Select to open the Lockbox Inquiry window and show all records associated the process date, batch number, and item number.

Lockbox Inquiry window

Lockbox Inquiry

Provider #
Lab’s provider number (aka CCN, CLIA number).

Rec Type
Accounting type code for paid fees, CK for lockbox check records, 70 for refunds, 80 for unresolved records.

Lockbox
Date the lockbox file was processed.

Batch
Lockbox batch number.
**Item**
Lockbox item (accounting record) number within the batch.

**Billed**
For paid fee records, amount the lab was billed; 0.00 otherwise.

**Amount Paid**
For paid fee records, amount the lab paid on the fee. Otherwise, check amount, unresolved amount, or refund amount—as applicable.

**Status**
Billing status/category description.

**Transaction**
Lockbox process date, payment status date, audit date, or add date depending on record type, audit code, payment status code, and payment amount.

**Transaction Code**
Lockbox transaction code.

**Buttons**

**Print**
Prints the contents on all pages of the Lockbox Inquiry window in PDF format.

**Refund**
Creates a Refund record, i.e., moves money associated with the selected record (row) in Billing Inquiry to Refund. Enabled only for users with appropriate permissions and if the lab and billing record meet the following conditions:
- Class code for lab is Regular (CLIA); can't be exempt or VA.
- Lab is active or terminated.
- Billing record is for either full or partial payment.
- Record type is 01, 02, 04, 05, or 06.
- Certificate date associated with the payment to be moved is for the most current cycle: pending, if present; otherwise current.

**Unresolve**
Creates an Unresolved record, i.e., moves money associated with the selected record (row) in Billing Inquiry to Unresolved. Enabled only for users with appropriate permissions and if the lab and billing record meet the following conditions:
- Class code for lab is Regular (CLIA); can't be exempt or VA.
- Lab is active or terminated.
- Billing record is for either full or partial payment.
• Record type is 01, 02, 04, 05, or 06.
• Certificate date associated with the payment to be moved is for the most current cycle: pending, if present; otherwise current.

**Certificate/Billing Inquiry**
When Lockbox Inquiry is accessed from Browse Accounts, this button opens the Certificates and Billing Inquiry window.
When Lockbox Inquiry is accessed from the Certificates and Billing Inquiry window, this button is disabled; click Exit to return to the Certificates and Billing Inquiry window.

**Cancel Pmt**
Cancels payment for a Paid record selected in Billing Inquiry if:
• Class code for lab is Regular (CLIA); can't be exempt or VA.
• Lab is active or terminated.
• Record type is 01, 02, 04, 05, or 06.
Enabled only for users with appropriate permissions.

**Previous**
Exits Lockbox Inquiry and returns to the previous window.

**Menu**
Exits Lockbox Inquiry and returns to the Select Application window.

**Audit Inquiry window**
Specified search criteria are shown at the top.

**Audit Inquiry**

**Provider #**
Lab’s provider number (aka CLIA #/number, CLIA provider number, CCN, Medicare provider number).

**Rec**
Accounting type code for paid bills, CK for lockbox check records, 70 for refunds, 80 for unresolved records.

**Amount**
For paid fee records, amount the lab paid on the fee. Otherwise, check amount, unresolved amount, or refund amount—as applicable.

**Add ID**
ID of individual or batch job that added the record.

**Add Date**
Date record was added
CLIA Accounting Fields and Buttons

**Update ID**
ID of individual or batch job that updated the record.

**Update Date**
Date record was updated.

**Batch**
Lockbox batch job number.

**Item**
Lockbox item (accounting record) number within the batch.

**Check**
Check number.

**Buttons**

**Print**
Prints a hard (paper) copy of the displayed accounting audit trail.

**Certificate/Billing Inquiry**
Always disabled.

**Previous**
Returns to the previous window.

**Menu**
Returns to the ASPEN Web CLIA Maintenance - Select Application window.

**Create Unresolved window**

**Create Unresolved**

**Date of Deposit**
Required. Date the money was deposited or date notification received from Treasury. This becomes the lockbox process date for the unresolved record.

**Batch**
Required. Select the applicable batch number for the unresolved record. Options are:
- 5555 - Treasury; for returned refund checks
- 9999 - CMS/IPAC (Intra-governmental Payment and Collection System); for payments sent directly to CMS
- 6000-6010, 6500-6510 for credit card payments entered through pay.gov
Check Amt
   Required. Amount of the check or electronic payment.

Check #
   Optional. Number of the check.

Buttons
   Add
      Adds a new row in which you can enter data for an additional unresolved record.

   Remove
      Removes the selected unresolved record (row) before processing.

   Print
      Prints the contents of the Create Unresolved window before or after records are processed. Includes information you must scroll to view on the screen.

   Process
      Processes data entered in the Create Unresolved window and creates an unresolved record for each row with an assigned one-up item number.

   Exit
      Returns to the Select Application window.

Delete Unresolved window

Delete Unresolved
   Process Date
      Required. Date the lockbox file containing the erroneous record of interest was processed.

   Batch #
      Required. Number of batch in the lockbox file containing the unresolved record.

   Item #
      Required. Item number of the unresolved record in the given batch. Must be two digits. If < 10, precede with 0, e.g., 02.

   Amount
      Read-only. Amount of the check; entered from the unresolved record specified by the lockbox criteria.
Buttons

Print
Prints the contents of the Delete Unresolved window before or after processing.

Process
Looks up and deletes the unresolved record using the criteria entered. Assigns the deleted record an audit code of 58 (canceled unresolved). If the record is not located, you receive an error message.

Exit
Returns to the Select Application window.

Apply Cash window

Apply Cash

Provider #
Enter the CLIA provider number of the lab to which cash (from a check tied to an unresolved record) will be applied.

116 Lookup button
Click to open the Find Accounting Providers window to locate a lab if you do not know its provider number.

Edit button
Click this button (diamond within square) to open the Alter Values window and specify lockbox criteria to enter in the selected Apply Cash row for the check to be applied.

Date
Read-only. Validated Process Date of lockbox file containing unresolved record for check to be applied; entered from Alter Values or Find Apply Cash Lockbox Information.

Batch
Read-only. Validated Batch # (number) containing unresolved record for check to be applied; entered from Alter Values or Find Apply Cash Lockbox Information.

Item
Read-only. Validated Item # (number) of unresolved record for check to be applied; entered from Alter Values or Find Apply Cash Lockbox Information.

Check Amt
Read-only. Amount of check to be applied; entered from the unresolved record specified by the validated lockbox criteria.
Buttons

Add
Adds a new row in which you can specify an additional lab to which cash will be applied and the lockbox criteria for the check to apply. There is no limit to the number of items (rows) you can add to Apply Cash.

Copy
Copies the selected row the specified number of times. You can then edit the details as needed. There is no limit to the number of items (rows) you can add to Apply Cash using the Copy button.

Remove
Removes the selected row in Apply Cash before processing.

Lockbox Inquiry
Click to open the Find Apply Cash Lockbox Information window to locate and copy some or all of the lockbox information to corresponding fields in the selected row in Apply Cash. Use this option if you do not have the details on hand to enter directly in Alter Values.

Print
Prints the contents of the Apply Cash window before or after processing. Includes information you must scroll to view on the screen.

Process
Processes all data entered in the Apply Cash window. Applies the specified checks to the indicated laboratories in order from top to bottom and according to established rules.

Exit
Returns to the Select Application window. Any information you entered is deleted. You can choose to cancel the exit.

Alter Values window

Process Date
Date the lockbox file containing the unresolved record was processed.

Batch #
Number of batch within the lockbox file containing the unresolved record.

Item #
Item number of unresolved record within the batch.
Done
Exits Alter Values and enters the specified lockbox data in the selected Apply Cash row after validation. A message appears if you did not enter all three values or if a matching unresolved record is not found.

Cancel
Returns to the Apply Cash window without entering any specified lockbox data.

Find Apply Cash Lockbox Information window

Lockbox Search

Lockbox Process Date ... to
Date the lockbox file containing the unresolved record was processed or a range of dates. If you specify a range, the search pulls all unresolved records in the range, inclusive of the dates entered.

Batch
Batch within the lockbox file containing the unresolved record.

Item
Item number of unresolved record within the batch.

Check #
Disabled.

Show unresolved Only
Selected by default and disabled, since you are trying to locate unresolved accounting records.

Find Lockbox button
Locates and displays unresolved records matching your search criteria.

Buttons

New Search
Clears the current search criteria.

Exit
Returns to the Apply Cash window.

Refund Selection Criteria window

Selection Criteria
Provider # 1-10
Enter up to 10 valid CLIA provider numbers.
116 Lookup button
Click to open the Find Accounting Providers window to locate a lab if you do not know its provider number.

Pending Recommendation
Select to search for refunds pending recommendation for specified providers.

Pending Final Approval
Select to search for refunds pending final approval for specified providers.

List Final Approvals
Select to list refunds granted final approval for specified providers.

List Recommended Denials
Select to list recommended denials of refunds for specified providers.

List Approved Denials
Select to list approved denials of refunds for specified providers.

Buttons
Print
Prints hard (paper) copy of contents of Refund Selection Criteria window.

Find Now
Locates refund requests matching your search criteria and displays them in the Refund Authorization window.

New Search
Clears the current search criteria. If you want to switch from a search by refund authorization status to a search by provider number, you must click this button. However, if you want to switch from a search by provider number to a search by status, you can click this button or manually delete the provider numbers.

Exit
Returns to the Select Application window.

Refund Authorization window

Refund Authorization

ID
Sequence number for refund request, i.e., ID for first refund request listed is 1, second is 2, etc.

Provider #
Read-only. Lab’s provider number (aka CCN, CLIA number).
**Name**
Read-only. Name of the laboratory.

**Date**
Read-only. Date the lockbox file was processed.

**Batch**
Read-only. Number of batch in the lockbox file.

**Item**
Read-only. Item number within the batch for the accounting record.

**Amount**
Read-only. Amount of the check.

**Authorization 1 Rec.**
Choose Yes to recommend approval of the refund, No to recommend denial.

For payments moved to Refund (Move Money), the system automatically sets Rec. to Yes. You can change it to No.

**Authorization 1 Reason**
Select the reason for the recommendation. Required if Rec. = Yes, optional if Rec. = No.

For payments moved to Refund (Move Money), the system automatically sets Reason to 11 Overpaid CLIA. You can select another option as appropriate.

**Authorization 2 Aprvl**
Choose Yes to approve the refund, No to deny it.

**Authorization 2 Reason**
Select the reason for your approval or denial. Required if Aprvl = Yes, optional if Aprvl = No.

**Buttons**

**Print**
Prints contents on all pages the of Refund Authorization window to PDF.

**Confirm**
Opens Confirm Refund Authorization window and displays new and old values entered for selected refund request in Refund Authorization window.

**Exit**
Returns to Refund Selection Criteria window.
Confirm Refund Authorization window

New Values/Old Values

Both sections have the same fields, which are all read-only. New Values displays the Authorization values entered in the Refund Authorization window when you clicked Confirm. For Authorization 1, Old Values displays the values present before any Authorization values were entered, i.e., the values returned from the search of refund requests. For Authorization 2, Old Values includes the processed Authorization 1 values.

ID
Sequence number for refund request from Refund Authorization window.

Provider #
Lab’s provider number (aka CCN, CLIA number).

Name
Name of the laboratory.

Date
Date the lockbox file was processed.

Batch
Number of batch in the lockbox file.

Item
Item number within the batch for the accounting record.

Amount
Amount of the check.

Authorization 1 Rec.
Authorization 1 refund recommendation: Y if Yes selected in Refund Authorization window, N if No.

Authorization 1 Reason
Code number of reason for recommendation selected in Refund Authorization window

Authorization 2 Aprvl
Authorization 2 refund approval or denial: Y if Yes selected in Refund Authorization window, N if No.

Authorization 2 Reason
Code number of reason for approval or denial selected in Refund Authorization window.
Buttons

Print
Prints hard (paper) copy of contents of Confirm Refund Authorization window.

Process
Processes new authorization values entered in Refund Authorization window.

Exit
Returns to Refund Selection Criteria window if data is processed.
Returns to Refund Authorization window if data is not processed.

Find Accounting Providers window

Main Search Criteria

CLIA #
All or part of the CLIA number (aka CCN, provider number) of the lab you want to find.

Name
All or part of the name of the lab you want to find.

Physical Address

Address
All or part of the street address where the lab operates. You can use this field for international lab searches.

City
All or part of the name of the city where the lab operates. Do not use for international lab searches.

State
Two-character postal code of the state where the lab operates; FN for international labs.

County Code
All or part of the name of the county in which the lab operates. Do not use for international lab searches.

Zip
All or part of the 5-digit Zip code where the lab operates. Do not use for international lab searches.
Mailing Address

Address
All or part of the street address where the lab’s mail is delivered. You can use this field for international lab searches.

City
All or part of the city where the lab’s mail is delivered. Do not use for international lab searches.

State
2-character postal code for the state where the lab’s mail is delivered, or FN for international labs.

Zip
All or part of the 5-digit Zip code where the lab’s mail is delivered. Do not use for international lab searches.

Other

Phone #
All or part of the lab’s area code and phone number.

Director Last Name
All or part of the lab director’s last name. If this is the only search criterion specified, the system searches all states.

Director First Name
All or part of the lab director's first name. Not enabled until all or part of the lab director’s last name is entered.

Federal Tax ID
All or part of the lab’s Federal tax identification number.

Exclude Terminated Laboratories
Select the checkbox if you want to exclude terminated laboratories from a search. By default, all matching laboratories are listed, whether they are Active, Pending, or Terminated.

Multiple Sites Search
Select to search for multiple sites; only the primary site is searched by default. Not enabled until you enter all or part of the laboratory name or physical address. All active multiple sites are returned by the search.
Buttons

Find Now
Locates labs matching your search criteria. Pressing Enter will not yield results.

New Search
Clears current search criteria.

Exit
Returns to the previous window where you clicked the 116 Lookup button to open this Find window.

Accounting Providers Find Results window

Navigation

Page 1 of <#>
Lists the number of pages of search results, and the page the user is currently viewing.

First / Previous
First returns to the first page of search results.
Previous returns to the last page viewed.

Next / Last
Next advances to the next page of search results.
Last advances to the last page of search results.

Jump to... box
Jumps directly to the results page you select.

Search Results grid
Click a column title once to sort entries in the Search Results grid in descending order, click twice to sort in ascending order, and click three times to return to the original sort order.

Buttons

Select
Enters the CLIA number of the provider selected in the Results list into the Provider number field of the window where you initiated the 116 Lookup.

You can also double-click a provider in the Results list to enter its CLIA number in the original window.

Cancel
Returns to the Find Accounting Providers window.
Other ASPEN Web CLIA windows

Login window

User ID
Your assigned QIES national user ID.

Password
Your QIES national user password.

Login
Logs you in and opens the Select Application window.

System Information window

Qies System Notes
Displays messages posted about system status. CO users can enter notes; read-only for all others.

Failed Upload Transactions
Lists failed CLIA transactions from the previous night's cycle.

Trans #
ID number of the transaction.

Trans Category
Transaction category: CLIA, ENF (Enforcement upload), or ODIE (certification kit upload).

CLIA #
Lab’s assigned provider number (aka CCN).

Trans Date
Date of the transaction.

Trans Status
Transaction status: -1, 00, 05, 10, or 15

Trans Type
Transaction type code: 00, 01, 03, 04, or 05.

Trans Description
One-word description of the transaction type: Add, Delete, Add, Update, Prior.
Current User Information

Name
National system login name of current user.

Type
Current user type:
01 Regional Office
02 Central Office
04 Accrediting Organization
05 Veterans Administration
06 Billing Contractor
07 Lockbox User

Security Role
Security level or role within Type assigned to current user.

<table>
<thead>
<tr>
<th>Type</th>
<th>Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>01, 20</td>
<td>FA Full Access</td>
</tr>
<tr>
<td></td>
<td>RO Read Only</td>
</tr>
<tr>
<td>02</td>
<td>FA Full Access</td>
</tr>
<tr>
<td></td>
<td>RO Read Only</td>
</tr>
<tr>
<td></td>
<td>SU Super User</td>
</tr>
<tr>
<td>04</td>
<td>01 TJC</td>
</tr>
<tr>
<td></td>
<td>02 AOA</td>
</tr>
<tr>
<td></td>
<td>03 AABB</td>
</tr>
<tr>
<td></td>
<td>04 CAP</td>
</tr>
<tr>
<td></td>
<td>05 COLA</td>
</tr>
<tr>
<td></td>
<td>07 ASHI</td>
</tr>
<tr>
<td>05, 06, 07</td>
<td>N/A</td>
</tr>
</tbody>
</table>

State
State Agency user’s state.

Region
Regional Office user’s region number.
**Batch Jobs**

**Date From**
Start date of date range filter.

**To Date**
End date of date range filter.

**Find button**
Click to update the list of audit files according to the specified date range.

**Calculated Run Date**
Date job was calculated to run.

**Actual Run Date**
Date job actually ran.

**Job Name**
Name of the batch billing job.

**Job Status**
Run status of the job.

**View Audit Messages/View button**
Click the View button to open the audit file for the job in a text editor.

**Other System Information**

**Database**
Database the current user is accessing.

**Buttons**

**Print**
Prints the contents of the System Information window.

**Done**
Returns to the Select Application window.
Billing Category Descriptions

The Billing Inquiry section of the Certificates and Billing Inquiry window includes applicable billing category descriptions.

Figure 29: Billing category descriptions
All currently defined category descriptions are given below.
One-Part Descriptions

Some billing category descriptions are stored as one word or phrase in the database.

- Overpayment
- Returned to Treasury
- Refund Sent
- Refund Approval
- Refund Approval Denied
- Refund Recommended
- Refund Recommended Denied
- Used Overpayment
- Prior Unresolved

Two-Part Descriptions

Other billing category descriptions are stored in two parts in the database, i.e., they are constructed from two lists of words and phrases.

Part 1

- Waiver (if app type 2)
- PPM (if app type 4)
- Registration (if app type 9(1) or 9(3))
- Compliance Survey
- Survey Adjustment
- Compliance Cert
- Validation Survey
- Accreditation Cert
- Overpayment
- Unresolved
- Certificate Backout
- Compliance Backout
Part 2
Rebill Fee
Final Fee
Fee
Partial Pmt
Payment
Fee Removed

Example
The category description Compliance Survey Fee Removed comprises Part 1, item 4 + Part 2, item 6.

Audit Codes
Internal audit codes for accounting records are listed below by record type.

Billing

<table>
<thead>
<tr>
<th>Audit Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>00</td>
<td>Current</td>
</tr>
<tr>
<td>52</td>
<td>Apply cash to lab</td>
</tr>
<tr>
<td>54</td>
<td>Move money from lab to refund</td>
</tr>
<tr>
<td>56</td>
<td>Cancel payment</td>
</tr>
<tr>
<td>80</td>
<td>New fee coupon generated</td>
</tr>
<tr>
<td>99</td>
<td>Audited</td>
</tr>
</tbody>
</table>

Overpayment

<table>
<thead>
<tr>
<th>Audit Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>00</td>
<td>Current</td>
</tr>
<tr>
<td>52</td>
<td>Apply cash to lab</td>
</tr>
<tr>
<td>54</td>
<td>Move money from lab to refund</td>
</tr>
<tr>
<td>70</td>
<td>Refund returned Treasury</td>
</tr>
<tr>
<td>77</td>
<td>Refunded to lab</td>
</tr>
<tr>
<td>99</td>
<td>Audited</td>
</tr>
</tbody>
</table>
Unresolved

<table>
<thead>
<tr>
<th>Audit Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>00</td>
<td>Current</td>
</tr>
<tr>
<td>52</td>
<td>Apply cash to lab</td>
</tr>
<tr>
<td>58</td>
<td>Canceled unresolved</td>
</tr>
<tr>
<td>99</td>
<td>Audited</td>
</tr>
</tbody>
</table>

Batch Billing Jobs

The batch billing run includes the following jobs, which are listed in the order they are executed. The jobs are run weekly except for the Quarterly Refund job.

**Reactivate Terminated Labs** – Reactivates 08 labs, i.e., labs terminated for nonpayment, that have paid in full within six months of termination.

**Application Change** – Processes status changes. Updates lab data (e.g., specialties, provider information) to fit new application type. Ensures that all business rules are applied correctly.

**Bubble** – Pushes fully paid pending certificates within 30 days of the certificate effective date to current. Cleans up data (e.g., specialties) as needed.

**Certificates** – Determines labs that have paid (i.e., those with certificates that “bubbled” in the previous job) and are due to receive a new certificate. Creates two flat files for the Certificate and Issuance Billing Contractor (BC) to use: one for Type 2 (Waiver), 4 (PPM), and 9 (Registration) labs; the other for Type 1 (Compliance) and 3 (Accredited) labs.

**Adjustment 1** – Enters changes in 1557 schedule codes for Type 1 (Compliance) labs that are unpaid or partially paid. Allows users with appropriate permissions to manually override schedule code changes in order to update fee amounts for Type 1 (Compliance) and 3 (Accredited) labs.

**Adjustment 2** – Generates renewal fees for Type 1 (Compliance) labs, i.e., Bill Type 04 (Compliance Certificate Fee). Refunds money and updates records as appropriate.

**Adjustment 3** – Generates initial and renewal fees as follows:

- Initial fees for all laboratory types, i.e., Bill Type 01 (Waiver/PPM/Registration Fee) and 02 (Compliance Survey Fee).
- Renewal fees for Type 2 (Waiver) and 4 (PPM) labs, i.e., Bill Type 01 (Waiver/PPM/Registration Fee).
- Renewal fees for Type 1 (Compliance) labs, i.e., Bill Type 02 (Compliance Survey Fee).
Batch Billing Jobs

Adjustment 4 – Generates initial and renewal fees for Type 3 (Accredited) labs, i.e., Bill Type 05 (Validation Survey Fee) and 06 (Accreditation Certificate Fee).

Clean Up Terminated Labs – Cleans up data for labs that have been terminated for more than 190 days and up to two years. Audits off accounting records. Deletes pending cycle information (if a pending certificate existed), but keeps provider records.

First and Second Rebill – Sends Bill Code 2 (First Rebill) fees for labs that have unpaid Bill Code 1 (Initial Bill) fees with a fee date 60 days old or more. Audits off the Code 1 bills.

Also sends Bill Code 3 (Second Rebill) fees for labs that have unpaid Bill Code 2 (First Rebill) fees with an initial fee date 120 days old or more. Audits off the Code 2 bills.

Terminate Unpaid Labs – As applicable:

• Terminates labs for nonpayment, i.e., sets Term Code to 08 for labs having unpaid Bill Code 3 (Second Rebill) fees with an initial fee date 180 days old or more.

• Terminates Type 3 (Accredited) labs with no indication of affiliation with an accrediting organization (AO) when their current certification cycle ends; sets Term Code to 33.

• Terminates labs with terminated current certificates but with a new pending certificate that has not been fully paid within 6 months. Labs will be terminated 6 months after the pending effective date.

Bills – Locates Payment Status Code 10 bills (Ready to Send). Creates two files for the BC: one for Bill Type 01 (Waiver/PPM/Registration Fee), 02 (Compliance Survey Fee), 05 (Validation Survey Fee), and 06 (Accreditation Certificate Fee); the other for Bill Type 04 (Compliance Certificate Fee). These two files contain all required billing information.

Refunds – Creates a refund file for Treasury, updates and audits off refund records for:

• Approved manual refunds – money approved for refund by CLIA CO or CLIA contractor

• Automatic refunds – money marked as ‘overpayment’ for six months

Send Accreditation Letter – Identifies active Type 3 (Accredited) labs without AO affiliation and creates a file for the vendor that generates and sends an Accreditation Letter to the labs.

Cleanup Remarked AOs – Cleans up data for Type 3 (Accredited) labs with Accredited Remarks indicating a lack of affiliation with an AO.

Quarterly Refund – Runs the first Saturday of every quarter. Identifies refund records and audits them off.

Batch Complete – Runs if all other jobs complete successfully.
Keyboard Shortcuts

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.

CLIA Accounting Keyboard Shortcuts

The CLIA Accounting application includes the following keyboard shortcuts. The Certificates and Billing Inquiry window is used as an example. These keyboard shortcuts work for the buttons (if enabled), in order of placement, in all CLIA accounting windows.

Certificates and Billing Inquiry window

Alt 1 - Print
Alt 2 - Refund
Alt 3 - Unresolve
Alt 4 - Generate Fee Coupon
Alt 5 - 116 Detail
Alt 6 - Lockbox Inquiry
Alt 7 - Cancel Payment
Alt 8 - Exit

Help Fields

Tab - Go to name/label for a field/section with associated Help information.
Enter - Display the associated Help information for the field/section.
Tab - Move to the Close button in the Help window.
Enter - Close the Help window.
# Windows keyboard shortcuts

## 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>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>Press this</td>
<td>To do this</td>
</tr>
<tr>
<td>------------</td>
<td>------------</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</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>