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| <b>CMS Manual System</b>                | <b>Department of Health &amp; Human Services</b>    |
| <b>Pub 100-20 One-Time Notification</b> | <b>Centers for Medicare &amp; Medicaid Services</b> |
| <b>Transmittal 537</b>                  | <b>Date: August 21, 2009</b>                        |
|   | <b>Change Request 6597</b>                          |

**Subject: 5010-D.0 Project Receipt, Control and Balancing Initial Phase for A/B Medicare Administrative Contractor (MAC) Only**

**I. SUMMARY OF CHANGES:** This Change Request covers the January 2010 implementation of the Part A Fiscal Intermediary Shared System (FISS), the Multi-Carrier System (MCS) for the exchange of Receipt and Control purposes.

**New / Revised Material**

**Effective Date: January 1, 2010 (Analysis, Design and Development) April 1, 2010 (Implementation Activities)**

**Implementation Date: January 4, 2010 (Analysis, Design and Development) April 5, 2010 (Implementation Activities)**

*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 |
| N/A   |  |

**III. FUNDING:**

SECTION A: For Fiscal Intermediaries and Carriers:

Not applicable.

SECTION B: 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:**

**One-Time Notification**

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

# Attachment – One-Time Notification

|                    |                         |                              |                             |
|--------------------|-------------------------|------------------------------|-----------------------------|
| <b>Pub. 100-20</b> | <b>Transmittal: 537</b> | <b>Date: August 21, 2009</b> | <b>Change Request: 6597</b> |
|--------------------|-------------------------|------------------------------|-----------------------------|

**SUBJECT: 5010-D.0 Project Receipt, Control and Balancing Initial Phase for A/B Medicare Administrative Contractor (MAC) Only**

**Effective Date:** January 1, 2010 (Analysis, Design and Development) April 1, 2010 (Implementation Activities)

**Implementation Date:** January 4, 2010 (Analysis, Design and Development) April 5, 2010 (Implementation Activities)

## I. GENERAL INFORMATION

**A. Background:** The purpose of this Change Request (CR) is to describe the business function to be developed by the Part A Shared System Maintainer for the Fiscal Intermediary Shared System (FISS), the Part B Shared System Maintainer for the Multi-Carrier System (MCS) and the A/B Medicare Administrative Contractors (MACs) to identify the controls covering the receipt of Electronic Data Interchange (EDI) inbound transaction submissions, the balancing of total receipts of inbound EDI transaction submissions consisting of rejected and accepted transactions, the handoff to the Enterprise Data Center (EDC), assignment of document control number for Part claims, and receiving Shared Systems for inbound transactions, outbound transactions and reporting requirements.

Specifically, Jurisdictions 1, 3, 4, 5, 10,13, 14 (J1, J3, J4, J5, J10, J13 and J14) are instructed to prepare their systems to process ASC X12 version 005010 transactions as previously issued CR 6472 and 6595, which addressed J1, J3, J4, J5, J10, J13, CEDI and J10 and J14 respectively. Other A/B MACs, not currently in a position to implement 5010, currently in Corrective Action Plan (CAP), or under a protest condition need not reply. Specifically, J2, J6, J7, J8, J9, J11, J12, and J15 are not affected by this CR. A future CR will address these MAC jurisdictions.

**B. Policy:** Health Insurance Portability and Accountability Act of 1996 (HIPAA), the Final Rule published in the Federal Register on January 16, 2009 by the Department of Health and Human Services.

## II. BUSINESS REQUIREMENTS TABLE

*Use "Shall" to denote a mandatory requirement*

| Number | Requirement   | Responsibility (place an "X" in each applicable column) |                                |                           |                                 |                  |                              |             |             |  |       |
|--------|---|---|--------------------------------|---------------------------|---------------------------------|------------------|------------------------------|-------------|-------------|--|-------|
|        |   | A<br>/<br>B<br><br>M<br>A<br>C                          | D<br>M<br>E<br><br>M<br>A<br>C | F<br>I<br><br>M<br>A<br>C | C<br>A<br>R<br>R<br>I<br>E<br>R | R<br>H<br>H<br>I | Shared-System<br>Maintainers |             |             |  | OTHER |
|        |   |   |                                |                           |                                 | F<br>I<br>S<br>S | M<br>C<br>S                  | V<br>M<br>S | C<br>W<br>F |  |       |
| 6597.1 | The shared system maintainer for the Fiscal Intermediary Shared System (FISS) shall perform an analysis of the environments (both Local Data Center and Enterprise Data Center) for the purposes of collaboration on the solution required to implement the CMS 5010-D.0 Receipt, Control and Balancing Initial Phase for Part A systems changes. |   |                                |                           |                                 |                  | X                            |             |             |  |       |
| 6597.2 | The shared system maintainer for the Multi-Carrier  |   |                                |                           |                                 |                  |                              | X           |             |  |       |

| Number   | Requirement   | Responsibility (place an "X" in each applicable column) |                                |        |                                 |             |                           |             |             |             |       |
|----------|---|---|--------------------------------|--------|---------------------------------|-------------|---------------------------|-------------|-------------|-------------|-------|
|          |   | A<br>/<br>B<br><br>M<br>A<br>C                          | D<br>M<br>E<br><br>M<br>A<br>C | F<br>I | C<br>A<br>R<br>R<br>I<br>E<br>R | R<br>H<br>I | Shared-System Maintainers |             |             |             | OTHER |
|          |   |   |                                |        |                                 |             | F<br>I<br>S<br>S          | M<br>C<br>S | V<br>M<br>S | C<br>W<br>F |       |
|          | System (MCS) shall perform an analysis of the environments (both Local Data Center and Enterprise Data Center) and develop requirements to implement the CMS 5010-D.0 Receipt, Control and Balancing Initial Phase for Part B systems changes.  |   |                                |        |                                 |             |                           |             |             |             |       |
| 6597.3   | The A/B MAC shall assist as necessary the shared system maintainer(s) for FISS and MCS in gathering information related to the design of a solution for CMS based upon the analysis of the environments (both Local Data Center and Enterprise Data Center) for the purposes of collaboration on the solution required to implement the CMS 5010-D.0 Receipt, Control and Balancing Initial Phase for A/B MAC, FISS, and MCS changes. | X   |                                |        |                                 |             |                           |             |             |             |       |
| 6597.4   | The shared system maintainer and the A/B MAC Contractors shall develop the requirements needed to create 005010 based Control Records and perform balancing procedures conforming to the following requirements.  | X   |                                |        |                                 |             | X                         | X           |             |             |       |
| 6597.5   | The shared system maintainer shall create a flexible multi-purpose process that will build and populate receipt/control/balancing control records for use in any/all of the following scenarios.  |   |                                |        |                                 |             | X                         | X           |             |             |       |
| 6597.5.1 | The shared system maintainer shall accumulate and populate at the Local Data Center (LDC), control records for inbound 837 and 276 flat files which have successfully passed the 837 or 276 editors.  |   |                                |        |                                 |             | X                         | X           |             |             |       |
| 6597.5.2 | The shared system maintainer shall accumulate and populate at the EDC control records for inbound 837 and 276 flat files which have been received from the LDC.   |   |                                |        |                                 |             | X                         | X           |             |             |       |
| 6597.5.3 | The shared system maintainer shall accumulate and populate at the LDC control records for outbound 835 and 277 flat files which have been received from the Enterprise Data Center (EDC).   |   |                                |        |                                 |             | X                         | X           |             |             |       |
| 6597.5.4 | The shared system maintainer shall accumulate and populate at the EDC for 835 and 277 flat files created by the shared system maintainer.   |   |                                |        |                                 |             | X                         | X           |             |             |       |
| 6597.6   | The shared system maintainer shall create a process that will utilize the receipt/control/balancing module developed in requirement 6597.1 and 6597.2 to populate a control record for use in the 837 process flow.   |   |                                |        |                                 |             | X                         | X           |             |             |       |

| Number      | Requirement   | Responsibility (place an "X" in each applicable column) |                                |        |                                 |             |                           |             |             |             |       |
|-------------|---|---|--------------------------------|--------|---------------------------------|-------------|---------------------------|-------------|-------------|-------------|-------|
|             |   | A<br>/<br>B<br><br>M<br>A<br>C                          | D<br>M<br>E<br><br>M<br>A<br>C | F<br>I | C<br>A<br>R<br>R<br>I<br>E<br>R | R<br>H<br>I | Shared-System Maintainers |             |             |             | OTHER |
|             |   |   |                                |        |                                 |             | F<br>I<br>S<br>S          | M<br>C<br>S | V<br>M<br>S | C<br>W<br>F |       |
| 6597.7      | The shared system maintainer shall create one control record per each Interchange Control Header (ISA) to Interchange Control Trailer (IEA) pair.   |   |                                |        |                                 |             | X                         | X           |             |             |       |
| 6597.7.1    | The shared system maintainer shall append the control record in the format as dictated in the file "Control Records – v04132009-OptionB.xls" attached.  |   |                                |        |                                 |             | X                         | X           |             |             |       |
| 6597.8      | The FISS & MCS shared system maintainer(s) shall solicit input from the A/B MACs related to the reporting aspects of the daily operational reporting of EDI activities on the A/B MAC's reporting environment.  |   |                                |        |                                 |             | X                         | X           |             |             |       |
| 6597.9      | The FISS & MCS shared system maintainer(s) shall use existing change development processes for communicating system requirements, delivery schedules and installation and operational instructions related to this Change Request for Enterprise Data Center impacts. |   |                                |        |                                 |             | X                         | X           |             |             |       |
| 6597.9.1    | The FISS & MCS shared system shall share draft requirements utilizing release processes to gain requirements approval and sign-off.   |   |                                |        |                                 |             | X                         | X           |             |             |       |
| 6597.10     | The A/B MAC Contractors shall create a report for the purposes of documenting the findings of the analysis related to this Change Request for Local Data Center impacts.  | X   |                                |        |                                 |             |                           |             |             |             |       |
| 6597.11     | FISS shall develop a document control number (DCN) generator that will run on mid-tier platforms that will assign FISS DCNs to accepted claims. The FISS ICN generator will create the 23 position ICNs in the format, as follows                                     |   |                                |        |                                 |             | X                         |             |             |             |       |
| 6597.11.1   | The FISS DCN generator shall place the Millennium code (2 = 2000) in position 1.  |   |                                |        |                                 |             | X                         |             |             |             |       |
| 6597.11.2   | The FISS DCN generator shall place the Julian Date format of the receipt date (YYDDD) in positions 2 through 6.   |   |                                |        |                                 |             | X                         |             |             |             |       |
| 6597.11.3   | The FISS DCN generator shall place the batch number in positions 7 through 10.  |   |                                |        |                                 |             | X                         |             |             |             |       |
| 6597.11.3.1 | The FISS DCN generator shall create batches beginning with 0000 and ending with 9999.   |   |                                |        |                                 |             | X                         |             |             |             |       |
| 6597.11.4   | The FISS DCN generator shall place the sequence number in positions 11 through 12.  |   |                                |        |                                 |             | X                         |             |             |             |       |
| 6597.11.4.1 | The FISS DCN generator shall create sequences which fall within the range of 00 – 99 only.  |   |                                |        |                                 |             | X                         |             |             |             |       |
| 6597.11.5   | The FISS DCN generator shall place the Choice/Split   |   |                                |        |                                 |             | X                         |             |             |             |       |

| Number      | Requirement  | Responsibility (place an "X" in each applicable column) |                                |        |                                 |                  |                           |             |             |             |       |
|-------------|--|---|--------------------------------|--------|---------------------------------|------------------|---------------------------|-------------|-------------|-------------|-------|
|             |  | A<br>/<br>B<br><br>M<br>A<br>C                          | D<br>M<br>E<br><br>M<br>A<br>C | F<br>I | C<br>A<br>R<br>R<br>I<br>E<br>R | R<br>H<br>H<br>I | Shared-System Maintainers |             |             |             | OTHER |
|             |  |   |                                |        |                                 |                  | F<br>I<br>S<br>S          | M<br>C<br>S | V<br>M<br>S | C<br>W<br>F |       |
|             | Indicator in position 13.  |   |                                |        |                                 |                  |                           |             |             |             |       |
| 6597.11.5.1 | The FISS DCN generator shall create choices/split with the valid values:<br>'C' - Choices<br>'E' - End Stage Renal Disease (ESRD)<br>'P' - Encounter<br>'V' - Veteran's Administration (VA)<br>'0' - Default Value – when not used |   |                                |        |                                 |                  |                           | X           |             |             |       |
| 6597.11.6   | The FISS DCN generator shall place the Origin Code in position 14.   |   |                                |        |                                 |                  |                           | X           |             |             |       |
| 6597.11.6.1 | The FISS DCN generator shall create origin code with the valid value:<br>7 for Electronic 5010 claims  |   |                                |        |                                 |                  |                           | X           |             |             |       |
| 6597.11.7   | The FISS DCN generator shall place the Business Segment Indicator (BSI) in positions 15 through 17.  |   |                                |        |                                 |                  |                           | X           |             |             |       |
| 6597.11.8   | The FISS DCN generator shall use positions 18 through 21 for adjustments and workload merges.  |   |                                |        |                                 |                  |                           | X           |             |             |       |
| 6597.11.9   | The FISS DCN generator shall place the Site Code in positions 22 through 23.   |   |                                |        |                                 |                  |                           | X           |             |             |       |

### III. PROVIDER EDUCATION TABLE

| Number | Requirement | Responsibility (place an "X" in each applicable column) |                                |        |                                 |                  |                           |             |             |             |           |
|--------|-------------|---|--------------------------------|--------|---------------------------------|------------------|---------------------------|-------------|-------------|-------------|-----------|
|        |             | A<br>/<br>B<br><br>M<br>A<br>C                          | D<br>M<br>E<br><br>M<br>A<br>C | F<br>I | C<br>A<br>R<br>R<br>I<br>E<br>R | R<br>H<br>H<br>I | Shared-System Maintainers |             |             |             | OTH<br>ER |
|        |             |   |                                |        |                                 |                  | F<br>I<br>S<br>S          | M<br>C<br>S | V<br>M<br>S | C<br>W<br>F |           |
|        | None.       |   |                                |        |                                 |                  |                           |             |             |             |           |

### IV. SUPPORTING INFORMATION

**Section A: For any recommendations and supporting information associated with listed requirements, use the box below:**

*Use "Should" to denote a recommendation.*

| <b>X-Ref Requirement Number</b> | <b>Recommendations or other supporting information:</b> |
|---------------------------------|---|
|                                 |   |

**Section B: For all other recommendations and supporting information, use this space: N/A**

## V. CONTACTS

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Jason Jackson, (410) 786-6156, [jason.jackson3@cms.hhs.gov](mailto:jason.jackson3@cms.hhs.gov)

## VI. FUNDING

**Section A: For Fiscal Intermediaries (FIs), Regional Home Health Intermediaries (RHHIs), and/or Carriers, use only one of the following statements:**

Not applicable.

**Section B: 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.