



Centers for Medicare & Medicaid  
Services  
CMS eXpedited Life Cycle (XLC)

## PAYROLL BASED JOURNAL / PBJ

### User Manual

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Version 4.00.1

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# 1. Introduction

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This User Guide will cover all functionality within the Payroll Based Journal (PBJ) System as well as information regarding how to access the system via the CMSNet Secure Access Service. The QIES Technical Support Office (QTSO) Help Desk is available for technical support and assistance if needed and may be contacted by phone at 800-339-9313 or by email to [qies@cms.hhs.gov](mailto:qies@cms.hhs.gov). To access the QTSO website, enter: <https://qtso.cms.gov>.

**Please Note:** PBJ policy information can be found in the PBJ Policy Manual located at <https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/Staffing-Data-Submission-PBJ.html>.

## 2. Overview

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CMS has long identified staffing as one of the vital components of a nursing home's ability to provide quality care. Over time, CMS has utilized staffing data for a myriad of purposes in an effort to more accurately and effectively gauge its impact on the quality of care in nursing homes. Staffing information is posted on the CMS Nursing Home Compare website and it is used in the Nursing Home Five Star Quality Rating System to help consumers understand the level and differences of staffing in nursing homes.

### 2.1 Conventions

This document provides screen prints and corresponding narrative to describe how to use the PBJ System.

When an action is required on the part of the reader, it is indicated by a line beginning with the word “**Action:**” For example:

**Action:** Select OK.

**Note:** The term ‘User’ is used throughout this document to refer to a person who requires and/or has acquired access to PBJ

### 2.2 Cautions & Warnings

See [Section 6.0](#) for all cautions and warnings.

## 3. Getting Started

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The following sub-sections provide detailed, step-by-step instructions on how to use the various functions or features of PBJ.

### 3.1 Set-up Considerations

Please verify your system meets the Minimum System Requirements to ensure access via the CMSNet Secure Access Service as well as successful submissions to the PBJ System. The Minimum and Recommended System Requirements may be found on the QIES Technical Support Office (QTSO) home page: <https://qtso.cms.gov>

### 3.2 User Access Considerations

The CMSNet Secure Access Service Juniper Client will discontinue access to public networks (e.g. the Internet) as well as local networks and resources such as printers, file servers, database and mail servers (e.g. Outlook) while logged in and securely connected. Remote connectivity, typically used by local IT support personnel, will also be unavailable while securely connected to the Juniper Client.

This may affect the way you perform file submissions or print reports. Use the following tips to ensure success when utilizing the CMSNet Secure Access Service.

Accessing files for submission:

Files which are ready for submission will need to be saved to your local hard drive prior to connecting to the CMSNet Secure Access Service.

Printing reports:

You may print reports using your local printer while connected to the CMSNet Secure Access Service.

Printing to a network printer may be done after you have disconnected from the CMSNet Secure Access Service. Prior to disconnecting you will need to save the desired report to your local hard drive.

To save a document from inside the CASPER Reporting tool:

- **Action:** Right click on the link that lists the name of the report.
- **Action:** Select 'Save Target As'.
- The 'Save As' dialog box will appear. A location must be selected to save your requested report. A simple location would be the Desktop, which you can find on the left hand side of the dialog box or from the Save in drop-down menu, which you can access by selecting the drop-down arrow and selecting Desktop from the menu.

To disconnect from the CMSNet Secure Access Service:

**Action:** Select "Sign Out" on the Junos Pulse Secure Access Service webpage which displays the web bookmarks used to enter CMS network resources. After successfully signing out please close your internet browser.

**Please note**, if you do not sign out, you will remain blocked from public networks (e.g. the Internet) as well as local networks and resources such as printers, file servers, database and mail servers (e.g. Outlook) for up to 20 minutes or until a reboot of your PC. If your QIES PBJ ID has access to ePOC and/or MDS and you have just accessed either of those systems, you will need to close your browser, clear your browsing history to log in to PBJ.

### 3.3 Accessing the System

A CMSNet Remote Access User ID allows access into the private CMS network where the Payroll Based Journal and CASPER Reporting Systems reside. A CMSNet Remote Access ID is the first of two required User IDs necessary to submit records to the PBJ system; each provider is allowed two CMSNet Remote Access User IDs.

Using the CMSNet Secure Access Service requires the installation of the Juniper Network Client. The network client is your private path to access CMS network resources and services securely. Please note, you must have administrative access privileges on your PC to install and setup the Juniper Network Client. You will need to contact local IT support personnel for assistance with this step if you do not have administrative privileges. Administrative access is **ONLY** necessary during the setup and initial login to the CMSNet Secure Access Service.

The CMSNet Remote Access Request Portal allows for an online, self-registration process. Please consult the Installation Guide for CMSNet Remote Users as the first step in obtaining your CMSNet Remote Access User ID, available on the CMSNet Information page of the QTSO website, <https://qtso.cms.gov/cmsnet.html>. Additional materials available on the CMSNet Information page include the CMSNet Online Registration Instructions, CMSNet Online Registration link as well as the CMSNet FAQ's.

**Please Note:** CMSNet allows a connection for two hours. The User will receive a warning message and must save their work, log out and log back in.

### QIES User ID

A QIES User ID allows access to the Payroll Based Journal and CASPER Reporting systems. A QIES User ID is the second of two required User IDs necessary to submit records to the PBJ system; each provider is allowed two QIES User IDs for the purpose of PBJ submissions. Only persons responsible for submitting PBJ records or reviewing PBJ reports should register for this ID.

The Welcome to the CMS QIES Systems for Providers page, displayed after making a secure connection to the CMS network via the CMS Secure Access Service, contains a link to access the Payroll Based Journal User Registration application. You **MUST** be securely connected via the CMSNet Secure Access Service to reach the CMS QIES Systems for Providers page.

Begin by securely connecting to the CMS network via the CMS Secure Access Service.

**Action:** Select the link titled Payroll Based Journal User Registration located on the Welcome to the CMS QIES Systems for Providers page referenced below. Please note, facility information such as the facility ID or CCN will be needed to complete the online registration process.

The Payroll Based Journal Provider User ID Registration system allows you to self-register for your QIES User ID. Obtaining your QIES User ID requires two steps; completion of the online registration form and activation of your new QIES User ID. Please consult the [Provider User Registration User's Guide](#) for detailed instructions regarding registration and activation which is located at the upper right portion of the Provider User Registration form/page referenced below. If you have an existing ePOC and/or MDS QIES ID, you may add PBJ access to that ID by clicking the Add ePOC – PBJ MDS Access to your Active Individual User Account link.

### Corporate or Third Party Users

If you are employed by a corporate or third-party entity and intend to submit data for multiple providers please complete either the “Corporate Access Request” or the “Third

Party Service Bureau User Request” form, depending on your respective position, to obtain a QIES User ID. These forms are located on the QTSO website, <https://qtso.cms.gov/access-forms/pbj-corporate-and-third-party-access> and have been provided below for your convenience. Please note, these forms may also be used to remove existing QIES User accounts which are no longer needed.

**Corporate Form:**

[https://qtso.cms.gov/system/files/2018-03/QIES\\_MDS\\_ePOC\\_PBJ\\_Corp\\_Access\\_Request\\_20151028\\_1.pdf](https://qtso.cms.gov/system/files/2018-03/QIES_MDS_ePOC_PBJ_Corp_Access_Request_20151028_1.pdf)

**Third Party Form:**

[https://qtso.cms.gov/system/files/2018-03/QIES-MDS-PBJ-Third-Party-Svc-Bureau-User-Request-20160419\\_0.pdf](https://qtso.cms.gov/system/files/2018-03/QIES-MDS-PBJ-Third-Party-Svc-Bureau-User-Request-20160419_0.pdf)

Completed, signed request forms may be submitted via email to [iqies@cms.hhs.gov](mailto:iqies@cms.hhs.gov) or printed and faxed to the QTSO Help Desk at 888-477-7871.

## Login

To log into the Payroll Based Journal system please complete the following steps:

1. Begin by selecting the PBJ Submissions link located on the Welcome to the CMS QIES Systems for Providers page referenced below.

The screenshot shows the CMS QIES Systems for Providers login page. The page has a blue header with the CMS logo and the text "Welcome to the CMS QIES Systems for Providers". Below the header, there are several links and buttons. The "PBJ Submissions" link is highlighted with a red box. Other links include "MDS and ePOC User Registration", "Payroll Based Journal User Registration", "Add ePOC - PBJ - MDS Access to your Active Individual User Account", "MDS 3.0 Submissions", "Look Up Facility ID", "Payroll Based Journal (PBJ) Provider User Guide", "MDS 3.0 Provider User's Guide", "CASPER Reporting User's Guide for MDS Providers", "CASPER Reporting - Select this link to access the Final Validation and Provider reports.", "Change Password - QIES User Maintenance Application", "QIES User Maintenance Application User's Guide", and "ASPEN Access (ePOC)".

2. **Action:** Enter your QIES (PBJ) User ID and password into the QIES National System Login.



## QIES National System Login

Welcome to PBJ

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.](#)

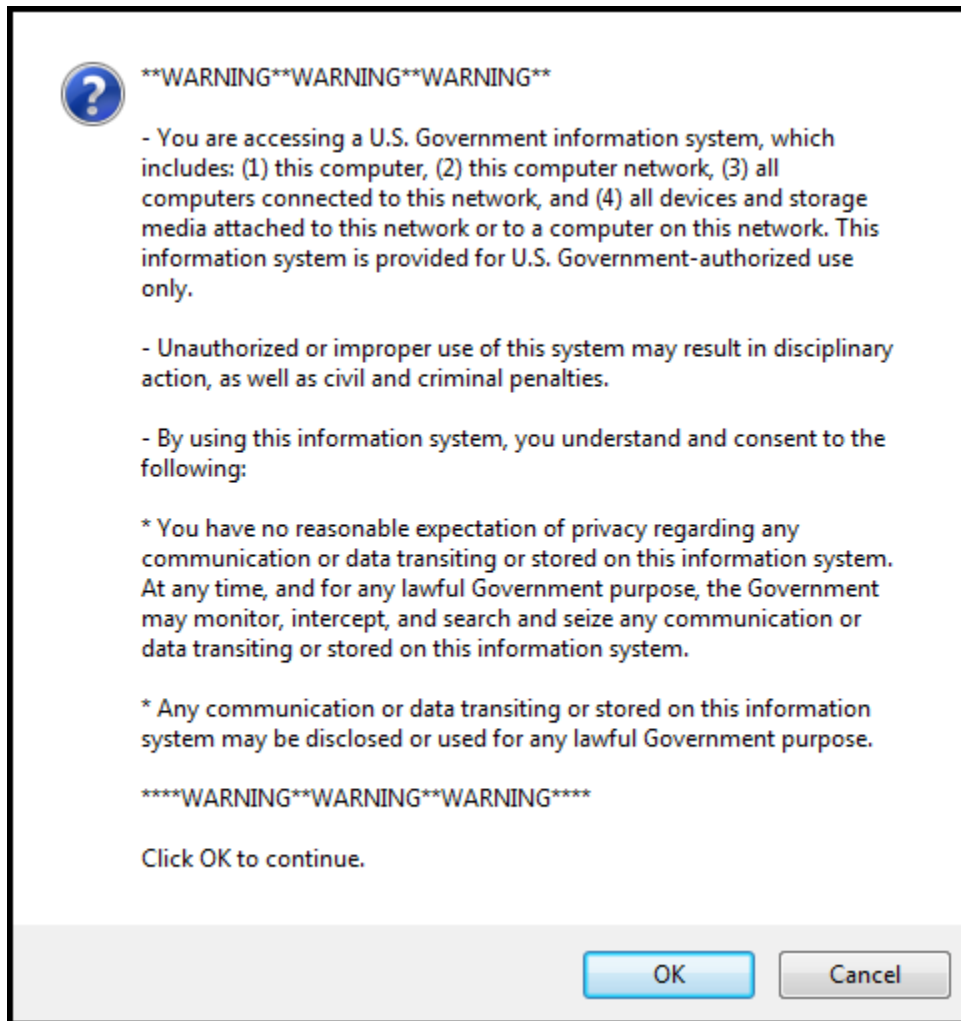
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- Minimum System Requirements for Home Health Agencies, Hospice Providers, Long Term Care Facilities, Inpatient Rehabilitation Facilities and Long Term Care Hospitals.  
[FY2017 System Requirements \[PDF 33KB\]](#) Effective 10/01/2016 - 09/30/2017  
[FY2016 System Requirements \[PDF 38KB\]](#) Effective 10/01/2015 - 09/30/2016

3. **Action:** Select 'Login'.

4. A warning indicating that you are accessing a U.S. Government information system will display. Review the disclaimer in its entirety.

**Action:** Select 'OK' to continue entering the PBJ application.



**Please Note:** Users who are unable to log into the QIES National System Login should select the link for the QIES User Maintenance application to reset your User ID or Password.

## QIES National System Login

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Welcome to PBJ

Please enter your User ID and Password

User ID:

Password:

Unable to login?

Go to the [QIES User Maintenance application](#) to reset your User ID/Password.

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• Minimum System Requirements for Home Health Agencies, Hospice Providers, Long Term Care Facilities, Inpatient Rehabilitation Facilities and Long Term Care Hospitals.  
[FY2017 System Requirements \[PDF 33KB\]](#) Effective 10/01/2016 - 09/30/2017  
[FY2016 System Requirements \[PDF 38KB\]](#) Effective 10/01/2015 - 09/30/2016

## 3.4 System Organization & Navigation

### Home Page

Once you have successfully logged into the Payroll Based Journal System the home page will display. There are two distinct sections on the PBJ Home Page: Data Entry and Updates & Alerts (Dashboard).

The Data Entry section will list the following available options:

- Upload Data File – Use XML file with Employee and Staffing data to populate records. If you manually enter data, this step is not needed. Data shall be uploaded once the Upload File button is selected.
- Employee Data – Manually create new Employee Records or update existing records. Data shall be uploaded once the Save button is selected. The Save button will be disabled until the Employee Data has been successfully saved to the database.
- Staffing Hours Data – Manually populate Staffing Hours or update existing records. Data shall be uploaded once the Save button is selected. The Save button will be disabled until the Staffing Hours Data has been successfully saved to the database.
- Census Data – As of March 3, 2019, the link to the PBJ Census Page will no longer be available. In April, 2018, CMS began using resident census data derived from MDS assessments. Therefore, the PBJ submission of Census data will no longer be used. In April, 2019, XML files containing Census data will no

longer have the Census records uploaded to PBJ. There are no technical changes required to the XML file layout.

- **REPORTS**

- **CASPER Reports** – Access CASPER Reports to view Validation and PBJ reports.

The Updates & Alerts Section (Dashboard) provides the User with up-to-date information on submissions. Users are able to select current and previous quarters to see the following information:

- Number of days remaining to submit data in the selected quarter. This number includes the 45 day submission extension for the selected quarter.
- Number of days in the quarter you do not have staffing data entered for your employees as well as an additional link for Staffing Details.

Users may wish to use the toolbar across the top of the page in lieu of the available entry options to upload data files, complete manual data entry, access additional help resources or to reach the 'My Submissions' page. The Accessibility and Privacy Policies may be found at the bottom of the page as well as an additional means of accessing the help resources available to Payroll Based Journal Users.

**UPDATES & ALERTS**

Announcements

Submission Information

**Facility: \***

Select Facility ... ▼

**Federal Fiscal Quarter: \***

Quarter 3 2018 (April 1 - June 30) ▼

**VIEW SUBMISSION INFORMATION**

## 4. Using the System

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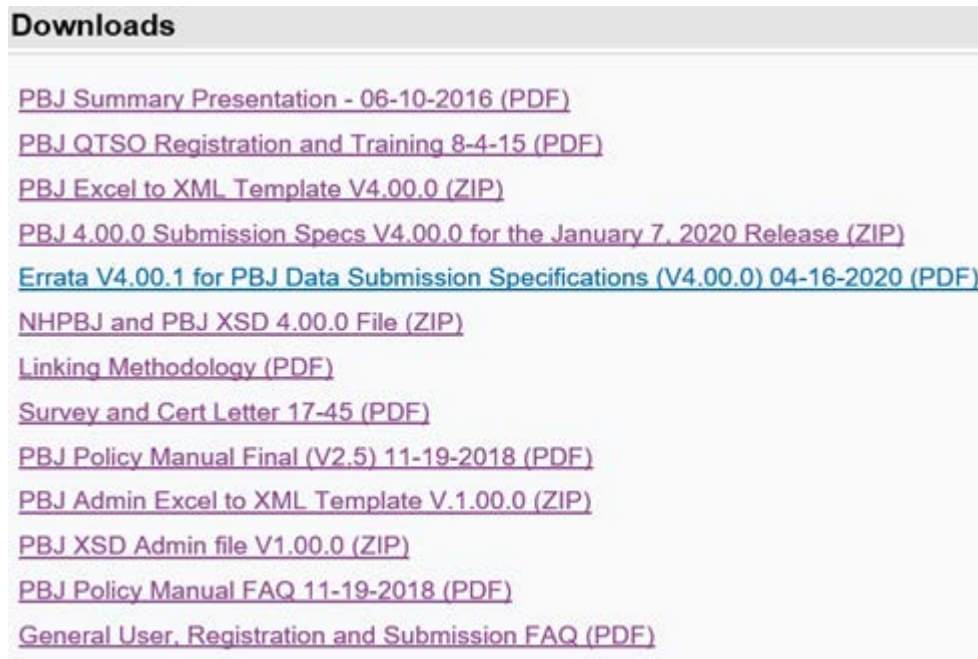
The following sub-sections provide detailed, step-by-step instructions on how to use the various functions of PBJ.

### 4.1 XML Submissions (Employee, Employee Link and Staffing Data)

For Users who are not uploading an XML file you may skip to [Section 4.2](#) if you plan to manually enter your data. Data files being submitted to the Payroll Based Journal System must meet the PBJ Technical Data Specifications. The CMS website contains the Payroll Based Journal Technical Data Specifications required for PBJ XML data files. To access the CMS website, copy and paste the following link into your URL Window:

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

Scroll to the Downloads section for the PBJ Data Specifications:



The following steps MUST be completed prior to attempting a PBJ XML submission or manual entry submission:

- Obtain a CMSNet Remote Access UserID/password
- Successful installation of the Juniper NetworkClient
- Secure connection to the CMS network via the CMS Secure Access Service
- Registration and activation of a QIES (PBJ) User ID/password

## Important Reminders

The Payroll Based Journal system only processes zipped files with a “.zip” extension. Files with extensions other than .zip will not be accepted into the PBJ system. You cannot do a Save AS and select XML or rename your file to XML, zip it and submit it. The file needs to be converted to an XML format.

The PBJ system will only accept .zip files which are 5 MB or less in size per submission. XML files contained within .zip files must not exceed 50 MB. If your file exceeds these limits there is a good chance the file is not formatted correctly, run your file against the XSD to confirm correct formatting of your XML file.

The PBJ XML will only allow one facility ID/ state code per XML; there is no need for a trailer row.

## Facility Information Verification

Verify facility information listed is accurate under the Updates and Alerts section. Please contact your state MDS/ASPEN Coordinator for updates if there is an issue with the facility information displayed.

If you are a PBJ Corporate or Third Party and your User ID is associated to multiple Facilities you may select the drop down list to view all facilities.

The screenshot displays the PBJ system interface, divided into two main sections: **DATA ENTRY** and **UPDATES & ALERTS**.

**DATA ENTRY** section includes:

- Available Entry Options:**
  - Upload Data File:** Use XML file with Employee and Staffing data to populate records.
  - Employee Data:** Manually create new Employee Records or update existing records.
  - Staffing Hours Data:** Manually populate Staffing Hours or update existing records.
  - Census Data:** NOTE: Census data is no longer processed by the PBJ system. CMS calculates census based on MDS assessments. For more information on viewing the CMS census count, refer to the "Updates and Alerts" section on this page.
- Reports:**
  - CASPER Reports:** Access CASPER Reports to view Validation and PBJ reports.

**UPDATES & ALERTS** section includes:

- Announcements:**
  - Census Submissions (Read more...)
  - New MDS Census Reports (Read more...)
- Submission Information:**
  - Facility:** AZ - LTC0051 - DESERT HIGHLANDS CARE CENTE (dropdown menu)
  - Federal Fiscal Quarter:** Quarter 1 2019 (October1 - December 31) (dropdown menu)
  - VIEW SUBMISSION INFORMATION** (button)
  - 20 day(s) remaining to submit data in Quarter 1 2019 (October1 - December 31). Deadline: 11:59 PM (ET) on March 31, 2019.**
  - Staffing Data:**
    - 0% (progress bar)
    - 92 day(s) have no entries prior to the deadline.
    - [View Staffing Details](#) (link)

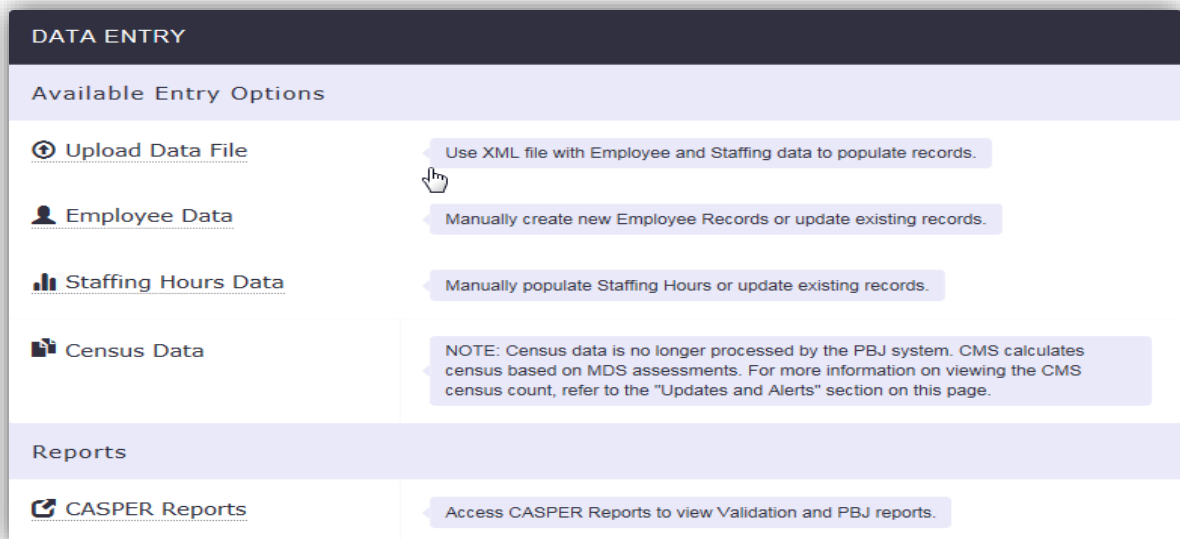
## XML File Upload and Submission

The PBJ system is flexible and offers Users two different options when submitting Employee and Staffing Data. Users may utilize the toolbar across the top of the PBJ Home Page or select from the available entry options under the Data Entry section.

The Payroll Based Journal System will allow a combination of manual data entry and XML submissions. Facilities using manual data entry will NOT need to upload an XML file with their data. The data will be received through the process of their manual entry of data.

To begin the process of electronically submitting Employee, Employee Link and/or Staffing Data to the Payroll Based Journal System using an XML via the Data Entry section of the PBJ Home Page, complete the following steps:

**Action:** Select 'Upload Data File' from the Data Entry section of the PBJ Home Page.



1. **Action:** Select the desired Federal Fiscal Quarter from the drop-down pane corresponding to the PBJ XML file you wish to upload.



**Please note, the Federal Fiscal Quarter on the Upload Data File page displayed below must match the Federal Fiscal Quarter in the XML file being selected for upload or the file will be rejected.**

Home | File Upload | Manual Data Entry | Help

Upload Data File \* Indicates required field(s)

**Federal Fiscal Quarter: \***  
Select Federal Fiscal Quarter...

**Data File: \***  
Choose File | No file chosen  
(Supported File Format: ZIP)

**Data File Resources**  
For the most up-to-date XML File Specifications, Requirements and Documentation, please visit the CMS Resources Page (Not accessible from CMSNet)

UPLOAD FILE | NOTICE: Meal times (paid or unpaid) must be deducted from each employee's daily hours.

- Action:** Select 'Browse' to locate the zip file you wish to upload.

Home | File Upload | Manual Data Entry | Help

Upload Data File \* Indicates required field(s)

**Federal Fiscal Quarter: \***  
Select Federal Fiscal Quarter...

**Data File: \***  
Choose File | No file chosen  
(Supported File Format: ZIP)

**Data File Resources**  
For the most up-to-date XML File Specifications, Requirements and Documentation, please visit the CMS Resources Page (Not accessible from CMSNet)

UPLOAD FILE | NOTICE: Meal times (paid or unpaid) must be deducted from each employee's daily hours.

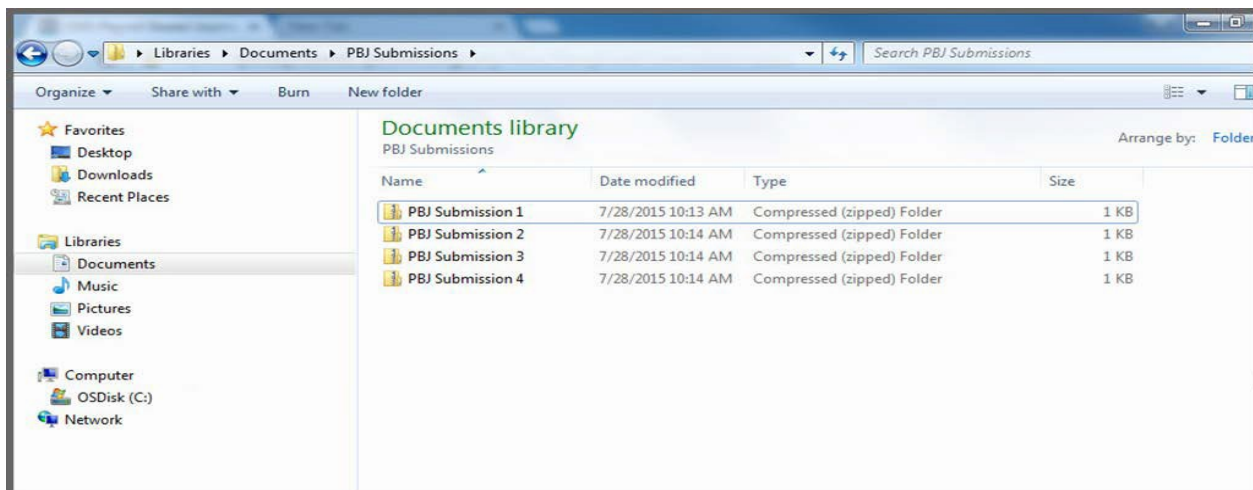
**Please Note:** Files must be in a compressed (.zip) zip file format and stored on your local hard drive to ensure successful submission to the PBJ System. Zip files must not exceed 5MB in size; the maximum size for an XML file within the .zip file is 50MB.

\*See CMSNet Secure Access Service Network Restrictions

For .zip files containing multiple XML files, there is no guarantee to the order in which the XML files will be processed within the .zip file. If order of processing is important, submit XML files in two separate .zip files and ensure processing has completed for the first .zip file before submitting the second .zip file.

- After selecting 'Browse' you will be presented with a window where you

may choose a file for upload as shown in the example below.



4. **Action:** Double click the file name of the data file you wish to upload. The name of the file selected will be populated in the Data File display on the PBJ Upload Data File page directly below the Federal Fiscal Quarter.

5. **Action:** Select the Upload File button to proceed submitting the selected data file to the Payroll Based Journal System.

#### 4.1.1 Confirmation Message and My Submissions Page

Once a submission has been successfully received by the PBJ System the User will be presented with a confirmation message stating:

Your submission has been received and will be checked for errors within 24 hours. Followed by:

**NOTE:** This screen does not confirm that your submission is error free. It is recommended that you print and retain the Submission Info listed below.

This is a reminder to:

1. Check CASPER for a system generated PBJ Final File Validation Report (FFVR) within 24 hours. If no FFVR appears, run a PBJ Submitter Final

### File Validation Report.

2. Run the PBJ 1702D (by Employee) or 1703D (by Job Type) Reports to verify the quarterly PBJ data reflects your records.
3. You can also check the status of each file submission on the My Submission Page.
4. See PBJ User and CASPER Guides for more information or contact the QIES Help desk at [qies@cms.hhs.gov](mailto:qies@cms.hhs.gov).

Additional submission details will be provided as follows:

- **Submission ID** – A unique numeric identifier assigned to your data file by the CASPER Reporting and PBJ Systems.
- **Submission Date** – Date and time the CASPER Reporting and PBJ Systems received the data file.
- **File Name** – Name of the data file selected by the User which has been successfully received.

### ATTENTION!

The message provided confirms successful receipt of the data file by the PBJ System. It does NOT confirm that the file has been processed or that the records have been accepted by the PBJ System. It is strongly advised to take note of the Submission ID as well as the submission date information provided on the Upload Data File page. While it is not required, Users may wish to print or save the confirmation message as their receipt of submission. This information will aid you in identifying the corresponding system-generated PBJ Final File Validation Report stored in the CASPER Reporting system.

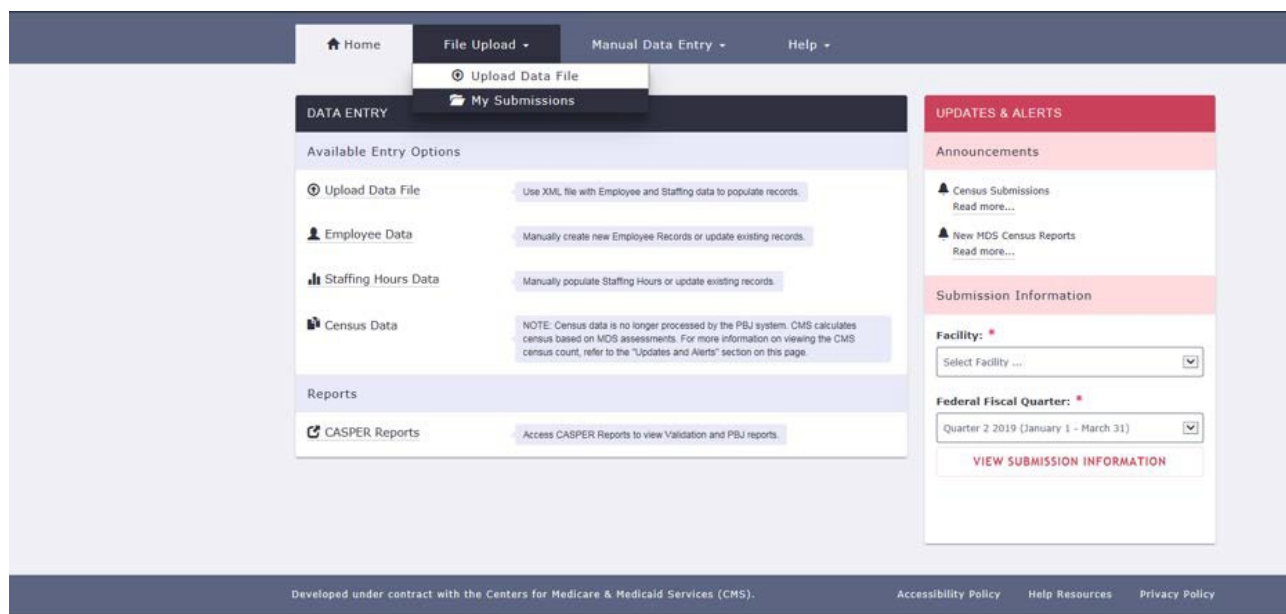
The confirmation message will be cleared once you perform any subsequent PBJ activity.

### IMPORTANT!

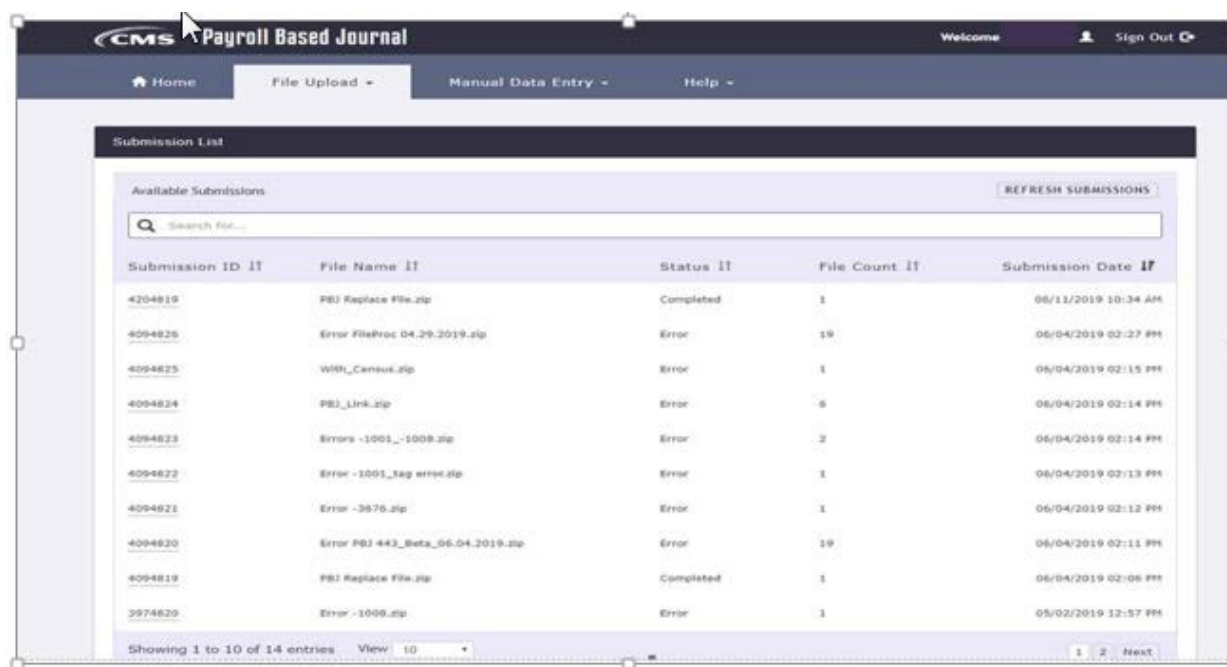
The **My Submissions** page information is available immediately after PBJ receives the file.

My Submissions is comprised of a Submission List that includes all zip files submitted within the last six months and, for each zip file, an XML File List that shows each XML file that were packaged in the zip file.

To get to the My Submissions page from the Menu, select File Upload and then My Submissions as shown in the screen shot of the below:

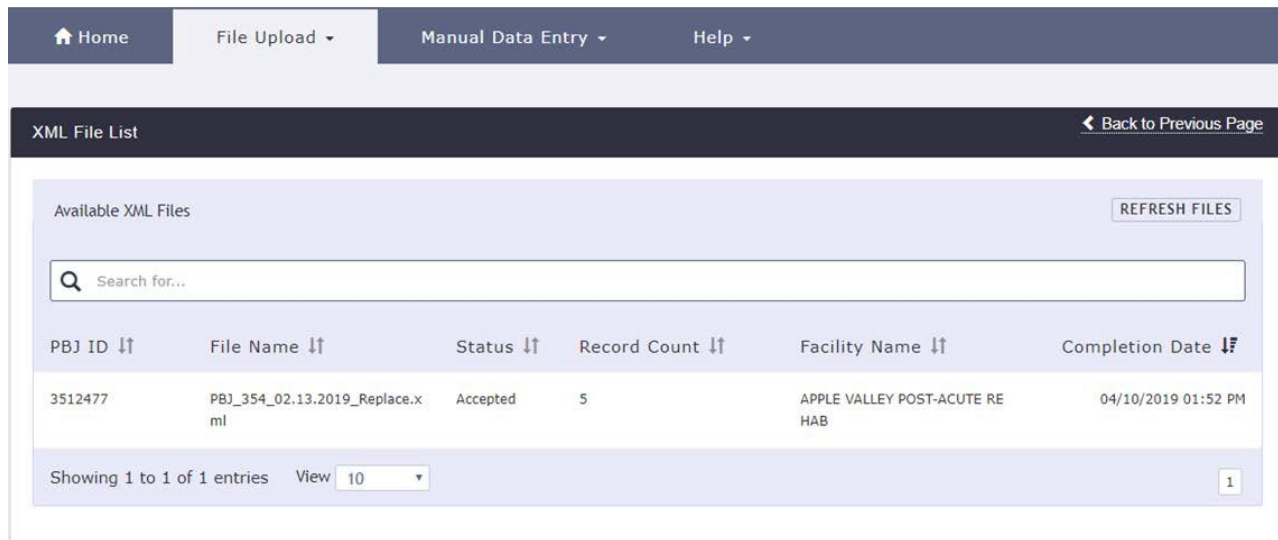


A list of the Available Submissions appears. The purpose of the Submission List is to convey the zip file status to the User. There are four possible status indicators on the Submission List. A screen shot of the Submission List and a description of each zip file submission status appears in the table below.



Status	Description
Waiting	Zip file is waiting to be processed
Processing	Zip file or XML files are currently being processed
Completed	Zip file and XML files were processed with no errors
Error	Zip file or XML file errors were encountered

By clicking the Submission ID, a User can drill down to a list of each XML file included in the zip file. This can be seen in the screen shot below.



In the XML Files List screenshot above, there are four possible status indicators. A description of each XML file submission status is shown in the table below:

Status	Description
Running	XML file is currently being processed
Waiting 2 <sup>nd</sup> Validation	XML file is waiting on second validations
Accepted	XML file was processed with no errors
Rejected	XML file errors were encountered

## Next Steps

Login to **CASPER Reporting** to retrieve your **Final Validation Report (FFVR)** which will confirm the status of your submission. If there is no FFVR report, run the PBJ Submitter Final File Validation Report to check for errors. The **Final File Validation Report** and the **Submitter Validation Report** are available when the **Submission Status** is “**Completed**” or “**Error**”.

## 4.2 Manual Submissions

The Payroll Based Journal System will allow a combination of manual data entry and XML submissions. Facilities using manual data entry will NOT need to upload an XML file with their data. The data will be received through the process of their manual entry of data.

### 4.2.1 Employee Data

The PBJ system is flexible offering two different options to begin entering Employee Data manually. Select ‘Manual Data Entry’ on the toolbar followed by ‘Employee Data’ from the drop down or simply select the ‘Employee Data’ option located in the Data

Entry section of the Home Page.

The screenshot shows the 'Manual Data Entry' menu in the CMS XLC system. The menu is open, displaying two options: 'Employee Data' (with a person icon) and 'Staffing Hours Data' (with a bar chart icon). Below the menu, the 'DATA ENTRY' section is visible, containing 'Available Entry Options' and 'Reports'.

**Available Entry Options:**

- Upload Data File:** Use XML file with Employee and Staffing data to populate records.
- Employee Data:** Manually create new Employee Records or update existing records.
- Staffing Hours Data:** Manually populate Staffing Hours or update existing records.
- Census Data:** NOTE: Census data is no longer processed by the PBJ system. CMS calculates census based on MDS assessments. For more information on viewing the CMS census count, refer to the "Updates and Alerts" section on this page.

**Reports:**

- CASPER Reports:** Access CASPER Reports to view Validation and PBJ reports.

After selecting 'Employee Data' the Manual Employee Data Entry screen will be displayed. Verify and/or select the appropriate facility name before adding or searching for employees.

The screenshot shows the 'Manual Employee Data Entry' screen. At the top, there is a header bar with the title 'Manual Employee Data Entry' and a note '\* indicates required field(s)'. Below the header, there is a form with a 'Facility: \*' label and a dropdown menu. The dropdown menu is currently set to 'Select Facility ...'. Below the dropdown menu, there is a blue button labeled 'SELECT FACILITY >'. The entire form area is enclosed in a red rectangular box.

#### 4.2.2 Add New Employee Data

Complete the following steps to add a new employee to the Payroll Based Journal System:

1. **Action:** Select the Add New Employee button to display the New Employee screen.



Home File Upload Manual Data Entry Help

Add New Employee [Back to Previous Page](#)  
\* Indicates required field(s)

Facility:

Employee ID: \*

Hire Date:

Termination Date:

SAVE NEW EMPLOYEE CANCEL

2. **Action:** Enter a unique **Employee ID\***. A unique ID will be necessary for each employee submitted. **Do not use employee PII for the Employee ID. The Employee ID may contain only the following characters:**
  - a. The numeric characters: [0] through [9]
  - b. The letters [A] through [Z] and [a] through [z].
  - c. The following special characters: [\] (backslash) [,] (comma) [.] (period) [\_] (underscore)
  - d. Embedded spaces (spaces surrounded by any of the characters listed above). For example, [PBJ EMP1] would be allowed.
  - e. The character [-].
3. **Action:** Enter the employee's Hire Date. This is the first date of employment for each employee.
4. **Action:** Enter the employee's Termination Date. This is the last date of employment for each employee.

The asterisk (\*) denotes required fields. Your record will not save until all required fields have been completed. Your record will not save if any required fields have been completed inaccurately.

**Please Note:** The Hire and Termination Dates are not a required field.

5. **Action:** Select the **Save New Employee** button. You will receive a confirmation message stating that the employee record has been saved.

**Add New Employee** ◀ Back to Previous Page  
\* indicates required field(s)

✔ Employee Record for TEST1 has been saved.

**Facility:**  
 AL - 0820301NH - DIVERSICARE OF OXI ▼

**Employee ID: \***  
 ENTER EMPLOYEE ID

**Hire Date:**  
 MM/DD/YYYY

**Termination Date:**  
 MM/DD/YYYY

⬇ | SAVE NEW EMPLOYEE CANCEL

6. **Action:** To continue adding new employee records, select Back to Previous Page located at the upper right corner of the Add New Employee screen and repeat steps 1-5.

After all employees have been added you will have a listing of employees displayed on the Manual Employee Data Entry screen under the heading 'Employee List'. The employees listed are to be considered active. The Employee ID and Hire Date columns can be sorted in either ascending or descending order by selecting the arrows to the right of the column header.

**Manual Employee Data Entry** \* indicates required field(s)

**Facility: \***  
 [REDACTED] ▼

SELECT FACILITY >

✔ Include Terminated Employees

**Employee List** + | ADD NEW EMPLOYEE

🔍 Search for...

Employee ID ⬇	Hire Date ⬆	Actions
[REDACTED]	12/26/2013	✕ Delete
[REDACTED]	05/01/1982	✕ Delete
[REDACTED]	05/01/1988	✕ Delete
[REDACTED]	03/25/1991	✕ Delete
[REDACTED]	10/01/2002	✕ Delete

To display and sort by Termination Date you must check the Include Terminated



Employees box located at the bottom of the Employee List. Both Active and Terminated employees will then be displayed after your screen has automatically refreshed.

The screenshot shows the 'Manual Employee Data Entry' interface. At the top, there's a navigation bar with 'Home', 'File Upload', 'Manual Data Entry', and 'Help'. Below this, the 'Manual Employee Data Entry' section includes a 'Facility' dropdown menu and a 'SELECT FACILITY' button. The 'Employee List' section features a search bar and a table with columns: 'Employee ID', 'Hire Date', 'Termination Date' (circled in red), and 'Actions'. The table contains two rows of employee data with their respective hire and termination dates, and a 'Delete' button for each.

### 4.2.3 Modify Employee Data Records

In the event it becomes necessary to make changes to an existing employee's record simply select the Employee ID from the Employee List and modify as needed. When you have completed the necessary changes select the Save Changes button to update the employee record. You will receive a message stating that the employee record has been saved.

The screenshot shows the 'Edit Employee' form. It includes a 'Facility' dropdown menu, an 'Employee ID' text field, a 'Hire Date' date picker (showing 02/19/2003), and a 'Termination Date' date picker (showing MM/DD/YYYY). At the bottom, there are 'SAVE CHANGES' and 'CANCEL' buttons. A 'Back to Previous Page' link is also visible in the top right corner.

### 4.2.4 XML Submission Rehire Process

**NOTE:** Employee Hire Dates and Termination Dates are optional. CMS does not use these for calculations. See Section "System Employee ID & Employee Link" when rehiring employees with different Employee ID's.

In order to upload an XML file for an employee to enter a Hire Date, Termination Date and Rehire Date the following XML restrictions apply.

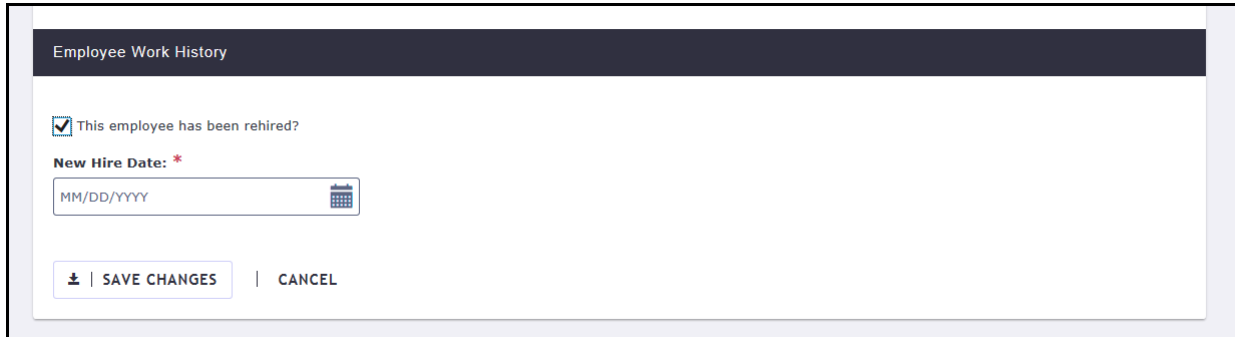
- The User can only update an employee hire date if there is no termination date entered.
  - Example - A hire date was submitted on 1/1/2015 and no termination date has been entered. If a User needs to update the hire date to 1/7/2015 the XML file shall contain the corrected hire date of 1/7/2015. This will update the original hire date to 1/7/2015 as long as no staffing hours are entered prior to the new hire date.
- The User is able to delete a termination date by entering the most recent hire date and then leave the termination date blank.
  - Example - A hire date was submitted on 1/1/2015 and a termination date was entered for 4/5/2015. If a User needs to delete the entered termination date the XML file shall contain the original hire date of 1/1/2015 and the termination date shall be left blank. This will leave the hire date the same and delete the termination date of 4/5/2015.
- The User is able to update a termination date by entering the most recent hire date and entering the correct value for the termination date.
  - Example – The most recent hire date submitted was on 1/1/2015 and a termination date was entered for 4/5/2015. If a User needs to update the submitted termination date to 4/1/2015 the XML file shall contain the most recent hire date of 1/1/2015 and the termination date shall contain the updated value of 4/1/2015. This will leave the hire date the same and update the termination date to 4/1/2015 as long as no staffing hours are entered after the new termination date.
- The User shall be able to update staffing records that fall under a previous Hire/Termination range.
  - Example - A User needs to update staffing records for an employee that has been Hired/Terminated/Rehired more than once. The staffing records that need updated fall under a previous Hire/Termination range. The User shall be able to send in the staffing records and update the necessary hours by only including the staffing tags in the XML. The employee section must be left off the XML in order for this update to be successful.

#### 4.2.5 Manual Data Entry Rehire Process

NOTE: Employee Hire Dates and Termination Dates are optional. CMS does not use these for calculations. See Section “System Employee ID & Employee Link” when rehiring employees with different Employee ID’s.

In the event an employee is rehired, by the manual entry process please complete the following steps:

1. Locate the appropriate employee ID in the Employee List found on the Manual Employee Data Entry screen.
2. **Action:** Select the Employee ID and check the box entitled “This employee has been rehired?” which will be found at the bottom of the screen under the heading entitled ‘Employee Work History’.



The screenshot shows a web form titled "Employee Work History". It contains a checkbox labeled "This employee has been rehired?" which is checked. Below this is a field for "New Hire Date:" with a red asterisk, a text input box showing "MM/DD/YYYY", and a calendar icon. At the bottom, there are two buttons: "SAVE CHANGES" and "CANCEL".

3. **Action:** Enter the **New Hire Date\***. This is the first day of employment after having been rehired.
4. **Action:** Select the Save Changes button. If one or more errors occur the system will provide you with a notification indicating any additional actions that must be taken.

#### 4.2.6 Delete Employee Data Records

Under the ‘Actions’ column of the Employee List you have the option to delete an employee by selecting Delete. Please note, you cannot delete an employee with reported staffing hours.

**Manual Employee Data Entry** \* indicates required field(s)

Facility: \*

SELECT FACILITY >

**Employee List** + | ADD NEW EMPLOYEE

Search for...

Employee ID	Hire Date	Termination Date	Actions
123654789	04/07/2016	05/24/2016	Delete
123654789	05/24/2016		Delete

Once successful in deleting an employee you will receive a confirmation message stating that the employee record has been deleted.

**Manual Employee Data Entry** \* indicates required field(s)

Employee Record for 123654789 has been deleted.

Facility: \*

SELECT FACILITY >

**Employee List** + | ADD NEW EMPLOYEE

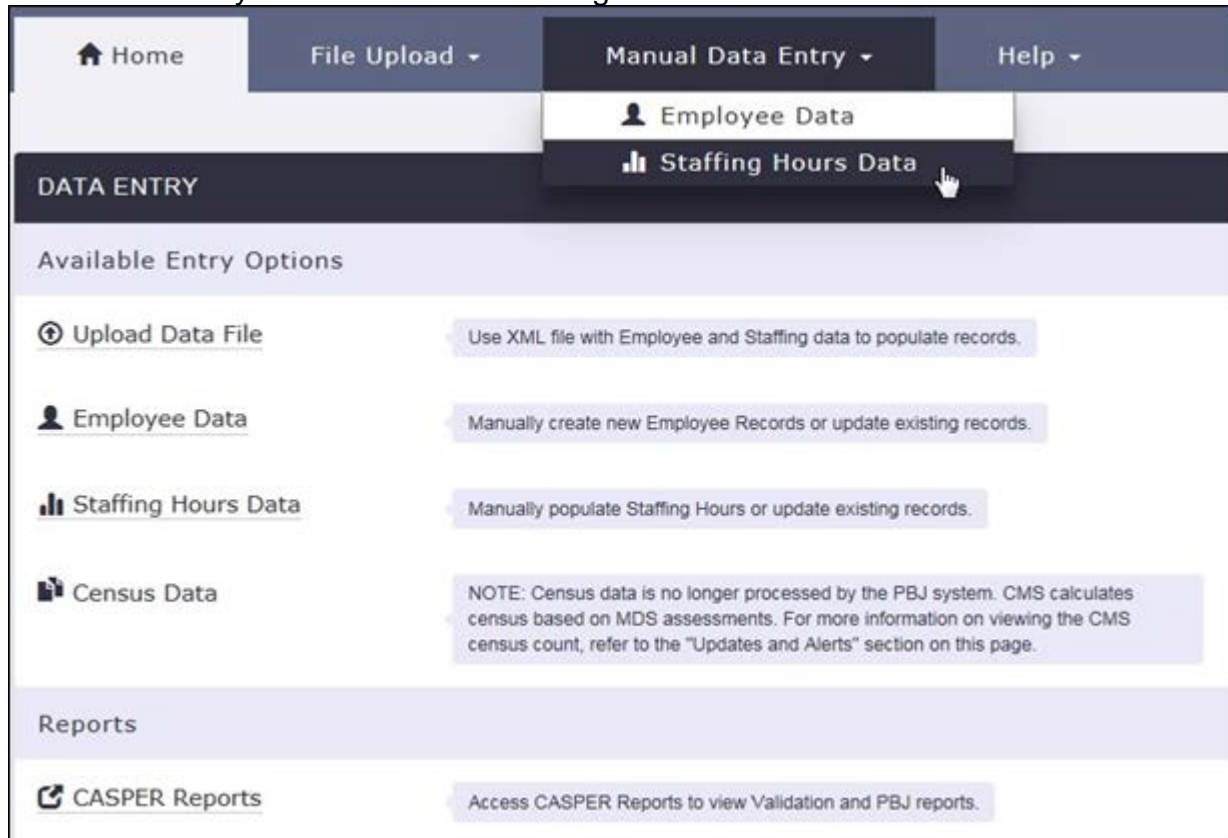
Search for...

Employee ID	Hire Date	Termination Date	Actions
-------------	-----------	------------------	---------

## 4.2.7 Add Staffing Hours Data

The PBJ system is flexible offering two different options to begin entering Staffing Hours Data manually. Select 'Manual Data Entry' on the toolbar followed by 'Staffing Hours

Data' from the drop down OR simply select the 'Staffing Hours Data' option located in the Data Entry section of the Home Page.



After selecting 'Staffing Hours Data' the Manual Staffing Hours Data Entry screen will be displayed.

The screenshot shows the 'Manual Staffing Hours Data Entry' screen. At the top, there is a header bar with the title 'Manual Staffing Hours Data Entry' and a note '\* indicates required field(s)'. Below the header, there are two required fields: 'Facility: \*' and 'Federal Fiscal Quarter: \*'. The 'Facility' field is a dropdown menu with a black bar indicating a selection. The 'Federal Fiscal Quarter' field is a dropdown menu showing 'Quarter 4 2017 (July 1 - September 30)'. Below these fields, there is a blue button labeled 'SELECT FACILITY & QUARTER >'. The background of the form is light gray.

Complete the following steps to manually enter Staffing Hours Data:

1. **Action:** Select the Facility from the drop down menu.
2. **Action:** Select the Federal Fiscal Quarter corresponding to the Staffing Hours Data being submitted from the drop down menu.
3. **Action:** Select the Select Facility & Quarter button.
4. The calendar for the first month of the requested quarter will be displayed.
5. **Action:** Select the Select Facility & Quarter button.

6. The calendar for the first month of the requested quarter will be displayed.

There are left and right arrows located at the upper right corner of the month header. The left arrow will be disabled because you will begin on the first month of the quarter. The right arrow will take you to the second and/or third month in the quarter.

The calendar dates are color coordinated as follows:

- Grey = Past the 45 day submission deadline
- Pink = No Data
- Teal = Data
- Blue = Current date

April 2016							 	
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday		
27	28	29	30	31	1 <u>No Data</u>	2 <u>No Data</u>		
3 <u>No Data</u>	4 <u>No Data</u>	5 <u>No Data</u>	6 <u>No Data</u>	7 <u>No Data</u>	8 <u>No Data</u>	9 <u>No Data</u>		
10 <u>No Data</u>	11 <u>No Data</u>	12 <u>No Data</u>	13 <u>No Data</u>	14 <u>No Data</u>	15 <u>No Data</u>	16 <u>No Data</u>		
17 <u>No Data</u>	18 <u>No Data</u>	19 <u>No Data</u>	20 <u>No Data</u>	21 <u>No Data</u>	22 <u>No Data</u>	23 <u>No Data</u>		
24 <u>No Data</u>	25 <u>No Data</u>	26 <u>No Data</u>	27 <u>No Data</u>	28 <u>No Data</u>	29 <u>No Data</u>	30 <u>No Data</u>		

7. **Action:** Select the day on the calendar you wish to enter Staffing Hours Data. The Staffing Hours screen will be displayed.

The Employee IDs available to have staffing hours added for the day/week selected will be displayed on the Manual Staffing Hours Data Entry screen. You will not be able to add staffing hours to a terminated Employee ID.

Users may search for the Employee ID which needs Staffing Hours added by entering the desired Employee ID into the Search bar located under the 'Staffing Hours' heading near the top of the Manual Staffing Hours Data Entry screen. The search function is a 'smart search' which means you can enter in the entire Employee ID or partial search criteria to obtain results. For example, you can search for all Employee ID's which contain the number one (1) by typing the number one (1) into the search bar and selecting the 'Enter' key on the keyboard. The Employee ID search will be retained until the User navigates off the Manual Staffing Hours Data Entry screen.

**NOTE:** Staffing Hours Data must be electronically uploaded or manually entered and accepted by the end of the 45th calendar day (11:59 PM Eastern Standard Time)

following the last day in each fiscal quarter in order to be considered timely. No data is accepted after the deadline.

Previous Week Week of 12/03/2017 - 12/09/2017 Next week

Search for Employee ID (Press Enter to Submit)...

Employee ID Employee Staffing Details

Labor Category/Job Title	Pay Type	Sun 12/03	Mon 12/04	Tue 12/05	Wed 12/06	Thu 12/07	Fri 12/08	Sat 12/09	Total
Select One...	Select One...								0.00
+ Add New Work Entry		0.00	0.00						0.00

Showing 1 to 2 of 2 entries

SAVE CHANGES NOTICE: Meal times (paid or unpaid) must be deducted from each employee's daily hours.

8. **Action:** Select the appropriate **Labor Category/Job Title** from the drop down list. Job titles that are not required to be entered will say 'NOT REQUIRED/OPTIONAL' in the drop down list.
9. Pay Type:
  - a. **Action:** Select the appropriate Pay Type from the drop down list provided.
10. **Action:** Enter each Employee's time worked for each day. The work week is from Sunday through Saturday. Time entered is calculated in fractions, not as direct hours and minutes. Users will need to round to the nearest 10th when converting minutes to fractions. Facilities may opt to round to the nearest 100th when entering hours. **Please note**, actual minutes worked shall not be reported. For example, if an employee works 7 hours and 33 minutes, 7.33 shall not be reported. The correct time to report would be 7.6 hours or 7.55 hours. Please see below for examples:
  - 7.1 = 7 hours, 6 minutes
  - 7.5 = 7 hours, 30 minutes
  - 7.8 = 7 hours, 48 minutes

Conversion from minutes to tenths of an hour:

01 to 06 Minutes = 0.1

07 to 12 Minutes = 0.2  
 13 to 18 Minutes = 0.3  
 19 to 24 Minutes = 0.4  
 25 to 30 Minutes = 0.5  
 31 to 36 Minutes = 0.6  
 37 to 42 Minutes = 0.7  
 43 to 48 Minutes = 0.8  
 49 to 54 Minutes = 0.9  
 55 to 60 Minutes = 1.0

In the event an employee has multiple Job Titles you can add additional titles by selecting the Add New Work Entry button located just below the Labor Category/Job Title drop down.

**Please Note:** Meal times (paid or unpaid) must be deducted from each employee's daily hours. See PBJ Policy Manual for more details.

Week of 05/29/2016 - 06/04/2016

Search for Employee ID (Press Enter to Submit)...

Employee ID: AL00023

Labor Category/Job Title	Pay Type	Sun 05/29	Mon 05/30	Tue 05/31	Wed 06/01	Thu 06/02	Fri 06/03	Sat 06/04	Total
Select One...	Select One...								0.00
+ Add New Work Entry		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

**Action:** Select the **Save Changes** button. If one or more errors occur the system will provide you with a notification indicating any additional actions that must be taken. The number of pages with staffing hour entries as well as a view option to identify how many records will be displayed on each page. These options are displayed at the lower left corner of the Manual Staffing Hours Data Entry screen and will be retained until the User navigates off the page.

#### 4.2.8 Modifying Staffing Data

In the event it becomes necessary to make changes to an employee's Staffing Hours data begin by locating the Employee ID and Employee Staffing Details on the Manual Staffing Hours Data Entry screen. To update hours previously entered, highlight the existing hours and modify as needed. To delete or remove all previously entered Staffing Hours you can either highlight the hours you wish to remove and enter zero (0.00) or delete out the existing hours and save your changes.

**Action:** Select the Save Changes button located at the bottom of the Manual Staffing Hours Data Entry screen to update the employee record. You will receive a message stating that Staffing Records have been saved.



### 4.3 PBJ Final File Validation Report

After the submitted Payroll Based Journal data files are successfully received by the PBJ System and the Confirmation Message is generated, files are validated for structure and data content. Within 24 hours of a successful submission a system-generated PBJ Final File Validation Report is created and stored inside the CASPER Reporting system. While this report is generally created within 24 hours of successful submission, validation time may vary depending on the size of your file and concurrent system activity and in many cases will be available sooner than 24 hours. If after an hour you do not have a PBJ Final File Validation Report, it may be necessary to log into CASPER Reporting and select Reports and submit the PBJ Submitter Final File Validation Report after entering the submission ID. If there are serious errors in your XML file, this report will help you troubleshoot those errors

**Please Note: The PBJ Final File Validation Report is only available to Users who have uploaded XML files; manual data entry Users will not receive this report.**

The PBJ Final File Validation Report provides critical information such as the status of a selected submission file. This report will indicate whether or not a submission file has been accepted or rejected, as well as provide the User with a detailed account of any errors or warnings which are applicable to the data or the data file structure submitted. The PBJ Final File Validation Report will be located in the facility specific Validation Report (VR) folder beginning with your two digit state code (e.g.VA), PBJ, Facility ID and ending in VR. The PBJ Final File Validation Report output name includes the Date, Time and Submission ID.

Additional information regarding the following PBJ CASPER Reports can be found within the CASPER Reporting User's Guide for PBJ Providers referenced above.

- PBJ Submitter Final File Validation Report
- 1700D Employee Report
- 1702D Individual Daily Staffing Report

- 1702S Staffing Summary Report
- 1703D Job Title Report
- 1704D Daily MDS Census Detail Report
- 1704S Daily MDS Summary Report
- PBJ On Demand Final File Validation Report

**Please note**, only submissions associated to your assigned QIES (PBJ) User ID are available to request a PBJ Submitter Final Validation Report. The PBJ Final File Validation Report details the following for the specified submission file:

Report Field	Report Field Description
CMS Submission Report	The title of the report.
PBJ Submitter Final File Validation Report	The sub-title of the report.
Submission Date/Time	The date and time the submission file was received by the PBJ system. The time is recorded to the nearest second. mm/dd/yyyy hh:mm:ss
Submission ID	The unique identifier assigned to the submission file when it was received by the system.
Submitter User ID	The User ID of the submitter.
Submission File Name	The name of the submitted zip file.
Submission File Status	The status of the submitted file.
Processing Completion Date/Time	The date and time the file processing was complete. The time is recorded to the nearest second. mm/dd/yyyy hh:mm:ss
# Files Processed	The total number of XML files processed (accepted and rejected) for the facility from the submission file.
# Files Accepted	The total number of XML files saved to the database from the submission zip file.
# Files Rejected	The total number of XML files for the facility that were not saved to the database because of fatal errors in the file.
# Files Submitted Without Facility Authority	The total number of XML files for the facility submitted by a User without authority to submit for the facility.
Total # of Messages	The total number of errors (fatal errors and warnings) for all records for the facility in the submission file.
	The following fields are repeated for each XML file included in the zip file:
File Name	The name of the submitted XML file.

<b>Report Field</b>	<b>Report Field Description</b>
File Status	The status of the individual XML file. "Accepted" or "Entire XML File Rejected" displays when the XML file was accepted or rejected. "Invalid" displays when the file could not be validated because it was an invalid XML or unexpected type of file, such as a Word doc.
Facility ID	The unique alphanumeric, state-assigned provider identifier.
State Code	The facility's two-digit state code.
Facility Name	The name of the provider associated with the submitted file.
PBJ_ID	The unique identifier assigned to the submitted file by the PBJ system.
File Spec Version	The version number of the file submission specifications used to create the XML record.
Federal Fiscal Year	The fiscal year with which the submitted file is associated.
Fiscal Quarter	The quarter of the fiscal year with which the submitted file is associated.
Report Field	Report Field Description
Total Employee Records	The number of employee records in the submitted file.
Total Staffing Hours Records	The number of staffing hours records in the submitted file.
Total Employee Link Records	The number of Employee Link records in the submitted file.
PBJ Item(s)	The PBJ item identifier(s) for which an error (either fatal or warning) occurred. PBJ Items in error are noted for the overall
Item Values	The submitted data value causing the error condition. Item Values in error are noted for overall file (General Information)
Message Number/Severity	The number used to identify the error encountered for the indicated item. Displayed is also the severity of the error, either
Message	The description of the error encountered for the indicated item.



## CMS Submission Report PBJ Final File Validation Report

Page 1 of 5

<b>Submission Date/Time:</b>	03/07/2019 12:47:30
<b>Submission ID:</b>	2974698
<b>Submitter User ID:</b>	SDYER3PBJ
<b>Submission File Name:</b>	4002 Edits and Before 1985.zip
<b>Submission File Status:</b>	<b>Received. Please check each File Status below.</b>
<b>Processing Completion Date/Time:</b>	03/07/2019 12:47:52

<b>Facility ID:</b>	CA010000026
<b>Facility Name:</b>	APPLE VALLEY POST-ACUTE REHAB
<b>State Code:</b>	CA

<b># of Files Processed:</b>	5
<b># of Files Accepted:</b>	5
<b># of Files Rejected:</b>	0
<b># of Files Submitted Without Facility Authority:</b>	0
<b>Total # of Messages:</b>	9

-----

**File Name:** 4002 Edits and Before 1985/1016\_ASCII\_Trigger\_v2.00.0.xml

**File Status:** Accepted

**PBJ\_ID:** 3476416  
**Federal Fiscal Year:** 2019

**File Spec Version:** 2.00.0

**Fiscal Quarter:** 2

**Staffing Data:** Merge

**General Information:**

**PBJ Item(s):**

**Item Values:**

**Message Number/Severity:**

**Message:**

-1017/WARNING

Census data is no longer being processed by the PBJ System. CMS will use Minimum Data Set (MDS) data to calculate a daily resident census for each facility.  
 Census data found.

**Total Employee Records:**

1

**PBJ Item(s):**

**Item Values:**

**Message Number/Severity:**

**Message:**

**Total Staffing Hour Records:**

0

**PBJ Item(s):**

**Item Values:**

**Message Number/Severity:**

**Message:**

-1010/WARNING

File contains records with dates that are not within the date range of the reportQuarter (specified in the Header section of the PBJ submission file). These records were not processed and must be resubmitted for the appropriate quarter.  
 1 record was not processed

NOTE: This Validation Report only validates whether or not the data submitted was received successfully; however, it does not reflect the accuracy or completeness of a facility's data. Please run the 1702S Staffing Summary Report to see the total number of staffing hours that have been submitted for a specified timeframe.

## 5. System Employee ID & Employee Link

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PBJ allows an Employee ID to be linked to one or more Employee IDs in the same Facility.

The method in which this is being implemented in PBJ is through a Linking table. The PBJ system will assign a unique system generated ID to each Employee ID. When a facility links a new Employee ID to an old Employee ID, the system will link these IDs to the same System ID. Therefore, two or more individual Employee IDs can have hours logged to it, and will be joined through the same System ID.

NOTE: For purposes of existing PBJ Reports and screens, the individual Employee IDs will continue to appear on the reports as assigned by the facility. The new field, System Employee ID, is being added, which will show the individual Employee ID's under one System Employee ID, when this option is selected. The system will allow staffing hour submissions for the old and new Employee IDs. You must delete all Employee IDs where the employee is joined under one System ID, if you want to completely delete the employee. The System ID does not replace the current employee IDs that facilities have assigned.

### Employee Link Scenarios:

1. Scenario #1: An employee leaves the facility, and then is rehired months later. The timekeeping system the facility uses automatically assigns the employee a new Employee ID when they are rehired (the second Employee ID for the same person).
  - a. What to do:
    - i. In PBJ, when the employee returns, add the Employee using the second Employee ID. Once it's added, you can begin logging hours toward this second Employee ID.
    - ii. Assuming you have not deleted the Employee ID for their first stint of employment, this first Employee ID and the second Employee ID will be submitted in a cross-reference XML file that will tell PBJ to "link" these two Employee IDs.
    - iii. After the employee ID's are linked, the old and new ID's still remain in PBJ and either can have hours logged to them. Do not delete either Employee ID.
2. Scenario #2: A facility changes HR Timekeeping Vendors. The new vendor cannot use the Employee ID's of the old vendor. Every employee in the facility will be given a new Employee ID.
  - a. What to do:
    - i. In PBJ, add all of the new Employee ID's of the new vendor as if these are all new employees. Once added, you can begin logging hours toward these new Employee ID's.
    - ii. Submit a cross-reference XML file that will tell PBJ to "link" corresponding Employee IDs.
    - iii. After the employee ID's are linked, the old and new ID's still remain in PBJ and either can have hours logged to them. Do not delete either Employee ID.

## 6. Troubleshooting & Support

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The following sub-sections provide detailed, step-by-step instructions on how to use the various functions or features of PBJ.

### 6.1 Error Messages

6.1.1 Payroll Based Journal Systems Edits: See Appendix F

6.1.2 Technical Data Specifications: See Appendix G

### 6.2 Special Considerations

Not Applicable

#### 6.2.1 XML (XSD) Helpful Hints for Vendors

The following information should be reviewed by facilities/vendors who intend to utilize the XML submission process in conjunction with the provided XSD.

##### 6.2.1.1 XML Schema Definition (XSD)

An XML Schema Definition (XSD) file has been provided with the PBJ Technical Data Specifications along with a sample XML file. The XSD defines the layout of the XML document, acting as a "data contract" so those providing the XML know what format is to be expected. This file should be used in conjunction with the Technical Data Specifications documentation to better understand the PBJ data file submission requirements.

The XSD may be used to help generate code to assist in working with an existing XML file or may be used to generate a basic XML file with formatting already in place. Potential ways of doing this would be the JAXB framework for Java or the XML Schema Definition Tool for C#.NET.

The XSD can also be used as an instant validation tool. Software development tools such as Eclipse can provide instant feedback on whether or not an XML file is in the valid format based on the XSD.

The XSD will handle all data types and field length validations however it does not cover all of the rules defined in the Technical Data Specifications. Additional validations will be performed on the server-side after a submission has taken place.

The XSD Admin file is split into three main sections:

- Header
- Employee
- Staffing Hours

The Header section is required as well as a minimum of one additional section, Employee or Staffing Hours section. The **PBJ XSD Admin file** should be used for the Employee Link and **PBJ XSD file** should be used for Employee and Staffing data.

The CMS website contains the Payroll Based Journal Technical Data Specifications required for PBJ XML data files. To access the CMS website, copy and paste the

following link into your URL Window:

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

Scroll to the Downloads section for the PBJ Data Specifications:

Downloads
<a href="#">PBJ Summary Presentation - 06-10-2016 (PDF)</a>
<a href="#">PBJ QTSO Registration and Training 8-4-15 (PDF)</a>
<a href="#">PBJ Excel to XML Template V4.00.0 (ZIP)</a>
<a href="#">PBJ 4.00.0 Submission Specs V4.00.0 for the January 7, 2020 Release (ZIP)</a>
<a href="#">Errata V4.00.1 for PBJ Data Submission Specifications (V4.00.0) 04-16-2020 (PDF)</a>
<a href="#">NHPBJ and PBJ XSD 4.00.0 File (ZIP)</a>
<a href="#">Linking Methodology (PDF)</a>
<a href="#">Survey and Cert Letter 17-45 (PDF)</a>
<a href="#">PBJ Policy Manual Final (V2.5) 11-19-2018 (PDF)</a>
<a href="#">PBJ Admin Excel to XML Template V.1.00.0 (ZIP)</a>
<a href="#">PBJ XSD Admin file V1.00.0 (ZIP)</a>
<a href="#">PBJ Policy Manual FAQ 11-19-2018 (PDF)</a>
<a href="#">General User, Registration and Submission FAQ (PDF)</a>

### 6.2.1.2 Process Type

The “process type” within the <staffing hours> tag is located in the XML and is used to control how the data within these sections will be processed. There are two possible values for “process type”: “merge” and “replace”.

Replace (Use with caution.)

If “process type” is set to the value “Replace” in the XML then all the Staffing data for the specified quarter will be removed from the database, and then replaced with the data submitted in the file. The Replace functionality will also remove all data that was previously entered for that quarter via manual data entry.

Merge

If “process type” is set to the value “Merge” in the XML then the data within that section will be processed as follows:

Staffing Hours data will be matched on the employee ID and date. If data exists for a specific day/employee ID combination, it will be overwritten; otherwise the data for that day is simply added.

If a User sets the “process type” to the value “Replace”, the system will generate an Alert stating, “You have chosen the REPLACE function for the files shown below. All of

the facility's Staffing data for the specified quarter will be removed and replaced".

A list of the files will appear below the Alert message as follows



### Sample Merge/Replace scenarios

The scenarios below demonstrate how each value will function in the PBJ System.

**Scenario #1:** A facility submits hours for week one for all employees. Then they submit hours for week two with process type = "merge". Week one's hours are left intact and week two's hours are added on.

**Scenario #2:** A facility submits hours for week one for all employees. Then they submit hours for week two with process type = "replace". Week one's hours are removed and week two's hours are added. Only week two hours will remain in the database.

**Scenario #3:** A facility submits hours for week one for all employees. They realize they made a mistake for a single employee on a single day. For EMP1234 they had four hours on Job Title One and five hours on Job Title Two on 4/28/2015. They submit a file with process type = "merge" that only contains three hours on Job Title Three and four hours on Job Title Four on 4/28/2015. The original hours on Job Title One and Job Title Two are removed, and the hours for Job Title Three and Job Title Four are added. No other data was affected by the merge.

**Scenario #4:** If staffing data is submitted in the same XML for the same employee id and date the staffing hours will be added together.

**Note:** If a .zip file is submitted containing multiple XML files, there is no guarantee to the order in which the XML files will be processed within the .zip file. If order of processing is important, submit XML files in separate .zip files and ensure processing has completed for the first .zip file before submitting subsequent .zip files.

## 6.3 Support

The QIES Technical Support Office (QTSO) Help Desk is available for technical support and assistance if needed and may be contacted by phone at 800-339-9313 or by email to [iqies@cms.hhs.gov](mailto:iqies@cms.hhs.gov). To access the QTSO website, enter: <https://qtso.cms.gov>



## Appendix A: Record of Changes

Version Number	Date	Author/Owner	Description of Change
3.0.0	11/2017	CMS	<ul style="list-style-type: none"> <li>Added section about Linking Process and System Employee ID</li> <li>Updated Census section since CensusData is now optional</li> </ul>
3.01.0	06/2019	CMS	<ul style="list-style-type: none"> <li>The link to the PBJ Census page will no longer be available. PBJ submission of Census data will no longer be used.</li> <li>XML files containing Census data will no longer have the Census records uploaded to PBJ. There are no technical changes required to the XML file layout.</li> </ul>
4.00.0	01/2020	CMS	<ul style="list-style-type: none"> <li>This new release of Data Specs introduces changes to the file layout: fileSpecVersion 4.00.0. The previous fileSpecVersion layouts, 2.00.0 and 2.00.3, may continue to be submitted until June 1, 2020. The fileSpecVersion layout 4.00.0 will be the only one accepted on and after June 2, 2020.</li> </ul>
4.00.1	04/2020	CMS	<ul style="list-style-type: none"> <li>Errata V4.00.1 for PBJ Data Submission Specifications (V4.00.0)</li> <li>Edits -1018 and -1019 are suspended until further notice.</li> <li>The system will continue to accept fileSpecVersions 2.00.0, 2.00</li> </ul>

## Appendix B: Acronyms

Acronym	Literal Translation
CASPER	Certification And Survey Provider Enhanced Reporting
CCN	CMS Certification Number
CFR	Code of Federal Regulations
CMS	Centers for Medicare and Medicaid Services
CO	Central Office Staff
CSV	Comma Separated Value
DNH	Division of Nursing Homes
FFY	Federal Fiscal Year
HTTP	Hyper Text Transfer Protocol
JE	Journal Entry
MDS	Minimum Data Set
NHC	Nursing Home Compare
NHQI	Nursing Home Quality Initiative
OIS	Office of Information Services
PBJ	Payroll Based Journal
PDF	Portable Document Format
QIES	Quality Information and Evaluation System
QW	QIES Workbench
RO	Regional Office Staff
S & C	Survey and Certification
SA	State Survey Agency
SSA	Social Security Administration
USPS	United States Postal Service
XML	Extensible Markup Language

**Appendix C:      Glossary**

Not Applicable

## Appendix D: Referenced Documents

Document Name	Document Location and/or URL	Issuance Date
PBJ Policy Manual	<a href="https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/Staffing-Data-Submission-PBJ.html">https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/Staffing-Data-Submission-PBJ.html</a>	11/2018
Installation Guide for CMSNet Remote Users	<a href="https://qtso.cms.gov/reference-and-manuals/cmsnet-installation-guide-faqs">https://qtso.cms.gov/reference-and-manuals/cmsnet-installation-guide-faqs</a>	12/2014
CASPER Reporting User's Guide For PBJ Providers	<a href="https://qtso.cms.gov/providers/nursing-home-mdsswing-bed-providers/reference-manuals">https://qtso.cms.gov/providers/nursing-home-mdsswing-bed-providers/reference-manuals</a>	04/2020
MDS Access Information	<a href="https://qtso.cms.gov/access-forms">https://qtso.cms.gov/access-forms</a>	05/2014
PBJ Provider User's Guide	<a href="https://qtso.cms.gov/providers/nursing-home-mdsswing-bed-providers/reference-manuals">https://qtso.cms.gov/providers/nursing-home-mdsswing-bed-providers/reference-manuals</a>	04/2020
PBJ Data Specifications	<a href="https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/Staffing-Data-Submission-PBJ.html">https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/Staffing-Data-Submission-PBJ.html</a>	04/2020

## Appendix E:Approvals

The undersigned acknowledge that they have reviewed the User Manual and agree with the information presented within this document. Changes to this User Manual will be coordinated with, and approved by, the undersigned, or their designated representatives.

CMS Approval:

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

XLC Template Revision History

Version Number	Date	Author/Owner	Description of Change
1.0	11/20/2017	CMS	Original

## Appendix F: Payroll Based Journal System Edits

Error ID	Severity	Error Message	Error Description
-1001	Fatal	Invalid XML File Format: The submitted file is not structured properly and cannot be processed.	<p><b>Cause:</b></p> <p>The submitted record is not a properly structured XML file and cannot be processed.</p> <p><b>Tips:</b></p> <p>Beginning and ending tags must enclose the entire record.</p> <p>Beginning and ending tags must enclose each item of the record.</p> <p>Item values must conform to the allowable character set.</p> <p><b>Action:</b></p> <p>Contact your software vendor.</p> <p>Make appropriate corrections to</p>
-1002	Fatal	Unable to Process Record: An error occurred in the PBJ System. Please contact the QTSO Help Desk.	<p><b>Cause:</b></p> <p>An error occurred while inserting the record into the database.</p> <p><b>Action:</b></p> <p>Please notify the QTSO Help Desk and resubmit at a later time.</p>
-1003	Fatal	A ZIP file inside another ZIP file has been Detected: The system is unable to process XML files within sub ZIP files, they will not be processed.	<p><b>Cause:</b></p> <p>XML files have been placed inside a ZIP file within the ZIP file.</p> <p><b>Action:</b></p> <p>Remove XML files from sub ZIP file.</p>

Error ID	Severity	Error Message	Error Description
-1004	Fatal	Unable to Process Record: Quarter/Fiscal Year do not match previous User selection.	<p><b>Cause:</b> Reporting period selected on upload screen doesn't match submitted XML.</p> <p><b>Action:</b> Review selections to ensure information consistency.</p>
-1005	Warning	Matching Staffing Records: XML contained multiple staffing records for the same employee id, job code and date.	<p><b>Cause:</b> XML contained multiple staffing records for the same employee id, job code and date.</p> <p><b>Action:</b> Review staffing records to ensure information is correct.</p>
-1007	Fatal	Invalid File: Files within the .zip files must end in .XML to be accepted.	<p><b>Cause:</b> A file was submitted that didn't end in .XML</p> <p><b>Action:</b> Correct file extension and resubmit.</p>
-1008	Fatal	Unable to Process Record: The file name exceeds the 100 character limit.	<p><b>Cause:</b> A file name is greater than 100 characters.</p> <p><b>Action:</b> Correct file name and resubmit.</p>
-1009	Fatal	Invalid Date: The date must contain a year equal to or greater than 1895.	<p><b>Cause:</b> A date field has a year prior to 1895.</p> <p><b>Action:</b> Correct date and resubmit.</p>



Error ID	Severity	Error Message	Error Description
-1010	Fatal	File contains records with dates that are not within the date range of the reportQuarter (specified in the Header section of the PBJ submission file). These records were not processed and must be resubmitted for the appropriate quarter.	<p><b>Cause:</b></p> <p>A date has been entered in the staffing hours record that is not within the date range specific in the header section of the PBJ submission file.</p> <p><b>Action:</b></p> <p>Correct date and resubmit.</p>
Error ID	Severity	Error Message	Error Description
-1011	Fatal	Submitted file did not contain any data files to process.	<p><b>Cause:</b></p> <p>The submitted file did not contain any data files to process.</p> <p><b>Action:</b></p> <p>Please correct the noted error condition and resubmit.</p>
-1012	Fatal	Submitted file contained files that were password-protected	<p><b>Cause:</b></p> <p>The submitted file contained files that were password-protected.</p> <p><b>Action:</b></p> <p>Please disable password protection on all XML files and resubmit.</p>
-1013	Fatal	Submitted file could not be processed.	<p><b>Cause:</b></p> <p>The submitted file could not be processed.</p> <p><b>Action:</b></p> <p>Please correct the noted error condition and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-1014	Fatal	Invalid Submission: This record was submitted more than 24 months after the provider's closed date.	<b>Cause:</b> The submission date of this record is more than 24 months after the date the provider closed. <b>Action:</b> No action is necessary. If you believe this error is invalid, contact your State Coordinator.
-1015	Fatal	Submitted file contains an XML file that is greater than 50MB.	<b>Cause:</b> The submitted file contains an XML file that is greater than 50MB. <b>Action:</b> Decrease the size of the XML file and resubmit.
-1017	Warning	Census data is no longer being processed by the PBJ system. CMS will use MDS data to calculate a daily resident Census for each facility.	<b>Cause:</b> Census data is no longer being processed. <b>Action:</b> No Action needed.
-1018  This edit is suspended until further notice.	Warning	fileSpecVersion=[2.00.0 , 2.00.3] and the current date is earlier than June 2, 2020,the following message shall be displayed: The XML file was submitted using a fileSpecVersion value that will be retired on June 1, 2020. Refer to the CMS PBJ XML File Users are encouraged to begin using fileSpecVersion 4.00.0. XML files submitted with versions other than 4.00.0 on or after June 2, 2020 will be rejected.	<b>Cause:</b> XML fileSpecVersions 2.00.0 and 2.00.3 will be retired on June 1, 2020. After that time only fileSpecVersion 4.00.0 will be accepted. <b>Action:</b> Begin using fileSpecVersion 4.00.0.

Error ID	Severity	Error Message	Error Description
-1019 This edit is suspended until further notice.	Fatal	If fileSpecVersion=[2.00.0 , 2.00.3] and the current date is on or after June 2, 2020, then the following message shall be displayed: The XML file was submitted using a fileSpecVersion value that was retired on June 1, 2020. Refer to the CMS PBJ XML File Structure Standards described in the PBJ Data Submission Specifications Overview document. XML files must be submitted with fileSpecVersion=[4.00.0 ]	<b>Cause:</b> XML fileSpecVersions 2.00.0 and 2.00.3 will be retired on June 1, 2020. After that time only fileSpecVersion 4.00.0 will be accepted.  <b>Action:</b> Use fileSpecVersion 4.00.0.

### Appendix G: Technical Data Specifications

Error ID	Severity	Error Message	Error Description
-3676	Fatal	Values of Code and Checklist Items: Only the coded values listed in the "Item Values" table of the Detailed Data Specification Report may be submitted for this item.	<p><b>Cause:</b></p> <p>The submitted record didn't have the appropriate values from the Detailed Data Specs for one of the following: Specifications version code, Facility's state postal code, Reporting quarter, Pay Type Code, Process type for items in the section or Job title code.</p> <p><b>Action:</b></p> <p>Check the Data Specs to ensure appropriate values are being used.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-3677	Fatal	Values of Date Items: This item must contain a valid date in YYYY-MM-DD format.	<p><b>Cause:</b></p> <p>The submitted record had a date value which didn't follow the prescribed format (YYYY-MM-DD).</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3679	Fatal	Values of Numeric Items: Only the values listed in the "Item Values" table of the Detailed Data Specifications Report may be submitted for this item. The submitted value must be greater than or equal to the minimum value listed in the table and less than or equal to the maximum value listed in the table, or it must match one of the remaining special values (if any) that are listed in the table. The length of the submitted value must not exceed the allowed maximum length for the item.	<p><b>Cause:</b></p> <p>The submitted record didn't have the appropriate values from the Detailed Data Specs for one of the following: Federal Fiscal report year, Hours worked for the Job Title Code on date, Medicaid resident count-last day of month, Medicare resident count-last day of month, or Other resident count-last day of month.</p> <p><b>Action:</b></p> <p>Check the Data Specs to ensure appropriate values are being used.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3682	Fatal	<p>Formatting of Numeric Items with Tenths Decimal Values: Only integer values, values with tenths decimals, and the special values (if any) that are listed in the "Item Values" table of the Detailed Data Specifications Report will be accepted for this item. Leading and trailing zeroes may be included or omitted from the submitted value as long as the resulting length of the string does not exceed the allowed maximum length for the item. A decimal point and tenth value may be included; however the fractional portion beyond the tenths decimal place must not be included.</p> <p>The following examples are allowable if the value to be submitted is equal to [1.2] and the maximum length is equal to 4: [1.2], [01.2]. The following values are NOT allowed and will lead to a fatal error: [1.21], [1.20].</p> <p>The following examples are allowable if the value to be submitted is an integer equal to</p>	<p><b>Cause:</b></p> <p>The submitted record didn't have the appropriate numeric values with decimal points from the Detailed Data Specs.</p> <p><b>Action:</b></p> <p>Check the Data Specs to ensure appropriate values are being used.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3690	Fatal	<p>Formatting of Alphanumeric Text Items That Can Contain Dashes, Spaces, and Special Characters:</p> <p>If this item is not equal to one of the special values (if any) that are listed in the Item Values table of the Detailed Data Specifications Report, then it must contain a text string. This text string may contain only the following characters:</p> <ul style="list-style-type: none"> <li>a) The numeric characters: [0] through [9].</li> <li>b) The letters [A] through [Z] and [a] through [z].</li> <li>c) The character [-].</li> <li>d) The following special characters:              [@] (at sign)              ['] (single quote)              [/] (forward slash)              [+] (plus sign)              [,] (comma)              [. ] (period)              [_] (underscore)</li> <li>e) Embedded spaces (spaces surrounded by any of the characters listed above). For example, [LEGAL TEXT] would be allowed.</li> </ul>	<p><b>Cause:</b></p> <p>The submitted record didn't have the appropriate alphanumeric values (dashes, spaces &amp; special characters) from the Detailed Data Specs for Software product version code.</p> <p><b>Action:</b></p> <p>Check the Data Specs to ensure appropriate values are being used.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3691	Fatal	<p>Formatting of Alphanumeric Text Items That Can Contain Special Characters:</p> <p>If this item is not equal to one of the special values (if any) that are listed in the Item Values table of the Detailed Data Specifications Report, then it must contain a text string. This text string may contain only the following characters:</p> <p>a) The numeric characters: [0] through [9].</p> <p>b) The letters [A] through [Z] and [a] through [z].</p> <p>c) The following special characters:</p> <p>[@] (at sign)</p> <p>['] (single quote)</p> <p>[/] (forward slash)</p> <p>[+] (plus sign)</p> <p>[,] (comma)</p> <p>[.] (period)</p> <p>[_] (underscore)</p>	<p><b>Cause:</b></p> <p>The submitted record didn't have the appropriate alphanumeric containing special values from the Detailed Data Specs.</p> <p><b>Action:</b></p> <p>Check the Data Specs to ensure appropriate values are being used.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>



Error ID	Severity	Error Message	Error Description
-3692	Fatal	<p>Formatting of email address.</p> <p>Any valid email address will be accepted. The text string may contain any printable characters except the following:</p> <p>' single quote</p> <p>" double quote</p> <p>, comma</p> <p>; semi-colon</p> <p>: colon</p> <p>\ back slash</p> <p>( ) right and left parentheses</p> <p>[ ] right and left brackets</p> <p>{ } right and left braces</p> <p>&lt; less than</p> <p>&gt; greater than</p> <p>space (embedded space)</p>	<p><b>Cause:</b></p> <p>The submitted record didn't have the appropriately formatted Software vendor email address.</p> <p><b>Action:</b></p> <p>Contact you software vendor to attain the correct email address.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3693	Fatal	<p>facilityId is the facility/provider ID. CCN is the CMS Certification Number.</p> <p>a) The facilityId must be assigned to the provider. The state agency assigns the facilityId to nursing homes. The submitted value must match the facilityId in the PBJ System for the facility or provider. There is no CCN in the CMS database. Your file cannot be saved until there is a valid CCN entered. Once the CCN is entered, please resubmit this submission. Contact your facility Administrator to work with your state to enter the CCN once it is assigned by CMS.</p> <p>b) A User submitting a file for a provider must be authorized to submit for the provider identified by the FAC_ID item in the file. A valid CCN is also required for authorization.</p>	<p><b>Cause:</b></p> <p>The submitted record didn't have the appropriately assigned FacID (facility ID) or valid CCN.</p> <p><b>Action:</b></p> <p>Contact your State Survey Agency to attain the correct FacID. Contact your facility Administrator to work with your state to enter the CCN once it is assigned by CMS.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3702	Fatal	This is a required text item. A valid non-blank value must be submitted.	<p><b>Cause:</b></p> <p>The submitted record didn't have any data submitted for the assigned FacID (facility ID).</p> <p><b>Action:</b></p> <p>Contact your State Survey Agency to attain the correct FacID.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-3793	Fatal	The length of the text submitted for a free-form text item must not exceed the maximum length specified for that item.	<p><b>Cause:</b></p> <p>The submitted record exceeded the maximum length specified for one of the following: FacID, Software vendor name, Software vendor email address, Software product name, Software product version code, Old Employee ID, New Employee ID or Employee ID.</p> <p><b>Action:</b></p> <p>Contact your State Survey Agency to attain the correct FacID.</p> <p>Contact you Software Vendor for items related to the vendor.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3802	Fatal	<p>Formatting of Alphanumeric Text Items That Can Contain Dashes, Spaces, Ampersands, and Other Special Characters:</p> <p>If this item is not equal to one of the special values (if any) that are listed in the Item Values table of the Detailed Data Specifications Report, then it must contain a text string. This text string may contain only the following characters:</p> <ul style="list-style-type: none"> <li>a) The numeric characters: [0] through [9].</li> <li>b) The letters [A] through [Z] and [a] through [z].</li> <li>c) The character [-].</li> <li>d) The following special characters:              [&amp;] (ampersand)              [@] (at sign)              ['] (single quote)              [/] (forward slash)              [+] (plus sign)              [,] (comma)              [.] (period)              [_] (underscore)</li> <li>e) Embedded spaces (spaces surrounded by any of the characters listed above). For example, [LEGAL TEXT] would be allowed.</li> </ul>	<p><b>Cause:</b></p> <p>The submitted record didn't have the appropriate alphanumeric values (special values) for the Software vendor name or Software product name.</p> <p><b>Action:</b></p> <p>Contact you software vendor to attain the correct information.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3807	Warning	Version Code Values The version code submitted should match one of the values listed in the "Item Values" table of the Detailed Data Specifications Report.	<p><b>Cause:</b></p> <p>The submitted record didn't have the appropriate version code from the Detailed Data.</p> <p><b>Action:</b></p> <p>Check the Data Specs to ensure appropriate values are being used.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4002	Fatal	The date must be earlier than or equal to the current date.	<p><b>Cause:</b></p> <p>The submitted record had an employee's hire date into the future (greater than the current date) for Hire date, Termination date or Date of the work day.</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4003	Fatal	This item is a part of the Header section, and it is required on all PBJ submission files.	<p><b>Cause:</b></p> <p>The submitted record was missing at least one of the required items (e.g., Specifications version code, Fac ID, Zip Code, Reporting quarter, or Federal Fiscal report year).</p> <p><b>Action:</b></p> <p>Contact the State Survey Agency for you FacID.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-4004	Fatal	This item is a part of the Employee section, and it is required whenever the Employee section is included in a PBJ submission file.	<p><b>Cause:</b></p> <p>The submitted record was missing at least one of the required items for the Employee section (e.g., Employee ID, Hire date, or Pay type code).</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4005	Warning	This item is an optional part of the Employee section. Edits only apply when a value is submitted. Please read the Overview document for additional information on the processing of termination Date.	<p><b>Cause:</b></p> <p>The submitted record was missing information for the optional section of the Employee section for Termination date.</p> <p><b>Action:</b></p> <p>Review the Overview document.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4006	Fatal	This item is a part of the Staffing Hour section, and it is required whenever the Staffing Hour section is included in a PBJ submission file.	<p><b>Cause:</b></p> <p>The submitted record was missing at least one of the required items for the Staffing Hour section (e.g., Employee ID, Date of the work day, Hours worked for Job Title Code on date, or Job title code).</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-4008	Fatal	This item is applicable to the Staffing Hour section and it is required. The item controls how submitted Staffing Hour data will be processed by the PBJ System. See the Overview document for further information.	<p><b>Cause:</b></p> <p>The submitted record was missing to enable the accurate processing of Staffing Hour data (e.g., Process type for items in the section).</p> <p><b>Action:</b></p> <p>Review the Overview document.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4009 <u><b>This edit is N/A as of 11/2018.</b></u>	Warning	If the current date is later than 45 days since the end of the federal fiscal quarter for the current PBJ submission file, then the submitted data will not be included in the Nursing Home Compare reports.	<p><b>Cause:</b></p> <p>The submitted record was 45 days or more after the end of the Federal Fiscal Quarter.</p> <p><b>Action:</b></p> <p>No action is necessary, but this just reminds the facility their data didn't make the deadline date to be posted for the Nursing Home Compare reports.</p>
-4010	Warning	This item is an optional part of the Header section. Edits only apply when a value is submitted.	<p><b>Cause:</b></p> <p>The submitted record was missing at least one of the required items when the optional part of the Header section is completed (e.g., Software vendor, Software vendor email address, Software product or Software product version code).</p> <p><b>Action:</b></p> <p>Contact your software vendor to attain the correct information.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-4015	Fatal	The total number of hours by an employee for a single date must be less than or equal to 24.00. This total includes the sum of all hours across all jobTitleCodes for the specified date.	<p><b>Cause:</b></p> <p>The submitted record reflects at least one Employee ID have more than 24 hours in a single date.</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4016	Fatal	A value submitted for employee ID in the Staffing Hour section must match an existing value for employee ID in the PBJ System. If a match cannot be found, the PBJ submission file will be rejected.	<p><b>Cause:</b></p> <p>The submitted record didn't reflect an existing Employee ID in the system.</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4017	Warning	Note this item is part of the section XML tags, i.e., it does not have its own XML tag.	<p><b>Cause:</b></p> <p>The submitted record had issues with the XML tag section.</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4018	Fatal	The Old Employee ID, New Employee ID or Employee ID contains an invalid special character. Valid special characters include underscore, comma, period, dash and backslash.	<p><b>Cause:</b></p> <p>The Old Employee ID, New Employee ID or Employee ID contains an invalid special character.</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4019	Fatal	The date must contain a year earlier than or equal to 2025.	<p><b>Cause:</b></p> <p>The date must contain a year earlier than or equal to 2025.</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>



Error ID	Severity	Error Message	Error Description
-4020	Fatal	This item is a part of the Employee Link section, and it is required whenever the Employee Link section is included in a PBJ submission file.	<p><b>Cause:</b></p> <p>Item is required for successful submission of the Employee Link file.</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4021	Fatal	A value submitted for this item in the Employee Link section must match an existing value for employeeid in the PBJ system. If a match cannot be found, the PBJ submission file will be rejected.	<p><b>Cause:</b></p> <p>A value submitted for this item in the Employee Link section must match an existing value for employeeid in the PBJ system. If a match cannot be found, the PBJ submission file will be rejected.</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4022	Fatal	The report quarter must be equal to the current quarter for Employee Link data in a PBJ Administration Submission file.	<p><b>Cause:</b></p> <p>The report quarter must be equal to the current quarter for Employee Link data in a PBJ Administration Submission file.</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4023	Fatal	This item is an optional part of the Employee Link section. Edits only apply when a value is submitted.	<p><b>Cause:</b></p> <p>This item is an optional part of the Employee Link section. Edits only apply when a value is submitted.</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-4024	Fatal	The same value for oldEmployeeId and/or newEmployeeId cannot be listed more than once in the Employee Link section.	<p><b>Cause:</b></p> <p>The same value for oldEmployeeId and/or newEmployeeId cannot be listed more than once in the Employee Link section.</p> <p><b>Action:</b></p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
Date	Fatal	See edits -3677, -4002 or -4015 with a valid date relative to Staffing.	<p><b>Cause:</b></p> <p>See the cause for edits -3677, -4002 or -4015 with a valid date relative to Staffing section.</p> <p><b>Action:</b></p> <p>See the action for the above edits.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
Employee ID	Fatal	See edits -3793, -4004, -4006, or -4016 for the Employee ID.	<p><b>Cause:</b></p> <p>See the cause for edits -3793, -4004, -4006, or -4016 with valid data relative to Employee and Staffing sections.</p> <p><b>Action:</b></p> <p>See the action for the above edits.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
FacID	Fatal	See edits -3693, -3702, -3793, or -4003 for the Facility ID.	<p><b>Cause:</b></p> <p>See the cause for edits -3693, -3702, -3793, or -4003 with a valid FacID in the Header section.</p> <p><b>Action:</b></p> <p>See the action for the above edits.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
Federal Fiscal Year	Fatal	See edits -3679 or -4003 for the Federal Fiscal Year.	<p><b>Cause:</b></p> <p>See the cause for edits -3679 or -4002 with the appropriate data for the Federal Fiscal year in the Header section.</p> <p><b>Action:</b></p> <p>See the action for the above edits.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
File Spec Version	Fatal or Warning	<p>2.00.3 For use ONLY with the PBJ Submission file; second version</p> <p>1.00.0 For use ONLY with the PBJ Administration Submission file; first version</p> <p>See edits -3676 or -4003 for Fatal and -4017 for Warning for the File Spec Version.</p>	<p><b>Cause:</b></p> <p>See the cause for edits -3676, -4003, or -4017 with the appropriate File Spec version in the Header section.</p> <p><b>Action:</b></p> <p>See the action for the above edits.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
Hire Date	Fatal	See edits -3677, -4005 or -4019 for the Hire Date.	<p><b>Cause:</b></p> <p>See edits -3677, -4005 or -4019 for the Hire Date.</p> <p><b>Action:</b></p> <p>See the action for the above edits.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
Hours	Fatal	See edits -3679, -4006, or -4015 for Hours.	<p><b>Cause:</b> See the cause for edits -3679, -4006, or -4015 with the appropriate data for the Hours in the Staffing section.</p> <p><b>Action:</b> See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Job Title Code	Fatal	See edits -3676 or -4006 for Job Title Code.	<p><b>Cause:</b> See the cause for edits -3676 or -4006 with the appropriate data for the Job Title Code in the Staffing section.</p> <p><b>Action:</b> See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Pay Type Code	Fatal	See edits -3676 or -4004 for Pay Type Code	<p><b>Cause:</b> See the cause for edits -3679 or -4004 with the appropriate data for Pay Type Code in the Employee section.</p> <p><b>Action:</b> See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
Process Type	Fatal or Warning	See edits -3676 or -4008 (Fatal) or -4017 (Warning) for Process Type.	<p><b>Cause:</b></p> <p>See the cause for edits -3676, -4008, or -4017 with the merging and replacing of data in the Staffing sections.</p> <p><b>Action:</b></p> <p>See the action for the above edits.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
Report Quarter	Fatal or Warning	See edits -3676, -4003, or -4009 (Warning) for Report Quarter.	<p><b>Cause:</b></p> <p>See the cause for edits -3676, -4008, or -4017 with the Reporting quarter data in the Header section.</p> <p><b>Action:</b></p> <p>See the action for the above edits.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
Software Product Name	Fatal or Warning	See edits -3793 or -3802 (Fatal) or -4010 (Warning) for Software Product Name.	<p><b>Cause:</b></p> <p>See the cause for edits -3793, -3802, or -4010 with the software product name in the Header section.</p> <p><b>Action:</b></p> <p>See the action for the above edits.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
Software Product Version	Fatal or Warning	See edits -3690 or -3793 (Fatal) or -4010 (Warning) for Software Product Version.	<p><b>Cause:</b> See the cause for edits -3690, -3793, or -4010 with the software product version in the Header section.</p> <p><b>Action:</b> See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Software Vendor Email	Fatal or Warning	See edits -3692 or -3793 (Fatal) or -4010 (Warning) for Software Vendor Email.	<p><b>Cause:</b> See the cause for edits -3692, -3793, or -4010 with the software vendor email address in the Header section.</p> <p><b>Action:</b> See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Software Vendor Name	Fatal or Warning	See edits -3693 or -3802 (Fatal) or -4010 (Warning) for Software Vendor Name.	<p><b>Cause:</b> See the cause for edits -3693, -3802, or -4010 with the software vendor name in the Header section.</p> <p><b>Action:</b> See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
State Code	Fatal	See edits -3676 or -4003 for State Code.	<p><b>Cause:</b> See the cause for edits -3676, or -4003 with the state code in the Header section.</p> <p><b>Action:</b> See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Termination Date	Fatal or Warning	See edits -3677, -4002 (Fatal) or -4005 (Warning) for the Termination Date.	<p><b>Cause:</b> See the cause for edits -3677, -4002, or -4005 with the termination date in the Employee section.</p> <p><b>Action:</b> See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>