

A

QUICK REFERENCE TO FINAL VALIDATION REPORTS

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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.

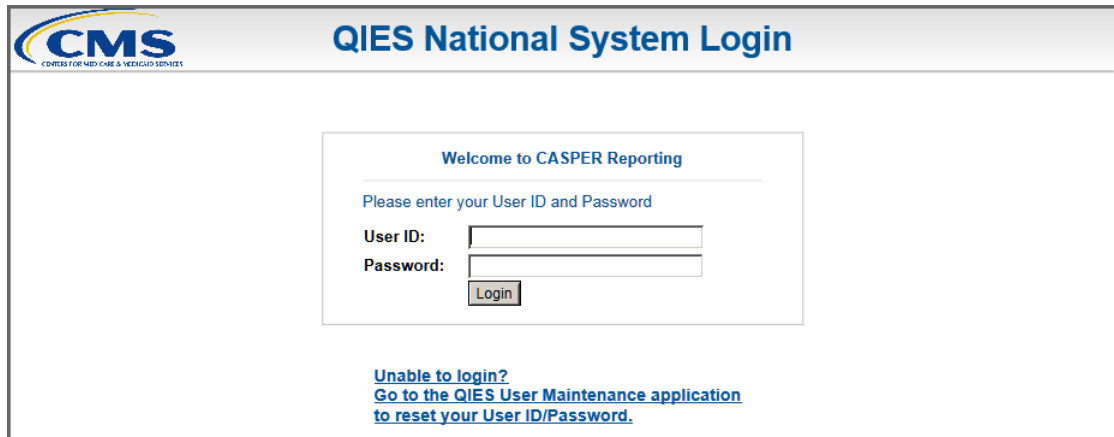
Provider (NH or SB) Final Validation Reports

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 **CMS QIES 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



Welcome to CASPER Reporting

Please enter your User ID and Password

User ID:

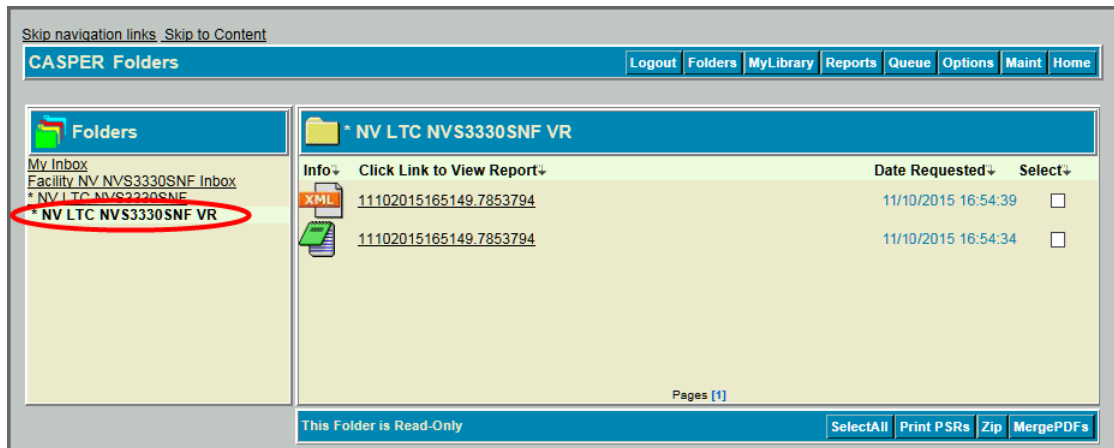
Password:

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



Skip navigation links Skip to Content

CASPER Folders Logout Folders MyLibrary Reports Queue Options Maint Home

Folders

My Inbox
Facility NV NVS3330SNF Inbox
* NV LTC NVS3330SNF
* NV LTC NVS3330SNF VR

* NV LTC NVS3330SNF VR

| Info | Click Link to View Report | Date Requested | Select |
|------|---------------------------|---------------------|--------------------------|
| XML | 11102015165149.7853794 | 11/10/2015 16:54:39 | <input type="checkbox"/> |
| XML | 11102015165149.7853794 | 11/10/2015 16:54:34 | <input type="checkbox"/> |

Pages [1]

This Folder is Read-Only SelectAll Print PSRs Zip 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/Swing Bed ID = State assigned facility ID 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:

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

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:           11/06/2016 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:              ██████████
# 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: ██████████
Res_Int_ID: 36272295            SSN: ██████████
A0200: 1                        A0310A: 01      Medicare Num: ██████████
A0310B: 01                      A0310C: 0      A0050: NEW RECORD
A0310D: ^                        A0310E: 0      Target Date: 10/06/2016
A0310F: 10                      A0310G: 1
A0310H: 0
Item Subset Code:                NC
XML File Name:                  SG_TC70351_Step 1_NC A0301H - 0.xml

MDS 3.0 Item(s):                A0310A, Submission Date, V0200C2, A0050
Item Values:                    01, 11/06/2016, 10/06/2016, 1
Message Number:                  -3810C          WARNING
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).

MDS 3.0 Item(s):                Current Record Type, Prior Record:
Item Values:                    A0310A, A0310B, A0310F
Message Number:                  DISCHARGE RA/RNA, MDS 3.0: , ,
Message:                          -1018          WARNING
                                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.

MDS 3.0 Item(s):                RESIDENT_INTERNAL_ID
Item Values:                    36272295
Message Number:                  -1027          WARNING
Message:                          New Resident: A new resident record was
                                created in the QIES ASAP System with the
                                information submitted in this MDS
                                record. Verify that the new information
                                is correct.
-----
This report may contain privacy protected data and should not be released to
the public. Any alteration of this report is strictly prohibited.
-----

```

* Fictitious, sample data are depicted.

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

```
<?xml version="1.0"?>
- <report type="MDS 3.0 NH Final Validation" name="CMS Submission Report">
  - <header>
    - <submission>
      <property name="Submission Date/Time" value="11/06/2016 11:34:40"/>
      <property name="Processing Completion Date/Time" value="11/06/2016 11:39:35"/>
      <property name="Submission ID" value="9383161"/>
      <property name="Submission File Name" value="SG_TC70351_Step 1_Submsn File.zip"/>
      <property name="Submission File Status" value="Completed"/>
      <property name="State Code" value="TN"/>
      <property name="Facility ID" value="TN4702"/>
      <property name="Facility Name" value="WESTMORELAND HEALTH AND REHABILITATION CENTER"/>
      <property name="Submitter User ID" value=""/>
    </submission>
    - <processing>
      <property name="# Records in Submission File" value="15"/>
      <property name="# Records Processed" value="15"/>
      <property name="# Records Accepted" value="6"/>
      <property name="# Records Rejected" value="9"/>
      <property name="# Duplicate Records" value="1"/>
      <property name="# Records Submitted Without Facility Authority" value="0"/>
      <property name="# Records Submitted But Not Allowed" value="1"/>
      <property name="Total # of Messages" value="39"/>
    </processing>
  </header>
  - <records>
    - <record number="1">
      <property name="Record Status" value="Accepted"/>
      <property name="Asmt_ID" value="109014448"/>
      <property name="Name" value="NH FVR 0001, BILL"/>
      <property name="Res_Int_ID" value="36272295"/>
      <property name="SSN" value="999210001"/>
      <property name="A0200" value="1"/>
      <property name="A0310A" value="01"/>
      <property name="Medicare Num" value="999210001"/>
      <property name="A0310B" value="01"/>
      <property name="A0310C" value="0"/>
      <property name="A0050" value="NEW RECORD"/>
      <property name="A0310D" value="^"/>
      <property name="A0310E" value="0"/>
      <property name="Target Date" value="10/06/2016"/>
      <property name="A0310F" value="10"/>
      <property name="A0310G" value="1"/>
      <property name="A0310H" value="0"/>
      <property name="Attestation Date (X1100E)" value=""/>
      <property name="Item Subset Code" value="NC"/>
      <property name="Data Spec Version #" value="2.00"/>
      <property name="XML File Name" value="SG_TC70351_Step 1_NC A0301H - 0.xml"/>
    </record number="1">
    - <errors>
      - <error number="1">
        <property name="MDS 3.0 Item(s)" value="A0310A, Submission Date, V0200C2, A0050"/>
        <property name="Item Values" value="01, 11/06/2016, 10/06/2016, 1"/>
        <property name="Message Number" value="-3810c WARNING"/>
      </error number="1">
    </errors>
  </records>
</report type="MDS 3.0 NH Final Validation" name="CMS Submission Report">
```

* 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.

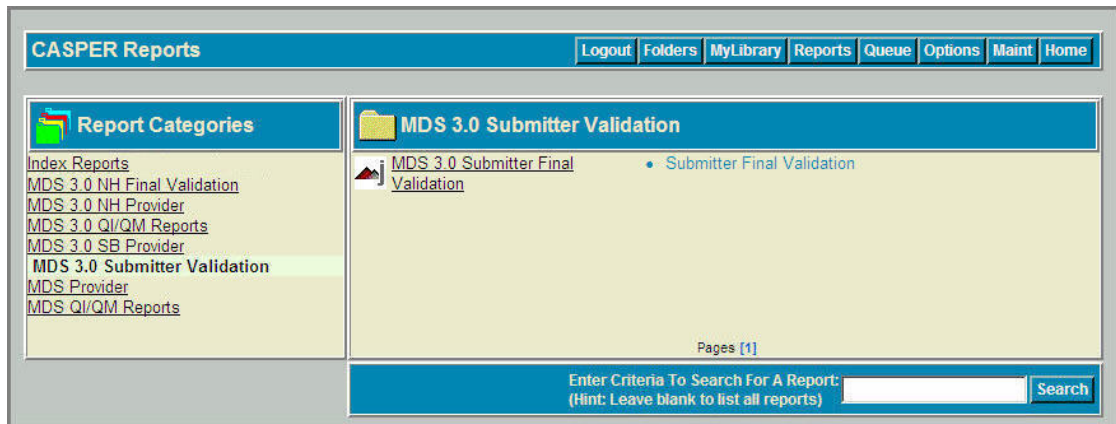
Submitter Final Validation Reports

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

CASPER Reports Submit Logout Folders MyLibrary Reports Queue Options Maint Home

Report: MDS 3.0 Submitter Final Validation Report

Submission ID:

Template Folder: Submitter Reports Submit Back

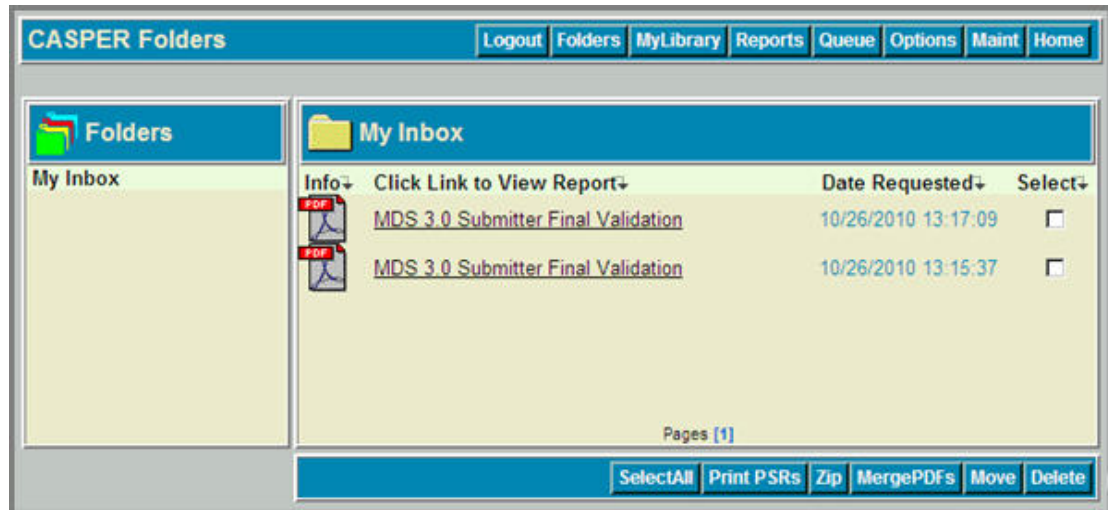
Template Name: MDS 3.0 Submitter Final Validation Report Save & Submit Save

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.