MDS 3.0 Errors and Reports – Don’t Let Them Trip You Up

March 2012
The Itinerary

- Submission Status page
- Facility Final Validation Report
- Error messages
  - Fatal errors
  - Warnings
- Other CASPER Reports
- References
Planning the Journey

- Need to review.
  - Facility Final Validation Report (FFVR)
- Have Section 5 of the Provider User’s Guide handy.
- Don’t be intimidated.
- Run MDS 3.0 reports, as needed.
Beginning the Journey
Submission Status

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

<table>
<thead>
<tr>
<th>Submission ID</th>
<th>Submission Date</th>
<th>Submission File Name</th>
<th>Total Record Count</th>
<th>Completion Date</th>
<th>Status</th>
</tr>
</thead>
</table>
Zero Records Processed

- BAD FILE - Fatal File Error
  - File cannot be read.
  - No records in ZIP file can be extracted.

- No Facility Final Validation Report

- Contact your vendor
  - File not per specifications.
One or More Records Processed

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

- Login to CASPER, go to FOLDERS
  - `st LTC fac_id VR` – contains facility validation rpt
- Named `mmddyyyyhhmmss.submission ID`
  - `mmddyyyy` is the submission date
  - `hhmmss` is the submission time (24 hour time: hour, minutes, seconds)
  - Submission ID is the submission ID of the submission file
- Example - 01132012142046.262894
  - Submitted on 01/13/2012 at 14:20:46 (2:20 pm), ID = 262894
FFVR Report Format

- Report Header Information
  - Submission information
  - Facility information
  - Processing information
- Record Header Information
  - Record specific information
- Detail Message Information
  - Error information
Report Header Information

<table>
<thead>
<tr>
<th>Submission Information</th>
<th>Facility Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submission Date/Time</td>
<td>State Code</td>
</tr>
<tr>
<td>Submitter User ID</td>
<td>Facility Name</td>
</tr>
<tr>
<td></td>
<td>Facility ID</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Processing Information</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Processing Completion Date/Time</td>
<td># Records in Submission File</td>
</tr>
<tr>
<td># Invalid Records</td>
<td># Records Processed</td>
</tr>
<tr>
<td># Production Records Accepted</td>
<td># Production Records Rejected</td>
</tr>
<tr>
<td># Production Duplicate Records:</td>
<td></td>
</tr>
<tr>
<td># Production Records Submitted Without Facility Authority:</td>
<td></td>
</tr>
<tr>
<td># Production Records Submitted But Not Allowed (subreq)</td>
<td></td>
</tr>
<tr>
<td>Total # of Messages for Production Records</td>
<td></td>
</tr>
</tbody>
</table>
Report Header: Submission & Facility Information

CMS Submission Report
MDS 3.0 NH Final Validation Report

Submission Date/Time: 04/22/2012 14:06:16
Processing Completion Date/Time: 04/22/2012 15:15:10
Submission ID: 8975
Submission File Status: Completed
State Code: IN
Facility ID: 11940000
Facility Name: Facility Name
Submitter User ID: SSTEST1200
Report Header: Processing Information

CMS Submission Report
MDS 3.0 NH Final Validation Report

# Records in Submission File: 16
# Invalid Records: 0
# Records Processed: 16
# Production Records Accepted: 6
# Production Records Rejected: 10
# Production Duplicate Records: 0
# Production Records Submitted
  Without Facility Authority: 0
# Production Records Submitted
  But Not Allowed: 0
Total # of Messages for
  Production Records: 49
# Record Header Information

## Record Information
- **Record processing number**
- **Record status**

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

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

Record: 1  
Accepted  
Record Information

Asmt_ID: 317144  
Name: TEST1, MDSname1
Res_Int_ID: 15766136  
SSN: 899741056

A0200: 1  
A0310A: 99  
A0310B: 01  
A0310C: 0  
A0310D: ^  
A0310E: 1  
A0310F: 99  
A0310G: ^

Target Date: 04/14/2012  
Production/Test Indicator: PRODUCTION
Attestation Date (X1100E):
Type of Transaction (A0050): NEW RECORD
Item Subset Code: NP  
Data Specs Version #: 1.10
XML File Name:  
IN_FAC11940000_RES09434_000  
020729_A00_NP199990_01.xml
Error Message Information

- MDS 3.0 Item(s)
  - List of items to which the error message pertains.

- Invalid Data Submitted
  - Lists the submitted values of the items listed in the MDS 3.0 Item(s) list.

- Message Number
  - Displays the unique message number and type of message (fatal/warning).

- Message
  - Displays the text of the message.
# Error Message Examples

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

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

- Every record is edited for potential issues.
- Two types of Error Messages
  - Fatal - “Really Bad”
    - Record is not accepted into ASAP system, i.e. rejected.
    - Must correct record and submit ‘new’ record.
  - Warnings - “Issue” to “Information Alert”
    - Record is accepted into ASAP system.
    - Should determine if need to address/fix something.
Software Functionality Issues

- Data entry software should be ensuring that the data entered is compliant with the Data Specifications.
- Prior to allowing submission of a record, the software should:
  - Ensure that all active items are complete.
  - Ensure that the data is compliant with all edits.
- Issue errors/messages to the user for missing items and failed edits.
Error Messages

- Common Fatal Errors
  - Work Flow Errors
  - User/Software Errors
  - Software Errors

- Common Warning Messages
  - Timing and Sequencing Errors
  - Informational Errors
  - Communication Errors
Most Common Fatal Errors

- **-1007 Duplicate Assessment**
  - The submitted record is a duplicate of a previously submitted record.

- **-1030 Missing Item**
  - Based upon the Item Subset Code (ISC) submitted in this record, this item is required.

- **-3676 Invalid Value**
  - The value submitted for this item is not an acceptable value.
Most Common Fatal Errors

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

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

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

- **-3658 No Authority to Collect Data**
  - Privacy rights require federal and/or state authority to collect MDS data. There is no authority to collect the data submitted. Data was not accepted.

- **-1004 Invalid XML File Format**
  - The submitted file is not structured properly or contains tags longer than 30 characters and cannot be processed.
Most Common Fatal Errors

- **-3668b Inconsistent O Items**
  - If A2300 minus A1600 is less than or equal to 13 days, then items O0100A1 through O0100Z1 in Column 1 must equal 0, 1, or dash (-).

- **-3783 Inconsistent X0800**
  - The submitted modification value submitted in X0800 is not incremented by one (1) from the previously submitted modification value for this record.
Work Flow Fatal Errors

- Duplicate Record (-1007)
  - Staff does not know which files were submitted.
  - Not reading validation report(s)/activity report.
  - Sending in original rather than a modification record.

- Unauthorized submitter (corporate, 3rd party) (-3693b)

- No authority to collect (sub-req) (-3658)
User/Software Fatal Errors

- Submitted value is incorrect.
  - Misunderstood the question/instructions
  - Data entry error
  - Staff ignored/overrode the issued software message
- Didn’t answer (code) required item.
- Software didn’t issue error message.
User/Software Fatal Error Examples

- Inconsistent Dates (date order)
  - -3573a, -3573b2

- Invalid Skip Pattern
  - -3704b, -3612a, -3528c, -3779a, -3809, -3779b

- Inconsistent Items
  - -3668b, -3752, -3608, -3752, -3559b, -3557c

- Invalid Value
  - -3691, -3676, -3679

- Missing Item
  - -1030
Software Fatal Errors

- Not zipping the submission file
- Submission record format incorrect
- Not including required control items
- Inaccurate calculation of Item Subset Code
- Incorrect formatting of date or ICD item
Software Fatal Error Examples

- Submission file not zipped (-1001)
- Record not in correct XML format (-1004)
- Not included all required control items (-1003)
  - STATE_CD
  - FAC_ID
- ISC code does not match A0310 values (-3796)
- Invalid Format (dates, ICD codes, text values, numbers) (-3677, -3591, -3570, -3688,-3782)
Common Warning Messages

-3806 Inconsistent A0100C

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

-1031 Resident Information Updated

- Resident identifying data submitted in this item is not the same as the data previously submitted for this resident. Verify that the new information is correct.
Common Warning Messages

- **-1032 Resident Provider Updated**
  - Our records indicated that a different provider previously cared for this resident. The provider associated with this resident was updated. Please verify.

- **-1060 Medicare FY2011 RUG IV Transition RUG Calculated**
  - A Medicare FY2011 Transition RUG IV was calculated for this assessment.

- **-3616b Incorrect RUG Logic Version**
  - The submitted value of the RUG version code does not match the value calculated by the QIES ASAP System.
Common Warning Messages

- **-3808 Missing/Invalid Data**
  - This required Section S item is either missing or contains invalid data. Number fields must be unsigned.

- **-3616a Incorrect HIPPS/RUG Value**
  - The submitted value of the HIPPS/RUG code does not match the value calculated by the QIES ASAP System.
Common Warning Messages

- **-3810d Record Submitted Late**
  - The submission date is more than 14 days after Z0500B on this new (X0100 equals 1) assessment.

- **-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.

- **-3749a Assessment Completed Late**
  - Z0500B (assessment completion date) is more than 14 days after A2300 (assessment reference date).
Timing and Sequencing Messages

- Late Assessment (-3759a-e, -3810a-e, -1040)
  - Completed late.
  - Not submitted and accepted within 14 days.
- Inconsistent Record Sequence (-1018)
  - Didn’t complete an entry record.
  - Didn’t complete/submit a discharge record.
  - Didn’t complete/submit a required assessment.
- New resident and not an entry record (-1027)
Informational Errors

- Updated resident information (-1031)
  - Check to make sure new resident information is correct.

- HIPPS/RUG code doesn’t match (-3616a)
  - Bill the ASAP recalculated value.

- HIPPS/RUG version doesn’t match (-3616b)
  - Vendor software using different RUGS (logic) version of the RUGS than ASAP system.

- Different Fiscal Year RUG code calculated (-1059, -1060)
Communication Error

- Inconsistent A0100C (-3806)
  - State Provider Number
  - Facility submitted a blank in the item
  - State agency did not enter number in the database
  - State agency and facility have a different number of leading zeros on the number
  - Provider numbers do not match
    - Example: State - 4963, facility – 000496303
  - Number from the database is displayed in the error message (Current Value). If facility thinks the number is wrong, then they should contact their state agency.
Supplemental Excursions
Reports

- Submitter Validation 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
Reports

- MDS 3.0 Errors by Field by Facility
- 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
Submitter Validation Report

- Rarely need to run.
- Information should be on FFVR.
- Run when FFVR for the submission lists fewer records than were submitted in the file.
  - ASAP system could not read missing record. (-1004)
  - ASAP system could not identify facility of record. (-1003)
- Must be run by submitter of the file.
MDS 3.0 Activity Report

- Lists the accepted assessments, tracking records, and inactivation requests that were submitted by or on behalf of a facility during a specified timeframe.
  - Use to determine workload.
  - Use to determine if record was submitted.
  - Run monthly or more frequently.
MDS 3.0 Admission/Reentry

- Lists the residents who were admitted to or reentered a facility during a specified timeframe.
  - Use to compare to facility roster to ensure each new resident has an entry accepted in the ASAP database.
  - If an Admission record has been submitted and the resident doesn’t have an accepted entry record error -1018 (Inconsistent Record Sequence) will appear on the Final Validation report for the Admission record.
  - Run monthly or more frequently.
MDS 3.0 Assessments with Error Number XXXX

- Lists the assessments submitted with a specified error for a facility during a specified timeframe.
  - Use to identify assessments with certain fatal errors that were submitted that need to be corrected and resubmitted.
  - Use to determine which assessments were not completed under CMS timing rules (i.e., OBRA quarterly and yearly rules).
  - Use to identify a pattern with coding or an area in need of training.
  - Use to identify software-related errors.
MDS 3.0 Discharges

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

- Details the errors encountered in successful submissions made by or on behalf of a facility during a specified timeframe.

  - Use to determine which errors occurred.
    - Address fatal recurring errors with your software vendor.
    - Recurring errors may be occurring due to use of an older version of software.
    - Some recurring errors are to be expected, such as -1031 (Resident Information Updated).
  
- Use in a facility QA program to track timeliness or sequence of record submission.
MDS 3.0 Error Number Summary by Facility by Vendor

- Summarizes the errors encountered on assessments submitted by or on behalf of a facility during a specified timeframe.

  - Use to determine vendor specific issues.
MDS 3.0 Errors by Field by Facility

- Lists the errors encountered in the fields of successful submissions made by or on behalf of a facility during a specified timeframe.
  - Use to determine training needs within facilities.
  - Use to identify potential software issues.
MDS 3.0 Missing OBRA Assessment

- Lists the residents in select facilities for whom the target date of the most recent OBRA assessment (other than a discharge or death record) is more than 138 days prior to the report run date.
- The report also includes residents for whom no OBRA record was submitted for a current episode that began more than 60 days prior to the report run date.
- Use as a QA tool to ensure all assessment have been successfully submitted.
MDS 3.0 NH Assessment Print

- Lists the assessment items submitted on the assessment with the selected Assessment ID.
  - Can be used to problem solve.
MDS 3.0 RFA Statistics

- Summarizes for a facility the reasons for assessment for accepted assessments submitted during a specified timeframe.
  - Use to monitor /evaluate workload during an identified timeframe.
MDS 3.0 Roster

- Lists residents of a facility for whom the latest accepted, federally required assessment is not a Discharge assessment. (A0310F = 10, 11, or 12)
  - Use to determine a list of all current residents at time of survey.
  - Use as a QA tool to ensure all current residents have an entry record and all discharge residents have a discharge record in the ASAP database.
MDS 3.0 Submission Statistics by Facility

- Summarizes the submissions made by or on behalf of a facility during a specified timeframe.
  - Can be used to determine workload during a specified timeframe.
MDS 3.0 Vendor List

- Lists all current vendors for select state.
  - Use to determine active vendors within a state.
Home Stretch
References

- Section 5 contains the error and warning messages.

Section 6 contains MDS 3.0 NH provider reports (section 8 is swing bed provider reports).

Section 7 contains the MDS 3.0 NH final validation report (section 9 is swing bed final validation report).

Section 10 contains MDS 3.0 submitter validation report.