CMS Manual System	Department of Health & Human Services (DHHS)
Pub 100-20 One-Time Notification	Centers for Medicare & Medicaid Services (CMS)
Transmittal 1023	Date: January 26, 2012
	Change Request 7713

SUBJECT: Common Edits and Enhancements Module (CEM) and Receipt, Control, and Balancing Updates - July 2012

I. SUMMARY OF CHANGES: The purpose of this Change Request (CR) is to instruct the CEM developers, Part A and B Medicare Administrative Contractors (MAC), and the Durable Medical Equipment (DME) MAC Common Electronic Data Interchange (CEDI) contractor in their continuing development efforts of the CEM and Receipt, Control, and Balancing software and environment requirements.   This instruction includes issues identified during the Alpha, Beta and User Acceptance Testing (UAT) test periods.

EFFECTIVE DATE: July 1, 2012 – Full Implementation (Business Requirements 7713.1 thru 7713.5.1) Analysis and Design (Business Requirements 7713.6 thru 7713.6.3.1)
October 1, 2012 – Full Implementation (Business Requirements 7713.6 thru 7713.6.3.1)

IMPLEMENTATION DATE: July 2, 2012 – Full Implementation (Business Requirements 7713.1 thru 7713.5.1) Analysis and Design (Business Requirements 7713.6 thru 7713.6.3.1)
October 1, 2012 – Full Implementation (Business Requirements 7713.6 thru 7713.6.3.1)

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:
For Fiscal Intermediaries (FIs), Regional Home Health Intermediaries (RHHIs) and/or Carriers:
Not Applicable.

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

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October 1, 2012 – Full Implementation (Business Requirements 7713.6 thru 7713.6.3.1)

Implementation Date: July 2, 2012 – Full Implementation (Business Requirements 7713.1 thru 7713.5.1)
Analysis and Design (Business Requirements 7713.6 thru 7713.6.3.1)
October 1, 2012 – Full Implementation (Business Requirements 7713.6 thru 7713.6.3.1)

I.   GENERAL INFORMATION

A.   Background: The Centers for Medicare & Medicaid Services (CMS) is in the process of implementing the next version of the Health Insurance Portability and Accountability Act transactions. The Secretary of the Department of Health and Human Services (DHHS) has adopted Accredited Standards Committee (ASC) X12 Version 5010 and the National Council for Prescription Drug Programs (NCPDP) Version D.0 as the next HIPAA transaction standards for covered entities to exchange HIPAA transactions. The final rule was published on January 16, 2009. Some of the important dates in the implementation process are:

Effective Date of the regulation:	March 17, 2009
Level I compliance by:	December 31, 2010
Level II compliance by:	December 31, 2011
All covered entities have to be fully compliant on:	January 1, 2012

Level I compliance means "that a covered entity can demonstrate that it could create and receive compliant transactions, resulting from the compliance of all design/build activities and internal testing."

Level II compliance means "that a covered entity has completed end-to-end testing with each of its trading partners, and is able to operate in production mode with the new versions of the standards."

DHHS has promulgated in the Final Rules provisions which permit dual use of existing standards (ASC X12 4010A1 and NCPDP 5.1) and the new standards (5010 and D.0) from the March 17, 2009, effective date until the January 1, 2012 compliance date to facilitate testing subject to trading partner agreement.

The purpose of this Change Request (CR) is to instruct the CEM developers, Part A and B Medicare Administrative Contractors (MAC), and the Durable Medical Equipment (DME) MAC Common Electronic Data Interchange (CEDI) contractor in their continuing development efforts of the CEM and Receipt, Control, and Balancing software and environment requirements. This instruction includes issues identified during the Alpha, Beta and User Acceptance Testing (UAT) test periods.

Estimates for this CR should include a breakdown as part of the Level of Effort (LOE) response, utilizing the following table to be included in the "Estimate-Specific Comments" portion of the LOE template, to follow the Investment Lifecycle Phases.

Investment Lifecycle Phase	Total Hours	Total Cost
Pre-Implementation/CR Review		
Design & Engineering Phase		
Development Phase		
Testing Phase		
Implementation Phase		

Note that the Pre-Implementation/CR Review costs will not be funded under the unique funding situation for the 5010/D.0 project, but instead out of the MAC's pot of hours for Pre-Implementation/CR Review.

B. Policy: Health Insurance Reform: Modifications to the Health Insurance Portability and Accountability Act (HIPAA): Final Rules published in the Federal Register on January 16, 2009, by the DHHS at 45 CFR Part 162.

II. BUSINESS REQUIREMENTS TABLE

Use"Shall" to denote a mandatory requirement

Number	Requirement	A/B MAC	DME MAC	FI	CARRIER	RHHI	Shared-System Maintainers				OTHER
							FISS	MCS	VMS	CWF	
7713.1	The A/B MAC contractors shall update the Error Record (ERT) as output from their translator to correspond to the revised Error_Report_Record - v12092011.xls. This encompasses changes to elements ERT20 through ERT25	X									
7713.2	The Shared System Maintainers of the Common Edits and Enhancement Module (CEM) software shall make the necessary changes to the CEM and data stores to generate and store the revised Error Record - Error_Report_Record - v12092011.xls. This encompasses changes to elements ERT20 through ERT25.						X	X			CEM
7713.3	The Shared System Maintainers of the CEM shall archive the "Maintenance servlet", as these features have been incorporated into the Part B Maintenance Console (MC).							X			CEM
7713.4	The Shared System Maintainers of the CEM shall update the CEM-MC to add view capabilities of the Part B ERT table.							X			CEM
7713.5	The Shared System Maintainers of the CEM shall develop the functionality at the Enterprise Data Center (EDC) that will balance a given business day's CEM-assigned Interchange Control Numbers (ICNs) to those successfully loaded into the nightly batch						X	X			CEM

Number	Requirement	A/B MAC	DME MAC	FI	CARRIER	RHHI	Shared-System Maintainers				OTHER
							FISS	MCS	VMS	CWF	
	cycles.										
7713.5.1	The Shared System Maintainers of the CEM shall generate a report to compare the total claims processed through the daily batch cycle and compare it to the output from previous CEM "end of day" to current CEM "end of day".						X	X			CEM
7713.6	The Shared System Maintainers of the CEM shall implement a CEM reporting tool in the CEM Maintenance Console as described in the analysis paper for CMS CR 7392.						X	X			CEM
7713.6.1	The Shared System Maintainers of the CEM shall utilize the Control Record (CTR) and Error Report (ERT) databases to produce a set a canned reports for the A/B MACs.						X	X			CEM
7713.6.2	The Shared System Maintainers of the CEM shall develop the reporting tool to provide certain "canned/standard" reports on a regular basis (i.e. daily, weekly, monthly, annually).						X	X			CEM
7713.6.3	The Shared System Maintainers of the CEM shall develop the reporting tool to provide ad hoc report for the A/B MACs from the CTR and ERT databases							X			CEM
7713.6.3.1	The Shared System Maintainers of the CEM shall develop the reporting tool to provide the ad hoc reporting functionality through the CEM-MC in the management zone.						X	X			CEM

III.   PROVIDER EDUCATION TABLE

Number	Requirement	A/B MAC	DME MAC	FI	CARRIER	RHHI	Shared-System Maintainers				OTHER
							FISS	MCS	VMS	CWF	
	None.										

IV.   SUPPORTING INFORMATION

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

X-Ref Requirement Number	Recommendations or other supporting information:

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

V. CONTACTS

Pre-Implementation Contact(s):   Jason Jackson   (410) 786-6156   jason.jackson3@cms.hhs.gov
Michael Cabral   (410) 786-6168   michael.cabral@cms.hhs.gov

Post-Implementation Contact(s):   Contact your Contracting Officer's Technical Representative (COTR) or Contractor Manager, as applicable and the pre-implementation contacts:
Jason Jackson   (410) 786-6156   jason.jackson3@cms.hhs.gov
Michael Cabral   (410) 786-6168   michael.cabral@cms.hhs.gov

VI. FUNDING

Section A: For *Fiscal Intermediaries (FIs), Regional Home Health Intermediaries (RHHIs),* and/or *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.

CMS - Error Report Record

Element Identifier	Control Record Cross-walk	Description	Data Type	Record Position Start	Record Position End	Length	Picture Clause	Values
ERT	**CTR**	**Error Report Record**						
ERT01		Error Report Record ID	A/N	1	4	4	Pic X(04)	ERTD - Error record for ST-SE level error information ERTH - Error record for ISA-IEA level error information (ERTH records are to contain "roll-up" information for their associated ERTD records)
ERT02	CTR02	Transaction Type	A/N	5	9	5	Pic X(05)	837, NCPDP
ERT03	CTR04	Transaction Line of Business	A/N	10	10	1	Pic X(01)	Claims only I- Institutional P- Professional N- NCPDP
ERT04	CTR05	Interchange Sender ID	A/N	11	25	15	Pic X(15)	837 - ISA06 data element NCPDP - 880-K1 NCPDP batch header
ERT05	CTR14	Interchange Contractor ID	A/N	26	40	15	Pic X(15)	837 - CTR14 NCPDP - 880-K7 NCPDP batch header
ERT06	CTR07	Interchange Create Date	NUM	41	48	8	Pic 9(08)	837 - ISA09 data element Note: ISA09 is format YYMMDD (6 bytes) this field will require the CC (20) to be appended to the beginning of the ISA09 value so final format is CCYYMMDD NCPDP - 880-K2 NCPDP batch header
ERT07	CTR08	Interchange Create Time	NUM	49	52	4	Pic 9(04)	837 - ISA10 data element NCPDP - 880-K3 NCPDP batch header
ERT08	CTR09	Interchange Control Number	NUM	53	61	9	Pic 9(09)	837 - ISA13 data element NCPDP - 806-5C NCPDP batch header
ERT09	CTR10	Interchange Version	A/N	62	66	5	Pic X(05)	837 - 00501 (ISA12 data element) NCPDP - D.0
ERT10	CTR11	Interchange Test/Prod Indicator	A/N	67	67	1	Pic X(01)	T- Test P- Production
ERT11	N/A	MAC Cycle Date	NUM	68	74	7	Pic 9(07)	YYYYDDD (Julian Date) To be populated by the MAC
ERT12	N/A	MAC Create Time	NUM	75	80	6	Pic 9(06)	HHMMSS To be populated by the MAC
ERT13	CTR15	CEM Cycle Date	NUM	81	87	7	Pic 9(07)	YYYYDDD (Julian Date) To be populated by the CEM
ERT14	CTR16	CEM Create Time	NUM	88	93	6	Pic 9(06)	HHMMSS To be populated by the CEM
ERT15	CTR17	Local Data Center Tracking	A/N	94	123	30	Pic X(30)	
ERT16	CTR20	Total number of UNIT segments Sent	NUM	124	132	9	Pic 9(09)	Total number of the units counted for the transaction type. 837- CLM NCPDP- 00 (this value is based on the segment ID in positions 27-28 of the flat file)
ERT17	CTR22	Total dollar amount sent submitted charges	NUM	133	145	13	Pic 9(11)v99	837 - This is the total dollar value ST-SE NCPDP - 430-DU
ERT18	N/A	Error percentage holder	NUM	146	150	5	Pic 9(03)v99	**ERTH only** - Calculation is: (ERT24 / ERT16) x 100
ERT19	N/A	Edit Reference Number	A/N	151	180	30	Pic X(30)	**ERTD only** This is the edit number from the 837 Edit spreadsheet
ERT20	N/A	Edit Count	NUM	181	186	6	Pic 9(06)	ERTD - number of times the edit set in that ST-SE ERTH - number of times the edit set within an ISA-IEA
ERT21	N/A	Business Edit Language	A/N	187	438	252	Pic X(252)	**ERTD only**
ERT22	CTR01	Control Record ID	A/N	439	442	4	Pic X(04)	CTRD or CTRR
ERT23	N/A	Transaction Set Control Number	A/N	443	451	9	Pic X(09)	ERTD - ST02 from inbound 837 file ERTH - Blank
ERT24	N/A	# of Claims in Error	NUM	452	463	12	Pic 9(12)	ERTD - total number of units counted in ERT20 with error reported in ERT19 ERTH - All claims in error - shoud align with CTR30 from the 277CA control record
ERT25	N/A	Filler	A/N	464	500	37	Pic X(37)	