



Skilled Nursing Facilities Quality Reporting Program Provider Training



MDS 3.0 Data Submission and CASPER Reports

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Objectives

- Identify methods to monitor data submission requirements for the Skilled Nursing Facility (SNF) Quality Reporting Program (QRP)
- Discuss how to locate and interpret Minimum Data Set Version 3.0 (MDS 3.0) Final Validation Reports (FVRs)
- Describe useful Certification And Survey Provider Enhanced Reports (CASPER) reports available to SNFs



Objectives (cont.)

- Identify most common Fatal Errors and Warning Messages and the actions required to address the errors
- Articulate use of the MDS 3.0 Correction Policy
- Identify the CASPER Report Retention Time Periods
- Locate technical resources available to support MDS 3.0 data submission and CASPER reports



Monitoring Status of SNF QRP Completion Requirements

- Access and review MDS 3.0 NH or SB Facility Final Validation Report
- Utilize other CASPER reports



MDS 3.0 Final Validation Report

- Automatically created by the Assessment Submission and Processing (ASAP) system following completion of record processing
- Stored in your facility's Validation Report or VR folder
- Available within 24 hours following submission of the file of MDS 3.0 records



VR Folder Name

- Validation folder name is formatted as: **ST Provider Type Facility ID VR**
 - State Code: The provider's two-character State code
 - Provider Type: Long-term care (for nursing home providers) or swing bed (for swing bed providers)
 - Facility ID: CMS-assigned facility ID used for submitting MDS records
 - VR: Validation Report
- Sample VR folder name:
IA LTC IA123456 VR



VR Folder and Final Validation Report Names

- Final validation report names are formatted as:

[Submission Date & Time].[Submission ID]

- Sample final validation report file name:

11102015161549.7853794



VR Folder and Final Validation Reports



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CASPER Folders Logout Folders MyLibrary Reports Queue Options Maint Home

Folders

My Inbox
Facility NV NVS3330SNF Inbox
* NV LTC NVS3330SNF
*** NV LTC NVS3330SNF VR**

*** NV LTC NVS3330SNF VR**

Info	Click Link to View Report	Date Requested	Select
	11102015165149.7853794	11/10/2015 16:54:34	<input type="checkbox"/>
	11102015165149.7853794	11/10/2015 16:54:39	<input type="checkbox"/>

Pages [1]

This Folder is Read-Only

SelectAll Print PSRs Zip MergePDFs

MDS 3.0 Facility Final Validation Report Specifics

- Important to access and review each final validation report!
- Displays information about the records in the submission file only if the Facility ID could be verified by the ASAP system
- Is automatically deleted from the Validation Report (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, you can request a replacement in the CASPER Reporting application



MDS 3.0 Final Validation Report

- Provides detailed accounting of errors found during the validation of the records contained in the MDS 3.0 submission file
 - Identifies whether record was accepted and saved into the ASAP system or rejected due to one or more fatal errors
 - First step to monitor whether your facility is meeting the SNF QRP reporting requirements



Sample MDS 3.0 Final Validation Report

CMS Submission Report	
MDS 3.0 NH Final Validation Report	
Submission Date/Time:	11/06/2016 18:01:30
Processing Completion Date/Time:	04/26/2016 18:04:37
Submission ID:	9377751
Submission File Name:	SG_TC70350_Step 1_Submsn File.zip
Submission File Status:	Completed
State Code:	TX
Facility ID:	4348
Facility Name:	[REDACTED]
Submitter User ID:	[REDACTED]
# Records in Submission File:	12
# Records Processed:	12
# Records Accepted:	12
# Records Rejected:	0
# Duplicate Records:	0
# Records Submitted without Facility Authority:	0
# Records Submitted But Not Allowed:	0
Total # of Messages:	66

Record: 1	Accepted
Asmt_ID: 107621113	Name: [REDACTED]
Res_Int_ID: 35508365	SSN: [REDACTED]
A0200: 1	Medicare Num: [REDACTED]
A0310A: 01	A0050: NEW RECORD
A0310B: 99	A0310C: 0
A0310D: ^	A0310E: 1
A0310F: 99	A0310G: ^
A0310H: 1	Attestation Date (X1100E):
Item Subset Code: NC	Data Spec Version #: 2.00
XML File Name:	SG_TC70350_Step 1_Fed NC.xml
MDS 3.0 Item(s):	A0310A, Submission Date, V0200C2, A0050
Item Values:	01, 11/06/2016, 10/17/2016, 1
Message Number:	-3810C WARNING
Message:	Record Submitted Late: The submission date is more than 14 days after V0200C2 on this new (A0050 equals 1) comprehensive assessment (A0310A equals 01, 03, 04, or 05).
MDS 3.0 Item(s):	Current Record Type, Prior Record:
Item Values:	A0310A, A0310B, A0310F
Message Number:	OBRA Admission, MDS 3.0: 01, 99, 99
Message:	-1018 WARNING
	Inconsistent Record Sequence: Under CMS sequencing guidelines, the type of assessment in this record does not logically follow the type of assessment in the record received prior to this one.



Sample MDS 3.0 Final Validation Report (cont.)

```
CMS Submission Report
MDS 3.0 NH Final Validation Report

Submission Date/Time: 11/06/2016 18:01:30
Processing Completion Date/Time: 04/26/2016 18:04:37
Submission ID: 9377751
Submission File Name: SG_TC70350_Step 1_submsn File.zip
Submission File Status: Completed
State Code: TX
Facility ID: 4348
Facility Name: [REDACTED]
Submitter User ID: [REDACTED]
# Records in Submission File: 12
# Records Processed: 12
# Records Accepted: 12
# Records Rejected: 0
# Duplicate Records: 0
# Records Submitted without Facility Authority: 0
# Records Submitted but Not Allowed: 0
Total # of Messages: 66

-----
Record: 1 Accepted
Asmt_ID: 107621113 Name: [REDACTED]
Res_Int_ID: 35508365 SSN: [REDACTED]
A0200: 1 A0310A: 01 Medicare Num: [REDACTED]
A0310B: 99 A0310C: 0 A0050: NEW RECORD
A0310D: ^ A0310E: 1 Target Date: 10/17/2016
A0310F: 99 A0310G: ^
A0310H: 1
Item Subset Code: NC Attestation Date (X1100E):
XML File Name: SG_TC70350_Step 1_Fed NC.xml Data Spec Version #: 2.00

MDS 3.0 Item(s): A0310A, Submission Date, V0200C2, A0050
Item Values: 01, 11/06/2016, 10/17/2016, 1
Message Number: -3810c WARNING
Message: Record Submitted Late: The submission
date is more than 14 days after V0200C2
on this new (A0050 equals 1)
comprehensive assessment (A0310A equals
01, 03, 04, or 05).

MDS 3.0 Item(s): Current Record Type, Prior Record:
Item Values: A0310A, A0310B, A0310F
Message Number: OBRA Admission, MDS 3.0: 01, 99, 99
Message: -1018 WARNING
Inconsistent Record Sequence: Under CMS
sequencing guidelines, the type of
assessment in this record does not
logically follow the type of assessment
in the record received prior to this
one.
```

Two sections:

Header

Body

Body Section of Final Validation Report

```
Record: 1                               Accepted

Asmt_ID: 107621113                      Name: ██████████
Res_Int_ID: 35508365                     SSN: ████████
A0200: 1                                A0310A: 01 Medicare Num: ████████
A0310B: 99                             A0310C: 0  A0050: NEW RECORD
A0310D: ^                             A0310E: 1  Target Date: 10/17/2016
A0310F: 99                             A0310G: ^
A0310H: 1
Item Subset Code:                        NC  Attestation Date (X1100E):
XML File Name:                          SG_TC70350_Step 1_Fed NC.xml
                                         Data Spec Version #: 2.00
MDS 3.0 Item(s):                        A0310A, Submission Date, V0200C2, A0050
Item Values:                            01, 11/06/2016, 10/17/2016, 1
Message Number:                         -3810c    WARNING
Message:                               Record Submitted Late: The submission
                                         date is more than 14 days after V0200C2
                                         on this new (A0050 equals 1)
                                         comprehensive assessment (A0310A equals
                                         01, 03, 04, or 05).
```

**Body Section
Contains:**

**Record
Information**

**Resident
Information**

**Error
Information**



Error Section of Final Validation Report

```
Record: 1                               Accepted
Asmt_ID: 107621113                      Name: [REDACTED]
Res_Int_ID: 35508365                     SSN: [REDACTED]
A0200: 1                                A0310A: 01    Medicare Num: [REDACTED]
A0310B: 99                              A0310C: 0    A0050: NEW RECORD
A0310D: ^                               A0310E: 1    Target Date: 10/17/2016
A0310F: 99                              A0310G: ^
A0310H: 1                               Attestation Date (X1100E):
Item Subset Code: NC                     Data Spec Version #: 2.00
XML File Name:                           SG_TC70350_Step 1_Fed NC.xml

MDS 3.0 Item(s):                        A0310A, Submission Date, V0200C2, A0050
Item Values:                             01, 11/06/2016, 10/17/2016, 1
Message Number:                           -3810c      WARNING
Message:                                  Record Submitted Late: The submission
                                           date is more than 14 days after V0200C2
                                           on this new (A0050 equals 1)
                                           comprehensive assessment (A0310A equals
                                           01, 03, 04, or 05).
```

MDS 3.0 Item(s)

List of all items to which the error message pertains

Error Section of Final Validation Report (cont.)

```
Record: 1                               Accepted
Asmt_ID: 107621113                     Name: ██████████
Res_Int_ID: 35508365                   SSN: ████████
A0200: 1                               A0310A: 01 Medicare Num: ████████
A0310B: 99                             A0310C: 0  A0050: NEW RECORD
A0310D: ^                             A0310E: 1  Target Date: 10/17/2016
A0310F: 99                             A0310G: ^
A0310H: 1                               Attestation Date (X1100E):
Item Subset Code: NC                   Data Spec Version #: 2.00
XML File Name:                        SG_TC70350_Step 1_Fed NC.xml

MDS 3.0 Item(s):                      A0310A, Submission Date, V0200C2, A0050
Item Values:                          01, 11/06/2016, 10/17/2016, 1
Message Number: -3810C                WARNING
Message: Record Submitted Late: The submission
                                         date is more than 14 days after V0200C2
                                         on this new (A0050 equals 1)
                                         comprehensive assessment (A0310A equals
                                         01, 03, 04, or 05).
```

Item Values

Lists the submitted values of the items listed in the MDS 3.0 Item(s) field

Error Section of Final Validation Report (cont.)

```
Record: 1                               Accepted
Asmt_ID: 107621113                      Name: ██████████
Res_Int_ID: 35508365                     SSN: ██████████
A0200: 1                                A0310A: 01 Medicare Num: ██████████
A0310B: 99                              A0310C: 0  A0050: NEW RECORD
A0310D: ^                               A0310E: 1  Target Date: 10/17/2016
A0310F: 99                              A0310G: ^
A0310H: 1                               Attestation Date (X1100E):
Item Subset Code: NC                    Data Spec Version #: 2.00
XML File Name:                          SG_TC70350_Step 1_Fed NC.xml

MDS 3.0 Item(s):                        A0310A, Submission Date, V0200C2, A0050
Item Values:                             01, 11/06/2016, 10/17/2016, 1
Message Number: -3810c WARNING
Message: Record Submitted Late: The submission
          date is more than 14 days after V0200C2
          on this new (A0050 equals 1)
          comprehensive assessment (A0310A equals
          01, 03, 04, or 05).
```

Message Number

Displays the unique message number and type of message (Fatal/Warning)

Error Section of Final Validation Report (cont.)

```
Record: 1                               Accepted
Asmt_ID: 107621113                      Name: [REDACTED]
Res_Int_ID: 35508365                     SSN: [REDACTED]
A0200: 1                                A0310A: 01 Medicare Num: [REDACTED]
A0310B: 99                              A0310C: 0  A0050: NEW RECORD
A0310D: ^                               A0310E: 1  Target Date: 10/17/2016
A0310F: 99                              A0310G: ^
A0310H: 1                               Attestation Date (X1100E):
Item Subset Code: NC                     Data Spec Version #: 2.00
XML File Name:                           SG_TC70350_Step 1_Fed NC.xml

MDS 3.0 Item(s):                         A0310A, Submission Date, V0200C2, A0050
Item Values:                             01, 11/06/2016, 10/17/2016, 1
Message Number: -3810c WARNING
Message: Record Submitted Late: The submission
          date is more than 14 days after V0200C2
          on this new (A0050 equals 1)
          comprehensive assessment (A0310A equals
          01, 03, 04, or 05).
```

Message

Displays the text of the error message

Record Status

- Identify the record status for each MDS 3.0 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 MDS 3.0 record encounters one or more fatal errors:
 - Correct item(s) in error and resubmit the record to the ASAP system, if appropriate
- If MDS 3.0 record encounters one or more warning messages:
 - Review warning message(s) to determine if follow-up action is required

Check Your Understanding

- Submission of MDS 3.0 records to the ASAP system satisfies the SNF QRP requirements.
 - A. True
 - B. False



CASPER Reports

CASPER Reports

- Additional reports are available in the CASPER Reporting application to assist in management of the MDS 3.0 records
 - Link to the application is on the ‘Welcome to the CMS QIES Systems for Providers’ web page
 - You must be logged into the CMS Network with your CMSNet user ID and password to access this web page
 - Log into the CASPER Reporting application with your QIES User ID and password
 - Same application where the system-generated final validation reports are stored



CASPER Reports (cont.)

- Requested on-demand
- Customize the report selection criteria to meet your needs
- Use reports to ensure all required assessments have been accepted into the ASAP system
- CASPER Reports are another tool to identify assessments that were rejected with fatal errors



CASPER Reports for Nursing Home-Based SNFs

- **MDS 3.0 NH Provider** report category:
 - MDS 0003D/0004D Package Report
 - MDS 3.0 Activity
 - MDS 3.0 Admission/Reentry
 - MDS 3.0 Assessments with Error Number XXXX
 - MDS 3.0 Discharges
 - MDS 3.0 Error Detail by Facility
 - MDS 3.0 Error Number Summary by Facility by Vendor
 - MDS 3.0 Errors by Field by Facility



CASPER Reports for Nursing Home-Based SNFs (cont.)

- MDS 3.0 Missing OBRA 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
-
- **MDS 3.0 NH Final Validation** report category:
 - MDS 3.0 NH Final Validation Report



CASPER Reports for Swing Bed-Based SNFs

- **MDS 3.0 SB Provider** report category:
 - MDS 3.0 SB Assessment Print
- **MDS 3.0 SB Final Validation** report category:
 - MDS 3.0 SB Final Validation Report



CASPER Report for Nursing Homes and Swing Bed Units

- **MDS 3.0 Submitter Validation** report category:
 - MDS 3.0 Submitter Validation
 - Available to nursing home and swing bed providers



CASPER Reports to Monitor SNF QRP Requirements

- MDS 3.0 NH Final Validation Report
- MDS 3.0 SB Final Validation Report
 - Reports can be requested if the ASAP system-generated report is deleted from VR folder before it is printed or saved
 - Contains same information as system-generated final validation report
 - Request the reports by Submission ID or Submission Date range



CASPER Reports to Monitor SNF QRP Requirements (cont.)

- MDS 3.0 Submitter Validation Report
 - Request this report if an ASAP system-generated report is not created for your submission
 - Displays detailed information for all MDS 3.0 records, including severe zip file or record errors
 - Can only be requested by the person (QIES user ID) that submitted the file of MDS 3.0 records



CASPER Reports to Monitor SNF QRP Requirements (cont.)

- MDS 3.0 NH Assessment Print
- MDS 3.0 SB Assessment Print
 - Reports detail the assessment items and submitted data for a select Assessment ID
 - Allows you to view the item responses for each MDS 3.0 item for an accepted MDS 3.0 assessment
 - Easy way to review/verify the responses submitted for the required quality items



CASPER Reports to Monitor SNF QRP Requirements (cont.)

- **MDS 3.0 Assessments with Error Number XXXX**
 - Lists the assessments submitted with a specified error for your facility during a specified period
 - Request this report for 1-5 error message numbers per report request
 - Compiles all records that received the selected errors into one report
 - Prevents need to compile error information from individual final validation reports for a specific time period
 - Includes the resident's name and assessment ID
 - Request this report to track records that received particular error messages
 - For example, to monitor the timeliness of assessment completion or submission, request this report for error numbers -3749a, 3749d, 3749e or 3810d



CASPER Reports to Monitor SNF QRP Requirements (cont.)

- MDS 3.0 Error Detail by Facility
 - Details the errors encountered in successful submissions during a specified time period
 - Displays Assessment ID, Item Subset Code or ISC, Submission Date, Error Number and Description, Error Type, Item(s) in Error, and Value in Error
 - Compiles a list of all MDS 3.0 records that encountered a fatal error or warning message for a selected time period into one report
 - Only displays information for assessments that encountered fatal errors or warning messages
 - Use as a means of tracking which records were rejected or received warning messages for a certain time period
 - Prevents need to compile error information from individual final validation reports for a specific time period



CASPER Reports to Monitor SNF QRP Requirements (cont.)

- MDS 3.0 Activity
 - Details the accepted assessments submitted during a specified time period
 - Use this report to ensure all assessments for your residents have been accepted into the ASAP system



Check Your Understanding

- Which CASPER report can be requested to confirm that an MDS 3.0 assessment was accepted into the ASAP system for a selected time period?
 1. MDS 3.0 Facility Final Validation Report
 2. MDS 3.0 Submitter Validation Report
 3. MDS 3.0 Activity Report
 4. All 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 MDS 3.0 records does not conform to the requirements in the MDS 3.0 Data Submission Specifications



Common Types of Warning Messages

- Timing errors
 - MDS 3.0 records were not completed and submitted timely
- Information updated
 - Provider or resident information was updated



Most Common Fatal Errors

Most Common Fatal Errors (cont.)

- Error message -1007
 - Duplicate Assessment: The submitted record is a duplicate of a previously accepted record.
- Fatal error
- Provider workflow error
- MDS 3.0 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 MDS 3.0 record submissions



Most Common Fatal Errors (cont.)

- Error message -3676
 - Invalid Value: The value submitted for this item is not an acceptable value.
- Fatal error
- Software or user error
 - Software allowed invalid value in the item OR
 - Software warned user of error, but the warning was ignored
- Action required:
 - Report the error to the software vendor if no warning was issued by the software
 - Do not ignore the warnings issued by the software
 - Correct the item(s) in error in your data entry software and resubmit the record to the ASAP system

Most Common Fatal Errors (cont.)

- Error message -1030
 - Missing Item: Based upon the Item Subset Code (ISC) submitted in this record, this item is required
- Fatal error
- Software error
 - MDS 3.0 record did not contain all items required for the item subset (type of assessment) submitted
- Action required:
 - Report this error to the vendor that created your data entry software
 - Once software has been corrected, correct the item(s) in error and resubmit the record to the ASAP system



Most Common Fatal Errors (cont.)

- Error message -1003
 - Required Field Missing or Invalid: Information required to process the submitted file is missing or invalid.
- Fatal error
- Software error
 - Required field(s) for record pre-processing phase are missing or contain invalid data
- Action required:
 - Report this error to the vendor that created your data entry software
 - Once software has been corrected, correct the item(s) in error and resubmit the record to the ASAP system



Most Common Fatal Errors (cont.)

- Error message –3852
 - Incorrect Format: Invalid ICD-10 item format.
- Fatal error
- Software error
 - Submitted ICD-10 code(s) were not in the proper format
- Action required:
 - Report this error to the vendor that created your data entry software
 - Once software has been corrected, correct the item(s) in error and resubmit the record to the ASAP system

Most Common Fatal Errors (cont.)

- Error message -1004
 - Invalid XML File Format: The submitted file is not structured properly.
- Fatal error
- Software error
 - XML file is not properly structured OR Item tag name exceeds the current system limit of 30 characters
- Action required:
 - Report this error to the vendor that created your data entry software
 - Once software has been corrected, correct the item(s) in error and resubmit the record to the ASAP system



Most Common Fatal Errors (cont.)

- Error message -3571
 - Medicare Number Missing: For a PPS assessment (A0310B equals 01, 02, 03, 04, 05, 06, or 07) A0600B (Medicare or comparable railroad insurance number) must not equal blank (^).
- Fatal error
- Software or user error
 - Software allowed A0600B Medicare Number item to be blank for the PPS assessment
 - Software warned user that the Medicare Number item was blank, but the warning was ignored
- Action required:
 - Report the error to the software vendor if no warning was issued by the software,
 - Do not ignore the warnings issued by the software
 - Correct the item(s) in error in your data entry software and resubmit the record to the ASAP system

Most Common Fatal Errors (cont.)

- Error message -3693a
 - Invalid FAC_ID: The FAC_ID submitted in this file does not identify a valid provider in the QIES ASAP System.
- Fatal error
- User error
 - The FAC_ID (Facility ID) must be a system-assigned FAC_ID.
 - ASAP system uses the Facility ID to identify to which provider the submitted MDS 3.0 record belongs.
 - The value of the submitted FAC_ID must match the FAC_ID in the QIES ASAP system for the facility or provider.
- Action required:
 - Ensure the Facility ID associated to your facility is correctly entered into the data entry software
 - Correct the Facility ID in the records in error in your data entry software and resubmit the records to the ASAP system



Most Common Fatal Errors (cont.)

- Error message -3783
 - Inconsistent X0800 Value: The modification value submitted in X0800 is not incremented by one from the previously submitted modification value for this record.
- Fatal error
- Software or user error
 - User entered an incorrect value in item X0800 (Correction Number) in the modification or inactivation record
 - Software did not properly increment the Correction Number value in the modification or inactivation record
- Action required:
 - Report the error to the software vendor
 - Correct the item(s) in error in your data entry software and resubmit the record to the ASAP system



Most Common Fatal Errors (cont.)

- Error message -3745
 - No Match Found: This modification/inactivation record does not match a previously accepted record in the QIES ASAP System. One or more of the items submitted in Section X of this record did not match the corresponding items of an existing record in the database.
- 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 resident identifiers in the Section X items match the same values on the MDS 3.0 record to be modified or inactivated
 - If the original record was not accepted by the ASAP system, do not submit a modification or inactivation record. Submit the original record.
 - Correct the item(s) in error in your data entry software and resubmit the record to the ASAP system



Most Common Warning Messages

Most Common Warning Messages (cont.)

- Error message -1031
 - Resident 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 resident information in the database was updated. Verify that the new information is correct.
- Warning message
 - Occurs when resident information in the submitted MDS 3.0 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 -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.
- Warning message
 - A different provider submitted the previous record for this resident. The QIES ASAP System was updated to reflect the resident's new provider of care.
- Action required:
 - This is an informational message; no action is required.



Most Common Warning Messages (cont.)

- Error message -3616b
 - Incorrect RUG Logic Version: The submitted value of the RUG version code does not match the value calculated by the QIES ASAP System.
- Warning message
- Software/user error
 - User entered the incorrect RUG Logic Version code value in the data entry software
 - Software populated the incorrect RUG Logic Version code value in the XML record
- Action required:
 - Correct the RUG Logic Version code in the data entry software
 - Notify your software vendor of the error



Most Common Warning Messages (cont.)

- Error message -3616a
 - Incorrect HIPPS/RUG Value: The submitted value of the HIPPS/RUG code does not match the value calculated by the QIES ASAP System.
- Warning message
- Software/user error
 - User incorrectly entered the RUGs/Grouper Configuration settings in the software
 - Software is not using the correct version of the RUG III or RUG IV grouper software
- Action required:
 - Correct the RUGs/Grouper Configuration settings in the software
 - Notify your software vendor of the error
 - Use the ASAP system-calculated on the Medicare claim



Most Common Warning Messages (cont.)

- Error message -3749a
 - Assessment Completed Late: Z0500B (assessment completion date) is more than 14 days after A2300 (assessment reference date).
- Warning message
- Provider workflow error
 - Assessment was not completed in a timely fashion
- Action required:
 - To avoid this warning in the future, review the MDS 3.0 assessment completion timing requirements
 - Develop a tracking mechanism to ensure timely completion of MDS 3.0 records



Most Common Warning Messages (cont.)

- Error message -3808
 - Missing/Invalid Data: This required Section S item is either missing or contains invalid data. Number fields must be unsigned.
- Warning message
- Software/user error
 - Software allowed invalid value to be entered in the Section S item OR allowed the Section S item response to be blank
 - Software issued a warning of the missing or invalid Section S item response, but the warning was ignored
- Action required:
 - Report the error to the software vendor if no warning was issued by the software
 - Do not ignore the warnings issued by the software



Most Common Warning Messages (cont.)

- Error message -3810d
 - Record Submitted Late: The submission date is more than 14 days after Z0500B on this new (A0050 equals 1) assessment.
- Warning message
- Provider workflow error
 - Assessment was not completed in a timely fashion
- Action required:
 - To avoid this warning in the future, review the MDS 3.0 assessment submission timing requirements
 - Develop a tracking mechanism to ensure timely submission of MDS 3.0 records



Most Common Warning Messages (cont.)

- Error message -3749e
 - Care Plan Completed Late: For this Admission assessment (A0310A equals 01), V0200B2 (CAA process signature date) is more than 13 days after A1600 (entry date).
- Warning message
- Provider workflow error
 - CAA process signature date (V0200B2) was late
- Action required:
 - To avoid this warning in the future, review the MDS 3.0 assessment completion timing requirements
 - Develop a tracking mechanism to ensure timely completion of MDS 3.0 records



Most Common Warning Messages (cont.)

- Error message -3749d
 - Assessment Completed Late: For this Admission assessment (A0310A equals 01), Z0500B (completion date) is more than 13 days after A1600 (entry date).
- Warning message
- Provider workflow error
 - Assessment was not completed timely
- Action required:
 - To avoid this warning in the future, review the MDS 3.0 assessment completion timing requirements
 - Develop a tracking mechanism to ensure timely completion of MDS 3.0 records.



Most Common Warning Messages (cont.)

- Error message -1018
 - Inconsistent Record Sequence: Under CMS sequencing guidelines, the type of assessment in this record does not logically follow the type of assessment in the record received prior to this one.
- Warning message
- Provider workflow error
 - Submitted MDS 3.0 record was not the next expected record for the resident.
- Action required:
 - Develop a tracking mechanism to ensure MDS 3.0 records are submitted and completed in a sequential order



All MDS 3.0 Errors

- Comprehensive list of all MDS 3.0 errors that could occur during record processing is contained in Section 5, Error Messages
 - Section 5 is one section available in the MDS 3.0 Provider User's Guide
 - Refer to Section 5 while reviewing the final validation report
 - Contains detailed information about each MDS 3.0 error, including the message number and message description; type of error (Fatal or Warning); explanation about why the error occurred, and steps that should be taken to correct the error



Correcting Errors in MDS 3.0 Records

Correcting Errors in MDS 3.0 Records (cont.)

- MDS Correction Policy – three methods available to correct MDS 3.0 records already accepted into the ASAP system:
 - Modification record
 - Inactivation record
 - Special manual record correction request



Modification Record

- Modification record:
 - Use when an MDS record (assessment, Entry tracking record or Death in Facility tracking record) is in the QIES ASAP system, but the information in the record contains clinical or demographic errors.
 - Moves the inaccurate record into history in the QIES ASAP system and replaces it with the corrected record as the active record.



Modification Record (cont.)

- Create a corrected record with all items included, not just the items in error.
- Complete the required Correction Request Section X items and include with the corrected record. Item A0050 (Type of Record) should have a value of 2, indicating a modification request.
- Submit this modification request record to the ASAP system



Inactivation Record

- Inactivation record:
 - Moves the inaccurate record into history in the QIES ASAP system, but does not replace it with a new record.
 - Complete item A0050 (Type of Record) and items in Section X only
 - Item A0050 (Type of Record) should have a value of 3, indicating an inactivation request.
 - Section X contains the minimum amount of information necessary to enable location of the erroneous MDS record previously submitted and accepted into the QIES ASAP system.

Inactivation Record (cont.)

- Inactivation record should be used in the following instances:
 - Record has been accepted into the QIES ASAP system but the corresponding event did not occur
 - Incorrect Type of Provider (Item A0200)
 - Incorrect Type of Assessment (A0310) when the Item Subset would change had the MDS been modified
 - Discharge Date (Item A2000) on a Discharge assessment record (Item A0310F = 10, 11) when the look-back period and/or clinical assessment would change had the MDS been modified
 - Assessment Reference Date (Item A2300) on an OBRA or PPS assessment when the look-back period and/or clinical assessment would change had the MDS been modified



Special Manual Record Correction Request

- Special Manual Record Correction Request must be used if any of the errors listed below occur:
 - Record is a test record inadvertently submitted as production.
 - Record has the wrong unit certification or licensure designation in Item A0410.
 - Record has the wrong state code or facility ID in the control Items STATE_CD or FAC_ID.
- Records containing any one of the errors above must be permanently removed from the ASAP system
- Contact your State Agency for assistance to complete the manual correction request



Section 5 – Submission and Correction of MDS Assessments

- Refer to Long-Term Care Facility Resident Assessment Instrument (RAI) 3.0 User's Manual
 - Section 5 - Submission and Correction of the MDS Assessments provides detailed information regarding:
 - MDS 3.0 record submission requirements
 - MDS correction policy
 - Correcting errors in records that have been accepted into the ASAP system
 - Correcting errors in records that have not yet been accepted into the ASAP system
 - Special Manual Record Correction Request



Check Your Understanding

- Which type of corrective action should be taken if the assessment accepted into the ASAP system reflects an event that did not occur for the resident identified in the assessment?
 1. Submit a modification record with the correct A0310 reason for assessment values.
 2. Submit an inactivation record to move the MDS 3.0 record into history.
 3. Contact your state and request assistance to implement the special manual record correction process.
 4. No action is required.



CASPER Report Retention Information

CASPER Report

Retention Information (cont.)

- Completed reports in CASPER Reporting application are only retained and available to you for a limited time
 - Automatically deleted by the system after the time period has passed
 - Print or save a copy of the report prior to the system deletion



CASPER Report

Retention Information (cont.)

- Report deletion time periods:
 - MDS 3.0 NH Provider Reports
 - Deleted after 60 days
 - MDS 3.0 NH Final Validation Reports
 - Deleted after 60 days
 - MDS 3.0 SB Provider Reports
 - Deleted after 60 days
 - MDS 3.0 SB Final Validation Reports
 - Deleted after 60 days
 - MDS 3.0 Submitter Validation Reports
 - Deleted after 60 days
 - MDS 3.0 QM Reports
 - Deleted after 60 days



CASPER Report

Retention Information (cont.)

- System-generated MDS 3.0 NH Final Validation Report
 - Deleted after 60 days
- System-generated MDS 3.0 SB Final Validation Report
 - Deleted after 60 days
- MDS 3.0 Facility and Resident QM Preview Reports
 - Available to nursing home-based SNFs only
 - **Effective November 1, 2016, the retention time period for these reports will change from 230 days to 90 days**
- MDS 3.0 Nursing Home QM Five Star-Rating Preview Reports
 - Available to nursing home-based SNFs only
 - Deleted after 90 days



CASPER Reporting User's Guide

- Refer to CASPER Reporting User's Guide for additional information about the functionality included in the CASPER Reporting application or the reports that are available to you
 - Section 2: Functionality
 - Section 6: MDS 3.0 NH Provider
 - Section 7: MDS 3.0 NH Final Validation
 - Section 8: MDS 3.0 SB Provider
 - Section 9: MDS 3.0 SB Final Validation
 - Section 10: MDS 3.0 Submitter Validation



Technical User Guides and Help Desk Support

Technical User Guides

- MDS 3.0 Provider User's Guide
- CASPER Reporting User's Guide
 - Available in the following locations:
 - 'Welcome to the CMS QIES Systems for Providers' web page
 - MDS 3.0 User Guides & Training page on the QIES Technical Support Office (QTSO) website:
<https://www.qtso.com/mdstrain.html>



Technical Referencing Materials

- MDS 3.0 Data Submission Specification
 - Available on MDS 3.0 Technical Information page on the CMS website
(<https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/NHQIMDS30TechnicalInformation.html>)



Technical Help Desk Support

- Contact the QIES Technical Support Office Help Desk for assistance with the following:
 - Support for the MDS 3.0 data submission
 - Locating or interpreting the MDS 3.0 Final Validation report or other CASPER reports
- Contact information:
 - Phone: (800) 339-9313
 - E-mail: help@qtso.com



Questions?