

Payroll Based Journal (PBJ) – Frequently Asked Questions (FAQ)

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PBJ Data Specification Questions:

1. Q. I thought we would be submitting only one XML file to CMS for each facility. What are the CSV and HTML files that appear in the data spec files?

A. The PBJ system only allows the XML format for electronic submission and yes, only one facility is allowed per XML file. The CSV and HTML files are included for informational purposes only. The CSV (Comma Separated Value) files are provided so that a vendor could import the item names and their associated range of valid values into a database for use with a vendor application. Vendors could also accomplish that directly from the Access database if they have Microsoft Office. The HTML files are included to allow the user to navigate the items and edits in the specifications using hyperlinks, as opposed to scrolling through the PDFs. Neither the CSV format nor the HTML formats are allowed for submission – only XML files will be accepted.

This information is located in Section 5.2 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.
2. Q. Can CMS provide recommendations for converting data in other formats (i.e. Excel) to XML?

A. The data specifications include examples in the XML format only. Our developers do not use other file types to generate XML, so we cannot recommend any method since we cannot verify how well they will work.
3. Q. Can you tell me some of the tools used to create the XML if we did this in-house?

A. We cannot endorse or recommend a specific tool to create the XML.
4. Q. In the original specification there was a work type code. If that is in the XML, will that be rejected or ignored?

A. Yes, the work type code is no longer required, but it is optional. If you put it in the XML, it won't reject the file. The field is no longer within the PBJ system.
5. Q. On the XML file examples, does everything on the example have to be on the report coming from the payroll vendor?

A. The data specifications are defined; everything has to be on your file.

6. Q. The spec on page 3 of staffing refers to hours. If it is hours paid, we need a definition of what that means. Is it productive hours or non-productive hours?
A. The hours that individuals are paid to work onsite are to be what is reported. Please refer to the policy manual and FAQs. Please submit any follow-up questions to nhstaffing@cms.hhs.gov.
7. Q. What are some example XML and ZIP file sizes for a quarterly submission?
A. Average Facility – 127 Employees
- Using an average size facility of 98 full time employees, 18 part time employees and 11 contract employees; assuming the staffing data contains 60 staffing days for the full time, 36 for the part time and 10 for the contractors. This creates an approximate XML file size of 1.6 MB and approximate zip file size of .017 MB.
- Large Facility – 700 Employees
- Using a large facility of 539 full time employees, 98 part time employees and 63 contract employees; assuming the staffing data contains 60 staffing days for the full time, 36 for the part time and 10 for the contractors. This creates an approximate XML file size of 9.19 MB and approximate zip file size of .085 MB.
8. Q. What do you advise on with the XML submission: daily, monthly, or weekly?
A. This is the Nursing Home's decision. It all depends on how it will work best for your nursing home.
9. Q. Are programmers available to work with or answer questions?
A. No, our programmers are not available directly for questions. Please continue to send questions to the technical issue mailbox provided in the agenda and we will triage them accordingly.
This information is located in Section 1.0 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.

PBJ Training Questions:

10. Q. I'm neither a software developer nor a vendor, can you give me some guidance as to when you're first looking at doing this, what should I look at?

A. Your best resource for getting information is to go to the website listed below. It has all the guidance, policy information as well as the specifications you would need to submit an XML.

<https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/Staffing-Data-Submission-PBJ.html>

This information is located in Section 5.0 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.

11. Q. What is the difference between Merge/Replace?

A. The "processType" within the <staffingHours> and <census> tags are used to control how the data within these sections will be processed.

- There are two possible values for "processType": "merge" and "replace".
 - If "processType" is set to the value "replace", then all the data for that specific section (census or staffing) for the specified quarter will be removed from the active database, and then replaced with the data submitted in the file.
 - If "processType" is set to the value "merge", then the data within that section will be processed as follows:
 - Staffing Hours data will be matched on the employeeId, job title and date. If data exists for a specific day/job title/employeeId combination, it will be overwritten; otherwise the data for that day is simply added.
 - Census data will be matched on the month end date. If data exists for a specific month end date, it will be overwritten; otherwise the data for that day is simply added.
 - There are a lot of merge/replace scenarios in the PBJ Provider User guide.

This information is located in Section 8.1 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.

PBJ Submission Questions:

12. **Q.** If you enter everything manually, do you have to upload anything?
- A. No. If you are entering the data manually, you do not have to upload anything. Once you have saved the data on the manual entry screens, you can see the information in the CASPER Reporting system. This information is located in Section 8.0 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.
13. **Q.** If the record is rejected; do we resubmit the whole file so nothing is duplicated?
- A. If the record is rejected, you need to resubmit the whole XML file. This information is located in Section 14 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.
14. **Q.** Can we submit multiple formats for the same quarter? For example, some of our facilities are going to be manual submissions, or the same facility would be partially manual and then partially uploaded?
- A. Yes, remember to use the “Merge” option when you submit your XML file. If you use “Replace”, the data entry portion will be replaced also. This information is located in Section 8.1 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.
15. **Q.** Can census data be submitted separately from staffing data?
- A. Yes. This information is located in Section 10 & 11 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.
16. **Q.** Does each XML file that is submitted have to be for one facility?
- A. You are only able to submit one facility ID per XML file. One zip file can, however, have multiple facilities.

This information is located in Section 5.2 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.

17. Q. If someone is terminated and comes back, is it possible to take that person off the termination date?

A. No, the termination date stays the same; you need to enter a new hire date. The hire date needs to be greater than the old termination date. Note the employee ID will need to match so the system knows it is the same employee.

This information is located in Section 9.3 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.

18. Q. Can employees with multiple hire dates be accommodated in a single file XML file?

A. Employees with multiple hire dates are not accommodated in a single file, multiple files must be submitted for each hire date with staffing hour data that is only applicable to the specified hire date. Please follow the instructions below:

- Upload the XML file with the original hire date and termination date and staffing hours that were worked during that period.
- Upload the second XML file with the rehire date and staffing hours that were worked during that period.
 - Invalid Example – Hire Date/Termination Date/Hire Date in same file

```
<?xml version="1.0" encoding="ASCII"?>
<nursingHomeData xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xsi:noNamespaceSchemaLocation="nhpbj_2_00_0.xsd">
  <header fileSpecVersion="2.00.0">
    <facilityId>fac1234</facilityId>
    <stateCode>IA</stateCode>
    <reportQuarter>2</reportQuarter>
    <federalFiscalYear>2016</federalFiscalYear>
    <softwareProductVersion>1.4.2</softwareProductVersion>
  </header>
  <employees>
    <employee>
      <employeeId>EM123456</employeeId>
      <hireDate>2016-02-01</hireDate>
      <terminationDate>2016-02-14</terminationDate>
    </employee>
    <employee>
      <employeeId>EM123456</employeeId>
      <hireDate>2016-03-01</hireDate>
    </employee>
  </employees>
</nursingHomeData>
```

- Valid Example – Hire Date/Termination Date

```

<?xml version="1.0" encoding="ASCII"?>
<nursingHomeData xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xsi:noNamespaceSchemaLocation="nhpbj_2_00_0.xsd">
  <header filespecVersion="2.00.0">
    <facilityId>fac1234</facilityId>
    <stateCode>IA</stateCode>
    <reportQuarter>2</reportQuarter>
    <federalFiscalYear>2016</federalFiscalYear>
    <softwareProductVersion>1.4.2</softwareProductVersion>
  </header>
  <employees>
    <employee>
      <employeeId>EM123456</employeeId>
      <hireDate>2016-02-01</hireDate>
      <terminationDate>2016-02-14</terminationDate>
    </employee>
  </employees>
</nursingHomeData>

```

- Valid Example – Rehired Employee

```

<?xml version="1.0" encoding="ASCII"?>
<nursingHomeData xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xsi:noNamespaceSchemaLocation="nhpbj_2_00_0.xsd">
  <header filespecVersion="2.00.0">
    <facilityId>fac1234</facilityId>
    <stateCode>IA</stateCode>
    <reportQuarter>2</reportQuarter>
    <federalFiscalYear>2016</federalFiscalYear>
    <softwareProductVersion>1.4.2</softwareProductVersion>
  </header>
  <employees>
    <employee>
      <employeeId>EM123456</employeeId>
      <hireDate>2016-03-01</hireDate>
    </employee>
  </employees>
</nursingHomeData>

```

19. Q. If a termination date has been entered for the wrong employee ID can it be deleted?
- A. Yes the termination date can be updated and/or deleted through submission and through manual data entry.
- This information is located in Section 9.2 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.
20. Q. If you submit data manually, should you also submit it through the XML?
- A. No, you have three options:
- Submit Manually only
 - Submit through the XML only
 - You are able to submit manually and using the XML.

This information is located in Section 8.0 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.

21. Q. During the voluntary period are we able to submit mock data?
A. There is no test system. You are allowed to submit mock data; however, the Employee Data entered will be the same Employee Data that will carry into the Mandatory Period beginning July 1, 2016.
22. Q. Should we use V1.00.1 or V2.00.0 for Calendar Q3?
A. Calendar Q3 will use V2.00.0. For Fiscal Q3 the version you use will depend on when you complete the data for fiscal Q3. If you submit Fiscal Q3 data prior to June 27, V1.00.1 must be used. If you submit Fiscal Q3 data after June 27, then V2.00.0 must be used.
23. Q. Is it possible to go back and make corrections on data submitted?
A. You are able to make corrections up to 45 days after the end of the current quarter.
This information is located in Section 11 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.
24. Q. Do you need to record hours every day?
A. Yes you need to record hours every day, but you do not have to go in and provide them every day as long as hours each day are being collected.
25. Q. Is the payroll system set up with shifts that are split up by days?
A. They are split up by days.
26. Q. The information we are submitting is auditable so do we retain the reports for a certain period of time.
A. What you're entering will be stored in the system. We haven't published any information about how far back we may audit. We will not be auditing or have any CMS oversight action on anything submitted through the voluntary period. This period is so that facilities and vendors are able to become familiar submitting the data

in order to meet the requirements once the mandatory period starts July 1, 2016. Please send any follow up questions to the policy mailbox: nhstaffing@cms.hhs.gov. This information is located in Section 1 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.

27. Q. When is the June downtime and will it affect PBJ?
A. The QIES ASAP system will have a downtime from June 24, 2016 beginning at 8:00 p.m. (ET) through Monday, June 27, 2016 at 6:00 a.m. (ET). The PBJ and CASPER Reporting systems will not be available during the systems maintenance downtime.

PBJ Report Questions:

28. Q. Do we receive the validation report in the same area where we receive the MDS transmissions?
A. Yes, it will be in CASPER, but in its own PBJ folder. This information is located in Section 7.7 & 13.0 of the PBJ Provider User Guide located at <https://www.qtso.com/pbjtrain.html>.