

OASIS Unlocking

FAQ

Prepared for

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Overview

If an OASIS has been marked as exported in Billing, it needs to be unlocked prior to making changes in Clinical. Failure to do so will cause the OASIS to decline in the Clinical Integration log with a message “OASIS has already been sent to State.”

If the OASIS has *not* been marked as Exported in Billing for transmission to the State (assessment is in a ‘Locked Awaiting Export’ status), go straight to Clinical to make the changes and re-export the OASIS to Billing. There is no need to unlock the OASIS in that instance.

Unlock Process

Go to **Patient > Admit/Maintain** (or press the **Patients** button). Press **Find** to search for and select the patient.

Click the **Certify** tab. Select the cert record under which the assessment was done.

On the **Assessment** tab on the lower half of the window, click on the assessment to be unlocked.

Click the  **Unlock** button to the lower right.

 Patient: 000000199 - Home, Pdgm E Admit: 11/7/2022

Patient | Admit | Diagnosis | Assign | Insurance | **Certify** | Authorize | Docs | Other | Notes

From-Date	Thru-Date	Actual-E	FBV/Acc	Final-Bill	Final-P2	FBV/Acc	Initial-C	Final-C	F-VisitC	Hel	Per
6/24/2025	8/22/2025									☐	☐
8/23/2025	10/21/2025									☐	☐
22/2025	12/20/2025									☐	☐

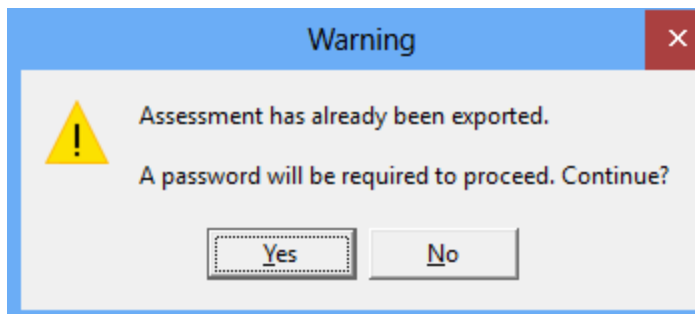
P1: 10/22/2025 - 11/20/2025 Days: 30
 P2: 11/21/2025 - 12/20/2025 Days: 30

Docs-Not-Rcvd ☒ Period-2 ☐ Hipps
☐ Initial-Bill ☒ Medicaid

Orders **Assessments**

Assess-Date	Assessment-Reason	Status	Hipps	Hipps-P2	Hipps-C	Hhrg-C
10/21/2025	OASIS v3-E RFA 4 Followup	Exported	3BA21	3BA21		

 Find  Save  Cancel  Print  ?



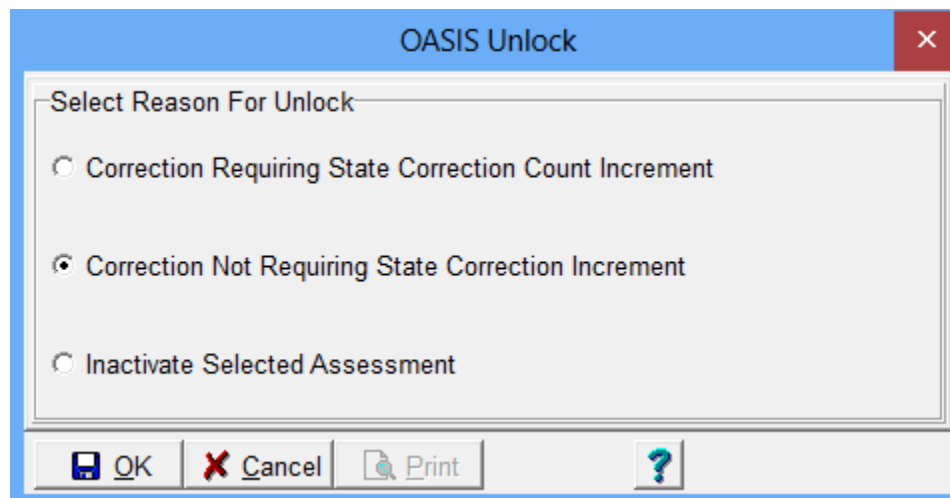
Press **Yes** to unlock the assessment and enter the Master Password (check with your System Administrator for the password if unknown).

Select the Unlock reason.

- Correction Requiring State Correction Count Increment: Use for non-key field changes if assessment accepted by the State (see list of key fields listed below).
- Correction Not Requiring State Correction Increment: Use to correct internal mistakes prior to sending to State or if assessment was rejected by the State.
- Inactivate Selected Assessment: Use to inactivate an assessment due to wrong RFA chosen or to remove/delete the record from the State database.

Correcting Assessments not Accepted by CMS

When making changes to an assessment that has NOT been accepted by the state but is in Exported status, choose the default option 'Correction Not Requiring State Correction Increment' and click 'OK'.

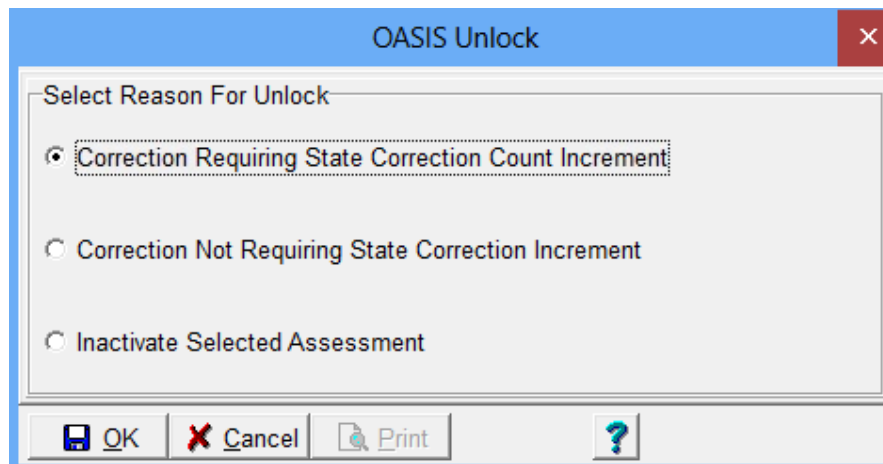


The unlocked assessment will be in Awaiting Validation status:

Correct the assessment in Clinical, re-validate, and re-export it to Billing. The corrected record comes over in 'Locked Awaiting Export' status and is ready to be picked up in an OASIS export file for transmission to the State.

Correcting Assessments Accepted by CMS

When making changes to non-key fields to an assessment that has been accepted by the state, choose the default option 'Correction Requiring State Correction Count Increment' and click 'OK'.



The dialog box titled "OASIS Unlock" has a close button (X) in the top right corner. It contains a section "Select Reason For Unlock" with three radio button options:

- ☒ Correction Requiring State Correction Count Increment
- ☐ Correction Not Requiring State Correction Increment
- ☐ Inactivate Selected Assessment

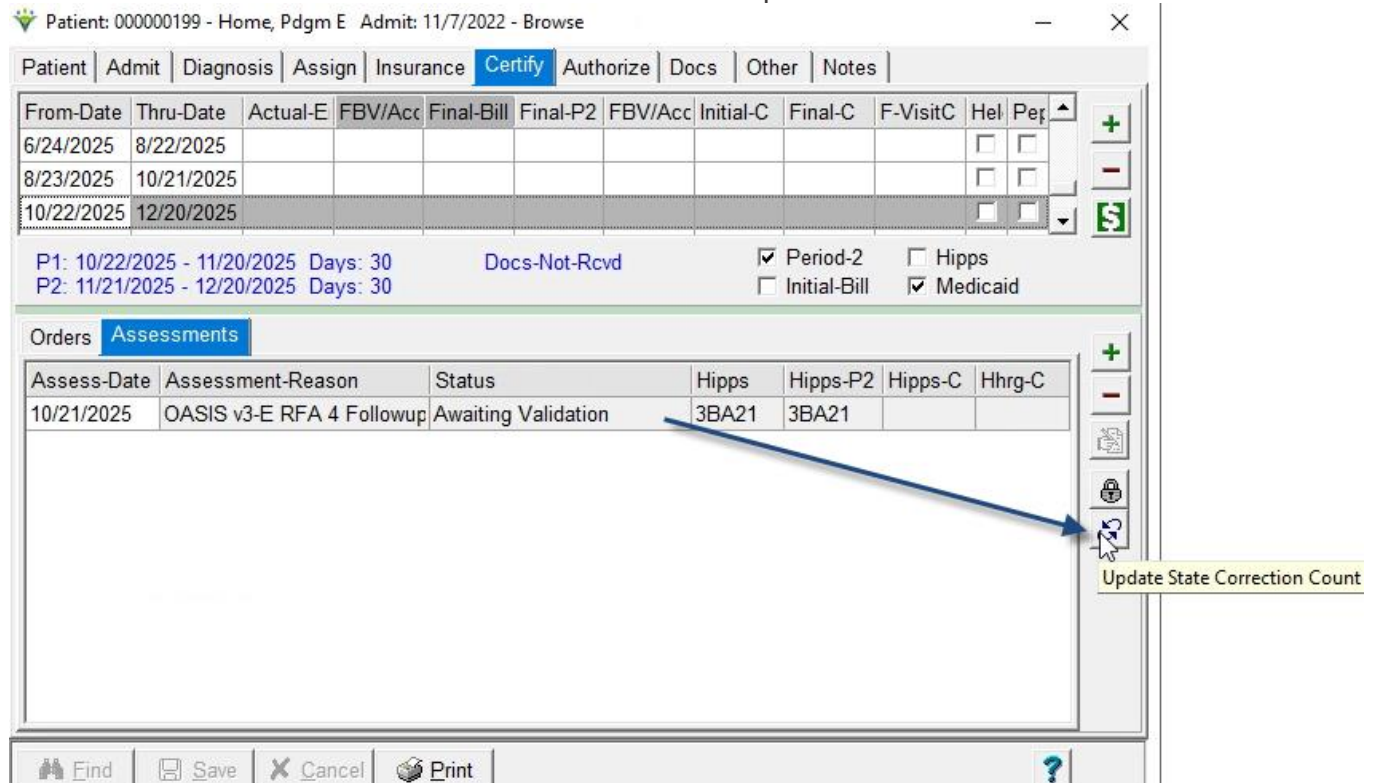
At the bottom, there are four buttons: "OK" (with a floppy disk icon), "Cancel" (with a red X icon), "Print" (with a printer icon), and a help button (with a question mark icon).

The unlocked assessment will be in Awaiting Validation status:

Correct the assessment in Clinical, re-validate, and re-export it to Billing. The corrected record comes over in 'Locked Awaiting Export' status and is ready to be picked up in an OASIS export file for transmission to the State.

Do not increase the correction counter if the assessment was rejected by iQIES or if correcting a key field in the assessment.

To confirm or correct the correction counter click on the 'Update State Correction' Count button:



The screenshot shows the "Patient" record for 000000199. The "Certify" tab is active. Below the patient information, there is a table of dates and a section for "Orders" with an "Assessments" sub-tab.

From-Date	Thru-Date	Actual-E	FBV/Acc	Final-Bill	Final-P2	FBV/Acc	Initial-C	Final-C	F-VisitC	Hel	Per
6/24/2025	8/22/2025									☐	☐
8/23/2025	10/21/2025									☐	☐
10/22/2025	12/20/2025									☐	☐

Below the table, there is a section for "P1" and "P2" with dates and days, and checkboxes for "Period-2", "Initial-Bill", "Hipps", and "Medicaid".

The "Assessments" sub-tab shows a table with the following data:

Assess-Date	Assessment-Reason	Status	Hipps	Hipps-P2	Hipps-C	Hhrg-C
10/21/2025	OASIS v3-E RFA 4 Followup	Awaiting Validation	3BA21	3BA21		

A blue arrow points from the "Awaiting Validation" status to the "Update State Correction Count" button, which is located in the bottom right corner of the screen. The button is labeled "Update State Correction Count".

Review the CMS State Correction Count and click OK after making any changes:

Patient: 000000199 - Home, Pdgm E Admit: 11/7/2022 - Browse

Patient	Admit	Diagnosis	Assign	Insurance	Certify	Authorize	Docs	Other	Notes		
From-Date	Thru-Date	Actual-E	FBV/Acc	Final-Bill	Final-P2	FBV/Acc	Initial-C	Final-C	F-VisitC	Hel	Per
8/28/2024	10/26/2024									☐	☐
10/27/2024	12/25/2024									☐	☐
12/26/2024	2/23/2025									☐	☐

P1: 12/26/2024 - 01/24/2025 Days: 30 Docs-Not-Rcvd ☒ Period-2 ☐ Hipps
P2: 01/25/2025 - 02/23/2025 Days: 30 ☐ Initial-Bill ☒ Medicaid

Orders **Assessments**

Assess-Date	Assessment-Reason	Status	Hipps	Hipps-P2	Hipps-C	Hhrg-C
12/23/2024	OASIS v3-E RFA 4 Followup	Awaiting Validation	3BA11			

CMS State Correction Count

Patient: 000000199 - Home, Pdgm E
Assess Date: 12/23/2024
Reason For Assess: OASIS v3-E RFA 4 Followup
State Correction Count: 1
New State Correction Count:

OK **Cancel**

Find Save Cancel Print

Inactivating an Assessment

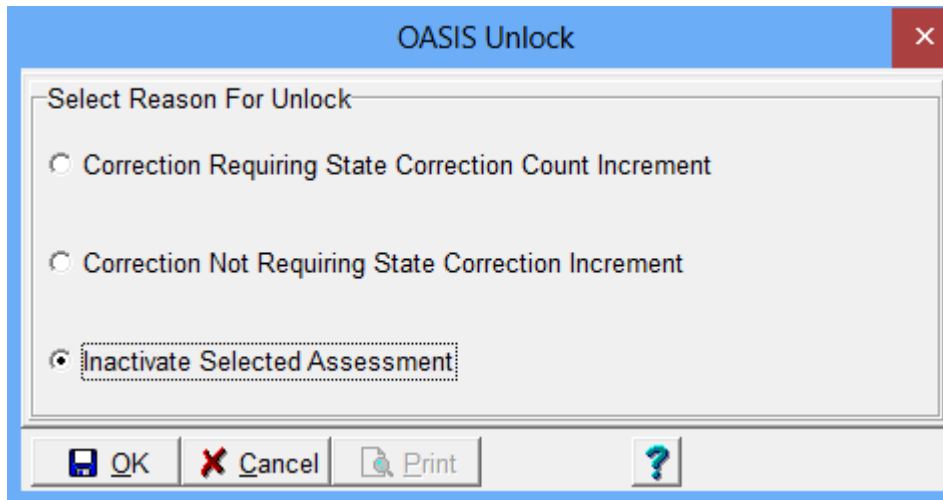
When making changes to a key field in an assessment that was accepted by the state, the assessment must be inactivated.

Key Fields:

- (M0010) Agency ID
- (M0030) Start of Care Date (when RFA = 01)
- (M0032) Resumption of Care Date (when RFA = 03)
- (M0040) Patient Last Name
- (M0040) Patient First Name
- (M0064) Social Security #
- (M0066) Birth Date
- (M0069) Gender (only prior to OASIS-E2 where it is replaced with A810 Sex)
- (M0090) Date Assessment Completed (when RFA = 04 or 05)

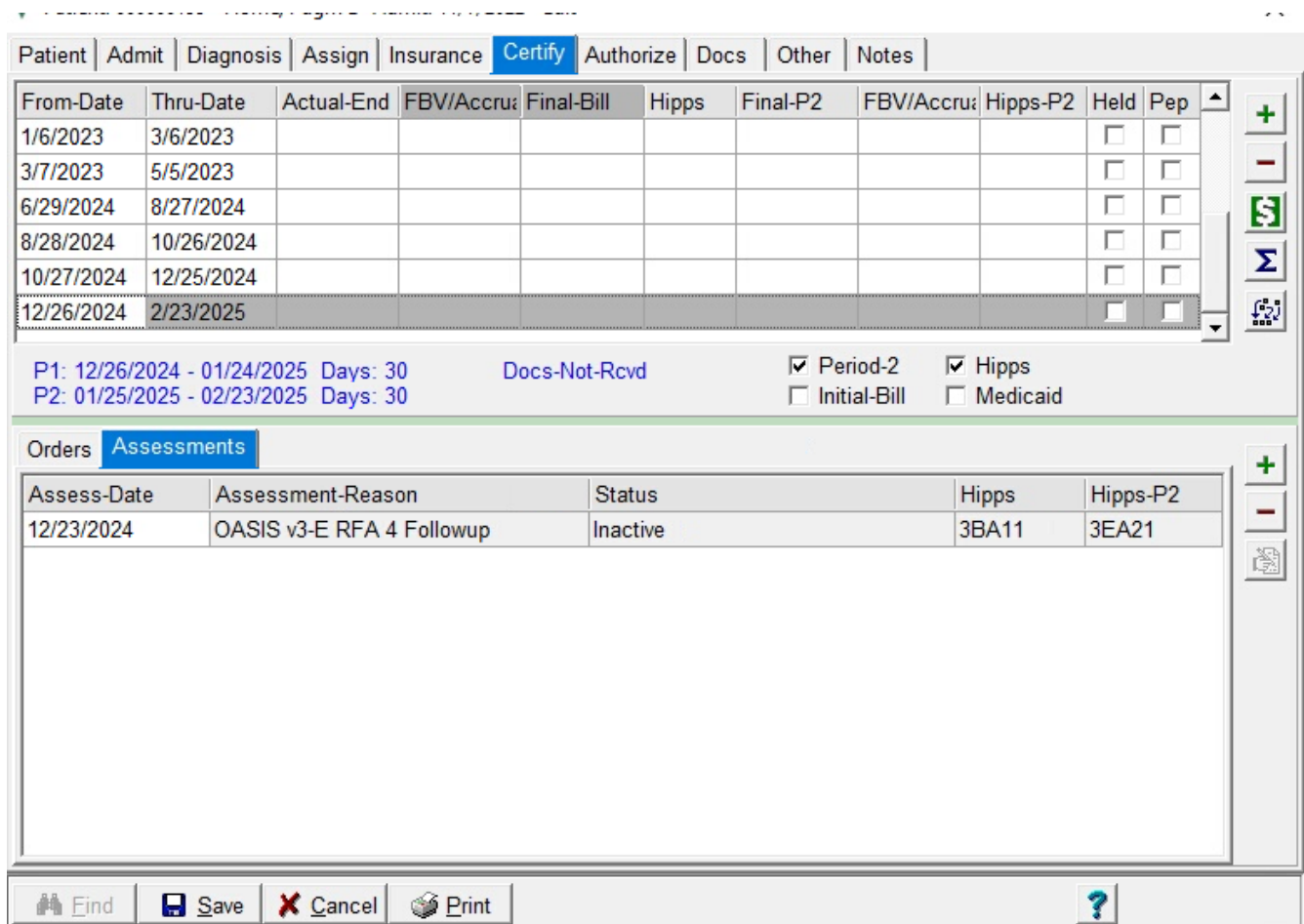
M0906) Discharge/Transfer/Death Date (when RFA = 06, 07, 08, and 09)

Select the 'Inactivate Selected Assessment' option when unlocking the OASIS:



The 'OASIS Unlock' dialog box has a title bar with a close button (X). Inside, there is a section titled 'Select Reason For Unlock' with three radio button options: 'Correction Requiring State Correction Count Increment', 'Correction Not Requiring State Correction Increment', and 'Inactivate Selected Assessment'. The 'Inactivate Selected Assessment' option is selected. At the bottom, there are buttons for 'OK', 'Cancel', 'Print', and a help icon (question mark).

Press **OK** once you've made the selection and press **Save**. The assessment will be in 'Inactive' status.



The main application window shows a patient record with various tabs: Patient, Admit, Diagnosis, Assign, Insurance, **Certify**, Authorize, Docs, Other, Notes. Below the tabs is a table with columns: From-Date, Thru-Date, Actual-End, FBV/Accrua, Final-Bill, Hipps, Final-P2, FBV/Accrua, Hipps-P2, Held, and Pep. The table contains several rows of dates. Below the table, there are checkboxes for 'Period-2', 'Initial-Bill', 'Hipps', and 'Medicaid'. The 'Assessments' tab is selected, showing a table with columns: Assess-Date, Assessment-Reason, Status, Hipps, and Hipps-P2. The table shows one assessment: 12/23/2024, OASIS v3-E RFA 4 Followup, Inactive, 3BA11, 3EA21. At the bottom, there are buttons for 'Find', 'Save', 'Cancel', 'Print', and a help icon (question mark).

From-Date	Thru-Date	Actual-End	FBV/Accrua	Final-Bill	Hipps	Final-P2	FBV/Accrua	Hipps-P2	Held	Pep
1/6/2023	3/6/2023								☐	☐
3/7/2023	5/5/2023								☐	☐
6/29/2024	8/27/2024								☐	☐
8/28/2024	10/26/2024								☐	☐
10/27/2024	12/25/2024								☐	☐
12/26/2024	2/23/2025								☐	☐

Assess-Date	Assessment-Reason	Status	Hipps	Hipps-P2
12/23/2024	OASIS v3-E RFA 4 Followup	Inactive	3BA11	3EA21

Correct the assessment in Clinical, re-validate, and re-export it to Billing. The corrected record comes over in 'Locked Awaiting Export' status and is ready to be picked up in an OASIS export file for

transmission to the State. When inactivating an assessment, there will be 2 records – the original Inactivated record and a new record with the changed information. Both need to be exported to the State.

Example:

Patient: 000000199 - Home, Pdgm E Admit: 11/7/2022

Patient | Admit | Diagnosis | Assign | Insurance | **Certify** | Authorize | Docs | Other | Notes

From-Date	Thru-Date	Actual-End	FBV/Accrua	Final-Bill	Hipps	Final-P2	FBV/Accrua	Hipps-P2	Held	Pep
1/6/2023	3/6/2023								☐	☐
3/7/2023	5/5/2023								☐	☐
6/29/2024	8/27/2024								☐	☐
8/28/2024	10/26/2024								☐	☐
10/27/2024	12/25/2024								☐	☐
12/26/2024	2/23/2025								☐	☐

P1: 12/26/2024 - 01/24/2025 Days: 30 Docs-Not-Rcvd ☒ Period-2 ☒ Hipps
P2: 01/25/2025 - 02/23/2025 Days: 30 ☐ Initial-Bill ☐ Medicaid

Orders **Assessments**

Assess-Date	Assessment-Reason	Status	Hipps	Hipps-P2
12/23/2024	OASIS v3-E RFA 4 Followup	Locked Awaiting Export	3BA11	
12/23/2024	OASIS v3-E RFA 4 Followup	Inactive	3BA11	3EA21

Find Save Cancel Print ?

Follow the steps in the [OASIS Export FAQ](#) to upload corrected assessments to iQIES.