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ACSD STS Audit Instruction Sheet

The HMS DocuLink Portal is a 256-bit encrypted data and document submission site for participants in the STS National Database Audit to provide responses to data and document requests. This portal is distinct from other document submission procedures for STS and should only be used for requests specific to the STS Adult Cardiac Surgery Database audit. A participant-specific Uniform Resource Link (URL) is provided to your site in the electronic document request letter (DRL) and will remain active throughout the audit period.

A. Accessing the document submission portal

1. To access the DocuLink Submission Portal, click on the URL in the Data Request email. You will be directed to the HMS DocuLink Submission Portal.

Note: This link may be forwarded for file upload by someone other than the original recipient.

B. Downloading sample of cases

1. To download the list of sampled cases, from the DocuLink Submission Portal, click on the URL in the Data Request email.

Note that the HMS DocuLink portal uses two-factor authentication to download files and only the primary contact with access to the email listed above may be able to retrieve this list. Email sts@hcmsllc.com if assistance is needed.

2. Once the site loads, click on the "Request Passcode" box. A unique passcode will be emailed to the point of contact email address. (**Figure 1**)

Figure 1: Request Passcode

The screenshot shows the 'File Submission' interface. At the top, there is a 'Download Files' section with instructions: 'Files are available for you to download. To access: 1. Click the Request Passcode button below. 2. Check your registered email address for the passcode. This code is only valid for 30 minutes. 3. Enter the passcode into the box and click Submit.' A red arrow points to the 'Request Passcode' button. Below this is an 'Enter Passcode' input field and a 'Submit' button. The 'Upload Summary' section is optional and contains a text area with an example: '(Example: "23_SEP_Quai_Event_Policy" this file contains Sample Health Plan's policy and procedure for qualifying events that trigger special enrollment periods (SEPs) for on-Exchange plans.)'. The 'Upload Files' section includes a 'Select' button and a large green 'UPLOAD' button with an upward arrow. At the bottom, there are upload limits: 'Limit 10 Files per Upload | 200 MB Total Limit | Total Uploaded Size: 0 MB'. The footer reads '© 2021 BY HEALTHCARE MANAGEMENT SOLUTIONS, LLC. ALL RIGHTS RESERVED.'

- This passcode will expire after its first use within 15 minutes. Subsequent attempts to download this file will require the point of contact identified in this notification to request an additional passcode. (Figure 2)


Figure 2: Enter Passcode

The screenshot shows the 'File Submission' interface. At the top, there's a header 'File Submission' with a menu icon. Below it, the 'Download Files' section contains instructions: 'Files are available for you to download. To access: 1. Click the Request Passcode button below. 2. Check your registered email address for the passcode. This code is only valid for 30 minutes. 3. Enter the passcode into the box and click Submit.' A red arrow points to the 'Enter Passcode' input field next to a 'Submit' button. Below this is the 'Upload Summary' section with an optional text area containing an example: '(Example: "23_SEP_Qual_Event_Policy" this file contains Sample Health Plan's policy and procedure for qualifying events that trigger special enrollment periods (SEPs) for on-Exchange plans.)'. The 'Upload Files' section includes a 'Select' button, a file limit of 10 files per upload, a 200 MB total limit, and a 'Total Uploaded Size: 0 MB' indicator. A large green 'UPLOAD' button is at the bottom right. The footer reads '© 2021 BY HEALTHCARE MANAGEMENT SOLUTIONS, LLC. ALL RIGHTS RESERVED.'

- Once passcode is entered, an Excel file containing the list of 20 cases to be audited AND a template for submitting your sites Operating Room Log data will be displayed under "Download files." You may click on the orange button and download the file(s) to your local drive. (Figure 3) **IMPORTANT: this file contains PHI.**

Figure 3: File Download Screen

The screenshot shows the 'File Submission' interface after the passcode step. The 'Download Files' section now displays a table with the following data:

File Name	Size	
 9999000PHV01.xlsx	12.19 KB	DOWNLOAD ↓

A red arrow points to the 'DOWNLOAD' button. Below the table is the 'Upload Summary' section with the same optional text area as in Figure 2. The 'Upload Files' section remains the same. A large green 'UPLOAD' button is at the bottom right. The footer reads '© 2021 BY HEALTHCARE MANAGEMENT SOLUTIONS, LLC. ALL RIGHTS RESERVED.'

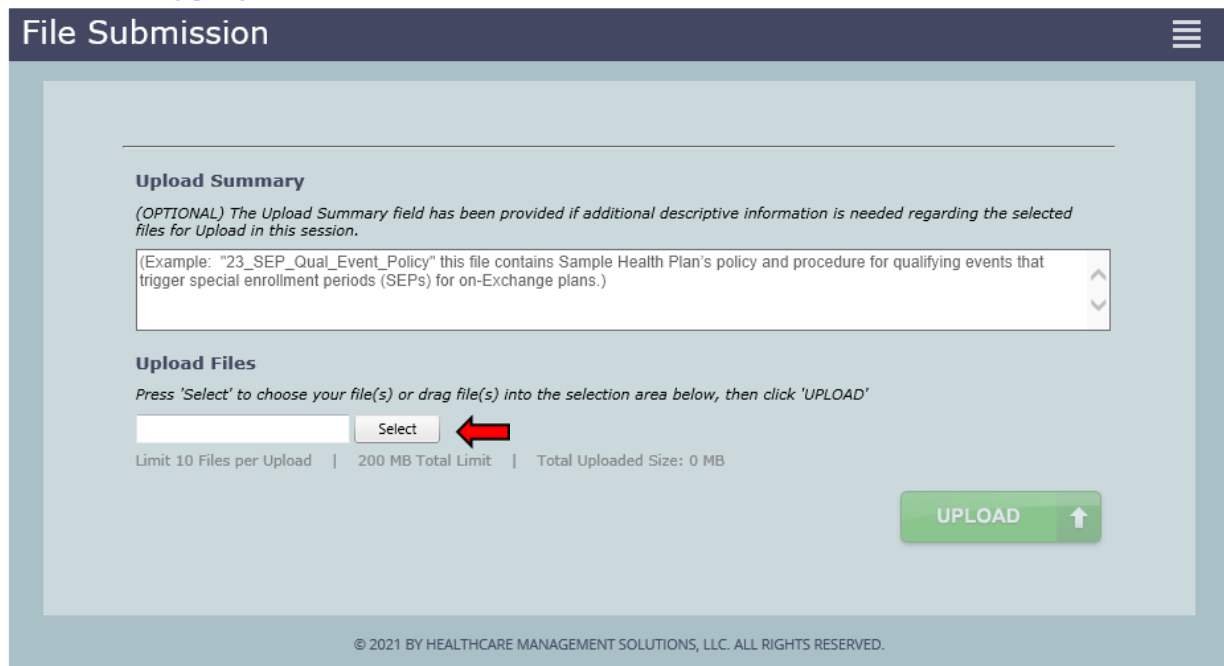
C. Preparing documentation for submission

1. Once the list of selected cases is retrieved, please use the following process to organize the submission.
 - a. Refer to the audited variables in **Appendix A** for administrative and clinical data fields selected for audit.
 - b. Contact your site's medical records and/or IT departments to assist with obtaining the required documents from your vendor software. The documents must be provided in PDF format. To facilitate an accurate audit, HMS requests that PDF documentation is bookmarked to identify each section where each sequence number entry may be found in the supporting documentation. **(These are the titles under the column labeled Data Collection Area in Appendix B)**. Note that this may require the use of PDF editing software such as AdobePro or NitroPro. **(Appendix C)**

D. Uploading the documentation

1. Once the requested data is collected and prepared according to the initial request, the Participant or its designee accesses the portal using the link in the initial request email. The participant begins the file upload process by clicking on the "Select" button in the *Upload Files* section of the portal. **(Figure 4)**

Figure 4: Submission Portal Upload tool



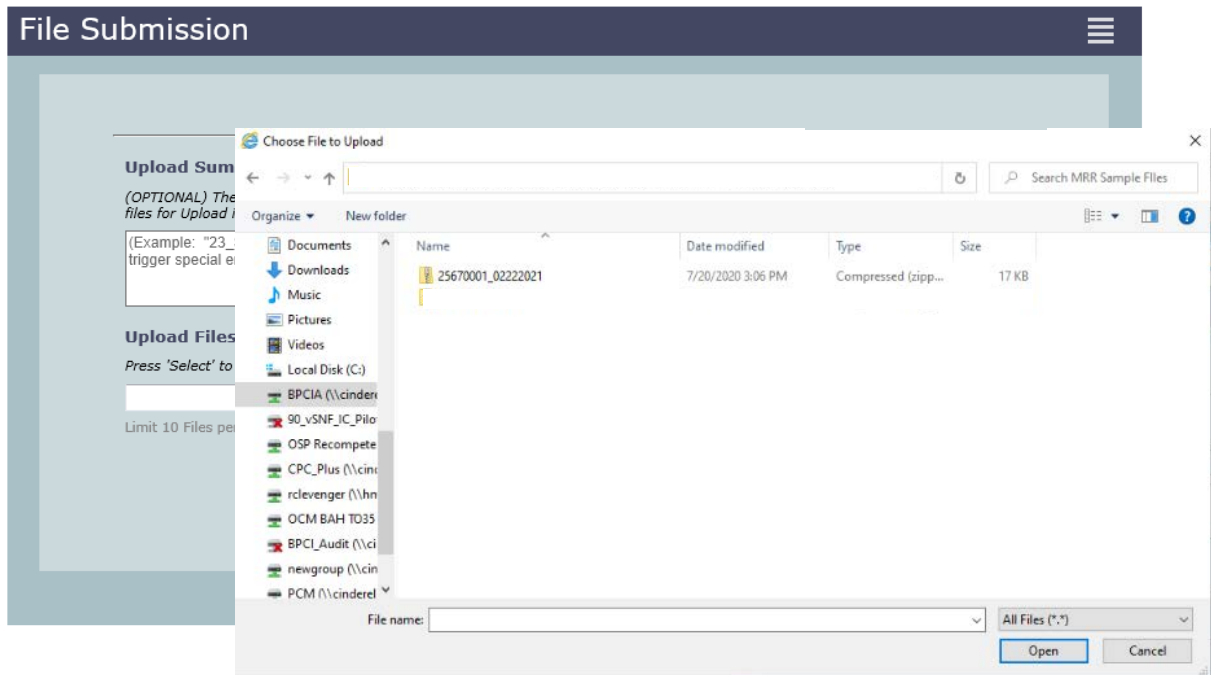
The screenshot shows a web interface titled "File Submission" with a hamburger menu icon in the top right. The main content area is divided into two sections:

- Upload Summary:** Includes a heading, a note that the field is optional, and a text area with a scroll bar. The text area contains an example: "(Example: '23_SEP_Qual_Event_Policy' this file contains Sample Health Plan's policy and procedure for qualifying events that trigger special enrollment periods (SEPs) for on-Exchange plans.)".
- Upload Files:** Includes a heading, instructions to press 'Select' or drag files, and a "Select" button. A red arrow points to the "Select" button. Below the button are upload limits: "Limit 10 Files per Upload | 200 MB Total Limit | Total Uploaded Size: 0 MB". A large green "UPLOAD" button with an upward arrow is positioned to the right.

At the bottom of the interface, there is a copyright notice: "© 2021 BY HEALTHCARE MANAGEMENT SOLUTIONS, LLC. ALL RIGHTS RESERVED."

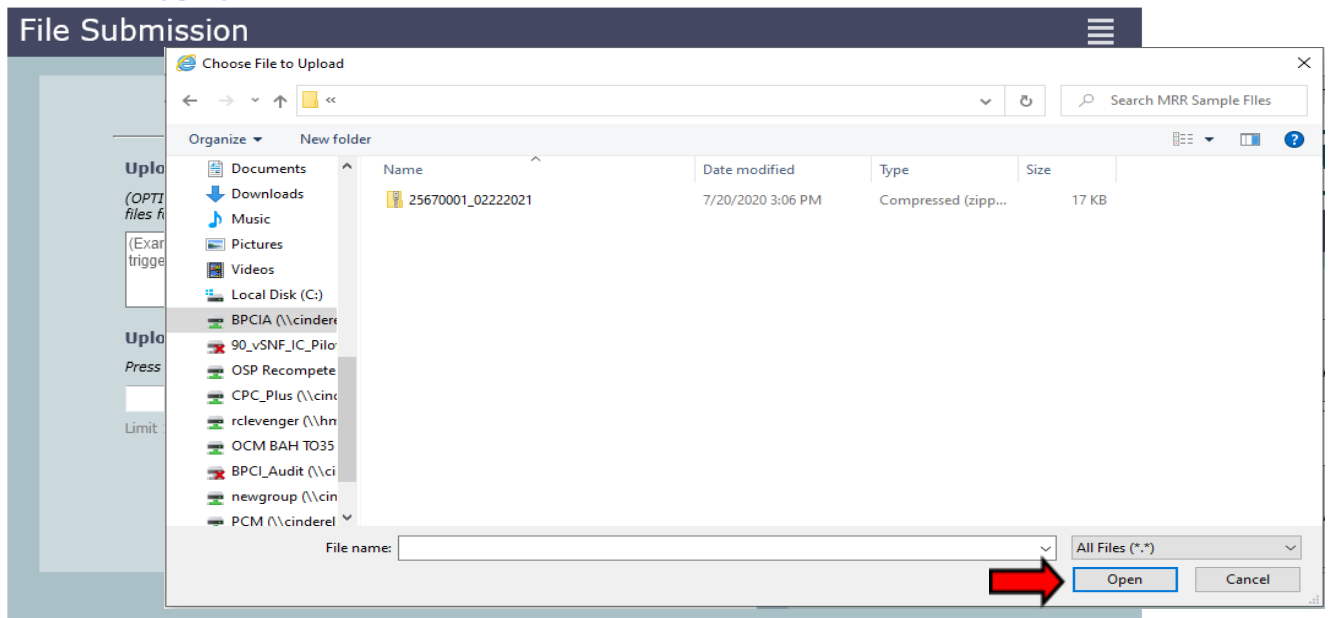
2. A pop-up window appears where the participant locates prepared files saved to their local drive. **(Figure 5)**

Figure 5: Portal with local drive popup



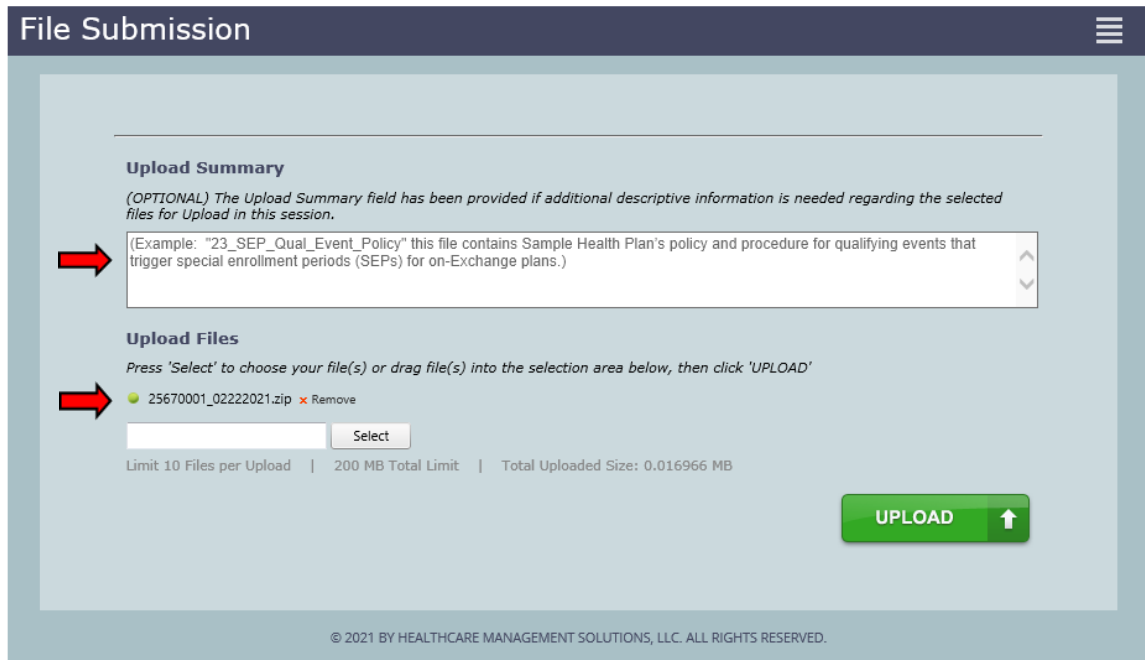
3. Multiple files may be selected by highlighting one file, then holding the Ctrl key while selecting up to nine more files. Once the applicable files are highlighted, click "Open." **(Figure 6)**

Figure 6: Portal with popup containing selected files



- Once files for upload are selected from the Participant's local drive, each file is displayed in the *upload files* area with a green circle next to it. This indicates the selected file(s) are valid and is pending for upload (**Figure 7**). Enter a brief summary or description of the file(s) being uploaded in the *Upload Summary* field.

Figure 7: Submission Portal showing file pending for upload



- Once selected data files are ready for upload, click the green *Upload* button (**Figure 8**) to transfer files to the audit contractor site. A confirmation page appears if upload is successful (**Figure 9**).

Figure 8: Upload screen in portal

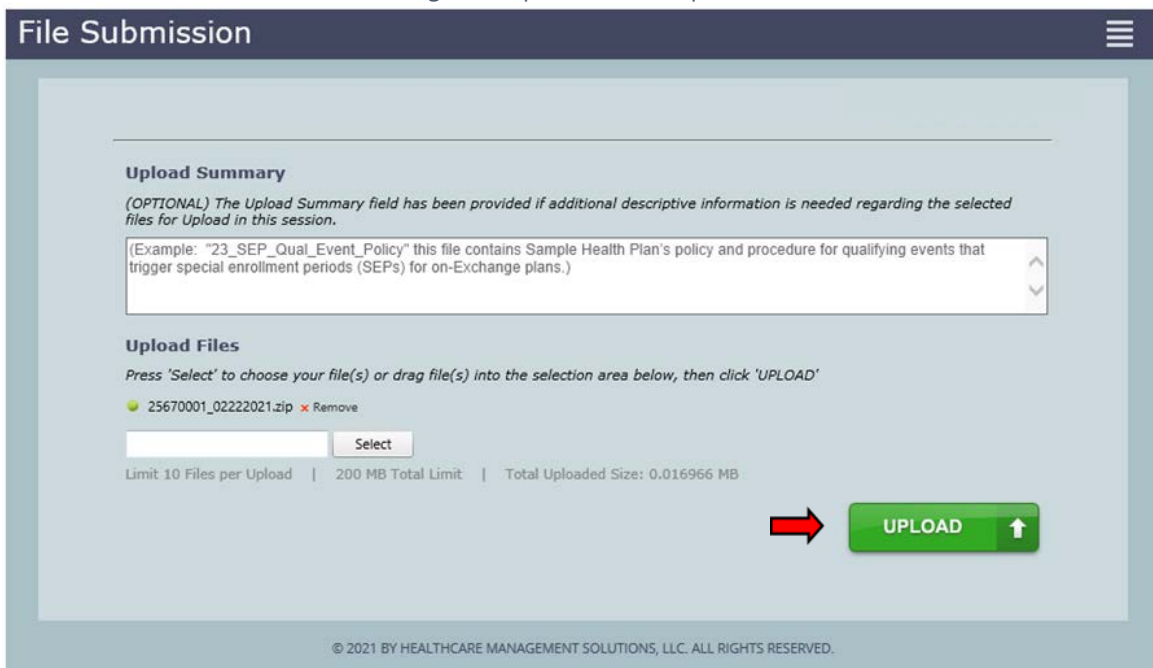


Figure 9: Upload confirmation screen in portal

File Submission

PRINT **UPLOAD...**

Your file(s) were successfully submitted. Your confirmation ticket is below. Please print this information for your record.

To upload additional file(s), please click the "Upload" button above.


Confirmation #: FBUQ2LTEF25TAYD

Upload Summary:

Start Date: 2/22/2021 10:37:52 AM

End Date: 2/22/2021 10:37:52 AM

Files Uploaded: 1

NAME	SIZE	UPLOAD DATE
 25670001_02222021.zip	16.57 KB	2/22/2021 10:37:52 AM

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The Confirmation page provides a list of uploaded files, the date and time of upload, and a confirmation number. Print this page or document the confirmation number as a receipt and evidence of the documents uploaded.

Thank you for your efforts. If you experience any technical difficulties during this process, please reach out to the HMS Review Team at sts@hcmsllc.com.

Appendix A: Adult Cardiac 2022 Audited Variables List

Seq. Number	Short Name	Long Name
Demographics		
65	DOB	Date of Birth
70	Age	Patient Age
75	Gender	Sex
151	Race Multi	Race
185	Ethnicity	Hispanic, Latino or Spanish Ethnicity
Hospitalization		
291	PayorPrim	Primary Payor
298	PayroSecond	Secondary Payor
305	AdmitDt	Admit Date
310	SSurgDt	Date of Surgery
Risk Factors		
330	HeightCm	Height (cm)
335	WeightKg	Weight (kg)
360	Diabetes	Diabetes
365	DiabCtrl	Diabetes-Control
375	Dialysis	Dialysis
380	Hypertn	Hypertension
385	InfEndo	Endocarditis
390	InfEndTy	Endocarditis Type
405	ChrLungD	Chronic Lung Disease
450	HmO2	Home Oxygen
460	SlpApn	Sleep Apnea
465	Pneumonia	Pneumonia
470	IVDrugAb	Illicit Drug Use within One Year
480	Alcohol	Alcohol Use
485	LiverDis	Liver Disease
492	ImmSupp	Immunocompromised Present
495	MediastRad	Mediastinal Radiation
500	Cancer	Cancer Within 5 Years
505	PVD	Peripheral Artery Disease
512	UnrespStat	Unresponsive State
515	Syncope	Syncope
525	CVD	Cerebrovascular Disease
530	CVA	Prior CVA
535	CVAWhen	Prior CVA-When
540	CVDTIA	CVD TIA
550	CVDStenRt	Severity of stenosis on the right carotid artery
555	CVDStenLt	Severity of stenosis on the left carotid artery
560	CVDPCarSurg	History of previous carotid artery surgery and/or stenting

Seq. Number	Short Name	Long Name
565	WBC	WBC Count
575	Hct	Hematocrit
580	Platelets	Platelet Count
585	TotAlbumin	Total Albumin
7230	TempCode	Did the patient have a laboratory confirmed diagnosis of Covid-19?
7225	TempDt	Date of Positive Covid-19 Test (closest to OR date)
Previous Cardiac Interventions		
670	PrCAB	Previous Coronary Artery Bypass (CAB)
675	PrValve	Previous Valve Procedure
775	POCPCI	Previous PCI
780	POCPCIWhen	PCI Performed Within This Episode of Care
800	POCPCIIn	PCI Interval
805	POC	Other Previous Cardiac Interventions
Preoperative Cardiac Status		
885	PrevMI	Prior Myocardial Infarction
890	MIWhen	MI When
895	CardSympTimeOfAdm	Primary Coronary Symptom for Surgery
911	HeartFail	Heart Failure
915	ClassNYH	Classification-NYHA
930	CarShock	Cardiogenic Shock
935	Resusc	Resuscitation
945	Arrhythmia	Cardiac Arrhythmia
955	ArrythSSS	Sick Sinus Syndrome
960	ArrythAFlutter	AFlutter
961	ArrythAtrFib	AFibrillation
965	ArrythSecond	Second Degree Heart Block
970	ArrythThird	Third Degree Heart Block
Preoperative Medications		
1020	MedACRI48	ACE or ARB
1030	MedBeta	Beta Blocker
1060	MedADP5Days	ADP Inhibitor (includes P2Y12)
1065	MedADPIDis	ADP Inhibitors Discontinuation
1073	MedGP	Glycoprotein IIb/IIIa
1130	MedInotr	Inotropic, Intravenous
1143	MedSter	Steroids
Hemodynamics/Cath/Echo		
1170	NumDisV	Number Diseased Vessels
1174	StenLeftMain	Left Main Stenosis (greater than or equal to) 50%
1545	HDEF	Ejection Fraction
1590	VDInsufA	Aortic Valve Regurgitation
1600	VDStenA	Aortic Valve Stenosis

Seq. Number	Short Name	Long Name
1615	VDGradA	Mean Gradient
1617	VDAort	Aortic Valve Disease
1680	VDInsufM	Mitral Regurgitation
1690	VDStenM	Mitral Valve Stenosis
1710	VDMit	Mitral Valve Disease
1711	VDMitDis	Chose Primary Lesion if Mitral Valve Disease, yes
1775	VDInsufT	Tricuspid Regurgitation
1776	VDStenT	Tricuspid Valve Stenosis
1778	VDTr	Tricuspid Valve Disease
Operative		
1966	Risk Discussed	Indicate whether the STS Risk Calculator score was discussed with the patient/family prior to surgery
1975	Status	Status
2290	AbxDisc	Appropriate Antibiotic Discontinuation
Coronary Bypass		
2626	IMAUsed	Internal Mammary Artery (arteries) used
2629	NoIMARsn	Reason for no IMA
Valve Surgery		
3395	VSAVpr	Aortic Valve without concomitant Aorta Procedure Performed
3403	VSAVSurgType	Device Type
3500	VSMVPr	Mitral Valve Procedure Performed
3502	VSMVRepAppSurg	If surgical (select all that apply)
3620	MitrallmplantTy	Implant type
Mechanical Cardiac Assist Devices		
3725	IABP	Intra-Aortic Balloon Pump (IABP)
Other Cardiac Events		
4139	OCarAAMeth	Left Atrial Appendage Obliteration
4191	OCarAFibLesLoc	Lesion location
Post-Operative		
6591	PostopIntub	Re-intubated /or intubated Post Op During Hospital Stay
6595	VentHrsA	Additional Hours Ventilated
6615	ICUReadm	Readmission to ICU
Postoperative Events		
6690	SurSInf	Surgical Site Complications during postoperative period up to 30 days or during initial hospitalization*
6700	DeepSternInf	Deep Sternal
6750	Complics	Other In Hospital Postoperative Event Occurred
6755	COpReBld	ReOp for Bleeding/Tamponade
6765	CPoReVlv	ReOp for Valvular Dysfunction
6771	CReingMI	Unplanned Coronary Artery Intervention
6774	CAortReint	Aortic Reintervention
6778	COpReOth	ReOp for Other Cardiac Reasons
6780	COpReNon	Returned to the OR for Other Non-Cardiac Reasons

Seq. Number	Short Name	Long Name
6810	CNStrokP	Postoperative Stroke
6835	CPVentLng	Prolonged Ventilation
6870	CRenFail	Renal Failure
6945	COtAFib	Atrial Fibrillation
Discharge/Mortality		
7001	Mt30Stat	Status at 30 days After Surgery (either discharged or in-hospital) *
7006	DischDt	Hospital Discharge Date
7007	DischMortStat	Status at Hospital Discharged
7060	DCASA	Aspirin
7070	DCADP	ADP Inhibitor
7105	DCBeta	Beta Blocker
7115	DCLipLowStat	Lipid Lowering - Statin
7121	MtDate	Mortality - Date
7124	MtOpD	Operative Mortality
Readmission		
7140	Readmit	Readmit*
7145	ReadmitDt	Readmit Date
7160	ReadmRsn	Readmit Primary Reason

*Verification of 30-day status is required to be submitted to the audit company. This includes any tracking logs or EHR documentation used to code the 30-day status, readmission, and surgical site infection within 30 days fields: Mt30Stat (seq 7001), Readmit (seq 7140), and SurSInf (seq 6690). Failure to submit all 30-day status verification information will result in a failed audit. STS will inform the site when the re-audit will occur.