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# 3

## SYSTEM FUNCTIONS

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## BASIC FUNCTIONS OF IRF-PAI SYSTEM (FACILITY USERS)

For facility users, there are three basic functions of the IRF-PAI system. They are:

- Establishing the communication connection
- Submitting electronic IRF-PAI files
- Receiving and interpreting validation reports

The following sections provide instructions and procedures for each of these functions.

### ESTABLISHING THE COMMUNICATION CONNECTION

The communications component of the IRF-PAI System supports the transfer of IRF-PAI data between facilities and the National Assessment Collection Database (NACD). In order to connect to the NACD, you must first ensure that you have a CMSNet user ID and that communications software is correctly installed on your PC.

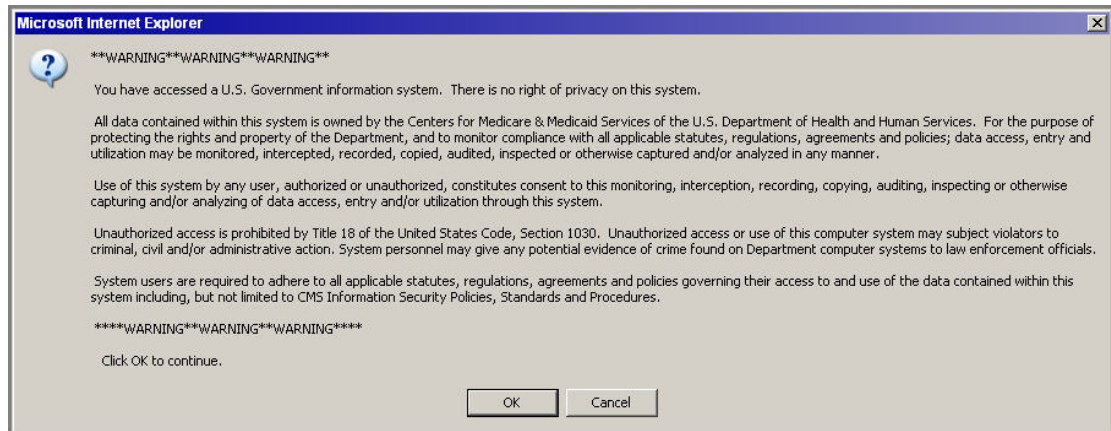
**NOTE:** To install software on your computer, you must have Administrative Rights. If you were not granted Administrative Rights to install software to your PC, please contact your computer support personnel.

To obtain a CMSNet user ID, complete and submit the CMSNet Access Request Form found on the QIES Technical Support Office (QTSO) web site at <https://www.qtso.com/cmsnet.html>. An 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 installation guide also includes instructions for connecting to CMSNet once the software is installed.

**NOTE:** If you encounter difficulties connecting to CMSNet, contact the CMSNet Help Desk at (800) 905-2069.

Prior to accessing a CMS system a **No Right of Privacy** pop-up window (Figure 3-1) is presented.

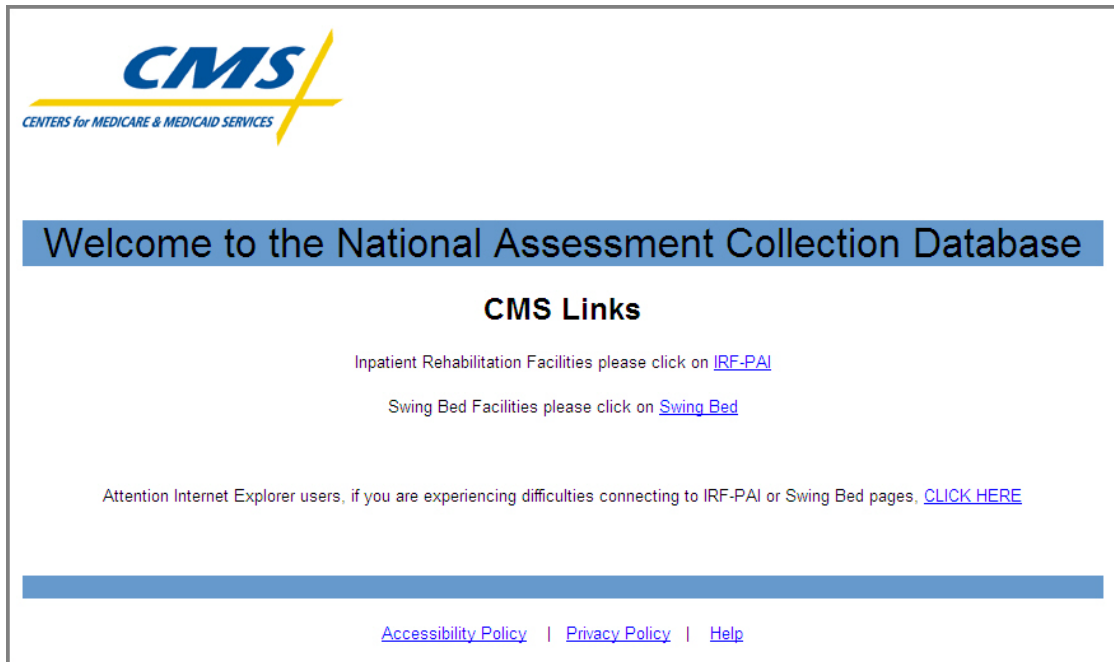
**Figure 3-1. No Right of Privacy Pop-Up Window**



The **No Right of Privacy** pop-up window informs you that you have accessed a U.S. Government information system for which you have no right to private use. All data contained within the system is owned by CMS. Data access, entry and utilization may be monitored, intercepted, recorded, copied, audited, inspected or otherwise captured and/or analyzed in any manner, and use of the system constitutes consent to this. Unauthorized access is prohibited by Title 18 of the United States Code, Section 1030. Unauthorized use of the system may subject violators to criminal, civil and/or administrative action. System users are required to adhere to all applicable statutes, regulations, agreements and policies governing their access to and use of the data contained within the system.

You may select the **Cancel** button if you do not wish to access the CMS web site. Otherwise, select the **OK** button. The **National Assessment Collection Database Welcome** page (Figure 3-2) is presented.

**Figure 3-2. NACD Welcome Page**



The **NACD Welcome** page includes the following links:

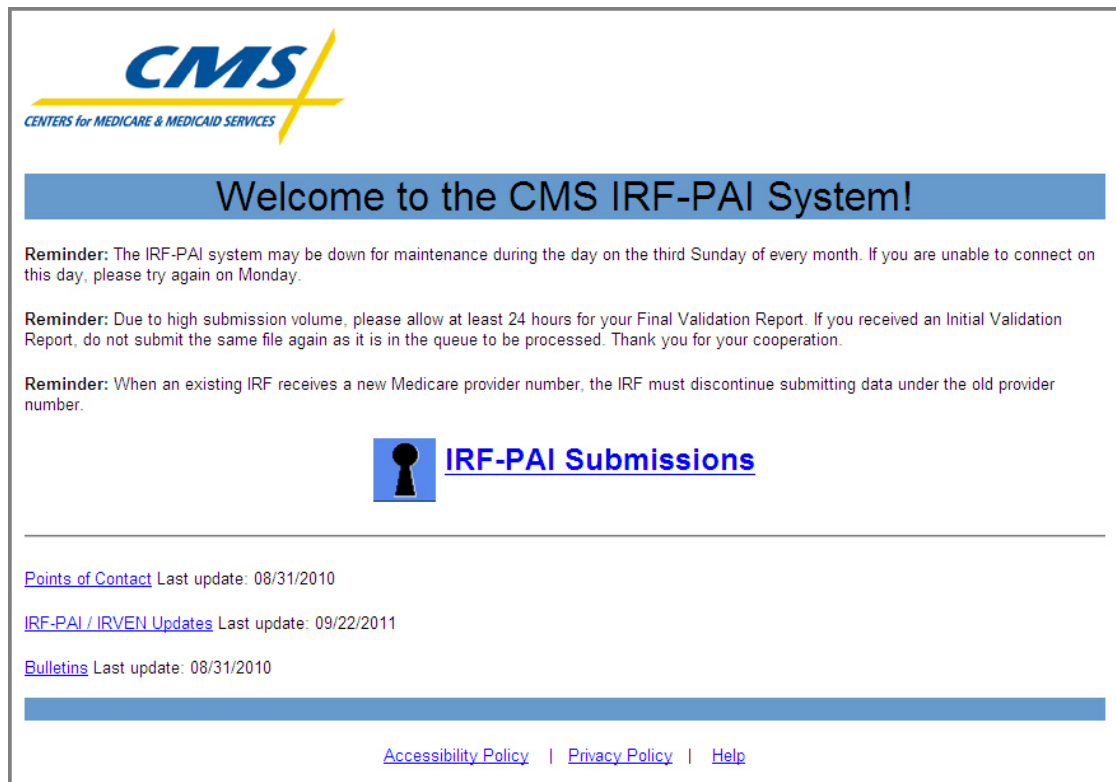
[IRF-PAI](#) – for use by Inpatient Rehabilitation Facilities to access the IRF-PAI system

[Swing Bed](#) – for use by swing bed hospitals to access the SB-MDS 2.0 submission system

### **Accessing The IRF-PAI System**

From the **NACD Welcome** page select the [IRF-PAI](#) link to access the **IRF-PAI System Welcome** page (Figure 3-3).

**Figure 3-3. IRF-PAI System Welcome Page**



The following links may be available to you on the **IRF-PAI System Welcome** page:

- [IRF-PAI Submissions](#) – provides access to the IRF-PAI System menu and the functions provided there
- [Points of Contact](#) – provides a list of contacts (names, addresses, phone numbers, fax numbers, and e-mail addresses, as applicable). Here you can identify the contact to whom you should direct questions pertaining to the IRF-PAI System.
- [IRF-PAI / IRVEN Updates](#) – provides information about updates to the IRF-PAI system and the IRVEN software.
- [Bulletins](#) – provides relevant IRF-PAI news and notices

To login to the IRF-PAI system, select the [IRF-PAI Submissions](#) link. The **IRF-PAI Login** page is presented (Figure 3-4).

**Figure 3-4. IRF-PAI Login Page**

The image shows the IRF-PAI Login page. It features a background of a repeating pattern of medical symbols (Caduceus). In the center, the text "IRF-PAI Login" is displayed in a large, bold, black font. Below this, the instruction "Please enter the User ID and Password" is written in a smaller black font. There are two input fields: "User ID:" and "Password:". The "User ID:" field is a white rectangular box. The "Password:" field is a white rectangular box with a small "Login" button to its right. Below the password field, there are two blue hyperlinks: "Unable to login?" and "Click here to reset your User ID/Password".

Enter a valid User ID and Password and press the **Enter** key or select the **Login** button.

**NOTE:** If you have problems with your submission connection, contact the QTSO Help Desk at (800) 339-9313.

### **Changing Password**

The first time you enter your password for submission to the National Collection Database, and every 60 days thereafter, your password expires. Type in your new password on the **IRF-PAI Password Change** page (Figure 3-5) and click the **Update** button.

**NOTE:** This password change **only** affects the IRF-PAI submissions system.

**Figure 3-5. IRF-PAI Password Change Page**

IRF-PAI Update Password - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Media TV

Address  Go Links >>

**IRF-PAI Password Change**

*A valid password must be at least six characters long and must be different from the previous password.*

User ID:

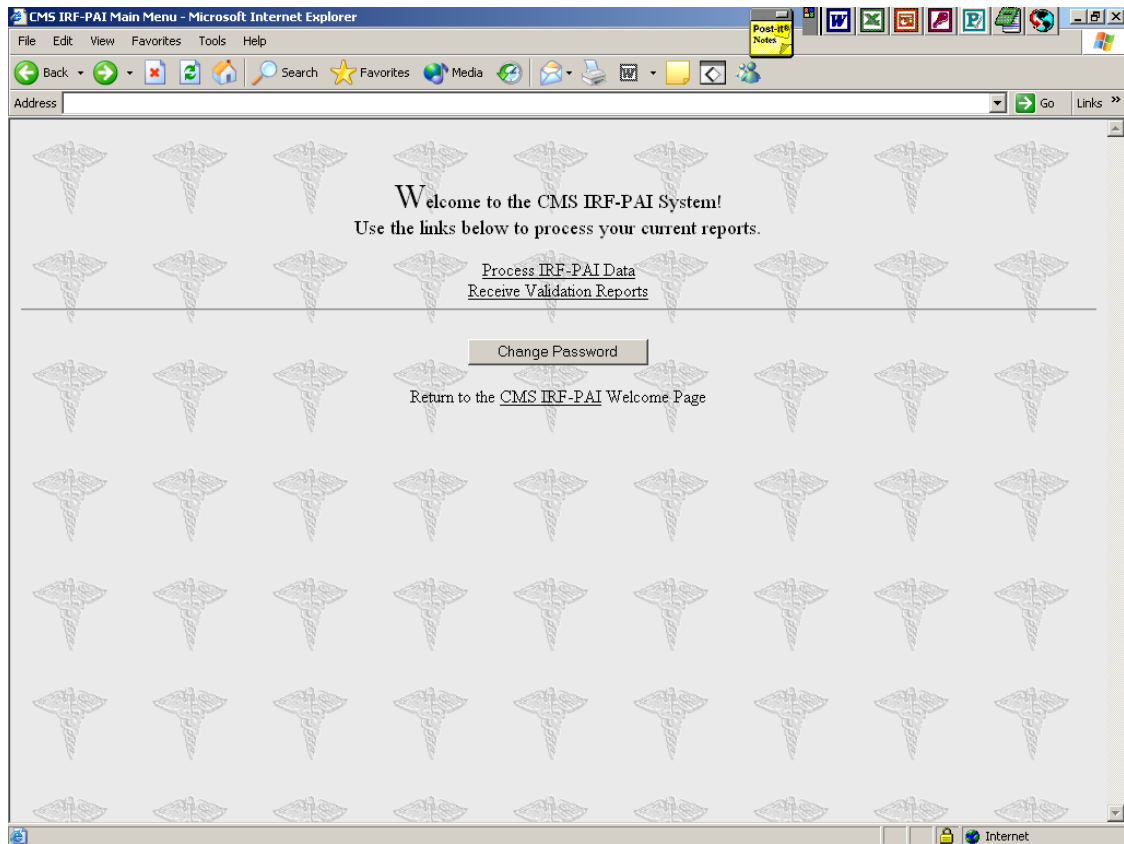
New password:

Enter again:

Done Internet

After entering valid login information and selecting the **OK** button, the **CMS IRF-PAI Main Menu** (Figure 3-6) is presented.

**Figure 3-6. CMS IRF-PAI Main Menu Page**



The link options on this page are as follows:

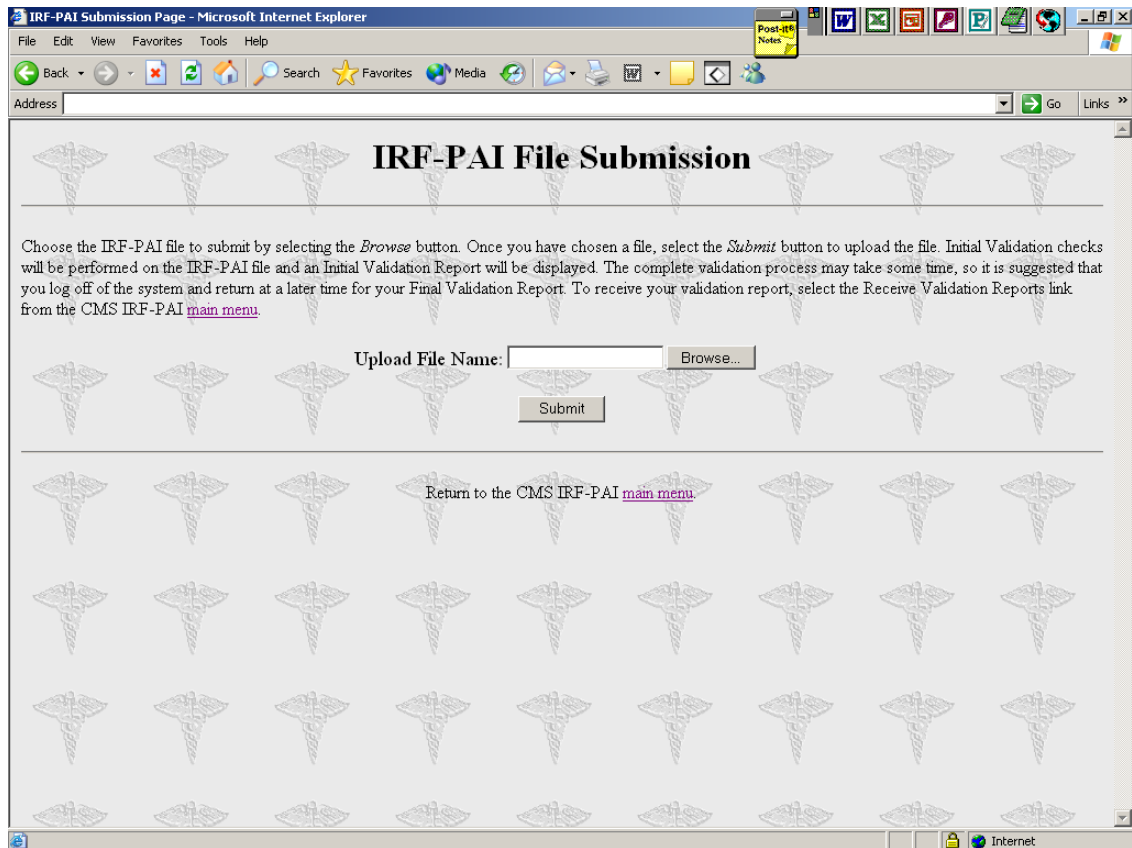
- Process IRF-PAI Data - allows the user to submit the IRF-PAI data records to the National Assessment Collection Database.
- Receive Validation Reports - provides access to the Initial Feedback Reports and Final Validation Reports.
- Change Password - allows user to change their password.
- CMS IRF-PAI - return to the CMS IRF-PAI Welcome Page.

## **SUBMITTING IRF-PAI DATA FILES**

To submit your IRF-PAI data, select the Process IRF-PAI Data link on the **CMS IRF-PAI Main Menu** page. The **IRF-PAI File Submission** page is presented. This page includes instructions and information about submitting IRF-PAI files, as well as a data entry field for the name of the IRF-PAI file. (Figure 3-7).



**Figure 3-7. IRF-PAI File Submission Window**

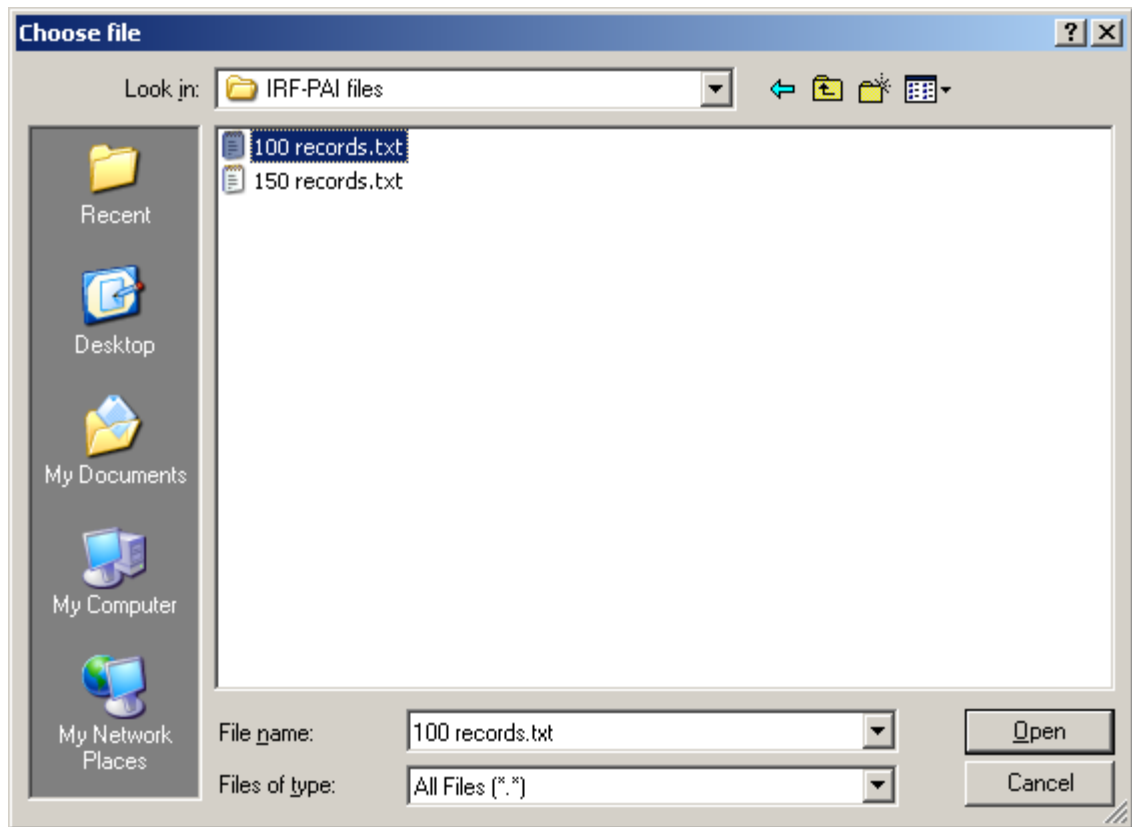


**NOTE:** You must use software capable of encoding IRF-PAI records and exporting data files in accordance with CMS's standard record layout specifications for the current version of the IRF-PAI.

The recommended procedure to enter a file name is to use the **Browse** button. However, if the file name is known, the user may point and click in the *Upload File Name:* field and simply type in the file name including the complete path to it (e.g., c:\pai\myfile.xxx).

After selecting the **Browse** button, a **Choose File** pop-up window is presented allowing you to select from files on the hard drive or a floppy disk (Figure 3-8).

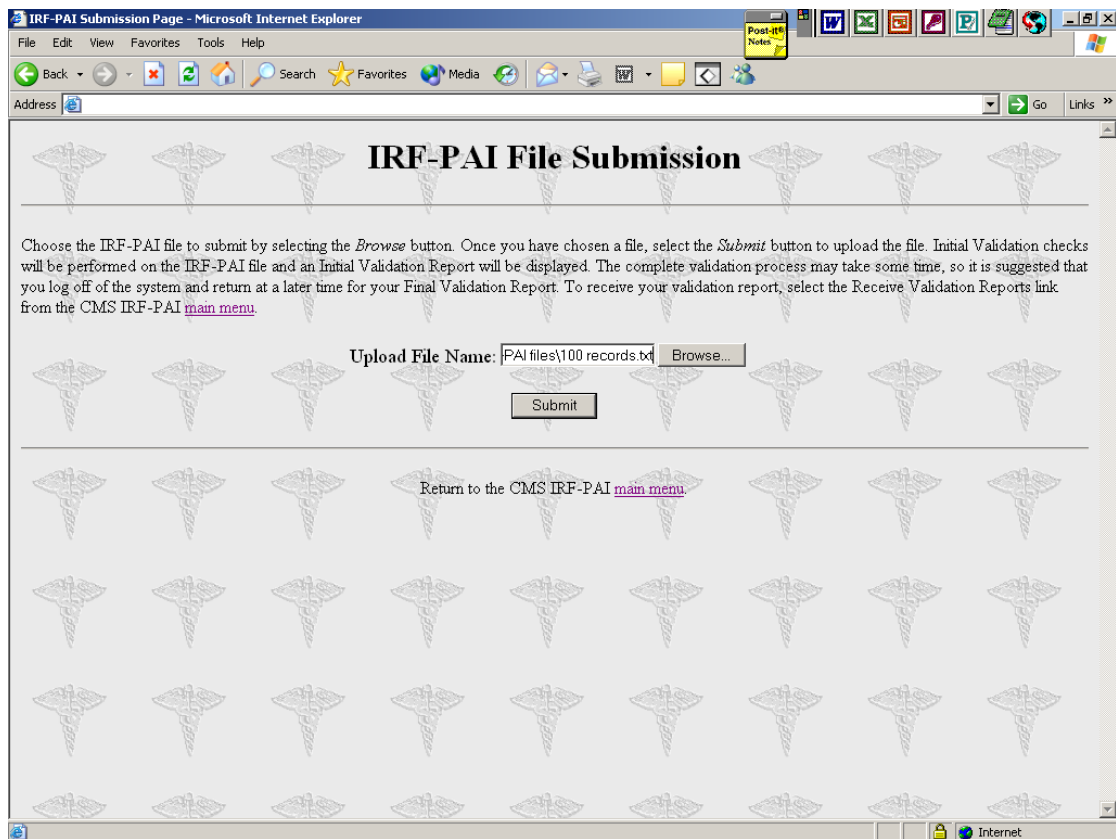
**Figure 3-8. Choose File Window**



Select **All Files (\*.\*)** from the dropdown list in the *Files of Type:* field so that you do not limit the types of files shown in the list. Verify that the correct folder is selected in the *Look In:* field. The list of file names will display in the area above the *File Name:* field. To select a file for submission, double click the file name or single click and then select the **Open** button.

After selecting a file, the file name will display in the *Upload File Name:* field on the IRF-PAI File Submission window. Select the **Submit** button to begin transmitting the file. If you decide not to submit a file, select the Return to CMS IRF-PAI main menu link at the bottom of the IRF-PAI File Submission window to return to the CMS IRF-PAI Main Menu. (Figure 3-9).

**Figure 3-9. IRF-PAI File Submission Window**

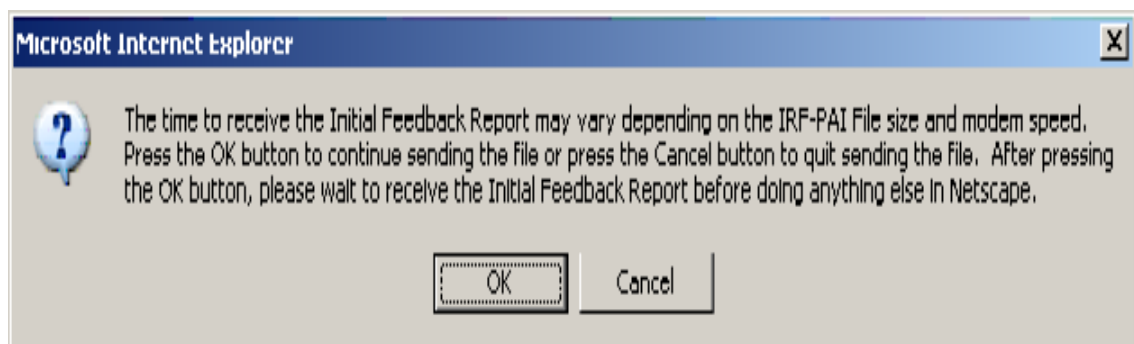


After selecting the **Submit** button, a confirmation message displays.

The confirmation message serves as a reminder that the time required to generate the Initial Feedback Report will vary and that you should wait for the report before continuing with any other functions.

To continue the submission process, select the **OK** button. Select the **Cancel** button in order to discontinue the submission process. (Figure 3-10).

**Figure 3-10. Confirmation Message**



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After selecting the **OK** button to continue the submission process, it is recommended that you remain on the IRF-PAI File Submission window and not execute any other functions until after receipt of the Initial Feedback Report.

**NOTE:** There is a risk of losing the connection or interrupting the file submission process if you do not wait for the Initial Feedback Report

The Initial Feedback Report indicates that the IRF-PAI System has performed a basic validation check on the submitted file. It also indicates whether the submission has been accepted or rejected. If the submitted file is rejected, the Initial Feedback Report includes the reason for rejection.

**NOTE:** The Initial Feedback Report will only display errors found on the header and trailer records. It will not include errors that may be found on the data records. Those errors will be displayed on the Final Validation Report.

See the next section for detailed information about the validation process and reports.

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## REPORTS

After submitting to the National Assessment Collection Database, the IRF-PAI System will validate the structure and data content of the file. These validations are based on the current IRF-PAI Data Specifications.

The system generates two reports:

- Initial Feedback Report - indicates whether the file being submitted passes the initial check of header and trailer information.
- Final Validation Report - provides a detailed account of any errors found during the record validation process.

**NOTE:** You will not receive a Final Validation report if your Initial Feedback report indicates that your batch has been rejected.

Both reports are formatted as text files with column specifications so that they may easily be read, printed, or downloaded.

The first section of both the Initial Feedback Report and the Final Validation Report contains the following information:

- The Report Date/Time-displays the date and time that the report was created.
- Edit Specs Version - indicates the data specifications version used in the edit checking process.
- Batch Status - indicates whether the file has been *received* successfully or *rejected* based on the initial validation check. If it is rejected, you should correct the file errors as noted, then resubmit the file.
- The Submission Date/Time - displays the date and time of the submission.
- Submission Batch ID - unique identifier assigned to each individual submission.
- Batch Submission Type - indicates whether the submission was a production or test submission.
- Facility ID - facility specific identification number.
- Facility Name - name of the submitting facility.
- # (Data) Records Processed - indicates the number of records per file that have been processed.

In addition to the preceding information, the Final Validation Report will also include the following items:

- # of Records Rejected - number of records within the file that were rejected.

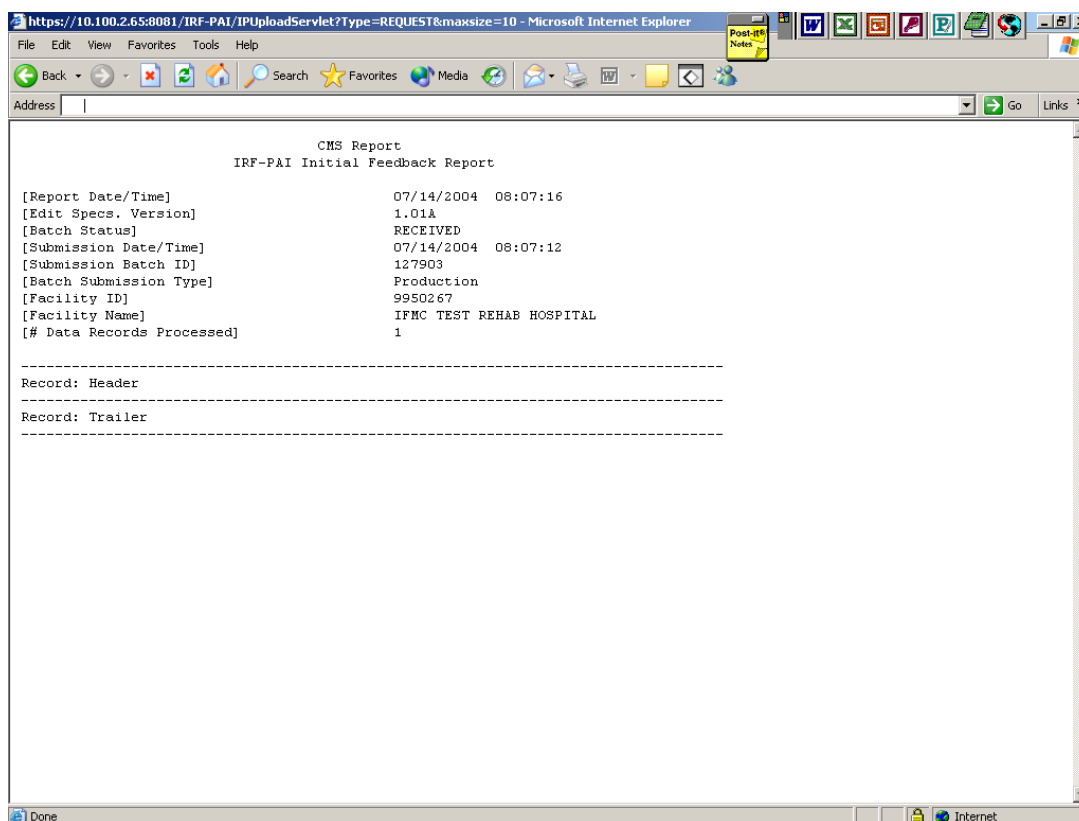
- # of Duplicate Records - number of records within the file that were duplicates of previously submitted records.
- # of Records with Messages - number of records within the file that were returned with a message. (See 'Error Description Guide' for a list of error messages.)
- Total # of Messages - total number of messages that were returned for all records.

### **Initial Feedback Report**

The Initial Feedback Report will be received shortly after submitting the file. (Figure 3-11).

**NOTE:** The time stamp, located on the first row (Report Date/Time) uses the 24-hour clock convention so that 2:09 p.m. appears as 14:09.

**Figure 3-11. Initial Feedback Report**



The time it takes to generate and return the Initial Feedback Report may depend on the file size, modem speed, and system activity; however, you should remain on the IRF-PAI File Submission window until after this report is received.

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**NOTE:** You should take note of the Submission Batch Identification (ID) number. This number will assist you in finding the corresponding Final Validation Report. More importantly, the Submission Batch ID will be used in troubleshooting any issues pertaining to that specific submission

The Initial Feedback Report will indicate whether your submission was received or rejected. In the case of rejection, no data will be extracted and your Initial Feedback Report will indicate the rejection error. The file will then need to be resubmitted after corrections are made.

**NOTE:** Contact your IRF-PAI encoding software vendor should you need assistance in correcting rejected submissions.

**NOTE:** Remember to save and/or print a copy of the Initial Feedback Report.

After the Initial Feedback Report has been received and reviewed, return to the IRF-PAI File Submission window by selecting the **Back** button in the browser toolbar.

### **Final Validation Report**

The actual time it takes to generate the Final Validation Report may depend on the file size and system activity. Therefore, unlike the Initial Feedback Report, remaining online to receive this report is not recommended. In other words, following a submission containing many records, **it is recommended that the user exit the IRF-PAI System after receiving the Initial Feedback Report and verifying acceptance of the submission.**

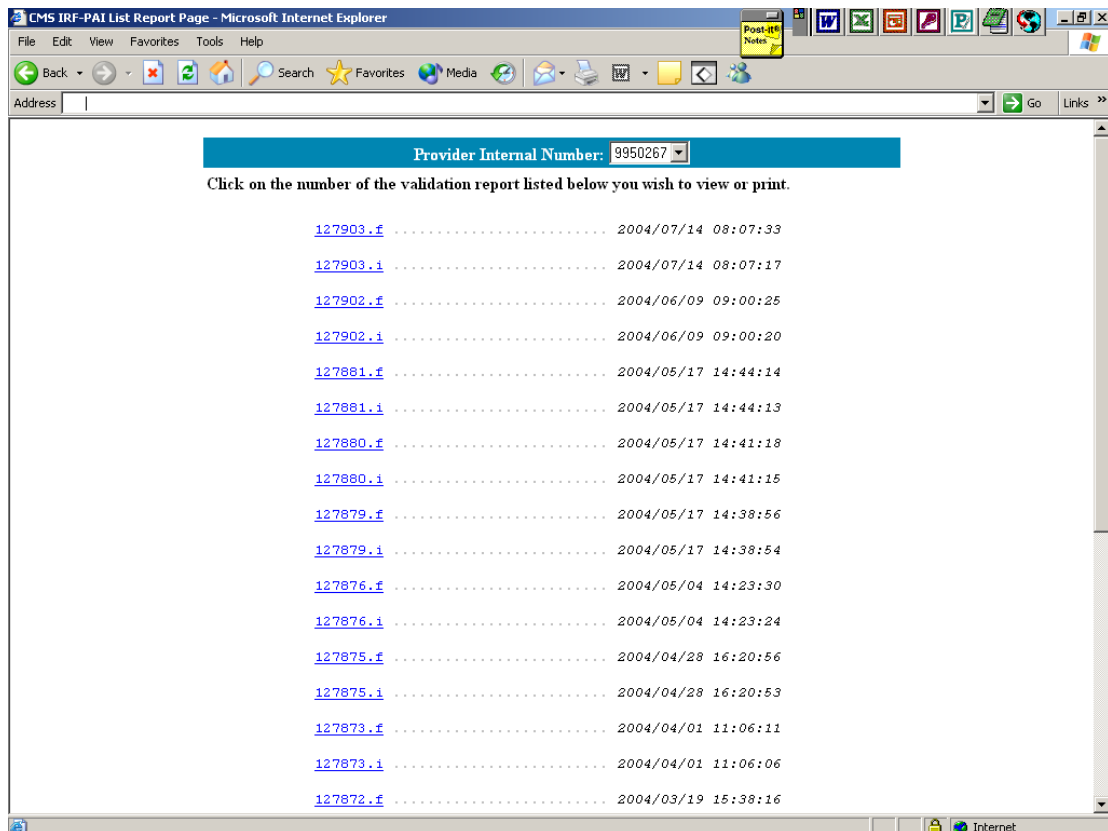
The Final Validation Report will be generated within 24 hours of submission of the file. The report is created after the IRF-PAI System performs data validation, as well as, calculated element validations. The timing requirements of the IRF-PAI records are also verified against customized National Assessment Collection Database schedules.

Final Validation Reports are accessed from the CMS IRF-PAI Main Menu. Simply select the Receive Validation Reports link to display the Validation Reports Listing.

The Validation Reports Listing window will include Final Validation Reports, as well as the Initial Feedback Reports, beginning with the most recently generated report. The reports are identified by the Submission Batch ID number followed by an “f” for Final Validation Reports or an “i” for Initial

Feedback Reports. In order to access a report, simply select the corresponding link. (Figure 3-12).

**Figure 3-12. Validation Report Listing Window**



**NOTE:** The report titles are based on the Submission Batch ID number, not the file name. Note this information when the Initial Feedback Report is received in order to identify the corresponding Final Validation Report from the listing.

To return to the CMS IRF-PAI Main Menu, use the Back button in the browser toolbar or select the main menu link at the bottom of the Validation Reports Listing window.

After selecting the desired report link, the Final Validation Report displays. (Figure 3-13).

**NOTE:** It is important to note that the file may be processed and accepted even with errors or exceptions to the data specifications. See information regarding the submission rejection criteria later in this section.

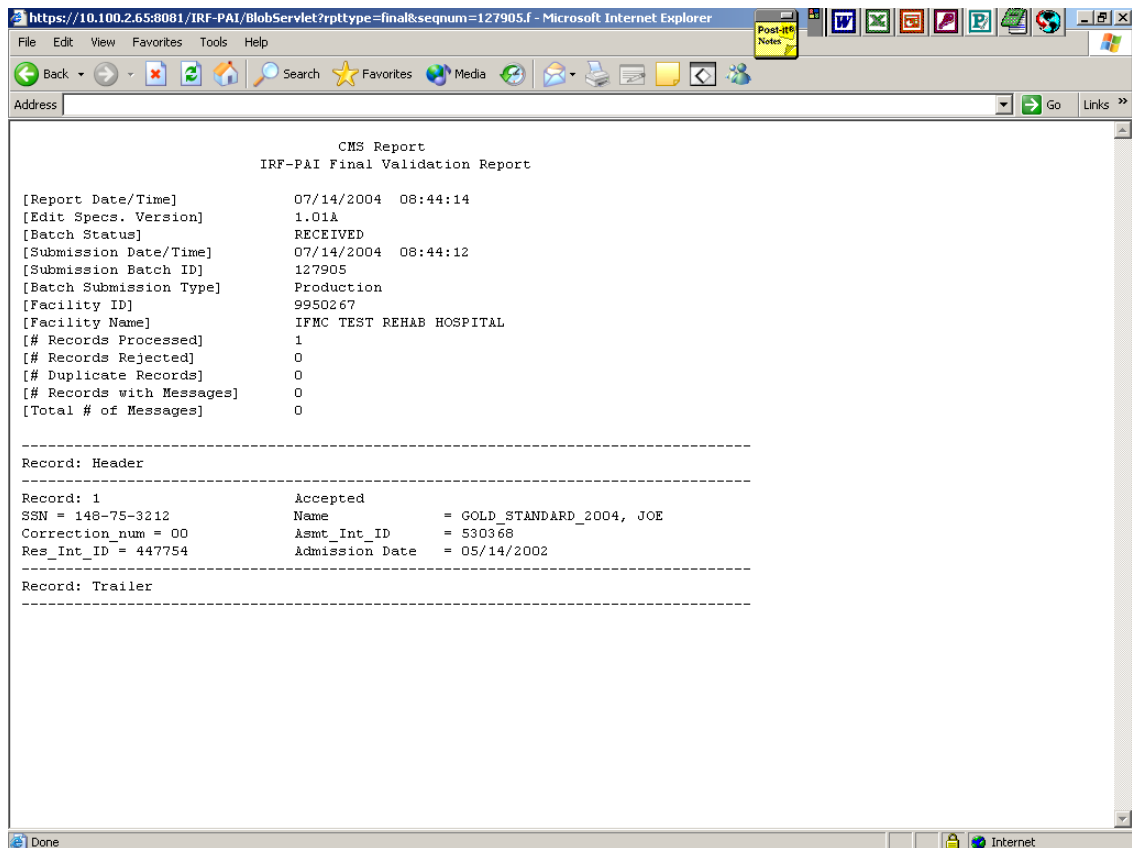


For each data record, the report detail section will include the following items:

- Record number - based on the order in the submission file
- SSN - Social Security Number
- Correction\_num - correction number
- Res\_Int\_ID - resident internal ID
- Rejected/Accepted
- Patient Name
- Asmt\_Int\_ID - assessment internal ID
- Admission Date

Each field submitted with an error will then be listed along with the invalid date submitted for that field, the error message number and type, and a description of the error message. If the error type is listed as a Warning, the record was accepted into the system with a conflict in data information. If the error type is listed as Fatal, the record was rejected (not accepted into the system) and will need to be corrected and resubmitted.

**Figure 3-13. Final Validation Report**



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Errors in the header record will be displayed directly prior to the record detail section. Errors in the trailer record will be displayed last in the report. The Validation Report Messages and Description Guide provides information on interpreting the various messages or exceptions in the data fields as they appear in the Initial Feedback Report and Final Validation Report.

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## PRINTING AND SAVING REPORTS

To save a report from the Validation Reports Listing, place the cursor over the desired report link and **click your right mouse button**. Select the **Save Link As** option from the pop-up menu. To save a report while viewing it in the browser, use the **Save As** option from the File menu.

**NOTE:** The report names can be up to 10 characters in length. When using the Save Link As option, the user may prefer to establish a different naming convention if saving the Final Validation Report for each IRF-PAI data submission.

If the computer designated for IRF-PAI submissions is connected to a printer, select **Print** from the browser's File menu to print a copy of the report. It is recommended that a copy of all validation reports be printed and used as a reference while troubleshooting errors. The IRF-PAI System will delete validation reports that are over 120 days old.

## RESIDENT MATCHING CRITERIA

If the information submitted on a patient matches a patient on the database using any one of the following criteria, then the resident internal ID, resident change timestamp, and row ID of the patient found on the database is returned along with the number of criteria used for the match.

The resident matching check is done in ascending order of the resident matching criteria. A lower resident matching criteria set is considered to be a better match than a higher resident matching criteria set. The criteria sets are called in the following order:

- 1) Criteria 1
- 2) Criteria 9
- 3) Criteria 11
- 4) Criteria 3
- 5) Criteria 4
- 6) Criteria 5
- 7) Criteria 6
- 8) Criteria 10

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**Criteria 1:** ssn, date of birth, facility, last name, first name, gender, state\_id

**Incoming patient ..... Patient on database**

Social Security Number=..... Social Security Number

Date of Birth=..... Date of Birth

Facility internal ID=..... Facility internal ID

Last Name (as all upper case)= ..... Last Name (as all upper case)

First Name (as all upper case)= ..... First Name (as all upper case)

Gender= ..... Gender

State ID= ..... State ID

**Criteria 9:** ssn, date of birth, last name, first name, gender, state\_id

**Incoming patient ..... Patient on database**

Social Security Number=..... Social Security Number

Date of Birth=..... Date of Birth

Last Name (as all upper case) ..... Last Name (as all upper case)

First Name (as all upper case) ..... First Name (as all upper case)

Gender= ..... Gender

State ID= ..... State ID

**Criteria 11:** ssn, facility, last name, gender, state\_id

**Incoming patient ..... Patient on database**

Social Security Number=..... Social Security Number

Facility internal ID=..... Facility internal ID

Last Name (as all upper case) ..... Last Name (as all upper case)

Gender= ..... Gender

State ID= ..... State ID

**Criteria 3:** date of birth, last name, first name, gender, state\_id

**Incoming patient ..... Patient on database**

Date of Birth=..... Date of Birth

Last Name (as all upper case) ..... Last Name (as all upper case)

First Name (as all upper case) ..... First Name (as all upper case)

Gender= ..... Gender

State ID= ..... State ID

**Criteria 4:** ssn, date of birth, gender, state\_id

**Incoming patient ..... Patient on database**

Social Security Number=..... Social Security Number

Date of Birth=..... Date of Birth

Gender= ..... Gender

State ID= ..... State ID

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**Criteria 5:** ssn, last name, first name, gender, state\_id

**Incoming patient ..... Patient on database**

Social Security Number=..... Social Security Number

Last Name (as all upper case)= ..... Last Name (as all upper case)

First Name (as all upper case)= ..... First Name (as all upper case)

Gender= ..... Gender

State ID= ..... State ID

**Criteria 6:** facility, date of birth (close), last name, first name, gender, state\_id

**Incoming patient ..... Patient on database**

Facility internal ID..... Facility internal ID

Date of Birth (month and year)= ..... Date of Birth (month and year)

Last Name (as all upper case)= ..... Last Name (as all upper case)

First Name (as all upper case)= ..... First Name (as all upper case)

Gender= ..... Gender

State ID= ..... State ID

**Criteria 10:** ssn, date of birth, last name, first name, state\_id

**Incoming patient ..... Patient on database**

Social Security Number=..... Social Security Number

Date of Birth= ..... Date of Birth

Last Name (as all upper case)= ..... Last Name (as all upper case)

First Name (as all upper case)= ..... First Name (as all upper case)

State ID= ..... State ID