CMS Manual System	Department of Health & Human Services (DHHS)
Pub 100-20 One-Time Notification	Centers for Medicare & Medicaid Services (CMS)
Transmittal 868	Date: March 9, 2011
	Change Request 7289

Transmittal 855, dated February 4, 2011 is being rescinded and replaced by Transmittal 868 dated March 9, 2011. Correction to the "Error Report Record" to fix typos and incorrect formulas that were not identified during the CR's POC reviews. All other information remains the same.

SUBJECT: July Common Edits and Enhancements Module (CEM) and Receipt, Control, and Balancing Updates

I. SUMMARY OF CHANGES: The purpose of this Change Request (CR) is to instruct the CEM developers, Part A and B Medicare Administrative Contractors (MAC), and the Durable Medical Equipment (DME) MAC Common Electronic Data Interchange (CEDI) contractor in their continuing development efforts of the CEM and Receipt, Control, and Balancing software and environment requirements.   This instruction includes issues identified during the Alpha, Beta and User Acceptance Testing (UAT) test periods.

EFFECTIVE DATE: July 1, 2011
IMPLEMENTATION DATE: July 5, 2011

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	

III. FUNDING:
For Fiscal Intermediaries (FIs), Regional Home Health Intermediaries (RHHIs) and/or Carriers:
Not Applicable.

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

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

Attachment – One-Time Notification

Pub. 100-20	Transmittal: 868	Date: March 9, 2011	Change Request: 7289

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SUBJECT: July Common Edits and Enhancements Module (CEM) and Receipt, Control, and Balancing Updates

Effective Date: July 1, 2011

Implementation Date: July 5, 2011

I.   GENERAL INFORMATION

A.   Background: The Centers for Medicare and Medicaid Services (CMS) is in the process of implementing the next version of the Health Insurance Portability and Accountability Act transactions. The Secretary of the Department of Health and Human Services (DHHS) has adopted Accredited Standards Committee (ASC) X12 Version 5010 and the National Council for Prescription Drug Programs (NCPDP) Version D.0 as the next HIPAA transaction standards for covered entities to exchange HIPAA transactions. The final rule was published on January 16, 2009. Some of the important dates in the implementation process are:

Effective Date of the regulation:	March 17, 2009
Level I compliance by:	December 31, 2010
Level II compliance by:	December 31, 2011
All covered entities have to be fully compliant on:	January 1, 2012

Level I compliance means "that a covered entity can demonstrate that it could create and receive compliant transactions, resulting from the compliance of all design/build activities and internal testing."

Level II compliance means "that a covered entity has completed end-to-end testing with each of its trading partners, and is able to operate in production mode with the new versions of the standards."

DHHS has promulgated in the Final Rules provisions which permit dual use of existing standards (ASC X12 4010A1 and NCPDP 5.1) and the new standards (5010 and D.0) from the March 17, 2009, effective date until the January 1, 2012 compliance date to facilitate testing subject to trading partner agreement.

The purpose of this Change Request (CR) is to instruct the CEM developers, Part A and B Medicare Administrative Contractors (MAC), and the Durable Medical Equipment (DME) MAC Common Electronic Data Interchange (CEDI) contractor in their continuing development efforts of the CEM and Receipt, Control, and Balancing software and environment requirements. This instruction includes issues identified during the Alpha, Beta and User Acceptance Testing (UAT) test periods.

This CR instructs the A/B MACs, CEDI, and the Shared System Maintainers of the CEM software in the development and implementation of new error reporting capabilities for version 5010 claims. CMS has been holding weekly work group meetings with the MACs, CEDI, and CEM developers for several months to determine the requirements.

Estimates for this CR should include a breakdown as part of the Level of Effort (LOE) response, utilizing the following table to be included in the "Estimate-Specific Comments" portion of the LOE template, to follow the Investment Lifecycle Phases.

Investment Lifecycle Phase	Total Hours	Total Cost
Pre-Implementation/CR Review		
Design & Engineering Phase		
Development Phase		
Testing Phase		
Implementation Phase		

Note that the Pre-Implementation/CR Review costs will not be funded under the unique funding situation for the 5010/D.0 project, but instead out of the MAC's pot of hours for Pre-Implementation/CR Review.

B.   Policy: Health Insurance Reform: Modifications to the Health Insurance Portability and Accountability Act (HIPAA): Final Rules published in the Federal Register on January 16, 2009, by the DHHS at 45 CFR Part 162.

II.   BUSINESS REQUIREMENTS TABLE

Number	Requirement	A/B MAC	DME MAC	FI	CARRIER	RHHI	FISS	MCS	VMS	CWF	OTHER
							Shared-System Maintainers				
7289.1	The A/B MAC contractors shall generate an error record as output from their translator corresponding to each instance of a 277"T" error (as documented in the 837 Edits Spreadsheet) occurring at the ST-SE level during translation from the ASC X12 format to the CMS flat file for version 5010 837 claim transactions.	X									
7289.2	The DME CEDI contractor shall generate an error record as output from their translator corresponding to each instance of a 277 "T" and/or a 277 "C" error (as documented in the 837 Edits Spreadsheet) occurring at the ST-SE level during translation from the ASC X12 format to the CMS flat file for version 5010 837 claim transactions.										CEDI
7289.3	The DME CEDI contractor shall generate an error record as output from their translator for all business level edits encountered during translation from the NCPDP D.0 format to the CMS flat file for version D.0 transactions.										CEDI
7289.4	The A/B MAC contractors shall place the error records in an input folder (to be developed by the CEM developers) for inclusion in the Error Record	X									

Number	Requirement	A/B MAC	DME MAC	FI	CARRIER	RHHI	FISS	MCS	VMS	CWF	OTHER
							Shared-System Maintainers				
	data base for future reporting.										
7289.5	The DME CEDI contractor shall place the error in the Error Record data base for future reporting.										CEDI
7289.6	The Shared System Maintainers of the Common Edits and Enhancement Module (CEM) software shall generate an error record as output from the CEM to each instance of a 277"C" error (as documented in the 837 Edits Spreadsheet) occurring at the ST-SE level during the CEM processing of the translated CMS flat file for version 5010 837 claim transactions.						X	X			CEM
7289.7	The Shared System Maintainers of the CEM software shall create a process for the collection of error records from both the A/B MAC's translator output and the CEM software error records for the purposes of database normalization prior to insertion in the newly developed Error Reporting Database.						X	X			CEM
7289.8	The Shared System Maintainers of the CEM software shall create a process for the extraction of error records from the newly developed Error Reporting Database for the purposes of creating the A/B MAC's Top 10 Error Report and the Submitter Error Rate Report. These extract files shall be in a Comma Separated Value (CSV) format in Microsoft Excel Version 2003 or higher in compliance with the A/B MAC's Statement of Work under deliverables.						X	X			CEM
7289.9	The A/B MACs and the CEDI contractor shall post to its internet web page(s) the A/B MAC's Top 10 Error Report. This extract file shall be in a Comma Separated Value (CSV) format in Microsoft Excel Version 2003 or higher in compliance with the A/B MAC's Statement of Work under deliverables.	X									CEDI
7289.9.1	The A/B MACs shall use the CSV from business requirement 7289.8 to generate the readable report for postings and listserv messages.	X									
7289.10	The Shared System Maintainers of the CEM software shall create a process for the purging of error records from the newly developed Error Reporting Database. This purge process shall be parameter driven in order for the A/B MACs to control the size and performance of the database in its LDC environment.						X	X			CEM
7289.11	The Shared System Maintainers of the CEM software shall create a process for the backing-up of records						X	X			CEM

Number	Requirement	A/B MAC	DME MAC	FI	CARRIER	RHHI	FISS	MCS	VMS	CWF	OTHER
	contained the newly developed Error Reporting Database as appropriate for the LDC environment which shall include processes to synchronize CEM Editing processes with the Error Reporting processes.										
7289.12	The CEDI contractor shall create a process for the extraction of error records from the newly developed Error Reporting Database for the purposes of creating the CEDI/DMEMAC's Top 10 Error Report. This extract file shall be in a Coma Separated Value (CSV) format in Microsoft Excel Version 2003 or higher in compliance with the DME MAC's and CEDI Statement of Work under deliverables.										CEDI
7289.13	The CEDI contractor shall create a process for the purging of error records from the newly developed Error Reporting Database. This purge process shall be parameter driven in order for the CEDI contractor to control the size and performance of the database in its LDC environment										CEDI
7289.14	The CEDI contractor shall create a process for the backing-up of records contained the newly developed Error Reporting Database as appropriate for the LDC environment which shall include processes to synchronize CEDI Editing processes with the Error Reporting processes.										CEDI
7289.15	The Shared System Maintainers of the CEM software shall create a 'Edit Business Description' table (to be driven from the Part A and Part B edits spreadsheets) within the newly developed Error Reporting Database.						X	X			CEM
7289.15.1	The Shared System Maintainers of the CEM software shall create a process in the newly developed Error Reporting Database to crosswalk from the edit numbers, being reported on the ERTD reports, and populate the edit business description on the extract from the A/B MAC's Top 10 Error Report and the Submitter Error Rate Report.						X	X			CEM
7289.16	The Shared System Maintainers of the CEM software shall create a purge process (if already developed, this could mimic the process put in place for the Dupe table from CR 7090) keying on values ERT11 and ERT13 from the Error Rate Report Record.						X	X			CEM

III. PROVIDER EDUCATION TABLE

Number	Requirement	Responsibility (place an "X" in each applicable column)									
		A/B MAC	DME MAC	FI	CARRIER	RHHI	Shared-System Maintainers				OTHER
							FISS	MCS	VMS	CWF	
	None.										

IV. SUPPORTING INFORMATION

Section A: For any recommendations and supporting information associated with listed requirements, use the box below: N/A

X-Ref Requirement Number	Recommendations or other supporting information:

Section B: For all other recommendations and supporting information, use this space: N/A

V. CONTACTS

Pre-Implementation Contact(s): Jason Jackson   (410) 786-6156   jason.jackson3@cms.hhs.gov
                                      Michael Cabral   (410) 786-6168   michael.cabral_@cms.hhs.gov

Post-Implementation Contact(s):   Contact your Contracting Officer's Technical Representative (COTR) or Contractor Manager, as applicable and the pre-implementation contacts:
                          Jason Jackson (410) 786-6156   jason.jackson3@cms.hhs.gov
                          Michael Cabral (410) 786-6168   michael.cabral_@cms.hhs.gov

VI. FUNDING

Section A: For *Fiscal Intermediaries (FIs), Regional Home Health Intermediaries (RHHIs),* and/or *Carriers*:
Not Applicable

Section B: *For Medicare Administrative Contractors (MACs)*:

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Attachments - 2

Payer ID/State Workload Number	Edit Number	Number of Edit occurences	Business Edit Message

CMS - Error Report Record

Element Identifier	Control Record Cross-walk	Description	Data Type	Record Position Start	Record Position End	Length	Picture Clause	Values
ERT	CTR	Error Report Record						
ERT01		Error Report Record ID	A/N	1	4	4	Pic X(04)	ERTD - Error record for ST-SE level error information ERTH - Error record for ISA-IEA level error information (ERTH records are to contain "roll-up" information for their associated ERTD records)
ERT02	CTR02	Transaction Type	A/N	5	9	5	Pic X(05)	837, NCPDP
ERT03	CTR04	Transaction Line of Business	A/N	10	10	1	Pic X(01)	Claims only I- Institutional P- Professional N- NCPDP
ERT04	CTR05	Interchange Sender ID	A/N	11	25	15	Pic X(15)	837 - ISA06 data element NCPDP - 880-K1 NCPDP batch header
ERT05	CTR14	Interchange Contractor ID	A/N	26	40	15	Pic X(15)	837 - CTR14 NCPDP - 880-K7 NCPDP batch header
ERT06	CTR07	Interchange Create Date	NUM	41	48	8	Pic 9(08)	837 - ISA09 data element Note: ISA09 is format YYMMDD (6 bytes) this field will require the CC (20) to be appended to the beginning of the ISA09 value so final format is CCYYMMDD NCPDP - 880-K2 NCPDP batch header
ERT07	CTR08	Interchange Create Time	NUM	49	52	4	Pic 9(04)	837 - ISA10 data element NCPDP - 880-K3 NCPDP batch header
ERT08	CTR09	Interchange Control Number	NUM	53	61	9	Pic 9(09)	837 - ISA13 data element NCPDP - 806-5C NCPDP batch header
ERT09	CTR10	Interchange Version	A/N	62	66	5	Pic X(05)	837 - 00501 (ISA12 data element) NCPDP - D.0
ERT10	CTR11	Interchange Test/Prod Indicator	A/N	67	67	1	Pic X(01)	T- Test P- Production
ERT11	N/A	MAC Cycle Date	NUM	68	74	7	Pic 9(07)	YYYYDDD (Julian Date) To be populated by the MAC
ERT12	N/A	MAC Create Time	NUM	75	80	6	Pic 9(06)	HHMMSS To be populated by the MAC
ERT13	CTR15	CEM Cycle Date	NUM	81	87	7	Pic 9(07)	YYYYDDD (Julian Date) To be populated by the CEM
ERT14	CTR16	CEM Create Time	NUM	88	93	6	Pic 9(06)	HHMMSS To be populated by the CEM
ERT15	CTR17	Local Data Center Tracking	A/N	94	123	30	Pic X(30)	
ERT16	CTR20	Total number of UNIT segments Sent	NUM	124	132	9	Pic 9(09)	Total number of the units counted for the transaction type. 837- CLM NCPDP- 00 (this value is based on the segment ID in positions 27-28 of the flat file)
ERT17	CTR22	Total dollar amount sent submitted charges	NUM	133	145	13	Pic 9(11)v99	837 - This is the total dollar value ST-SE NCPDP - 430-DU
ERT18	N/A	Error percentage holder	NUM	146	150	5	Pic 9(03)v99	**ERTH only** - Calculation is: (ERT24 / ERT16) x 100
ERT19	N/A	Edit Reference Number	A/N	151	180	30	Pic X(30)	**ERTD only** This is the edit number from the 837 Edit spreadsheet
ERT20	N/A	Edit Count	NUM	181	184	4	Pic 9(04)	ERTD - number of times the edit set in that ST-SE ERTH - number of times the edit set within an ISA-IEA
ERT21	N/A	Business Edit Language	A/N	185	436	252	Pic X(252)	**ERTD only**
ERT22	CTR01	Control Record ID	A/N	437	440	4	Pic X(04)	CTRD or CTRR
ERT23	N/A	Transaction Set Control Number	A/N	441	449	9	Pic X(09)	ERTD - ST02 from inbound 837 file ERTH - Blank
ERT24	N/A	# of Claims in Error	NUM	450	458	9	Pic 9(09)	ERTD - total number of units counted in ERT20 with error reported in ERT19 ERTH - All claims in error - shoud align with CTR30 from the 277CA control record
ERT25	N/A	Filler	A/N	459	500	42	Pic X(42)	