

A

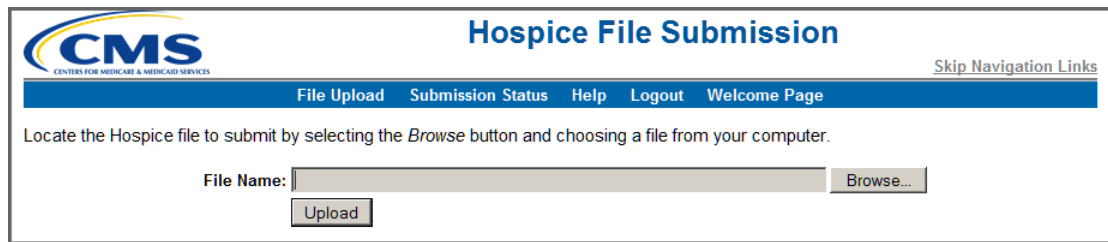
QUICK REFERENCE TO HOSPICE FILE SUBMISSIONS, SUBMISSION STATUS, AND FINAL VALIDATION REPORTS

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FILE SUBMISSION

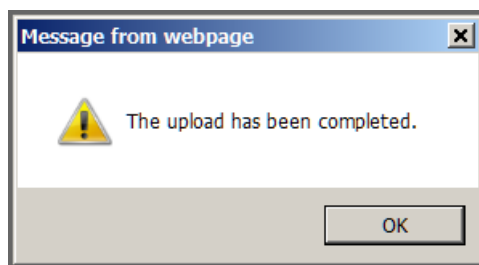
1. From the **Welcome to the CMS QIES Systems for Providers** page, select the [Hospice Submissions](#) link and log in to the Hospice File Submission System using your QIES individual user ID and password. Upon successful log in to the Hospice File Submission system, the **File Upload** page (Figure A-1) is presented.

Figure A-1. Hospice File Submission File Upload Page



2. Select the **Browse** button to locate the HIS file you wish to submit. Select (highlight) the zipped submission file and then select the **Upload** button to upload the file.
3. Once the QIES ASAP System successfully receives the submission file, a pop-up dialog box (Figure A-2) opens notifying you that the upload was completed.

Figure A-2. Upload Completed Pop-Up Dialog Box



NOTE: The “Upload Completed” message merely indicates the QIES ASAP Hospice system received the uploaded file. It does NOT indicate the file was processed or the records were edited and accepted by the QIES ASAP Hospice system. Refer to the **List of My Submissions** page of the Hospice File Submission system to determine if the file processing completed.

4. Select the **OK** button. The pop-up dialog box closes. You are returned to the **File Upload** page (Figure A-3) that now displays a “Your submission has been received” message and identifies the system-assigned Submission ID, the date and time of the submission, and the name of the file you submitted.

NOTE: It is important that you know the Submission ID and Submission Date/Time associated with the file you just submitted. You must use this information in subsequent steps of the submission file validation process.

Figure A-3. Your Submission Has Been Received Message

The screenshot shows the 'Hospice File Submission' page. At the top left is the CMS logo (Centers for Medicare & Medicaid Services). The page title is 'Hospice File Submission'. A navigation bar contains links for 'File Upload', 'Submission Status', 'Help', 'Logout', and 'Welcome Page'. On the right, there is a link for 'Skip Navigation Links'. The main content area displays a confirmation message: 'Your submission has been received:'. Below this message, the following information is listed: 'Submission ID: 152', 'Submission Date: 02/15/2015 11:53:40', and 'File Name: 2015_02_06_HIS_Files.zip'. A 'Print' link is located to the right of this information. Below the message, there is a note: 'Your submission file will be processed for errors within 24 hours. The Final Validation Report, which contains detailed information about your submission, may be accessed in the CASPER Reporting application. It is recommended that you print and retain the Final Validation Reports.' At the bottom of the page, there is a section for uploading a file: 'Locate the Hospice file to submit by selecting the Browse button and choosing a file from your computer.' This section includes a 'File Name:' input field, a 'Browse...' button, and an 'Upload' button.

5. Select the Print link from the right-hand side of the page to print and retain this information for future reference.

NOTE: Once a file is successfully submitted, please note that it may take up to 24 hours for processing to complete. When processing is complete, return to the Hospice File Submission system to verify the status of the file and then proceed with locating the system-generated Hospice Final Validation report in the CASPER Reporting application.

Records in the submitted HIS data file are sorted and processed in the following order:

- State Code
- Facility ID
- Target Date
- Type of Record (A0050) [Inactivation, New, Modification]
- Reason for Record (A0250) [Admission, Discharge]
- Correction Number

FILE SUBMISSION STATUS

To determine if your submission file was processed successfully, query the status of your submission in the following manner:

1. Log in to the Hospice File Submission System using your individual QIES user ID and password. Upon successful log in to the Hospice File Submission system, the **File Upload** page (Figure A-1, above) is presented.
2. Select the Submission Status link located on the menu bar on the Hospice File Submission **File Upload** page. The **List of My Submissions** page (Figure A-4) is presented.

Figure A-4. List of My Submissions Page

Submission ID	Submission Date	Submission File Name	Total Record Count	Completion Date	Status
155	02/15/2015 12:50:39	2015_02_12_HIS_Files.zip	9	02/15/2015 12:51:55	Completed
154	02/15/2015 12:07:16	2015_02_11_HIS_Files.zip	9	02/15/2015 12:11:55	Completed
153	02/15/2015 12:06:16	2015_02_07_HIS_Files.zip	9	02/15/2015 12:06:55	Completed
152	02/15/2015 11:53:40	2015_02_06_HIS_Files.zip	9	02/15/2015 11:56:55	Completed

The **List of My Submissions** page provides the following information:

- Submission ID – the unique ID assigned to the submitted file
- Submission Date – the date and time that the submitted file was received by the system
- Submission File Name – the name of the submitted file
- Total Record Count – the count of records contained in the submitted file
- Completion Date – the date and time that the file processing was complete
- Status – the status of the file processing. The following status values may display:
 - *Waiting* – the submitted file is waiting to be processed
 - *Processing* – the submitted file is processing
 - *Error* – an error occurred during processing of the submitted file
 - *Completed* – the submitted file was processed

3. Locate the file of interest by *Submission ID* and verify that the *Status* is “Completed”.

NOTE: The Submission ID was assigned to the file when you uploaded it. Refer to the “Your submission has been received” message (Figure A-3, above) you should have printed and saved for your records.

4. For submission files with a *Completed* status, note the number in the *Total Record Count* column.

- When the *Status* is “**Completed**” and the *Total Record Count* is **zero (0)**, a system-generated Hospice Final Validation report is NOT generated. The QIES ASAP system **cannot** produce a system-generated Hospice Final Validation report. **No** system-generated Hospice Final Validation report is available in your CASPER validation reports (VR) folder for this submission. Request the Hospice Submitter Final Validation Report to identify the severe error encountered.

NOTE: Subsequent sections of this document provide instructions for locating and/or running validation reports in the CASPER Reporting application.

When the Total Record Count is zero (0) the system was unable to unzip and extract records from the submitted file.

NOTE: If your facility uses vendor software to create its submission files, you must notify the software vendor of these errors.

- When the *Status* is “**Completed**” and the *Total Record Count* is **greater than zero (0)**, the QIES ASAP system successfully unzipped and extracted one or more records from the file. You must review the system-generated Hospice Final Validation report to verify that **all** records processed without error. The system-generated Hospice Final Validation report is placed in your VR folder.

If you cannot locate the system-generated Hospice Final Validation report in your VR folder, the user who originally submitted the file can run a Hospice Submitter Validation Report with which you may verify the records of the submission file.

Likewise, if one or more records of the submission file are missing from the system-generated Hospice Final Validation Report, the user who originally submitted the file can run a Hospice Submitter Validation Report with which you may identify the errors that were encountered with those records. When records are missing from the system-generated Hospice Final Validation Report it is because the QIES ASAP system was unable determine with which provider the records were associated and could not include them on the provider's Hospice Final Validation Report.

SYSTEM-GENERATED HOSPICE FINAL VALIDATION REPORT

The system-generated Hospice Final Validation Report is created in two formats: Text and XML. Both report formats are delivered automatically to your facility's CASPER validation report folder.

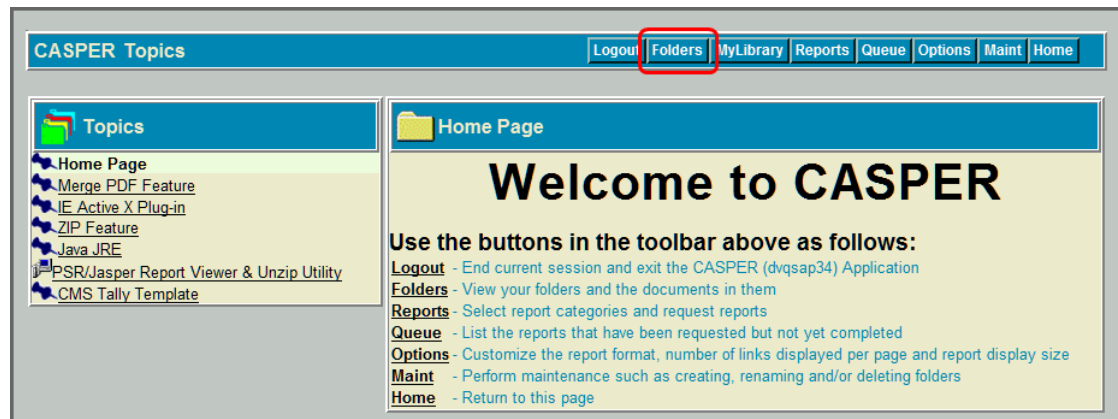
NOTE: The XML-formatted report is intended for software vendors. Providers may ignore the XML-formatted report and access the user-friendly plain text version of the Hospice Final Validation Report.

The following steps detail how to view the system-generated Hospice Final Validation report in the CASPER Reporting application:

NOTE: When the *Submission Status* is "Completed" and the *Total Record Count* is greater than zero (0), review the system-generated Hospice Final Validation report to verify that all records processed without error.

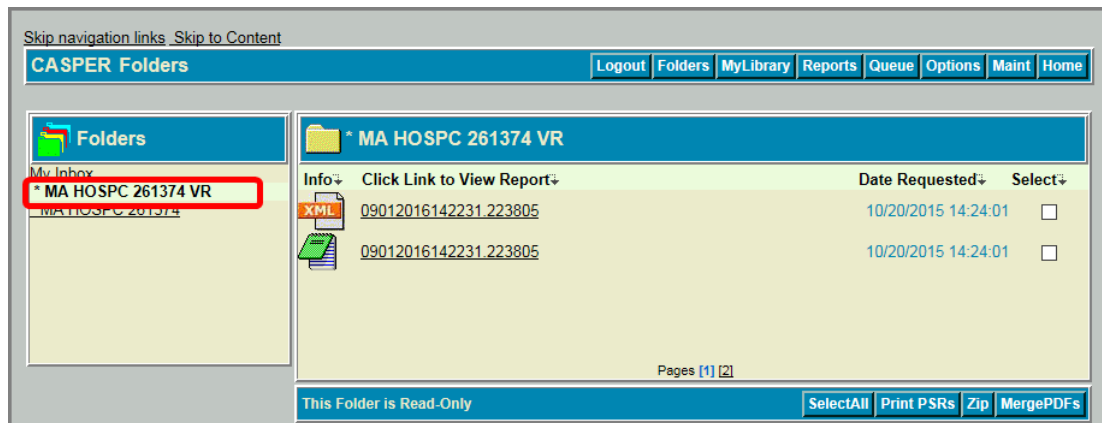
1. From the **Welcome to the CMS QIES Systems for Providers** page, select the CASPER Reporting link and log in to the CASPER Reporting application with your individual QIES user ID and password. This is the same user ID/password with which you access the Hospice File Submission system. The **CASPER Topics/Welcome** page (Figure A-5) is presented.

Figure A-5. CASPER Topics/Welcome Page



2. Select the **Folders** button located on the tool bar at the top of the page. The **CASPER Folders** page (Figure A-6) is presented. The folders available to you are along the left-hand side of the page.

Figure A-6. CASPER Folders Page – Validation Report Folder



3. Locate and select the facility folder with the naming structure of:

[State Code] HOSPC [Facility ID] VR

Where:

State Code = your 2-character state code

HOSPC = Hospice

Facility ID = Facility ID used for submitting Hospice records

VR = Validation Report

4. With the VR folder selected, the main body of the **CASPER Folders** page lists the Final Validation reports that were system-generated and are available for you to view. The report names are formatted as follows:

[Submission Date & Time].[Submission ID]

NOTE: Hospice reports are automatically purged after 60 days.

5. Select the report that corresponds to the submission file you wish to verify. Figure A-7 depicts a fictional system-generated Hospice Final Validation report in text format and Figure A-8 depicts a fictional system-generated Hospice Final Validation report in XML format.

NOTE: When a submitted file cannot be unzipped or contains no records, the QIES ASAP system cannot generate a Hospice Final Validation Report and place it in your shared VR folder.

If a system-generated Hospice Final Validation Report was created but the number of records displayed is less than the number of records you submitted in the file, there were one or more records that could not be processed by the QIES ASAP system.

In either case, the user who originally submitted the file must request the **Hospice Submitter Final Validation** report in order to identify the issues with the records that were not processed.

Facility-identifiable records from the submitted HIS file are presented on the system-generated Hospice Final Validation Report in the following order:

- State Code
- Facility ID
- Patient Last Name
- Patient First Name
- Record Processing Order
- HIS ID
- Error Type Description
- Item in Error Text
- Value in Error Text

Figure A-7. Hospice Final Validation Report – Text Format*

```

                                CMS Submission Report
                                Hospice Final Validation Report

Submission Date/Time:           09/01/2016 14:22:31
Submission ID:                  223805

Submitter User ID:             ██████████
Submission File Name:          20161020.zip
Submission File Status:        Completed
Processing Completion Date/Time: 09/01/2016 14:24:01

FAC_ID:                         261374
Provider Name:                 VISITING NURSE HOSPICE
Provider CCN:                  221541
State Code:                    MA

# Records Processed:           1
# Records Accepted:            1
# Records Rejected:            0
# Duplicate Records:           0
# Records Submitted Without
  Provider Authority:           0
Total # of Messages:           1

-----
Record: 1                        Accepted

Name (A0500C, A): ██████████ Birth Date (A0900): ██████████
SSN (A0600A): ██████████ Gender (A0800): M
Medicare Num (A0600B): ██████████ Patient ID: 17849425

Target Date: 04/05/2016          Type of Record (A0050): NEW RECORD
HIS_ID: 1380267                 Reason for Record (A0250): 01
XML File Name:                  20151020.xml

HIS Item(s):                    A0250, Submission Date, A0220
Data Submitted:                 01, 09/01/2016, 04/05/2016
Message Number:                 -3034a    WARNING
Message:                        Record Submitted Late: If A0250 is
                                equal to 01 (Admission), then
                                Submission Date minus A0220 (Admission
                                Date) should be less than or equal to
                                30 days.

-----

This report may contain privacy protected data and should not be released to
the public.

-----
```

* Fictitious, sample data are depicted.

Figure A-8. Hospice Final Validation Report – XML Format Excerpt*

```

- <report name="CMS Submission Report" type="Hospice Final Validation Report">
- <header>
  - <submission>
    <property name="Submission Date/Time" value="09/01/2016 14:22:31" />
    <property name="Submission ID" value="223805" />
    <property name="Submitter User ID" value=" " />
    <property name="Submission File Name" value="20151020.zip" />
    <property name="Submission File Status" value="Completed" />
    <property name="Processing Completion Date/Time" value="09/01/2016 14:24:01" />
  </submission>
  - <provider>
    <property name="FAC_ID" value="261374" />
    <property name="Provider Name" value="VISITING NURSE HOSPICE" />
    <property name="Provider CCN" value="221541" />
    <property name="State Code" value="MA" />
  </provider>
  - <processing>
    <property name="# Records Processed" value="1" />
    <property name="# Records Accepted" value="1" />
    <property name="# Records Rejected" value="0" />
    <property name="# Duplicate Records" value="0" />
    <property name="# Records Submitted Without Provider Authority" value="0" />
    <property name="Total # of Messages" value="1" />
  </processing>
</header>
- <records>
  - <record number="1">
    <property name="Record Status" value="Accepted" />
    <property name="Name (A0500C, A)" value=" " />
    <property name="Birth Date (A0900)" value=" " />
    <property name="SSN (A0600A)" value=" " />
    <property name="Gender (A0800)" value="M" />
    <property name="Medicare Num (A0600B)" value=" " />
    <property name="Patient ID" value="17849425" />
    <property name="Target Date" value="04/05/2016" />
    <property name="Type of Record (A0050)" value="NEW RECORD" />
    <property name="HIS_ID" value="1380267" />
    <property name="Reason for Record (A0250)" value="01" />
    <property name="XML File Name" value="20151020.xml" />
  - <errors>
    - <error number="1">
      <property name="HIS Item(s)" value="A0250, Submission Date, A0220" />
      <property name="Data Submitted" value="01, 09/01/2016, 04/05/2016" />
      <property name="Message Number" value="-3034a WARNING" />
      <property name="Message" value="Record Submitted Late: If A0250 is equal to
        01 (Admission), then Submission Date minus A0220 (Admission Date)
        should be less than or equal to 30 days." />
    </error number="1">
  </errors>
</record number="1">
</records>
</report name="CMS Submission Report" type="Hospice Final Validation Report">

```

* Fictitious, sample data are depicted.

NOTE: For more information about the Hospice Final Validation reports, refer to the *Hospice Provider Reports* (Section 3) of the CASPER Reporting User's Manual for Hospice Providers. This manual is available on the **Welcome to the CMS QIES Systems for Providers** page.

HOSPICE SUBMITTER FINAL VALIDATION REPORT

For the occasions when the QIES ASAP system cannot produce the system-generated Hospice Final Validation report or include all records on the system-generated Hospice Final Validation report, the user who originally submitted the file can request a Hospice Submitter Final Validation Report in order to determine why the QIES ASAP system could not process these records.

The following steps identify how to request and view the Hospice Submitter Final Validation report:

1. Log into the CASPER Reporting application with your individual QIES user ID and password. This is the same user ID/password you use for the Hospice File Submission system.
2. Select the **Reports** button. The **CASPER Reports** page (Figure A-9) is presented.

Figure A-9. CASPER Reports Page



The Hospice Provider report category reports are displayed by default. Links to the Hospice Provider reports available to you are listed in the right-hand frame.

NOTE: Only those report categories to which you specifically have access are listed in the *Report Categories* frame.

3. Select the [Hospice Submitter Final Validation](#) link. The **CASPER Reports Submit** page (Figure A-10) is presented.

Figure A-10. CASPER Reports Submit Page – Hospice Submitter Final Validation Report

CASPER Reports Submit Logout Folders MyLibrary Reports Queue Options Maint Home

Report: Hospice Submitter Final Validation

Submission ID:

Template Folder: My Favorite Reports Submit Back

Template Name: Hospice Submitter Final Validation Save & Submit Save

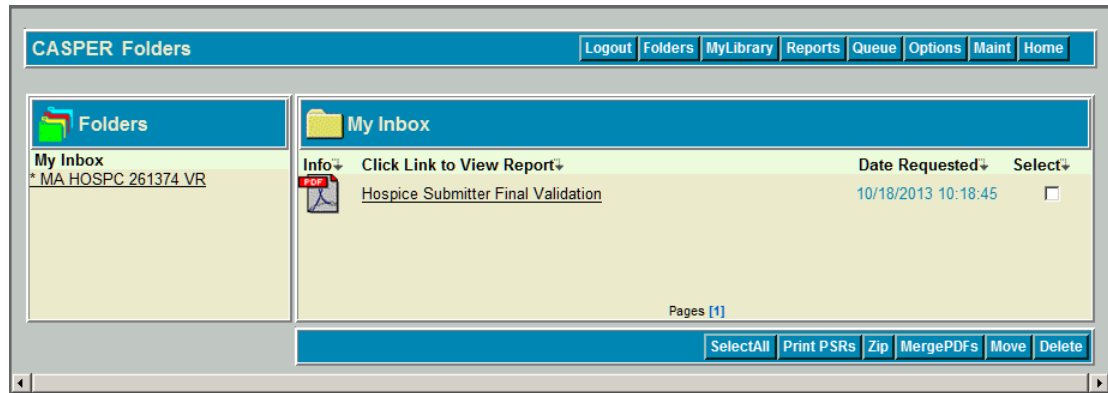
4. Enter the desired submission ID in the *Submission ID* field and select the **Submit** button.

NOTE: You may only request the Hospice Submitter Validation report for files submitted with your QIES individual user ID. You cannot request the Hospice Submitter Final Validation report for a file you did not submit. If you request a report for a file you did not submit you get a “User must enter a valid Submission ID” message and the request is not processed.

5. When completed, the Hospice Submitter Validation report is placed in your *My Inbox* folder in the CASPER Reporting Application. To access this folder, select the **Folders** button at the top of the page. The **CASPER Folders** page (Figure A-6, above) is presented. The folders available to you, including the *My Inbox* folder, are listed along the left-hand side of the page.
6. Select the [My Inbox](#) link. The main body of the **CASPER Folders** page (Figure A-11) lists the reports that are available in your *My Inbox* folder.

Each report name listed is a link with which you may open and view the contents of that report. The *Date Requested* listed for each report is the date and time that you submitted the report request.

Figure A-11. CASPER Folders Page – My Inbox Folder



- 7.** Find and select the Hospice Submitter Final Validation report you wish to view. Open the desired report by selecting the report name.

NOTE: When you hover your mouse pointer over the icon to the left of a report name, the submission ID for which that report was run displays briefly.

Listed below are several of the severe errors for which the QIES ASAP system **cannot** produce a system-generated Hospice Final Validation report. These errors are reported only on the Hospice Submitter Validation report:

- -901 Invalid Zip file format (no generated FVR)
- -902 Invalid XML file format (record not on generated FVR)
- -3020a Invalid Fac_ID (record not on generated FVR)

NOTE: While the severe errors listed above are common, it is not a comprehensive listing. To view a complete listing of errors, please refer to Section 5 of the Hospice Submission User's Guide available on the **Welcome to the CMS QIES Systems for Providers** page.