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**Systems Environment**
Application Development: MS Visual C++ version 6.0
Desktop Database: MS Access 97 version 7.0
Server Database: Oracle Enterprise Server version 8.1.6
Oracle Call Interface and Objects for OLE 8.1.6

**Optional System Environments**
MS Internet Explorer version 3.0 or later to support the integrated Internet browser
MAPI Compliant E-mail client to support e-mail transfer of survey information
Table of Contents

Chapter 1: Getting Started ................................................................. 1-1
  About ASPEN Survey Explorer ....................................................... 1-1
  About this Reference Guide .......................................................... 1-1
    Conventions .............................................................................. 1-2
    Online Help .............................................................................. 1-2
  Technical Support ........................................................................ 1-2
    ASPEN Survey Explorer Hotline .................................................. 1-2
    Internet .................................................................................... 1-3
    Fax .......................................................................................... 1-3
    E-mail ..................................................................................... 1-3
  System Requirements ..................................................................... 1-3
  Installing ASPEN Survey Explorer ................................................ 1-4
  Starting and Exiting ASPEN Survey Explorer .............................. 1-4
  Basic ASE Operations .................................................................... 1-5
    Moving Around ......................................................................... 1-5
    Using Drop-down Lists ............................................................. 1-5
    Entering Dates ........................................................................ 1-6
    Multi-select Lists ....................................................................... 1-6
    Sorting Information in Columns ................................................ 1-7
    Dragging Items ......................................................................... 1-7
    Using Wildcards ....................................................................... 1-8
  Main ASE Application Window ..................................................... 1-9
    Using the ASE Toolbar .............................................................. 1-10
    Customizing the ASE Toolbar .................................................... 1-10
    Navigating the Tree View .......................................................... 1-11
    Refreshing the Tree View Display ............................................. 1-14
    Tree View Pages ....................................................................... 1-14
  Finding Facilities and Surveys ....................................................... 1-17
  Configuring Facility Groups ......................................................... 1-19
  Customizing the Tree View ........................................................... 1-21
  Customizing the List View ............................................................ 1-22
  Printing List View Items ............................................................... 1-22
  IDs Used in ASE ......................................................................... 1-24
    State Facility ID ........................................................................ 1-24
    State License Number .............................................................. 1-24
Medicare Provider ID ................................................................. 1-24
Medicaid Provider Number.................................................. 1-25
Survey Event ID ........................................................................ 1-25

Chapter 2: Facilities .............................................................. 2-1
Adding Facilities ....................................................................... 2-1
Facility Definition .................................................................... 2-1
Mailing Address ....................................................................... 2-3
Buildings/Wings ....................................................................... 2-4
Updating Facility Information ................................................... 2-6
Changing Facility ID ............................................................... 2-7
Deleting Facilities .................................................................... 2-7

Chapter 3: Surveys and Citations ............................................ 3-1
Surveys ....................................................................................... 3-2
Creating Surveys ...................................................................... 3-2
Updating Survey Information .................................................... 3-6
Linking Health and LSC Surveys ................................................. 3-6
Deleting Surveys ...................................................................... 3-7
Citations ....................................................................................... 3-8
Entering Citations ..................................................................... 3-9
Viewing and Updating Citations ................................................ 3-13
Inserting Backup Citation Text ................................................ 3-14
Creating and Using Predefined Text for Citations ..................... 3-16
Copying Citation Text ............................................................. 3-19
Viewing Former Citations for a Tag ......................................... 3-20
Changing the Order of Citations ................................................ 3-22
Deleting Citations .................................................................... 3-23
Viewing Regulations and Interpretive Guidelines ...................... 3-23
Searching Citation Text, Interpretive Guidelines, and Regulations 3-24
Entering POC Text .................................................................... 3-25
Managing Survey Photos ........................................................ 3-26
Followup Surveys ..................................................................... 3-29
Creating Followup Surveys ...................................................... 3-29
Modifying Correction Dates ..................................................... 3-31

Chapter 4: Survey Teams and Survey Transfer ....................... 4-1
Surveyor Database .................................................................... 4-1
Adding Surveyors .................................................................... 4-1
Modifying Surveyor Information .............................................. 4-3
Changing the Surveyor ID ....................................................... 4-3
Deleting Surveyors .................................................................. 4-3
Survey Teams .................................................................................................................. 4-4
  Adding Survey Team Members ................................................................................ 4-4
  Removing Survey Team Members ........................................................................... 4-6
  Changing the Active Surveyor ............................................................................... 4-6
  Designating the Team Leader ................................................................................. 4-7
One Survey–Multiple Surveyors ............................................................................... 4-7
  Laptop Computer Setup .......................................................................................... 4-7
  Network Setup ......................................................................................................... 4-9
Survey and Facility Exchange .................................................................................... 4-9
  Exporting Surveys and Facilities ........................................................................... 4-10
  Importing Surveys and Facilities ........................................................................... 4-12
  E-mailing Surveys and Facilities ............................................................................ 4-14
Changing Survey Event IDs ....................................................................................... 4-14

Chapter 5: Regulations ............................................................................. 5-1
  Finding Regulation Sets and Tags .......................................................................... 5-1
  Creating State Regulation Sets .............................................................................. 5-2
  Modifying State Regulation Sets ........................................................................... 5-3
  Creating State Tags .................................................................................................. 5-4
  Modifying State Tags ............................................................................................... 5-6
  Assigning State Regulations to Facility Types ....................................................... 5-6
  Viewing and Printing Regulations ......................................................................... 5-8
  Exporting Regulations ............................................................................................. 5-10
  Importing Regulations ............................................................................................ 5-11
  Importing Regulations with the Patch Utility .......................................................... 5-12
  Deleting Regulation Sets ......................................................................................... 5-13
  Deleting Tags ............................................................................................................ 5-13
  Decrypting Regulation Sets ..................................................................................... 5-13

Chapter 6: HCFA Forms, Reports, and Letters ........................................... 6-1
  The Report Preview Window .................................................................................... 6-1
  Printing HCFA Forms .............................................................................................. 6-2
    Printing a Draft of HCFA 2567 ............................................................................. 6-4
    Entering HCFA 2567 Information ......................................................................... 6-5
    Entering HCFA 670 Information .......................................................................... 6-7
      Entering Time for Surveyors .............................................................................. 6-7
      Entering Time for Non-Team Members ............................................................. 6-9
    Excluding Survey Team Members from HCFA 670 ......................................... 6-10
    Entering HCFA 1539 Information ....................................................................... 6-11
    Managing Multiple 1539s .................................................................................... 6-13
    Entering HCFA 197 Information ......................................................................... 6-13
Entering HCFA 1557 Information ................................................................. 6-15
Viewing the Severity/Scope Grid Report ......................................................... 6-16
Printing Quality Reports .................................................................................... 6-16
Review Reports .................................................................................................... 6-17
Deficiencies by Tag ............................................................................................... 6-18
Severity/Scope Summary .................................................................................... 6-19
670 Summary .................................................................................................... 6-20
Form Letter Templates ......................................................................................... 6-21
Creating Form Letter Templates ..................................................................... 6-21
Viewing and Modifying Form Letter Templates .............................................. 6-24
Deleting Form Letter Templates ..................................................................... 6-24
Exporting Form Letter Templates .................................................................. 6-24
Importing Form Letter Templates .................................................................. 6-25
Inserting Macros in Letter Templates ............................................................ 6-26
Inserting the Custom Text Prompt Macro ....................................................... 6-26
Printing Form Letter Templates .................................................................... 6-27
Custom Form Letters ............................................................................................. 6-27
Printing Customized Form Letters .................................................................. 6-28
Viewing a Letter History ...................................................................................... 6-29
Deleting Letters from a Letter History .......................................................... 6-30

Chapter 7: System Administration................................................................ 7-1
Password-based Security ..................................................................................... 7-1
Enabling Password-based Security ................................................................. 7-1
Changing Passwords ......................................................................................... 7-2
Disabling Password-based Security ................................................................. 7-3
Configuring State-Specific Information ............................................................ 7-4
Lookup Tables ...................................................................................................... 7-5
Spell Check Dictionaries ..................................................................................... 7-6
Facility Types ........................................................................................................ 7-7
Creating and Updating Primary Facility Categories .................................... 7-7
Creating and Updating Facility Types ............................................................. 7-9
ASE Workareas .................................................................................................... 7-10
Configuring ASE Workarea Locations ......................................................... 7-11
Changing Your Current Workarea Location ................................................. 7-12
ASE Database Maintenance ............................................................................. 7-12
Converting ASE DOS Data ............................................................................... 7-13
Importing an Entire DOS Database ............................................................... 7-13
Importing State Facility IDs from DOS ............................................................ 7-14
Importing DOS Regulations ............................................................................. 7-14
Appendix A: Buttons and Icons ............................................................... A-1
Appendix B: Survey Types ................................................................. B-1
Appendix C: Letter Macros ................................................................. C-1
Index ..................................................................................................... I-1
Chapter 1: Getting Started

About ASPEN Survey Explorer

ASPEN (Automated Survey Processing Environment) Survey Explorer is a Windows®-based program that provides centralized facility and survey management. It is designed to help State agencies with information-based administration of the health care facilities under their management. ASPEN Survey Explorer (ASE) stores data about certified facilities regulated by the Centers for Medicare & Medicaid Services (CMS) and the regulations pertinent to those facilities. ASE can be extended to include facility categories for State licensure. A built-in Internet browser provides easy access to resources on the World Wide Web.

ASE includes full survey operations support, which enables agencies to centralize survey event planning and team assignment. Different categories of surveys can be performed at the same time as one integrated survey. For writing citations, ASE includes a fully functional word processor that also offers instant access to the text of and interpretive guidelines for the relevant regulations.

In addition, ASPEN Survey Explorer provides access to MDS resident and assessment information and is designed to easily accommodate future assessment types such as HHA/OASIS. The surveyor-oriented interface enables surveyors to view current and historical assessment details.

About this Reference Guide

This ASPEN Survey Explorer Reference Guide describes features available in ASE and how to use them. It assumes that you are familiar with basic Windows operations such as using your mouse to select information, using menus, and scrolling. If you are not familiar with these functions, refer to your Windows user guide.

This guide also assumes that you have attended ASE training offered by your agency.
Chapter 1: Getting Started

Conventions

This guide uses the following conventions.

<table>
<thead>
<tr>
<th>Convention</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Bold</strong></td>
<td>Buttons, menu items, keys you press.</td>
</tr>
<tr>
<td><strong>Alt+f</strong></td>
<td>Two keys you press at the same time. Hold the <strong>Alt</strong> key and then press the <strong>f</strong> key.</td>
</tr>
<tr>
<td><strong>Note</strong></td>
<td>Notes give you important information that may affect how you use a function in ASE.</td>
</tr>
<tr>
<td><strong>WARNING</strong></td>
<td>Warnings let you know the potential negative effects of an action.</td>
</tr>
<tr>
<td><strong>Tips</strong></td>
<td>Tips are shown in the margin of this reference guide. They give you useful hints about the current topic or function.</td>
</tr>
</tbody>
</table>

Online Help

Online help is available at any time from the Help menu. You can also press **F1** from any window to display context-sensitive online help.

Technical Support

Technical support is available in the following ways, in order of preference:

- ASPEN Survey Explorer Hotline
- World Wide Web
- Fax
- E-mail

**ASSEN Survey Explorer Hotline**

You can call the ASPEN Survey Explorer Hotline at (800) 659-4626, Monday through Friday, from 8:00 a.m. to 5:00 p.m. **Mountain Time.**
Internet

To access the web browser integrated with ASE, click the WWW button in the ASE toolbar. Click ASPEN Support Web Site to connect to the Alpine Technology technical support page:

www.alpinetg.com/aspen/default.asp

Fax

You can fax questions about ASE to our fax number at (303) 774-0200. We will respond to your fax inquiries within one business day.

E-mail

You can e-mail questions about ASE to:

AspenHelp@alpinetg.com

We will respond to your e-mail inquiries within one business day.

System Requirements

The following table shows the minimum and recommended system configurations you need to use ASPEN Survey Explorer effectively:

<table>
<thead>
<tr>
<th>Item</th>
<th>Recommended</th>
</tr>
</thead>
<tbody>
<tr>
<td>Processor</td>
<td>Pentium-based processor (133+ MHz)</td>
</tr>
<tr>
<td>Operating system</td>
<td>Windows 95/98/NT</td>
</tr>
<tr>
<td>Memory (RAM)</td>
<td>16 MB</td>
</tr>
<tr>
<td>Free hard drive space</td>
<td>100 MB</td>
</tr>
<tr>
<td>Monitor</td>
<td>color</td>
</tr>
<tr>
<td>Pointing device</td>
<td>mouse</td>
</tr>
<tr>
<td>Modem (for field use)</td>
<td>33.3Kbps</td>
</tr>
<tr>
<td>Network Interface card</td>
<td>Required</td>
</tr>
<tr>
<td>Additional device(s)</td>
<td>6X CD-ROM recommended</td>
</tr>
</tbody>
</table>
Chapter 1: Getting Started

Installing ASPEN Survey Explorer

Installation instructions are available in a separate document.

Starting and Exiting ASPEN Survey Explorer

You start and exit ASPEN Survey Explorer the same way you start and exit other Windows applications.

To start ASPEN Survey Explorer:

1. From the Start menu on the Windows Desktop, select Programs, then locate and double-click ASPEN Survey Explorer.

   -or-

   Create a shortcut to ASE on your desktop and double-click it.

   The Welcome to ASPEN: Please Select Active Surveyor window appears. This window displays the users in the current database.

2. Select your name from the list and click OK.

   The main ASPEN Survey Explorer application window appears. If the system is unable to authenticate your user name, you will be prompted to enter a valid login ID.

   If your name does not appear in the list of surveyors, click New to create a personnel record for yourself. See “Adding Surveyors” on page 4-1 for information about the Enter New Staff Information window that appears.
To exit ASPEN Survey Explorer:

1. Close each open window until you return to the main ASPEN Survey Explorer window.

2. From the File menu, select Exit.

   You can also click the X in the upper-right corner or press Alt+F4.

Basic ASE Operations

ASPEN Survey Explorer uses a standardized user interface. Elements of this interface are described here once, rather than repeatedly throughout the manual.

Moving Around

You can use your mouse or keyboard to move around in ASE. The instructions in this reference guide generally assume you use your mouse. If you prefer to use your keyboard, use the following keys:

<table>
<thead>
<tr>
<th>Key</th>
<th>Function</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tab</td>
<td>Moves from field to field or button to button.</td>
</tr>
<tr>
<td>Shift + Tab</td>
<td>Moves backward from field to field or button to button.</td>
</tr>
<tr>
<td>Enter</td>
<td>Performs the action of the currently highlighted button.</td>
</tr>
<tr>
<td>Alt + letter key</td>
<td>Use the Alt key plus the letter that is underlined in a menu to access a menu. Then use just the underlined letter key to access a menu option. For example, press Alt+f to access the File menu, then press f to select New Facility.</td>
</tr>
</tbody>
</table>

Using Drop-down Lists

Many ASPEN Survey Explorer windows display drop-down lists, also known as list or combo boxes, that give you a list of items from which to choose. To use your mouse to make a selection, click the arrow (black triangle) to display the list. Then click the item you want.

To use the keyboard, press Tab or Shift+Tab as needed to go to the field. Then press the Down Arrow or Up Arrow on your keyboard to scroll through the list of options.
Chapter 1: Getting Started

Entering Dates

You can enter dates manually or select them through the built-in calendar.

To enter the dates manually, use the format mm/dd/yyyy. Type only the numbers and the system automatically formats them. If you enter just the last two digits of the year, ASE supplies the first two digits: 19 if you enter 80 or more, 20 if you enter less than 80.

You access the calendar through the drop-down list associated with date fields in ASE. Click the arrow (black triangle) by the date field to display the calendar.

![Calendar Example]

The title bar contains the name of the field from which you accessed the calendar.

To select a date from the calendar, click the arrow (black triangle) by the date field, then select a date. Click < or > to move backward or forward one month. Click << or >> to move backward or forward one year. When the proper month and year are displayed, click the appropriate day on the calendar. Then click OK. To enter today’s date, Ctrl+click the arrow.

Multi-select Lists

You can select more than one item in some lists. Use Shift+click to select a sequence of items, or Ctrl+click to select multiple non-sequential items.
### Sorting Information in Columns

Many windows in ASPEN Survey Explorer display information in columns. You can sort the information in ascending or descending order by clicking a column heading. When you click a column heading, the information is sorted in ascending order based on the information in the selected column. The column heading also displays an up arrow (triangle) indicating an ascending sort order.

Click the same column heading again to sort the information in descending order; the column displays a down arrow indicating a descending sort order.

<table>
<thead>
<tr>
<th>Event ID</th>
<th>Survey Date</th>
<th>Exit Date</th>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>PYG411</td>
<td>01/07/2000</td>
<td>01/07/2000</td>
<td>Ic</td>
</tr>
<tr>
<td>FO711</td>
<td>01/19/2000</td>
<td>01/21/2000</td>
<td>Ic, Cb</td>
</tr>
<tr>
<td>FYG412</td>
<td>01/20/2000</td>
<td>01/20/2000</td>
<td>Ic, Pd</td>
</tr>
<tr>
<td>FYG413</td>
<td>01/20/2000</td>
<td>01/20/2000</td>
<td>Ic, Pd</td>
</tr>
<tr>
<td>FO712</td>
<td>01/21/2000</td>
<td>01/21/2000</td>
<td>Ic, Pd</td>
</tr>
<tr>
<td>SHRE11</td>
<td>01/26/2000</td>
<td>01/26/2000</td>
<td>Ic</td>
</tr>
<tr>
<td>PYG414</td>
<td>03/01/2000</td>
<td>03/01/2000</td>
<td>Ic</td>
</tr>
</tbody>
</table>

To size the column to automatically fit the longest item in it, double-click the right-hand border of the column.

### Dragging Items

To recycle, e-mail, or transfer facilities or surveys from your ASE work area, you can drag them to the appropriate toolbar button. (Alternatively, you can right-click an item and select the appropriate command from the Send To menu.)

**To drag items:**

1. In the Tree or List view, select the item you want to drag.
2. Press the left mouse button and move the cursor (in the shape of a hand holding a document with an X across it) over the appropriate button in the toolbar.
3. When the X disappears, release the mouse button.
Using Wildcards

When you search the database, ASE lets you use an asterisk (*) as a wildcard or placeholder in your search text. If you place the asterisk at the start of the search text, ASE finds all items that start with any text, including your search text, and contain your search text. If you place the asterisk between two characters in your search text, ASE finds items that contain the two characters in the order you typed them but allows other characters to occur between them.

Here are some examples of name searches:

<table>
<thead>
<tr>
<th>You type</th>
<th>ASE finds</th>
</tr>
</thead>
<tbody>
<tr>
<td>BU</td>
<td>Buchanan</td>
</tr>
<tr>
<td>*BU</td>
<td>Buchanan, Jacobus</td>
</tr>
<tr>
<td>B*U</td>
<td>Banuelos, Buchanan</td>
</tr>
<tr>
<td><em>B</em>U</td>
<td>Banuelos, Buchanan, Jacobus, Rorabaugh</td>
</tr>
</tbody>
</table>

Here are some examples of facility ID searches:

<table>
<thead>
<tr>
<th>You type</th>
<th>ASE finds</th>
</tr>
</thead>
<tbody>
<tr>
<td>23</td>
<td>237711</td>
</tr>
<tr>
<td>*23</td>
<td>237711, 461236</td>
</tr>
<tr>
<td>2*3</td>
<td>237711, 298635</td>
</tr>
<tr>
<td><em>2</em>3</td>
<td>237711, 298635, 461236, CKB213</td>
</tr>
</tbody>
</table>
Main ASE Application Window

The main ASPEN Survey Explorer window provides easy access to all information in ASE.

**Toolbar** - Shortcuts to ASE functions. Place cursor over a button to see full name. Click a button to use the function, except for the drag-and-drop buttons.

**Drag-and-drop buttons** - Drag a survey, facility, tag, or regulation set from the Tree view and drop on a button to perform the function.

**Tree view** - Expands and collapses to display facilities, surveys, citations, surveyors, and more. For more information, see “Navigating the Tree View” on page 1-11.

**List view** - Displays lists of information related to item selected in the Tree view. In this example, surveys related to the selected facility appear.

**Detail view** - Displays details about the item selected in the List view. In this example, details about the selected survey appear.

**Tabs** - Display facilities alphabetically (Alpha), facilities by facility type (Type), or surveys alphabetically by Event ID (Survey).

**Status bar** - Displays information about the active surveyor and getting help.

ASPEN Survey Explorer uses many of the same conventions and functions as other Windows-based programs. We will only discuss the conventions and functions you are likely to use.
Using the ASE Toolbar

The toolbar allows fast access to some of the commonly used functions in ASE.

Customizing the ASE Toolbar

The toolbar is divided into four groups with double line separators. On the left is the Workarea Bar with the Config and Filters buttons and the ASPEN data locations list. Next is the Wizard Bar with the Survey and Facility buttons. Third is the Drag/Drop Bar with the Recycle, E-Mail, Print, Export, Import, and My Surveys buttons. On the right is the Toolbar group with the WWW, Index (Help Contents), and Help (field-specific What’s This? Help) buttons.

You can customize the ASPEN Survey Explorer toolbar groups as follows:

- You can hide or display any of the toolbar groups using the View menu. From the View menu, select the group that you want to hide. When a group is hidden, the check mark adjacent to the group name on the View menu no longer appears. To redisplay the group, select the group from the View menu again.
- You can move each toolbar group to a location anywhere on the ASE desktop by clicking the separator on the left and dragging the group to a different location.
• You can resize a toolbar by moving the cursor over any edge of the toolbar until it changes to a double-headed arrow. Press the left mouse button and drag the edge of the toolbar to change the shape. You cannot resize the toolbar if it is docked along one of the edges of the ASE toolbar.

You can also display or hide the status bar at the bottom of the ASPEN Survey Explorer window using the View menu. Click Status Bar in the View menu, and the status bar will disappear. To redisplay the status bar, click Status Bar again.

Navigating the Tree View

The Tree view in ASPEN Survey Explorer lets you find and display the information available in the ASE database. Depending on the page you open in the Tree view (Alpha, Type, etc.), the nodes (branches) of the tree contain different information. In this example, we will look at the Alpha page.

When you first start ASPEN Survey Explorer, the Alpha page in the Tree appears as follows:
Click the + (plus sign) next to any node expand it. You can also double-click the node itself.

**Expanded node showing facilities that start with the letters D-F.**

**Note:** The facilities displayed are controlled by your active selection criteria. See “Navigating the Tree View” on page 1-11 for details.
Continue clicking the + next to any node to display more information.

You can expand as many nodes as you want. At some point, each node in the tree ends and clicking the + does not further expand the tree.

You can collapse each node by clicking the – (minus sign) next to it. This collapses the tree and lets you see other parts of the tree more easily.

If you select an item in the Tree view, information about that item appears in the List and Detail views on the right side of the window. For example, if you select a facility in the Tree view, a list of surveys that are related to that facility appears in the List view, and information about the first survey in the List view appears in the Detail view.

If you select a survey in the Tree view, a list of the citations in that survey appears in the List view, and the text of the first citation appears in the Detail view.
Refresh the Tree View Display

If you make changes to the display of information in the Tree view, and the changes do not appear, you may need to refresh the view. To refresh the display, select Refresh from the View menu. You can also press F5 to refresh the view.

Tree View Pages

ASPEN Survey Explorer organizes information into three pages, which you access via the Alpha, Type, and Survey tabs at the bottom of the Tree view.

- The Alpha page displays a listing of facilities in alphabetical order. You can expand each facility icon to display related surveys, administration, ownership, beds, affiliations, services, and residents.

The Alpha page additionally has My Surveys, Regulations, Surveyors, Internet, and Recycle nodes. My Surveys lists the surveys you have created. The Internet node, like the WWW button in the toolbar, lets you access the ASE web site. Recycle contains deleted facilities and surveys.
In this view of the Alpha page, the letter D-F is expanded and under that the Darley Rehabilitation facility is expanded.
• The Type page displays a listing of facilities in order by facility type. It also has Regulations, Surveyors, Internet, and Recycle nodes.
• The Survey tab displays a listing of surveys in order by survey ID. You can expand each survey to display related tags and the survey team.

Finding Facilities and Surveys

ASE provides a number of ways to locate and view facilities and surveys. In the Tree view, you can access facilities and surveys through the Alpha, Type, and Survey tabs.

• Click the Alpha tab. Facilities are grouped by alphabetical ranges such as 0-9, A-C, etc. (To customize these ranges, see “Configuring Facility Groups” on page 1-19.) Double-click a facility to show the related surveys.

• Click the Type tab. The facilities here are grouped by type. Double-click a type node to show the facilities of that type. Double-click a facility to show related surveys.

• Click the Survey tab. Surveys are displayed alphabetically by event ID. (For more information on event IDs, see “Survey Event ID” on page 1-25.)

You can use the Find function in ASE to search for facilities using a selected criterion.
To search for a facility or survey:

1. Click the Find button above the Tree view. The Find window appears.

2. In the Text field, type the Facility ID, Facility Name, Survey Event ID, Medicare ID, or License No.
   You can enter part of an ID or name. If the text you enter does not appear at the start of the ID or name, type an asterisk (*) before the text. ASPEN Survey Explorer locates all IDs or names containing the text you typed.

3. Select the appropriate search Type.
   You can conduct only one type of search at a time.

4. Click Find Now.
ASE searches for the text you entered and displays a list of the facilities or surveys that contain it in the Search Results section.

You can double-click a facility or survey in the Search Results list to go to that facility or survey in the Tree view.

5. Select an item in the Search Results list and click Select to go to that facility or survey in the Tree view.

   -or-

Double-click an item in the Search Results list to go to that facility or survey in the Tree view.

### Configuring Facility Groups

ASPEN Survey Explorer uses a default set of groupings–0-9, A-C, D-F, etc.–for alphabetical listings of facilities under three nodes on the Alpha page: top-level facilities node, top-level Residents node, and Residents node under individual facilities. You can configure these groups to meet your own needs.
To add a facility group:

1. In the Tree view, click the Alpha tab.

2. Right-click the ASE Desktop icon at the highest level on the Alpha page, and select **Configure Groups** from the popup menu.

   The Facility Groups window appears with the currently configured groups listed.

3. Click **New**.

4. Enter a new label for the group in the Display Value field.

5. Enter the Low value that you want to include in the group.

6. Enter the High value that you want to include in the group.

   To include *all* items that begin with a specific letter, enter the letter followed by the letter z. For example, you would enter Cz to include all items beginning with the letter C. If you only wanted items up to Co included, you would enter Co.

7. Click **Save**.

   To undo changes or additions since the last Save, click **Undo**.

8. Click **OK**.

To modify a group:

1. In the Facility Groups window, select the group you want to modify.

2. Edit the values and click **OK**.
To delete a group:
1. In the Facility Groups window, select the group you want to delete.
2. Click **Delete**.
   
   A confirmation message appears.
3. Click **Yes**.
   
   You cannot undo a Delete.

**Customizing the Tree View**

You can customize the list of facilities and surveys you see in the Tree view of ASE. This lets you see only the facility types or survey dates that meet your needs.

We recommend that you customize your Tree view. It helps save time if you are working on a network version of ASE. It also lets you see only what you need to see. You can change these settings at any time.

To customize the facilities and surveys you see:

1. Click the Filters button.

   The Survey View Selection window appears.

2. Click the Activate Filter box to turn on the filter.

3. To limit the Facility Types you see, select only the types you want.
   
   To select only some types, be sure the box next to All is **not** checked. Then select the Facility Types you want to see.
   
   To see all Facility Types, be sure the box next to All is checked.

4. To limit the Survey types you see, select only the types you want.
   
   To select only some types, be sure the box next to All is **not** checked. Then select the Survey types you want to see.
   
   To see all Survey types, be sure the box next to All is checked.
5. To limit the surveys you see by date, select “Surveys within” or “Surveys from.”

   If you selected “Surveys within,” enter a number of days. This tells ASE to list surveys whose start date is within that number of days.

   If you selected “Surveys from,” enter or select the earliest and latest dates you want to see.

6. To limit the surveys you see by status, select Open Surveys or Closed Surveys.

7. Click OK to save your changes.

   The system redisplay the tree. When you navigate the tree, you now see only those items that match your selections. You can change your selections at any time.

**Customizing the List View**

When you select an item in Tree view, information about that item appears in the List View on the right-hand side of the ASE window. It is in a report format by default. The item name and details are shown. You can specify what information appears in the List view.

**To specify the information that appears in List view:**

1. In the List view, move the cursor to an empty area in the List view.

2. Right-click and select one of the following commands from the popup menu:
   - Select **Icon View** to display only the icons for the items. The icons appear in rows.
   - Select **List View** to display only the IDs or names of the items. The items are listed in a single column.
   - Select **Report View** to display item names and details.

**Printing List View Items**

You can directly print certain items (surveys, regulations) in List view. You can set the margins; select the font for the header, text, and footer; and enter header and footer text.

**To print the List view:**

1. Right-click anywhere in the List view, and select **Print Screen** from the popup menu.
The List print window appears.

2. From the Header drop-down list, select a font style and size for the header.

3. Enter the header text.

4. From the Content drop-down list, select a font style and size for the text in the List view.

5. In the Page format text box, enter the format for page numbering.

   Use %d to indicate the page number. Three possible page numbering formats are shown below; assume the page number is 3.

   - **Page %d of %d** would print “Page 3 of 20” for a report with 20 pages.
   - **Page %d** would print “Page 3”.
   - %d would only print “3”.

   The page number is printed by default in the upper right-hand corner of the report.

6. From the Footer drop-down list, select a font style and size for the footer.

7. Enter the Footer text.

8. Click the Margins tab. Enter the top, left, right, and bottom margins for the main body of text.

   The units are in pixels and are multiplied by 1,000 to calculate the margin. For example, a top margin of 1 is equal to a margin of 1,000 pixels, and a top margin of 10 is equal to 10,000 pixels.
9. Click **Print** on either page to print the data in the List view.

   You can click **Printer Setup** on either page to adjust the printer settings.

10. In the Print window, click **OK**

    Items in the List view are printed.

### IDs Used in ASE

ASPEN Survey Explorer uses the following IDs to identify facilities and surveys:

- State Facility ID
- State License number
- Medicare Provider ID
- Medicaid Provider number
- Survey Event ID

#### State Facility ID

Each state assigns IDs to identify its own facilities. This ID must be unique to a facility and should be persistent. It can apply to only one facility and can never be changed or reused regardless of changes in ownership, the facility’s operational status, or other characteristics. This ID allows ASE to maintain and report on both active and inactive facilities.

The state facility ID helps states to easily relate information within ASPEN Survey Explorer and other CMS components, such as the MDS system, and facility information already maintained in existing state databases. Therefore, if your State already uses a unique, persistent facility ID in another system, it is highly recommended that you use this existing ID for the facility in ASE.

#### State License Number

A state may assign a license number to a facility as well as a facility ID.

#### Medicare Provider ID

This number is the federally assigned Medicare identifier for a facility. This value may exist for Medicaid-only facilities as well. It is also referred to as the OSCAR system provider ID.
**Medicaid Provider Number**

This number is the Medicaid identifier assigned to a facility, typically for use by a state’s Medicaid payment system.

**Survey Event ID**

When you create a survey, the system generates a unique Event ID (or Event Tracking Number). The ID allows for more than one survey event per day and more than one regulation set per survey event. Thus if both state licenses and federal citations are involved, you can create survey reports for both from one investigation.

The survey event ID contains six numbers or letters.

### ASPEN Survey Explorer Survey Event ID

1. The first four positions comprise a random, unique combination of letters and numbers. Any related surveys, such as followup surveys, will have the same combination.

2. The fifth position indicates the category of survey performed:
   - 1 = Health Inspection
   - 2 = Life Safety (Building) Inspection

   When you create both a health survey and a Life Safety Code survey for the same facility, ASE changes only the fifth digit of the event ID.

3. The sixth position indicates the survey sequence number. A “1” indicates an initial survey; a “2” indicates the followup or second visit, and so on.

   When you create a survey for a revisit or a followup, ASPEN Survey Explorer changes only the sixth digit to create the new event ID. This helps you to easily keep track of related surveys.
Chapter 2: Facilities

You must add a facility to the ASE database before you can create a survey for the facility. You can include identifying and descriptive information about the facility, its buildings and wings, and an alternative mailing address.

Adding Facilities

The Define New Facility window has three tabs: Facility Definition, Mailing Address, and Buildings/Wings.

Facility Definition

The Facility Definition page in the Define New Facility window contains the basic identification, description, and contact information for a facility.

To enter basic facility information:

1. Click the New Facility button on the main ASE toolbar, or from the File menu, select New Facility.
Chapter 2: Facilities

The Define New Facility window appears with the Facility Definition tab selected.

You can also create a new facility from the Alpha or Type page:

1. Right-click a facility grouping (e.g., A-C) on the Alpha page or right-click a facility on the Alpha or Type page.
2. Select New Facility from the popup menu.
   The Define New Facility window appears.
   Continue with step 2.

2. Enter the State Facility, Provider, State License, and Medicaid IDs for the facility.
3. Select the facility Type from the drop-down list.
4. Enter the facility Name, street Address, City, State, Zip code, Phone and Fax numbers.
5. Select the Accreditation category from the drop-down list.
6. Select the Salutation for the administrator.
   This is the form of address for letters to the administrator.
7. Enter the facility administrator’s First and Last names and Title.
8. Enter the State County Code and the State Region Code for the facility.
9. Select another tab, or click OK to save the information and exit the Define New Facility window.
Mailing Address

If the mailing address is different from the address you entered on the Facility Definition page of the Define New Facility window, you can enter it on the Mailing Address page.

**To add a mailing address:**

1. Click the Mailing Address tab.

2. Enter the facility’s Address; use the Extended Address field if the address has multiple lines.

3. Enter the City, State (select from drop-down list), and Zip code.

4. Select another tab, or click OK to save the information and exit the Define New Facility window.
Buildings/Wings

The Buildings/Wings page in the Define New Facility window provides a permanent record of facility structures and eliminates the need to re-enter building information with each new certification or licensure.

**Note:** If you create a new building/wing in ASE, the record will not be included in ASPEN Central Office (ACO) unless the building/wing is already defined in ACO.

**To add a building record:**

1. Click the Buildings/Wings tab.

2. Click **New**.
   
   A message informs you that new buildings will not go to ACO if they aren’t already defined in ACO. You are asked if you want to proceed.

3. Click **Yes** to continue.
4. The Define New Building window appears.

5. Enter a two-character Building/Wing ID.

6. Enter or select the Effective date for the structure.

   Where applicable, Effective date defaults to the original participation date for the facility.

7. If the structure is closed, enter or select a Closed On date.

   Closed structures are not brought forward into new certification kits.

8. Enter the Name/Reference of the structure.

9. Select the structure’s HCFA Type (K3) from the drop-down list.

   If the HCFA Type is A or B, also enter the number of Building Stories.

10. Select the Construction Type from the drop-down list.

11. Describe the Location of the structure.

12. If applicable, select the Licensed Only check box

13. Select the LSC Form Indicator (K7) from the drop-down list.

   This will specify the LSC regulation set that applies to the structure. It will be listed automatically in the field below K7.

---

Entering information about a facility’s buildings and wings is important for Life Safety Code (LSC) surveys. You can link citations to specific buildings in an LSC survey. For more information, see step 8 of “Entering Citations” on page 3-11.
14. Indicate whether the structure has a separate hazardous area (K29).
   This field is always transmitted to ODIE as 3 - Not Applicable. The other selections are provided for those offices that want to track that information.

15. Enter or select the FSES (Fire Safety Equivalency System) Date and the date the building was Constructed.

16. Select the appropriate options from the Is Sprinkler Required? (K56) and Sprinkler Status drop-down lists.

17. Click OK.
   The structure is added to the main Buildings/Wings page.

To modify building information:
1. On the Building/Wings page, select the structure you want to modify.
2. Click Modify.
   The Edit Building window appears.
3. Make your changes and click OK.

To delete a building record:
1. On the Building/Wings page, select the structure you want to delete.
   You cannot delete a structure that is linked to a citation.
2. Click Delete.
3. Click Yes in response to the confirmation prompt.
   When you delete a structure, ODIE building numbers are re-sequenced. For example, if you remove building #3 of 6 buildings, the former building 6 will now be 5, 5 will be 4, and so on.

Updating Facility Information

You can update all information except the State Facility ID (see “Changing Facility ID” below) from the Facility Definition window.

To update a facility:
1. Click the Alpha or Type tab.
2. Locate and right-click the facility you want to update.
3. Select Facility Properties from the popup menu.
4. In the Facility Definition window, click the appropriate tab(s) and edit the information about the facility as needed.
   See “Adding Facilities” on page 2-1 for details on facility parameters. You cannot edit the State Facility ID from the Facility Definition window.

5. Click **OK** in any of the tabs to save your changes.

**Changing Facility ID**

Typically, once you have defined a facility in ASE, you should not change its state facility ID number. However, if you have entered an incorrect number, you can change it using this window.

**To change a facility ID:**

1. Click the Alpha or Type tab.
2. Locate and right-click the facility you want to update.
3. Select **Change Facility ID** from the popup menu.
   The Change Facility ID window appears.

```
Change Facility ID for Boone Medical

Enter New Facility ID: 

OK   Cancel   Help
```

4. Enter the New Facility ID and click **OK**.

**Deleting Facilities**

The Recycle button on the ASE toolbar lets you move a facility to the Recycle node in the Tree view. This removes the facility from your facility list, but lets you restore it later if necessary.

**Note:** All surveys associated with the facility are also moved to the Recycle node.

You can permanently delete the facility from the Recycle node if you are sure you no longer need it. Permanently deleting a facility saves disk space.
To delete a facility to the Recycle node:
1. Click the Alpha tab.
2. Drag the facility you want to delete to the Recycle button on the ASE toolbar.
3. Click Yes in response to the confirmation prompt.

   The facility and all associated surveys are moved from the facility list to the Recycle node in the Tree view.

To restore a facility and all associated surveys:
1. Right-click the facility in the Recycle node.
2. Select Restore from the popup menu.
3. Click Yes in response to the confirmation prompt.

   The facility and all associated surveys are moved back to the facility list.

To permanently delete a facility and all associated surveys:
1. Right-click the facility in the Recycle node.
2. Select Delete from the popup menu.
3. Click Yes in response to the confirmation prompt.

   The facility and all associated surveys are permanently deleted.
Chapter 3: Surveys and Citations

With ASPEN Survey Explorer, you can create both Health and Life Safety Code (LSC) surveys. ASE lets you create as many surveys of both types and followup surveys as needed. To complete a survey, you perform the following major tasks in sequence.

1. Create the facility that is the subject of the survey, if necessary.
   - “Adding Facilities” on page 2-1.

2. Enter basic survey information.
   - “Creating Surveys” on page 3-2.

3. Export survey to the survey team. (optional)
   - “Exporting Surveys and Facilities” on page 4-10.

4. Enter citation information.
   - “Entering Citations” on page 3-9.

5. Import surveys from all team members and combine into a single survey, if applicable.
   - “Importing Surveys and Facilities” on page 4-12.

6. Print forms and create and print form letters.
   - “Printing HCFA Forms” on page 6-2 and “Form Letter Templates” on page 6-21.

7. Create followup surveys, if needed.
   - “Creating Followup Surveys” on page 3-29.
Chapter 3: Surveys and Citations

Surveys

A new survey can be set up at any time, even before the survey visit. If you are working on a survey team, you should set up a “shell” survey first, which you will export to team members. This makes it easier to combine the surveys from all team members (see “Survey and Facility Exchange” on page 4-9).

You can create a survey from the Alpha or Type page, from the File menu, or with the New Survey button on the toolbar. When you save a new survey, it is assigned an event ID number and listed in the Tree view.

Surveys have a status of either Open or Closed. You can change information or add new information to an open survey. You can view, but not make changes, to closed surveys. For example, you cannot add or edit citations if a survey is closed.

Set up selection sets (filters) if you want to list only open surveys or only closed surveys in the Tree view. If you do not define any selection sets, ASPEN Survey Explorer lists all surveys. See “Customizing the Tree View” on page 1-21 for more information on selection sets.

If both a Health and LSC survey are required, you can link them to show that they are related. For more information, see “Linking Health and LSC Surveys” on page 3-6.

Once you conduct the survey, you can enter citations. For more information, see “Citations” on page 3-8.

Creating Surveys

To create a survey via the Alpha or Type page:

1. Click the Alpha or Type tab and locate the facility you want.

   For more information on locating a facility, see “Finding Facilities and Surveys” on page 1-17.

2. Right-click the facility and select New Survey from the popup menu.
The Define Survey window appears.

3. Enter or select the Start and Exit dates.

   The Exit date must be the same as or later than the Start date.

4. Select the Status from the drop-down list.

   This is the survey status. A new survey would normally have an Open status.

5. Click the Facility Details button to view information about the current facility in the Facility Definition window.

   Changes cannot be made from this view.

6. Click the survey Type.
7. Select the Regulations that apply to the survey.

Only the most current applicable federal regulation set(s) and any related state regulation sets for the provider type are listed. To see all regulations, click Show All. The button toggles to Filter; if you click it, only the applicable regulation sets are listed.

8. If you want to update the Team Roster, click Update.

The Select Surveyors window appears. Select the names of one or more surveyors you want to add to this survey. Click OK to save your additions and return to the Define Survey window.

   **Note**: At least one surveyor must be listed.

9. Select the Survey Categories and Extent for the survey.

   You can select more than one of each item, if appropriate.

10. Click OK.

    The Survey window appears showing the event ID of the new survey.

11. If you are ready to enter citations for the survey, click Yes to proceed to the Citation Manager.

   -or-

    If you are not yet ready to enter citations, click No to return to the main ASE window.

    The new survey is added to the tree in the main ASE window.

    For more information about entering citations, see “Citations” on page 3-8.

**To create a survey via the New Survey button or File menu:**

1. Click the New Survey button on the main ASE toolbar, or from the File menu, select New Survey.
The Find Facility for New Survey window appears.

2. In the Text field, enter all or part of the Facility ID, Facility Name, Medicare ID, or License No. If the text you enter does not appear at the start of the name or ID, type an asterisk (*) before the text.

3. Select the search Type. You can perform only one type of search at a time.

4. Click **Find Now**.

   The facilities that match the search criteria appear in the Search Results section.

5. Choose the desired facility in the Results list and click **Select**.

   - or -

   Double-click the facility in the Search Results list.

   The Define Survey window appears.

6. Continue with step 3 in the “Alpha or Type page” procedure above.
Chapter 3: Surveys and Citations

Updating Survey Information

To view and update survey information:

1. Click any tab in the Tree view and locate the survey you want.
2. Right-click the survey and select Survey Properties from the popup menu.
3. In the Survey Properties window, update the survey information as needed.
   - To add or remove Regulations, Survey Categories, or Extents, click the item. A check mark in the box means the item is selected. Click again to deselect the item.
4. To update the Team Roster, click Update.
5. In the Select Surveyors window, select the names of one or more surveyors you want to add to this survey.
6. Click OK to save your changes and return to the Survey Properties window.
7. Click OK to save your changes.

Linking Health and LSC Surveys

If you are performing both a Health and LSC survey for a full recertification of a facility, you can link the two surveys. This gives both surveys in ASPEN Survey Explorer the same first four digits in the event ID and makes it easier to track the surveys related to the same certification.

To link LSC and Health surveys:

1. Create one of the survey types.
   - For more information, see “Creating Surveys” on page 3-2.
2. In the Tree view, right-click the survey you just created.
3. Select either Create Health Survey or Create LSC Survey from the popup menu.
   - The available option depends on which type of survey you have already created. For example, if you created a Health survey, click Create LSC Survey to create a linked LSC survey.
4. Enter the survey information.
5. Click **OK**.

The new survey is added to the tree in the main ASE window. It assigns the same event ID to the new survey as for the original survey except for the next to last digit. This tells you that the surveys are related.

For example, the health survey event ID may be ABCD11. The linked LSC survey event ID will be ABCD21. The 2 in the fifth position indicates LSC.

### Deleting Surveys

The Recycle button on the ASE toolbar lets you move a survey to the Recycle node in the Tree view. This removes the survey from your survey list, but lets you restore it later if you need to.

You can permanently delete the survey from the Recycle node if you know that you no longer need it.

**WARNING:** Deleting a survey is permanent. You cannot restore a survey after you delete it.

You should be sure that you export the survey to your permanent repository before deleting it. The repository varies according to your state’s environment. Be sure to check with your ASE coordinator for details on storing and deleting surveys.

**To delete a survey to the Recycle node:**

1. Click any tab in the Tree view and locate the survey you want.

   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.

2. Drag the survey you want to delete to the Recycle button on the ASE toolbar.

   The system confirms that you want to recycle the survey.

3. Click **Yes**.

   The survey is moved from the survey list to the Recycle node in the Tree view. It is listed there under its associated facility.
To restore a survey:
1. Right-click the survey in the Recycle node.
2. Select Restore from the popup menu. This moves the survey back to the survey list.

To permanently delete a survey:
1. Right-click it in the Recycle node.
2. Select Delete from the popup menu.

**Note:** If you have moved several (not all) surveys associated with a facility to the Recycle node and want to permanently delete them, you can right-click each survey and delete it. Or, you can right-click the facility and delete all associated recycled surveys; the facility is not deleted. If you want to delete a facility and all associated surveys, see “Deleting Facilities” on page 2-7.

**Citations**

Once you create a survey and enter the basic survey information, you can enter citations. You also enter citations for followup surveys as described in this section.

From the Citation Manager window, you can perform several tasks (unless otherwise noted, these functions are included in this section):

- Enter new citations.
- Create and use predefined citation text (surveyor content library).
- View and update citations.
- Change the order of citations.
- Delete citations.
- View and search citation text, interpretive guidelines, and regulations.
- Add and view survey photos.
- Enter Plan of Correction (POC) text. (See “Entering POC Text” on page 3-25.)
- Print HCFA (CMS) forms. (See “Printing HCFA Forms” on page 6-2.)
- Create, edit, and print letters. (See “Form Letter Templates” on page 6-21.)


**Entering Citations**

You can enter citations for any existing survey.

**To enter citations:**

1. Click any tab in the Tree view and locate the survey you want.
   
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.

2. Right-click the survey and select **Citation Manager** from the popup menu.

   The Citation Manager window appears.

3. Select the Regulation tag to which the citation relates.

You can also display the Citation Manager window by creating a new survey and clicking **Proceed to Citation Manager**. Continue with step 3 at right.

4. Drag it to the Citations section.

You can view, edit, and delete citations as a supervisor without adding yourself to the team. In the Citation section of the Citation Manager, right-click a citation. Select **Supervisor** from the popup menu.

   You can also double-click a tag in the Regulation list.

If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click **OK**.

3. Select the Regulation tag to which the citation relates.

4. Drag it to the Citations section.
The Citation Properties window appears. The Severity/Scope field, Grid, and the Correction Date are disabled or do not appear if they don’t apply.

5. If the regulations you are using require a Severity/Scope assignment, enter the proper rating.

To see the severity/scope scale, click **Grid**.

Click the appropriate letter or **Done**.
6. Enter or select the Correction Date if applicable.

   This field appears only for followup surveys. It is the date the correction was made.

7. In the Citation Properties window, deselect any Citation Category that the citation does not relate to.

   Every Citation Category is selected by default.

8. If you are in an LSC survey, select one or more buildings (in the section to the right of the Citation Category section) to which the citation applies.

   The buildings section is not displayed for health surveys.

9. Click **OK**.
10. Enter your citation text.

You can enter as much text as you need. This window has basic word processing capabilities that can be used to format your text.

You can insert predefined text into the citation. For more information, see “Creating and Using Predefined Text for Citations” on page 3-16.

Click the Reg button to see the text of the regulation. Click the IG button to see the text of the interpretive guideline.

You can copy text from a regulation or interpretive guideline and paste it into a citation.

11. Click OK to save your text and return to the Citation Manager window.

12. Repeat steps 3 through 11 for each citation you need to create for this survey.

13. To provide POC Detail, see step 4 on page 3-13 in “Viewing and Updating Citations”.

14. Click Done to exit the Citation Manager window.
Viewing and Updating Citations

You can view and update existing citations as needed. If you are not a member of the team, you can view citations as a supervisor. This allows you to view, edit, and delete all citations. If you are using a network version of ASPEN Survey Explorer, this also locks all other users out of all citations created for the tag you are viewing. You cannot add citations when you view them as a supervisor.

To view and update a citation:

1. Click any tab in the Tree view and locate the survey you want.
   
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.

2. Right-click the survey and select Citation Manager from the popup menu.

   If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click OK.

3. To update citation properties, right-click a citation in the Citations section of the Citation Manager window and select Citation Properties.

4. If applicable, provide dates in the POC Detail section of the Citation Properties window.
   
   • In the POC Received field, enter or select the date the POC was received from the facility.
   
   • In the Facility POC Complete field, which corresponds to field X5 on the HCFA 2567, enter or select the date the facility completed the POC.
   
   • In the SA POC Accepted field, enter or select the date the State Agency accepted the POC.

5. Click OK to return to the Citation Manager window.

6. To display citation text, double-click a citation in the Citations section of the Citation Manager window.

   The Citation window appears containing the citations written by all survey team members for this tag.

   To see only your citation text, click the + next to the citation. Then double-click your name.
7. Edit the citation text as needed.
   
   You can enter as much text as you need. This window has basic word processing capabilities that can be used to format your text.

   Click the Reg button to see the text of the regulation. Click the IG button to see the text of the interpretive guideline. You can copy text from a regulation or interpretive guideline and paste it into a citation.

8. Click **OK** to save your text and return to the Citation Manager window.

## Inserting Backup Citation Text

When the Citation window is open for entering, viewing, or editing citation text, ASE takes a “snapshot” of its contents every two minutes (if at least 500 characters have been entered) and saves the snapshot as a .txt file. These backup files are stored in the WPBackupDir folder in the ASE Data directory. ASE creates a separate file for each surveyor and for each tag.

**Note:** If you paste text passage(s) containing more than 500 characters, but do not leave the Citation window open for at least two minutes, the text is not backed up.

If you lose a quantity of work because of hardware failure, or if you inadvertently delete a surveyor from a survey roster (which also removes all the surveyor’s tags), you can restore the citation text from within the Citation window. Inserted text will be attributed to the active surveyor.

To **insert backup citation text:**

1. In the Citations section of the Citation Manager window, locate and double-click the tag for which you want to insert text.

**Note:** If you are restoring text because the surveyor was removed from the survey, you will have to re-cite the tag before you can select it.
The Citation window appears.

2. From the File menu, select **Insert Backup File**.

ASE displays the contents of the WPBackupDir folder.

3. In the Select Backup File window, locate the .txt file you want.

   Citation text backup filenames consist of the following elements:

   `<Survey EventID><ASPEN Reg Set ID><Tag><StaffID>.txt`

   There may be variations in the filename if the text has been modified by a supervisor.
4. Double-click the file to insert the text into the Citation window.

Note: ASE overwrites existing backup files every two minutes only if more than 500 new characters have been entered in the Citation window. This prevents the backup from being overwritten by the contents of an empty Citation window while you are locating and inserting the file.

Creating and Using Predefined Text for Citations

You can create and save predefined text in ASE to be used in citations. You enter the text once and then use it again whenever needed.

The steps below start from the Citation window where you enter citation text. For more information about creating citations, see “Citations” on page 3-8.

To create predefined text:

1. Click the Predefined Tag Text button at the top of the window. The Predefined Tag Text window appears.

2. Click New.
The Input Predefined Tag Text window appears.

3. Select the Tag to which the text relates from the drop-down list.
4. Select the Surveyor name.
5. Enter a short Description of the text.
6. Enter the tag text.
7. Click **OK**.

   The text is saved and the information is added to the list of predefined text.

8. Click **Close** to return to the Citation window.

**To use predefined text:**

1. In the Citations section of the Citation Manager window, double-click the tag to which the citation relates.

2. In the Citation window, click the Predefined Tag Text button.

   The Predefined Tag Text window appears. The system selects the first predefined text item in the list.

3. Select the predefined text item you want to add to the citation.

   To view the text, double-click the item; click **OK** to return to the Predefined Tag Text window.

4. Click **Insert**.

   The system inserts the predefined text into the citation in the Citation window.
To edit predefined text:

1. Click the Predefined Tag Text button at the top of the window.
2. In the Predefined Tag Text window, select the predefined text you want to edit and click Modify.
3. In the Input Predefined Tag Text window, edit the text as needed and click OK.

To delete predefined text:

1. Click the Predefined Tag Text button at the top of the window.
2. In the Input Predefined Tag Text window, select the predefined text you want to delete and click Delete.
3. Click Yes in response to the confirmation prompt.

To export predefined citation text:

You can export the predefined text for citations in your version of ASE so that they can be used on another machine or by another user.

1. From the System menu, select Specialty Info Transfer.
2. Select Export Content Library.

The Browse for Folder window appears.
3. Navigate to and select the directory for the citation library and click **OK**.

The file is copied to the directory with the name Aspentx.mdb. The file can now be imported into another copy of ASE. You can copy the file to a floppy disk to transfer it to another machine.

If you have a previous export file, a message appears indicating an export database already exists. You are prompted if you want to append the database. Click **OK** and the new export information will be added to the previous file.

**To import predefined citation text:**

You can import predefined text created on another machine or by another user.

1. From the System menu, select **Specialty Info Transfer**.
2. Select **Import Content Library**.
3. In the Browse for Folder window, navigate to and select the directory containing the citation library.
   
   The file is named Aspentx.mdb.
4. Click **OK**.

The file is copied to your ASE directory and the text is now available for use.

**Copying Citation Text**

You can copy the text from one citation to any other citation on the current survey.

**To copy text from one citation to another:**

1. Click any tab in the Tree view and locate the survey you want.
   
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.

2. Right-click the survey and select **Citation Manager** from the popup menu.
   
   If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click **OK**.

3. In the Citations section of the Citation Manager window, right-click a citation.
4. Select **Copy To** from the popup menu. The Existing cites for survey window appears.

![Existing cites for survey 2105W21](image)

5. Select the citation to which you want to copy the text and click **Copy To**.

6. Click **OK** in response to the confirmation prompt.

7. Click **Close** to close the Existing Cites window.

**Viewing Former Citations for a Tag**

You can view the citation text that other surveyors have entered for a tag for any facility and any survey. View this list from the Regulations list in the Tree or List views of the ASPEN Survey Explorer main window. You can also view the list in the Citation Manager window. When you view the list in the Citation Manager window, you can copy the text and insert it into your citation text for the same tag.

**To view former citations in Citation Manager:**

1. In the Citations section of the Citation Manager window, right-click a tag.

2. Select **Former Cites** from the popup menu.
Chapter 3: Surveys and Citations

The Former Cites window appears with a list of the surveys, facilities, surveyors, and scope/severity code for each time that this tag has been cited.

3. To view the text of a citation, select the entry in the list and click Citation Text.

A text window displays the citation text.

4. To copy and paste the text to your citation:
   a. Select the text and press Ctrl+c.
   b. Click Done.
   c. Click Close in the Former Cites window.
   d. In the Citation Manager, double-click the tag where you want to paste the copied text.
   e. In the Citation window, click where you want to paste the text.
   f. Press Ctrl+v.

To view former citations in the Tree or List views:

1. On the Alpha page in the Tree view, click the + sign next to the Regulations node to expand the list.
2. Click the + sign next to the regulation set containing the tag you want to expand the tag list in the Tree view. Or double-click the regulation set name to list the tags in the List view.
3. Right-click the tag in either the Tree or List view.
4. Select Former Cites from the popup menu.

The Former Cites window appears. Continue with step 3 in the previous set of instructions.
Changing the Order of Citations

Citations are automatically printed in alphanumeric order based on the surveyor’s ID. If more than one surveyor has created a citation for the same tag, you can change the order of the citations.

To change the order of the citations:
1. Click any tab in the Tree view and locate the survey you want.
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.
2. Right-click the survey and select Citation Manager from the popup menu.
   If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click OK.
3. In the Citations section of the Citation Manager window, right-click a citation.
4. Select Order By from the popup menu.
   The Order Team Members window appears.
5. Click a surveyor’s name.
6. Click Up or Down to move that surveyor.
7. Repeat steps 5 and 6, as needed.
8. Click OK to save your changes and return to the Citation Manager window.
   The citations will now be printed in the order you set up.
Deleting Citations

You can delete a citation from a survey at any time. You can only delete your own citations unless you are working in ASE as a supervisor.

WARNING: Deleting a citation is permanent. You cannot restore a citation after you delete it.

To delete a citation:

1. Click any tab in the Tree view and locate the survey you want.
   
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.

2. Right-click the survey and select Citation Manager from the popup menu.
   
   If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click OK.

3. In the Citations section of the Citation Manager window, right-click a citation.

4. Select Delete from the popup menu.

5. Click Yes in response to the confirmation prompt.

   The citation is permanently deleted.

Viewing Regulations and Interpretive Guidelines

You can view the text of regulations and interpretive guidelines from the Citation Manager.

To view text:

1. In the Citation Manager window, right-click a tag in the Regulations section.

2. Select Regulation Text or Interpretive Guidelines from the popup menu.

   The appropriate text appears. You can copy text from a regulation or interpretive guideline and paste it into a citation.

   If no text of the selected type exists for the selected tag, the system displays a message indicating this. Click OK to return to the Citation Manager window.

3. Click Done to return to the Citation Manager window.
Searching Citation Text, Interpretive Guidelines, and Regulations

You can search for text in citations, interpretive guidelines, and regulations from the Citation Manager.

To search for text:

1. In the Citation Manager window, click the Find button.
   The Find window appears.

2. Enter the text you want to find.
   Enter the exact word or phrase you are looking for.

3. Select the item(s) you want to search.
   You can search all three: citations, interpretive guidelines, regulations; or any combination of one or more.

4. Click Find Now.
   A list of the documents that contain the text appears in the lower part of the window.

5. Double-click an item in the list to display the text.
   You can copy text from a regulation or interpretive guideline and paste it into a citation.

6. To search for other text, repeat steps 2 through 5.

7. Click Done to return to the Citation Manager window.
Entering POC Text

You can enter Plan of Correction (POC) text into ASPEN Survey Explorer in one of two ways:

- Enter information directly into the ASE word processor
- or -
- Scan the POC text and import it into the ASE word processor.

To enter POC text directly:

1. Click any tab in the Tree view and locate the survey you want.
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.

2. Right-click the survey and select Citation Manager from the popup menu.

3. In the Citations section of the Citation Manager window, right-click a citation and select POC Text from the popup menu.

   The POC Details window appears.

4. Enter or select the POC Received, Facility POC Complete, and SA POC Accepted dates, as appropriate.
5. Enter the POC text.
   
   You can enter as much text as you need. This window has basic word processing capabilities that you can use to format your text.

6. Click OK to save your text and return to the Citation Manager window.

To import scanned POC text:

   Note: You must first scan the POC, convert the file to text, and save it as a .txt or .rtf file before importing. Refer to your scanner manual for information about how to do this.

1. Click any tab in the Tree view and locate the survey you want.
   
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.

2. Right-click the survey and select Citation Manager from the popup menu.

3. In the Citations section of the Citation Manager window, right-click a citation and select POC Detail from the popup menu.

4. In the POC Details window, select Import from the File menu.
   
   The Import window appears.

5. Navigate to the folder where the scanned file is stored.

6. Select the file and click Open.
   
   The text is imported from the file and appears in the POC Details window.

   This window has basic word processing capabilities that you can use to format your text.

7. Click OK to save your text and return to the Citation Manager window.

Managing Survey Photos

If you take photographs of violations with your digital camera, you can add them to your survey in ASE via the Citation Manager. You can also view photos, modify photo information, or delete photos that you have added.

To add a survey photo:

1. Click any tab in the Tree view and locate the survey you want.
   
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.
2. Right-click the survey and select **Citation Manager** from the popup menu.

   If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click **OK**.

3. In the Citation Manager window, click the Photos button.

   The Photos window appears.

4. Click **New**.

   The Open window appears.
5. Navigate to the folder where the photo is and select the file.

6. Click **Open**.

   The Define Photo for Survey window appears with your photo and its file name.

   ![Define Photo for Survey window](image)

7. Enter a Description.

8. Select the Type from the drop-down list.

9. Click **OK** to return to the Photos window.

   The photo Description, Type, and File Name are added to the list and the system adds a copy of the photo file to the Photos subfolder of ASE.

**To view a survey photo:**

1. In the Citation Manager window, click the Photos button.

2. In the Photos window, select the photo you want to view and click **View**, or double-click the photo in the list.

   The photo is displayed in the Define Photo for Survey window.

3. Click **OK** to return to the Photos window.

**To modify photo information:**

1. In the Citation Manager window, click the Photos button.

2. In the Photos window, select the photo you want to change information about and click **View**, or double-click the photo in the list.

   The photo is displayed in the Define Photo for Survey window.
3. Modify the Description and Type as needed.
4. Click **OK** to save the changes and return to the Photos window.

**To delete a survey photo:**

1. In the Citation Manager window, click the Photos button.
2. In the Photos window, select the photo you want to delete and click **Delete**.
3. Click **Yes** in response to the confirmation prompt.
   
   The photo is deleted from the list, but not from the Photos folder.
4. Click **Close** to return to the Citation Manager window.

**Followup Surveys**

Once you complete a survey and receive a plan of correction (POC), you normally schedule a followup survey to ensure the POC has been properly implemented. ASPEN Survey Explorer lets you easily create followup surveys. Your state can also choose to store POC text received from facilities in ASE.

**Creating Followup Surveys**

Followup surveys are derived or created from the original survey in ASE. You can create as many followup surveys as needed to bring a facility into compliance.

**To create a followup survey:**

1. Click any tab in the Tree view and locate the survey you want.
   
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.
2. Right-click the survey and select **Create Followup Survey** from the popup menu.
The Create Followup window appears.

3. Enter or select the Start and Exit dates for the followup survey.
   The dates of the original survey automatically appear. You can change the dates as needed.

4. If necessary, click Update to add or remove team members.

5. If you want to copy your original citation text into the followup survey, select the Carry Text Forward check box.

6. Click OK.
   A new survey is created and added to the tree in the main ASE window. The new survey has the same event ID as the original survey, except the last digit is incremented by one.

You can now create citations for the followup survey. For more information, see “Citations” on page 3-8. The process for followup surveys is the same as for initial surveys.


Modifying Correction Dates

The Correction Dates command lets you modify the correction date for one or more citations associated with a survey. The command is enabled only for followup surveys; these are preceded by * and the last digit of the event ID is greater than 1.

To modify the correction date for a citation:

1. Click any tab in the Tree view and locate the followup survey containing the correction text.
2. Right-click a citation in Tree or List view and select Correction Dates from the popup menu.
3. Click All to change the correction date on all the citations associated with the survey, or click Selected to change the date on the selected citation only.

The Correction Date window appears.

4. Enter or select a new Correction Date and click OK.
Chapter 4: Survey Teams and Survey Transfer

Members of a survey team are usually designated when a survey is created. As needed, you can modify the team roster. Surveyors must be added to the ASE database before you can assign them to survey teams.

The members of a survey team can simultaneously enter their findings for a single survey. ASE provides robust import and export functions to enable shared use and distribution of surveys and facility information.

Surveyor Database

You must create a record for a surveyor in the ASE database before you can assign that individual to a survey team. You can modify and delete surveyor records as needed.

Adding Surveyors

You must add a surveyor to the ASE database before you can include that surveyor on a survey team. Individuals not included in the ASE database cannot run ASE.

To add a new surveyor:

1. Click the Alpha or Type tab.
2. Right-click Surveyors.
   
   You may need to scroll down the Tree view to see the Surveyors node.
3. Select New Surveyor from the popup menu.

You can access the Enter New Staff Information window from the Welcome to ASPEN window that appears when ASE is started. Click New at the bottom of the window and continue with step 4 at right. Individuals can create personnel records for themselves in the Welcome to ASPEN window.
The Enter New Staff Information window appears.

4. Enter the Federal Surveyor ID.
   The ID is a 5-digit number assigned by your CMS Regional Office contact. It cannot be changed later.

5. Enter the State Personnel ID.

6. Enter the First name, Middle initial, and Last name for the employee.

7. Select the employee’s Title Code from the drop-down list.
   Title Codes can be customized for each State.

8. Enter the employee’s E-Mail Address.

9. Enter the Network Login ID.
   Each staff member must have a network login ID. This is the login ID that is used to access the network. ASE automatically fills in the Network Login with the Windows login ID. This must be changed to the Windows login ID for the staff member.

10. Enter the Oracle Login ID and Password.
    The Oracle login ID and password are used to access the MDS (minimum data set) repository for a state. See your network or system administrator to obtain the Oracle login information.
Chapter 4: Survey Teams and Survey Transfer

Modifying Surveyor Information

To modify surveyor information:

1. Click the Alpha or Type tab and locate the surveyor you want.
   
   You may need to scroll down the Tree view to see the Surveyors node.

2. Right-click the surveyor’s name.

3. Select Modify Surveyor from the popup menu.

4. In the Modify Information window, edit the information as needed.
   
   You cannot change the Federal Surveyor ID.

5. Click OK.

Changing the Surveyor ID

You can quickly change the State Employee ID for a surveyor without opening the Surveyor Information window. You cannot change the Federal ID.

To change the surveyor ID:

1. On the Alpha page, expand the Surveyors node  and locate the surveyor.

2. Right-click the surveyor and select Change Surveyor ID from the popup menu.

3. Enter the new Surveyor ID and click OK.

Deleting Surveyors

To delete a surveyor:

1. Click the Alpha or Type tab and locate the surveyor you want.
   
   You may need to scroll down the Tree view to see the Surveyors list.

2. Right-click the surveyor’s name.

3. Select Delete Surveyor from the popup menu.
   
   You cannot delete the active surveyor.

4. Click Yes in response to the confirmation prompt.
Survey Teams

Surveyors are usually assigned to a survey team when the survey is created. Whenever needed, you can add additional members to the team or delete team members. You can also change the active surveyor and designate the team leader. Use the HCFA 670 form to record surveyors’ and non-team members’ time (see “” on page 6-7 and “Entering Time for Non-Team Members” on page 6-9).

Adding Survey Team Members

To add team members:

1. Click any tab in the Tree view and locate the survey you want.
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.
2. Right-click the survey and select Team Roster from the popup menu.
   The Team Roster window appears with a list of the current team members.

   ![Team Roster Window]

   You can also add survey team members via the Citation Manager and Survey Properties windows.
   In the Citation Manager window, click Roster under the Team Roster list and continue with step 3 at right.
   -or-
   In the Survey Properties window, click Update below the Team Roster section and continue with step 4 at right.
3. Click **Update**.

   The Select Surveyors window appears. A check mark by a surveyor indicates the surveyor is on the team.

4. To add a surveyor to the team, click to place a check mark by the surveyor.

5. Click **OK** to return to the Team Roster window in which the new team member(s) are now listed.

6. Click **Done**.
Removing Survey Team Members

To remove a team member:
1. Click any tab in the Tree view and locate the survey you want.
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.
2. Right-click the survey and select Team Roster from the popup menu.
   The Team Roster window appears with a list of the current team members.
3. Select the team member you want to remove from the team and click Delete.
   -or-
   Click Update, then in the Select Surveyors window, click the check mark by a surveyor to remove that surveyor from the team. Click OK.
4. Click Yes in response to the confirmation prompt.
   The surveyor is no longer listed as a team member in the Team Roster window.
5. Click Done.

Changing the Active Surveyor

The active surveyor is the surveyor whose name appears in the status bar at the bottom of the ASE main window. ASE assumes the active surveyor is the surveyor creating citations in the Citation Manager window.

Normally, you should be the active surveyor. You can change the active surveyor if necessary.

To make another surveyor active:
1. Click the Alpha or Type tab and locate the surveyor you want.
   You may need to scroll down the Tree view to see the Surveyors list.
2. Right-click the surveyor’s name.
3. Select Make Active Surveyor from the popup menu.
4. Click Yes in response to the confirmation prompt.
   The surveyor you selected is shown as the active surveyor in the ASE status bar.
Designating the Team Leader

From the ASPEN Survey Explorer main window:
1. Click any tab in the Tree view and find the survey for which you want to designate the team leader.
2. Right-click the survey and select Team Roster from the popup menu.
3. In the Team Roster window, select the team leader.
4. Click Leader.
   A blue diamond is displayed next to the leader’s ID.

From the Citation Manager window:
1. Click Roster.
2. In the Team Roster window, select the team leader.
3. Click Leader.
   A blue diamond is displayed next to the leader’s ID.

One Survey–Multiple Surveyors

ASE enables multiple surveyors to work simultaneously on a single survey and automatically merge the results. Exactly how you do this depends on your office procedures and whether your surveyors use ASE on laptops or a network.

- One individual creates a shell survey using ASPEN Central Office (ACO) and exports it to laptops running ASE.
  -or-
- All surveyors enter findings on a network version of ASE.

Laptop Computer Setup

If your surveyors use laptop computers in the field to enter survey findings and citations, one person, usually the scheduling supervisor or team leader, creates a shell survey (usually in ACO) before the visit and then exports it to all team members. This allows all team members to use the same survey definition with the same event ID to create citations. The chances for errors are reduced and ASPEN can merge the surveys more easily later.

To set up a survey for multiple surveyors using laptops:
1. Before the visit, the scheduling supervisor or team leader creates the survey and enters basic survey information.
This creates a survey shell with a unique event ID for the survey. For more information, see “Creating Surveys” on page 3-2.

**Note:** You can create the shell survey using ACO running on a network or laptop and then export it to laptops running ASE.

2. The scheduling supervisor or team leader exports the survey to one or more floppy disks.

   For more information, see “Exporting Surveys and Facilities” on page 4-10.

3. The other team members import the survey shell from a floppy to their laptops and use it to document their survey findings and enter citations.

   For more information, see “Importing Surveys and Facilities” on page 4-12, “Creating Surveys” on page 3-2, and “Citations” on page 3-8.

   Each team member’s copy of the survey has the same event ID, so ASPEN can merge all citations for the survey into a single master survey after the visit.

4. After all team members finish their citations, they each export their survey to a floppy disk for merging with other team members’ copies of the survey.

   For more information, see “Exporting Surveys and Facilities” on page 4-10.

5. One team member, usually the team leader, imports all team members’ copies of the survey.

   ASPEN automatically combines all surveys that have the same event ID into a single survey, using the Start and End date from the original survey.

6. The team member with the combined survey (assuming it hasn’t been exported to a network server) can now print all required forms and letters.

   For more information, see “Chapter 6: HCFA Forms, Reports, and Letters.”
Network Setup

If surveyors use ASE from your network rather than laptops, you can still arrange for multiple surveyors to work on the same survey.

**To work with multiple surveyors on a network:**

1. Before the visit, the scheduling supervisor or team leader creates the survey and enters the basic survey information.
   
   This creates a unique event ID for the survey. For more information, see “Creating Surveys” on page 3-2.

2. The scheduling supervisor or team leader tells all other team members the event ID of the survey created in step 1.

3. After the visit, team members enter their citations using the survey created in step 1.
   
   Multiple team members can create citations for the same survey at the same time. ASPEN automatically combines all the citations into the single survey. For more information, see “Citations” on page 3-8.

   **Note:** While someone is viewing a citation as a supervisor, no one else can edit that citation or create new ones for the related tag. This ensures that two people are not working on the same citation text at the same time.

4. After all team members finish their citations, anyone with access to ASE can print forms, letters, and reports.
   
   For more information, see “Chapter 6: HCFA Forms, Reports, and Letters.”

Survey and Facility Exchange

ASE’s export and import functions enable you to easily distribute survey and facility information to other ASE users as well as to ASPEN Central Office and Regional Office users. Additionally, you can send surveys and facility information to other users via e-mail.

When you export a survey, information about the facility that is the subject of the survey is included. To export all surveys for a facility, you export the facility. You can export surveys to a floppy disk or to a specified location on your network. Once you export a survey, other users can import it into their systems.
Note: If you make changes or additions to facility information in ASE, those changes will not necessarily transfer to ACO. ACO’s facility records are stored in OSCAR, and changes to those records need to be performed in ACO by personnel with appropriate security rights.

If you are on a survey team that uses ACO or ASE on laptops, we recommend that the scheduling supervisor or team leader create the survey before the visit and export it to a location where other team members can access and import it. This lets all team members create citations using the same survey and event ID. After all team members enter their citations, one member can import all copies of the survey. ASPEN automatically combines all surveys that have the same event ID into a single survey. For more details, see “Laptop Computer Setup” on page 4-7.

Exporting Surveys and Facilities

The export process creates an export file called ASPENTx.ZIP. You can export one or more surveys or facilities in a single export file. The export file contains a compressed copy of each selected survey or facility. It is sent to the floppy drive or network location you specify.

You can export surveys to an ASPEN Transfer Location or any another location. The ASPEN Transfer location is set up in the Define Work Area Location window. For details, see “Configuring ASE Workarea Locations” on page 7-11.

Note: Be sure to specify all applicable regulations and team members (see “Creating Surveys” on page 3-2) before exporting a survey to your survey team.

To export a survey or facility:

1. If you are exporting a survey to a floppy drive, insert the disk containing the regulations file.

2. Click any tab in the Tree view and locate the survey or facility you want to export.
For more information on locating a survey or facility, see “Finding Facilities and Surveys” on page 1-17.

3. Drag the survey or facility to the Export button or simply click the survey or facility and then click the button.

   The Export window appears.

4. Do one of the following:
   • Select **ASPEN Transfer Location** and then select the transfer location from the drop-down list.
   • Select **Other Location**. Enter the location where you want the survey or facility exported to or click the Find button to navigate and select the location. ASPENTx.zip is the default export file name.

   **Note:** You can save surveys and facilities in an unzipped .mdb file by leaving the .zip extension off the filename or by typing the filename with the .mdb extension.

   ASE creates ASPENTx.ZIP with a compressed copy of the survey or facility, copies it to the selected location, and displays a message telling you the export is complete.

   If there is an existing export file at the specified location, the selected survey(s) or facility(s) are added to it.

   If you repeat the procedure, each additional survey or facility is compressed and added to ASPENTx.ZIP.
Importing Surveys and Facilities

You can import the survey(s) and facility information compressed and stored in an export file. The import function can be very helpful when a survey team is working on a single survey. You can use the import function to copy a survey from another team member onto your computer. This enables team members to use the same survey and event ID to create citations.

Any team member (but usually the team leader) can combine the surveys from one or more team members into a single, complete survey. See “One Survey–Multiple Surveyors” on page 4-7 for more information.

If you already have a survey with the same event ID as the survey you import, ASE automatically combines the surveys into a single survey. If the imported survey has additional facility information—for example an additional building—ASE also combines the facility information.

If each team member defines a separate survey, the event IDs do not match. You can change the event IDs for the surveys to a single event ID before importing them. ASE can then automatically combine the survey data into a single survey. See “E-mailing Surveys and Facilities” on page 4-14.

You can import surveys from an ASPEN Transfer Location or from another location. The ASPEN Transfer location is set up in the Define Work Area Location window. For details, see “Configuring ASE Workarea Locations” on page 7-11.

Note: You cannot import a survey with associated assessment data into ASE.

To import a survey or facility:

1. If you are importing a survey from a floppy disk, insert the disk containing the export file with the survey(s) you want to import.

2. Click the Import button.
Chapter 4: Survey Teams and Survey Transfer

The Import window appears.

3. Select **Surveys**.

4. Do one of the following:
   - Select **ASPEN Transfer Location** and then select the transfer location from the drop-down list.
   - Select **Zip or mdb file**. Enter the location where the file is located or click the Find button to locate and select the file.

5. Click **OK**.

ASE searches for the ASPENTx.zip file. When the file is located, the Select Survey(s) to Import window appears. It lists the surveys contained in the export file.
6. Select the survey(s) you want to import; choose **Select All** to import all of the surveys in the export file.

7. Click **OK**.

The survey(s) are imported from the export file and decompressed. A message appears indicating the import was successful. The imported survey(s) are now included in the list of surveys on any page in the Tree view.

### E-mailing Surveys and Facilities

You can send surveys or facilities to others via e-mail.

**To e-mail a survey or facility:**

1. Click any tab in the Tree view and locate the survey or facility you want to e-mail.

   For more information on locating surveys and facilities, see “Finding Facilities and Surveys” on page 1-17.

2. Drag the survey or facility to the E-Mail button or simply click the survey or facility and then the button.

   ASE automatically starts your e-mail software and sets up the survey or facility as an attachment if your e-mail is properly configured. If not, the Choose Profile appears. See your system administrator for assistance in providing the information requested.

3. Address and send the message as usual.

### Changing Survey Event IDs

You can change the event ID that ASPEN Survey Explorer assigns only for surveys that are not certification-related. You might do this to match your event ID to the event ID that another surveyor has for the same survey. This enables you to transfer the surveys and combine them into a single survey.

If you are transferring a survey, it is better to first go to the computer to/from which you are exporting/importing and change the event ID there, then export/import the survey. Thus the transferred survey is automatically merged and the event ID matches on both computers.
**Note:** Rather than changing the event ID after team members have created separate surveys on their computers, we recommend that you create a single shared survey as outlined in “One Survey–Multiple Surveyors” on page 4-7.

**To change the event ID for a survey not linked to a certification:**

1. Click any tab in the Tree view and locate the survey you want.
   
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.

2. Right-click the survey and select **Change Event ID** from the popup menu.
   
   The Change Event ID window appears.

   ![Change Event ID window](image)

3. Enter the new event ID and click **OK**.
   
   If the event ID matches that of a survey on your machine, a prompt asks if you want to merge the surveys.

4. Click **Yes** or **No** as appropriate in response to the confirmation prompt.
Chapter 5: Regulations

You can add state regulations to the ASPEN Survey Explorer database so that surveyors can create citations for deficiencies based on their state regulations.

To set up state regulations, you must complete three major tasks:

- Create the regulation set.
- Create each regulation tag within the regulation set.
- Assign the regulation set to the facility types to which it applies.

Once you create the state regulation set and tags, you can export them so that other users can import them into their installation of ASPEN Survey Explorer. You can also print, edit, or delete regulation sets and tags that you create.

You can view, print, and delete federal regulations that come with ASPEN Survey Explorer. You cannot edit them. You can import the updates to federal regulations that Alpine Technology distributes to you periodically.

Finding Regulation Sets and Tags

The Tree view displays all the information stored in the ASPEN Survey Explorer database. To find state and federal regulation sets and tags, you must locate the Regulations node in the Tree view and then find the regulation set or tag you want.

**To find regulation sets and tags:**

1. Click the Alpha or Type tab and scroll down until you see the Regulations node.
2. Click the + next to the Regulations node to see a list of regulation sets.
3. Click the + next to a regulation set to see a list of tags.
Creating State Regulation Sets

You can create state regulations for use by all ASPEN Survey Explorer users. You must first create a regulation set. Then you can create each tag.

To create a state regulation set:
1. Click the Alpha or Type tab.
2. Right-click Regulations and select New Regulation Set from the popup menu.
   
The New State Regulation Set window appears. The Aspen ID is automatically assigned by ASE.

3. Enter a one-character Regulation Set code.
4. Enter the regulation Version.
5. Enter or select the Created and Effective Dates.
6. Enter the Regulation Title, Abbreviation, and Created By.
   
   ASPEN Survey Explorer uses the abbreviation on system windows when the full name of the set is too long.
7. If you want users to select a severity/scope code when creating citations, select the Severity/Scope check box.
8. If you want the regulation set to be active in ASPEN Survey Explorer, select the Regulation Set Currently Active check box.

You probably do not want the new regulations to be active until you finish entering all of the tags. This is especially true if you are working on a network installation of ASPEN Survey Explorer.

If you have to export the regulation set to others users when it is complete, be sure to check this box before exporting it. Otherwise each user will have to change this setting.

9. Click **OK**.

You can now assign this regulation set to the facility type(s) to which it applies and create the tags. See “Creating State Tags” on page 5-4 and “Creating State Tags” on page 5-4.

### Modifying State Regulation Sets

When you modify a state regulation set, be sure to export the changed version to laptop users.

1. Click the Alpha or Type tab.

2. Right-click the state regulation set you want to modify and select **Regulation Properties** from the popup menu.

The Regulation Set Properties window appears.
3. Modify the information as needed.
   
   You cannot change the Aspen ID.

4. To make the regulation set active, click the Regulation Set Currently Active box.
   
   If you have to export the regulation set to others users when it is complete, be sure to check this box before exporting it. Otherwise each user will have to change this setting.

5. To see which facility types are set up to use this regulation set, click **Facility Types Using These Regs**.
   
   The Facility Types Using Xxx Regulations window appears.

   You cannot edit the facility types here. See “Creating State Tags” on page 5-4 for information on linking regulations to facility types.

6. Click **OK**.

## Creating State Tags

Once you set up a state regulation set, you can create tags for it.

After you create all the tags, you can make the set available to users. If users are accessing a network installation of ASPEN Survey Explorer, you can make the regulation set active for all users. See “Modifying State Regulation Sets” on page 5-3.

If users have ASPEN Survey Explorer installed on laptop computers, you should export the set. For more information, see “Decrypting Regulation Sets” on page 5-13.

**To create tags:**

1. Click the Alpha or Type tab.

2. Locate and right-click the new regulation set.

3. Select **New Tag** from the popup menu.
The Regulatory Tag Properties window appears.

4. Enter the Tag Number and select the Tag Type from the drop-down list.
   Each Tag Number must be unique.

5. Enter the Version and enter or select the Version Date for the tag.

6. Enter the tag Title and applicable CFR/Statute.

7. To indicate a tag is particularly important, select the Critical check box.

8. Click **Regulation**.

9. Enter the regulation text in the Regulation Text window.

10. Click **OK** to return to the Regulatory Tag Properties window.

11. To enter interpretive guidelines, click **Interpretive Guidelines**.
   Enter the text in the Interpretive Guideline Text window and click **OK**.

12. To enter custom help, click **Custom Help**.
   Enter the text in the Custom Help Text window and click **OK**. You can provide additional information about the tag here.

13. Click **OK**.

14. Repeat the procedure for each tag.
Modifying State Tags

When you modify state tags, be sure to export the new version for laptop users.

1. Click the Alpha or Type tab.
2. Locate the state regulation set with the tag you want to modify.
3. Right-click the tag and select **Tag Properties** from the popup menu.
4. In the Regulatory Tag Properties window, modify the information as needed.

   You cannot change the Tag Number.

5. Click **Regulation, Interpretive Guidelines**, or **Custom Help** to edit the associated text.
6. Click **OK**.

Assigning State Regulations to Facility Types

After you create a state regulation set, you can assign the facilities to which the regulations apply. When you create a new survey for an assigned facility type, the regulations will automatically be listed.

**To assign facility types to which regulations apply:**

1. From the System menu, select **Facility Types**, then **Type Maintenance**.

   You may be prompted for a security password. When you supply it, The Facility Types window appears.

   ![Facility Types Window]

   You cannot use regulations on a survey until they are assigned to a facility type.
2. Select the facility type to which you want to assign the regulation set.
3. Click **Modify**.
   
   The Define Facility Type window appears.

4. Select your new regulation set in the **Allowed Regulation Sets** list.

   **Note:** You can click an already assigned (highlighted) regulation set to de-assign it.

5. Click **OK**.
6. Repeat steps 2 through 5 for each facility type to which you want the regulations to apply.
7. Click **Close**.

ASPen Survey Explorer users can now select the new regulation set for each facility type when they create a survey.
Viewing and Printing Regulations

You can view any state or federal regulation set or tag and print regulation sets.

To view regulation set properties:
1. Click the Alpha or Type tab.
2. Locate the regulation set you want to view.
3. Right-click the set and select Regulation Properties from the popup menu.

The Regulation Set Properties window appears.

4. Click OK.

To view regulation tag text:
1. Click the Alpha or Type tab.
2. Locate the regulation set with the tag you want to view.
3. Right-click the tag and select **Tag Properties** from the popup menu. 

The Regulatory Tag Properties window appears.

![Regulatory Tag Properties window](image)

4. Click **Regulation**, **Interpretive Guidelines**, or **Custom Help** to view the associated text.

5. Click **OK** to return to the Regulatory Tag Properties window.

6. Click **OK**.

**To print a regulation set:**

1. Click the Alpha or Type tab.

2. Locate the regulation set you want to print.

3. Drag the regulation set to the Print button.

4. In the Print window, click the Print button.
Exporting Regulations

When you finish creating the tags for your state regulation set, you can export the set. ASPEN Survey Explorer users who have ASE installed on can then import it into their systems. You can also export federal regulation sets.

Before you export the regulation set, we recommend you make the set active so that each user does not have to change the setting to be able to use the regulations. See “Modifying State Regulation Sets” on page 5-3.

You can export regulations to an ASPEN Transfer Location or any another location. The ASPEN Transfer location is set up in the Define Work Area Location window. For details, see “Configuring ASE Workarea Locations” on page 7-11.

To export a regulation set:

1. If you are exporting regulations to a floppy disk, insert a disk into your floppy drive.
2. Click the Alpha or Type tab and locate the regulation set you want to export.
3. Drag the regulation set to the Export button. The Export window appears.
4. Do one of the following:
   - Select **ASPEN Transfer Location** and then select the transfer location from the drop-down list.
   - Select **Other Location**. Enter the location where you want the file exported to or click the Find button to locate and select the location.
5. Click OK.

The regulation set is copied to the location and a message appears indicating that the export is complete.

**Importing Regulations**

You can import regulation sets as needed. You may receive updated federal regulations or new or revised state regulations that you need to add to your ASPEN Survey Explorer.

You can import regulations from an ASPEN Transfer Location or any another location. The ASPEN Transfer location is set up in the Define Work Area Location window. For details, see “Configuring ASE Workarea Locations” on page 7-11.

**To import regulations:**

1. If you are importing regulations from a floppy disk, insert the disk containing the regulations file.

2. Click the Import button. The Import window appears.

3. Select Regulations.

4. Do one of the following:
   - Select ASPEN Transfer Location and then select the transfer location from the drop-down list.
   - Select Zip or mdb file. Enter the location where the file is located or click the Find button to locate and select the file.
5. Click **OK**.

The regulations file is imported. A message appears indicating the import was successful.

---

**Note:** If a regulation set that you are importing already exists, you are asked if you want to abort the transfer.

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**Importing Regulations with the Patch Utility**

The ASE Import Patch Utility is used to apply updates to existing regulation sets.

**To use the patch utility:**

1. Click the Alpha or **Type** tab and locate the regulation set.

2. Right-click the regulation set and select **Import Patch File** from the popup menu.

   The Regulation Patch window appears.

3. In the Source Information section, enter the location of the patch utility. You can click the Find button to locate and select the utility.

   The patch file name is RegPatch.zip. The default location for the patch is in the directory where you installed ASE.

4. In the Log Information section, enter the location where you want to save the log file. Click the Find button to locate and enter a location.

5. Select **Click Here to Begin Transfer**.

   The transfer process occurs. A log file of the patch process is created by the utility.
Deleting Regulation Sets

You can delete any state or federal regulation set that has not been cited in ASE.

1. Click the Alpha or Type tab.
2. Locate the regulation set you want to delete.
3. Right-click the regulation set and select **Delete Regulation Set** from the popup menu.
4. Click **Yes** in response to the confirmation prompt.

Deleting Tags

You can delete state or federal tags that have not been cited in ASE.

1. Click the Alpha or Type tab.
2. Locate the regulation set with the tag you want to delete.
3. Right-click the tag and select **Delete Tag** from the popup menu.
4. Click **Yes** in response to the confirmation prompt.

Decrypting Regulation Sets

Regulations are stored in ASE in an encrypted format. If the regulations are to be used in an application outside of ASE, they must first be decrypted.

**To decrypt a regulation set:**

1. Click the Alpha or Type tab.
2. Locate the state regulation set you want to decrypt.
3. Right-click the set and select **Decrypt Regulation Set** from the popup menu.

---

**Note:** Do *not* use the Regulation Import button to load the regulation patch unless you delete the existing regulation set first. It will *not* be possible to delete the existing set if any surveys have been created with that set, so in most cases it is easier to use the patch utility.
The Decrypted Regulation Database Name window appears.

4. Select the location to which you want the regulation set saved and enter a file name.
   
   Do not change the file extension.

5. Click Save.
   
   The regulation set is decrypted and saved to the specified location. A message appears indicating that the regulation set was successfully decrypted.
Chapter 6: HCFA Forms, Reports, and Letters

ASPEN Survey Explorer provides a number of online options for producing the “paperwork” associated with facility and survey management. When you need hard copies, you can print them.

You can readily accomplish the following tasks with ASE:

- Print HCFA (CMS) survey forms.
- Generate and print a variety of reports.
- Create, edit, and print templates for form letters.
- Generate customized form letters from templates to send to facility administrators and others as needed.

The Report Preview Window

All forms and reports are displayed initially in a report preview window. From that window you can view, print, and export the form or report. The name of the form or report appears in the title bar. You can maximize the window if you want to review the report on screen. The preview window includes a toolbar for convenient activation of commonly used commands.
For certain reports and forms, the Toggle Group Tree button toggles the display between Standard view and Group Tree view. In Group Tree view the screen is split, with a high level outline of the report in the left pane and the body of the report in the right pane.

The outline organizes record groups into a tree format. You can locate and click the group node you want and go directly to that section of the report. Using the Group Tree will speed up your navigating in lengthy reports.

**Printing HCFA Forms**

You can view and print various HCFA (CMS) forms from ASPEN Survey Explorer:

- HCFA 2567L/A - Deficiency reports
- HCFA 2567B - Corrected Deficiencies
- HCFA 670 - Workload
- HCFA 1539 - Certification & Transmittal
- HCFA 197 - CLIA
- HCFA 1557 - CLIA

You can enter data for the 670 and 1539 forms and select the information to include on a 2567. The 2567B is only applicable for followup surveys with corrected deficiencies. You can select what to include on the CLIA reports.

You can also view and print a Severity/Scope Grid report.

**To view and print HCFA forms:**

1. Click any tab in the Tree view and locate the survey you want.
2. Right-click the survey and select **Citation Manager** from the popup menu.
3. In the Citation Manager window, click the Forms button.
The Select Form(s) to print window appears.

4. Select the forms you want to view and print.

   You can select one or more forms.
   - If you select the 2567 report, you can select what you want to print. For more information, see “Entering HCFA 2567 Information” below.
   - You can enter information for the 670 and 1539 forms using the proper Entry button. For more information, see “Entering HCFA 670 Information” on page 6-7 and “Entering HCFA 1539 Information” on page 6-11.

5. Click OK.

   Each form you selected is displayed in a report preview window. A message appears if the form contains no data.

   To review the form on the display screen, click the maximize button in the upper-right corner of the title bar. To print or export the form, click the Print or Export button on the toolbar of the report preview window. Provide requested information, then click OK.

6. Click the X in the upper-right corner to close each report preview window.
Printing a Draft of HCFA 2567

You can print a draft of the HCFA 2567 report without the formatting. This allows you to review a hard copy of the citations before producing the final report. You can choose to:

- Print only your citations
- Print citations entered by a specific surveyor
- Print all citations in the survey
- Print only selected tags

As in the final HCFA 2567 report, you can combine multiple surveys into a single form.

To print a draft of the HCFA 2567 report:

1. Click the Alpha or Survey tab and locate the survey you want.
2. Right-click the survey and select Citation Manager from the popup menu.
3. In the Citation Manager window, click the Forms button.
4. In the Select Form(s) to print window, select Quick Report and click OK.

The Quick Report window appears.
5. In the Choose a Quick Report section, select the desired option.
6. Select one or more of the three check box items if appropriate.
7. Click OK to display the report.
   • If you chose Specific Surveyor, the Select Team Member for Quick Report window appears. Select the name of the surveyor whose tags you want to report and click Select.
   • If you chose Selected Tags, the Tags in Survey window appears. It lists all the tags cited in the survey. Check one or more tags to include in the report and click OK.

**Entering HCFA 2567 Information**

You can specify the information you want to include in the HCFA 2567L/A report. Citations for Federal regulations print on the HCFA 2567-L, except those with a severity/scope rating of 1/1(A), which print on the 2567A form.

**To specify HCFA 2567 content:**
1. Click any tab in the Tree view and locate the survey you want.
2. Right-click the survey and select Citation Manager from the popup menu.
3. In the Citation Manager window, click the Forms button.
4. In the Select Form(s) to print window, select HCFA 2567 and click OK.
Chapter 6: HCFA Forms, Reports, and Letters

The Customize Survey Report Form (HCFA 2567) appears.

The Specifications for Combined Survey Report Form (HCFA 2567) window appears.

5. Select the items you want to include.

6. If you want to include more than one survey type, regulation set, or building on the same form, click Combine.

If your survey contains multiple regulations (or buildings if LSC), ASPEN Survey Explorer normally produces a separate 2567 for each one. The Combine function lets you combine regulations or buildings on one form.

The Specifications for Combined Survey Report Form (HCFA 2567) window appears.

7. Select the Survey Types, Regulations, and Buildings you want to include on your form.

8. Click OK to return to the previous window.
9. Click **OK** to return to the Select Form(s) to print window.

10. Click **OK**.

Citations that have a severity/scope rating of 1/1(A) designated in Citation Properties print only on the 2567A form. If your survey has such a citation, you will be asked if you want to print the 2567-L, the 2567A, or both.

The HCFA 2567 is displayed in a report preview window. A message appears if the form contains no data.

To review the form on screen, click the maximize button in the upper-right corner of the title bar. To print or export the report, click the Print or Export button on the toolbar of the report preview window. Provide requested information, then click **OK**.

11. Click the **X** in the upper-right corner to close each report preview window.

### Entering HCFA 670 Information

Before you print a HCFA 670 form, you need to enter workload data for surveyors and non-team members. You can print the 670 form without data, however, if you need blank hard copy. As needed, you can exclude team members from the 670 form.

### Entering Time for Surveyors

To enter a surveyor’s time:

1. Click any tab in the Tree view and locate the survey you want.
2. Right-click the survey and select **HCFA 670 Workload**.

The HCFA 670 Workload Detail for Survey window appears.

You can also access the HCFA 670 Workload Detail window from the Citation Manager. Click the Forms button and in the Select Forms to print window, click 670 **Entry**. Continue with step 3 at right.

Workload information can be entered directly on the grid.
3. For each staff member, enter or select Arrival and Depart dates.

4. Enter the number of Pre-Survey Hours, the number of On-Site Hours for each shift, Travel and Off-Site hours as applicable.

5. Repeat steps 3 and 4 for each survey team member.

   -or-

   If the hours for all team members are the same, enter the hours for one team member, and then click **Set All Hours** at the bottom of the window.

6. To designate a staff member as team leader, click the Leader box in the appropriate row.

7. If this is a followup survey, and you want to exclude a team member, click the On Team box next to the member’s Staff Name to de-select it.

    Some team members on the list may be from the original survey. This excludes the team member from the form for the followup survey.

---

**Note:** The On Team box for all team members is selected by default unless you previously chose to exclude team member(s) (see “Excluding Survey Team Members from HCFA 670” on page 6-10).

---

8. Click the Print button to display the form.

    The report preview window displays the form. A message appears if the form contains no data.
To review the form on screen, click the maximize button in the upper-right corner of the title bar. To print or export the form, click the Print or Export button on the toolbar of the report preview window. Provide requested information, then click OK.

9. Click the X in the upper-right corner to close the report preview window.

**Entering Time for Non-Team Members**

Use the Office hours window to enter any time that clerical staff and supervisors at the State Agency and Regional Office/CMS have spent on the survey.

**To enter time for non-team members:**

1. At the bottom of the HCFA 670 Workload Detail for Survey window, click **Office Hours**.

   The Office hours window appears.

   ![Office hours window](image)

2. Enter the hours for each SA (State Agency) and RO (Regional Office/CMS) staff member who worked on the survey.

3. Select the Was Statement of Deficiencies … ? check box if the answer is Yes.

4. Click **OK**.
Excluding Survey Team Members from HCFA 670

You may want to exclude team members from the original survey on the 670 form for a followup survey.

To exclude a team member from HCFA 670:

1. Click any tab in the Tree view and locate the survey you want.
   For more information on locating a survey, see “Finding Facilities and Surveys” on page 1-17.

2. Right-click the survey and select Team Roster from the popup menu.
   The Team Roster window appears with a list of the current team members.

3. Select the team member you want to exclude from the HCFA 670 report and click the Exclude button.

4. Click Yes in response to the confirmation prompt.
   ASE places the word “No” in the On 670 Team column for this surveyor. The Exclude button toggles to the Include button for this surveyor.

   For details on fields in the HCFA 670 Workload window, see “Entering HCFA 670 Information” on page 6-7.

Note: You can directly deselect the On Team box for a surveyor in the HCFA 670 Workload window.

5. To re-include a team member, select the member’s name and click the Include button.

6. Click Done.
Entering HCFA 1539 Information

Information for survey-specific HCFA 1539s that are not associated with certification kits is entered via the 1539 Entry option in the Select Form(s) to print window as outlined below.

Note: If you are completing the HCFA 1539 form for a survey of a facility for which a certification kit will be uploaded to OSCAR from ACO or ARO (currently HHAs and NHs), certain fields in the 1539 input form in ASE may be disabled. Information must be entered in these fields through the applicable certification kit in ACO or ARO. For information about certification kits, see chapter 4 in the ASPEN Central Office Reference Guide.

You can also create facility-specific HCFA 1539s using a right-click menu option.

To enter survey-specific HCFA 1539 information:

1. Locate the survey you want in the Tree view.
2. Right-click the survey and select Citation Manager from the popup menu.
3. In the Citation Manager window, click the Forms button.
4. In the Select Forms to print window, click 1539 Entry.

The C&T 1539 window appears with the Details page displayed.

You can also open a survey-specific 1539 from the Tree view.
In the Tree view, right-click the survey, select Print Forms from the popup menu, and continue with step 4 at right.
-or-
Select HCFA 1539 C&T from the popup menu and continue with step 5.
5. Enter all applicable information on the Details tab.

For information about the fields, see “Transmittal (HCFA-1539)” in chapter 4 of the ACO Reference Guide.

6. If you indicated the facility is In Compliance on the Details page, click the Compliance tab.

7. Indicate whether the compliance is based on an Acceptable POC and/or Approved Waivers.

If you select In Compliance on the Details page, but don’t indicate the basis on the Compliance page, Code A will appear in the L12 field when you generate the 1539 form. If you indicate the basis, the code reflects this. For example, if you select 1-Acceptable POC and 7-Medical Director, Code A17 will appear in the L12 field.

8. Click the Remarks tab and enter any comments or remarks you want to make about the facility.

9. If applicable, click the Beds tab and enter numbers for Total Facility beds, Total Certified beds, and Certified Bed Breakdown.

   The Beds tab appears only for applicable facilities. For example, it appears for nursing homes but not HHAs.

10. Click Print to display the form.

   The report preview window displays the HCFA 1539 form. A message appears if the form contains no data.

   To review the form on screen, click the maximize button in the upper right corner of the title bar.

   To print or export the form, click the Print or Export button on the toolbar. Provide requested information, then click OK.

11. Click the X in the upper-right corner to close the report preview window.

12. Click OK to return to the Select Forms to print window.

To enter facility-specific HCFA 1539 information:

1. Click the Alpha or Type tab and locate the facility you want.

2. Right-click the facility.

3. Select Forms, then HCFA C&T 1539 from the popup menu.

   If at least one 1539 not linked to a certification exists, the Select HCFA C&T 1539 window appears. See “Managing Multiple 1539s” below.

   Otherwise, the C&T 1539 window appears. See the procedure immediately above.
Managing Multiple 1539s

If one or more 1539s not linked to a certification have been issued for a facility, you can open a list of them from the facility in the Tree view.

To view a list of 1539s for a facility:
1. Right-click a facility in the Tree view.
2. Select Forms, then HCFA C&T 1539 from the popup menu.

If there are existing 1539s, the Select HCFA C&T 1539 window appears.

This window lists survey-specific and facility-specific 1539s that are not associated with certification kits. To work with certification-linked 1539s, you must use ACO or ARO. See “Transmittal (HCFA-1539)” in chapter 4 of the ACO Reference Guide.

Note: The event ID in the first column matches the survey event ID for a survey-specific 1539. For a facility-specific 1539, the event ID is associated only with the 1539.

- To modify an existing 1539, select it in the list and click Edit Selection.
- To create a new 1539, click Add New.
- To delete a 1539, select it in the list and click Delete, then Yes in response to the confirmation message.

Entering HCFA 197 Information

Before you print a HCFA 197 - CLIA report, you must enter data. You can do this via the 197 Entry option in the Select Form(s) to print window.

To enter HCFA 197 information:
1. In the Select Form(s) to print window, click 197 Entry.
The CLIA 197 window appears.

2. Select the applicable categories.

3. To indicate a limitation for a category in compliance, click **Limitation** and enter a description of the limitation.

4. To indicate the reason a category is not in compliance, click **Reason** and enter the reason.

5. Click the Print button to display the form.

   The report preview window displays the HCFA 197. A message appears if the form contains no data.

   To review the form on screen, click the maximize button in the upper-right corner of the title bar. To print or export the report, click the Print or Export button on the toolbar of the report preview window. Provide requested information, then click **OK**.

6. Click the X in the upper right corner to close the report preview window.

7. Click **OK** to return to the Select Form(s) to print window.
Entering HCFA 1557 Information

Before you print a HCFA 1557 - CLIA report, you must enter data. You can do this via the 1557 Entry option in the Select Form(s) to print window.

To enter HCFA 1557 information:

1. In the Select Form(s) to print window, click **1557 Entry**.

   The 1557 Detail window appears with the Moderate Complexity page displayed.

2. Enter the Survey Status and State License Number on the Moderate Complexity page. Enter the number of qualified people for applicable regulatory sections on the Moderate Complexity, High Complexity, and Cytology pages.

3. On the Specialties page, select a category and click **Add/Edit Specialty**. Enter the necessary information and click **OK**.

4. Click **OK** to return to the Select Form(s) to print window.
5. To display the form, click **HCFA 1557** and **OK**.

The report preview window displays the HCFA 1557. A message appears if the form contains no data.

To review the form on screen, click the maximize button in the upper-right corner of the title bar. To print or export the report, click the Print or Export button on the toolbar of the report preview window. Provide requested information, then click **OK**.

6. Click the X in the upper-right corner to close the report preview window.

7. Click **OK** to return to the Select Form(s) to print window.

**Viewing the Severity/Scope Grid Report**

The Severity/Scope Grid report lets you analyze the distribution of citations by severity/scope rating.

**To view and print the Severity/Scope Grid report:**

1. In the Select Form(s) to print window, click **S/S Grid**.

2. To display the form, click **OK**.

   The report preview window displays the Severity/Scope Grid report. A message appears if there is no data.

   To review the report on screen, click the maximize button in the upper-right corner of the title bar. To print or export the report, click the Print or Export button on the toolbar of the report preview window. Provide requested information, then click **OK**.

3. Click the X in the upper-right corner to close the report preview window.

**Printing Quality Reports**

You can print four types of quality reports from ASE:

- Review by tag or by surveyor
- Deficiencies by tag
- Severity/Scope Summary
- 670 Summary
Review Reports

The Review reports let you analyze how often a surveyor cites violations of specific tags and how many citations surveyors generate.

To view and print a Review report:

1. From the Quality menu, select Review and then By Tag or By Surveyor.

   This procedure assumes you select Review by Tag.

   The Customize Review By Tag window appears.

   ![Customize Review By Tag window](image)

   2. Enter or select the Start and End dates you want on the report.

   3. Select one or more Survey Types.

   4. Select one or more of the Regulation Sets.
5. Click **OK**.

The report is displayed in the report preview window. A message appears if no information meets the criteria you specified.

To review the report on screen, click the maximize button in the upper-right corner of the title bar. To print or export the report, click the Print or Export button on the toolbar of the report preview window. Provide requested information, then click **OK**.

6. Click the X in the upper-right corner to close the report preview window.

### Deficiencies by Tag

The Review by Tag - Deficiencies report lists surveys that cite a specific tag.

**To view and print a Deficiency report:**

1. Click the Alpha tab and locate the regulation set and tag you want.

   You may need to scroll down the Tree view to see the Regulations node.

2. Right-click the tag you want.

3. Select **Print Deficiencies** from the popup menu.

4. In the Print Deficiencies window, enter or select the Start Date and End Date of the period you want to cover in the report.

   The report is displayed in the report preview window. A message appears if no information meets the criteria you specified.

   To review the report on screen, click the maximize button in the upper-right corner of the title bar. To print or export the report, click the Print or Export button on the toolbar of the report preview window. Provide requested information, then click **OK**.

5. Click the X in the upper-right corner to close the report preview window.
Severity/Scope Summary

The Severity/Scope Summary lets you analyze the distribution of citations by severity/scope assignment.

To view and print a Severity/Scope Summary:
1. From the Quality menu, select Scope/Severity Summary.

The Customize Severity/Scope Summary report window appears.

2. Enter or select the Start and End dates you want on the report.
3. Select one or more Survey Types.
4. Select one or more of the Regulation Sets.
5. Click **OK**.

The report is displayed in the report preview window. A message appears if no information meets the criteria you specified.

To review the report on screen, click the maximize button ☐ in the upper-right corner of the title bar. To print or export the report, click the Print or Export button on the toolbar of the report preview window. Provide requested information, then click **OK**.

6. Click the **X** in the upper-right corner to close the report preview window.

**670 Summary**

The 670 Summary shows survey team workload for selected regulation set(s).

**To view and print a 670 Summary:**

1. From the Quality menu, select **670 Summary**.

2. In the Print 670 Summary window, enter or select the Start Date and End Date of the period you want to cover in the report.

3. Click **OK**.

   The Choose Regulations window appears.
4. In the Regulations section, select the regulation set(s) you want to include in the report.

   All are selected by default. You can choose De-Select All and then select the ones you want; De-Select All toggles to Select All.

5. Click OK.

   The report is displayed in the report preview window. A message appears if no information meets the criteria you specified.

   To review the report on screen, click the maximize button \[
\]
   in the upper-right corner of the title bar. To print or export the report, click the Print or Export button on the toolbar of the report preview window. Provide requested information, then click OK.

6. Click the X in the upper-right corner to close the report preview window.

**Form Letter Templates**

ASE provides options to let you create form letter templates that are available to all ASE users. A form letter template contains standard text and macros as placeholders for survey-specific information. You can edit, export, and print hard copies of the templates as necessary. From the templates, users can generate and print custom form letters to send to facility administrators and others whenever needed.

**Creating Form Letter Templates**

The Letter Management option lets you create form letter templates from which you can generate letters customized for individual surveys and recipients.

A form letter template contains standard text and macros as placeholders for survey-specific information. When you print a letter in connection with a survey (from Citation Manager), ACO replaces the macros with the survey-specific information, such as facility name and address, administrator’s name, dates of survey, etc.
To create a new form letter template:

1. From the System menu, select **Letter Management**.

   The Letters window appears.

2. Click **New**.

   The Letter Description window appears.
3. Enter an ID (4 characters maximum) and Description for the letter.
   You cannot change the ID after clicking OK in this window.
4. Leave the Is View option unchecked.
   This option is for internal use by Alpine Technology.
5. Enter the Top Margin and Bottom Margin in inches.
6. If you want to include the page number in the header, select the Page Number in Header check box.
7. Click Header Text and enter the text you want included in the header.
8. Enter the page number on which you want the header started.
9. If you want to include the page number in the footer, select the Page Number in Footer check box.
10. Click Footer Text and enter the text you want included in the footer.
11. Click OK.
    The Edit Text for Letter window appears.
12. Enter the letter text.
    You can enter as much text as you need. This window has basic word processing capabilities that you can use to format your text.
    You can use macros to insert information that is stored in the ASE database into letters. For more information, see “Inserting Macros in Letter Templates” on page 6-26.
13. Click OK to save the letter and return to the Letters window.
Viewing and Modifying Form Letter Templates

You can view and modify form letter templates as needed.

To change the description or margins:
1. From the System menu, select Letter Management.
2. In the Letters/View Manager window, select a letter and click Modify.
3. In the Letter Description window, make the desired changes and click OK.

To change the text:
1. In the Letters/View Manager window, double-click a letter, or select a letter and click Text.
2. In the Edit Text for Letter window, change the text as needed.
3. Click OK to save the letter and return to the Letters/View Manager window.

Deleting Form Letter Templates

You can delete form letter templates at any time.

To delete form letter template(s):
1. From the System menu, select Letter Management.
2. In the Letters/View Manager window, select the template(s) you want to delete.
3. Click Delete.
4. Click Yes in response to the confirmation prompt. Click Yes to All if you do not want to see a confirmation prompt for every template you selected.

The letter template(s) are deleted from the Letters database.

Exporting Form Letter Templates

You can export your form letter templates so that they can be used on another machine or by another user.

To export a form letter template:
1. From the System menu, select Specialty Info Transfer.
2. Select Export Letters.
Chapter 6: HCFA Forms, Reports, and Letters

The Browse for Folder window appears.

3. Navigate to and select the directory for the form letter templates.

   The file is automatically named Aspentx.mdb.

4. Click **OK**.

   The file is copied to the directory you selected and the letter templates can now be imported. If you have a previous export file, a message informs you that an export database already exists. A prompt asks if you want to append the database. Click **OK** and the new export information will be added to the previous file.

**Importing Form Letter Templates**

You can import form letter templates exported by another ASE user.

**To import a form letter template:**

1. From the System menu, select **Specialty Info Transfer**.
2. Select **Import Letters**.
3. In the Browse for Folder window, navigate to and select the directory containing the form letter templates.

   The file is named Aspentx.mdb.

4. Click **OK**.

   The file is copied to your ASE directory and the letter templates are now available.
Inserting Macros in Letter Templates

You can use a predefined list of macros to add information to survey-related letters. The macros are similar to the mail merge function in word processors. Each macro references information stored in ASPEN Survey Explorer. For example, the Facility Name macro adds the name of the facility that is the subject of the survey wherever the Facility Name macro occurs.

When you insert a macro in a form letter template, it looks like the following:

[Facility Name ()]

**Note:** The macro will look like the above when you view the letter template through the Letter Management option (see “Viewing and Modifying Form Letter Templates” on page 6-24). When the user prints a customized letter from the template through the Citation Manager (see “Printing Customized Form Letters” on page 6-28), ASE replaces the macro with the correct information from the database.

To insert a macro:

1. From the System menu, select **Letter Management**.
2. Click **New** or select an existing letter and click **Text** to open the Edit Text for Letter window.
3. Click in the letter text at the point where you want to insert the macro.
4. Select the macro you want from the Macros drop-down list.
5. Click **Insert**.

The system inserts the macro in the letter template.

Format macros as you do other text. You can insert as many applicable macros as you need.

Inserting the Custom Text Prompt Macro

The Custom Text Prompt macro lets users insert customized text when they print letters with custom text prompt(s), ASE first displays a prompt window with a text field. The user can enter up to 250 characters in this field. When the user clicks **OK**, ASE displays the letter in the word processor and inserts the custom text provided through the prompt window at the correct place in the letter. You can insert the Custom Text Prompt as many times as needed in the form letter template.
You can also include a description of the prompt’s purpose. The description can provide information about where the text will be inserted in the letter or what type of text the user should enter. This description appears in the title bar of the prompt window. If you do not provide a description, the prompt window has the title Custom Text.

To insert the Custom Text Prompt macro:
1. From the System menu, select Letter Management.
2. Click New or select an existing letter and click Text to open the Edit Text for Letter window.
3. Click in the letter text at the point where you want to insert the custom text.
4. Click in the Macros list and type C to select the Custom Text Prompt macro.
5. Click Insert.
6. ASPEN Survey Explorer inserts [Custom Text Prompt()].
7. Click in between the parentheses at the end of the inserted macro.
8. Type the description (up to 32 characters) you want in the title bar of the prompt window.

Printing Form Letter Templates

You can print form letter templates from the Edit Text for Letter window. Macro substitutions are not performed.

To print a form letter template:
1. From the System menu, select Letter Management.
2. Click New or select an existing letter and click Text to open the Edit Text for Letter window.
3. Select Print from the File menu.
4. In the Print window, select the appropriate options and click OK.

Custom Form Letters

You can generate and print customized survey letters from the Citation Manager. Macro substitutions are performed, which replace the macros with survey-specific information such as facility name and address, administrator’s name, dates of survey, etc. You can view the letter history for a survey at any time.
Printing Customized Form Letters

You can generate and print customized survey letters from the Citation Manager. Macro substitutions are performed.

1. Click any tab in the Tree view and locate the survey you want.
2. Right-click the survey and select Citation Manager from the popup menu.
3. In the Citation Manager window, click the Letters button. The Letter Selection window appears.

4. Click Generate New Letter. The Letters window appears with a list of all form letter templates in the ASPEN Survey Explorer database.

Alternatively, you can right-click a survey on any page in the Tree view; select Print Letters from the popup menu, then select Generate New Letter. Continue with step 5 at right.
5. Select the form letter you want to print.
6. Click **Print**.
7. If the letter template contains one or more Custom Text Prompt macros, ASE displays a window for each macro in which you can enter text to be included in the letter.
8. Enter the requested text in each prompt window and click **OK**.

   The Letter window appears, displaying the form letter. ASE replaces the macros in the template with survey-specific information.
9. Make any needed changes to the letter.
10. Click **Print**.
11. In the Print window, select the appropriate options and click **OK**.

**Viewing a Letter History**

You can view a list of the letters that have been printed for a survey. You can also view or print any of the letters in the history list.

**To view a letter history and individual letters:**
1. Click any tab in the Tree view and locate the survey you want.
2. Right-click the survey and select **Citation Manager** from the popup menu.
3. In the Citation Manager window, click the Letters button.
4. In the Letter Selection window, click **View Letter History**.

   The Letter History window appears with a list of all letters printed for the current survey including the Date Sent, the Letter ID, and letter Description for each.
5. Select the form letter you want to view or print.
6. Click **View/Print**.

   The letter is displayed in the word processor window. Since the letter has been generated previously, all macro substitution has been done.
7. To print, click **Print** and continue with step 8.

   -or-

   To close the window, click **Cancel**.
8. In the Print window, select the appropriate options and click **OK**.
Deleting Letters from a Letter History

Whenever you print a letter for a survey, ASPEN Survey Explorer records the date, ID, and description of the letter in the letter history for the survey. If you printed intermediate drafts of the letter before sending it, you should delete the earlier versions that were not sent to the facility.

To delete a letter from the history list:

1. Click the Alpha or Survey tab and locate the survey you want.
2. Right-click the survey and select Citation Manager from the popup menu.
3. In the Citation Manager window, click the Letters button.
4. In the Letter Selection window, click View Letter History.
   The Letter History window appears with a list of all letters printed for the current survey.
5. Select the form letter you want to delete and click Delete.
6. Click Yes in response to the confirmation prompt.
   The letter is deleted from the current letter history list.

Alternatively, you can right-click a survey on any page in the Tree view, select Print Letters from the popup menu and then View Letter History.
Continue with step 5 at right.
Only the individual designated as the system administrator can perform the following functions in ASE.

- Set and maintain security, including enabling and disabling security, changing passwords, creating security groups, and setting permissions.
- Configure state-specific information.
- Edit lookup code tables.
- Manage spell check dictionaries.
- Create new facility types and primary facility categories.
- Configure ASE Workarea locations.
- Compact and reindex the ASE database.
- Perform database maintenance.

Password-based Security

ASE uses a password created by the system administrator to prevent unauthorized personnel from performing restricted functions. Once security is enabled, the password is required to perform any of these functions. The user is prompted for the password on the first attempt to perform one of the security-protected functions in a work session.

Enabling Password-based Security

To enable security:

1. From the System menu, select System Configuration, then Security.
The SET SECURITY window appears.

2. Select Enabled.
3. Click OK.

The ENABLE SECURITY window appears.

4. Enter the password you want to use and click OK.

The ENABLE SECURITY window appears so you can confirm the password you just entered.
5. Enter the password again and click OK.
6. Click OK in response to the confirmation prompt.

Now when you, the system administrator, try to perform one of the system administrator functions, you are prompted for the password. This only occurs the first time you access a system administrator function in each work session. Other users must supply the password for each restricted function.

Changing Passwords

To change passwords when security is enabled:
1. From the System menu, select System Configuration, then Security.

The SET SECURITY window appears with Enabled selected.
2. Click **OK**.

   You are asked if you want to change the password.

![Confirm](image)

3. Click **Yes**.

   The SECURITY CLEARANCE window appears.

![SECURITY CLEARANCE](image)

4. Enter the current password and click **OK**.

5. In the ENABLE SECURITY window, enter the new password and click **OK**.

   The ENABLE SECURITY window appears so you can confirm the password you just entered.

6. Enter the password again and click **OK**.

7. Click **OK** in response to the confirmation prompt.

**Disabling Password-based Security**

You must know the security password to be able to disable password-based security.

**To disable password-based security:**

1. From the System menu, select **System Configuration**, then **Security**.
2. In the SET SECURITY window, click **Disabled** and **OK**.
3. In the SECURITY CLEARANCE window, enter the current password and click **OK**.
4. Click **OK** in response to the confirmation prompt.

   Password-based security is now disabled.
Configuring State-Specific Information

If you set up your state regulations in ASE, you can specify state-specific information for your 2567 forms and the state to which ASE defaults when users create facilities.

To configure state-specific 2567 information:

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

   The State Customization window appears.

2. Enter your state Agency name.

3. In the Regulation field, enter the term your state uses to refer to regulations.

   ASE will use this term in the “This ____ was not met” sentence of each citation. This is the term you use to refer to your state regulations. Some states call them rules or statutes.

4. Enter the text you want printed in the Form Footer of the 2567.

5. Select the appropriate state ID.

6. Select the two-character Abbreviation for your state.

   This is the state to which ASPEN will default when you create new facilities.
Lookup Tables

You can edit most of the values and descriptions that are available from drop-down lists in ASE. The table below lists the name of the window and the drop-down lists that you can edit.

<table>
<thead>
<tr>
<th>Window</th>
<th>Drop-down list</th>
</tr>
</thead>
<tbody>
<tr>
<td>Define New Facility, Buildings page</td>
<td>Type</td>
</tr>
<tr>
<td>Define Survey for…</td>
<td>Status</td>
</tr>
<tr>
<td>Enter New Staff Information</td>
<td>Title Code</td>
</tr>
<tr>
<td>C&amp;T 1539 for…, Details page</td>
<td>Type of Action</td>
</tr>
<tr>
<td>C&amp;T 1539 for…, Details page</td>
<td>Accreditation Status</td>
</tr>
<tr>
<td>C&amp;T 1539 for…, Details page</td>
<td>Termination Action</td>
</tr>
<tr>
<td>C&amp;T 1539 for…, Compliance page</td>
<td>Compliance list</td>
</tr>
<tr>
<td>Define Photo for Survey</td>
<td>Type</td>
</tr>
</tbody>
</table>

To add new values in the drop-down list:

1. From the System menu, select Lookup Tables.

   The Lookup Input window appears.
2. Select the drop-down list you want to edit in the Lookup Types list.

   The current Values for the list appear.

3. To add a new value, click **New Value**.

4. In the Input Lookup Values window, enter the new Value.

   The Value is normally a one- or two-character code that ASE uses internally.

5. Enter the Description.

6. Click **OK**.

### Spell Check Dictionaries

These dictionaries are used in the ASE word processor to check spelling. You can open and close dictionaries, and edit the contents of an open dictionary.

**To modify spelling dictionaries:**

1. From the System menu, select **Dictionary Management**.

   The Dictionaries window appears.

   2. Make desired changes and click **Close**.

      See the online Help provided by the dictionary vendor for detailed information.
Facility Types

You can perform two functions related to facility types:

- Create and edit primary facility categories.
- Create and edit facility types.

If you have facility categories that are unique to your state, you can add them to the primary category list and then set up the facility types for each category.

You use the primary category list when you define a new facility type. The facility types are listed when a user creates a new facility.

Creating and Updating Primary Facility Categories

To create a primary facility category:

1. From the System menu, select Facility Types, then Primary Categories.

The Primary Facility Types window appears.
2. Click **New**.
   
The Primary Category Input window appears.

![Primary Category Input Window](image)

3. Enter the two-digit category Code.
   
The Code can contain any alphanumeric character. It cannot be changed later.

4. Enter a Description of the category.

5. Select a Symbol for the category from the drop-down list.

6. Click **OK**.
   
The new category is added to your list.

7. Click **Close**.

You should now set up facility types associated with the category. See “Creating and Updating Facility Types” below.

**To modify a primary facility category:**

1. In the Primary Facility Types window, select the category you want to modify.

2. Click **Modify**.

3. In the Primary Category Input window, make the necessary changes and click **OK**.

**To delete a primary facility category:**

---

**WARNING:** Deleting a primary facility category is permanent. You cannot restore a facility category once you delete it.

---

1. In the Primary Facility Types window, select the category you want to delete.

2. Click **Delete**.

3. Click **Yes** in response to the confirmation prompt.
Creating and Updating Facility Types

When you create a new facility type, you specify its type, sub-type, and associated regulation sets. You also specify the types of beds, services, and assessments allowed for the facility.

To create a new facility type:

1. From the System menu, click **Facility Types**, then **Type Maintenance**.

   The Facility Types window appears.

2. Click **New**.

   The Define Facility Type window appears.

   > The sub-type is most often used to distinguish facilities based on Title 18, Title 19, and licensure status.
3. Select the Primary Type Category that you just created.
4. Enter a Sub-Type Code and Description.
5. Select a Federal Type Category.
   If this type is unique to your state, you can use type 99 Other.
6. Enter a Type Abbreviation.
   You can enter up to eight characters. This is what appears next to the facility name in the Tree view.
7. Select the Classifications that apply.
8. Select the Allowed Regulation Sets.
9. Click OK.
   The system adds the new type to your list.
10. Click Close.

ASE users can now use this new facility type when they create a new facility.

**To modify a facility type:**
1. In the Facility Types window, select the type you want to modify.
2. Click Modify.
3. In the Define New Facility Type window, make the necessary changes and click OK.

**To delete a facility type:**

**WARNING:** Deleting a facility type is permanent. You cannot restore a facility type once you delete it.

1. In the Facility Types window, select the type you want to delete.
2. Click Delete.
3. Click Yes in response to the confirmation prompt.

**ASE Workareas**

You can set up ASE workarea and export locations, then users can change from one to another as needed. For example, if you have ASE installed locally on laptops used in the field and a network version of ASE installed in your office, you want surveyors in the field to use the local workarea on their hard drives and staff members in the office to use the network workarea.
Configuring ASE Workarea Locations

You can set up one or more ASE workarea locations for each ASE installation. Typically, each installation should have at least one of each type of location:

- ASE Workarea—This is where users create and maintain survey information. It should point to a folder that contains an ASPEN.MDB file.
- Export Drive—This sets up where users can send surveys using the Export command. This is usually a floppy disk drive.
- Repository (Oracle)—For future use. This is your state agency’s SCFA standard system where you store your MDS data. ASE will be able to connect to this database and access clinical information on residents and facility quality indicators.

To configure ASE workarea locations:

1. Click the Config button on the ASE toolbar. The Define Data Workarea window appears. The Existing Locations list at the top of the window lists the locations that are already defined.

2. Click New.

3. Enter a Description for your location. This can be a generic name like “network” or a specific name like “Fred’s machine”.

4. Select a location Type from the drop-down list.
5. Enter a location or use Find to navigate to a location.
   
   If you are setting up an ASE workarea, enter the full path to a folder containing ASPEN.MDB.
   
   If you are setting up an Oracle repository, enter the name of the MDS database.
   
   If you are setting up an export drive, enter the full path to a drive or folder that will hold ASPENTX.ZIP - normally the A: drive.
   
6. Select an icon to represent this location from the drop-down list.
7. If you are setting up a location that should be the Default ASPEN Database, select that option at the bottom of the window.
8. Click Save, then click OK to exit the window.

**Changing Your Current Workarea Location**

Once ASE workarea locations are set up, you can change from one location to another as needed. For example, when you are working on your laptop computer during a visit, you want to use a location that is on your hard drive. When you return to the office, you might want to change locations to the network version of ASE.

**To change your workarea location:**

1. Click the arrow (black triangle) on the ASE locations drop-down list on the toolbar.
2. Select the workarea location you want.

   The system refreshes the display and changes to the new location.

**ASE Database Maintenance**

You should periodically monitor the size of the aspen.mdb file. When the file becomes too large, you can use the database maintenance function to compact, reindex, and repair the database.

---

**Note:** Be sure that all users of the aspen.mdb file are logged off the system before using the database maintenance function.

**To maintain the ASE database:**

1. From the System menu, select **Database Maintenance**.

   The system displays a message reminding you to be sure that all other users are logged off the system, and to be sure a backup exists. You are also asked if you want to continue.
2. Click **Yes**.

   The system displays a message telling you that it successfully compacted the database.

3. Click **OK**.

### Converting ASE DOS Data

You can import and convert an ASE DOS database, state facility IDs, and regulations for use in Windows versions of ASPEN Survey Explorer.

#### Importing an Entire DOS Database

You can import your entire database that was initially created in the DOS version of ASPEN Survey Explorer. This procedure does not import your state facility IDs nor any regulation sets. You can import these items separately. (See “Importing State Facility IDs from DOS” on page 7-14 and “Importing DOS Regulations” on page 7-14.)

1. From the System menu, click **DOS Conversion**, then **Import DOS Database**.

   The Browse for Folder window appears.

   2. Select the directory that contains the DOS database file.

   3. Click **OK**.
Importing State Facility IDs from DOS

If you used state facility IDs in the DOS version of ASPEN Survey Explorer, these IDs are not included in the facility definition that you imported from DOS to ASPEN Survey Explorer for Windows. ASPEN Survey Explorer uses the Medicare ID in the State Facility field in the facility definition. Use the following procedure to import your previous state facility IDs to the State Facility field after importing the DOS database.

First, create a text file:

Create a text file that contains the Medicare ID and State ID for each facility. You can extract this information from the external database that contains the State IDs.

The text file must contain the Medicare ID followed by the State ID, separated by a comma.

1. From the System menu, click DOS Conversion, then Import State IDs.
2. In the Find Conversion File window, select the text file that contains the Medicare IDs and State IDs.
3. Click OK.

Importing DOS Regulations

To import regulations from the DOS version of ASPEN Survey Explorer, you must complete some preparatory steps in the DOS version first. Then run the Windows version to import the regulations.

In the DOS version of ASPEN Survey Explorer:

1. Transfer the regulation set to a file, using these menu options:
   Manage Regulations
   Transfer Regs
   Change Drive (not required)
   Copy Regs To

2. Decrypt the regulation set using the following menu options for the same drive and directory that you used in Step 1:
   Manage Regulations
   Manage Regs
   F5: Unencrypt
In the Windows version of ASPEN Survey Explorer:

3. From the System menu, click **DOS Conversion**, then **Import Regulations**.

   The ASPEN Survey Explorer-DOS Import window appears explaining the steps to be completed in the DOS version.

4. Click **OK**.

5. In the Choose the Tags Database Now window, select the directory and database file that you prepared in the DOS version.

6. Click **OK**.
# Appendix A: Buttons and Icons

## Table 1: ASE Toolbar Buttons

<table>
<thead>
<tr>
<th>Button</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="config_icon.png" alt="Config" /></td>
<td>Config. Configure Data Locations. Used to set up one or more ASPEN workarea locations.</td>
</tr>
<tr>
<td><img src="filter_icon.png" alt="Filters" /></td>
<td>Filters. Creates a filter. You can customize the list of facilities and surveys you see in the Tree view.</td>
</tr>
<tr>
<td><img src="new_survey_icon.png" alt="New Survey" /></td>
<td>New Survey. Creates a new survey. Opens the Find Facility window where you can first locate a facility for the survey.</td>
</tr>
<tr>
<td><img src="new_facility_icon.png" alt="New Facility" /></td>
<td>New Facility. Creates a new facility.</td>
</tr>
<tr>
<td><img src="recycle_icon.png" alt="Recycle" /></td>
<td>Recycle. Drag and drop a survey, facility, regulation set, or tag to delete it. Sends item to recycle Bin where you can restore or delete it permanently.</td>
</tr>
<tr>
<td><img src="email_icon.png" alt="E-mail" /></td>
<td>E-mail. Drag-and-drop a survey or tag to e-mail it.</td>
</tr>
<tr>
<td><img src="print_icon.png" alt="Print" /></td>
<td>Print. Drag-and-drop a survey or tag to print it.</td>
</tr>
<tr>
<td><img src="export_icon.png" alt="Export" /></td>
<td>Export. Drag-and-drop a survey or regulation set to export it.</td>
</tr>
<tr>
<td><img src="import_icon.png" alt="Import" /></td>
<td>Import. Click to import a survey or regulation set.</td>
</tr>
<tr>
<td><img src="my_surveys_icon.png" alt="My Surveys" /></td>
<td>My Surveys. Click to import surveys you have created from another location.</td>
</tr>
<tr>
<td><img src="internet_icon.png" alt="Internet" /></td>
<td>Internet. Click to open your internet browser and load the ASE home web site.</td>
</tr>
<tr>
<td><img src="help_icon.png" alt="Help" /></td>
<td>Help. Opens the ASE help file.</td>
</tr>
<tr>
<td><img src="what_s_this_icon.png" alt="What’s This?" /></td>
<td>What’s This? Click this button, and then click an item in the window for a description of it.</td>
</tr>
</tbody>
</table>
Find. Locates a facility in the ASE tree views.

### Table 2: Alpha Page Icons

*Icons are listed as they appear on the Alpha page from top to bottom.*

<table>
<thead>
<tr>
<th>Icon</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image1" alt="Icon" /></td>
<td>Icon for the Alpha tab.</td>
</tr>
<tr>
<td><img src="image2" alt="Icon" /></td>
<td>Aspen Desktop (Alpha View). Root of the Alpha tree view.</td>
</tr>
<tr>
<td><img src="image3" alt="Icon" /></td>
<td>My Surveys node. Contains your surveys.</td>
</tr>
<tr>
<td><img src="image4" alt="Icon" /></td>
<td>Surveys node for the facility.</td>
</tr>
<tr>
<td><img src="image5" alt="Icon" /></td>
<td>Individual health surveys.</td>
</tr>
<tr>
<td><img src="image6" alt="Icon" /></td>
<td>Individual LSC surveys.</td>
</tr>
<tr>
<td><img src="image7" alt="Icon" /></td>
<td>Followup surveys are preceded by * or the last digit of the event ID is greater than 1.</td>
</tr>
<tr>
<td><img src="image8" alt="Icon" /></td>
<td>Citations associated with the selected survey.</td>
</tr>
<tr>
<td><img src="image9" alt="Icon" /></td>
<td>Citations with a deficiency that has been corrected.</td>
</tr>
<tr>
<td><img src="image10" alt="Icon" /></td>
<td>Team node.</td>
</tr>
<tr>
<td><img src="image11" alt="Icon" /></td>
<td>Staff members belonging to the team.</td>
</tr>
<tr>
<td><img src="image12" alt="Icon" /></td>
<td>Photos node.</td>
</tr>
<tr>
<td><img src="image13" alt="Icon" /></td>
<td>Individual photos.</td>
</tr>
<tr>
<td><img src="image14" alt="Icon" /></td>
<td>Regulations node.</td>
</tr>
</tbody>
</table>
Table 3: Type Page Icons

*Icons are listed as they appear on the Type page from top to bottom.*

<table>
<thead>
<tr>
<th>Icon</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Icon for the Type tab.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Aspen Desktop (Facility Type View). Root of the Facility Type tree view.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Hospital.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Long Term Care Provider.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Home Health Agency.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>X-ray.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Physical/Speech Therapist.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>End Stage Renal Disease.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Intermediate Care Facility for the Mentally Retarded.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Rural Health Clinics.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Physical Therapist Independent Practice.</td>
</tr>
<tr>
<td>Button</td>
<td>Description</td>
</tr>
<tr>
<td>--------</td>
<td>-------------</td>
</tr>
<tr>
<td><img src="image1.png" alt="Icon" /></td>
<td>Comprehensive Outpatient Rehab (CORF).</td>
</tr>
<tr>
<td><img src="image2.png" alt="Icon" /></td>
<td>Ambulatory Surgical Center.</td>
</tr>
<tr>
<td><img src="image3.png" alt="Icon" /></td>
<td>Hospice.</td>
</tr>
<tr>
<td><img src="image4.png" alt="Icon" /></td>
<td>Organ Procurement.</td>
</tr>
<tr>
<td><img src="image5.png" alt="Icon" /></td>
<td>Community Mental Health Center.</td>
</tr>
<tr>
<td><img src="image6.png" alt="Icon" /></td>
<td>Mammography.</td>
</tr>
<tr>
<td><img src="image7.png" alt="Icon" /></td>
<td>Federally Qualified Health Center.</td>
</tr>
<tr>
<td><img src="image8.png" alt="Icon" /></td>
<td>Lab (CLIA).</td>
</tr>
<tr>
<td><img src="image9.png" alt="Icon" /></td>
<td>Other.</td>
</tr>
<tr>
<td><img src="image10.png" alt="Icon" /></td>
<td>Health Provider (Undefined)</td>
</tr>
<tr>
<td><img src="image11.png" alt="Icon" /></td>
<td>Regulations node.</td>
</tr>
<tr>
<td><img src="image12.png" alt="Icon" /></td>
<td>Regulation sets.</td>
</tr>
<tr>
<td><img src="image13.png" alt="Icon" /></td>
<td>Individual tags.</td>
</tr>
<tr>
<td><img src="image14.png" alt="Icon" /></td>
<td>Surveyors node.</td>
</tr>
<tr>
<td><img src="image15.png" alt="Icon" /></td>
<td>Individual surveyors.</td>
</tr>
<tr>
<td><img src="image16.png" alt="Icon" /></td>
<td>Internet. Opens your internet browser and loads the ASE home web site.</td>
</tr>
<tr>
<td><img src="image17.png" alt="Icon" /></td>
<td>Recycle. Contains deleted items.</td>
</tr>
</tbody>
</table>
### Table 4: Survey Page Icons

*Icons are listed as they appear on the Survey page from top to bottom.*

<table>
<thead>
<tr>
<th>Icon</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Icon for the Survey tab.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Aspen Desktop (Survey View). Root of the Survey tree view.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Health survey node.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>LSC survey node.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Citations associated with the survey.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Citations associated with the survey that have a deficiency that has been corrected.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Team node.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Individual team members.</td>
</tr>
</tbody>
</table>

### Table 5: List View Icons

<table>
<thead>
<tr>
<th>Icon</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Health Survey.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>LSC Survey.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Open Survey.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Closed Survey.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Regulation Set.</td>
</tr>
<tr>
<td><img src="image" alt="Icon" /></td>
<td>Type Category: Recertification.</td>
</tr>
<tr>
<td>Icon</td>
<td>Type Category</td>
</tr>
<tr>
<td>------</td>
<td>---------------</td>
</tr>
<tr>
<td><img src="image1" alt="Icon" /></td>
<td>Initial Certification.</td>
</tr>
<tr>
<td><img src="image2" alt="Icon" /></td>
<td>Complaint Investigation.</td>
</tr>
<tr>
<td><img src="image3" alt="Icon" /></td>
<td>Followup/Revisit.</td>
</tr>
<tr>
<td><img src="image4" alt="Icon" /></td>
<td>State Licensure.</td>
</tr>
<tr>
<td><img src="image5" alt="Icon" /></td>
<td>Federal Monitoring.</td>
</tr>
<tr>
<td><img src="image6" alt="Icon" /></td>
<td>Federal Monitoring.</td>
</tr>
<tr>
<td><img src="image7" alt="Icon" /></td>
<td>Inspection of Care.</td>
</tr>
<tr>
<td><img src="image8" alt="Icon" /></td>
<td>Validation.</td>
</tr>
<tr>
<td><img src="image9" alt="Icon" /></td>
<td>Life Safety Code.</td>
</tr>
<tr>
<td><img src="image10" alt="Icon" /></td>
<td>Sanctions/hearing.</td>
</tr>
<tr>
<td><img src="image11" alt="Icon" /></td>
<td>Change of Owner.</td>
</tr>
<tr>
<td><img src="image12" alt="Icon" /></td>
<td>Dumping Investigation.</td>
</tr>
<tr>
<td><img src="image13" alt="Icon" /></td>
<td>Other.</td>
</tr>
<tr>
<td><img src="image14" alt="Icon" /></td>
<td>Routine/Standard survey.</td>
</tr>
<tr>
<td><img src="image15" alt="Icon" /></td>
<td>Extended Survey LLC/HH.</td>
</tr>
<tr>
<td><img src="image16" alt="Icon" /></td>
<td>Partial Ext Survey.</td>
</tr>
<tr>
<td><img src="image17" alt="Icon" /></td>
<td>Other Survey.</td>
</tr>
</tbody>
</table>
### Table 6: Buttons and Icons in ASE Windows

*Windows are listed in alphabetical order.*

<table>
<thead>
<tr>
<th>Button or Icon</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image" alt="Book Icon" /></td>
<td>Click to enter predefined regulation text.</td>
</tr>
<tr>
<td><img src="image" alt="Reg Icon" /></td>
<td>Click to see the regulation that applies to the citation.</td>
</tr>
<tr>
<td><img src="image" alt="LG Icon" /></td>
<td>Click to see the text of the interpretative guideline.</td>
</tr>
<tr>
<td><img src="image" alt="Regulations Icon" /></td>
<td>Regulations.</td>
</tr>
<tr>
<td><img src="image" alt="Regulation Text Icon" /></td>
<td>Regulation Text.</td>
</tr>
<tr>
<td><img src="image" alt="Citations Icon" /></td>
<td>Citations.</td>
</tr>
<tr>
<td><img src="image" alt="Find Icon" /></td>
<td>Find. Click to search for citation text, interpretive guideline text, or regulation text.</td>
</tr>
<tr>
<td><img src="image" alt="Letters Icon" /></td>
<td>Letters. Click this button to generate a new letter or view the letter history.</td>
</tr>
<tr>
<td><img src="image" alt="Forms Icon" /></td>
<td>Forms. Click this button to print forms.</td>
</tr>
<tr>
<td><img src="image" alt="Photos Icon" /></td>
<td>Photos. Click to add documenting photos to the citation.</td>
</tr>
<tr>
<td><img src="image" alt="Clock Icon" /></td>
<td>Click to enter hours for staff members.</td>
</tr>
<tr>
<td><img src="image" alt="Team Leader Icon" /></td>
<td>Click to designate a staff member as team leader.</td>
</tr>
<tr>
<td><img src="image" alt="Print Icon" /></td>
<td>Click to print the form.</td>
</tr>
<tr>
<td><img src="image" alt="Excluded Icon" /></td>
<td>Indicates the team member is excluded. This is used in the case of a followup survey.</td>
</tr>
<tr>
<td>Team Roster</td>
<td>Description</td>
</tr>
<tr>
<td>-------------</td>
<td>-------------</td>
</tr>
<tr>
<td>🟠</td>
<td>Indicates the team leader.</td>
</tr>
<tr>
<td>🚫</td>
<td>Indicates the team member is excluded. This is used in the case of a followup survey.</td>
</tr>
<tr>
<td>🏽️</td>
<td>Select an excluded team member and click this button to include the member.</td>
</tr>
</tbody>
</table>
Appendix B: Survey Types

Survey types are listed below in the order they appear in the Type of Survey section in the Survey Properties window (see “Creating Surveys” on page 5-2).

Recertification
Periodic survey performed to allow a facility to stay in the CMS system.

Initial Certification
First survey performed when a facility enters the CMS system.

Complaint Investig.
Complaints are initiated from several sources: patients, their families, facility employees. If a complaint appears to warrant probing further into the issue, a State survey team will go to the facility to investigate the merit of the complaint.

Follow-up/Revisit
Survey performed to make sure that any deficiency documented in a recertification survey has been corrected.

State Licensure
Survey performed to ensure compliance with State program codes. Often conducted simultaneously with other surveys.

Federal Monitoring
Survey conducted by the Federal surveyors for the purpose of validating a survey performed by a State agency or contractor.

Inspection of Care
Federally mandated periodic review of Medicaid beneficiaries receiving services in ICF/MR or MH facilities.

Validation
Survey conducted only for hospitals. A validation survey is similar to the Federal monitoring survey, except that it is conducted to insure the accuracy of an accrediting organization’s findings.

Life Safety Code
Survey performed to evaluate buildings for smoke alarms, sprinkler systems, and passageway access, among other items, in case of an emergency (fire). An LSC survey can be performed in conjunction with another survey.
Appendix B: Survey Types

Sanctions/Hearing
Survey conducted to verify compliance prior to lifting sanctions or prior to a hearing.

Change of Owner
Survey performed to determine if an SA’s recommendation for approval of enrollment under new ownership will be sent to the RO.

Dumping Investig.
Survey performed to investigate complaints of patient dumping, i.e., failure to screen, treat, or appropriately transfer patients.

Other
Survey that does not fit into any of the categories above.
Appendix C: Letter Macros

The macros you can insert into form letter templates are listed in this appendix. The name of the macro is followed by its appearance when inserted in a template, then a description and, in some cases, an example of what will appear when you generate a customized letter from the template. For details on inserting macros, see “Inserting Macros in Letter Templates” on page 6-26.

**Admin. 1st Name**

[Admin. 1st Name (Frank)()]

First name of facility administrator as entered in Last name field on the Facility Definition page of the Define New Facility window. For details, see “Facility Definition” on page 2-1.

Example: Frank

**Admin. Last Name**

[Admin. Last Name (Smith)()]

Last name of facility administrator as entered in the Last name field on the Facility Definition page of the Define New Facility window. For details, see “Facility Definition” on page 2-1.

Example: Smith

**Admin Title**

[Admin. Title] (Director)()

Title of facility administrator as entered in the Title field on the Facility Definition page of the Define New Facility window. For details, see “Facility Definition” on page 2-1.

Example: Director

**Building ID**

[Building ID ()]

ID of the building as entered in the Buildings/Wing ID field in the Define New Building /Edit Building window of the Define New Facility window. For details, see “Buildings/Wings” on page 2-4.

Example: Wing12

**Buildings List**

[Buildings List ()]

List of buildings associated with the facility as listed on the Buildings/Wing page of the Define New Facility window. For details, see “Buildings/Wings” on page 2-4.

Example: Wing 12
Appendix C: Letter Macros

Custom Text Prompt

[Custom Text Prompt()]

Used to enter specific information when a letter is generated. For details, see “Inserting the Custom Text Prompt Macro” on page 6-26.

Date # Days in Future (Numbers)

[Date # Days in Future() (Numbers)]

Enters the date (mm/dd/yyyy) a specified number of days in the future as indicated by the number you enter between the parentheses.

Example: If today is 09/09/1999 and you insert “3” between the parentheses, the system enters “09/12/1999” in the letter.

Date # Days in Future (Words)

[Date # Days in Future() (Words)]

Enters the date (Month, Day, Year) a specified number of days in the future in words as indicated by the number you enter between the parentheses.

Example: If today is 09/09/1999 and you insert “3” between the parentheses, the system enters September 12, 1999 in the letter.

Date # Days after Survey Date (Numbers)

[Date # Days after Survey Date() (Numbers)]

Enters the date (mm/dd/yyyy) a specified number of days in the future after the Survey Date as indicated by the number you enter between the parentheses.

Example: If today is 09/09/1999 and you insert “3” between the parentheses, the system enters “09/12/1999” in the letter.

Date # Days after Survey Date (Words)

[Date # Days after Survey Date() (Words)]

Enters the date (Month, Day, Year) a specified number of days in the future after the Survey Date in words as indicated by the number you enter between the parentheses.

Example: If today is 09/09/1999 and you insert “3” between the parentheses, the system enters September 12, 1999 in the letter.

Date # Days after Exit Date (Numbers)

[Date # Days after Exit Date() (Numbers)]

Enters the date (mm/dd/yyyy) a specified number of days in the future after the Exit Date as indicated by the number you enter between the parentheses.

Example: If today is 09/09/1999 and you insert “3” between the parentheses, the system enters “09/12/1999” in the letter.
Appendix C: Letter Macros

Date # Days after Exit Date (Words)

[] (Date # Days after Exit Date() (Words))
Enters the date (Month, Day, Year) a specified number of days in the future after the Exit Date in words as indicated by the number you enter between the parentheses.
Example: 09/12/1999.

Exit Date (Numbers)

[] (Exit Date (Numbers))
Enter the Survey Exit date in mm/dd/yyyy format.
Example: September 12, 1999.

Exit Date (Words)

[] (Exit Date (Words))
Enter the Survey Exit date spelled out.
Example: September 12, 1999.

Facility Name

[] (Facility Name())
Full facility name as specified in the Legal Name field on the Facility Definition page of the Define New Facility window. For details, see “Facility Definition” on page 2-1.

Facility’s State ID

[] (Facility State ID())
Facility’s state ID number as specified in the State Fac ID field on the Facility Definition page of the Define New Facility window. For details, see “Facility Definition” on page 2-1.

Facility Telephone

[] (Facility Telephone ()
Telephone number for the facility as specified in the Phone field on the Facility Definition page of the Define New Facility Window. For details, see “Facility Definition” on page 2-1.

Full Admin Name

[] (Full Admin Name ()
Full name of the administrator for the facility as entered in the First, M.I., Last, and Salutation fields in the Enter/Update Administrator Information window. For details, see “Facility Definition” on page 2-1.
Example: Mr. Michael A. Jones
Appendix C: Letter Macros

Full Facility Address

[Full Facility Address()]

Full address of the facility as specified on the Facility Definition page of the Define New Facility window. For details, see “Facility Definition” on page 2-1.

Full Facility Mailing Address

[Full Facility Mailing Address()]

Full mailing address of the facility as specified on the Mailing Address page of the Define New Facility window. In some instances, the mailing address for a facility is different than the facility address. For details, see “Facility Definition” on page 2-1.

List Tags Cited

[List Tags Cited()]

Lists the tags cited in the survey. For information, see “Creating Surveys” on page 3-2.

List Tag/Surveyor Text

[List Tag/Surveyor Text()]

Lists the tags cited in the survey and the associated surveyor text. For information, see “Creating Surveys” on page 3-2.

List Level A Cites

[List Level A Cites()]

Lists the Level A Citations (Complaint Investigations) in the survey. For information, see “Creating Surveys” on page 3-2.

List Survey Team

[List Survey Team()]

Lists the survey team members as listed in the Team Roster window. For details, see “Adding Survey Team Members” on page 4-4.

LSC/DSI Unit

[LSC/DSI Unit()]

Lists the LSC/DSI unit for the facility as entered on the Associations page of the Define New Facility window.

Observation Text (9999)

[Observation Text()]

For the current survey, shows surveyor evidence for all surveyors who cited tag 9999.
Appendix C: Letter Macros

Provider ID

[Provider ID Medicare/OSCAR()]
Lists the Provider ID for the facility as entered on the Facility Definition page of the Define New Facility window. For details, see “Facility Definition” on page 2-1.

Revisit-Corrected Tags

[Revisit-List Corrected Tags]
Lists the corrected tags from a revisit survey. Corrected tags are only available for followup surveys; these are preceded by * or the last digit of the event ID is greater than 1. For details, see “Modifying Correction Dates” on page 3-31.

Revisit-List New Tags

[Revisit-List New Tags]
Lists the new tags from a revisit survey.

Revisit-List Repeat Tags

[Revisit-List Repeat Tags]
Lists the repeat tags from a revisit survey.

Salutation

[Salutation (Ms.)()]
Salutation for the facility administrator as entered in the Sal field in the Enter/Update Administrator Information window. For details, see “Facility Definition” on page 2-1.
Example: Mr.

Short Admin Salutation

[Short Admin Salutation (Mr. Jones)()]
Salutation and last name for the facility administrator as entered in the Sal and Last name fields in the Enter/Update Administrator Information window. For details, see “Facility Definition” on page 2-1.
Example: Mr. Jones

Survey Date (Number)

[Survey Date (Numbers)]
Survey date in mm/dd/yyyy format.
Appendix C: Letter Macros

Survey Date (Words)

[Survey Date (Words)]
Survey date spelled out.
Example: September 12, 1999.

Survey Regulation Type

[Survey Regulation Types ()]
Lists the Regulation Types cited in the survey. For details, see “Creating Surveys” on page 3-2.

Survey Types Applicable

[Survey Types Applicable ()]
Lists the Survey types applicable to the survey (health or LSC) as selected in the Define/Update Survey window. For details, see “Creating Surveys” on page 3-2.

Today’s Date (Numbers)

[Today's Date]
Today’s date given in mm/dd/yyyy format.
Example: 09/09/1999

Today’s Date (Words)

[Today in Words()]
Today’s date spelled out.
Example: September 9, 1999
Index

A
about
ASPEN Survey Explorer 1-1
  event IDs 1-25
  reference guide 1-1
  survey event IDs 1-25
  survey teams 4-4
  system administration 7-1
active surveyor, changing 4-6
adding
  facilities 2-1
  facility groups 1-20
  mailing address 2-3
  survey photos 3-26
  survey team members 4-4
  surveyors 4-1
Alpha tab 1-14
  configuring facility groups 1-19
ASPEN Survey Explorer
  about 1-1
  basic operations 1-5
  Detail view 1-9, 1-13
  exiting 1-4
  hotline 1-2
  installing 1-4
  List view 1-9, 1-13
  main application window 1-9
  moving around in 1-5
  sorting information 1-7
  starting 1-4
  toolbar 1-10
  Tree view 1-9, 1-11
ASPEN workarea, configuring locations 7-11

B
backup files
  citation text 3-14
basic ASE operations 1-5
buildings/wings
  deleting 2-6
  entering information 2-4
  modifying 2-6
Buildings/Wings page 2-4

C
changing
  active surveyor 4-6
  event IDs 4-14
  form letter
    description 6-24
    margins 6-24
    template text 6-24
  order of citations 3-22
  security passwords 7-2
  surveyor ID 4-3
Citation Manager 3-8
citations
  changing the order of 3-22
  copying text 3-19
  creating 3-9
  creating predefined text for 3-16
  deleting 3-23
  deleting predefined text for 3-18
  editing predefined text for 3-18
  exporting predefined text 3-18
  importing predefined text 3-19
  inserting backup text 3-14
  interpretive guidelines 3-23, 3-24
  library 3-19
  predefined text for 3-16
  regulations 3-23, 3-24
  searching text 3-24
  updating 3-13
  using predefined text in 3-17
  viewing 3-13
  viewing former 3-20
    in Citation Manager 3-20
    in List view 3-21
    in Tree view 3-21
columns
  resizing 1-7
  sorting information in 1-7
configuring
  facility groups in Alpha tab 1-19
  state-specific 2567 information 7-4
conventions in reference guide 1-2
copying citation text 3-19
correction dates
  modifying 3-31
creating
citations 3-9
  facilities 2-1
  facility categories 7-7
  facility types 7-9
followup surveys 3-29
form letter templates 6-21
predefined text for citations 3-16
state regulation sets 5-2
state tags 5-4
surveys
  via Alpha tab 3-2
  via File menu 3-4
  via New Survey icon 3-4
  via Type tab 3-2
custom text prompt macro, inserting 6-26
customizing
  facilities and surveys in Tree view 1-21
  List view 1-22
  toolbar 1-10

definitions
  dates, entering 1-6
decrypting regulation sets 5-13
deficiency reports, printing 6-18
deleted facilities, restoring 2-8
deleted surveys, restoring 3-8
deleting
  buildings 2-6
  citations 3-23
  facilities 2-7
    permanently 2-8
      to Recycle node 2-8
  facility categories 7-8
  facility groups 1-21
  facility types 7-10
form letter templates 6-24
letters from history list 6-30
predefined text for citations 3-18
regulation sets 5-13
survey photos 3-29
survey team members 4-6
surveyors 4-3
surveys 3-7
permanently 3-8
  to Recycle node 3-7
tags 5-13
  wings 2-6
description of form letter, changing 6-24
designating
  survey team leader 4-7
Detail view 1-9, 1-13
disabling password-based security 7-3
display, refreshing 1-14
DOS database, importing 7-13
DOS regulations, importing 7-14
DOS state facility IDs, importing 7-14
drop-down lists, using 1-5

E
  editing
    form letter template text 6-24
    predefined text 3-18
e-mail
  technical support via 1-3
e-mailing
  facilities 4-14
  surveys 4-14
  enabling password-based security 7-1
entering
  buildings/wings information 2-4
  dates 1-6
  facility information 2-1
  HCFA 1539 information 6-11
  HCFA 1557 information 6-15
  HCFA 197 information 6-13
  HCFA 2567 information 6-5
  HCFA 670 information 6-7
time for surveyors 6-7
event IDs
  about 1-25
  changing 4-14
exchange
  of facilities 4-9
  of surveys 4-9
excluding survey team members
  from followup survey 6-8
  from HCFA 670 6-10
exiting ASPEN Survey Explorer 1-4
exporting
  facilities 4-10
  form letter templates 6-24
  predefined text for citations 3-18
  regulations 5-10
  regulations to floppy disk 5-10
surveys 4-10
surveys to floppy disk 4-10

F
facilities
adding 2-1
Buildings/Wings page 2-4
creating 2-1
deleting 2-7
permanently 2-8
to Recycle node 2-8
e-mailing 4-14
exchange 4-9
exporting 4-10
Facility Definition tab 2-1
finding 1-17
importing 4-12
Mailing Address tab 2-3
restoring deleted 2-8
transfer 4-9
facility categories
creating 7-7
deleting 7-8
modifying 7-8
Facility Definition tab 2-1
facility groups
adding 1-20
configuring 1-19
deleting 1-21
modifying 1-20
facility IDs
Medicaid provider number 1-25
Medicare provider number 1-24
state license 1-24
facility information
entering 2-1
facility types
assigning regulations to 5-6
creating 7-9
deleting 7-10
maintaining 7-7
modifying 7-10
filters, using 1-21
finding
facilities 1-17
regulation sets 5-1
surveys 1-17
tags 5-1
floppy disk
exporting surveys to 4-10
importing surveys from 4-12
followup surveys 3-29
creating 3-29
form letter templates
changing description 6-24
changing margins 6-24
creating 6-21
deleting 6-24
editing text 6-24
exporting 6-24
importing 6-25
inserting custom text prompt macro 6-26
inserting macros 6-26
macros, description of C-1
modifying 6-24
printing
from System menu 6-27
viewing 6-24
form letters 6-21
printing 6-28
forms
HCFA 6-1
printing 6-2
viewing 6-2

H
HCFA 1539
creating a non-certification 6-13
deleting 6-13
modifying 6-13
viewing a list 6-13
HCFA 1539, entering information 6-11
HCFA 1539, multiple 6-13
HCFA 1557, entering information 6-15
HCFA 197, entering information 6-13
HCFA 2567
configuring state-specific information 7-4
entering information 6-5
printing a draft 6-4
HCFA 2567/2567L/A 6-5
HCFA 2567B 6-5
HCFA 670
entering time for surveyors 6-7
HCFA 670, entering information 6-7
HCFA forms 6-1
HCFA 1539 - Certification & Transmittal 6-11
HCFA 1539, non-certification 6-13
HCFA 1557 - CLIA 6-15
HCFA 197 - CLIA 6-13
HCFA 2567/2567L/A - Deficiency reports 6-5
HCFA 2567B - Corrected Deficiencies 6-5
HCFA 670 - Workload 6-7
_severity/scope grid report 6-16
viewing 6-2
health surveys 3-6
hotline number 1-2

I
IDs
event 1-25
medicaid provider number 1-25
Medicare provider number 1-24
OSCAR system provider 1-24
state facility 1-24
state license 1-24
importing
facilities 4-12
form letter templates 6-25
predefined text for citations 3-19
regulations 5-11
from floppy disk 5-11
regulations with patch utility 5-12
surveys 4-12
from floppy disk 4-12
inserting
backup citation text 3-14
custom text prompt macro 6-26
macros in form letter templates 6-26
installing ASE 1-4
interpretive guidelines
for regulations 3-23, 3-24
searching text 3-24
viewing 3-23

L
laptop computers, setting up 4-7
letters 6-1
See also form letter templates
deleting from history list 6-30
form 6-21
history 6-29
printing 6-28
library for predefined citation text 3-19
List print 1-22
List view 1-9, 1-13
customizing 1-22
printing 1-22
lists, multi-select 1-6
lookup tables, editing 7-5
LSC (Life Safety Code) surveys 3-6

M
macros
custom text prompt 6-26
description of C-1
inserting in form letter templates 6-26
mailing address
adding 2-3
Mailing Address tab 2-3
main application window 1-9
maintaining facility types 7-7
margins of form letter, changing 6-24
medicaid provider number 1-25
Medicare provider number 1-24
modifying
buildings 2-6
correction dates 3-31
facility categories 7-8
facility groups 1-20
facility types 7-10
form letter
description 6-24
margins 6-24
template text 6-24
templates 6-24
photo information 3-28
predefined text 3-18
spelling dictionaries 7-6
state regulation sets 5-3
state tags 5-6
surveyor information 4-3
wings 2-6
moving around in ASPEN Survey Explorer 1-5
multiple surveyors
on a network 4-9
on a single survey 4-7
on laptops 4-7
multi-select lists 1-6

N
navigating
ASPEN Survey Explorer 1-5
Tree view 1-11
network
setting up 4-9

O
order of citations, changing 3-22
OSCAR system provider ID 1-24
P
pages in Tree view 1-14
password-based security 7-1
   disabling 7-3
   enabling 7-1
photos
   adding 3-26
   deleting 3-29
   modifying information 3-28
   viewing 3-28
plan of correction
   entering text 3-25
   importing scanned text 3-26
POC. See plan of correction
predefined text
   creating for citations 3-16
   deleting 3-18
   editing 3-18
   exporting 3-18
   for citations 3-16
   importing 3-19
   library 3-19
   using in citations 3-17
printing
   customized form letters 6-28
   form letter templates
      from System menu 6-27
   HCFA 2567 draft 6-4
   HCFA forms 6-2
   List view items 1-22
   regulation sets 5-9
   reports 6-16
properties
   regulation set 5-8

Q
quality reports, printing 6-16

R
Recycle node
   deleting facilities from 2-8
   deleting surveys from 3-8
   moving facilities to 2-8
   moving surveys to 3-7
   restoring facilities from 2-8
   restoring surveys from 3-8
reference guide
   about 1-1
   conventions 1-2
   refreshing the display 1-14
   regulation sets
   creating state 5-2
   deleting 5-13
   finding 5-1
   modifying state 5-3
   printing 5-9
   viewing properties 5-8
regulation tag text, viewing 5-8
regulations
   assigning to facility types 5-6
   creating state tags 5-4
   decrypting 5-13
   deleting tags 5-13
   exporting 5-10
      to floppy disk 5-10
   import patch utility 5-12
   importing 5-11
      from floppy disk 5-11
   interpretive guidelines 3-23, 3-24
   modifying state tags 5-6
   searching text 3-24
   updating 5-11
   viewing 3-23
   viewing former citations 3-20
      in Citation Manager 3-20
      in List view 3-21
      in Tree view 3-21
   removing
      survey team members 4-6
   report preview window 6-1
   reports 6-1
      deficiency 6-18
      printing 6-16
      quality reports 6-16
      review reports 6-17
      severity/scope 6-19
   resizing columns 1-7
   restoring
      facilities 2-8
      surveys 3-8
   review reports, printing 6-17

S
searching
   citation text 3-24
   interpretive guideline text 3-24
   regulation text 3-24
security
   changing passwords 7-2
   disabling password-based 7-3
   enabling password-based 7-1
   password-based 7-1
setting up
  laptop computers 4-7
  network 4-9
Severity/Scope Grid report 6-16
severity/scope reports, printing 6-19
sorting ASE information 1-7
sorting information in columns 1-7
specifying state-specific 2567 information 7-4
spelling dictionaries, modifying 7-6
starting ASPEN Survey Explorer 1-4
state facility ID 1-24
state license ID 1-24
state regulations
  creating sets 5-2
  creating tags 5-4
  modifying sets 5-3
  modifying tags 5-6
state tags
  creating 5-4
  deleting 5-13
  modifying 5-6
state-specific information for form 2567 7-4
support, technical 1-2
survey event IDs, about 1-25
survey photos
  adding 3-26
  deleting 3-29
  modifying information 3-28
  viewing 3-28
Survey tab 1-17
survey team leader, designating 4-7
survey team members
  adding 4-4
  excluding
    from followup survey 6-8
  excluding from HCFA 670 6-10
  removing 4-6
  team leader 4-7
survey teams, about 4-4
surveyors
  adding 4-1
  changing ID 4-3
  deleting 4-3
  entering time 6-7
  making active 4-6
  modifying information 4-3
  multiple surveyors (on a single survey) 4-7
surveys 3-1
  adding photos 3-26
  changing event IDs 4-14
creating
  via Alpha tab 3-2
  via File menu 3-4
  via New Survey icon 3-4
  via Type tab 3-2
deleting 3-7
  permanently 3-8
  to Recycle node 3-7
deleting letters from history list 6-30
deleting photos 3-29
e-mailing 4-14
exchange 4-9
exporting 4-10
  to floppy disk 4-10
finding 1-17
followup 3-29
Health 3-6
importing 4-12
  from floppy disk 4-12
linking 3-6
LSC (Life Safety Code) 3-6
modifying photo information 3-28
multiple surveyors (on a single survey) 4-7
photos 3-26
printing letters 6-28
restoring deleted 3-8
transfer 4-9
updating 3-6
viewing 3-6
viewing letter history 6-29
viewing photos 3-28
system administration
  about 7-1
  configuring ASPEN workarea locations 7-11
  editing lookup tables 7-5
  facility types 7-7
  security
    password-based 7-1
  spelling dictionaries 7-6
  state-specific information for form 2567 7-4
system requirements 1-3

T
  tabs in Tree view
    Alpha 1-14
    Survey 1-17
    Type 1-16
tag text, viewing 5-8
tags
  creating state 5-4
  deleting 5-13
  finding 5-1
  modifying state 5-6
team. See survey team(s)
technical support 1-2
e-mail 1-3
fax 1-3
Internet 1-3
phone 1-2
templates, form letter
  creating 6-21
  deleting 6-24
  editing text 6-24
  exporting 6-24
  importing 6-25
  inserting custom text prompt macro 6-26
macros, description of C-1
  modifying 6-24
  printing from System menu 6-27
  viewing 6-24
text
  citation 3-24
  entering plan of correction 3-25, 3-26
  importing scanned plan of correction 3-26
  searching citation 3-24
  searching interpretive guideline 3-24
  searching regulation 3-24
text, predefined. See predefined text
toolbar
  customizing 1-10
  using 1-10
transfer
  of facilities 4-9
  of surveys 4-9
Tree view 1-9, 1-11
  Alpha tab 1-14
  customizing facilities and surveys 1-21
  navigating 1-11
  pages 1-14
  Survey tab 1-17
  Type tab 1-16
Type tab 1-16

U
updating
  citations 3-13
  regulations 5-11
  surveys 3-6

V
viewing
citations 3-13
  form letter templates 6-24
  former citations 3-20
    in Citation Manager 3-20
    in List view 3-21
    in Tree view 3-21
  HCFA forms 6-2
  interpretive guidelines 3-23
  letter history 6-29
  regulation set properties 5-8
  regulation tag text 5-8
  regulations 3-23
  Severity/Scope Grid report 6-16
  survey photos 3-28
  surveys 3-6
tag text 5-8
views
  Detail 1-9
  List 1-9
  Tree 1-9
  navigating 1-11
wildcards, using 1-8
wings
  deleting 2-6
  entering information 2-4
  modifying 2-6