



Centers for Medicare & Medicaid
Services
CMS eXpedited Life Cycle (XLC)

PAYROLL BASED JOURNAL / PBJ

User Manual

Version 3.0.1

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1. Introduction

This User Guide will cover all of the functionality found within the Payroll Based Journal (PBJ) System as well as information regarding how to access the system via the CMSNet Secure Access Service. The QIES Technical Support Office (QTSO) Help Desk is available for technical support and assistance if needed and may be contacted by phone at 800-339-9313 or by email to help@qtso.com. To access the QTSO website, enter: <https://www.qtso.com>.

Please Note: PBJ policy information can be found in the PBJ Policy Manual located at <https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/Staffing-Data-Submission-PBJ.html>.

2. Overview

CMS has long identified staffing as one of the vital components of a nursing home's ability to provide quality care. Over time, CMS has utilized staffing data for a myriad of purposes in an effort to more accurately and effectively gauge its impact on the quality of care in nursing homes. Staffing information is posted on the CMS Nursing Home Compare website and it is used in the Nursing Home Five Star Quality Rating System to help consumers understand the level and differences of staffing in nursing homes.

Section 6106 of the Affordable Care Act (ACA) requires facilities to electronically submit direct care staffing information (including agency and contract staff) based on payroll and other auditable data. The data, when combined with census information, can then be used to not only report on the level of staff in each nursing home, but also to report on employee turnover and tenure which can impact the quality of care delivered. CMS has developed the PBJ System to collect the auditable facility staffing and census data on a regular basis as required by Section 6106 of the ACA. All long term care facilities will have access to the PBJ System at no cost.

2.1 Conventions

This document provides screen prints and corresponding narrative to describe how to use the PBJ System.

When an action is required on the part of the reader, it is indicated by a line beginning with the word "**Action:**" For example:

Action: Select OK.

Note: The term 'user' is used throughout this document to refer to a person who requires and/or has acquired access to PBJ.

2.2 Cautions & Warnings

See [section 6.0](#) for all cautions and warnings.

3. Getting Started

The following sub-sections provide detailed, step-by-step instructions on how to use the various functions or features of PBJ.

3.1 Set-up Considerations

Please verify your system meets the Minimum System Requirements to ensure access via the CMSNet Secure Access Service as well as successful submissions to the PBJ System. The Minimum and Recommended System Requirements may be found on the QIES Technical Support Office (QTSO) home page: <https://www.qtso.com>.

3.2 User Access Considerations

The CMSNet Secure Access Service Juniper Client will discontinue access to public networks (e.g. the Internet) as well as local networks and resources such as printers, file servers, database and mail servers (e.g. Outlook) while logged in and securely connected. Remote connectivity, typically used by local IT support personnel, will also be unavailable while securely connected to the Juniper Client.

This may affect the way you perform file submissions or print reports. Use the following tips to ensure success when utilizing the CMSNet Secure Access Service.

Accessing files for submission:

Files which are ready for submission will need to be saved to your local hard drive prior to connecting to the CMSNet Secure Access Service.

Printing reports:

You may print reports using your local printer while connected to the CMSNet Secure Access Service.

Printing to a network printer may be done after you have disconnected from the CMSNet Secure Access Service. Prior to disconnecting you will need to save the desired report to your local hard drive.

To save a document from inside the CASPER Reporting tool:

- **Action:** Right click on the link that lists the name of the report.
- **Action:** Select 'Save Target As'.

- The 'Save As' dialog box will appear. A location must be selected to save your requested report. A simple location would be the Desktop, which you can find on the left hand side of the dialog box or from the Save in drop-down menu, which you can access by selecting the drop-down arrow and selecting Desktop from the menu.

To disconnect from the CMSNet Secure Access Service:

Action: Select "Sign Out" on the Junos Pulse Secure Access Service webpage which displays the web bookmarks used to enter CMS network resources. After successfully signing out please close your internet browser.

Please note, if you do not sign out, you will remain blocked from public networks (e.g. the Internet) as well as local networks and resources such as printers, file servers, database and mail servers (e.g. Outlook) for up to 20 minutes or until a reboot of your PC. If your QIES PBJ ID has access to ePOC and/or MDS and you have just accessed either of those systems, you will need to close your browser, clear your browsing history to log in to PBJ.

3.3 Accessing the System

A CMSNet Remote Access User ID allows access into the private CMS network where the Payroll Based Journal and CASPER Reporting Systems reside. A CMSNet Remote Access ID is the first of two required user IDs necessary to submit records to the PBJ system; each provider is allowed two CMSNet Remote Access User IDs.

Using the CMSNet Secure Access Service requires the installation of the Juniper Network Client. The network client is your private path to access CMS network resources and services securely. Please note, you must have administrative access privileges on your PC to install and setup the Juniper Network Client. You will need to contact local IT support personnel for assistance with this step if you do not have administrative privileges. Administrative access is ONLY necessary during the setup and initial login to the CMSNet Secure Access Service.

The CMSNet Remote Access Request Portal allows for an online, self-registration process. Please consult the Installation Guide for CMSNet Remote Users as the first step in obtaining your CMSNet Remote Access User ID, available on the CMSNet Information page of the QTSO website, <https://www.qtso.com/cmsnet.html>. Additional materials available on the CMSNet Information page include the CMSNet Online Registration Instructions, CMSNet Online Registration link as well as the CMSNet FAQ's.

Please Note: CMSNet allows a connection for 2 hours. The user will receive a warning message and must save their work, log out and log back in.

QIES User ID

A QIES User ID allows access to the Payroll Based Journal and CASPER Reporting systems. A QIES User ID is the second of two required user IDs necessary to submit records to the PBJ system; each provider is allowed two QIES User IDs for the purpose of PBJ submissions. Only persons responsible for submitting PBJ records or reviewing PBJ reports should register for this ID.

The Welcome to the CMS QIES Systems for Providers page, displayed after making a secure connection to the CMS network via the CMS Secure Access Service, contains a link to access the Payroll Based Journal User Registration application. You MUST be securely connected via the CMSNet Secure Access Service to reach the CMS QIES Systems for Providers page.

Begin by securely connecting to the CMS network via the CMS Secure Access Service.

Action: Select the link titled Payroll Based Journal User Registration located on the Welcome to the CMS QIES Systems for Providers page referenced below. Please note, facility information such as the facility ID or CCN will be needed to complete the online registration process.

The screenshot shows the CMS QIES Systems for Providers welcome page. At the top left is the CMS logo (Centers for Medicare & Medicaid Services). Below the logo is a blue header bar with the text "Welcome to the CMS QIES Systems for Providers". The main content area contains several links: "MDS and ePOC User Registration", "Payroll Based Journal User Registration" (highlighted with a red box), "Add ePOC - PBJ - MDS Access to your Active Individual User Account", "MDS 3.0 Submissions" (with a key icon), "PBJ Submissions", "Look Up Facility ID", "Payroll Based Journal (PBJ) Provider User Guide", "MDS 3.0 Provider User's Guide" (with a dropdown menu), "CASPER Reporting User's Guide for MDS Providers" (with a dropdown menu), "CASPER Reporting - Select this link to access the Final Validation and Provider reports.", "Change Password - QIES User Maintenance Application", "QIES User Maintenance Application User's Guide", and "ASPEN Access (ePOC)".

The Payroll Based Journal Provider User ID Registration system allows you to self-register for your QIES User ID. Obtaining your QIES User ID requires two steps; completion of the online registration form and activation of your new QIES User ID. Please consult the [Provider User Registration User's Guide](#) for detailed instructions regarding registration and activation which is located at the upper right portion of the Provider user Registration form/page referenced below. If you have an existing ePOC and/or MDS QIES ID, you may add PBJ access to that ID by clicking the Add ePOC – PBJ MDS Access to your Active Individual User Account link.

Corporate or Third Party Users

If you are employed by a corporate or third-party entity and intend to submit data for multiple providers please complete either the “Corporate Access Request” or the “Third Party Service Bureau User Request” form, depending on your respective position, to obtain a QIES User ID. These forms are located on the QTSO website (<https://www.qtso.com/accesspbj.html>) and have been provided below for your convenience. Please note, these forms may also be used to remove existing QIES user accounts which are no longer needed.

[QIES \(MDS/ePOC/PBJ\) Corporate Access Request](#)

[QIES \(MDS/PBJ\) Third-Party Service Bureau User Request](#)

Completed, signed request forms may be submitted via email to help@qtso.com or printed and faxed to the QTSO Help Desk at 888-477-7871.

Login

To log into the Payroll Based Journal system please complete the following steps:

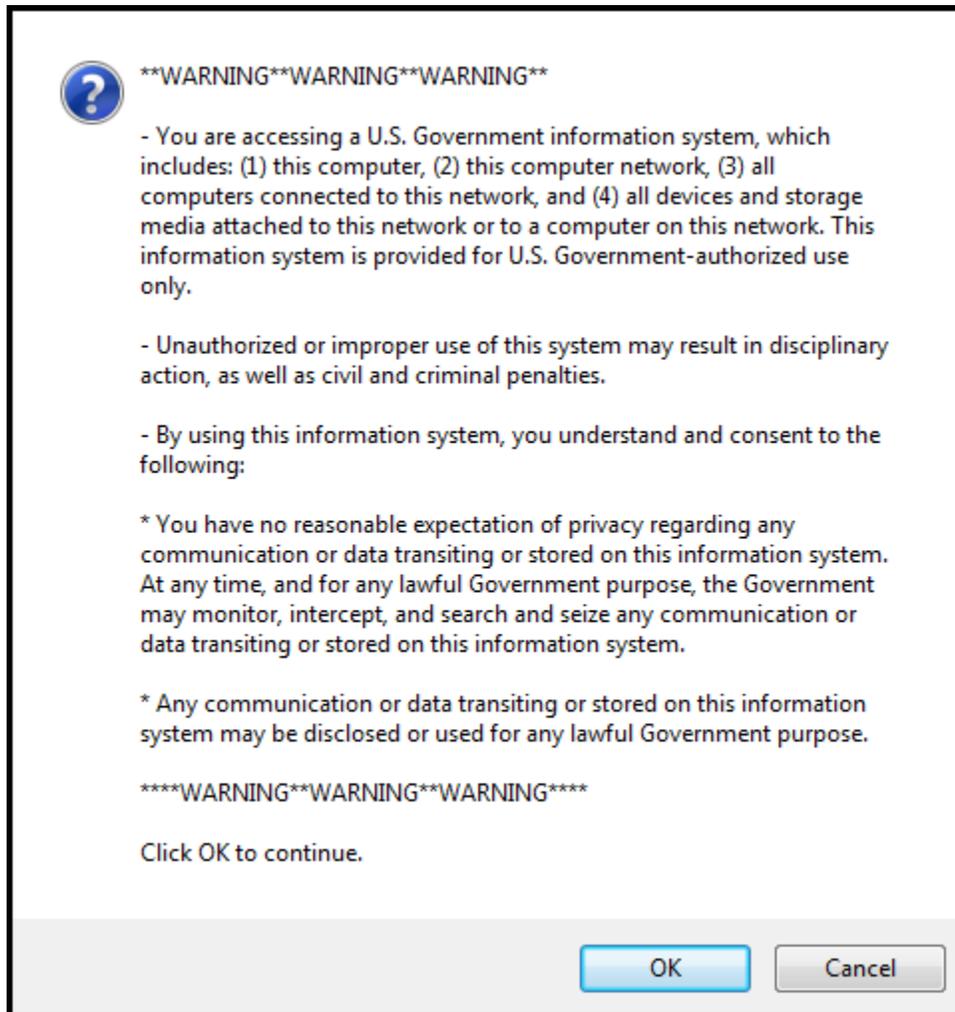
1. Begin by selecting the PBJ Submissions link located on the Welcome to the CMS QIES Systems for Providers page referenced below.

2. **Action:** Enter your QIES (PBJ) User ID and password into the QIES Nation System Login.

3. **Action:** Select 'Login'.

4. A warning indicating that you are accessing a U.S. Government information system will display. Review the disclaimer in its entirety.

Action: Select 'OK' to continue entering the PBJ application.



Please Note: Users who are unable to log into the QIES National System Login should select the link for the QIES User Maintenance application to reset your User ID or Password.

QIES National System Login

Welcome to PBJ

Please enter your User ID and Password

User ID:

Password:

Unable to login?

[Go to the QIES User Maintenance application to reset your User ID/Password.](#)

• **Minimum System Requirements for Home Health Agencies, Hospice Providers, Long Term Care Facilities, Inpatient Rehabilitation Facilities and Long Term Care Hospitals.**
[FY2017 System Requirements \[PDF 33KB\]](#) Effective 10/01/2016 - 09/30/2017
[FY2016 System Requirements \[PDF 38KB\]](#) Effective 10/01/2015 - 09/30/2016

3.4 System Organization & Navigation

Home Page

Once you have successfully logged into the Payroll Based Journal System the home page will display. There are two distinctive sections on the PBJ Home Page: Data Entry and Updates & Alerts (Dashboard).

The Data Entry section will list the following available entry options and definitions:

- **Upload Data File** – Use XML file with Employee, Staffing and Census data to populate records. If you manually enter data, this step is not needed. Data shall be uploaded once the Upload File button is selected. The Upload File button will be disabled until the XML Data has been successfully saved to the database.
- **Employee Data** – Manually create new Employee Records or update existing records. Data shall be uploaded once the Save button is selected. The Save button will be disabled until the Employee Data has been successfully saved to the database.
- **Staffing Hours Data** – Manually populate Staffing Hours or update existing records. Data shall be uploaded once the Save button is selected. The Save

button will be disabled until the Staffing Hours Data has been successfully saved to the database.

- Census Data – Manually populate Census Data or update existing records. Data shall be uploaded once the Save button is selected. The save button will be disabled until the Census Data has been successfully saved to the database.
- REPORTS
 - CASPER Reports – Access CASPER Reports to view Validation and PBJ reports.

The Updates & Alerts Section (Dashboard) provides the user with up-to-date information on submissions. Users are able to select current and previous quarters to see the following information:

- Number of days remaining to submit data in the selected quarter. This number includes the 45 day submission extension for the selected quarter.
- Number of days in the quarter you do not have staffing data entered for your employees as well as an additional link for Staffing Details.

Users may wish to use the toolbar across the top of the page in lieu of the available entry options to upload data files, complete manual data entry, access additional help resources or to reach the 'My Submissions' page. The Accessibility and Privacy Policies may be found at the bottom of the page as well as an additional means of accessing the help resources available to Payroll Based Journal Users.

The screenshot displays the CMS XLC interface, divided into two main sections: DATA ENTRY and UPDATES & ALERTS.

DATA ENTRY

Available Entry Options

- Upload Data File**: Use XML file with Employee, Staffing and Census data to populate records.
- Employee Data**: Manually create new Employee Records or update existing records.
- Staffing Hours Data**: Manually populate Staffing Hours or update existing records.
- Census Data**: Manually populate Census Data or update existing records.

Reports

- CASPER Reports**: Access CASPER Reports to view Validation and PBJ reports.

UPDATES & ALERTS

Announcements

- Quarter 4 2017 (July 1 - September 30) is currently unavailable for submission. [Read more...](#)

Submission Information

Facility: *

[Redacted]

Federal Fiscal Quarter: *

Quarter 1 2018 (October 1 - December 31)

[VIEW SUBMISSION INFORMATION](#)

⌚ 88 day(s) remaining to submit data in Quarter 1 2018 (October 1 - December 31).

Staffing Data:

0%

65 day(s) have no entries prior to the deadline. [View Staffing Details](#)

4. Using the System

The following sub-sections provide detailed, step-by-step instructions on how to use the various functions or features of PBJ.

4.1 XML Submissions (Employee, Employee Link, Staffing, and Census Data)

For users who are not uploading an XML file you may skip to [Section 4.2](#) if you plan to manually enter your data. Data files being submitted to the Payroll Based Journal System must meet the PBJ Technical Data Specifications. The CMS website contains the Payroll Based Journal Technical Data Specifications required for PBJ XML data files. To access the CMS website, copy and paste the following link into your URL Window:

<http://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/Staffing-Data-Submission-PBJ.html>

Scroll to the Downloads section for the PBJ Data Specifications:

Downloads

[Linking Methodology \[PDF, 82KB\]](#) 

[PBJ Excel to XML Template v.2.00.3 \[ZIP, 20KB\]](#) 

[NHPBJ and PBJ XSD File \[ZIP, 2KB\]](#) 

[PBJ Excel to XML Template v.2.00.1 \[ZIP, 19KB\]](#) 

[PBJ 3.0 Submission Specs V3.00.0 for the November 20, 2017 Release \[ZIP, 1MB\]](#) 

[PBJ QTSO Registration and Training 8-4-15 \[PDF, 77KB\]](#) 

[PBJ Policy Manual Final \(V2.4\) 9-26-17 \[PDF, 336KB\]](#) 

[PBJ Policy Manual FAQ 09-26-17 \[PDF, 127KB\]](#) 

[PBJ Summary Presentation - 06-10-2016 \[PDF, 706KB\]](#) 

[PBJ Technical Specifications FAQ 12-14-15 \[PDF, 146KB\]](#) 

[Survey and Cert Letter 17-45 \[PDF, 129KB\]](#) 

The following steps **MUST** be completed prior to attempting a PBJ XML submission or manual entry submission:

- Obtain a CMSNet Remote Access User ID/password
- Successful installation of the Juniper Network Client
- Secure connection to the CMS network via the CMS Secure Access Service
- Registration and activation of a QIES (PBJ) User ID/password

Important reminders

The Payroll Based Journal system only processes zipped files with a “.zip” extension. Files with extensions other than .zip will not be accepted into the PBJ system. You cannot do a Save AS and select xml or rename your file to xml, zip it and submit it. The file needs to be converted to an xml format.

The PBJ system will only accept .zip files which are 5 MB or less in size per submission. XML files contained within .zip files must not exceed 50 MB. If your file exceeds these limits there is a good chance the file is not formatted correctly, run your file against the XSD to confirm correct formatting of your XML file.

The PBJ XML will only allow one facility ID/ state code per XML; there is no need for a trailer row.

4.1.1 Facility Information Verification

Verify facility information listed is accurate under the Updates and Alerts section. Please contact your state MDS/ASPEN Coordinator for updates if there is an issue with the facility information displayed.

If you are a PBJ Corporate or Third Party and your User ID is associated to multiple Facilities you may select the drop down list to view all facilities.

The screenshot displays the PBJ system interface, divided into two main sections: DATA ENTRY and UPDATES & ALERTS.

DATA ENTRY section includes:

- Available Entry Options:**
 - Upload Data File:** Use XML file with Employee, Staffing and Census data to populate records.
 - Employee Data:** Manually create new Employee Records or update existing records.
 - Staffing Hours Data:** Manually populate Staffing Hours or update existing records.
 - Census Data:** Manually populate Census Data or update existing records.
- Reports:**
 - CASPER Reports:** Access CASPER Reports to view Validation and PBJ reports.

UPDATES & ALERTS section includes:

- Announcements:** Quarter 4 2017 (July 1 - September 30) is currently unavailable for submission. [Read more...](#)
- Submission Information:**
 - Facility: *** (highlighted with a red box): A dropdown menu with a black bar obscuring the selected facility name.
 - Federal Fiscal Quarter: *** Quarter 1 2018 (October 1 - December 31)
 - VIEW SUBMISSION INFORMATION** button
 - 88 day(s) remaining to submit data in** Quarter 1 2018 (October 1 - December 31).
 - Staffing Data:** 0% (with a progress bar). 65 day(s) have no entries prior to the deadline. [View Staffing Details >](#)

4.1.2 XML File Upload and Submission

The PBJ system is flexible and offers users two different options when submitting Employee, Staffing and Census Data. Users may utilize the toolbar across the top of the PBJ Home Page or select from the available entry options under the Data Entry section.

The Payroll Based Journal System will allow a combination of manual data entry and XML submissions. Facilities using manual data entry will NOT need to upload an XML file with their data. The data will be received through the process of their manual entry of data.

To begin the process of electronically submitting Employee, Employee Link, Staffing and/or Census Data to the Payroll Based Journal System using an XML via the Data Entry section of the PBJ Home Page complete the following steps:

1. **Action:** Select 'Upload Data File' from the Data Entry section of the PBJ Home Page.

Available Entry Options

- Upload Data File** (highlighted): Use XML file with Employee, Staffing and Census data to populate records.
- Employee Data**: Manually create new Employee Records or update existing records.
- Staffing Hours Data**: Manually populate Staffing Hours or update existing records.
- Census Data**: Manually populate Census Data or update existing records.

Reports

- CASPER Reports**: Access CASPER Reports to view Validation and PBJ reports.

- Action:** Select the desired Federal Fiscal Quarter from the drop-down pane corresponding to the PBJ XML file you wish to upload.

Please note, the Federal Fiscal Quarter on the Upload Data File page displayed below must match the Federal Fiscal Quarter in the XML file being selected for upload or the file will be rejected.

Upload Data File * indicates required field(s)

Federal Fiscal Quarter: *
 Select Federal Fiscal Quarter...

Data File: *
 Choose File | No file chosen
 (Supported File Format: ZIP)

Data File Resources
 For the most up-to-date XML File Specifications, Requirements and Documentation, please visit the [CMS Resources Page](#).
 (Not accessible from CMSNet)

UPLOAD FILE | **NOTICE:** Meal times (paid or unpaid) must be deducted from each employee's daily hours.

- Action:** Select 'Browse' to locate the data file you wish to upload.

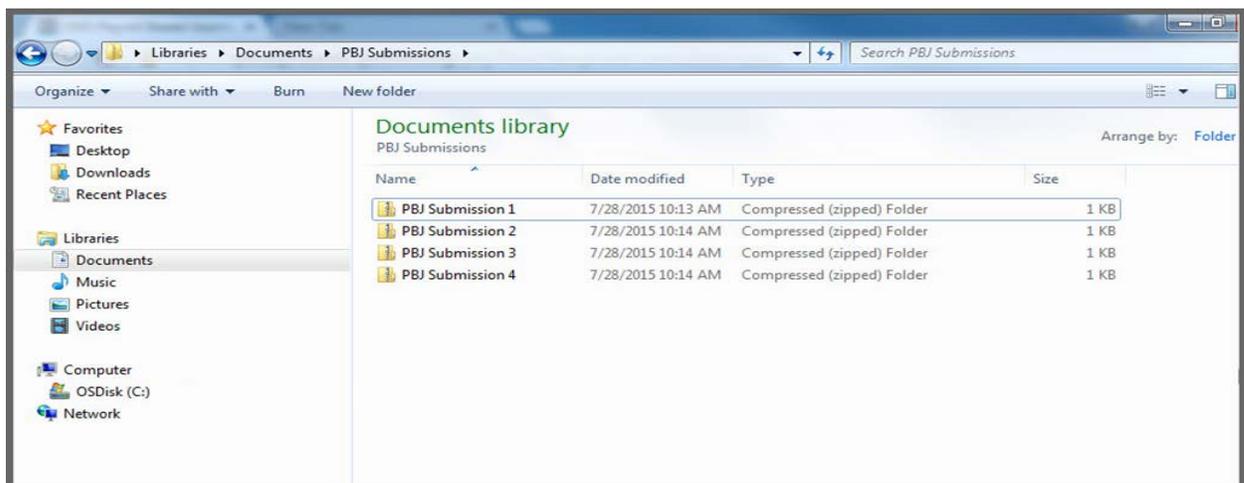


Please Note: Files must be in a compressed (.zip) zip file format and stored on your local hard drive to ensure successful submission to the PBJ System. Zip files must not exceed 5MB in size; the maximum size for an XML file within the .zip file is 50MB.

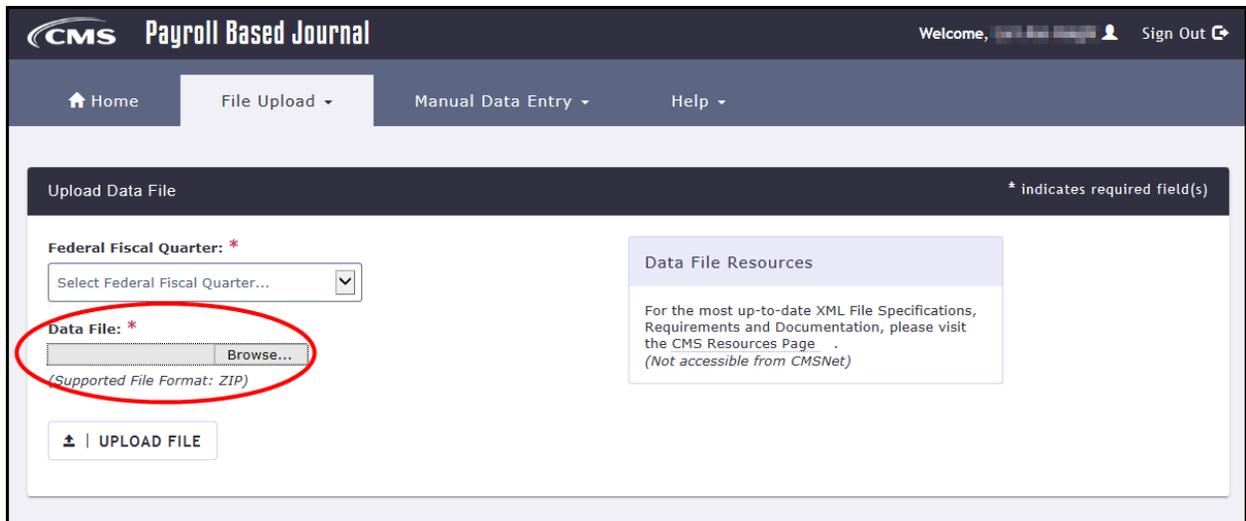
*See CMSNet Secure Access Service Network Restrictions

For .zip files containing multiple XML files, there is no guarantee to the order in which the XML files will be processed within the .zip file. If order of processing is important, submit XML files in two separate .zip files and ensure processing has completed for the first .zip file before submitting the second .zip file.

4. After selecting 'Browse' you will be presented with a window where you may choose a file for upload as shown in the example below.



5. **Action:** Double click the file name of the data file you wish to upload. The name of the file selected will be populated in the Data File display on the PBJ Upload Data File page directly below the Federal Fiscal Quarter.

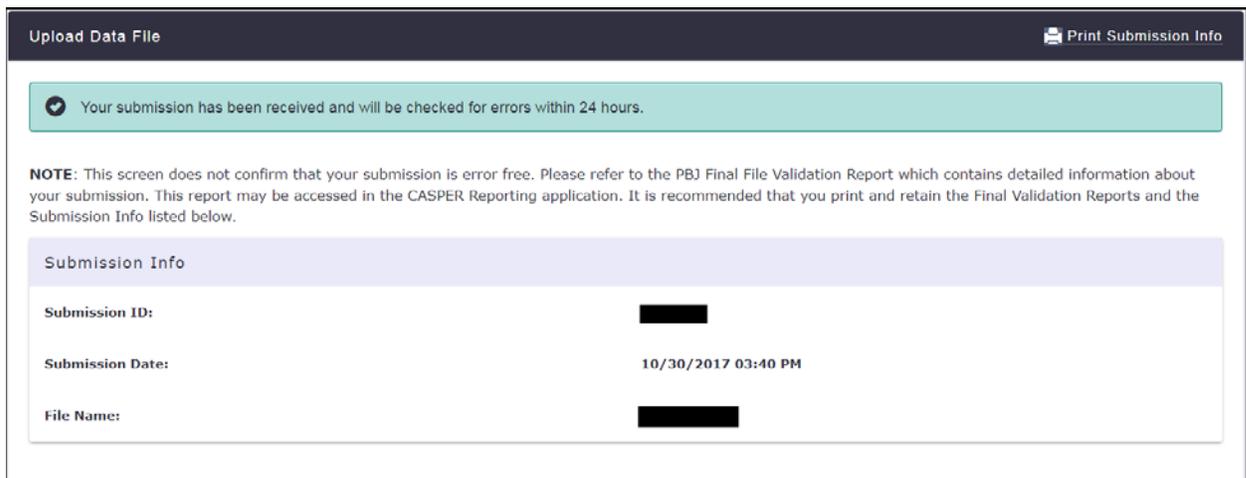


6. **Action:** Select the Upload File button to proceed submitting the selected data file to the Payroll Based Journal System.

4.1.3 Confirmation Message

Once a submission has been successfully received by the PBJ System the user will be presented with a confirmation message stating “Your submission file has been received.” Additional submission details will be provided as follows:

- **Submission ID** – A unique numeric identifier assigned to your data file by the CASPER Reporting and PBJ Systems.
- **Submission Date** – Date and time the CASPER Reporting and PBJ Systems received the data file.
- **File Name** – Name of the data file selected by the user which has been successfully received.



ATTENTION!

The confirmation message provided confirms successful receipt of the data file by the CASPER Reporting and PBJ Systems. It does NOT confirm that the file has been processed or that the records have been accepted by the CASPER Reporting and PBJ Systems. It is strongly advised to take note of the Submission ID as well as the submission date information provided on the submission confirmation.

While it is not required, users may wish to print or save the confirmation message as their receipt of submission. This information will aid you in identifying the corresponding system-generated PBJ Final File Validation Report stored in the CASPER Reporting system.

The confirmation message will be cleared once you perform any subsequent PBJ activity.

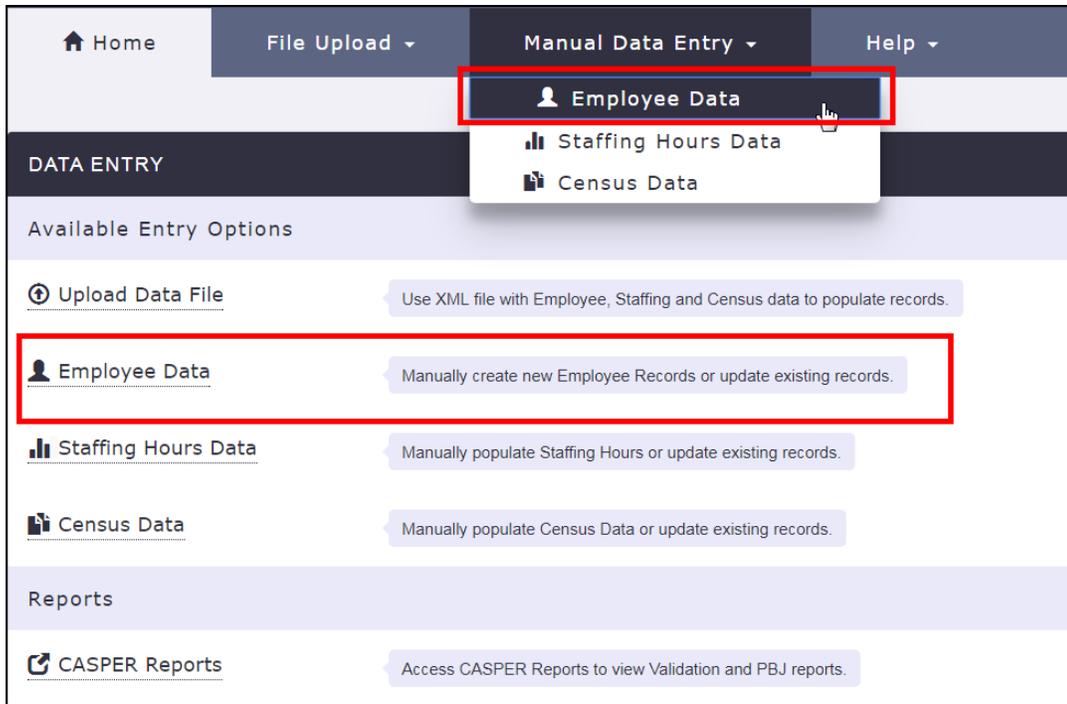
You will login to CASPER Reporting to retrieve your Final Validation Report to confirm the status of your submission.

4.2 Manual Submissions

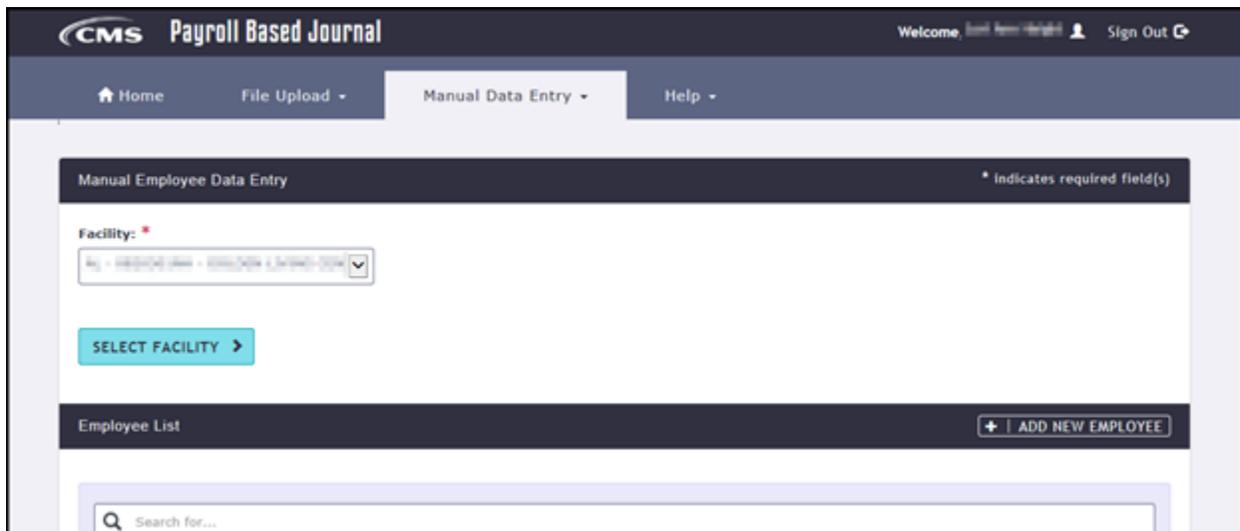
The Payroll Based Journal System will allow a combination of manual data entry and XML submissions. Facilities using manual data entry will NOT need to upload an XML file with their data. The data will be received through the process of their manual entry of data.

4.2.1 Employee Data

The PBJ system is flexible offering two different options to begin entering Employee Data manually. Select 'Manual Data Entry' on the toolbar followed by 'Employee Data' from the drop down or simply select the 'Employee Data' option located in the Data Entry section of the Home Page.



After selecting 'Employee Data' the Manual Employee Data Entry screen will be displayed. Verify and/or select the appropriate facility name before adding or searching for employees.



4.2.2 Add New Employee Data

Complete the following steps to add a new employee to the Payroll Based Journal System:

1. **Action:** Select the Add New Employee button to display the New Employee screen.

The screenshot shows a web interface for adding a new employee. At the top, there is a navigation bar with 'Home', 'File Upload', 'Manual Data Entry', and 'Help'. Below this is a header for 'Add New Employee' with a 'Back to Previous Page' link and a note that an asterisk (*) indicates a required field. The form contains the following fields:

- Facility:** A dropdown menu.
- Employee ID: *** A text input field with the placeholder 'ENTER EMPLOYEE ID'.
- Hire Date:** A date picker with the format 'MM/DD/YYYY'.
- Termination Date:** A date picker with the format 'MM/DD/YYYY'.

At the bottom of the form, there are two buttons: 'SAVE NEW EMPLOYEE' and 'CANCEL'.

2. **Action:** Enter a unique **Employee ID***. A unique ID will be necessary for each employee submitted. **Do not use employee PII for the Employee ID. The Employee ID may contain only the following characters:**
 - a. The numeric characters: [0] through [9]
 - b. The letters [A] through [Z] and [a] through [z].
 - c. The character [-].
 - d. The following special characters: [\] (backslash) [,] (comma) [.] (period) [_] (underscore)
 - e. Embedded spaces (spaces surrounded by any of the characters listed above). For example, [PBJ EMP1] would be allowed.
3. **Action:** Enter the employee's Hire Date. This is the first date of employment for each employee.
4. **Action:** Enter the employee's Termination Date. This is the last date of employment for each employee.

The asterisk (*) denotes required fields. Your record will not save until all required fields have been completed. Your record will not save if any required fields have been completed inaccurately.

Please Note: The Hire and Termination Dates are not a required field.

5. **Action:** Select the **Save New Employee** button. You will receive a confirmation message stating that the employee record has been saved.

- 6. Action:** To continue adding new employee records, select Back to Previous Page located at the upper right corner of the Add New Employee screen and repeat steps 1-5.

After all employees have been added you will have a listing of employees displayed on the Manual Employee Data Entry screen under the heading 'Employee List'. The employees listed are to be considered active. The Employee ID and Hire Date columns can be sorted in either ascending or descending order by selecting the arrows to the right of the column header.

Manual Employee Data Entry * indicates required field(s)

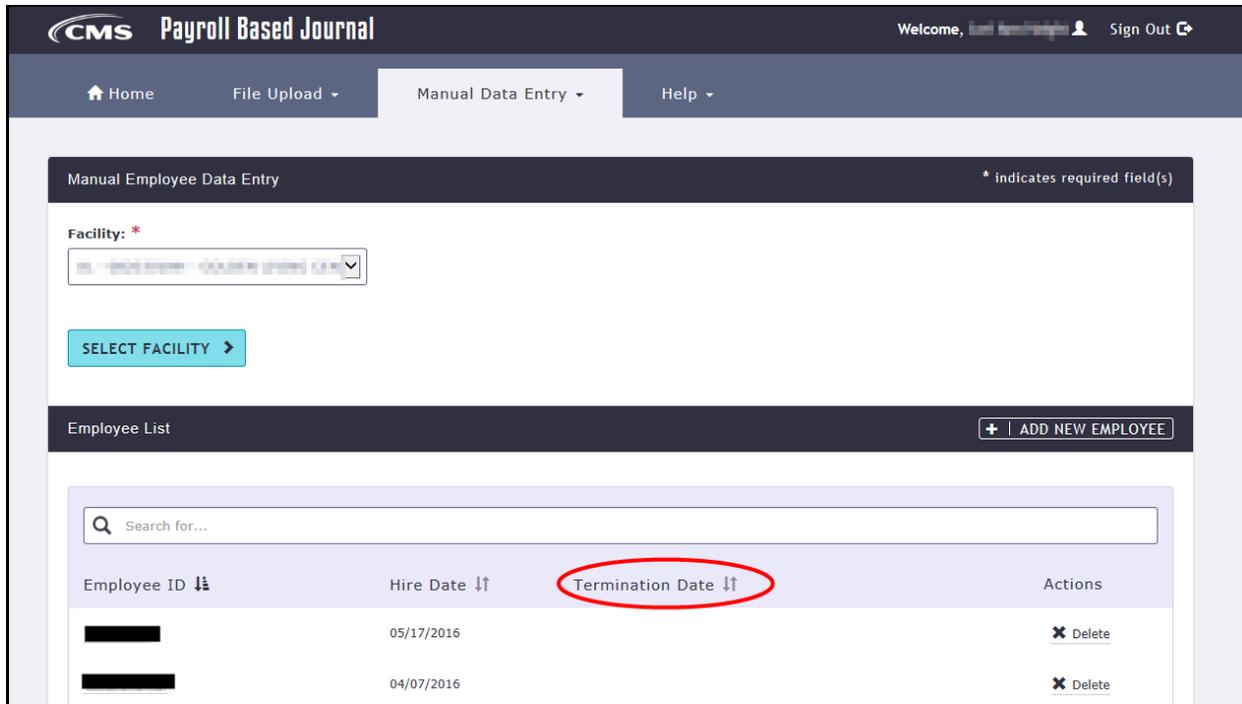
Facility: *

Employee List

Employee ID ↓	Hire Date ↑	Actions
	12/26/2013	<input type="button" value="X Delete"/>
	05/01/1982	<input type="button" value="X Delete"/>
	05/01/1988	<input type="button" value="X Delete"/>
	03/25/1991	<input type="button" value="X Delete"/>
	10/01/2002	<input type="button" value="X Delete"/>

To display and sort by Termination Date you must check the Include Terminated Employees box located at the bottom of the Employee List. Both Active and Terminated employees will then be displayed after your screen has automatically refreshed.





4.2.3 Modify Employee Data Records

In the event it becomes necessary to make changes to an existing employee's record simply select the Employee ID from the Employee List and modify as needed. When you have completed the necessary changes select the Save Changes button to update the employee record. You will receive a message stating that the employee record has been saved.



4.2.4 XML Submission Rehire Process

In order to upload an XML file for an employee to enter a Hire Date, Termination Date and Rehire Date the following XML restrictions apply:

- The user can only update an employee hire date if there is no termination date entered.
 - Example - A hire date was submitted on 1/1/2015 and no termination date has been entered. If a user needs to update the hire date to 1/7/2015 the XML file shall contain the corrected hire date of 1/7/2015. This will update the original hire date to 1/7/2015 as long as no staffing hours are entered prior to the new hire date.
- The user is able to delete a termination date by entering the most recent hire date and then leave the termination date blank.
 - Example - A hire date was submitted on 1/1/2015 and a termination date was entered for 4/5/2015. If a user needs to delete the entered termination date the XML file shall contain the original hire date of 1/1/2015 and the termination date shall be left blank. This will leave the hire date the same and delete the termination date of 4/5/2015.
- The user is able to update a termination date by entering the most recent hire date and entering the correct value for the termination date.
 - Example – The most recent hire date submitted was on 1/1/2015 and a termination date was entered for 4/5/2015. If a user needs to update the submitted termination date to 4/1/2015 the XML file shall contain the most recent hire date of 1/1/2015 and the termination date shall contain the updated value of 4/1/2015. This will leave the hire date the same and update the termination date to 4/1/2015 as long as no staffing hours are entered after the new termination date.
- The user shall be able to update staffing records that fall under a previous Hire/Termination range.
 - Example - A user needs to update staffing records for an employee that has been Hired/Terminated/Rehired more than once. The staffing records that need updated fall under a previous Hire/Termination range. The user shall be able to send in the staffing records and update the necessary hours by only including the staffing tags in the XML. The employee section must be left off the XML in order for this update to be successful.

4.2.5 Manual Data Entry Rehire Process

In the event an employee is rehired, by the manual entry process please complete the following steps:

1. Locate the appropriate employee ID in the Employee List found on the Manual Employee Data Entry screen.
2. **Action:** Select the Employee ID and check the box entitled “This employee has been rehired?” which will be found at the bottom of the screen under the heading entitled ‘Employee Work History’.

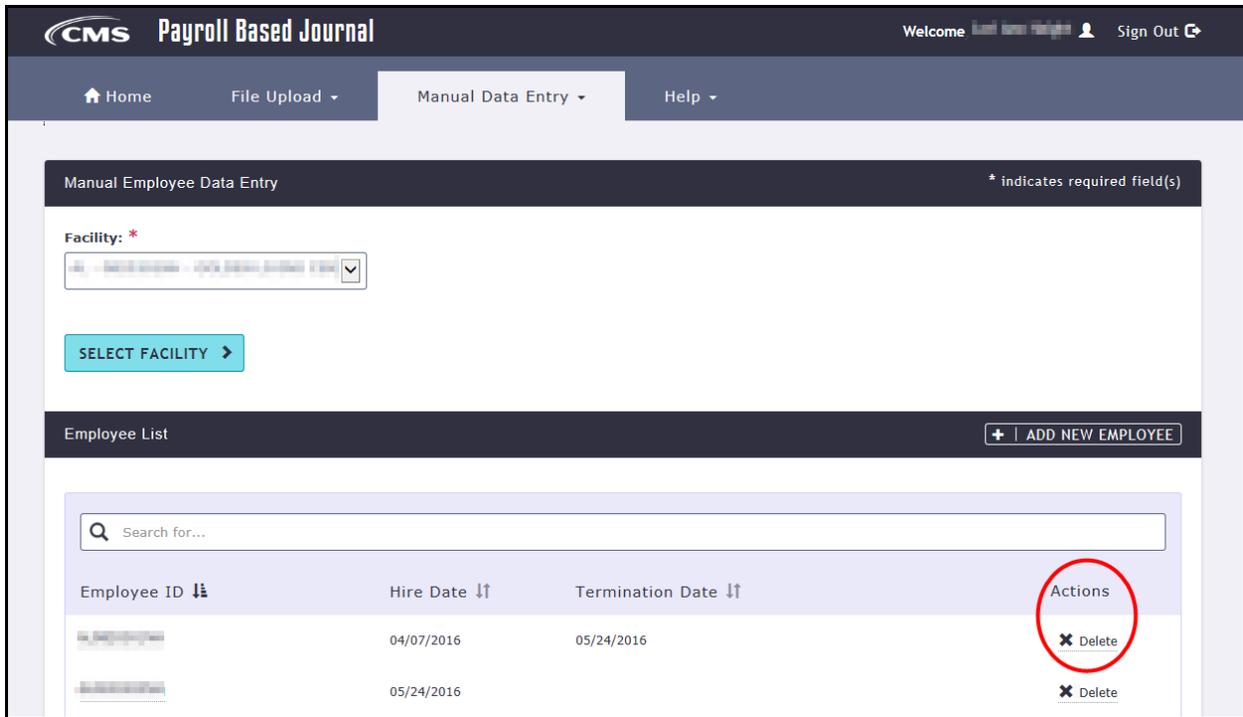


The screenshot shows a form titled "Employee Work History". At the top, there is a dark header bar with the text "Employee Work History". Below this, there is a checkbox labeled "This employee has been rehired?" which is checked. Underneath the checkbox, there is a field labeled "New Hire Date: *" with a red asterisk indicating it is required. The field contains the placeholder text "MM/DD/YYYY" and a calendar icon to its right. At the bottom of the form, there are two buttons: "SAVE CHANGES" and "CANCEL".

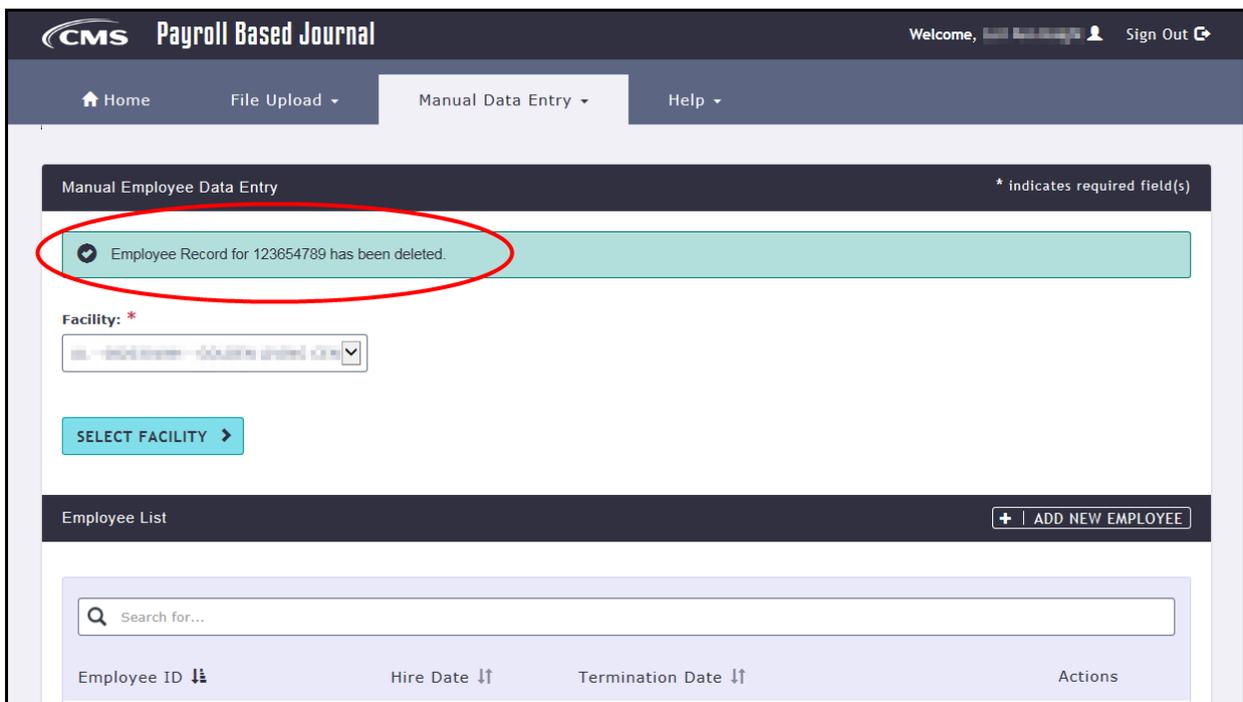
3. **Action:** Enter the **New Hire Date***. This is the first day of employment after having been rehired.
4. **Action:** Select the Save Changes button. If one or more errors occur the system will provide you with a notification indicating any additional actions that must be taken.

4.2.6 Delete Employee Data Records

Under the ‘Actions’ column of the Employee List you have the option to delete an employee by selecting Delete. Please note, you cannot delete an employee with reported staffing hours.



Once successful in deleting an employee you will receive a confirmation message stating that the employee record has been deleted.



4.2.7 Add Staffing Hours Data

The PBJ system is flexible offering two different options to begin entering Staffing Hours Data manually. Select 'Manual Data Entry' on the toolbar followed by 'Staffing Hours Data' from the drop down OR simply select the 'Staffing Hours Data' option located in the Data Entry section of the Home Page.

The screenshot shows the system's navigation menu with 'Manual Data Entry' selected. A dropdown menu is open, showing 'Employee Data', 'Staffing Hours Data' (highlighted with a red box), and 'Census Data'. Below the menu, the 'Available Entry Options' section lists four options: 'Upload Data File', 'Employee Data', 'Staffing Hours Data' (highlighted with a red box), and 'Census Data'. Each option has a brief description of its function. The 'Reports' section below lists 'CASPER Reports'.

After selecting 'Staffing Hours Data' the Manual Staffing Hours Data Entry screen will be displayed.

The screenshot shows the 'Manual Staffing Hours Data Entry' form. It features two required fields: 'Facility: *' and 'Federal Fiscal Quarter: *'. The 'Facility' field is a dropdown menu with a blacked-out selection. The 'Federal Fiscal Quarter' field is a dropdown menu showing 'Quarter 4 2017 (July 1 - September 30)'. A blue button labeled 'SELECT FACILITY & QUARTER >' is positioned below the fields. A note in the top right corner states '* indicates required field(s)'.

Complete the following steps to manually enter Staffing Hours Data:

1. **Action:** Select the Facility from the drop down menu.
2. **Action:** Select the Federal Fiscal Quarter corresponding to the Staffing Hours Data being submitted from the drop down menu.

3. **Action:** Select the Select Facility & Quarter button.
4. The calendar for the first month of the requested quarter will be displayed.

There are left and right arrows located at the upper right corner of the month header. The left arrow will be disabled because you will begin on the first month of the quarter. The right arrow will take you to the second and/or third month in the quarter.

April 2016							<	>
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday		
	27	28	29	30	31	1 <u>No Data</u>	2 <u>No Data</u>	
<u>No Data</u>	3	<u>No Data</u>	4	<u>No Data</u>	5	<u>No Data</u>	6	<u>No Data</u>
<u>No Data</u>	7	<u>No Data</u>	8	<u>No Data</u>	9	<u>No Data</u>	10	<u>No Data</u>
<u>No Data</u>	11	<u>No Data</u>	12	<u>No Data</u>	13	<u>No Data</u>	14	<u>No Data</u>
<u>No Data</u>	15	<u>No Data</u>	16	<u>No Data</u>	17	<u>No Data</u>	18	<u>No Data</u>
<u>No Data</u>	19	<u>No Data</u>	20	<u>No Data</u>	21	<u>No Data</u>	22	<u>No Data</u>
<u>No Data</u>	23	<u>No Data</u>	24	<u>No Data</u>	25	<u>No Data</u>	26	<u>No Data</u>
<u>No Data</u>	27	<u>No Data</u>	28	<u>No Data</u>	29	<u>No Data</u>	30	<u>No Data</u>

5. **Action:** Select the day on the calendar you wish to enter Staffing Hours Data. The Staffing Hours screen will be displayed.

The Employee ID's available to have staffing hours added for the day/week selected will be displayed on the Manual Staffing Hours Data Entry screen. You will not be able to add staffing hours to a terminated Employee ID.

Users may search for the Employee ID which needs Staffing Hours added by entering the desired Employee ID into the Search bar located under the 'Staffing Hours' heading near the top of the Manual Staffing Hours Data Entry screen. The search function is a 'smart search' which means you can enter in the entire Employee ID or partial search criteria to obtain results. For example, you can search for all Employee ID's which contain the number one (1) by typing the number one (1) into the search bar and selecting the 'Enter' key on the keyboard. The Employee ID search will be retained until the user navigates off the Manual Staffing Hours Data Entry screen.

NOTE: Staffing Hours Data must be electronically uploaded or manually entered and accepted by the end of the 45th calendar day (11:59 PM Eastern Standard Time) following the last day in each fiscal quarter in order to be considered timely.

← Previous Week
Week of 12/03/2017 - 12/09/2017
Next week →

Employee ID	Employee Staffing Details		Sun	Mon	Tue	Wed	Thu	Fri	Sat	Total																														
[REDACTED]	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #e6e6fa;"> <th style="width: 40%;">Labor Category/Job Title</th> <th style="width: 15%;">Pay Type</th> <th style="width: 5%;">Sun</th> <th style="width: 5%;">Mon</th> <th style="width: 5%;">Tue</th> <th style="width: 5%;">Wed</th> <th style="width: 5%;">Thu</th> <th style="width: 5%;">Fri</th> <th style="width: 5%;">Sat</th> <th style="width: 5%;">Total</th> </tr> </thead> <tbody> <tr> <td>Select One... ▼</td> <td>Select One... ▼</td> <td><input type="text"/></td> <td><input type="text"/></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td style="text-align: right;">0.00</td> </tr> <tr style="background-color: #e6e6fa;"> <td colspan="2">+ Add New Work Entry</td> <td style="text-align: center;">0.00</td> <td style="text-align: center;">0.00</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td style="text-align: right;">0.00</td> </tr> </tbody> </table>	Labor Category/Job Title	Pay Type	Sun	Mon	Tue	Wed	Thu	Fri	Sat	Total	Select One... ▼	Select One... ▼	<input type="text"/>	<input type="text"/>						0.00	+ Add New Work Entry		0.00	0.00						0.00									
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Labor Category/Job Title	Pay Type	Sun	Mon	Tue	Wed	Thu	Fri	Sat	Total																															
Select One... ▼	Select One... ▼	<input type="text"/>	<input type="text"/>						0.00																															
+ Add New Work Entry		0.00	0.00						0.00																															

Showing 1 to 2 of 2 entries

⬇ | SAVE CHANGES

i
NOTICE: Meal times (paid or unpaid) must be deducted from each employee's daily hours.

6. **Action:** Select the appropriate **Labor Category/Job Title** from the drop down list. Job titles that are not required to be entered will say 'NOT REQUIRED/OPTIONAL' in the drop down list.

7. Pay Type:
 - a. **Action:** Select the appropriate Pay Type from the drop down list provided.

8. **Action:** Enter each Employee's Time worked for each day. The work week is from Sunday through Saturday. Time entered is calculated in fractions, not as direct hours and minutes. Users will need to round to the nearest 10th when converting minutes to fractions. Facilities may opt to round to the nearest 100th when entering hours. **Please note**, actual minutes worked shall not be reported. For example, if an employee works 7 hours and 33 minutes, 7.33 shall not be reported. The correct time to report would be 7.6 hours or 7.55 hours. Please see below for examples:

For example:

7.1 = 7 hours, 6 minutes

7.5 = 7 hours, 30 minutes

7.8 = 7 hours, 48 minutes

Conversion from minutes to tenths of an hour:

01 to 06 Minutes = 0.1

07 to 12 Minutes = 0.2

- 13 to 18 Minutes = 0.3
- 19 to 24 Minutes = 0.4
- 25 to 30 Minutes = 0.5
- 31 to 36 Minutes = 0.6
- 37 to 42 Minutes = 0.7
- 43 to 48 Minutes = 0.8
- 49 to 54 Minutes = 0.9
- 55 to 60 Minutes = 1.0

In the event an employee has multiple Job Titles you can add additional titles by selecting the Add New Work Entry button located just below the Labor Category/Job Title drop down.

Please Note: Meal times (paid or unpaid) must be deducted from each employee’s daily hours.

The screenshot shows the 'Employee Staffing Details' interface for Employee ID AL00023. It features a table with columns for days of the week (Sun 05/29, Mon 05/30, Tue 05/31, Wed 06/01, Thu 06/02, Fri 06/03, Sat 06/04) and a 'Total' column. Each day column contains a text input field with a value of '0.00'. The 'Total' column also contains a text input field with a value of '0.00'. Below the table, there is a red-bordered button labeled '+ Add New Work Entry'. Above the table, there are two dropdown menus for 'Labor Category/Job Title' and 'Pay Type', both currently showing 'Select One...'. The interface also includes a search bar for Employee ID and navigation links for 'Previous Week' and 'Next week'.

9. **Action:** Select the **Save Changes** button. If your data is not saved, check to be sure you are entering data using Internet Explorer 11. Older browsers may not save your data.

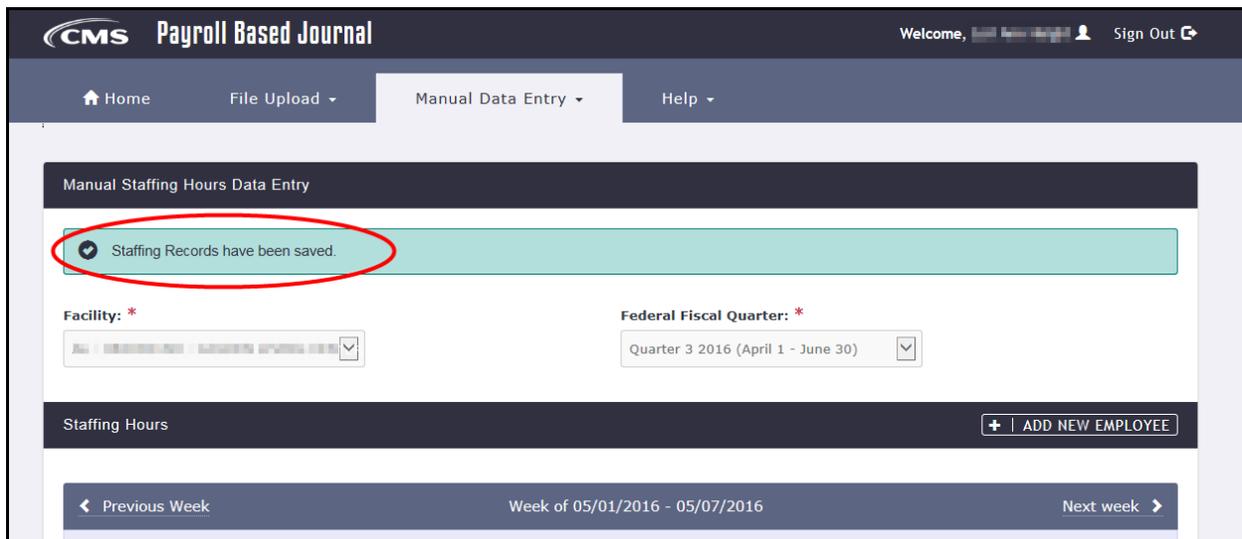
Similar to the Manual Employee Data Entry screen, the number of pages with staffing hour entries as well as a view option to identify how many records will be displayed on each page. These options are displayed at the lower left corner of the Manual Staffing Hours Data Entry screen and will be retained until the user navigates off the page.

4.2.8 Modifying Staffing Data

In the event it becomes necessary to make changes to an employee’s Staffing Hours Data begin by locating the Employee ID and Employee Staffing Details on the Manual Staffing Hours Data Entry screen. To update hours previously entered, highlight the

existing hours and modify as needed. To delete or remove all previously entered Staffing Hours you can either highlight the hours you wish to remove and enter zero (0.00) or delete out the existing hours and save your changes.

Action: Select the Save Changes button located at the bottom of the Manual Staffing Hours Data Entry screen to update the employee record. You will receive a message stating that Staffing Records have been saved.



4.2.9 Census Data

Providing Census Data is optional.

The three types of Census Data are as follows:

- Medicaid: Number of residents whose primary payer is Medicaid.
- Medicare: Number of residents whose primary payer is Medicare.
- Other: Number of residents whose primary payer is neither Medicaid nor Medicare. This will include Medicare Advantage and Managed Medicaid.

The PBJ System is flexible offering two different options to begin entering Census Data manually.

Action: Select 'Manual Data Entry' on the toolbar followed by 'Census Data' from the drop down OR simply select the 'Census Data' option located in the Data Entry section of the Home Page.

The screenshot shows the 'Manual Data Entry' dropdown menu with 'Census Data' selected. Below the menu, the 'Available Entry Options' section lists 'Upload Data File', 'Employee Data', 'Staffing Hours Data', and 'Census Data'. The 'Census Data' option is highlighted with a red box. The 'Reports' section includes 'CASPER Reports'.

After selecting 'Census Data' the Manual Census Data Entry screen will be displayed. Complete the following steps to manually enter Census Data:

1. **Action:** Select the Facility from the drop down menu.
2. **Action:** Select the Federal Fiscal Quarter corresponding to the Census Data being submitted from the drop down menu.
3. **Action:** Select the Select Facility & Quarter button.
4. **Action:**

The screenshot shows the 'Manual Census Data Entry' form. The form has a title bar 'Manual Census Data Entry' with a note '* indicates required field(s)'. Below the title bar is a blue information box stating 'Providing Census Data is optional.' The form contains two dropdown menus: 'Facility: *' and 'Federal Fiscal Quarter: *'. The 'Facility' dropdown is currently blank, and the 'Federal Fiscal Quarter' dropdown is set to 'Quarter 4 2017 (July 1 - September 30)'. Below the dropdowns is a blue button labeled 'SELECT FACILITY & QUARTER >'.

Enter Census Data into the boxes corresponding to the appropriate Date of Census (month end date) displayed under the heading entitled Census Records.

Future dates will not be displayed. The Total Census count will be displayed on the right hand side.

Manual Census Data Entry * indicates required field(s)

Providing Census Data is optional.

Facility: * Federal Fiscal Quarter: *

Quarter 4 2017 (July 1 - September 30)

Census Records

Quarter 4 2017 (July 1 - September 30)

Date of Census	Medicare Census	Medicaid Census	Other Census	Total Census
July 31, 2017	0	0	0	0
August 31, 2017	0	0	0	0
September 30, 2017	0	0	0	0

SAVE CHANGES

5. **Action:** Select the Save Changes button.

4.2.10 Modify Census Data

In the event it becomes necessary to make changes to Census Data which has been previously entered, begin by locating the Date of Census on the Manual Census Data Entry screen. To reach the Manual Census Data Entry screen select Census Data on the PBJ Home Page followed by the appropriate facility and federal fiscal quarter.

Action: Select the Select Facility & Quarter button.

Highlight the existing Census Data and modify as needed. To delete or remove all previously entered Census Data you can either highlight the hours you wish to remove and enter zero (0.00) or delete out the existing hours and save your changes.

Action: Select the Save Changes button located at the bottom of the Manual Census Data Entry screen. You will receive a message stating that the Census Data has been saved.

4.3 PBJ Final File Validation Report

After submitted Payroll Based Journal data files are successfully received by the PBJ System, and the Confirmation Message is generated, files are validated for structure and data content. Within 24 hours of a successful submission a system-generated PBJ Final File Validation Report is created and stored inside the CASPER Reporting system. While this report is generally created within 24 hours of successful submission,

validation time may vary depending on the size of your file and concurrent system activity and in many cases will be available sooner than 24 hours. If after 24 hours you do not have a PBJ Final File Validation Report, it may be necessary to log into CASPER Reporting and select Reports and submit the PBJ Submitter Final File Validation Report after entering the submission ID. If there are serious errors in your xml file, this report will help you troubleshoot those errors

Please Note: The PBJ Final File Validation Report is only available to users who have uploaded XML files; manual data entry users will not receive this report.

The PBJ Final File Validation Report provides critical information such as the status of a selected submission file. This report will indicate whether or not a submission file has been accepted, or rejected, as well as provide the user with a detailed account of any errors or warnings which are applicable to the data or the data file structure submitted. The PBJ Final File Validation Report will be located in the facility specific Validation Report (VR) folder beginning with your two digit state code (e.g.VA), PBJ, Facility ID and ending in VR. The PBJ Final File Validation Report output name includes the Date, Time and Submission ID.

For additional information regarding the system-generated PBJ Final File Validation Report that is automatically placed in your facility's PBJ VR folder after you submit a PBJ file please refer to the CASPER Reporting User's Guide for PBJ Providers which is located on QTSO (<https://www.qtso.com/pbjtrain.html>) OR Section 12 of the CASPER Reporting User's Guide for MDS Providers available on the Welcome to the CMS QIES Systems for Providers page.

Additional information regarding the PBJ Submitter Final File Validation Report, 1700D Employee Report, 1701D Census Report, 1702D Individual Daily Staffing Report and 1702S Staffing Summary Report may also be found within the CASPER Reporting User's Guide for PBJ Providers referenced above.

Please note, only submissions associated to your assigned QIES (PBJ) User ID are available to request a PBJ Submitter Final Validation Report.

The PBJ Final File Validation Report details the following for the specified submission file:

Report Field	Report Field Description
CMS Submission Report	The title of the report.
PBJ Submitter Final File Validation Report	The sub-title of the report.
Submission Date/Time	The date and time the submission file was received by the PBJ system. The time is recorded to the nearest second. mm/dd/yyyy hh:mm:ss
Submission ID	The unique identifier assigned to the submission file when it was received by the system.
Submitter User ID	The user ID of the submitter.

Report Field	Report Field Description
Submission File Name	The name of the submitted zip file.
Submission File Status	The status of the submitted file – Completed or Error. If the file is in error, the file could not be processed. Examples of the Error status are: the file could not be unzipped or there was a database error.
Processing Completion Date/Time	The date and time the file processing was complete. The time is recorded to the nearest second. mm/dd/yyyy hh:mm:ss
# Files Processed	The total number of records processed (accepted and rejected) for the facility from the submission file.
# Files Accepted	The total number of records saved to the database from the submission file.
# Files Rejected	The total number of records for the facility that were not saved to the database because of fatal errors in the record.
# Files Submitted Without Facility Authority	The total number of records for the facility submitted by a user without authority to submit for the facility.
Total # of Messages	The total number of errors (fatal errors and warnings) for all records for the facility in the submission file.
File Name	The name of the submitted XML file.
File Status	The status of the individual XML file. Accepted or Entire XML File Rejected displays when the XML file was accepted or rejected. Invalid displays when the file could not be validated because it was an invalid XML or unexpected type of file, such as a Word doc.
Facility ID	The unique alphanumeric, state-assigned provider identifier.
State Code	The facility's two-digit state code.
Facility Name	The name of the provider associated with the submitted file.
PBJ_ID	The unique identifier assigned to the submitted file by the PBJ system.
File Spec Version	The version number of the file submission specifications used to create the XML record.
Federal Fiscal Year	The fiscal year with which the submitted file is associated.
Fiscal Quarter	The quarter of the fiscal year with which the submitted file is associated.
Total Employee Records	The number of employee records in the submitted file.
Total Staffing Hours Records	The number of staffing hours records in the submitted file.
Total Census Records	The number of census records in the submitted file.
Total Employee Link Records	The number of Employee Link records in the submitted file.
PBJ Item(s)	The PBJ item identifier(s) for which an error (either fatal or warning) occurred. PBJ Items in error are noted for the overall file and specifically for General Information, Employee, Staffing Hours, Census, and Employee Link records.

Report Field	Report Field Description
Item Values	The submitted data value causing the error condition. Item Values in error are noted for overall file (General Information) and specifically for Employee, Staffing Hours, Census, and Employee Link records.
Message Number/Severity	The number used to identify the error encountered for the indicated item. Displayed is also the severity of the error, either Fatal or Warning. For each error in the overall file and the Employee, Staffing, Census, and Employee Link records, the Message Number/Severity is noted.
Message	The description of the error encountered for the indicated item.



**CMS Submission Report
PBJ Final File Validation Report**

Page 1 of 2

Submission Date/Time: 09/12/2017 17:35:36
 Submission ID: [REDACTED]
 Submitter User ID: [REDACTED]
 Submission File Name: Error_4010_product_name.zip
 Submission File Status: Completed
 Processing Completion Date/Time: 09/12/2017 17:36:48

Facility ID: [REDACTED]
 Facility Name: [REDACTED]
 State Code: TX

of Files Processed: 1
 # of Files Accepted: 0
 # of Files Rejected: 1
 # of Files Submitted Without Facility Authority: 0
 Total # of Messages: 2

 File Name: Error_4010_product_name.xml
 File Status: Entire XML File Rejected

PBJ_ID: 2885138
 Federal Fiscal Year: 2017
 Census Data: Not Submitted
 File Spec Version: 1.00.0
 Fiscal Quarter: 4
 Staffing Data: Not Submitted

General Information:

PBJ Item(s):
 Item Values:
 Message Number/Severity:
 Message:

Total Employee Records: 0
 PBJ Item(s):
 Item Values:
 Message Number/Severity:
 Message:

Total Staffing Hour Records: 0
 PBJ Item(s):
 Item Values:
 Message Number/Severity:
 Message:

Total Census Records: 0
 PBJ Item(s):
 Item Values:
 Message Number/Severity:
 Message:

Total Employee Link Records: 1
 PBJ Item(s): Line 12-employeeId
 Item Values: 082459TEST7
 Message Number/Severity: -4021/FATAL
 Message: A value submitted for this item in the Employee Link section must match an existing value for employeeId in the PBJ system. If a match cannot be found, the PBJ Submission file will be rejected.

PBJ Item(s): Line 12-employeeId
 Item Values: 082459TEST8
 Message Number/Severity: -4021/FATAL
 Message: A value submitted for this item in the Employee Link section must match an existing value for employeeId in the PBJ system. If a match cannot be found, the PBJ Submission file will be rejected.

5. System Employee ID & Employee Link

PBJ allows an Employee ID to be linked to one or more Employee IDs in the same Facility.

The method in which this is being implemented in PBJ is through a Linking table. The PBJ system will assign a unique system generated ID to each Employee ID. When a facility links a new Employee ID to an old Employee ID, the system will link these IDs to the same System ID. Therefore, two or more individual Employee IDs can have hours logged to it, and will be joined through the same System ID.

NOTE: For purposes of existing PBJ Reports and screens, the individual Employee ID's will continue to appear on the reports as assigned by the facility. The new field, System Employee ID, is being added, which will show the individual Employee ID's under one System Employee ID, when this option is selected. The system will allow staffing hour submissions for the old and new Employee IDs. You must delete all Employee ID's where the employees are joined under one System ID, if you want to completely delete the employee. The System ID does not replace the current employee IDs that facilities have assigned.

Employee Link Scenarios:

1. Scenario #1: An employee leaves the facility, and then is rehired months later. The timekeeping system the facility uses automatically assigns the employee a new Employee ID when they are rehired (the second Employee ID for the same person).
 - a. What to do:
 - i. In PBJ, when the employee returns, add the Employee using the second Employee ID. Once it's added, you can begin logging hours toward this second Employee ID.
 - ii. Assuming you have not deleted the Employee ID for their first stint of employment, this first Employee ID and the second Employee ID will be submitted in a cross-reference XML file that will tell PBJ to "link" these two Employee IDs.
 - iii. After the employee ID's are linked, the old and new ID's still remain in PBJ and either can have hours logged to them. Do not delete either Employee ID.
2. Scenario #2: A facility changes HR Timekeeping Vendors. The new vendor cannot use the Employee ID's of the old vendor. Every employee in the facility will be given a new Employee ID.
 - a. What to do:
 - i. In PBJ, add all of the new Employee ID's of the new vendor as if these are all new employees. Once added, you can begin logging hours toward these new Employee ID's.
 - ii. Submit a cross-reference XML file that will tell PBJ to "link" corresponding Employee IDs.
 - iii. After the employee ID's are linked, the old and new ID's still remain in PBJ and either can have hours logged to them. Do not delete either Employee ID.

6. Troubleshooting & Support

The following sub-sections provide detailed, step-by-step instructions on how to use the various functions or features of PBJ.

6.1 Error Messages

6.1.1 Payroll Based Journal Systems Edits: See Appendix F

6.1.2 Technical Data Specifications: See Appendix G

6.2 Special Considerations

Not Applicable

6.2.1 XML (XSD) Helpful Hints for Vendors

The following information should be reviewed by facilities/vendors who intend to utilize the XML submission process in conjunction with the provided XSD.

6.2.1.1 XML Schema Definition (XSD)

An XML Schema Definition (XSD) file has been provided with the PBJ Technical Data Specifications along with a sample XML file. The XSD defines the layout of the XML document, acting as a "data contract" so those providing the XML know what format is to be expected. This file should be used in conjunction with the Technical Data Specifications documentation to better understand the PBJ data file submission requirements.

The XSD may be used to help generate code to assist in working with an existing XML file or may be used to generate a basic XML file with formatting already in place. Potential ways of doing this would be the JAXB framework for Java or the XML Schema Definition Tool for C#.NET.

The XSD can also be used as an instant validation tool. Software development tools such as Eclipse can provide instant feedback on whether or not an XML file is in the valid format based on the XSD.

The XSD will handle all data types and field length validations however it does not cover all of the rules defined in the Technical Data Specifications. Additional validations will be performed on the server-side after a submission has taken place.

The XSD file is split into five main sections:

- Header
- Employee
- Staffing Hours

- Census
- Employee Link

The Header section is required as well as a minimum of one additional section, Employee, Staffing Hours, Census or Employee Link section. The **PBJ XSD Admin file** should be used for the Employee Link and **PBJ XSD file** should be used for Employee, Staffing and Census data.

The CMS website contains the Payroll Based Journal Technical Data Specifications required for PBJ XML data files. To access the CMS website, copy and paste the following link into your URL Window:

<http://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/Staffing-Data-Submission-PBJ.html>

Scroll to the Downloads section for the PBJ Data Specifications:

Downloads

[Linking Methodology \[PDF, 82KB\]](#) 

[PBJ Excel to XML Template v.2.00.3 \[ZIP, 20KB\]](#) 

[NHPBJ and PBJ XSD File \[ZIP, 2KB\]](#) 

[PBJ Excel to XML Template v.2.00.1 \[ZIP, 19KB\]](#) 

[PBJ 3.0 Submission Specs V3.00.0 for the November 20, 2017 Release \[ZIP, 1MB\]](#) 

[PBJ QTSO Registration and Training 8-4-15 \[PDF, 77KB\]](#) 

[PBJ Policy Manual Final \(V2.4\) 9-26-17 \[PDF, 336KB\]](#) 

[PBJ Policy Manual FAQ 09-26-17 \[PDF, 127KB\]](#) 

[PBJ Summary Presentation - 06-10-2016 \[PDF, 706KB\]](#) 

[PBJ Technical Specifications FAQ 12-14-15 \[PDF, 146KB\]](#) 

[Survey and Cert Letter 17-45 \[PDF, 129KB\]](#) 

6.2.1.2 Process Type

The “process type” within the <staffing hours> and <census> tags located in the XML are used to control how the data within these sections will be processed. There are two possible values for “process type”: “merge” and “replace”.

Replace

If "process type" is set to the value "replace" in the XML then all the data for that specific section (census or staffing) for the specified quarter will be removed from the active database, and then replaced with the data submitted in the file. The replace functionality will also remove all data that was previously entered thru manual data entry.

Merge

If “process type” is set to the value “merge” in the XML then the data within that section will be processed as follows:

Staffing Hours data will be matched on the employee ID and date. If data exists for a specific day/employee ID combination, it will be overwritten; otherwise the data for that day is simply added.

Census data will be matched on the month end date. If data exists for a specific month end date, it will be overwritten; otherwise the data for that day is simply added.

Sample Merge/Replace scenarios

The scenarios below demonstrate how each value will function in the PBJ System.

Scenario #1: A facility submits hours for week one for all employees. Then they submit hours for week two with process type = "merge". Week one's hours are left intact and week two's hours are added on.

Scenario #2: A facility submits hours for week one for all employees. Then they submit hours for week two with process type = "replace". Week one's hours are removed and week two's hours are added. Only week two hours will remain in the database.

Scenario #3: A facility submits hours for week one for all employees. They realize they made a mistake for a single employee on a single day. For EMP1234 they had four hours on Job Title One and five hours on Job Title Two on 4/28/2015. They submit a file with process type = "merge" that only contains three hours on Job Title Three and four hours on Job Title Four on 4/28/2015. The original hours on Job Title One and Job Title Two are removed, and the hours for Job Title Three and Job Title Four are added. No other data was affected by the merge.

Scenario #4: If staffing data is submitted in the same XML for the same employee id and date the staffing hours will be added together.

Scenario #5: If census data is submitted for the same month end date multiple times in the same XML the census count will be added together.

Note, for .zip files containing multiple XML files, there is no guarantee to the order in which the XML files will be processed within the .zip file. If order of processing is important, submit XML files in two separate .zip files and ensure processing has completed for the first .zip file before submitting the second .zip file.

6.3 Support

The QIES Technical Support Office (QTSO) Help Desk is available for technical support and assistance if needed and may be contacted by phone at 800-339-9313 or by email to help@qtso.com. To access the QTSO website, enter: <https://www.qtso.com>.

Appendix A: Record of Changes

Table 1: Record of Changes

Version Number	Date	Author/Owner	Description of Change
3.0.0	11/2017	CMS	<ul style="list-style-type: none">• Added section about Linking Process and System Employee ID• Updated Census section since Census Data is now optional

Appendix B: Acronyms

Table 2: Acronyms

Acronym	Literal Translation
CASPER	Certification And Survey Provider Enhanced Reporting
CCN	CMS Certification Number
CFR	Code of Federal Regulations
CMS	Centers for Medicare and Medicaid Services
CO	Central Office Staff
CSV	Comma Separated Value
DNH	Division of Nursing Homes
FFY	Federal Fiscal Year
HTTP	Hyper Text Transfer Protocol
JE	Journal Entry
MDS	Minimum Data Set
NHC	Nursing Home Compare
NHQI	Nursing Home Quality Initiative
OIS	Office of Information Services
PBJ	Payroll Based Journal
PDF	Portable Document Format
QIES	Quality Information and Evaluation System
QW	QIES Workbench
RO	Regional Office Staff

Acronym	Literal Translation
S & C	Survey and Certification
SA	State Survey Agency
SSA	Social Security Administration
USPS	United States Postal Service
XML	Extensible Markup Language

Appendix C: Glossary

Not Applicable

Appendix D: Referenced Documents

Table 3: Referenced Documents

Document Name	Document Location and/or URL	Issuance Date
PBJ policy manual	https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/Staffing-Data-Submission-PBJ.html	9/2017
Installation Guide for CMSNet Remote Users	https://www.qtso.com/cmsnet.html	12/2014
CASPER Reporting User's Guide For PBJ Providers	https://www.qtso.com/pbjtrain.html	12/2017
MDS Access Information	https://www.qtso.com/accessmds.html	5/2014
PBJ Provider User's Guide	https://www.qtso.com/pbjtrain.html	12/2017
PBJ Data Specifications	https://www.cms.gov/Medicare/Quality-Initiatives-Patient-Assessment-Instruments/NursingHomeQualityInits/Staffing-Data-Submission-PBJ.html	11/2017

Appendix E: Approvals

The undersigned acknowledge that they have reviewed the User Manual and agree with the information presented within this document. Changes to this User Manual will be coordinated with, and approved by, the undersigned, or their designated representatives.

Approval: CMS Approved Date: 11/8/2017

XLC Template Revision History

Table 4: XLC Template Revision History

Version Number	Date	Author/Owner	Description of Change
1.0	11/20/2017	CMS	Original
1.01	12/10/2017	CMS	Alert Screen Updates, Meal Time Verbiage and Active Quarter Selection

Appendix F: Payroll Based Journal Systems Edits

Error ID	Severity	Error Message	Error Description
-1001	Fatal	Invalid XML File Format: The submitted file is not structured properly and cannot be processed.	<p>Cause:</p> <p>The submitted record is not a properly structured XML file and cannot be processed.</p> <p>Tips:</p> <p>Beginning and ending tags must enclose the entire record.</p> <p>Beginning and ending tags must enclose each item of the record.</p> <p>Item values must conform to the allowable character set.</p> <p>Action:</p> <p>Contact your software vendor.</p> <p>Make appropriate corrections to the record and resubmit.</p>
-1002	Fatal	Unable to Process Record: An error occurred in the PBJ System. Please contact the QTSO Help Desk.	<p>Cause:</p> <p>An error occurred while inserting the record into the database.</p> <p>Action:</p> <p>Please notify the QTSO Help Desk and resubmit at a later time.</p>

Error ID	Severity	Error Message	Error Description
-1003	Informational	A ZIP file inside another ZIP file has been Detected: The system is unable to process XML files within sub ZIP files, they will not be processed.	<p>Cause: XML files have been placed inside a ZIP file within the ZIP file.</p> <p>Action: Remove XML files from sub ZIP file.</p>
-1004	Fatal	Unable to Process Record: Quarter/Fiscal Year do not match previous user selection.	<p>Cause: Reporting period selected on upload screen doesn't match submitted XML.</p> <p>Action: Review selections to ensure information consistency.</p>
-1005	Warning	Matching Staffing Records: XML contained multiple staffing records for the same employee id, job code and date.	<p>Cause: XML contained multiple staffing records for the same employee id, job code and date.</p> <p>Action: Review staffing records to ensure information is correct.</p>
-1006	Warning	Matching Census Records: XML contained multiple census records for the same month end date.	<p>Cause: XML contained multiple census records for the same month end date.</p> <p>Action: Review census records to ensure information is correct.</p>

Error ID	Severity	Error Message	Error Description
-1007	Fatal	Invalid File: Records must end in .XML to be accepted.	<p>Cause: A file was submitted that didn't end in .XML.</p> <p>Action: Correct file extension and resubmit.</p>
-1008	Fatal	Unable to Process Record: The file name exceeds the 100 character limit.	<p>Cause: A file name is greater than 100 characters.</p> <p>Action: Correct file name and resubmit.</p>
-1009	Fatal	Invalid Date: The date must contain a year equal to or greater than 1895.	<p>Cause: A date field has a year prior to 1895.</p> <p>Action: Correct date and resubmit.</p>
-1010	Fatal	File contains records with dates that are not within the date range of the reportQuarter (specified in the Header section of the PBJ submission file). These records were not processed and must be resubmitted for the appropriate quarter.	<p>Cause: A date has been entered in the staffing hours and/or census record that is not within the date range specific in the header section of the PBJ submission file.</p> <p>Action: Correct date and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-1011	Fatal	Submitted file did not contain any data files to process.	<p>Cause: The submitted file did not contain any data files to process.</p> <p>Action: Please correct the noted error condition and resubmit.</p>
-1012	Fatal	Submitted file contained files that were password-protected	<p>Cause: The submitted file contained files that were password-protected.</p> <p>Action: Please disable password protection on all XML files and resubmit.</p>
-1013	Fatal	Submitted file could not be processed.	<p>Cause: The submitted file could not be processed.</p> <p>Action: Please correct the noted error condition and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-1014	Fatal	Invalid Submission: This record was submitted more than 24 months after the provider's closed date.	<p>Cause:</p> <p>The submission date of this record is more than 24 months after the date the provider closed.</p> <p>Action:</p> <p>No action is necessary. If you believe this error is invalid, contact your State Coordinator.</p>
-1015	Fatal	Submitted file contains an XML file that is greater than 50MB.	<p>Cause:</p> <p>The submitted file contains an XML file that is greater than 50MB.</p> <p>Action:</p> <p>Decrease the size of the XML file and resubmit.</p>

Appendix G: Technical Data Specifications

Error ID	Severity	Error Message	Error Description
-3676	Fatal	Values of Code and Checklist Items: Only the coded values listed in the "Item Values" table of the Detailed Data Specification Report may be submitted for this item.	<p>Cause:</p> <p>The submitted record didn't have the appropriate values from the Detailed Data Specs for one of the following: Specifications version code, Facility's state postal code, Reporting quarter, Pay Type Code, Process type for items in the section or Job title code.</p> <p>Action:</p> <p>Check the Data Specs to ensure appropriate values are being used.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-3677	Fatal	Values of Date Items: This item must contain a valid date in YYYY-MM-DD format.	<p>Cause:</p> <p>The submitted record had a date value which didn't follow the prescribed format (YYYY-MM-DD).</p> <p>Action:</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3679	Fatal	<p>Values of Numeric Items: Only the values listed in the "Item Values" table of the Detailed Data Specifications Report may be submitted for this item. The submitted value must be greater than or equal to the minimum value listed in the table and less than or equal to the maximum value listed in the table, or it must match one of the remaining special values (if any) that are listed in the table. The length of the submitted value must not exceed the allowed maximum length for the item.</p>	<p>Cause:</p> <p>The submitted record didn't have the appropriate values from the Detailed Data Specs for one of the following: Federal Fiscal report year, Hours worked for the Job Title Code on date, Medicaid resident count-last day of month, Medicare resident count-last day of month, or Other resident count-last day of month.</p> <p>Action:</p> <p>Check the Data Specs to ensure appropriate values are being used. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3680	Fatal	<p>Formatting of Integer Numeric Items: Only integer values and the special values (if any) that are listed in the "Item Values" table of the Detailed Data Specifications Report will be accepted for this item. Leading zeroes may be included or omitted from the submitted value as long as the resulting length of the string does not exceed the allowed maximum length for the item. A decimal point and decimal values may not be included.</p> <p>The following examples are allowable if the value to be submitted is equal to [1] and the maximum length is equal to 2: [1], [01]. The following values are NOT allowed and will lead to a fatal error: [1.], [1.0], [.01], [01.0], [1.1], [.01.1], [1.01].</p>	<p>Cause: The submitted record didn't have the appropriate numeric (integer & special) values from the Detailed Data Specs.</p> <p>Action: Check the Data Specs to ensure appropriate values are being used. Make the appropriate correction(s) to the record(s) and resubmit.</p>

<p>-3682</p>	<p>Fatal</p>	<p>Formatting of Numeric Items with Tenths Decimal Values: Only integer values, values with tenths decimals, and the special values (if any) that are listed in the "Item Values" table of the Detailed Data Specifications Report will be accepted for this item. Leading and trailing zeroes may be included or omitted from the submitted value as long as the resulting length of the string does not exceed the allowed maximum length for the item. A decimal point and tenth value may be included; however the fractional portion beyond the tenths decimal place must not be included.</p> <p>The following examples are allowable if the value to be submitted is equal to [1.2] and the maximum length is equal to 4: [1.2], [01.2]. The following values are NOT allowed and will lead to a fatal error: [1.21], [1.20].</p> <p>The following examples are allowable if the value to be submitted is an integer equal to</p>	<p>Cause: The submitted record didn't have the appropriate numeric values with decimal points from the Detailed Data Specs.</p> <p>Action: Check the Data Specs to ensure appropriate values are being used. Make the appropriate correction(s) to the record(s) and resubmit.</p>
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Error ID	Severity	Error Message	Error Description
		[1] and the maximum length is equal to 4: [1], [01], [1.], [01.], [1.0], [01.0]. The following values are NOT allowed and will lead to a fatal error: [1.00], [01.00].	
-3687	Fatal	Formatting of Numeric Text Items: If this item is not equal to one of the special values (if any) listed in the Item Values table of the Detailed Data Specifications Report, and then it must contain a text string. This text string may contain only the following characters: a) The numeric characters: [0] through [9].	<p>Cause: The submitted record didn't have the appropriate numeric values with special values from the Detailed Data Specs.</p> <p>Action: Check the Data Specs to ensure appropriate values are being used. Make the appropriate correction(s) to the record(s) and resubmit.</p>
-3688	Fatal	Formatting of Alphanumeric Text Items: This item must contain a text string. This text string may contain only the following characters: a) The numeric characters: [0] through [9]. b) The letters [A] through [Z] and [a] through [z].	<p>Cause: The submitted record didn't have the appropriate alphanumeric values from the Detailed Data Specs.</p> <p>Action: Check the Data Specs to ensure appropriate values are being used. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3690	Fatal	<p>Formatting of Alphanumeric Text Items That Can Contain Dashes, Spaces, and Special Characters:</p> <p>If this item is not equal to one of the special values (if any) that are listed in the Item Values table of the Detailed Data Specifications Report, then it must contain a text string. This text string may contain only the following characters:</p> <ul style="list-style-type: none"> a) The numeric characters: [0] through [9]. b) The letters [A] through [Z] and [a] through [z]. c) The character [-]. d) The following special characters: [@] (at sign) ['] (single quote) [/] (forward slash) [+] (plus sign) [,] (comma) [.] (period) [_] (underscore) e) Embedded spaces (spaces surrounded by any of the characters listed above). For example, [LEGAL TEXT] would be allowed. 	<p>Cause:</p> <p>The submitted record didn't have the appropriate alphanumeric values (dashes, spaces & special characters) from the Detailed Data Specs for Software product version code.</p> <p>Action:</p> <p>Check the Data Specs to ensure appropriate values are being used.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3691	Fatal	<p>Formatting of Alphanumeric Text Items That Can Contain Special Characters: If this item is not equal to one of the special values (if any) that are listed in the Item Values table of the Detailed Data Specifications Report, then it must contain a text string. This text string may contain only the following characters:</p> <ul style="list-style-type: none"> a) The numeric characters: [0] through [9]. b) The letters [A] through [Z] and [a] through [z]. c) The following special characters: [@] (at sign) ['] (single quote) [/] (forward slash) [+] (plus sign) [,] (comma) [.] (period) [_] (underscore) 	<p>Cause: The submitted record didn't have the appropriate alphanumeric containing special values from the Detailed Data Specs.</p> <p>Action: Check the Data Specs to ensure appropriate values are being used. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3692	Fatal	Formatting of email address. Any valid email address will be accepted. The text string may contain any printable characters except the following: ' single quote " double quote , comma ; semi-colon : colon \ back slash () right and left parentheses [] right and left brackets { } right and left braces < less than > greater than space (embedded space)	<p>Cause: The submitted record didn't have the appropriately formatted Software vendor email address.</p> <p>Action: Contact you software vendor to attain the correct email address. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3693	Fatal	<p>facilityId is the facility/provider ID. CCN is the CMS Certification Number.</p> <p>a) The facilityId must be assigned to the provider. The state agency assigns the facilityId to nursing homes. The submitted value must match the facilityId in the PBJ System for the facility or provider. There is no CCN in the CMS database. Your file cannot be saved until there is a valid CCN entered. Once the CCN is entered, please resubmit this submission. Contact your facility Administrator to work with your state to enter the CCN once it is assigned by CMS.</p> <p>b) A user submitting a file for a provider must be authorized to submit for the provider identified by the FAC_ID item in the file. A valid CCN is also required for authorization.</p>	<p>Cause:</p> <p>The submitted record didn't have the appropriately assigned FacID (facility ID) or valid CCN.</p> <p>Action:</p> <p>Contact your State Survey Agency to attain the correct FacID. Contact your facility Administrator to work with your state to enter the CCN once it is assigned by CMS.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-3702	Fatal	This is a required text item. A valid non-blank value must be submitted.	<p>Cause:</p> <p>The submitted record didn't have any data submitted for the assigned FacID (facility ID).</p> <p>Action:</p> <p>Contact your State Survey Agency to attain the correct FacID.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-3793	Fatal	The length of the text submitted for a free-form text item must not exceed the maximum length specified for that item.	<p>Cause:</p> <p>The submitted record exceeded the maximum length specified for one of the following: FacID, Software vendor name, Software vendor email address, Software product name, Software product version code, Old Employee ID, New Employee ID or Employee ID.</p> <p>Action:</p> <p>Contact your State Survey Agency to attain the correct FacID.</p> <p>Contact you Software Vendor for items related to the vendor.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

<p>-3802</p>	<p>Fatal</p>	<p>Formatting of Alphanumeric Text Items That Can Contain Dashes, Spaces, Ampersands, and Other Special Characters: If this item is not equal to one of the special values (if any) that are listed in the Item Values table of the Detailed Data Specifications Report, then it must contain a text string. This text string may contain only the following characters: a) The numeric characters: [0] through [9]. b) The letters [A] through [Z] and [a] through [z]. c) The character [-]. d) The following special characters: [&] (ampersand) [@] (at sign) ['] (single quote) [/] (forward slash) [+] (plus sign) [,] (comma) [.] (period) [_] (underscore) e) Embedded spaces (spaces surrounded by any of the characters listed above). For example, [LEGAL TEXT] would be allowed.</p>	<p>Cause: The submitted record didn't have the appropriate alphanumeric values (special values) for the Software vendor name or Software product name.</p> <p>Action: Contact you software vendor to attain the correct information. Make the appropriate correction(s) to the record(s) and resubmit.</p>
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Error ID	Severity	Error Message	Error Description
-3807	Warning	Version Code Values The version code submitted should match one of the values listed in the "Item Values" table of the Detailed Data Specifications Report.	<p>Cause: The submitted record didn't have the appropriate version code from the Detailed Data.</p> <p>Action: Check the Data Specs to ensure appropriate values are being used. Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4000	Fatal	The day (DD) portion of the date (YYYY-MM-DD) must be equal to the value of the last day of the specified month.	<p>Cause: The submitted record's day was not the last day of the specified month for Census month end date.</p> <p>Action: Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4002	Fatal	The date must be earlier than or equal to the current date.	<p>Cause: The submitted record had an employee's hire date into the future (great than the current date) for Hire date, Termination date, Date of the work day or Census month end date.</p> <p>Action: Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-4003	Fatal	This item is a part of the Header section, and it is required on all PBJ submission files.	<p>Cause: The submitted record was missing at least one of the required items (e.g., Specifications version code, Fac ID, Zip Code, Reporting quarter, or Federal Fiscal report year).</p> <p>Action: Contact the State Survey Agency for you FacID. Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4004	Fatal	This item is a part of the Employee section, and it is required whenever the Employee section is included in a PBJ submission file.	<p>Cause: The submitted record was missing at least one of the required items for the Employee section (e.g., Employee ID, Hire date, or Pay type code).</p> <p>Action: Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4005	Warning	This item is an optional part of the Employee section. Edits only apply when a value is submitted. Please read the Overview document for additional information on the processing of termination Date.	<p>Cause: The submitted record was missing information for the optional section of the Employee section for Termination date.</p> <p>Action: Review the Overview document. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-4006	Fatal	This item is a part of the Staffing Hour section, and it is required whenever the Staffing Hour section is included in a PBJ submission file.	<p>Cause:</p> <p>The submitted record was missing at least one of the required items for the Staffing Hour section (e.g., Employee ID, Date of the work day, Hours worked for Job Title Code on date, or Job title code).</p> <p>Action:</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4007	Fatal	This item is a part of the Census section, and it is required whenever the Census section is included in a PBJ submission file.	<p>Cause:</p> <p>The submitted record was missing at least one of the required items for the Census section (e.g., Census month end date, Medicaid resident count-last day of month, Medicare resident count-last day of month or Other resident count-last day of month).</p> <p>Action:</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4008	Fatal	This item is applicable to both the Staffing Hour and Census sections, and it is required. The item controls how submitted Staffing Hour and Census data will be processed by the PBJ System. See the Overview document for further information.	<p>Cause:</p> <p>The submitted record was missing to enable the accurate processing of Staffing Hour and Census data (e.g., Process type for items in the section).</p> <p>Action:</p> <p>Review the Overview document.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-4009	Warning	If the current date is later than 45 days since the end of the federal fiscal quarter for the current PBJ submission file, then the submitted data will not be included in the Nursing Home Compare reports.	<p>Cause:</p> <p>The submitted record was 45 days or more after the end of the Federal Fiscal Quarter.</p> <p>Action:</p> <p>No action is necessary, but this just reminds the facility their data didn't make the deadline date to be posted for the Nursing Home Compare reports.</p>
-4010	Warning	This item is an optional part of the Header section. Edits only apply when a value is submitted.	<p>Cause:</p> <p>The submitted record was missing at least one of the required items when the optional part of the Header section is completed (e.g., Software vendor, Software vendor email address, Software product or Software product version code).</p> <p>Action:</p> <p>Contact your software vendor to attain the correct information.</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4015	Fatal	The total number of hours by an employee for a single date must be less than or equal to 24.00. This total includes the sum of all hours across all jobTitleCodes for the specified date.	<p>Cause:</p> <p>The submitted record reflects at least one Employee ID have more than 24 hours in a single date.</p> <p>Action:</p> <p>Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-4016	Fatal	A value submitted for employee ID in the Staffing Hour section must match an existing value for employee ID in the PBJ System. If a match cannot be found, the PBJ submission file will be rejected.	<p>Cause: The submitted record didn't reflect an existing Employee ID in the system.</p> <p>Action: Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4017	Warning	Note this item is part of the section XML tags, i.e., it does not have its own XML tag.	<p>Cause: The submitted record had issues with the XML tag section.</p> <p>Action: Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4018	Fatal	The Old Employee ID, New Employee ID or Employee ID contains an invalid special character. Valid special characters include underscore, comma, period, dash and backslash.	<p>Cause: The Old Employee ID, New Employee ID or Employee ID contains an invalid special character.</p> <p>Action: Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4019	Fatal	The date must contain a year earlier than or equal to 2025.	<p>Cause: The date must contain a year earlier than or equal to 2025.</p> <p>Action: Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-4020	Fatal	This item is a part of the Employee Link section, and it is required whenever the Employee Link section is included in a PBJ submission file.	<p>Cause: Item is required for successful submission of the Employee Link file.</p> <p>Action: Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4021	Fatal	A value submitted for this item in the Employee Link section must match an existing value for employeeld in the PBJ system. If a match cannot be found, the PBJ submission file will be rejected.	<p>Cause: A value submitted for this item in the Employee Link section must match an existing value for employeeld in the PBJ system. If a match cannot be found, the PBJ submission file will be rejected.</p> <p>Action: Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4022	Fatal	The report quarter must be equal to the current quarter for Employee Link data in a PBJ Administration Submission file.	<p>Cause: The report quarter must be equal to the current quarter for Employee Link data in a PBJ Administration Submission file.</p> <p>Action: Make the appropriate correction(s) to the record(s) and resubmit.</p>
-4023	Fatal	This item is an optional part of the Employee Link section. Edits only apply when a value is submitted.	<p>Cause: This item is an optional part of the Employee Link section. Edits only apply when a value is submitted.</p> <p>Action: Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
-4024	Fatal	The same value for oldEmployeeId and/or newEmployeeId cannot be listed more than once in the Employee Link section.	<p>Cause: The same value for oldEmployeeId and/or newEmployeeId cannot be listed more than once in the Employee Link section.</p> <p>Action: Make the appropriate correction(s) to the record(s) and resubmit.</p>
Date	Fatal	See edits -3677, -4002 or -4015 with a valid date relative to Staffing.	<p>Cause: See the cause for edits -3677, -4002 or -4015 with a valid date relative to Staffing section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Employee ID	Fatal	See edits -3793, -4004, -4006, or -4016 for the Employee ID.	<p>Cause: See the cause for edits -3793, -4004, -4006, or -4016 with valid data relative to Employee and Staffing sections.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
FacID	Fatal	See edits -3693, -3702, -3793, or -4003 for the Facility ID.	<p>Cause: See the cause for edits -3693, -3702, -3793, or -4003 with a valid FacID in the Header section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Federal Fiscal Year	Fatal	See edits -3679 or -4003 for the Federal Fiscal Year.	<p>Cause: See the cause for edits -3679 or -4002 with the appropriate data for the Federal Fiscal year in the Header section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
File Spec Version	Fatal or Warning	<p>2.00.3 For use ONLY with the PBJ Submission file; second version</p> <p>1.00.0 For use ONLY with the PBJ Administration Submission file; first version</p> <p>See edits -3676 or -4003 for Fatal and -4017 for Warning for the File Spec Version.</p>	<p>Cause: See the cause for edits -3676, -4003, or -4017 with the appropriate File Spec version in the Header section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
Hire Date	Fatal	See edits -3677, -4005 or -4019 for the Hire Date.	<p>Cause: See edits -3677, -4005 or -4019 for the Hire Date.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Hours	Fatal	See edits -3679, -4006, or -4015 for Hours.	<p>Cause: See the cause for edits -3679, -4006, or -4015 with the appropriate data for the Hours in the Staffing section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Job Title Code	Fatal	See edits -3676 or -4006 for Job Title Code.	<p>Cause: See the cause for edits -3676 or -4006 with the appropriate data for the Job Title Code in the Staffing section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
Medicaid	Fatal	See edits -3679 or -4007 for Medicaid.	<p>Cause: See the cause for edits -3679 or -4007 with the appropriate data for the Medicaid count in the Census section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Medicare	Fatal	See edits -3679 or -4007 for Medicare.	<p>Cause: See the cause for edits -3679 or -4007 with the appropriate data for the Medicare count in the Census section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Month End Date	Fatal	See edits -3677, -4000, -4002, or -4007 for Month End Date.	<p>Cause: See the cause for edits -3677, -4000, -4002 or -4007 with the appropriate data for the Month End Date in the Census section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
Other	Fatal	See edits -3679 or -4007 for Other.	<p>Cause: See the cause for edits -3679 or -4007 with the appropriate data for the Other count in the Census section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Pay Type Code	Fatal	See edits -3676 or -4004 for Pay Type Code	<p>Cause: See the cause for edits -3679 or -4004 with the appropriate data for Pay Type Code in the Employee section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Process Type	Fatal or Warning	See edits -3676 or -4008 (Fatal) or -4017 (Warning) for Process Type.	<p>Cause: See the cause for edits -3676, -4008, or -4017 with the merging and replacing of data in the Staffing and Census sections.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
Report Quarter	Fatal or Warning	See edits -3676, -4003, or -4009 (Warning) for Report Quarter.	<p>Cause: See the cause for edits -3676, -4008, or -4017 with the Reporting quarter data in the Header section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Software Product Name	Fatal or Warning	See edits -3793 or -3802 (Fatal) or -4010 (Warning) for Software Product Name.	<p>Cause: See the cause for edits -3793, -3802, or -4010 with the software product name in the Header section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Software Product Version	Fatal or Warning	See edits -3690 or -3793 (Fatal) or -4010 (Warning) for Software Product Version.	<p>Cause: See the cause for edits -3690, -3793, or -4010 with the software product version in the Header section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
Software Vendor Email	Fatal or Warning	See edits -3692 or -3793 (Fatal) or -4010 (Warning) for Software Vendor Email.	<p>Cause: See the cause for edits -3692, -3793, or -4010 with the software vendor email address in the Header section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
Software Vendor Name	Fatal or Warning	See edits -3693 or -3802 (Fatal) or -4010 (Warning) for Software Vendor Name.	<p>Cause: See the cause for edits -3693, -3802, or -4010 with the software vendor name in the Header section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>
State Code	Fatal	See edits -3676 or -4003 for State Code.	<p>Cause: See the cause for edits -3676, or -4003 with the state code in the Header section.</p> <p>Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.</p>

Error ID	Severity	Error Message	Error Description
Termination Date	Fatal or Warning	See edits -3677, -4002 (Fatal) or -4005 (Warning) for the Termination Date.	Cause: See the cause for edits -3677, -4002, or -4005 with the termination date in the Employee section. Action: See the action for the above edits. Make the appropriate correction(s) to the record(s) and resubmit.