

A

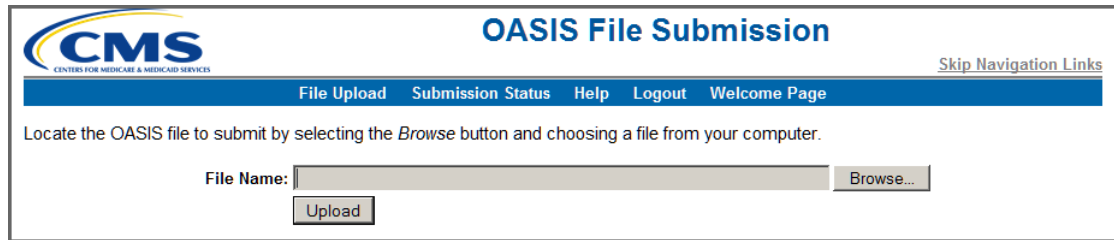
QUICK REFERENCE TO OASIS SUBMISSIONS, SUBMISSION STATUS, AND FINAL VALIDATION REPORTS

FILE SUBMISSION.....	2
FILE SUBMISSION STATUS.....	4
SYSTEM-GENERATED OASIS AGENCY FINAL VALIDATION REPORT	6
OASIS SUBMITTER FINAL VALIDATION REPORT	10

FILE SUBMISSION

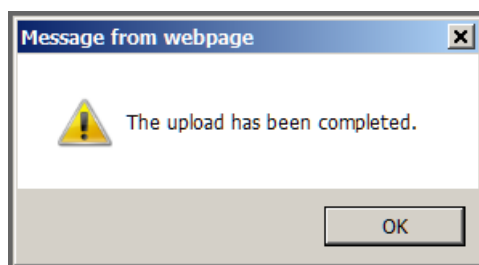
1. From the **Welcome to the CMS QIES Systems for Providers** page, select the OASIS Submissions link and log in to the OASIS File Submission System using your individual user ID. Upon successful log in to the OASIS File Submission system, the **File Upload** page (Figure A-1) is presented.

Figure A-1. OASIS File Submission File Upload Page



2. Select the **Browse** button to locate the OASIS file you wish to submit. Select (highlight) the zipped submission file and then select the **Upload** button to upload the file.
3. Once the QIES ASAP OASIS system successfully receives the submission file, a pop-up dialog box (Figure A-2) opens notifying you that the upload was completed.

Figure A-2. Upload Completed Pop-Up Dialog Box



NOTE: The “Upload Completed” message merely indicates the QIES ASAP OASIS system received the uploaded file. It does NOT indicate the file was processed or the records were edited and accepted by the QIES ASAP OASIS system. Select the Submission Status link to determine if the file processing completed.

4. Select the **OK** button. The pop-up dialog box closes. You are returned to the **File Upload** page (Figure A-3) that now displays a “Your submission has been received” message and identifies the system-assigned Submission ID, the date and time of the submission, and the name of the file you submitted. Select the Print link from the right-hand side of the page to print and retain this information for future reference.

NOTE: It is important that you know the Submission ID and Submission Date/Time associated with the file you just submitted. You must use this information in subsequent steps of the submission file validation process.

Figure A-3. Your Submission Has Been Received Message

The screenshot displays the OASIS File Submission interface. At the top, the CMS logo is on the left, and the title "OASIS File Submission" is centered. A navigation bar contains links for "File Upload", "Submission Status", "Help", "Logout", and "Welcome Page". On the right, there is a link for "Skip Navigation Links". The main content area features a message: "Your submission has been received:". Below this message, three lines of submission details are listed: "Submission ID: 890059", "Submission Date: 10/31/2014 12:04:52", and "File Name: OASIS_20141031.zip". A "Print" link is located to the right of these details. Below the message, a note states: "Your submission file will be processed for errors within 24 hours. The Final Validation Report, which contains detailed information about your submission, may be accessed in the CASPER Reporting application. It is recommended that you print and retain the Final Validation Reports." At the bottom, there is a section for uploading a file, with the text "Locate the OASIS file to submit by selecting the *Browse* button and choosing a file from your computer." This section includes a "File Name:" label, a text input field, a "Browse..." button, and an "Upload" button.

NOTE: Once a file is successfully submitted, please note that it may take up to 24-hours for processing to complete. When processing is complete, return to the OASIS File Submission system to verify the status of the file and then proceed with locating the system-generated OASIS Agency Final Validation Report in the CASPER Reporting application.

Records in the submitted OASIS data file are sorted and processed in the following order:

- State Code
- Facility ID
- Effective Date
- Type of Transaction/Record
- Reason for Assessment
- Correction Number

FILE SUBMISSION STATUS

To determine if your submission file was processed successfully, query the status of your submission in the following manner:

1. Log in to the OASIS File Submission System using your individual user ID. Upon successful log in to the OASIS File Submission system, the **File Upload** page (Figure A-1, above) is presented.
2. Select the Submission Status link located on the menu bar on the OASIS File Submission **File Upload** page. The **List of My Submissions** page (Figure A-4) is presented.

Figure A-4. List of My Submissions Page

Submission ID	Submission Date	Submission File Name	Total Record Count	Completion Date	Status
890059	10/31/2014 12:04:52	OASIS_20141031.zip	15	10/31/2014 12:30:20	Completed

The **List of My Submissions** page provides the following information:

- Submission ID – the unique ID assigned to the submitted file
- Submission Date – the date and time that the submitted file was received by the system.
- Submission File Name – the name of the submitted file
- Total Record Count – the count of records contained in the submitted file.
- Completion Date – the date and time that the file processing was complete.
- Status – the status of the file processing. The following status values may display:
 - *Waiting* - the submitted file is waiting to be processed
 - *Processing* - the submitted file is processing
 - *Error* - an error occurred during processing of the submitted file
 - *Completed* – submitted file processing is complete

3. Locate your submission file by the *Submission ID* assigned to it and verify that the *Status* is “*Completed*”.

4. For submission files with a *Completed* status, note the number in the *Total Record Count* column.

- When the **Status is “Completed” and the Total Record Count is zero (0)**, a system-generated OASIS Agency Final Validation report is NOT generated. The QIES ASAP OASIS system **cannot** produce a system-generated OASIS Agency Final Validation report. **No** OASIS Agency Final Validation report is available in your agency’s CASPER validation reports (VR) folder for this submission. Request the OASIS Submitter Final Validation Report to identify the severe error(s) encountered.

NOTE: Subsequent sections of this document provide instructions for locating and/or running validation reports in the CASPER Reporting application.

When the Total Record Count is zero (0) the system was unable to unzip and extract records from the submitted file.

NOTE: If your facility uses vendor software to create its submission files, you must notify the software vendor of these errors.

- When the **Status is “Completed” and the Total Record Count is greater than zero (0)**, the QIES ASAP OASIS system successfully unzipped and extracted one or more records from the file. You must review the system-generated OASIS Agency Final Validation report to verify that **all** records processed without error. The OASIS Agency Final Validation report is placed in your agency’s VR folder.

If you cannot locate the OASIS Agency Final Validation report in your agency’s VR folder, the user who originally submitted the file can run an OASIS Submitter Validation Report with which you may verify the records of the submission file.

Likewise, if one or more records of the submission file are missing from the OASIS Agency Final Validation Report, the user who originally submitted the file can run an OASIS Submitter Validation Report with which you may identify the errors that were encountered with those records. When records are missing from the system-generated OASIS Agency Final Validation Report it is because the QIES ASAP OASIS system was unable determine to which agency the records belong and could not include them on the OASIS Agency Final Validation Report.

SYSTEM-GENERATED OASIS AGENCY FINAL VALIDATION REPORT

The system-generated OASIS Agency Final Validation Report is created in two formats: Text and XML. Both report formats are delivered automatically to your agency's CASPER validation report folder.

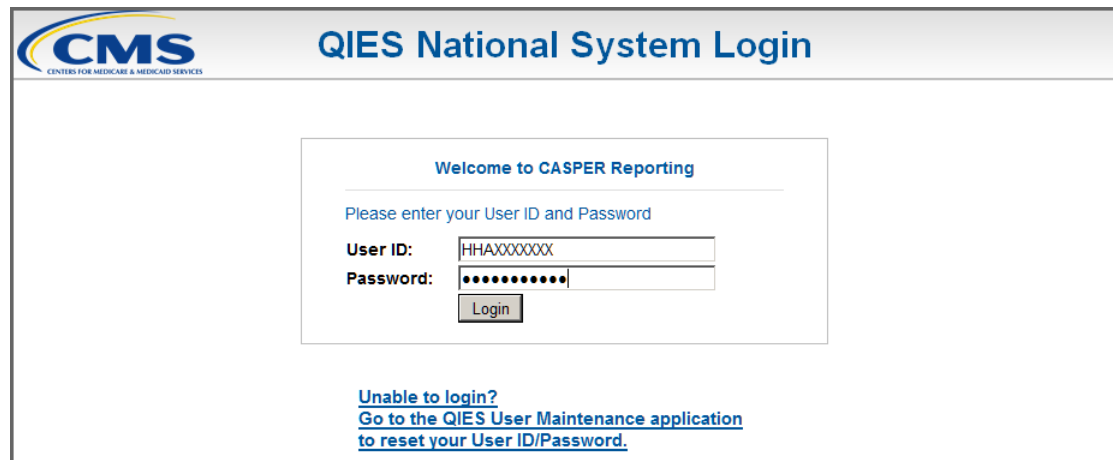
NOTE: The XML-formatted report is intended for software vendors. Providers may ignore the XML-formatted report and access the user-friendly plain text version of the OASIS Agency Final Validation Report.

The following steps detail how to view the system-generated OASIS Agency Final Validation report in the CASPER Reporting application:

NOTE: When the *Submission Status* is "Completed" and the *Total Record Count* is greater than zero (0), review the system-generated OASIS Agency Final Validation report to verify that all records processed without error.

1. From the **Welcome to the CMS QIES Systems for Providers** page, select the CASPER Reporting link and log in to the CASPER Reporting application (Figure A-5) with your QIES user ID/password. This is the same user ID/password with which you access the OASIS Submission system.

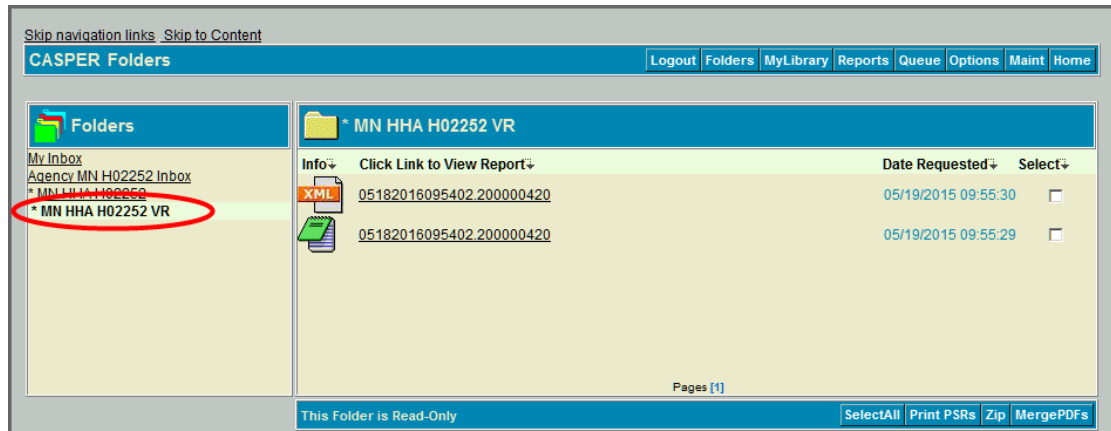
Figure A-5. CASPER Reporting Login Page



The screenshot shows the login page for the QIES National System. At the top left is the CMS logo (Centers for Medicare & Medicaid Services). The page title is "QIES National System Login". Below the title, there is a central login box. Inside the box, it says "Welcome to CASPER Reporting" and "Please enter your User ID and Password". There are two input fields: "User ID:" with the text "HHAXXXXXX" and "Password:" with masked characters. A "Login" button is positioned below the password field. At the bottom of the login box, there are three links: "Unable to login?", "Go to the QIES User Maintenance application", and "to reset your User ID/Password".

2. Select the **Folders** button located on the tool bar at the top of the page. The **CASPER Folders** page (Figure A-6) is presented. The folders available to you are along the left-hand side of the page.

Figure A-6. CASPER Folders Page – Validation Report Folder



3. Locate and select the agency folder with the naming structure of:

[State Code] HHA [Facility ID] VR

Where:

State Code = your 2-character state code

HHA = Home Health Agency

Facility ID = State-assigned facility ID used for submitting OASIS records

VR = Validation Report

4. With the VR folder selected, the main body of the **CASPER Folders** page lists the system-generated OASIS Agency Final Validation reports that are available for you to view. The report names are formatted as follows:

[Submission Date & Time].[Submission ID]

NOTE: OASIS reports are automatically purged after 60 days.

5. Select the report that corresponds to the submission file you wish to verify. Figure A-7 depicts a fictional system-generated OASIS Agency Final Validation report in text format and Figure A-8 depicts a fictional system-generated OASIS Agency Final Validation report in XML format.

NOTE: When a submitted file cannot be unzipped or contains no records, the QIES ASAP OASIS system cannot generate an OASIS Agency Final Validation Report and place it in your agency's shared VR folder. If an OASIS Agency Final Validation Report was created but the number of records displayed is less than the number of records you submitted in the file, there were one or more records that could not be processed by the QIES ASAP OASIS system. In either case, you must request the **OASIS Submitter Final Validation** report in order to identify the issues with the records that were not processed.

Agency-identifiable records from the submitted assessment file are presented on the system-generated OASIS Agency Final Validation Report in the following order:

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

NOTE: For more information about the OASIS final validation reports that are available to home health agencies, refer to the *HHA Provider Reports* (Section 4) of the CASPER Reporting HHA Provider User's Guide. This guide is available on the **Welcome to the CMS QIES Systems for Providers** page.

Figure A-7. OASIS Agency Final Validation Report –Text Format*

```

          CMS Submission Report
    OASIS Agency Final Validation Report

Submission Date/Time:      10/11/2015 10:15:34
Submission ID:            50000740
Submitter User ID:
Submission File Name:     BL_XMLFile_102015_OASIS_V2.12_ICD10_R01_0
                          5012015.zip
Submission File Status:   Completed
Processing Completion Date/Time: 05/01/2015 10:17:40

Agency ID (FAC_ID):     IAHHA002
Agency Name:            UNITYPOINT AT HOME
State Code:              IA

# Records Processed:     1
# Production Records Accepted: 1
# Production Records Rejected: 0
# Production Duplicate Records: 0
# Production Records Submitted
  Without Agency Authority: 0
# Test Records Passed:   0
# Test Records Failed:   0
Total # of Messages:     2

-----
Record: 1                Accepted
Asmt_ID: 70002009044     Name (M0040) :
Res_Int_ID: 32567840     SSN (M0064):
RFA, BRANCH_ID: 01, P   Medicare Num (M0063):
M0090 Date: 10/01/2015  Eff Date: 10/01/2015
Type of Transaction: NEW RECORD  Correction Num: 0
XML File Name:           BL_XMLFile_102015_OASIS_V2.12_ICD10_R01_0
                          5012015.xml

OASIS Item(s):          M0100_ASSMT_REASON, SUBM_HIPPS_CODE,
                          CALC_HIPPS_CODE
Data Submitted:         01, ^, 1CGKV
Message Number/Severity: -4820  WARNING
Message:                Invalid HIPPS Values: SUBM_HIPPS_CODE
                          and SUBM_HIPPS_VERSION values should
                          match the system-calculated values.

OASIS Item(s):          M0100_ASSMT_REASON, SUBM_HIPPS_VERSION,
                          CALC_HIPPS_VERSION
Data Submitted:         01, ^, V5115
Message Number/Severity: -4820  WARNING
Message:                Invalid HIPPS Values: SUBM_HIPPS_CODE
                          and SUBM_HIPPS_VERSION values should
                          match the system-calculated values.

-----
This report may contain privacy protected data and should not be released to
the public.
    
```

* Fictitious, sample data are depicted.

Figure A-8. OASIS Agency Final Validation Report –XML Format Excerpt*

```

- <report name="CMS Submission Report" type="OASIS Agency Final Validation Report">
- <header>
- <submission>
<property name="Submission Date/Time" value="05/18/2016 09:54:02" />
<property name="Submission ID" value="200000420" />
<property name="Submitter User ID" value=" " />
<property name="Submission File Name" value="OASIS_20150501.zip" />
<property name="Submission File Status" value="Completed" />
<property name="Processing Completion Date/Time" value="05/19/2015 09:55:28" />
</submission>
- <agency>
<property name="Agency ID (FAC_ID)" value="H02252" />
<property name="Agency Name" value="RIDGEVIEW HOME CARE SERVICES" />
<property name="State Code" value="MN" />
</agency>
- <processing>
<property name="# Records Processed" value="1" />
<property name="# Production Records Accepted" value="0" />
<property name="# Production Records Rejected" value="1" />
<property name="# Production Duplicate Records" value="0" />
<property name="# Production Records Submitted without Agency Authority" value="0" />
<property name="# Test Records Passed" value="0" />
<property name="# Test Records Failed" value="0" />
<property name="Total # of Messages" value="2" />
</processing>
</header>
- <records>
<record number="1">
<property name="Record Status" value="Rejected" />
<property name="Asmt_ID" value="70001000190" />
<property name="Name (M0040)" value="TEST435098, FNAME-001" />
<property name="Res_Int_ID" value="0" />
<property name="SSN (M0064)" value=" " />
<property name="RFA, BRANCH_ID" value="01," />
<property name="Medicare Num (M0063)" value=" " />
<property name="M0090 Date" value="04/30/2015" />
<property name="Eff Date" value="10/05/2014" />
<property name="Type of Transaction" value="INACTIVATION" />
<property name="Correction Num" value="1" />
<property name="XML File Name" value="OASIS_20150501.xml" />
- <errors>
<error number="1">
_____
_____
</errors>
</record>
</records>
- <privacy>
<property name="message" value="This report may contain privacy protected data and should not be released" />
</privacy>
</report>

```

* Fictitious, sample data are depicted.

OASIS SUBMITTER FINAL VALIDATION REPORT

For the instances when the QIES ASAP OASIS system cannot produce the system-generated OASIS Agency Final Validation report or process all of the records submitted, you can request an OASIS Submitter Final Validation Report in order to determine why the system could not process these records.

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

1. Log into the CASPER Reporting application with your QIES user ID/password (Figure A-5, above). This is the same user ID/password you use for OASIS Submissions.
2. Select the **Reports** button. The **CASPER Reports** page (Figure A-9) is presented.

Figure A-9. CASPER Reports Page



3. Select the HHA Provider report category link from the *Report Categories* frame on the left. Links to the reports in this category display in the right-hand frame.

NOTE: Only those report categories to which you specifically have access are listed in the *Report Categories* frame.

4. In the right-hand frame, navigate as necessary to the page displaying the [OASIS Submitter Final Validation](#) link and select the link. The **CASPER Reports Submit** page (Figure A-10) is presented.

NOTE: The list of reports in the HHA Provider report category is lengthy. You may need to navigate to the second or subsequent page of the list to locate the OASIS Submitter Final Validation report link.

Figure A-10. CASPER Reports Submit Page – OASIS Submitter Final Validation Report

The screenshot shows the 'CASPER Reports Submit' interface. At the top, there is a navigation bar with buttons for 'Logout', 'Folders', 'MyLibrary', 'Reports', 'Queue', 'Options', 'Maint', and 'Home'. Below this, the page title is 'Report: OASIS Submitter Final Validation Report'. A 'Submission ID:' field is present with an empty text input box. At the bottom, there are two dropdown menus: 'Template Folder:' set to 'My Favorite Reports' and 'Template Name:' set to 'OASIS Submitter Final Validation Report'. To the right of these dropdowns are four buttons: 'Submit', 'Back', 'Save & Submit', and 'Save'.

5. Enter the desired submission ID in the *Submission ID* field and select the **Submit** button.

NOTE: You may only request the OASIS Submitter Validation report for files submitted with your QIES user ID. You cannot request the OASIS Submitter Final Validation report if you did not submit the file. If you request a file you did not originally submit the system responds with an “Invalid User ID” message and the request is not processed.

6. When completed, the OASIS Submitter Validation report is placed in your *My Inbox* folder in the CASPER Reporting Application. To access this folder, select the **Folders** button. The **CASPER Folders** page (Figure A-6, above) is presented. The folders available to you, including the *My Inbox* folder, are listed along the left-hand side of the page.
7. Select the [My Inbox](#) link. The main body of the **CASPER Folders** page (Figure A-11) lists the reports that are available in your *My Inbox* folder.

Each report name is a link with which you may open and view the contents of that report. The *Date Requested* listed for each report is the date and time that you submitted the report request.

Figure A-11. CASPER Folders Page – My Inbox Folder



- Find and select the OASIS Submitter Final Validation report you wish to view. Open the desired report by selecting the report name.

NOTE: When you hover your mouse pointer over the icon to the left of a report name, the submission ID for which that report was run displays briefly.

Listed below are some of the severe errors for which the QIES ASAP OASIS system either cannot produce a system-generated OASIS Agency Final Validation report for the submitted file or include a specific record on the report. These errors are reported only on the OASIS Submitter Validation report:

- -901 Invalid Zip File (no system-generated FVR created)
- -902 Invalid XML File (record not on system-generated FVR)
- -904 Invalid XML File Format (record not on system-generated FVR)
- -3162 Unauthorized Submitter (no system-generated FVR created)

NOTE: While the severe errors listed above are common, it is not a comprehensive listing. To view a complete listing of errors, please refer to Section 4 of the OASIS Submission User's Guide available on the **Welcome to the CMS QIES Systems for Providers** page.