CMS
CENTERS FOR MEDICARE & MEDICAID SERVICES

Inpatient Rehabilitation Facilities
Quality Reporting Program Provider Training

IRF-PAI Data Submission and CASPER Reports

Debra Weiland, BSN, RN, RAC-CT

May 19, 2016

Today's Presenter

Debra Weiland, BSN, RN, RAC-CT

Sr. Program Manager, Telligen

INPATIENT REHABILITATION FACILITIES

POST-ACUTE CARE PROGRAM

Objectives

- Identify methods to monitor CMS' data submission requirements for the IRF Quality Reporting Program (QRP).
- Discuss how to locate and interpret IRF-PAI Facility Final Validation Reports (FVRs).

Objectives (cont.)

- Describe useful Certification And Survey Provider Enhanced Reports (CASPER) reports available to IRFs.
- Identify most common Fatal Errors and Warning messages and the actions required for those errors.
- Describe the report retention time period change for the CASPER reports.
- Locate resources available to support providers with IRF-PAI data submission and CASPER reports.

Monitoring Status of IRF QRP Completion Requirements

- Access and review IRF-PAI Facility Final Validation Report.
- Utilize other available CASPER reports.
- Verify CDC data submission status from the National Healthcare Safety Network (NHSN) website or from IRF Provider Participation Report.

IRF-PAI Facility Final Validation Report

- Access and review IRF-PAI Facility Final Validation Report.
  - Automatically created and stored in your IRF's Validation Report (VR) folder in the CASPER Reporting application within 24 hours of submission of the zip file containing IRF-PAI records.
    - Link to the CASPER Reporting application is available on the Welcome to CMS QIES Systems for Providers web page.

INPATIENT REHABILITATION FACILITIES
POST-ACUTE CARE PROGRAM

IRF-PAI Submission User's Guide

- Refer to IRF-PAI Submission User's Guide for detailed information about:
  - Submitting IRF-PAI assessments to the QIES Assessment Submission and Processing (ASAP) System.
  - Accessing the VR folder in the CASPER Reporting application.
  - Locating the IRF-PAI Facility Final Validation Report.

INPATIENT REHABILITATION FACILITIES
POST-ACUTE CARE PROGRAM

IRF-PAI Submission User's Guide (cont.)

- IRF-PAI Submission User's Guide is available in the following locations:
  - Welcome to the CMS QIES Systems for Providers web page.
  - IRF-PAI User Guides & Training page on the QIES Technical Support Office (QTSO) website: https://www.qtso.com/irfpaitrain.html

IRF-PAI Facility Final Validation Report

- Provides detailed accounting of errors found during the validation of the records contained in the IRF-PAI submission file.
- Only displays information about the records if the Facility ID could be verified by the ASAP system.

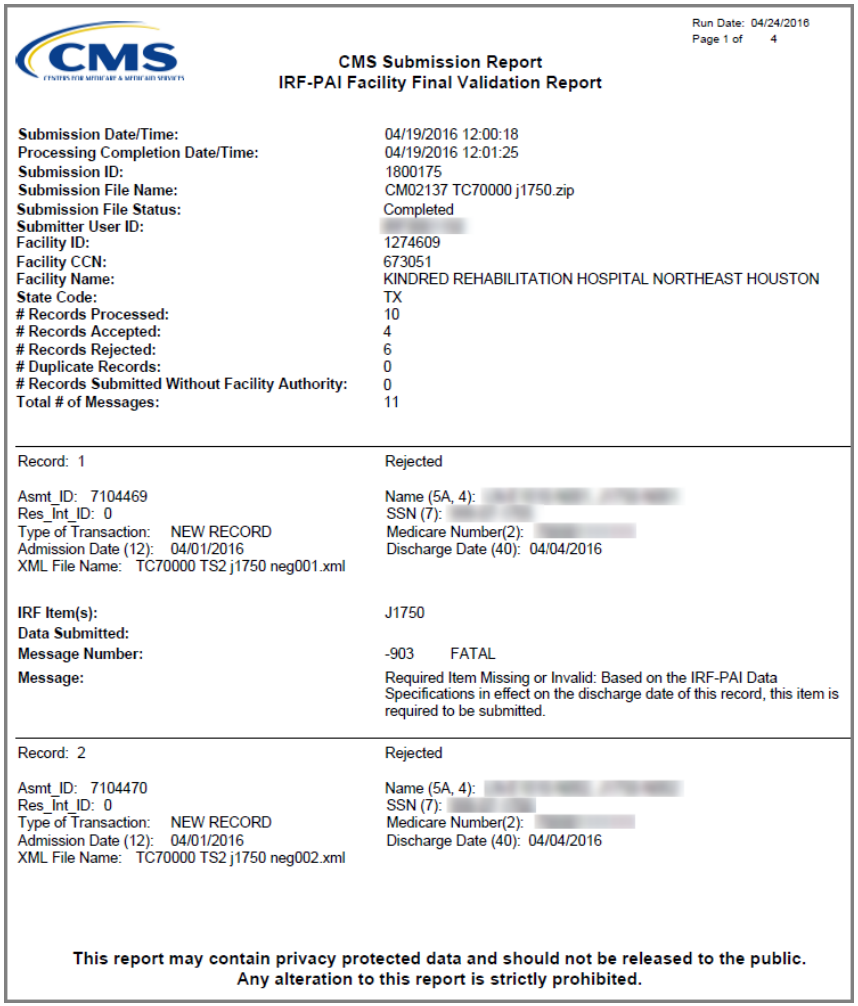
IRF-PAI Facility Final Validation Report (cont.)

- Final validation report is automatically deleted from the VR folder after 60 days.
- Print or save the FVR prior to the system deletion.
- Should FVR be deleted before it is saved or printed, providers can request a replacement in the CASPER Reporting application.

IRF-PAI Facility Final Validation Report (cont.)

- If a system-generated IRF-PAI Facility FVR is not created for a submission, a severe error occurred with the zip file or the files contained within the zip file.
- To identify the errors that were encountered, request the IRF-PAI Submitter FVR, a user-requested report available in the CASPER Reporting application.
- IRF-PAI Submitter FVR can only be requested by the user that submitted the file of IRF-PAI records.

Sample IRF-PAI Facility Final Validation Report



Run Date: 04/24/2016
Page 1 of 4

CMS Submission Report
IRF-PAI Facility Final Validation Report

Submission Date/Time:	04/19/2016 12:00:18
Processing Completion Date/Time:	04/19/2016 12:01:25
Submission ID:	1800175
Submission File Name:	CM02137 TC70000 j1750.zip
Submission File Status:	Completed
Submitter User ID:	[redacted]
Facility ID:	1274609
Facility CCN:	673051
Facility Name:	KINDRED REHABILITATION HOSPITAL NORTHEAST HOUSTON
State Code:	TX
# Records Processed:	10
# Records Accepted:	4
# Records Rejected:	6
# Duplicate Records:	0
# Records Submitted Without Facility Authority:	0
Total # of Messages:	11

Record: 1 — Rejected

Asmt_ID: 7104469
Res_Int_ID: 0
Type of Transaction: NEW RECORD
Admission Date (12): 04/01/2016
XML File Name: TC70000 TS2 j1750 neg001.xml

Name (5A, 4): [redacted]
SSN (7): [redacted]
Medicare Number(2): [redacted]
Discharge Date (40): 04/04/2016

IRF Item(s): J1750
Data Submitted:
Message Number: -903 FATAL
Message: Required Item Missing or Invalid: Based on the IRF-PAI Data Specifications in effect on the discharge date of this record, this item is required to be submitted.

Record: 2 — Rejected

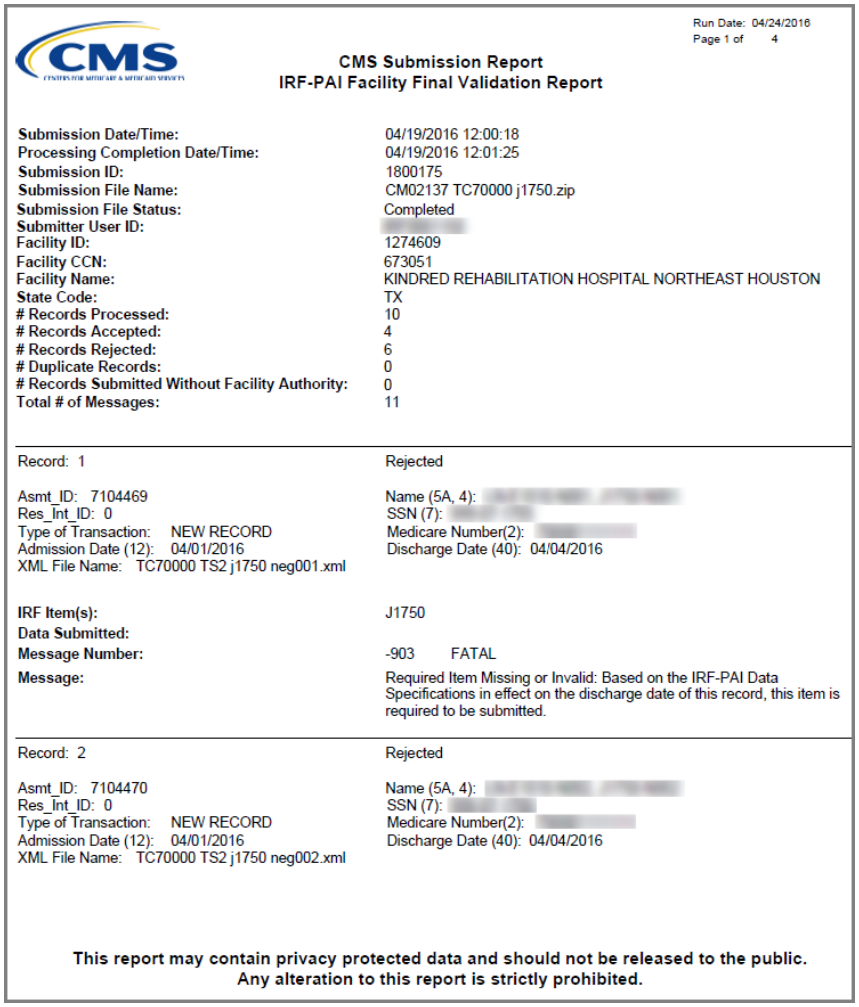
Asmt_ID: 7104470
Res_Int_ID: 0
Type of Transaction: NEW RECORD
Admission Date (12): 04/01/2016
XML File Name: TC70000 TS2 j1750 neg002.xml

Name (5A, 4): [redacted]
SSN (7): [redacted]
Medicare Number(2): [redacted]
Discharge Date (40): 04/04/2016

This report may contain privacy protected data and should not be released to the public.
Any alteration to this report is strictly prohibited.

INPATIENT REHABILITATION FACILITIES
POST-ACUTE CARE PROGRAM

Sample IRF-PAI Facility Final Validation Report (cont.)



Run Date: 04/24/2016
Page 1 of 4

CMS Submission Report
IRF-PAI Facility Final Validation Report

Submission Date/Time:	04/19/2016 12:00:18
Processing Completion Date/Time:	04/19/2016 12:01:25
Submission ID:	1800175
Submission File Name:	CM02137 TC70000 j1750.zip
Submission File Status:	Completed
Submitter User ID:	[redacted]
Facility ID:	1274609
Facility CCN:	673051
Facility Name:	KINDRED REHABILITATION HOSPITAL NORTHEAST HOUSTON
State Code:	TX
# Records Processed:	10
# Records Accepted:	4
# Records Rejected:	6
# Duplicate Records:	0
# Records Submitted Without Facility Authority:	0
Total # of Messages:	11

Record: 1 — Rejected

Asmt_ID: 7104469
Res_Int_ID: 0
Type of Transaction: NEW RECORD
Admission Date (12): 04/01/2016
XML File Name: TC70000 TS2 j1750 neg001.xml

Name (5A, 4): [redacted]
SSN (7): [redacted]
Medicare Number(2): [redacted]
Discharge Date (40): 04/04/2016

IRF Item(s): J1750
Data Submitted:
Message Number: -903 FATAL
Message: Required Item Missing or Invalid: Based on the IRF-PAI Data Specifications in effect on the discharge date of this record, this item is required to be submitted.

Record: 2 — Rejected

Asmt_ID: 7104470
Res_Int_ID: 0
Type of Transaction: NEW RECORD
Admission Date (12): 04/01/2016
XML File Name: TC70000 TS2 j1750 neg002.xml

Name (5A, 4): [redacted]
SSN (7): [redacted]
Medicare Number(2): [redacted]
Discharge Date (40): 04/04/2016

This report may contain privacy protected data and should not be released to the public.
Any alteration to this report is strictly prohibited.

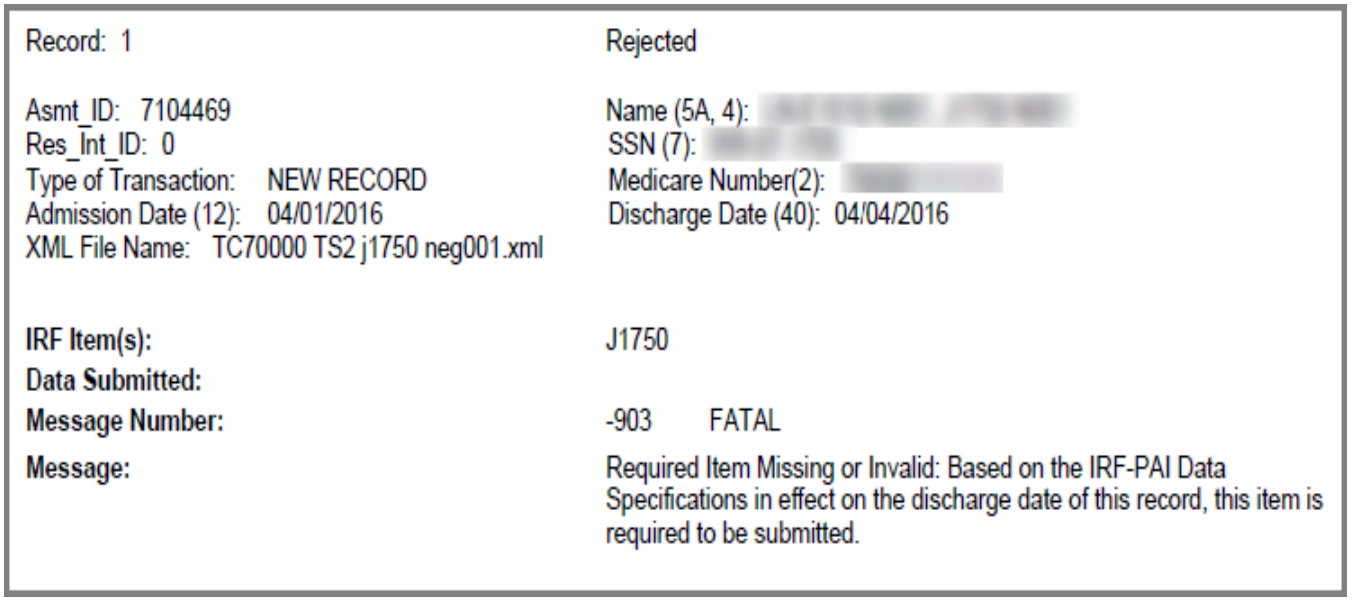
Two sections:

Header

Body

INPATIENT REHABILITATION FACILITIES
POST-ACUTE CARE PROGRAM

Body Section of IRF-PAI Facility Final Validation Report



Record: 1	Rejected
Asmt_ID: 7104469	Name (5A, 4):
Res_Int_ID: 0	SSN (7):
Type of Transaction: NEW RECORD	Medicare Number(2):
Admission Date (12): 04/01/2016	Discharge Date (40): 04/04/2016
XML File Name: TC70000 TS2 j1750 neg001.xml	
IRF Item(s):	J1750
Data Submitted:	
Message Number:	-903 FATAL
Message:	Required Item Missing or Invalid: Based on the IRF-PAI Data Specifications in effect on the discharge date of this record, this item is required to be submitted.

Body Section Contains:

Record Information

Patient Information

Error Information

INPATIENT REHABILITATION FACILITIES
POST-ACUTE CARE PROGRAM

IRF-PAI Final Validation Report Error Message Details

- IRF Item(s)
  - List of items to which the error message pertains.
- Data Submitted
  - Lists the submitted values of the items listed in the IRF Item(s) list.
- Message Number
  - Displays the unique message number and type of message (Fatal/Warning).
- Message
  - Displays the text of the message.

Record Status

- Identify the record status for each IRF-PAI record in the submission file.
  - Accepted: record encountered no fatal errors and was saved into the ASAP system.
    - Records that encounter only warning messages are saved into the ASAP system.
  - Rejected: record encountered one or more Fatal errors and was NOT saved into the ASAP system.

Record Status (cont.)

- If IRF-PAI record encounters one or more Fatal errors:
  - Correct item(s) in error and resubmit the record to the ASAP system.
- If IRF-PAI record encounters one or more warning messages:
  - Review warning message to determine if follow-up is required.

Additional CASPER Reports for QRP Monitoring

Additional CASPER Reports

- IRF Provider Participation Report.
  - Note: this report will be renamed to **IRF PROVIDER THRESHOLD REPORT** in October 2016.
- IRF-PAI Assessment Print.
- IRF-PAI Assessments with Error Number XXXX.
- IRF-PAI Discharges.
- IRF-PAI Error Detail by Facility.
- IRF-PAI Error Number Summary by Facility by Vendor.

Additional CASPER Reports (cont.)

- IRF-PAI Errors by Field by Facility.
- IRF-PAI Facility Final Validation Report.
- IRF-PAI Submission Activity.
- IRF-PAI Submission Statistics by Facility.
- IRF-PAI Submitter Final Validation Report.

CASPER Reporting User's Guide

- Detailed information about the CASPER Reports is available in the CASPER Reporting User's Guide. This user's guide is available in the following locations:
  - Welcome to the CMS QIES Systems for Providers web page.
  - IRF-PAI User Guides & Training page on the QIES Technical Support Office (QTSO) website: https://www.qtso.com/irfpaitrain.html

Check Your Understanding

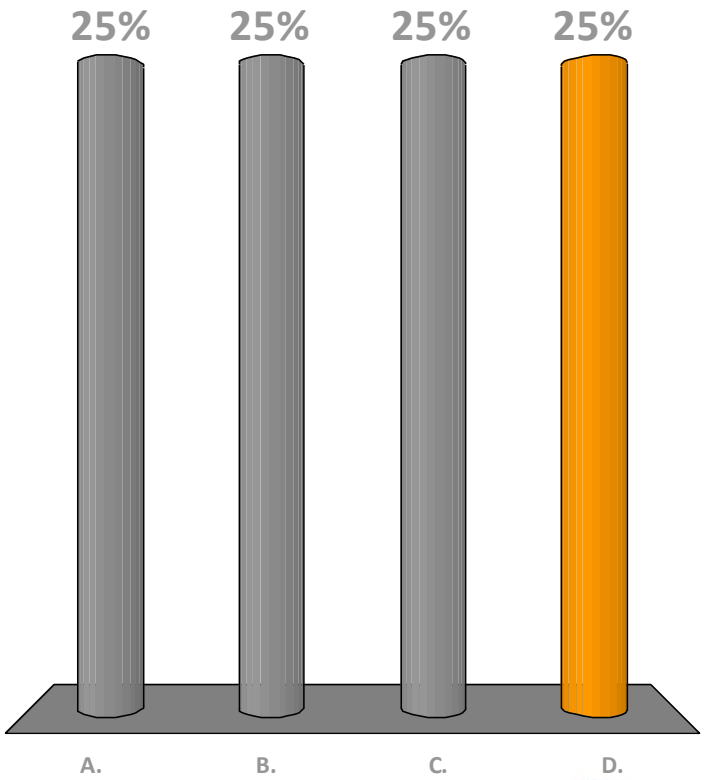
Which CASPER report can be requested to confirm that an IRF-PAI assessment was accepted into the ASAP system for a selected time period?

A. IRF-PAI Facility Final Validation Report.

B. IRF-PAI Discharges Report.

C. IRF-PAI Submission Activity Report.

✓ D. All of the above.



60

INPATIENT REHABILITATION FACILITIES
POST-ACUTE CARE PROGRAM

Check Your Understanding

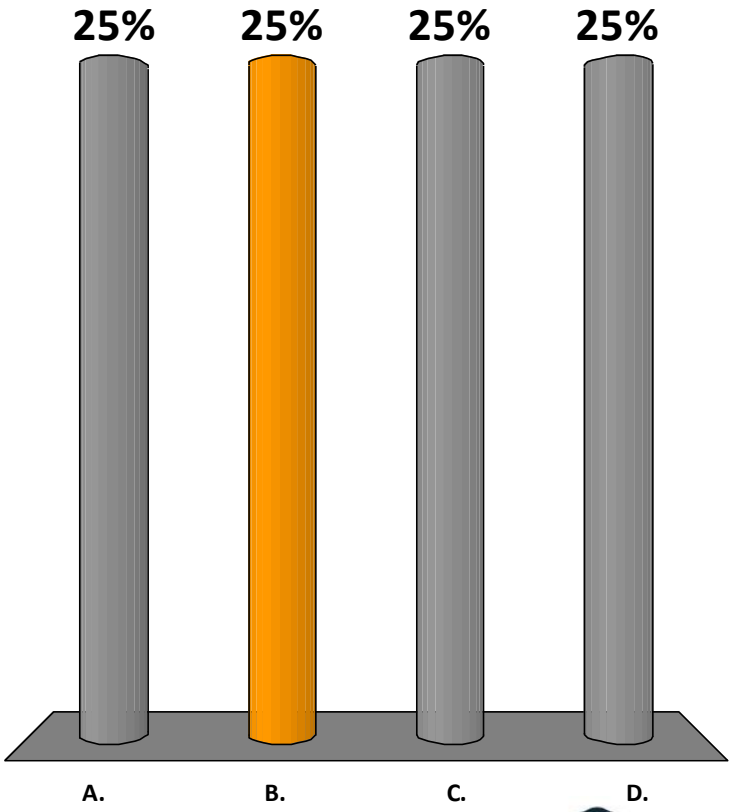
Which CASPER report could be used to identify your provider's compliance with the CDC data submission requirement?

A. IRF-PAI Submission Statistics Report.

✓ B. IRF Provider Participation Report (soon to be IRF Provider Threshold Report).

C. IRF-PAI Submission Activity Report.

D. None of the above.



Most Common Fatal Errors and Warning Messages

Common Types of Fatal Errors

- Workflow Errors:
  - Submission procedural issues – duplicate submissions.
  - Submission authority issues.
- User Errors:
  - Invalid or incorrect data entered.
  - Ignored software edits.
- Software Errors:
  - Data entry software used to create the IRF-PAI records does not conform to the requirements in the IRF-PAI Data Submission Specifications.

INPATIENT REHABILITATION FACILITIES
POST-ACUTE CARE PROGRAM

Common Types of Warning Messages

- Timing errors
  - IRF-PAI records were not completed and submitted timely.
- Dash entered in a quality item
  - One or more of the quality items in an IRF-PAI assessment contained a dash (‘-’).
- Information updated
  - Provider or patient information was updated.

Most Common Fatal Errors

Most Common Fatal Errors (cont.)

- Error message – 907
  - Duplicate Record: The submitted record is a duplicate of a previously accepted record.
- Fatal error.
- Provider workflow error.
- IRF-PAI assessment already exists in the QIES ASAP database and should not be resubmitted.
- Action required:
  - Determine why this record was submitted multiple times.
  - Do not resubmit this record; it is already in the database.
  - Develop a mechanism to track the IRF-PAI record submissions.

Most Common Fatal Errors (cont.)

- Error message – 906
  - No Match Found: No existing record was found in the QIES ASAP database for the submitted modification/inactivation record.
- Fatal error.
- Provider workflow error.
- Indicates that no existing record was found in the ASAP database to which to modify or inactivate.
- Action required:
  - Ensure the record and patient identifiers in the modification/inactivation record match the same values on the existing IRF-PAI record.
  - If the original record was not accepted by the ASAP system, do not submit a modification or inactivation record. Submit the original record.

INPATIENT REHABILITATION FACILITIES
POST-ACUTE CARE PROGRAM

Most Common Fatal Errors (cont.)

- Error message – 902
  - Invalid XML File: The submitted file does not have a valid XML file name extension.
- Fatal error.
- Software error.
- Each IRF-PAI record submitted to the QIES ASAP system must be a properly formatted XML file.
- Action required:
  - Contact your software vendor.
  - Refer your vendor to the data specifications for file submission requirements.
  - Recreate and/or rename the .xml file and resubmit.

Most Common Fatal Errors (cont.)

- Error message – 903.
  - Required Item Missing or Invalid: Based on the IRF-PAI Data Specifications in effect on the discharge date of this record, this item is required to be submitted.
- Fatal error.
- Software error/user error.
- Causes:
  - Software did not notify user that invalid date was entered for an item or the item was left unanswered.
  - Software did notify the user that invalid data was entered for an item or the item was left unanswered, but the user ignored the errors produced by the software.
- Action required:
  - Contact your software vendor.
  - Do not ignore messages produced by the software.
  - Make appropriate corrections to the record and resubmit.

Most Common Warning Messages

Most Common Warning Messages (cont.)

- Error message – 1030.
  - Patient Provider Updated: Our records indicated that a different provider previously cared for this patient. The provider associated with this patient has been updated.
- Warning message.
- Causes:
  - A different provider submitted the previous record for this patient. The QIES ASAP System was updated to reflect the patient's new provider of care.
- Action required:
  - This is an informational message, so no action is required.

Most Common Warning Messages (cont.)

- Error message – 1031.
  - Patient Information Mismatch: Submitted value(s) for the item(s) listed do not match the values in the QIES ASAP database. If the record was accepted, the patient information in the database was updated. Verify that the new information is correct.
- Warning message.
- Causes:
  - Occurs when patient information in the submitted IRF-PAI record is different than the same information for the patient in the national resident table.
- Action required:
  - Verify updated information is correct.

Most Common Warning Messages (cont.)

- Error message – 1072.
  - Late Transmission (Submission): This record was transmitted (submitted) late. The transmission (submission) date must be reported on your Medicare claim, and may result in a late transmission penalty.
- Provider workflow error.
- Warning message.
- Causes:
  - Occurs when the IRF-PAI assessment is submitted more than 27 days after the Discharge Date (40) on the assessment.
- Action required:
  - To avoid this warning in the future, review assessment submission timing requirements.

Most Common Warning Messages (cont.)

- Error message – 1060.
  - Inconsistent 12/13. The Assessment Reference Date (13) usually must be two days later than the Admission Date (12).
- Provider workflow error.
- Warning message.
- Causes:
  - The submitted Assessment Reference Date (13) is not 2 days after the Admission Date (12).
- Action required:
  - To avoid this warning in the future, review assessment timing requirements.

Most Common Warning Messages (cont.)

- Error message – 1024.
  - Facility Information Updated: Submitted value(s) for the item(s) listed are not the same as the values in the QIES database. The database has been updated.
- Warning message.
- Causes:
  - The submitted facility information differs from what is stored in the QIES ASAP database for this provider. The database was updated with this new information.
  - Message applies to IRF sub-units only.
- Action required:
  - Verify that the facility information in the encoding software is correct.

Most Common Warning Messages (cont.)

- Error message – 5004.
  - Entering a dash as a response to a Quality item may result in a payment reduction for your facility of two percentage points for the applicable fiscal year annual increase factor.
    - IRF's Annual Payment Update or APU could be negatively impacted.
- Warning message.
- User error.
- Causes:
  - IRFs should limit their use of the dash (-) as a coding option, unless the requested information is truly unavailable. Frequent use of this response code dash (-) may result in a 2 percentage point reduction to the applicable FY annual increase factor.
- Action required:
  - Make appropriate corrections to the record and resubmit.
  - Refer to the data specifications in effect for this record to identify the acceptable values for the item.
  - Avoid submitting a dash in a quality item.

IRF-PAI Error Messages

- A list of all possible errors, cause of the error, and tips or corrective actions are contained in Section 5 – Error Messages in the IRF-PAI Submission User's Guide.
  - Refer to Section 5 when reviewing errors on the IRF-PAI Facility Final Validation Report.

CASPER Report Retention Time Period Change

CASPER Report Retention Time Period Change

- What's Changing?
  - Reports you request from the IRF-PAI Provider report category are currently available in your My Inbox folder for a period of 730 days.
  - In summer 2016, the report retention time period will change to 60 days.

CASPER Report Retention Time Period Change (cont.)

- All reports in your My Inbox folder with a "Date Requested" date equal to or greater than 60 days old will be automatically deleted.
- All new reports requested after the report retention time period change will be retained for 60 days.

CASPER Report Retention Time Period Change (cont.)

- What should you do?
  - Print or save the reports now that you wish to retain, prior to the report retention time period change this summer.
  - Reports can be requested again if they have been automatically deleted before they could be printed or saved.

CASPER Report Retention Time Period Change (cont.)

- Additional reminders about the report retention time period change will be provided prior to implementing the change:
  - Listserv announcement.
  - MLN announcement.
  - Posting on the QIES Technical Support Office (QTSO) website.
  - Posing on the Welcome to the CMS QIES Systems for Providers web page.

Technical User Guides

- IRF-PAI Submission User's Guide.
- CASPER Reporting User's Guide.
  - Available in the following locations:
    - Welcome to the CMS QIES Systems for Providers web page.
    - IRF-PAI User Guides & Training page on the QIES Technical Support Office (QTSO) website: https://www.qtso.com/irfpaitrain.html

Technical Help Desk Support

- Contact the QIES Technical Support Office Help Desk for assistance with the following:
  - Support for the IRF-PAI data submission.
  - Locating or interpreting the IRF-PAI Facility Final Validation report or other CASPER reports.
- Contact information:
  - Phone: (800) 339-9313
  - E-mail: help@qtso.com

INPATIENT REHABILITATION FACILITIES
POST-ACUTE CARE PROGRAM

Questions?