

A

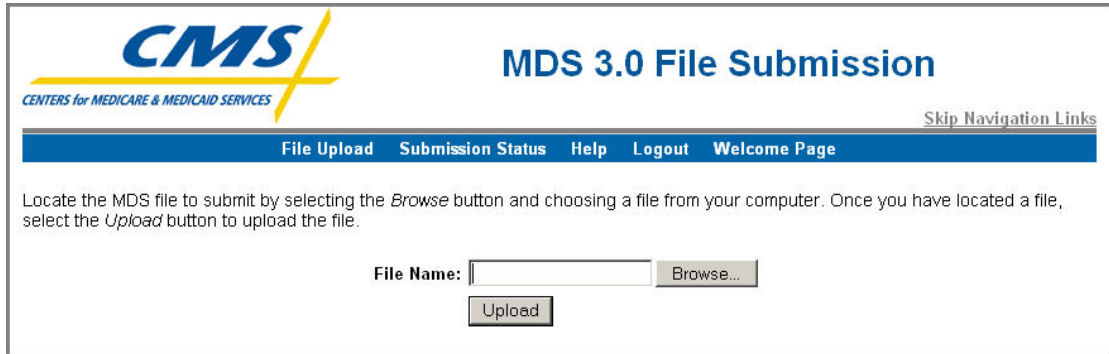
QUICK REFERENCE TO MDS 3.0 SUBMISSIONS, SUBMISSION STATUS, AND FINAL VALIDATION REPORTS

| | |
|--|----|
| FILE SUBMISSION..... | 2 |
| FILE SUBMISSION STATUS..... | 4 |
| SYSTEM-GENERATED MDS 3.0 NH (OR SB) FINAL VALIDATION REPORT..... | 6 |
| MDS 3.0 SUBMITTER FINAL VALIDATION REPORT | 10 |

FILE SUBMISSION

1. Log in to the MDS 3.0 File Submission System using your individual user ID (MDSxxxxxxx or SWBxxxxxxx). 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](#)

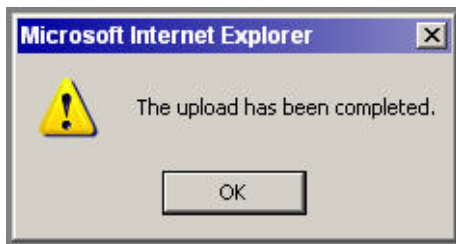
[File Upload](#) [Submission Status](#) [Help](#) [Logout](#) [Welcome Page](#)

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 has been 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 is complete.

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 link for 'Skip Navigation Links'. 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, three lines of submission details are listed: 'Submission ID: 92', 'Submission Date: 10/27/2009 13:49:14', and 'File Name: MDS20101001.zip'. A 'Print' link is located to the right of the message. A paragraph below explains that the file will be processed for errors within 24 hours and that a Final Validation Report will be available in the CASPER Reporting application. At the bottom, there is a 'File Name:' input field, 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 (MDSxxxxxxx or SWBxxxxxxx). 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 | 09/27/2010 13:49:14 | MDS20101001.zip | 5 | 09/27/2010 13:52:00 | Completed |
| 88 | 09/26/2010 16:21:22 | MDS20101002.zip | 0 | 09/26/2010 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
 - *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 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 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. Log in to the CASPER Reporting application (Figure A-5) with your individual user ID/password. This is the same user ID/password (MDSxxxxxxx or SWBxxxxxxx) with which you access the MDS 3.0 Submission system.

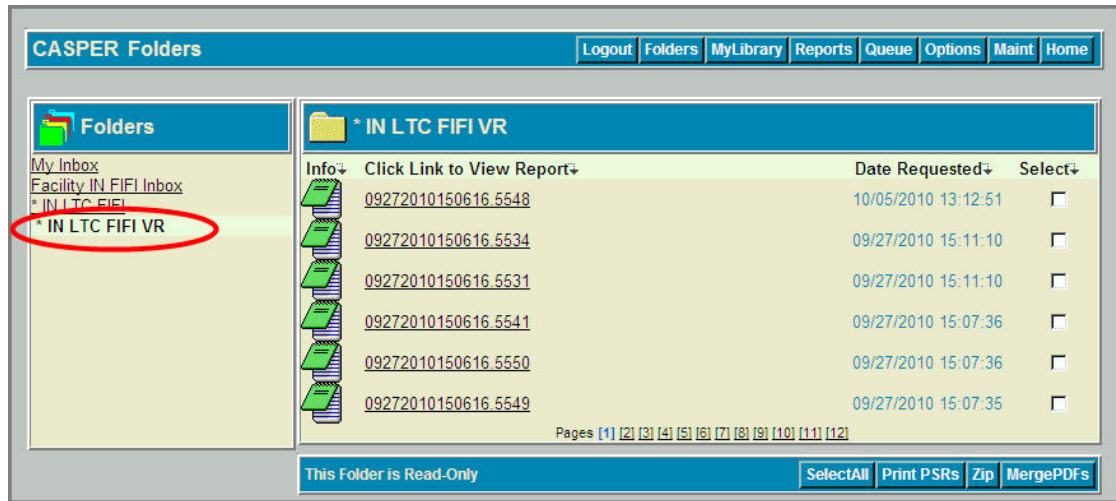
Figure A-5. CASPER Reporting Login Page

| | |
|---------------------------|--|
| CPU: | Pentium Class (or equivalent) @ 500mHz (800MHz for XP) |
| Memory: | 256 MB |
| Operating System: | Windows 2000 or XP |
| Secure Access Encryption: | See Encryption Policy Recommended-PointSec Media Encryption |
| Disk Capacity: | 2 GB (1GB free space) |
| Browser: | Internet Explorer v7.0 |

NOTE: If you log in with the old MDS 2.0 shared facility login ID, MDS 3.0 reports and the new shared VR folder in which the system-generated MDS 3.0 NH Final Validation reports are placed are not available to you.

2. Select the **Folders** button located on the tool bar across 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 [Facility 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 facility ID used for submitting MDS 2.0 and MDS 3.0 records

VR = Validation Report

4. With the VR folder selected, the main body of the 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]

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.

NOTE: The MDS 3.0 NH (or SB) Final Validation Report will not be available in your facility's shared VR folder when the file could not be unzipped or contained no records. Additionally, if the number of records displayed on the system-generated MDS 3.0 NH (or SB) Final Validation Report 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 this case, you must request the **MDS 3.0 Submitter Final Validation** report to identify the issues with the records that were not processed.

Figure A-7. MDS 3.0 NH Final Validation Report

| CMS Submission Report MDS 3.0 NH Final Validation | | Page 1 of 21 |
|---|---|--------------|
| Submission Date/Time: | 06/17/2010 10:03:10 | |
| Processing Completion Date/Time: | 06/17/2010 13:13:34 | |
| Submission ID: | 4991 | |
| Submission File Status: | Completed | |
| State Code: | IN | |
| Facility ID: | FIFI | |
| Facility Name: | FIFI | |
| Submitter User ID: | [REDACTED] | |
| # of Records in Submission File: | 17 | |
| # Records Processed: | 17 | |
| # Production Records Accepted: | 16 | |
| # Production Records Rejected: | 1 | |
| # Production Duplicate Records: | 0 | |
| # Production Records Submitted Without Facility Authority: | 0 | |
| # Production Records Submitted But Not Allowed: | 0 | |
| # Test Records Passed: | 0 | |
| # Test Records Failed: | 0 | |
| Total # of Messages for Production Records: | 112 | |
| ----- | | |
| Record: 1 | Accepted | |
| Asmt_ID: 482227 | Name: MDSTEST05368, MDSTEST05368 | |
| Res_Int_ID: 15964374 | SSN: 960-13-9008 | |
| A0200: 1 | Target Date: 01/24/2008 | |
| A0310A: 99 A0310B: 99 | Production/Test Indicator: PRODUCTION | |
| A0310C: 0 A0310D: ^ | Attestation Date (X1100E): | |
| A0310E: 0 A0310F: 01 | Type of Transaction (X0100): NEW RECORD | |
| Item Subset Code: NT | Data Specs Version #: 1.00 | |
| XML File Name: | IN_FAC85870000_RES05368_000422384_A00_NT199990^01.xml | |
| MDS 3.0 Item(s): | A0100B, Current Value | |
| Invalid Data Submitted: | QBSBDOHAJMO1, 295714 | |
| Message Number: | -3695 WARNING | |
| Message: | Incorrect CCN: A0100B does not match the CMS Certification Number (CCN) in the QIES ASAP System database for the provider identified by the FAC ID in the file. | |
| MDS 3.0 Item(s): | A0100C, Current Value | |
| Invalid Data Submitted: | RPVDLTNJBPTJML, CMCAID | |
| Message Number: | -3806 WARNING | |
| Message: | The value submitted for A0100C (State Provider Number) will be compared with the value that is currently in the MDS Submission System database. If the values do not match, a warning will be issued. | |
| MDS 3.0 Item(s): | A0310F, Submission Date, A1600, X0100 | |
| Invalid Data Submitted: | 01, 20100617, 20080124, 1 | |
| Message Number: | -3789e WARNING | |
| Message: | Record Submitted Late: The submission date was more than 14 days after A1600 on this new (X0100 equals 1) entry tracking record (A0310F equals 01). | |
| This report may contain privacy protected data and should not be released to the public. | | |

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 User's Manual for MDS Providers. This manual is available on the **MDS 3.0 Welcome** 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.

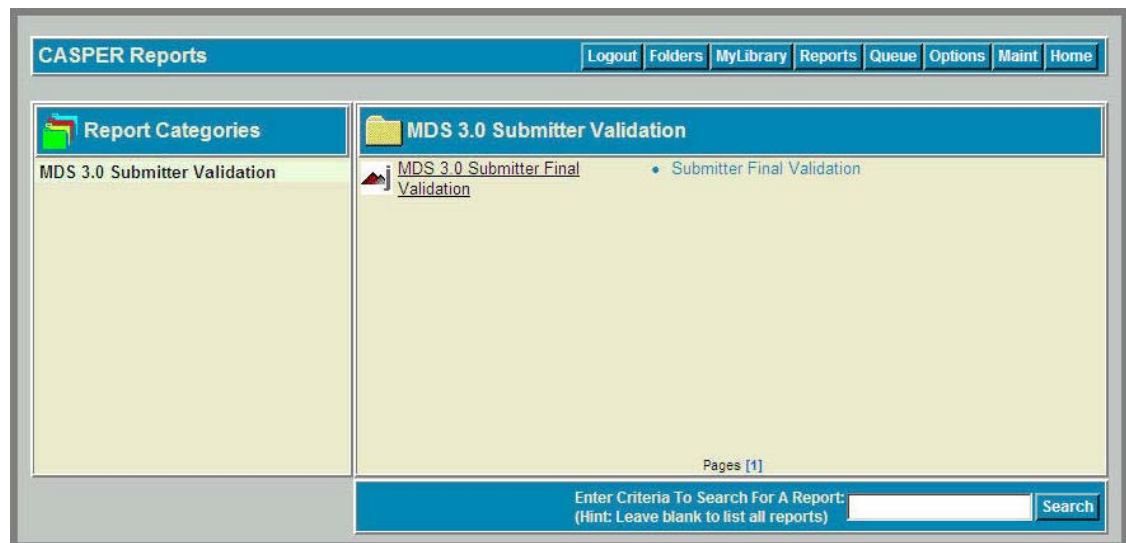
The following steps identify how to request and view the MDS 3.0 Submitter Final Validation report:

1. Log into the CASPER Reporting application with your individual user ID/password (Figure A-5, above). This is the same user ID/password (MDSxxxxxxx or SWBxxxxxxx) that you use for MDS 3.0 Submissions.

NOTE: If you log in with the old MDS 2.0 shared facility login ID, MDS 3.0 reports are not available to you.

2. Select the **Reports** button. The **CASPER Reports** page (Figure A-8) is presented.

Figure A-8. 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-9) is presented.

Figure A-9. CASPER Reports Submit Page – MDS 3.0 Submitter Final Validation Report

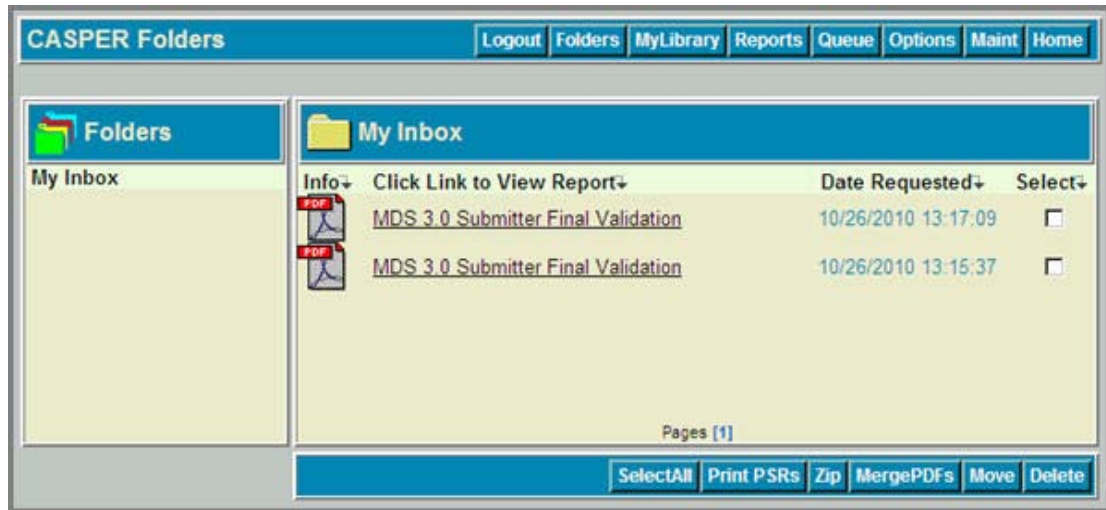
The screenshot shows a web interface for submitting reports. At the top, there is a blue header with the text 'CASPER Reports Submit' and a series of navigation buttons: 'Logout', 'Folders', 'MyLibrary', 'Reports', 'Queue', 'Options', 'Maint', and 'Home'. Below the header, the page title is 'Report: MDS 3.0 Submitter Final Validation Report'. A yellow box contains the label 'Submission ID:' followed by an empty text input field. At the bottom, there are two dropdown menus: 'Template Folder:' with 'Submitter Reports' selected, and 'Template Name:' with 'MDS 3.0 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.

NOTE: You may only request the MDS 3.0 Submitter Validation report for files submitted with your individual user ID (MDSxxxxxxx or SWBxxxxxxx). 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 will get an “Invalid User ID” message and the request will not be processed.

6. When completed, the MDS 3.0 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.
7. Select the [My Inbox](#) link. The main body of the **CASPER Folders** page (Figure A-10) 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-10. CASPER Folders Page – My Inbox Folder



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 Missing or invalid State Code (record not on generated FVR)
- -1009 Missing or invalid Transaction Type code (record not on generated FVR)
- -1010 Missing or 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 **MDS 3.0 Welcome** page.