



Batch Reporting User Guide

Last Updated: February 2017

Overview

Providers participating in the Medicare EHR Incentive Program can submit their attestation with other members of their medical group or hospital system who are also participating in the program. The Attestation Batch Upload option allows multiple eligible professionals (EPs) or multiple eligible hospitals to submit attestations in a single file through the CMS [Registration and Attestation System](#).

Although this option enables groups to submit their attestations together, payments for the Medicare EHR Incentive Program are provided to individuals, not to medical groups or hospital systems as a whole. Providers participating in the Medicaid EHR Incentive Program should check with their [state](#) to determine if batch reporting is available.

Please note: providers will still need to register for the Medicare EHR Incentive Program individually or designate a third party to register on their behalf.

Allowable measure category combinations

Providers have the option to submit meaningful use measures, as well as clinical quality measures (CQMs) through batch reporting. Providers must use 2014 certified EHR technology to participate in batch reporting. If it is available, providers may also attest using EHR technology certified to the [2015 Edition](#), or a combination of the two. Below are the possible combinations for submitting batch attestations:

- Meaningful use measures only
- Meaningful measures and CQMs
- CQMs only

When uploading CQMs into the Registration and Attestation System, be sure to:

- Mark the meaningful measure categories as “completed”
- Make sure you are not Medicare Advantage-Affiliated

Receive credit for quality reporting

Medicare providers have the option of submitting CQM data electronically to receive credit for quality reporting programs and the Medicare EHR Incentive Program.

EPs can submit their CQM data through the [Physician Quality Reporting System \(PQRS\)](#), and hospitals through the [Inpatient Quality Reporting \(IQR\) program](#).

How to submit attestation data

1. Begin by downloading either a CSV file or an XML file and the mapping specifications from the [CMS Attestation Batch webpage](#).

The screenshot shows the CMS.gov website's 'Attestation Batch Upload Page'. The page is titled 'Attestation Batch Upload Page' and provides instructions for submitting attestation data for the Medicare EHR Incentive Program. The page includes a sidebar with various links related to EHR Incentive Programs, such as '2016 Program Requirements', '2017 Program Requirements', 'Educational Resources', 'Payment Adjustments & Hardship Information', 'Registration & Attestation', 'Audits and Appeals Overview', 'Data and Program Reports', 'Medicare and Medicaid EHR Incentive Program Basics', 'Clinical Quality Measures Basics', 'eCQM Library', '2013 Clinical Quality Measures', '2014 Clinical Quality Measures', '2015 CQM Reporting Options', 'Certified EHR Technology', 'Eligible Hospital Information', 'Medicaid State Information', 'Medicare Advantage', 'CMS EHR Incentive Programs Listserv', 'Attestation Batch Upload Page', 'Frequently Asked Questions (FAQs)', 'Requirements for Previous Years', 'Puerto Rico Hospitals', 'EHR Events', and 'Centralized Repository'. The main content area includes sections for 'Attestation Batch Upload - Instructions Documents', 'Attestation Batch Upload - XSD-CSV-Templates', 'Attestation Batch Upload - XML-CSV-Samples Stage 1 and Stage 2', and 'Attestation Batch Upload - Technical Reference Information*'. The 'Attestation Batch Upload - Instructions Documents' section lists links for 'Batch Reporting User Guide (Coming Soon)', 'General Medical Information', 'CSV Data Mapping Specifications', and 'XML Data Mapping Specifications'. The 'Attestation Batch Upload - XSD-CSV-Templates' section lists links for 'Excel Batch Upload Templates' and 'XSD Request & Response Templates'. The 'Attestation Batch Upload - XML-CSV-Samples Stage 1 and Stage 2' section lists links for 'Sample Excel for Multiple Attestations and EP/Hospital/MA Providers' and 'Sample XML Request & Response for EP/Hospital/MA Providers'. The 'Attestation Batch Upload - Technical Reference Information*' section lists links for 'Technical interface documents useful for EHR/EMR Vendors' and 'Attestation Batch Upload Validations & Errors Reference Sheet'. The page also includes a footer with the page last modified date (01/10/2017 1:57 PM) and a help link (Help with File Formats and Plug-Ins).

2. Use the mapping specifications to fill out the CSV or XML file. Fill out the batch file to include provider type, measure category combinations, and stage number.

XML File Format



```
<xsd:element name="BatchAttestationRequest" type="BatchAtt
<xsd:complexType name="BatchAttestationRequestType">
  <xsd:sequence>
    <xsd:element ref="Header" />
    <xsd:element ref="Attestations" />
    <xsd:element ref="Trailer" />
  </xsd:sequence>
</xsd:complexType>
<xsd:complexType name="AttestationsType">
  <xsd:sequence>
    <xsd:element ref="Attestation" maxOccurs="unbounde
  </xsd:sequence>
</xsd:complexType>
<xsd:complexType name="AttestationType">
  <xsd:sequence>
    <xsd:element name="TransactionNumber" type="Transa
    <xsd:element name="Provider" type="ProviderType" /
    <xsd:element name="EHRCertificationNumber">
      <xsd:simpleType>
        <xsd:restriction base="xsd:string">
```

CSV File Format

#	Header Description	File Name	File Creation Date	File Cont
1	Header	NLR-Attestation-Batch-Upload-Version-1.0	file.csv	1/1/2011
2	Header	Transaction Number	EHR Certification Number	MAO Contract Number
3	Header	Category Description	Objective Number	Exemption Yes No Answer
4	Attestation	0	0	0 ALL_ED
5	Measure Data	CLINICAL_QUALITY_MEASURES	0 NO	
6	Measure Data	CLINICAL_QUALITY_MEASURES	0 NO	
7	Measure Data	CLINICAL_QUALITY_MEASURES	0 NO	
8	Measure Data	CLINICAL_QUALITY_MEASURES	0 NO	
9	Trailer	Record Count	1	

3. Access the [Registration and Attestation System](#) for the EHR Incentive Programs. Once you have logged into the system, select the “Attestation Batch Upload” option to submit attestations. This will allow you to submit attestations on behalf of multiple EPs or hospitals.

Organization	EIN	CLIA	CA	Year	Status	Count	Actions
DAVIS HOSPITAL & MEDICAL CENTER LP	68-0562507 (EIN)	1548205818	460041	2011			
DAVIS HOSPITAL & MEDICAL CENTER LP	68-0562507 (EIN)	1548205818	460041	2012	Payment Issued		
DAVIS HOSPITAL & MEDICAL CENTER LP	68-0562507 (EIN)	1548205818	460041	2013			
DAVIS HOSPITAL & MEDICAL CENTER LP	68-0562507 (EIN)	1548205818	460041	2014	Accepted	3	Modify View
DAVIS HOSPITAL & MEDICAL CENTER LP	68-0562507 (EIN)	1548205818	460041	2015			Attest

Medicare Attestation Batch
Please select the **Attestation Batch Upload** button to upload Attestations(s) using a batch file.

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Attestation Batch Upload

Web Policies & Important Links | Department of Health & Human Services | CMS.gov | Accessibility | File Formats and Plugins | CMS

Note: An attestation batch file can contain a maximum of 10,000 provider attestations. The upload file limit for a user is 25 batch files per day. Once you meet the maximum of 25 batch files, you will not be allowed to upload any additional files until the next day.

- On the Attestation Disclaimer page, click either **Agree** or **Disagree**.

Attestation Disclaimer

General Notice

NOTICE: Any person who knowingly files a statement of claim containing any misrepresentation or any false, incomplete, or misleading information may be guilty of a criminal act punishable under law and may also be subject to civil penalties.

Signature of Eligible Professional

I certify that the following information is true, accurate, and complete. I understand that the Medicare EHR Incentive Program payment I requested will be paid from Federal funds, that by filing this attestation I am submitting a claim for Federal funds, and that the use of any false claims, statements, or documents, or the concealment of a material fact used to obtain a Medicare EHR Incentive Program payment, may be prosecuted under applicable Federal or State criminal laws and may also be subject to civil penalties.

UNDER PENALTY OF PERJURY, I certify that I am attesting on behalf of a provider who has no other authority to act as his/her agent, I understand that both the provider and I can be held personally responsible for all information entered, I understand that a false statement in regard to a Medicare EHR Incentive Program payment may be prosecuted under applicable Federal or State criminal laws and may also be subject to civil penalties.

I hereby agree to keep such records as are necessary to demonstrate that I met all Medicare EHR Incentive Program requirements and to furnish those records to the Medicaid State Agency, Department of Health and Human Services, or contractor acting on their behalf.

No Medicare EHR Incentive Program payment may be paid unless this attestation form is completed and accepted as required by existing law and regulations (42 CFR 438.435).

NOTICE: Anyone who misrepresents or falsifies essential information to receive payment from Federal funds requested by this form may upon conviction be subject to fine and imprisonment under applicable Federal laws.

REPUTATION (RISK): Information from this Medicare EHR Incentive Program registration form and subsequently submitted information and documents may be given to the Internal Revenue Service, or other collecting agencies, and contractor reporting agencies in connection with enforcement of any requirement made and to governmental officials in response to inquiries made at the request of the parties to whom a record pertains. Appropriate disclosure may be made to other Federal, state, local, foreign government agencies, private business entities, and individual providers of care, on matters relating to attachments, fraud, program abuse, program integrity, and civil and criminal litigation related to the Medicare EHR Incentive Program.

DISCLOSURE: This program is an incentive program. Therefore, while submission of information for this program is voluntary, failure to provide necessary information will result in delay or denial of incentive payment or may result in denial of a Medicare EHR Incentive Program payment. Failure to furnish subsequent information or documents to support this attestation will result in the issuance of an enforcement demand letter issued by enforcement procedures.

It is mandatory that you tell us if you believe you have been targeted under the Medicare EHR Incentive Program. The Patient Protection and Affordable Care Act, Section 1332C, provides penalties for withholding this information.

Agree **Disagree**

- On the Attestation Batch Upload page, click **Browse** to choose a file. Upload the CSV or XML file with the batch attestation data.

Attestation Batch Upload

Attestation for the Medicare EHR Incentive Program can be submitted using batch instead of entering data in the Attestation System. To submit attestations using batch file, upload the attestation information into a batch file and upload the batch file to the system. The batch file can contain a maximum of 10,000 provider attestations. The batch file can be either a CSV (comma separated file) or an XML file. A 2014 or later year Certified EHR Technology is required to submit attestations using batch file. If you are using an older version of CEHRT, please enter your attestation using the Web form.

Please note that you can upload a maximum of 25 batch files per day. Once you meet the maximum, you must wait 24 hours before uploading another batch file.

For the file templates and instructions on creating the file, please visit the [Attestation Batch Specifications](#) file.

(*) Red asterisk indicates a required field.

*** Batch File:**

Please select the Browse button to choose the file to be uploaded.

*** Email Address:**

*** Confirm Email Address:**

*** Attestation Statements**

You are about to submit your attestation batch file.

Please check the box next to the statement below to affirm, and then select the Upload button to complete your attestation:

☐ The information submitted for Meaningful Use measures accurately reflects the use of the Certified EHR Technology and if CQMs are included they were generated as output from an identified Certified EHR Technology.

☐ I have **NOT** knowingly and willfully taken action to limit or restrict the compatibility or interoperability of the certified EHR technology.

☐ The batch file being uploaded does not include Medicare Attestations for providers who have registered for Medicaid, OR Medicare Attestations are submitted for Medicaid Providers due to their inability to meet RI with Medicaid and to enable them to avoid Medicare Payment Adjustments. Attestations done under the Medicare program are subject to Medicare audit, and adverse audit findings may lead to rejection of the Medicare attestation.

Please select the **Upload** button to save your entry and proceed with attestation batch file upload. Select the **Cancel** button to go back to the Attestation Selection page and your attestation batch file will not be uploaded.

Cancel **Upload**

Note: The file extension should match the batch file format: '.csv' for a CSV file or '.xml' for an XML file.

Once you have uploaded your attestation data, enter your email address and review the attestation statement. Mark the attestation statement box and then click the “Upload” button to submit your batch data.

6. Once your attestation batch has been submitted, you will see a receipt page. This will include the batch confirmation number, submitter’s name, batch submission date, and file name. Please print your receipt.

The screenshot displays the 'Registration and Attestation System' interface. At the top, there is a header with the 'eHR' logo and the text 'Registration and Attestation System'. A user login box on the right says 'Welcome Pamela Gates'. Below the header is a navigation bar with tabs for 'Home', 'Registration', 'Attestation' (which is highlighted), and 'Status'. The main content area is titled 'Attestation Batch Upload Receipt' in a green banner. Below this, a message states: 'Your attestation batch file has been uploaded. The attestation batch files are processed in the order they were received. Select the Status tab above to check the status on the file.' A note follows: 'Note: Please print this page for your records. You will receive an email confirmation of your file upload.' The section 'Attestation Batch Tracking Information' contains the following details: 'Batch Confirmation Number:1000001304', 'Submitter Name:Pamela Gates', 'Batch Submission Date:08/28/2013 10:52:03 EDT', and 'Batch File Name:EP_ST2_CQMS_ONLY.xml'. At the bottom of this section is a 'Print Receipt' button. The footer includes links for 'Web Policies & Important Links', 'CMS.gov', 'Department of Health & Human Services', 'Accessibility', 'File Formats and Plugins', and the 'CMS' logo.

Review batch attestation status

1. On the Status tab of the Registration and Attestation System, click the **View Attestation Batch Status** button near the bottom of the screen. This will give you an opportunity to review the batch data you submitted.
2. The Attestation Batch Status page will display one of the following batch statuses and the actions that are available for each batch file:
 - **Batch received** - file was uploaded and is waiting to be processed.
 - **Batch invalid** - file was not processed because it was an invalid format or there were data errors at the file level.
 - **Processed successfully** - file was processed. All attestation records contained in the file were successfully uploaded into the system.
 - **Processed with errors** - file was processed. However, one or more of the attestation records was invalid and could not be uploaded into the system. You may correct the errors and resubmit the invalid attestations.

Batch confirmation Number	Submission Date	Batch File Name	File Format	Stage Number	Provider Type	Measure Categories	Group NPI	Batch Status	Action
1000001141	01/31/2017 13:44:34 EST	RNA_EH_stage1_2016_CSV_SmokeTest.csv	CSV	1	Eligible Hospitals or CAH	MU Objectives and CQM	1588994909	Processed Successfully	Download View
1000001140	01/31/2017 13:28:37 EST	EH_stage1_2016_ES.csv	CSV	1	Eligible Hospitals or CAH	MU Objectives and CQM	1588994909	Processed with Errors	Download View

3. If the **Download** action is available, click to download a response file with the status for each attestation that was submitted and/or the list of error messages. This file will be in the same format as the original batch file (CSV/XML) you submitted.

Note: The Download option is available only for 60 days from the batch submission date.

4. Click the **View** button to display Attestation Batch details and review the summary of individual attestation records.

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