

CMS Manual System	Department of Health & Human Services (DHHS)
Pub 100-20 One-Time Notification	Centers for Medicare & Medicaid Services (CMS)
Transmittal 2395	Date: November 15, 2019
	Change Request 11473

SUBJECT: Implementation to Accept Document Codes and Include Appropriate Document Code(s) in the Pre-Pay Electronic Medical Documentation Requests (eMDR) to Participating Providers, via the Electronic Submission of Medical Documentation (esMD) System

I. SUMMARY OF CHANGES: CR 11003 implemented the changes required to receive and process the registered provider file, which contains the latest status of the providers who have registered to receive eMDRs. This was the first step required to exchange eMDR letters to registered Providers via the esMD system. The second step occurred via CR 11141, which implemented the changes to receive and process the Pre-Pay eMDR via esMD. As the next step of the eMDR implementation process, “Document Codes” are required to be populated with each eMDR.

EFFECTIVE DATE: July 1, 2020

**Unless otherwise specified, the effective date is the date of service.*

IMPLEMENTATION DATE: April 6, 2020 - Analysis, Design and Coding; July 6, 2020 - Coding, Testing and Implementation

Disclaimer for manual changes only: The revision date and transmittal number apply only to red italicized material. Any other material was previously published and remains unchanged. However, if this revision contains a table of contents, you will receive the new/revised information only, and not the entire table of contents.

II. CHANGES IN MANUAL INSTRUCTIONS: (N/A if manual is not updated)

R=REVISED, N=NEW, D=DELETED-Only One Per Row.

R/N/D	CHAPTER / SECTION / SUBSECTION / TITLE
N/A	N/A

III. FUNDING:

For Medicare Administrative Contractors (MACs):

The Medicare Administrative Contractor is hereby advised that this constitutes technical direction as defined in your contract. CMS does not construe this as a change to the MAC Statement of Work. The contractor is not obligated to incur costs in excess of the amounts allotted in your contract unless and until specifically authorized by the Contracting Officer. If the contractor considers anything provided, as described above, to be outside the current scope of work, the contractor shall withhold performance on the part(s) in question and immediately notify the Contracting Officer, in writing or by e-mail, and request formal directions regarding continued performance requirements.

IV. ATTACHMENTS:

One Time Notification

Attachment - One-Time Notification

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SUBJECT: Implementation to Accept Document Codes and Include Appropriate Document Code(s) in the Pre-Pay Electronic Medical Documentation Requests (eMDR) to Participating Providers, via the Electronic Submission of Medical Documentation (esMD) System

EFFECTIVE DATE: July 1, 2020

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IMPLEMENTATION DATE: April 6, 2020 - Analysis, Design and Coding; July 6, 2020 - Coding, Testing and Implementation

I. GENERAL INFORMATION

A. Background: There have been several requests from Medicare providers to the Centers for Medicare & Medicaid Services (CMS) to enable the functionality to send Additional Documentation Request (ADR) letters electronically. CMS implemented a pilot supporting the electronic version of the ADR letter known as Electronic Medical Documentation Request (eMDR) via the Electronic Submission of Medical Documentation (esMD) system. Since the eMDRs may contain Protected Health Information (PHI) data being sent to the prospective provider, a valid consent is required from the authorized individual representing the provider along with the destination details including any delegation to their associated or representing organizations such as Health Information Handlers (HIHs). The sender will have to complete the required identity proofing and always make sure to check for any registration updates before sending out each eMDR. With the implementation of this CR, automation of eMDR registration and any corresponding updates will be done with esMD support.

CMS is requiring its review contractors to support sending ADR letters (**for Medical and Non-Medical Review related**) electronically as eMDRs. This eMDR functionality is expected to be implemented for distribution via the esMD system, by the January 2020 release.

For the next steps of improvement, “Document Codes” are required to be populated with each eMDR.

This CR will:

- Formulate the process to come up with
 - The final list of document codes that will be used for the purpose of populating into the Pre Pay eMDR letter record, after it has been finalized by the workgroup.
 - Rules to populate the document codes by each of the ‘Shared System Maintainers (SSM)’.

Terminology:

1. **Document Code:** Represents the document to be requested from the Provider, in a codified form. A list of Standardized Document Codes will be sent to all the Review Contractors who intend to participate in Pre Pay eMDR initiative, on a quarterly basis. The Document Codes and associated descriptions will be shared with the provider community by publishing the information on the CMS website.

Note: All terminology definitions and assumptions stated in *CR 11141*, remain the same.

B. Policy: The Administrative Simplification provisions of Health Insurance Portability and Accountability Act (HIPAA) require the Secretary of the Department of Health and Human Services (HHS) to follow the Security standards general rules as in § 164.306(a) and § 164.306(b) in order to protect the secure exchange of PHI/PII sensitive information electronically. The Administrative Simplification provisions of Health Insurance Portability and Accountability Act (HIPAA) require the Secretary of the Department of Health and Human Services (HHS) to follow the Security standards general rules as in § 164.306(a) and § 164.306(b) in order to protect the secure exchange of PHI/PII sensitive information electronically.

II. BUSINESS REQUIREMENTS TABLE

"Shall" denotes a mandatory requirement, and "should" denotes an optional requirement.

Number	Requirement	Responsibility								
		A/B MAC			D M E	Shared-System Maintainers				Other
		A	B	H H H		F I S S	M C S S	V M S	C W F	
11473.1	<p>The Virtual Data Center (VDC) shall receive the 'Document Codes File', for processing and distributing to their respective SSM and MACs, from esMD.</p> <p><i>Notes:</i></p> <ul style="list-style-type: none"> <i>This file shall be sent on a quarterly basis.</i> <ul style="list-style-type: none"> <i>The document code list will be shared with the MACs by 1st week of February 2020.</i> <i>The workgroup that will discuss and finalize the document codes shall be formed via a Technical Direction Letter. Each review contractor participating in pre-pay shall have representative in the workgroup.</i> <i>This shall never be an empty file.</i> <i>The esMD system shall share the Document Codes File (DCF) using the flat file format with the listed data elements in the workbook 'DataElements_For_eMDR_Document_Codes_esMD_to_SSM-DC_and_RCs.xlsx'.</i> <i>This file shall contain the latest status of all the document codes.</i> <i>The SSMs shall use the last updated information in case of any failure in receiving and/or processing the 'Document Codes File'.</i> <i>MCS shall perform the validations for both FISS and MCS</i> <i>The final DCF file shall be shared with all the contractors 2 months before the go-live date.</i> <i>The VDCs shall share the final DCF with the MACs, on a quarterly basis, by using NDM.</i> 		X		X		X	X	VDC, esMD	

Number	Requirement	Responsibility								
		A/B MAC		H H H	D M E M A C	Shared- System Maintainers				Other
		A	B			F I S S	M C S	V M S	C W F	
11473.1.1	<p>esMD shall send a header record with main elements as mentioned below (details of all the elements are mentioned in the ‘esMD to DC-RC - Docu Codes’ tab of the workbook ‘DataElements_For_eMDR_Document_Codes_esMD_to_SSM-DC_and_RCs.xlsx’):</p> <p>1. Record Type Indicator: <i>This element shall indicate the starting point of the header (‘U’ shall be the value populated for this element).</i></p> <p>2. esMD Processing Batch Cycle Date: <i>This element shall indicate the Date/Time when the esMD batch cycle ran to export the Document Codes file information, to be sent to the Data Centers.</i></p> <p>3. Type of Transaction: <i>This element shall give the details of what type of transactions are included in the batch. (‘DOCUCODE’ (Document Codes) is the only allowed value).</i></p>						X	X	VDC, esMD	
11473.1.2	<p>esMD shall send a trailer record with main elements as mentioned below (details of all the elements are mentioned in the ‘esMD to DC-RC - Docu Codes’ tab of the workbook ‘DataElements_For_eMDR_Document_Codes_esMD_to_SSM-DC_and_RCs.xlsx’):</p> <p>1. Record Type Indicator: <i>- This element shall indicate the starting point of the trailer. (‘W’ shall be the value populated for this element.)</i></p> <p>2. Total Number of Records: <i>- This element shall have the total number of Document Codes in the file, sent from esMD to DC / RC.</i></p>						X	X	VDC, esMD	
11473.1.3	<p>esMD shall send a detailed body record with main elements as mentioned below (details of all the elements are mentioned in the ‘esMD to DC-RC - Docu Codes’ tab of the workbook ‘DataElements_For_eMDR_Document_Codes_esMD_to_SSM-DC_and_RCs.xlsx’):</p> <p>1. Record Type Indicator: <i>This element shall indicate the starting point of the body. (‘V’ shall be the value populated for this element.)</i></p>						X	X	VDC, esMD	

Number	Requirement	Responsibility							
		A/B MAC		D M E M A C	Shared- System Maintainers				Other
		A	B		H H H	F I S S	M C S	V M S	
	<p>2. Record Number: <i>This element shall indicate the sequence number of the record, in the Document Codes file.</i></p> <p>3. Document Code: <i>This element shall indicate the standard code for a document.</i></p> <p>4. Document Description: <i>This element shall indicate the long description of the document being requested.</i></p> <p>5. Action Status: <i>This element shall indicate the current status of the document code being requested.</i></p> <p><i>Allowed values are :</i></p> <p>A - Code got Added (continue to use);</p> <p>U - Code remains Unchanged (continue to use);</p> <p>M - Code got Modified (continue to use);</p> <p>E - Code got Expired (discontinue the use);</p> <p>6. Action Date: <i>This element shall indicate the date on which the current status of the document code has changed (the value for this date cannot be a future date).</i></p>								
11473.2	<p>Each SSM shall send one notification back to esMD via the data center locations indicating acceptance or rejection of each data file.</p> <p><i>Notes:</i></p> <ul style="list-style-type: none"> <i>MCS is validating the DCF for both FISS and MCS. MCS agreed to send one acknowledgement per VDC.</i> <i>VMS shall send a single notification via the VDC, from whom they receive the DCF.</i> <i>Construct of the Header, Body (error Details, if any) and trailer of the notification are mentioned in the following requirements.</i> 					X	X		VDC, esMD
11473.2.1	The SSMs shall send the header record with the main					X	X		VDC, esMD

Number	Requirement	Responsibility								
		A/B MAC			D M E	Shared-System Maintainers				Other
		A	B	H H H		F M V C	I C M W	S S S F		
	<p>elements as mentioned below (details of all the elements are mentioned in the 'Header-Trailer DC to esMD Ack' tab of the workbook 'DataElements_For_eMDR_Document_Codes_esMD_to_SSM-DC_and_RCs.xlsx').:</p> <ol style="list-style-type: none"> Record Type Indicator: - This element shall indicate the starting point of the header. ('X' shall be the value populated for this element.) esMD Processing Batch Cycle Date/timestamp: - This timestamp shall be sent by esMD and indicate when the 'Document Codes File' was generated. DC Batch Cycle Date: - This element represents the Date/time stamp on which the 'Document Codes File' was processed by the Data Center Type of Transactions: - This element shall give the details of what type of transaction. ('DOCUCODE' is the only value allowed) File Status: - This element shall indicate whether the batch file is accepted or rejected. (Values allowed 'A' – File Accepted, 'R' – File Rejected) <p>For any Reject scenario, (either at the File level or at the Record level) SSM shall reject the entire file, back to esMD.</p>									
11473.2.2	<p>The SSMs shall send the trailer record with the main elements as mentioned below (details of all the elements are mentioned in the 'Header-Trailer DC to esMD Ack' tab of the workbook 'DataElements_For_eMDR_Document_Codes_esMD_to_SSM-DC_and_RCs.xlsx').:</p> <ol style="list-style-type: none"> Record Type Indicator: - This element shall indicate the starting point of the trailer. ('Z' shall be the value populated for this element.) Number of records received: - This element shall have the total number of records received by VDCs from the batch file. Number of records Validated: - This element shall have the total number of records validated by Shared Systems from the batch file. Number of error records: - This element shall have 					X	X		VDC, esMD	

Number	Requirement	Responsibility							
		A/B MAC		D M E M A C	Shared- System Maintainers				Other
		A	B		H H H	F I S S	M C S	V M S	
	<p><i>the total number of records in error.</i></p> <p><i>Notes:</i></p> <ul style="list-style-type: none"> <i>An acceptance notification shall have a trailer record with the number of records received equal to the number of records validated (number of error records as zero) and shall have an empty body. Header shall have the 'File Status' element populated with 'A'.</i> <i>A rejection notification shall have the trailer record with the number of records received equal to the summation of number of error records and number of validated records in the file. Header shall have the 'File Status' element populated with 'R'.</i> 								
11473.2.3	<p>The SSMs shall send the detailed body of the notification with error record details (if any) in each row with specific error code (3 digits) representing the type(s) of error. Below are the important elements for the notification (details of all the elements are mentioned in the 'Header-Trailer DC to esMD Ack' tab of the workbook 'DataElements_For_eMDR_Document_Codes_esMD_to_SSM-DC_and_RCs.xlsx'):</p> <p>1. Record Type Indicator: <i>This element shall indicate the starting point of the body. ('Y' shall be the value populated for this element). This element shall be populated in case of at least one error.</i></p> <p>2. Record Number: <i>This element shall indicate the actual sequence/record number as read by the process, while reading the 'Document Codes File'.</i></p> <p>3. Document Code: <i>This element shall have the document code that has error(s). This shall be populated in case of at least one error. The value shall be '000000' if the error code is 510.</i></p> <p>4. Error Code (1-4): <i>For a given error record, 4 possible errors can be sent back using these codes:</i></p> <ul style="list-style-type: none"> <i>510 - Document Code is missing, OR, of invalid length,</i> 					X	X		VDC, esMD

Number	Requirement	Responsibility								
		A/B MAC			D M E M A C	Shared- System Maintainers				Other
		A	B	H H H		F I S S	M C S	V M S	C W F	
	<ul style="list-style-type: none"> 511 - Document Description is missing, 512 - Action Status is missing, OR, invalid value 513 - Action Date is missing, OR, invalid value <p>Position 2 to 23 in the body can be repeated for multiple times.</p>									
11473.3	<p>The SSMs shall send a reject notification in case there is a mismatch between the number of records included (as each row in the flat file) and the number mentioned in the 'Total Number of Records' of the trailer for a given 'Document Codes File'.</p> <p><i>Note:</i></p> <ul style="list-style-type: none"> A rejection notification for the number of records that are a mismatch will have the number of records received equal to the number of error records (number of records validated as zero) and the error code as 222. The header shall have the 'File Status' element populated with 'R'. The Record Indicator and the Document code fields shall be populated with zeros. 						X	X	VDC, esMD	
11473.4	<p>The datacenters shall inform the esMD helpdesk (esMD_Support@cms.hhs.gov) if the 'Document Codes File' received from esMD is:</p> <ul style="list-style-type: none"> Not formatted correctly, i.e. the records are not the correct length. Corrupt i.e. cannot be opened. Missing. 								VDC, esMD	
11473.5	<p>The Virtual Data Center (VDC) shall receive the updated 'Document Codes File', for processing and distributing to their respective SSM and MACs, from esMD.</p> <p><i>The updated file shall be sent by esMD, when the original file was rejected by the SSM process.</i></p>	X	X	X	X		X		STC, VDC, esMD	

Number	Requirement	Responsibility							
		A/B MAC		D M E M A C	Shared- System Maintainers				Other
		A	B		H H H	F I S S	M C S	V M S	
	<p><i>Centers (VDCs) (on behalf of Shared Systems) with all eMDR data elements (per ADR letter) as a row for all the ADR letters being sent out via esMD on that day.</i></p> <ul style="list-style-type: none"> <i>Please note the Document Codes are intended/expected to be populated in the eMDR Letter Flat File Record only and this requirement does not imply any changes to the actual ADR letter or the PDF copy of the ADR letter itself. This statement holds good for all of the sub-part of this requirement.</i> 								
11473.7.1	<p>FISS shall populate the following sections in their eMDR Letter Flat File record for the July 2020 release.</p> <p>‘Document code segment’</p> <ul style="list-style-type: none"> Analysis Factor: FISS shall always populate the 5 character ‘Reason Code’ for this data element. (This field is always required.) Date(s) of Service: FISS can leave this blank or populate the date of service as per their understanding. (This field is optional.) Document Codes: FISS shall always populate this field with at least one document code. (This field is always required.) <ul style="list-style-type: none"> When the first digit of the Document Code (6-digit) DOES NOT start with 7, 8 or 9, it is to be considered as a 'Regular' Document Code. When the first digit of the Document Code (6-digit) DOES start with 7, 8 or 9, it is to be considered as a 'Parameter' Document Code ('Parameter' Document Code is meant to add a further granularity to the Regular Document Code). A given Document Code Slot (24 bytes) can accommodate a Regular Document Code (of 6 bytes) and 3 Parameter Document Codes (of 18 bytes). A Regular Document Code must be present in the first slot (first 6 bytes of 	X		X		X			VDC, esMD

Number	Requirement	Responsibility								
		A/B MAC		H H H M A C	D M E M A C	Shared- System Maintainers				Other
		A	B			F I S S	M C S	V M S	C W F	
	<p>the 24 bytes).</p> <ul style="list-style-type: none"> A Parameter Document Code, when populated, can be in any of the next 3 slots (next 18 bytes of 24 bytes). 									
11473.7.1 .1	<p>FISS shall populate the following sections in their eMDR Letter Flat file record for the July 2020 release.</p> <p>'Document code segment'</p> <ul style="list-style-type: none"> Document Codes being populated in the eMDR Letter Flat File record must be one of the unexpired codes from DCF contents (The MACs shall ensure that the expired Document Codes are not linked to Reason Codes). In case there is no document code associated with a given 'Reason Code', FISS shall populate the default document code '150003' In case there are more than 40 documents requested for a particular 'Reason Code', FISS shall populate the 40th document code as '150001' (the MACs shall ensure the 40th Document Code is mapped, for the stated situation). <p>'Claim header Section'</p> <ul style="list-style-type: none"> Date(s) of Service: FISS shall always populate this data element at the claim header level. (This field is Required). <p><i>Notes:</i></p> <ul style="list-style-type: none"> <i>Please refer to the attached presentation 'Document Code Population by each SSM VI_08152019.pptx' for the examples on how each SSM can populate the document codes.</i> <i>Each Reason code can use up to 2 'Document Request' blocks.</i> <i>Each SSM can use up to 53 Document code blocks for one eMDR record.</i> <i>Document code 150003 will have the following description – 'No Associated Document Code - Default Code for system use'.</i> 	X		X		X			VDC, esMD	

Number	Requirement	Responsibility							
		A/B MAC		D M E M A C	Shared- System Maintainers				Other
		A	B		H H H	F I S S	M C S	V M S	
	<ul style="list-style-type: none"> Document code 150001 will have the following description – ‘More documents requested , please refer to the PDF Copy of the ADR Letter’. 								
11473.7.2	<p>MCS shall populate the following section in their eMDR letter for the July 2020 release.</p> <p>‘Document code segment’</p> <ul style="list-style-type: none"> Analysis Factor: MCS shall populate the <ul style="list-style-type: none"> acronym ‘CLAIM’ if the document is requested at the claim level. a procedure code if the document is requested at the service/procedure level. (This field is always required.) Date(s) of Service: MCS can leave this blank or populate the date of service as per their understanding. (This field is optional.) Document Codes: MCS shall always populate this field with at least one document code. (This field is always required.) <ul style="list-style-type: none"> When the first digit of the Document Code (6-digit) DOES NOT start with 7, 8 or 9, it is to be considered as a 'Regular' Document Code. When the first digit of the Document Code (6-digit) DOES start with 7, 8 or 9, it is to be considered as a 'Parameter' Document Code ('Parameter' Document Code is meant to add a further granularity to the Regular Document Code). A given Document Code Slot (24 bytes) can accommodate a Regular Document Code (of 6 bytes) and 3 Parameter Document Codes (of 18 bytes). A Regular Document Code must be present in the first slot (first 6 bytes of the 24 bytes). A Parameter Document Code, when populated, can be in any of the next 3 slots (next 18 bytes of 24 bytes). 		X				X		VDC, esMD

Number	Requirement	Responsibility								
		A/B MAC			D M E M A C	Shared-System Maintainers				Other
		A	B	H H H		F I S S	M C S	V M S	C W F	
11473.7.2 .1	<p>MCS shall populate the following sections in their eDMR Letter Flat file record for the July 2020 release.</p> <p>'Document code segment'</p> <ul style="list-style-type: none"> Document Codes being populated in the eMDR Letter Flat File record must be one of the unexpired code from DCF contents (The MACs shall ensure that expired Document Codes are not linked to Reason Codes). In case there is no document code associated with a given 'MCS Message/ADS code', MCS shall populate the default document code '150003'. In case there are more than 20 documents requested for a particular 'MCS Message/ADS code', MCS shall populate the 20th document code as '150001' (the MACs shall ensure the 20th Document Code is mapped, for the stated situation). 		X				X		VDC, esMD	
11473.7.2 .2	<p>MCS shall populate the following section in their eMDR Letter Flat File record for the July 2020 release.</p> <p>'Claim Header Section'</p> <ul style="list-style-type: none"> Dates of Service: MCS shall always populate this data element at the claim header level. (This field is required.) <p><i>Notes:</i></p> <ul style="list-style-type: none"> <i>Please refer to the attached presentation 'Document Code Population by each SSM VI_08152019.pptx' for the examples on how each SSM can populate the document codes.</i> <i>Each 'Document Request' block shall be populated with the document codes</i> <ul style="list-style-type: none"> <i>for one procedure code only (If the document is requested at the procedure level)</i> 		X				X		VDC, esMD	

Number	Requirement	Responsibility								
		A/B MAC			D M E	Shared-System Maintainers				Other
		A	B	H H H		F I S S	M C S	V M S	C W F	
	<ul style="list-style-type: none"> Each SSM can use up to 53 Document code blocks for one eMDR record. Document code 150003 will have the following description – ‘No Associated Document Code - Default Code for system use’. Document code 150001 will have the following description – ‘More documents requested, please refer to the PDF Copy of the ADR Letter’. 									
11473.7.3	<p>VMS shall populate the following sections in their eMDR Letter Flat File record for the July 2020 release.</p> <p>‘Document code segment’</p> <ul style="list-style-type: none"> Analysis Factor: VMS shall always populate the procedure code for this data element. (This field is always required.) Date(s) of Service: VMS can leave this blank or populate the date of service as per their understanding. (This field is optional.) Document Codes: VMS shall always populate this field with at-least one document code. (This field is always required.) <ul style="list-style-type: none"> When the first digit of the Document Code (6-digit) DOES NOT start with 7, 8 or 9, it is to be considered as a 'Regular' Document Code. When the first digit of the Document Code (6-digit) DOES start with 7, 8 or 9, it is to be considered as a 'Parameter' Document Code ('Parameter' Document Code is meant to add a further granularity to the Regular Document Code). A given Document Code Slot (24 bytes) can accommodate a Regular Document Code (of 6 bytes) and 3 Parameter Document Codes (of 18 bytes). A Regular Document Code must be present in the first slot (first 6 bytes of the 24 bytes). A Parameter Document Code, when 				X			X	VDC, esMD	

Number	Requirement	Responsibility								Other
		A/B MAC			D M E M A C	Shared-System Maintainers				
		A	B	H H H		F I S S	M C S	V M S	C W F	
	populated, can be in any of the next 3 slots (next 18 bytes of 24 bytes).									
11473.7.3.1	<p>VMS shall populate the following sections in their eDMR Letter Flat file record for the July 2020 release.</p> <p>'Document code segment'</p> <ul style="list-style-type: none"> Document Codes being populated in the eMDR Letter Flat File record must be one of the unexpired code from DCF contents (The MACs shall ensure that expired Document Codes are not linked to Reason Codes). In case there is no document code associated with a given 'ADS Code', VMS shall populate the default document code '150003'. <p>'Claim header Section'</p> <ul style="list-style-type: none"> Date(s) of Service: VMS shall always populate this data element at the claim header level. (This field is required.) <p><i>Notes:</i></p> <ul style="list-style-type: none"> Please refer to the attached presentation 'Document Code Population by each SSM VI_08152019.pptx' for the examples on how each SSM can populate the document codes. Each SSM can use up to 53 Document code blocks for one eMDR record. Document code 150003 will have the following description – 'No Associated Document Code - Default Code for system use'. Document code 150001 will have the following description – 'More documents requested, please refer to the PDF Copy of the ADR Letter'. 				X			X	VDC, esMD	
11473.8	The contractors shall participate during the User Acceptance Testing period to test the changes, as applicable. (June 2020)	X	X	X	X					STC, VDC, esMD

Number	Requirement	Responsibility								
		A/B MAC			D M E M A C	Shared- System Maintainers				Other
		A	B	H H H		F I S S	M C S	V M S	C W F	
11473.9	<p>The contractors shall attend the following one-hour calls to kick-off the discussions with all participants to:</p> <ul style="list-style-type: none"> Understand when/how/what test data can be exchanged; and Resolve any issues related to test data and the specification changes. <p>- Up to 2 one-hour calls shall be scheduled between the SSMs, contractors, VDCs and esMD teams starting in April 2020.</p> <p>- 1 one-hour call shall be scheduled between the esMD, SSMs, VDCs and STC teams in April 2020.</p> <p>During the UAT period in June, up to 2 calls can be scheduled with all participants to discuss any testing issues that may occur.</p>	X	X	X	X	X	X	X	STC, VDC, esMD	
11473.9.1	<p>The esMD team shall schedule all calls and is responsible for providing the minutes.</p> <p><i>Notes:</i></p> <ul style="list-style-type: none"> <i>The SSMs, VDCs, STC and contractors shall provide their point of contacts (group email ID) for the calls within 3 business days after the CR is released.</i> 	X	X	X	X	X	X	X	STC, VDC, esMD	
11473.10	esMD and the contractors shall exchange the test files as per the schedule included in the attached document	X	X	X	X				STC, VDC, esMD	

Number	Requirement	Responsibility									
		A/B MAC			D M E M A C	Shared-System Maintainers				Other	
		A	B	H H H		F I S S	M C S	V M S	C W F		
	"Testing Criteria-Pre-Pay eMDR with Document Codes.docx".										
11473.11	<p>The contractors shall be aware that the 'Date of Service' mentioned in the comment below the 'Effective Date' of the CR has no functional impact to these CR requirements.</p> <p><i>Note:</i></p> <p><i>Please note that the changes mentioned in this CR will be effective per the Process Date, and not by the Date of Service.</i></p>	X	X	X	X						STC, VDC, esMD

III. PROVIDER EDUCATION TABLE

Number	Requirement	Responsibility				
		A/B MAC			D M E M A C	C E D I
		A	B	H H H		
	None					

IV. SUPPORTING INFORMATION

Section A: Recommendations and supporting information associated with listed requirements: N/A

"Should" denotes a recommendation.

X-Ref Requirement Number	Recommendations or other supporting information:

Section B: All other recommendations and supporting information: N/A

V. CONTACTS

Pre-Implementation Contact(s): Melanie Jones, 410-786-5461 or Melanie.Jones@cms.hhs.gov

Post-Implementation Contact(s): Contact your Contracting Officer's Representative (COR).

VI. FUNDING

Section A: For Medicare Administrative Contractors (MACs):

The Medicare Administrative Contractor is hereby advised that this constitutes technical direction as defined in your contract. CMS does not construe this as a change to the MAC Statement of Work. The contractor is not obligated to incur costs in excess of the amounts allotted in your contract unless and until specifically authorized by the Contracting Officer. If the contractor considers anything provided, as described above, to be outside the current scope of work, the contractor shall withhold performance on the part(s) in question and immediately notify the Contracting Officer, in writing or by e-mail, and request formal directions regarding continued performance requirements.

ATTACHMENTS: 5

July 2020 Release

Criteria Required to Generate Test Files from SSMs/VDCs/MACs to esMD for CR 31436 (eChimp CR 11473)

*****esMD UAT Starts at the beginning of June 2020 *****

Testing support call schedule and expected attendees:

DPSM esMD Team would need to set up (up to) **3 calls**, starting in the month of **April 2020** to collaborate on the content of the **Test Files/Test scenarios**. The goal of these calls is to ensure that the SSMs/VDCs/MACs/STC to discuss about any **technical questions in regard to populating the Document Codes in Pre-Pay eMDR**.

April to Mid-May : up to 2 Technical Support Calls (SSMs/VDCs/MACs)

April : 1 STC Test Preparation Call (STC/SSMs/VDCs and esMD teams)

Note:

The Technical Support Call will be organized, by the esMD technical teams, to address any **technical clarifications** related to RC Client API / file exchanges procedures.

During subsequent call, esMD would wish to ensure/provide the following, regarding the Pre-Pay eMDR with document codes implementation.

- a. Test Provider NPIs to be used for UAT. esMD would take a decision in June on, whether to use the same set of NPIs that were used for testing during January 2020 release or the production ready NPIs. (Depending on the NPPES system refresh)
- b. Document Code set to be used for testing.
- c. esMD to provide UAT Test Plan to all the Participants.

July 2020 Release SSMs, STCs, MACs Testing Plan:

Responsible parties are marked in each step of testing.

Test Criteria	Unit Test Period	STC Test Period	UAT Test Period
<u>DCF creation and execution</u> Step 1: esMD to send the Document Codes File (DCF) to VDCs. Step 2: Receive accept / reject notifications from VDCs. Step 3: Receiving helpdesk ticket in case of file level errors.	1 st 2 weeks of Unit testing phase. (Starting April 1 st 2020)	1 st 2 weeks of STC testing phase. (Starting May 5 th 2020)	1 st 2 weeks of UAT testing phase. (Starting June 2 nd 2020)

Test Criteria (Refer to Figure 1 for eMDR Pre-Pay flow)	Unit Test Key Dates	STC Test Phase Key Dates	UAT Test Key Dates
<p><u>eMDR Testing</u></p> <p>Step 1: esMD to receive, process and acknowledge the files from VDCs. Step 2: RCs to sends Zip File with ADRs in PDF format via RC Client API Step 3: esMD to receive, process, and respond back to RC. (Ack or Error) Step 4: Generate the Letter Package and Send it to HIH. Step 5: Receiving, Processing Acknowledgement from HIH, for the delivery.</p>	<p>From 2nd week onwards, until the Unit testing ends. (Starting April 1st 2020)</p>	<p>From 2nd week onwards, until the STC testing ends. (Starting May 5th 2020)</p>	<p>Rest of the weeks 2nd week onwards, until the Unit testing UAT testing ends. (Starting June 2nd 2020)</p>

Test Criteria (Refer to Figure 1 for eMDR Pre-Pay flow)	Unit Test Key Dates	STC Test Phase Key Dates	UAT Test Key Dates
<p><u>eMDR Package delivery outcome from HIH.</u></p> <p>Step 1: esMD receives eMDR delivery acknowledgement from HIH after esMD successfully sent the eMDR and ADR files to HIH. Step 2: esMD sends the success/failure delivery acknowledgement to RC's depending on whether esMD successfully/failed delivering to HIH.</p>	<p>From 2nd week onwards, until the Unit testing ends. (Starting April 1st 2020)</p>	<p>From 2nd week onwards, until the STC testing ends. (Starting May 5th 2020)</p>	<p>2nd week Rest of the week onwards, until the Unit testing UAT testing ends. (Starting June 2nd 2020)</p>

SSM Unit Test POC details:

1. POCs from esMD team : DPSM_esMD@cms.hhs.gov; esmddevgroup@religroupinc.com
2. POCs from SSM team : **SSM Teams' information needed**
3. POCs from VDC team : Will.Braat@perspecta.com; Scott.Kennedy@perspecta.com

STC Test POC details:

1. POCs from esMD team : TOSS_Testing@actionet.com; DPSM_esMD@cms.hhs.gov ; esmddevgroup@religroupinc.com
2. POCs from STC team : STCAdmin@dcca.com.
3. POCs from VDC team : Will.Braat@perspecta.com; Scott.Kennedy@perspecta.com

SSM/RCs UAT Test POC details:

1. POCs from esMD team : TOSS_Testing@actionet.com; DPSM_esMD@cms.hhs.gov ;
esmddevgroup@religroupinc.com
2. POCs from SSM/RCs : **SSM/RC Teams' information needed**
3. POCs from VDC team : Will.Braat@perspecta.com; Scott.Kennedy@perspecta.com