

OASIS SUBMISSIONS FOR FLORIDA: SYSTEM FUNCTIONS

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OASIS SYSTEM FUNCTIONS

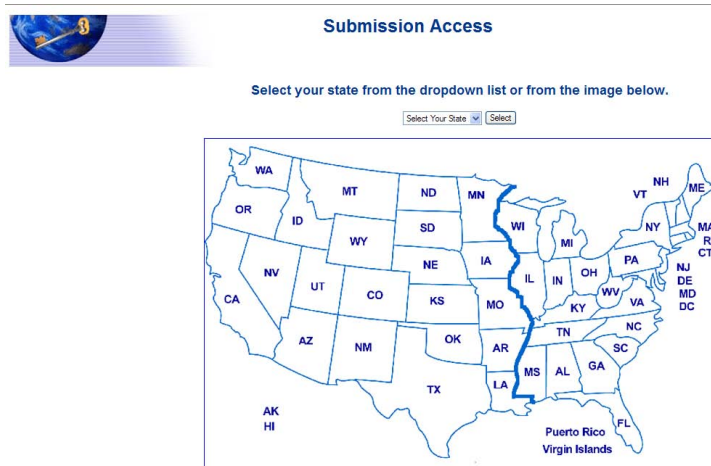
The OASIS system serves three basic functions for Home Health Agency users:

- Establishing the communication connection
- Submitting electronic OASIS files to the state OASIS system
- Receiving and interpreting validation reports

The following sections of this document provide descriptions of each of these functions.

Establishing The Communication Connection

Go to the CMS Submission page at <https://www.qtso.com/submissions/submissions.html>



- Click on FL to open the state's **Welcome** page (Figure 3-1 below).

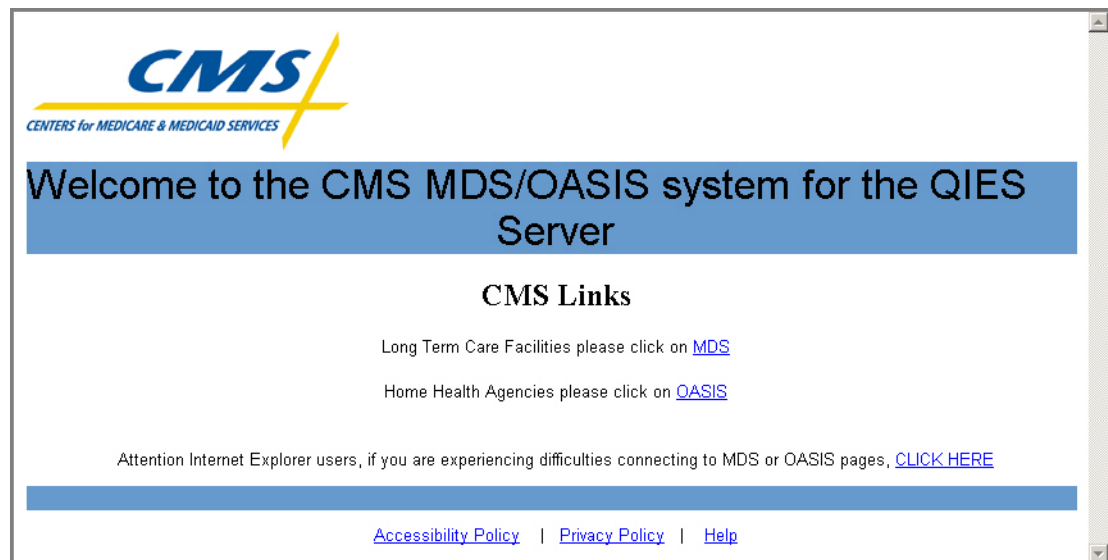


Figure 3-1. State Welcome Page – Example

Accessing The OASIS System

- From the state **Welcome** page select the OASIS link to access the **OASIS Welcome** page (Figure 3-2).



Figure 3-2. OASIS Welcome Page – Example

The following links may be available to you on the **OASIS Welcome** page:

- OASIS Submissions – provides access to the main OASIS System menu and the functions provided there
- QIES User Maintenance – provides access to the QIES User Maintenance system where self-service functions are available for changing and resetting passwords and reactivating inactive user accounts
- Bulletins – provides news from the State Agency
- CASPER Reports – provides access to the CASPER Reporting system
- CASPER Reporting Users Manual – provides access to the CASPER Reporting User's Guide
- Points of Contact – provides a list of contacts (names, addresses, phone numbers, fax numbers, and e-mail addresses, as applicable). Here you can identify the State Agency system administrator to whom you should direct questions pertaining to the OASIS System.
- OASIS/HAVEN Updates – provides the location of downloadable files to update HAVEN software

- To login to the OASIS system, select the [OASIS Submissions](#) link. A pop-up window requesting your user name and password is presented (Figure 3-3).



Figure 3-3. User name and Password Window

NOTE: You should have been provided a user name and password for the OASIS System. If not, contact the QTSO Helpdesk at (800) 339-9313

Once you have entered both a valid user name and password, press **Enter** or select **OK**. You may select **Cancel** if you do not wish to access the OASIS system at this time.

NOTE: The *User name* and *Password* fields are case sensitive. If the system responds with an “Authorization failed. Retry?” message, select **OK** and verify that you are entering the user name and password exactly as it was provided to you from the QTSO Helpdesk.

The system responds to a successful login with the **OASIS Main Menu** page (Figure 3-4).

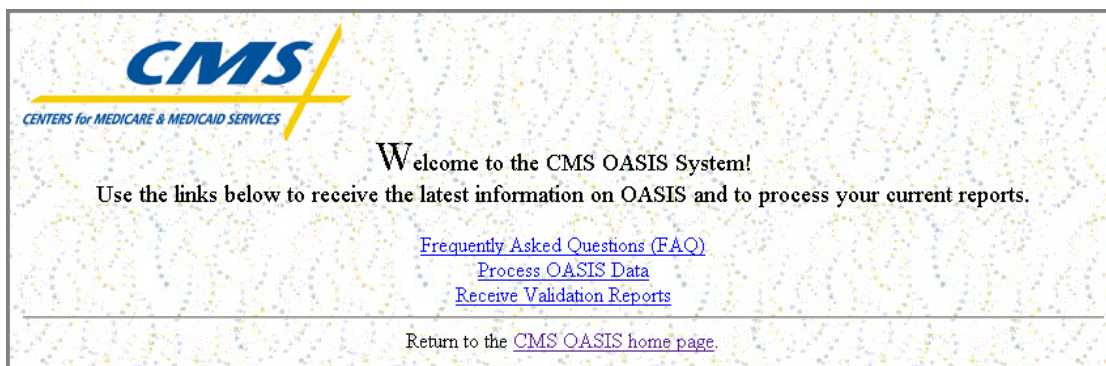


Figure 3-4. OASIS Main Menu Page

The following links are available on the **OASIS Main Menu** page.

- o Frequently Asked Questions (FAQ) – provides a list of common OASIS System issues or problems along with instructions to resolve each. If the State Agency System Administrator has not posted a FAQ document, a Back to the OASIS Submissions Page link is available for you to return to the **OASIS Main Menu** page.
- o Process OASIS Data – accesses the **OASIS File Submission** page.
- o Receive Validation Reports – accesses the page from which you can view, print and download Initial Feedback and Final Validation reports, as well as, Monthly Activity reports.
- o CMS OASIS home page – Select this link to return to the **OASIS Welcome** page.

Submitting Oasis Data Files

- To submit OASIS data, select the Process OASIS Data link on the **OASIS Main Menu** page. The **OASIS File Submission** page (Figure 3-5) is presented.

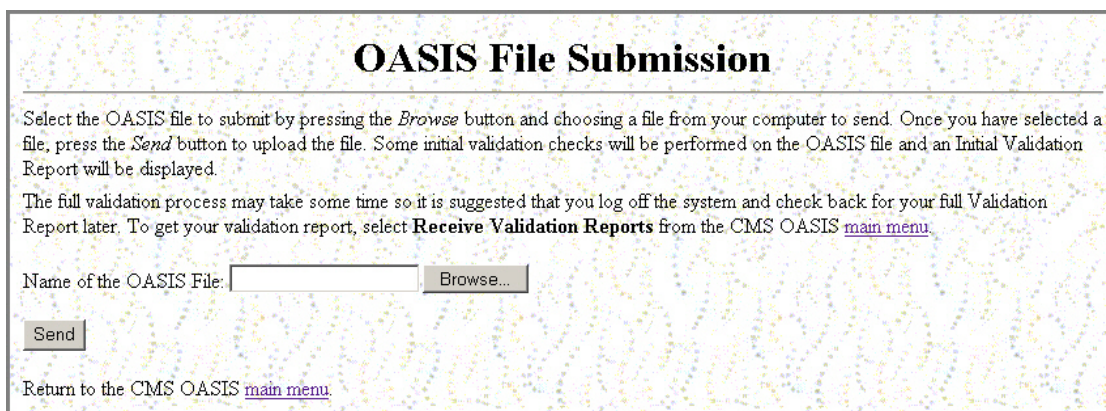


Figure 3-5. OASIS File Submission Page

The **OASIS File Submission** page provides instructions and information about submitting OASIS files, as well as a data entry field in which you provide the name of the OASIS file you wish to submit.

NOTE: In order to submit OASIS data, you must use software capable of encoding OASIS records and exporting data files in accordance with CMS's standard record layout specifications (version 2.0) for the current version of the OASIS-C.

- Two options exist for entering a file name. If you know the exact file name, you may enter the file name, including the complete path to the file (e.g., *C:\oasis\myfile.xxx*), in the *Name of the OASIS File* field. The recommended method, however, is to search through the files available on your computer by selecting the **Browse** button.

When you select the **Browse** button, a **Choose File** window appears enabling you to select from a list of files on your computer's hard drive, floppy disk or other network drive (Figure 3-6).

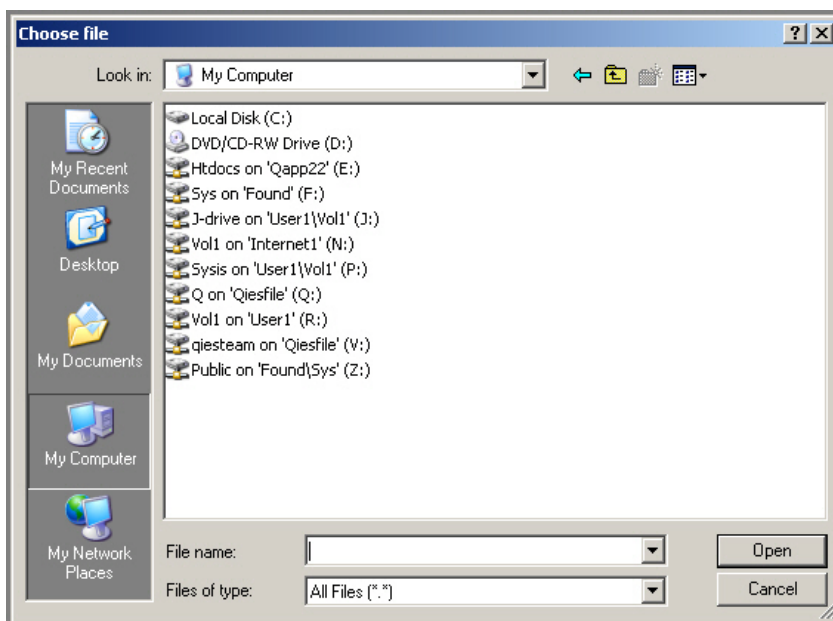


Figure 3-6. Choose File Window

- Select *All Files (*.*)* from the dropdown list in the *Files of type* field so that you do not limit the types of files shown in the list. Ensure the correct drive is selected in the *Look in* field (C: for the computer hard drive and A: or B: for a floppy disk drive, etc.). The list of files available on the selected drive appears in the area above the *File name* field.

- To select a file for submission, you may highlight the file name and then select the **Open** button or double-click the name of the file you wish to send.

You are returned to the **OASIS File Submission** page where the file name (and path) you selected appears in the *Name of the OASIS File* field. If, at this point you choose not to submit the file, you may select the main menu link at the bottom of the **OASIS File Submission** page to return to the **OASIS Main Menu** page.

- To proceed with the submission of the file, click the **Send** button on the **OASIS File Submission** page. A **Send Confirmation** window (Figure 3-7) is presented.

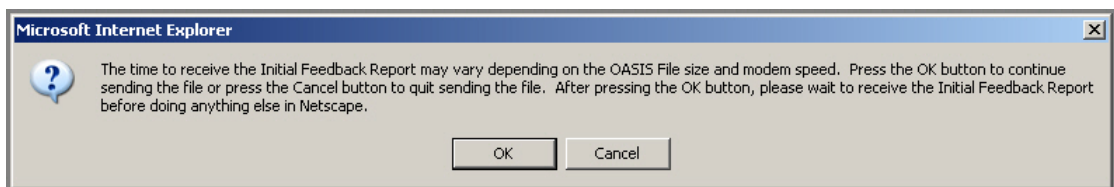


Figure 3-7. Send Confirmation Window

The **Send Confirmation** window serves as a reminder that the time required to generate the OASIS Initial Feedback Report varies and that you should wait for the OASIS Initial Feedback Report prior to continuing with any other OASIS or browser functions.

NOTE: You risk losing your connection or interrupting the file submission process if you do not wait for the OASIS Initial Feedback Report.

- Select the **OK** button to proceed with the submission of the file. Remain at the **OASIS File Submission** page and refrain from executing any additional OASIS or browser functions until you receive an OASIS Initial Feedback Report.

NOTE: A security information window may appear to inform you that credit card numbers, etc. may not be safe to transmit. If you do not wish to view this security information window each time you submit a file, uncheck the box next to *Show This Alert Next Time*.

If you do not wish to submit the file, select **Cancel** to terminate the process.

NOTE: A “File Transmission Error” occurs when there is an interruption in the server while it is processing the submitted file. The server performs a check every 5 minutes. If you receive this error, wait approximately 5 minutes and then resubmit the file. If you continue to receive the error, contact your State Automation Coordinator.

The OASIS Initial Feedback Report indicates that the OASIS System performed a basic validation check on your file and whether your submission was received or rejected. If rejected, the OASIS Initial Feedback Report identifies the rejection error. The following section of this document provides additional information about the validation process and reports.

NOTE: The OASIS Initial Feedback Report only displays errors found in the header and trailer records. It does not include errors that may be found on the data records. Those errors are identified in the OASIS Final Validation Report.

OASIS INITIAL FEEDBACK AND FINAL VALIDATION REPORTS

Once data is received at the state OASIS system, the OASIS system validates the file structure and data content. These validations are based on the OASIS record specification (version 1.04, 1.20, 1.30, 1.40, 1.50 1.60 or 2.0).

The system generates two reports: 1) an OASIS Initial Feedback Report, which indicates if the submission passed the initial check of header and trailer information, and 2) the OASIS Final Validation Report, which provides a detailed account of the errors found during the validation of all records in the submitted OASIS file. Both reports are formatted as text files with columns so that they may be easily read, printed, or downloaded.

NOTE: You do not receive a Final Validation report if your OASIS Initial Feedback report indicates that your file was rejected.

OASIS Initial Feedback Report

An OASIS Initial Feedback Report (Figure 3-8) is generated for each file you submit. The time it takes to create and return the OASIS Initial Feedback Report to you depends upon the file size, modem speed, and other system activity. You should remain on the **OASIS File Submission** page until you receive the report.

```

                                CMS State Report
                                OASIS Initial Feedback Report

[Report Date/Time]                10/22/2007  14:55:55
[Submission Method]                Upload
[Batch Status]                     RECEIVED
[Submission Date/Time]            10/22/2007  14:55:54
[Submission Batch ID]             569773
[Batch Submission Type]           Production
[Agency ID]                       HSTEVE01
[Agency Name]                     HSTEVE01
[# Data Records Processed]         7

BE SURE TO RETRIEVE YOUR FINAL VALIDATION REPORT FOR WARNING AND/OR REJECTIONS
-----
Record: Header

[Field or OASIS Items]            FAC_PHONE
[Invalid Data Submitted]          [Submitted: 5152444444 Database: 5151231234]
[Message Number]                  +16      Warning
[Message]                          Inconsistent HHA telephone number: The HHA
                                   telephone number submitted in the header record
                                   does not match the HHA telephone number in the
                                   State database.
-----
Record: Trailer
-----
```

Figure 3-8. OASIS Initial Feedback Report

The OASIS Initial Feedback Report indicates whether your submission was received or rejected. If it was rejected, you may need to make corrections to the file, pursuant to the error correction policy defined by CMS, and resubmit it. Examples of rejection criteria include corrupted file structure or invalid agency identification. The OASIS Initial Feedback Report identifies the errors encountered in the header and trailer records of the file. If rejected, no data is extracted from the file.

NOTE: Contact the HAVEN Help Desk or your OASIS encoding software vendor if you need assistance correcting rejected submissions.

The OASIS Initial Feedback Report provides the following information:

- The Report Date/Time

NOTE: The Report Date/Time uses a 24-hour clock time format so that 2:09 p.m. appears as 14:09:22.

- Submission Method
- Batch Status – whether the file was received successfully or rejected based on the initial validation check. If it is rejected, you should review the file for any errors in the header, such as facility identification information, and resubmit the file.
- The Submission Date/Time – formatted the same as the report date and time.
- A Submission Batch ID – assigned to the submission by the system.

NOTE: You should take note of the Submission Batch Identification (ID) number. This number assists you in finding the corresponding OASIS Final Validation Report. More importantly, the Submission Batch ID is used in troubleshooting any issues pertaining to a specific submission.

- Batch Submission Type – whether the submission was a production or test submission. If the batch is rejected, the batch submission type is “unknown”.
- Agency ID – the identification number assigned to your Home Health Agency and contained in the header record of the file.
- Agency Name
- # Data Records Processed – the number of records that were processed in your file.

To save the report for future reference (such as troubleshooting a problem with the State System Administrator), select *Save As* from your browser's *File* menu and save the report as a text file to a floppy disk or to your hard drive. If your computer or the computer designated for OASIS submissions is connected to a printer, you can select *Print* from the *File* menu to print a copy of the OASIS Initial Feedback Report. Saving or printing the report is highly recommended.

Once you have received and reviewed the OASIS Initial Feedback Report, you may return to the **OASIS File Submission** page or to the **OASIS Main Menu** by selecting the appropriate link.

It is not necessary for you to remain online to wait for the OASIS Final Validation Report. The OASIS Final Validation Report should be available within 24 hours for validations that cannot be performed online in the same session. Should you submit a very large file, you may choose to exit the OASIS System after receiving the OASIS Initial Feedback Report verifying acceptance of the submission.

To exit the OASIS System, select *Exit* from the browser's *File* menu or click the close button, , in the top right corner of the window.

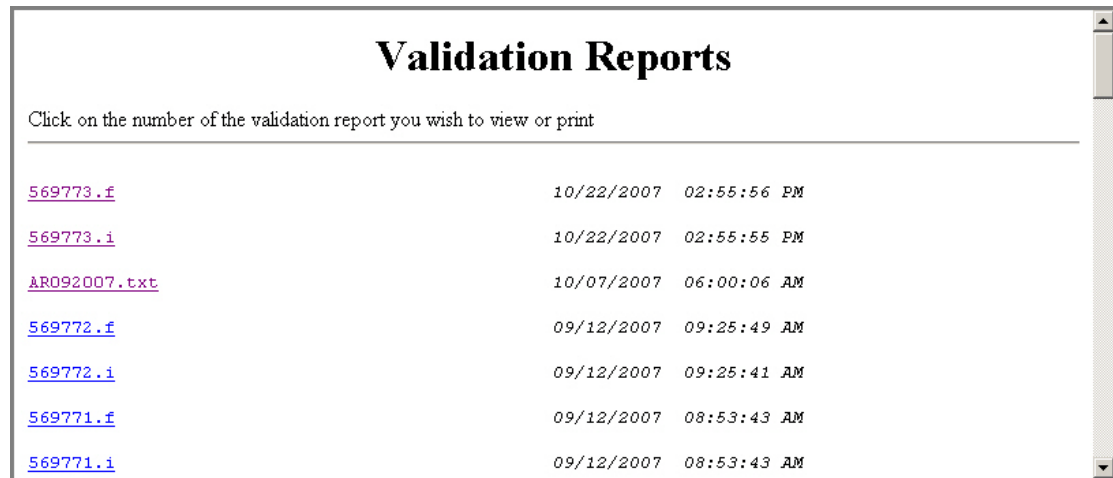


OASIS Final Validation Report

An OASIS Final Validation Report is generated within 24 hours of the submission of a file. The report is created after the OASIS System performs data validation, timing checks, and calculated element validations. The timing and sequence of the OASIS records are verified against customized State schedules.

OASIS Final Validation Reports are accessed from the **OASIS Main Menu**. If you logged off of the system after submitting your file and have now initiated a new session, from the **OASIS Welcome** page select OASIS Submissions and log in to the system once again. Refer to the *Accessing the OASIS System* section of this document for more information.

From the **OASIS Main Menu** page select the Receive Validation Reports link. The **Validation Reports** page (Figure 3-9) is presented.



The screenshot shows a web browser window titled "Validation Reports". Below the title is a horizontal line and the instruction "Click on the number of the validation report you wish to view or print". A table lists several reports with underlined links for the report titles and corresponding dates and times.

Report Title	Date and Time
569773.f	10/22/2007 02:55:56 PM
569773.i	10/22/2007 02:55:55 PM
AR092007.txt	10/07/2007 06:00:06 AM
569772.f	09/12/2007 09:25:49 AM
569772.i	09/12/2007 09:25:41 AM
569771.f	09/12/2007 08:53:43 AM
569771.i	09/12/2007 08:53:43 AM

Figure 3-9. Validation Reports Page

The **Validation Reports** page lists OASIS Initial Feedback, OASIS Final Validation, and Activity Reports beginning with the most recently generated report. The reports are identified by the Submission Batch ID number followed by an "f" for OASIS Final Validation reports and an "i" for OASIS Initial Feedback reports.

NOTE: The report titles are based on the Submission Batch ID number, not the name of your submitted file. Note the Submission Batch ID number when you receive the Initial Feedback Report in order to identify the corresponding Final Validation Report.

If you wish to save (download) a report from this window, right-click the underlined report title and then select *Save Link As* from the menu.

If you do not wish to view any validation reports, select the main menu link at the bottom of the page to return to the **OASIS Main Menu** page.

To view a report, select the underlined report title.

The OASIS Final Validation Report (Figure 3-10) identifies the type and number of messages (errors) encountered in the OASIS file you submitted.

```

                                CMS State Report
                                OASIS Final Validation Report

[Report Date/Time]                10/22/2007  14:55:56
[Batch Status]                    RECEIVED
[Submission Date/Time]            10/22/2007  14:55:54
[Submission Batch ID]             569773
[Batch Submission Type]           Production
[Agency ID]                      HSTEVE01
[Agency Name]                    HSTEVE01
[# Records Processed]              7
[# Records Rejected]              7
[# Duplicate Records]             0
[# Records with Messages]         7
[Total # of Messages]            8

-----
Record: Header

[Field or OASIS Items]            FAC_PHONE
[Invalid Data Submitted]          [Submitted: 5152444444 Database: 5151231234]
[Message Number]                  +16      Warning
[Message]                          Inconsistent HHA telephone number: The HHA
                                   telephone number submitted in the header record
                                   does not match the HHA telephone number in the
                                   State database.

-----
Record: 1
Assmt_Int_ID = 8725686            Name      = DMSRFA01, HAVEN
Res_Int_ID =                      SSN       = 987-98-7999
RFA, BRANCH_ID = 01 12Q1212121  Eff Date  = 01/01/2008
Correction Num = 00              M0090 Date = 01/01/2008

[Field or OASIS Items]            M0090_INFO_COMPLETED_DT
[Invalid Data Submitted]          [20080101]
[Message Number]                  +267    Fatal Record
[Message]                          Invalid Info_Completed_Dt (M0090): Unable to
                                   process record due to this date being outside
                                   acceptable date ranges. Info_Completed Dt cannot
                                   precede 7/19/1999 and cannot be later than the
                                   current date.

-----
```

Figure 3-10. OASIS Final Validation Report

The OASIS Final Validation Report provides the following information:

- The Report Date/Time

NOTE: The Report Date/Time uses a 24-hour clock time format so that 2:09 p.m. appears as 14:09:22.

- Submission Method
- Batch Status – whether the file was received successfully or rejected based on the initial validation check. If it is rejected, you should review the file for any errors in the header, such as facility identification information, and resubmit the file.

- The Submission Date/Time – formatted the same as the report date and time.
- A Submission Batch ID – assigned to the submission by the system.

NOTE: The Submission Batch ID is used in troubleshooting any issues pertaining to a specific submission.

- Batch Submission Type – whether the submission was a production or test submission. If the batch is rejected, the batch submission type is “unknown”.
- Agency ID – the identification number assigned to your Home Health Agency and contained in the header record of the file.
- Agency Name
- # Data Records Processed – a count of the records processed in your file.
- # Records Rejected – a count of the records in the file that were rejected.
- # Duplicate Records – a count of the records rejected because of an exact match to previously submitted records.
- # Records with Messages – a count of records with error(s).
- Total # Messages – a count of the errors that occurred in this file submission.

NOTE: It is important to note that the file is processed and accepted even with fatal record or warning messages.

If your computer or the computer designated for OASIS submissions is connected to a printer, you can select **Print** from the browser *File* menu to print a copy of the OASIS Final Validation Report. You may also select *Save As* from the browser *File* menu and save the report to a floppy disk or your hard drive.

For each data record, the report detail section includes the record number (based on its order in the submission file), the SSN and name of the patient, the record type, correction number and effective date of the assessment, and the Branch ID (if applicable).

NOTE: Assessments that do not have response 1, 2, 3, and/or 4 checked in the M0150 field are rejected and show on the Final Validation Report with Blank fields for each rejection.

Listed below the information mentioned in the previous paragraph, is each field or OASIS item in error, the invalid submitted data, message number, and message. If errors exist in the header record, they are displayed first in the report. If errors exist in the trailer record, they are displayed at the end of the report.

The *OASIS Validation Report Messages and Description* guide provides information about interpreting the various errors in the data fields as they appear in the OASIS Initial Feedback and OASIS Final Validation reports. You can access this guide on the QTSO web site at:
<https://www.qtso.com/hhdownload.html>.