

3

SYSTEM FUNCTIONS

ESTABLISHING THE COMMUNICATION CONNECTION.....	2
Dial-in Instructions	2
Accessing the IRF-PAI System	4
SUBMITTING IRF-PAI DATA FILES	8
REPORTS	12
Initial Feedback Report	14
Final Validation Report	15
PRINTING AND SAVING REPORTS	18
RESIDENT MATCHING CRITERIA.....	19

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

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

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

ESTABLISHING THE COMMUNICATION CONNECTION

The communications part of the IRF-PAI System supports the transfer of IRF-PAI data between facilities and the National Assessment Collection Database. In order to connect, you must first ensure that the software and hardware are correctly installed. Installation instructions should have been provided by AT & T Network. All of your equipment, including the modem, should be turned on before you access your browser.

Dial-in Instructions

Once your AT & T IP Remote Access software is installed and configured, you will be able to connect to the Medicare Data Communication Network (MDCN) for your file transfer needs.

○ *AT & T Network should have provided you with the appropriate dial-in information. If this has not been provided, contact the QTSO Help Desk.*

For Windows 95/98/2000 and Windows NT Users

1. Open the shortcut titled AT & T IP Remote Access. The AT & T Network-Login screen will appear. (Figure 3-1)

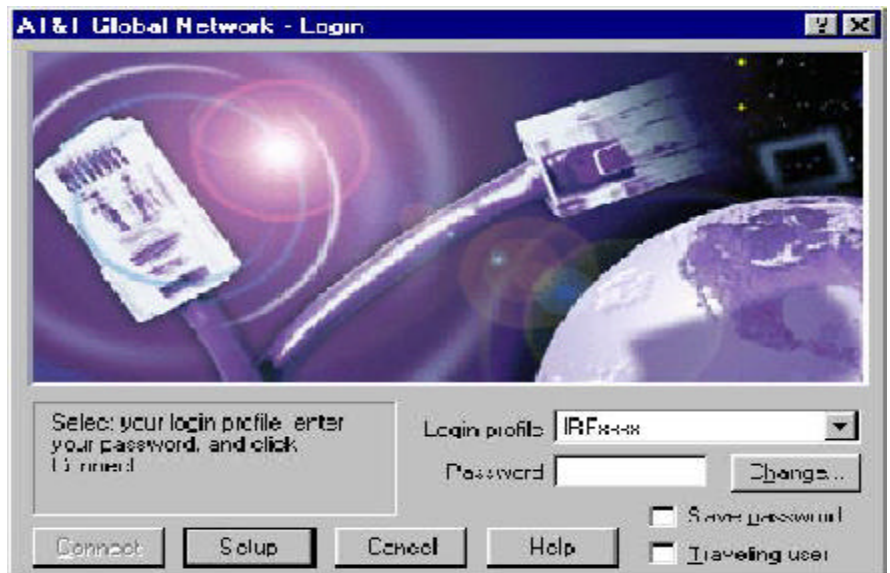


Figure 3-1. Dialer Window

2. Type in the password (same as your User ID) and click **Connect** at the bottom of the screen. DO NOT click the save password box as this is a security violation. Your modem will dial and connect to MDCN.

The first time you connect to AT & T Services and periodically in the future, your password will expire. Type your new password and confirm it in the appropriate boxes.

Password rules:

1. Passwords can contain alpha or numeric characters (no special characters).
2. A password must begin with an alphabetic character.
3. Passwords are a minimum of 5 characters and a maximum of 8 characters.
4. You may not reuse a password for six months.
5. Passwords are not case sensitive.

○ Periodically AT & T will make updates to your software by downloading updated files at the time of connection. When this occurs, do not be alarmed. Allow the download to be completed, click **OK**, then go to the next step.

3. The AT & T Global Network Dialer - [Network View] screen will open. It will take a few moments for this screen to appear. This screen will depict a connection between your computer, the AT & T Global Network and a private intranet. (Figure 3-2)

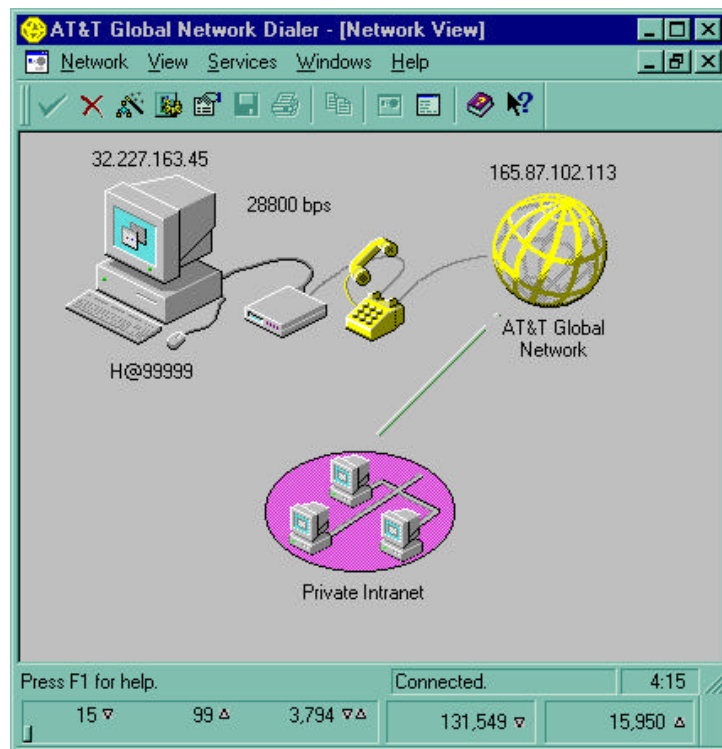


Figure 3-2. Network View

Accessing the IRF-PAI System

○ CMS should have provided you with the appropriate URL for the IRF-PAI System. If this has not been received, contact the QTSO Help Desk.

You are now ready to begin using the Medicare Data Communication Network. Open your browser and type in the URL address of the National Assessment Collection Database that was provided to you by CMS. This will connect you to the CMS IRF-PAI Welcome page.

After pressing **Enter**, the browser will look for the specified URL. There are configuration options within the browser that can make accessing the IRF-PAI System easier, such as using bookmarks so that the URL does not have to be manually entered each time the system is accessed through the browser.

When the browser finds the specified URL, the CMS IFR-PAI Welcome Page will display. (Figure 3-3).

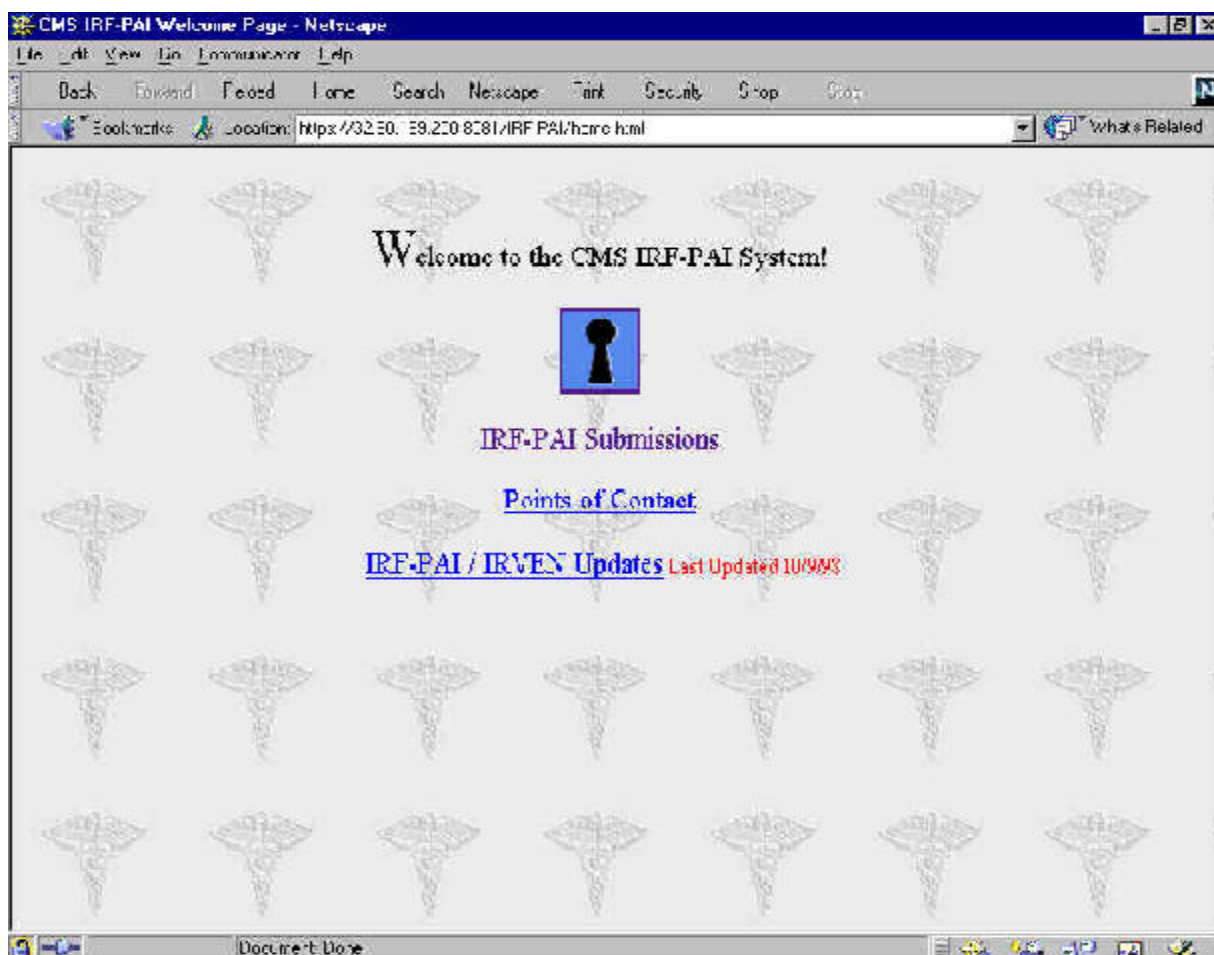


Figure 3-3. CMS IRF-PAI Welcome Page

There are three links available on this page. They include:

- C [IRF-PAI Submissions](#) - provides access to the main IRF-PAI system menu.
- C [Points of Contact](#) - provides a list of contacts (names, addresses, phone numbers, and e-mail addresses, as applicable).
- C [IRF-PAI / IRVEN Updates](#) - provides information about updates to the IRF-PAI system and the IRVEN software.

Choose the desired link by pointing and clicking on the corresponding text.

When selecting the [IRF-PAI Submissions](#) link, a Login window will display. It is necessary to enter a valid Username and Password before selecting the Login button. (Figure 3-4).

○ You should have been provided with your Username and Password for the IRF-PAI System. If this has not been provided, contact the QTSO Help Desk.

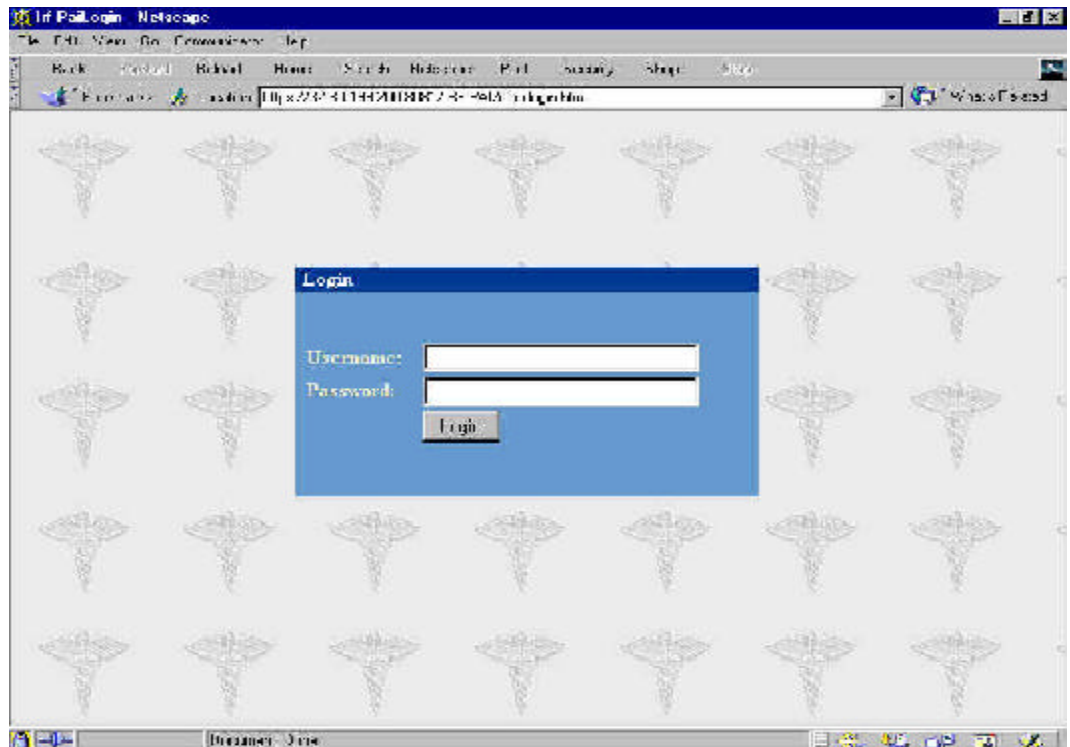


Figure 3-4. Username and Password Window

To begin entering the required information, point and click in the first field, *Username*.

After using the **Tab** key or the point and click method to set your cursor in the *Password* field, type in the password.

After a valid Username and Password have been entered, press the **Enter** key or select the **Login** button. The Login window will only display when initially accessing the IRF-PAI Submissions window during a new browser session.

After entering valid login information and selecting the **OK** button, the CMS IRF-PAI Main Menu will display. (Figure 3-5).

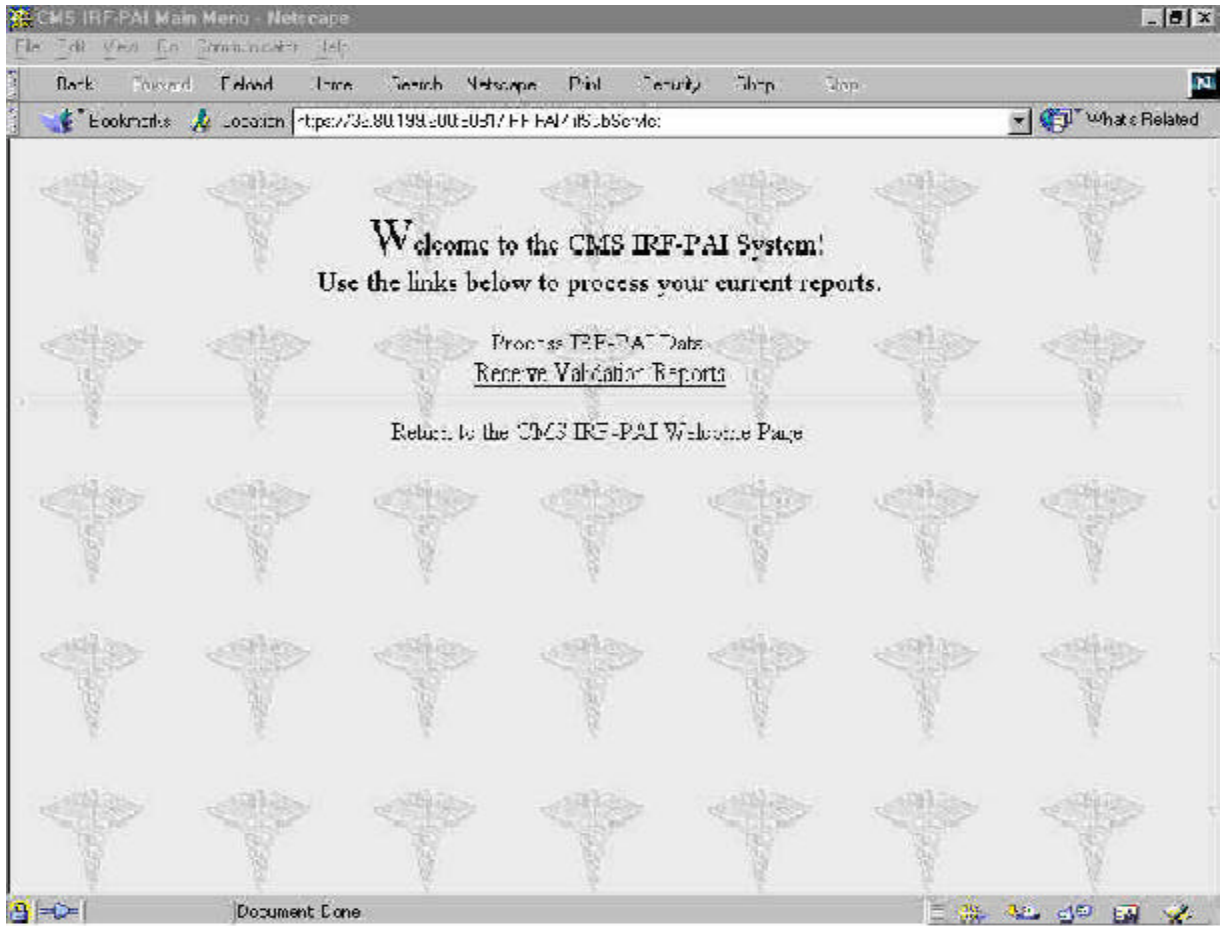


Figure 3-5. CMS IRF-PAI Main Menu

The link options on this page are as follows:

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

SUBMITTING IRF-PAI DATA FILES

- *You must be using software capable of encoding IRF-PAI records and exporting data files in accordance with CMS's standard record layout specifications for version 1.0 of the IRF-PAI.*

To submit your IRF-PAI data, select the [Process IRF-PAI Data](#) link on the CMS IRF-PAI Main Menu. The IRF-PAI File Submission window will display. This window 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 3-6).

Figure 3-6. IRF-PAI File Submission Window

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 File Upload window will display allowing the user to select from files on the hard drive or a floppy disk (Figure 3-7).

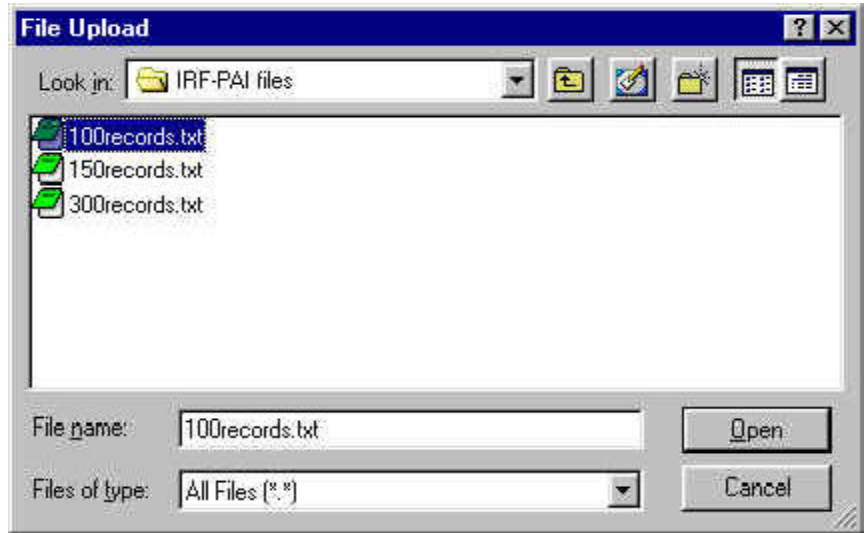


Figure 3-7. File Upload Window

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 main menu link at the bottom of the IRF-PAI File Submission window to return to the CMS IRF-PAI Main Menu. (Figure 3-8).

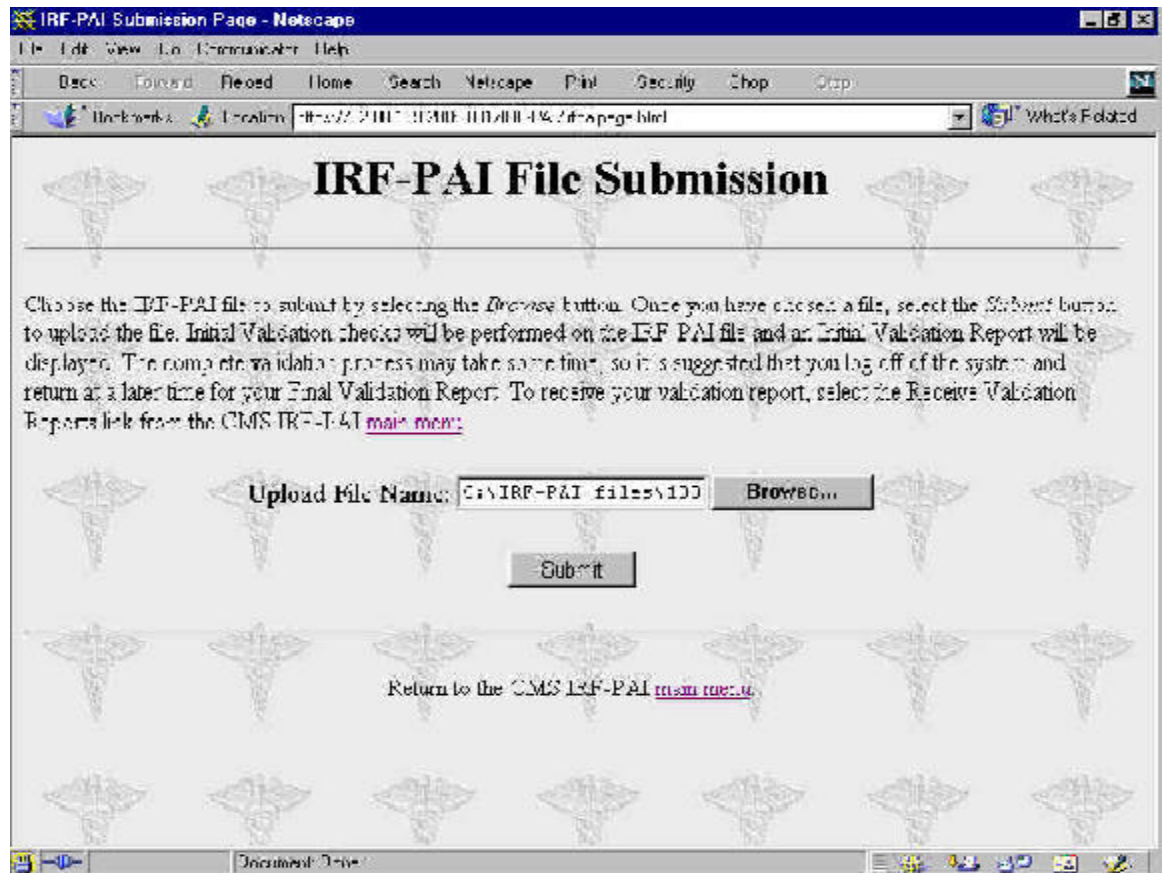


Figure 3-8. IRF-PAI File Submission Window

After selecting the **Submit** button, a confirmation message will display.

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.

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

To continue the submission process, select the **OK** button. Select the **Cancel** button in order to discontinue the submission process. (Figure 3-9).



Figure 3-9. Confirmation Message

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

○ *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.*

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.

The next section provides more detailed information about the validation process and reports.

INITIAL FEEDBACK REPORT AND FINAL VALIDATION REPORT

○ *You will not receive a Final Validation Report if your Initial Feedback Report indicates that your batch has been rejected.*

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 IRF-PAI Data Specifications (Version 1.0).

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.

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:

- 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 upon the initial validation check. If it is rejected, you should correct the file errors as noted, then resubmit the file.
- 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:

- C # Records Rejected - number of records within the file that were rejected.
- C # Duplicate Records - number of records within the file that were duplicates of previously submitted records.
- C # 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.)
- C Total # of Messages - total number of messages that were returned for all records.

Initial Feedback Report

○ The time stamp uses the 24 hour convention so that 2:09 p.m. will appear as 14:09.

The Initial Feedback Report will be received shortly after submitting the file. (Figure 3-10).

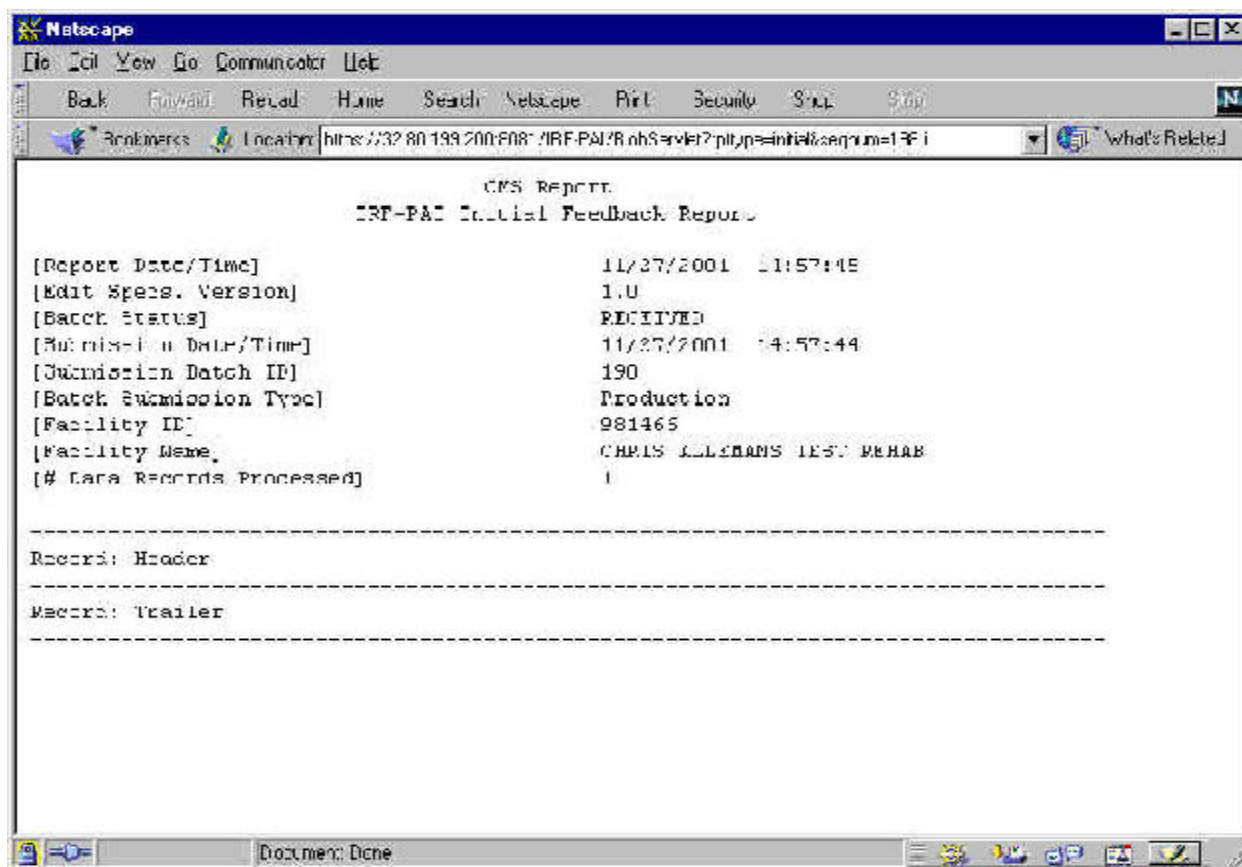


Figure 3-10. Initial Feedback Report

○ 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.

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

○ Remember to save and/or print a copy of the 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.

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.

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. (Figure 3-11). If working from a new browser session, first access the CMS IRF-PAI Welcome Page, select the IRF-PAI Submissions link, and then enter the required Login window information.

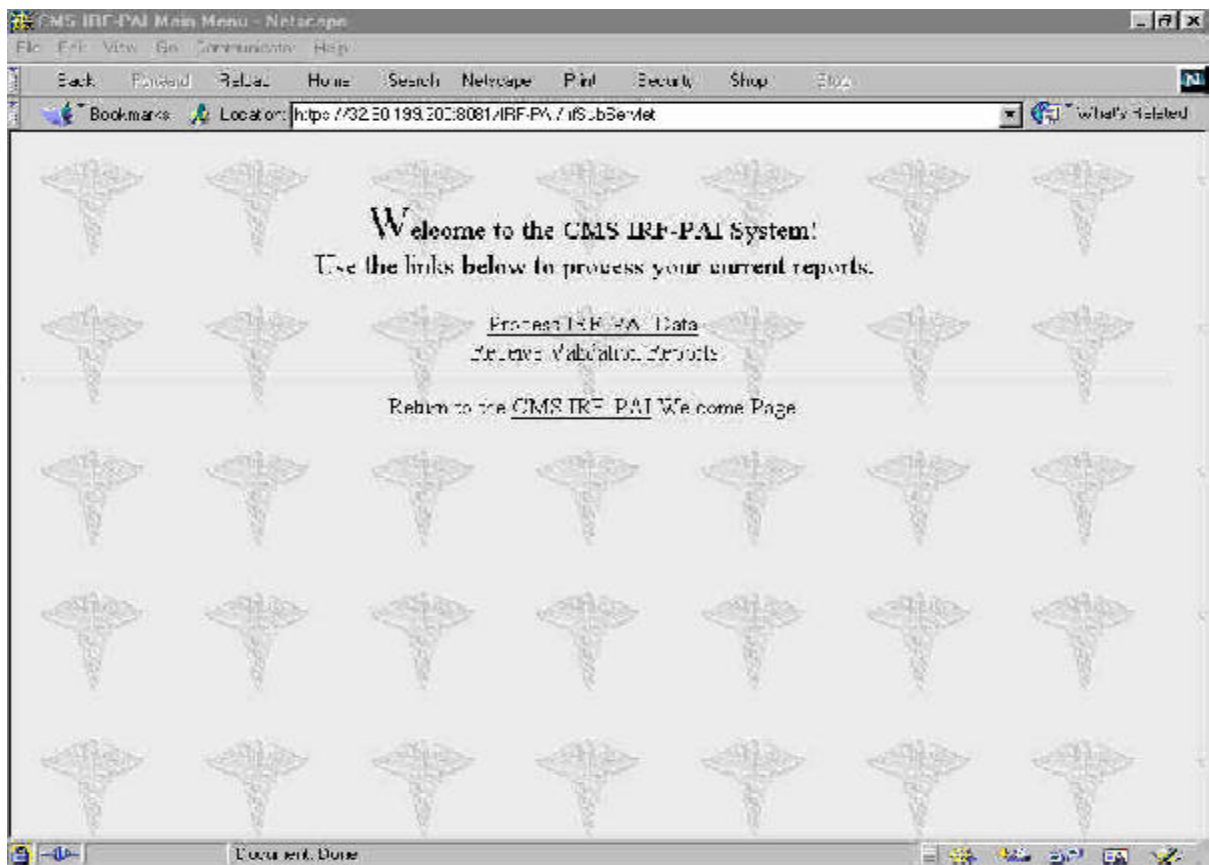


Figure 3-11. CMS IRF-PAI Main Menu

The Validation Reports Listing 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 Reports 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.

○ 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.

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

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:

- C Record number - based on the order in the submission file
- C SSN - Social Security Number
- C Correction_num - correction number
- C Res_Int_ID - resident internal ID
- C Rejected / Accepted
- C Patient Name
- C Asmt_Int_ID - assessment internal ID
- C Admission Date

Each field submitted with an error will then be listed along with the invalid data 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.

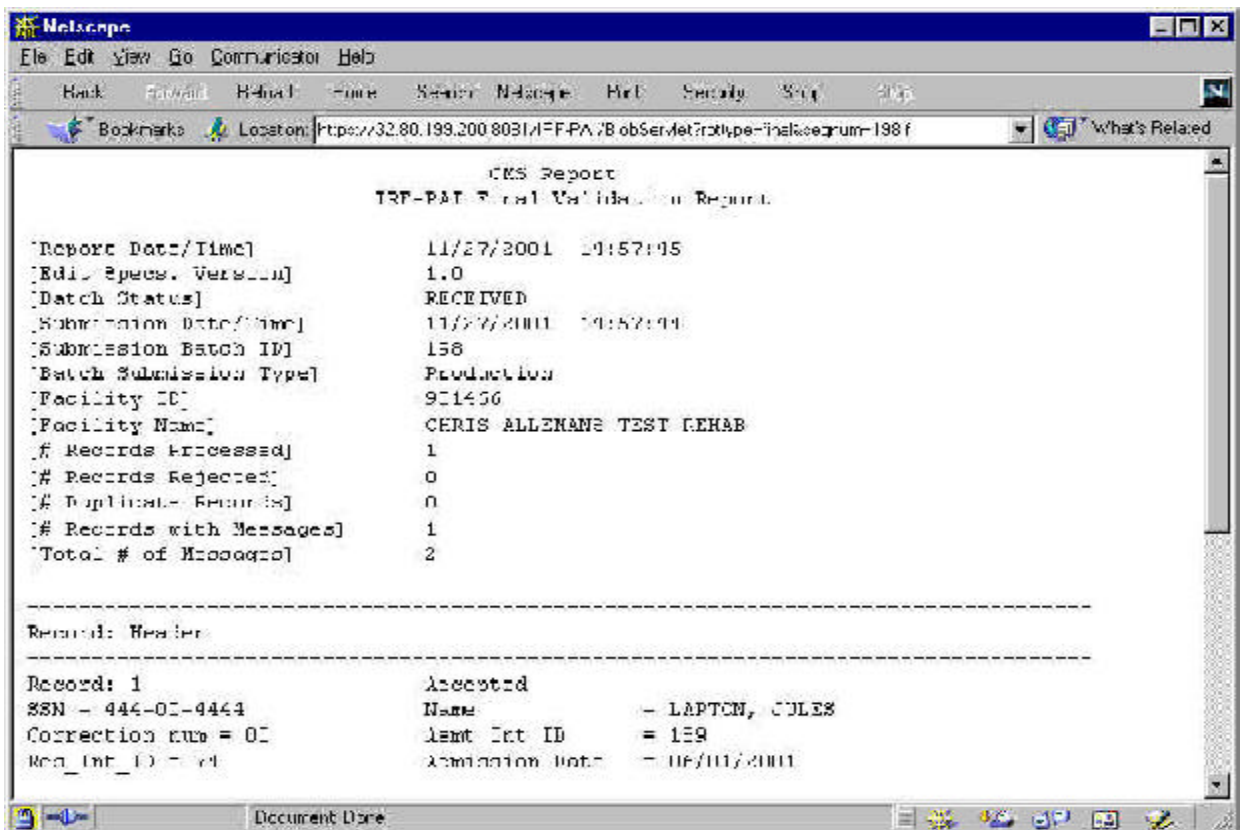


Figure 3-13. Final Validation Report

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.

Printing and Saving Reports

In order 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.

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 30 days old.

○ *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.*

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 is considered to be a better match than a higher resident matching criteria. The criteria is called in the following order:

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

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

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