

CMS Manual System

Pub 100-08 Medicare Program Integrity

Transmittal 137

Department of Health &
Human Services (DHHS)

Centers for Medicare &
Medicaid Services (CMS)

Date: FEBRUARY 10, 2006

Change Request 4214

SUBJECT: Provider Enrollment Workload and Timeliness Reports

I. SUMMARY OF CHANGES: Carriers were previously instructed to submit monthly workload and timeliness reports to CMS to assist in monitoring workloads. CMS will now require carriers and fiscal intermediaries to report this information on a quarterly basis beginning April 15, 2006.

NEW/REVISED MATERIAL

EFFECTIVE DATE: April 15, 2006

IMPLEMENTATION DATE: April 15, 2006

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:

R = REVISED, N = NEW, D = DELETED

R/N/D	CHAPTER / SECTION / SUBSECTION / TITLE
R	10/20/Tracking Requirements

III. FUNDING:

No additional funding will be provided by CMS; contractor activities are to be carried out within their FY 2006 operating budgets.

IV. ATTACHMENTS:

Business Requirements

Manual Instruction

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

Attachment - Business Requirements

Pub. 100-08	Transmittal: 137	Date: February 10, 2006	Change Request 4214
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SUBJECT: Provider Enrollment Workload and Timeliness Reports

I. GENERAL INFORMATION

A. Background: CMS instructed carriers to provide monthly workload and timeliness reports. The purpose of these reports was to allow CMS staff to monitor contractor performance. Carriers will now be required to report to CMS on a quarterly basis.

Fiscal intermediaries currently do not report workload and timeliness to CMS. This CR will instruct FIs to begin reporting on a quarterly basis.

B. Policy: The Provider Enrollment Chain and Ownership System (PECOS) is capable of generating reports similar to the reports currently created manually by the carriers. Effective February 2006, CMS will use the data generated by PECOS as the official report for workload and timeliness. CMS will compare the PECOS generated reports to the contractor-reported data to identify and resolve any reporting issues. Eventually the PECOS reports will be the only source used to monitor performance and contractors will no longer be required to self-report.

Contractors shall enter the provider enrollment information from the CMS-855 that is necessary to create a logging and tracking record within PECOS.

II. BUSINESS REQUIREMENTS

"Shall" denotes a mandatory requirement

"Should" denotes an optional requirement

Requirement Number	Requirements	Responsibility ("X" indicates the columns that apply)								
		F I	R H I	C a r r i e r	D M E R C	Shared System Maintainers				Other
						F I S S	M C S	V M S	C W F	
4214.1	Carriers shall continue to submit monthly workload reports through February 5, 2006.			X						

Requirement Number	Requirements	Responsibility (“X” indicates the columns that apply)								
		F I	R H I	C a r r i e r	D M E R C	Shared System Maintainers				Other
						F I S S	M C S	V M S	C W F	
	None.									

IV. SUPPORTING INFORMATION AND POSSIBLE DESIGN CONSIDERATIONS

A. Other Instructions: N/A

X-Ref Requirement #	Instructions

B. Design Considerations: N/A

X-Ref Requirement #	Recommendation for Medicare System Requirements

C. Interfaces: N/A

D. Contractor Financial Reporting /Workload Impact: N/A

E. Dependencies: N/A

F. Testing Considerations: N/A

V. SCHEDULE, CONTACTS, AND FUNDING

<p>Effective Date*: April 15, 2006</p> <p>Implementation Date: April 15, 2006</p> <p>Pre-Implementation Contact(s): Alisha Banks, alisha.banks@cms.hhs.gov, 410-786-0671</p> <p>Post-Implementation Contact(s): Alisha Banks, alisha.banks@cms.hhs.gov, 410-786-0671</p>	<p>No additional funding will be provided by CMS; contractor activities are to be carried out within their FY 2006 operating budgets.</p>
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Attachments

CARRIER INVENTORY - PROVIDER ENROLLMENT

Type of Application	Incoming Applications - End of Report Quarter	Processed within 45 Days - End of Report Quarter	Processed within 60 Days - End of Report Quarter	Processed between 46 and 60 Days - End of Report Quarter	Processed between 61 and 120 Days - End of Report Quarter	Processed between 61 and 75 Days - End of Report Quarter	Processed between 121 and 180 Days - End of Report Quarter	Processed over 75 Days - End of Report Quarter	Processed over 180 Days - End of Report Quarter	Total Number of Applications Processed - End of Report Quarter	Pending at End of Report Quarter - 0 to 45 Days Old	Pending at End of Report Quarter - 0 to 60 Days Old	Pending at End of Report Quarter - 46 to 60 Days Old	Pending at End of Report Quarter - 61 to 120 Days Old	Pending at End of Report Quarter - 61 to 75 Days Old	Pending at End of Report Quarter - 121 to 180 Days Old	Pending at End of Report Quarter - More than 75 Days Old	Pending at End of report Quarter - More than 180 Days Old	Total Number of Pending Applications at End of Report Quarter
Initial Applications		N/A		N/A		N/A		N/A			N/A		N/A		N/A		N/A		
Reassignments			N/A		N/A		N/A		N/A			N/A		N/A		N/A		N/A	
Changes of Information			N/A		N/A		N/A		N/A			N/A		N/A		N/A		N/A	

FISCAL INTERMEDIARY ENROLLMENT WORKLOAD SPREADSHEET

Type of Application	Incoming Applications - End of Report Quarter	Processed within 45 Days - End of Report Quarter	Processed within 60 Days - End of Report Quarter	Processed between 46 and 60 Days - End of Report Quarter	Processed between 61 and 120 Days - End of Report Quarter	Processed between 61 and 75 Days - End of Report Quarter	Processed between 121 and 180 Days - End of Report Quarter	Processed over 75 Days - End of Report Quarter	Processed over 180 Days - End of Report Quarter	Total Number of Applications Processed - End of Report Quarter	Pending at End of Report Quarter - 0 to 45 Days Old	Pending at End of Report Quarter - 0 to 60 Days Old	Pending at End of Report Quarter - 46 to 60 Days Old	Pending at End of Report Quarter - 61 to 120 Days Old	Pending at End of Report Quarter - 61 to 75 Days Old	Pending at End of Report Quarter - 121 to 180 Days Old	Pending at End of Report Quarter - More than 75 Days Old	Pending at End of Report Quarter - More than 180 Days Old	Total Number of Pending Applications at End of Report Quarter
Initial CMS 855A		N/A		N/A		N/A		N/A			N/A		N/A		N/A		N/A		
CHOW - Old Owner			N/A		N/A		N/A		N/A			N/A		N/A		N/A		N/A	
CHOW - New Owner		N/A		N/A		N/A		N/A			N/A		N/A		N/A		N/A		
Changes of Information			N/A		N/A		N/A		N/A			N/A		N/A		N/A		N/A	
Full CMS 855A Applications			N/A		N/A		N/A		N/A			N/A		N/A		N/A		N/A	

20 - Tracking Requirements

(Rev.137, Issued: 02-10-06, Effective: 04-15-06, Implementation: 04-15-06)

The Provider Enrollment Chain and Ownership System (PECOS) allows an enrollment application to be tracked from date of entry to final determination or recommendation. Medicare contractors shall enter into PECOS the provider enrollment information contained on the application (i.e., CMS-855) necessary to create a logging and tracking record within 15 working days of receipt of the application.

Carriers Only

Carriers shall report the following information to CMS on a quarterly basis: (1) the number of received, processed and pending CMS 855 applications, and (2) the timeframes in which these applications were processed.

To ensure consistency in data collection efforts, carriers shall submit this information to CMS via the “Carrier Enrollment Workload Spreadsheet.” CMS will compare the PECOS generated reports to the self-reported data by the contractors. Eventually the PECOS generated reports will be the only source used to monitor performance and contractors will no longer be required to self-report. Note that this worksheet replaces the old “Workload Report” and “Aging Report” that carriers have previously been using.

Carriers shall categorize their workload reports using the following criteria:

Initial Applications:

- *A new receipt of either an 855I or 855B*
- *An 855R that is received with an initial 855I or 855B. Because timeliness requirements allow carriers to process an 855R within 60 days when it accompanies an initial 855B or 855I, carriers shall count the 855R as an initial. However, the 855R shall not be recounted in the 855R column.*
- *An 855I or 855B that is in PECOS, yet the supplier is enrolled by another carrier. In situations where a supplier enters into a different carrier’s jurisdiction and the new carrier has to update the information, count as an initial enrollment.*
- *A change of information for a pay to address submitted by suppliers who are currently not entered in PECOS or PES/PENS.*

Reassignments:

- *An 855R that does not accompany an initial 855I or 855B.*

Changes/Other:

- *For a supplier who is enrolled, either in PECOS or PES/PENs, count as a change of information.*
- *EFT agreements.*

The number of applications that fall within each of the aforementioned categories shall be further subcategorized as follows:

Incoming for the previous quarter;

- *Applications processed to completion during the previous quarter. (This is further broken down by applicable timeframes.) This does not mean that the entire application had to be processed – from beginning to end – in the prior quarter. Rather, the carrier simply completed processing that application in the previous quarter, regardless of when it first received the application in its mailroom.*
- *Applications pending at the end of the previous quarter. (This is further broken down by applicable timeframes.)*

Those boxes on the spreadsheet that are shaded in gray and marked “N/A” need not be completed.

The information shall be furnished to DPSE via the spreadsheet format. The first quarterly report will be due no later than the 15th day of the month showing enrollment data for the end of the report quarter. (For instance, the first report will be due on April 15, 2006 and shall cover activities for the months of January, February, and March 2006.) Future reports will be due by the 15th day of the month following the end of the quarter and covering the activities of the previous 3 months.

Carriers shall continue to report workload data on a monthly basis per previously issued instructions with the final report due February 5, 2006, showing January 2006 data.

New FI Reporting Requirements

The FIs shall report the following information to CMS on a quarterly basis: (1) the number of incoming CMS 855A applications, and (2) the timeframes in which these applications were processed.

To ensure consistency in data collection efforts, fiscal intermediaries shall submit this information to CMS via the “FI Enrollment Workload Spreadsheet.” CMS will compare the PECOS generated reports to the self-reported data by the contractors. Eventually the

PECOS reports will be the only source used to monitor performance and contractors will no longer be required to self-report.

As evidenced by the spreadsheet, the primary workload categories are as follows:

- Initial CMS 855A applications (i.e., those that are not part of a change of ownership (CHOW), acquisition/merger or consolidation);*
- CHOW submissions for “new” owners (this includes acquisition/merger and consolidation applications submitted by new owners);*
- CHOW submissions for “old” owners (this includes acquisition/merger and consolidation applications submitted by old owners);*
- Changes of Information;*
- Entire CMS 855A applications submitted by enrolled providers that have never completed a CMS 855A application before. (This most commonly happens in two instances: (1) the provider is undergoing a “pay to” address change, or (2) the provider is submitting a non- “pay to” address change of information and agrees to submit an entire application.) For purposes of this reporting requirement, these applications will be referred to as “Full CMS 855A Applications.”*

The number of applications that fall within each of the aforementioned categories shall be further subcategorized as follows:

- Incoming for the previous quarter;*
- Applications processed to completion during the previous quarter. (This is further broken down by applicable timeframes.) This does not mean that the entire application had to be processed – from beginning to end – in the prior quarter. Rather, the FI simply completed processing that application in the previous quarter, regardless of when it first received the application in its mailroom.*
- Applications pending at the end of the previous quarter. (This is further broken down by applicable timeframes.)*

Those boxes on the spreadsheet that are shaded in gray and marked “N/A” need not be completed.

The information shall be furnished to DPSE via the spreadsheet format. The first quarterly report will be due no later than the 15th day of the month showing enrollment data for the end of the report quarter. (For instance, the first report will be due on April 15, 2006 and shall cover activities for the months of January, February and March 2006.) Future reports will be due by the 15th day of the month following the end of the quarter and covering the activities of the previous 3 months.

