3

FUNCTIONALITY

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INTRODUCTION

For nursing home and swing-bed hospital users, the basic functions of the MDS 3.0 system include:

- Establishing the communication connection with CMSNet
- Submitting electronic MDS files

This section of the MDS 3.0 Provider User's Guide provides instructions for these functions.

ESTABLISHING THE COMMUNICATION CONNECTION

The communications component of MDS 3.0 ASAP system supports the transfer of MDS data between providers and the National Submissions Database. In order to connect to the National Submissions Database, you must first ensure that you have a CMSNet user ID and that communications software is correctly installed on your PC.

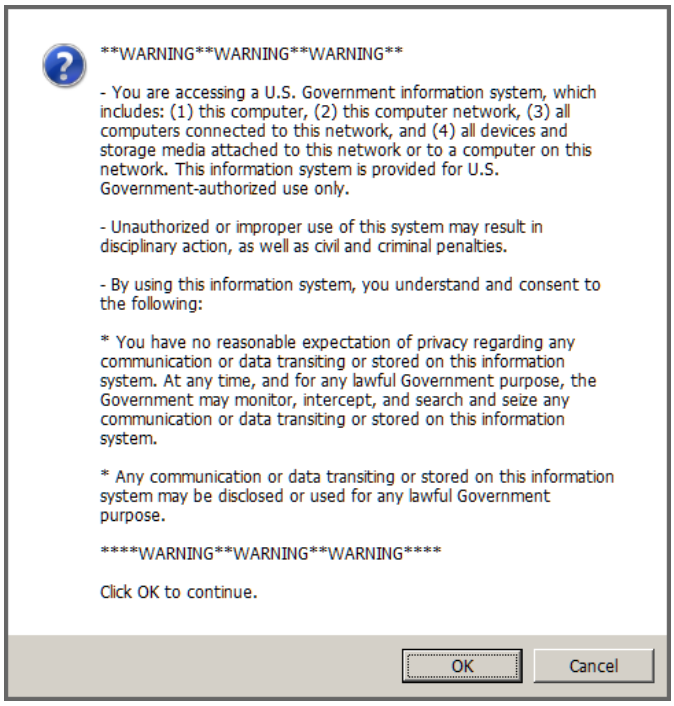
NOTE: To install software on your computer, you must have Administrative Rights. If you were not granted Administrative Rights to install software to your PC, please contact your computer support personnel.

To register for a CMSNet user ID, select the CMSNet Online Registration link found on the QIES Technical Support Office (QTSO) web site at https://www.qtso.cms.gov/cmsnet.html and complete the registration process through the CMSNet Remote Access Request Portal. A software installation guide for the CMSNet remote user is available on the same web page to assist you with the installation of the communications software. The software installation guide includes instructions for connecting to CMSNet once the software is installed.

NOTE: If you encounter difficulties connecting to CMSNet, contact the CMS Remote User Support Help Desk at (888) 238-2122.

When accessing a CMS web site a **U.S. Government-Authorized Use Only** pop-up window (Figure 3-1) is presented one or more times.

Figure 3-1. U.S. Government-Authorized Use Only Window



The **U.S. Government-Authorized Use Only** pop-up window states:

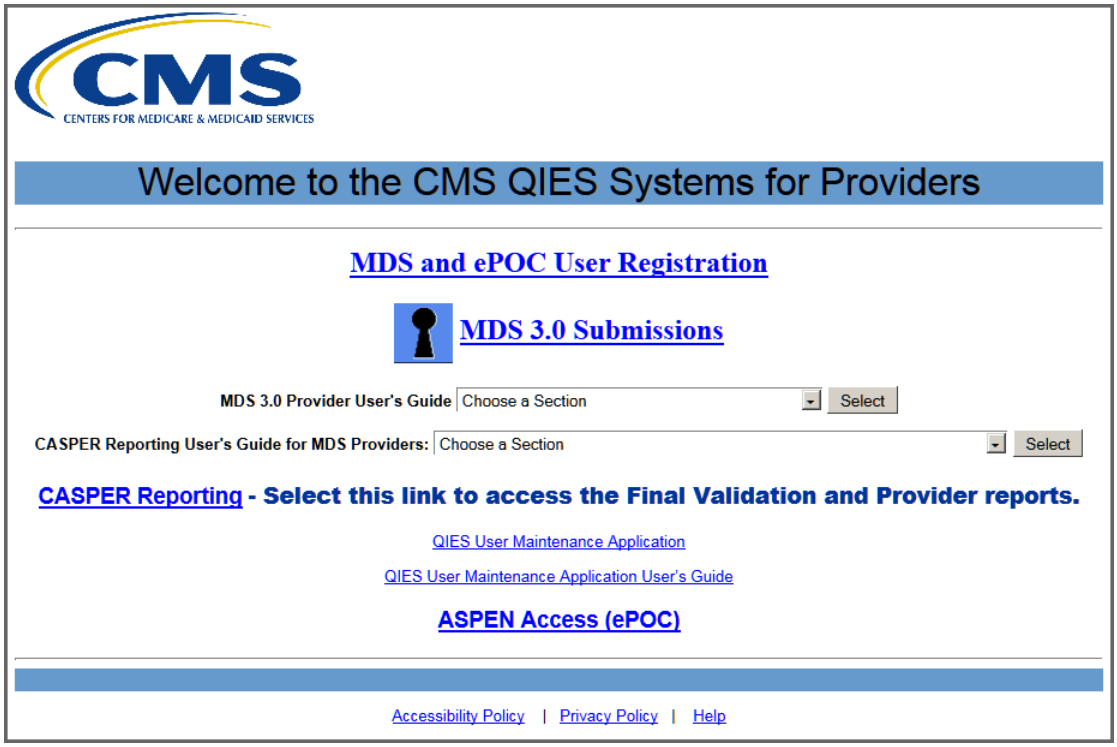
> "**Warning**Warning**Warning**
> -You are accessing a U.S. Government information system, which includes: (1) this computer, (2) this computer network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. This information system is provided for U.S. Government-authorized use only.
> -Unauthorized or improper use of this system may result in disciplinary action, as well as civil and criminal penalties.
> -By using this information system, you understand and consent to the following:
> * You have no reasonable expectation of privacy regarding any communication or data transiting or stored on this information system. At any time, and for any lawful Government purpose, the Government may monitor, intercept, and search and seize any communication or data transiting or stored on this information system.
> * Any communication or data transiting or stored on this information system may be disclosed or used for any lawful Government purpose.
> **Warning**Warning**Warning**
> Click OK to continue."

You may select the **Cancel** button if you do not wish to access the CMS web site. Otherwise, select the **OK** button to proceed.

Accessing the MDS 3.0 Submission System – Nursing Homes

Upon successful login to CMSNet, the **Welcome to the CMS QIES Systems for Providers** page (Figure 3-2) is presented.

Figure 3-2. Welcome to the CMS QIES Systems for Providers Page (Nursing Home)



The **Welcome to the CMS QIES Systems for Providers** page includes links to the following features and functions for long-term care providers:

- MDS and ePOC User Registration – the self-service Provider User Registration tool with which users register for a user account and User ID to access the MDS 3.0 submissions and CASPER Reporting systems or the Electronic Plan of Correction (ePOC) system.
- MDS 3.0 Submissions – the login page for the MDS 3.0 system to submit assessments or corrections to assessments.
- CASPER Reporting – the CASPER Reporting application for requesting and viewing facility and QM reports.
- QIES User Maintenance Application – the login page for the QIES User Maintenance Application (QUMA) for user self-service password resetting and user account maintenance.
- QIES User Maintenance Application User's Guide – the user's guide for QUMA.
- ASPEN Access (ePOC) – the **ASPEN Access** web page. Access to the ePOC system is gained from here.

The **Welcome to the CMS QIES Systems for Providers** page also includes drop-down lists so that you may select and view the following user's guides/manuals:

- MDS 3.0 Provider User's Guide
- CASPER Reporting User's Guide for MDS Providers

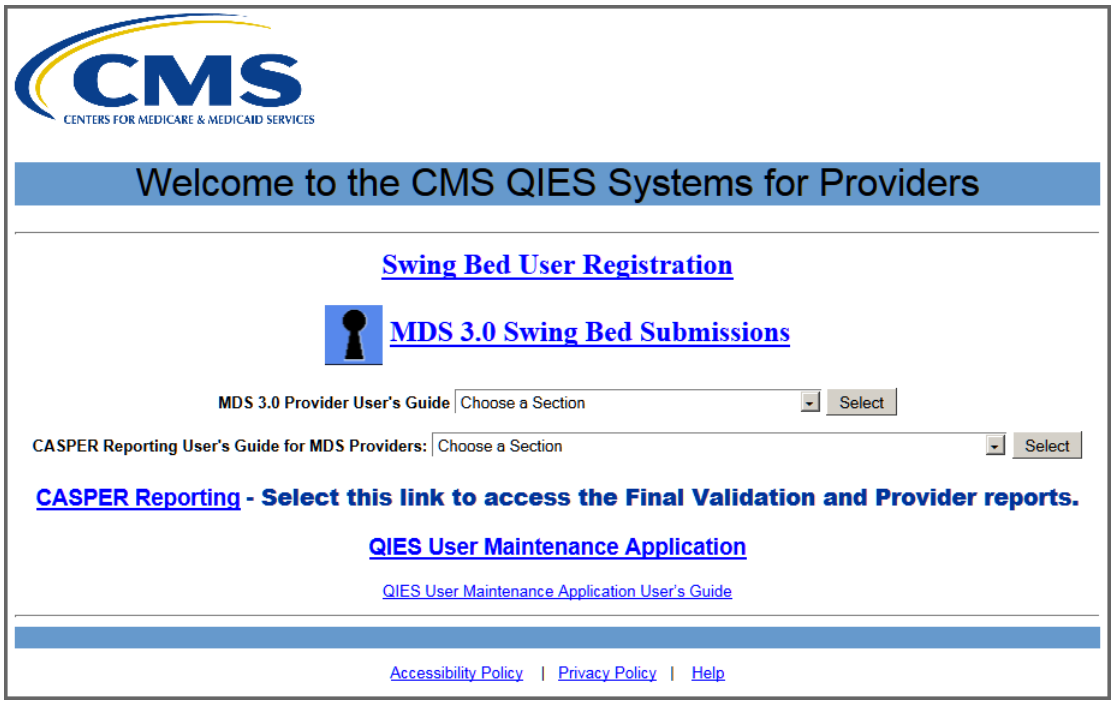
Select the MDS 3.0 Submissions link to access the **QIES National System Login** page for the MDS 3.0 File Submission system (Figure 3-4, below).

NOTE: Persons using the JAWS screen reader must start the JAWS application *prior* to accessing the **QIES National System Login** page in order to maintain password privacy.

Accessing the MDS 3.0 Submission System – Swing Bed Hospitals

Upon successful login to CMSNet, the **Welcome to the CMS QIES Systems for Providers** page (Figure 3-3) is presented.

Figure 3-3. Welcome to the CMS QIES Systems for Providers Page (Swing Bed)



The **Welcome to the CMS QIES Systems for Providers** page includes links to the following features and functions for swing bed providers:

- Swing Bed User Registration – the self-service Provider User Registration tool with which users register for a user account and User ID to access the MDS 3.0 submissions and CASPER Reporting systems.
- MDS 3.0 Swing Bed Submissions – the login page for the MDS 3.0 system to submit assessments or corrections to assessments.
- CASPER Reporting – the CASPER Reporting application for requesting and viewing provider reports.
- QIES User Maintenance Application – the login page for the QIES User Maintenance Application (QUMA) for user self-service password resetting and user account maintenance.
- QIES User Maintenance Application User's Guide – the user's guide for QUMA.

The **Welcome to the CMS QIES Systems for Providers** page also includes drop-down lists so that you may select and view the following user's guides/manuals:

- MDS 3.0 Provider User's Guide
- CASPER Reporting User's Guide for MDS Providers

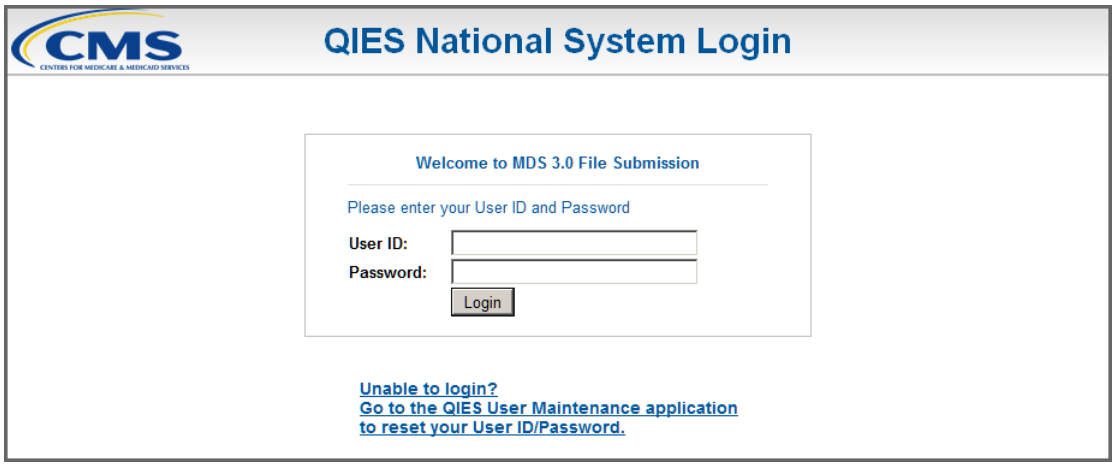
Select the MDS 3.0 Swing Bed Submissions link to access the **QIES National System Login** page for the MDS 3.0 File Submission system (Figure 3-4).

NOTE: Persons using the JAWS screen reader must start the JAWS application *prior* to accessing the **QIES National System Login** page in order to maintain password privacy.

Logging In to the MDS 3.0 System

Upon selecting the MDS 3.0 Submissions link, the **QIES National System Login** page for the MDS 3.0 File Submission system (Figure 3-4) is presented.

Figure 3-4. QIES National System Login Page



The **QIES National System Login** page presents *User ID* and *Password* fields, a **Login** button, and an Unable to login? Go to the QIES User Maintenance application to reset your User ID/Password link with which you may access the QIES User Maintenance Application (QUMA) for password self-service functions.

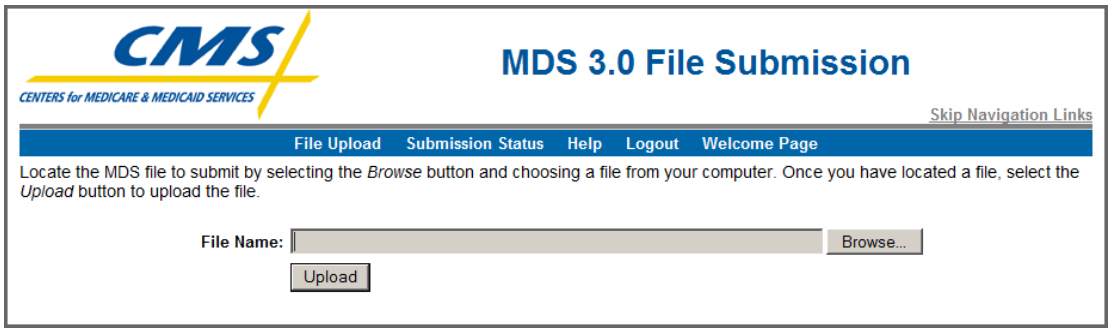
The following shortcut keys are available for you to access elements of the **QIES National System Login** page:

Alt + u	User ID field
Alt + w	Password field
Alt + g	Login button
Alt + q	QIES User Maintenance link

Type your user ID and password in the appropriate fields and select the **Login** button.

The MDS 3.0 File Submission **File Upload** page (Figure 3-5) is presented.

Figure 3-5. MDS 3.0 File Submission Upload Page



NOTE: After 12 minutes with no interaction with the server, a pop-up dialog box warns you that your online session will timeout in 3 minutes and asks if you would like to extend it. Select the **OK** button to extend your session. After 15 minutes of inactivity you are logged out of the MDS 3.0 File Submission system and must log in with your user ID and password in order to use the MDS 3.0 File Submission system once again.

Each page of the MDS 3.0 File Submission system includes the following constants:

- The CMS logo and the title of the application, MDS 3.0 File Submission, span the top
- A Skip Navigation Links link – to the far-right, under the CMS logo and the application title

  The Skip Navigation Links link allows users utilizing assistive readers to bypass the menu bar items, moving focus to the main body of the current page.

  The keyboard shortcut to quickly bring focus to the Skip Navigation Links link is Alt + n. Once in focus, press Enter to activate the link.
- The MDS 3.0 File Submission system menu bar – under the Skip Navigation Links link

  The MDS 3.0 File Submission system menu bar provides access to the functionality of the MDS 3.0 File Submission system.

MENU BAR

The MDS 3.0 File Submission system menu bar (Figure 3-6) includes the following options.

- File Upload
- Submission Status
- Help
- Logout
- Welcome Page

Figure 3-6. MDS 3.0 File Submission System Menu Bar

The following shortcut keys bring focus to items on the MDS 3.0 File Submission system menu bar:

Alt + 1	File Upload
Alt + b	Submission Status
Alt + p	Help
Alt + o	Logout
Alt + 0 (zero)	Welcome Page

With focus on one of these items, press the Enter key to access the associated function.

NOTE: Shortcut keys utilizing numbers function only with the numeric keys along the top of the keyboard. They do not function with the numeric keys in the "10-key" pad of the keyboard.

File Upload

The *File Upload* item on the MDS 3.0 File Submission menu bar allows you to access the MDS 3.0 File Submission **File Upload** page. Refer to the *Submitting MDS Data* section below for a description of the **File Upload** page functionality.

Submission Status

The *Submission Status* item on the MDS 3.0 File Submission menu bar allows you to access the MDS 3.0 File Submission **List of My Submissions** page. Refer to the *Submission Status* section below for a description of the **List of My Submissions** page functionality.

Help

The *Help* item on the MDS 3.0 File Submission menu bar allows you to access the MDS 3.0 File Submission Help items, which include the **Accessibility Policy**, **Contact Us**, and **Privacy Policy** pages. The **Accessibility Policy** page (Figure 3-7) is presented when you select the *Help* item on the MDS 3.0 File Submission menu bar.

The following links are available on all Help pages:

- Accessibility Policy
- Contact Us
- Privacy Policy

The following shortcut keys bring focus to the links on the MDS 3.0 File Submission Help pages:

Alt + 7	Accessibility Policy
Alt + 8	Contact Us
Alt + 9	Privacy Policy

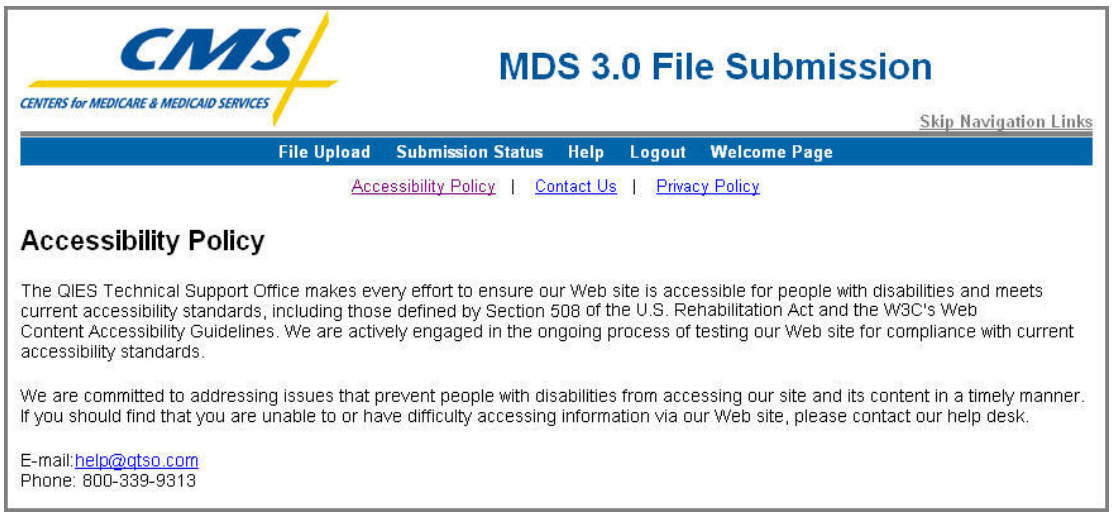
With focus on one of these items, press the Enter key to access the associated function.

NOTE: Shortcut keys utilizing numbers function only with the numeric keys along the top of the keyboard. They do not function with the numeric keys in the "10-key" pad of the keyboard.

Accessibility Policy

The Accessibility Policy link accesses the MDS 3.0 File Submission **Accessibility Policy** page (Figure 3-7).

Figure 3-7. MDS 3.0 File Submission Accessibility Policy Page



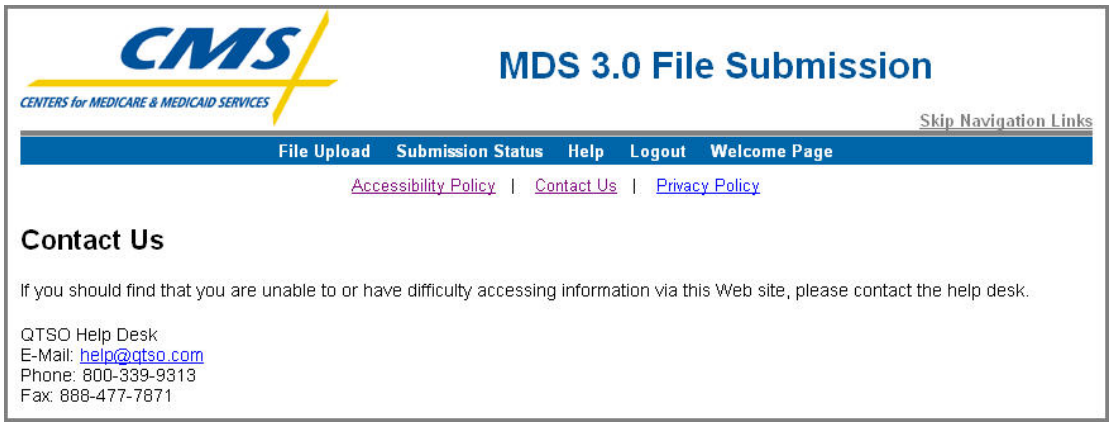
The MDS 3.0 File Submission **Accessibility Policy** page displays the following message:

> "The QIES Technical Support Office makes every effort to ensure our Web site is accessible for people with disabilities and meets current accessibility standards, including those defined by Section 508 of the U.S. Rehabilitation Act and the W3C's Web Content Accessibility Guidelines. We are actively engaged in the ongoing process of testing our Web site for compliance with current accessibility standards.
>
> We are committed to addressing issues that prevent people with disabilities from accessing our site and its content in a timely manner. If you should find that you are unable to or have difficulty accessing information via our Web site, please contact our help desk.
>
> E-mail: help@qtso.com
>
> Phone: 800-339-9313"

Contact Us

The Contact Us link accesses the MDS 3.0 File Submission **Contact Us** page (Figure 3-8).

Figure 3-8. MDS 3.0 File Submission Contact Us Page



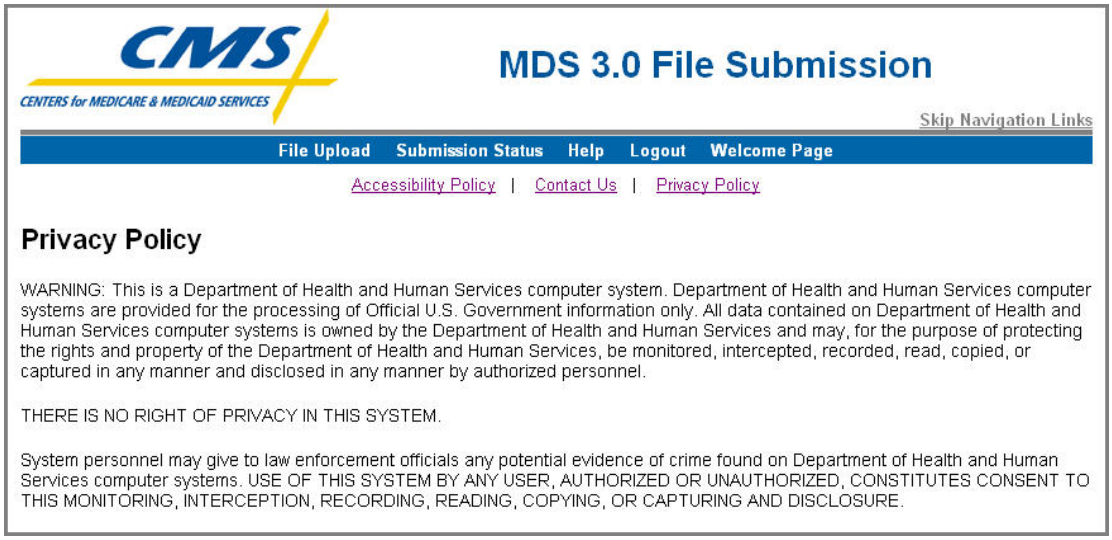
The MDS 3.0 File Submission **Contact Us** page displays the following message:

> "If you should find that you are unable to or have difficulty accessing information via this Web site, please contact the help desk.
>
> QTSO Help Desk
>
> E-Mail: help@qtso.com
>
> Phone: 800-339-9313
>
> Fax: 888-477-7871"

Privacy Policy

The Privacy Policy link accesses the MDS 3.0 File Submission **Privacy Policy** page (Figure 3-9).

Figure 3-9. MDS 3.0 File Submission Privacy Policy Page



The MDS 3.0 File Submission **Privacy Policy** page displays the following message:

> "WARNING: This is a Department of Health and Human Services computer system. Department of Health and Human Services computer systems are provided for the processing of Official U.S. Government information only. All data contained on Department of Health and Human Services computer systems is owned by the Department of Health and Human Services and may, for the purpose of protecting the rights and property of the Department of Health and Human Services, be monitored, intercepted, recorded, read, copied, or captured in any manner and disclosed in any manner by authorized personnel.
>
> THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM.
>
> System personnel may give to law enforcement officials any potential evidence of crime found on Department of Health and Human Services computer systems. USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES CONSENT TO THE MONITORING, INTERCEPTION, RECORDING, READING, COPYING, OR CAPTURING AND DISCLOSURE."

Logout

The *Logout* item on the MDS 3.0 File Submission menu bar allows you to end your session and exit the MDS 3.0 File Submission system. When you select the *Logout* item, the **QIES National System Login** page (Figure 3-4, above) is presented.

Welcome Page

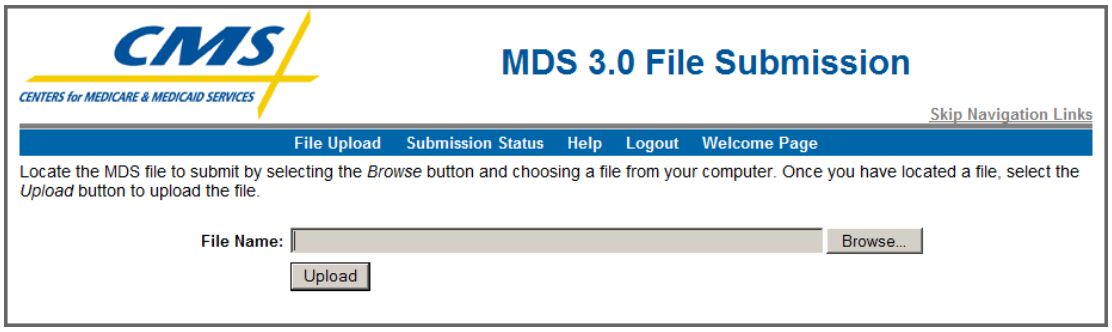
The *Welcome Page* item on the MDS 3.0 File Submission menu bar allows you to access the **Welcome to the CMS Systems for Providers** page (Figures 3-2 and 3-3, above) and the links found there to the CASPER Reporting system and user's guide.

SUBMITTING MDS DATA

1. To submit MDS data, access the MDS 3.0 File Submission **File Upload** page (Figure 3-10). The MDS 3.0 File Submission **File Upload** page is presented by default when you successfully log into the system.

> **NOTE**: You must use software capable of encoding MDS assessment records and exporting data files in accordance with CMS's standard record layout specifications for MDS version 3.0.

Figure 3-10. MDS 3.0 File Submission File Upload Page



The MDS 3.0 File Submission system **File Upload** page includes a *File Name* field and **Browse** and **Upload** buttons.

The following shortcut keys bring focus to elements of the MDS 3.0 File Submission system **File Upload** page:

Alt + 2	File Name field
Alt + 3	Upload button
Alt + 4	Top of page

NOTE: Shortcut keys utilizing numbers function only with the numeric keys along the top of the keyboard. They do not function with the numeric keys in the “10-key” pad of the keyboard.

The MDS 3.0 File Submission system **File Upload** page provides the following instructions:

> “Locate the MDS file to submit by selecting the *Browse* button and choosing a file from your computer. Once you have located a file, select the *Upload* button to upload the file.”

2. Select the **Browse** button to locate the file you wish to upload.

NOTE: If you use the JAWS screen reader with Form Mode turned off, you must press the Space bar twice in the *File Name* field to select the **Browse** button and access a **Choose File** dialog box.

Depending upon the version of Windows running on your computer, a **File Upload** (Figure 3-11) or **Choose file** (Figure 3-12) or similar dialog box is presented with which you can browse through the names of the files available on your computer hard drive, network drive, or a diskette inserted into the floppy disk drive.

Figure 3-11. Windows File Upload Dialog Box

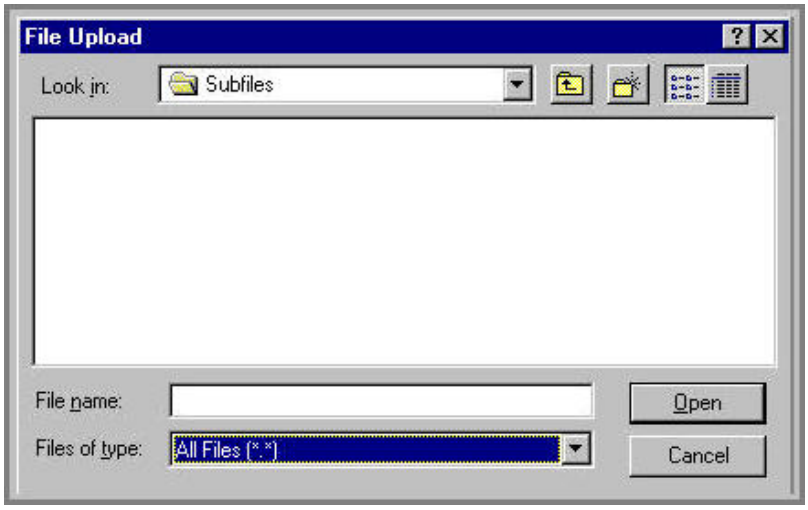
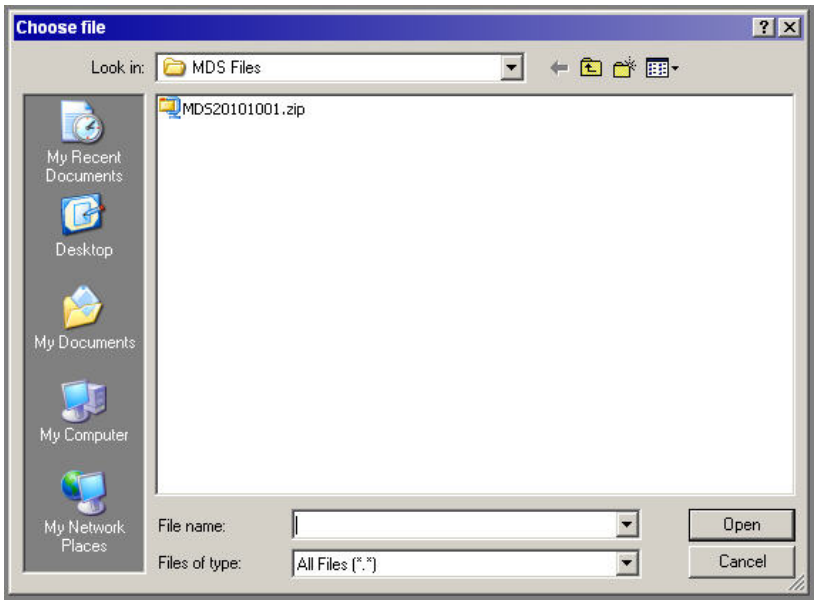


Figure 3-12. Windows Choose File Dialog Box



Select *All Files* from the drop-down list in the *Files of type* field so that you do not limit the types of files shown in the list.

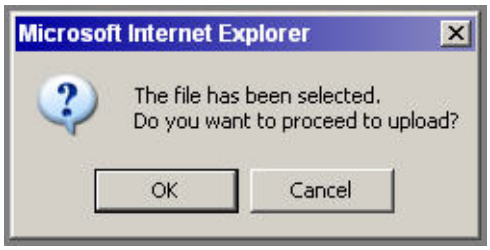
NOTE: The MDS 3.0 File Submission system only processes compressed (zipped) files with a ".zip" extension. You may not upload a file with anything other than a ".zip" extension.

Select the drive on which your submission file is stored from the drop-down list associated with the *Look In* field (C: is your computer's hard drive). The file(s) available on the selected drive are listed in the main body of the dialog box.

To select a file for submission, double click on the file name or highlight the file name and then select the **Open** button. The dialog box is closed and the name of the selected file is populated into the *File Name* field on the MDS 3.0 File Submission **File Upload** page.

3. Select the **Upload** button on the MDS 3.0 File Submission **File Upload** page to submit the file. A **Proceed to Upload?** dialog box (Figure 3-13) is presented.

Figure 3-13. Proceed to Upload? Dialog Box

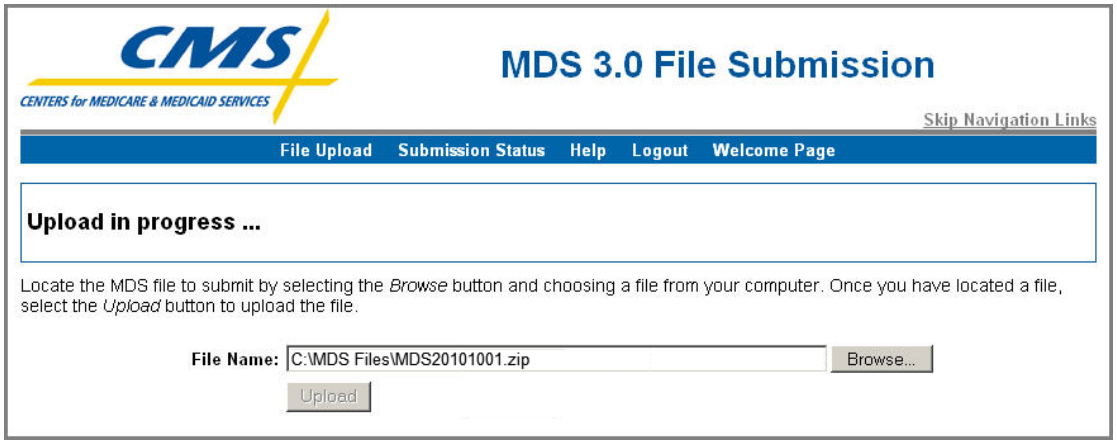


The **Proceed to Upload?** dialog box indicates "The file has been selected. Do you want to proceed to upload?" and includes **OK** and **Cancel** buttons.

4. Select the **OK** button if you wish to proceed or the **Cancel** button if you do not wish to submit the selected file at this time.

If you choose to proceed with the upload, the MDS 3.0 File Submission **File Upload** page displays an "Upload in progress …" message (Figure 3-14).

Figure 3-14. Upload In Progress Message



NOTE: The time it takes for the MDS 3.0 File Submission system to receive the MDS data file you submitted depends upon the size of your file and concurrent system activity. Until you receive confirmation that your file was successfully uploaded, do not exit the MDS 3.0 File Submission system or perform any other function. You risk interrupting the file upload process if you do not wait for the confirmation message.

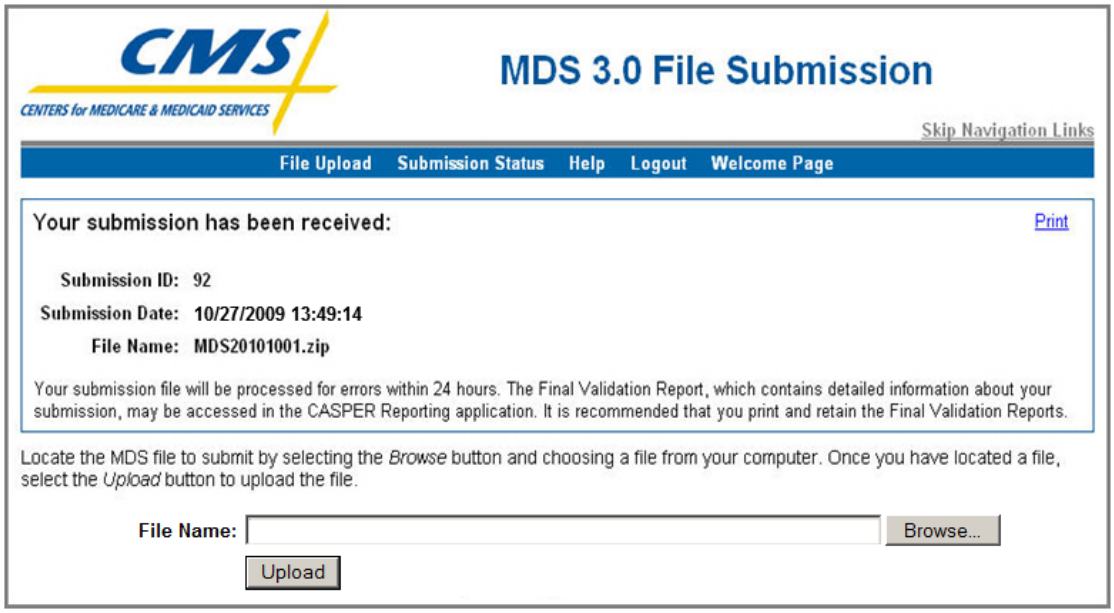
When the submitted file is successfully received at the National Submissions Database, an **Upload Completed** dialog box (Figure 3-15) is presented.

Figure 3-15. Upload Completed Dialog Box

5. Select the **OK** button to continue.

The MDS 3.0 File Submission **File Upload** page now displays a message (Figure 3-16) confirming that the file you submitted was successfully received at the National Submissions Database.

Figure 3-16. Submission Received Confirmation Message



The confirmation message provides the following information:

- Submission ID – the numeric identifier assigned to your file by the MDS 3.0 Submission system
- Submission Date – the date and time that the National Submissions Database received your file in the Eastern time zone
- File Name – the name of the file that you submitted

The confirmation message also includes the following notation:

> "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."

NOTE: The confirmation message only indicates successful receipt of the file at the National Submissions Database. Errors that exist in the submitted file are identified only when the MDS 3.0 system subsequently validates the file.

6. Print the confirmation message for your records at this time. The confirmation message is cleared once you perform another MDS 3.0 File Submission function and is **not** available for printing later. A Print link [Alt + r] is provided for your convenience.

NOTE: Please print the confirmation message or otherwise note this information so that you may identify the corresponding Final Validation Report in the CASPER Reporting application.
The Submission ID and the Submission Date/Time are also needed if you must report a problem with the submission to the QTSO Help Desk.

7. You may now submit another file or log out of the MDS 3.0 File Submission system.

After your submitted MDS data file is successfully received at the National Submission Database, the MDS 3.0 system validates the file structure and data content based upon the MDS 3.0 data specifications. Within 24 hours of a successful submission, you may access a Final Validation Report in the CASPER Reporting application that provides a detailed account of any errors found during the validation of the records in the submitted MDS file.

Records in the submitted MDS 3.0 file are sorted and processed in the following order:

- State Code
- Facility ID
- Target Date
- Type of Transaction/Record
- Correction Number

SUBMISSION SYSTEM ERRORS

During the MDS 3.0 file submission process, you may encounter one or more of the error conditions described below.

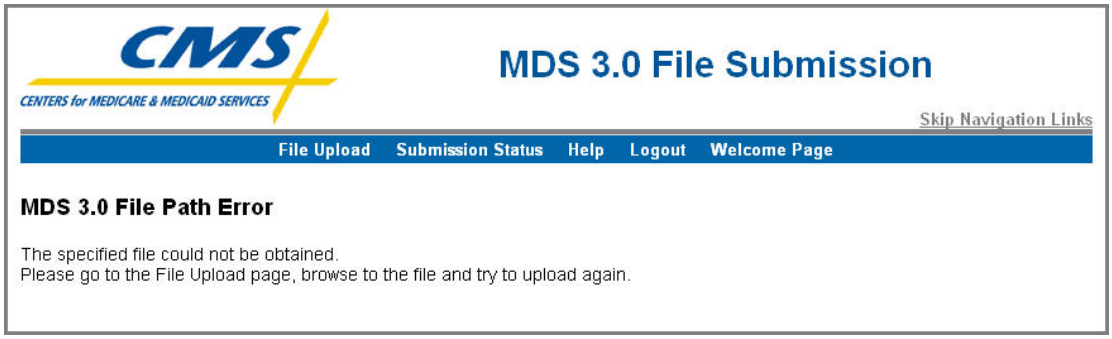
If you experience error messages or warnings from other software or hardware components used in association with the MDS 3.0 File Submission system, please refer to the appropriate vendor-provided manuals.

NOTE: Errors that are identified during the validation process are documented in Section 5, *Error Messages*, of this user's guide.

MDS 3.0 File Path Error

The **MDS 3.0 File Path Error** page (Figure 3-17) is presented when the system is unable to locate the file you specified on the MDS 3.0 File Submission **File Upload** page.

Figure 3-17. MDS 3.0 File Path Error Page



The **MDS 3.0 File Path Error** page displays the following message:

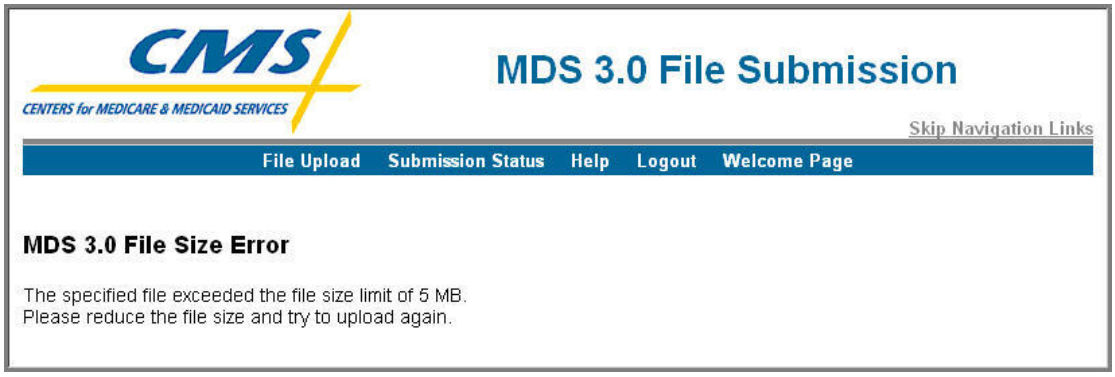
> "The specified file could not be obtained. Please go to the File Upload page, browse to the file and try to upload again."

If you manually entered the path and name of your file, please correct your entry, or select the **Browse** button and locate the desired file with the Browse function.

MDS 3.0 File Size Error

The **MDS 3.0 File Size Error** page (Figure 3-18) is presented when the size of your submission file is larger than is allowed.

Figure 3-18. MDS 3.0 File Size Error Page



The **MDS 3.0 File Size Error** page displays the following message:

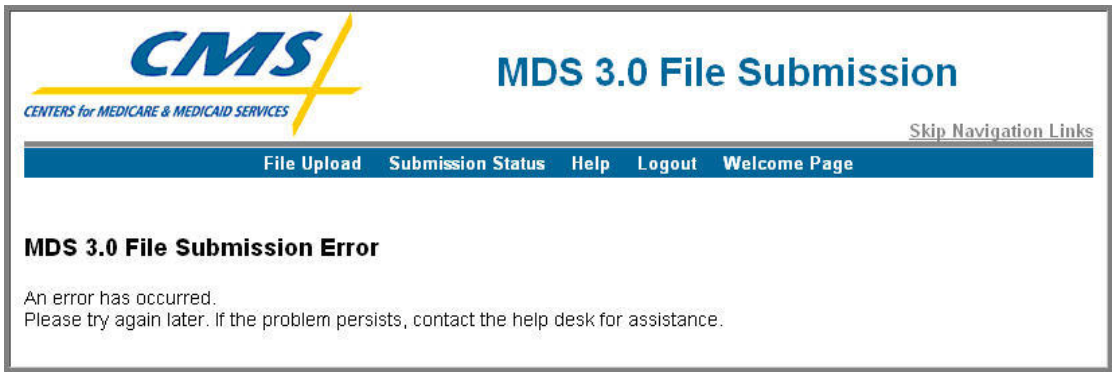
> ”The specified file exceeded the file size limit of 5 MB. Please reduce the file size and try to upload again.”

Please recreate the compressed (zipped) submission file with fewer assessments so that the size of the submission file is less than 5 MB.

MDS 3.0 File Submission Error

The **MDS 3.0 File Submission Error** page (Figure 3-19) is presented when the upload fails due to an exception condition or interruption.

Figure 3-19. MDS 3.0 File Submission Error Page



The **MDS 3.0 File Submission Error** page displays the following message:

> ”An error has occurred. Please try again later. If the problem persists, contact the help desk for assistance.”

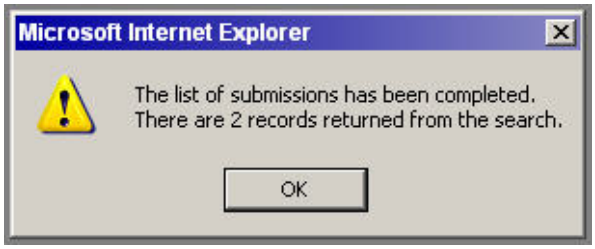
Please attempt to upload your submission file later. If the error continues to occur, call the QTSO Help Desk for assistance.

SUBMISSION STATUS

The MDS 3.0 File Submission system allows you to query and view the status of select submission files you successfully uploaded to the National Submission Database.

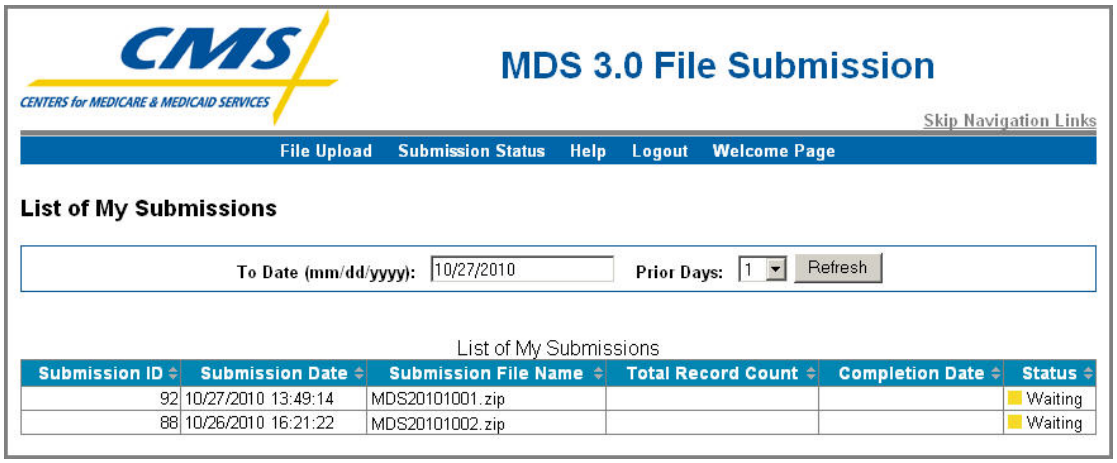
To perform the default query that returns a list of the submission files you successfully uploaded today and yesterday, select the *Submission Status* item from the MDS 3.0 File Submission system menu bar. A **Search Completed** dialog box (Figure 3-20) is presented indicating the number of records returned by the default search criteria.

Figure 3-20. Search Completed Dialog Box



Select the **OK** button to continue. The **Search Completed** dialog box closes, leaving the **List of My Submissions** page (Figure 3-21) in full view.

Figure 3-21. List of My Submissions Page



The **List of My Submissions** page lists, by default, the submissions successfully uploaded yesterday and today that are associated with your user ID. For each submission the following information is provided in a tabular format:

- Submission ID – the numeric identifier assigned to a submission by the MDS 3.0 Submission system
- Submission Date – the date and time that the National Submissions Database received your file in the Eastern time zone
- Submission File Name – the name of the file that you submitted
- Total Record Count – the number of records in the submitted file
- Completion Date – the date and time that the MDS 3.0 Submissions system completed validation of your file in the Eastern time zone
- Status – the current status of the submitted file:
  - Waiting – the submission file is waiting to be processed by the National Submission System
  - Processing – the submission file is being processed by the National Submission System
  - Completed – the submission file processing is complete
  - Error – a system error occurred during the processing of the file

NOTE: The list of submissions is presented in descending order by Submission ID. You can change the sort order of the tabular list by selecting the desired column heading.

The **List of My Submissions** page includes the following fields with which you can customize the query for submission files:

- *To Date* – the inclusive end date of the query in mm/dd/yyyy format; The default value is today's date.
- *Prior Days* – the number of days prior to the *To Date* you wish to query; The default value is 1, which includes submission records for today and yesterday (one day prior to today) in the query. The drop-down list associated with the *Prior Days* field includes options 0, 1, 2, 5, 10, and 30.

If you wish to view submissions for dates other than today and yesterday, modify the *To Date* and/or the *Prior Days* values and select the **Refresh** button.

NOTE: To print the **List of My Submissions** page, use the print function of your browser by accessing the *File* menu and then selecting the *Print* option.

The following shortcut keys bring focus to elements of the MDS 3.0 File Submission system **List of My Submissions** page:

Alt + 2	To Date field
Alt + 3	Prior Days field
Alt + s	Refresh button

NOTE: Shortcut keys utilizing numbers function only with the numeric keys along the top of the keyboard. They do not function with the numeric keys in the “10-key” pad of the keyboard.