

CMS Manual System	Department of Health & Human Services (DHHS)
Pub 100-01 Medicare General Information, Eligibility, and Entitlement	Centers for Medicare & Medicaid Services (CMS)
Transmittal 105	Date: June 2, 2017
	Change Request 10062

SUBJECT: Update to General Information, Eligibility, and Entitlement, Chapter 7 - Contract Administrative Requirements, Section 40 – Shared System Maintainer Responsibilities for Systems Releases

I. SUMMARY OF CHANGES: The Change Request updates IOM Chapter 7, Section 40 and its subsections to provide greater detailed descriptions in the Standard Terminology Chart, added the Single Testing Contractor (STC) non testable conditions chart and added the entities responsible for testing to the Definitions section.

EFFECTIVE DATE: July 3, 2017

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

IMPLEMENTATION DATE: July 3, 2017

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
R	7/40/40.1/Standardized Terminology for Claims Processing Systems
R	7/40/40.1.1/Standard Terminology Chart
R	7/40/40.3.9/Definitions
R	7/40/40.3.11/Single Testing Contractor (STC) Non Testable Conditions and Potential Testing Impacts
R	7/40/40.3.12/Next Generation Desktop (NGD) Requirements

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:

**Business Requirements
Manual Instruction**

Attachment - Business Requirements

Pub. 100-01	Transmittal: 105	Date: June 2, 2017	Change Request: 10062
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SUBJECT: Update to General Information, Eligibility, and Entitlement, Chapter 7 - Contract Administrative Requirements, Section 40 – Shared System Maintainer Responsibilities for Systems Releases

EFFECTIVE DATE: July 3, 2017

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IMPLEMENTATION DATE: July 3, 2017

I. GENERAL INFORMATION

A. Background: This Change Request provides updates to the Internet Only Manual (IOM) Publication 100-01 General Information, Eligibility, and Entitlement, Chapter 7 - Contract Administrative Requirements, Section 40 with more detailed descriptions included in the Standard Terminology Chart, added the Single Testing Contractor (STC) non testable conditions chart and added the testing entities to the Definitions section.

B. Policy: N/A

II. BUSINESS REQUIREMENTS TABLE

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

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	
10062.1	Shared System Maintainers shall follow instructions outlined in attached IOM publication 100-01, Chapter 7 updates.					X	X	X	X	
10062.2	The Single Testing Contractor (STC) shall follow instructions outlined in attached IOM publication 100-01, Chapter 7 updates.									STC

III. PROVIDER EDUCATION TABLE

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

IV. SUPPORTING INFORMATION

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

"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): Barb Pecoraro, 410.786.6188 or barbara.pecoraro@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: 0

General Information, Eligibility, and Entitlement Manual

Chapter 7 - Contract Administrative Requirements

Table of Contents *(Rev.105, Issued: 06-02-17)*

40.3.11 - Single Testing Contractor (STC) Non-Testable Conditions and Potential Testing Impacts

40.3.12 – Next Generation Desktop (NGD) Requirements

40.1 – Standardized Terminology for Claims Processing Systems

(Rev.105, Issued: 06-02-17, Effective: 07-03-17, Implementation: 07-03-17)

The SSMs, MACs and the STC shall use standardized terminology to refer to common systems maintenance elements in all discussions, reporting, and documentation. Using common terminology will minimize confusion and misunderstanding for CMS, SSMs, MACs and the STC. The MACs and the STC shall examine their use of the system status information issued by the SSMs to determine if they have internal applications that need to be adjusted to adopt the standardized terminology. If they have internal systems or processes that must be modified to reflect the standardization required by this instruction, they shall make those changes to coincide with the shared system changes.

40.1.1 -Standard Terminology Chart

(Rev.105, Issued: 06-02-17, Effective: 07-03-17, Implementation: 07-03-17)

STANDARD TERMINOLOGY	DESCRIPTION
QUESTION (<i>QCN</i>)	Request for assistance and/or reported potential system problem. <i>For questions, the MACs and the STC shall contact the SSM's helpdesk to log their question.</i>
PROBLEM	Confirmed system and/or documentation problem
<i>Change Request</i> (CR)	Any software modification made to the system as a result of a CMS mandate or maintainer initiated action
CMS STATUS	CMS needs take action by answering a question, finalizing an instruction, etc.
NSC (non-system change) STATUS	CMS CR does not require shared system change. May require A/B MAC maintenance
RESEARCH STATUS	The SSM completes high level review of required changes by analyzing them and determining the intent of the change request
<i>REQUIREMENTS</i> (REQS) STATUS	The SSM finalizes the business requirements
WALKTHROUGH STATUS	The SSM presents the systems solution to the CR in a structured walkthrough discussion with CMS and Beta testers
WORK STATUS	The SSM completes technical design, coding and unit testing the system change

STANDARD <i>TERMINOLOGY</i>	DESCRIPTION
ALPHA TESTING	<i>Functional testing performed by the SSM, after successful unit testing of the new or modified code; which starts approximately ninety (90) days prior to the implementation of the Change Request. The testing verifies all changed components function appropriately within the full environment at the SSM site in a controlled environment.</i>
BETA TESTING	<i>This is the second phase of testing after Alpha testing. The goal of Beta testing is to identify and resolve any remaining defects before a product/software is released to a production environment. Beta testing begins eight weeks prior to the production implementation date of a quarterly release. The Beta tester continues to test all iterations of the code through the UAT testing phase until the release moves to production. The Beta tester continues to test for two weeks post production or until they are 100% completed, whichever comes first.</i>
User Acceptance Testing (UAT)	<i>MACs and DME MACs perform UAT testing during the four weeks prior to the production implementation date of a quarterly release.</i>
USER STATUS	<i>The SSM returns question to user to provide more information or examples, assess solution</i>

40.3.9 - Definitions

(Rev.105, Issued: 06-02-17, Effective: 07-03-17, Implementation: 07-03-17)

These definitions are provided to ensure common understanding.

Base Shared System - The FISS, MCS, VMS, or CWF system, which is routinely released by the Shared System Maintainers to their respective user community prior to any user customization. This includes all components released by the Shared System Maintainer, including but not limited to the claim adjudication subsystem, the financial subsystems, and other integrated components (i.e., Pricer, OCE, MCE, Grouper).

Functional Testing – Testing to ensure that the functional requirements have been met. *Functional testing is performed by the SSMs and the STC.*

Integration Testing – Testing combinations of interacting software components that make up parts of a system. *Integration testing is performed by the SSMs, and the STC.*

Interface Testing – Testing conducted to evaluate whether subsystems or systems pass data. *Interface testing is performed by the STC.*

Local Components – A Local Component as referenced in section 40.3 is any component or module that supports Medicare claims processing, but is not part of the Base System and is under the control and maintenance of the MAC.

Maintainer – The Maintainer is an entity to which CMS directly contracts to maintain a Medicare claim processing shared system (FISS, MCS, VMS, or the Common Working File (CWF) system). The

Maintainer, as referenced in section 40.3, does not refer to an entity to which a A/B or DME MAC subcontracts to operate their data center or perform other claim processing support activities.

Operational Testing – Testing conducted to evaluate a system in its operational environment. Testing to ensure that the aggregate operational systems and their interfaces can be operated securely with the instructions provided. *Operational Testing is performed by the SSMs and the A/B and DME MACs.*

Performance Testing – Testing that applies heavy transaction and processing loads to the system to ensure that response times, throughput rates, and processing windows remain acceptable and can accommodate production workloads. *Performance Testing is performed by the STC.*

Regression Testing – Testing conducted on a system or components to verify that modifications have not caused unintended effects and that the system or components still complies with its requirements. *Regression testing is performed by the SSMs and the STC.*

Regression Test Set – A set of selectable test cases designed to exercise a system over its functional capabilities and assure that it still works properly after changes have been applied.

Requirement Identifier – A unique number assigned to each requirement comprised of the Shared System Maintainer CR Number, the CMS CR Number, and an alphanumeric element to uniquely qualify each requirement. For testing purposes CMS requires that each Test Case Identifier incorporate the Requirement Identifier to which it is traced.

Stress Testing – Testing that applies a steadily increasing load to the system until it reaches the point where performance degrades to unacceptable levels.

System Testing – Testing to discover any incorrect implementation of the requirements or incompatibilities in the software/hardware environment. System testing includes functional testing, performance testing, and operational testing. *System testing is performed by the SSMs and the STC.*

Test Case Specification – A description of an input situation and of the required results associated with a specific test objective or purpose.

Test Case Identifier – A unique identifier assigned to each test case.

Test Log – A chronological record of relevant detail about the execution of tests. Relevant details include run date, run time, test status, and actual results.

Test Requirement - A specific requirement that is under test and to which one or more test cases are traced. Test requirements may be derived from various types of requirements i.e., business functional requirements, performance requirements etc. Note: Any well-written requirement that is “testable” may be considered a Test Requirement. Any requirement contained in the Business Requirements section of a CR or transmittal, also constitutes a test requirement.

Test Set – A collection of test cases that have a common usage.

Unit Testing – The testing of individual units (i.e., software components, modules) or groups of related units. It is the lowest level of testing and is usually performed by programmers. Unit testing may be both functional (requirements oriented) and structural (i.e. logic oriented, code coverage oriented). *Unit testing is performed by the SSMs.*

40.3.11 - Single Testing Contractor (STC) Non-Testable Conditions and Potential Testing Impacts

(Rev.105, Issued: 06-02-17, Effective: 07-03-17, Implementation: 07-03-17)

ID	STC System(s)	General Non-Testable Conditions and Potential Testing Impacts
1	FISS, MCS, VMS	ECRS - Electronic Correspondence Referral System functionality
2	FISS, MCS, VMS	Recovery Audit Contractor (RAC) – the STC does not interface with the RAC and the STC was instructed the STC would not test with the RAC; the MACs will perform this testing.
3	FISS, MCS, VMS, CWF	Non-base system processes used by a MAC, Client Letter, ECPS events, Local Medical Policy, MAC controlled SCF Logic, changes Interactive Voice Response (IVR), Automated Response Unit (ARU) functionality, and changes to Optical Character Recognition (OCR) functionality.
4	FISS, MCS, VMS, CWF	Contractor ID specific logic – if a benefit is specific to a state or jurisdiction and requires a specific contractor number for processing – this cannot be tested at the STC because the STC is assigned a specific testing contractor number for their test regions. Example: VA Demo
5	FISS, MCS, VMS	Printing – The STC has the ability to print but the STC does not have a print vendor and does not test backend print/mail functions. Each MAC could be using their own vendor or printing tools and backend print/mail testing should be done by each MAC for each site.
6	FISS, MCS, VMS, CWF, HIGLAS	Processing that requires volume – there are times when problems occur in production and could not be caught at the STC because the test environment does not have the volume of claims that a production environment has.
7	FISS, MCS, VMS, CWF	Runbooks are documentation artifacts maintained by the SSMs that provide instructions regarding how jobs are to be scheduled (daily, weekly, monthly, on request etc.) and predecessor/successor relationships for jobs that must precede or succeed, as well as containing comments on known abend return codes the job is programmed to return sometimes including instructions on how to rerun/restart each abend return code. As Runbooks are documentation in nature the STC does not test Runbooks.
8	EDB	The STC CWF does not interface with the Enrollment Database (EDB) system.
9	FISS, MCS, VMS, CWF	Processes that are designed to only work in a test/model office environment and will never be promoted or utilized in the production environments. This includes the internal testing facility (ITF), the CWF response generator, the HIGLAS response generator, and the MBI generator.
10	HIGLAS	HIGLAS roundtrip cycles that are needed beyond the five weeks of scheduled roundtrips must have additional cycles requested and approved.
11	MCS	STC does not have the Provider Enrollment System (PES) application that is used exclusively by the Railroad contractor, and is therefore unable to test MCS changes to this system.
12	FISS	STC does not test INFOMAN (IM) CRs which are CRs implemented by the FISS SSM that update the release identifier on the main CICS screen in the FISS application. The STC received instruction from CMS to not test these CRs.

40.3.12 - Next Generation Desktop (NGD) Requirements

(Rev.105, Issued: 06-02-17, Effective: 07-03-17, Implementation: 07-03-17)

CMS has fully deployed the Next Generation Desktop (NGD) to the contractors' beneficiary customer service contact centers. The NGD is a multiple call center application that is used by Medicare Customer Service Representatives (CSRs) to answer inquiries and perform operations on behalf of CMS beneficiaries and the American public.

The NGD is designed to pull customer service-needed information into a common desktop application. As such, the NGD requires data exchange with CMS shared systems (VMS, CWF, FISS, MCS) and standard systems (Enrollment Database (EDB)/Master Beneficiary Database (MBD), Master Beneficiary Record (MBR), Group Health Plan (GHP)/Maricopa Managed Care System (MMCS). Note: NGD may integrate with additional systems as future releases are developed.

Because NGD integrates with the shared systems, periodic changes will be made to the NGD Integration Layer as a result of the shared systems quarterly release process. The NGD maintainer will be required to update NGD in shared systems quarterly releases (Jan, Apr, July, Oct.) The NGD maintainer will be required to perform the various activities associated with changes to the NGD (i.e., unit and system testing). In addition to the shared systems quarterly release schedule, the NGD will adhere to a separate quarterly functional release process for NGD-specific updates and defect correction.

The NGD maintainer shall follow all of the requirements identified in Section 40.3 for the shared system maintainers except as indicated below:

1. Section 40.3.1 Maintainers and Beta Testers –Required Levels of Testing, #3 is not applicable to NGD Beta testers.
 2. Section 40.3.2 (#2) Minimum Testing Standards for Maintainers and Beta Testers, for NGD naming conventions, the NGD Maintainer should refer to the NGD test Plan.
 3. Section 40.3.2 (#4) Minimum Testing Standards for Maintainers and Beta Testers, for NGD test case identifiers, the NGD maintainer should refer to the NGD System Test Plan.
 4. Section 40.3.7 Timeframe Requirements for Testing Entities – NGD testing timeframes are as follows:
 - The official NGD User Acceptance testing period conducted by the VCS Support Contractor shall begin 2 weeks prior to production implementation.
 - The overall NGD testing period shall begin 3 weeks prior to production implementation. The NGD VCS Support testers shall have an exclusive 1 week testing timeframe prior to the initiation of user testing (Validation testing)
- The User Acceptance tester shall complete a functional System Test and Regression Test before the system is released to the User community.
- Exclusive NGD System Maintainer testing shall continue until User Acceptance testing is initiated 3 weeks prior to production implementation. The NGD Maintainer shall complete a Unit Test (on all components), Integration Test, System Test, and Regression Test prior to distributing the shared system release to the designated Beta Tester.

5. Section 40.3.8 Testing Documentation Requirements (#2) For NGD, documentation of all software defects (problems) should be through ClearQuest.