

<b>CMS Manual System</b>	<b>Department of Health &amp; Human Services (DHHS)</b>
<b>Pub 100-01 Medicare General Information, Eligibility, and Entitlement</b>	<b>Centers for Medicare &amp; Medicaid Services (CMS)</b>
<b>Transmittal 125</b>	<b>Date: July 5, 2019</b>
	<b>Change Request 11245</b>

**SUBJECT: Internet Only Manual (IOM) - Update to General Information, Eligibility, and Entitlement, Chapter 7 - Contract Administrative Requirements, Section 40.2 – Shared System Maintainer Responsibilities for Systems Releases, Section 40.3.11 Single Testing Contractor (STC) Non-Testable Conditions and Potential Testing Impacts**

**I. SUMMARY OF CHANGES:** This Change Request updates Chapter 7, Section 40.2, and Section 40.3.11 of the Internet Only Manual (IOM).

**EFFECTIVE DATE: August 5, 2019**

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

**IMPLEMENTATION DATE: August 5, 2019**

*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.

<b>R/N/D</b>	<b>CHAPTER / SECTION / SUBSECTION / TITLE</b>
R	7/40/40.2 - Release Software
R	7/40/40.3.11 - Single Testing Contractor (STC) Non-Testable Conditions and Potential Testing Impacts

**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

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## 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 40.2 and 40.3.11 have been updated to align with CMS' current processes.

**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 A S S	M C S	V M S	C W F	
11245.1	The contractor shall be advised of the updates to Sections 40.2 and 40.3.11 of the Internet Only Manual (IOM).	X	X	X	X					STC

## 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:
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**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](mailto: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**

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*(Rev. 125; 07-05-19)*

*40.2 - Release Software*

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

## **40.2 - Release Software**

**(Rev. 125; Issued: 07-05-19, Effective: 08-05-19, Implementation: 08-05-19)**

*Shared System Maintainers (SSMs) shall obtain* approval from their Government Task Leader (GTL) before *software* can be scheduled and installed.

### **Control of System Changes**

*SSMs shall* use the same quarterly release schedule, (i.e., on or about October 1, January 1, April 1, *and* July 1). *CMS will schedule* each quarterly release.

All follow-up release changes (except emergencies) to the quarterly schedule *shall* be held and released on a predetermined schedule in coordination with CMS. Unscheduled emergency changes released as problems are identified without prior approval. The schedule for a follow-up release of changes *shall* be forwarded to your GTL for prior approval.

Follow-up release changes are to be limited to the correction of priority 1 and 2 problems and errors that prevent effective operation of the production system. Priority 3, priority 4 and/or priority 5 problems should be corrected in a follow-up release when pre-approved by CMS. The GTL will advise you of the approval decision within 24 – 48 hours.

When a system problem is identified, Medicare *contractors* (i.e. *SSMs*, the Single Testing Contractor (STC), MACs and CWF Hosts) *shall* submit documentation to their GTL outlining the problem and the reason correction is needed at this time. Section V of this instruction outlines the minimum information required by CMS for approval.

### **Problem Priority Classifications for Follow-Up Releases**

Listed below are CMS's problem priority classifications and examples.

#### **Priority 1 Classification**

Production:

The problem prevents the accomplishment of a mission critical capability for which no acceptable workaround is known.\*

This priority also includes problems where code *shall* be fixed immediately in order for the normal production region functions or services to continue. For example, if the production region is down in a job resulting in an incomplete cycle or the system is pricing a significant volume of claims incorrectly causing over or under payment. The *SSM should* make priority 1 changes on its own authority. These corrections *shall* be reported to the GTL the next business day.

#### **EXAMPLES:**

- ABENDS on-line or batch (Inability to run a cycle)
- Inaccurate payment or no payment of claims (significant impact/high volume)
- Necessary file updates cannot be accomplished (payment files, history files)
- Interface failures affecting claims processing

Beta/User Acceptance Testing:

The problem would prevent the accomplishment of a mission critical capability if the current test software is moved into the production environment. This priority also includes problems where code *shall* be fixed immediately in order for the normal test region functions or services to continue. For example, if the test region is down in a job causing the cycle to not complete or the system is pricing claims incorrectly with a potentially significant claim volume or payment impact, the issue would be classified as a priority 1.

#### **EXAMPLES:**

- ABENDS; inability to run a cycle or test
- Inaccurate payment or no payment of claims (potentially significant impact)
- Necessary file updates cannot be accomplished (payment files, history files)
- Interface failures affecting test conditions

#### **Priority 2 Classification**

Production:

The problem adversely affects the accomplishment of a mission critical capability so as to degrade performance and for which no acceptable work-around is known.\* This means the problem adversely affects the payment of benefits with a small claim volume or payment impact, the completion of CMS required reporting, or inaccurate information is being sent providers, beneficiaries or CMS. For example, if the information on an outgoing document to the provider community or Medicare Summary Notice is incorrect, the issue would be classified as a priority 2. The *SSM shall* work with the GTL for approval to implement a fix.

#### **EXAMPLES:**

- Inaccurate payment or no payment of claims (small impact/low volume)
- Inaccurate CMS required report
- Inaccurate messages to the beneficiary, provider or CMS
- ABENDs with limited impact (e.g. *one* contractor)

Beta/User Acceptance Testing:

The problem would adversely affect the accomplishment of a mission critical capability so as to degrade performance if current test software is moved into the production environment. This means the problem adversely affects the payment of benefits with a potentially small claim volume or payment impact, the completion of CMS required reporting, or inaccurate information is being sent to providers, beneficiaries or CMS. For example, if the information on an outgoing document to the provider community is incorrect, the issue would be classified as a priority 2.

#### **EXAMPLES:**

- Inaccurate payment or no payment of claims (potentially small impact)
- Inaccurate CMS required report
- Inaccurate messages to the beneficiary, provider or CMS

### **Priority 3 Classification**

Production:

The problem adversely affects the accomplishment of mission critical capability so as to degrade performance and for which an acceptable workaround is known.\*

This means the problem could have significant impact but the work-around alleviates the impact. This allows the system maintainer adequate time to code a fix and sufficiently test before the corrected software is delivered for production installation. The system maintainer *shall* work with the GTL to implement a fix.

#### **EXAMPLES:**

- Impact of problem could be significant or minimal
- Problem correctable by contractor workaround\*
- ABENDs with an acceptable workaround\*

Beta/User Acceptance Testing:

The problem would adversely impact the accomplishment of a mission critical capability so as to degrade performance if current test software is moved into the production environment.

If moved into the production environment before correcting an acceptable workaround could be instituted to prevent the adverse impact. \*\*

#### **EXAMPLES:**

- Potential impact of problem could be significant or minimal
- Problem affects CMS required reporting

### **Priority 4 Classification**

Production:

The problem is an operator inconvenience or annoyance, which does not affect a required mission essential capability. The system maintainer *shall* request approval to code and implement a fix from the GTL.

#### **EXAMPLES:**

- Problems affects non-mission critical functions
- Operational procedure with workload impact that should be automated
- Impact of problem is minimal
- Correctable by contractor workaround\*

Beta/User Acceptance Testing:

The problem is a test inconvenience or annoyance, which does not affect a required mission essential or test capability. If moved into the production environment before correcting, an acceptable workaround could be instituted to prevent the inconvenience. \*\*

#### **EXAMPLES:**

- Problem affects non-mission critical functions
- Operational procedure with workload impact that should be automated
- Impact of problem is minimal
- Correctable by contractor workaround\*

#### **Priority 5 Classification**

##### Production:

All other documented system problems. These could include operator errors, an inability to reproduce the reported problem, a problem with insufficient information, or documentation errors. The system maintainer should request approval from the CMS maintenance lead/(GTL) before coding and implementing any system enhancements.

#### **EXAMPLES:**

- A/B and DME MACs requested enhancements
  - Documentation errors (i.e. Business requirements)
  - Problem affects non-mission critical functions
  - Minimal impact

##### Beta/User Acceptance Testing:

All other documented system test problems. These could include operator errors, an inability to reproduce the reported problem, a problem with insufficient information, or test documentation errors. The system maintainer *should* work to correct these issues as soon as possible but any system enhancements *should* be discussed with the GTL.

##### Examples:

- Test region or processing enhancements
- Test documentation errors (i.e. business requirements)
- Problem affects non-mission critical test functions
- Minimal impact

\* An acceptable workaround is a temporary alternative solution to a confirmed problem in the shared system that will ensure the contractor is able to accomplish a mission critical capability. What makes the workaround “acceptable” is it *shall* be agreeable to both the maintainer and contractor and does not cause an excessive burden to the contractor. If the maintainer and A/B and DME MACs cannot come to an agreement on what is “acceptable” the decision will be made by CMS.

\*\* CMS does not recommend using workarounds in the test region in order to “pass” test cases. The institution of a workaround *should* be used in order to implement a CMS mandate where the system

maintainer may not have time to adequately code a fix before the software is delivered for production installation.

### **Routine File Maintenance/Updates**

CMS does not require pre-approval or special documentation of routine file maintenance/updates or other routine activities necessary for effective operation of the Medicare system, Medicare processes and/or testing (e.g., MR/UR screen updates, provider and beneficiary file updates). All contractors and data centers should continue with their normal file maintenance routines.

### **Testing Prior to Installation of CMS Approved Follow-up Releases**

CMS explains expectation for each Medicare organization's testing responsibility (i.e., shared system maintainer testing, contractor testing, CWF host testing, Beta testing).

### **Information Required for Requesting CMS Approval**

The following *shall* be submitted to the CMS maintenance lead or project officer when requesting that a problem be implemented in a follow-up release. If the system maintainer already has a process in place for communicating system problems to CMS, that process may be used as long as all information below, at a minimum, is captured.

#### **MAINTAINER NAME:**

Problem Description:

Brief non-technical business description of the fix.

How Found:

Explain how the problem was found. Also explain why you believe it was not found by release testing.

Problem Impact:

This information is needed to determine the scope of the problem in terms of payments, provider types, beneficiaries, number of potential claims impacted, if a work around is available, etc.

Problem Priority Classification:

Is this problem prioritized as an emergency, 1, 2, 3, 4, or 5.

Release Options:

Explain the options for scheduling and implementing the fix.

Technical Recommendation for Release timing:

Explain the recommended timing for installing the release.

#### **CMS (GTL)**

*SSMs shall* forward schedules and documentation of all changes as required to your GTL as indicated below. If your current process is to forward this information to your project officer, continue to do so. Your GTL will advise you of backup staff.

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

***(Rev. 125; Issued: 07-05-19, Effective: 08-05-19, Implementation: 08-05-19)***

<b>ID</b>	<b>LOB</b>	<b>STC Not Testable Conditions and Potential Testing Impacts</b>
1	FISS, MCS, VMS	Electronic Correspondence Referral System functionality (ECRS) - The STC does not interface with ECRS.
2	FISS, MCS, VMS	Recovery Audit Contractor (RAC) and/or Recovery Audit Contractor Data Warehouse (RACDW) - The STC does not interface with the RAC or the RACDW. The STC does have the ability to test RAC related changes in the shared system applications.
3	FISS, MCS, VMS	Non-Base Job System Processing. The STC does not test non-base jobs.
4	FISS	ECPS events – The STC does not test MAC controlled ECPS events.
5	VMS	Super Op events - The STC does not test MAC controlled Super Op events.
6	MCS	SCF Logic - The STC does not test MAC controlled SCF Logic.
7	FISS, MCS, VMS	Local Coverage Determinations (LCDs) - The STC does not test MAC LCD or medical policy. MACs conduct LCD and medical policy testing.
8	MCS	Interactive Voice Response (IVR) - STC would not do end-to-end testing of MCS base system changes for the IVR. The STC does have the ability to test IVR related changes in the shared system.
9	MCS	Automated Response Unit (ARU) - STC would not do end-to-end testing of MCS base system changes for the ARU. The STC does have the ability to test ARU related changes in the shared system.
10	FISS, MCS, VMS	Optical Character Recognition (OCR) - The STC does not test changes to OCR functionality.
11	FISS, MCS, VMS, CWF	Contractor ID specific logic – The STC is unable to conduct state or jurisdiction specific testing that requires a specific contractor number for processing.
12	FISS, MCS, VMS	Printing – The STC does not have a print vendor and does not test backend print/mail functions.
13	FISS, MCS, VMS, CWF	Testing that requires large volumes of data – The STC environment contains a limited number of claims. Thus, the STC may not be able to identify volume-related issues in its test environment.

14	FISS, MCS, VMS, CWF	<i>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.</i>
15	CWF	<i>Enrollment Database (EDB) - The STC does not interface with the EDB system.</i>
16	FISS, MCS, VMS, CWF	<i>Processes that are designed to only work in a test environment - Processes that are designed to only work in a test 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.</i>
17	FISS, MCS, VMS	<i>Healthcare Integrated General Ledger Accounting System (HIGLAS) - The STC is not responsible for testing HIGLAS changes. The shared systems will continue to test HIGLAS.</i>
18	FISS	<i>INFOMAN - The STC does not test CRs implemented by the FISS SSM that update the release identifier on the main CICS screen in the FISS application.</i>
19	FISS, MCS, VMS,	<i>Electronic Funds Transfer (EFT) - The STC does not conduct testing with financial institutions, and is therefore unable to test the EFT transactions. The STC inspects the EFT files created from the shared systems and processes them.</i>
20	FISS, MCS	<i>Payment File Development Contractor (PFDC) - The STC does not interface with the PFDC system. Changes to the file are tested by the STC by manually sending and receiving a file. The STC inspects the files created from the shared systems and processes them.</i>
21	FISS, MCS, VMS, CWF	<i>Integrated Data Repository (IDR) - The STC can test IDR file changes as part of the shared system, but the files are not automatically sent to the IDR contractor. STC manually sends files to the IDR contractor twice during the release. The STC inspects the files for accuracy created from the shared systems and processes them.</i>
22	FISS	<i>Quality Improvement Evaluation System (QIES) - The STC does not interface with QIES. The STC inspects the files for accuracy created from the shared systems and processes them.</i>
23	FISS, MCS, VMS, CWF	<i>Provider Statistical and Reimbursement System (PS&amp;R) - The STC does not interface with the PS&amp;R system. The STC inspects the files for accuracy created from the shared systems and processes them.</i>

24	FISS, MCS, VMS, CWF	<i>Production Performance Monitoring System (PULSE) - The STC does not interface with PULSE. The STC inspects the files for accuracy created from the shared systems and processes them.</i>
25	MCS	<i>Provider Enrollment System (PES) - The STC does not have the PES application that is used exclusively by the Railroad Retirement Board Specialty MAC. The STC is unable to test the PES application.</i>
26	FISS, MCS, VMS	<i>Provider Enrollment Chain and Ownership (PECOS) - The STC does not utilize the PECOS system to generate enrollments. STC manually creates a file when needed for testing.</i>
27	FISS, MCS, VMS	<i>Electronic Submission of Medical Documentation (esMD) - The STC does not have connectivity with esMD. The STC does have the ability to test esMD related changes in the shared system.</i>
28	CWF	<i>Affordable Care Organization (ACO) – The STC does not have connectivity with the ACO. The STC does have the ability to test ACO related changes in the shared system.</i>
29	CWF	<i>CWF MBI (Medicare Beneficiary ID) XWALK - There are some connectivity tests that STC cannot execute since the XWALK in STC is set up differently compared to production. The XWALK in the STC environment is embedded in the CWF CICS region that houses all other STC CWF data whereas the XWALK in production is in a separate CICS region called Host K. The STC does not connect to Host K.</i>