

3

SYSTEM FUNCTIONS

ESTABLISHING THE COMMUNICATION CONNECTION.....	2
Dial-in Instructions	2
Accessing the SWING BED MDS System	4
Changing Password	7
SUBMITTING SWING BED MDS DATA FILES	8
VALIDATION REPORTS	12
Initial Feedback Report	14
Final Validation Report	15
Receiving Validation Reports	16
PRINTING AND SAVING REPORTS	18
RESIDENT MATCHING CRITERIA	19

For hospital users, there are three basic functions of the Swing Bed MDS system. They are:

- Establishing the communication connection
- Submitting electronic Swing Bed MDS files
- Receiving and interpreting validation reports

The following sections provide instructions and procedures for each of these functions.

ESTABLISHING THE COMMUNICATION CONNECTION

The communications part of the Swing Bed MDS System supports the transfer of Swing Bed MDS data between hospitals and the National Assessment Collection Database. In order to connect, you must first ensure that the software and hardware are correctly installed. Installation instructions should have been provided by AT & T Network and the IFMC QTSO Help Desk. All of your equipment, including the modem, should be turned on before you access your browser.

Dial-in Instructions

Once your AT & T software is installed and configured, you will be able to connect to the Medicare Data Communication Network (MDCN) for your file transfer needs.

For Windows 95/98/2000 and Windows NT Users

1. Open the shortcut titled AT & T Dialer Shortcut. The AT & T Network-Login screen will appear. (Figure 3-1)

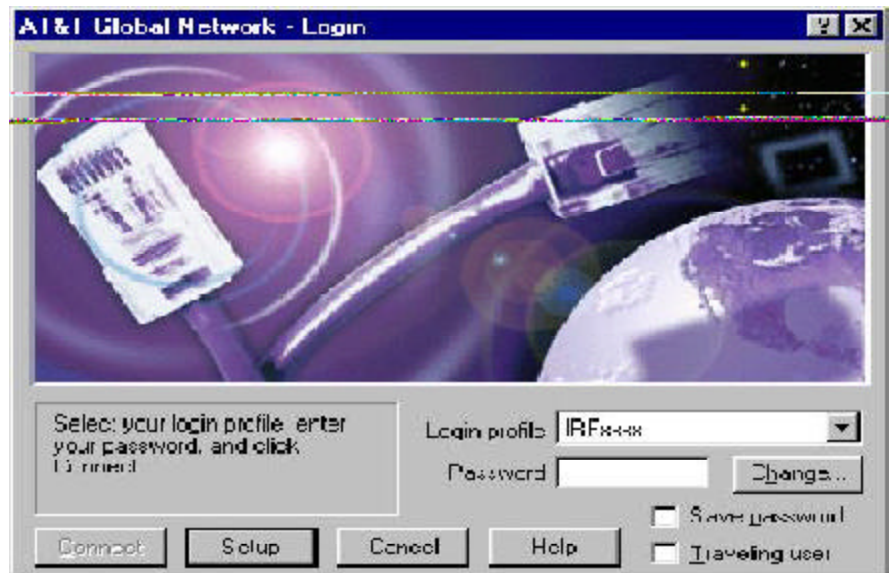


Figure 3-1. AT & T Network-Login

2. Type in the password (same as your User ID) and click **Connect** at the bottom of the screen. DO NOT click the save password box as this is a security violation. Your modem will dial and connect to MDCN.

The first time you connect to MDCN through AT & T Services and periodically in the future, your password will expire. Type your new password and confirm it in the appropriate boxes.

⇒ If you have problems with the MDCN connection, contact the MDCN Help Desk at (800) 905-2069.

Password rules for the MDCN:

- Passwords can contain alpha or numeric characters (no special characters).
- A password must begin with an alphabetic character.
- Passwords are a minimum of 5 characters and a maximum of 8 characters.
- You may not reuse a password for six months.

⇒ This password change **only** affects your MDCN connection.

3. The AT & T Global Network Dialer - [Network View] screen will open. It will take a few moments for this screen to appear. This screen will depict a connection between your computer, the AT & T Global Network and a private intranet. This private intranet is the CMS access point for your data submission. (Figure 3-2)

⇒ Periodically AT & T will make updates to your software by downloading updated files at the time of connection. When this occurs, do not be alarmed. Allow the download to be completed, click **OK**, then go to the next step.

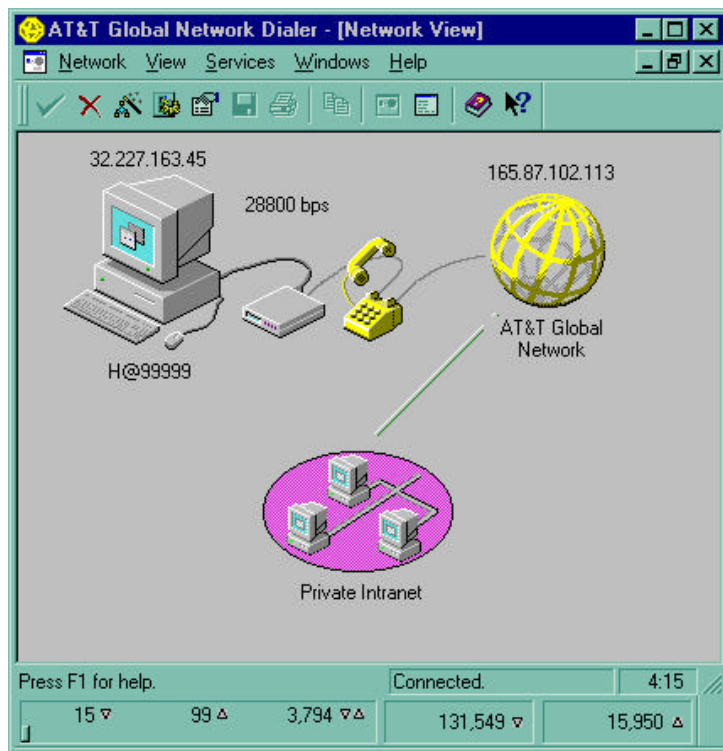


Figure 3-2. Network View

Accessing the Swing Bed MDS System

⇒ CMS should have provided you with the appropriate URL for the National Assessment Collection Database. If this has not been received, contact the QTSO Help Desk.

You are now ready to begin using the Medicare Data Communication Network. Open your browser and type in the address of the National Assessment Collection Database that was provided to you by CMS. This is known as the URL address. This will connect you to the CMS Swing Bed MDS Welcome page.

After pressing **Enter**, the browser will look for the specified URL. There are configuration options within the browser that can make accessing the Swing Bed MDS System easier, such as using a bookmark so that the URL does not have to be manually entered each time the system is accessed through the browser. If you want more information on how to bookmark, refer to your browser manual.

When the browser finds the specified URL, the CMS Swing Bed MDS Welcome Page will display. (Figure 3-3).

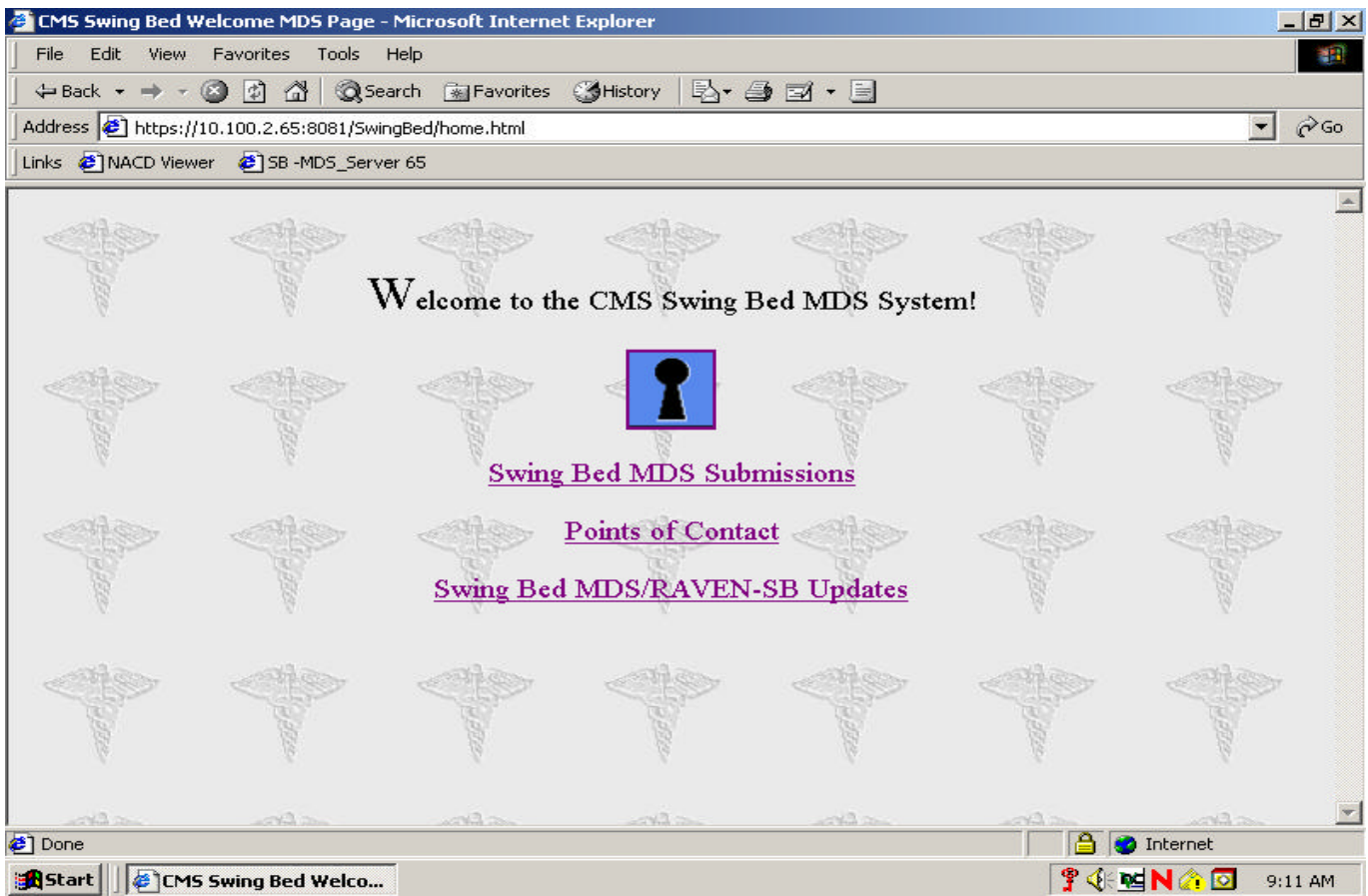


Figure 3-3. CMS Swing Bed MDS Welcome Page

There are three links available on this page. They include:

- [Swing Bed MDS Submissions](#) - provides access to the main Swing Bed-MDS system menu.
- [Points of Contact](#) - provides a list of contacts (names, addresses, phone numbers, and e-mail addresses, as applicable).
- [Swing Bed / RAVEN-SB Updates](#) - provides information about updates to the Swing Bed MDS system and the RAVEN-SB encoding software.

Choose the desired link by pointing and clicking on the corresponding text.

⇒ You should have been provided with your User ID and Password for the Swing Bed MDS System. If this has not been provided, contact the QTSO Help Desk, at (800) 339-9313.

When selecting the [Swing Bed MDS Submissions](#) link, a Login window will display. It is necessary to enter a valid User ID and Password before selecting the OK button. (Figure 3-4).



Figure 3-4. Login Window

To begin entering the required information, point and click in the first **field**, *User ID*.

You may use the **Tab** key or point and click in the second field, *Password* to type in your password.

Once you have entered both a valid User ID and Password, press the **Enter** key or click on **OK** button. You may select **Cancel** if you do not wish to submit MDS data. The Login window will only display when initially accessing the Swing Bed MDS Submissions window during a new browser session.

Changing Password

The first time you enter your password for submission to the National Collection Database, and every 60 days thereafter, your password will expire. Type in your new password and click on update.

⇒ If you have problems with your submission connection, contact the QTSO Help Desk at (800) 339-9313.

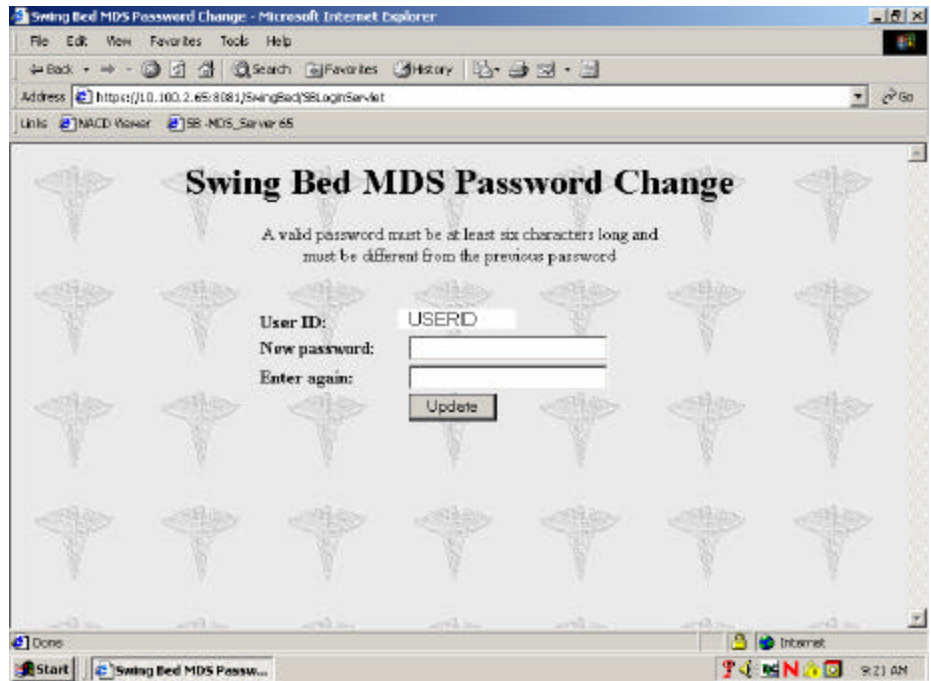


Figure 3-5. Swing Bed-MDS Password Change

⇒ This password change **only** affects your submission connection.

To change your current password:

To do this select the Change Password link in the CMS Swing Bed MDS Main Menu page. The Swing Bed MDS Password Change window will display.

Your User ID will be listed. To begin entering the required information, **point and click in the field** *New password*. Enter your **New** password in this field and in the field *Reenter Password*. Next click on update.

A valid password must be:

- minimum of 6 characters
- different than the previous password
- can contain alpha or numeric characters (no special character)
- is case sensitive

Once you select the Swing Bed MDS Submissions, enter a correct user ID and password and select **OK**, the CMS Swing Bed MDS System Main Menu will display. (Figure 3-6).

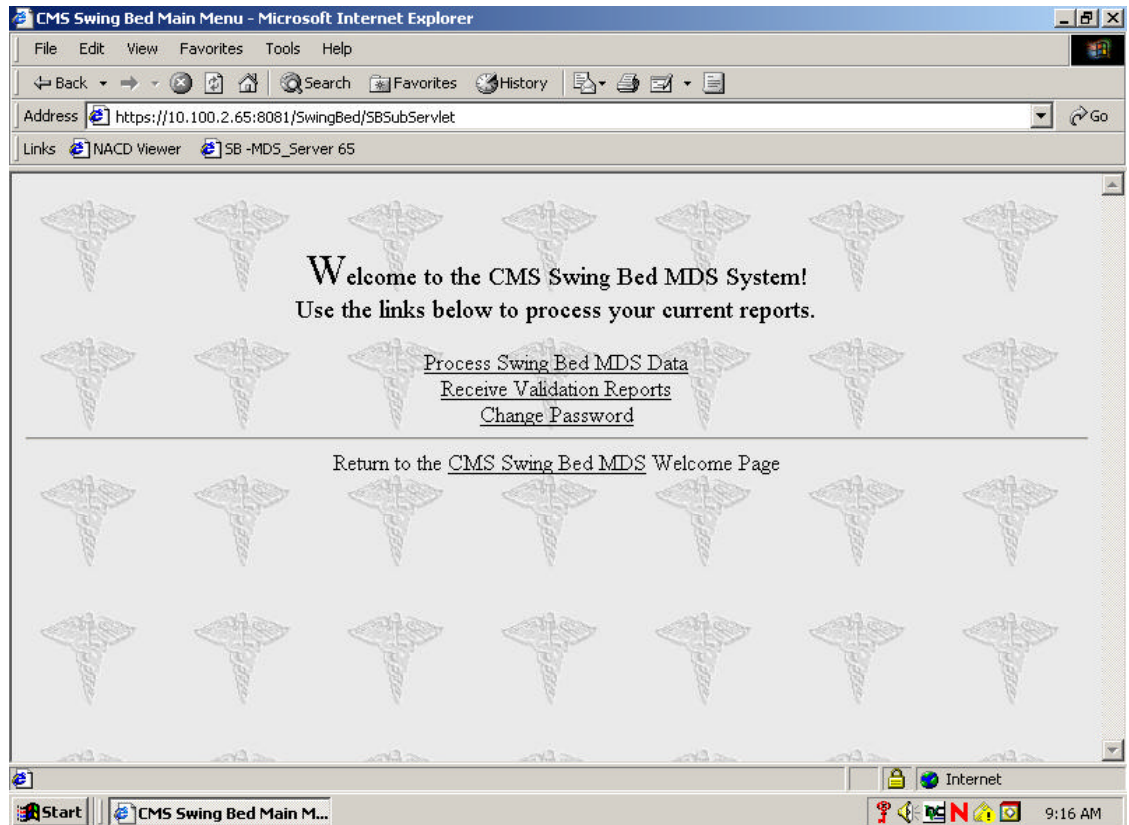


Figure 3-6. CMS Swing Bed MDS System Main Menu

The link options on this page are as follows:

- Process Swing Bed MDS Data - allows the user to submit the SB-MDS data records to the National Assessment Collection Database.
- Receive Validation Reports - provides access to the Initial Feedback Reports and Final Validation Reports.
- Change Password - allows user to change their password.
- CMS Swing Bed MDS - return to the CMS Swing Bed MDS Welcome Page.

SUBMITTING SWING BED-MDS DATA FILES

To submit your SB-MDS data, select the [Process Swing Bed MDS Data](#) link on the CMS Swing Bed MDS Main Menu. The Swing Bed MDS File Submission window will display. This window includes instructions and information about submitting SB-MDS files, as well as, a data entry field for the name of the SB-MDS file. (Figure 3-7).

⇒ You must be using software capable of encoding SB- MDS records and exporting data files in accordance with CMS's standard record layout specifications for version 1.00 of the SB-MDS.

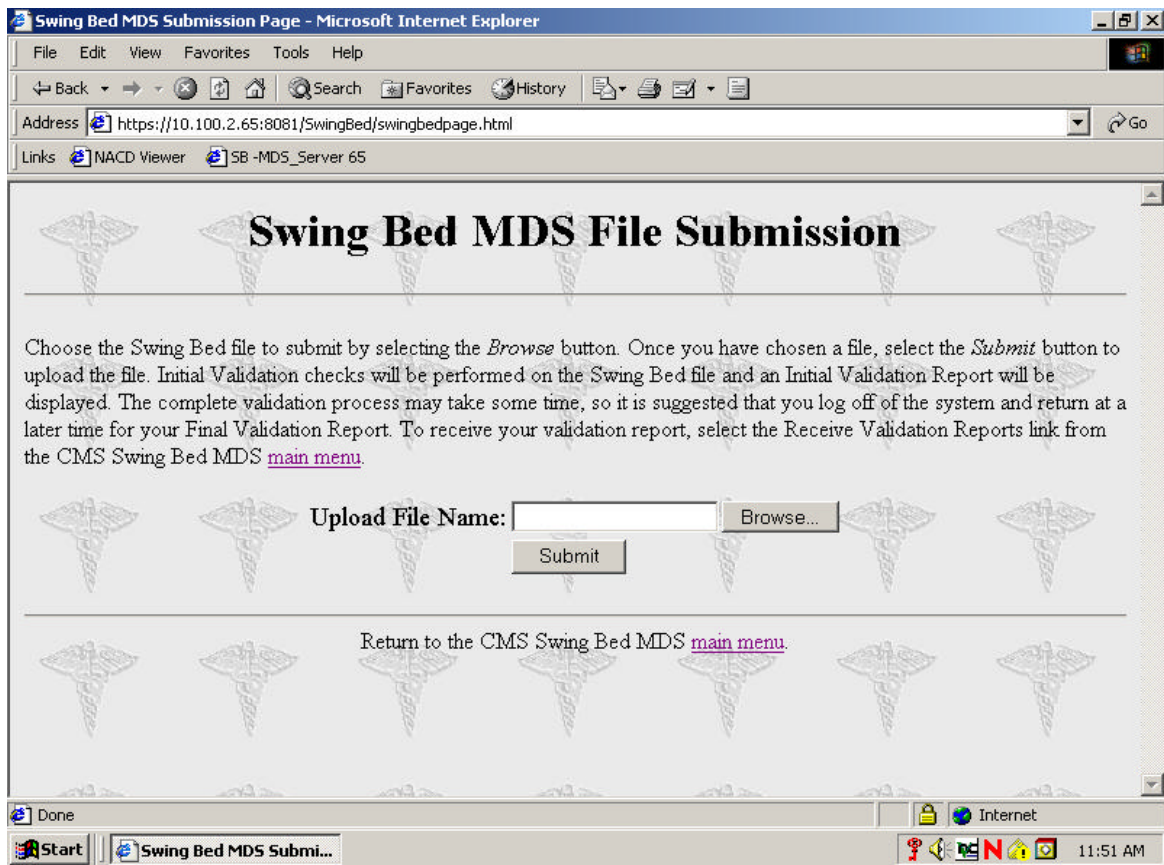


Figure 3-7. Swing Bed MDS File Submission Window.

You have two options for entering a file name.
*If the file name is known, the user can point and click in the *Upload File Name* field and simply type in the file name including the complete path to the file. (e.g.,C:\sbmds\myfile.txt).

The recommended method to enter a file name is to browse or review lists of files by selecting the BROWSE button.

After selecting the **Browse** button, a File Upload window (Figure 3-8) will display allowing the user to select from files on the hard drive or a floppy disk .

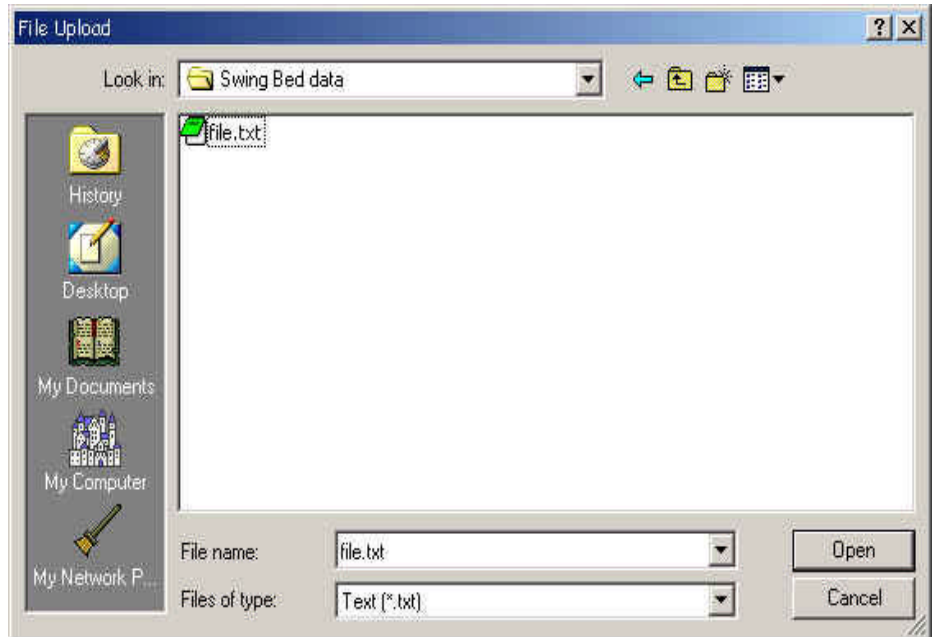


Figure 3-8. File Upload Window

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 that 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. The list of file names will display in the area above the *File name:* field. To select a file for submission, double click the file name or single click and then select the **Open** button.

The file name will display in the *Upload File Name:* field on the Swing Bed MDS File Submission window. Select the **Submit** button to begin transmitting the file. If you decide not to submit a file, select the [main menu](#) link at the bottom of the Swing Bed MDS File Submission window to return to the CMS Swing Bed MDS Main Menu. (Figure 3-9).

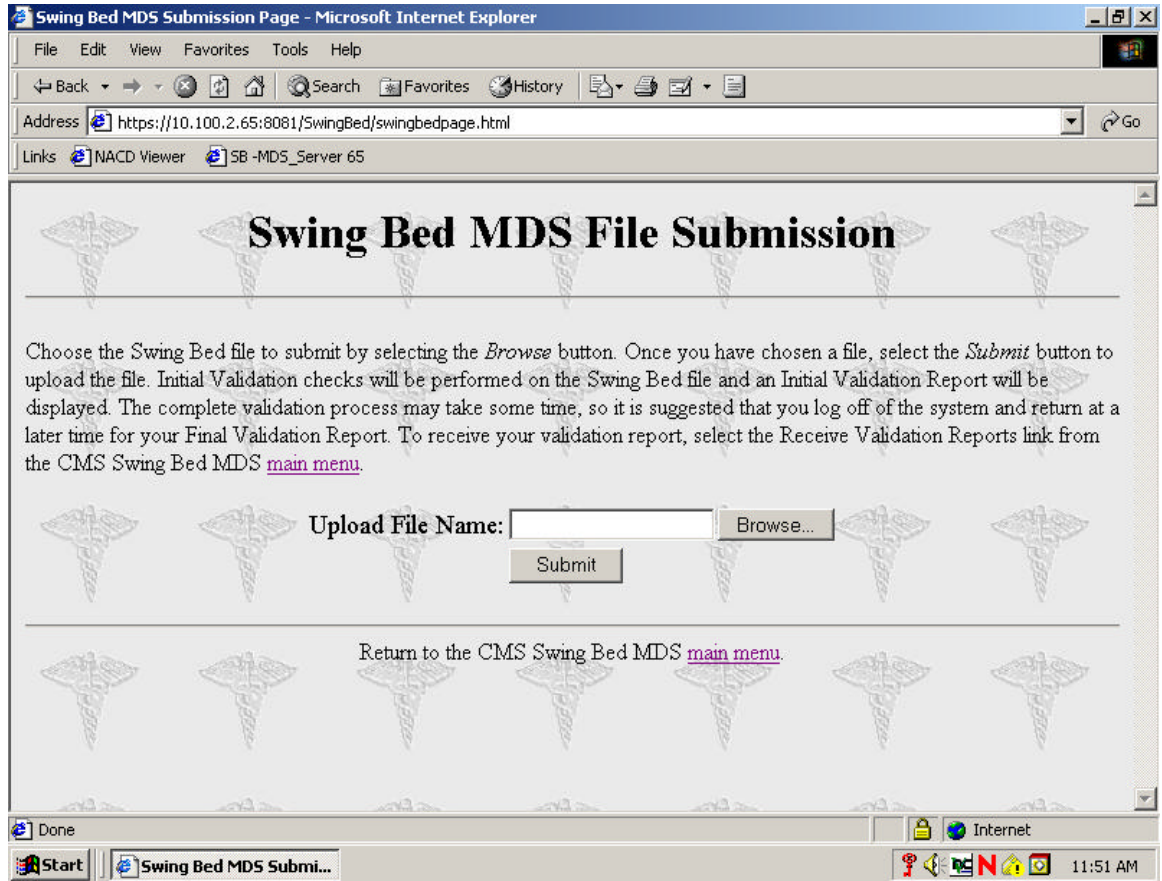


Figure 3-9. Swing Bed MDS File Submission Window

After selecting the **Submit** button, a confirmation message will display.

⇒ *There is a risk of losing the connection or interrupting the file submission process if you do not wait for the Initial Feedback Report.*

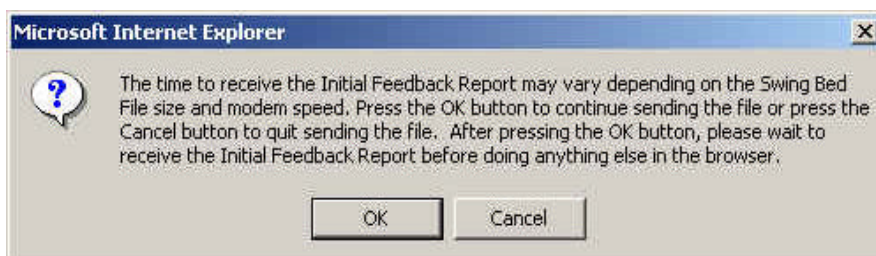


Figure 3-10. Confirmation Message

The confirmation message serves as a reminder that the time required to generate the Initial Feedback Report will vary and that you should wait for the Initial Feedback Report (which will indicate whether the submission was accepted or rejected) before continuing with any other Swing Bed MDS or browser functions.

To continue the submission process, select the **OK** button. If for some reason, you do not wish to wait for the Initial Feedback Report, you may choose (**cancel**) to discontinue the submission process.

When selecting the OK button to continue the submission process, it is recommended that the user remain on the Swing Bed MDS File Submission window and not execute any other functions until after receipt of the Initial Feedback Report.

⇒ *The Initial Feedback Report will only display errors found on the header and trailer records. It will not include errors that may be found on the data records. Those errors will be displayed on the Final Validation Report.*

The Initial Feedback Report indicates that the Swing Bed MDS System has performed a basic validation check on the submitted file. It also indicates whether the submission has been accepted or rejected. If the submitted file is rejected, the Initial Feedback Report includes the reason for rejection.

The next section provides more detailed information about the validation process and reports.

INITIAL FEEDBACK REPORT AND FINAL VALIDATION REPORT

⇒ You will **not** receive a *Final Validation report* if your *Initial Feedback report* indicates that your batch has been rejected.

Once data is received at the National Assessment Collection Database, the Swing Bed MDS System will validate the file structure and data content. These validations are based on the SB-MDS Data Specifications 1.00. The system generates two reports; an Initial Feedback Report, which indicates that the submission has passed the initial check of header and trailer information, and the Final Validation Report, which provides a detailed account of any errors found during the validation of the records in the submitted SB-MDS file. Both reports are formatted as text files with column specifications so that they may be easily read, printed, or downloaded.

INITIAL FEEDBACK REPORT

The Initial Feedback Report should be received shortly after submitting the file while you remain online (Figure 3-11).

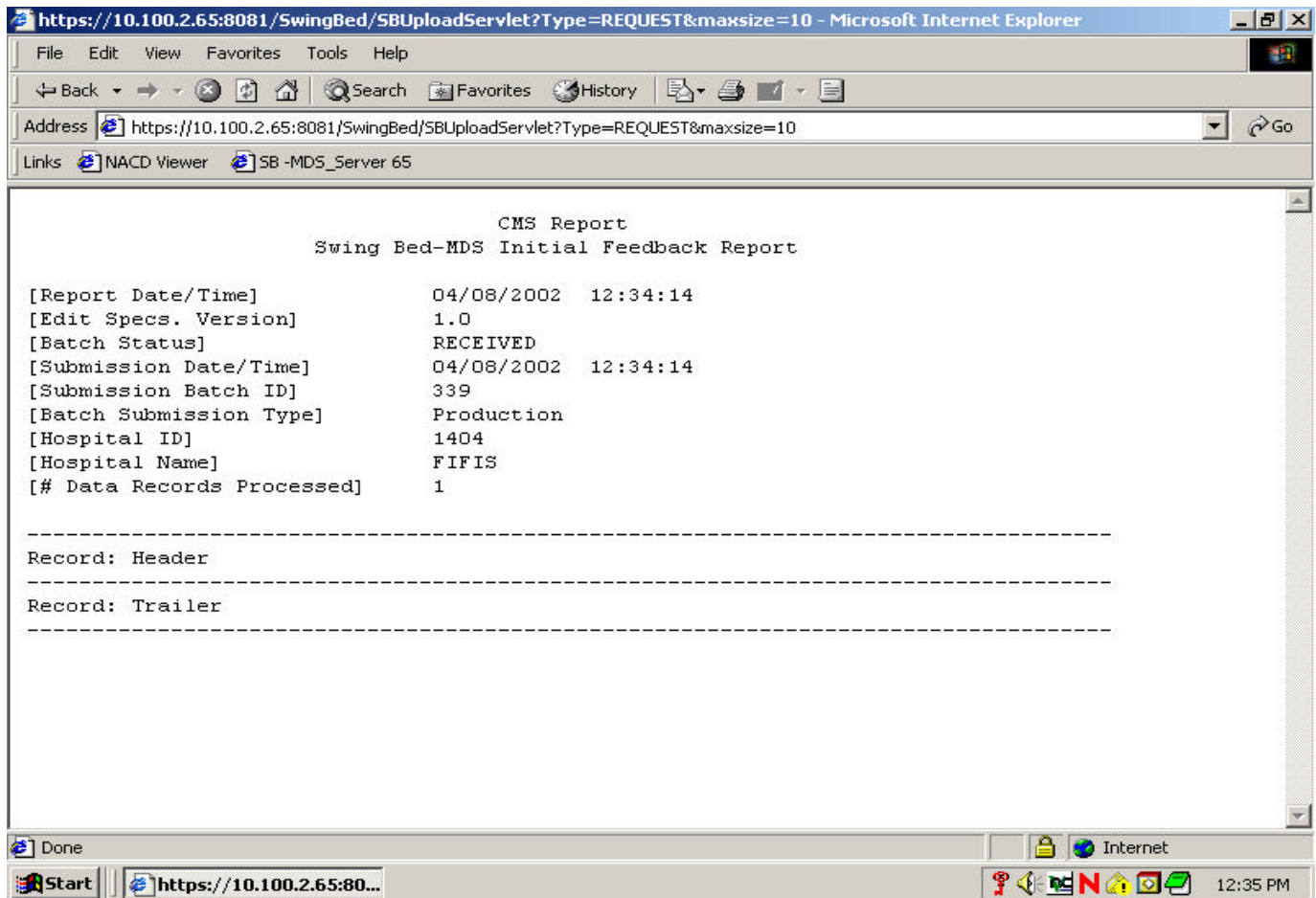


Figure 3-11. Initial Feedback Report

⇒ *Contact your SB-MDS encoding software vendor should you need assistance in correcting rejected submissions.*

The time it takes to generate and return the Initial Feedback Report may depend on the file size, modem speed, and system activity; however, you should remain on the Swing Bed MDS File Submission window until you receive the report. The Initial Feedback Report will indicate whether your submission was received or rejected. If it has been rejected, you may need to make corrections to the file pursuant to the error correction procedures defined by CMS and resubmit it. This procedure is included in Appendix B. Examples of rejection criteria include corrupted file structure or invalid facility identification. In either case, no data will be extracted and your Initial Feedback Report will indicate the rejection error.

Once you have received and reviewed the Initial Feedback Report, you may choose to return to the Swing Bed-MDS File Submission screen or the CMS Swing Bed MDS main menu by pointing and clicking on either of the underlined links.

⇒ *The time stamp uses the 24 hour convention so that 2:09 p.m. will appear as 14:09.*

The top portion of the Initial Validation Report and the Final Validation Report are the same except for the information on the number of records rejected, number of records with errors, and total number of errors. The Initial Feedback Report and Final Validation Report (Figures 3-11 and 3-12) include:

⇒ *You should take note of the Submission Batch Identification (ID) number. This number will assist you in finding the corresponding Final Validation Report. More importantly, the Submission Batch ID will be used in troubleshooting any issues pertaining to that specific submission.*

- The Report Date/Time
- Edit Specs Version
- Batch Status indicates whether the file has been *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 and time will be in the same format as the report date and time.
- A Submission Batch ID is assigned to the submission
- Batch Submission Type will indicate whether the submission was a production or test submission (If the batch is rejected, the batch submission type will be “unknown”.)
- Hospital ID is the identification number assigned to your facility
- Hospital Name

⇒ *Remember to save and/or print a copy of the Final Validation Report.*

- The number of Records Processed will indicate the number of records per file that have been processed
- The number of Records Rejected, the number of Duplicate Records, the number of Records with Messages, and the Total number of Messages are not displayed on the Initial Feedback Report. Once the entire file has been validated, these lines and the Report Detail will be completed in the Final Validation Report.

FINAL VALIDATION REPORT

The Final Validation Report will be generated within 24 hours of submission of the file (Figure 3-12). The report is created after the Swing Bed MDS System performs data validation, timing checks, sequence checks, and calculated element validations. The timing and sequence of the SB-MDS records are verified against customized State schedules.

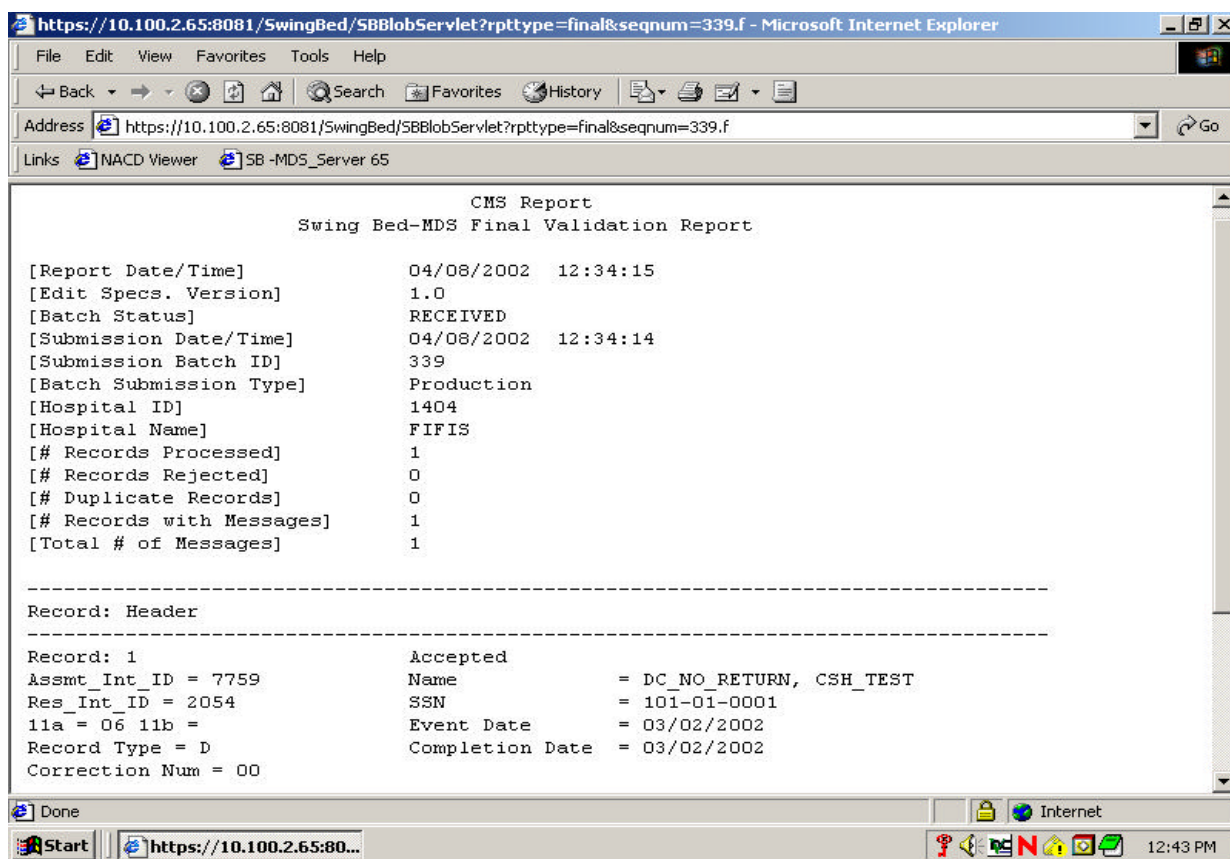


Figure 3-12. Final Validation Report

The actual time it takes to generate the Final Validation Report may depend on the file size and system activity; therefore, it is not necessary for you to remain online to wait for this report. To exit the Swing Bed MDS System, simply exit the browser (select Exit from the File menu or double click on the small box at the top right corner of the window).

The Report Detail section of the Final Validation Report indicates the type and number of errors encountered in the SB-MDS records that were sent. You should be able to access the Final Validation Report within 24 hours for validations that cannot be performed online in the same session. In other words, should you submit a very large file, **you may choose to exit the Swing Bed MDS System after receiving the Initial Feedback Report verifying acceptance of the submission.**

Receiving Validation Reports

Final Validation Reports are accessed from the CMS Swing Bed-MDS Main Menu. Simply select Receive Validation Reports. If you have initiated a new session, you will access the CMS MDS Welcome Page and select Swing Bed MDS Submissions. The User ID and Password Required window will appear for you to complete. If you are continuing an ongoing session and have already completed a user log in, the Validation Report Listing window (Figure 3-13) will appear after you select Receive Validation Reports.

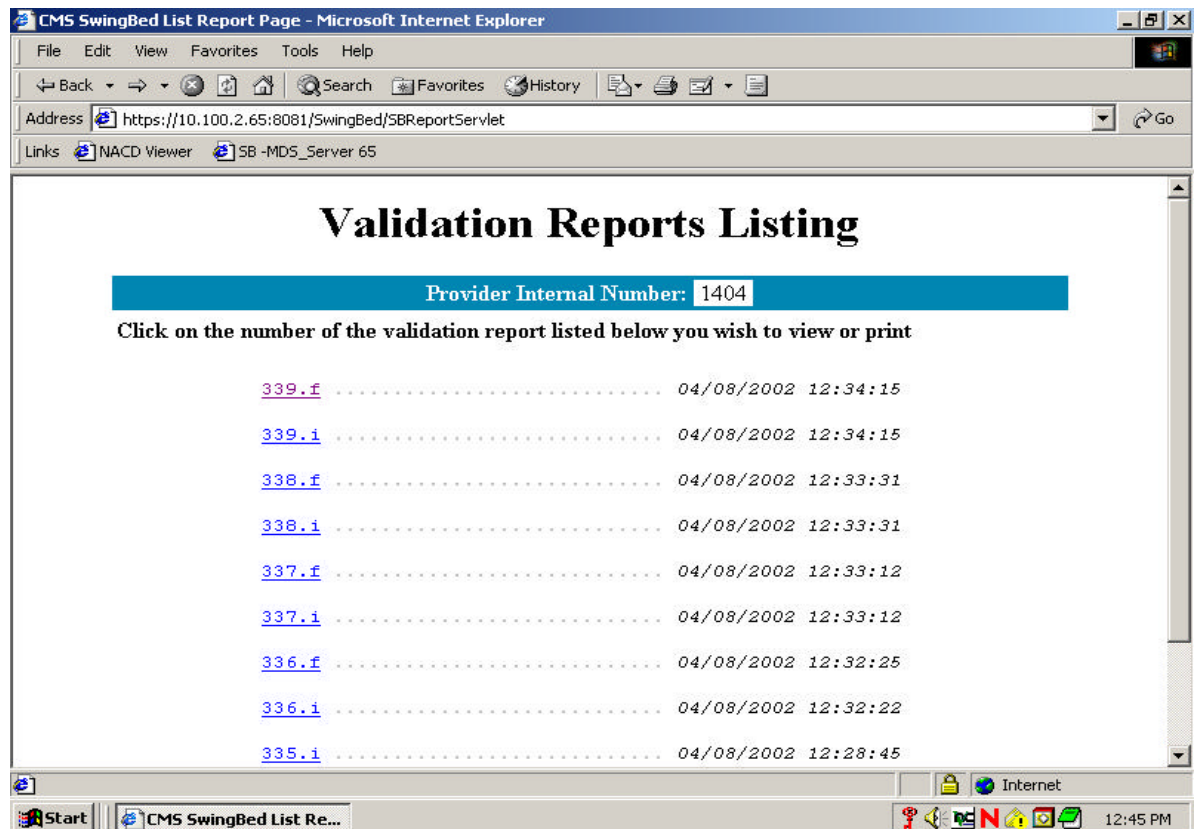


Figure 3-13. Validation Report Listing Window

⇒ *It is important to note that the file will be processed and accepted even with errors or exceptions to specifications in the data. See the submission rejection criteria later in this section.*

This window lists Initial Feedback reports, Final Validation reports and other reports produced by the CMS Swing Bed MDS system at the State, beginning with the most recently generated report. The reports are identified by the Submission Batch ID number followed by an “f” for Final Validation reports, and “i” for Initial Feedback reports. In order to access a report, simply point and click on the underlined file name. If you do not wish to view any validation reports, you can select main menu at the bottom of the window to return to the CMS Swing Bed MDS Main Menu.

If you would like to save a report from this screen, point and **click your right mouse button** on a specific underlined report title and then select **Save Link As** from the pop-up menu.

To view a specific Final Validation Report, select the underlined report title.

For each data SB-MDS record, the report detail section will include the following information:

⇒ *The report titles are based on the Submission Batch ID number not a file name. You should note this information when the Initial Feedback Report is received in order to identify the corresponding Final Validation Report from the listing and for any troubleshooting needs.*

- Assmt_Int_ID Assessment internal id
- Record number (based on the order in the submission file)
- Record status (accepted or rejected)
- Patient name
- Res_Int_ID
- SSN
- 11a/11b - Primary/Secondary Reason for Assessment
- Event Date
- Record Type
- Completion Date
- Correction Number

⇒ *Error Types:*

Warning: record accepted into the National database with a conflict in data information.

Fatal: record is rejected, not accepted into the National database. For complete description of errors, including why a particular error occurs, see the Validation Report messages and descriptions manual.

Below this information will be listed each field in error, the invalid data submitted for that field, the error message number and type, and a description of the error message. Errors in the header record will be displayed first in the report. Errors in the trailer record will be displayed last in the report. The Validation Report Messages and Description Guide provides information on interpreting the various messages or exceptions in the data fields as they appear in the Initial Feedback Report and Final Validation Report.

Printing and Saving Reports

In order to save a report from the Validation Reports Listing, place the cursor over the desired report link and **click your right mouse button**. Select the **Save Link As** option from the pop-up menu. To save a report while viewing it in the browser, use the **Save As** option from the File menu.

⇒ *The report names can be up to 10 characters in length. When using the Save Link As option, the user may prefer to establish a different naming convention if saving the Final Validation Report for each Swing Bed-MDS data submission.*

If the computer designated for Swing Bed MDS submissions is connected to a printer, select **Print** from the browser's File menu to print a copy of the report. It is recommended that a copy of all validation reports be printed and used as a reference while troubleshooting errors. **The Swing Bed MDS System will delete validation reports that are over 30 days old.**

Resident Matching Criteria

Resident matching procedure is done on every record submitted to the National Assessment Collection Database. This allows all assessments for one patient to be stored to that patient. The criteria listed below is used.

If the information submitted on a patient matches a patient on the database using any one of the following criteria, then the resident internal ID, resident change timestamp, and row ID of the patient found on the database is returned along with the number of criteria used for the match.

The resident matching check is done in ascending order of the resident matching criteria. A lower resident matching criteria is considered to be a better match than a higher resident matching criteria. The criteria is called in the following order:

- | | |
|----------------|----------------|
| 1) Criteria 1 | 5) Criteria 4 |
| 2) Criteria 9 | 6) Criteria 5 |
| 3) Criteria 11 | 7) Criteria 6 |
| 4) Criteria 3 | 8) Criteria 10 |

Criteria 1: ssn, date of birth, facility, last name, first name, gender, state_id

Incoming patient	Patient on database
Social Security Number=	Social Security Number
Date of Birth=	Date of Birth
Facility internal ID=	Facility internal ID
Last Name (as all upper case)=	Last Name (as all upper case)
First Name (as all upper case)=	First Name (as all upper case)
Gender=	Gender
State ID=	State ID

Criteria 9: ssn, date of birth, last name, first name, gender, state_id

Incoming patient	Patient on database
Social Security Number=	Social Security Number
Date of Birth=	Date of Birth
Last Name (as all upper case)	Last Name (as all upper case)
First Name (as all upper case)	First Name (as all upper case)
Gender=	Gender
State ID=	State ID

Criteria 11: ssn, facility, last name, gender, state_id

Incoming patient	Patient on database
Social Security Number=	Social Security Number
Facility internal ID=	Facility internal ID
Last Name (as all upper case)	Last Name (as all upper case)
Gender=	Gender
State ID=	State ID

Criteria 3: date of birth, last name, first name, gender, state_id

Incoming patient Patient on database

Date of Birth= Date of Birth

Last Name (as all upper case) Last Name (as all upper case)

First Name (as all upper case) First Name (as all upper case)

Gender= Gender

State ID= State ID

Criteria 4: ssn, date of birth, gender, state_id

Incoming patient Patient on database

Social Security Number= Social Security Number

Date of Birth= Date of Birth

Gender= Gender

State ID= State ID

Criteria 5: ssn, last name, first name, gender, state_id

Incoming patient Patient on database

Social Security Number= Social Security Number

Last Name (as all upper case)= Last Name (as all upper case)

First Name (as all upper case)= First Name (as all upper case)

Gender= Gender

State ID= State ID

Criteria 6: facility, date of birth (close), last name, first name, gender, state_id

Incoming patient Patient on database

Facility internal ID Facility internal ID

Date of Birth (month and year)= Date of Birth (month and year)

Last Name (as all upper case)= Last Name (as all upper case)

First Name (as all upper case)= First Name (as all upper case)

Gender= Gender

State ID= State ID

Criteria 10: ssn, date of birth, last name, first name, state_id

Incoming patient Patient on database

Social Security Number= Social Security Number

Date of Birth= Date of Birth

Last Name (as all upper case)= Last Name (as all upper case)

First Name (as all upper case)= First Name (as all upper case)

State ID= State ID