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**Note:** This document can be viewed online or printed in a duplex (two-sided) format. Blank pages have been automatically inserted as needed for correct pagination in the printed copy.
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Introduction

Congress passed the Clinical Laboratory Improvement Amendments (CLIA) in 1988 establishing quality standards for all laboratory testing to ensure the accuracy, reliability and timeliness of patient test results regardless of where the test was performed. The final CLIA regulations were published in the Federal Register on February 28, 1992. The requirements are based on the complexity of the test and not the type of laboratory where the testing is performed. On January 24, 2003, the Centers for Disease Control and Prevention (CDC) and the Centers for Medicare & Medicaid Services (CMS) published final CLIA Quality Systems laboratory regulations that became effective April, 24, 2003.

Proficiency Testing (PT) is the testing of unknown samples sent to a laboratory by a CMS-approved PT Program. Most sets of PT samples are sent to participating laboratories three times per year. After testing the PT samples in the same manner as its patient specimens, the laboratory reports its sample results back to its PT Program. The Program grades the results using the CLIA grading criteria and sends the laboratory scores reflecting how accurately it performed the testing. CMS and accreditation organizations routinely monitor their laboratories’ performance.

About this User’s Guide

This CLIA Proficiency Testing User’s Guide is intended for use primarily by PT Program personnel. It consists of this introduction and the following three chapters:

- CLIA Proficiency Testing Specifications
  Describes PT Program file processing and presents file specifications.

- PT Upload
  Provides procedures for using the PT Upload component of the ASPEN Web CLIA Maintenance system to upload PT testing results and review the uploaded files as well as the Error and Statistics files created when the PT files are processed. Shows and describes PT Upload screens and dialog boxes.

- Terminology
  Defines relevant terms.
View this Document Online

You must have Adobe Reader installed to view this document online. You can download the latest version from http://www.adobe.com/products/acrobat/readstep2.html.

On any page, you can click the Increase (+) or Decrease (-) button in the toolbar to adjust the page magnification to your comfort level. Use the bookmarks in the left pane of Adobe Reader to locate and go (click the bookmark) to relevant information in this user guide.

![Figure 1: Bookmarks](image)

You can also click the Contents bookmark and then click links in the table of contents to go to relevant topics.

**TIP:** For best viewing quality in Adobe Reader, go to Edit | Preferences | Page Display (path may vary somewhat depending on version). Select the applicable Smooth Text option.

A link (cross-reference) to additional material appears as follows. Click the link to directly access the related information.

**More ...**

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View a Printed Copy of this Document

While it is designed to be used easily online, you can print this document if you prefer. If you print this user guide, refer to the Table of Contents to locate the information you need. Links (cross-references) to additional material in this document include page numbers; simply go to the indicated page.
Accessibility

This CLIA Proficiency Testing User’s Guide includes a number of 508-compliant accessibility features, as detailed below.

- Alternative text (alt text), which screen readers can read, is defined for all graphics.
- All graphics have captions.
- Information is not conveyed by means of color alone.
- Tables are generally not used for formatting, so text is accessible to screen readers.
- Windows keyboard shortcuts are included.
- Reading order is optimized, so content is read correctly by screen readers.
File Processing

PT Programs submit testing results for processing using the PT Upload application. The files are processed on Thursday evenings and output is available for download the following day. Files are submitted using fixed format text files that have a .TXT extension, and meet the specifications provided in this document. CDC gets a mirror copy of the input, output statistics, and output error files.

Due to the large volume of data, an archive process moves data that is five years or older to history files. The archive occurs in August.

The analyte table is updated when new analytes are added or existing ones removed. The current version is included in this document.

More ...

“PT Upload” on page 25

Submission Record Layouts

A PT Program submits files to be processed on a weekly basis. If multiple files are submitted, each file must contain a unique batch date in the header record. The submitted files must meet the following fixed format specifications, and will be processed if they pass all file submission edits.

Header Record

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Start</th>
<th>End</th>
<th>Length</th>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>RECORD.TYPE</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>A</td>
<td>Type of record – must be H for header record</td>
</tr>
<tr>
<td>BATCH.DT</td>
<td>2</td>
<td>9</td>
<td>8</td>
<td>N</td>
<td>Batch date in format CCYYMMDD</td>
</tr>
<tr>
<td>PROGRAM.NUM</td>
<td>10</td>
<td>12</td>
<td>3</td>
<td>N</td>
<td>PT Program identification number assigned by CMS. Left pad with 0's.</td>
</tr>
</tbody>
</table>
Enrollment Record

This record contains information on the enrollment of laboratories in your PT Program. The record must meet all Common and Enrollment edits before it will be processed.

One record should be sent for each test requiring PT that a laboratory performs in a given test year. The record length is 80 bytes and is a fixed length record.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Start</th>
<th>End</th>
<th>Length</th>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>RECORD.TYPE</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>A</td>
<td>Type of record – must be P for enrollment record.</td>
</tr>
<tr>
<td>PROV.NUM</td>
<td>2</td>
<td>11</td>
<td>10</td>
<td>A</td>
<td>CLIA number assigned to laboratory by CMS. Format is 10 characters with a D in the 3rd position.</td>
</tr>
<tr>
<td>TEST.YR</td>
<td>12</td>
<td>15</td>
<td>4</td>
<td>N</td>
<td>Calendar year in which the enrollment applies. Format is CCYY.</td>
</tr>
<tr>
<td>ANALYTE.ID</td>
<td>16</td>
<td>19</td>
<td>4</td>
<td>N</td>
<td>Analyte test identification number.</td>
</tr>
<tr>
<td>ACTION.TYPE</td>
<td>20</td>
<td>20</td>
<td>1</td>
<td>N</td>
<td>Type of action. (1=Delete, 2=Add, 3=Correction)</td>
</tr>
<tr>
<td>RECORD.SEQ.NUM</td>
<td>21</td>
<td>27</td>
<td>7</td>
<td>N</td>
<td>One up sequence number for each record in the batch.</td>
</tr>
<tr>
<td>EFF.DT</td>
<td>28</td>
<td>35</td>
<td>8</td>
<td>N</td>
<td>Date the laboratory enrolled with the PT Program. Format CCYYMMDD</td>
</tr>
<tr>
<td>SUBMSN.DT.1</td>
<td>36</td>
<td>43</td>
<td>8</td>
<td>N</td>
<td>PT score submission date for event number 1. Format CCYYMMDD. *</td>
</tr>
<tr>
<td>SUBMSN.DT.2</td>
<td>44</td>
<td>51</td>
<td>8</td>
<td>N</td>
<td>PT score submission date for event number 2. Format CCYYMMDD. *</td>
</tr>
<tr>
<td>SUBMSN.DT.3</td>
<td>52</td>
<td>59</td>
<td>8</td>
<td>N</td>
<td>PT score submission date for event number 3. Format CCYYMMDD. *</td>
</tr>
<tr>
<td>FILLER</td>
<td>60</td>
<td>80</td>
<td>21</td>
<td>A</td>
<td>Blanks to set record length to 80 characters.</td>
</tr>
</tbody>
</table>

*The PT score submission dates supplied in the enrollment record should be 60 days after the date when the PT Program is to receive the results back from the laboratory.*
**Score Record**

This record contains information on the scores your PT Program is reporting for a laboratory’s routine and non-routine testing. The record must meet all Common and Score edits before it will be processed.

There will be one record for each PT score (percent of correct challenges). The record length is 80 bytes and is a fixed length record.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Start</th>
<th>End</th>
<th>Length</th>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>RECORD.TYPE</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>A</td>
<td>Type of record – must be S for score record.</td>
</tr>
<tr>
<td>PROV.NUM</td>
<td>2</td>
<td>11</td>
<td>10</td>
<td>A</td>
<td>CLIA number assigned to laboratory by CMS. Format is 10 characters with a D in the 3rd position.</td>
</tr>
<tr>
<td>TEST.YR</td>
<td>12</td>
<td>15</td>
<td>4</td>
<td>N</td>
<td>Calendar year in which the score applies. Format is CCYY.</td>
</tr>
<tr>
<td>ANALYTE.ID</td>
<td>16</td>
<td>19</td>
<td>4</td>
<td>N</td>
<td>Analyte test identification number.</td>
</tr>
<tr>
<td>EVENT.NUM</td>
<td>20</td>
<td>20</td>
<td>1</td>
<td>N</td>
<td>Event number of the score (0=Non-routine, 1=Event #1, 2=Event #2, 3=Event #3).</td>
</tr>
<tr>
<td>ACTION.TYPE</td>
<td>21</td>
<td>21</td>
<td>1</td>
<td>N</td>
<td>Type of action code (1=Delete, 2=Add, 3=Correction).</td>
</tr>
<tr>
<td>RECORD.SEQ.NUM</td>
<td>22</td>
<td>28</td>
<td>7</td>
<td>N</td>
<td>One up sequence number for each record in the batch.</td>
</tr>
<tr>
<td>SUBMSN.DT</td>
<td>29</td>
<td>36</td>
<td>8</td>
<td>N</td>
<td>Submission date for this score, must correspond to the submission dates supplied in the enrollment record. Format CCYMMDD.</td>
</tr>
<tr>
<td>SCORE.NUM</td>
<td>37</td>
<td>39</td>
<td>3</td>
<td>N</td>
<td>Score received by the laboratory. Value from 0 to 100.</td>
</tr>
<tr>
<td>REASON.CD.1</td>
<td>40</td>
<td>41</td>
<td>2</td>
<td>N</td>
<td>Reason code provided for a score of 0 or 100. *</td>
</tr>
<tr>
<td>REASON.CD.2</td>
<td>42</td>
<td>43</td>
<td>2</td>
<td>N</td>
<td>Reason code provided for a score of 0 or 100. *</td>
</tr>
<tr>
<td>REASON.CD.3</td>
<td>44</td>
<td>45</td>
<td>2</td>
<td>N</td>
<td>Reason code provided for a score of 0 or 100. *</td>
</tr>
<tr>
<td>REASON.CD.4</td>
<td>46</td>
<td>47</td>
<td>2</td>
<td>N</td>
<td>Reason code provided for a score of 0 or 100. *</td>
</tr>
<tr>
<td>REASON.CD.5</td>
<td>48</td>
<td>49</td>
<td>2</td>
<td>N</td>
<td>Reason code provided for a score of 0 or 100. *</td>
</tr>
<tr>
<td>FILLER</td>
<td>50</td>
<td>80</td>
<td>31</td>
<td>A</td>
<td>Blanks to set record length to 80 characters.</td>
</tr>
</tbody>
</table>
### *Reason Codes:*

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Associated Score</th>
<th>Count as Failure</th>
<th>Count toward Group Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>Change to waived method</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>1</td>
<td>Failure to participate</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>2</td>
<td>Failure to participate, exclusion requested</td>
<td>No</td>
<td>N/A (100%)</td>
<td>Yes</td>
</tr>
<tr>
<td>3</td>
<td>Untimely return of results</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>4</td>
<td>Ungradable</td>
<td>No</td>
<td>N/A (100%)</td>
<td>Yes</td>
</tr>
<tr>
<td>5</td>
<td>Test not performed, would refer</td>
<td>No</td>
<td>N/A (100%)</td>
<td>Yes</td>
</tr>
<tr>
<td>6</td>
<td>Result variance</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>7</td>
<td>Method/Instrument not stated</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>8</td>
<td>Multiple survey averaged score</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>9</td>
<td>Test not performed, not offered</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>10</td>
<td>Natural disaster/emergency - excused participation</td>
<td>No</td>
<td>N/A (100%)</td>
<td>Yes</td>
</tr>
</tbody>
</table>

### Trailer Record

Each submitted file must contain a trailer record to ensure a complete file was transmitted.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Start</th>
<th>End</th>
<th>Length</th>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>RECORD.TYPE</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>A</td>
<td>Type of record – must be T for trailer record.</td>
</tr>
<tr>
<td>TRANS.COUNT</td>
<td>2</td>
<td>8</td>
<td>7</td>
<td>N</td>
<td>Number of records in the batch file including the header and trailer records.</td>
</tr>
</tbody>
</table>
Response Record Layouts

PT Programs submit PT scores weekly via the PT Upload application. Three types of response records are produced when the files are processed:

- Statistics
- Plug Hole
- Error

They are described in the following sections.

More ...

"PT Upload" on page 25

Statistics Record (Informational)

This file will be produced by the PT upload process and will be available for download on Friday via the PT Upload application. It should be reviewed by the PT Program after the data has been loaded into the CMS/PT system. Record length will be 80 bytes. The message will give summary statistics, such as total number of ENROLLMENT or SCORES records read, written, etc.

The first line is the header, which is formatted as follows:

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Start</th>
<th>End</th>
<th>Length</th>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spaces</td>
<td>1</td>
<td>8</td>
<td>8</td>
<td></td>
<td>Spaces</td>
</tr>
<tr>
<td>H</td>
<td>9</td>
<td>9</td>
<td>1</td>
<td>A</td>
<td>H</td>
</tr>
<tr>
<td>Batch Date</td>
<td>10</td>
<td>17</td>
<td>13</td>
<td>N</td>
<td>Date in format YYYYYMMDD.</td>
</tr>
<tr>
<td>PT Program</td>
<td>18</td>
<td>20</td>
<td>3</td>
<td></td>
<td>PT Program</td>
</tr>
</tbody>
</table>

The following lines contain the record count and description, formatted as follows:

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Start</th>
<th>End</th>
<th>Length</th>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>STAT-TOTAL-RECORDS</td>
<td>1</td>
<td>7</td>
<td>7</td>
<td>N</td>
<td>Number of Records Processed (left padded with zeros).</td>
</tr>
<tr>
<td>FILLER</td>
<td>8</td>
<td>8</td>
<td>1</td>
<td></td>
<td>Filler (space).</td>
</tr>
<tr>
<td>STAT-MESSAGE</td>
<td>9</td>
<td>80</td>
<td>72</td>
<td>A</td>
<td>Description of Statistics.*</td>
</tr>
</tbody>
</table>
*Description of Statistics:

- TOTAL PROFICIENCY TESTING RECORDS IN THIS UPDATE
- TOTAL ERROR MESSAGES GENERATED FOR THIS UPDATE
- TOTAL WARNING MESSAGES GENERATED FOR THIS UPDATE
- TOTAL ENROLLMENT TRANSACTIONS PROCESSED
- TOTAL ENROLLMENT RECORDS ADDED
- TOTAL ENROLLMENT RECORDS CORRECTED
- TOTAL ENROLLMENT RECORDS DELETED
- TOTAL ENROLLMENT TRANSACTIONS REJECTED
- TOTAL SCORES TRANSACTIONS PROCESSED
- TOTAL SCORES RECORDS ADDED
- TOTAL SCORES RECORDS CORRECTED
- TOTAL SCORES RECORDS DELETED
- TOTAL SCORES TRANSACTIONS REJECTED

**Example Statistics File**

```
H20100405001
0047398 RECORDS READ IN
0000000 TOTAL ERROR MESSAGES GENERATED FOR THIS UPDATE
0000000 TOTAL WARNING MESSAGES GENERATED FOR THIS UPDATE
0023698 ENROLL TRANSACTIONS PROCESSED
0023698 SCORE TRANSACTIONS PROCESSED
0000000 TRANSACTION RECORDS REJECTED
0023650 ENROLLMENT RECORDS ADDED
0000000 ENROLLMENT RECORDS CORRECTED
0000000 ENROLLMENT RECORDS DELETED
0023698 ENROLLMENT TRANSACTIONS PROCESSED
000048 ENROLLMENT TRANSACTIONS REJECTED
0023650 SCORES RECORDS ADDED
0000000 SCORES RECORDS CORRECTED
0000000 SCORES RECORDS DELETED
0023698 SCORES TRANSACTIONS PROCESSED
000048 SCORES TRANSACTIONS REJECTED
```
Plug Hole Information

For each event, there will be a section to report on each of the three exceptions. The sections will be titled as follows:

- SCORE WITH NO MATCHING ENROLLMENT (Informational)
- ENROLLMENT WITH BLANK SCORE SUBMISSION DATE (Warning)
- ENROLLMENT WITH NO SCORE (Error)

For each exception the following is displayed (with a single space between each field):

- PT Program # (pt_pgm_id)
- CLIA number (prvdr_num)
- Analyte # (analyte_id)
- PT Score Submission Date for the current event in YYYYMMDD format
- Test Year (test_yr_num)
- Event # (event_num)

The following Summary information is calculated and written at the end of each event being reported:

- ORG 3 digit PT Program #.
- ENRL Total number of Enrollment or Score records for the event being reported.
- MATCH Total number of Enrollment records that have matching score records for the event being reported on PLUS number of active Score records (i.e. have a matching Enrollment record).
- NO MATCH Total number of Enrollment records that do not have a matching Score record for the event being reported PLUS number of "R"emoved Score records (i.e., do not have a matching Enrollment record).

= Divide NO MATCH by MATCH to get a percentage. Shown to two levels of precision.

The formatting is the same as the legacy Plug Hole Report where there is a section for each of the three events ordered by the Provider Number.
Example Plug Hole Report

PROCESSING PLUGHOLE ON 02/19/2013

PT MISSING SCORES FOR TEST YEAR 2012 SECOND EVENT COMPARE
SCORE WITH NO MATCHING ENROLLMENT  (Informational)
013 18d0325208 0285 20120814 2012 2
013 52d0923361 0115 20120805 2012 2

ENROLLMENT WITH BLANK SCORE SUBMISSION DATE (Warning)
ENROLLMENT WITH NO SCORE  (Error)

ORG = 013 ENRL = 00016600 MATCH = 00016600 NO MATCH = 00000000 = 0.00%

PT MISSING SCORES FOR TEST YEAR 2012 THIRD EVENT COMPARE
SCORE WITH NO MATCHING ENROLLMENT  (Informational)

ENROLLMENT WITH BLANK SCORE SUBMISSION DATE (Warning)
ENROLLMENT WITH NO SCORE  (Error)

013 15d0360690 0865 20121216 2012 3
013 49d0223176 0615 20121127 2012 3
013 52d1075632 0405 20121127 2012 3

ORG = 013 ENRL = 00016644 MATCH = 00016607 NO MATCH = 00000003 = 0.02%

PT MISSING SCORES FOR TEST YEAR 2013 FIRST EVENT COMPARE
SCORE WITH NO MATCHING ENROLLMENT  (Informational)
ENROLLMENT WITH BLANK SCORE SUBMISSION DATE (Warning)

ENROLLMENT WITH NO SCORE  (Error)
ORG = 013 ENRL = 00000000 MATCH = 00000000 NO MATCH = 00000000 = 0.00%
Error Record

This file is written by the PT upload process when an error is detected in a record transmitted by a PT Program. Record length is 80 bytes. The message describes the detected error.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Start</th>
<th>End</th>
<th>Length</th>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>EDIT NUMBER</td>
<td>1</td>
<td>5</td>
<td>5</td>
<td>N</td>
<td>Record batch sequence # provided by PT Program</td>
</tr>
<tr>
<td>RECORD SEQ NUM</td>
<td>7</td>
<td>13</td>
<td>7</td>
<td>N</td>
<td>(padded with zeros)</td>
</tr>
<tr>
<td>FIELD NAME</td>
<td>15</td>
<td>34</td>
<td>20</td>
<td>A</td>
<td>Field name</td>
</tr>
<tr>
<td>ERR MESSAGE</td>
<td>36</td>
<td>80</td>
<td>45</td>
<td>A</td>
<td>Error message</td>
</tr>
</tbody>
</table>

If the file is processed (i.e., no file submission errors), the following totals are displayed at the end of the file:

- TOTAL PROFICIENCY TESTING RECORDS IN THIS UPDATE
  Total number of enrollment and score records processed (read in).
- TOTAL ERROR MESSAGES GENERATED FOR THIS UPDATE
  Total number of enrollment and score records that were not processed due to edit errors.
- TOTAL WARNING MESSAGES GENERATED FOR THIS UPDATE
  Total number of enrollment and score records that were processed, but that produced an edit warning message (warning messages will display in the error file).

Example Error File

P.T. # 001 BATCH DATE = H20100405
ERROR & WARNING SYNOPSIS FOR THIS UPDATE AS OF 04/12/2010

E-102 0001047 EFCTV_DTThe enrollment effective date must be on or after the date when PT Program was approved for testing (mm/dd/yyyy).

... TOTAL PROFICIENCY TESTING RECORDS IN THIS UPDATE = 0047398
TOTAL ERROR MESSAGES GENERATED FOR THIS UPDATE = 0000096
TOTAL WARNING MESSAGES GENERATED FOR THIS UPDATE = 0000000
Batch Edits

This section covers the edits enforced when processing a submitted file. If any file submission errors are found, the file is not processed. Users will be notified of all file submission errors at the time the file is submitted using the PT Upload application. Other errors will be written to the error file during processing and will be available for download on Friday.

File Submission Edits

<table>
<thead>
<tr>
<th>Edit #</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>H-100</td>
<td>First record in the submitted file is not a valid header record.</td>
</tr>
<tr>
<td>H-101</td>
<td>Batch date CCYYMMDD cannot be submitted, must be after CCYYMMDD and a date that has not already been submitted.</td>
</tr>
<tr>
<td>H-102</td>
<td>Invalid PT Program ID in the header record.</td>
</tr>
<tr>
<td>H-103</td>
<td>Current user does not have permission to load files for PT Program #X.</td>
</tr>
<tr>
<td>H-104</td>
<td>Batch date submitted in the header record (CCYYMMDD) is invalid.</td>
</tr>
<tr>
<td>H-105</td>
<td>Batch date cannot be a future date.</td>
</tr>
<tr>
<td>H-106</td>
<td>A file with batch date has already been submitted and processed.</td>
</tr>
<tr>
<td>H-107</td>
<td>No trailer record, file not accepted.</td>
</tr>
<tr>
<td>H-108</td>
<td>Trailer record contains an invalid record count, value must be numeric and match the number of transactions sent in the file. (Note – in M204 this is a warning but decision made to make this a hard edit in Aspen and not process the file if the trailer record is incomplete).</td>
</tr>
<tr>
<td>H-109</td>
<td>More than one header record included in the file.</td>
</tr>
</tbody>
</table>

Common Edits

These edits apply to both enrollment and score records.

<table>
<thead>
<tr>
<th>Edit #</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>C-100</td>
<td>Record type must be present and be a valid type; H(Header), S(Score), P(Enrollment), T(Trailer).</td>
</tr>
<tr>
<td>C-101</td>
<td>Provider number is a required field.</td>
</tr>
<tr>
<td>C-102</td>
<td>Provider number X is not a valid CLIA ID.</td>
</tr>
<tr>
<td>C-103</td>
<td>The action type field must be a valid numeric value.</td>
</tr>
<tr>
<td>C-104</td>
<td>The sequence field must be a valid numeric value.</td>
</tr>
</tbody>
</table>
### Batch Edits

<table>
<thead>
<tr>
<th>Edit #</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>C-105</td>
<td>The test year field must be a valid year in CCYY format.</td>
</tr>
<tr>
<td>C-106</td>
<td>Test year cannot be before CCYY &lt;cut off year&gt;.</td>
</tr>
<tr>
<td>C-107</td>
<td>The test ID must be a valid non-group analyte value.</td>
</tr>
<tr>
<td>C-108</td>
<td>The test ID is not valid for the year CCYY and Program 000.</td>
</tr>
<tr>
<td>C-109</td>
<td>The CLIA laboratory number #D#### is not valid.</td>
</tr>
</tbody>
</table>

### Enrollment Edits

<table>
<thead>
<tr>
<th>Edit #</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>E-100</td>
<td>The enrollment effective date is not a valid date.</td>
</tr>
<tr>
<td>E-101</td>
<td>The enrollment effective date must be within the test year.</td>
</tr>
<tr>
<td>E-102</td>
<td>The enrollment effective date must be on or after the date when PT Program was approved for testing (mm/dd/yyyy).</td>
</tr>
<tr>
<td>E-103</td>
<td>The enrollment effective date cannot be after the expiration date of the PT Program (mm/dd/yyyy).</td>
</tr>
<tr>
<td>E-104</td>
<td>The enrollment effective date is required.</td>
</tr>
<tr>
<td>E-105</td>
<td>At least one PT Score Submission date is required.</td>
</tr>
<tr>
<td>E-106</td>
<td>PT Score Submission Date 1 is an invalid date.</td>
</tr>
<tr>
<td>E-107</td>
<td>PT Score Submission Date 1 cannot be before the enrollment effective date of mm/dd/yyyy.</td>
</tr>
<tr>
<td>E-108</td>
<td>PT Score Submission Date 1 must be the same year as the test year (CCYY).</td>
</tr>
<tr>
<td>E-109</td>
<td>PT Score Submission Date 2 is an invalid date.</td>
</tr>
<tr>
<td>E-110</td>
<td>PT Score Submission Date 2 cannot be before the enrollment effective date of mm/dd/yyyy.</td>
</tr>
<tr>
<td>E-111</td>
<td>PT Score Submission Date 3 is an invalid date.</td>
</tr>
<tr>
<td>E-112</td>
<td>PT Score Submission Date 3 cannot be before the enrollment effective date of mm/dd/yyyy.</td>
</tr>
<tr>
<td>E-113</td>
<td>PT Score Submission Date 2 for analyte ### cannot be greater than test year (CCYY) plus one.</td>
</tr>
<tr>
<td>E-114</td>
<td>PT Score Submission Date 2 must be the same year as the test year (CCYY).</td>
</tr>
<tr>
<td>E-115</td>
<td>PT Score Submission Date 3 cannot be greater than test year (CCYY) plus one.</td>
</tr>
<tr>
<td>E-116</td>
<td>PT Score Submission Date 2 (CCYYMMDD) must be greater than PT Score Submission Date 1 (CCYYMMDD).</td>
</tr>
<tr>
<td>E-117</td>
<td>PT Score Submission Date 3 (CCYYMMDD) must be greater than PT Score Submission Date 2 (CCYYMMDD).</td>
</tr>
<tr>
<td>E-118</td>
<td>No enrollment record found to delete.</td>
</tr>
</tbody>
</table>
Score Edits

<table>
<thead>
<tr>
<th>Edit #</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>S-100</td>
<td>Event number is required and must be a valid value between 0 and 3.</td>
</tr>
<tr>
<td>S-101</td>
<td>The PT Score Submission Date is required and must be a valid date.</td>
</tr>
<tr>
<td>S-102</td>
<td>The score is required and must be a valid value between 0 and 100.</td>
</tr>
<tr>
<td>S-103</td>
<td>Reason code of XXX requires that the score be 0.</td>
</tr>
<tr>
<td>S-104</td>
<td>The PT Score Submission Date cannot be greater than the test year (CCYY) plus one.</td>
</tr>
<tr>
<td>S-105</td>
<td>The PT Score Submission Date must be equal to the test year (CCYY).</td>
</tr>
<tr>
<td>S-106</td>
<td>No enrollment record found for Lab ##D#####, PT Program ###, Analyte ### and Test Year CCYY.</td>
</tr>
<tr>
<td>S-107</td>
<td>The non-routine score has a PT Score Submission Date CCYYMMDD that matches an enrollment record.</td>
</tr>
<tr>
<td>S-108</td>
<td>Warning: No score record found to correct, system will add a score record for this lab.</td>
</tr>
<tr>
<td>S-109</td>
<td>No score record found to delete.</td>
</tr>
<tr>
<td>S-110</td>
<td>Score record already exists, no action taken.</td>
</tr>
<tr>
<td>S-111</td>
<td>Warning: The score information for this lab has already been reported by another PT Program.</td>
</tr>
<tr>
<td>S-112</td>
<td>Score submission date does not match the corresponding score submission date on the enrollment record.</td>
</tr>
<tr>
<td>S-113</td>
<td>Reason Code &lt;reason code&gt; is not valid.</td>
</tr>
</tbody>
</table>

Analytes

<table>
<thead>
<tr>
<th>Group ID</th>
<th>Analyte ID</th>
<th>Description</th>
<th>Minimum Passing Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td>0005</td>
<td>Bacteriology</td>
<td>80</td>
</tr>
<tr>
<td>N/A</td>
<td>0015</td>
<td>Mycobacteriology</td>
<td>80</td>
</tr>
<tr>
<td>N/A</td>
<td>0025</td>
<td>Mycology</td>
<td>80</td>
</tr>
<tr>
<td>N/A</td>
<td>0035</td>
<td>Parasitology</td>
<td>80</td>
</tr>
<tr>
<td>N/A</td>
<td>0045</td>
<td>Virology</td>
<td>80</td>
</tr>
<tr>
<td>Group ID</td>
<td>Analyte ID</td>
<td>Description</td>
<td>Minimum Passing Score</td>
</tr>
<tr>
<td>----------</td>
<td>------------</td>
<td>--------------------------------------------------</td>
<td>-----------------------</td>
</tr>
<tr>
<td>N/A</td>
<td>0055</td>
<td>Syphilis Serology</td>
<td>80</td>
</tr>
<tr>
<td>0065</td>
<td></td>
<td>General Immunology</td>
<td>80</td>
</tr>
<tr>
<td>0065</td>
<td>0075</td>
<td>Alpha-1 Antitrypsin</td>
<td>80</td>
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<tr>
<td>0065</td>
<td>0085</td>
<td>Alpha-Fetoprotein (tumor marker)</td>
<td>80</td>
</tr>
<tr>
<td>0065</td>
<td>0095</td>
<td>Antinuclear Antibody</td>
<td>80</td>
</tr>
<tr>
<td>0065</td>
<td>0105</td>
<td>Antistreptolysin O</td>
<td>80</td>
</tr>
<tr>
<td>0065</td>
<td>0115</td>
<td>Anti-Human Immunodeficiency Virus (HIV)</td>
<td>80</td>
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<tr>
<td>0065</td>
<td>0125</td>
<td>Complement C3</td>
<td>80</td>
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<tr>
<td>0065</td>
<td>0135</td>
<td>Complement C4</td>
<td>80</td>
</tr>
<tr>
<td>0065</td>
<td>0145</td>
<td>Hepatitis marker (HBs Ag)</td>
<td>80</td>
</tr>
<tr>
<td>0065</td>
<td>0155</td>
<td>Hepatitis marker (Anti-HBc)</td>
<td>80</td>
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<tr>
<td>0065</td>
<td>0165</td>
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<td>0175</td>
<td>Ig A</td>
<td>80</td>
</tr>
<tr>
<td>0065</td>
<td>0185</td>
<td>Ig G</td>
<td>80</td>
</tr>
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<td>Ig E</td>
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<tr>
<td>0065</td>
<td>0205</td>
<td>Ig M</td>
<td>80</td>
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<tr>
<td>0065</td>
<td>0215</td>
<td>Infectious Mononucleosis</td>
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<tr>
<td>0065</td>
<td>0225</td>
<td>Rheumatoid Factor</td>
<td>80</td>
</tr>
<tr>
<td>0065</td>
<td>0235</td>
<td>Rubella</td>
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<tr>
<td>0245</td>
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<td>Routine Chemistry</td>
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</tr>
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<td>0255</td>
<td>Alanine Aminotransferase</td>
<td>80</td>
</tr>
<tr>
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<td>0265</td>
<td>Albumin</td>
<td>80</td>
</tr>
<tr>
<td>0245</td>
<td>0275</td>
<td>Alkaline Phosphatase</td>
<td>80</td>
</tr>
<tr>
<td>0245</td>
<td>0285</td>
<td>Amylase</td>
<td>80</td>
</tr>
<tr>
<td>0245</td>
<td>0295</td>
<td>Aspartate Aminotransferase</td>
<td>80</td>
</tr>
<tr>
<td>0245</td>
<td>0305</td>
<td>Bilirubin, Total</td>
<td>80</td>
</tr>
<tr>
<td>0245</td>
<td>0315</td>
<td>Blood Gas (pH)</td>
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<td>0325</td>
<td>Blood Gas (pO2)</td>
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</tr>
<tr>
<td>0245</td>
<td>0335</td>
<td>Blood Gas (pCO2)</td>
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<tr>
<td>0245</td>
<td>0345</td>
<td>Calcium, Total</td>
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<tr>
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<td>0355</td>
<td>Chloride</td>
<td>80</td>
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<td>0245</td>
<td>0365</td>
<td>Cholesterol, Total</td>
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<tr>
<td>0245</td>
<td>0375</td>
<td>Cholesterol, High Density Lipoprotein</td>
<td>80</td>
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<tr>
<td>0245</td>
<td>0385</td>
<td>Creatine Kinase, Total</td>
<td>80</td>
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<tr>
<td>0245</td>
<td>0395</td>
<td>Creatine Kinase, Isoenzyme</td>
<td>80</td>
</tr>
<tr>
<td>0245</td>
<td>0405</td>
<td>Creatinine</td>
<td>80</td>
</tr>
<tr>
<td>0245</td>
<td>0415</td>
<td>Glucose (excluding measurements on device cleared by FDA for home use</td>
<td>80</td>
</tr>
<tr>
<td>0245</td>
<td>0425</td>
<td>Iron, Total</td>
<td>80</td>
</tr>
<tr>
<td>Group ID</td>
<td>Analyte ID</td>
<td>Description</td>
<td>Minimum Passing Score</td>
</tr>
<tr>
<td>---------</td>
<td>------------</td>
<td>--------------------------------------------------</td>
<td>-----------------------</td>
</tr>
<tr>
<td>0245</td>
<td>0435</td>
<td>Lactate Dehydrogenase (LDH)</td>
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<td>0245</td>
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<td>LDH Isoenzyme</td>
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<td>0455</td>
<td>Magnesium</td>
<td>80</td>
</tr>
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<td>0465</td>
<td>Potassium</td>
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<td>Sodium</td>
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<td>Total Protein</td>
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</tr>
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<td>0495</td>
<td>Triglycerides</td>
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<td>0505</td>
<td>Urea Nitrogen</td>
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<td>Uric Acid</td>
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<td>0535</td>
<td>Cortisol</td>
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<td>0545</td>
<td>Free Thyroxine</td>
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</tr>
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<td>0555</td>
<td>Human Chorionic Gonadotropin</td>
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<td>0525</td>
<td>0565</td>
<td>T3 Uptake</td>
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</tr>
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<td>0525</td>
<td>0575</td>
<td>Triiodothyronine</td>
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</tr>
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<td>0525</td>
<td>0585</td>
<td>Thyroid Stimulating Hormone</td>
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<td>0595</td>
<td>Thyroxine</td>
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<td>0615</td>
<td>Alcohol (Blood)</td>
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</tr>
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<td>Blood Lead</td>
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<tr>
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<td>0635</td>
<td>Carbamazepine</td>
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<td>0645</td>
<td>Digoxin</td>
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<td>0605</td>
<td>0655</td>
<td>Ethosuximide</td>
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<td>Gentamicin</td>
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<td>Phenobarbital</td>
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<td>0695</td>
<td>Phenytoin</td>
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<tr>
<td>0605</td>
<td>0705</td>
<td>Primidone</td>
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</tr>
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<td>0605</td>
<td>0715</td>
<td>Procainamide (and Metabolite)</td>
<td>80</td>
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<td>0605</td>
<td>0725</td>
<td>Quinidine</td>
<td>80</td>
</tr>
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<td>0605</td>
<td>0735</td>
<td>Theophylline</td>
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</tr>
<tr>
<td>0605</td>
<td>0745</td>
<td>Tobramycin</td>
<td>80</td>
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<td>0605</td>
<td>0755</td>
<td>Valproic Acid</td>
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<td>0760</td>
<td></td>
<td>Hematology</td>
<td>80</td>
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<tr>
<td>0760</td>
<td>0765</td>
<td>Cell Ident. Or White Blood Cell Differential</td>
<td>80</td>
</tr>
<tr>
<td>0760</td>
<td>0775</td>
<td>Erythrocyte Count</td>
<td>80</td>
</tr>
<tr>
<td>0760</td>
<td>0785</td>
<td>Hematocrit (excluding Spun Microhematocrit)</td>
<td>80</td>
</tr>
<tr>
<td>0760</td>
<td>0795</td>
<td>Hemoglobin</td>
<td>80</td>
</tr>
<tr>
<td>0760</td>
<td>0805</td>
<td>Leukocyte Count</td>
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</tr>
<tr>
<td>Group ID</td>
<td>Analyte ID</td>
<td>Description</td>
<td>Minimum Passing Score</td>
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<td>------------------------------------</td>
<td>-----------------------</td>
</tr>
<tr>
<td>0760</td>
<td>0815</td>
<td>Platelet Count</td>
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<td>0825</td>
<td>Fibrinogen</td>
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</tr>
<tr>
<td>0760</td>
<td>0835</td>
<td>Partial Thromboplastin Time</td>
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</tr>
<tr>
<td>0760</td>
<td>0845</td>
<td>Prothrombin Time</td>
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</tr>
<tr>
<td>N/A</td>
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<td>Unexpected Antibody Detection</td>
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</tr>
<tr>
<td>0860</td>
<td>0855</td>
<td>ABO/RHO</td>
<td>100</td>
</tr>
<tr>
<td>0860</td>
<td>0865</td>
<td>ABO Group</td>
<td>100</td>
</tr>
<tr>
<td>0860</td>
<td>0875</td>
<td>D (RHO) Typing</td>
<td>100</td>
</tr>
<tr>
<td>N/A</td>
<td>0885</td>
<td>Antibody Identification</td>
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</tr>
<tr>
<td>N/A</td>
<td>0895</td>
<td>Compatibility Testing</td>
<td>100</td>
</tr>
</tbody>
</table>

**Help Desk**

The Help Desk can assist you with any issue you have related to CLIA Proficiency Testing specifications, or issues you may encounter in production.

**Call:** 888-477-7876  
**Email:** help@qtso.com  
**Hours:** 6AM to 6PM MST (leave a message off hours)
The PT Upload application features are available as part of the ASPEN Web CLIA Maintenance system. You can use PT Upload to:

- Upload PT testing results to CMS’s national database
- View a list of uploaded PT files
- Review individual uploaded PT files
- View the Error and Statistics files generated when the PT files are processed

Accessing PT Upload

To open PT Upload:

1. Log into **ASPEN Web**.

Upon successful login to ASPEN Web, the **Select Application** page is presented.

![Figure 2: ASPEN Web Select Application page](image)
2 Select the **CLIA Maintenance System** option to open the **CLIA Maintenance Select Application** page.

![CLIA Maintenance Select Application page](image1)

*Figure 3: CLIA Maintenance Select Application page*

3 Select the **PT File Upload** option to open the **PT Upload** page.

![PT Upload page](image2)

*Figure 4: PT Upload page*
PT Upload Navigation

Each page of the PT Upload system includes a menu bar that provides access to the features of the PT Upload system.

<table>
<thead>
<tr>
<th>Link Name</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Home</td>
<td>Returns to the CLIA Maintenance Select Application page.</td>
</tr>
<tr>
<td>File Upload</td>
<td>Opens the PT Upload - File Upload page to upload a PT file.</td>
</tr>
<tr>
<td>File Download</td>
<td>Opens the PT Upload - File Download page to download report files.</td>
</tr>
<tr>
<td>Help</td>
<td>Opens the PT Upload - Help page.</td>
</tr>
<tr>
<td>Logout</td>
<td>Logs user out of ASPEN Web.</td>
</tr>
</tbody>
</table>

If you wish to navigate the PT Upload system without a mouse, the following keyboard shortcut keys are available to bring focus to items on the PT Upload system menu bar:

<table>
<thead>
<tr>
<th>Shortcut Key</th>
<th>To Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alt + 1</td>
<td>CLIA Maintenance Select Application page (Home)</td>
</tr>
<tr>
<td>Alt + u</td>
<td>File Upload page</td>
</tr>
<tr>
<td>Alt + x</td>
<td>File Download page</td>
</tr>
<tr>
<td>Alt + p</td>
<td>Help page</td>
</tr>
<tr>
<td>Alt + o</td>
<td>Logout</td>
</tr>
</tbody>
</table>

With focus on an item, press the Enter key to access the associated page or activate the function.

When utilizing the keyboard to navigate the system, use **Alt + n** if you wish to bypass the PT Upload system menu bar and go directly to the first field on a page.

**Note:** Shortcut keys utilizing numbers function only with the numeric keys along the top of the keyboard. They do not function with the keys on the 10-key number pad of the keyboard.
### File Upload

The PT Upload – File Upload page is presented when you initially access the PT Upload system.

![PT Upload - File Upload page](image)

Figure 6: PT Upload - File Upload page

The File Upload page includes the following elements:

- Instructions: "Select the PT file …"
- File Name, read-only text field
- Browse… button
- PT Program, drop-down list (optional)
  - This field is displayed only for those users with access to multiple PT Programs.
- Upload button

The following keyboard shortcut keys are available to bring focus to items on the PT Upload - File Upload page:

<table>
<thead>
<tr>
<th>Shortcut Key</th>
<th>To Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alt + 2</td>
<td>File Name field</td>
</tr>
<tr>
<td>Alt + 3</td>
<td>PT Program list</td>
</tr>
</tbody>
</table>

**Note:** Shortcut keys utilizing numbers function only with the numeric keys along the top of the keyboard. They do not function with the keys on the 10-key number pad of the keyboard.

**To upload a PT file:**

1. Open the **PT Upload - File Upload** page.
   - It opens by default when you access PT Upload.
   - From another page within PT Upload, select the **File Upload** option from the menu bar.
2. Select the **Browse** button. A Windows **Choose File to Upload** (or similar) dialog box opens.

![Choose File to Upload dialog box](image)

**Figure 7: Choose File to Upload dialog box**

**Note:** You can only upload text (.txt) files with the PT Upload function.

3. Navigate to the folder in which the PT file you wish to upload is located.

4. Select (highlight) the file name and select the **Open** button. The path and name of the PT file you selected now appears in the File Name field on the PT Upload - File Upload page.

**Note:** The name of a PT file is limited to 35 characters.

![PT Upload - File Upload Page with file selected](image)

**Figure 8: PT Upload - File Upload Page with file selected**

5. If applicable, select the appropriate **PT Program**.
6 Select the **Upload** button.

If you attempt to upload a PT file with the batch date of a file that has already been uploaded but not processed, you will receive a message.

![Figure 9: File already uploaded message](image)

7 Select the **Overwrite** button to proceed with the upload, or the **Cancel** button to terminate the upload request.

While the PT file is uploading, the system displays a notification.

![Figure 10: Upload in progress message](image)

The system informs you when the upload is successfully completed.

![Figure 11: Successful upload message](image)

**Note:** Uploaded PT files are processed on a weekly basis and delivered to CDC, whether successfully processed or not.
File Download

The PT Upload application includes functionality accessed through the File Download page to:

- View a list of uploaded PT files
- Review individual uploaded PT files
- Download Error and Statistics files created when uploaded PT files are processed.

The File Download page displays, in tabular format, one record (row) for each uploaded PT file. By default, the File Download page lists the PT files that were uploaded in the last seven days in descending Submission Date order (most recent first).

The table displaying the uploaded files has the following column headings:

- Submission Date – date and time the file was uploaded
- File Name – name of the uploaded file
- PT Program – PT Program Code and Name
- Batch Date – batch date in header of the uploaded PT file
- Status – processing status of the uploaded PT file:
  - File Load Failed – Errors were encountered in the uploaded PT file that prevented a successful upload. An Error file identifying the error(s) is available for download.
  - File Validation Succeeded – No initial validation errors were detected by the upload process. The PT file was uploaded successfully and is ready to be processed. You can recall the file if necessary.

Figure 12: PT Upload - File Download page

The File Download page displays, in tabular format, one record (row) for each uploaded PT file. By default, the File Download page lists the PT files that were uploaded in the last seven days in descending Submission Date order (most recent first).

The table displaying the uploaded files has the following column headings:

- Submission Date – date and time the file was uploaded
- File Name – name of the uploaded file
- PT Program – PT Program Code and Name
- Batch Date – batch date in header of the uploaded PT file
- Status – processing status of the uploaded PT file:
  - File Load Failed – Errors were encountered in the uploaded PT file that prevented a successful upload. An Error file identifying the error(s) is available for download.
  - File Validation Succeeded – No initial validation errors were detected by the upload process. The PT file was uploaded successfully and is ready to be processed. You can recall the file if necessary.
• File Validation Failed – Initial validation errors were encountered by the upload process. An Error file identifying the error(s) is available for download.

• File Processed – The CLIA PT system processed the uploaded PT file. A Statistics file and, if errors were encountered, an Error file may be available for download.

• File Recalled – The uploaded file was recalled. The CLIA PT system will not process this file.

• Submission File Download – contains a Download button you can use to download and review the associated uploaded PT file.

• Statistics File Download – contains a Download button you can use to download and view the Statistics file associated with the uploaded PT file. The Statistics file is available only after the uploaded PT file is processed by the CLIA PT system.

• Error File Download – contains a Download button you can use to download and view, if available, the Error file associated with the uploaded PT file. The Error file may detail upload errors or processing errors.

• Recall File – contains a Recall button you can use to recall the associated uploaded PT file if it has not yet been processed by the CLIA PT system.

The File Download page includes the following elements you can use to specify alternate criteria for selecting the uploaded PT files to list:

- To Date (mm/dd/yyyy), text field
- Prior Days, drop-down list
  Options are 0, 1, 2, 5, 10, and 30.
- Refresh button

The To Date field value defaults to the current date and the Prior Days field value initially defaults to 7. With these criteria, the file(s) you uploaded today and for the last 7 days display.

**To change PT file listing criteria:**

1. Change the To Date and/or the Prior Days field values to limit or expand the list.

2. Select the Refresh button to perform the new query and update the list of uploaded PT files.
Example

To view a list of uploaded files for yesterday and today, leave the current date in the To Date field and change the Prior Days field value to 1. If the Prior Days field value is 0, only PT files uploaded today display.

The following keyboard shortcut keys are available to bring focus to items on the PT Upload - File Download page:

<table>
<thead>
<tr>
<th>Shortcut Key</th>
<th>To Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alt + 2</td>
<td>To Date field</td>
</tr>
<tr>
<td>Alt + 3</td>
<td>Prior Days list</td>
</tr>
<tr>
<td>Alt + s</td>
<td>Refresh button</td>
</tr>
</tbody>
</table>

Note: Shortcut keys utilizing numbers function only with the numeric keys along the top of the keyboard. They do not function with the keys on the 10-key number pad of the keyboard.

To view an uploaded PT file, or an associated Statistics or Error file:

1. On the PT Upload menu bar, select the File Download option to open the PT Upload - File Download page.

2. To open an uploaded PT file, a Statistics file, or an Error file, select the Download button in (respectively) the Submission File Download, Statistics File Download, or Error File Download column for the PT file of interest.

A File Download dialog box opens. In the example shown below, a Statistics file was selected for download.

![File Download dialog box](image-url)

Figure 13: File Download dialog box
3 Select the **Open** button.

The file (a Statistics file in this case) opens in your computer’s default text editor.

```
2012 SECOND EVENT COMPARE
SCORE WITH NO MATCHING ENROLLMENT (Informational)
ENROLLMENT WITH BLANK SCORE SUBMISSION DATE (Warning)
ENROLLMENT WITH NO SCORE (Error)

2012 THIRD EVENT COMPARE
SCORE WITH NO MATCHING ENROLLMENT (Informational)
ENROLLMENT WITH BLANK SCORE SUBMISSION DATE (Warning)
ENROLLMENT WITH NO SCORE (Error)

2013 FIRST EVENT COMPARE
SCORE WITH NO MATCHING ENROLLMENT (Informational)
ENROLLMENT WITH BLANK SCORE SUBMISSION DATE (Warning)
ENROLLMENT WITH NO SCORE (Error)

2013 SECOND EVENT COMPARE
SCORE WITH NO MATCHING ENROLLMENT (Informational)
ENROLLMENT WITH BLANK SCORE SUBMISSION DATE (Warning)
ENROLLMENT WITH NO SCORE (Error)

2013 THIRD EVENT COMPARE
SCORE WITH NO MATCHING ENROLLMENT (Informational)
ENROLLMENT WITH BLANK SCORE SUBMISSION DATE (Warning)
ENROLLMENT WITH NO SCORE (Error)

2014 FIRST EVENT COMPARE
SCORE WITH NO MATCHING ENROLLMENT (Informational)
ENROLLMENT WITH BLANK SCORE SUBMISSION DATE (Warning)
ENROLLMENT WITH NO SCORE (Error)
```

*Figure 14: Example Statistics file*

4 If desired, save the file to your computer.
Help

The PT Upload - Help page provides links to the following items:

- Accessibility Policy
- Contact Us
- Privacy Policy

![PT Upload - Help page](image)

*Figure 15: PT Upload - Help page*

The following keyboard shortcut keys are available to bring focus to the links on the PT Upload- Help page:

<table>
<thead>
<tr>
<th>Shortcut Key</th>
<th>To Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alt + 7</td>
<td>Accessibility Policy link</td>
</tr>
<tr>
<td>Alt + 8</td>
<td>Contact Us link</td>
</tr>
<tr>
<td>Alt + 9</td>
<td>Privacy Policy link</td>
</tr>
</tbody>
</table>

With focus on one of these links, press the Enter key to activate the link and access the associated page.

**Note:** Shortcut keys utilizing numbers function only with the numeric keys along the top of the keyboard. They do not function with the keys on the 10-key number pad of the keyboard.
Accessibility Policy

The PT Upload - Accessibility Policy page outlines the PT Upload system’s accessibility policy in regards to compliance with Section 508 of the U.S. Rehabilitation Act and the W3C’s Web Content Accessibility Guidelines.

Contact Us

The PT Upload - Contact Us page provides e-mail and telephone contact information for the QIES Technical Support Office (QTSO) Help Desk.
Privacy Policy

The PT Upload - Privacy Policy page outlines the PT Upload system’s privacy policy.

Figure 18: PT Upload - Privacy Policy page
Terminology

**Term:** Automated Survey Processing Environment  
**Acronym:** ASPEN  
**Description:** ASPEN provides state-level secure data collection of healthcare provider demographic, surveillance and certification information, with timely replication of required information into the national repository.

**Term:** Clinical Laboratory Improvement Amendments  
**Acronym:** CLIA  
**Description:** Legislation establishing quality standards for laboratory testing.

**Term:** Center for Medicare and Medicaid Services  
**Acronym:** CMS  
**Description:** CMS provides direction and technical guidance for the administration of the Federal effort to plan, develop, manage and evaluate health care financing programs and policies.

**Term:** Central Office  
**Acronym:** CO  
**Description:** CMS Central Office.

**Term:** Proficiency Testing  
**Acronym:** PT  
**Description:** The testing of unknown samples sent to a laboratory by a CMS-approved PT Program. Most sets of PT samples are sent to participating laboratories three times per year. After testing the PT samples in the same manner as its patient specimens, the laboratory reports its sample results back to its PT Program. The Program grades the results using the CLIA grading criteria and sends the laboratory scores reflecting how accurately it performed the testing.