

A

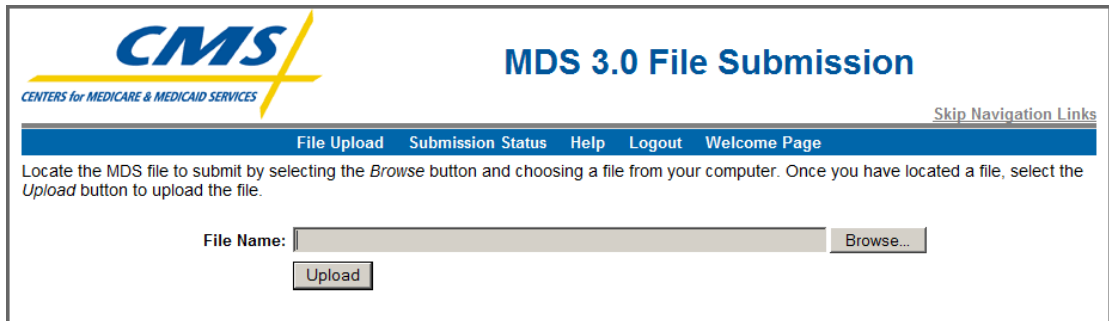
QUICK REFERENCE TO MDS 3.0 SUBMISSIONS, SUBMISSION STATUS, AND FINAL VALIDATION REPORTS

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FILE SUBMISSION

1. From the **CMS QIES Systems for Providers** page, select the [MDS 3.0 Submissions](#) link and log in to the MDS 3.0 File Submission System using your individual user ID. Upon successful log in to the MDS 3.0 File Submission system, the **File Upload** page (Figure A-1) is presented.

Figure A-1. MDS 3.0 File Submission File Upload Page



CMS
CENTERS for MEDICARE & MEDICAID SERVICES

MDS 3.0 File Submission

Skip Navigation Links

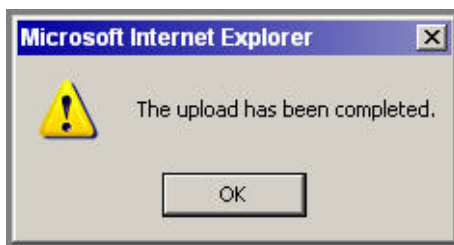
File Upload Submission Status Help Logout Welcome Page

Locate the MDS file to submit by selecting the *Browse* button and choosing a file from your computer. Once you have located a file, select the *Upload* button to upload the file.

File Name:

2. Select the **Browse** button to locate the MDS 3.0 file you wish to submit. Select (highlight) the zipped submission file and then select the **Upload** button to upload the file.
3. Once the ASAP System successfully receives the submission file, a pop-up dialog box (Figure A-2) opens notifying you that the upload was completed.

Figure A-2. Upload Completed Pop-Up Dialog Box



NOTE: The “Upload Completed” message merely indicates the ASAP system received the uploaded file. It does NOT indicate the file was processed or the records were edited and accepted by the ASAP System. Refer to the **Submission Status** page of the MDS 3.0 File Submission system to determine if the file processing completed.

4. Select the **OK** button. The pop-up dialog box closes. You are returned to the **File Upload** page (Figure A-3) that now displays a “Your submission has been received” message and identifies the system-assigned Submission ID, the date and time of the submission, and the name of the file you submitted. Select the [Print](#) link from the right-hand side of the page to print and retain this information for future reference.

NOTE: It is important that you know the Submission ID and Submission Date/Time associated with the file you just submitted. You must use this information in subsequent steps of the submission file validation process.

Figure A-3. Your Submission Has Been Received Message

The screenshot displays the MDS 3.0 File Submission interface. At the top left is the CMS logo with the text "CENTERS for MEDICARE & MEDICAID SERVICES". To the right is the title "MDS 3.0 File Submission" and a "Skip Navigation Links" link. A blue navigation bar contains links for "File Upload", "Submission Status", "Help", "Logout", and "Welcome Page". The main content area features a message: "Your submission has been received:". Below this message, three lines of submission details are listed: "Submission ID: 92", "Submission Date: 10/27/2010 13:49:14", and "File Name: MDS20101001.zip". A "Print" link is circled in red in the top right corner. Below the details, a paragraph explains that the submission will be processed for errors within 24 hours and that the Final Validation Report will be accessible in the CASPER Reporting application. At the bottom, there is a "File Name:" input field with a "Browse..." button and an "Upload" button.

NOTE: Once a file is successfully submitted, please note that it may take up to 24-hours for processing to complete. When processing is complete, return to the MDS 3.0 Submission system to verify the status of the file and then proceed with locating the Final Validation Report in the CASPER Reporting application.

FILE SUBMISSION STATUS

To determine if your submission file was processed successfully, query the status of your submission in the following manner:

1. Log in to the MDS 3.0 File Submission System using your individual user ID. Upon successful log in to the MDS 3.0 File Submission system, the **File Upload** page (Figure A-1, above) is presented.
2. Select the [Submission Status](#) link located on the menu bar on the MDS 3.0 File Submission **File Upload** page. The **List of My Submissions** page (Figure A-4) is presented.

Figure A-4. List of My Submissions Page

Submission ID	Submission Date	Submission File Name	Total Record Count	Completion Date	Status
92	10/27/2010 13:49:14	MDS20101001.zip	5	10/27/2010 13:52:04	Completed
88	10/26/2010 16:21:22	MDS20101002.zip	0	10/26/2010 16:25:45	Completed

The **List of My Submissions** page provides the following information:

- Submission ID – the unique ID assigned to the submission file
- Submission Date – the date and time that the submission file was received by the system.
- Submission File Name – the name of the submission file
- Total Record Count – the count of records contained in the submission file.
- Completion Date – the date and time that the file processing was complete.
- Status – the status of the file processing. The following status values may display:
 - *Waiting* - the submission file is waiting to be processed
 - *Processing* - the submission file is processing

- o *Error* - an error occurred during processing of the submission file
- o *Completed* - file submission processing is complete

3. Locate your submission file by the *Submission ID* assigned to it and verify that the *Status* is “Completed”.

4. For submission files with a *Completed* status, note the number in the *Total Record Count* column.

- When the **Status is “Completed” and the Total Record Count is zero (0)**, a system-generated MDS 3.0 NH (or SB) Final Validation Report is NOT generated. The ASAP system **cannot** produce a system-generated MDS 3.0 NH (or SB) Final Validation Report. **No** MDS 3.0 NH (or SB) Final Validation Report is available in your facility’s CASPER validation reports (VR) folder for this submission. Request the MDS 3.0 Submitter Final Validation Report to identify the severe error encountered.

NOTE: Subsequent sections of this document provide instructions for locating and/or running validation reports in the CASPER Reporting application.

When the Total Record Count is zero (0) the system was unable to unzip and extract records from the submitted file.

NOTE: If your facility uses vendor software to create its submission files, you must notify the software vendor of these errors.

- When the **Status is “Completed” and the Total Record Count is greater than zero (0)**, the ASAP system successfully unzipped and extracted one or more records from the file. You must review the system-generated MDS 3.0 NH (or SB) Final Validation Report to verify that **all** records processed without error. The MDS 3.0 NH (or SB) Final Validation Report is placed in your facility’s VR folder.

If you cannot locate the MDS 3.0 NH (or SB) Final Validation Report in your facility’s VR folder, the user who originally submitted the file can run an MDS 3.0 Submitter Validation Report with which you may verify the records of the submission file.

Likewise, if one or more records of the submission file are missing from the Final Validation Report, the user who originally submitted the file can run an MDS 3.0 Submitter Validation Report with which you may identify the errors that were encountered with those records. When records are

missing from the system-generated Final Validation Report it is because the ASAP system was unable determine to which provider the records belonged and could not include them on the provider's Final Validation Report.

SYSTEM-GENERATED MDS 3.0 NH (OR SB) FINAL VALIDATION REPORT

The system-generated MDS 3.0 NH (or SB) Final Validation Report is created in two formats: Text and XML. Both report formats are delivered automatically to your facility's CASPER validation report folder.

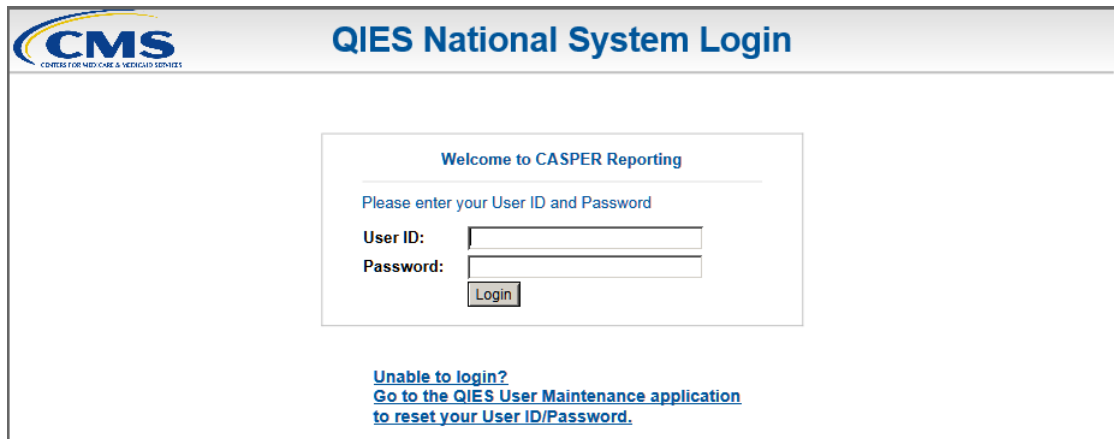
NOTE: The XML-formatted report is intended for software developers. Providers may ignore the XML-formatted report and access the user-friendly plain text version of the MDS 3.0 NH (of SB) Final Validation Report.

The following steps detail how to view the system-generated MDS 3.0 NH (or SB) Final Validation Report in the CASPER Reporting application:

NOTE: When the *Submission Status* is "Completed" and the *Total Record Count* is greater than zero (0), review the system-generated MDS 3.0 NH (or SB) Final Validation Report to verify that all records processed without error.

1. From the **CMS QIES Systems for Providers** page, select the CASPER Reporting link, and log in to the CASPER Reporting application (Figure A-5) with your individual user ID/password. This is the same user ID/password with which you access the MDS 3.0 Submission system.

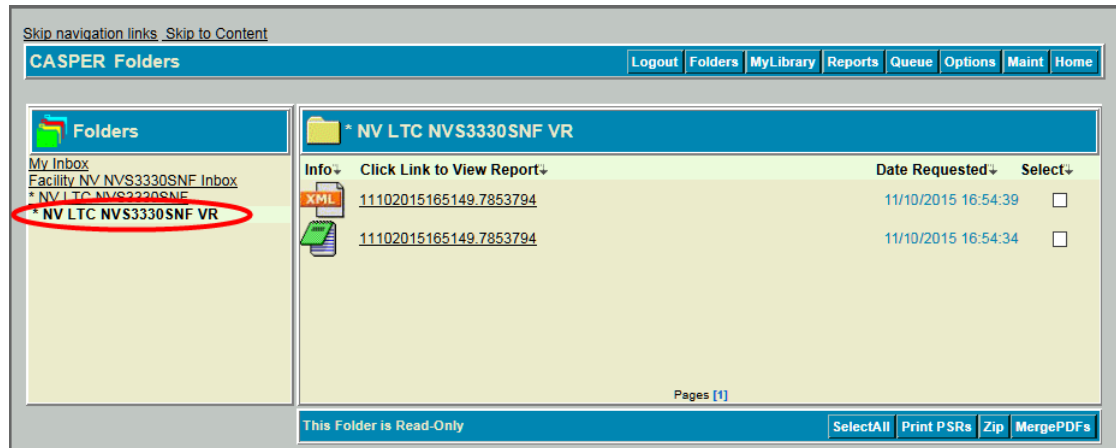
Figure A-5. CASPER Reporting Login Page



The screenshot shows the login interface for the QIES National System. At the top left is the CMS logo. The main heading is "QIES National System Login". Below this, a box contains the text "Welcome to CASPER Reporting" and "Please enter your User ID and Password". There are two input fields: "User ID:" and "Password:", followed by a "Login" button. At the bottom of the box, there are two links: "Unable to login?" and "Go to the QIES User Maintenance application to reset your User ID/Password."

2. Select the **Folders** button located on the tool bar at the top of the page. The **CASPER Folders** page (Figure A-6) is presented. The folders available to you are along the left-hand side of the page.

Figure A-6. CASPER Folders Page – Validation Report Folder



3. Locate and select the facility folder with the naming structure of:

[State Code] LTC [Facility ID] VR (for Nursing Homes)

Or

[State Code] SB [Swing Bed ID] VR (for Swing Bed Providers)

Where:

State Code = your 2-character state code

LTC = Long Term Care facility

SB = Swing Bed hospital

Facility ID/Swing Bed ID = State-assigned facility ID used for submitting MDS 3.0 records

VR = Validation Report

4. With the VR folder selected, the main body of the **CASPER Folders** page lists the Final Validation Reports that were system-generated and are available for you to view. The report names are formatted as follows:

[Submission Date & Time].[Submission ID]

NOTE: MDS 3.0 reports are automatically purged after 60 days.

5. Select the report that corresponds to the submission file you wish to verify. Figure A-7 depicts a fictional system-generated MDS 3.0 NH Final Validation Report in text format and Figure A-8 depicts a fictional system-generated MDS 3.0 NH Final Validation Report in XML format.

NOTE: When a submitted file cannot be unzipped or contains no records, the ASAP system cannot generate an MDS 3.0 NH (or SB) Final Validation Report and place it in your facility's shared VR folder. If an MDS 3.0 NH (or SB) Final Validation Report was created but the number of records displayed is less than the number of records you submitted in the file, there were one or more records that could not be processed by the ASAP system. In either case, you must request the **MDS 3.0 Submitter Final Validation Report** in order to identify the issues with the records that were not processed.

Records in a submitted MDS 3.0 file are presented on the system-generated Final Validation Report in the following order:

- Facility ID
- Submission ID
- Last Name
- First Name
- Record Processing Order
- Assessment ID
- Error Type Description
- Item in Error Text
- Value in Error Text

Figure A-7. MDS 3.0 NH Final Validation Report – Text Format*

```

                                CMS Submission Report
                                MDS 3.0 NH Final Validation Report

Submission Date/Time:           11/06/2016 11:34:40
Processing Completion Date/Time: 11/06/2016 11:39:35
Submission ID:                   9383161
Submission File Name:            SG_TC70351_Step 1_Submsn File.zip
Submission File Status:          Completed
State Code:                      TN
Facility ID:                    TN4702
Facility Name:                  WESTMORELAND HEALTH AND REHABILITATION
                                CENTER
Submitter User ID:              ██████████
# Records in Submission File:    15
# Records Processed:             15
# Records Accepted:              6
# Records Rejected:             9
# Duplicate Records:            1
# Records Submitted without
  Facility Authority:            0
# Records Submitted But Not
  Allowed:                      1
Total # of Messages:            39
-----
Record: 1                        Accepted
Asmt_ID: 109014448              Name: ██████████
Res_Int_ID: 36272295            SSN: ██████████
A0200: 1                        A0310A: 01      Medicare Num: ██████████
A0310B: 01                      A0310C: 0      A0050: NEW RECORD
A0310D: ^                        A0310E: 0      Target Date: 10/06/2016
A0310F: 10                      A0310G: 1
A0310H: 0
Item Subset Code:                NC
XML File Name:                  SG_TC70351_Step 1_NC A0301H - 0.xml

MDS 3.0 Item(s):                A0310A, Submission Date, V0200C2, A0050
Item Values:                    01, 11/06/2016, 10/06/2016, 1
Message Number:                  -3810C          WARNING
Message:                         Record Submitted Late: The submission
                                date is more than 14 days after V0200C2
                                on this new (A0050 equals 1)
                                comprehensive assessment (A0310A equals
                                01, 03, 04, or 05).

MDS 3.0 Item(s):                Current Record Type, Prior Record:
Item Values:                    A0310A, A0310B, A0310F
Message Number:                  DISCHARGE RA/RNA, MDS 3.0: , ,
Message:                         -1018          WARNING
                                Inconsistent Record Sequence: Under CMS
                                sequencing guidelines, the type of
                                assessment in this record does not
                                logically follow the type of assessment
                                in the record received prior to this
                                one.

MDS 3.0 Item(s):                RESIDENT_INTERNAL_ID
Item Values:                    36272295
Message Number:                  -1027          WARNING
Message:                         New Resident: A new resident record was
                                created in the QIES ASAP System with the
                                information submitted in this MDS
                                record. Verify that the new information
                                is correct.
-----
This report may contain privacy protected data and should not be released to
the public. Any alteration of this report is strictly prohibited.
-----

```

* Fictitious, sample data are depicted.

Figure A-8. MDS 3.0 NH Final Validation Report – XML Format Excerpt*

```

<?xml version="1.0"?>
- <report type="MDS 3.0 NH Final Validation" name="CMS Submission Report">
  - <header>
    - <submission>
      <property name="Submission Date/Time" value="11/06/2016 11:34:40"/>
      <property name="Processing Completion Date/Time" value="11/06/2016 11:39:35"/>
      <property name="Submission ID" value="9383161"/>
      <property name="Submission File Name" value="SG_TC70351_Step 1_Submsn File.zip"/>
      <property name="Submission File Status" value="Completed"/>
      <property name="State Code" value="TN"/>
      <property name="Facility ID" value="TN4702"/>
      <property name="Facility Name" value="WESTMORELAND HEALTH AND REHABILITATION CENTER"/>
      <property name="Submitter User ID" value=" " />
    </submission>
    - <processing>
      <property name="# Records in Submission File" value="15"/>
      <property name="# Records Processed" value="15"/>
      <property name="# Records Accepted" value="6"/>
      <property name="# Records Rejected" value="9"/>
      <property name="# Duplicate Records" value="1"/>
      <property name="# Records Submitted Without Facility Authority" value="0"/>
      <property name="# Records Submitted But Not Allowed" value="1"/>
      <property name="Total # of Messages" value="39"/>
    </processing>
  </header>
  - <records>
    - <record number="1">
      <property name="Record Status" value="Accepted"/>
      <property name="Asmt_ID" value="109014448"/>
      <property name="Name" value="NH FVR 0001, BILL"/>
      <property name="Res_Int_ID" value="36272295"/>
      <property name="SSN" value="999210001"/>
      <property name="A0200" value="1"/>
      <property name="A0310A" value="01"/>
      <property name="Medicare Num" value="999210001"/>
      <property name="A0310B" value="01"/>
      <property name="A0310C" value="0"/>
      <property name="A0050" value="NEW RECORD"/>
      <property name="A0310D" value="^"/>
      <property name="A0310E" value="0"/>
      <property name="Target Date" value="10/06/2016"/>
      <property name="A0310F" value="10"/>
      <property name="A0310G" value="1"/>
      <property name="A0310H" value="0"/>
      <property name="Attestation Date (X1100E)" value=""/>
      <property name="Item Subset Code" value="NC"/>
      <property name="Data Spec Version #" value="2.00"/>
      <property name="XML File Name" value="SG_TC70351_Step 1_NC A0301H - 0.xml"/>
    </record>
    - <errors>
      - <error number="1">
        <property name="MDS 3.0 Item(s)" value="A0310A, Submission Date, V0200C2, A0050"/>
        <property name="Item Values" value="01, 11/06/2016, 10/06/2016, 1"/>
        <property name="Message Number" value="-3810c WARNING"/>
      </error>
    </errors>
  </records>
</report>

```

* Fictitious, sample data are depicted.

NOTE: For more information about the MDS 3.0 Final Validation Reports that are available to nursing homes and swing bed hospitals, refer to the *MDS 3.0 NH Final Validation Reports* (Section 7) or *MDS 3.0 SB Final Validation Reports* (Section 9) of the CASPER Reporting MDS Provider User's Guide. This guide is available on the **CMS QIES Systems for Providers** page.

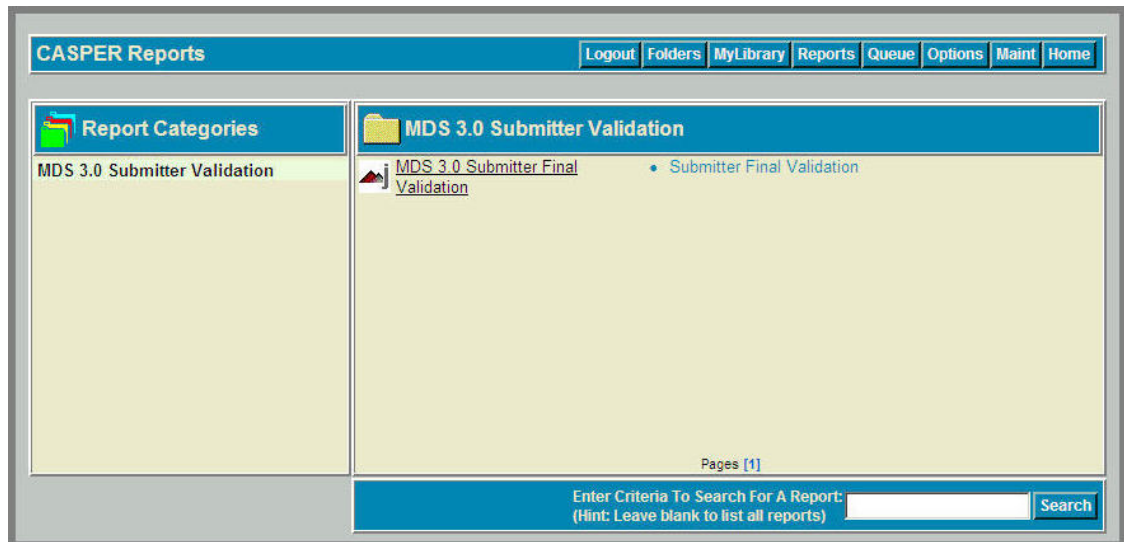
MDS 3.0 SUBMITTER FINAL VALIDATION REPORT

For the instances when the ASAP system cannot produce the system-generated MDS 3.0 Final Validation Report or include all records on the generated MDS 3.0 Final Validation Report, you can request an MDS 3.0 Submitter Final Validation Report in order to determine why the ASAP system could not process these records.

The following steps identify how to request and view the MDS 3.0 Submitter Final Validation Report:

1. Log into the CASPER Reporting application with your individual user ID/password (Figure A-5, above). This is the same user ID/password you use for MDS 3.0 Submissions.
2. Select the **Reports** button. The **CASPER Reports** page (Figure A-9) is presented.

Figure A-9. CASPER Reports Page



3. Select the MDS 3.0 Submitter Validation Report category link from the *Report Categories* frame on the left. A link to the MDS 3.0 Submitter Final Validation Report displays in the right-hand frame.

NOTE: Only those report categories to which you specifically have access are listed in the *Report Categories* frame.

4. Select the [MDS 3.0 Submitter Final Validation](#) link from the right-hand frame. The **CASPER Reports Submit** page (Figure A-10) is presented.

Figure A-10. CASPER Reports Submit Page – MDS 3.0 Submitter Final Validation Report

The screenshot shows the 'CASPER Reports Submit' page. At the top, there is a blue navigation bar with the title 'CASPER Reports Submit' and several buttons: 'Logout', 'Folders', 'MyLibrary', 'Reports', 'Queue', 'Options', 'Maint', and 'Home'. Below this is a yellow section containing the text 'Report: MDS 3.0 Submitter Final Validation Report' and a 'Submission ID:' label followed by an empty text input field. At the bottom of the page, there are two dropdown menus. The first is labeled 'Template Folder:' and is set to 'Submitter Reports'. The second is labeled 'Template Name:' and is set to 'MDS 3.0 Submitter Final Validation Report'. To the right of these dropdowns are four buttons: 'Submit', 'Back', 'Save & Submit', and 'Save'.

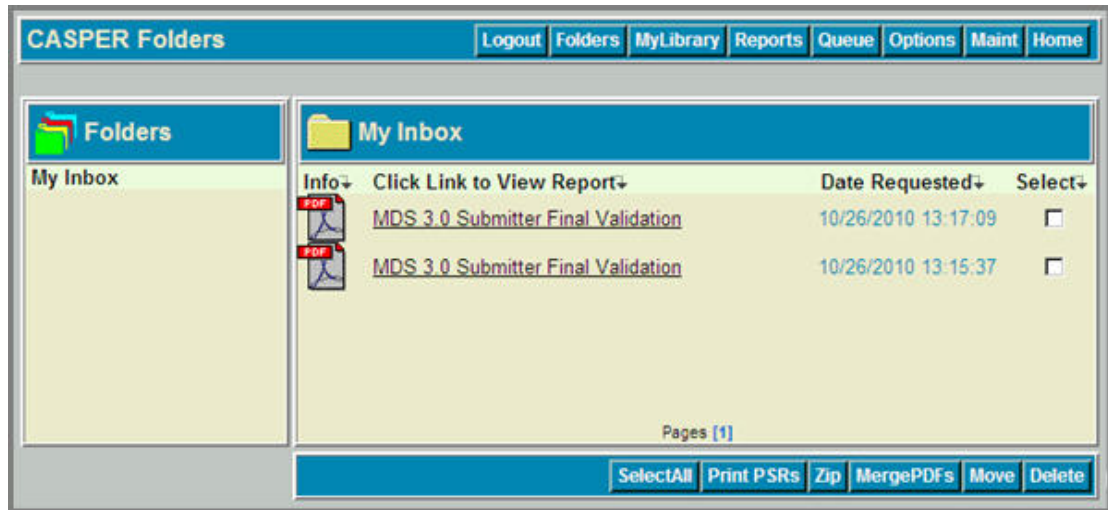
5. Enter the desired submission ID in the *Submission ID* field and select the **Submit** button. Your report request is submitted to the queue and then processed.

NOTE: You may only request the MDS 3.0 Submitter Validation Report for files submitted with **your** individual user ID. You cannot request the MDS 3.0 Submitter Final Validation Report if you did not submit the file. If you request a file you did not originally submit you get an “Invalid User ID” message and the request is not processed.

When completed, the MDS 3.0 Submitter Validation Report you requested is placed in your *My Inbox* folder in the CASPER Reporting Application.

6. To view the contents of your *My Inbox* folder, select the **Folders** button located on the tool bar across the top of the page. The **CASPER Folders** page (Figure A-6, above) is presented. The folders available to you, including the *My Inbox* folder, are listed along the left-hand side of the page.
7. Select the [My Inbox](#) link. The main body of the **CASPER Folders** page (Figure A-11) lists the reports that are available in your *My Inbox* folder.

Figure A-11. CASPER Folders Page – My Inbox Folder



Each report name is a link with which you may open and view the contents of that report. The *Date Requested* listed for each report is the date and time that you submitted the report request.

8. Find and select the MDS 3.0 Submitter Final Validation Report you wish to view. Open the desired report by selecting the report name.

NOTE: When you hover your mouse pointer over the icon to the left of a report name, the submission ID for which that report was run displays briefly.

Listed below are several of the severe errors for which the ASAP system **cannot** produce a system-generated MDS 3.0 NH (or SB) Final Validation Report. These errors are reported only on the MDS 3.0 Submitter Validation Report:

- -1001 Invalid Zip file format (no generated FVR)
- -1002 Empty Zip file (no generated FVR)
- -1004 Invalid XML file format (record not on generated FVR)
- -1008 Invalid State Code (record not on generated FVR)
- -1009 Invalid Type of Record code (record not on generated FVR)
- -1010 Invalid Provider Type Code (record not on generated FVR)
- -3693a Invalid Fac_ID (record not on generated FVR)

NOTE: While the severe errors listed above are common, it is not a comprehensive listing. To view a complete listing of errors, please refer to Section 5 of the MDS 3.0 Provider's User Guide available on the **CMS QIES Systems for Providers** page.