



QTSO MEMORANDUM

MEMO

NUMBER: 2015-007

TO: QIES State Coordinators

CC: CMS Central and Regional Office Contacts

FROM: Debra Weiland, QIES Technical Support Office

DATE: January 23, 2015

SUBJECT: OASIS Records Rejected Due to Error -4700 or -4710

QTSO Memo #2015-004 (dated January 13, 2015) identified the ASAP system enhancements that were implemented to correct the editing of the M0016 Branch ID Number field.

These enhancements resolved many of the issues that HHAs encountered with rejected OASIS records; however, some agencies are still encountering rejected records related to Branch ID issues. These rejections are related to inconsistent or missing data in the CASPER Provider Auxiliary Facility table within the national database. Data in this table are updated from uploaded ASPEN Certification kit data.

Inconsistencies have been identified between the Branch ID data in the state database and the Branch ID data in the national database. Listed below are some examples that are causing the OASIS records to be rejected.

Error -4700

- Some HHAs continue to have records rejected with error -4700: *(Invalid Branch - If the assessment was performed by the home office of an HHA with branches or by the home office of a subunit with branches, then M0016 must contain P).*
 - These rejections are occurring because the ASAP system identifies at least one open branch on the certification in effect for the Effective Date of the OASIS record in the national database; however, the HHA believes their agency to have no open branches.
 - The ASAP system expects a 'P' or valid Branch ID value to be submitted, but agencies are submitting an 'N' (indicating no branches).

Example A

Branch ID	Certification Date	Branch Termination Date	OASIS Effective Date	Database Branch Status	ASAP System Expected M0016 Value
xxQxxxx001	3/16/2011	12/31/2012	8/16/2013	Closed	N
xxQxxxx001	5/21/2014	Null	10/1/2014	Open	P

- The above example shows a certification with a date of 3/16/2011 for Branch ID 001 with a branch termination date of 12/31/2012 (closed) for that certification (on or after 3/16/2011 and prior to 5/21/2014). There is also a later certification with a date of 5/21/2014 for the same Branch ID 001 and has a null termination date (open).

- Branch IDs are not reused so any new open branch will have a new Branch ID. In this example, the providers understood that their branch was terminated and submitted an “N” in M0016 Branch ID since they are the home office.
 - This works correctly for all assessments with an effective date prior to 5/21/2014 since the certification dated 3/16/2011 applies to these assessments.
 - For assessments with an effective date on or after the date of the later certification (5/21/2014), the ASAP system finds that branch 001 is open and requires the home office to submit a “P”. If an “N” is submitted, the record is rejected due to error -4700. Since this branch is still closed during the later certification, the termination date for the branch needs to be entered in the later certification dated 5/21/2014. Once the date has been updated in ASPEN, the kit should be uploaded. After the upload is successful, the state needs to notify the provider that they can submit the assessments with an “N” and will no longer receive fatal error -4700.

Example B

Branch ID	Certification Date	Branch Termination Date	OASIS Effective Date	Database Branch Status	ASAP System Expected M0016 Value
xxQxxxx001	3/16/2011	Null	8/16/2013	Open	P
xxQxxxx001	5/21/2014	2/6/2013	10/1/2014	Closed	N

- The above example shows a certification with a date of 3/16/2011 for Branch ID 001 with a branch termination date of null (open) for that certification (on or after 3/16/2011 and prior to 5/21/2014). There is also a later certification with a date of 5/21/2014 with the same Branch ID 001 with a termination date of 2/6/2013 (closed) for this later certification.
- As the branch has a closed date in the 5/21/2014 certification, assessments with an Effective Date on or after 5/21/2014 will be accepted when they contain “N” in M0016 for the home office.
- For assessments with an effective date prior to 5/21/2014, the earlier certification dated 3/16/2011 applies. The ASAP system finds for the 3/16/2011 certification that branch 001 has a null termination date (open) so the system requires the provider to submit a “P” for their home office. If an “N” is submitted, the provider receives error -4700.
 - Before creating a new certification kit, the state should enter the termination date and code for any branches closed during a prior certification into the prior certification kit and upload the prior kit before creating a new kit.
 - Once a new certification kit is created, the state cannot update the branch information in prior certification kit. If the new certification kit is already uploaded, the state agency should contact the QTSO help desk. The ASPEN and QTSO help desks will work together to determine how to resolve the issue of the missing termination date for the earlier certification. After the issue is resolved, the state must notify the provider that they can submit the OASIS assessments with an ‘N’ in M0016. These assessments will no longer receive fatal error -4700.

Error -4710

- Some HHAs continue to have records rejected with error -4710 (*Invalid Branch: M0016 must contain a standard branch ID, N, or P.*)
- Agencies are submitting a Branch ID value that is not in the national database, but the same Branch ID is present on the state database.
 - For example, some agencies are submitting a branch ID ending in '002'. '002' indicates that this is the ID of the agency's second branch. In the national database there is only one branch for the agency and that Branch ID ends in '001'. In the state database for that same agency, there are two branches identified; one for the first branch (Branch ID ends in '001') and one for the second branch (Branch ID ends in '002').
 - The state agency may need to update the Branch information in ASPEN and upload the kit so it will be available in the national database. After the upload is successful, the state needs to notify the provider that they can submit the assessments with the Branch ID '002' and will no longer receive fatal error -4710.

When error -4700 or -4710 is issued, HHAs have been instructed to contact their OASIS Automation Coordinator or OASIS Education Coordinator for assistance. If you have questions about updating the branch information in the ASPEN software, contact help@qtso.com. These questions will be forwarded to the Alpine Help Desk.

If you have any questions concerning this information, please contact the QTSO Help Desk at help@qtso.com or 1 (888) 477-7876.