

CMS Manual System	Department of Health & Human Services (DHHS)
Pub 100-20 One-Time Notification	Centers for Medicare & Medicaid Services (CMS)
Transmittal 11337	Date: April 7, 2022
	Change Request 12670

SUBJECT: Electronic Transmission of Medicare Administrative Contractor Provider Enrollment Recommendations of Approval

I. SUMMARY OF CHANGES: The purpose of this change request (CR) is to instruct contractors on the forthcoming implementation of a new process for sending provider enrollment recommendations of approval to, as applicable, state agencies, accrediting organizations, and/or SOG Locations.

EFFECTIVE DATE: April 15, 2022

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

IMPLEMENTATION DATE: April 15, 2022

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	N/A

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:

One Time Notification

Attachment - One-Time Notification

Pub. 100-20	Transmittal: 11337	Date: April 7, 2022	Change Request: 12670
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I. GENERAL INFORMATION

A. Background: Pursuant to longstanding practice (and with certain exceptions), Medicare Administrative Contractors (hereafter, "contractors") must forward recommendations of approval of certified provider/supplier Form CMS-855 enrollment applications to, as applicable, the appropriate state agency, accrediting organization, and/or CMS Survey & Operations Group (SOG) Location for further review. Due to certain logistical limitations, these applications must typically be forwarded via mail and hard-copy, rather than electronically. To reduce the administrative and financial burdens this mode of paper transmission entails, CMS is establishing a new electronic communications process for conveying these documents to the aforementioned parties and for the latter to accept them. This process will involve the Box system and become effective on June 1, 2022. As of that date, and except as otherwise stated by CMS, all contractor recommendations for approval and other documents that are typically sent to the above-referenced bodies via hard copy (e.g., copies of contractor letters sent to the provider) will be transmitted and accepted via this mechanism.

CMS is currently working to provide additional information to the contractors, state agencies, accreditation organizations, and SOG Locations regarding the operational aspects of this process (hereafter the "Box Approval Recommendation System (BARS)", which is part of CMS' Box system). In the interim, this Change Request (CR) instructs contractors as to various activities they shall perform in preparation for the system's implementation; this will include, for example, participation in testing and training. To the extent necessary, a separate CR will update Chapter 10 of CMS Pub. 100-08 (Program Integrity Manual) with guidance regarding the contractors' use of BARS. Guidance to state agencies, accrediting organizations, and the SOG Locations will be disseminated via other communications.

B. Policy: This CR does not contain any legislative or regulatory policies.

II. BUSINESS REQUIREMENTS TABLE

"Shall" denotes a mandatory requirement, and "should" denotes an optional requirement.

Number	Requirement	Responsibility								
		A/B MAC			DM E MA C	Shared-System Maintainers				Othe r
		A	B	HH H		FIS S	MC S	VM S	CW F	
12670.1	The contractor shall observe that CMS: (1) Will establish a separate folder in BARS for each contractor; and (2) Has created separate sub-folders in BARS by contractor for each state in the contractor's	X	X	X						

Number	Requirement	Responsibility								
		A/B MAC			DM E MA C	Shared-System Maintainers				Othe r
		A	B	HH H		FIS S	MC S	VM S	CW F	
	jurisdiction. .									
12670.1.1	No later than April 21, 2022, the contractor shall complete the activities described in Business Requirements (BR) 12670.1.1.1 through 12670.1.1.4.	X	X	X						
12670.1.1.1	The contractor shall: (1) Notify CMS (pursuant to BR 12670.6) that it has a BOX Account; or (2) Establish a Free Box Account via www.box.com.	X	X	X						
12670.1.1.2	The contractor shall review Attachment 1 of this CR (“MAC & SA Workbook”), which lists the state agencies with which each contractor will test and partner.	X	X	X						
12670.1.1.3	The contractor shall add subfolders in BARS for each state agency to which the contractor will send, has sent, or may send approval recommendations and other official written documents.	X	X	X						
12670.1.1.4	The contractor shall ensure that the contractor staff members whom it wishes to have access to the subfolders described in this CR have such access.	X	X	X						
12670.2	No later than April 22, 2022, the contractor shall update in BARS the information shown in Attachment 1 of this CR.	X	X	X						
12670.2.1	The contractor shall observe that the update referenced in BR 12670.2 shall identify the contractor's staff members who will participate in the testing of the BARS process with their respective state agencies, accreditation organizations, and SOG Locations.	X	X	X						
12670.2.1.1	The contractor, as necessary, shall work and collaborate with the other	X	X	X						

Number	Requirement	Responsibility								
		A/B MAC			DM E MA C	Shared-System Maintainers				Othe r
		A	B	HH H		FIS S	MC S	VM S	CW F	
	contractors assigned to those state agencies in the testing process.									
12670.3	No later than April 22, 2022, the contactor shall contact (via any means) the state agencies referenced in BRs 12670.1 and 12670.1.1.3 to secure the names and e-mail addresses of the state agency officials (both staff and information technology) who will participate in the BARS testing process.	X	X	X						
12670.3.1	No later than April 29, 2022, the contractor shall update the "MAC and SA Workbook" data in BARS with the names of the individuals whom the state identified (via any means, including telephone) as testing participants per BR 12670.3.	X	X	X						
12670.3.2	When executing BR 12670.3, the contractor should: (1) Contact the state official(s) to whom it typically sends approval recommendations and related correspondence; and (2). Utilize the list of state agency contacts at https://www.cms.gov/files/document/state-survey-agency-directory-april-2021.pdf .	X	X	X						
12670.4	The contractor shall begin participating in BARS testing with each of the state agencies referenced in BRs 12670.1 and 12670.1.1.3 at agreed-upon dates and times and pending additional information from CMS.	X	X	X						
12670.4.1	The contractor shall observe that each testing session: (1) Shall involve the electronic transmission via BARS of documents (e.g., Form CMS-855 applications) that would ordinarily be mailed as part of an approval recommendation; and (2) May last for any period agreed to	X	X	X						

Number	Requirement	Responsibility								
		A/B MAC			DM E MA C	Shared-System Maintainers				Othe r
		A	B	HH H		FIS S	MC S	VM S	CW F	
	between the contractor and the state.									
12670.4.2	No later than 2 business days after the completion of each testing session, the contractor shall report via BARS the results of the testing, including any difficulties encountered.	X	X	X						
12670.4.2 .1	The contractor shall observe that it may have multiple states participate in a single testing session and need not have separate sessions with each state.	X	X	X						
12670.5	The contractor shall participate in additional testing sessions (if and when directed by CMS) with accrediting organizations and the SOG Locations, though the contractor shall observe that CMS may determine that these sessions are unnecessary.	X	X	X						
12670.5.1	The contractor shall observe that any testing preparations and sessions with the accrediting organizations (AO) and SOG Locations shall follow the general principles of BRs 12670.3 through 12670.5, including: (1) Securing the names of AO and SOG Location personnel training participants; (2) Adding the participants' names in BARS; (3) Arranging agreed-upon dates and times; (4) Conducting testing; (5) Submitting post-session reports; and (6) The discretion to have multiple AOs and SOG Locations participate in a single session (e.g., three AOs and 2 SOG Locations in one combined session).	X	X	X						
12670.6	The contractor shall contact Eileen Turner at eileen.turner@cms.hhs.gov with any questions related to this CR.	X	X	X						

Number	Requirement	Responsibility								
		A/B MAC			DME MAC	Shared-System Maintainers				Other
		A	B	HH H		FIS S	MC S	VM S	CW F	
12670.6.1	The contractor shall include the following in the subject line of any e-mail it sends pursuant to BR 12670.6: "MAC-BOX Question or Comment".	X	X	X						
12670.7	The contractor shall participate in any BARS-related conference calls or training sessions that CMS requests.	X	X	X						
12670.8	The contractor shall observe that CMS has sent to the state agencies the letter identified as Attachment 2 of this CR.	X	X	X						

III. PROVIDER EDUCATION TABLE

Number	Requirement	Responsibility				
		A/B MAC			DME MAC	CEDI
		A	B	HHH		
	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:

Section B: All other recommendations and supporting information: N/A

V. CONTACTS

Pre-Implementation Contact(s): Frank Whelan, 410-786-1302 or frank.whelan@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: 2

NOTIFICATION TO ASSOCIATION OF HEALTH FACILITY SURVEY AGENCIES (AHFSA)

and each
State Agency

In order to provide the State Survey Agencies (SA) with the documentation to support the recommendations of approvals, the Medicare Administrative Contractors (MACs) have been required to xerox and mail via US (or other mail) the CMS-855 and related attachments directly to the corresponding SA. These documents frequently exceed 100 pages in length and are frequently delayed in delivery to the correct individual within the SA. Since the documentation contains PII and PHI, the MACs have attempted to submit the documentation electronically by secure encryption. However, most often the SA office could not open the documents due to system firewall protections. Faxing was not an acceptable secure alternative. Therefore, the xerox-to-mail process has remained in place for years. Yet that process is expensive, time consuming, and inefficient. Further, receipt of the documentation is often seriously delayed or misrouted within the SA most commonly if the addressee is no longer responsible or available.

In order to improve this process, CMS will begin working with each MAC to implement an electronic documentation exchange process using CMS' BOX with each SA. BOX is a secure cloud content management platform that enables real-time communications and collaboration both between CMS teams and external parties to CMS. It is expected that once implemented, the MACs and the SA will exchange documentation via a 'link'. That link will take the SA directly to the identical documentation that would have previously been sent via US Mail (or other mail service). The projected implementation date is Wednesday, June 1, 2022.

As part of the Certification and Survey Transition process, AHFSHA coordinated with each SA to obtain and provide CMS and the MACs with the resource mailboxes for all SAs and AOs. These resource addresses will be used in testing the new process and upon implementation. In order to ensure the new documentation exchange process is successful within each SA's environment, CMS is asking for your assistance in testing the "BOX -link". In the near future, one or more of the MACs who commonly send approval recommendations to your SA will request your cooperation in testing this new documentation exchange process directly with them. We ask that when requested by the MAC, each SA identify one or more individuals from their SA to participate with the MAC in this testing process. We are also asking that each SA also include or have available an individual from their IT staff that may be able to assist with technical issues such as firewalls that may exist within the SA environment.

Thank you and we look forward to this new process.

Signed:

Karen Tritz, Director, Survey & Operations Group

Zabeen Chong, Director Provider Enrollment Oversight Group