## Revision History (from Version 2 to Version 3)

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<thead>
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<th>VERSION</th>
<th>DATE</th>
<th>REVISION/ CHANGE DESCRIPTION</th>
<th>AFFECTED AREA</th>
</tr>
</thead>
</table>
| 3       | November 2019 | Revised to update the ACO Compliance and Data Certification, and the ACO CEHRT Certification.  
Removed the Medicare ACO Track 1+ Model Amended and Restated Participation Agreement.  
Added the Attestation regarding Ownership and Operational Interests of Track 1+ ACOs and their ACO Participants and the Beneficiary Incentive Program Certification.  
Updated Appendix A: Annual Certification Requirements by Cohort. | 2.3.4, 2.3.8, 2.3.10, 2.3.11, and Appendix A |
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1 Introduction to Annual Certification

Prior to the start of a new performance year and at the end of each performance year (as applicable), the Medicare Shared Savings Program (Shared Savings Program) requires all Accountable Care Organizations (ACOs) to review, certify, and electronically sign documents related to their participation in the Shared Savings Program and, if applicable, the Medicare ACO Track 1+ Model (Track 1+ Model). ACOs approved for a Skilled Nursing Facility (SNF) 3-Day Rule Waiver and/or Beneficiary Incentive Program (BIP) will need to sign additional documentation. For the purposes of this guidance document, this process is referred to as Annual Certification.

During Annual Certification, ACOs review and confirm their organization’s information (e.g., ACO legal entity name, ACO taxpayer identification number (TIN), ACO business address) and contact information, and must also review, certify, and electronically sign required documents. Certain Annual Certification documents will apply to specific performance years. Refer to Appendix A for additional information on document applicability. The Centers for Medicare & Medicaid Services (CMS) will countersign certain required annual submissions for participation in the Shared Savings Program, as applicable. CMS will notify ACOs when the Annual Certification signature period begins and ends via email and the ACO Management System (ACO-MS).

![Figure 1: Annual Certification Process](image)

1.1 ANNUAL CERTIFICATION IN ACO-MS

All Annual Certification activities are completed electronically in ACO-MS. ACO-MS is an integrated, web-based platform that allows ACOs to manage their participation in the Shared Savings Program. CMS will not accept or process any required Annual Certification documentation outside of ACO-MS. Only the following contact types can perform Annual Certification activities for your ACO: ACO Executive, Authorized to Sign (primary and secondary), Data Use Agreement (DUA) Requestor, and DUA Custodian.

Medicare Shared Savings Program | Annual Certification Guidance
Refer to Appendix A for additional information on which contact type is responsible for certifying each applicable document.

## IMPORTANT

Prior to Annual Certification, confirm that all required contacts can access ACO-MS and view information about the ACO. If you need to access information for multiple ACOs, you will need to be added as a contact for each of those ACOs. If you have questions about ACO-MS access or require technical assistance, contact the Shared Savings Program mailbox (SharedSavingsProgram@cms.hhs.gov) or call 1-888-734-6433 (Option 1) or TTY/TDD 1-888-734-6563.

### 1.2 ACO COHORTS

Annual Certification requirements vary by ACO cohort. ACOs sign certain documents based on their current status within the Shared Savings Program. For the Annual Certification signature period for the performance year ending December 31, 2019, and the performance year beginning January 1, 2020, there are five ACO cohorts.

#### Table 1. Annual Certification ACO cohorts

<table>
<thead>
<tr>
<th>COHORT</th>
<th>DEFINITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial Applicant</td>
<td>An ACO that is applying to participate in the Shared Savings Program and has not previously participated in the Shared Savings Program.</td>
</tr>
<tr>
<td>Re-entering Applicant</td>
<td>An ACO that previously participated in the Shared Savings Program and is applying to participate in the Shared Savings Program after a break in participation. This includes ACOs that CMS determines to be re-entering because greater than 50 percent of their ACO participants previously participated in the same Shared Savings Program ACO in any of the five most recent performance years.</td>
</tr>
<tr>
<td>Renewal Applicant</td>
<td>An ACO that started its most recent ACO Participation Agreement in 2017, and is applying to renew its participation for a new agreement period starting on January 1, 2020.</td>
</tr>
<tr>
<td>Early Renewal Applicant</td>
<td>An ACO currently participating in the Shared Savings Program that has elected to voluntarily terminate its ACO Participation Agreement effective on December 31, 2019, and is applying for a new agreement period under the BASIC track or the ENHANCED track starting on January 1, 2020, without a gap in participation.</td>
</tr>
<tr>
<td>Currently Participating ACO</td>
<td>An ACO that is currently participating in the Shared Savings Program and will start a new performance year on January 1, 2020, under an agreement period beginning on July 1, 2019, or earlier. If applicable, this ACO may also be currently participating in the Track 1+ Model and/or approved for a SNF 3-Day Rule Waiver and/or BIP.</td>
</tr>
</tbody>
</table>
2 Requirements for Annual Certification

2.1 REVIEW AND CONFIRM AGREEMENT INFORMATION

During Annual Certification, an ACO must review and confirm that its ACO information is accurate (e.g., legal entity name, TIN, address, etc.). An ACO can review this information at any time in ACO-MS on the My ACOs tab under the Agreement Details subtab. ACO users with administrative privileges (ACO Executive, Application Contacts (primary and secondary), Authorized to Sign Contacts (primary and secondary), and CMS Liaison) can make edits or submit a change request to update agreement information that is inaccurate (Figure 2).

![Figure 2. ACO users with administrative privileges in ACOs](image)

For information on how to update organizational information, refer to the following resources:

- **ACO-MS Training: How to View and Update Information**
- **ACO-MS Tip Sheet: Submitting Change Requests in ACO-MS** (e.g., change request to update ACO legal entity name, change request to update ACO TIN)

2.2 REVIEW AND CONFIRM CONTACT INFORMATION

As part of Annual Certification, ACOs should review all ACO personnel contact information in ACO-MS to make sure an individual is assigned to each required contact type, contact information for all individuals is up to date, and all contacts have active ACO-MS credentials and can log into the system. ACO users should review the Activation widget on their Dashboard in ACO-MS to check if they have any pending ACO-MS contact invitations. All activated contact roles will display in the “Contacts” subtab.

For information on how to manage contacts, refer to the following resources:

- **ACO-MS Tip Sheet: Overview of ACO-MS User Access and ACO Contacts**
- **ACO-MS Training: How to Manage Contacts**

The following five contact types are required to complete the Annual Certification and are responsible for certifying and electronically signing official documents related to an ACO’s participation in the Shared Savings Program, and if applicable, the Track 1+ Model:
1. ACO Executive
2. Authorized to Sign (primary)
3. Authorized to Sign (secondary)
4. DUA Requestor
5. DUA Custodian

These contacts have the authority to sign certain documents on behalf of the ACO during Annual Certification. Refer to the ACO-MS Tip Sheet: Overview of ACO-MS User Access and ACO Contacts for a detailed description of all ACO contacts and a list of required contacts. Refer to Appendix A for a list of documents each contact type is responsible for signing.

2.3 REVIEW AND CERTIFY DOCUMENTS

This section lists and describes all Annual Certification documents that ACOs are required to review, certify, and electronically sign. Some of the documents are only applicable to certain ACOs. For example, only ACOs approved for a SNF 3-Day Rule Waiver need to review and sign documents related to the SNF 3-Day Rule Waiver. Refer to Appendix A for a list of required documents by ACO cohort and additional details about the order in which documents must be signed.

2.3.1 DATA USE AGREEMENT

Initial, Re-entering, Renewal, and Early Renewal Applicants as well as Currently Participating ACOs

The Privacy Act of 1974 requires CMS to account for all disclosures of personally identifiable information. CMS uses a DUA to account for all such disclosures under the Shared Savings Program. ACOs must execute a DUA before CMS can release or otherwise grant access to data files containing protected health information and individual identifiers. Both the DUA Requestor and the DUA Custodian must sign the DUA. A DUA between the ACO and CMS is valid for one year from the date it is signed and expires at the beginning of the next performance year. For initial, re-entering, renewal, and early renewal applicants, as well as currently participating ACOs, the DUA will be valid for the 12-month performance year starting on January 1, 2020, and will expire on December 31, 2020.

2.3.2 DATA USE AGREEMENT AMENDMENT

Initial, Re-entering, Renewal, and Early Renewal Applicants as well as Currently Participating ACOs

ACOs must sign the DUA Amendment to retain data files after their participation in the Shared Savings Program is terminated. The DUA Requestor is the contact for the ACO who is responsible for certifying the DUA Amendment.
2.3.3 ASSURANCE OF COMPLIANCE

*Initial, Re-entering, Renewal, and Early Renewal Applicants*

ACOs must certify the Assurance of Compliance, which demonstrates the ACO’s acknowledgement that it must comply with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, the Age Discrimination Act of 1975, and Section 1557 of the Affordable Care Act. The ACO Executive or Authorized to Sign Contact (primary or secondary) is responsible for signing this certification.

2.3.4 MEDICARE SHARED SAVINGS PROGRAM ACO COMPLIANCE AND DATA CERTIFICATION

*Renewal, Early Renewal Applicants, and Currently Participating ACOs, including ACOs terminating on December 31, 2019*

At the end of each performance year, an individual with the legal authority to bind the ACO must certify to the best of his or her knowledge, information, and belief:

- That the ACO, its ACO participants, its ACO providers/suppliers, and other individuals or entities performing functions or services related to ACO activities are in compliance with program requirements.

- The accuracy, completeness, and truthfulness of all data and information that are generated or submitted by the ACO, ACO participants, ACO providers/suppliers, or other individuals or entities performing functions or services related to ACO activities, including any quality data or other information or data relied upon by CMS in determining the ACO’s eligibility for, and the amount of a shared savings payment or the amount of shared losses or other monies owed to CMS.

The ACO Executive or Authorized to Sign Contact (primary or secondary) is responsible for signing this certification.

2.3.5 MEDICARE SHARED SAVINGS PROGRAM ACO PARTICIPANT LIST CERTIFICATION

*Initial, Re-entering, Renewal, and Early Renewal Applicants as well as Currently Participating ACOs*

ACOs must certify the list of ACO participants that will be participating in the ACO during the upcoming performance year. The ACO Executive or Authorized to Sign Contact (primary or secondary) is responsible for signing this certification.
To export the ACO Participant List:

- Select the Reporting tab on the left side menu.
- Select your ACO from the drop-down menu in the top left corner.
- Select the appropriate program year in the drop-down menu in the top right of the page.
- Select the report titled “Participants List."

2.3.6 MEDICARE SHARED SAVINGS PROGRAM ACO PROVIDER/SUPPLIER LIST CERTIFICATION

Initial, Re-entering, Renewal, and Early Renewal Applicants as well as Currently Participating ACOs

ACOs must review and certify the list of ACO providers/suppliers that will be participating in the ACO during the upcoming performance year. ACOs are provided an initial list of each provider and supplier that has reassigned their right to receive Medicare payment to an ACO participant TIN. This list is based on information in the CMS Medicare enrollment system: the Provider Enrollment, Chain, and Ownership System (PECOS). CMS requires an ACO to ensure all ACO providers/suppliers associated with each participant TIN have agreed to participate in the program and will comply with program requirements and all other applicable laws and regulations. The ACO Executive or Authorized to Sign Contact (primary or secondary) is responsible for signing this certification.

To export the ACO Provider/Supplier List:

- Navigate to the Reporting tab on the left side menu.
- Select your ACO from the drop-down menu in the top left corner.
- Select the appropriate program year in the drop-down menu in the top right of the page.
- Select the report titled “Providers and Suppliers List.”

**IMPORTANT**

No additions can be made to the ACO Participant List for the performance year beginning on January 1, 2020, during Annual Certification (refer to section 3.3 of the ACO Participant List and Participant Agreement Guidance for further details). Any additions to the list that have been approved by CMS for an effective date of January 1, 2020, are included on the ACO Participant List that must be certified by the ACO.
For additional details on how to make changes to the ACO Provider/Supplier List, refer to the following resource:

- ACO-MS Training: How to Manage the ACO Provider/Supplier List in ACO-MS

Please note that your entries in ACO-MS do not modify PECOS. Modifying ACO providers/suppliers in ACO-MS does not impact beneficiary assignment, Quality Payment Program status, or Medicare fee-for-service billing rules. It is the ACO participant's responsibility to ensure that the information in PECOS regarding the providers and suppliers that have reassigned their right to receive Medicare payments to the ACO participant is accurate. The Shared Savings Program is not responsible for PECOS data. If ACO participants need help updating their PECOS records, they should contact their Medicare Administrative Contractor.

2.3.7 MEDICARE SHARED SAVINGS PROGRAM SKILLED NURSING FACILITY AFFILIATE LIST CERTIFICATION

ACOs Approved for a SNF 3-Day Rule Waiver

ACOs approved for a SNF 3-Day Rule Waiver must certify their list of SNF affiliates for the upcoming performance year. The ACO Executive or Authorized to Sign Contact (primary or secondary) is responsible for signing this certification.

- IMPORTANT

Please note that no additions can be made to the SNF Affiliate List during Annual Certification. Any additions to the list that have been approved by CMS for an effective date of January 1, 2020, are included in the SNF Affiliate List that must be certified by the ACO.

Renewal ACOs and early renewal ACOs that were previously approved for a SNF 3-Day Rule Waiver and will continue to use the SNF 3-Day Rule Waiver will also need to review their list of SNF affiliates and sign this certification.

To export the SNF Affiliate List:

- Navigate to the Reporting tab on the left side menu.
- Select your ACO from the drop-down menu in the top left corner.
- Select the appropriate program year in the drop-down menu in the top right of the page.
- Select the report titled “SNF Affiliate List.”
2.3.8 MEDICARE SHARED SAVINGS PROGRAM ACO CEHRT CERTIFICATION

Renewal and Early Renewal Applicants and Currently Participating ACOs, including ACOs terminating on December 31, 2019

ACOs participating in Track 1 as well as ACOs participating in Levels A through D of the BASIC Track must certify that at least 50 percent of eligible clinicians participating in the ACO use 2015 Edition Certified Electronic Health Record Technology (CEHRT) to document and communicate clinical care to their patients or other health care providers.

ACOs participating in Track 2, Level E of the BASIC Track, the ENHANCED track, or the Track 1+ Model must certify that at least 75 percent of eligible clinicians participating in the ACO use 2015 Edition CEHRT to document and communicate clinical care to their patients or other health care providers.

The ACO Executive or Authorized to Sign Contact (primary or secondary) is responsible for signing this certification.

2.3.9 MEDICARE SHARED SAVINGS PROGRAM ACO PARTICIPATION AGREEMENT

Initial, Re-entering, Renewal, and Early Renewal Applicants

All ACOs approved to participate in the Shared Savings Program for a new agreement term of five years beginning on January 1, 2020, and ending on December 31, 2024, must review and sign either the Medicare Shared Savings Program BASIC Track ACO Participation Agreement or the Medicare Shared Savings Program ENHANCED Track ACO Participation Agreement between the ACO and CMS, as applicable. The ACO must agree to comply with the provisions of section 1899 of the Social Security Act, Title 42 CFR part 425, and all other applicable provisions of law and regulation; certify compliance with program requirements; and certify the accuracy, completeness, and truthfulness of the statements contained in its application and the agreement. The ACO Executive or Authorized to Sign Contact (primary or secondary) is responsible for signing this certification.

If starting a new agreement period, the Medicare Shared Savings Program ACO Participation Agreement must be signed after all other documents are signed.
2.3.10 ATTESTATION REGARDING OWNERSHIP AND OPERATIONAL INTERESTS OF TRACK 1+ ACOs AND THEIR ACO PARTICIPANTS

Currently Participating Track 1+ ACOs Only

Track 1+ ACOs are required to review, complete, and certify their responses to their Medicare ACO Track 1+ Model attestations regarding ownership and operational interests in the ACO and its ACO participants.

The ACO Executive or Authorized to Sign Contact (primary or secondary) is responsible for signing these attestations.

2.3.11 BENEFICIARY INCENTIVE PROGRAM CERTIFICATION

Currently participating Track 2 ACOs, as well as ACOs in Levels C, D, or E of the BASIC track or the ENHANCED track that have been approved for a BIP

ACOs must review and certify that they meet all requirements and conditions of the Shared Savings Program (42 CFR part 425), and that they will operate their BIP in accordance with all applicable law, including the provisions of section 1899(m) of the Social Security Act, the BIP requirements (42 CFR § 425.304(c)), and the public reporting requirements (42 CFR § 425.308(b)(7)).

2.4 ELECTRONICALLY SIGN DOCUMENTS

This section describes the signing requirements for Annual Certification documents. Please note that the documents and order of signing varies based on ACO cohort (Refer to Appendix A).

Authorized users have the ability to review and sign documents in ACO-MS. To complete Annual Certification requirements in ACO-MS:

▪ Log into ACO-MS and select the Annual Certification tab on the left side menu.

▪ On the Annual Certification page, type your ACO ID in the search bar and select the appropriate program year from the drop-down menu.

▪ The list of required documents will display.

⚠️ IMPORTANT

If you cannot sign a specific document, you may not have the appropriate contact type in ACO-MS. Click on your username in the top right corner to view your profile. Your contact type for each ACO with which you are associated will display in the left side panel. Contact the Shared Savings Program mailbox (SharedSavingsProgram@cms.hhs.gov) or call 1-888-734-6433 (Option 1) or TTY/TDD 1-888-734-6563 to resolve issues with your contact type.
When you select “sign,” you apply your electronic signature to the document. If necessary, someone from your ACO with the appropriate permissions can re-sign the document as long as the deadline has not passed. As a reminder, the Medicare Shared Savings Program ACO Participation Agreement must be signed last. Therefore, if an ACO re-signs any document after signing the Medicare Shared Savings Program ACO Participation Agreement, the ACO must also re-sign the Medicare Shared Savings Program ACO Participation Agreement.

**IMPORTANT**

If starting a new agreement period, the Medicare Shared Savings Program ACO Participation Agreement must be signed after all other documents are signed.

### 2.5 CMS COUNTERSIGNS ANNUAL CERTIFICATION DOCUMENTS

Once the signature period for ACOs to sign all required documents in ACO-MS ends, CMS will countersign certain required documents related to the ACOs’ participation in the Shared Savings Program. ACOs will receive an email notification once CMS countersigns their documents. This is the final step of Annual Certification.

If your ACO’s repayment mechanism (e.g., escrow agreement or line of credit, as evidenced by a letter of credit) requires countersignature by CMS, CMS will sign the repayment mechanism (outside of ACO-MS) after CMS approves your ACO’s repayment mechanism and your ACO has completed the Annual Certification process. Please note that failure to maintain your ACO’s repayment mechanism may prevent your organization from continuing its participation in the Shared Savings Program.
Appendix A: Annual Certification Requirements by Cohort

INITIAL AND RE-ENTERING APPLICANTS

The table below shows each document for initial and re-entering applicants and the order in which documents must be signed. Some documents are only relevant to ACOs that are approved for a SNF 3-Day Rule Waiver and/or BIP.

Table 2. Documents and Signing Order for Initial and Re-entering Applicants

<table>
<thead>
<tr>
<th>REQUIRED DOCUMENT</th>
<th>DOCUMENT APPLICABILITY</th>
<th>RESPONSIBLE ACO CONTACT(S)</th>
<th>ORDER OF SIGNING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assurance of Compliance</td>
<td>Upcoming Agreement Period</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
<td></td>
</tr>
<tr>
<td>Data Use Agreement</td>
<td>Upcoming Performance Year</td>
<td>Must be signed by both the DUA Custodian and DUA Requestor</td>
<td>Must be signed before the DUA Amendment</td>
</tr>
<tr>
<td>Data Use Agreement Amendment</td>
<td>Upcoming Performance Year</td>
<td>DUA Requestor only</td>
<td>Must be signed after the DUA</td>
</tr>
<tr>
<td>Medicare Shared Savings Program ACO Provider/Supplier List Certification</td>
<td>Upcoming Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
<td></td>
</tr>
<tr>
<td>Medicare Shared Savings Program ACO Participant List Certification</td>
<td>Upcoming Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
<td></td>
</tr>
<tr>
<td>Medicare Shared Savings Program SNF Affiliate List Certification</td>
<td>Upcoming Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
<td>Only applicable to ACOs approved for a SNF 3-Day Rule Waiver</td>
</tr>
<tr>
<td>BIP Certification</td>
<td>Upcoming Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
<td>Only applicable to ACOs approved for a BIP</td>
</tr>
<tr>
<td>Medicare Shared Savings Program ACO Participation Agreement</td>
<td>Upcoming Agreement Period</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
<td>Must be signed last</td>
</tr>
</tbody>
</table>
RENEWAL AND EARLY RENEWAL APPLICANTS

The table below shows each document for renewal and early renewal applicants and the order in which documents must be signed. Some documents are only relevant to ACOs that are currently approved for a SNF 3-Day Rule Waiver and/or BIP.

Table 3. Documents and Signing Order for Renewal and Early Renewal Applicants

<table>
<thead>
<tr>
<th>REQUIRED DOCUMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>DOCUMENT APPLICABILITY</td>
</tr>
<tr>
<td>RESPONSIBLE ACO CONTACT(S)</td>
</tr>
<tr>
<td>ORDER OF SIGNING</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Assurance of Compliance</th>
<th>Upcoming Agreement Period</th>
<th>ACO Executive or Authorized to Sign Contact (primary or secondary)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Use Agreement</td>
<td>Upcoming Performance Year</td>
<td>Must be signed by both the DUA Custodian and DUA Requestor</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Must be signed before the DUA Amendment</td>
</tr>
<tr>
<td>Data Use Agreement</td>
<td>Upcoming Performance Year</td>
<td>DUA Requestor only</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Must be signed after the DUA</td>
</tr>
<tr>
<td>Medicare Shared</td>
<td>End of each</td>
<td>ACO Executive or Authorized to Sign Contact (primary or</td>
</tr>
<tr>
<td>Savings Program ACO</td>
<td>Performance Year</td>
<td>secondary)</td>
</tr>
<tr>
<td>Compliance and Data</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Certification</td>
<td></td>
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</tr>
<tr>
<td>Medicare Shared</td>
<td>Upcoming Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or</td>
</tr>
<tr>
<td>Savings Program ACO</td>
<td></td>
<td>secondary)</td>
</tr>
<tr>
<td>Provider/Supplier List</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Certification</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Medicare Shared</td>
<td>Upcoming Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or</td>
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<tr>
<td>Savings Program ACO</td>
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<td>secondary)</td>
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<tr>
<td>Participant List</td>
<td></td>
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</tr>
<tr>
<td>Certification</td>
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<tr>
<td>Medicare Shared</td>
<td>Upcoming Performance Year</td>
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<tr>
<td>Savings Program SNF</td>
<td></td>
<td>secondary)</td>
</tr>
<tr>
<td>Affiliate List Certification</td>
<td></td>
<td>Only applicable to ACOs approved for a SNF 3-Day Rule Waiver</td>
</tr>
<tr>
<td>BIP Certification</td>
<td>Upcoming Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or</td>
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<td></td>
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<td>secondary)</td>
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<td></td>
<td></td>
<td>Only applicable to ACOs approved for a BIP</td>
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<tr>
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<td>Savings Program ACO</td>
<td>Performance Year</td>
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<tr>
<td>CEHRT Certification</td>
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<td>Medicare Shared</td>
<td>Upcoming Agreement Period</td>
<td>ACO Executive or Authorized to Sign Contact (primary or</td>
</tr>
<tr>
<td>Savings Program ACO</td>
<td></td>
<td>secondary)</td>
</tr>
</tbody>
</table>
CURRENTLY PARTICIPATING ACOs

The table below shows each document for currently participating ACOs and the order in which documents must be signed. Some documents are only relevant to ACOs that are participating in the Track 1+ Model and/or approved for a SNF 3-Day Rule Waiver and/or BIP.

Table 4. Documents and Signing Order for Currently Participating ACOs

<table>
<thead>
<tr>
<th>REQUIRED DOCUMENT</th>
<th>DOCUMENT APPLICABILITY</th>
<th>RESPONSIBLE ACO CONTACT(S)</th>
<th>ORDER OF SIGNING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Use Agreement</td>
<td>Upcoming Performance Year</td>
<td>Must be signed by both the DUA Custodian and DUA Requestor</td>
<td>Must be signed before the DUA Amendment</td>
</tr>
<tr>
<td>Data Use Agreement (DUA) Amendment</td>
<td>Upcoming Performance Year</td>
<td>DUA Requestor only</td>
<td>Must be signed after the DUA</td>
</tr>
<tr>
<td>Medicare Shared Savings Program ACO Compliance and Data Certification</td>
<td>End of each Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
<td></td>
</tr>
<tr>
<td>Medicare Shared Savings Program ACO Provider/Supplier List Certification</td>
<td>Upcoming Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
<td></td>
</tr>
<tr>
<td>Medicare Shared Savings Program ACO Participant List Certification</td>
<td>Upcoming Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
<td></td>
</tr>
<tr>
<td>Medicare Shared Savings Program SNF Affiliate List Certification</td>
<td>Upcoming Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
<td>Only applicable to ACOs approved for a SNF 3-Day Rule Waiver</td>
</tr>
<tr>
<td>Attestation regarding Ownership and Operational Interests of Track 1+ ACOs and their ACO Participants</td>
<td>Upcoming Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
<td>Only applicable to ACOs participating in the Track 1+ Model</td>
</tr>
<tr>
<td>BIP Certification</td>
<td>Upcoming Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
<td>Only applicable to ACOs approved for a BIP</td>
</tr>
<tr>
<td>Medicare Shared Savings Program ACO CEHRT Certification</td>
<td>End of each Performance Year</td>
<td>ACO Executive or Authorized to Sign Contact (primary or secondary)</td>
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