

esMD Reference Materials

Reference Materials

CMS esMD Website: www.cms.gov/esMD

Useful Links	
Technical Specifications and Implementation	esMD Technical Specifications
	CONNECT/ Nationwide Health Information Network Specifications - Specs and Implementation Plan
	esMD Implementation Guide (.pdf)
Sample Papers	Sample ADR Letter (.pdf)
	HIPAA White Paper- Claims Attachments
Electronic Signatures	21 CFR Part 11
	Electronic Signature, Attestation, and Authorship (2009)
Partnership Agreements and Forms	Trading Partner Agreement
	CMS Overview of Coordination of Benefits Agreement (COBA)
	COBA.pdf (.pdf)
	COBAAttachment_V2.pdf (.pdf)
FISMA	NIST Standards and Guidelines

PPA and Structured Content of eMDR Workstream

Document	Links	Notes
MAC Notification of Project	ADR Requirements.pdf	Uploaded by Trebba Putnam
Provider Enrollment Document	Enrollment.pdf	Uploaded by Trebba Putnam
Cahaba EDI Application	CMS RAC Request for MDR Bullets.docx	Uploaded by Trebba Putnam
Outline RAC requirements	Part BEDI Application.pdf	Uploaded by Trebba Putnam
Reflections of the MDR Process	Provider MDR Manual.pdf	Uploaded by Trebba Putnam
Electronic Services Information Use Case	SI Framework PD ESI UC v1.0.docx	Use Case Team for Reference

Behaviors for Query and Response	Behaviors for Query and Response Spreadsheet	Use Case Team for Reference
Electronic Services Information (ESI)	Data Model Spreadsheet	Use Case Team for Reference
Candidate Standards	<ul style="list-style-type: none"> • Candidate Standards Spreadsheet • Candidate Standards Presentation 	Spreadsheet Updated on 11/20/12 Presentation Updated on 4/2/12
Samples of Medical Documentation on Request Letters (MRDLs)	<ul style="list-style-type: none"> • Sample 1.pdf • Sample 2.pdf • Sample 3.pdf 	
Medical Documentation Submission Requirements	<p>Medical Review Requests for Medical Records</p> <p>When an Additional Development Request (ADR) is sent to a provider, the provider has 30 days in which to return the medical records to NHIC, Corp. The claim will deny if the records are not received by day 45. Denial code 56900 is appended to these claims indicating the denial occurred for lack of response to the ADR. Providers should aim to return their records in response to an ADR by day 30 in order to avoid denials for timeliness.</p> <p>When an ADR is generated, the claim will be found in status/location S B6001. After the records are received by NHIC, Corp., the claim will be moved into Status/location S M5REC. The claim will remain in this location until it is reviewed and processed.</p> <p>Upon receipt, the medical records are scanned. When submitting hardcopy medical records, please consider the following suggestions:</p> <ul style="list-style-type: none"> • Please do not use staples or paperclips • Each packet should be bound with a rubber band with the appropriate ADR on top and the correct medical records • Please avoid mixing single and double-sided documents • Return the medical record to the correct address listed on the ADR • Please do not include any other correspondence or claims that do not pertain to your ADR • Please do not send medical records until you receive an ADR <p>NHIC, Corp. accepts electronic medical records submitted by an appropriate Health Information Handler. More information on this can be found in the Electronic Submission of Medical Documentation (esMD) Pilot Project article available on the NHIC, Corp. Web site at http://www.medicarenhic.com/Part A (Education > Education Articles > 26 January 2012).</p> <p>Additional information on the ADR process can be found in the Additional Development Request billing guide available on the NHIC, Corp. Web site at http://www.medicarenhic.com/Part A (Billing Support > Billing Guides).</p> <p>Connolly is tasked with auditing <u>Region C</u>, which consists of the states of: AL, AR, CO, FL, GA, LA, MS, NC, NM, OK, SC, TN, TX, VA, WV and the territories of Puerto Rico and U.S. Virgin Islands which makes up 39% of the United States. Region C is the largest of the four RAC regions</p> <p>Submitting medical records to Connolly is easy! Just follow these simple steps: <u>Direct Electronic Connection with HealthPort</u> Connolly has partnered with HealthPort to create a secure point to point connection that will accept electronic transmissions of medical records from HealthPort responding to RAC complex reviews. For more details on the Connolly/HealthPort connection, please contact HealthPort at</p> <p>1-800-737-2585 or visit their website www.healthport.com/esend</p> <p><u>CD or DVD Records:</u></p> <ol style="list-style-type: none"> 1. Scan a copy of Connolly's medical record request letter. 2. Save the request along with all requested copies of medical records as a PDF or TIFF file (B&W only please) on a CD or DVD. Each medical record should be one file; please do not save individual pages as files. 3. Please also include an Excel file on the CD/DVD with the following information: 	

- *Patient Information:* Name (first and last); DOB (date of birth); Account/Control number; HIC number (Health Insurance Claim number/patient ID on the Medicare card); Medical record number
- *Dates of Service:* The date the patient's service began and ended
- *Provider Information:* Name (full name), Provider Number and NPI (National Provider Identifier)
- *Other Important Numbers:* Requested claim number; Medical record number
- The number of pages or size of file of the image *and* the total number of medical records recorded on the CD/DVD.

1. The file name must match the Claim Number.
2. Send the CD or DVD to:

Attn: CD/DVD Submission
 Connolly Healthcare
 1 Crescent Drive Ste 300A
 Philadelphia, PA 19112-1015

Please Note the Following:

- **Encryption:** We strongly recommend all images be encrypted with WinZip and password protected, with the password sent separately to: RACINFO@connolly.com. This email should include: Provider ID, Sent date (MM-DD-YY), and number of images. If PGP data encryption is used, public and private keys must be established prior to shipment.
- **Sending:** When sending CDs or DVDs, please put them in a tamper-proof package and name them according to this convention: <Provider ID>_<date sent in MM-DD-YYYY format>_<number of images> and please track them through the carrier you choose (FedEx, UPS, DHL, USPS registered).
- **Acknowledgement of Receipt:** Once Connolly receives the CD or DVD, it will be processed and an acknowledgement fax and/or email sent to you (the contact you have pre-designated in the Request for Contact information form. Connolly will provide the CD/DVD name, the date the disk was received, the date the disk was processed and its status (either accepted or rejected). Reasons for rejection include: CD/DVD's with any encryption aside from WinZip or PGP, file count mismatch, page count mismatch, missing metadata file.

Diversified Collection Services, Inc. of Livermore , California , in Region A, initially working in Maine , New Hampshire , Vermont , Massachusetts , Rhode Island and New York .

DCS <http://www.dcsrac.com/documentation.html>

Provider Medical Record Submission Requirements

Record Requirements

- Please note that the additional documentation and medical records **are due 45 days** from the date of the additional documentation request letter. An extra 10 days will allowed for shipping time to insure that the providers have the full 45 days to assemble the medical records.
- Please be sure documentation submitted is legible
- Please submit required documentation and any additional documentation that supports the procedures/codes billed for all dates of services related to the claim.

Medical Record (MR) Submission Requirements (Paper/CDs or DVDs)

Paper Medical Records

- Include the original or copy of the additional documentation request letter (ADR) from the RAC.
- If possible, highlight claims on the letter identifying the medical record attached.

CDs or DVDs Medical Records:

- Scanned image resolution must be clear and legible. 300 dpi and in black and white is preferred, though images with less resolution will be accepted as long as the quality is sufficient for the medical review staff.
- Image format must be in either TIFF or PDF format though TIFF is preferred.
- One image per medical record, i.e., multiple-page image file. For example, a two hundred page medical record will be one file.
- The image file name must be "provider NPI-Claim number". For example if the claim number **123456** is requested and the provider NPI was **654321**, the filename would be **654321-123456.pdf** or **654321-123456.tiff**

<https://racb.cgi.com/default.aspx>

CGI Technologies and Solutions, Inc. of Fairfax, Virginia, in Region B, initially working in Michigan , Indiana and Minnesota

Medical Record Submission Instructions

Medicare's CGI RAC Region B

Records are accepted in **paper format** and on **CD** or **DVD**.

DUE DATE: 45 days from the date on the medical record request letter

Paper Records

Paper medical records must meet the following requirements:

Free of staples and paperclips.

Pages should be top faced, and face up.

Photocopy must be of good quality and legible.

Include a copy of the CGI RAC B Additional Documentation Request Letter (medical record request letter).

Records must be copied on only one side.

Imaged Records

CGI RAC Region B encourages providers to submit medical records in imaged format via CD or DVD. Imaged medical records must meet the following requirements:

Scanned image resolution must be 200 dpi and in black and white.

Image must be in the TIFF, with Group 4 compression, or in PDF format. CGI would prefer the TIFF format. For the use of any other formats, please contact the CGI RAC Region B Call Center at 1-877-316-RACB (7222) prior to sending the files.

For PDF format, DO NOT password protect the individual PDF files. Instead, zip all PDFs into a WinZip file and encrypt it, or use PGP encryption.

Multipage documents must be in one image. For example, a 50 page medical record will be one image file.

Scanned image must be legible.

The image file naming convention must be as follows: <Patient Name>_<Admit Date/Date of Service>. For example, if the Patient Name is John Smith and the date of service is October 1, 2008, then the file will be named

JohnSmith_10012008.tif.

Include a copy of only the first page CGI RAC B Additional Documentation Request Letter (medical record request letter); you can include the first page on the CD/DVD, but please do not encrypt it; all Medical Records must be encrypted.

Medical Record Submission

Label the CD or DVD according to the following naming convention: <Provider Facility Name>_<medical record request letter date in YYYYMMDD format>. Example: MercyHospital_20091212.

Please send all medical records, both paper and CD or DVD, in tamper proof packaging, such as security mailers, tamper evident mailers, or security labels.

Encryption

For security purposes, all images sent should be encrypted either in a WinZip file that is password protected, or by using PGP encryption.

For encrypted WinZip files: Use your Additional Documentation Request Letter ID (medical record request letter) as the password. For Providers that use a version of WinZip that requires 8 characters to encrypt, please place zeros BEFORE the Letter ID; i.e. 00075231.

For encrypted PGP files: Contact CGI RAC Region B prior to shipment to obtain the Public Encryption key. This can be accomplished by calling our CGI RAC Region B Call Center at 1-877-316-RACB (7222).

Send medical records as follows:

Medical records for Indiana, Illinois, Kentucky, Michigan and Ohio:

CGI Federal Inc.

Attn: RACB

1001 Lakeside Ave., Suite 800

Cleveland, OH 44114

Medical records for Minnesota, Wisconsin, DME and Home Health:

Attn: Medicare Recovery Audit Subcontractor - Region B

PO BOX 742888

Atlanta, GA 31139-9998

Medical Records Submission

- Label the CD or DVD according to the following naming convention for easy communication, tracking, and reconciling purposes: <Provider NPI>_<sent date in **MM-DD-YYYY** format>_<number of images>
- For security purposes it is recommended that all images sent should be encrypted or password protected.
 - A password will be provided in the medical records request letter
 - If medical images are encrypted using PGP, public and private keys to decrypt image files must be established prior to shipment

- We strongly suggest sending all medical records to DCS via trackable carriers (FedEx, UPS, DHL, registered USPS mail, etc.)
- Please send CD/DVD images **in a tamper-proof package.**
- Send all medical records to:

DCS Healthcare Services
2815 Southwest Blvd
San Angelo, TX 76904

HCI <https://racinfo.healthdatainsights.com/Public1/ProviderInfo.aspx>

HealthDataInsights, Inc. of Las Vegas, Nevada, in Region D, initially working in Montana , Wyoming , North Dakota , South Dakota , Utah and Arizona .

How to submit records to HDI via CD/DVD:

Please adhere to the following instructions when submitting a record via CD/DVD:

Format:

Attach a copy of the pull list in front of the imaged record with the corresponding patient name circled

Scanned image resolution must be between 200-300 dpi and in black and white

Scanned image must be legible

File must be in a PDF or TIFF with Group 4 compression format (PDF preferred)

Each image file naming convention must include the reference number listed on the HDI pull list. If another document for the same reference number has been shipped before, an extension code is required to provide uniqueness between files.

Example: First time sending: 000ABC.pdf or 000ABC_1.pdf Second time sending: 000ABC_2.pdf

- The following metadata (excel file or tab delimited text file) must be included with the image submission:

- Requested Reference Number (located on HDI pull list)
- Requested Claim Number (located on HDI pull list)
- Begin Date of Service
- End Date of Service
- Patient name (first and last name)
- Patient DOB
- Patient HIC Number
- Patient Account/Control Number
- Medical record number
- Provider Name (full name)
- Provider Number
- Provider NPI
- Number of pages or the file size of the image submitted
- Total number of medical records on the CD/DVD

There should be one entry per image in the metadata file.

Submission:

Multiple charts can be sent on one CD/DVD but each chart request (reference #) must be a separate PDF/TIFF file.

CD/DVD should be labeled as <Provider Facility name>_<Medical record request letter date: MMDDYYYY>_<Number of images on CD/DVD>

Example: Hospital_01012010_4

If CD/DVD contains records from multiple medical record request letters, please use the range of dates from the medical record request letters in the CD/DVD naming convention.

Example: Hospital_01012010-02012010_4

CD/DVDs do not require encryption but it is recommended for security purposes. If encryption/password protection is desired, the following common WinZip options are accepted:

Zip 2.0 compatible encryption

256-Bit AES encryption

PGP Encryption

If a password is required to open a zipped CD/DVD please submit that password to HDI, prior to shipment, via one of the methods below. Please provide a record identification reference (reference number/claim number/audit number) for identification.

- FAX password to 702-240-5595 •

E-mail password to racinfo@emailhdi.com •

Call (866) 590-5598 and provide password to a Provider Service Representative NOTE – Do not leave the password on the HDI voice mail If PGP encryption is used, public and private keys to decrypt images must be established with HDI prior to shipment.

All medical documentation mailed to HDI via paper or CD/DVD should be sent in tamper-evident packaging such as security mailers or tamper sticker labels.

Physical Return Method

- Physical requirements
 - Include the original or copy of the additional documentation request letter (ADR) from the RAC
 - Highlight claims on the letter identifying the medical record attached
 - No staples
 - No paperclips
 - Top faced
 - Single sided
 - Double sided
- Mailing Requirements
 - Tamper proof package
 - Carrier
 - Tracking number
 - Naming format
 - Address format

Electronic Return Method

- Image requirements
 - Resolution
 - File size
 - Images per medical record
 - Naming format (eg. Filename must match claim number, "Provider NPI-Claim number.tiff", <Patient Name>_<Admit Date/Date of Service>.pdf)
 - B&W
 - Color
 - File format
 - PDF
 - TIFF
 - Compression
- Media Requirements
 - CD
 - DVD
 - Labeling requirements (eg <Provider NPI>_<sent date in MM-DD-YYYY format>_<number of images>)
- Required metadata
 - Physical Return Method
 - Elements
 - Format (eg Excel, tab delimited)
- Encryption requirements
 - WinZip
 - Password protected
 - Password sent separately to email@example.com
 - Additional email requirements (eg Provider ID, Sent Date, number of images, reference number/claim number /audit number)
 - Password submitted via phone call
 - Phone number
 - Time
 - PGP key requirements

Standards, Profiles, and Implementation Guides

Name and Description	Download /Link
IHE Technical Framework Volume 1: Integration Profiles: Defines specific implementations of established standards to achieve integration goals that promote appropriate sharing of medical information to support optimal patient care.	Download .pdf
IHE Technical Framework Volume 2: The second part of the IT Infrastructure Technical Framework provides detailed technical descriptions of IHE transaction used in the IT Infrastructure Integration Profiles.	Download .pdf
IHE Technical Framework Volume 3: The third of the IT Infrastructure Technical Framework provides detailed technical descriptions of IHE transaction used in the IT Infrastructure Integration Profiles.	Download .pdf

<p>XDR/XDM Meta Data:</p> <p>Detailed overview of XDS metadata</p>	Go to Link
<p>Statewide Send and Receive Patient Record Exchange Technical Specification:</p> <p>Includes documentation about HPD Plus</p>	Download .docx
<p>RFC 4519:</p> <p>LDAP Schema for User Applications</p>	Go to Link
<p>esMD Implementation Guide:</p> <p>Defines how esMD program data may be submitted by healthcare providers to review contractors under contract with the CMS. The esMD Implementation Guide also describes how the status of these submissions will be conveyed to providers (e.g., transmission receipt, detailed validation status with errors or success, and delivery confirmation messages).</p>	Download .pdf

Author of Record Level 1 Workgroups: Standards

Name and Description	Download/Link
NIST Electronic Authentication Guideline Recommendations	Download .pdf
NIST Recommendations for Key Management - Part 1: General	Download .pdf
IHE IT Infrastructure Technical Framework: Volume 1: Integration Profiles	Download .pdf
IHE IT Infrastructure Technical Framework: Volume 2a: Transactions Part A - Sections 3.1 - 3.28	Download .pdf
IHE IT Infrastructure Technical Framework: Volume 2b: Transactions Part B - Sections 3.29 - 3.51	Download .pdf
IHT IT Infrastructure Technical Framework: Volume 3: Cross-Transaction Specifications and Content Specifications	Download .pdf
E-Authentication Guidance for Federal Agencies	Download .pdf
Security Requirements for Cryptographic Modules	Download .pdf
Digital Signature Standard	Download .pdf
Standards for Security Categorization of Federal Information and Information Systems	Download .pdf
Internet X.509 PKI Certificate Policy and Certification Practices Framework	Go to Link
Internet X.509 PKI Certificate Profile	Go to Link
Secure/Multipurpose Internet Mail Extensions (S/MIME) Version 3.1 Certificate Handling	Go to Link
Secure/Multipurpose Internet Mail Extensions (S/MIME) Version 3.1 Message Specifications	Go to Link
Evidence Record Syntax	Go to Link
Server-Based Certificate Validation Protocol (SCVP)	Go to Link
Using the Server-Based Certificate Validation Protocol to Convey Long-Term Evidence Records	Go to Link
Internet X.509 PKI Certificate and CRL Profile	Go to Link
Data Structure for the Security Suitability of Cryptographic Algorithms	Go to Link
Online Certificate Status Protocol Algorithm Agility	Go to Link
XML Evidence Record Syntax	Go to Link
An IANA Registry for Level of Assurance (LoA) Profiles	Go to Link
Internet X.509 PKI - HTTP Transfer or Certificate Management Protocol	Go to Link
Assertions and Protocols for the OASIS Security Assertion Markup Language	Download .pdf Go to Link for Additional Information
Digital Signature Service Core Protocols, Elements, and Bindings	Go to Link
Digital Signature Service Standards	Go to Link
XML Signature Syntax and Processing, W3C Recommendations	Go to Link

Medicare and Medicaid Programs: Changes Affecting Hospital and Critical Access & Hospital Conditions of Participation: Telemedicine Credentialing and Privileging	Download .pdf
International Grid Trust Federation OID Proxy Delegation Tracing	Download .pdf

Author of Record Level 1 Workgroups: Industry Implementations

Name and Description	Download
Interoperable Digital Identity Management in the Electronic Exchange of Health Information	Download .pdf
Orders for Schedule I and II Controlled Substances (DEA)	Go to Link
Requirements for Electronic Orders and Prescriptions (DEA)	Go to Link
DEA Controlled Substance Ordering System (CSOS) Certificate Policy	Download .pdf
DEA Diversion Control, Controlled Substance Ordering System (CSOS) PKI Certificate and Certificate Revocation List Profile	Download .pdf
Employment Eligibility Verification	Download .pdf
International Telecommunication Union Security Standards Roadmap	Go to Full Link Go to Specific Section of Note
HIPAA Business Associate Agreement (BAA) Example	Go to Link
NIST Data Format for the Interchange of Fingerprint, Facial & Other Biometric Information	Download .pdf
The Direct Project - Best Practices for HISPs	Go to Link
Laboratory Requirements	Go to Link

esMD Pilots Reference Material

Name and Description	Download
esMD Pilots Launch Presentation	Download .pptx
esMD Pilot Project Profile	Download .docx
eClinical Template for PMD Pilot Description	Download .docx
Provider Profiles Authentication/Provider Registration Pilot Description	Download .docx
Digital Signatures Pilot Description	Download .docx
Pilot Organizations, PoCs, and Organization Types	Download .xlsx

Author of Record Level 1 Workgroups: White Papers/Industry Reports

Name and Description	Download
INCIT Study Report: Report on Biometrics in E-Authentication, InterNational Committee for Information Technology Standards	Download .pdf
OECD Digital Identity Management: Enabling Innovation and Trust in the Internet Economy.	Download .pdf Go to Link of .pdf Summary

Author of Record Level 1 Workgroups: Federal Requirements

Name and Description	Download
CMS Risk Management Handbook Volume III, Standard 3.1: CMS Authentication Standards	Go to Link

