# A

# QUICK REFERENCE TO IRF-PAI FILE SUBMISSIONS, SUBMISSION STATUS, AND VALIDATION REPORTS

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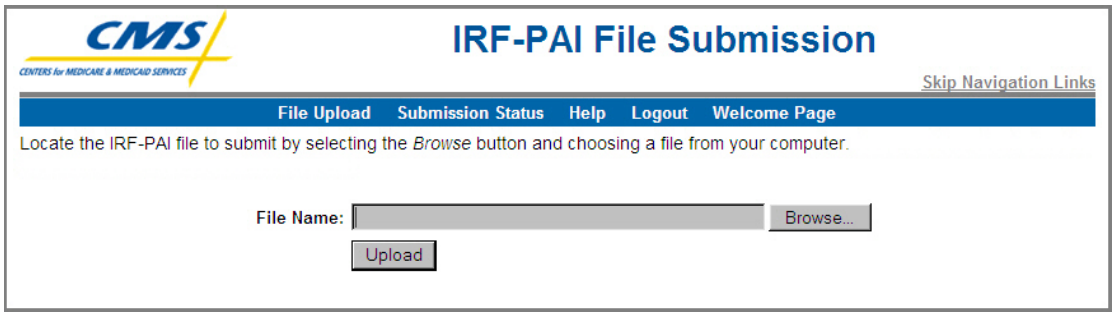
## FILE SUBMISSION

**1.** Log in to the IRF-PAI File Submission system using your individual user ID and password. Upon successful log in to the IRF-PAI File Submission system, the **File Upload** page (Figure A-1) is presented.

**Figure A-1. IRF-PAI File Submission File Upload Page**




**2.** Select the **Browse** button to locate the IRF-PAI file you wish to submit. Select (highlight) the zipped submission file and then select the **Upload** button to upload the file.

**3.** Once the QIES 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 QIES ASAP system received the uploaded file. It does NOT indicate the file was processed or the records were edited and accepted by the QIES ASAP System. Refer to the **Submission Status** page of the IRF-PAI 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**

**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 IRF-PAI File Submission system to verify the status of the file and then proceed with locating the system-generated IRF-PAI Facility Final Validation Report in the CASPER Reporting application.

Records in the submitted assessment file are sorted and processed in the following order:

- State Code
- Facility ID
- Type of Transaction (3-Inactivation, 1-New, 2-Modification)
- Target Date
- Correction Number

## 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 IRF-PAI File Submission System using your individual user ID and password. Upon successful log in to the IRF-PAI 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 IRF-PAI File Submission **File Upload** page. The **List of My Submissions** page (Figure A-4) is presented.

**Figure A-4. List of My Submissions Page**

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
  - *Error* - an error occurred during processing of the submission file
  - *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 IRF-PAI Facility Final Validation Report is NOT generated. The QIES ASAP system **cannot** produce a system-generated IRF-PAI Facility Final Validation Report. **No** system-generated IRF-PAI Facility Final Validation Report is available in your facility's CASPER validation reports (VR) folder for this submission. Request the IRF-PAI 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 QIES ASAP system successfully unzipped and extracted one or more records from the file. You must review the system-generated IRF-PAI Facility Final Validation Report to verify that **all** records processed without error. The system-generated IRF-PAI Facility Final Validation Report is placed in your facility's VR folder.

  If you cannot locate the system-generated IRF-PAI Facility Final Validation Report in your facility's VR folder, the user who originally submitted the file can run an IRF-PAI 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 system-generated IRF-PAI Facility Final Validation Report, the user who originally submitted the file can run an IRF-PAI Submitter Validation Report with which you may identify the errors that were encountered with those records. When records are missing from the system-generated IRF-PAI Facility Final Validation Report it is because the QIES ASAP system was unable determine to which provider the records belonged and could not include them on the provider's IRF-PAI Facility Final Validation Report.

## SYSTEM-GENERATED IRF-PAI FACILITY FINAL VALIDATION REPORT

The system-generated IRF-PAI Facility 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.

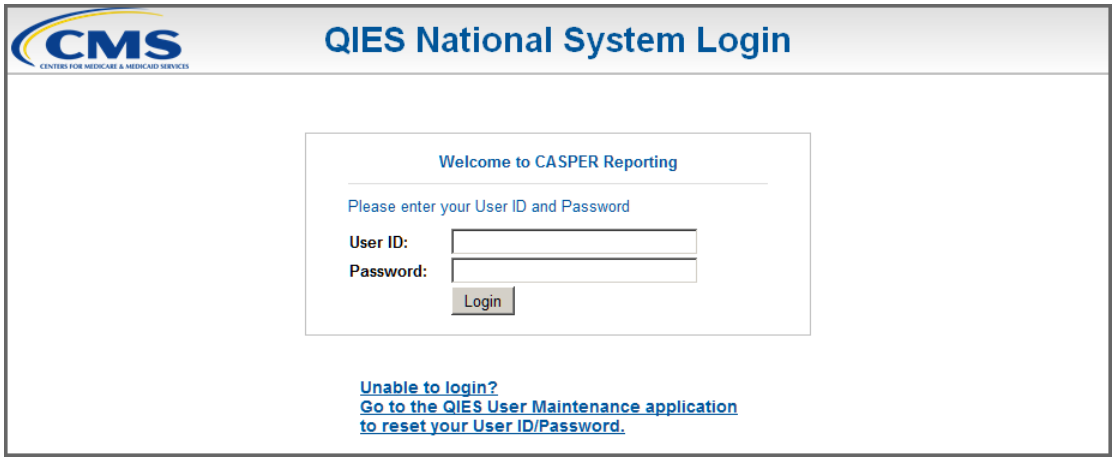
**NOTE**: The XML-formatted report is intended for software developers. Providers may ignore the XML-formatted report and access the user-friendly plain text version of the IRF-PAI Facility Final Validation Report.

The following steps detail how to view the system-generated IRF-PAI Facility 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 IRF-PAI Facility Final Validation Report to verify that all records processed without error.

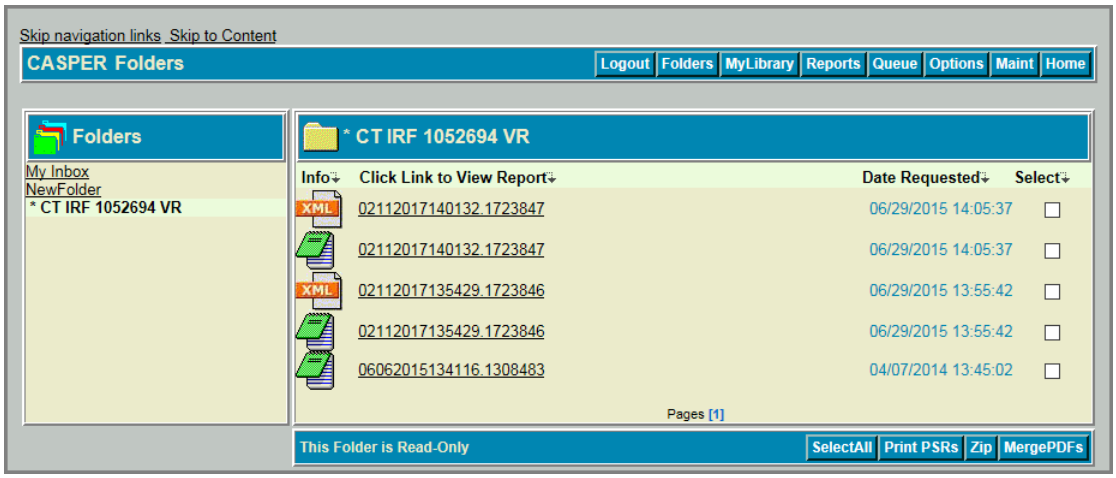
**1.** Log in to the CASPER Reporting application (Figure A-5) with your individual user ID and password. This is the same user ID and password with which you access the IRF-PAI File Submission system.

**Figure A-5. CASPER Reporting Login Page**




**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] IRF [Facility ID] VR**

Where:

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

**IRF** = Inpatient Rehabilitation Facility

**Facility ID** = State-assigned facility ID used for submitting IRF-PAI 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:** IRF-PAI 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 IRF-PAI Facility Final Validation Report in text format and Figure A-8 depicts a fictional system-generated IRF-PAI Facility Final Validation Report in XML format.

**NOTE**: When a submitted file cannot be unzipped or contains no records, the QIES ASAP system cannot generate an IRF-PAI Facility Final Validation Report and place it in your facility's shared VR folder.
If a system-generated IRF-PAI Facility 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 QIES ASAP system.
In either case, the user who originally submitted the file must request the **IRF-PAI Submitter Final Validation Report** in order to identify the issues with the records that were not processed.

Records in the submitted assessment file are presented on the system-generated IRF-PAI Facility Final Validation Report in the following order:

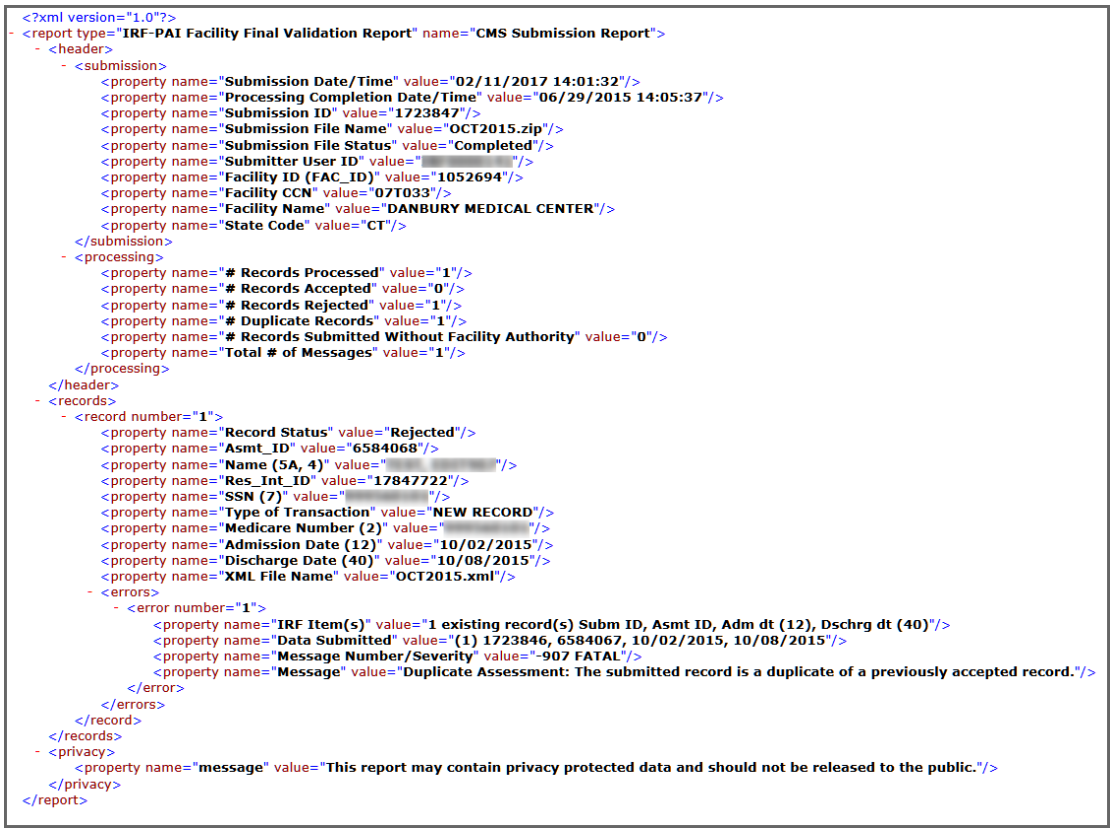
- State Code
- Facility ID
- Submission ID
- Patient Last Name
- Patient First Name
- Submission Processing Order Number
- Error Type Description
- Item in Error Text
- Value in Error Text

**Figure A-7. IRF-PAI Facility Final Validation Report – Text Format***

```
                        CMS Submission Report
                IRF-PAI Facility Final Validation Report

Submission Date/Time:                10/11/2015 14:01:32
Processing Completion Date/Time:     10/11/2015 14:05:37
Submission ID:                       1723847
Submission File Name:                OCT2015.zip
Submission File Status:              Completed
Submitter User ID:                   [redacted]
Facility ID (FAC_ID):                1052694
Facility CCN:                        07T033
Facility Name:                       DANBURY MEDICAL CENTER
State Code:                          CT
# Records Processed:                1
# Records Accepted:                 0
# Records Rejected:                 1
# Duplicate Records:                1
# Records Submitted Without
  Facility Authority:                0
Total # of Messages:                 1

--------------------------------------------------------------------------------
Record: 1                            Rejected

Asmt_ID: 6584068                     Name (5A, 4): [redacted]
Res_Int_ID: 17847722                 SSN (7): [redacted]
Type of Transaction: NEW RECORD      Medicare Number (2): [redacted]
Admission Date (12): 10/02/2015      Discharge Date (40): 10/08/2015
XML File Name:                       OCT2015.xml

IRF Item(s):                         1 existing record(s) Subm ID, Asmt ID,
                                     Adm dt (12), Dschrg dt (40)
Data Submitted:                      (1) 1723846, 6584067, 10/02/2015,
                                     10/08/2015
Message Number/Severity:             -907      FATAL
Message:                             Duplicate Assessment: The submitted
                                     record is a duplicate of a previously
                                     accepted record.

--------------------------------------------------------------------------------

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

* Fictitious, sample data are depicted.

**Figure A-8. IRF-PAI Facility Final Validation Report – XML Format***



```
<?xml version="1.0"?>
- <report type="IRF-PAI Facility Final Validation Report" name="CMS Submission Report">
  - <header>
    - <submission>
        <property name="Submission Date/Time" value="02/11/2017 14:01:32"/>
        <property name="Processing Completion Date/Time" value="06/29/2015 14:05:37"/>
        <property name="Submission ID" value="1723847"/>
        <property name="Submission File Name" value="OCT2015.zip"/>
        <property name="Submission File Status" value="Completed"/>
        <property name="Submitter User ID" value="[redacted]"/>
        <property name="Facility ID (FAC_ID)" value="1052694"/>
        <property name="Facility CCN" value="07T033"/>
        <property name="Facility Name" value="DANBURY MEDICAL CENTER"/>
        <property name="State Code" value="CT"/>
      </submission>
    - <processing>
        <property name="# Records Processed" value="1"/>
        <property name="# Records Accepted" value="0"/>
        <property name="# Records Rejected" value="1"/>
        <property name="# Duplicate Records" value="1"/>
        <property name="# Records Submitted Without Facility Authority" value="0"/>
        <property name="Total # of Messages" value="1"/>
      </processing>
  </header>
  - <records>
    - <record number="1">
        <property name="Record Status" value="Rejected"/>
        <property name="Asmt_ID" value="6584068"/>
        <property name="Name (5A, 4)" value="[redacted]"/>
        <property name="Res_Int_ID" value="17847722"/>
        <property name="SSN (7)" value="[redacted]"/>
        <property name="Type of Transaction" value="NEW RECORD"/>
        <property name="Medicare Number (2)" value="[redacted]"/>
        <property name="Admission Date (12)" value="10/02/2015"/>
        <property name="Discharge Date (40)" value="10/08/2015"/>
        <property name="XML File Name" value="OCT2015.xml"/>
      - <errors>
        - <error number="1">
            <property name="IRF Item(s)" value="1 existing record(s) Subm ID, Asmt ID, Adm dt (12), Dschrg dt (40)"/>
            <property name="Data Submitted" value="(1) 1723846, 6584067, 10/02/2015, 10/08/2015"/>
            <property name="Message Number/Severity" value="-907 FATAL"/>
            <property name="Message" value="Duplicate Assessment: The submitted record is a duplicate of a previously accepted record."/>
          </error>
        </errors>
      </record>
  </records>
  - <privacy>
      <property name="message" value="This report may contain privacy protected data and should not be released to the public."/>
  </privacy>
</report>
```

* Fictitious, sample data are depicted.

**NOTE**: For more information about the IRF-PAI Final Validation Reports that are available to inpatient rehabilitation facilities, refer to the *IRF-PAI Provider Reports* (Section 3) of the CASPER Reporting User's Manual for IRF Providers. This manual is available on the **Welcome to the CMS QIES Systems for Providers** page.

## IRF-PAI SUBMITTER FINAL VALIDATION REPORT

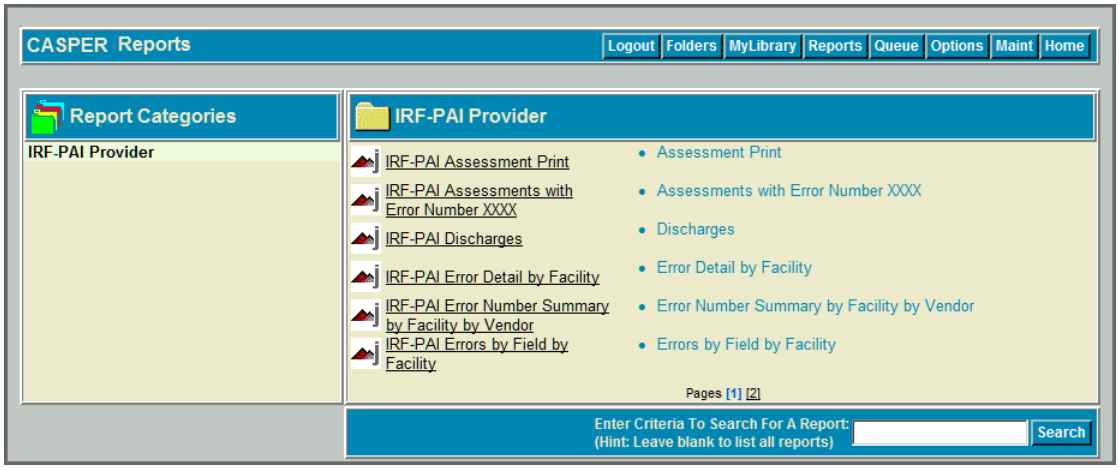
For the instances when the QIES ASAP system cannot produce the system-generated IRF-PAI Facility Final Validation Report or include all records on the system-generated IRF-PAI Facility Final Validation Report, the user who originally submitted the file can request an IRF-PAI Submitter Final Validation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

The following steps identify how to request and view the IRF-PAI Submitter Final Validation Report:

**1.** Log into the CASPER Reporting application with your user ID and password (Figure A-5, above). This is the same user ID and password that you use for IRF-PAI File Submissions.

**2.** Select the **Reports** button. The **CASPER Reports** page (Figure A-9) is presented.

**Figure A-9. CASPER Reports Page**



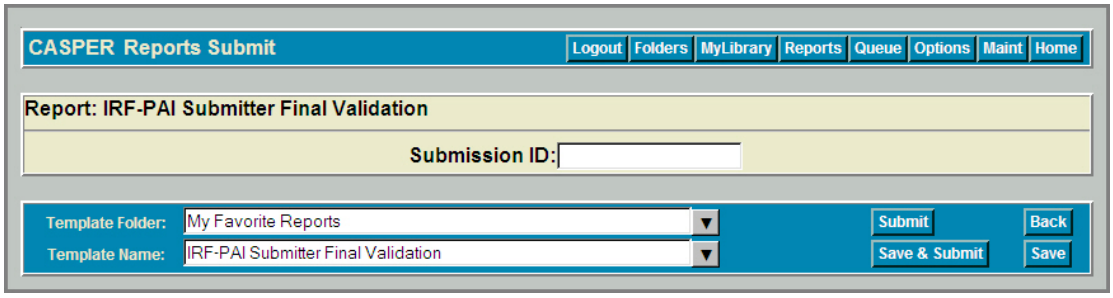

The IRF-PAI Provider report category is displayed by default. Links to the IRF-PAI Provider reports available to you are listed in the right-hand frame.

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

**3.** Select the IRF-PAI Submitter Final Validation link from the right-hand frame. The **CASPER Reports Submit** criteria page (Figure A-10) is presented.

**NOTE**: You may need to navigate to the second or subsequent page of the **CASPER Reports Submit** page to find the IRF-PAI Submitter Final Validation Report link.

**Figure A-10. CASPER Reports Submit Page – IRF-PAI Submitter Final Validation Report**




**4.** Enter the desired submission ID in the *Submission ID* field and select the **Submit** button.

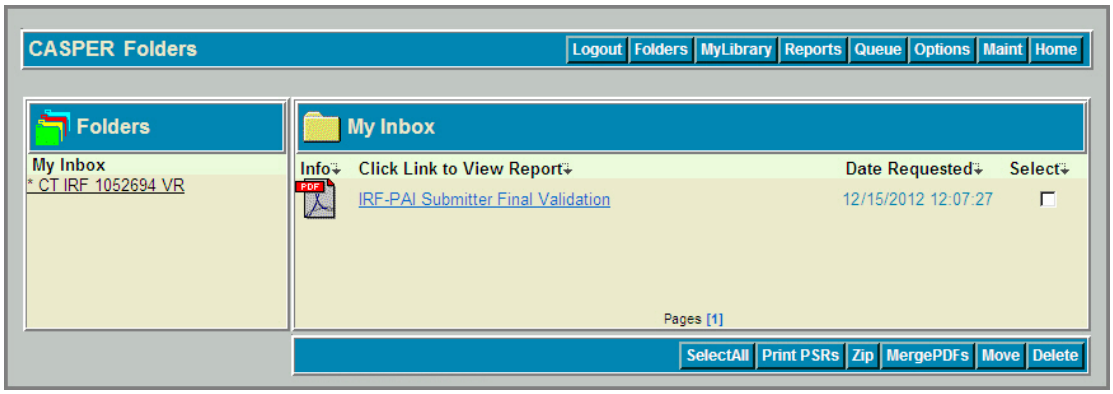
**NOTE**: You may only request the IRF-PAI Submitter Validation Report for files submitted with your user ID. You cannot request the IRF-PAI Submitter Final Validation Report for a file you did not submit. If you request a report for a file you did not submit you get a "User must enter a valid Submission ID" message and the request is not processed.

**5.** When completed, the IRF-PAI Submitter Validation Report is placed in your *My Inbox* folder in the CASPER Reporting application. To access this folder, select the **Folders** button. 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.

**6.** 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.

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.

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




**7.** Find and select the IRF-PAI 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 **cannot** produce a system-generated IRF-PAI Facility Final Validation Report. These errors are reported only on the IRF-PAI Submitter Validation Report:

- -901 Invalid Zip file
- -902 Invalid XML file format
- -1001 Invalid Fac_ID
- -1002 Invalid Transaction Type code

**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 IRF-PAI Submission User's Guide available on the **Welcome to the CMS QIES Systems for Providers** page.