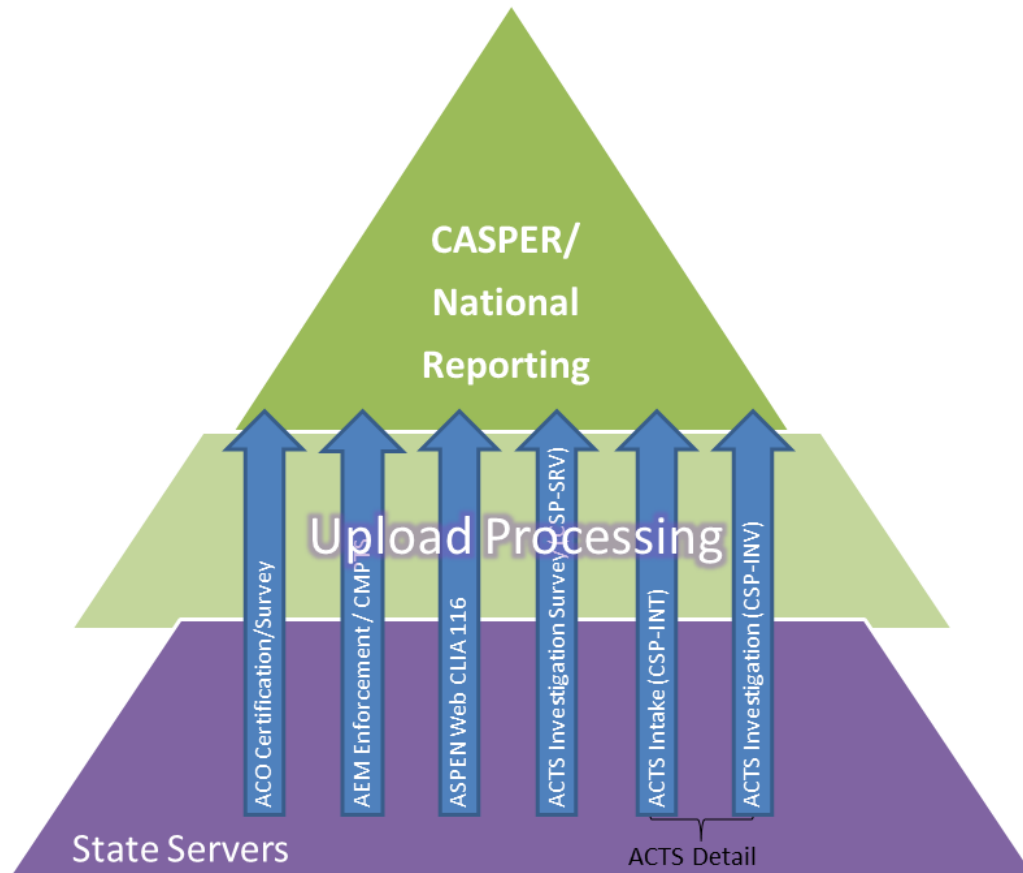


# Uploads/Transaction Tracking/Best Practices



## Frequently Asked Questions

### Why upload ASPEN data from state servers?

- To populate and update the master national data repository
- To support national reporting systems (CASPER/QW)
- To satisfy CMS policy guidelines
- To support public websites (e.g., Nursing Home Compare)

### What ASPEN data is uploaded from state servers?

- Certification kits for all provider types including CLIA
- Investigation surveys – detailed survey, deficiency, workload, team data
- Complaint investigation detail – core investigation data
- Complaint intake detail – detailed intake data
- Enforcement cases
- CMPTS cases
- FMS surveys
- Special surveys

### What are the upload transaction types?

- ACO - certification kits including CLIA
- CSP-SRV - ACTS investigation surveys
- CSP-INV - ACTS complaint investigation core details
- CSP-INT aka INTK - ACTS complaint intake detail
- ENF - AEM enforcement cases
- CPTS - AEM CMPTS cases
- FMS - surveys
- SRVY - Special surveys

### How do the three ACTS uploads differ?

- CSP-INT (INTK)
 

ACTS upload that sends complaint intake information to support national reporting. Upload occurs automatically when intake qualifies, normally when investigation is scheduled; intake finalization not required.
- CSP-INV
 

Sends core investigation information to support national reporting. Upload occurs automatically when investigation qualifies, normally when investigation is scheduled; intake finalization not required.
- CSP-SRV
 

Sends investigation survey information to national, including workload, team and deficiency data. For investigation surveys after 07/01/2014, upload occurs automatically when survey qualifies, normally when investigation is completed; *intake finalization is required*. A successful CSP-SRV upload automatically triggers a CSP-INV upload as well as CSP-INT uploads for all attached intakes.

### Are all three ACTS uploads necessary?

Each type of ACTS upload sends separate, key information from the state server to national. Uploads process at different times during intake and investigation processing as various milestones are reached. To ensure all reportable information is available for national reporting needs, all three ACTS uploads must occur and be successful.

## How are uploads triggered?

Uploads are triggered automatically or manually depending on creation/exit date, type of transaction, or whether there has been a successful upload. Items must pass qualification checks before being uploaded automatically or manually, i.e., data must be complete and meet all applicable business rules.

## How often do automatic uploads occur?

Upload transactions (Add, Update, etc.) are sent from ASPEN databases on state servers to national every 10 minutes. Processing of these transactions on national occurs every night, Monday through Friday.

## Do I have to wait while automatic uploads are processed?

No, all automatic upload processes occur in the background so you can work uninterrupted.

## If uploads are automatic, why do I need to do anything?

Not all uploads occur automatically. For example, the first upload of a CLIA certification kit and enforcement case must be manual.

In addition, you may find manual uploads useful for testing or as a diagnostic tool if auto-uploads are failing. For example, though ACTS CSP-SRV uploads are automatic, you may want to manually trigger an upload to ensure the investigation qualifies for upload.

## How do I trigger a manual upload?

- Certification kit  
In ACO/ARO, go to the Upload tab in a certification kit and click the Prevalidate and Upload button.
- Investigation survey (CSP-SRV)  
In ACTS, go to the Upload tab in the Investigation Properties window, and click the Prevalidate and Upload button.
- Intake (CSP-INT/INTK)  
In ACTS, go to the Upload Intake tab of the intake and click the Upload Intake button to initiate an ACTS Detail Upload of intake information. A CSP-INT upload can also be triggered if the linked investigation is uploaded manually.
- Investigation detail (CSP-INV)  
In ACTS, go to the Upload Intake tab of the intake and click the Upload Intake button to initiate an ACTS Detail Upload. Core investigation details are uploaded if the intake is linked to an investigation.
- Enforcement case (ENF)  
In AEM, go to the Upload tab of an enforcement case and click the Prevalidate and Upload button.

- CMPTS case (CPTS)

In AEM, go to the Upload tab in the CMPTS Detail window and click the Prevalidate and Upload button.

- FMS survey

In ARO, open the FMS Add/Update window and click the Upload button to open the FMS Transactions window, then click the Prevalidate and Upload button.

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**Note:** You cannot manually upload special surveys or CLIA 116s.

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### **What are implicit transactions?**

When field information in certification kits is updated in your state's database, it is transmitted to national via explicit or implicit transactions. Explicit updates to the corresponding fields on national occur when the certification kit is uploaded automatically or manually from your state server to national. Implicit updates to field values are automatically sent to national; another upload is neither triggered nor required.

Most Update transactions for certification kits are explicit (i.e., require an upload), but there are two types of implicit Update transactions:

- Updates sent for certain individual facility properties fields, e.g., Employer ID, Address; Survey Pending Date (not visible to user)
- Updates sent for a group of fields, e.g., bed counts on the CMS-1539, Program Participation on the CMS-671

FMS records are also updated implicitly after the first successful upload to national.

### **Is uploaded information immediately available to national?**

No, upload transactions (whether initiated automatically or manually) and implicit transactions are processed overnight.

### **How can I monitor uploads?**

Many tools are available to help monitor upload status for certification kits, enforcement cases, intakes and investigations. These include:

- Transactions viewer
- Certification Kits list
- Upload tabs
- Email Notifications
- Action Items
- Reports

### Transactions viewer

For all ACO and ACTS upload types, the Transactions viewer (Tracking<Transactions) offers a quick overview of upload transaction details and status for a given date range.

**Note:** To view only failed uploads, choose All Failed Transactions with No Following Success.

### ACTS Transaction viewer

The screenshot shows a window titled "Transactions for: LA". It features a search interface with the following fields:

- Start Date: 01/18/2016
- End Date: 02/17/2016
- Selection Criteria: All Transactions for Specified Period
- Transaction Type: All Types
- Refresh List button

The main data table is as follows:

ID	Facility	Provider ID	Action	Date	Type	Status	By	Error
LA 42114	MEDICAL CENTER(HO00.	19 7	03 ADD	02/03/2016	CSP-INT	10 - Succes...	CHERYL, WOODLAND(30116)	- Dsc
FI	MEDICAL CENTER(HO00.	19 7	03 ADD	02/03/2016	CSP-INV	10 - Succes...	CHERYL, WOODLAND(30116)	- Dsc
LA 42057	GENERAL HOSPITAL(H.	19 4	04 UPDATE	02/10/2016	CSP-INT	10 - Succes...	ALANNAH, MCTIGHE(30120)	- Dsc
W 711	REHABILITATION HOSPI.	19 8	03 ADD	02/11/2016	CSP-SRV	-1 - Failed	JOHN, BEAVERS(30128)	20 -
PE 1	REHABILITATION HOSPI.	19 8	03 ADD	02/11/2016	CSP-SRV	-1 - Failed	Regional Office Staff	20 -
LA 42084	REHABILITATION HOSPI.	19 8	04 UPDATE	02/11/2016	CSP-INT	10 - Succes...	JOHN, BEAVERS(30128)	- Dsc
LA 42122	REHABILITATION HOSPI.	19 8	03 ADD	02/11/2016	CSP-INT	10 - Succes...	Regional Office Staff	- Dsc
W 711	REHABILITATION HOSPI.	19 8	01 DELETE	02/11/2016	CSP-INV	10 - Succes...	JOHN, BEAVERS(30128)	- Dsc
PE 1	REHABILITATION HOSPI.	19 8	03 ADD	02/11/2016	CSP-INV	10 - Succes...	Regional Office Staff	- Dsc

Color Key: Substantiated (red), Unsubstantiated/Not Applicable (blue), Investigation (green)

Buttons at the bottom: View Related Investigation/Intake, Print, OK

ACO Transaction viewer

Transactions for: GA

Show transactions sent between:  
 Start Date: 04/04/2016  
 End Date: 05/04/2016

Selection Criteria: All Transactions for Specified Period (Certifications)  
 Sort Order: Cert Kit, Transaction Date (DESC)

Refresh List  
 Facility Type Filter

Initial Cert (Red) Recert (Blue) RO Flag (Blue Flag) Not Flagged (Red X)

Cert ...	Facility	Provider ID	Action	Send Date	Status	Flag	By	Message	Transaction ID	T
2	CA	11130	04 UPD...	05/02/2016	10 - Succe...		ASPEN S...	- Oscar Success - Succes...	110018111309	H
4	EA	11118	04 UPD...	04/29/2016	-1 - Failed		ASPEN S...	- transaction edit error.	110018111185	S
4	EA	11118	04 UPD...	04/07/2016	10 - Succe...		RO Staff	- Oscar Success - Succes...	110018111182	S
6	K	GE	03 ADD	04/19/2016	-1 - Failed		RO Staff	20 - transaction edit error.	110018111195	H
6	K	GE	03 ADD	04/19/2016	-1 - Failed		J...	20 - transaction edit error.	110018111192	H
6	K	GE	03 ADD	04/19/2016	-1 - Failed		J...	20 - Transaction edit error.	110018111192	H
7	E	AM	04 UPD...	04/05/2016	-1 - Failed		RO Staff	20 - Transaction edit error.	110018111195	H
8	G	AG	04 UPD...	04/05/2016	10 - Succe...		ASPEN S...	- Oscar Success - Succes...	110018111199	S
9	C	AL	04 UPD...	04/18/2016	10 - Succe...		RO Staff	- Oscar Success - Succes...	110018111192	S
9	I	WE	04 UPD...	04/18/2016	10 - Succe...		RO Staff	- Oscar Success - Succes...	110018111196	H
9	I	WE	04 UPD...	04/18/2016	10 - Succe...		RO Staff	- Oscar Success - Succes...	110018111190	H

View Related Certification Kit  
 Print  
 OK

### AEM Transaction viewer

You can view All Transactions for Specified Period (Enforcements), shown below, or All Failed AEM Transactions With no Following Success.

Show transactions sent between:
Refresh List

Start Date

Selection Criteria

End Date

Sort Order

Upload Type

Enf ID	Facility	Provider ID	Action	Send Date	Status	By	Message	Transaction ID	Type	Federal C
G.1111W	GOL	LI...	11!	04 UPD...	04/07/2016	10 - Succ...	ASPE... - Oscar Succ...	11011111120	SNF/NF	Opportur
G.1111C	WAI	P...	11!	03 ADD	04/08/2016	10 - Succ...	MARK... - Oscar Succ...	11011111133	SNF/NF	No Oppc
G.1111P	EAG	E...	11!	04 UPD...	04/08/2016	10 - Succ...	MARK... - Oscar Succ...	11011111131	SNF/NF	No Oppc
G.1111P	EAG	E...	11!	04 UPD...	04/07/2016	10 - Succ...	MARK... - Oscar Succ...	11011111119	SNF/NF	No Oppc
G.1111P	EAG	E...	11!	03 ADD	04/06/2016	10 - Succ...	MARK... - Oscar Succ...	11011111149	SNF/NF	No Oppc
G.1111V	ZEB	J...	11!	03 ADD	04/08/2016	10 - Succ...	MARK... - Oscar Succ...	11011111136	SNF/NF	No Oppc
G.1111B	ARC	...	11!	03 ADD	04/14/2016	10 - Succ...	- Oscar Succ...	98011111108	HHA-18	Opportur
G.1111L	COL	Y...	11!	03 ADD	04/08/2016	10 - Succ...	MARK... - Oscar Succ...	11011111134	SNF/NF	No Oppc
G.1111S	BAY	...	11!	04 UPD...	04/05/2016	10 - Succ...	MARK... - Oscar Succ...	11011111152	SNF/NF	No Oppc
G.1111S	BAY	...	11!	03 ADD	04/04/2016	10 - Succ...	MARK... - Oscar Succ...	11011111160	SNF/NF	No Oppc
G.11111	CHF	...	11!	03 ADD	04/04/2016	10 - Succ...	MARK... - Oscar Succ...	11011111159	SNF/NF	No Oppc

**Certification Kits list**

The Certification Kits window lists certification kits with details about each kit including upload status. You can filter the listed kits by provider type, status, and date. From the list, you can open individual kits.

The screenshot shows the 'Certification Kits' application window. At the top, there are filter controls: 'Provider Type' with a 'Deselect All' button and a list of five checked options (011 HOSPITAL SHORT TERM, 012 HOSPITAL PSYCHIATRIC, 013 HOSPITAL REHABILITATION, 014 HOSPITAL CRITICAL ACCESS HOSPITALS, 015 HOSPITAL LONG TERM); 'Status' set to 'All'; 'Dates' from 02/04/2016 to 05/04/2016; and a 'Show Kits Modified Since Last Upload' checkbox.

Below the filters, it states 'Total Certifications: 20'. A table lists the certification kits with columns: Cert ID, Facility, Provider ID, Type, Certification Type, ODIE, Kit Status, Flag, and Survey Date. The table contains 20 rows of data, including facilities like 'A.G. THORNDIKE HOME HEALTHCARE' and 'ALBAHILL SURGERY CENTER'. The 'ODIE' column shows green checkmarks or yellow boxes, and the 'Flag' column shows blue flags or red 'X' marks.

At the bottom, there is a 'Color Key' for 'Initial', 'Recert', and 'Other'. A legend for 'ODIE key' shows a yellow box for 'Kit Pending' and a green checkmark for 'Kit Accepted'. A legend for 'Flag key' shows a blue flag for 'RO Flag' and a red 'X' for 'Not Flagged'. Action buttons include 'Print Tracking Report', 'View Highlighted Certification', 'Print List', and 'Close'.

Cert ID	Facility	Provider ID	Type	Certification Type	ODIE	Kit Status	Flag	Survey Date
11022	A.G. THORNDIKE HOME HEALTHCARE	111002	S/NF ...	02-RECERTIFICATION		01-OPEN		03/17/2016
11024	ALBAHILL SURGERY CENTER, LLP/A...	111001	ASC	02-RECERTIFICATION	✓	01-OPEN		04/19/2016
11026	APPLING HOSPITAL (HOSPITAL)	111071	HOS...	02-RECERTIFICATION	✓	01-OPEN		04/18/2016
11027	ATHLETIC REGIONAL MEDICAL CENT...	111076	HOS...	02-RECERTIFICATION		01-OPEN		04/18/2016
11028	EAGLE HEALTH AND REHABILITATION (...)	111078	SNF/...	02-RECERTIFICATION		01-OPEN		04/07/2016
11029	GEOGRAPHIC REGIONAL HOSPITAL AT L...	111079	HOS...	02-RECERTIFICATION	⚠	01-OPEN		04/12/2016
11030	LAKE SUPERIOR REGIONAL HOSPITAL HEAL...	111080	HOS...	01-INITIAL CERTIFICATION	✓	01-OPEN		04/19/2016
11031	LAKE SUPERIOR REGIONAL HOSPITAL HEAL...	111080	HOS...	02-RECERTIFICATION		01-OPEN		04/20/2016
11032	MJ - FACILITY (PRESTIGE)	85170	SNF/...	01-INITIAL CERTIFICATION		01-OPEN		03/13/2016
11033	MJ - FACILITY (PRESTIGE)	85170	SNF/...	01-INITIAL CERTIFICATION	✓	01-OPEN		03/14/2016
11034	MJ - FACILITY (PRESTIGE)	85170	SNF/...	01-INITIAL CERTIFICATION		01-OPEN		03/14/2016
11035	MJ - FACILITY (PRESTIGE)	85170	SNF/...	01-INITIAL CERTIFICATION		01-OPEN		03/14/2016
11036	MJ - FACILITY (PRESTIGE)	85170	SNF/...	01-INITIAL CERTIFICATION		01-OPEN		03/15/2016
11037	MJ - FACILITY (PRESTIGE)	85170	S/NF ...	01-INITIAL CERTIFICATION	✓	01-OPEN		03/21/2016
11038	MJ - FACILITY (PRESTIGE)	85170	S/NF ...	01-INITIAL CERTIFICATION		01-OPEN		03/21/2016



## View Failed and Overdue Certification Kit Uploads

The Failed and Overdue Certification Kit Uploads window lists all certification kits in need of an upload or completion. By default, kits are listed based on the number of days elapsed since the Exit date of the first visit, if available; otherwise, the date the kit was created is used. You can open the Certification window for a selected certification kit and make needed changes.

Failed and Overdue Certification Kit Uploads

Filter Options

Show Items at least 45 days old  Use My Selections filter

Show Items between // and //

Color Key

Failed/Stalled Overdue Incomplete

Track ID	Provider Number	Created Date	Exit Date	Age (in Days)	Facility Name	Last Upload Date	Upload Status
B	39	05/11/2017	07/05/2007	4081	COAST GUARD MARINE CORPS, HEALTH TRAINING SE		Overdue
Z	393307	08/14/2014	06/06/2014	1553	SUNSHINE HOSPITAL, FREDERICKS EN		Stalled
H	393055	07/28/2014	07/11/2014	1518	SUNSHINE HOSPITAL, FREDERICKS HOSPITAL		Stalled
O	39	08/04/2014		1494	HOSPITAL, HUNTERDON OFFICE		Overdue
Z	39	08/08/2014		1490	LIFE CARE HOSPITAL		Stalled
K	39	07/11/2014	08/08/2014	1490	DORCHESTER COUNTY HOSPITAL, NORTH RTH	03/12/2018	Failed
P	39	08/28/2014		1470	COLUMBIA HOSPITAL OF MEDICINE		Overdue
O	39	08/28/2014		1470	SUNSHINE HOSPITAL, HOSPITAL		Overdue
4	39	09/25/2014	09/16/2014	1451	KENNESAW HOSPITAL, KENNESAW GA	02/08/2017	Stalled
Q	39	11/03/2014	10/22/2014	1415	HOSPITAL, HUNTERDON OFFICE	11/27/2016	Failed
5	39	12/12/2014		1364	BAYVIEW HOSPITAL, BAYVIEW MI		Overdue
P	39	12/15/2014		1361	BAYVIEW HOSPITAL, BAYVIEW MI		Overdue
2	39	03/02/2015	12/19/2014	1357	GRANDVIEW HOSPITAL, GRANDVIEW OH	05/23/2017	Failed
0	39	11/05/2014	12/30/2014	1346	PROVIDENCE HOSPITAL, PORTLAND OR	01/17/2016	Failed
0	39	01/08/2015		1337	SUNSHINE HOSPITAL, FREDERICKS EN		Overdue
B	39	01/16/2015		1329	COLUMBIA HOSPITAL OF MEDICINE		Overdue

Upload Transaction Errors

Certification Kit... Print... Close

### View Failed and Overdue Special Survey Uploads

The Failed and Overdue Special Survey (SRVY) Uploads window lists all special surveys in need of an upload or completion. By default, kits are listed based on the number of days elapsed since the Exit date of the first visit, if available; otherwise, the date the kit was created is used. You can open the Survey Properties window for a selected survey and make needed changes.

Failed and Overdue Special Survey (SRVY) Uploads

Filter Options  
 Show Items at least 14 days old  Use My Selections filter   
 Show Items between // and //

Color Key  
Failed/Stalled Overdue Incomplete

Event ID	Provider Number	Exit Date	Age (in Days)	Facility Name	Last Upload Date	Upload Status
F6	39	07/15/2015	1149	THE	09/04/2015	Failed
XQ	39	08/12/2015	1121		06/13/2017	Failed
QK	39	08/26/2015	1107	LLC	11/24/2015	Failed
SB	39	11/18/2015	1023	OF PA	05/05/2017	Failed
6Y	39	01/13/2016	967	E	10/19/2016	Failed
EU	39	02/03/2016	946	ND NURSING CENTER	10/19/2016	Failed
KV	39	02/10/2016	939		10/19/2016	Failed
18	39	02/12/2016	937		03/28/2016	Failed
2N	39	02/24/2016	925		11/02/2016	Failed
PF	39	02/26/2016	923		10/19/2016	Failed
8T	39	03/09/2016	911	CEN	10/19/2016	Failed
JF	39	03/24/2016	896		05/19/2016	Failed
OH	39	03/30/2016	890		12/06/2016	Failed
OR	39	04/20/2016	869		10/26/2016	Failed
Z	39	04/20/2016	869		10/20/2016	Failed
4B	39	05/25/2016	834		05/05/2017	Failed

Upload Transaction Errors

Survey Properties...

## Failed and Overdue Investigation Uploads

The Failed and Overdue Investigation (CSP-SRV) Uploads window lists Federal investigations in need of an upload or completion. It includes failed and overdue investigation survey (CSP-SRV) uploads as well as incomplete investigations. By default, the list is filtered according to your active My Selections set.

You can open the Investigation Properties dialog for a selected investigation and make needed changes. For a selected failed upload, the transaction errors that caused the failure are displayed.

Failed and Overdue Investigation (CSP-SRV) Uploads

Filter Options:  Show Items at least 70 days old  Use My Selections filter  Color Key: Failed/Failed Overdue Incomplete

Investigation ID	Provider Number	Exit Date	Age (in Days)	Facility Name	SA Completed Date	Last Upload Date	Upload Status	Responsibility
HP00011	3P00008	07/01/2014	1532	ELMWOOD CAMPUS		09/20/2014	Failed	SA
2P00011	3P00002	07/01/2014	1532	WALKER CENTER		09/20/2014	Failed	SA
SP00011	3P00001	07/01/2014	1532	SOUTHERNCARE MEMPHIS		09/20/2014	Failed	SA
OP00011	3P00001	07/01/2014	1532	WTE SOUTHERNCARE MEMPHIS/TOWN		09/20/2014	Failed	SA
2P00011	3P00007	07/01/2014	1532	GOVERNMENTAL HEALTH INC		09/20/2014	Failed	SA
SP00011	3P00003	07/02/2014	1531	CARLETON HOSPITAL		09/20/2014	Failed	SA
SP00011	3P00003	07/02/2014	1531	UNION MERCY		09/25/2014	Failed	SA
OP00011	3P00009	07/03/2014	1530	MARTIN LUTHER KING JR. SERVICES-LA		09/20/2014	Failed	SA
MP00011	3P00005	07/03/2014	1530	PSYCHIATRIC SERVICES REHABIL		09/20/2014	Failed	SA
HP00011	3P00004	07/07/2014	1526	DEVONWOOD		07/11/2015	Failed	SA
SP00011	3P00004	07/07/2014	1526	EASTMAN ORTHOCARE		09/30/2015	Failed	SA
2P00011	3P00002	07/09/2014	1524	COGNITIVE CARE MEMPHIS/SG SRVC		04/07/2015	Failed	SA
MP00011	3P00000	07/10/2014	1523	GEORGETOWN MEMPHIS/SG HOSPIT		10/15/2014	Failed	SA
OP00011	3P00004	07/11/2014	1522	HEALTHCARE MEMPHIS/CARE SE		10/11/2014	Failed	SA
MP00011	3P00002	07/14/2014	1519	INTENSIVE HEALTHCARE MEMPHIS/SG		03/12/2015	Failed	SA
HP00011	3P00007	07/14/2014	1519	WALKER CENTER REHABIL		09/20/2014	Failed	SA

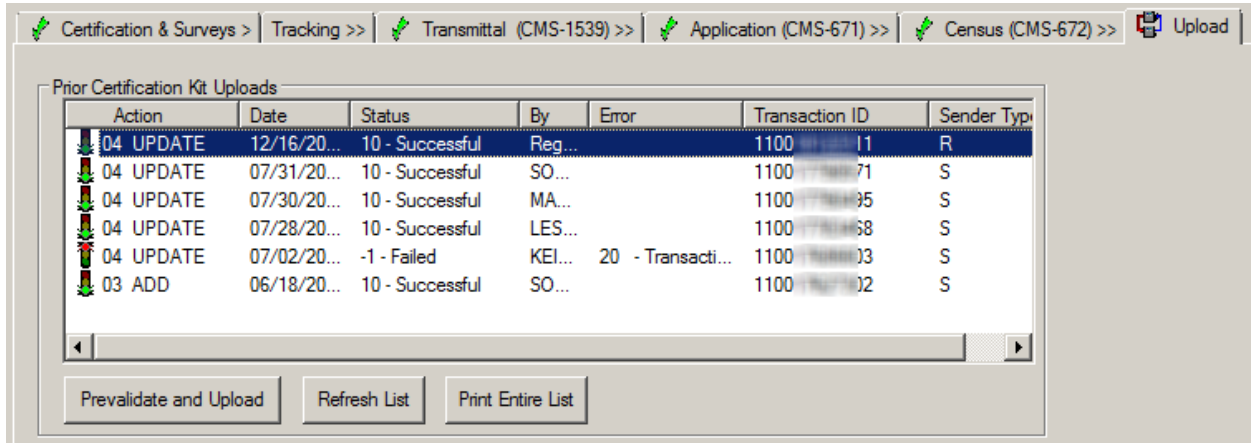
Upload Transaction Errors

Investigation Properties... Print... Close

### Upload Tabs

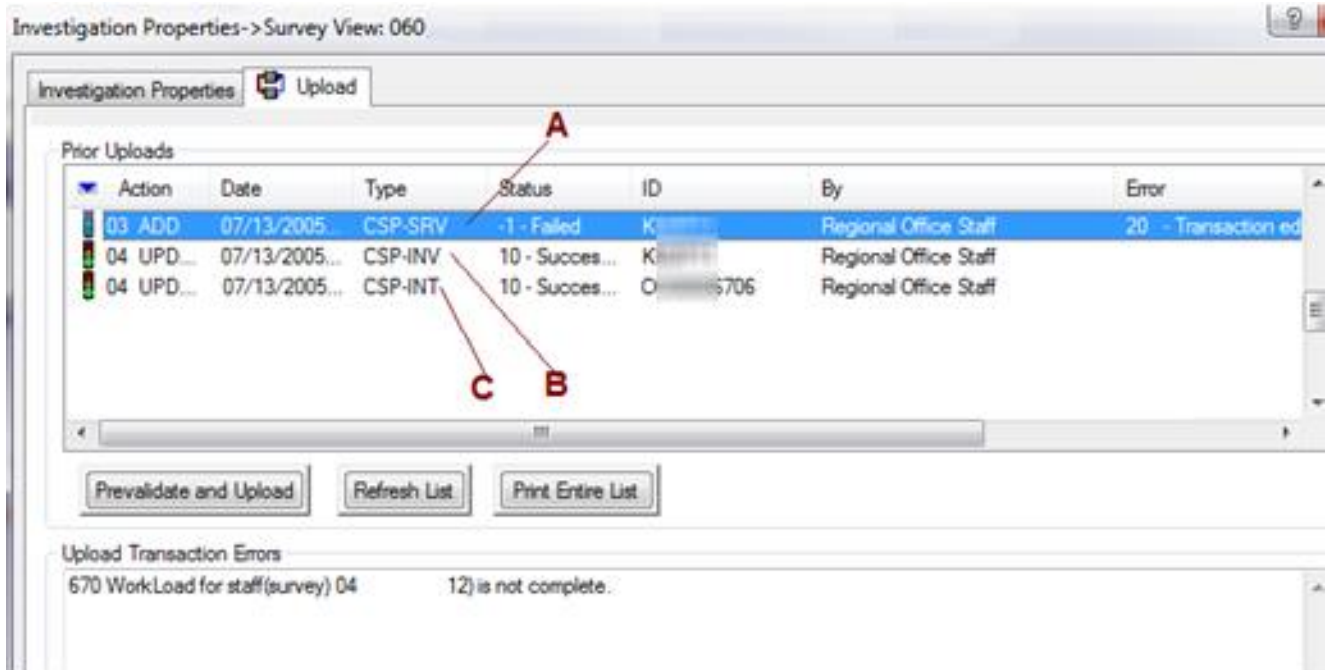
#### ACO Upload tab

All upload transactions associated with a certification kit display in the Prior Certification Kit Uploads section on the Upload tab of the certification kit. The status column shows whether the transaction was successful or failed.



#### ACTS Upload tab (Investigation Properties/Survey View)

All upload transactions associated with an investigation display in the Prior Uploads section on the Upload tab of the Investigation Properties window. The upload status for all three of the ACTS upload transaction types can be immediately determined.



- A – Failed Investigation Survey (CSP-SRV) upload
- Investigation did not qualify for upload. Detailed survey information (e.g., deficiency, team, workload) was not uploaded, thus is not available on national for CASPER or QW reports. Highlight the failed transaction in the list to determine the issues preventing a successful upload. Multiple items may require completion in ACTS such as intake finalization, 670 entry, proposed action definition, etc.
- B – Successful complaint investigation detail (CSP-INV) upload
- Core data for scheduled investigation present so upload criteria met and data available on national for CASPER or QW reports.
- C – Successful complaint intake detail upload (CSP-INT)

Core intake data present so upload criteria met and data available on national for CASPER or QW reports.

**Upload Intake tab (Intake form)**

Intake detail upload transactions (CSP-INT) for the current intake are listed in the Prior Intake Uploads section on the Upload Intake tab of the intake.

Action	Date	Status	ID	By	Error	Transac
04 UPD...	02/10/2016...	10 - Succes...	LA0 7	ALANNAH, MCTIGHE (30120)		1900069
03 ADD	12/18/2015...	10 - Succes...	LA0 7	CHERYL, ADAMS (30113)		1900069

## *Email Notifications*

### **Tardiness emails**

Leverage the automatically generated tardiness emails to monitor for upload status. Ensure responsible parties are assigned, personnel records have accurate email addresses, and recipients are specified for these emails.

- Late Investigation Upload Review email  
Lists all investigation surveys that have never had a CSP-SRV upload and are past due, i.e., have not been successfully uploaded within a specified number of days from the exit date.
- Late Intake Finalization email  
Lists late intakes, i.e., Federal intakes that have not been finalized after a specified number of days (100) have elapsed since the Received End Date. Currently, this email generates only for Nursing Home intakes.

### **Late Certification Kit Upload Review**

This email lists certification kits that have never been uploaded and are past due for uploading.

#### *Recipients*

Management units, team/work units in the given state configured as recipients (File | Email Recipients).

#### *Frequency*

Every night.

#### *Email Text*

Subject: Late Certkit Upload Review - <State> - <MGMTUNIT> - <Team/Work Unit> <Facility Category>

The following certification kits have not yet been uploaded within x days of their certification exit date.

Please do not reply to this message. Thank you. <Cert Track ID><Cert Exit Date><Days Since Exit><CCN><FacName> ...

### **Late Certification Kit Uploads**

This email lists late certification kits. i.e., kits that:

- Have been uploaded but not accepted after a given number of days.
- Were previously accepted but can no longer be uploaded due to failed validation checks.

#### *Recipients*

SA/RO staff members who are a responsible party for at least one late certification kit.

#### *Frequency*

Every Sunday night.

#### *Email Text*

Subject: Late Certkit Uploads for <State> - <Staff ID> - <Staff Name>

The following certification kits have not yet been completed within x days of their certification exit date.

The following certification kits were previously uploaded but can no longer be uploaded.

Please do not reply to this message. Thank you. <Cert Track ID><Cert Exit Date><Days Since Exit><CCN><FacName> ... <Cert Track ID><Cert Exit Date><Days Since Exit><CCN><FacName> ... Past Due Cert Report

This email is sent out every night. It contains a list of all certification kits that are past due.

### **Late Investigation Upload Review**

This email lists all investigations that have never been uploaded and are late. An investigation is considered late if it has not been successfully uploaded within a specified number of days from its exit date.

#### *Recipients*

Management units, team/work units in the given state configured as recipients (ACO | File | Email Recipients).

#### *Frequency*

Every night.

#### *Email Text*

Subject: Late Investigation Upload Review - <State> - <MGMTUNIT> - <Team/Work Unit> <Facility Category>

The following investigations have not yet been uploaded within x days of their exit date.

<Invest ID><Invest Exit Date><Days Since Exit><CCN><FacName>...

Please do not reply to this message. Thank you.

### **Late Intake Finalization (NH only)**

This email lists late intakes, i.e., Federal intakes that have not been finalized after a specified number of days have elapsed since the Received End Date. Federal intakes are defined as intakes with Intake Type = 01 Complaint and Intake Subtype = A, or Intake Type = 02 Entity Reported Incident and Intake Subtype = 1 or 2.

#### *Recipients*

SA/RO staff members who are a responsible party for at least one late Federal intake.

#### *Frequency*

Every Sunday night.

#### *Email Text*

Subject: Late Intake Finalization for <State> - <Staff ID> - <Staff Name>

The following federal intakes have not yet been completed within x days of their initial received date.

<Intake ID><Intake Rcv Date><Days Since Rcv><CCN><FacName>...

These intakes must be finalized within a timely manner. Please complete all of the remaining steps required for intake finalization.

Please do not reply to this message.

Thank you.

#### *Action Items*

The following action items alert ACO/ACTS users when an upload was attempted but failed. They are automatically closed the next time an upload is attempted. If another upload failure occurs, a new action item is created.

- *Unable to Upload Investigation* - When an investigation's COMP upload fails to complete, this action item is sent to all responsible parties for all linked intakes. It appears in ACTS/ACO, and double-clicking on the action item takes the user directly to the investigation.
- *Unable to Upload Certkit* - When a certification kit's ODIE upload fails to complete, this action item is sent to all of the kit's responsible parties. It only appears in ACO, and double-clicking the action item takes the user directly to the certification kit.

Both of these action items generate an associated email to all recipients, regardless of the recipient's action email receipt settings on their personnel record. The Action Item Email Configuration dialog (System/System Configuration/Email Configuration) does not list either of the new action items since they are always enabled to send emails.

#### *Reports*

- Transactions Report aka Transactions Tracking Report

To generate, click the Print button in the Transactions viewer.

To list only failed uploads in the report, choose All Failed Transactions with No Following Success.



- **Reports menu<Federal Only<Investigations Lacking Survey Upload**  
Lists investigations with no record of a survey upload (CSP-SRV) being attempted.
- Reports menu<Federal Only<Federal Intakes  
To use this report for monitoring finalized intake, possible filters include:  
Date Range: set to Last 180 Days  
Status: any except Closed

### **How can I troubleshoot intake upload problems?**

CSP-INT and CSP-INV upload types rarely require troubleshooting. However, troubleshooting is commonly necessary for CSP-SRV uploads. Focus on the most common problems that prevent CSP-SRV uploads, which include:

- Are all linked intakes finalized?
- Are allegation findings specified?
- Is 670 data complete and accurate?

Diagnose auto-upload problems by triggering a manual upload from the Upload tab on Investigation Properties->Survey View. Problems preventing upload can quickly be assessed with this view.

### **What are Best Upload Practices for States?**

- Enter all required data in a timely fashion to ensure successful uploads.
- Assign all appropriate responsible parties.
- Ensure personnel records have up-to-date email addresses (ACO<Enter/Update Surveyor Information<Employee Identification tab).
- Check the Transactions viewer frequently.
- Regularly run upload monitoring reports, i.e., Transactions Tracking and Investigations Lacking Survey Upload.
- Review tardiness emails and take appropriate action.
- If in doubt about whether an upload of any type will be successful, test it by triggering a manual upload.

### **Where can I get more information about ASPEN uploads?**

- ASPEN Upload Transactions job aid - Provides a summary of information about ASPEN uploads.
- ASPEN procedures guides

The ACO, ACTS, AEM, and CLIA procedures guides provide detailed information about ASPEN uploads. They are available on QTSO's Reference & Manuals page.