MDS Automation Training for MDS 3.0

Topics

- Submission Status Page
- MDS 3.0 Facility Final Validation Report
- CASPER report categories for MDS 3.0
- Error Messages
  - Fatal Errors
  - Warnings
- References

Planning the Journey

- **New to Review**
- **Your Facility Final Validation Report**

- **Have Section 5 of the Provider User's Guide Handy- Error Messages**

- **Run MDS 3.0 Reports, as needed**

Submission Confirmation Page

This page can be printed by pressing the **Print** Link in the top right.

4

Submission Status

Lists all files submitted by the user logged into the submission page.

5

Zero Records Processed

- BAD FILE—Fatal File Error
  - File cannot be read
  - No records in ZIP file can be extracted
- No Facility Final Validation Report
- Contact your vendor
  - File not per specifications

One or More Records Processed

- Facility Final Validation Report (FFVR)
  - Automatically generated
  - Inserted into CASPER folder
  - Can be viewed by anyone with a submitter user ID for that facility
  - Lists each record processed
    - Accepted or rejected
    - Error messages

Final Validation Report Location

- Login to CASPER,
- go to FOLDERS
  - **st LTC fac_id VR** – contains facility validation rpt

FFVR Format

- Report header information
  - Submission information
  - Facility information
  - Processing information
- Record header information
  - Record specific information
- Detail message information
  - Error information

Report Header Information

Submission Information
- Submission Date/Time
- Submitter User ID
- Submission ID
- Submission File Status

Facility Information
- State Code
- Facility Name
- Facility ID

Processing Information
- Processing Completion Date/Time
- # Records in Submission File
- # Invalid Records
- # Records Processed
- # Production Records Accepted
- # Production Records Rejected
- # Production Duplicate Records:
- # Production Records Submitted Without Facility Authority: (userid)
- # Production Records Submitted But Not Allowed: (subreq)
- Total # of Messages for Production Records

Report Header

CMS Submission Report ~ MDS 3.0 NH Final Validation Report

Submission Date/Time:	04/22/2012 14:06:16	
Processing Completion Date/Time:	04/22/2011215:15:10	
Submission ID:	8975	
Submission File Status:	Completed	Submission & facility
State Code:	IN	Information
Facility ID:	11940000	
Facility Name:	Facility Name	
Submitter User ID:	SSTEST1200	
# Records in Submission File:	16	
# Invalid Records:	0	
# Records Processed:	16	
# Production Records Accepted:	6	
# Production Records Rejected:	10	
# Production Duplicate Records:	0	
# Production Records Submitted		Processing Information
Without Facility Authority:	0	
# Production Records Submitted		
But Not Allowed:	0	
Total # of Messages for		
Production Records:	49	

Report Header Information

Record Information
- Record processing number
- Record status

Resident Information
- Asmt_ID
- Name (last, first)
- Res_Int_ID
- SSN

Record Details
- A0050 (type of transaction) – changed 4/1/12
- A0200 (type of provider code)
- Item Subset Code (ISC)
- A0310A (OBRA RFA)
- A0310B (PPS RFA)
- A0310C (PPS OMRA RFA)
- A0310D (SB clinical chg)
- A0310E (first assessment)
- A0310F (entry/discharge)
- A0310G (type of discharge) – new 4/1/12
- Target Date
- X1100E (attestation date)
- Data Spec Version #
- XML File Name

Report Header

Record: 1   Accepted ●——→ Record Information

Asmt_ID: 317144   Name: TEST1, MDSname1 ——→ Resident
Res_Int_ID: 15766136   SSN: 899741056   Information

A0200:   1 A0310A: 99   Target Date: 04/14/2012
A0310B: 01 A0310C: 0   Production/Test Indicator: PRODUCTION
A0310D: ^   A0310E: 1   Attestation Date (X1100E):
A0310F: 99 A0310G: ^   Type of Transaction (A0050): NEW RECORD
Item Subset Code: NP   Data Specs Version #: 1.10
XML File Name: IN_FAC11940000_RES09434_000
                           020729_A00_NP199990_01.xml

Record Details

Error Message Infomation

- Message number
  - Displays the unique message number & type of message (fatal/warning)
- Message
  - Displays the text of the message

Error Messages

- Every record is edited for potential issues
- 2 types of error messages
  - Fatal—"really bad"
    - Record is not accepted into ASAP system, i.e. rejected
    - Must correct record & submit 'new' record
  - Warnings—"issue" to "information alert"
    - Record is accepted into ASAP system
    - Should determine if need to address/fix something

Error Messages

- Common Fatal Errors
  - Work Flow Errors
  - User/Software Errors
  - Software Errors
- Common Warning Messages
  - Timing & Sequencing Errors
  - Informational Errors
  - Communication Errors

Error Message Examples

MDS 3.0 Item(s):	Submission Date, A0050, Z0500B
Invalid Data Submitted:	03/21/2011, 1, 01/20/2011
Message Number:	-3810d WARNING
Message:	Record Submitted Late: The
submission date is	more than 14 days after
Z0500B on this new	(A0050 equals 1) assessment

MDS 3.0 Item(s):	Z0100A, RECALCULATED_Z0100A
Invalid Data Submitted:	PA160, BA160
Message Number:	-3616a WARNING
Message:	Incorrect HIPPS/RUG Value: The
submitted	value of the HIPPS/RUG code does not
match	the value calculated by the QIES ASAP
System	

Most Common Fatal Errors

- -1007 Duplicate Assessment
  - The submitted record is a duplicate of a previously submitted record
- -1030 Missing Item
  - Based upon the Item Subset Code (ISC) submitted in this record, this item is required
- -3676 Invalid Value
  - The value submitted for this item is not an acceptable value

Most Common Fatal Errors Cont.

- -3573a Inconsistent Dates
  - The first date listed must be prior to or the same as the second date

- –3693a Invalid FAC_ID
  - The FAC_ID submitted in this file does not identify a valid provider in the QIES ASAP System

- -3693b Unauthorized Submitter
  - The submitter's User ID is not authorized to submit data on behalf of the provider identified by the FAC ID in this file

Most Common Fatal Errors Cont.

- -3658 No Authority to Collect Data
  - Privacy rights require federal &/or state authority to collect MDS data
  - There is no authority to collect the data submitted
  - Data was not accepted
- -1004 Invalid XML File Format
  - The submitted file is not structured properly or contains tags longer than 30 characters & cannot be processed

Common Warning Messages

- -3806 Inconsistent A0100C
  - The value submitted for A0100C (State Provider Number) does not match the State Provider Number in the QIES ASAP System for the provider identified by the FAC_ID in the file

- -1031 Resident Information Updated
  - Resident identifying data submitted in this item is not the same as the data previously submitted for this resident. Verify that the new information is correct.

Common Warning Messages cont.

- 1032 Resident Provider Updated
  - Our records indicated that a different provider previously cared for this resident. The provider associated with this resident was updated. Please verify.
- -1060 Medicare FY2011 RUG IV Transition RUG Calculated
  - A Medicare FY2011 Transition RUG IV was calculated for this assessment
- -3616b Incorrect RUG Logic Version
  - The submitted value of the RUG version code does not match the value calculated by the QIES ASAP System

Common Warning Messages cont.

- -3810d Record Submitted Late
  - The submission date is more than 14 days after Z0500B on this new (X0100 equals 1) assessment
- -3749a Assessment Completed Late
  - Z0500B (assessment completion date) is more than 14 days after A2300 (assessment reference date)

CASPER USEFUL REPORTS

Provider Reports

- Submitter Validation Report
- MDS 3.0 Activity
- MDS 3.0 Admission/Reentry
- MDS 3.0 Assessments with Error Number
- MDS 3.0 Discharges
- MDS 3.0 Error Detail by Facility
- MDS 3.0 Error Number Summary by Facility by Vendor

Reports Cont.

- MDS 3.0 Errors by Field by Facility
- MDS 3.0 Missing Assessment
- MDS 3.0 NH Assessment Print
- MDS 3.0 RFA Statistics
- MDS 3.0 Roster
- MDS 3.0 Submission Statistics by Facility
- MDS 3.0 Vendor List

Submitter Validation Report

- Rarely need to run
- Information should be on FFVR
- Run when FFVR for the submission lists fewer records than were submitted in the file
  - ASAP system could not read missing record   (-1004)
  - ASAP system could not identify facility of record   (-1003)
- Must be run by submitter of the file

MDS 3.0 Activity Report

- Lists the accepted assessments, tracking records, & inactivation requests that were submitted by or on behalf of a facility during a specified timeframe
  - Use to determine workload
  - Use to determine if record was submitted
  - Run monthly or more frequently

MDS 3.0 Admission/Reentry

- Lists the residents who were admitted to or reentered a facility during a specified timeframe
  - Use to compare to facility roster to ensure each new resident has an entry accepted in the ASAP database
  - If an Admission record has been submitted & the resident doesn't have an accepted entry record error –1018 (Inconsistent Record Sequence) will appear on the Final Validation report for the Admission record
  - Run monthly or more frequently

MDS 3.0 Discharges

- Lists the residents discharged (A0310F = 10, 11, or 12) from a facility during a specified timeframe
  - When a discharged resident appears on the MDS 3.0 Roster report, use this report to determine if discharge was accepted in the ASAP database
  - Use to derive a list of all residents discharged since the last survey or other time period
  - Run monthly or more frequently

MDS 3.0 Missing Assessment

- Lists the residents in select facilities for whom the target date of the most recent OBRA assessment (other than a discharge or death record) is more than 138 days prior to the report run date
- The report also includes residents for whom no OBRA record was submitted for a current episode that began more than 60 days prior to the report run date
    - Use as a QA tool to ensure all assessment have been successfully submitted

MDS 3.0 Roster

- Lists residents of a facility for whom the latest accepted, federally required assessment is not a Discharge assessment (A0310F = 10, 11, or 12)
    - Use to determine a list of all current residents at time of survey
    - Use as a QA tool to ensure all current residents have an entry record and all discharge residents have a discharge record in the ASAP database

MDS 3.0 Vendor List

- Lists all current vendors for select state
    - Use to determine active vendors within a state

References

- MDS 3.0 Data Submission Specifications on the CMS MDS 3.0 web site at: http://www.cms.gov/nursinghomequalityinits/30_nhqimds30technicalinformation.asp
- Minimum Data Set (MDS) 3.0 Provider User's Guide on the QTSO MDS 3.0 web site at: https://www.qtso.com/mds30.html
  - Section 5 contains the error & warning messages

Contact Information

- Sandra.McLamb@dhhs.nc.gov

- Phone # 919-855-4529

- Email is the best way to reach me.