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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 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 shows the 'File Submission' portal interface. At the top, there is a header 'File Submission' with a hamburger menu icon. Below the header, there is a section titled 'Download Files' 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 input field labeled 'Enter Passcode' and a 'Submit' button. Below this is an 'Upload Summary' section with an optional text area for additional information. At the bottom, there 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.'

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. 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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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. facilitate an accurate audit, HMS requests that PDF documentation is bookmarked to identify each data collection form where the selected variables (e.g. field short names in Appendix B) may be found in the supporting documentation. (**Appendix C**). Note that this may require the use of PDF editing software such as AdobePro or NitroPro. If possible, please also provide an .xml output file for each case and identify the electronic health record vendor.

Uploading the documentation

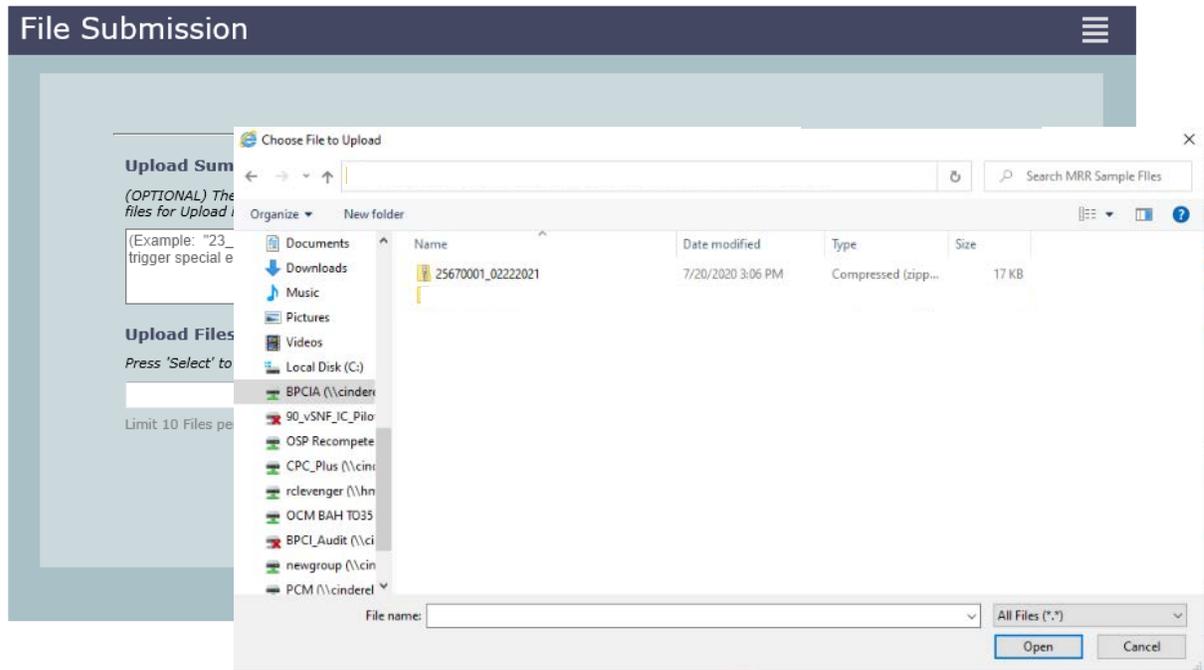
1. Once the requested data is collected and prepared according to the initial request, the Participant or its designee accesses the portal using the link in the initial request email. The participant begins the file upload process by clicking on the "Select" button in the *Upload Files* section of the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

Figure 4: Submission Portal Upload tool

The screenshot shows a web interface titled "File Submission". At the top right, there is a hamburger menu icon. The main content area is divided into two sections. The first section is "Upload Summary", which includes a note: "(OPTIONAL) The Upload Summary field has been provided if additional descriptive information is needed regarding the selected files for Upload in this session." Below this note is a text input field 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 second section is "Upload Files", which includes the instruction: "Press 'Select' to choose your file(s) or drag file(s) into the selection area below, then click 'UPLOAD'". Below this instruction is a file selection area with a "Select" button. A red arrow points to the "Select" button. Below the "Select" button, there are three status indicators: "Limit 10 Files per Upload", "200 MB Total Limit", and "Total Uploaded Size: 0 MB". At the bottom right of the main content area, there is a green "UPLOAD" button with an upward-pointing arrow. At the bottom of the page, there is a copyright notice: "© 2021 BY HEALTHCARE MANAGEMENT SOLUTIONS, LLC. ALL RIGHTS RESERVED."

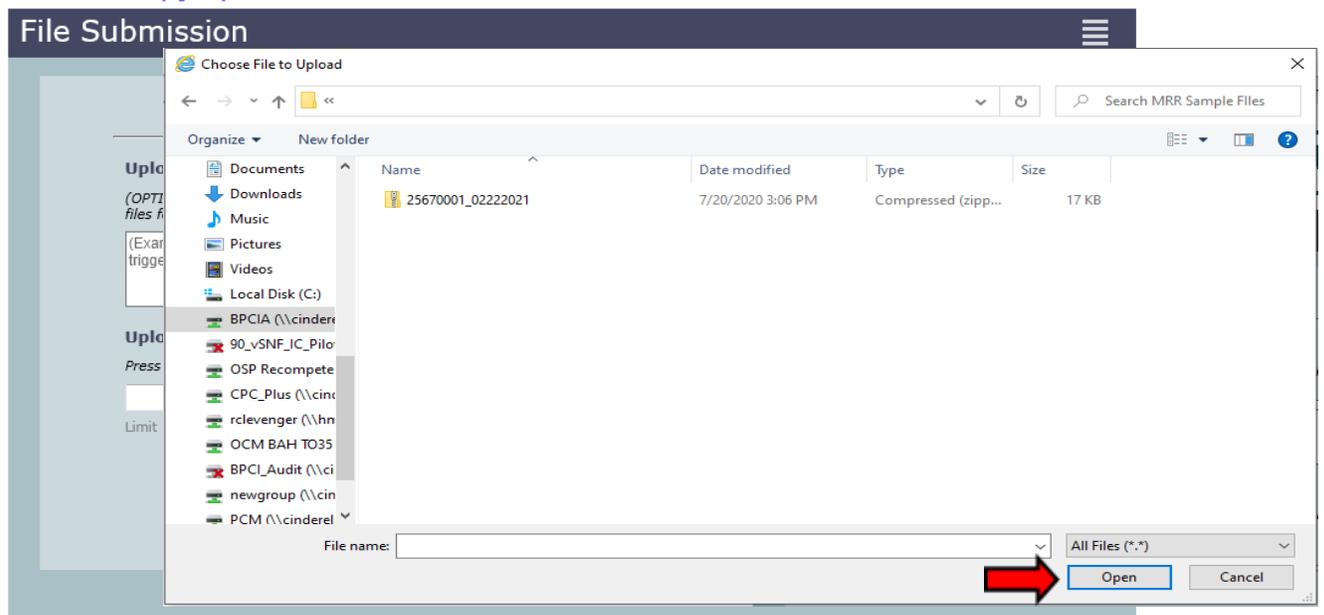
2. A pop-up window appears where the participant locates prepared files saved to their local drive. **(Figure 5)**

Figure 5: Portal with local drive popup



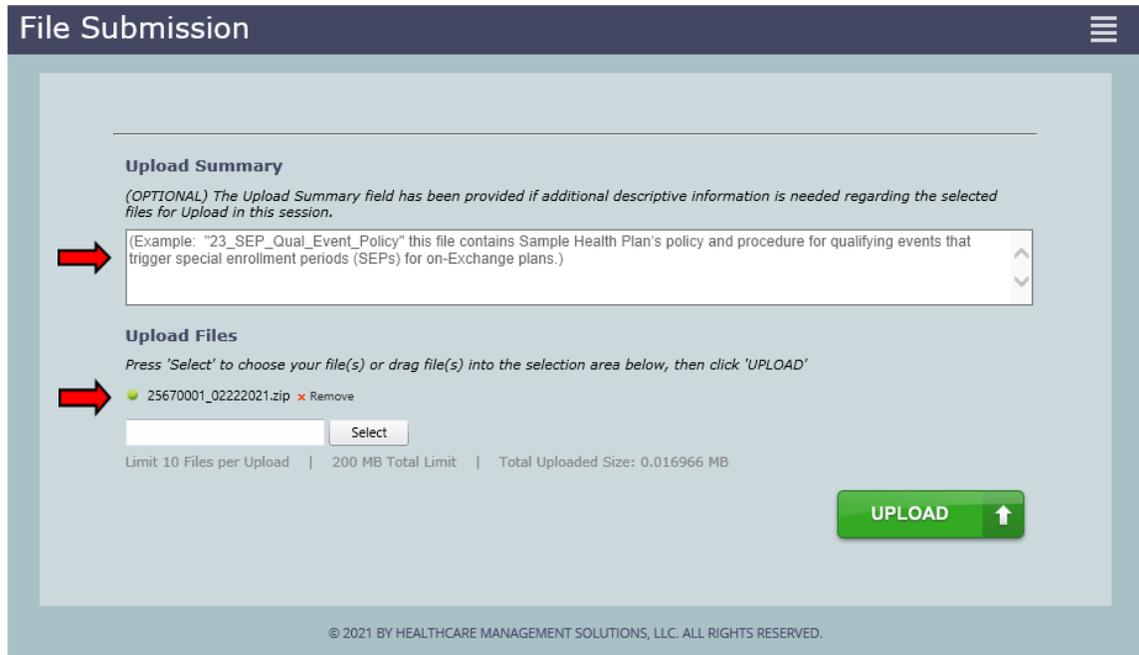
3. Multiple files may be selected by highlighting one file, then holding the Ctrl key while selecting up to nine more files. Once the applicable files are highlighted, click "Open." **(Figure 6)**

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

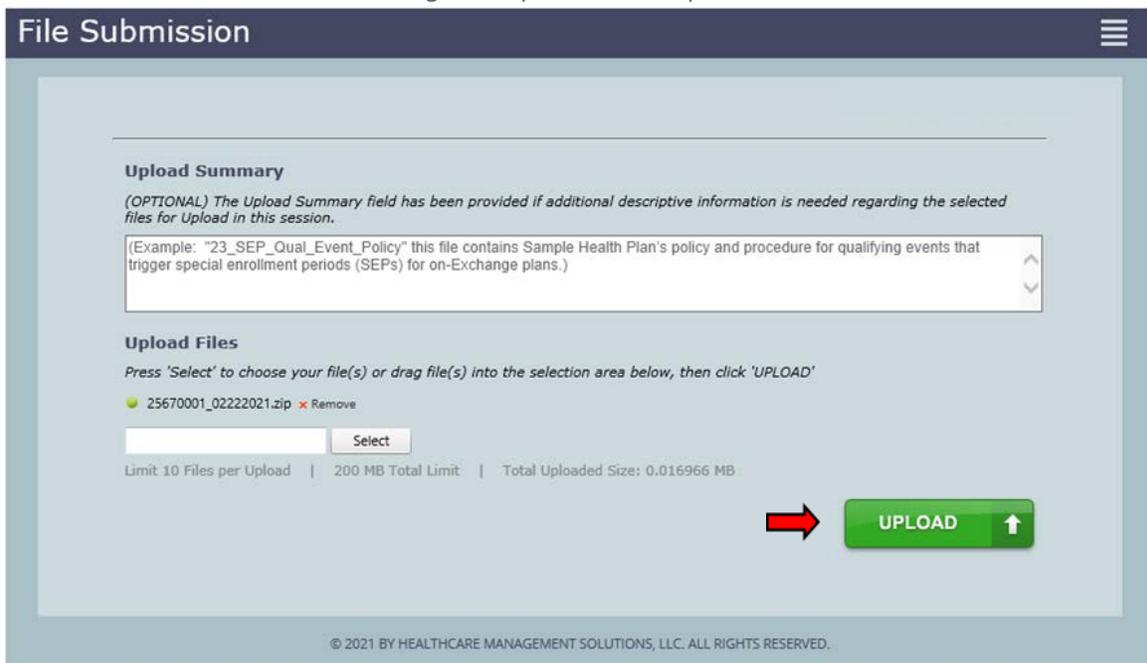


Figure 9: Upload confirmation screen in portal

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 #: 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: 2021 Intermacs Audited Variables List

Short Name:	Long Name:
PATIENT_ID	Patient ID
EVENT_ID	Event ID
CTR_CD_CONTROL	Center Code
DOB	Date of Birth
PRIMARY_DGN	Primary Diagnosis
PX_PROFILE	Patient Profile
CREAT_MG_DL	Creatinine (mg/dL)
CREAT_UMOL_L	Creatinine (umol/L)
SGPT_ALT	Alanine Aminotransferase/ALT (u/L)
SGOT_AST	Aspartate Aminotransferase/AST (u/L)
BILI_TOTAL_MG_DL	Total Bilirubin (mg/dL)
BILI_TOTAL_UMOL_L	Total Bilirubin (umol/L)
PARENT_QUESTION	EuroQol (EQ-5D) Parent Question
KCCQ_PARENT_QUESTION	KCCQ Parent Question
SIX_MIN_WALK	Six Minute Walk
SIX_MIN_WALK_I	Six Minute Walk Incomplete
NYHA	NYHA Class
IMPLANT_DT	Implant Date
DEVICE_TY	Device Type
DEVICE_BRAND	Device Brand
DEVICE_BRAND_OSTXT	Device Brand Other Specify
DEVICE_BRAND_RVAD_BOTH	Device Brand RVAD Both
DEVICE_BRAND_RVAD_BOTH_OSTXT	Device Brand RVAD Both Other Specify
DIS_DISCHARGE_DT	Implant Discharge Date
EXPLANT_DT	Explant Date
DEATH_DT	Death Date
PRIM_ADMIS_RSN	Primary Reason for Rehospitalization
DISCHARGE_DT	Discharge Date
DISCHARGE_DT_I	Discharge Date Incomplete
ADMISSION_DT	Admission Date
ADMISSION_DT_I	Admission Date Unknown
AE_INFECTION	Adverse Event Infection
BLEEDING	Major Bleeding Event
RHF Post Implant	Right Heart Failure Post Implant
AE_INFECTION_ONSET_DT	Onset Infection Date
INFECT_LOC_PUMP_DRIVELINE	Infection Location (Pump/Related - Drive Line)
BLEEDING_DT	Date of Onset Bleeding
BLEEDING_SOURCE_LOW_GASTRO	Bleeding Source (GI: Lower Gastrointestinal (Colon, Rectum, & Anus))
AE_NEURO_ONSET_DT	Date of Onset Neurological Dysfunction
NEURO_CAT	Neuro Category
HEPATIC	Hepatic
RENAL_DYS	Renal Dysfunction
RESP_FAIL	Respiratory Failure
AE_DEVICE	Device Malfunction/Failure and/or a Pump Thrombosis
AE_DEVICE_ONSET_DT	Onset Neurological Dysfunction Date

Short Name:	Long Name:
<i>AE_DEV_THR_EVNT</i>	<i>Did Patient Experience a Thrombus Event (Suspected or Confirmed)</i>
<i>AE_DEV_MALF_EVNT</i>	<i>AE Device Malfunction</i>
<i>SUBSEQUENT_RVAD</i>	<i>Right Heart Failure: Subsequent RVAD Implant</i>
<i>HEMOLYSIS</i>	
<i>SIX_MIN_WALK</i>	<i>Six Minute Walk</i>
<i>SIX_MIN_WALK_I</i>	<i>Six Minute Walk Incomplete</i>
<i>NYHA</i>	<i>NYHA Class</i>
<i>PARENT_QUESTION</i>	<i>EuroQol (EQ-5D) Parent Question</i>
<i>KCCQ_PARENT_QUESTION</i>	<i>KCCQ Parent Question</i>
<i>POST_CESSATION_FORM_STATUS</i>	

Appendix B: Suggested Documentation by Data Collection Area

Data Collection Form	Medical Record Area
Demographics	Face Sheet and financial responsibility information
Device malfunction form	History and Physical including diagnoses
Re-hospitalization form	Hospital records including rehospitalization
Pre-Implant	Laboratory values
Major Bleeding form	Hemodynamic report
Pre-Implant form, Additional Events form	Respiratory Therapy Notes
Pre-Implant, Follow up form	Pulmonary Function Test
Device malfunction, Major Bleeding, Additional Events form	Medications, Nursing Notes including vital sign log
Device malfunction, Major Bleeding, Additional Events form	Physician Orders, Progress Notes
Pre-Implant, Implant form	Operation or Procedure Reports
Implant Form	Implant and Explant records
Major Bleeding form	Blood Administration Records
Neuro AE Form, Additional Events Form	Vascular Imaging, Tests (Ultrasound, CT, EKG, MRI)
Re-hospitalization form	Discharge Summary including medications.
	Any other pertinent information

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
 - a. H&P
 - b. Consults
 - c. Diagnostic Information (labs, radiology, cath lab)
 - d. Procedure(s) (Or, device information, anesthesia)
 - e. Events
 - f. Follow-up
 - g. Misc (anything else that you want to include that provides supporting information for data elements)

