

# A

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## FINAL VALIDATION REPORTS

Two types of Final Validation Reports are available to HHAs in the CASPER Reporting application:

- **OASIS Agency Final Validation Reports**

Unless certain severe errors occur during the processing of a submitted file, the Assessment Submission and Processing (ASAP) system automatically generates an *OASIS Agency Final Validation Report*. The system-generated OASIS Agency Final Validation Report is created in two formats: Text and XML. Both report formats are delivered automatically to your agency's CASPER validation report folder.

**NOTE:** The XML-formatted report is intended for software vendors. Agencies may ignore the XML-formatted report and access the user-friendly plain text version of the OASIS Agency Final Validation Report.

- **Submitter Final Validation Reports**

For submission files that contain severe errors, the ASAP system is unable to generate an *OASIS Agency Final Validation Report*. You may identify these errors by requesting the *OASIS Submitter Final Validation Report*. The ASAP system does not automatically generate this report.

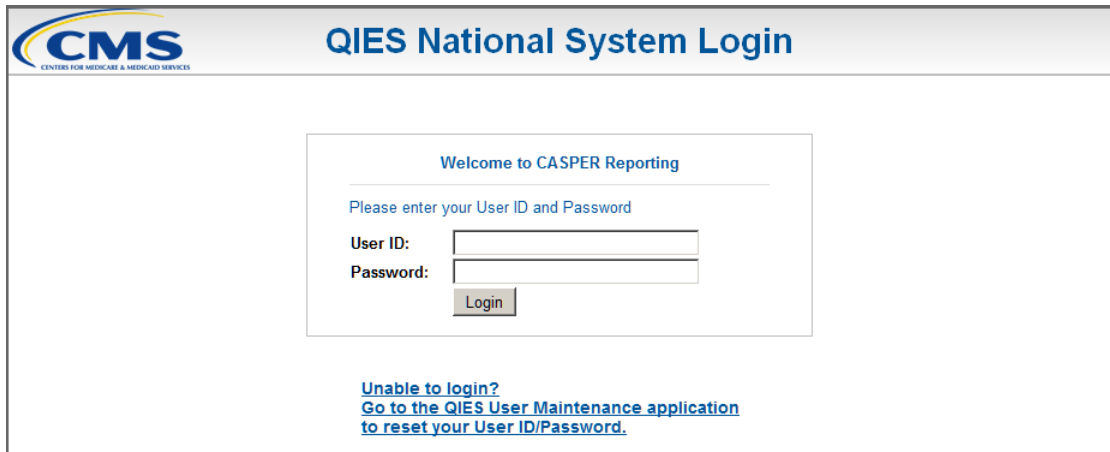
### **System-Generated OASIS Agency Final Validation Report**

The following steps detail how to access and view the system-generated OASIS Agency Final Validation report in the CASPER Reporting application so that you may verify that all records of your submission file processed without error.

**NOTE:** A system-generated OASIS Agency Final Validation Report is available only if the *Submission Status* is "Completed" and the *Total Record Count* is greater than zero (0). This information is available to you on the **List of My Submissions** (Submission Status) page of the OASIS File Submission system.

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

Figure A-1. CASPER Reporting Login Page



Welcome to CASPER Reporting

Please enter your User ID and Password

User ID:

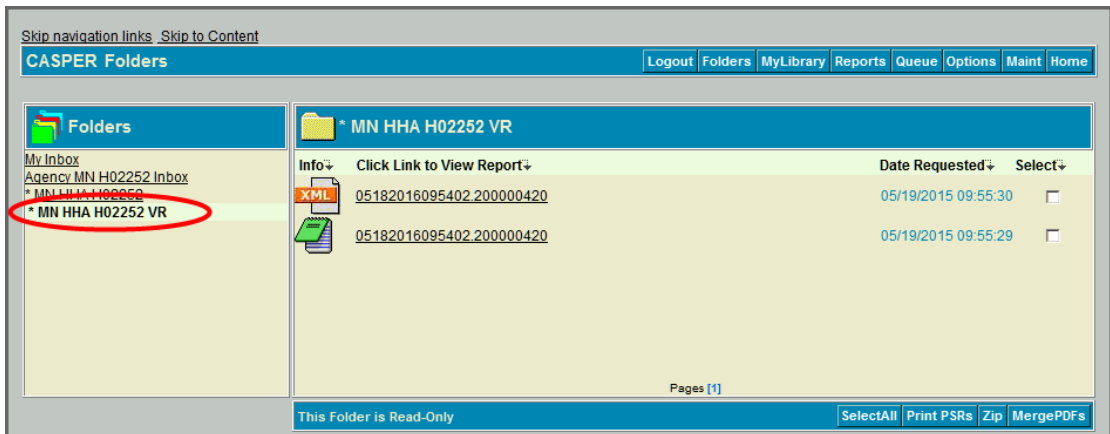
Password:

Login

[Unable to login?](#)  
[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-2) is presented. The folders available to you are listed in the *Folders* frame along the left-hand side of the page.

Figure A-2. CASPER Folders Page – Validation Report Folder



Info	Click Link to View Report	Date Requested	Select
	<a href="#">05182016095402.200000420</a>	05/19/2015 09:55:30	<input type="checkbox"/>
	<a href="#">05182016095402.200000420</a>	05/19/2015 09:55:29	<input type="checkbox"/>

Pages [1]

This Folder is Read-Only

SelectAll Print PSRs Zip MergePDFs

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

**[State Code] HHA [Facility ID] VR**

Where:

**State Code** = your 2-character state code

**HHA** = Home Health Agency

**Facility ID** = State-assigned facility ID used for submitting OASIS records

**VR** = Validation Report

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

**[Submission Date & Time].[Submission ID]**

Each report name is a link with which you may open and view the contents of that report.

**NOTE:** OASIS reports are automatically purged after 60 days.

5. Select the report link that corresponds to the submission file you wish to verify. Figure A-3 depicts a fictional system-generated OASIS Agency Final Validation Report in text format and Figure A-4 depicts a fictional system-generated OASIS Agency Final Validation report in XML format.

**NOTE:** When a submitted file cannot be unzipped or contains no records, the QIES ASAP OASIS system cannot generate an OASIS Agency Final Validation Report and place it in your agency's shared VR folder. If a system-generated OASIS Agency Final Validation Report was created but the number of records displayed is less than the number of records you submitted in the file, the QIES ASAP OASIS system was unable to process one or more records. In either case, the user who originally submitted the file must request the **OASIS Submitter Final Validation Report** in order to identify the issues with the records that were not processed.

Agency-identifiable records from the submitted assessment file are presented on the system-generated OASIS Agency Final Validation Report in the following order:

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

**Figure A-3. OASIS Agency Final Validation Report – Text Format\***

```

          CMS Submission Report
    OASIS Agency Final Validation Report

Submission Date/Time:      10/11/2015 10:15:34
Submission ID:            50000740
Submitter User ID:
Submission File Name:     BL_XMLFile_102015_OASIS_V2.12_ICD10_R01_0
                          5012015.zip
Submission File Status:   Completed
Processing Completion Date/Time: 05/01/2015 10:17:40

Agency ID (FAC_ID):     IAHHA002
Agency Name:            UNITYPOINT AT HOME
State Code:             IA

# Records Processed:     1
# Production Records Accepted: 1
# Production Records Rejected: 0
# Production Duplicate Records: 0
# Production Records Submitted
  Without Agency Authority: 0
# Test Records Passed:   0
# Test Records Failed:   0
Total # of Messages:     2

-----
Record: 1                Accepted
Asmt_ID: 70002009044     Name (M0040) :
Res_Int_ID: 32567840     SSN (M0064):
RFA, BRANCH_ID: 01, P   Medicare Num (M0063):
M0090 Date: 10/01/2015  Eff Date: 10/01/2015
Type of Transaction: NEW RECORD  Correction Num: 0
XML File Name:          BL_XMLFile_102015_OASIS_V2.12_ICD10_R01_0
                          5012015.xml

OASIS Item(s):          M0100_ASSMT_REASON, SUBM_HIPPS_CODE,
                          CALC_HIPPS_CODE
Data Submitted:         01, ^, 1CGKV
Message Number/Severity: -4820  WARNING
Message:                Invalid HIPPS Values: SUBM_HIPPS_CODE
                          and SUBM_HIPPS_VERSION values should
                          match the system-calculated values.

OASIS Item(s):          M0100_ASSMT_REASON, SUBM_HIPPS_VERSION,
                          CALC_HIPPS_VERSION
Data Submitted:         01, ^, V5115
Message Number/Severity: -4820  WARNING
Message:                Invalid HIPPS Values: SUBM_HIPPS_CODE
                          and SUBM_HIPPS_VERSION values should
                          match the system-calculated values.

-----
This report may contain privacy protected data and should not be released to
the public.
    
```

\* Fictitious, sample data are depicted.

**Figure A-4. OASIS Agency Final Validation Report – XML Format Excerpt\***

```
- <report name="CMS Submission Report" type="OASIS Agency Final Validation Report">
- <header>
- <submission>
  <property name="Submission Date/Time" value="05/18/2016 09:54:02" />
  <property name="Submission ID" value="200000420" />
  <property name="Submitter User ID" value=" " />
  <property name="Submission File Name" value="OASIS_20150501.zip" />
  <property name="Submission File Status" value="Completed" />
  <property name="Processing Completion Date/Time" value="05/19/2015 09:55:28" />
</submission>
- <agency>
  <property name="Agency ID (FAC_ID)" value="H02252" />
  <property name="Agency Name" value="RIDGEVIEW HOME CARE SERVICES" />
  <property name="State Code" value="MN" />
</agency>
- <processing>
  <property name="# Records Processed" value="1" />
  <property name="# Production Records Accepted" value="0" />
  <property name="# Production Records Rejected" value="1" />
  <property name="# Production Duplicate Records" value="0" />
  <property name="# Production Records Submitted without Agency Authority" value="0" />
  <property name="# Test Records Passed" value="0" />
  <property name="# Test Records Failed" value="0" />
  <property name="Total # of Messages" value="2" />
</processing>
- </header>
- <records>
  <record number="1">
    <property name="Record Status" value="Rejected" />
    <property name="Asmt_ID" value="70001000190" />
    <property name="Name (M0040)" value="TEST435098, FNAME-001" />
    <property name="Res_Int_ID" value="0" />
    <property name="SSN (M0064)" value=" " />
    <property name="RFA, BRANCH_ID" value="01," />
    <property name="Medicare Num (M0063)" value=" " />
    <property name="M0090 Date" value="04/30/2015" />
    <property name="Eff Date" value="10/05/2014" />
    <property name="Type of Transaction" value="INACTIVATION" />
    <property name="Correction Num" value="1" />
    <property name="XML File Name" value="OASIS_20150501.xml" />
  </record>
- <errors>
  <error number="1">
    _____
    \_____
  </error>
</errors>
</records>
- <privacy>
  <property name="message" value="This report may contain privacy protected data and should not be released" />
</privacy>
- </report>
```

\* Fictitious, sample data are depicted.

**NOTE:** For more information about the OASIS Final Validation Reports that are available to home health agencies, refer to the *HHA Provider Reports* (Section 4) of the CASPER Reporting User's Manual. This manual is available on the **Welcome to the CMS QIES Systems for Providers** page.

## OASIS Submitter Final Validation Report

For the instances when the QIES ASAP system cannot produce the system-generated OASIS Agency Final Validation Report or include all records on the system-generated OASIS Agency Final Validation Report, the user who originally submitted the file can request an OASIS Submitter Final Validation Report in order to determine why the QIES ASAP system could not process the records.

The following steps identify how to request and view the OASIS Submitter Final Validation report so that you may identify and then correct the errors encountered in one or more records of the submitted file

1. Log in to the CASPER Reporting application (Figure A-1, above) with the same user ID and password you use for OASIS Submissions.
2. Select the **Reports** button. The **CASPER Reports** page (Figure A-5) is presented.

**Figure A-5. CASPER Reports Page**



3. Select the HHA Provider report category link from the *Report Categories* frame on the left. Links to the reports in this category display in the right-hand frame.

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

4. In the right-hand frame, navigate as necessary to the page displaying the [OASIS Submitter Final Validation](#) link and select the link. The **CASPER Reports Submit** criteria page (Figure A-6) is presented so that you may specify the submission ID for which you wish to request a report.

**NOTE:** The list of reports in the HHA Provider report category is lengthy. You may need to navigate to the second or subsequent page of the list to locate the [OASIS Submitter Final Validation Report](#) link.

**Figure A-6. CASPER Reports Submit Page – OASIS Submitter Final Validation Report**

The screenshot shows a web interface for submitting reports. At the top, there is a blue header bar with the text "CASPER Reports Submit" and a navigation menu with buttons for "Logout", "Folders", "MyLibrary", "Reports", "Queue", "Options", "Maint", and "Home". Below the header, a yellow box contains the text "Report: OASIS Submitter Final Validation Report". Underneath this, there is a label "Submission ID:" followed by an empty text input field. At the bottom of the form, there are two dropdown menus: "Template Folder:" with "My Favorite Reports" selected, and "Template Name:" with "OASIS Submitter Final Validation Report" selected. 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 OASIS Submitter Final Validation report for files submitted with **your** user ID. You cannot request the OASIS Submitter Final Validation Report for a file you did not submit. If you request a report for a file you did not submit the system responds with a "User must enter a valid Submission ID" message and the request is not processed.

6. When completed, the OASIS Submitter Final Validation Report is placed in your *My Inbox* folder. To access this folder, select the **Folders** button on the tool bar at the top of the page. The **CASPER Folders** page (Figure A-4, 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-7) lists the reports that are available in your *My Inbox* folder.



Figure A-7. 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 you submitted the report request.

8. Find and select the OASIS 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 QIES ASAP system either cannot produce a system-generated OASIS Agency Final Validation Report for the submitted file or include a specific record on the report. These errors are reported only on the OASIS Submitter Final Validation report:

- -901 Invalid Zip File (no system-generated FVR created)
- -902 Invalid XML File (record not on system-generated FVR)
- -904 Invalid XML File Format (record not on system-generated FVR)
- -3162 Unauthorized Submitter (no system-generated FVR created)

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