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FINAL VALIDATION REPORTS

Two types of Final Validation Reports are available to MDS 3.0 providers in the CASPER Reporting application:

- **Provider (NH or SB) 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 *NH (or SB) Final Validation Report* for MDS 3.0 providers. 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 vendors. Providers may ignore the XML-formatted report and access the user-friendly plain text version of the MDS 3.0 NH (or SB) Final Validation Report.

- **Submitter Final Validation Reports**

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

Provider (NH or SB) Final Validation Reports

The following steps detail how to access and view the system-generated MDS 3.0 NH (or SB) 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 MDS 3.0 NH (or SB) 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 MDS 3.0 File Submission system.

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

Figure A-1. CASPER Reporting Login Page

Figure A-1 shows the login page for the CASPER Reporting system. The page has a header with the CMS logo and the title 'QIES National System Login'. The main content area contains a login form with the following elements:

- Welcome to CASPER Reporting**
- Please enter your User ID and Password**
- User ID:** [Input Field]
- Password:** [Input Field]
- Login** button
- Links at the bottom: [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

Figure A-2 shows the CASPER Folders page. The page has a navigation bar with the following buttons: **Logout**, **Folders**, **MyLibrary**, **Reports**, **Queue**, **Options**, **Maint**, and **Home**. The main content area is divided into two sections:

- Folders**: A list of folders on the left side, including 'My Inbox', 'Facility NV NVS3330SNF Inbox', and '* NV LTC NVS3330SNF VR' (highlighted with a red circle).
- Folder Details**: A table on the right side showing details for the selected folder '* NV LTC NVS3330SNF VR'. The table has columns for 'Info', 'Click Link to View Report', 'Date Requested', and 'Select'.

Info	Click Link to View Report	Date Requested	Select
XML	11102015165149.7853794	11/10/2015 16:54:39	☐
PDF	11102015165149.7853794	11/10/2015 16:54:34	☐

At the bottom of the page, there is a status bar that says 'This Folder is Read-Only' and buttons for 'SelectAll', 'Print PSRs', 'Zip', and 'MergePDFs'.

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 = State assigned nursing home facility ID used for submitting MDS 3.0 records

Provider Internal Number = State-assigned swing bed hospital provider number 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 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]

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

NOTE: MDS 3.0 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 MDS 3.0 NH Final Validation Report in text format and Figure A-4 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, the QIES ASAP system was unable to process one or more records. In either case, the user who originally submitted the file must request the **MDS 3.0 Submitter Final Validation Report** in order to identify the issues with the records that were not processed.

Facility-identifiable records from the submitted assessment file are presented on the system-generated MDS 3.0 NH (or SB) Final Validation Report in the following order:

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

Figure A-3. MDS 3.0 NH Final Validation Report – Text Format*

```

                                CMS Submission Report
                                MDS 3.0 NH Final Validation Report

Submission Date/Time:          11/10/2015 16:51:49
Processing Completion
  Date/Time:                   11/10/2015 16:54:30
Submission ID:                 7853794
Submission File Name:         MDS_20151010_SP.zip
Submission File Status:       Completed
State Code:                   NV
Facility ID:                  NVS3330SNF
Facility Name:                MOUNTAIN VIEW CARE CENTER
Submitter User ID:            [REDACTED]
# Records in Submission File: 1
# Records Processed:          1
# Records Accepted:           0
# Records Rejected:           1
# Duplicate Records:          0
# Records Submitted Without
  Facility Authority:          0
# Records Submitted But Not
  Allowed:                     0
Total # of Messages:          2

-----
Record: 1                      Rejected

Asmt_ID: 89820841              Name: STEP6_0001, SUE
Res_Int_ID: 0                  SSN: [REDACTED]
A0200: 1                      A0310A: 99    Medicare Num: [REDACTED]
A0310B: 03                    A0310C: 1    A0050: NEW RECORD
A0310D: 1                      A0310E: 0    Target Date: 10/06/2015
A0310F: 10                    A0310G: 1    Attestation Date (X1100E):
Item Subset Code:              SP          Data Spec Version #: 1.15
XML File Name:                MDS_20151010_SP.xml

MDS 3.0 Item(s):              A0200, A0310A, A0310B, A0310C, A0310D,
                              A0310F
Item Values:                   1, 99, 03, 1, 1, 10
Message Number:                -3607      FATAL
Message:                       Inconsistent Reasons for Assessment:
                              A0200 (type of provider) and A0310A,
                              A0310B, A0310C, A0310D, and/or A0310F
                              (reasons for assessment) are not a valid
                              combination for the submitted Item Subset
                              Code (ISC).

MDS 3.0 Item(s):              ITM_SBST_CD, Calculated ITM_SBST_CD
Item Values:                   SP,
Message Number:                -3796      FATAL
Message:                       Invalid ISC: The submitted ISC (item
                              subset code) does not match the ISC
                              calculated by the QIES ASAP System.

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

* Fictitious, sample data are depicted.

Figure A-4. MDS 3.0 NH Final Validation Report – XML Format Excerpt*

```

- <report name="CMS Submission Report" type="MDS 3.0 NH Final Validation">
- <header>
- <submission>
  <property name="Submission Date/Time" value="11/10/2015 16:51:49" />
  <property name="Processing Completion Date/Time" value="11/10/2015 16:54:30" />
  <property name="Submission ID" value="7853794" />
  <property name="Submission File Name" value="MDS_20151010_SP.zip" />
  <property name="Submission File Status" value="Completed" />
  <property name="State Code" value="NV" />
  <property name="Facility ID" value="NVS3330SNF" />
  <property name="Facility Name" value="MOUNTAIN VIEW CARE CENTER" />
  <property name="Submitter User ID" value=" " />
</submission>
- <processing>
  <property name="# Records in Submission File" value="1" />
  <property name="# Records Processed" value="1" />
  <property name="# Records Accepted" value="0" />
  <property name="# Records Rejected" value="1" />
  <property name="# Duplicate Records" value="0" />
  <property name="# Records Submitted Without Facility Authority" value="0" />
  <property name="# Records Submitted But Not Allowed" 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="89820841" />
  <property name="Name" value="STEP6_0001, SUE" />
  <property name="Res_Int_ID" value="0" />
  <property name="SSN" value=" " />
  <property name="A0200" value="1" />
  <property name="A0310A" value="99" />
  <property name="Medicare Num" value=" " />
  <property name="A0310B" value="03" />
  <property name="A0310C" value="1" />
  <property name="A0050" value="NEW RECORD" />
  <property name="A0310D" value="1" />
  <property name="A0310E" value="0" />
  <property name="Target Date" value="10/06/2015" />
  <property name="A0310F" value="10" />
  <property name="A0310G" value="1" />
  <property name="Attestation Date (X1100E)" value="" />
  <property name="Item Subset Code" value="SP" />
  <property name="Data Spec Version #" value="1.15" />
  <property name="XML File Name" value="MDS_20151010_SP.xml" />
- <errors>
- <error number="1">
  <property name="MDS 3.0 Item(s)" value="A0200, A0310A, A0310B, A0310C, A0310D, A0310F" />
  <property name="Item Values" value="1, 99, 03, 1, 1, 10" />
  <property name="Message Number" value="-3607 FATAL" />

```

* 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 Report* (Section 7) or *MDS 3.0 SB Final Validation Report* (Section 9) of the CASPER Reporting User's Manual. This manual is available on the **Welcome to the CMS QIES Systems for Providers** page.

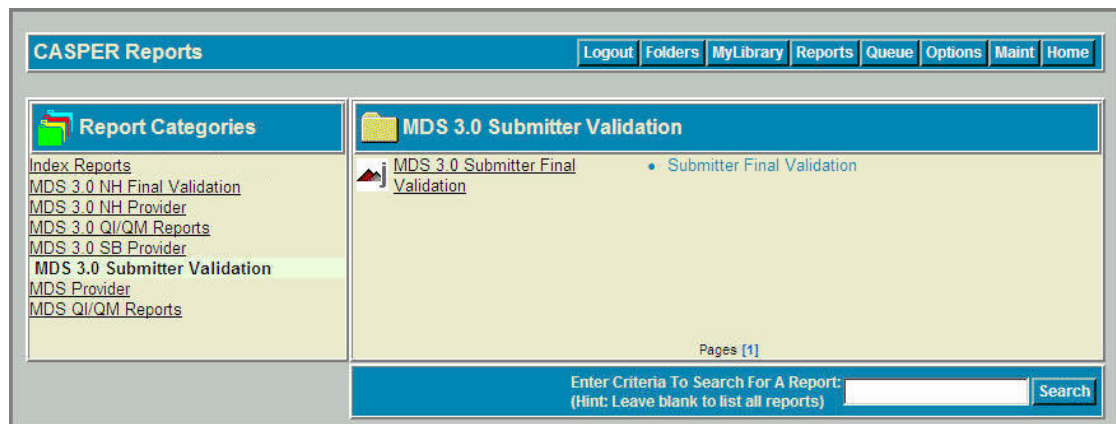
Submitter Final Validation Reports

For the instances when the QIES ASAP system cannot produce the system-generated MDS 3.0 NH (or SB) Final Validation Report or include all records on the MDS 3.0 NH (or SB) Final Validation Report, the user who originally submitted the file can request an MDS 3.0 Submitter Final Validation Report in order to determine why the QIES ASAP system could not process the records.

The following steps detail how to request and view the MDS 3.0 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 MDS 3.0 File Submissions.
2. Select the **Reports** button. The **CASPER Reports** page (Figure A-5) is presented.

Figure A-5. CASPER Reports Page – MDS 3.0 Submitter Final Validation



3. Select the MDS 3.0 Submitter Final Validation Report category link from the *Report Categories* frame along the left side of the page. A link to the MDS 3.0 Submitter Final Validation Report displays to the right in the main body of the page.

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 Report](#) link. The **CASPER Reports Submit** page (Figure A-6) is presented so that you may specify the submission ID for which you wish to request a report.

Figure A-6. CASPER Reports Submit Page – MDS 3.0 Submitter Final Validation Report

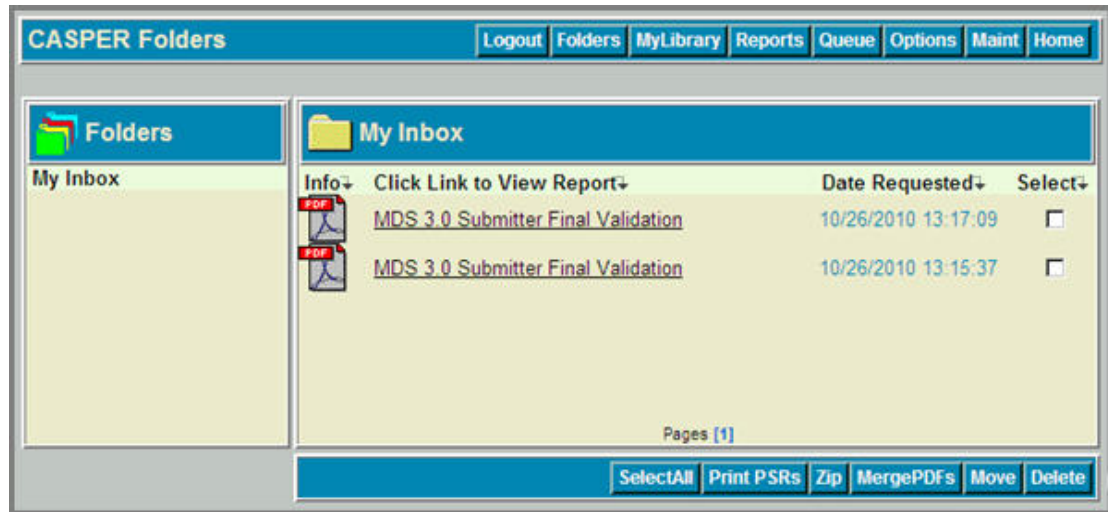
The screenshot shows a web interface titled "CASPER Reports Submit". At the top, there is a navigation bar with links: Logout, Folders, MyLibrary, Reports, Queue, Options, Maint, and Home. Below this, the page title "Report: MDS 3.0 Submitter Final Validation Report" is displayed. A text input field labeled "Submission ID:" is present. At the bottom, there are two dropdown menus: "Template Folder:" (set to "Submitter Reports") and "Template Name:" (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 Final Validation Report for files submitted with **your** user ID. You cannot request the MDS 3.0 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.

6. When completed, the MDS 3.0 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-2, 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



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 MDS 3.0 Submitter Final Validation Report you wish to view and/or print. 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 MDS 3.0 NH (or SB) Final Validation report or include a specific record on the report. These errors are reported only on the MDS 3.0 Submitter Final Validation Report:

- -1001 Invalid Zip file format (no system-generated FVR created)
- -1004 Invalid XML file format (record not on system-generated FVR)
- -1009 Missing or invalid Transaction Type code (record not on system-generated FVR)
- -1010 Missing or invalid Provider Type Code (record not on system-generated FVR)
- -3693a Invalid Fac_ID (record not on system-generated FVR)

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 MDS 3.0 Provider User's Guide. This guide is available on the **Welcome to the CMS QIES Systems for Providers** page.