

# 7

## MDS 3.0 NURSING HOME (NH) FINAL VALIDATION REPORT

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## GENERAL INFORMATION

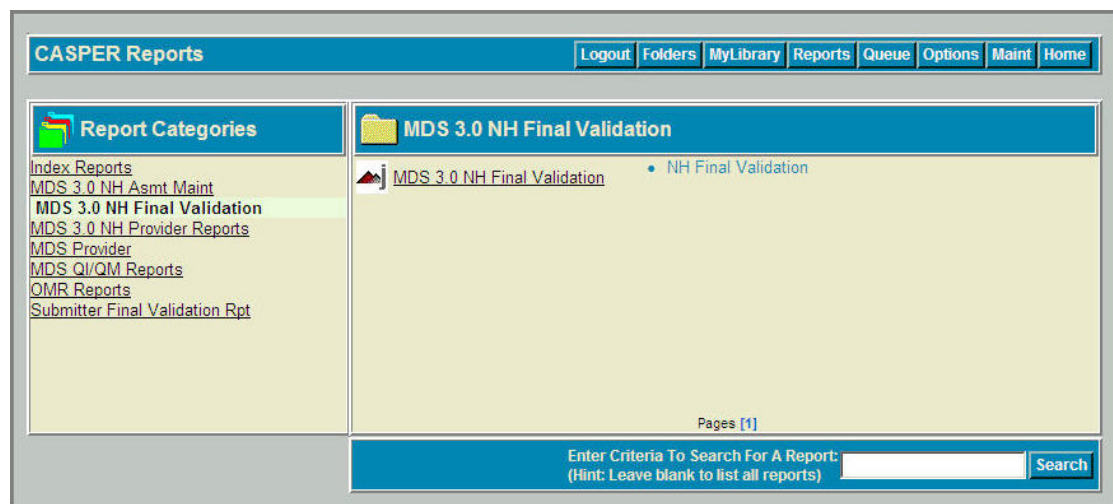
The MDS 3.0 system automatically creates an MDS 3.0 Nursing Home (NH) Final Validation report within 24 hours of the submission of a file. These automatically-generated reports are placed in the provider's final validation reports folder, which is named:

[State Code] LTC [Facility ID] VR

If necessary, you may request another final validation report for a specific submission file or date range by selecting the MDS 3.0 NH Final Validation report category. The MDS 3.0 NH Final Validation report category is requested on the **CASPER Reports** page (Figure 7-1).

**NOTE:** The records included in an automatically-generated MDS 3.0 NH Final Validation report for a particular submission are identical to the records included in a user-generated MDS 3.0 NH Final Validation report for the same submission. However, differences in the order in which the records are presented may exist.

**Figure 7-1. CASPER Reports Page – MDS 3.0 NH Final Validation Report Category**



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

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

**2.** Select the desired underlined report name link from the right-hand frame. One or more **CASPER Reports Submit** pages are presented providing criteria options with which you specify the information to include in your report. These options may differ for each report.

**3.** Choose the desired criteria and select the **Submit** or **Next** button.

**NOTE:** MDS 3.0 reports access detailed information and may require a significant amount of time to process. Once you submit your report request(s), you may consider exiting the CASPER Reporting application, and viewing the completed report(s) at a later time.

**4.** Refer to Section 2, Functionality, of the CASPER Reporting User's Guide for assistance in viewing, printing, saving and exporting the reports you request.

The MDS 3.0 NH Final Validation report is queried by submission date or Submission ID. The submission date is the date on which the file was submitted to the MDS 3.0 Submission system.

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

## MDS 3.0 NH FINAL VALIDATION REPORT

The MDS 3.0 NH Final Validation Report provides detailed information about the status of select submission files. The report indicates whether the records submitted in each were accepted or rejected and details the warning and fatal errors encountered.

The criteria selection page (Figure 7-2) for the MDS 3.0 NH Final Validation Report presents *Submission ID*, *Date Criteria*, *from (mm/dd/yyyy)*, and *thru (mm/dd/yyyy)* options.

**Figure 7-2. CASPER Reports Submit Page - MDS 3.0 NH Final Validation Report**

The screenshot shows a web interface titled "CASPER Reports Submit". At the top right, there is a navigation menu with buttons for "Logout", "Folders", "MyLibrary", "Reports", "Queue", "Options", "Maint", and "Home". Below this, the page title is "Report: MDS 3.0 NH Final Validation". The main form area contains the following fields:

- Submission ID:** A text input field.
- Date Criteria:** A dropdown menu.
- from (mm/dd/yyyy):** A date picker field.
- thru (mm/dd/yyyy):** A date picker field.

At the bottom of the form, there are two dropdown menus:

- Template Folder:** Set to "My Favorite Reports".
- Template Name:** Set to "MDS 3.0 NH Final Validation".

On the right side of the bottom section, there are four buttons: "Submit", "Back", "Save & Submit", and "Save".

You must enter either a valid *Submission ID* or submission date criteria.

**NOTE:** An error results if you enter both a Submission ID and date criteria. Because of this, there is no default value for the *Date Criteria* field.

*Date Criteria* defines the date range of the data to include in the report. The drop-down list includes the following options:

- Fiscal Year to Date
- Month to Date
- Prior Business Day
- Prior Business Week
- Prior Calendar Week
- Prior Fiscal Year
- Prior Month
- Prior Quarter
- Prior Year
- Quarter to Date
- Today

- Week to Date
- Year to Date
- Yesterday

*from* (mm/dd/yyyy) and *thru* (mm/dd/yyyy) dates are pre-filled based upon the *Date Criteria* option you selected. You can select different dates by using the calendar icons or by entering the information manually in an mm/dd/yyyy format. An error message is presented if the date criteria are invalid. Examples include the *from* date being after the *thru* date and the use of future dates, alpha characters or an incorrect date format.

Only those submissions for nursing homes to which your User ID is authorized are allowed.

**NOTE:** As of March 18, 2012, item X0100 (Type of Record) was replaced with item A0050 (Type of Record). Item X0100 will appear as A0050 in all previously submitted records with target dates after September 30, 2010.

The MDS 3.0 NH Final Validation Report (Figure 7-3) details the following for the specified submission file.


Report Field	Report Field Description
CMS Submission Report	The title of the report.
MDS 3.0 NH Final Validation	The sub-title of the report.
Submission Date/Time	The date and time that the submission file was received by the MDS 3.0 system. The time is recorded to the nearest second. mm/dd/yyyy hh:mm:ss
Processing Completion Date/Time	The date and time that the processing of the file was complete. The time is recorded to the nearest second. mm/dd/yyyy hh:mm:ss
Submission ID	The unique identifier assigned to the submission file when it was received by the system.
Submission File Name	The name of the submitted zip file.
Submission File Status	The status of the submitted file – Completed or Error. If the file is in error, the file cannot be processed. Examples of the Error status are: the file could not be unzipped or there was a database error.
State Code	The facility's two-character state code.
Facility ID	The unique alphanumeric, state-assigned facility identifier.
Facility Name	The name of the facility that created the assessment record.
Submitter User ID	The user ID of the submitter.
# of Records in Submission File	The number of valid records (accepted and rejected) submitted in the submission file.
# Records Processed	The total number of records that were processed (accepted and rejected) for the facility from the submission file.

<b>Report Field</b>	<b>Report Field Description</b>
# Records Accepted	The total number of records that were saved to the database from the submission file.
# Records Rejected	The total number of records for the facility that were not saved to the database because of fatal errors in the record.
# Duplicate Records	The total number of records for the facility that were not saved into the database because they were duplicate records.
# Records Submitted Without Facility Authority	The total number of records for the facility that were submitted by a user without authority to submit for the facility.
# Records Submitted But Not Allowed	The total number of records that were submitted with neither federal nor state submission authority. These records have A0410 = 1 or 2 from a facility in a state that does not collect sub_req 2 records.
Total # of Messages	The total number of errors (fatal errors and warnings) for all records for the facility in the submission file.
Record Number ID	The order that the records in the submission file were processed for the facility and for which the errors are being reported.
Record Status	The status of the individual record. Accepted or Rejected displays when the record was accepted or rejected.
Asmt_ID	The unique ID assigned to the assessment by the MDS 3.0 system.
Name	The resident's last (A0500C) name and first (A0500A) name. When A0050 = 3 (Inactivation) the values of X0200A and X0200C are displayed.
Res_Int_ID	The unique number assigned to the resident by the system. The combination of state code and resident internal ID uniquely identifies the resident in the national repository. This field is populated if the resident exists on the resident table (new residents created by an accepted record are on the table). The field is displayed as 0 if the resident is new and the record is rejected.
SSN	The resident's Social Security Number (A0600A). When A0050 = 3 (Inactivation) the value of X0500 is displayed.
A0200	The type of provider: 1 = nursing home.
A0310A	The value submitted in the Federal OBRA Reason for Assessment/Tracking item. When A0050 = 3 (Inactivation), the value of X0600A is displayed.
Medicare Number	The resident's Medicare Number (A0600B).
A0310B	The value submitted in the PPS Assessment item. When A0050 = 3 (Inactivation), the value of X0600B is displayed.
A0310C	The value submitted in the PPS Other Medicare Required Assessment (OMRA). When A0050 = 3 (Inactivation), the value of X0600C is displayed.

Report Field	Report Field Description
A0050	The type of record: New Record, Modification or Inactivation. If A0050 = 1, this record is a new original assessment. If A0050 = 2, the current record is a request to modify an existing record in the MDS 3.0 system. If A0050 = 3, the current record is a request to inactivate an existing record in the MDS 3.0 system.
A0310D	Swing Bed clinical change assessment indicator. When A0050 = 3 (Inactivation), the value of X0600D is displayed.
A0310E	First assessment (OBRA or PPS) since the most recent admission indicator.
Target Date	The target date of the record. mm/dd/yyyy
A0310F	The value submitted in the Entry/Discharge reporting item. When A0050 = 3 (Inactivation), the value of X0600F is displayed.
A0310G	The value submitted in the Type of Discharge reporting item.
A0310H	The value submitted in the SNF Part A PPS Discharge Assessment item.
Attestation Date (X1100E)	The attestation date (X1100E) of the record. This field is blank if the record is an original record. mm/dd/yyyy
Item Subset Code	The submitted item subset code.
Data Specs Version #	The version number of the data submission specifications (SPEC_VRSN_CD) used to create the XML record.
XML File Name	The name of the XML file.
MDS 3.0 Item(s)	The MDS 3.0 item identifier(s) from the item set in which an error (either fatal or warning) occurred. NOTE: If values are compared for more than one field at a time, both item identifiers display.
Item Values	The submitted data value and the recalculated data value, if applicable, that caused the error or warning condition.
Message Number	The number used to identify the error that was encountered for the corresponding field.
Message	The description of the error that was encountered for the corresponding field.

**NOTE:** The number of errors (messages) listed on the report for each record (assessment) included in the submission file is limited to a number defined by the State agency.

**Figure 7-3. MDS 3.0 NH Final Validation Report\***

		Run Date: 08/10/2016 Page 1 of 12
<b>CMS Submission Report                  MDS 3.0 NH Final Validation</b>		
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:	[REDACTED]	
# 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: [REDACTED]	
Res_Int_ID: 36272295	SSN: [REDACTED]	
A0200: 1 A0310A: 01	Medicare Num: [REDACTED]	
A0310B: 01 A0310C: 0	A0050: NEW RECORD	
A0310D: ^ A0310E: 0	Target Date: 10/06/2016	
A0310F: 10 A0310G: 1	Attestation Date (X1100E):	
A0310H: 0	Data Specs Version #: 2.00	
Item Subset Code: NC	SG_TC70351_Step 1_NC A0301H - 0.xml	
XML File Name:	MDS 3.0 Item(s): A0310A, Submission Date, V0200C2, A0050	
MDS 3.0 Item(s):	Item Values: 01, 11/06/2016, 10/06/2016, 1	
Item Values:	Message Number: -3810c WARNING	
Message Number:	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).	
Message:	MDS 3.0 Item(s): Current Record Type, Prior Record: A0310A, A0310B, A0310F	
MDS 3.0 Item(s):	Item Values: DISCHARGE RA/RNA, MDS 3.0: , ,	
Item Values:	Message Number: -1018 WARNING	
Message Number:	Message: 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.	
Message:		
This report may contain privacy protected data and should not be released to the public. Any alteration to this report is strictly prohibited.		

\* Fictitious, sample data is depicted.

The report is sorted by MDS Submission ID, Last Name, First Name, Submission Processing Order Num, Assessment ID, Error Type Description, Item in Error, and Value in Error Text.