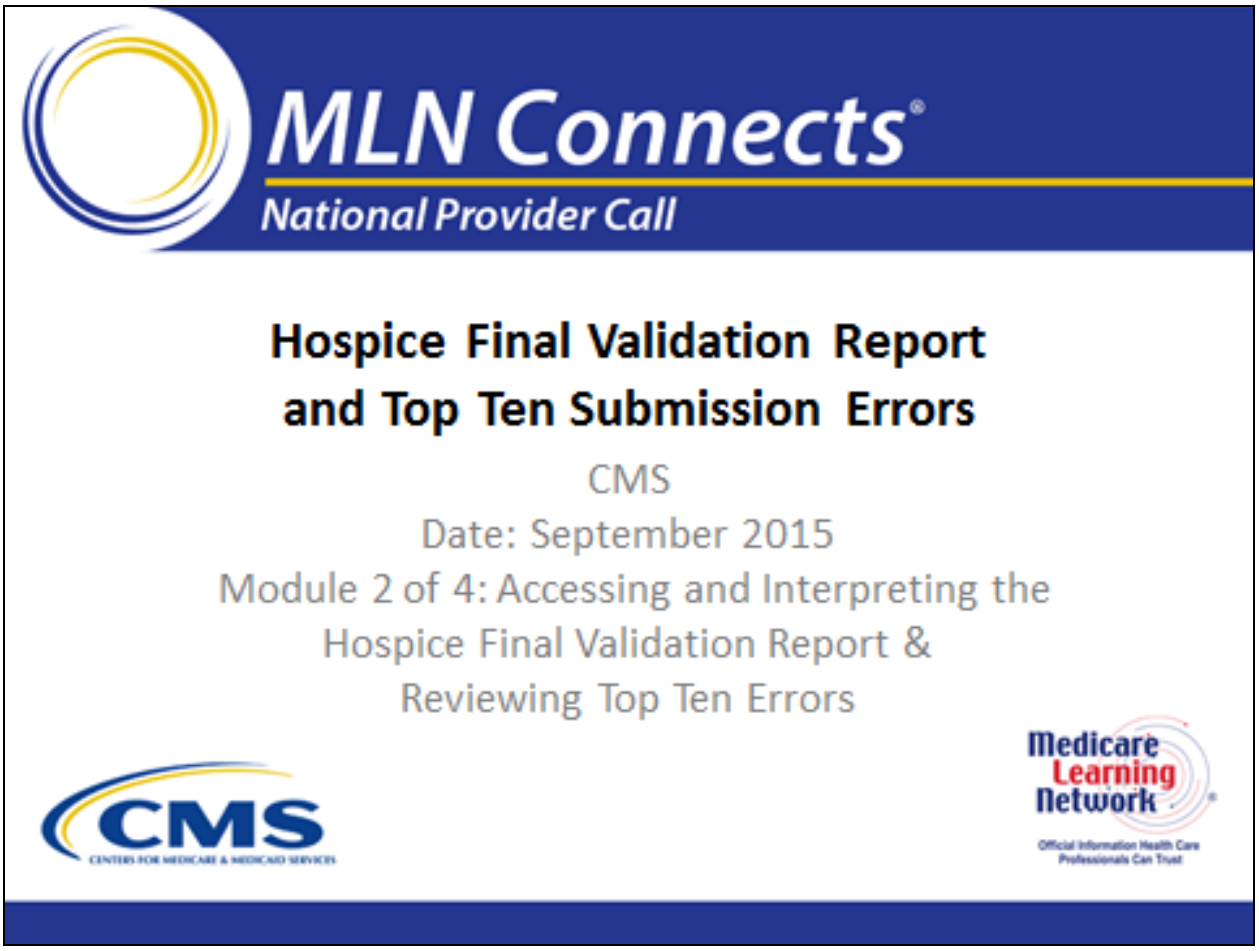
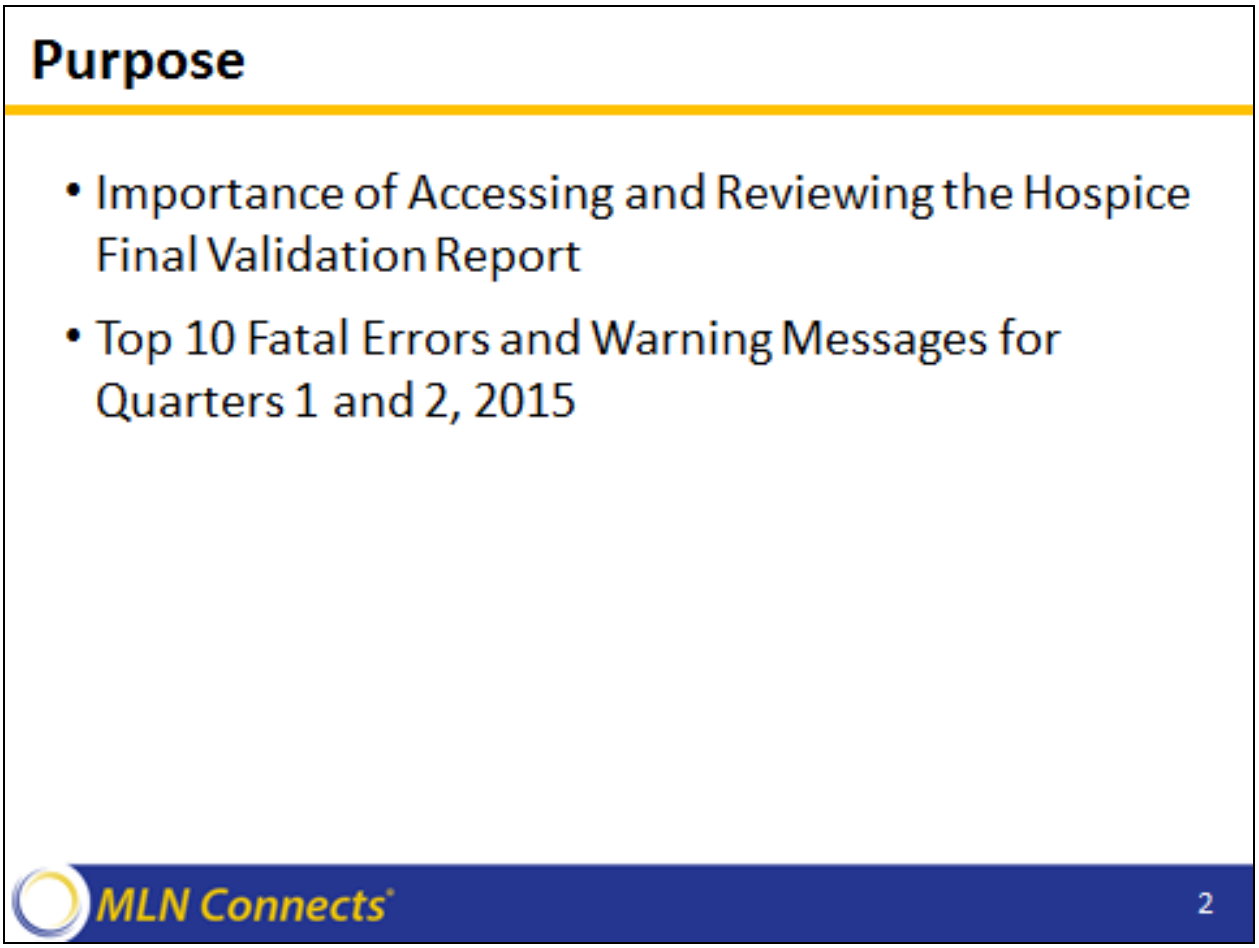


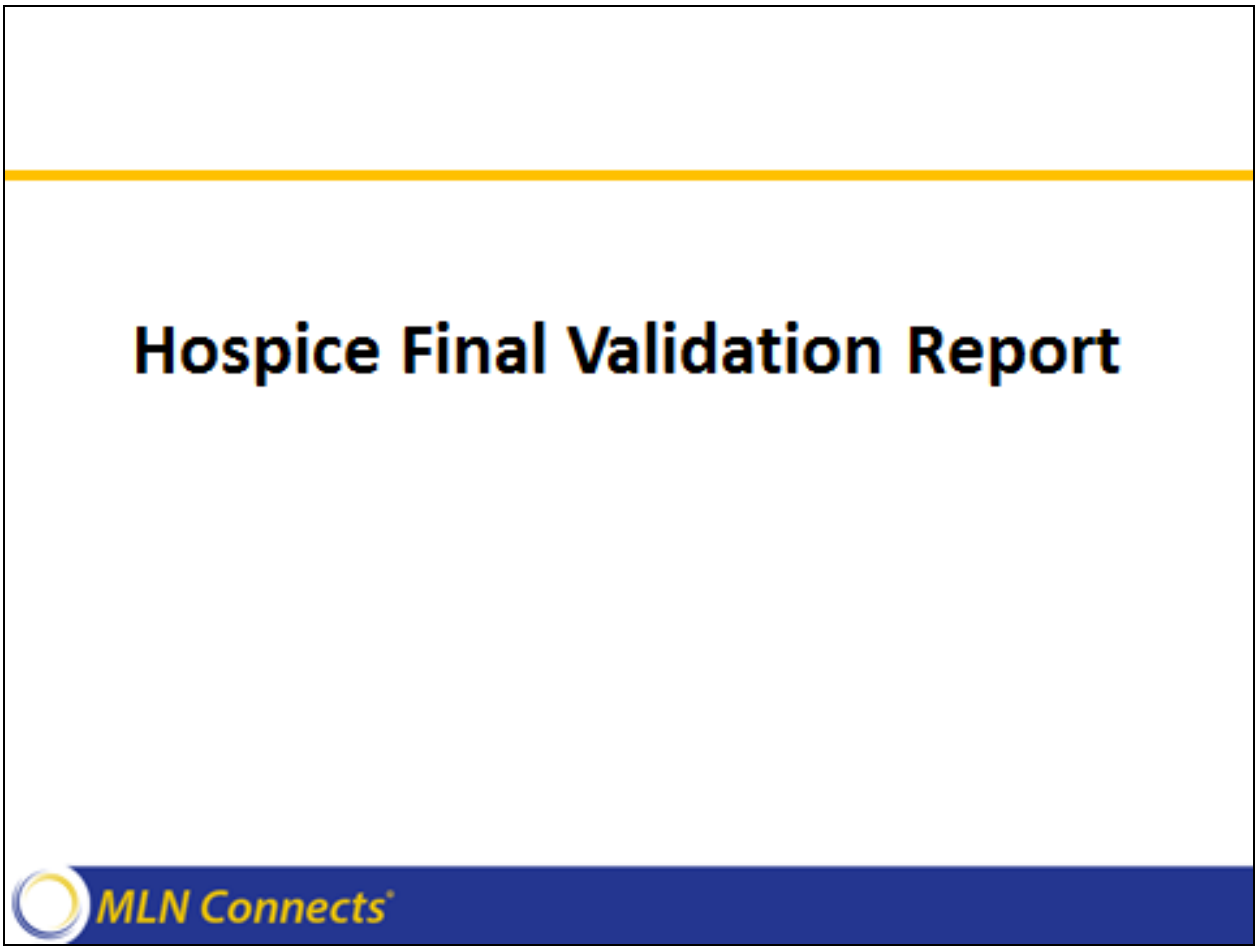
Welcome to the Centers for Medicare & Medicaid Services presentation, “Accessing and Interpreting the Hospice Final Validation Report & Reviewing Top Ten Errors.”



The purpose of this presentation is to provide, at a high-level, information that enables you to access and review the Hospice Final Validation Report. Also included is a review of the top ten errors for all HIS records submitted to the ASAP system during Quarters 1 and 2, 2015.

The following topics are included in this presentation:

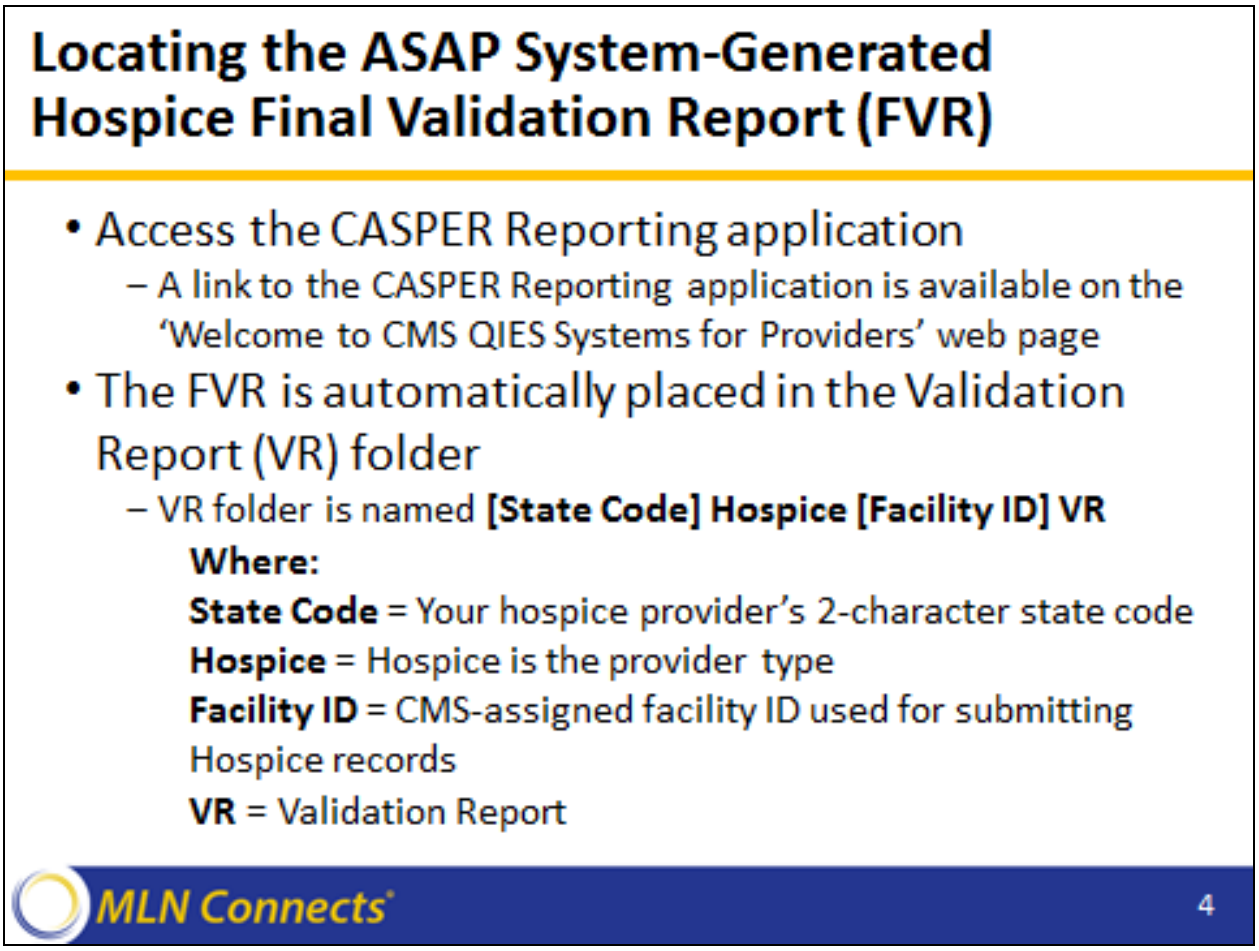
- Importance of Accessing and Reviewing the Hospice Final Validation Report
- Top 10 Fatal Errors and Warning Messages for Quarters 1 and 2, 2015



Submission of HIS data to the ASAP system is just the first step toward meeting the Quality Reporting Program (QRP) requirements. Providers must ensure that the submitted HIS records were was accepted into the QIES national repository. They can do so by accessing and reviewing the Hospice Final Validation Report.

After the submitted Hospice data file is successfully received by the QIES ASAP system, the ASAP system validates the file structure and data content. Within 24 hours of a successful submission, a system-generated final validation report is created and made available in the CASPER reporting application. This report provides a detailed account of errors found during the validation of the records contained in the Hospice submission file. The report only displays information about the records where the Facility ID could be verified by the ASAP system. The report is generally created within minutes of the submission, but the time can vary depending upon the size of the submission file and concurrent system activity.

Hospice providers must access the Final Validation Report (FVR) to verify the status of the record processing; that is, identify whether the HIS records contained in the submission file were accepted or rejected and the review any errors that were encountered. Records that are rejected by the ASAP system are not saved into the QIES national repository. Providers must correct the errors that caused the record to be rejected and resubmit the record to the ASAP system. Failure to correct and resubmit the HIS records may jeopardize the QRP compliance.



The Hospice Final Validation report is created by the ASAP system and available to you in the Validation Report (VR) folder in the CASPER Reporting application.

A link to access the CASPER Reporting application is available on the 'Welcome to CMS QIES Systems for Providers' web page.

Log into the CASPER Reporting application using your QIES User ID and password. This is the same user ID and password used to submit HIS records to the ASAP system. The Validation Report (VR) folder is located on the Folders page.

The name of the VR folder is **[State Code] Hospice [Facility ID] VR**

Where:

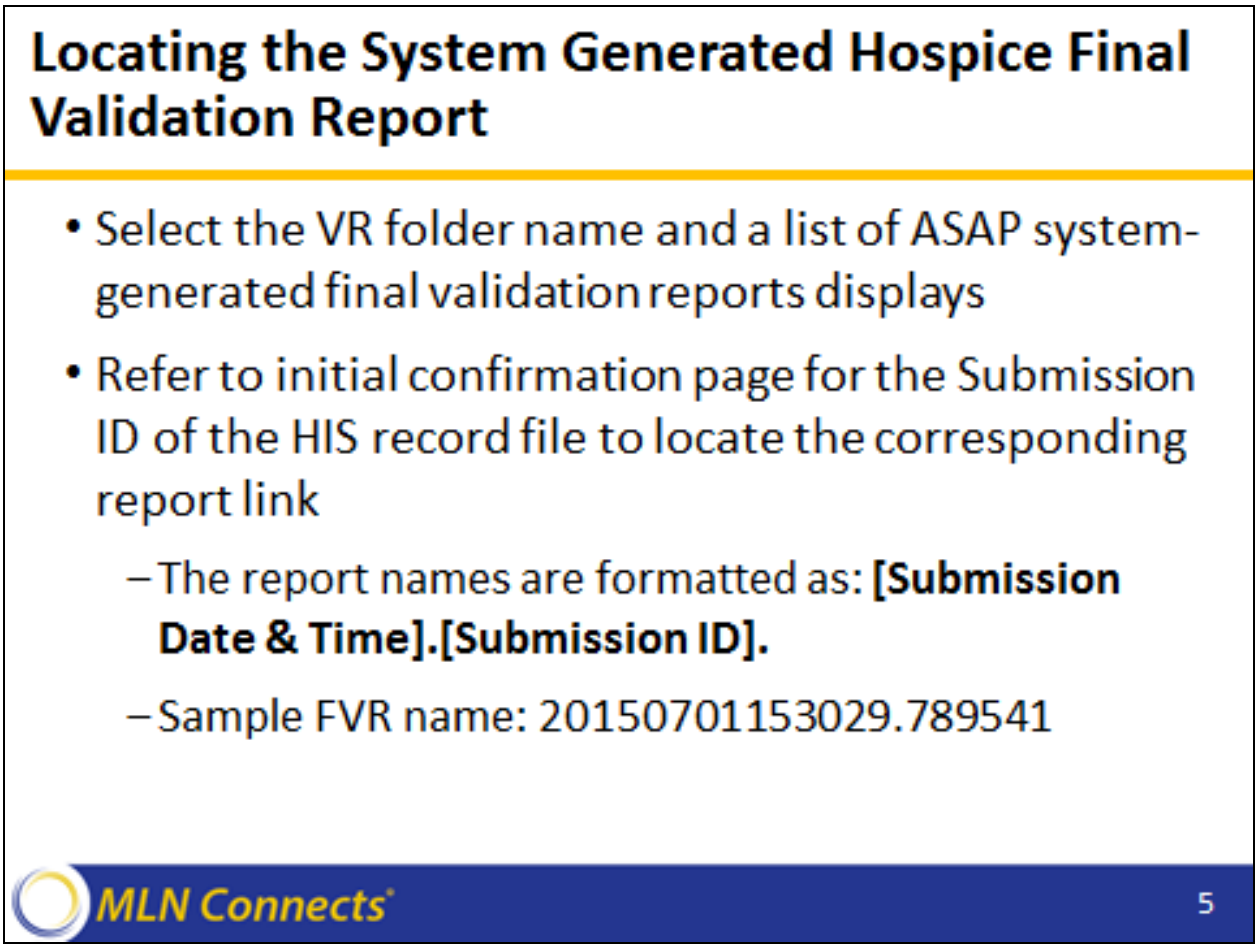
State Code = Your hospice provider's 2-character state code

Hospice = Hospice is the provider type

Facility ID = CMS-assigned facility ID used for submitting Hospice Item Set (HIS) records

VR = Validation Report

An example of a VR folder name is **IA Hospice 123456 VR**



Select the VR folder name and a list of ASAP system-generated final validation reports displays in the right frame of the web page.

Using the information from the initial confirmation page generated after submission of the HIS record file, locate the report link that contains the Submission ID of the submitted file. The report names are formatted as: **[Submission Date & Time].[Submission ID]**

An example of a file name for a file with submission ID of 789541 submitted on 07/01/2015 at 3:30:29 p.m. is: 20150701153029.789541.

Hospice Final Validation Report

```
                    CMS Submission Report
                Hospice Final Validation Report

Submission Date/Time:                  08/08/2015 18:27:25
Submission ID:                         227291

Submitter User ID:                     TEST SUBMITTER
Submission File Name:                  20150808 File.zip
Submission File Status:                Completed
Processing Completion Date/Time:       08/08/2015 18:31:39

FAC_ID:                                123456
Provider Name:                         BEST HOME CARE & HOSPICE
Provider CCN:                          991506
State Code:                            ND

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

-------------------------------------------------------------------------------
Record: 1                              Rejected

Name (A0500C, A): PATIENT,TEST         Birth Date (A0900): 10/20/1932
SSN (A0600A): XXXXXXXXX                Gender (A0800): F
Patient ID: 98154

Target Date: 08/10/2015                Type of Record (A0050): NEW RECORD
HIS_ID: 1409914                        Reason for Record (A0250): 09
XML File Name:                         SL_TC57064_Step 5_HD Pre-processing
                                       errors.xml

HIS Item(s):                           Target Date, Submission Date
Data Submitted:                        08/10/2015, 08/08/2015
Message Number:                        -923       FATAL
Message:                               Invalid Target Date: The calculated
                                       target date is greater than the
                                       submission date.

-------------------------------------------------------------------------------

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

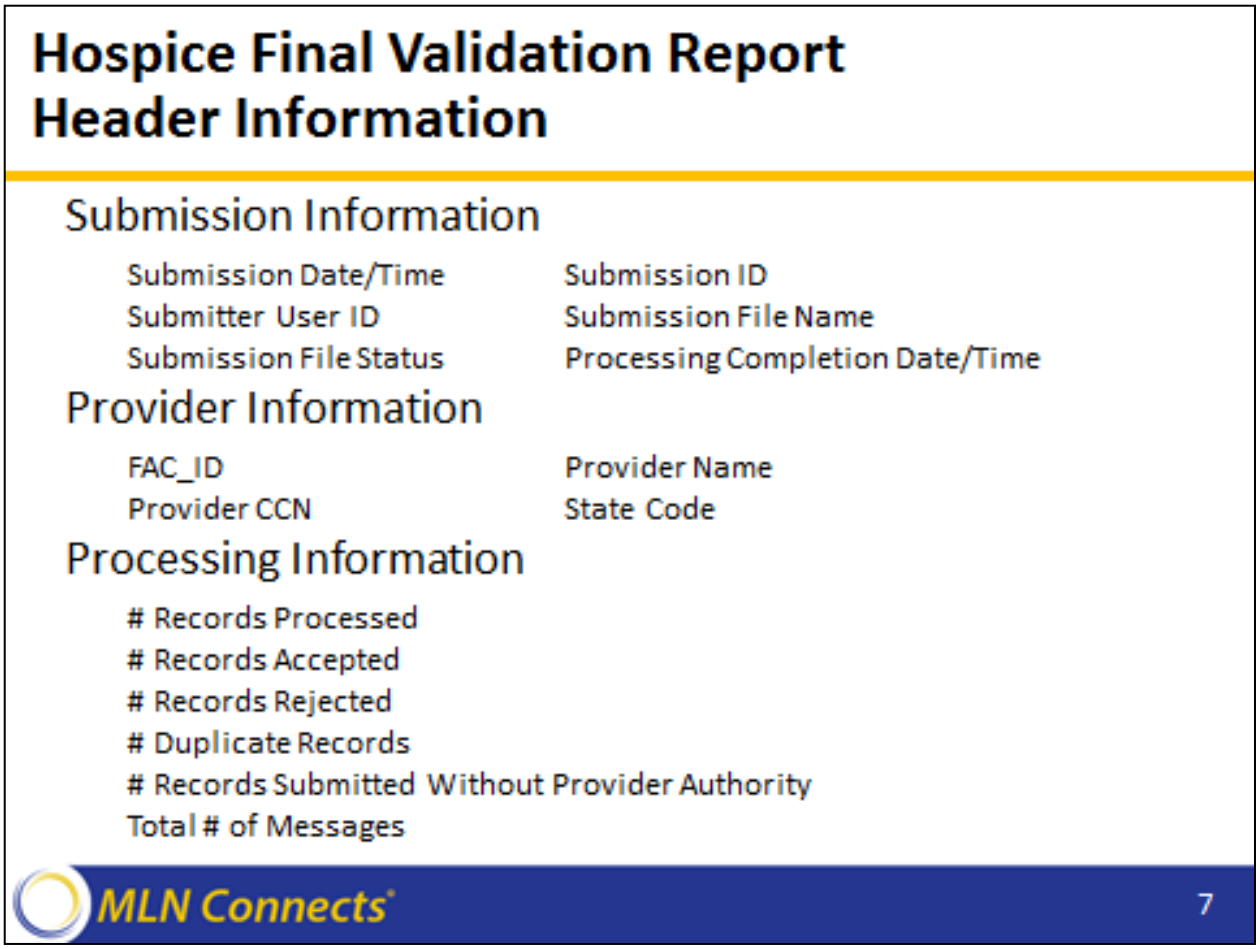

Once the desired FVR report link is selected, the Hospice Final Validation Report displays. The fictitious report above shows the system-generated Hospice Final Validation Report for submission ID 227291.

The report indicates whether the submitted records were accepted or rejected and details the warning and fatal errors encountered. It provides detailed information for each record for which the QIES ASAP system was able to process from the submission file.

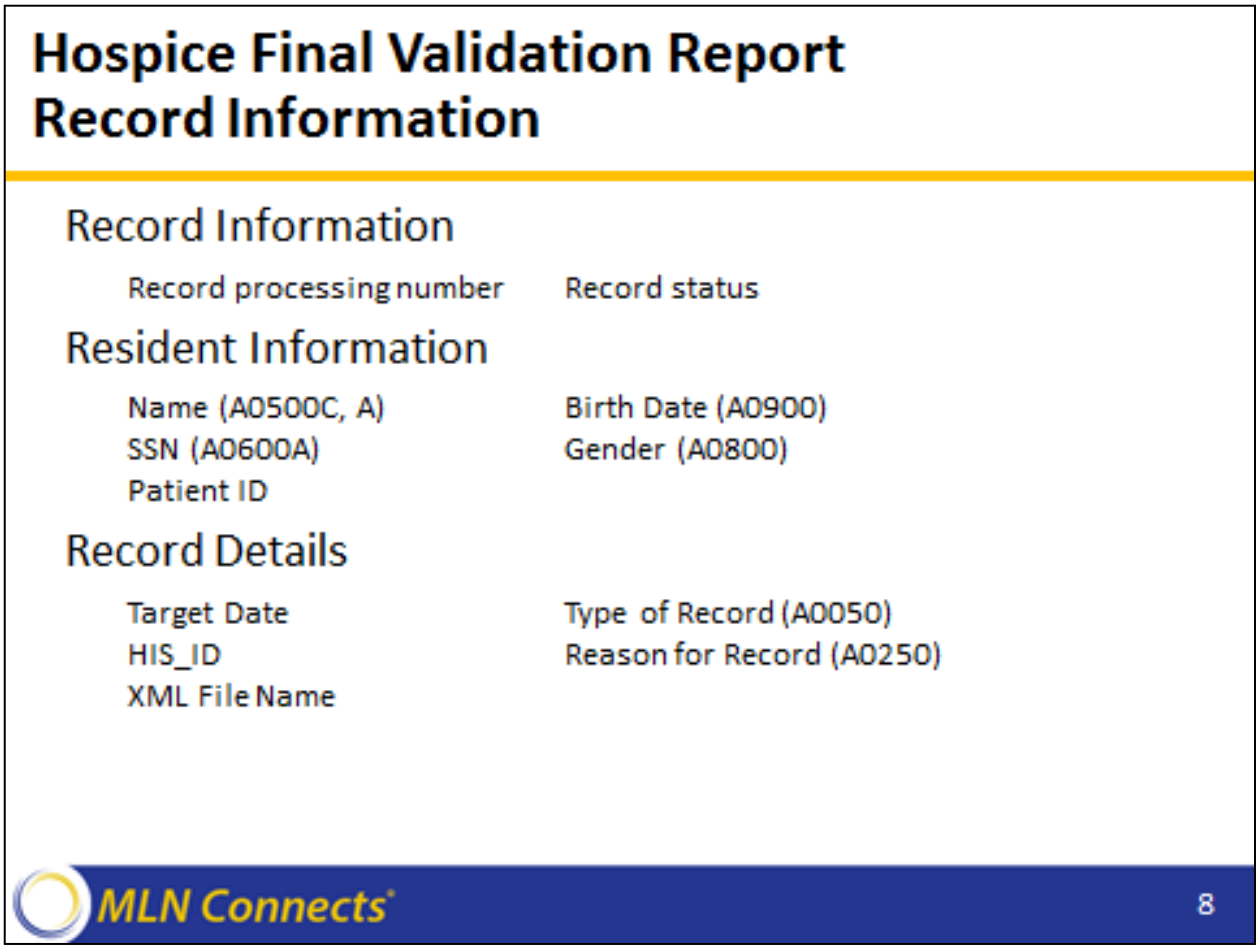
Refer to the CASPER Reporting User's Guide, Section 3 – Hospice Provider Reports for a detailed explanation of the Hospice Final Validation report.

The CASPER Reporting User's Guide is available in the locations identified below:

- Welcome to the CMS QIES Systems for Providers web page
- Hospice User Guides and Training web page on the QTSO website: https://www.qtso.com/hospicetrain.html



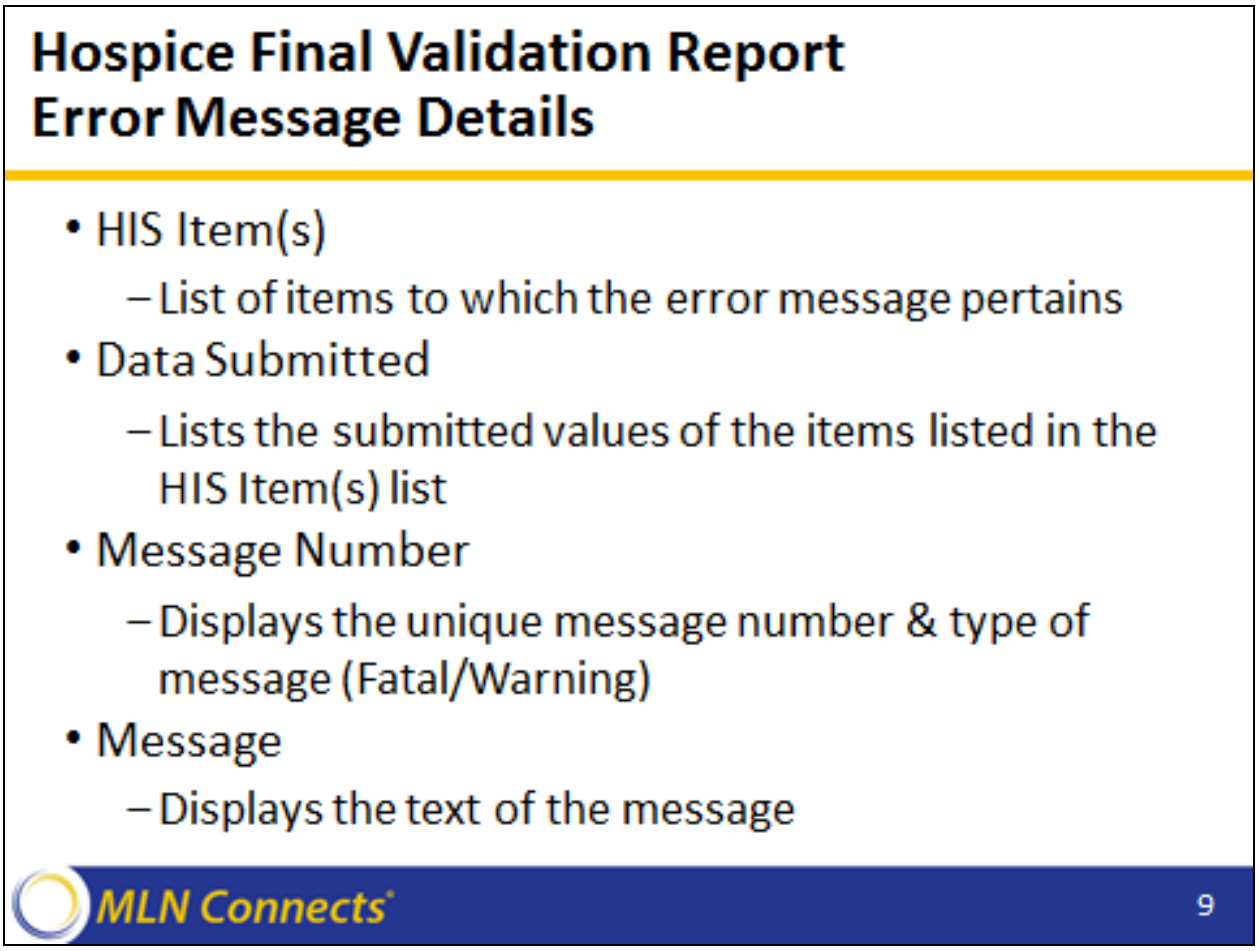
The Hospice Final Validation report contains two sections: header and body. The items listed above are in the header section of the report and contain specific information about the submission and the provider.



The items listed above are in the body or record section of the report and contain specific information about the HIS record and the patient.

Hospice providers should review the record status for each HIS record reported on the FVR. If the record status is Accepted, this indicates that no fatal errors were encountered while processing the data in the HIS record. Accepted records are saved into the QIES national repository.

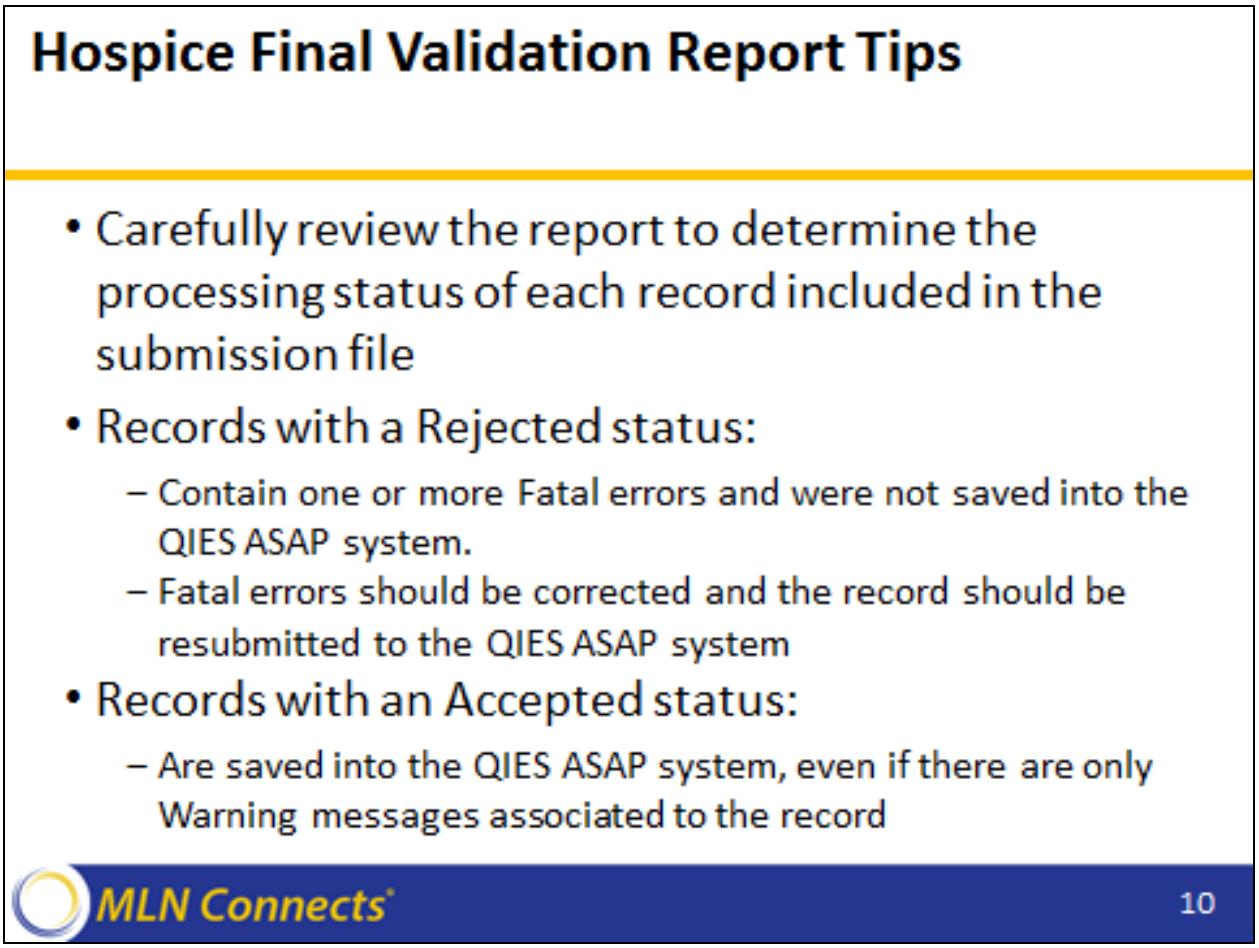
If the record status is Rejected, this indicates that the record encountered fatal errors during processing and the record was not saved into the QIES national repository. Rejected records must be corrected and resubmitted to the ASAP system.



The items listed above detail the error that returned on the FVR. The error detail fields display only if errors were encountered during HIS record processing.

- The HIS Item(s) field contains the item or items to which the error message pertained
- The Data Submitted field contains the values submitted in the items listed in the HIS Item(s) field
- The Message Number field contains the unique hospice error message number and identifies the type of message (Fatal or Warning)
- The Message field displays the text of the error message

All fatal errors in a record must be corrected and the record re-submitted to the ASAP system. This means that the provider must correct the data value submitted in the HIS Item referenced on the final validation report.

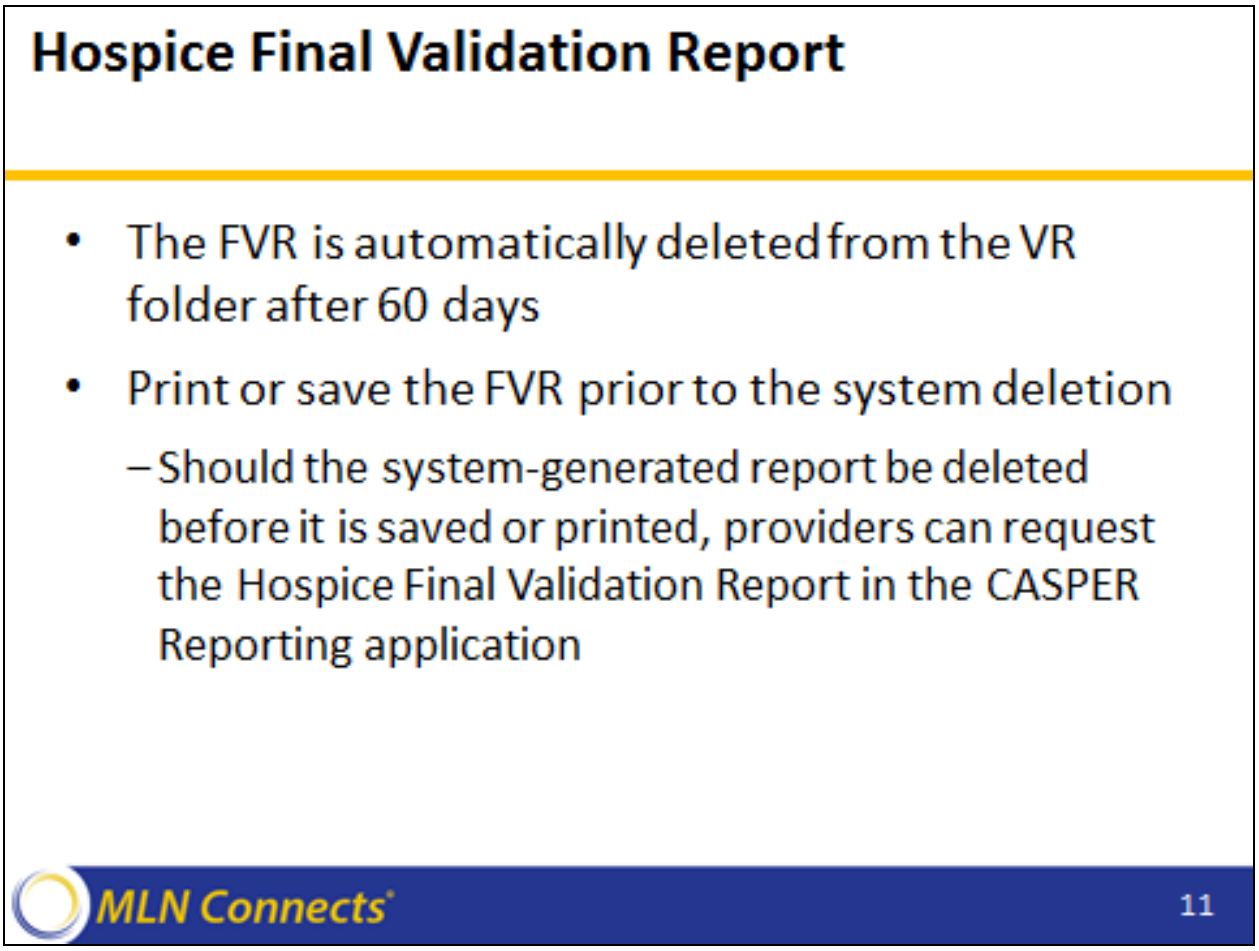


Providers should carefully review the FVR to determine the processing status of each record included in the submission file. HIS records could have one of two statuses:

- Rejected - records with a Rejected status contain one or more Fatal errors and were *not* saved into the QIES national repository. Fatal errors in the HIS record must be corrected in the software used to create the HIS record and the record should be resubmitted to the QIES ASAP system
- Accepted – records with an Accepted status indicate that the contents of the HIS record passed all data edits contained in the ASAP system and the record was saved into the QIES national repository.

Note: if only Warning messages are returned for a record, the record receives an Accepted status and the data are saved into the QIES national repository.

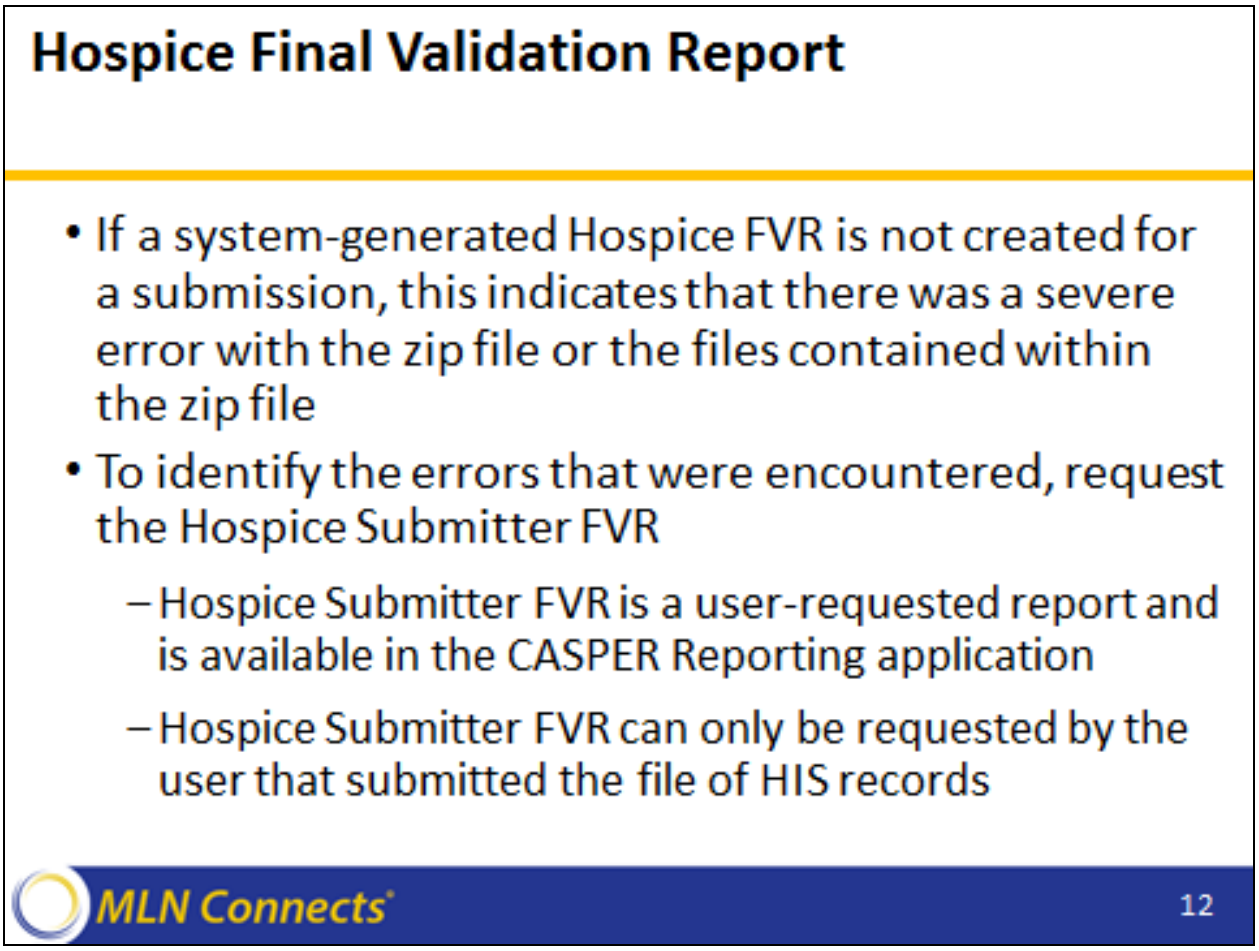
If a record encounters both Fatal and Warning messages, the Fatal errors have precedence, the HIS record is rejected and is not saved into the QIES national repository.



The FVR is automatically deleted from the VR folder after 60 days. CMS highly recommends that you print or save a copy of the report prior to the system deletion.

Should the system-generated report be deleted before it is saved or printed, providers can request the Hospice Final Validation Report for a desired submission ID or date range. The Hospice FVR can be requested by any user that has access to submit data for the hospice provider.

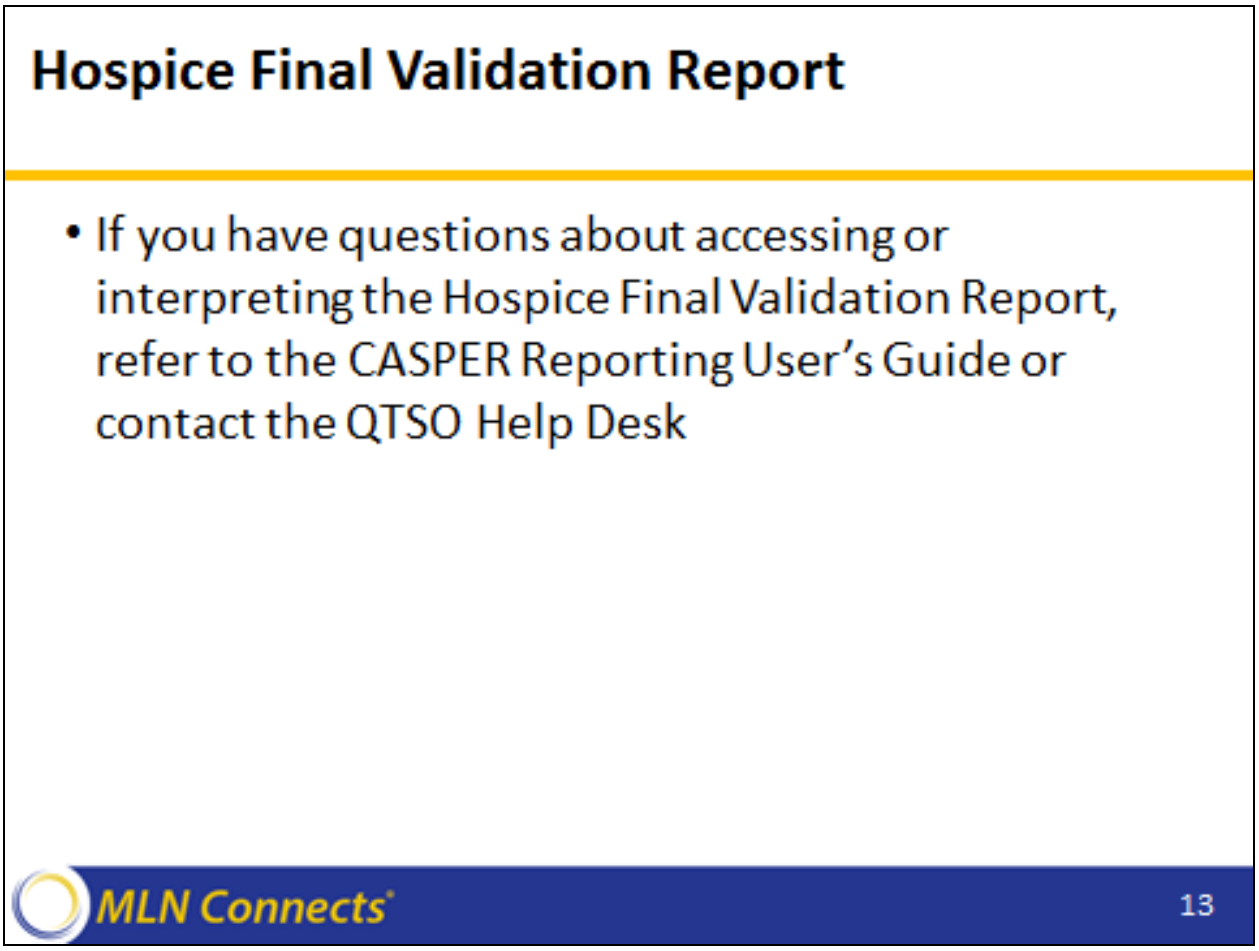
Refer to Section 3 – Hospice Provider Reports of the CASPER Reporting User's Guide for detailed information about requesting the Hospice Final Validation report.



If after 24 hours you have not received the system-generated Hospice Final Validation report, there may be a reason for this issue. If a system-generated Hospice FVR is not created for a particular submission ID, this indicates one of the following errors occurred: 1) bad zip file 2) file could not be read by the ASAP system 3) no records in zip file could be extracted; therefore, the ASAP system could not read the Facility ID in the records. When the facility cannot be identified, the ASAP system cannot create the system-generated final validation report.

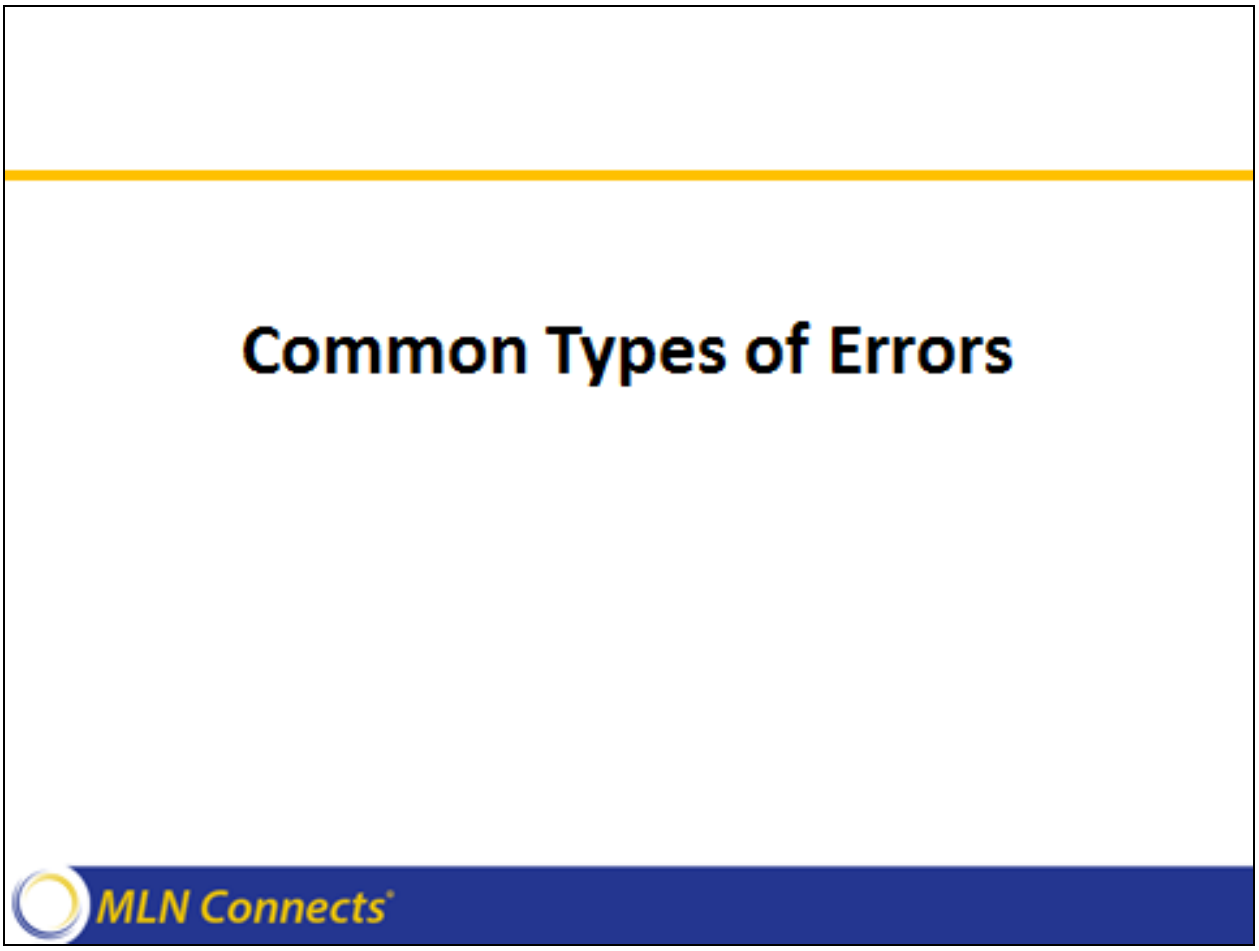
The Hospice Submitter Validation Report is a user-requested report and is available in the Hospice Provider report category in the CASPER Reporting application. It can only be requested by the user that submitted the file of HIS records. The report displays information for each record in the submission file for the requested Submission ID. If the submission file could not be read due to the errors above, then only one error displays on the report for the entire file. When this occurs, providers should contact the vendor who created the software used to create the file. The vendor must determine why your submission file did not meet the data submission specifications.

Refer to Section 3 – Hospice Provider Reports of the CASPER Reporting User's Guide for detailed information about requesting the Hospice Submitter Validation report.

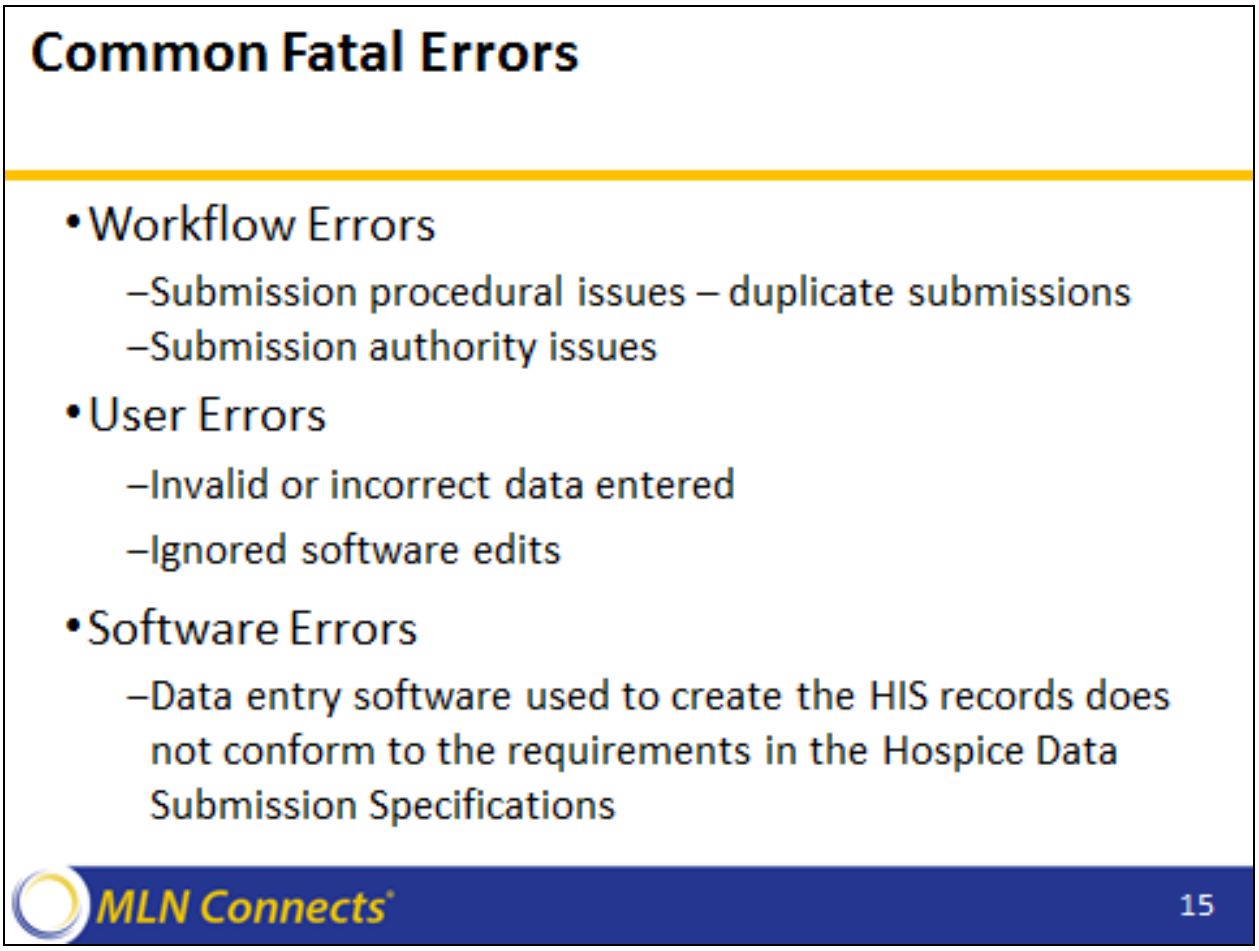


Should you require assistance accessing or interpreting the Hospice Final Validation report or requesting the Hospice Submitter report, review the CASPER Reporting User's Guide. The guide is available on the 'Welcome to the CMS QIES Systems for Providers' web page and on the Hospice User Guides and Training web page on the QTSO website (https://www.qtso.com/hospicetrain.html)

Providers may also contact the QTSO Help Desk by phone at (877) 201-4721 or by e-mail at Help@qtso.com.



This section will provide an overview of the source of Fatal errors and Warning messages.



Workflow Errors – are a result of a workflow problem by the hospice provider. Examples of this type of error include:

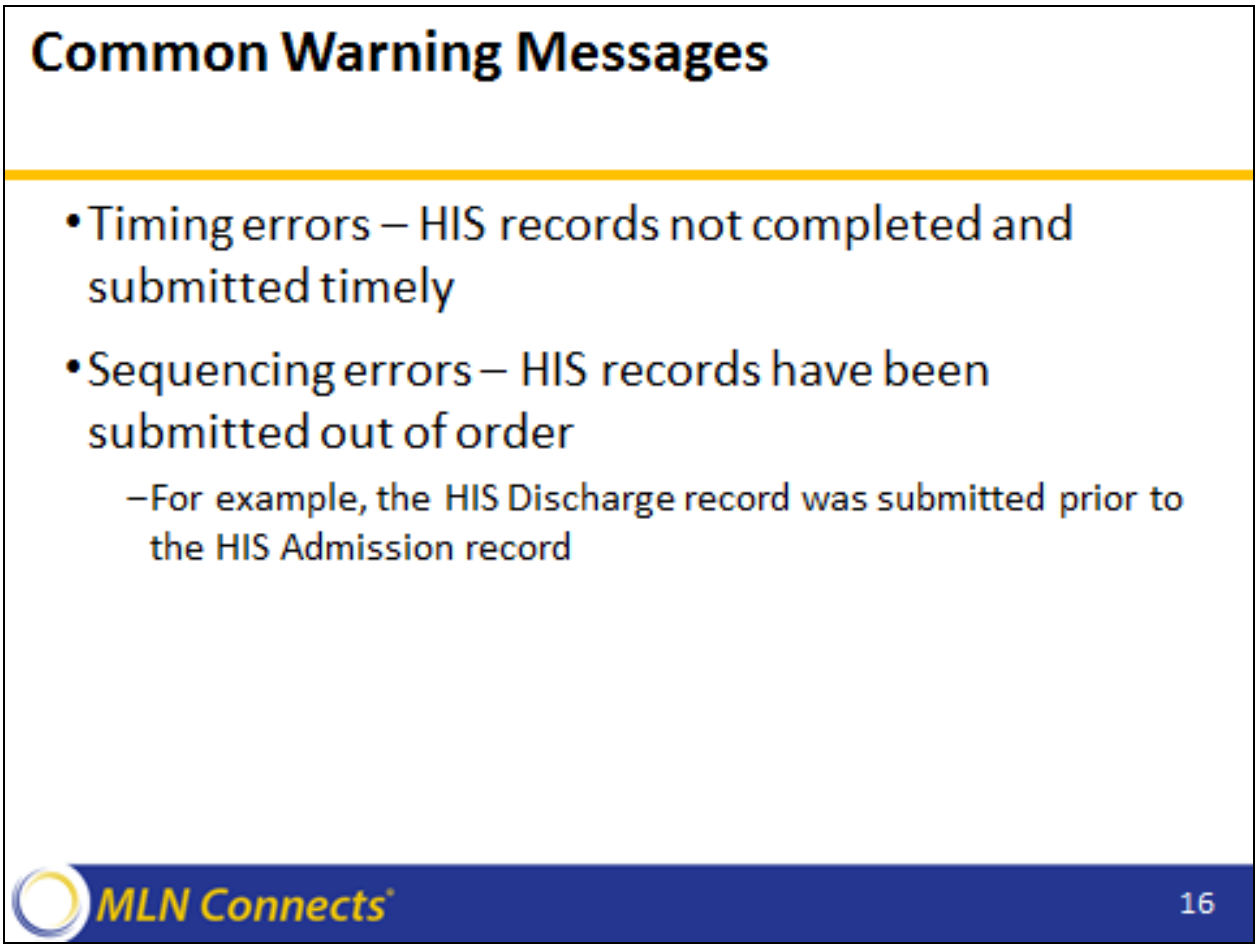
- User repeatedly submits an HIS record that was previously accepted by the ASAP system. Resubmitting an HIS record that was previously accepted by the ASAP system results in a Duplicate Record error
- User attempts to submit HIS records for a provider without authority to do so

User Errors – are a result of user or software problems. Examples of these errors include:

- User entered incorrect information, such as an incorrect Facility ID into the software
- User misunderstood the question or instructions and entered an incorrect value for an item
- Data entry error
- User ignored or overrode the software issued warning message about the presence of inconsistent data and proceeded to submit the HIS record

Software Errors – are caused because the data entry software used to create the HIS records does not conform to the requirements in the Hospice Data Submission Specifications. Examples of this type of error include:

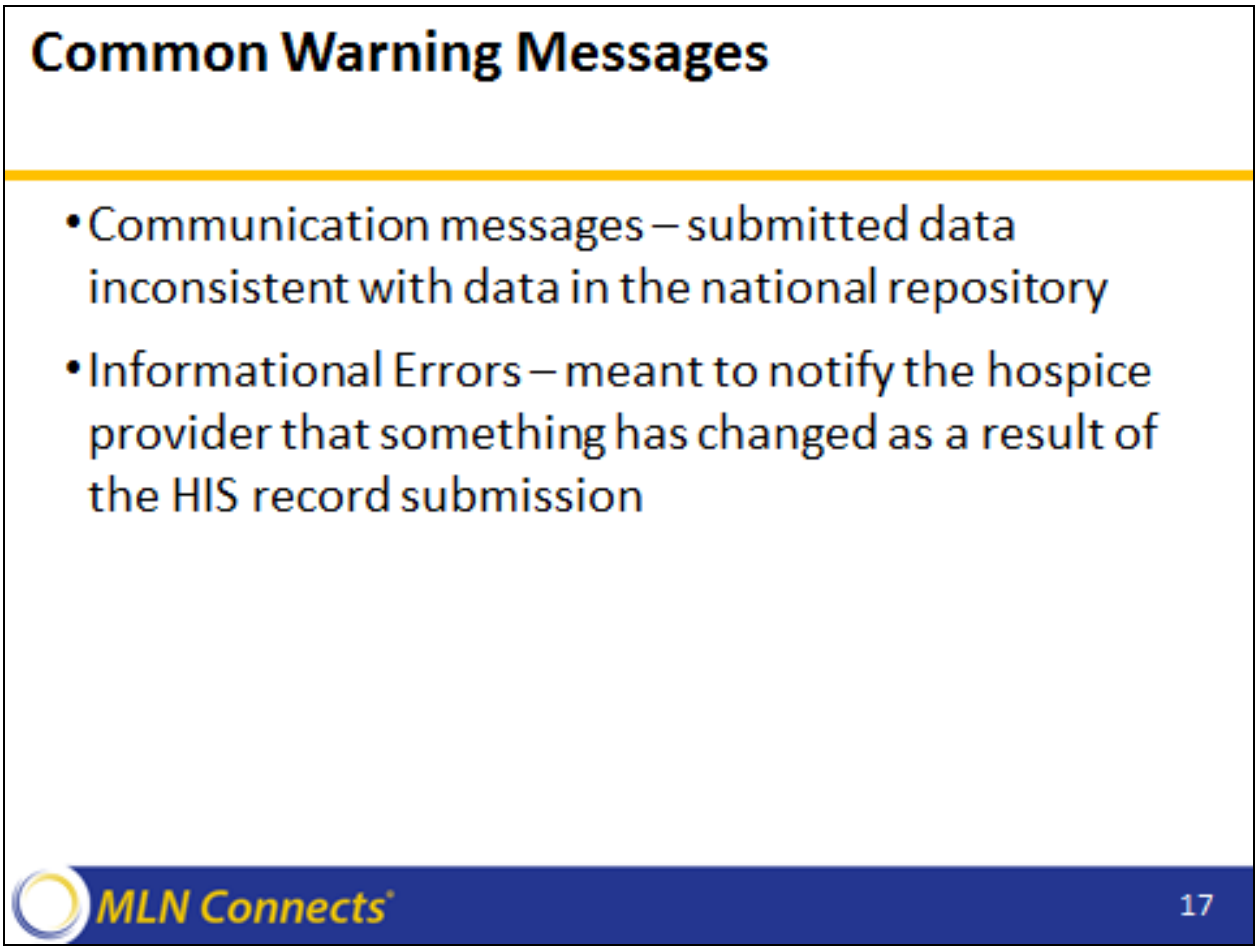
- Software failure to include all required items in the HIS record file sent to the ASAP system
- Software allowed non-valid values to be submitted for the HIS items
- Software failed to ensure that data submitted in the HIS record conforms with the format expected by the ASAP system. For example, the submitted date value was in the MM/DD/YYYY format, rather than the ASAP system expected YYYYMMDD format



Common warning messages include the timing and sequencing errors and communication messages. Warning messages alone do not cause the HIS record to be rejected by the ASAP system.

Timing errors occur when the hospice provider does not complete or submit the HIS record according to the CMS requirements.

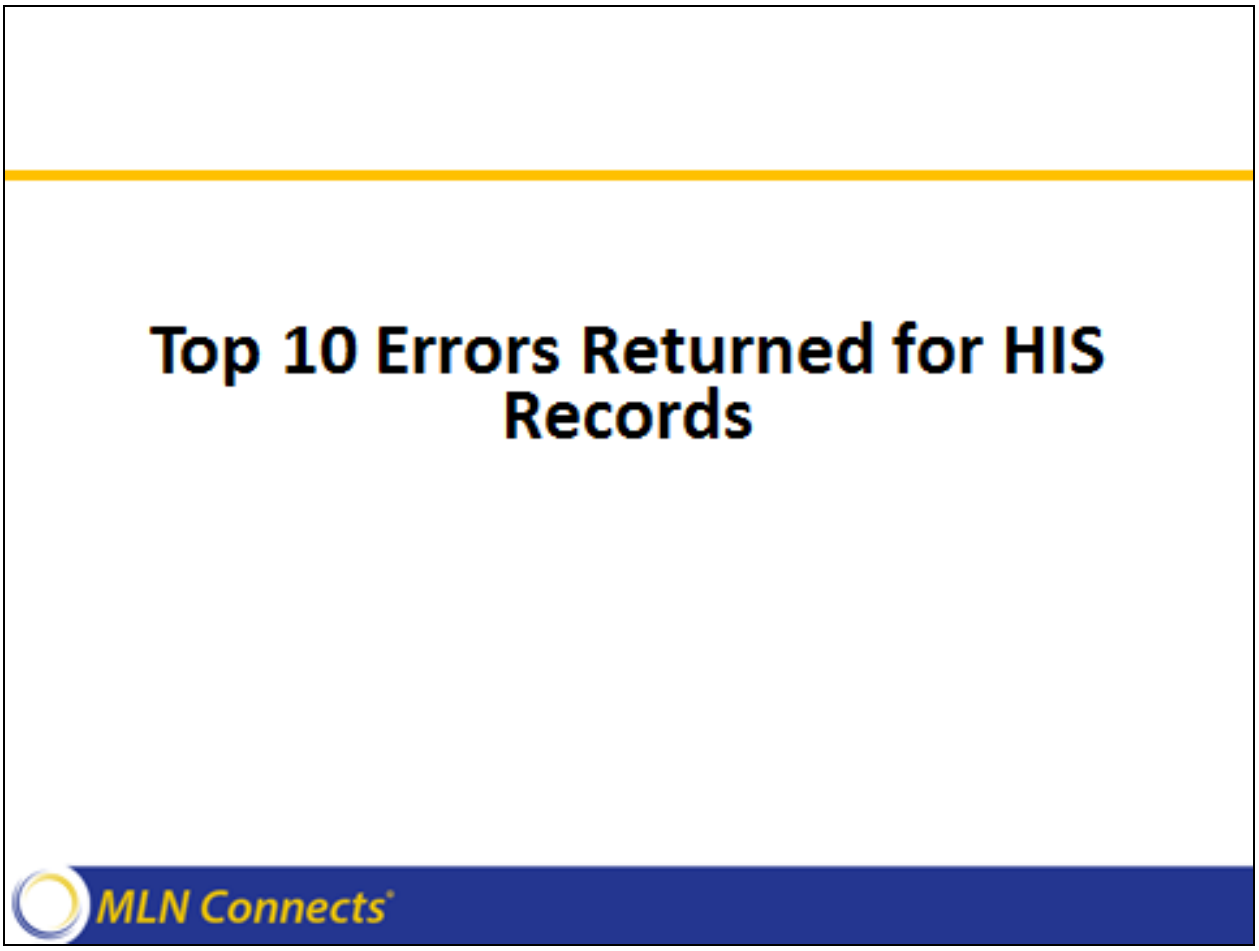
Sequencing errors occur when the HIS records have been submitted out of order. For example, the HIS Discharge record was submitted prior to the HIS Admission record.



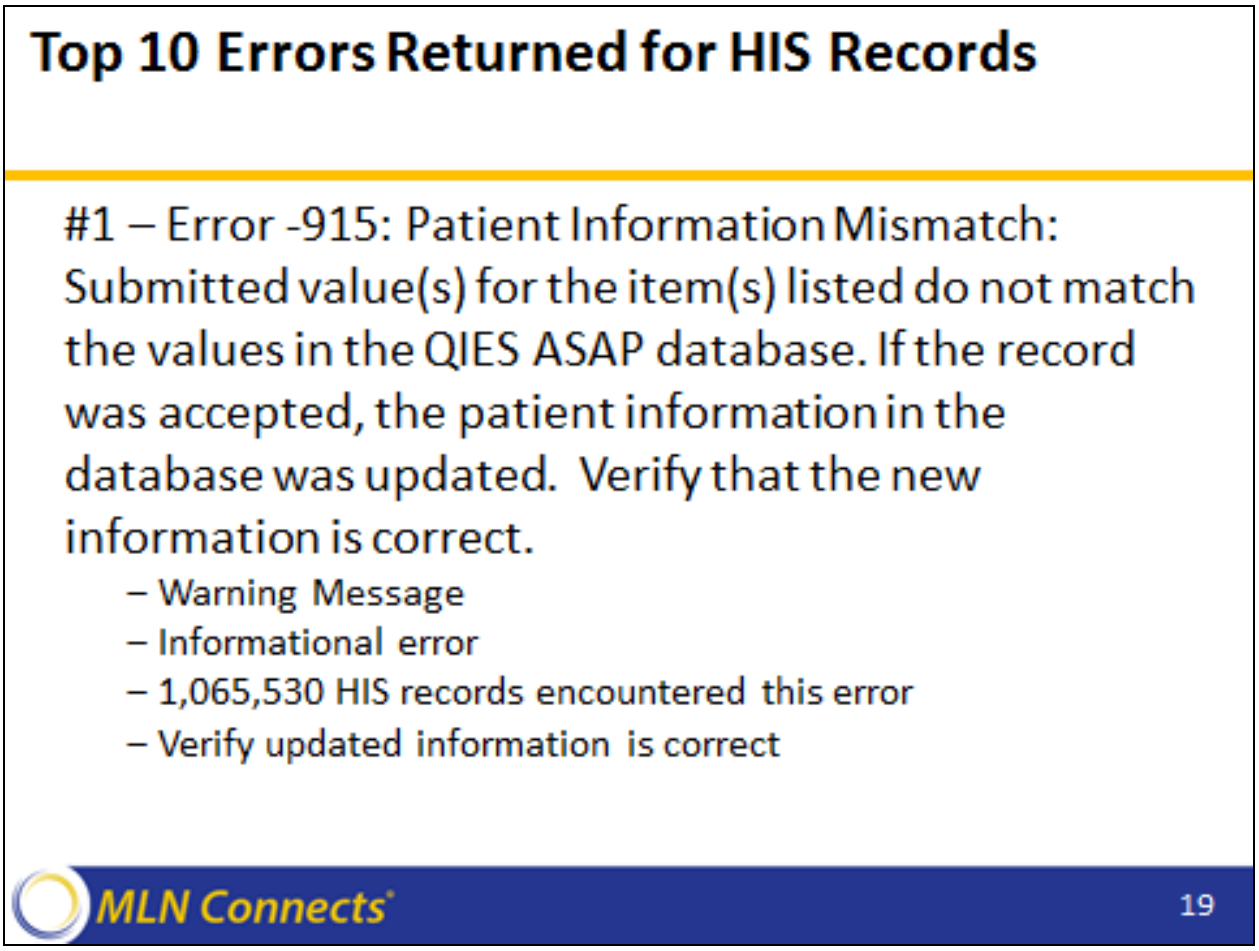
Common warning messages (continued)

Communication messages occur when a submitted data value is not consistent with the data in the national database. For example, the submitted provider's CMS Certification Number (CCN) in item A0100B is not the same CCN number for the provider in the national repository.

Informational errors are meant to notify the hospice provider that something has changed as a result of the HIS record submission. An example of this type of error would be a warning message indicating that patient information, such as the patient's first name or last name, was updated in the QIES national repository as a result of the HIS record submission.



The final section of this module will identify the top 10 errors that were returned for all HIS records submitted to the ASAP system for Quarters 1 and 2, 2015 (January 1, 2015 – June 30, 2015). With each error the following information will be identified: source or cause of the error (workflow error, user/software error or software error), type of error (Fatal or Warning), and any steps that should be taken to correct the errors.

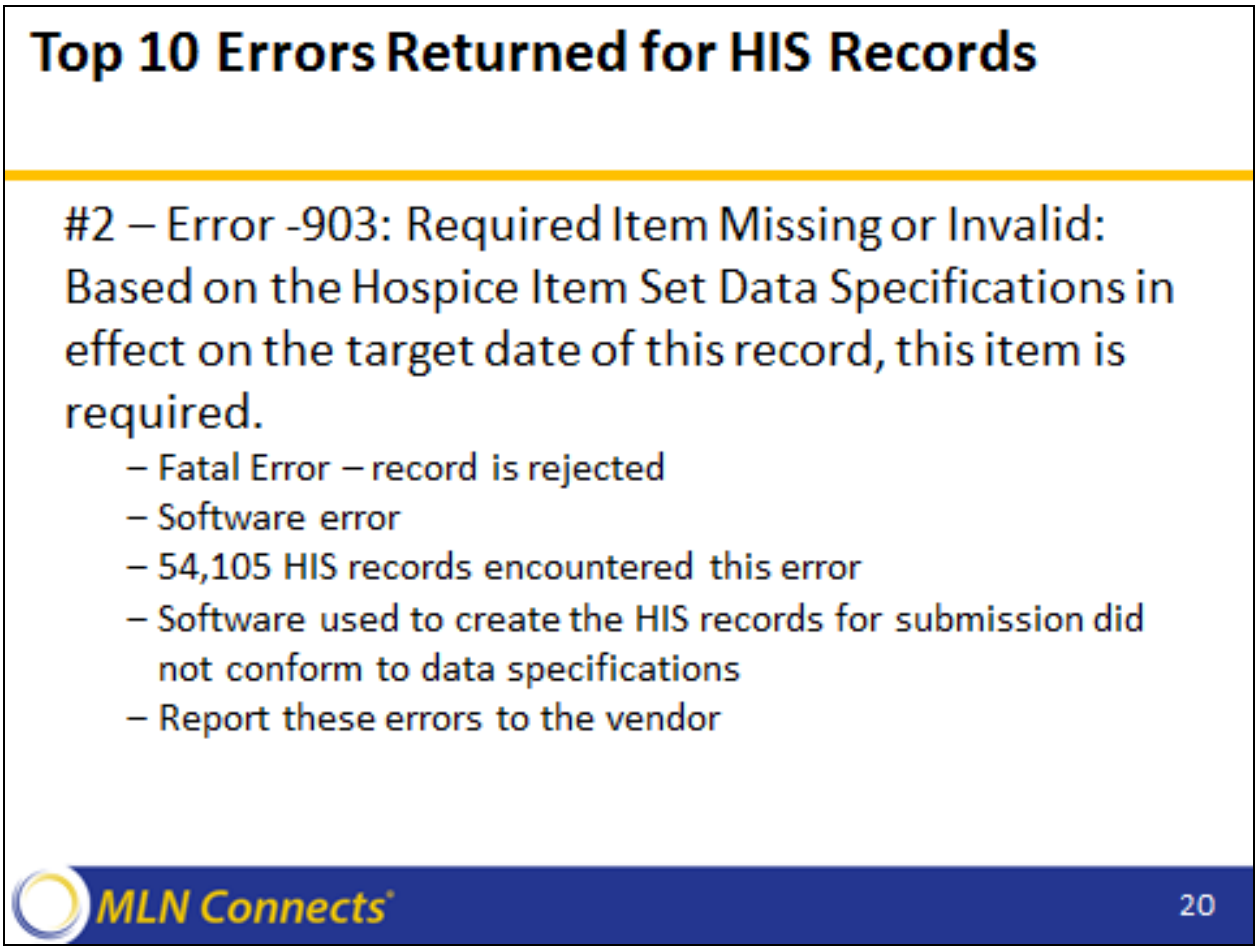


The most frequent error received by all HIS records submitted during the time period was error -915 Patient Information Mismatch: Submitted value(s) for the item(s) listed do not match the values in the QIES ASAP database. If the record was accepted, the patient information in the database was updated. Verify that the new information is correct.

This message returns when one or more patient identifiers in the HIS record were different than the identifiers for the same patient in the QIES national database. Patient identifiers include last name, first name, birth date, Social Security Number, gender, and provider. There were 1,065,530 HIS records that received this message. Two of the common identifiers that were updated from the HIS records were the patient's death date and Facility ID. If the last provider submitting records to the ASAP system was not your provider, the provider information in the QIES national repository will be updated. It is possible for more than one patient identifier to be included in the warning message.

The FVR lists the old and new values for the identifier that changed. Providers should carefully review the warning messages to ensure that the updated information is accurate. If the updated information is not accurate, providers should swiftly correct the patient information according to the directions contained in Chapter 3 (Submission and Correction of Hospice Item Set Records) in the HIS Manual. The HIS Manual – a Guidance Manual for Completion of the Hospice Item Set (HIS) Records can be found on the Hospice Item Set page on the CMS website:

https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/Hospice-Quality-Reporting/Hospice-Item-Set-HIS.html.

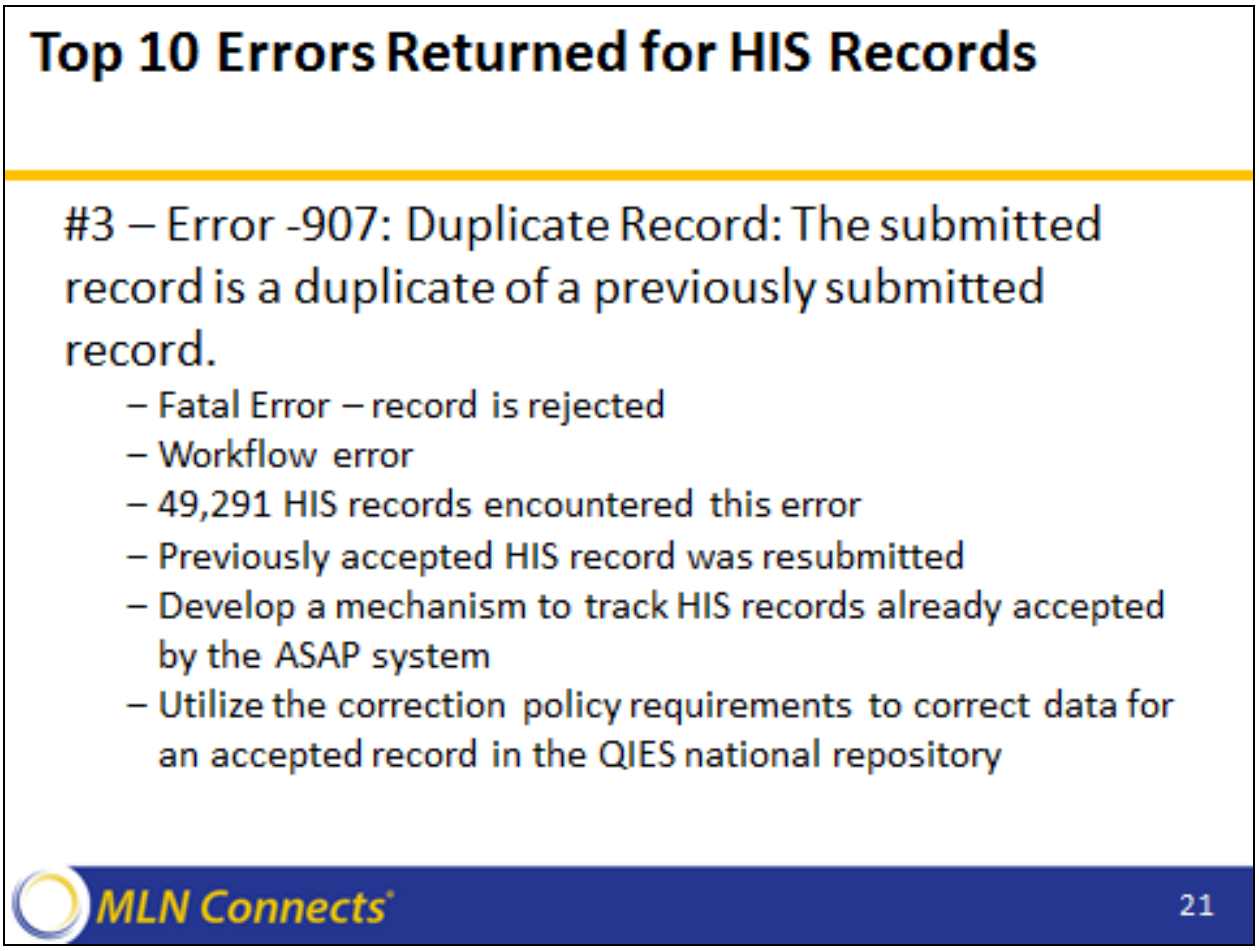


#2 Error -903 Required item missing or invalid: Based on the Hospice Item Set Data Specifications in effect on the target date of this record, this item is required. This error indicates that a required item based on the type and target date of the HIS record was missing or the value submitted in the item was invalid.

Target date is defined as the event date of the record. For HIS Admission records, the target date is the Admission Date (A0220). For HIS Discharge records, the target date is the Discharge Date (A0270).

For the time period, there were 54,105 HIS records rejected by the ASAP system with this error. This error indicates that the software used to create the HIS records for submission did not enforce all of the requirements contained in the Hospice Data Submission Specifications. The software used to create the HIS records should ensure that all required items are included in the HIS records and only valid item responses allowed in the HIS record.

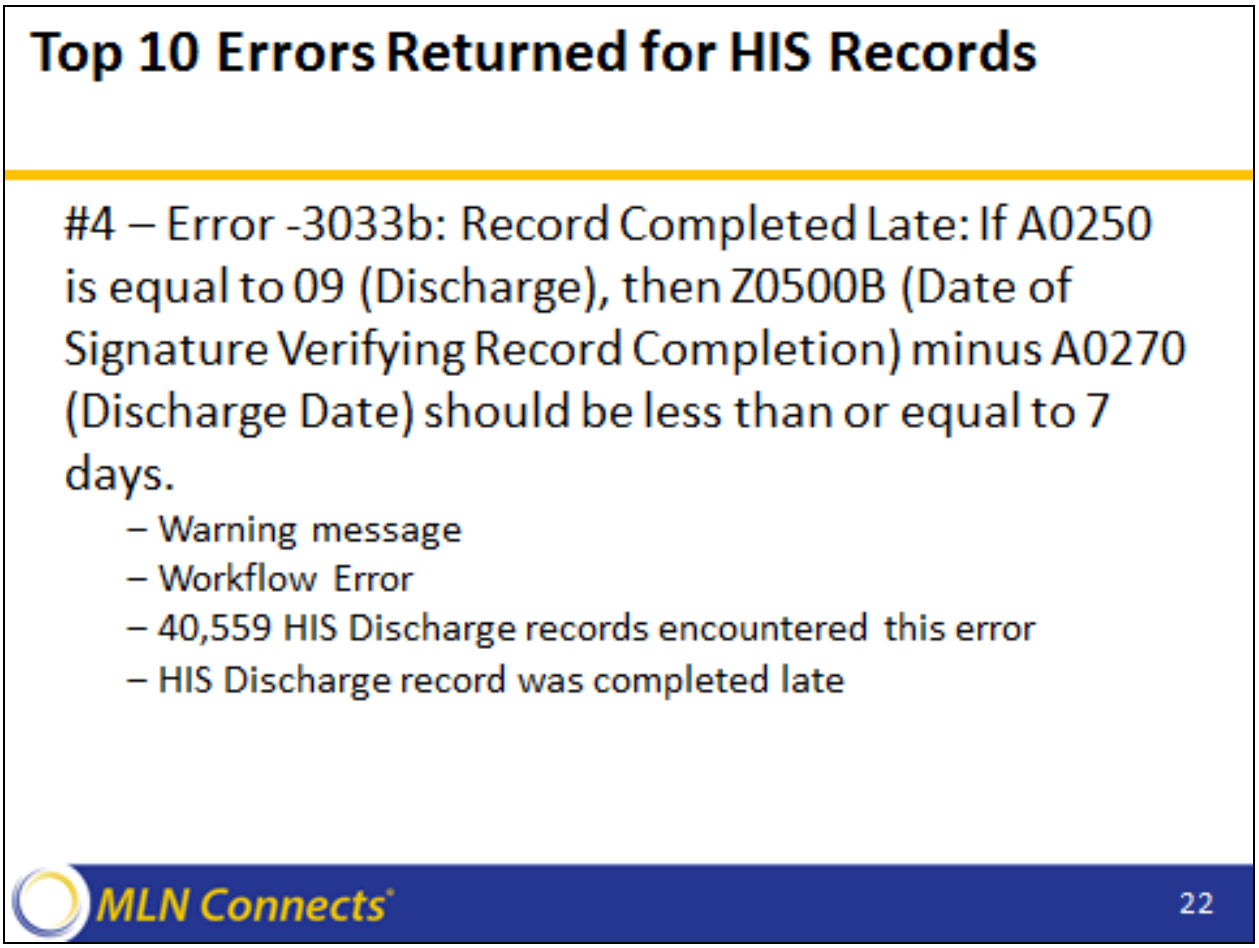
These errors must be reported to the vendor that created the data entry software used to create the HIS records. The software vendor must correct the software to ensure that this error will not continue to occur. Once the software has been updated, the record should be corrected and resubmitted to the ASAP system.



#3 Error 907 Duplicate Record – the submitted record is a duplicate of a previously submitted record. This is a fatal error and HIS records that encounter this error are rejected by the ASAP system. There were 49,291 HIS records rejected with this error for the time period.

This error is considered to be a workflow error on the part of the hospice provider. This occurs because a method is not in place to track when the HIS records have been accepted into the ASAP system, causing HIS records to be resubmitted to the ASAP system. To prevent this error, providers are encouraged to develop a mechanism to track when the HIS records are accepted by the ASAP system so that they are not submitted a subsequent time.

This error could also be occurring if a provider attempts to correct data in an HIS record that has already been accepted into the QIES national repository. If a correction to an accepted HIS record is required, the provider should submit a Modification record (A0050 Type of Record = 2 [Modify Existing Record]) instead. Refer to Chapter 3 (Submission and Correction of Hospice Item Set Records) in the HIS Manual for information about modifying an HIS record.

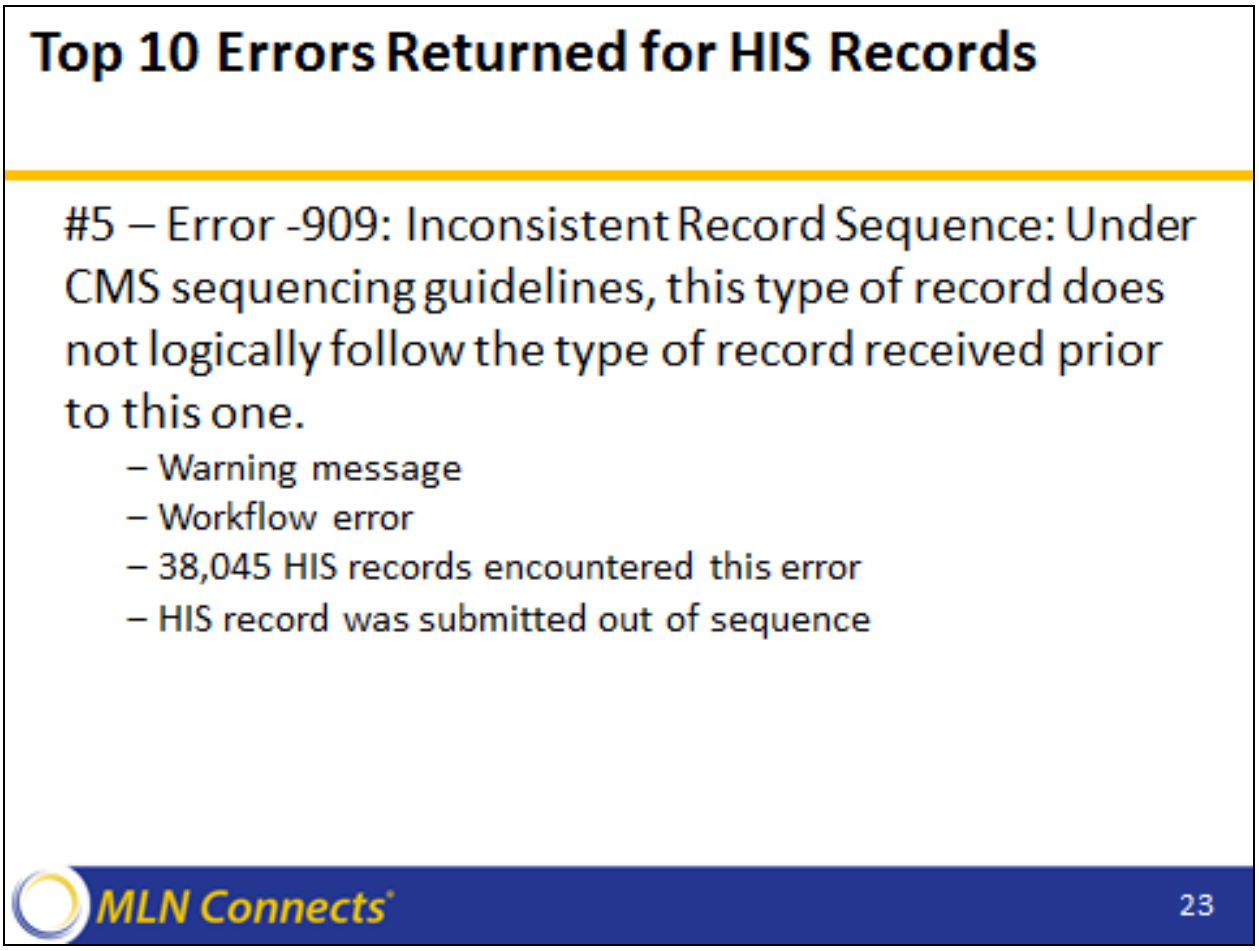


#4 Error -3033b: Record Completed Late: If A0250 is equal to 09 (Discharge), then Z0500B (Date of Signature Verifying Record Completion) minus A0270 (Discharge Date) should be less than or equal to 7 days.

This is a Warning message indicating that the HIS discharge record was not completed in a timely manner. There were 40,559 records that received this error during the time period.

This error is considered to be a workflow error because practices were not in place to ensure that HIS records were completed according to the CMS requirements contained in Chapter 1 (Background and Overview of the Hospice Item Set Manual) of the HIS Manual.

The hospice provider should ensure that all HIS records are completed according to the timing requirements contained in the HIS Manual.



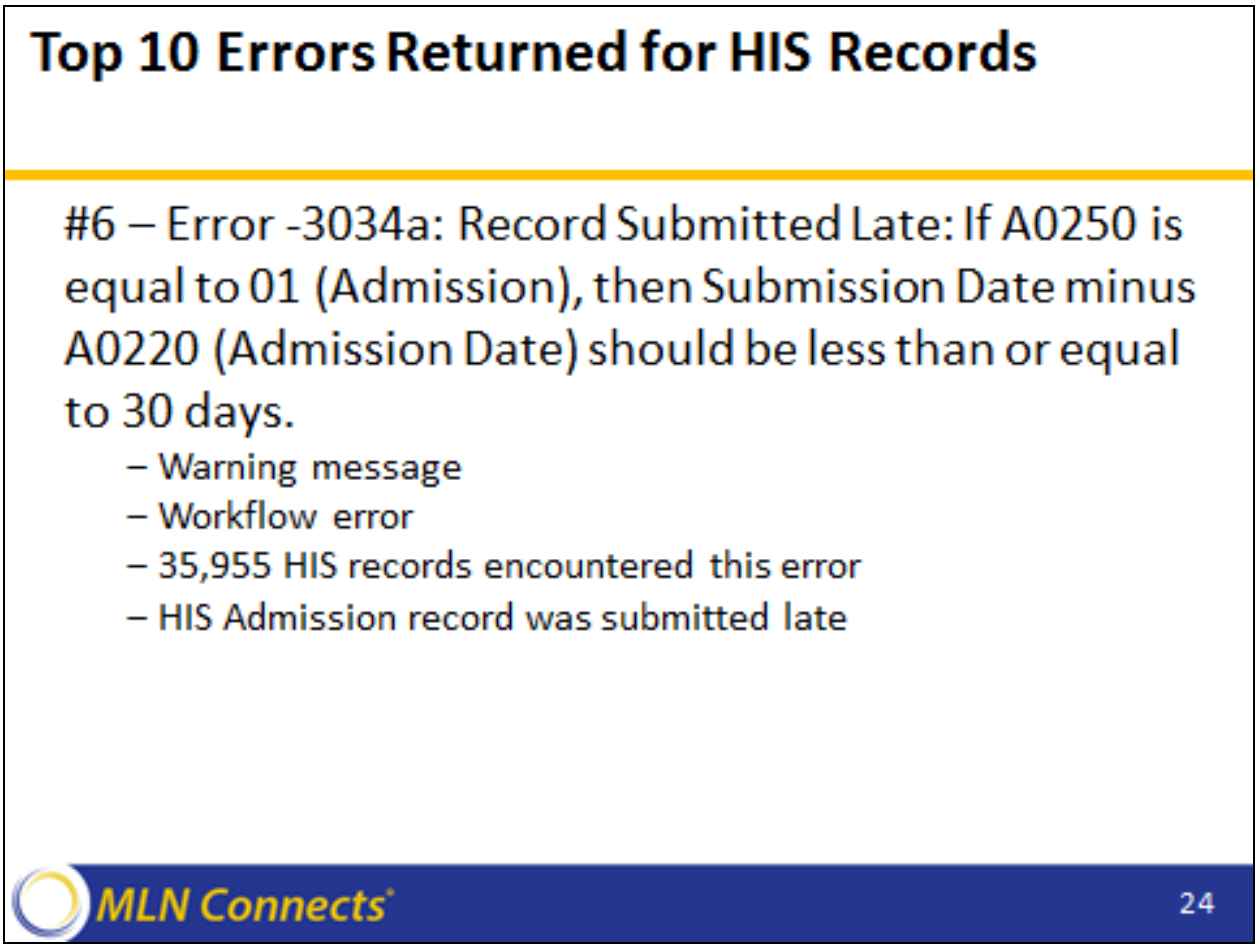
#5 Error -909: Inconsistent Record Sequence: Under CMS sequencing guidelines, this type of record does not logically follow the type of record received prior to this one.

This is a Warning message indicating HIS records for the patient were submitted out of sequence. This workflow error resulted in 38,045 records receiving this error during the time period. There could be two causes of this error:

- The Reason for Record (A0250) indicates that the record was submitted out of order. The record that should have preceded this record may not have been submitted successfully. For example, an HIS record discharge record was submitted before an admission record.
- The patient's identifying information in this record may differ from the patient-identifying information submitted for this patient in a prior record. The current and prior Hospice Item Set records may have matched to different patient records causing what appears to be a failure in the sequencing order.

This error is considered to be a workflow error because practices were not in place to ensure that HIS records were submitted in proper sequence according to the CMS requirements contained in Chapter 1 of the HIS Manual. The provider should ensure that all HIS records are submitted in order that the event occurred (admission records followed by discharge records) according to the sequencing requirements in the HIS Manual. They should also ensure submission of accurate patient information to ensure

that the HIS records are matched to the correct patient record in the QIES national repository.

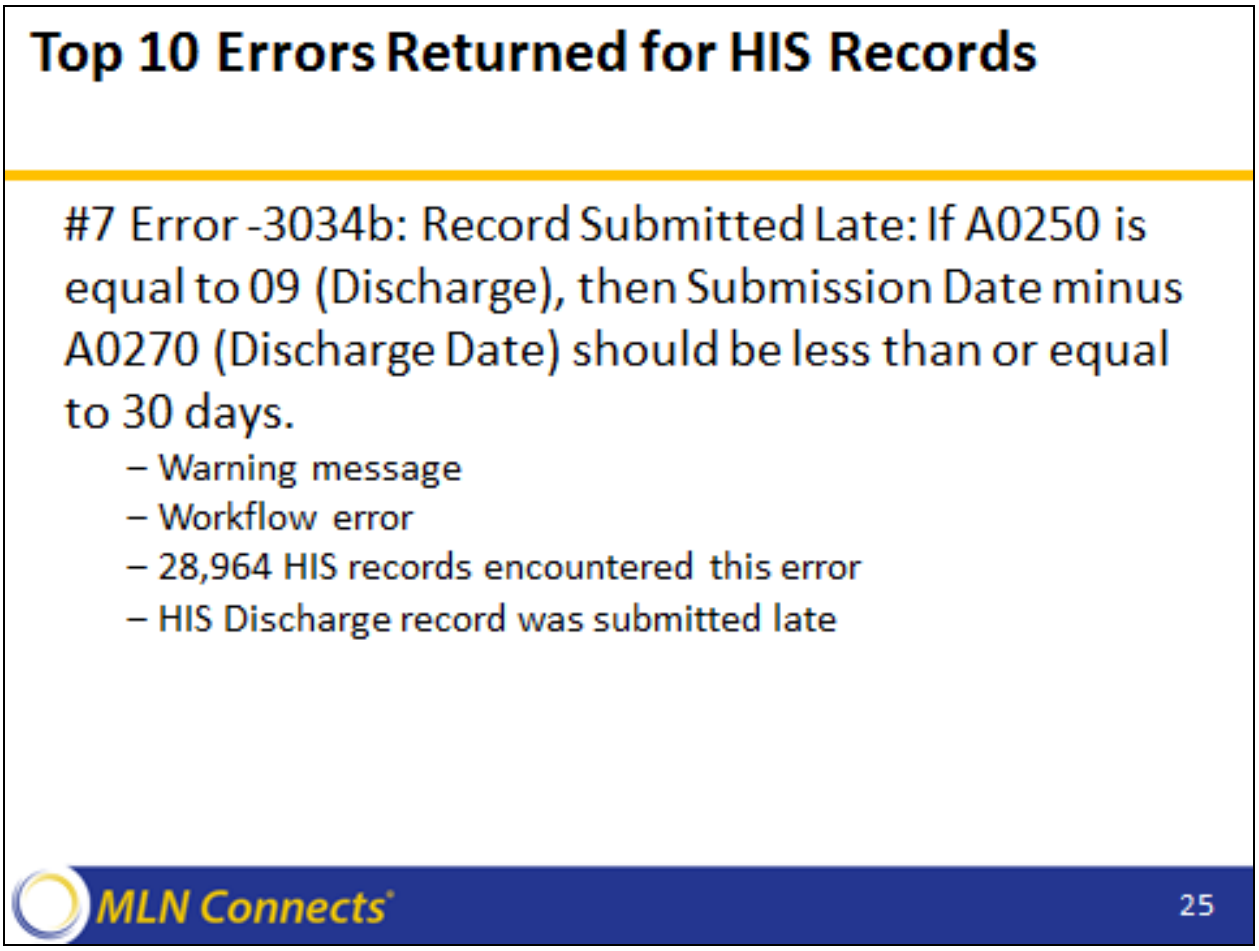


#6 Error -3034a: Record Submitted Late: If A0250 is equal to 01 (Admission), then Submission Date minus A0220 (Admission Date) should be less than or equal to 30 days.

This is a Warning message indicating that the HIS admission record was not submitted in a timely manner. There were 35,955 records that received this error during the time period.

This error is considered to be a workflow error because practices were not in place to ensure that HIS records were submitted according to the CMS requirements contained in Chapter 1 (Background and Overview of the Hospice Item Set Manual) of the HIS Manual.

The hospice provider should ensure that all HIS records are submitted according to the timing requirements contained in the HIS Manual.

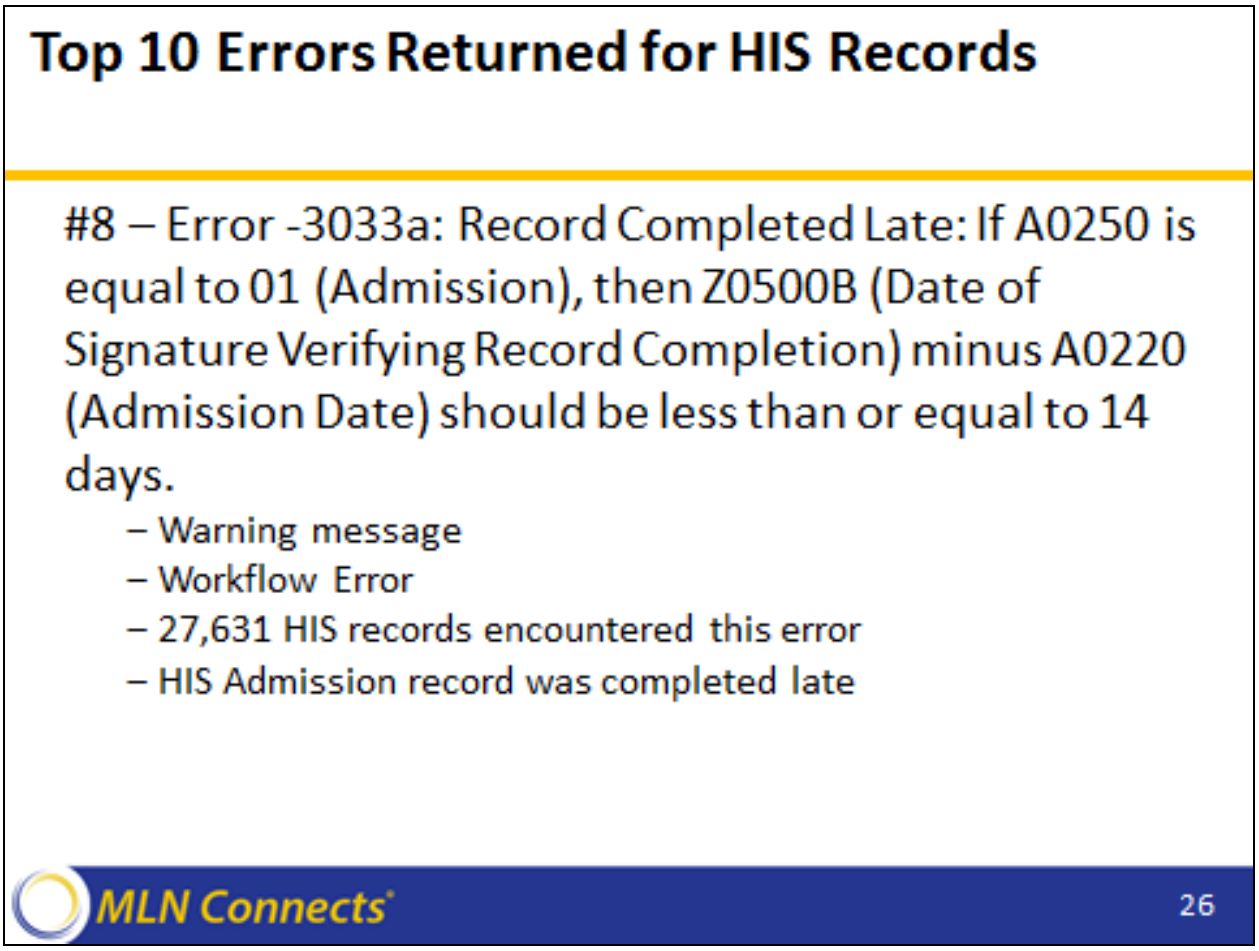


#7 Error -3034b: Record Submitted Late: If A0250 is equal to 09 (Discharge), then Submission Date minus A0270 (Discharge Date) should be less than or equal to 30 days.

This is a Warning message indicating that the HIS discharge record was not submitted in a timely manner. There were 28,964 records that received this error during the time period.

This error is considered to be a workflow error because practices were not in place to ensure that HIS Discharge records were submitted according to the CMS requirements contained in Chapter 1 (Background and Overview of the Hospice Item Set Manual) of the HIS Manual.

The hospice provider should ensure that all HIS records are submitted according to the timing requirements contained in the HIS Manual.

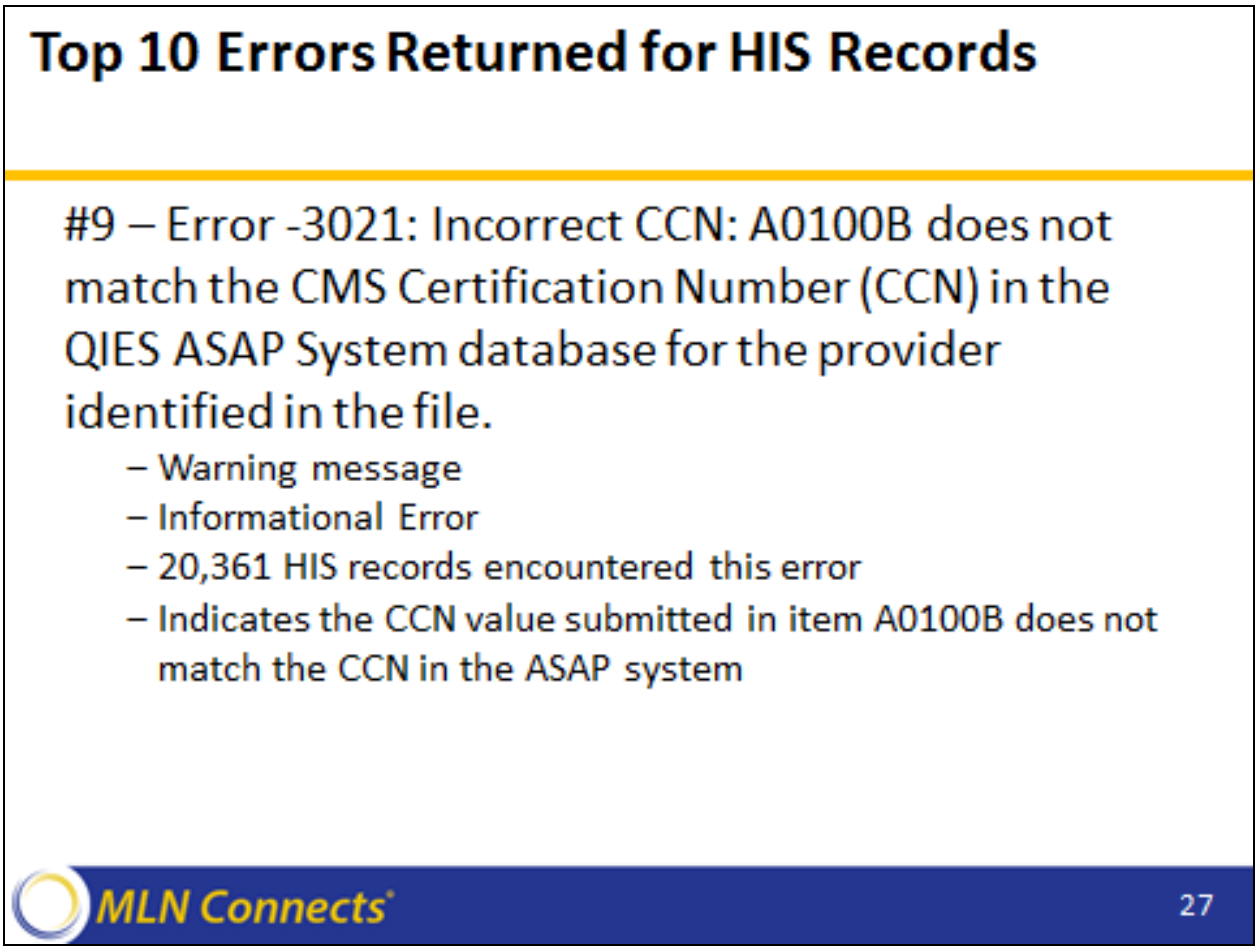


#8 Error -3033a: Record Completed Late: If A0250 is equal to 01 (Admission), then Z0500B (Date of Signature Verifying Record Completion) minus A0220 (Admission Date) should be less than or equal to 14 days.

This is a Warning message indicating that the HIS Admission record was not completed in a timely manner. There were 27,631 records that received this error during the time period.

This error is considered to be a workflow error because practices were not in place to ensure that HIS records were completed according to the CMS requirements contained in Chapter 1 (Background and Overview of the Hospice Item Set Manual) of the HIS Manual.

The hospice provider should ensure that all HIS records are completed according to the timing requirements contained in the HIS Manual.

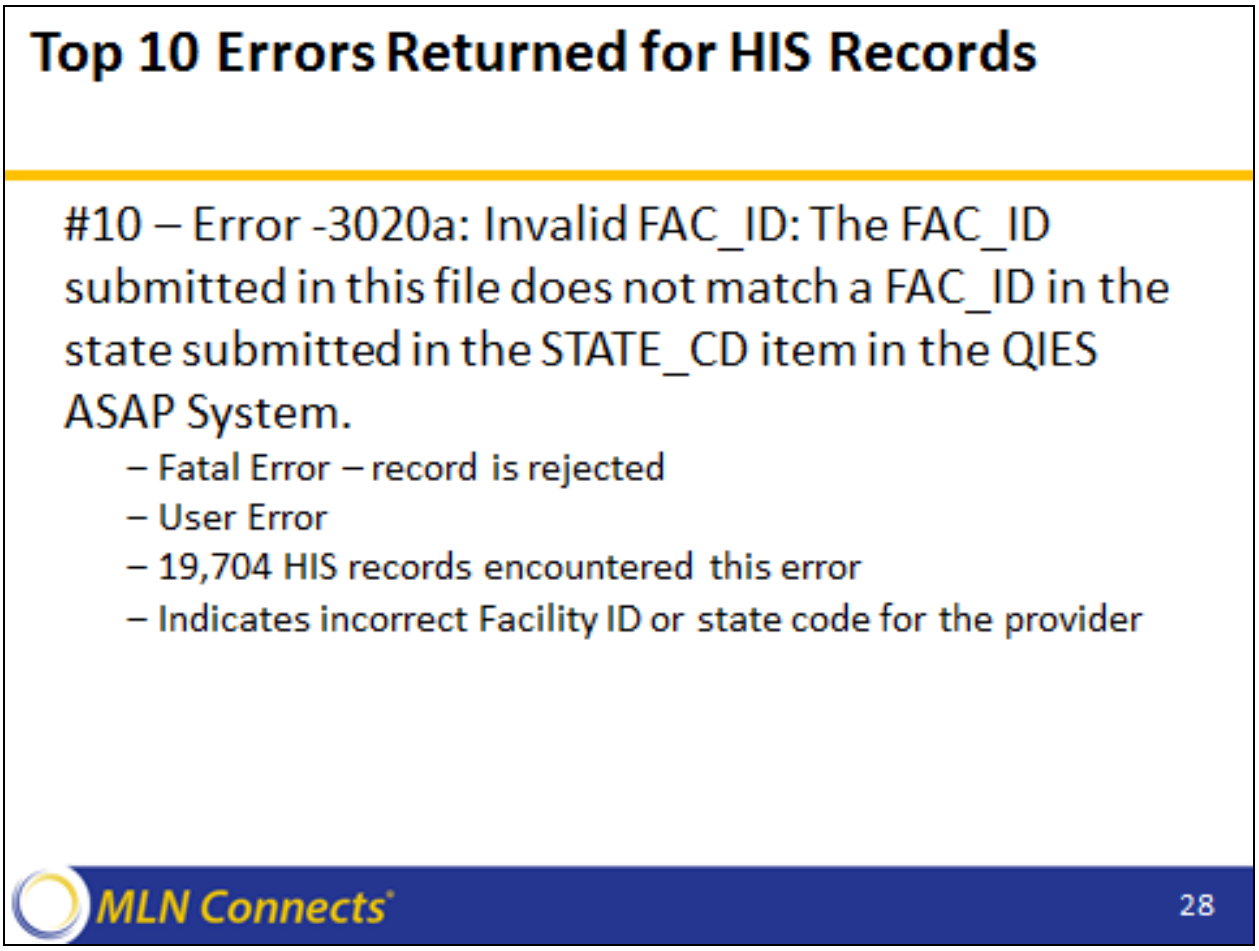


#9 – Error -3021: Incorrect CCN: A0100B does not match the CMS Certification Number (CCN) in the QIES ASAP System database for the provider identified in the file.

This is a Informational message indicating that the submitted CCN value in item A0100B does not match the CCN known to the ASAP system in the QIES national repository. There were 20,361 records that received this error during the time period.

The hospice provider should:

- Contact their Regional Office to identify the correct CCN for their provider
- Verify that the CCN has been correctly entered in the data entry software
- If the provider's CCN changed, register for a new user ID for the new CCN



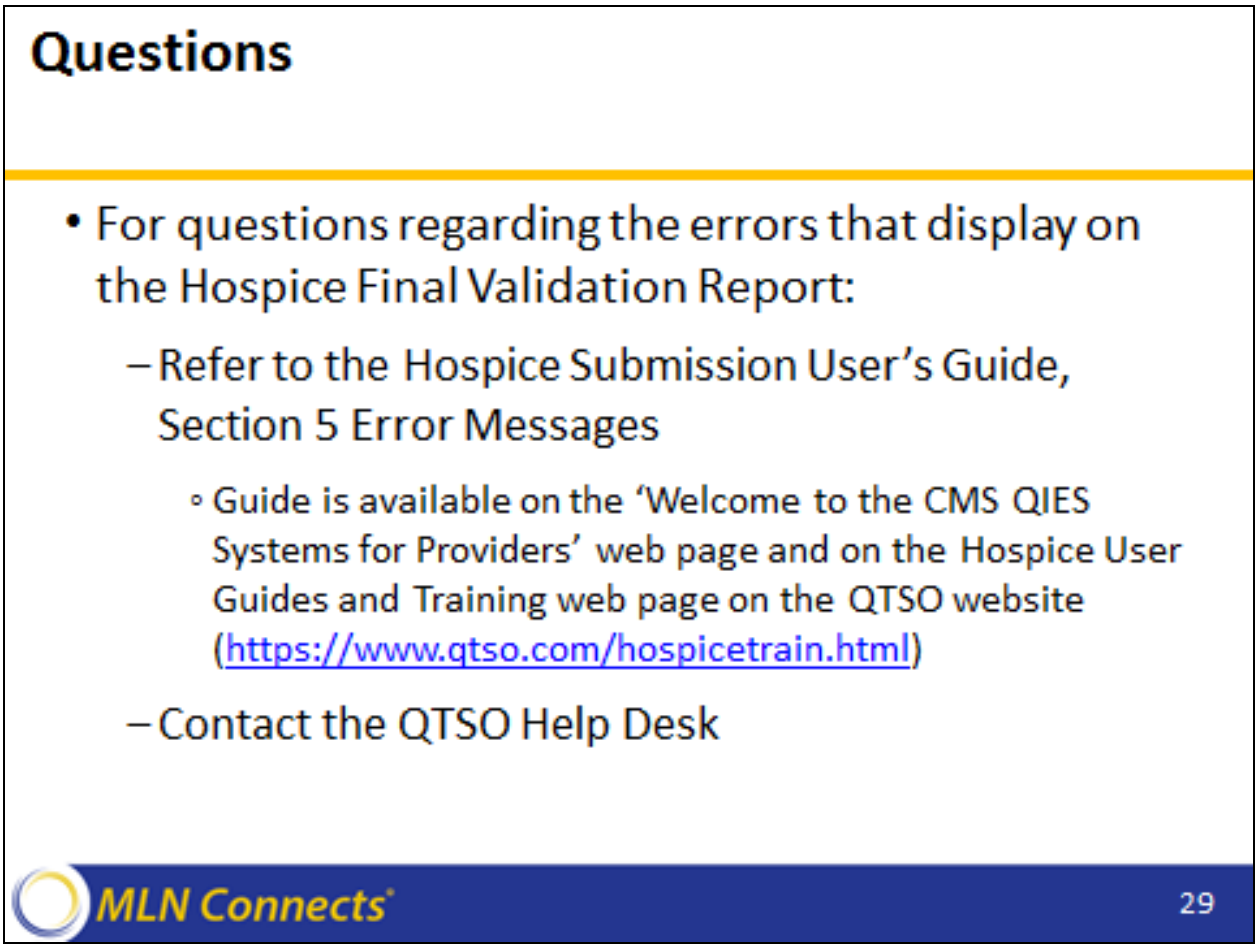
#10 Error -3020a: Invalid FAC_ID: The FAC_ID submitted in this file does not match a FAC_ID in the state submitted in the STATE_CD item in the QIES ASAP System.

This is a Fatal error and HIS records that encounter this error are rejected. There were 19,704 HIS records rejected with this error during the time period.

This error is considered a user error. Either the Facility ID (FAC_ID) value the provider received after the QIES user ID registration process was not correctly entered into the data entry software or the incorrect state code was entered into the software.

The provider should ensure the Facility ID value they received following the QIES user ID registration is correctly entered into the data entry software. The provider should also verify that the correct state code is present in the HIS record. Once the corrections have been made, the HIS record should be resubmitted.

Should you require assistance with the Facility ID, contact the QTSO help desk.



Should you have questions about the errors that are returning on the final validation report, review to Section 5 – Error Messages of the Hospice Submission User's Guide. Section 5 provides detailed information about each possible HIS error.

The guide is available on the 'Welcome to the CMS QIES Systems for Providers' web page and on the Hospice User Guides and Training web page on the QTSO website (https://www.qtso.com/hospicetrain.html)

Should you have additional questions regarding the final validation report or error messages that return on the report, you may contact the QTSO Help Desk by phone at (877) 201-4721 or by email at Help@qtso.com.

This concludes the Accessing and Interpreting the Hospice Final Validation Report & Reviewing Top Ten Errors presentation.