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Intermacs STS Audit Instruction Sheet

The HMS DocuLink Submission Portal is an SSL-encrypted site for Participants in the STS National Database Audit to respond to data requests from the HMS Review Team. This portal is distinct from other document submission procedures for STS and should only be used for the specific request. The URL provided in the document request email is unique to the request and to the organization for which the request was made.

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.

Downloading sample of cases

1. To download the sample file from the DocuLink Submission Portal, click on the URL in the Data Request email. **Note: The HMS DocuLink portal uses two-factor authentication to download files and only the primary contact with access to the email listed in the Document Request Letter (DRL) may be able to retrieve this list.** Email sts@hcmsllc.com if assistance is needed.
2. Click on the "Request Passcode" box. A unique passcode will be emailed to the point of contact email address identified at the DRL. **(Figure 1)**

Figure 1: Request Passcode

The screenshot shows the 'File Submission' portal 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. To the right of this button is an 'Enter Passcode' input field and a 'Submit' button. Below this is an '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.)'. At the bottom is an 'Upload Files' section with a 'Select' button and a large green 'UPLOAD' button with an upward arrow. The footer contains the copyright notice: '© 2021 BY HEALTHCARE MANAGEMENT SOLUTIONS, LLC. ALL RIGHTS RESERVED.'

- The passcode email will only go to the original recipient of the notification email. If forwarded, that user will not receive the passcode email.
- 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 the DRL to request an additional passcode.
- Once the passcode is entered, the file may be downloaded to a local drive. (**Figures 2 and 3**)

Figure 2: Enter Passcode

File Submission

Download Files
Files are available for you to download. To access:

- Click the Request Passcode button below.
- Check your registered email address for the passcode. This code is only valid for 30 minutes. Enter the passcode into the box and click Submit.

Upload Summary
(OPTIONAL) The Upload Summary field has been provided if additional descriptive information is needed regarding the selected files for Upload in this session.
(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
Press 'Select' to choose your file(s) or drag file(s) into the selection area below, then click 'UPLOAD'

Limit 10 Files per Upload | 200 MB Total Limit | Total Uploaded Size: 0 MB

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Figure 3: File Download Screen

File Submission

Download Files
Please download and view the following files.

File Name	Size	
99990000PHV01.xlsx	12.19 KB	<input type="button" value="DOWNLOAD"/>

Upload Summary
(OPTIONAL) The Upload Summary field has been provided if additional descriptive information is needed regarding the selected files for Upload in this session.
(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
Press 'Select' to choose your file(s) or drag file(s) into the selection area below, then click 'UPLOAD'

Limit 10 Files per Upload | 200 MB Total Limit | Total Uploaded Size: 0 MB

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- IMPORTANT:** this file contains PHI.

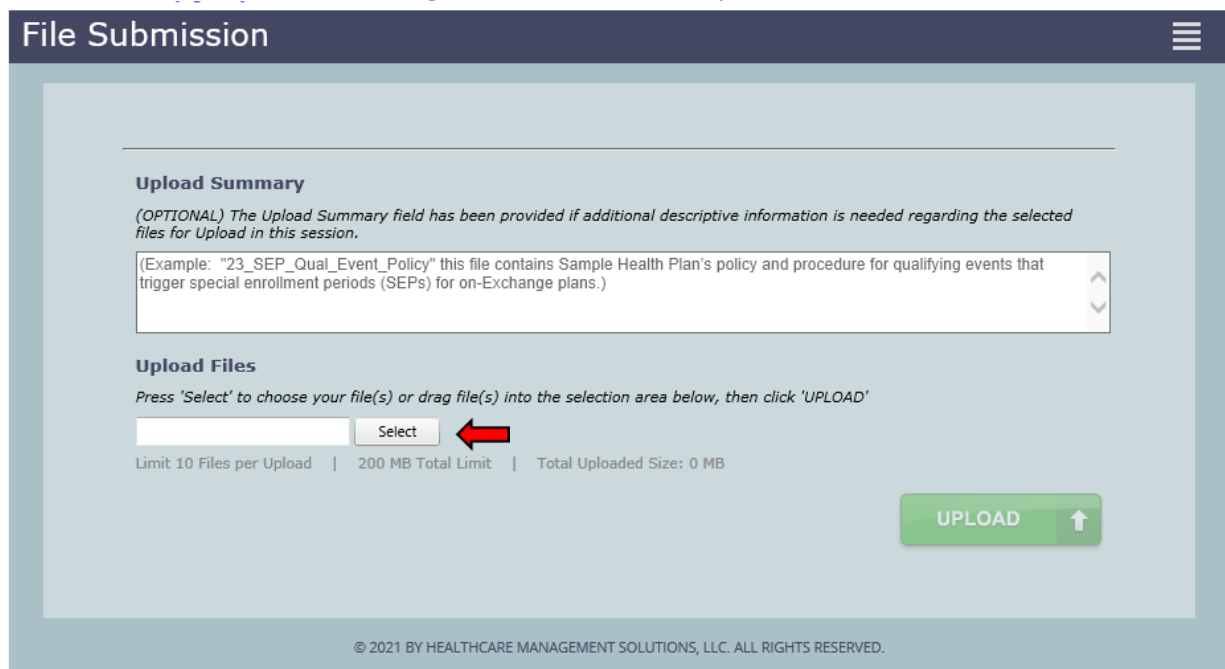
Preparing documentation for submission

1. Once the sample file has been received, please use the following process to organize the submission.
 - a. Selected variables for review are found in **Appendix A**.
 - b. Contact your Medical Records and IT department to assist with obtaining the required documents from your vendor software. To facilitate an accurate audit, HMS requests that PDF documentation is bookmarked to identify each data collection form where the selected variables (e.g., variable names in Appendix A) may be found in the supporting documentation. Note that this may require the use of PDF editing software such as AdobePro or NitroPro.

Uploading the documentation

1. Once the requested data is collected and prepared according to the initial request, the Participant or its designee will access 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" and "Upload Files".

Upload Summary
(OPTIONAL) The Upload Summary field has been provided if additional descriptive information is needed regarding the selected files for Upload in this session.

(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
Press 'Select' to choose your file(s) or drag file(s) into the selection area below, then click 'UPLOAD'

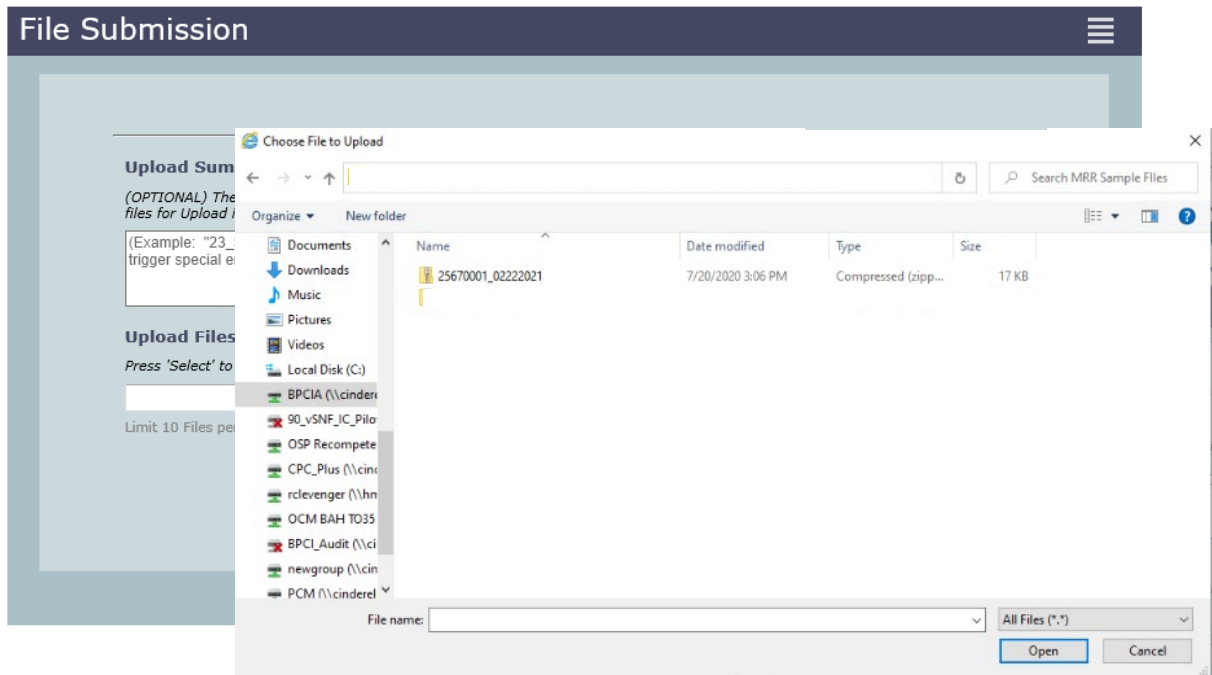
There is a text input field followed by a "Select" button. A red arrow points to the "Select" button. Below the input field, it says "Limit 10 Files per Upload | 200 MB Total Limit | Total Uploaded Size: 0 MB".

At the bottom right, there is a green "UPLOAD" button with an upward arrow icon.

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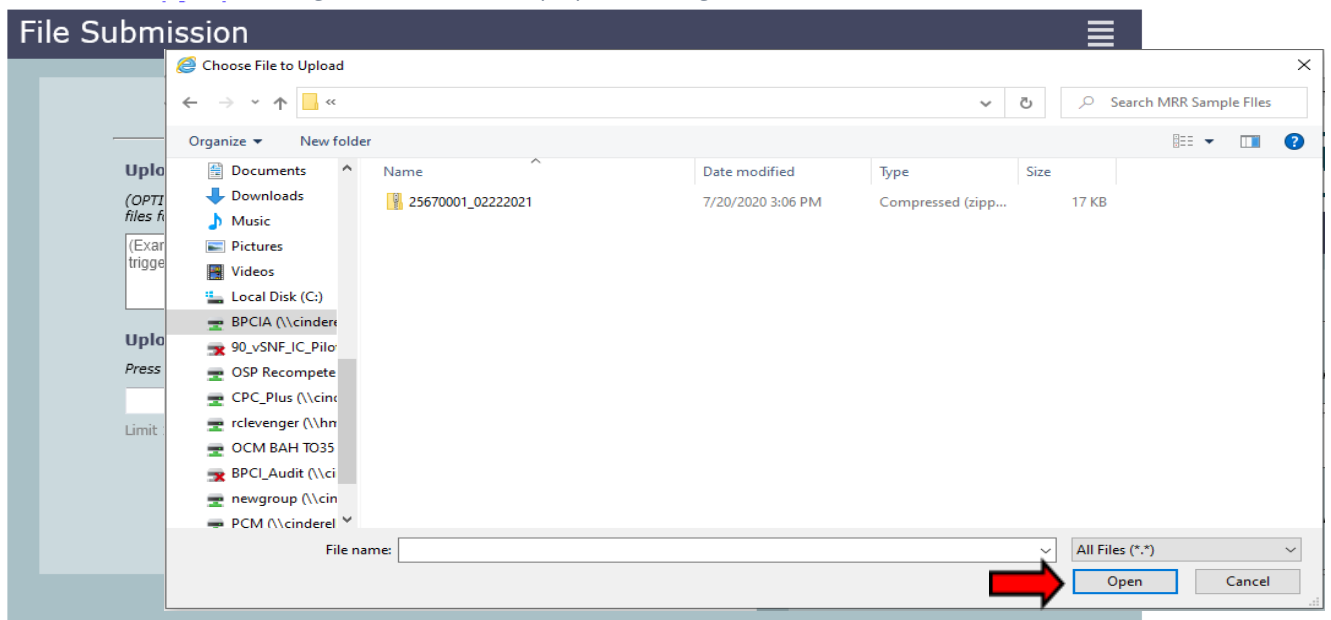
2. A pop-up window appears where the participant locates prepared files saved to their local drive. **(Figure 5)**

Figure 5: Portal with Local Drive Pop-up



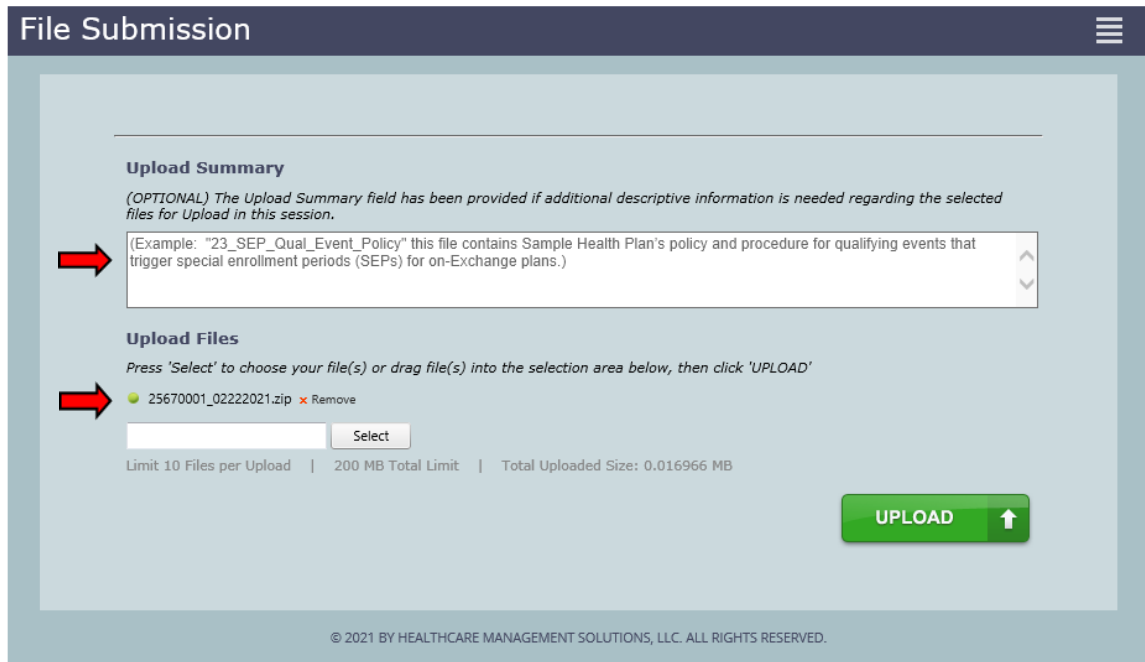
3. Multiple files may be selected by highlighting one file, then holding the Ctrl key while selecting up to nine more files. Once the applicable files are highlighted, click "Open." **(Figure 6)**

Figure 6: Portal with Pop-up 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 are 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

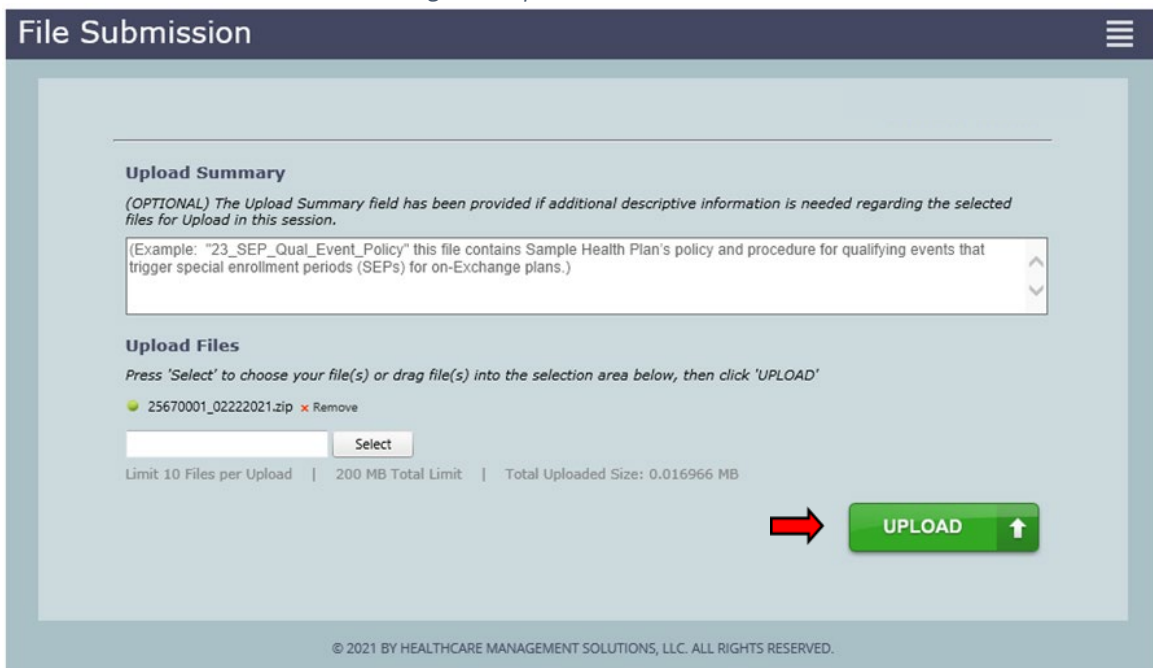


Figure 9: Upload Confirmation Screen in Portal

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 #: FBUQ2L TEF25TAYD

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: 2022 Intermacs Audited Variables List

STS Intermacs Selected Variable	WBDE Version 5.1.1 Form
Date of Birth	Demographics
Pre-implant Total Bili	Pre-Implant Form
Pre-Implant QOL surveys completed?	Pre-Implant Form
Pre-implant Creatinine	Pre-Implant Form
Pre-implant AGT/AST	Pre-Implant Form
NYHA at pre-implant	Pre-Implant Form
6-minute walk	Pre-Implant Form
Primary Cardiac Diagnosis	Pre-Implant Form
Intermacs Patient Profile-Primary Device	Pre-Implant Form
Implant Date-Primary Device	Implant Form
Device Type-Primary Device	Implant Form
Device Brand-Primary Device	Implant Form
Implant Discharge Date completed on Implant Discharge Form (This may also be a transplant date, explant for recovery date or exchange date) but a date must be entered. Primary Device	Implant Discharge Form
QOL Survey at 3-month follow up	3 Month Follow-up
NYHA at 3-month follow-up	3 Month Follow-up
6-minute walk	3 Month Follow-up
Post implant Major Bleeding adverse events reported correctly (maybe episodes) Lower GI Bleeding, closest to 3-month follow up	Adverse Events - Bleeding
Device Malfunction Closest to 3-month follow up	Adverse Events – Device Malfunction
Hemolysis Post Implant Closest to 3-month follow up	Adverse Events - Hemolysis
Major Infection adverse events reported and verified Driveline Infections only, if applicable. Closest to 3-month follow up	Adverse Events – Infection (verify date and location)
Re-hospitalization reason completed closest to 3-month follow up	Adverse Events - Rehospitalization
Re-hospitalization discharge date complete closest to 3-month follow up	Adverse Events - Rehospitalization
Post Implant Respiratory Failure	Adverse Events - Rehospitalization
Hepatic Dysfunction Post Implant closest to 3-month follow up	Adverse Events - Rehospitalization
CVA, TIA reported post implant closest to 3-month follow up	Adverse Events - Rehospitalization
Renal Dysfunction Post Implant closest to 3-month follow up	Adverse Events - Renal Dysfunction
RHF Post Implant closest to 3-month follow up	Adverse Events - Right Heart Failure
Death Form*	If available at 3 months

*Verification of post-procedure status is required to be submitted to the audit company. This includes any tracking logs or documentation used to code the 3-Month Follow-Up Form and Death Form. Sites who fail to submit all (100%) verification information will be required to undergo a follow-up audit within one to two years. STS will inform the site when the re-audit occurs.