

QRDA Category I Conformance Statement Resource – CY 2017 eCQM Reporting

Updated November 2017

Release Notes

- November 2016 Initial posting of this resource for the CY 2016 reporting period
- February 2017 Updated posting of this resource
- November 2017 Updated this resource for use during the CY 2017 reporting period

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QRDA Category I Conformance Statement Resource Overview

As of Calendar Year 2017, Quality Reporting Document Architecture (QRDA) Category I files are submitted by Eligible Hospitals (EHs) to fulfill a portion of the mandatory electronic Clinical Quality Measure (eCQM) reporting requirements for the Centers for Medicare & Medicaid Services (CMS) Hospital Inpatient Quality Reporting (IQR) and Medicare Electronic Health Record (EHR) Incentive Programs.

When test or production files are submitted for processing to the CMS data receiving system within the *QualityNet Secure Portal*, errors are identified with a conformance statement, or system requirement. These statements are referred to with a CONF number. CONF numbers are generated to tell the data submitter why the file was rejected and unable to be processed.

There are two types of conformance statements with different formats for the CONF number: the CMS CONF numbers and Health Level Seven (HL7) Clinical Document Architecture (CDA) QRDA Category I Errors. The Conformance Statement Resource was developed to assist data submitters to resolve file upload errors by providing additional explanations and reference material to support successful submission.

Two Types of QRDA Category I Conformance Statements

CMS CONF Number

 CMS CONF number format: CONF:CMS_xxxx

Example: CONF: CMS_0010

 Reference material: The <u>2017 CMS QRDA I</u> <u>Implementation Guide</u>.

HL7 CDA QRDA Errors

 HL7 CDA QRDA errors format: Has no CMS prefix

Example: CONF:1198-6394

• Reference material: Visit the HL7 website to obtain the HL7 CDA® R2 IG: Quality Reporting Document Architecture Category I (QRDA I) DSTU Release 3.1 (US Realm).

NOTE: The HL7 website may require a HL7 account to be created in order to download the Implementation Guide (IG).

How to Use this QRDA Category I Conformance Statement Resource

The next page provides a table of commonly occurring CONF statements associated with the submittal of QRDA Category I files for CY 2017 eCQM reporting. To obtain details on specific conformance or error messages:

- 1. Select the CONF number (highlighted as a blue link) to view the error description, the meaning of the error message, and details on how to resolve the error.
- 2. Choose **Select a new CONF Number** to return to the CONF Number table.
- 3. When done, select **End** at the bottom right hand corner of the page to review a list of resources. Exit the tool by clicking the **X** in the top right hand corner of the tool.

Select a CONF Number From the Table Below

Conformance Statements Added During the November 2017 Update

```
CONF: CMS 0006 – Data Validation: Missing or Multiple CMS EHR IDs
```

- CONF: CMS 0008 Data Validation: Improper Extension for CMS EHR ID
- CONF: CMS 0026 Improper Extension for intendedRecipient ID
- CONF: CMS 0061 Encounter Performed Discharge Date Error
- CONF: CMS 0067 Submitter Not Authorized to Submit
- CONF: CMS 0071 Data Validation: Not Well-Formed QRDA XML
- CONF: CMS 0115 Data Validation: NPI Should Have 10 Digits
- CONF: CMS 0117 Data Validation: NPI Should Have Correct Checksum
- CONF: CMS 0121 Inconsistent Use of UTC Offset
- CONF: 67-13372 Missing or Multiple participantRole Elements
- CONF: 1098-31880 Encounter Order Status Code
- CONF: 1198-5524 Missing Custodian Organization Name
- CONF: 2228-14431 Missing Patient Characteristic Payer
- CONF: 2228-27343 Intervention Order Author Participation
- CONF: 2228-28472 Encounter Order Act Missing ID
- CONF: 2228-28480 Encounter Performed Act Missing ID

Conformance Statements Previously in this Document

- CONF: CMS 0035 CCN length
- CONF: CMS_0060 Encounter Performed Discharge Date Null
- CONF: CMS 0062 Encounter Performed Admission Date
- <u>CONF: CMS_0063</u> Encounter Performed Discharge Date
- CONF: CMS 0066 CCN cannot be validated
- CONF: CMS 0068 Dummy CCN
- CONF: CMS 0072 QRDA Document Format Error
- CONF: CMS 0073 QRDA Document Format Error
- CONF: CMS_0074 Version Specific Measure Identifier
- CONF: CMS 0075 Admission Date [Effective Time / low value]
- <u>CONF: CMS_0076</u> Discharge Date [Effective Time / high value]
- CONF: CMS 0079 Reporting Period Effective Date Range
- CONF: 67-12978 Measure Section QDM Entry
- CONF: 67-13193 eMeasure Reference QDM
- CONF: 81-7291 Patient Contact Information City
- CONF: 81-7292 Patient Contact Information Street Address Line
- CONF: 81-9371 Conformant Patient Name
- CONF: 81-9372 Cannot Contain Name Parts
- CONF: 81-10024 Patient Contact Information State
- CONF: 81-10025 Patient Contact Information Postal Code
- <u>CONF: 1198-5271</u> Patient Contact Information US Realm Address
- CONF: 1198-5280 Patient Contact Information Telecom
- CONF: 1198-6394 Administrative Gender Code
- CONF: 1198-14838 Service Event Low Effective Time
- CONF: 2228-27571 & CONF 1198-5300 -

Contain Birth Time - Precise to the Day

CONF: 2228-27745 – Medication Order Requires Authors



CMS Certification Number (CCN) CONF: CMS_0035 & CMS_0066

| CONF# | Validation Performed | Meaning | Solution |
|----------|--|--|--|
| CMS_0035 | CCN SHALL be six to ten characters in length | CCNs submitted that have five or fewer characters or 11 or more characters will not pass validation. | Review CCN included in QRDA file to ensure accuracy. |
| CMS_0066 | CCN (NULL) cannot be validated | CCN passes Schematron format check but the value does not appear in HQR lookup of valid CCNs. This message will appear if CCN is Null. | Review QRDA File to ensure: • CCN is included and is accurate • Verify where the @root=2.16.840.1.113883.4.3 36 is present, that the CCN extension is also present |

CONF: CMS_0060 Encounter Performed Discharge Date Null (1 of 2)

ERROR: The system SHALL reject QRDA I files if the encounter performed discharge date is Null.

```
Example: NULL discharge date
```

```
<effectiveTime>
  <!-- Attribute: Admission datetime -->
  <low value="20170329090000"/>
  <!-- Attribute: Discharge datetime with an empty value -->
  <high value=""/>
  </effectiveTime>
```

CONF: CMS_0060 Encounter Performed Discharge Date Null (2 of 2)

Example of correct discharge date time:

```
<entry typeCode="DRIV">
  <!--"Encounter Performed: Inpatient Encounter" using "Encounter Inpatient
      SNOMEDCT Value Set (2.16.840.1.113883.3.666.5.307) -->
  <encounter classCode="ENC" moodCode="EVN">
    <templateId root="2.16.840.1.113883.10.20.22.4.49" extension="2015-08-01" />
    <templateId root="2.16.840.1.113883.10.20.24.3.23" extension="2016-02-01" />
    <id root="dccf424e-18dd-4058-887f-a81514eaaa55" />
    <code code="32485007" displayName="Hospital admission (procedure)"</pre>
      codeSystem="2.16.840.1.113883.6.96"
      codeSystemName="SNOMEDCT" sdtc:valueSet="2.16.840.1.113883.3.666.5.307"/>
    <text>Encounter, Performed: Inpatient Encounter</text>
    <statusCode code="completed" />
    <effectiveTime>
      <!-- Attribute: admission datetime (or encounter start) -->
      <le><low value="20170129090000"/>
      <!-- Attribute: discharge datetime (or encounter end) -->
      <high value="20170131100000"/>
    </effectiveTime>
  </encounter>
</entry>
```

CONF: CMS_0062 Encounter Performed Admission Date (1 of 2)

ERROR: The system SHALL reject QRDA I files if the Encounter Performed Admission Date (effectiveTime/low value) is after the Encounter Performed Discharge Date (effectiveTime/high value).

Meaning:

Possible conditions resulting in this error are:

- Encounter Performed Admission Date (effectiveTime/low value) is after the Encounter Performed Discharge Date (effectiveTime/high value)
- Admission Date or Discharge Date values are null or have an invalid format

CONF: CMS_0062 Encounter Performed Admission Date (2 of 2)

ERROR:

```
Admission Date is after the Discharge Date
```

How to fix (example):

<text>Encounter, Performed: Inpatient Encounter</text>

Select a new CONF number

Back

<statusCode code="completed" />

End

CONF: CMS_0063 Encounter Performed Discharge Dates (1 of 2)

ERROR: The system SHALL reject QRDA I files if at least one of the Encounter Performed Discharge Dates is not within the reporting period found in the QRDA.

CONF: CMS_0063 Encounter Performed Discharge Dates (2 of 2)

Meaning:

There must be at least one encounter in the QRDA that is within the reporting period.

If there are other encounters reported that are outside the reporting period, the file will not be rejected as long as there is at least one encounter with the discharge date within the reporting period, as specified in the Reporting Parameters Section of the QRDA.

```
<entry typeCode="DRIV">
  <act classCode="ACT" moodCode="EVN">
    <!-- This is the templateId for Reporting Parameters Act -->
   <templateId root="2.16.840.1.113883.10.20.17.3.8"/>
    <!-- This is the templateId for Reporting Parameters Act - CMS-->
    <templateId root="2.16.840.1.113883.10.20.17.3.8.1"</pre>
extension="2016-03-01"/>
    <id root="3d7c11cf-b01b-4527-a704-c098c162779d"/>
    <code code="252116004" codeSystem="2.16.840.1.113883.6.96"</pre>
displayName="Observation Parameters"/>
    <effectiveTime>
      <low value="20170401"/>
     <high value="20170630"/>
    </effectiveTime>
  </act>
</entry>
```

The relevant elements are in the rectangle above, effectiveTime/low and effectiveTime/high. This example is for CY2017Q2 of the reporting period, as shown in the table below.

| CY 2017 Discharge Reporting Period | | | |
|------------------------------------|-----------------|---------------|--|
| Quarter | Discharge Start | Discharge End | |
| CY2017Q1 | 1/1/2017 | 3/31/2017 | |
| CY2017Q2 | 4/1/2017 | 6/30/2017 | |
| CY2017Q3 | 7/1/2017 | 9/30/2017 | |
| CY2017Q4 | 10/1/2017 | 12/31/2017 | |

Select a new CONF number

Back

End

CONF: CMS_0068 Dummy CCN

ERROR: Provider is not allowed to use a dummy CCN number (e.g., 800890) for submissions.

Meaning:

The dummy CMS Certification Number (CCN) (shown below) can be used only by vendors and only for Test Data submissions.

<id root="2.16.840.1.113883.4.336" extension="800890"/>

CONF: CMS_0072 QRDA Document Format Error

ERROR: The document does not conform to QRDA document formats accepted by CMS.

Meaning:

QRDA structure of the submitted file does not conform to the QRDA XML Schema (CDA_SDTC.XSD) provided by HL7. The file does not pass the schema check. Validation continues on the file to identify any other errors.

Note: The CDA_SDTC.XSD XML schema is available in the HL7 QRDA Category I standard zip file <u>HL7 CDA® R2 IG: Quality Reporting Document Architecture Category I (QRDA I) DSTU Release 3.1 (US Realm).</u>

CONF: CMS_0073 QRDA Document Format Error

ERROR: The document does not conform to QRDA document formats accepted by CMS.

Meaning:

The QRDA must have **all four** required header template IDs and extensions for a QRDA Category I, Draft Standard for Trial Use (DSTU), Release 3.1 format file being sent to CMS:

```
<!-- US Realm Header (V3) -->
<templateId root="2.16.840.1.113883.10.20.22.1.1" extension="2015-08-01"/>
<!-- QRDA Category I Framework (V3) -->
<templateId root="2.16.840.1.113883.10.20.24.1.1" extension="2016-02-01"/>
<!-- QDM-Based QRDA (V3) -->
<templateId root="2.16.840.1.113883.10.20.24.1.2" extension="2016-02-01"/>
<!-- QRDA Category I Report - CMS HQR (V3) -->
<templateId root="2.16.840.1.113883.10.20.24.1.3" extension="2016-03-01"/></templateId root="2.16.840.1.113883.10.20.24.1.3" extension="2016-03-01"/>
```

This error is also produced for an empty file or any non-XML file type (e.g., PDF). Processing stops immediately on these files.

Select a new CONF number

CONF: CMS_0074 Version Specific Measure Identifier (1 of 3)

ERROR: The Version Specific Measure Identifier is not valid for the current program year.

Meaning:

Each measure in the QRDA must reference the version specific identifier. Only the April 2016 version of the electronic specifications for the EH eCQMs will be accepted for the CY 2017 reporting year.

CONF: CMS_0074 Version Specific Measure Identifier (2 of 3)

To locate the Version Specific Measure Identifier in the eCQM XML file:

- Use the QualityMeasureDocument/id/@root xpath for eCQM Version Specific Measure Identifier
- Submit ONLY the Version Specific Measure Identifier
- Remember that the Version Specific Measure Identifier is not case sensitive

CONF: CMS_0074 Version Specific Measure Identifier CMS108v5 (3 of 3)

Health Quality Measures
Format (HQMF) XML for
CMS108v5

Version Specific Measure Identifier

Measure Version that Corresponds to File Name

```
Measure Details Section
-->
<typeId extension="POQM HD000001UV02" root="2.16.840.1.113883.1.3"/>
<templateId>
   <item extension="2015-12-01" root="2.16.840.1.113883.10.20.28.1.1"/>
</templateId>
<id root="40280381-51f0-825b-0152-22be0c17187e"/>
<code code="57024-2" codeSystem="2.16.840.1.113883.6.1">
  <displayName value="Health Quality Measure Document"/>
</code>
<title value="Venous Thromboembolism Prophylaxis"/>
<text value="This measure assesses the number of patients who</pre>
      received VTE prophylaxis or have documentation why no VTE
     prophylaxis was given the day of or the day after hospital
      admission or surgery end date for surgeries that start the
      day of or the day after hospital admission"/>
<statusCode code="COMPLETED"/>
<setId root="38b0b5ec-0f63-466f-8fe3-2cd20ddd1622"/>
<versionNumber value="5.0.000"/>
```

Select a new CONF number

Back

End

Admission/Discharge Dates [effectiveTime] CONF: CMS_0075 & CMS_0076 (1 of 2)

| CONF # | Validation Performed | Meaning | Solution |
|--------|---|--|--|
| 0075 | Admission Date is not properly formatted. | Fails validation check for Encounter Performed Admission Date (effectiveTime / low value) | Confirm proper format of admission date. |
| 0076 | Discharge Date is not properly formatted. | Fails validation check for Encounter Performed Admission Date (effectiveTime / high value) | Confirm proper format of discharge date. |

Admission/Discharge Dates [effectiveTime] CONF: CMS_0075 & CMS_0076 (2 of 2)

| Proper format for dates: YYYYMMDDHHMMSSxUUUU | | | |
|--|--------------------|---|--|
| YYYY | Year | Range 1900 to 9999 | |
| MM | Month | Range 01 to 12 | |
| DD | Day | Range 01 to 31 (note: true to month and leap years) | |
| НН | Hour | Range 0 to 23 | |
| SS | Seconds | Range 0 to 59 | |
| X | Plus or mi sign | nus | |
| UUUU | UTC Time | Shift -1300 thru +1400 | |

NOTE: Use of the UTC Time Shift is optional, however if it is used, it must be present throughout the whole QRDA Category I file for the file to be accepted.

Information above is from Table 8 – Valid Date/Time Format for HQR (pages 15–17 of 2016 QRDA IG Appendix)

CONF: CMS_0079 Reporting Period Effective Date Range (1 of 3)

ERROR: Reporting Period Effective Date Range does not match one of the Program's CY Discharge Quarters.

Meaning:

The Reporting Parameter Effective Date Range must align with one of the program's allowable CY discharge quarters.

CONF: CMS_0079 Reporting Period Effective Date Range (2 of 3)

```
<entry typeCode="DRIV">
  <act classCode="ACT" moodCode="EVN">
    <!-- This is the templateId for Reporting Parameters Act -->
    <templateId root="2.16.840.1.113883.10.20.17.3.8" />
    <!-- Reporting Parameters Act CMS -->
    <templateId root="2.16.840.1.113883.10.20.17.3.8.1"</pre>
      extension="2016-03-01" />
    <id root="3d7c11cf-b01b-4527-a704-c098c162779d" />
    <code code="252116004" codeSystem="2.16.840.1.113883.6.96"</pre>
      displayName="Observation Parameters" />
    <effectiveTime>
      <low value="20170401"/>
      <high value="20170630"/>
    </effectiveTime>
  </act>
</entry>
```

CONF: CMS_0079 Reporting Period Effective Date Range (3 of 3)

For CY 2017 IQR Program reporting, a hospital will be required to:

- Report at least four of the 15 eCQMs available
- Report for one self-selected quarter (Q1, Q2, Q3 or Q4) of CY 2017
- Submission deadline: February 28, 2018

EHR Incentive Program (Meaningful Use) Submission and Hospital IQR Program Submission via EHR for Production and Test Data Files

| | CY Discharge Quarters | | Production and Test Data Submissions | |
|----------|-----------------------|---------------|--------------------------------------|-----------|
| Quarter | Discharge Start | Discharge End | Start | End |
| CY2017Q1 | 1/1/2017 | 3/31/2017 | 5/1/2017 | 2/28/2018 |
| CY2017Q2 | 4/1/2017 | 6/30/2017 | 5/1/2017 | 2/28/2018 |
| CY2017Q3 | 7/1/2017 | 9/30/2017 | 5/1/2017 | 2/28/2018 |
| CY2017Q4 | 10/1/2017 | 12/31/2017 | 5/1/2017 | 2/28/2018 |

eMeasure Reference QDM CONF: 67-12978 & 67-13193

The following conformance statements are associated with Measure Section Quality Data Model (QDM).

| CONF# | Validation Performed | Meaning | Solution |
|----------|---|--|---|
| 67-12978 | SHALL contain at least one [1*] entry | At least one entry is required | Confirm entry is present in file |
| 67-13193 | Such entries SHALL contain exactly one [11] eMeasure Reference QDM (identifier: urn:oid:2.16.840.1.1138 83.10.20.24.3.97) | Such entries (referenced in 67-12978) must contain one of the eMeasure Reference QDM (which defines how a QDM eMeasure should be referenced in QDM-Based QRDA) | Confirm entry is from Object Identifier (OID): 2.16.840.1.11388 3.10.20.24.3.97 |

Patient Contact Information (1 of 2)

| CONF# | Validation Performed | Meaning | Solution |
|-----------|---|---|---|
| 1198-5271 | This patientRole SHALL contain at least one [1*] US Realm Address (identifier: urn:oid:2.16.840.1.113883. 10.20.22.5.2) | No 'address' tag included in file | 'Address' must be included in file to pass validation |
| 81-7291 | SHALL contain exactly one [11] city | No 'city' tag included in file | 'City' must be included in file to pass validation |
| 81-7292 | SHALL contain exactly one [11] streetAddressLine | No 'streetAddressLine' tag included in file | 'StreetAddressLine' must be included in file to pass validation |
| 1198-5280 | This patientRole SHALL contain at least one [1*] telecom | No 'telecom' tag included in file | 'Telecom' must be included in file to pass validation |

Patient Contact Information (2 of 2)

| CONF# | Validation Performed | Meaning | Solution |
|----------|--|---------------------------------------|--|
| 81-10024 | SHOULD contain zero or one [01] state (ValueSet: StateValueSet urn:oid:2.16.840.1.113883.3.88.12.80.1 DYNAMIC) State is required if the country is US. If country is not specified, it's assumed to be US | No 'state' tag included in file | 'State' must be included in file to pass validation |
| 81-10025 | SHOULD contain zero or one [01] postalCode, which SHOULD be selected from ValueSet PostalCode urn:oid:2.16.840.1.113883.3.88.12.80.2 DYNAMIC PostalCode is required if the country is US. If country is not specified, it's assumed to be US | No 'postal code' tag included in file | 'PostalCode' must be included in file to pass validation |

Please refer to the 2017 CMS QRDA Implementation Guide and the HL7 CDA® R2 Implementation Guide: Quality Reporting Document Architecture - Category I (QRDA I) DSTU Release 3.1 (US Realm) for additional information on patient contact information. These materials can assist you to determine which components of the patient's contact information are required (identified in the conformance statements with the keyword 'SHALL').

Select a new CONF number

Back

End

CONF: 81-9371 Conformant Person Name (1 of 2)

ERROR: The content of name SHALL be either a conformant Patient Name (PTN.US.FIELDED) or a string.

Meaning:

The name data element must be provided either as a string or conformant to the structure defined by the Patient Name (PTN.US.FIELDED). For data elements that are defined using US Realm Person Name (PN.US.FIELDED) (identifier:

ùrn:oid:2.16.840.1.113883.10.20.22.5.1.1) data type such as

ClinicalDocument/patient/name

ClinicalDocument/legalAuthenticator/assignedEntity/assignedPerson/name

Select a new CONF number

CONF: 81-9371 Conformant Person Name (2 of 2)

Error:

```
<name>
    <family>Doe</family>
</name>
```

This xml snippet contains partial name structure as defined by the US Realm Person Name (PN.US.FIELDED) Data type.

How to fix:

Option 1 (preferred)

```
<name>
    <family>Doe</family>
    <given>John</given>
</name>
```

Fix the error by providing the missing given element to provide a minimally required structure of name as defined by the US Realm Person Name (PN.US.FIELDED) Data type.

Option 2

<name>John Doe</name>

Fix the error by providing a string instead of a structured name.

Select a new CONF number

Back

End

CONF: 81-9372 Cannot Contain Name Parts (1 of 2)

ERROR: The string SHALL NOT contain name parts.

Meaning:

If a structured name is provided, the name data element must conform to the structure defined by the Patient Name (PTN.US.FIELDED) for data elements that are defined using US Realm Person Name (PN.US.FIELDED) (identifier: urn:oid:2.16.840.1.113883.10.20.22.5.1.1) data type such as

ClinicalDocument/patient/name

ClinicalDocument/legalAuthenticator/assignedEntity/assigned Person/name

CONF: 81-9372 Cannot Contain Name Parts (2 of 2)

Error:

<name>
 <family>Doe</family>
</name>

This xml snippet contains partial name structure as defined by the US Realm Person Name (PN.US.FIELDED) Data type.

How to fix:

<name>
 <family>Doe</family>
 <given>John</given>
</name>

Fix the error by providing the missing given element to provide a minimally required structure of name as defined by the US Realm Person Name (PN.US.FIELDED)Data type.

CONF # 1140-27571 & 1098-5300_C01 recordTarget-Birthtime

Two CONF# related to birthtime

| CONF# | Validation Performed | Meaning |
|---------------|---|--|
| 2228-27571 | This patient SHALL contain exactly one [11] birthtime | Only one birthtime is allowed in a patient file |
| 1198-5300_C01 | SHALL be precise to day | The format of the birthtime must include the day |

Note: For cases where information about newborn's time of birth needs to be captured birthtime may be precise to the minute.

Example: 19430801 Not allowed: 1943081

Example from QRDA Category I Report <birthTime value="19460102"/>

Select a new CONF number

CONF: 1198-6394 Administrative Gender Code

ERROR: This patient SHALL contain exactly one [1..1] administrativeGenderCode, which shall be selected from Value Set Administrative Gender (HL7 V3) urn:2.16.840.1.113883.1.11.1 dynamic.

NOTE:

This schematron rule about the administrative gender from the base IG was removed from the schematron file, because CMS IG overwrites this and requires the Office of the National Coordinator (ONC) Administrative Sex value set urn:oid: 2.16.840.1.113762.1.4.1.

CONF: 2228-27745 Medication Order (V3) Requires Author (1 of 2)

ERROR: SHALL contain exactly one [1..1] author.

Meaning:

Author is a required element in Medication Order (V3). Author represents the clinician ordering the medication from a pharmacy for a patient.

CONF: 2228-27745 Medication Order (V3) Requires Author (2 of 2)

```
<!-- QDM Datatype: Medication, Order -->
<entry>
    <substanceAdministration classCode="SBADM" moodCode="ROO">
        <!-- Conforms to C-CDA R2 Planned Medication Activity (V2) -->
        <templateId root="2.16.840.1.113883.10.20.22.4.42" extension="2014-06-09" />
        <!-- Medication Order (V3) Template -->
        <templateId root="2.16.840.1.113883.10.20.24.3.47" extension="2016-02-01" />
        <id root="9a5f4d94-ccad-4d57-80ea-27737545c7bb" />
        . . . . .
        <author>
            <!-- C-CDA R2 Author Participation -->
            <templateId root="2.16.840.1.113883.10.20.22.4.119" />
            <time value="201704081130"/>
            <assignedAuthor>
                <id root="2.16.840.1.113883.4.6" extension="1234567893" />
            </assignedAuthor>
        </author>
    </substanceAdministration>
</entry>
```

CONF: 1198-14838 serviceEvent effectiveTime/low (1 of 2)

ERROR: This effectiveTime SHALL contain exactly one [1..1] low.

Meaning:

This error message is regarding the ClinicalDocument/documentationOf/serviceEvent/ef fectiveTime/low xpath. For serviceEvent/effectiveTime, low is a required data element.

CONF: 1198-14838 serviceEvent effectiveTime/low (2 of 2)

Error:

How to fix:

Data Validation: Missing or Multiple CMS EHR ID (1 of 2)

ERROR: This id SHALL contain exactly one [1..1] @root="2.16.840.1.113883.3.2074.1" CMS EHR Certification Identification Number (CONF:CMS_0006).

The Certified Health IT Product List (CHPL) is the authoritative and comprehensive listing of Health IT certified through the ONC Health IT Certification Program. A CMS EHR Certification Identification Number is a number generated by the CHPL and used for reporting to CMS.

The CMS EHR Certification ID is formerly known as the Office of the National Coordinator (ONC) Certification Number.

A CMS EHR Certification ID is typically a 15 digit string made up of alphanumeric characters and is used as the value of an "extension" attribute on an <id>element with a "root" attribute of "2.16.840.1.113883.3.2074.1"

This <id> element is contained in the <participant>/<associatedEntity> element of the root QRDA document element and is a required element of this associated entity. One and only one <id> with root="2.16.840.1.113883.3.2074.1" is allowed.

Data Validation: Missing or Multiple CMS EHR Certification ID (2 of 2)

Proper root ClinicalDocument with CMS EHR Certification ID

```
<ClinicalDocument xmlns:xsi=http://www.w3.org/2001/XMLSchema-instance
                  xsi:schemaLocation="urn:hl7-org:v3 ../Schema/CDA/infrastructure/cda/CDA SDTC.xsd"
                  xmlns="urn:hl7-org:v3"
                  xmlns:voc="urn:hl7-org:v3/voc" xmlns:sdtc="urn:hl7-org:sdtc">
    <!-- QRDA Category I Report - CMS (V3) -->
    <templateId root="2.16.840.1.113883.10.20.24.1.3" extension="2017-07-01" />
   <languageCode code="en" />
    <effectiveTime value="201712311230" />
    <recordTarget> ... </recordTarget>
    <custodian> ... </custodian>
    <informationRecipient> ... </informationRecipient>
    <participant typeCode="DEV">
         <associatedEntity classCode="RGPR">
              <!-- CMS EHR Certification Number -->
              <id root="2.16.840.1.113883.3.2074.1" extension="1234A01EFYZ3EAB"/>
        </associatedEntity>
    </participant>
     <documentationOf> ...</documentationOf>
     <component>
          <structuredBody>
         </structuredBody>
    </component>
</ClinicalDocument>
```

Data Validation: Improper Extension for CMS EHR Certification ID (1 of 2)

ERROR: This id SHALL contain exactly one [1..1] @extension (CONF:CMS_0008).

The Certified Health IT Product List (CHPL) is the authoritative and comprehensive listing of Health IT certified through the ONC Health IT Certification Program. A CMS EHR Certification Identification Number is a number generated by the CHPL and used for reporting to CMS.

The CMS EHR Certification ID is formerly known as the Office of the National Coordinator (ONC) Certification Number.

A CMS EHR Certification ID is typically a 15 digit string made up of alphanumeric characters and is used as the value of an "**extension**" attribute on an <id>element with a "root" attribute of "2.16.840.1.113883.3.2074.1"

This <id> element is contained in the <participant>/<associatedEntity> element of the root QRDA document element and is a required element of this associated entity. One and only one <id> with root="2.16.840.1.113883.3.2074.1" is allowed.

See also CONF: CMS_0006

Data Validation: Improper Extension for CMS EHR Certification ID (2 of 2)

Proper root ClinicalDocument with CMS EHR Certification ID

```
<ClinicalDocument xmlns:xsi=http://www.w3.org/2001/XMLSchema-instance</pre>
                  xsi:schemaLocation="urn:hl7-org:v3 ../Schema/CDA/infrastructure/cda/CDA SDTC.xsd"
                  xmlns="urn:hl7-org:v3"
                  xmlns:voc="urn:hl7-org:v3/voc" xmlns:sdtc="urn:hl7-org:sdtc">
   <!-- QRDA Category I Report - CMS (V3) -->
   <templateId root="2.16.840.1.113883.10.20.24.1.3" extension="2017-07-01" />
   <languageCode code="en" />
   <effectiveTime value="201712311230" />
   <recordTarget> ... </recordTarget>
   <custodian> ... </custodian>
   <informationRecipient> ... </informationRecipient>
   <participant typeCode="DEV">
         <associatedEntity classCode="RGPR">
              <!-- CMS EHR Certification Number -->
              <id root="2.16.840.1.113883.3.2074.1" extension="1234A01EFYZ3EAB"/>
        </associatedEntity>
     </participant>
    <documentationOf> ...</documentationOf>
     <component>
          <structuredBody>
          </structuredBody>
    </component>
</ClinicalDocument>
```

Improper Extension for intendedRecipient ID (1 of 2)

ERROR: This id SHALL contain exactly one [1..1] @extension, which SHALL be selected from ValueSet QRDA-I CMS Program Name urn:oid:2.16.840.1.113883.3.249.14.103 STATIC 2016-07-01 (CONF:CMS_0026).

Every QRDA document must have an information recipient. That element must have an intended recipient with one <id> element that specifies the CMS program for QRDA-I report submissions.

The intended recipient ID element must have an "extension" attribute. The value of that attribute must be one of the values found in the QRDA-I CMS Program Name value set (urn:oid: 2.16.840.1.113883.3.249.14.103)

See ecqi.healthit.gov QRDA-I CMS Program Name value set

Improper Extension for intendedRecipient ID (2 of 2)

Proper Information Recipient Example

Allowed QRDA-I CMS Program Name Values

| HQR_EHR | Hospital Quality Reporting for the EHR Incentive Program |
|--------------|--|
| HQR_IQR | Hospital Quality Reporting for the Inpatient Quality Reporting Program |
| HQR_EHR_IQR | Hospital Quality Reporting for the EHR Incentive Program and the IQR Program |
| CDAC_HQR_EHR | CDAC_HQR_EHR |

Encounter Performed Discharge Date Error (1 of 2)

ERROR: The system SHALL reject QRDA-I files if the Encounter Performed Discharge Date (effectiveTime/high value) is after the upload date (discharge date is in the future) (CONF: CMS_0061).

Every Encounter Performed entry:

<templateId root="2.16.840.1.113883.10.20.24.3.23" extension="2016-02-01"/>

must have a single effectiveTime element. The <high> element of effectiveTime represents **discharge** date and time. The <high> element must have a single "value" attribute, the value of which represents the actual discharge date and time.

The QRDA-I file will not be accepted if the discharge date (the <high>'s "value" attribute's value) occurs after the date that the QRDA file is uploaded for submission.

Encounter Performed Discharge Date Error (2 of 2)

Improper example:

QRDA-I file is uploaded for submission on 2017/10/03. Discharge date of Encounter Performed contained in the QRDA-I file is after the file upload date.

How to fix:

The encounter performed discharge date cannot be after the QRDA-I file upload date.

CONF: CMS_0067 Submitter Not Authorized to Submit (1 of 2)

ERROR: Submitter (%s) is not authorized to submit for this provider (%s) (CONF:CMS_0067).

During the data validation process, lookup performed and found that the Submitter (vendor) has not been authorized to submit data on behalf of the hospital. The hospital's CCN provided in the QRDA file is used in database lookup.

CONF: CMS_0067 Submitter Not Authorized to Submit (2 of 2)

Proper custodian element with CCN for QRDA Clinical Document

```
<cli>inicalDocuement
  <author>...</author>
   <custodian>
   <assignedCustodian>
      <representedCustodianOrganization>
        <!-- CMS Certification Number (CCN) -->
        <id root="2.16.840.1.113883.4.336" extension="800890"/>
        <name>Good Health Hospital</name>
        <telecom use="WP" value="tel:(555)555-1003"/>
        <addr use="WP">
          <streetAddressLine>21 North Ave</streetAddressLine>
          <city>Burlington</city>
          <state>MA</state>
          <postalCode>02368</postalCode>
         <country>US</country>
        </addr>
      </representedCustodianOrganization>
   </assignedCustodian>
  </custodian>
 <informationRecipient>...</informationRecipient>
</clinicalDocument>
```

The value 800890 used in the example above is an acceptable dummy CCN number. However, only vendors can use the dummy CCN (see CMS_0068), and the dummy CCN can ONLY be used for test data submissions (see CMS_0069).

Data Validation: Not Well-Formed QRDA XML (1 of 2)

ERROR: Data submitted is not a well formed QRDA XML (CONF:CMS_0071).

All QRDA XML files must contain only properly formatted XML.

The occurrence of this error means that the document violates the syntax rule in the XML specification, e.g., missing start/end tag or prime elements missing or not properly nested or not properly written.

Additionally, a QRDA document must conform to a specific XML schema (CDA_SDTC.xsd). See CMS_0072.

Data Validation: Not Well-Formed QRDA XML (2 of 2)

Some common XML syntax errors:

- **Missing root element.** All XML documents must have a single root element. In the case of QRDA documents, that root element is the <clinicalDocument></clinicalDocument> element.
- XML is case-sensitive Following is rejected because <tel> and </Tel> do not match case: <tel>513-744-7098</Tel>
- Missing End Tags Following is rejected because <street> has no end tag, and <postalCode> has a
 malformed closing tag:

```
<address>
    <street>34 Fountain Square Plaza
    <region>OH</region>
    <postal-code>45202<postal-code>
</address>
```

- **Spaces in element names** Following is rejected because of spaces in the addressbook element name: <address book>...</address book>
- Attribute values missing quotes Following is rejected because value for attribute preferred is not in quotes:

```
<tel preferred=true>555-112-3344</tel>
```

Select a new CONF number

Back

End

Data Validation: NPI Should Have 10 Digits (1 of 2)

ERROR: The NPI should have 10 digits. (CONF: CMS_0115)

The NPI, National Provider Identifier is a unique ID number issued to health care providers (in the U.S.) by CMS.

The NPI is a 10-digit number where the 10th digit is a checksum digit. There is no embedded intelligence (i.e. no information about the provider) in the NPI. NPI numbers are validated using the Luhn Algorithm.

The NPI is used as the value of an 'extension' attribute in an <id>element, when the 'root' attribute has value of '2.16.840.1.113883.4.6'. In cases where no NPI is provided or available, an attribute of nullFlavor='NA' may be used.

NPI <id> elements are present in elements including assignedEntity, assignedAuthor, and participantRole.

Select a new CONF number

Next Page

Data Validation: NPI Should Have 10 Digits (2 of 2)

Example using <id> with NPI provided

Example using <id> with no NPI provided

Data Validation: NPI Should Have Correct Checksum (1 of 2)

ERROR: The NPI should have a correct checksum, using the Luhn algorithm. (CONF: CMS_0117)

The NPI, National Provider Identifier is a unique ID number issued to health care providers (in the U.S.) by CMS

The NPI is a 10-digit number where the 10th digit is a checksum digit. There is no embedded intelligence (i.e. no information about the provider) in the NPI. NPI numbers are validated using the Luhn Algorithm.

See https://en.wikipedia.org/wiki/Luhn_algorithm

Data Validation: NPI Should Have Correct Checksum (2 of 2)

Example using <id> with proper NPI provided

CONF: CMS_0121 Inconsistent Use of UTC Offset (1 of 2)

ERROR: A Coordinated Universal Time (UTC time) offset should not be used anywhere in a QRDA Category I file or, if a UTC time offset is needed anywhere, then it must be specified everywhere a time field is provided (CONF: CMS_0121).

There are several time elements in a QRDA document. Those that are specific beyond day and include the time value may also include a UTC offset to make it clear what time zone the action took place in. If you use the UTC offset anywhere in a QRDA document you should use it everywhere there is a time element other than birthTime as this may not be specific beyond day.

You are not required to use a UTC offset anywhere but if you do you must use it everywhere for time elements such as <time> or <effectiveTime>.

CONF: CMS_0121 Inconsistent Use of UTC Offset (2 of 2)

Example of time elements with UTC Offset:

Example of time elements without UTC Offset:

CONF: 67-13372

Missing or Multiple participantRole Elements (1 of 2)

ERROR: SHALL contain exactly one [1..1] participantRole (CONF:67-13372).

A Facility Location subentry must contain exactly one participantRole. The class code attribute for the participantRole must be "SDLOC", and there must be one exactly one <code> element within the participantRole.

The participantRole should contain at least one <addr> and one <telecom> element, and may contain a playingEntity with a class code of "PLC".

CONF: 67-13372

Missing or Multiple participantRole Elements (2 of 2)

Proper example for Facility Location subentry:

```
<participant typeCode="LOC">
        <!-- Facility Location template -->
        <templateId root="2.16.840.1.113883.10.20.24.3.100"/>
        <time>
        <!-- Attribute: facility location arrival datetime -->
             <low value="20170203"/>
             <!-- Attribute: facility location departure datetime -->
             <high value="20170206"/>
        </time>
        <participantRole classCode="SDLOC">
               <code code="309905000"
                     codeSystem="2.16.840.1.113883.6.96"
                     codeSystemName="SNOMED CT"
                     displayName="Adult Intensive Care Unit"
                     sdtc:valueSet="2.16.840.1.113883.3.666.5.2486"/>
               </code>
               <telecom use="WP" value="tel:(555)555-1234"</pre>
               <addr>...</addr>
               <playingEntity classCode="PLC">...<playingEntity>
        </participantRole>
</participant>
```

CONF: 1098-31880 Encounter Order Status Code (1 of 2)

ERROR: This statusCode SHALL contain exactly one [1..1] @code="active" Active (CodeSystem: ActStatus urn:oid:2.16.840.1.113883.5.14) (CONF:1098-31880).

An Encounter Order (V3) entry must have exactly one <statusCode> element. That element must have a code attribute of "active".

Possible values in general for the code attribute are found in the following CodeSystem:

ActStatus urn:oid:2.16.840.1.113883.5.14

However, only a value of "active" is allowed in this instance.

CONF: 1098-31880

Encounter Order Status Code (2 of 2)

Improper example:

Proper example:

Select a new CONF number

Back

End

CONF: 1198-5524

Missing Custodian Organization Name (1 of 2)

ERROR: This representedCustodianOrganization SHALL contain exactly one [1..1] name (CONF:1198-5524).

In the US Realm Header (V3) template you must define the custodian of the QRDA Document you are submitting. The custodian element represents the organization that is in charge of maintaining and is entrusted with the care of the document. There are several elements that are required to define the custodian one of which is the name of the organization.

CONF: 1198-5524

Missing Custodian Organization Name (2 of 2)

Proper example for Custodian Organization Name:

```
<ClinicalDocument>
  <realmCode code="US"/>
  <typeId extension="POCD HD000040" root="2.16.840.1.113883.1.3"/>
  <!- US Realm Header (V3) template -->
  <templateId root="2.16.840.1.113883.10.20.22.1.1" extension="2015-08-01"/>
   <custodian>
     <assignedCustodian>
        <representedCustodianOrganization>
            <id root="2.16.840.1.113883.4.336" extension="800890"/>
            <name>Good Health Hospital</name>
            <telecom use="WP" value="tel:+1(555)555-1009"/>
            <addr use="WP">
               <streetAddressLine>1009 Healthcare Drive</streetAddressLine>
               <city>Portland</city>
               <state>OR</state>
               <postalCode>99123</postalCode>
               <country>US</country>
            </addr>
        </representedCustodianOrganization>
     </assignedCustodian>
   </custodian>
</ClinicalDocument>
                        Select a new
                                             Back
```

CONF: 2228-14430_C01 & CONF: 2228-14431 Missing Patient Characteristic Payer(1 of 2)

ERROR:

SHALL contain at least one [1..*] entry (CONF:2228-14430_C01) such that it

SHALL contain exactly one [1..1] Patient Characteristic Payer (identifier: urn:oid:2.16.840.1.113883.10.20.24.3.55) (CONF:2228-14431).

In the Patient Data Section QDM (V3) – CMS template there must be an entry with a Patient Characteristic Payer. This indicates who the payer for this patient was for the measure(s) being reported and is a required supplemental data element for all measures.

CONF: 2228-14430_C01 & CONF: 2228-14431 Missing Patient Characteristic Payer (2 of 2)

Proper example for Patient Characteristic Payer:

```
<section>
  <!-- Patient Data Section QDM (V3) CMS-->
  <templateId root="2.16.840.1.113883.10.20.17.2.4" />
  <templateId root="2.16.840.1.113883.10.20.24.2.1" extension="2016-02-01" />
  <templateId root="2.16.840.1.113883.10.20.24.2.1.1" extension="2016-03-01" />
  <entry typeCode="DRIV">
      <observation classCode="OBS" moodCode="EVN">
         <templateId root="2.16.840.1.113883.10.20.24.3.55" extension="2014-12-01" />
         <id root="4ddf1cc3-e325-472e-ad76-b2c66a5ee164" />
         <code code="48768-6" codeSystem="2.16.840.1.113883.6.1" codeSystemName="LOINC"</pre>
             displayName="Payment source" />
         <statusCode code="completed" />
         <effectiveTime>
            <low value="20170101" />
            <high value="20170903" />
         </effectiveTime>
         <value xsi:type="CD" code="1" codeSystem="2.16.840.1.113883.3.221.5"</pre>
             codeSystemName="Source of Payment Typology" displayName="Medicare"
             sdtc:valueSet="2.16.840.1.114222.4.11.3591" />
      </observation>
  </entry>
</section>
                         Select a new
```

CONF: 2228-27343Intervention Order Author Participation (1 of 2)

ERROR: SHALL contain exactly one [1..1] Author Participation (identifier: urn:oid:2.16.840.1.113883.10.20.22.4.119) (CONF:2228-27343).

An Intervention Order (V3) act entry is a request by a physician or appropriately licensed care provider to an appropriate provider or facility to perform a service and/or other type of action necessary for care.

An example of this is an order for smoking cessation counseling or physical therapy.

The act's moodCode attribute is constrained to "RQO", therefore an author is required to represent the ordering clinician. An author time/date stamp is also required. This time element maps to a QDM time attribute and would be used in measure calculations.

CONF: 2228-27343

Intervention Order Author Participation (2 of 2)

Proper example:

```
<act classCode="ACT" moodCode="RQO">
   <!-- Conforms to C-CDA R2.1 Planned Act (V2) template -->
   <templateId root="2.16.840.1.113883.10.20.22.4.39" extension="2014-06-09" />
   <!-- Intervention Order (V3) template -->
   <templateId root="2.16.840.1.113883.10.20.24.3.31" extension="2016-02-01" />
   <id root="db734647-fc99-424c-a864-7e3cda82e703" />
    <!-- Intervention -->
   <code code="133918004" codeSystem="2.16.840.1.113883.6.96"</pre>
          codeSystemName="SNOMED CD" displayName="Comfort measures (regime/therapy)"
          sdtc:valueSet="1.3.6.1.4.1.33895.1.3.0.45" />
    <statusCode code="active"/>
    <author>
       <!-- C-CDA R2.1 Author Participation -->
       <templateId root="2.16.840.1.113883.10.20.22.4.119" />
       <time value="201704081130" />
       <assignedAuthor>
            <id root="2.16.840.1.113883.4.6" extension="111111111" />
       </assignedAuthor>
    </author>
</act>
```

CONF: 2228-28472 Encounter Order Act Missing ID (1 of 2)

ERROR: SHALL contain at least one [1..*] id

(CONF:2228-28472).

This id represents a unique identifier for the Encounter Order Act instance. The id should be unique within a document.

The <id> element contains two attributes: a root attribute (the value of which is a GUID or an OID that is globally unique) and an optional extension attribute (the value of which can be any string of characters). If the extension attribute is present, the combination of root + extension attributes must be globally unique.

Multiple <id> elements are allowed, but at least one must be present.

CONF: 2228-28472 Encounter Order Act Missing ID (2 of 2)

Proper example showing at least one <id> present:

CONF: 2228-28480 Encounter Performed Act Missing ID (1 of 2)

ERROR: SHALL contain at least one [1..*] id

(CONF:2228-28480).

This id represents a unique identifier for the Encounter Performed Act instance. The id should be unique within a document.

The <id> element contains two attributes: a root attribute (the value of which is a GUID or an OID that is globally unique) and an optional extension attribute (the value of which can be any string of characters). If the extension attribute is present, the combination of root + extension attributes must be globally unique.

Multiple <id> elements are allowed, but at least one must be present.

CONF: 2228-28480

Encounter Performed Act Missing ID (2 of 2)

Proper example showing at least one <id> present:

Resources

QualityNet Help Desk - PSVA and Data Upload

Qnetsupport@hcqis.org

(866) 288-8912, 7 a.m. – 7 p.m. CT, Monday – Friday

eCQM General Program Questions – IQR Program

https://cms-ip.custhelp.com

(866) 800-8765 or (844) 472-4477, 8 a.m. – 8 p.m. ET Monday – Friday (except federal holidays)

EHR (Meaningful Use) Information Center – EHR Incentive Program

(888) 734-6433, 7:30 a.m. - 6:30 p.m., CT Monday - Friday

The JIRA – Office of the National Coordinator (ONC) Project Tracking

https://oncprojectracking.healthit.gov/

Resource to submit questions and comments regarding:

- Issues identified with eCQM logic
- Clarification on specifications
- The 2017 CMS QRDA IG

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