



1000 Technology Drive, Suite 1310, Fairmont, WV 26554
Phone: 304.368.0288 • Fax: 304.368.0389 • Toll-Free: 866.275.4671 • Website: www.hcmsllc.com

ACSD 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 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. Click on the "Request Passcode" box. A unique passcode will be emailed to the point of contact email address identified at the top of this notice. **(Figure 1)**

Figure 1: Request Passcode

The screenshot displays 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 for additional information. At the bottom is an 'Upload Files' section with a 'Select' button and an 'UPLOAD' button. The footer contains the copyright notice: '© 2021 BY HEALTHCARE MANAGEMENT SOLUTIONS, LLC. ALL RIGHTS RESERVED.'

3. The passcode email will only go to the original recipient of the notification email, if forwarded that user will not receive the passcode email.
4. 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.
5. Once passcode is entered, the following file may be downloaded to a local drive. (Figure 2&3)

Figure 2: Enter Passcode

File Submission

Download Files
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.

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

© 2021 BY HEALTHCARE MANAGEMENT SOLUTIONS, LLC. ALL RIGHTS RESERVED.

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

© 2021 BY HEALTHCARE MANAGEMENT SOLUTIONS, LLC. ALL RIGHTS RESERVED.

6. **IMPORTANT:** this file contains PHI.

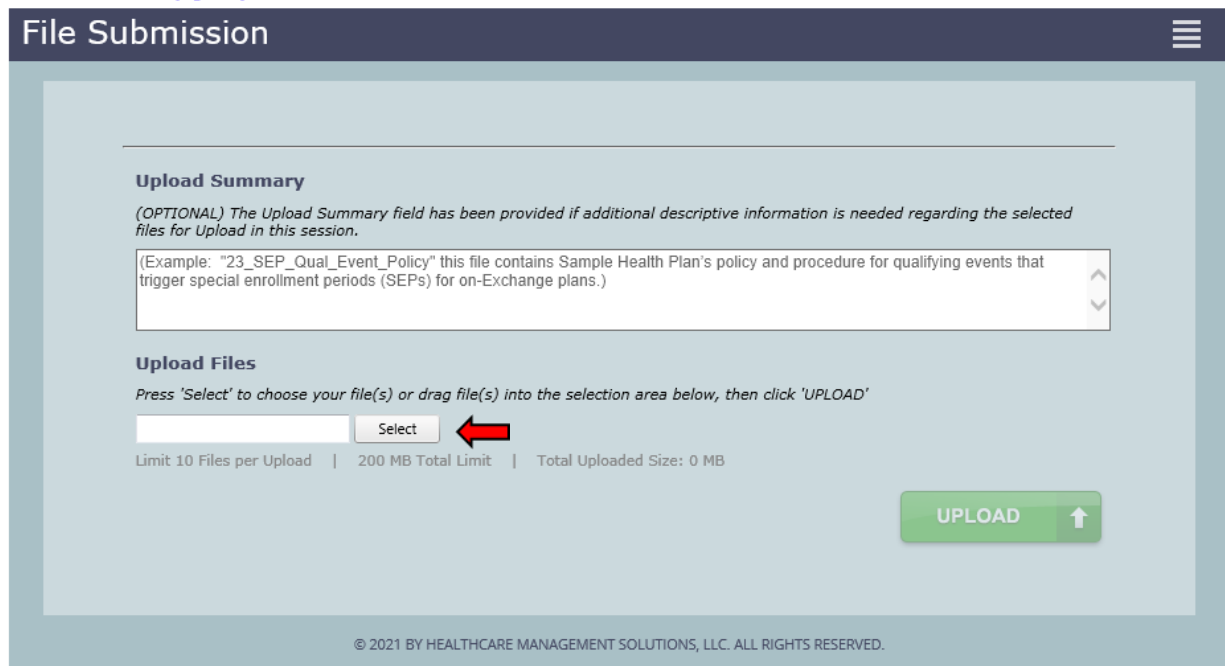
Preparing documentation for submission

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** and suggested areas of a patient's medical record are listed in **Appendix B**.
 - b. Contact your Medical Records and IT department 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)**

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)**

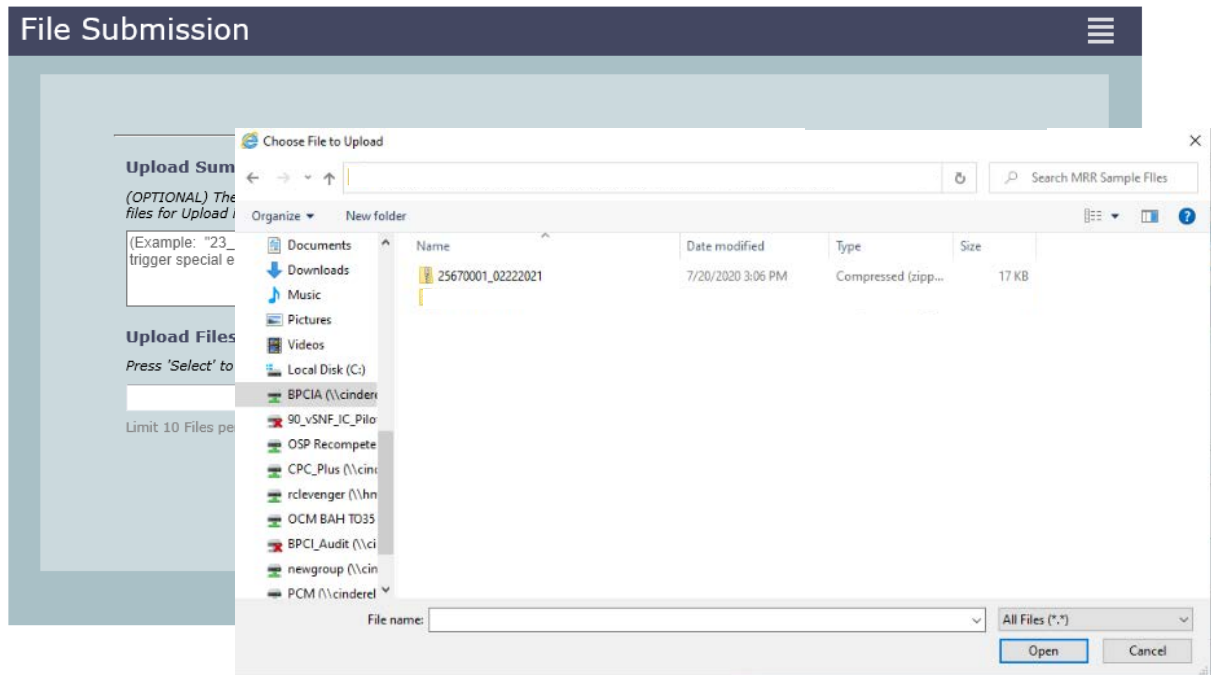
Figure 4: Submission Portal Upload tool



The screenshot shows a web interface titled "File Submission". It features a dark blue header with the title and a hamburger menu icon. Below the header is a light blue content area. The "Upload Summary" section includes a text area with a placeholder 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 contains a "Select" button, which is highlighted with a red arrow. 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 at the bottom right. The footer contains the copyright notice: "© 2021 BY HEALTHCARE MANAGEMENT SOLUTIONS, LLC. ALL RIGHTS RESERVED."

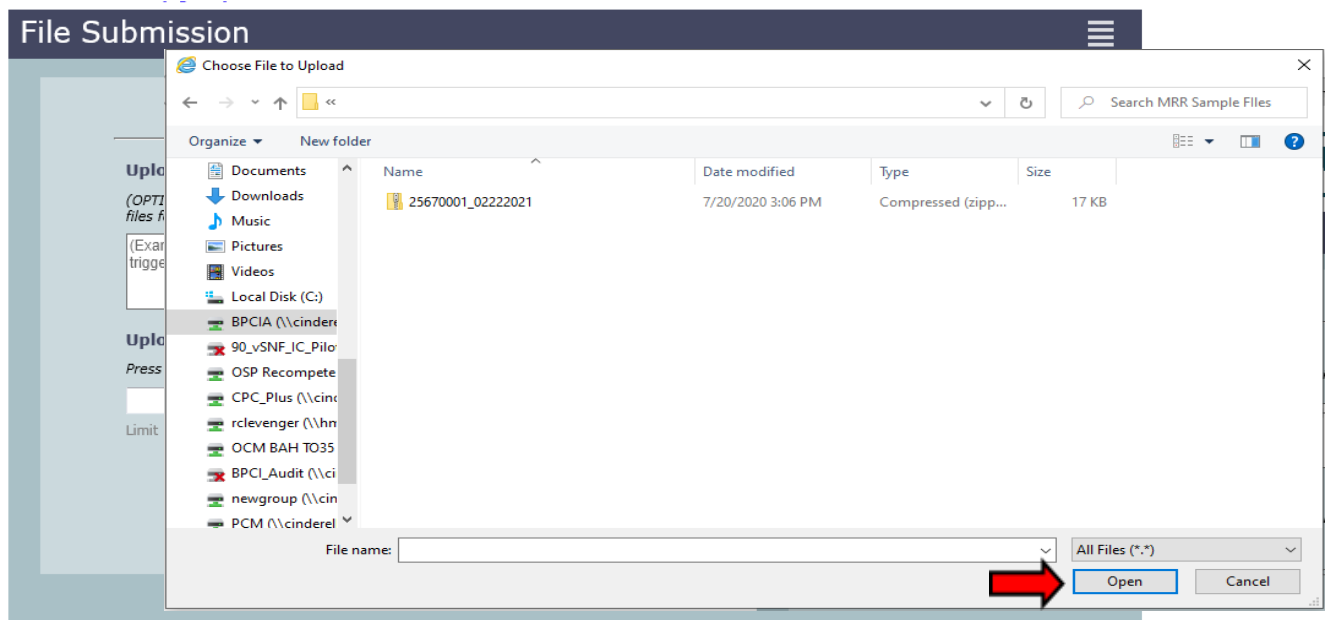
2. A pop-up window appears where the participant locates prepared files saved to their local drive. **(Figure 5)**

Figure 5: Portal with local drive popup



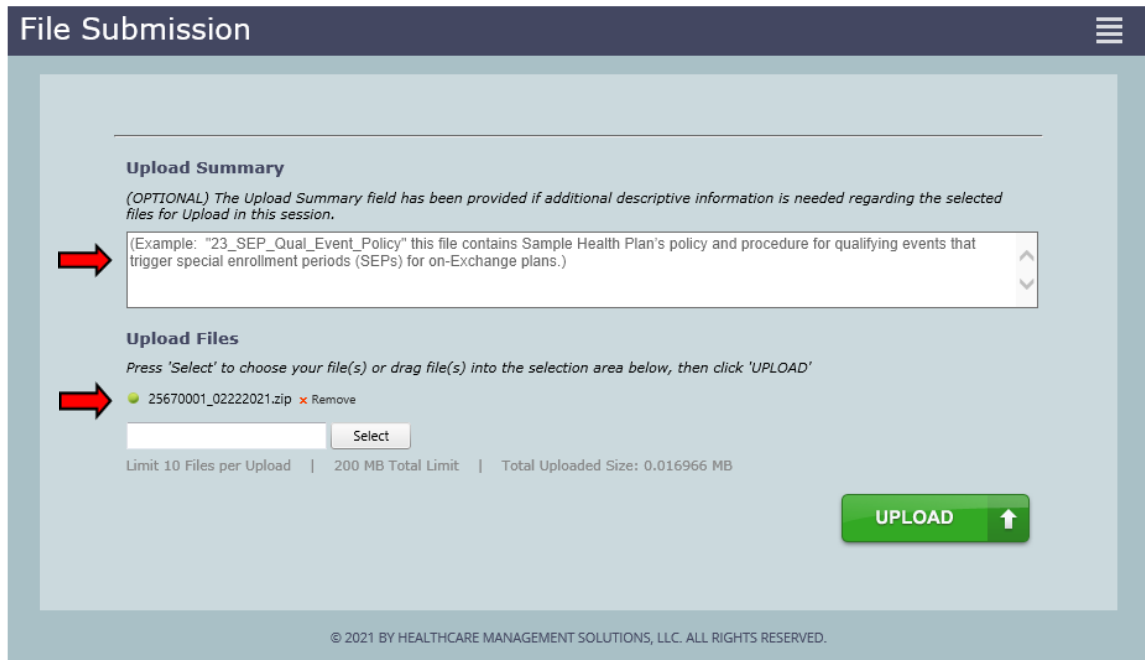
3. Multiple files may be selected by highlighting one file, then holding the Ctrl key while selecting up to nine more files. Once the applicable files are highlighted, click "Open." **(Figure 6)**

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

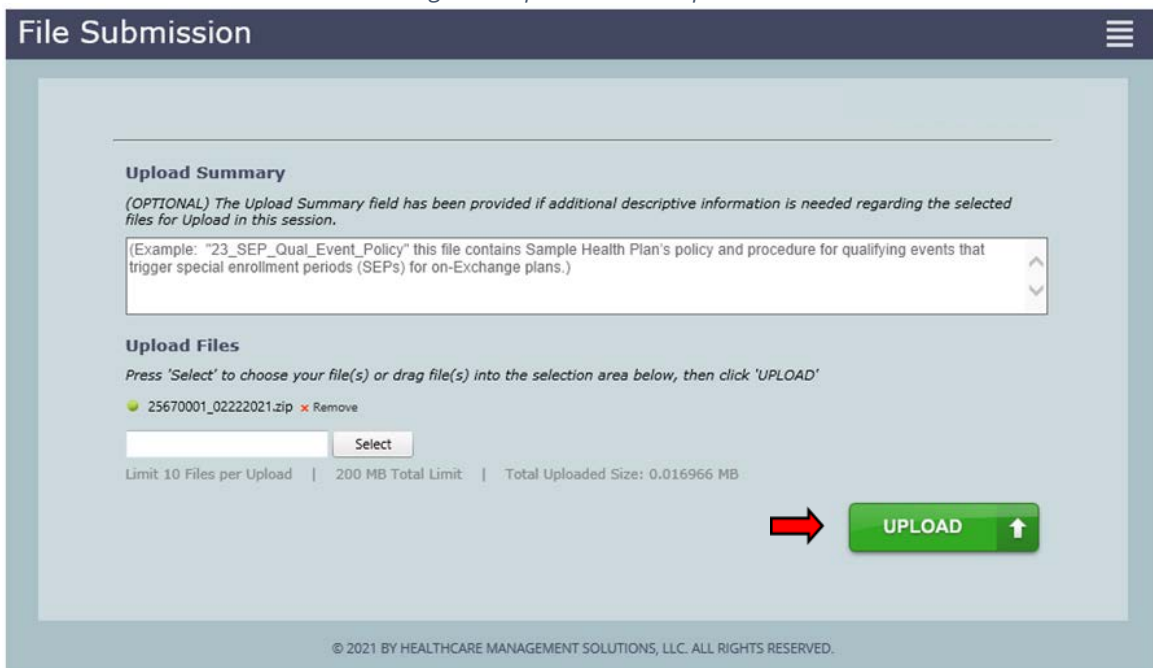


Figure 9: Upload confirmation screen in portal

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 #: 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 |

© 2021 BY HEALTHCARE MANAGEMENT SOLUTIONS, LLC. ALL RIGHTS RESERVED.

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 2021 Audited Variables List

| 2.9 Sequence Number: | Short Name: | Long Name: |
|----------------------|-------------------|--|
| 30 | RecordID | RecordID |
| 40 | PatID | Patient ID |
| 65 | DOB | Date of Birth |
| 70 | Age | Patient Age |
| 75 | Gender | Sex |
| 160 | RaceBlack | Race - Black / African American |
| 165 | RaceAsian | Race - Asian |
| 180 | RaceOther | Race - Other |
| 185 | Ethnicity | Hispanic or Latino or Spanish Ethnicity |
| 291 | PayorPrim | Primary Payor |
| 293 | PayorSecond | Secondary (Supplemental) Payor |
| 305 | AdmitDt | Admit Date |
| 310 | SurgDt | Date of Surgery |
| 330 | HeightCm | Height (cm) |
| 335 | WeightKg | Weight (kg) |
| 360 | Diabetes | RF-Diabetes |
| 365 | DiabCtrl | RF-Diabetes-Control |
| 375 | Dialysis | RF-Renal Fail-Dialysis |
| 380 | Hypertn | RF-Hypertension |
| 385 | InfEndo | RF- Endocarditis |
| 390 | InfEndTy | RF-Infect Endocard Type |
| 405 | ChrLungD | RF-Chronic Lung Disease |
| 450 | HmO2 | RF-Home Oxygen |
| 460 | SlpApn | RF-Sleep Apnea |
| 465 | Pneumonia | RF-Pneumonia |
| 470 | IVDrugAb | RF-Illicit Drug Use within One Year |
| 480 | Alcohol | RF-Alcohol Use |
| 485 | LiverDis | RF-Liver Disease |
| 490 | ImmSupp | Immunocompromised Present |
| 520 | UnrespStat | Unresponsive State |
| 525 | CVD | Cerebrovascular Dis |
| 530 | CVA | Prior CVA |
| 535 | CVAWhen | RF-Prior CVA-When |
| 775 | POCPCI | Previous PCI |
| 780 | POCPCIWhen | Previous PCI-Within This Episode of Care |
| 800 | POCPCIIn | Previous PCI-Interval |
| 805 | POC | Previous Other Cardiac |
| 885 | PrevMI | Prior MI |
| 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 |
| 950 | ArrhythVV | Cardiac Arrhythmia - VTach / Vfibr |
| 955 | ArrhythSSS | Cardiac Arrhythmia - Sick Sinus Syndrome |
| 960 | ArrhythAFlutter | Cardiac Arrhythmia - Aflutter |
| 961 | ArrhythAtrFib | Cardiac Arrhythmia - Atrial Fibrillation |
| 965 | ArrhythSecond | Cardiac Arrhythmia - Second Degree Heart Block |
| 970 | ArrhythThird | Cardiac Arrhythmia - Third Degree Heart Block |
| 1020 | MedACEI48 | Meds-ACE Inhibitors or ARB Within 48 Hours |
| 1030 | MedBeta | Meds-Beta Blockers Within 24 Hours |

| 2.9 Sequence Number: | Short Name: | Long Name: |
|-----------------------------|---------------------|---|
| 1060 | MedADP5Days | Meds-ADP Inhibitors Within Five Days |
| 1065 | MedADPIDis | Meds-ADP Inhibitors Discontinuation |
| 1073 | MedGP | Meds-Glycoprotein IIb/IIIa Inhibitor Within 24 Hours |
| 1130 | MedInotr | Meds-Inotropes Within 48 Hours |
| 1143 | MedSter | Meds-Steroids Within 24 Hours |
| 1170 | NumDisV | Num Dis Vessels |
| 1195 | PctStenLMain | Percent Stenosis - Left Main |
| 1545 | HDEF (+/- 5%) | Hemo Data-EF |
| 1590 | VDInsufA | Aortic Valve Regurgitation Degree |
| 1595 | VDAort | VD-Aortic |
| 1600 | VDStenA | VD-Stenosis-Aortic |
| 1615 | VDGradA | VD-Aortic Gradient-Mean |
| 1680 | VDInsufM | VD-Regurgitation-Mitral |
| 1685 | VDMit | VD-Mitral |
| 1690 | VDStenM | VD-Stenosis-Mitral |
| 1731 | MV Dis Etiology | VD-Mitral Valve Disease primary Etiology |
| 1775 | VDInsufT | VD-Tricuspid Regurgitation |
| 1780 | VDTr | VD-Tricuspid Valve Disease |
| 1785 | VDStenT | VD-Tricuspid Valve Stenosis |
| 1966 | RiskDiscussed | STS Risk Calculator Score Discussed |
| 1975 | Status | Status |
| 2290 | AbxDisc | Appropriate Antibiotic Discontinuation |
| 2626 | IMAUUsed | Internal Mammary Artery Used |
| 2627 | NoIMARsn | Reason for No IMA |
| 3395 | VSAVPr | VS-Aortic Valve Procedure |
| 3408 | VSAVSurgType | VS-Aortic Surgical Valve Replacement Device Type |
| 3460 | AnlREnl | VS-Aortic Proc-Aortic Annular Enlargement |
| 3500 | VSMVPr | VS-Mitral Valve Procedure |
| 3505 | VSMitRAnnulo | VS-Mitral Valve Repair - Annuloplasty |
| 3515 | VSLeafResTyp | VS-Mitral Leaflet Resection Type |
| 3539 | VSNeoPost | VS-Mitral Valve Repair - Posterior Neochords |
| 3566 | VSMitRFold | VS-Mitral Valve Repair - Folding Plasty |
| 3620 | MitralImplantTy | VS-Mitral Implant - Type |
| 3730 | IABPWhen | IABP-When Inserted |
| 4250 | AFibLes1 | AFib Lesion Location - Bilateral Pulmonary Vein Isolation |
| 6555 | PostCreat | Peak Postoperative Creatinine Level prior to discharge |
| 6591 | ReIntub/PostopIntub | Postop Intubation/Reintubation During Hospital Stay |
| 6595 | VentHrsA | Additional Hours Ventilated |
| 6615 | ICUReadm | Readmission to ICU |
| 6690 | SurSInf | Post-Op-Surgical Site Infection |
| 6700 | DeepSternInf | Post-Op-Deep Sternal |
| 6750 | Complics | In Hospital Post-Op Events |
| 6755 | COpReBld | Post-Op-ReOp Bleeding/Tamponade |
| 6765 | COpReVlv | Post-Op-ReOp for Valvular Dysfunction |
| 6771 | COpReGft/CREintMI | Post-Op-Unplanned Coronary Artery Intervention |
| 6774 | CAortReint | Post-Op-Aortic Re-intervention |
| 6778 | COpReOth | Post-Op-ReOp Other Cardiac Reasons |
| 6780 | COpReNon | Post-Op-Return To OR For Other Non-cardiac Reason |
| 6810 | CNStrokP | Post-Op-Neuro-Stroke Perm |
| 6835 | Prolonged Vent | Post-Op-Pulm-Vent Prolonged |
| 6870 | CRenFail | Post-Op-Renal-Renal Failure |
| 6930 | COtAFib | Post-Op-Other-A Fib |

| 2.9 Sequence Number: | Short Name: | Long Name: |
|-----------------------------|-----------------------|--|
| 7001 | <i>Mt30Stat</i> | <i>Mort-Status at 30 Days After Surgery (either discharged or in-hospital)</i> |
| 7005 | <i>DischMortStat</i> | <i>Patient Still in Acute Care Hospital Setting</i> |
| 7008 | <i>DischDt</i> | <i>Hospital Discharge Date</i> |
| 7060 | <i>DCASA</i> | <i>Aspirin - Discharge</i> |
| 7070 | <i>DCADP</i> | <i>ADP Inhibitors - Discharge</i> |
| 7105 | <i>DCBeta</i> | <i>Beta Blockers - Discharge</i> |
| 7115 | <i>DCLipLowStat</i> | <i>Lipid Lowering Statin - Discharge</i> |
| 7121 | <i>MtDate</i> | <i>Mortality-Date</i> |
| 7124 | <i>MtOpD</i> | <i>Mort-Operative Mortality</i> |
| 7140 | <i>Readmit</i> | <i>Readmission</i> |
| 7145 | <i>ReadmitDt</i> | <i>Date of Readmission</i> |
| 7160 | <i>ReadmRsn</i> | <i>Readmit Reason</i> |
| 7225 | <i>TempDt</i> | <i>Temporary Date Field</i> |
| 7230 | <i>TempCode</i> | <i>Temporary Coded Field</i> |
| N/A | <i>Harvest Number</i> | <i>N/A</i> |

Appendix B: Suggested Documentation by Data Collection Area

| Data Collection Area | Requested Documentation |
|--|--|
| Administrative Demographics Hospitalization | Face Sheet, Financial Responsibility, Admission note |
| Risk Factors: | History and Physical Admission Note Problem List Progress Notes Laboratory values Perfusion record Medications EKG Echocardiogram Respiratory Therapy Notes Pulmonary Function Test Nursing Notes Operation or Procedure Reports Vascular Imaging Tests (Ultrasound, CT, MRI) |
| Previous Cardiac Interventions: | History and Physical Problem List Progress Notes Operation or Procedure Reports Anesthesia Record Perfusion Record |
| Preoperative Cardiac Status: | History and Physical Admission Note EKG Labs (Cardiac Biomarkers) Cardiac Imaging (Echocardiogram, CT, MR, Nuclear) |
| Preoperative Medications: | Medication Log Progress notes Pre Op Notes |
| Hemodynamics/Cath/Echo | Progress Note Operative Report Catheterization Report Intravascular Ultrasound CT Scan |
| Operative: | Operative Report/Post Procedure Note (Surgeon) Anesthesia Record Perfusion Record (The perfusionist runs the heart/lung machine) Intra-operative TEE (See the post-procedure note done by the anesthesiologist. They do the intra-op TEE) Blood Administration Records Lab Record Pre-Op H&P (STS Risk Calculator score probably here) |
| Coronary Bypass Valve Surgery | Operative Report Progress Notes Prosthetic Valve Sheet |
| Mechanical Cardiac Assist Devices/Other Cardiac Procedures | Progress Report Catheterization Report Operative Report Procedure Report |

| Data Collection Area | Requested Documentation |
|--|---|
| Post-Operative Postoperative Events | Laboratory Values Respiratory Therapy Notes and Flowsheets Physician Orders Lab Cultures CT Scan MRI |
| Discharge / Mortality | Progress Notes Discharge Summary Discharge Medications |
| Readmission | Admission Note Progress Notes |

Appendix C: PDF Bookmarking

1. To add bookmarks:
 - a. Make sure you are on the page you would like to bookmark.
 - b. Click on the bookmark symbol.



- c. Then name the bookmark and click enter.
2. Example Bookmarks

