ASPIRE Training Library

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Accreditation

ASPEN Web - CLIA 116 E Learning

Module 5: Accreditation
Objective: Demonstrate using the ASPEN CLIA 116 web application to add a lab applying to Accreditation.

Module 6.1: Accreditation
Objective: Perform a basic status change from a Certificate of Accreditation to a Certificate of PPM.

Module 6.2: Accreditation
Objective: Perform a basic status change from a Certificate of Waiver to a Certificate of Compliance.

Module 6.3: Accreditation
Objective: Perform a status change from a Certificate of Waiver to a Certificate of Accreditation within 6 months of the Certificate Effective Date.

Module 6.4: Accreditation
Objective: Demonstrate how to perform a status change when the lab has a survey scheduled.

Module 6.5: Accreditation
Objective: Perform a status change for an initial certification when the lab decides to change its certificate while the surveyor is on site.

Module 7: Accreditation
Objective: Demonstrate examples of terminations and reactivations in the CLIA 116 web application.
Accrediting Organization (AO)

**User Guide for ASPEN 9.5 - CLIA AO Upload**

**Objective:** A Certification of Accreditation is issued to a laboratory once the accrediting organization (AO) verifies to CMS the accreditation status of the laboratory. Accreditation by an AO is voluntary and is not required for Medicare certification. The AO must find a provider where all the applicable conditions are met or exceeded, before the AO may verify that those requirements to be met by the provider or supplier. To accomplish this, the laboratory must request the AO’s services. The AO must accept and confirm their participation for the laboratory. The AO performs a survey and submits the survey data into the CLIA system. The AOs use the CMS software, ASPEN Web [CLIA CMS-116] Application, to record their participation and results. The AO Upload Process is a portion of that application. This document provides the step-by-step instructions how to utilize the AO Upload Process as an Accrediting Organization ONLY. AOs are assigned access with the AO Role security.

**Management of Deemed Providers/Suppliers in ASPEN 10.1.3**

**Objective:** Changes in ASPEN 10.3 to implement detailed tracking of Accrediting Organizations that deem some categories of health providers.

**ASSURE Recorded Training Sessions**

**Module 5: AO Administration- Contact Management and Audit Tracking**

**Objective:** This module will provide an introduction to managing surveys within the Web ASSURE application. This module will guide you through the steps to perform the following functions: Contact Management, Adding a new contact, Updating an existing contact, Deleting an existing contact, Audit Tracking, Locate records in Audit Tracking, and Filtering Audit Transactions.

**Module 6 AO Upload Handout: Module 6**

**Objective:** This module will provide an introduction to performing an upload of data to the Web ASSURE system from a CSV File.
ASPEN Central Office (ACO)

ACO / ARO 10.2 Release Quick Install Guide
**Objective:** To update ASPEN Central Office/ASPEN Regional Office (ACO/ARO) to ASPEN 10.2, you can perform a Thin or Client/Shared/Full Install as appropriate. You will most likely prefer, and be able to do a Thin Install. Instructions for all installation options follow.

ACO 10.2 Procedures Guide
**Objective:** The ACO Procedures Guide gives you the information you will need to create and maintain provider records and process certifications using ASPEN software. Functions specific to ASPEN Regional Office (ARO) and differences between ACO and ARO are identified.

Importing and Exporting Surveys and Complaints Using Aspen Survey Explorer
**Objective:** ASPEN Survey Explorer Instructions

CLIA in ACO E Learning

**Instructions**

**Module 1: ACO Quick Tour**
**Objective:** CLIA Integration into ACO and the ACO Desktop.

**Module 2: Selection Sets**
**Objective:** What is a selection set? Creating a New Selection Set, Activating a Selection Set, and Modifying a Personal selection set.

**Module 3: ACO Action Items**
**Objective:** About Action Items, Closing Multiple Action Items, Creating an Action Item Filter, and Creating a Public Action Item Filter.

**Module 4: CLIA Lab Records in ACO**
**Objective:** CLIA Lab Types in ASPEN, CLIA Lab Records in the ASPEN Tree, Facility Properties, and Navigating in the Tree.

**Module 5: Using Find in ACO**
**Objective:** Using Find to Locate a Record in ACO and Working with Find Functions.
Module 6: Labs with no CLIA Number
Objective: Add a Record for a lab with No CLIA Number and add a Provider (CLIA) Number to NOCN Lab.

Module 7: ASPEN Certification Kits

Module 8a: Create Initial Kit and Schedule Survey
Objective: Create an Initial Kit and Schedule a Survey, Enter Survey Data, Receive POC and Schedule Revisit, Enter Corrected Dates, and Upload the Certification Kit.

Module 8b: Enter Survey Data

Module 8c: Receive POC and Schedule Revisit

Module 8d: Enter Corrected Dates and Upload

Module 9a: Create Recertification - Part 1
Objective: Update Allowed Facility Types, Create a Recertification Kit for a Lab, Add Responsible Parties, and Schedule a Survey. Create an Offsite Revisit, SA Completes the Kit and Uploads.

Module 9b: Create Recertification - Part 2
Objective: Create an off-site revisit.

Module 10: Validation Surveys
Objective: RO Selects Lab for a Validation Survey, SA Schedules Validation Survey, SA Enters Post-survey Information, and SA Completes the Kit and Uploads.
ASPEN Complaints/Incidents Tracking System (ACTS)

**ACTS 10.2 Release Quick Install Guide**

**Objective:** To update ASPEN Complaints/Incidents Tracking System/ASPEN Complaints/Incidents Tracking System Regional Office (ACTS/ACTS RO) to ASPEN 10.2, you can perform a Thin or Client/Shared/Full Install as appropriate. You will most likely prefer and be able to do a Thin Install. Instructions for all installation options follow.

**ACTS 10.1.7 Procedures Guide**

**Objective:** The ACTS Procedures Guide provides the information you will need to process complaints/incidents using the ACTS application.

**Importing and Exporting Surveys and Complaints Using Aspen Survey Explorer**

**Objective:** ASPEN Survey Explorer Instructions

**ACTS for Nursing Homes Online Learning**

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**Module 1: ACTS -The Quick Tour**

**Objective:** Points out functions available in ACTS and tips on how to navigate.

**Module 2: Selection Sets in ACTS**

**Objective:** What is a selection set? Creating a new selection set, activating a selection set, and modify a personal selection set.

**Module 3: Action Items**

**Objective:** About action items, creating an action item filter, and creating a personal action item filter.

**Module 4: The ACTS Intake**

**Objective:** The Intake tab, the Allegations tab, the Contact/Refer tab, the Activities tab, Investigation Properties/562 View, the Actions/Close tab, and the Upload Intake tab.

**Module 5: Generate an Intake from the ACTS Hotline**

**Objective:** The ACTS Hotline, generating an intake from the Hotline, adding an Allegation to an Intake.
ASPEN Complaints/Incidents Tracking System (ACTS) continued

Module 6: Assign Priority & Link Intake to an Investigation
Objective: How to assign Priority to an intake and How to link an intake to an investigation.

Module 7: Intake by Regional Office
Objective: Look at the CMS Regional Office version of ACTS, with a review of basic steps like locating a nursing home record, and creating a new intake.

Module 8: Link a Second Intake to an Investigation
Objective: Using Find, Adding a complainant to an intake, adding a resident to an intake, and processing an intake.

Module 9: Survey Tasks in ASPEN
Objective: Citing a tag, Printing Form CMS-2567, Completing the 670 Workload, POC Tracking, AND Scheduling a Revisit.

Module 10: Post-Investigation Tasks in ACTS – Part 1
Objective: Enter allegation findings, Attach a file to an investigation, Link deficiencies, and Enter Investigation Completed date.

Module 11: Post-Investigation Tasks in ACTS – Part 2
Objective: Enter Proposed Action, Add Contact Information, Send a Letter from ACTS, and Forward to CMS Regional Office.

Module 12: ACTS Uploads
Objective: CMS 562 Uploads, ACTS Detail Uploads, and Tracking Upload Transactions.

Module 13: Regional Office Signoff
Objective: CMS Regional Office Signoff and CMS 562 Upload by Regional Office.

Module 14: Finalizing a Complaint
Objective: About Finalization, Reason Closed and Finalizing Mountain Meadows.

Module 15: ACTS Reports
Objective: Quick, Reports, and Report Customization.
ASPEN Complaints/Incidents Tracking System (ACTS) continued

**ACTS Recorded Training Sessions**

**ACTS 10.0 Death Restraint Seclusion**  
*Objective:* Creating DRS instructions.

**DRS WebEx Supporting Materials**  
*Objective:* Creating DRS instructions.

**ASPEN Train the Trainer (TTT) Complaints**

*Description:* The ASPEN Complaint Tract (formerly ASPEN Advanced) examines the steps involved in the complaint process. This includes information on how to log a complaint or entity-reported intake, open an investigation, record allegations and findings, complete the investigation and transfer data, email surveys and intakes from ACTS, associate related intakes, and close a complaint investigation. Special intake types for deemed, EMTALA, and death-restraints/seclusion will be discussed. We’ll demonstrate how ASPEN uploads intakes, and tracks notifications, and we will review ACTS management tools and reports for monitoring the complaint process.

**ASPEN Enforcement Manager (AEM)**

**AEM 10.2 Procedures Guide**

*Objective:* The AEM Procedures Guide gives you the information you need to:

- Open and edit an enforcement case
- Add and remove surveys from a case
- Record details about specific situations cited at a J, K or L Scope/Severity level
- Enter federal and/or state remedies
- Add/modify/delete civil monetary penalties
- Maintain a history of all correspondence related to the enforcement case
- Enter all appeal-related information, including request dates, docket numbers, and decision information
- Upload enforcement case data to the national server
AEM Recorded Training Sessions

HHA Enforcement - ASPEN 10.1.6
Handout: HHA Enforcement - ASPEN 10.1.6
Objective: To demonstrate the entry of enforcement related information for HHAs in AEM. In accordance with CMS policy, when a condition is cited, an enforcement case should be created for the HHA.

CLIA Enforcement - ASPEN 10.1.6
Handout: CLIA Enforcement - ASPEN 10.1.6
Objective: To demonstrate the entry of enforcement related information for CLIA Labs in AEM. Policy questions should be directed to either your CMS Regional Office or CMS Central Office.

ASPEN Regional Office (ARO)

ACO / ARO 10.2 Release Quick Install Guide
Objective: To update ASPEN Central Office/ASPEN Regional Office (ACO/ARO) to ASPEN 10.2, you can perform a Thin or Client/Shared/Full Install as appropriate. You will most likely prefer, and be able to do a Thin Install. Instructions for all installation options follow.

ACO 10.2 Procedures Guide
Objective: The ACO Procedures Guide gives you the information you will need to create and maintain provider records and process certifications using ASPEN software. Functions specific to ASPEN Regional Office (ARO) and differences between ACO and ARO are identified.
ASSEN Scheduling and Tracking (AST)

**AST 10.2 Procedures Guide**

**Objective:** The AST Procedures Guide gives you the information you need to:
- Configure My Settings in AST
- Add, modify, and delete staff member activities
- Schedule certifications, license visits, and revisits
- Begin an initial certification process
- Add a CHOW event to an existing certification
- Use Preschedule to automatically select and provide target dates for a specified percentage of a single provider type

ASSEN Survey Explorer – Quality (ASE-Q)

**ASE-Q 10.2 Release Quick Install Guide**

**Objective:** ASPEN Survey Explorer - Quality (ASE-Q) is designed to work as a standalone application on field computers used by surveyors when they are not connected to your agency's central network.

**ASE-Q 10.2 Procedures Guide**

**Objective:** The ASE-Q Procedures Guide gives you the information you need to:
- Manage provider and surveyor records
- Create/modify surveys, citations, and intakes
- Build and use a Content Library
- Manage regulations

**QIS 402 IT Surveyor Guide**

**Objective:** The QIS IT and Surveyor Guide includes IT information for administrating and managing ASE-Q and the QIS Tool for QIS surveyors, and QIS software procedures, information, and tips for QIS surveyors. This guide does not include information regarding the QIS survey process. If you need QIS survey process information, contact your QIS State Trainer.
ASSURE

ASSURE Recorded Training Sessions

Module 1 Introduction and Access Forms
Handout: Module 1
Objective: This module will provide an introduction to the steps that need to be taken in order to complete the necessary forms to gain access to the web ASSURE application.

Module 2 Assessing and Navigation in Web Assure and CASPER Reports
Handout: Module 2
Objective: This module will provide the steps necessary to access and navigate the Web-ASSURE and CASPER reporting systems.

Module 3 Facility Management
Handout: Module 3
Objective: This module will provide an introduction to managing facilities within the Web ASSURE application. This module will guide you through the steps to perform the following functions:
• Performing a facility search
• Creating a new facility
• Creating a survey for a facility
• Updating a facility
• Printing a facility list

Module 4 Survey Management
Handout: Module 4
Objective: This module will provide an introduction to managing surveys within the Web ASSURE application. This module will guide you through the steps to perform the following functions:
• Creating a survey for an existing facility
• Updating a survey
**ASSURE continued**

**Module 5 AO Administration- Contact Management and Audit Tracking**  
**Handout: Module 5**  
**Objective:** This module will provide an introduction to managing surveys within the Web ASSURE application. This module will guide you through the steps to perform the following functions:  
• Contact Management  
• Adding a new contact  
• Updating an existing contact  
• Deleting an existing contact  
• Audit Tracking  
• Locate records in Audit Tracking  
• Filtering Audit Transactions

**Module 6 AO Upload**  
**Handout: Module 6**  
**Objective:** This module will provide an introduction to performing an upload of data to the Web ASSURE system from a CSV file.

**Module 7 ASSURE CASPER Reports**  
**Handout: Module 7**  
**Objective:** This module will provide an introduction to the CASPER Reports for ASSURE.

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**Automated Survey Processing Environment (ASPEN)**

**ASPEN 10.2 Release Notes**  
**Objective:** Changes and New Features to the following: Across ASPEN, ACO, ACTS, AEM, ASE-Q, CLIA, ePOC CMS, ePOC Facility, QIS, STAR, and ASPEN Database Additions and Modifications.

**ASPEN Full Install Guide**  
**Objective:** ASPEN 10.0 Installation Guide, Laptop for the First Time, Entering a Temporary Access Code, Requirements for wired and wireless ASE-Q to ASE-Q transfers, How to Shut Down/Restart the Sybase Database, Special Considerations for Imaged-Based Installation, and If you must use ASE-Q as a Workgroup Server.
Automated Survey Processing Environment (ASPEN) continued

Point of Contacts

ASPEN Point of Contact List
Objective: ASPEN Central Office Points of Contact

ASPEN Assistant 10.0
Objective: ASE 10.0 is introducing a new database architecture, enhanced security, and Quality Indicator Surveys (QIS) for nursing homes (current QIS states only).

ASPEN Technical Training ePOC Workbook
Objective: ePOC Overview, Current POC Process, New POC Process, and ASPEN Web: ePOC

ASPEN 10.1.6 Letter Macros
Objective: ASPEN Macro Descriptions: An alphabetical list of all macros in ASPEN, with descriptions and examples. Macro Groups: Lists of macros organized into relevant groups.

ASPEN Technical Training 2013
Objective: ASPEN Install Process (ACO/ARO/ACTS/ASE-Q)

User Guide for ASPEN 9.5 - CLIA AO Upload
Objective: A Certification of Accreditation is issued to a laboratory once the accrediting organization (AO) verifies to CMS the accreditation status of the laboratory. Accreditation by an AO is voluntary and is not required for Medicare certification. The AO must find a provider where all the applicable conditions are met or exceeded, before the AO may verify that those requirements to be met by the provider or supplier. To accomplish this, the laboratory must request the AO’s services. The AO must accept and confirm their participation for the laboratory. The AO performs a survey and submits the survey data into the CLIA system. The AOs use the CMS software, ASPEN Web [CLIA CMS-116] Application, to record their participation and results. The AO Upload Process is a portion of that application. This document provides the step-by-step instructions how to utilize the AO Upload Process as an Accrediting Organization ONLY. AOs are assigned access with the AO Role security.
Automated Survey Processing Environment (ASPEN) continued

ASPEN 10.1.3 Release Overview
Objective: Overview of features

ASPEN 10.0 Release Review and Preparation
Objective: Summarize information from Other Information Sources already provided on the ASPEN 10.0 release. Review the state agency ASPEN 10.0 release checklist.

ASPEN Regulation Manager Training
Objective: Creating a new regulation patch or regulation set.

ASPEN Regulation Manager WebEx Demonstration Outline
Objective: Creating a new regulation patch or regulation set

ASPEN Overview WebEx
Objective: The ASPEN Overview WebEx discusses basic layout, navigation, filtering, and common features of the ASPEN applications. This WebEx is a pre-requisite for the Certification and Complaint Tracks and is accompanied by a brief pre- and post-exam.

ASPEN Technical Training 2013
Objective:
• Section 1. ASPEN Install Process (ACO/ARO/ACTS/ASE-Q)
• Section 2. State Customization
• Section 3. ASPEN Configuration (ACO/ARO/ASE-Q/ACTS)
• Section 4. System Administration and Specialty Functions
• Section 5. ASPEN Letter Management
• Section 6. Reporting
• Section 7. Security, Access Control and Encryption
• Section 8. ASPEN Data Transfer

ASPEN Technical
Description: Classroom training
Automated Survey Processing Environment (ASPEN) continued

**ASPEN Technical Advanced Training**
**Description:** The ASPEN Technical Advanced course provides advanced exercises in processing certifications, complaints, and enforcement cases, including data replication to field surveyors. This year includes discussions of new features, data security, and speed and connectivity issues. Also covered will be how states and CMS ROs can best prepare for upcoming releases.

**ASPEN Technical Basic Training**
**Description:** The ASPEN Technical Basic course is designed to focus on routine tasks related to Survey & Certification: creating new facilities, scheduling surveys, generating letters and running reports. Basic system configuration, administration, data security, and new user account info for ASPEN 10.0 will also be covered. This course will provide an overview of the ASPEN suite to those new to ASPEN, with an emphasis on how information from all ASPEN applications is integrated.

**ASPEN Explorer**
**Description:** 1 day classroom training

**ASPEN LCMS 2.5: A Product Overview**
**Description:** The purpose of this course is to provide you with an example of content built within Aspen LCMS. The course was designed to walk you through the primary features and tools that you can use while developing your online content.

**Psychiatric Residential Treatment Facility Surveyor Training**
**Description:** This training course is dedicated to provide Federal and State surveyors the necessary skills, knowledge and abilities needed to function successfully as surveyors of Psychiatric Residential Treatment Facilities (PRTF). Throughout the course, students will not only learn about the Conditions of Participation for this provider type, but also become familiarized with the procedures and processes of surveying them. Students will be asked to participate in small group activities and scenarios in order to apply their knowledge to real life survey experiences. At the completion of this course, the surveyor will be able to successfully conduct and document a PRTF survey.
Certification and Survey Provider Enhanced Reporting (CASPER)

ASSURE Recorded Training Sessions

Module 2 Assessing and Navigation in Web Assure and CASPER Reports
Handout: Module 2
Objective: This module will provide the steps necessary to access and navigate the Web-ASSURE and CASPER reporting systems.

Module 7 ASSURE CASPER Reports
Handout: Module 7
Objective: This module will provide an introduction to the CASPER Reports for ASSURE.

Certifications

ASpen Web - CLIA 116 E Learning

Module 4: PPM Certificate, Multisite Sites and Auxiliary Functions
Objective:
• Enter necessary information for a PPM certificate application
• Complete multiple site details
• Explore the 116 application's auxiliary functions
• Enter necessary data for those functions

CLIA 10.1.9 Procedures Guide
Objective: The CLIA 116 and Certification Procedures Guide gives you the information you will need (depending on your user class) to:
• Enter CMS-116 application data in ASPEN Web CLIA’s 116 application.
• Create and maintain CLIA lab records, except for subtype 225-NO CLIA NUMBER, using the CLIA 116 web application.
• Create and update certification kits for CLIA labs in ASPEN Central Office (ACO).
• Create new labs of subtype 225 in ACO.
• Access and view CLIA accounting records on ASPEN Web CLIA.
Certifications continued

**ASPEN Train the Trainer (TTT) Certifications**

**Objective:** The ASPEN Certification Tract examines the steps involved in the certification process. This includes information on how to create a certification kit, create and conduct a survey (with and without deficiencies), transfer data between ACO and ASE-Q, complete certification forms, and monitor, track, and upload a certification kit. Important differences in the process due to provider type and deeming status will be discussed. We’ll show you how ASPEN can track IDR/IIDRs, add affiliations, transfer regulation sets, create, send, and track notifications, and create an enforcement case. We will also show you how to print ACO reports that help to manage and track the certification process.

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**Civil Monitory Penalty Tracking System (CMPTS)**

**CMPTS for LTC - ASPEN 9.2**

**Objective:** CMPTS changes.

**CMPTS for CLIA - ASPEN 9.2**

**Objective:** Review of new release.

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**Clinical Laboratory Improvement Amendments (CLIA)**

**ASPEN Web - CLIA 116 E Learning**

**Instructions**

**Module 1: Login & Search**

**Module 2: Certificate of Waiver**

**Objective:** Demonstrate using the ASPEN CLIA 116 web application to add a lab applying for a Certificate of Waiver.

**Module 3: Certificate of Compliance**

**Objective:**
- Complete the required fields for a compliance lab in the CLIA 116 web application.
- Search for lab director affiliations.
- Add an attachment to a 116 record.
Module 4: PPM Certificate, Multisite Sites and Auxiliary Functions
Objective:
• Enter necessary information for a PPM certificate application.
• Complete multiple site details.
• Explore the 116 application's auxiliary functions.
• Enter necessary data for those functions.

Module 5: Accreditation
Objective: Demonstrate using the ASPEN CLIA 116 web application to add a lab applying to Accreditation.

Module 6.1: Accreditation
Objective: Perform a basic status change from a Certificate of Accreditation to a Certificate of PPM.

Module 6.2: Accreditation
Objective: Perform a basic status change from a Certificate of Waiver to a Certificate of Compliance.

Module 6.3: Accreditation
Objective: Perform a status change from a Certificate of Waiver to a Certificate of Accreditation within 6 months of the Certificate Effective Date.

Module 6.4: Accreditation
Objective: Demonstrate how to perform a status change when the lab has a survey scheduled.

Module 6.5: Accreditation
Objective: Perform a status change for an initial certification when the lab decides to change its certificate while the surveyor is on site.

Module 7: Accreditation
Objective: Demonstrate examples of terminations and reactivations in the CLIA 116 web application.
Clinical Laboratory Improvement Amendments (CLIA) continued

CLIA in ACO E Learning

Instructions

Module 1: ACO Quick Tour
Objective: CLIA Integration into ACO and the ACO Desktop

Module 2: Selection Sets
Objective: What is a selection set? Creating a New Selection Set, Activating a Selection Set, and Modifying a Personal selection set.

Module 3: ACO Action Items
Objective: About Action Items, Closing Multiple Action Items, Creating an Action Item Filter, and Creating a Public Action Item Filter.

Module 4: CLIA Lab Records in ACO
Objective: CLIA Lab Types in ASPEN, CLIA Lab Records in the ASPEN Tree, Facility Properties, and Navigating in the Tree

Module 5: Using Find in ACO
Objective: Using Find to Locate a Record in ACO and Working with Find Functions.

Module 6: Labs with no CLIA Number
Objective: Add a Record for a lab with No CLIA Number and add a Provider (CLIA) Number to NOCN Lab.

Module 7: ASPEN Certification Kits

Module 8a: Create Initial Kit and Schedule Survey
Objective: Create an Initial Kit and Schedule a Survey. Enter Survey Data. Receive POC and Schedule Revisit. Enter Corrected Dates and Upload the Certification Kit.

Module 8b: Enter Survey Data

Module 8c: Receive POC and Schedule Revisit

Module 8d: Enter Corrected Dates and Upload
Module 9a: Create Recertification - Part 1
Objective: Update Allowed Facility Types, Create a Recertification Kit for a Lab, Add Responsible Parties, Schedule a Survey, Create an Offsite Revisit, SA Completes the Kit, and Uploads.

Module 9b: Create Recertification - Part 2
Objective: Create an off-site revisit.

Module 10: Validation Surveys
Objective: RO Selects Lab for a Validation Survey, SA Schedules Validation Survey, SA Enters Post-survey Information, and SA Completes the Kit and Uploads.

CLIA 10.1.9 Accounting Procedures Guide
Objective:
• 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.

CLIA 10.1.9 Procedures Guide
Objective:
• Enter CMS-116 application data in ASPEN Web CLIA’s 116 application.
• Create and maintain CLIA lab records, except for subtype 225-NO CLIA NUMBER, using the CLIA 116 web application.
• Create and update certification kits for CLIA labs in ASPEN Central Office (ACO).
• Create new labs of subtype 225 in ACO.
• Access and view CLIA accounting records on ASPEN Web CLIA.
Clinical Laboratory Improvement Amendments (CLIA) \textit{continued}

\textbf{User Guide for ASPEN 9.5 - CLIA AO Upload}

\textbf{Objective:} A Certification of Accreditation is issued to a laboratory once the accrediting organization (AO) verifies to CMS the accreditation status of the laboratory. Accreditation by an AO is voluntary and is not required for Medicare certification. The AO must find a provider where all the applicable conditions are met or exceeded, before the AO may verify that those requirements to be met by the provider or supplier. To accomplish this, the laboratory must request the AO’s services. The AO must accept and confirm their participation for the laboratory. The AO performs a survey and submits the survey data into the CLIA system. The AOs use the CMS software, ASPEN Web [CLIA CMS-116] Application, to record their participation and results. The AO Upload Process is a portion of that application. This document provides the step-by-step instructions how to utilize the AO Upload Process as an Accrediting Organization ONLY. AOs are assigned access with the AO Role security.

\textbf{CLIA 10.1.9 Accounting Procedures Guide}

\textbf{Objective:} 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.

While it is designed to be used easily online, you can print this document if you prefer.
Clinical Laboratory Improvement Amendments (CLIA) continued

**CLIA 10.1.9 Procedures Guide**

**Objective:** The CLIA 116 and Certification Procedures Guide gives you the information you will need (depending on your user class) to:

- Enter CMS-116 application data in ASPEN Web CLIA’s 116 application.
- Create and maintain CLIA lab records, except for subtype 225-NO CLIA NUMBER, using the CLIA 116 web application.
- Create and update certification kits for CLIA labs in ASPEN Central Office (ACO).
- Create new labs of subtype 225 in ACO.

Access and view CLIA accounting records on ASPEN Web CLIA.

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**CLIA Proficiency Testing User's Guide**

**Objective:** This CLIA Proficiency Testing User’s Guide is intended for use primarily by PT Program personnel. It consists of this introduction and the following three chapters:

- CLIA Proficiency Testing Specifications: Describes PT Program file processing and presents file specifications.
- PT Upload: Provides procedures for using the PT Upload component of the ASPEN Web CLIA Maintenance system to upload PT testing results and review the uploaded files as well as the Error and Statistics files created when the PT files are processed. Shows and describes PT Upload screens and dialog boxes.
- Terminology

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**CLIA Enforcement - ASPEN 10.1.6**

**Handout: CLIA Enforcement - ASPEN 10.1.6**

**Objective:** To demonstrate the entry of enforcement related information for CLIA Labs in AEM. Policy questions should be directed to either your CMS Regional Office or CMS Central Office.

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**CMPTS for CLIA - ASPEN 9.2**

**Objective:** Review of new release
Clinical Laboratory Improvement Amendments (CLIA) continued

**Final CLIA Quality System Rule**

**Objective:** To understand the Final CLIA Quality System Rule Regulatory Requirements, to utilize the Final CLIA Regulation to assess compliance in Laboratories, and to be able to provide technical assistance and guidance about laboratory practice to the Laboratory Community.

**Description:** The purpose of the Final CLIA Quality System Rule Surveyor Training course is to provide the laboratory surveyor the premises that form the foundation of the Final CLIA Regulation on how to assess compliance and cite deficiencies.

**CLIA Phase III (ASPEN v9.5) Training**

**Description:** The course will include an in-depth review of the ASPEN Web Application (AWEB) for CLIA, the software application that will hold CMS-116 application data following the conversion of the 116 function from CLIA to ASPEN. During the course, participants will receive an overview of the various tabs in the AWEB application, including the 116 search screen, 116 data entry screen, the multi-sites tab, the accreditation tab and others. Participants will learn how to add, update and view CMS-116 data, process certificate changes and terminate or reactivate a laboratory in the AWEB application. Additional topics include how to print the 116 form, enter notes, add attachments, view the audit history and view the certificate and billing history.

**CLIA QIES/ASPEN Train the Trainer**

**Description:** Participants will be given an overview of the features included with v9.0 and have access to the v9.0 software. Lesson plans will include a number of prepared scenarios, so participants will have hands-on experience in the new survey process for CLIA labs, from data entry to successful upload. Members of the development team will be available for Q&A. The course will use a Train-the-Trainer approach to introduce participants to the new CLIA functionality that will be available with ASPEN v9.0.

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**DRS**

**DRS WebEx Supporting Materials**

**Objective:** Creating DRS instructions.
Electronic Plan of Correction (ePOC)

**ePOC 10.2 Release Notes**

**Objective:** Changes and new features to the ePOC web application.

**ASPEN Technical Training ePOC Workbook**

**Objective:** ePOC Overview, Current POC Process, New POC Process, and ASPEN Web: ePOC.

**ASPEN ePOC 10.1.7 Procedures Guide for SA, RO, CO**

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

- ASPEN ePOC Procedures: Provides task-based procedures to the SA/RO for completing all steps in the ePOC process.
- ASPEN ePOC Screens: Contains pictures and brief descriptions of ePOC-related screens and windows in ASPEN.
- ASPEN ePOC Fields and Buttons: Presents descriptions of the fields and buttons in the ePOC-related screens and windows in ASPEN.
- Supporting Materials: Contains supplemental information and reference items

**ePOC Recorded Training Sessions**

- **ePOC Provider Webinar**
  - Handout: ePOC Webinar for Providers
  - **Objective:** Demonstrate the electronic plan of correction process.

- **ePOC State/RO Webinar**
  - Handout: ePOC Webinar for SA/RO
  - **Objective:** ASPEN Web: ePOC Process Flow
Home Health Agency (HHA)

**HHA Enforcement - ASPEN 10.1.6**

**Handout: HHA Enforcement - ASPEN 10.1.6**

**Objective:** To demonstrate the entry of enforcement related information for HHAs in AEM. In accordance with CMS policy, when a condition is cited, an enforcement case should be created for the HHA. Other policy questions should be directed to either your CMS Regional Office or CMS Central Office.

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**Alternative Solutions for Home Health Agencies**

**Objective:** The topics of this two hour webinar include:

- Publication of the final rule on available sanctions for HHAs
- Publication of HHA Enforcement guidance
- Available HHA alternative sanctions
- Implementation dates
- Development of Automated Survey Processing Environment (ASPEN) Enforcement Manager (AEM) for HHAs in ASPEN

**Description:**

- HHA Survey Enforcements
- Regulations/Alternative Sanctions
- The intention is to provide important guidance related to the implementation of HHA alternative sanctions to surveyors and solicit their input to determine issues for future discussion.

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**HHA Alternative Sanctions**

**Description:** Development of Automated Survey Processing Environment (ASPEN) Enforcement Manager (AEM) for HHAs in ASPEN.

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**Long Term Care (LTC)**

**CMPTS for LTC - ASPEN 9.2**

**Objective:** CMPTS changes

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**QIS IT**

**Objective:** Overview of features in ASPEN
Outcome and Assessment Information Set (OASIS)

OASIS Training
Objective: Changed Items & Data Collection Resources

Quality Indicator Survey process (QIS)

QIS IT
Objective: Overview of features in ASPEN

QIS 402 IT Surveyor Guide
Objective: The QIS IT and Surveyor Guide includes IT information for administrating and managing ASE-Q and the QIS Tool for QIS surveyors, and QIS software procedures, information, and tips for QIS surveyors. This guide does not include information regarding the QIS survey process. If you need QIS survey process information, contact your QIS State Trainer.

Quality Improvement and Evaluation (QIES)

QIES Advanced
Description: This session provides a quick review of basic QW topics and focuses on skills used to accumulate your ad hoc reporting activities. This 2 ½ day class is intended for those with prior QW experience and/or those that have attended prior QW training classes. You can expect an agile review of basic QW functionality along with a few relational database concepts, a review of data within the QIES National database and several detailed examples with real life, hands-on practice.

Regulation (REG)

ASPEN Regulation Manager Training
Objective: Creating a new regulation patch or regulation set.

ASPEN Regulation Manager WebEx Demonstration Outline
Objective: Creating a new regulation patch or regulation set.
Regional Office/ State Agency (RO/SA)

**ePOC Recorded Training Sessions**
- **ePOC Provider Webinar**
  - Handout: ePOC Webinar for Providers
  - **Objective:** Demonstrate the electronic plan of correction process.

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**ePOC State/RO Webinar**
- **Handout:** ePOC Webinar for SA/RO
- **Objective:** ASPEN Web: ePOC Process Flow

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**HHA Alternative Sanctions**
**Description:** Development of Automated Survey Processing Environment (ASPEN) Enforcement Manager (AEM) for HHAs in ASPEN.

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**Surveyor Technical Assistance for Renal Disease (STAR)**

**STAR**
- **Objective:** This course, which has been updated to conform to the ESRD Core Survey process, teaches the ESRD surveyor how to use the STAR software as a single surveyor or as a leader or member of a team, how to use tablet technology, and how to integrate STAR into ASPEN.
  - **Description:** Surveyor Technical Surveyor Technical Assistant for Renal Disease (STAR) is software designed for use on a Tablet PC that guides a surveyor through the ESRD survey process. This course, which has been updated to conform to the ESRD Core Survey process, teaches the ESRD surveyor how to use the STAR software as a single surveyor or as a leader or member of a team, how to use tablet technology, and how to integrate STAR into ASPEN. Please note that the States are expected to install the current versions of ASE/STAR software on your Tablet prior to the course.