

OASIS Administrative Settings

The set up required to ensure OASIS assessments are getting set up, tracked, and processed correctly involves certain administrative settings. Tables that are configured early within the implementation process play an important role in the OASIS process. Those tables (all within the Administration module under System) include:

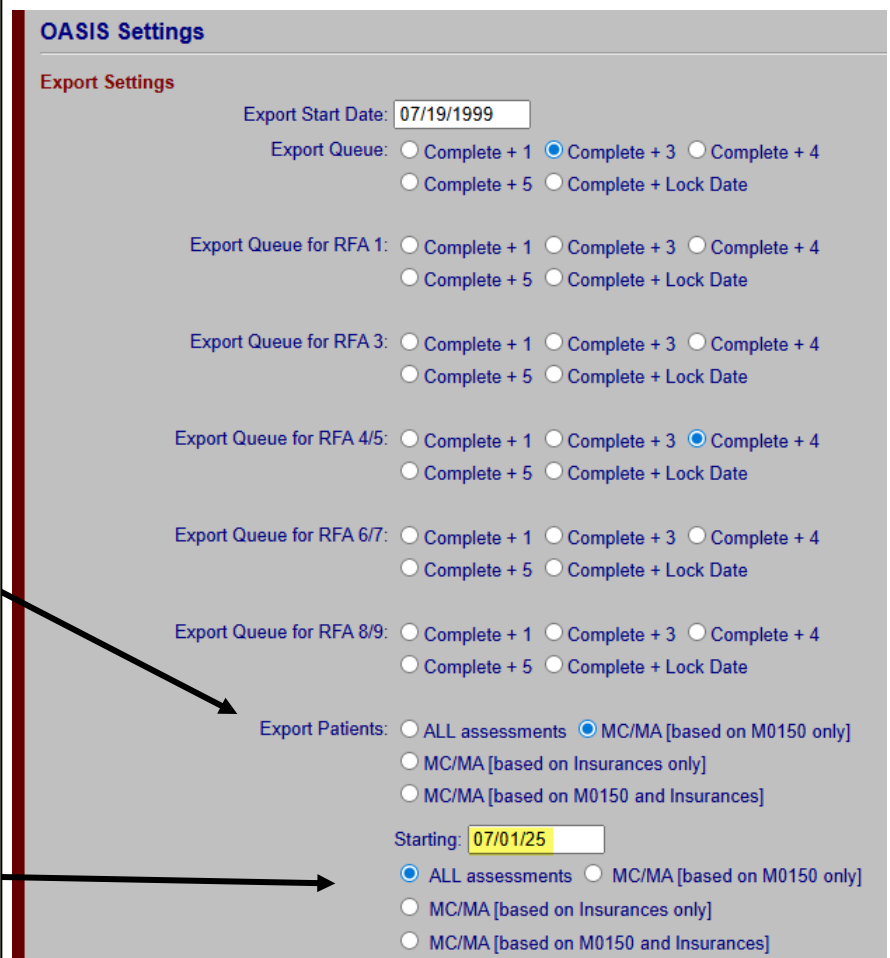
- Demographics Table (Settings)
- Location Table (Tables)
- Company Table (Tables)
- Municipality Table (Tables)

Beyond these fundamental tables, the following tables are key to the OASIS process.

OASIS (Administration>System>Settings)

This table controls the export logic and certain required charting logic

- **Export Start Date:** Reflects date OASIS processing is set to commence applying to the original date at the time of Implementation of NDoc.
- **Export Queue:** Setting to determine timing of assessments to be queued for export (e.g., date assessment set to complete plus X day(s)). Use the first option, Export Queue, to apply timing logic to all assessments or customize for each RFA type using the separate options for each.
- **Export Patients:** *Prior to the CMS All Payer Mandate effective 01/01/2025,* these controls determine the criteria for having an assessment set up for automatic export. In this case, agencies have the ability to determine if all assessments are exported or if assessments are only set up for export based on a M0150 response or based on the MC/MA flag set in the Insurance Table.
- **Starting Date Field:** To control the queue process for OASIS Exports for the All Payer mandate, agencies should review the setting to set a **Starting** date for the export queue. The date entered will control assessments with M0090 Dates on or after that date to get set within the OASIS queue. This can be set to All Assessments and any assessments that have been completed with applicable M0090 dates will be set up in the queue to be validated and if successful set up in the OASIS Download Page. **NOTE: IF** the agency already had ALL Assessments set within the Export Patient option, no other changes need to be made.



OASIS Settings

Export Settings

Export Start Date: 07/19/1999

Export Queue: ☐ Complete + 1 ☒ Complete + 3 ☐ Complete + 4
☐ Complete + 5 ☐ Complete + Lock Date

Export Queue for RFA 1: ☐ Complete + 1 ☐ Complete + 3 ☐ Complete + 4
☐ Complete + 5 ☐ Complete + Lock Date

Export Queue for RFA 3: ☐ Complete + 1 ☐ Complete + 3 ☐ Complete + 4
☐ Complete + 5 ☐ Complete + Lock Date

Export Queue for RFA 4/5: ☐ Complete + 1 ☐ Complete + 3 ☒ Complete + 4
☐ Complete + 5 ☐ Complete + Lock Date

Export Queue for RFA 6/7: ☐ Complete + 1 ☐ Complete + 3 ☐ Complete + 4
☐ Complete + 5 ☐ Complete + Lock Date

Export Queue for RFA 8/9: ☐ Complete + 1 ☐ Complete + 3 ☐ Complete + 4
☐ Complete + 5 ☐ Complete + Lock Date

Export Patients: ☐ ALL assessments ☒ MC/MA [based on M0150 only]
☐ MC/MA [based on Insurances only]
☐ MC/MA [based on M0150 and Insurances]

Starting: 07/01/25

☒ ALL assessments ☐ MC/MA [based on M0150 only]
☐ MC/MA [based on Insurances only]
☐ MC/MA [based on M0150 and Insurances]

Transmits directly to the state: ☒ Yes ☐ No

Agency State Assigned ID Code:

National Provider ID number (NPI):

Does your Agency have branches?: ☐ Yes ☒ No

Prevent a RFA 9 from exporting when it follows a RFA 6?: ☒ Yes ☐ No

- **Transmits directly to the State** - A legacy field that does not have a direct impact on managing files.
- **Agency Assigned Code and NPI Fields:** These are used as the values that are populated within the files to be submitted to CMS.
- **Does your Agency have branches?:** Branches are addressed here, as well as within the Location and Company Tables. Specifically, if nothing is entered for Branch ID for both the patient's location in the Location table and for the patient's company in the Company table, an "N" is exported for the Branch ID instead of a "P" for the ID. If the response set in this table is set to "No," then the Branch ID will always be "N" as the ID.
- **Preventing an RFA9 from exporting when it follows a RFA 6?:** If your agency prefers a RFA 3 to be exported after a RFA 6 and prior to exporting a RFA 9, then "Yes" is the appropriate selection. If a RFA 9 is allowed to be exported immediately following a RFA 6 without a RFA 3, then "No" is the desired selection.

HAVEN: ☐ Yes ☒ No

User Type(s) able to place on HOLD after Export/Lock Date:

(SMS) System Manager-Support

Hold Reason Default:

Hold Reason for Sequence Errors:

Hold Reason for Diagnoses Errors:

Hold Reason for Inactivate Assessment:

- **Haven:** Legacy field no longer used by customers.
- **User Type Hold Permissions:** Option enables agencies to control the user types allowed to place an assessment on Hold after export.
- **Hold Reason Logic:** Gives the agency the ability to set defaults for hold reasons. Please note that with the Hold Reason Default option you can use any reason within the pre-built OASIS Hold Reason Table, but we suggest you default to <SELECT>, as it will then require the clinician to select a specific Hold Reason.

'Copy Forward' Settings

- Copy forward M1020/M1021, M1022/M1023 and M1024/M1025 from previous charting to OASIS Assessments?: ☒ Yes ☐ No
- Copy forward M1010/M1011 from previous charting to OASIS Assessments?: ☒ Yes ☐ No
- Copy forward M1016/M1017 from previous charting to OASIS Assessments?: ☒ Yes ☐ No
- Copy forward M0150 from previous charting to OASIS Assessments?: ☒ Yes ☐ No
- Copy forward M0102 from previous charting to OASIS SOC Assessment?: ☒ Yes ☐ No
- Copy forward M0104 from previous charting to OASIS SOC Assessment?: ☒ Yes ☐ No
- Copy forward M0102 from previous charting to OASIS ROC Assessment?: ☐ Yes ☒ No
- Copy forward M0104 from previous charting to OASIS ROC Assessment?: ☐ Yes ☒ No

0 - None; no charge for current services

M0826/M2200: Prevent entry of 'NA' if M0150 has one of these values: ☒ 1 - Medicare (traditional fee-for-service)

Prevent a RFA 3 from being charted prior to the RFA 6 being completed?: ☐ Yes ☒ No

OASIS Field Logic Options:

Controls the variety of M00 values and what impact they have on the export or carry forward logic.

Field Requirement Settings

M0482 is required for RFA 4/5 OASIS-B1 Assessments?: ☒ Yes ☐ No

M0102/M0104 is required for the Patient Referral?: ☒ Yes ☐ No

M1034 is required for RFA 4/5 OASIS Assessments?: ☐ Yes ☒ No

M1100 is required for RFA 4/5 OASIS Assessments?: ☐ Yes ☒ No

M2110 is required for RFA 4/5 OASIS Assessments?: ☐ Yes ☒ No

"Current Safety Measures" is required for RFA 4/5 OASIS Assessments?: ☒ Yes ☐ No

"Current Fire Safety Risk" is required for RFA 4/5 OASIS Assessments?: ☐ Yes ☒ No

"Emergency Preparedness" is required for RFA 1 OASIS Assessments?: ☒ Yes ☐ No

"Disaster Plan" is required for RFA 1 OASIS Assessments?: ☒ Yes ☐ No

Use OASIS-D requirements in OASIS-D1 assessments for these insurances?:

(Select one or more)

ABC Insurance - One

ABC Life

Aetna

Allstate

Required Field Logic:

- The required field logic here allows agencies to set requirements within OASIS charting, which presently is not possible within the Visit Requirement section under System>Settings>Visits where required field logic only applies to Today's Care charting.
- To apply OASIS-D logic to OASIS-D1 charting, select insurances that should have the now optional fields previously found in OASIS-D to OASIS-D1. This may be needed for non-PDGM payers.

Insurance Table Settings

To apply requirements for documenting an OASIS assessment, agencies should review the Insurance Table settings under Administration>System>Tables. The OASIS Required? setting is only applicable to clinical requirements and DOES NOT apply to billing requirements. For the purposes of clinical requirements, these changes apply to Employee Dashboard reminders, Visit Charting reminders/messaging, and Patient Tracking reporting. For any entries that currently have a have a response of YES, a date should NOT be added. The date should only be added for payers that will be updated from OASIS Required? = No to OASIS Required? = Yes. The date can also be added for any newly created Insurance Table entries. The date entered can be set as a date in the past or in the future. The clinical requirement will then be applied to records with SOC M0090 dates on or after the entered dates.

The view of the Insurance Table will differ based on the agency's billing solution.

For **HBS/Netsmart Customers**: Go to Administration>System>Tables>Insurance to see this view:

Billing Form: (Select Billing Form) ▼

Financial Class: (Select Financial Class)

OASIS Required? ☐ Yes ☐ No

Plan of Care Required? ☐ Yes ☐ No

Face to Face Required? ☐ Yes ☐ No

Therapy Counter? ☐ Yes ☐ No

Medicare PPS? ☐ Yes ☐ No

OASIS Effective Date:

F2F Effective Date:

The OASIS Required? Field here **ONLY** applies to clinical requirements and not billing. If the value is already set to YES, a date should not be added. If the field is being changed from NO to YES, agencies should add a date (past or future) in order to apply the effective date of this change.

For **Integrated Billing Customers**: Go to Administration>System>Tables>Insurance to see this view:

Billing Form: (Select Billing Form) ▼

These settings drive clinical requirements based on insurance. Billing requirements are defined within Documentation Requirements.

OASIS Required? ☐ Yes ☐ No

Plan of Care Required? ☐ Yes ☐ No

Face to Face Required? ☐ Yes ☐ No

Therapy Counter? ☐ Yes ☐ No

Medicare PPS? ☐ Yes ☐ No

OASIS Effective Date:

F2F Effective Date:

The OASIS Required? Field here **ONLY** applies to clinical requirements and not billing. If the value is already set to YES, a date should not be added. If the field is being changed from NO to YES, agencies should add a date (past or future) in order to apply the effective date of this change.

OASIS Hold Reason (Administration>System>Tables)

This table allows users to configure OASIS assessment hold reasons in order to communicate the status of an OASIS. These entries generally reflect the reason why an OASIS Assessment is not ready for export. The reasons are especially helpful in alerting coders, supervisors, or quality assurance teams to the assessment's readiness for review, as well as alerting the clinician of needed changes post review. Beyond displaying in the drop-down list when signing out of the OASIS (either via Visit Charting or Back-Office), the contents of this table appear in OASIS Records Maintenance (Administration>Patient) and various patient and document tracking reports.

OASIS Hold Reason Table Edit Mode: ☐ Add ☒ Change

Show : ☒ Active Only ☐ Inactive Only ☐ All

Select: (Select OASIS Hold Reason) ▼

Number: Description:

Abbreviation:

Reqs Responsible Clinician Follow-up?: ☒ Yes ☐ No

Export to SHP: ☒ Yes ☐ No

Status: ☒ Active ☐ Inactive

- **Reqs Responsible Clinician Follow-up?** - This option determines whether the assessment appears on the dashboard of the clinician that completed the assessment or on the dashboard of the Case Manager.
- **Export to SHP (where applicable)** – This option applies logic to the hold reason to trigger an export to SHP through the applicable interface.

Managing OASIS Overview

The management of OASIS information and submission to CMS is a complex and time-sensitive process. In an effort to aid in the navigation of this process, users are able to coordinate efforts using a centralized process entitled OASIS Records Maintenance, located under Administration>Patient. Defined below are the NDoc OASIS Records Maintenance details that help determine how to handle different scenarios within your agency.

Identification

An OASIS document is created within NDoc either in Visit Charting or in Operations>Data Entry>Assessments Back Office. Each document created will have a document ID number assigned based on the RFA number.

RFA Number Description	Document ID Number
RFA 1 or 3: SOC or ROC	012
RFA 4: Re-certification	101
RFA 5: Other Follow up	102
RFA 6: Transfer	121
RFA 7, 9: Transfer w/Discharge and Discharge	131
RFA 8: Death at Home	181

Status

OASIS documents can be filed with a status of either HOLD or COMPLETE. HOLD status allows the clinician to access the document at any time from a client or LAN device. COMPLETE status is only possible once ALL the OASIS questions and any other required charting fields have been answered. The date displaying as COMPLETE is the date the document was FIRST filed as COMPLETE.

Sequencing Rules

Sequencing of OASIS records is important in preventing errors in your submission files. NDoc applies these rules in the following manner:

- RFA 1-SOC assessment must be created before the staff can document any other RFA document.

- RFA 3-ROC assessment cannot be created until there is an ROC Date entered in Patient Status. The ROC Date cannot be entered unless there is a Transfer Date existing prior to the ROC date.
- RFA 4-Re-certification assessment cannot be created prior to the “5 day defined parameter” for re-certification without receiving a warning.
- RFA 5- Other Assessment cannot be created unless there is an RFA 1.
- RFA 6-Transfer assessment cannot be created until the Transfer Date is entered in Patient Status or, when applicable, the previous resumption of care date in the case where more than one transfer exists for the patient episode.
- RFA 7-Transfer/DC assessment cannot be created until the Discharge Date is entered in Patient Status.
- RFA 8-Death at Home assessment cannot be created until both the Discharge Date and Reason for Discharge (Death) are entered in Patient Status.
- RFA 9-Discharge cannot be created until the Discharge Date is entered in Patient Status.

The error checking for RFA 3, 4, and 6 is done when the staff attempts to initiate a specific assessment. Once an OASIS document is filed as COMPLETE, NDoc initiates a final check against all the sequencing and export rules. If the document does not pass this final check, it will be prevented from exporting and you will be able to intervene and manage these instances. The tool to best manage this process and confirm if any assessments are outstanding is the Report Status Listing under Reports> Document with the option Assessment/Record Complete – Waiting to be Exported. For example, an RFA 6 is not exported when the RFA 1 (SOC) has not been exported. Once this RFA 1 is filed COMPLETE and exported, NDoc automatically exports the RFA 6 document as part of the nightly export checking routine.

Another report to utilize in this process is the Patient Tracking Report under Reports> Patient. This report should be used to determine if there are any documents that are coming due, overdue, or on hold with a particular hold reason applied. Users should reference this report to detail at which point a specific document is not moving forward. For instance, if a particular assessment has not been initiated, the report links the missing document to the Case Manager for follow up. Running this report frequently for missing documents is recommended to ensure there are no workflow interruptions.

OASIS Document Identification

The reference to OASIS assessments within NDoc often points to the assessments Document ID number. For example, this is visible within the Patient/Account Summary listing of assessments under the Documents tab. Additionally, users will see these values under the OASIS Records Maintenance function, as well as a variety of reports. The numbers for the assessments correlate to the type of assessment. The following is a listing of those ID values and the related assessment.

- 012 - OASIS RFA 1(SOC) and 3 (ROC)
- 101 - OASIS RFA 4 (RECERT)
- 102 - OASIS RFA 5 (OTHER)
- 121 - OASIS RFA 6 (Transfer to an inpatient facility - patient not discharged)
- 131 - OASIS RFA 7 (Transfer - patient discharged) and 9 (Discharge from agency)
- 181 - OASIS RFA 8 (Death at home)

These values are then used as prefixes to the related assessments. For example, a patient's SOC assessment will be linked to 0121 (the first RFA 1 for the record) while a future ROC will be displayed as 0122. The recerts will be set as 1011, 1012, 1013 and incrementally higher with each recert.

Duplicate Assessments

In most instances, a duplicate assessment cannot be created in NDoc by the same clinician. In fact, if an attempt is made to create a second, duplicate assessment, NDoc displays the name of the clinician, the visit date, the visit time and the status of the document already in existence and prevents another from being created.

It is possible for a duplicate to occur on the same day from client users in either different or similar disciplines. This is due to the fact that charting completed on local clients rather than directly to the server can only be checked for duplicates at the time of synchronization. In that case, a client user could be initiating an assessment while an assessment could be started by a user charting directly to the server that does not have the synchronized data from the remote user. If this should occur, the OASIS Records Maintenance function can be used to address the issue and delete the duplicate assessment.

Managing OASIS with OASIS Records Maintenance (Administration>Patient)

The central location to view details about an individual patient's OASIS assessments is the OASIS Records Maintenance function under Administration>Patient. This tool provides key information about the listed OASIS documents including important dates and history of charting. Users can also use this function to perform certain actions including placing the assessment on hold, deleting the document, or managing inactivations or corrections.

Viewing the Assessment history

Detail(s) of assessment document actions can be viewed within the OASIS Records Maintenance function by clicking the **History [HX]** button after identifying the document by clicking on the bullet in first column. From here you can see who created the document, the visit date and time associated with the document, when it was filed as COMPLETE, who may have placed it on HOLD, Inactivated, Re-Exported and all with the date of this action. You can also view a history of any notes or comments added when placing the document back on HOLD. The notes will appear within the Comments field at the bottom of the screen.

Viewing the Assessment detail

Detail of a charted assessment can be viewed in both the Patient Summary or within the OASIS Records Maintenance. Within Patient Summary, the Visit tab will provide access to the visit details associated with an assessment visit. Additionally, the Docs tab provides a hyperlink to a chronological list of the M00 values charted for each visit. The OASIS Records Maintenance option under Administration>Patient provides access to more specific data related to the assessment, including a preview of the charted values. Users can click the **Preview [PV]** button, once you identify the assessment you would like to preview. Since only the OASIS Assessments are listed within the OASIS Records Maintenance function, this is usually the most efficient way to find a particular assessment. The M00 field #s will display beside each entry. Be aware, however, that any field set up as a "carry-forward" [for that user (type)] that appears within the OASIS visit is displayed. If the clinician did not chart in the field, but it had been previously charted by another clinician, the previous charting is displayed.

Evaluating changes in OASIS (PPS and PDGM Evaluators)

The PPS and PDGM Evaluators in NDoc allows management staff or the clinician to determine how a change in an OASIS response would affect the HHRG score. These tools are accessible under Administration>Patient. Select the OASIS assessment you wish to evaluate and NDoc will display all the OASIS responses that comprise the HHRG. You can change any of the OASIS responses and immediately see how this will change the HHRG and case mix. Changes made in the PPS Evaluator will NOT change the actual assessment. If it is determined that some responses need to be changed in the assessment, you must re-enter the assessment to do this. This function can be particularly helpful when trying to determine whether an RFA 5, other follow-up, is needed. Refer to the following documents for further guidance:

- PPS Evaluator Reference
- PDGM Evaluator Reference

Editing the Assessment

When a document is in HOLD status, the clinician originating the OASIS assessment may make changes or corrections as needed. Your agency can control a table of OASIS HOLD Reasons under Administration>System>Tables that also promote communications regarding why this document remains in HOLD status. After making corrections/additions, the patient file is updated during the daily Client Synchronization procedure.

Once filed as COMPLETE, the clinician no longer has access to the OASIS assessment. If additional editing is necessary by the originating clinician, you must first start in Administration>Patient>OASIS Records Maintenance to return the document to HOLD status. This function is normally assigned to persons managing the OASIS document process in your agency and is NOT available on a client device.

Once you have selected the patient and the RFA document, you can place it on HOLD and SAVE. In the course of placing the assessment on HOLD, you may select a HOLD Reason to assign for greater communication/ direction. The clinician receives an updated copy of the patient file during their next daily client synchronization. After a successful sync, the assessment will be in HOLD status on the client device, and any changes/corrections can be made. Should the corrections be needed immediately, once the document is in HOLD status, the clinician may use the RECEIVE option via Operations>Client Sync to pull this patient record. Once received, any needed revisions can be achieved and the assessment can again be filed as complete. When completed, the file can be sent back to the server using the SEND option via Operations>Client Sync. Once the SEND is successful, you have a corrected and complete patient file on the server that will export as soon as the export parameters set up by your agency are met. If the corrections are made after the document has reached the agency defined export parameters, the completed, corrected document is queued immediately for export during nightly processing, which then does not add unnecessary delay in submission.

OASIS Record Export Process

OASIS Process after January 1, 2015

With the release of OASIS-C1, CMS has established a process for the submission of OASIS documents. The submission protocols apply to both OASIS-C and OASIS-C1 files. Every night, NDoc creates a file for each OASIS assessment that is ready for transmission based on both OASIS regulatory definitions and your agency-specific date parameters. These files are placed in the directory entered in the OASIS Settings page (Administration>System>Settings>OASIS). They can be identified using this format: OAS_<account number>_<M0090>_<DocID>_<correction number>.XML. For details on the process for accessing and downloading these files, please see Downloading OASIS Exports using the Downloads Function (Administration>System>Downloads) section.

Per CMS specifications, effective January 1, 2015, agencies are to submit assessments to a centralized system called the Assessment Submission and Processing (ASAP) system rather than the previous state contractors. With this new transmission process, the file layout has also changed to an XML file. NDoc generates an individual XML file containing the data for a single assessment record. When submitted to the ASAP system, agencies must submit the files in zipped form. ZIP files may contain one or more XML files that will be submitted to ASAP. Additional details are provided below, in the OASIS Record Download and Submission Process section.

Please note files that were set up as a flat file for transmission to a billing systems, prior to OASIS-C1, remain in the flat file format going forward with accommodations made for OASIS-C1. In each case, a file will be created in both an XML and a flat file format for the transmission to the respective recipient and stored in the predetermined folder noted above.

Export File Logic

To clarify, NDoc allows agencies to control the process for “exporting” OASIS assessments. The export process is initiated after an assessment is filed as Complete. The process is an internal one that sets the file up for an interface to billing, as well as positioned to be accessible for downloading for manual submission to CMS. These files are not sent directly to CMS from NDoc. To minimize OASIS submission warnings/errors, NDoc takes many factors into consideration prior to exporting OASIS documents. The first of these is the assessment status -- only assessments with an active (not deleted) status of COMPLETE will be considered for export. There are additional checks based on OASIS RFA logic, agency settings, sequencing and finally OASIS logic. You should refer to the **OASIS Export Logic Reference** to guide you in these definitions/edits. Managing documents to export is also supported by your printing daily of the Report Status Listing Report under Reports>Document for the reason Complete, not Exported.

In addition to the existing OASIS logic as described above, the transition from the old OASIS format to the new XML format includes the ability to further validate files prior to export. As detailed in the Reports section, the Interface Log (Reports>Interface) is the tool to identify which files have exported, as well as which files have failed to export based on certain validation rules. These are rules that relate to specific OASIS specs for rules related to M00 related responses. Using the details associated with the messaging within the OASIS Export Validation Report, users can access the OASIS records again and make necessary corrections. If necessary, the file can then be exported promptly using Export Now or is queued for export overnight with Nightly Processing. Agencies are encouraged to routinely check this report to ensure files are exporting without issue.

Export NOW

There are times when you may need to force a record to export. This is accomplished within the OASIS Records Maintenance function. Each assessment will be placed in a separate file. You can then expect if you performed 3 different Export NOW functions in a day, to have 3 separate files each containing one assessment. The file name will be in the following format: OAS_<account number>_<M0090>_<DocID>_<correction number>.XML.

Corrections After File has been Exported

If an error has been identified after the document has been exported from NDoc, you are still able to correct the document within NDoc and re-export as needed. Agencies determine the user type(s) authorized to place an already exported document back on HOLD status using the drop-down selection within the agency settings under Administration>Systems>Settings> OASIS. Since OASIS submissions are of great importance, this is a tool within NDoc that allows for enhanced management and coordination.

If the error found is a non-key OASIS field, follow this procedure:

- Select the appropriate document from the **OASIS Records Maintenance** table display
- Place the document on **HOLD** to begin the correction process
- Select Resubmit Assessment = yes
- NDoc will auto-calculate the next “Correction Number.” Please be sure to reference the current CMS rules regarding correction number changes. **If needed, it can be overwritten/changed to original numbering.**
- **SAVE** the action you have just initiated
- Advise the clinician of the necessary correction.

Once the document is corrected and filed as COMPLETE by the clinician, NDoc will update the Lock Date with the appropriate date and place it into the export queue to appear in the next day’s export files. You can export the document immediately by utilizing the Export NOW action. This is important to consider, should the assessment involved be associated with other assessments currently being withheld from the export files due to sequencing rules.

If the error found is a key OASIS field as defined by CMS on an **ACCEPTED** record, follow this procedure:

- Select the appropriate document from the **OASIS Records Maintenance** table display.
- Select **Inactivate Assessment**. The correction number for the inactivation record is to be one higher than the last exported correction number. If the file has never been corrected, then first inactivation record must have a correction number of 1. Enter the required correction number as needed based on the timing of the correction and determination of whether incremented numbers are necessary (refer to CMS guidance).
- Determine if a replacement record is necessary.

If no replacement record is needed,

- No further action is necessary.

If a replacement is required to be sent,

- Indicate that you want a new assessment created from the inactivated assessment.
- NDoc will inactivate the original assessment, indicating this with the appropriate date in the **Inactivate Date** column in **OASIS Records Maintenance** table display. **NOTE:** *An Inactivation assessment will be placed in the Download folder for OASIS. This assessment should be uploaded, and accepted by CMS before a duplicate updated assessment is uploaded.*
- NDoc will create a second duplicate assessment that will be on hold. Please note that the newly created assessment is no longer linked to the originating visit. The user executing the inactivation process and associated with the assessment being placed on hold is now the responsible clinician.
- Go to **Operations>Data Entry>OASIS (back-office)** to access the assessment by selecting the clinician, the appropriate RFA selection, and other relevant options.
- Make the necessary corrections to the assessment and file it as complete.

PLEASE NOTE: Users should ensure that the Inactivation Record has been accepted in iQIES BEFORE sending the replacement. This will prevent problems with rejections of the replacement when the inactivation is not in place.

OASIS Record Download and Submission Process

Accessing OASIS Exports

As explained previously, NDoc generates the OASIS files in the proper format. The exported files are placed in the user-specified directory as designated in the Export File Location (Path) field under Administration>System > Settings>OASIS. The files are formatted with the proper XML standards and can be accessed within this directory for manual submission to CMS if preferred rather than the download process explained below.

Downloading OASIS Exports using the Downloads Function (Administration>System>Downloads)

To manage the file creation process for submitting OASIS files to CMS, agencies should utilize the download option within the Administration Module (Administration>System>Downloads>OASIS). This feature gives agencies easier access to files and aids in managing download files, including OASIS files.

Downloads <
Client Installation
OASIS

Selecting the OASIS option opens a screen displaying a grid with the assessments. The Downloads page includes columns detailing the company, M0150 response, and the patient's payor. Please note that for those agencies that export assessments not intended for submission to CMS the Payor column list

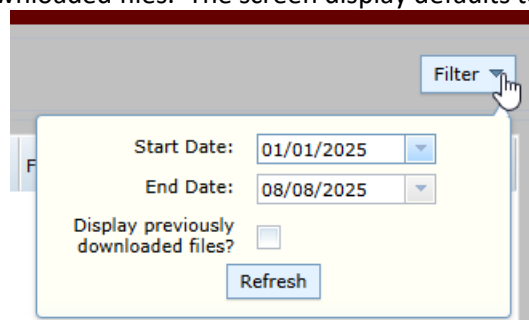
Download Files

☐	Date	Time	OASIS Assessments	Company	M0150	Payor	Downloaded Previously	File Name
☐	01/06/2025	09:50:40	1002921 - 0121	Demo Lancaster Home Health Agency	1 - Medicare (traditional fee-for-service)	Medicare	Thornberry, JenB 04/29/2025	OAS_1002921_20241201_0121_00.XML
☐	01/10/2025	11:37:25	1002792 - 1011	Demo Lancaster Home Health Agency	1 - Medicare (traditional fee-for-service)	Medicare	Laurie Kriss 06/04/2025	OAS_1002792_20241012_1011_00.XML
☐	01/17/2025	02:01:03	1002846 - 0121	Demo Lancaster Home Health Agency	8 - Private insurance	Aetna	Laurie Kriss 06/04/2025	OAS_1002846_20220401_0121_00.XML
☐	02/11/2025	12:38:57	1002930 - 0121	Demo Lancaster Home Health Agency	1 - Medicare (traditional fee-for-service)	Medicare	Laurie Kriss 04/29/2025	OAS_1002930_20250101_0121_00.XML
☐	03/10/2025	11:04:21	1002884 - 1012	Demo Lancaster Home Health Agency	3 - Medicaid (traditional fee-for-service)	Medicaid - New York	Laurie Kriss 06/04/2025	OAS_1002884_20241119_1012_00.XML
☐	03/10/2025	11:04:31	1002884 - 1013	Demo Lancaster Home Health Agency	3 - Medicaid (traditional fee-for-service)	Medicaid - New York	No	OAS_1002884_20250118_1013_00.XML
☐	03/24/2025	11:54:50	1002934 - 0121	Demo Lancaster Home Health Agency	3 - Medicaid (traditional fee-for-service)	Medicaid - New York	No	OAS_1002934_20250103_0121_00.XML
☐	03/24/2025	12:18:07	1002934 - 1011	Demo Lancaster Home Health Agency	3 - Medicaid (traditional fee-for-service)	Medicaid - New York	No	OAS_1002934_20250303_1011_00.XML

The grid within the OASIS Downloads function provides agencies a variety of options:

- Each column is sortable by double clicking the column header.
- Users can select files individually with each checkbox, multi-select using the shift key and highlighting multiple rows or select all files using the checkbox in the top row above the checkboxes.
- Use the Filter button on the top right of the screen to determine the results on the screen.

Using the Filter button, users can narrow the results by selecting a date range, export type, or determining whether to display previously downloaded files. The screen display defaults to the first of the month forward.



The screenshot shows a 'Filter' dialog box with the following fields and options:

- Start Date:** 01/01/2025
- End Date:** 08/08/2025
- Display previously downloaded files?** ☐
- Refresh** button

Once you have made your selections, click the Download Files button. Downloading the file(s) varies based on hosted vs. non-hosted agencies:

- **Non-Hosted** - Follow the prompts on the screen to complete the download process.
- **Hosted** - When you click **Save As** next to the file, you are given a Restrictions Error - click **OK**. Choose **Computer** and your local drives should display to which you can download the file. If they do not, go to the Hosted Customers section of the Knowledgebase site to get the latest **Remote Desktop Protocol** icon. The generated ZIP file can then be accessed and reviewed for content, or submitted to CMS. For details on the process for accessing and downloading these files, please see the NDoc File Downloads Function FASTForm.

Submission Process

As with the Hospice Item Set files, the submission files are submitted through an electronic process administered by the Internet Quality Improvement and Evaluation System (iQIES) through the QIES Technical Support Office (QTSO) via the QTSO website. Agencies should refer to this website for specific details regarding system login credentials as described within the site's OASIS Submission section.

Reports

Reports in General

Several reports serve as tools that can aid in the most efficient management of this process. Each report provides a different level of detail designed to manage separate parts of the workflow.

Interface Activity (Reports>Interface)

This report serves as the primary tool to manage exported files, namely OASIS and Hospice Item Set (HIS) records. For OASIS tracking, agencies should use the OASIS ASAP Export or the OASIS Export Validation options. These options provide two different views of the export process:

OASIS Export Validation Report

This report is designed to serve as an auditing tool for OASIS files to measure whether the files are successfully validated for export. These files may include assessments that are part of the export actions taken during Nightly Processing, as well as files that are set up for immediate export using the Export NOW function. The report displays the status of the files validation and only displays those reports that triggered a potential validation error. The validation can be labeled as Success, but the message indicates the “Validation completed with warnings.” In that case, the triggers did not include any fatal errors and could simply include issues with timing. The files may still export with success, but the warnings are there for informational purposes. Records that are labeled as “Failure” include a fatal error that would constitute a rejection. These may be issues with the M00 responses or fatal date errors. The error numbers and details mirror the CMS Error Messages issued by CMS via the QTSO website.

Reports
Interface Activity

Refresh
System Default*
Save

Timestamp	Interface	Outcome	Patient Name (ID)	Status	Activity Detail
2017-04-23 02:03:17.935	OASIS export validation	Failure	PT,DONNY (1002329)	Validation failed	Activity Detail
2017-04-24 02:00:40.947	OASIS export validation	Failure	PT,DONNY (1002329)	Validation failed	Activity Detail

Using the View version of the report, users may click the hyperlinked Activity Detail text under the Activity Detail column to expand the entry to see the details of the error. Armed with the information, agencies can then go back to the assessment and make needed corrections. Agencies should review this report frequently as a safeguard to ensuring OASIS exports are getting processed correctly and timely.

Reports > Interface Activity
Activity Detail
Back
System Default*
Save

Item	Value
locID	0121
FA	01
0120 (fatal)	FORMATTING OF ALPHANUMERIC TEXT ITEMS If this item is not equal to one of the special values (if...
0120 items	M0010_CCN
0330 (warning)	If TRANS_TYPE_CD=[1] (new record), then submission date minus M0090_INFO_COMPLETED_DT should be l...
0330 items	M0090_INFO_COMPLETED_DT, TRANS_TYPE_CD
0850 (fatal)	If M0150_CPAY_MCARE_FFS=[1], then M0063_MEDICARE_NUM must not equal [^].
0850 items	M0063_MEDICARE_NUM, M0150_CPAY_MCARE_FFS
0280 (fatal)	The value submitted in M0010_CCN must either be equal to [^] or it must be exactly 6 characters i...
-5280 items	M0010_CCN

OASIS ASAP Export Report

This report serves as detailed listing of the exports that met validation requirements and were successful in being set up for export. These are the files that flow to your export file based on your designated directory and are available for download for the purposes of the manual submission to ASAP. The outcome for these files is primarily Success. In rare instances, a file meets the validation requirements, but is not yet set up for export.

Reports

Interface Activity

Refresh

System Default*

Save

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Timestamp	Interface	Outcome	Patient Name (ID)	Status	Activity Detail
2015-05-15 02:00:59.112	OASIS ASAP export	Success	GALA,ROSA (1002254)	The export completed successfully.	Activity Detail
2015-05-26 13:19:07.329	OASIS ASAP export	Success	BISHOP,PAUL (1002224)	The export completed successfully.	Activity Detail

Reports > Interface Activity

Activity Detail

Back

System Default*

Save

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Name	Value
Claim Key #	15FE15FE11AJIAA HA
Complete Date	05/14/2015
Current Status	ADM
Document ID	0121
HIPPS	1AFKS
Location	C:\FACE\OASIS\OAS_1002254_20150514_0121_00.XML
M0090	05/14/2015
Patient Name	GALA,ROSA
RFA	1
SOC Date	05/14/2015

Using the View version of the report, users may click the hyperlinked Activity Detail under the Activity Detail column to expand the entry to see the details for the report. The details include information related to the export activities and can be used as a tool to manage those documents contained within either the nightly export file or items exported through the Export NOW function.

OASIS/HIS Download History (Administration>System>Downloads)

This report provides a record of the download history of the OASIS and/or HIS files detailing when and by whom the files were downloaded.

Patient Tracking Report (Reports>Patient)

This report lists assessments coming due, past due, missing/incomplete. Included in this list is documentation never initiated for discharged patients. This report provides an excellent monitoring tool for clinicians' compliance with OASIS assessment time frames, documents that are missing or incomplete, and those whose hold reason does not make the charting clinician responsible for filing as COMPLETE.

Report Status Listing Report (Reports>Documents)

This report lists documents not completed and therefore not set up for the export file. This listing also includes discharged patients (up to 365 days after discharge). This report assists in monitoring individual clinician compliance, agency work processes and finally OASIS and agency timeframes.

OASIS Listing (Reports>Patient)

This report provides a glimpse of the status of the RFA documents within a particular window of time.