Personnel Information in ASPEN

ASPEN provides a single point of entry for all personnel records. ACO and ARO are used for the creation and maintenance of all Federal surveyor records as well as records for state-only surveyors and non-surveyor staff including National ASPEN users such as CMS Office of Financial Management (OFM) staff members.

Federal Surveyors

Federal surveyors are surveyors who conduct surveys of federally certified providers. They may be SA, RO, CO staff, or contract surveyors. They are automatically assigned a nationally unique ID.

New and updated Federal surveyor information is uploaded to National via an overnight process. Upload transactions for Federal surveyors are processed before uploads of certification kits and complaints/incidents, so new surveyors can be added to surveys the same day they are created in ASPEN.

ASE-Q Users

All ASPEN Survey Explorer-Quality (ASE-Q) user accounts are created in ACO/ARO and then exported to ASE-Q. It is possible to update certain items of information in personnel records in ASE-Q, but these changes are not reflected in corresponding records in the state Oracle database.

Outside CLIA Users

Personnel records are also created and maintained in ACO/ARO for outside CLIA users, i.e., Exempt state, Accreditation Organization (AO), Veterans Administration (VA), and Billing Contractor employees.

Note: Information about CLIA-related personnel records in ASPEN is integrated here and in related screen and field descriptions.

Staff Directory

Each employee record is maintained as an independent entity in the ASPEN database. All staff members are listed in the Staff Directory node of the Directories View tree on the Directory tab.
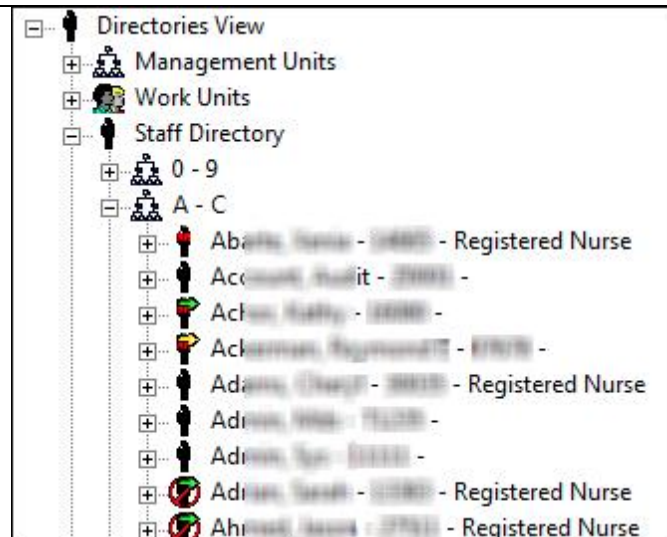
Figure 1: Staff Directory node

- A green arrow overlay indicates a Federal surveyor whose personnel record has been successfully uploaded to National.

- A yellow arrow indicates a Federal surveyor whose record is pending acceptance, whether the transaction is an ADD, UPDATE, or DELETE.

- A red "vest" indicates a special surveyor, i.e., a CMS RO or CO staff member who participates in SA surveys, a CMS contract surveyor, or a surveyor shared from another state.

- A slash in a circle superimposed on the icon indicates a terminated staff member.

Note: Change the Staff Directory view to Active & Terminated to display the full list of active and terminated surveyors.

Create Staff Records

You use the same interface to create records for all staff members, whether Federal surveyor, state-only surveyor, contract surveyor, or non-surveyor. ASPEN automatically determines and enables the appropriate fields. An employee record contains personal and employment-related information and specifies security settings for the staff member. For ASE-Q users, you can also enter ASE-Q login and access information.

CLIA - ASPEN administrators need to make sure that ASPEN CLIA 116 users are in the ASPEN personnel tables with appropriate CASPER login and web access permissions defined on the Employee Identification tab.

ARO - RO and CO users with appropriate permissions can create and update staff records for National personnel, including ASE-Q login information when appropriate, via the CMS RO/CO Staff Manager window.

Add Staff Records in ACO

ACO users with appropriate permissions can create staff records for state surveyor and support personnel.

To add a staff record in ACO:

- Click the **Directory tab** and right-click the **Staff Directory** node.

- Select **Insert New Staff Member** to open the Enter Surveyor Information window.

Figure 2: Employee Identification tab

- Enter identification and access information, configure email delivery, enter employment and affiliation information, and specify permissions for the new employee.

- For ASE-Q surveyors, you can configure login and ASE-Q permissions.

TIP: You can also add surveyors to the ASPEN database from the Alpha or Type tab.

Add Staff Records in ARO

RO and CO users with appropriate permissions can access the Enter Surveyor Information window from the CMS RO/CO Staff Manager to create records in ARO for RO staff, CO staff, contract surveyors, and other National users such as OFM and VA personnel.

To add a staff record in ARO:

- On the ARO toolbar, click **Config**.

- In the Regional Offices window, click **Manage CMS User Accounts**.

- In the CMS RO/CO Staff Manager window, set filters as desired and click **New** to open the Enter Surveyor Information window.

- Enter identification and access information, configure email delivery, enter employment and affiliation information, and specify permissions for the new employee.

- For ASE-Q surveyors, you can configure login and ASE-Q permissions.

Enter Identification and Access Information

On the Employee Identification tab, you can:

- Enter basic employee information such as IDs, name, job title(s), and contact information

- Enter application access information including logins

ASPEN applications require login authentication. For ACO and ASPEN Complaints/Incidents Tracking System (ACTS) users, the login entered on the Employee Identification tab is added to the ASPEN personnel table on the state Oracle server and is required for authentication to be successful. The login ID for ARO users is added to the National server. ACO and ACTS use the same entry in the personnel table.

- Configure ASE-Q users

Note: Fields are displayed/enabled as appropriate.

Specify Email Settings

On the Email Settings tab, you configure email delivery in ACO/ARO for each SA and RO staff member who is to receive action item notices. Email notification filters are set for each user.
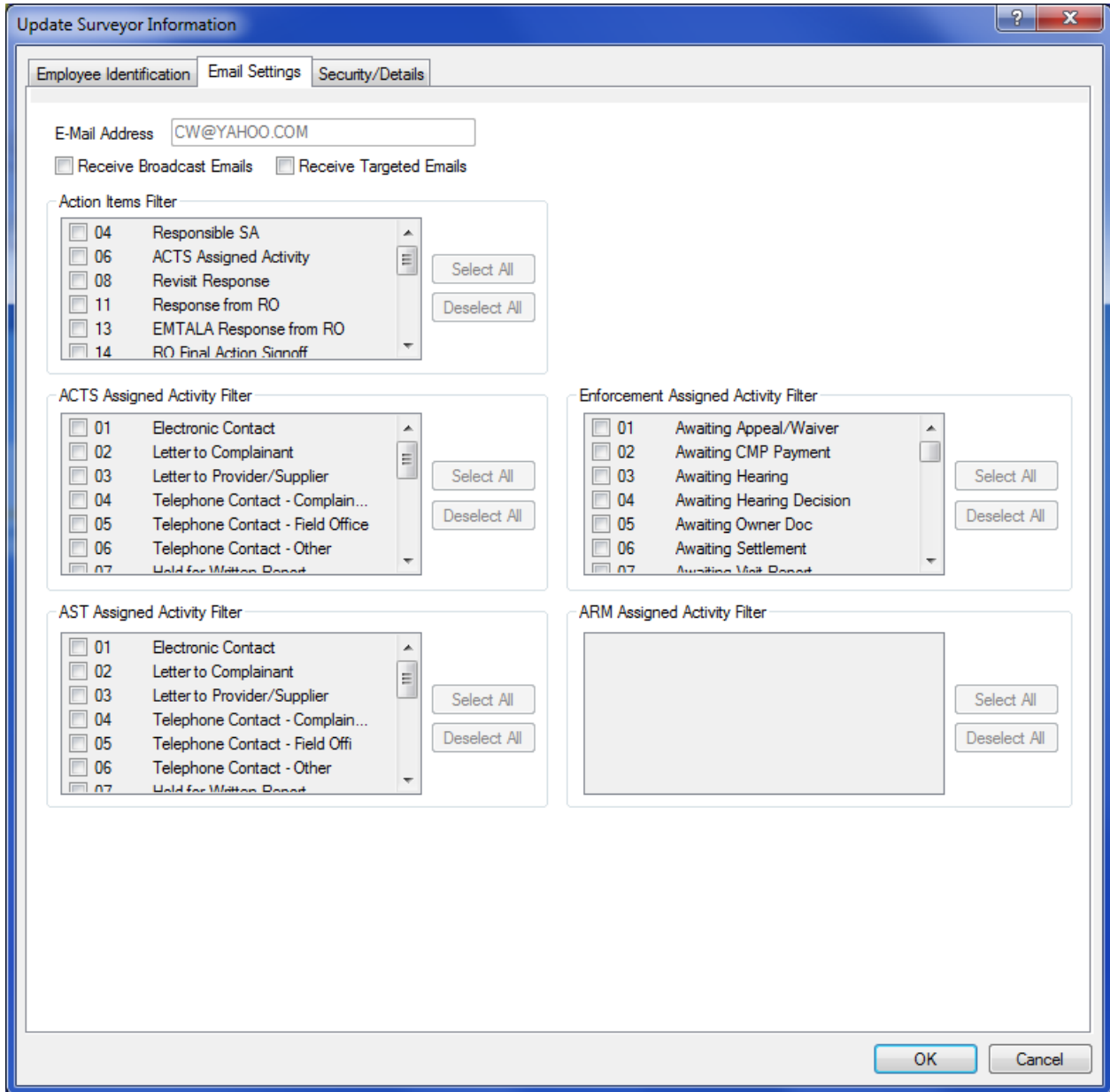

Figure 3: Email Settings tab

Enter Employment Details and Specify Security Settings

You can maintain employment history dates, staff affiliations, and (ARO only) assign permitted action items for the employee on the Security/Details tab. It also provides a convenient alternative to the Menu Security Editor for assigning the employee menu option, tab, and button permissions.

Figure 4: Security/Details tab

1   To enter employment history and affiliations for an employee:

- In the **Enter/Update Surveyor Information** window, select the **Security/Details** tab and click **Yes** in the confirmation message to save information you have already entered.

  You may have to complete required fields before continuing.

- In the **Employment History** section, enter the **Hire Date**, **Anniversary Date** (if different than the Hire Date), and **Termination Date** (if applicable) for the employee.

- Click **Show Employment History** to open the **Personnel History** window where you can see a history of changes (if any) to the staff member's Hire and Termination dates.

- Select the employee's **Work Unit**.

  The Management Unit Affiliation field is automatically filled in based on your selection.

- If the employee is the leader of the specified **Work Unit** or **Management Unit**, select the **Is Leader** or **Is Unit Leader** checkbox respectively.

- In **Allowed Facility Types**, specify the provider categories a surveyor is qualified to visit.

- To list providers with which the surveyor may have a conflict of interest, click **Conflict of Interest** and add, modify, or delete providers in the **Conflict of Interest** window.
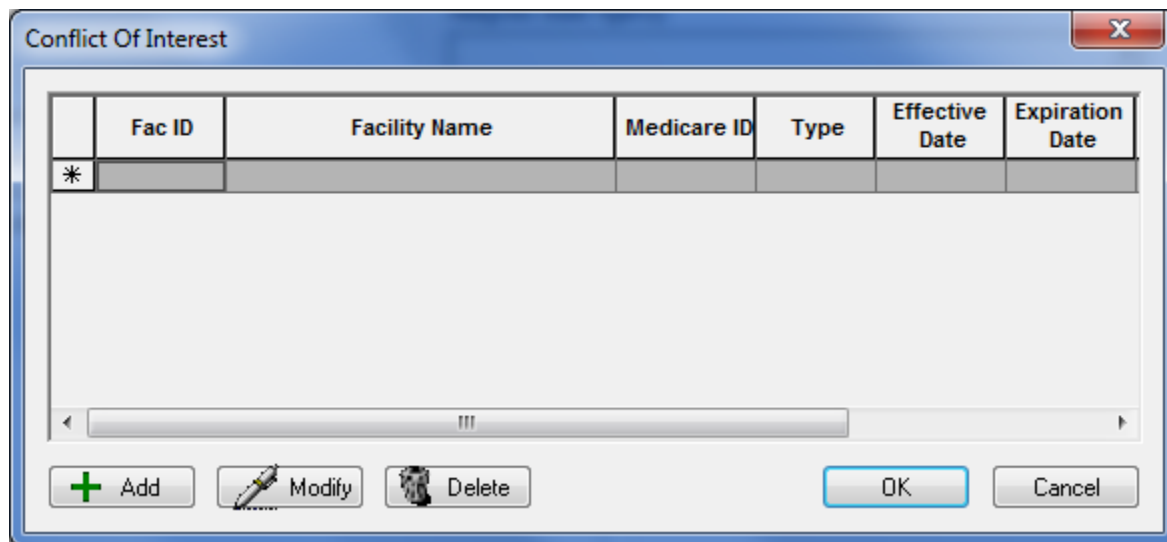

Figure 5: Conflict of interest window

- **ACO -** Select the applicable **Assigned State Agency** if the employee works in an agency other than the default agency.

    State agency information is defined in System | System Configuration | State Customization. If an employee is not assigned an agency here, the SA Default specified in State Customization is used in letters and reports.

2 To specify security settings for an employee:

- On the Security/Details tab, go to the **Security Groups** section.

- To assign the employee to an ACO or ACTS menu security group, expand the ACO or ACTS Menu Security node, right-click a security group, and select Add.

    The red checkmark next to the security group turns green, and Security Level to the right changes from Non Member to Member. You can assign the employee to as many menu security groups as appropriate.

TIP: You can also assign the employee to a security group by selecting the group and choosing Member as the Security Level.

- To assign **Facility Type Security** to the employee: expand the node and right-click a provider category; select **No Access**, **Read-only Access**, or **Read/Write Access**.

    The default for all provider types is No Access.

Note: Both ACO and ACTS use these assignments. However, facility type security must be separately enabled in each application for these settings to take effect. In ACO, use path: System | System Configuration | State Customization.

- To restrict the employee's ability to see surveys scheduled in the future, select **May Not See Surveys Scheduled Beyond ...** and enter the appropriate number of **Days In The Future**.

    Surveys scheduled beyond the specified number of days will not be displayed to the employee in ASPEN. This feature helps limit the possibility of providers receiving advance notice of surveys.

- To specify access to surveys that the employee is not assigned to as a team member, select the appropriate **Access control** option.