



# Batch Reporting User Guide

Last Updated: March 2014

## Overview

Beginning in the 2014 reporting year, providers participating in the Medicare EHR Incentive Program can submit their attestation with other members of their medical group or hospital system who are also participating in the program. The Attestation Batch Upload option allows multiple eligible professionals or multiple eligible hospitals to submit attestations in a single file through the [CMS Registration and Attestation System](#).

Although this option enables groups to submit their attestations together, payments for the Medicare EHR Incentive Program are provided to individuals, not to medical groups or hospital systems as a whole. Providers participating in the Medicaid EHR Incentive Program should check with their state to determine if batch reporting is available.

Please note: providers will still need to register for the Medicare EHR Incentive Program individually or designate a third party to register on their behalf.

## Allowable measure category combinations

Providers have the option to submit meaningful use core and menu measures, as well as clinical quality measures (CQMs) through batch reporting. Providers must use 2014 certified EHR technology to participate in batch reporting. Below are the possible combinations for submitting batch attestations:

- Meaningful use core measures and meaningful use menu measures
- Meaningful use core measures, meaningful use menu measures, and CQMs
- CQMs only

When uploading CQMs into the Registration and Attestation System, be sure to:

- Mark the meaningful use core and menu measures categories as “completed”
- Make sure you are not Medicare Advantage-Affiliated

# Receive credit for quality reporting

Medicare providers have the option of submitting CQM data electronically to receive credit for quality reporting programs and the Medicare EHR Incentive Program.

Eligible professionals can submit their CQM data through the [Physician Quality Reporting System \(PQRS\)](#), and hospitals through the [Inpatient Quality Reporting \(IQR\) program](#).

## How to submit attestation data

1. Begin by downloading either a CSV file or an XML file and the mapping specifications from the [CMS Attestation Batch webpage](#).


The screenshot shows the CMS.gov website interface. At the top, there is a navigation bar with links for Home, About CMS, Newsroom Center, FAQs, Archive, Share, Help, Email, and Print. Below this is the CMS.gov logo and the text 'Centers for Medicare & Medicaid Services'. A search bar is also present. A horizontal menu contains various categories: Medicare, Medicaid/CHIP, Medicare-Medicaid Coordination, Private Insurance, Innovation Center, Regulations & Guidance, Research, Statistics, Data & Systems, and Outreach & Education. The main content area is titled 'Attestation Batch Upload Page' and includes a breadcrumb trail: Home > Regulations and Guidance > EHR Incentive Programs > Attestation Batch Upload Page. On the left, there is a sidebar menu for 'EHR Incentive Programs' with links such as 'Getting Started', 'Registration & Attestation', 'Medicare and Medicaid EHR Incentive Program Basics', 'Meaningful Use', 'Stage 2', 'Clinical Quality Measures (CQMs)', 'Certified EHR Technology', 'Eligible Hospital Information', 'Medicaid State Information', 'Data and Program Reports', 'Educational Resources', 'Medicare Advantage', 'CMS EHR Incentive Programs Listserv', 'Payment Adjustments & Hardship Exceptions', and 'Frequently Asked Questions (FAQs)'. The main content area contains the following sections:

- Attestation Batch Upload Page**: Starting in 2014, groups will be allowed to submit attestation information for all of their individual Medicare eligible professionals in one file for upload to the Medicare EHR Incentive Program Registration and Attestation System, rather than having each Medicare eligible professional individually enter data. However, providers will still be required to individually register for participation in the EHR Incentive Programs or designate a third party to register on their behalf. For detailed information on batch uploading, please click [here](#).
  - NOW accepting Batch reporting for Eligible Hospitals.
  - Batch reporting for Eligible Professionals will be available April 2014.
- The following Instructions, Templates and Samples apply to both Eligible Professionals and Eligible Hospitals.
- Attestation Batch Upload - Instructions Documents**
  - [General Upload Instructions](#)
  - [CSV Data Mapping Specifications](#)
  - [XML Data Mapping Specifications](#)
  - [Reference Data for Stage 1 and Stage 2 Core, Menu and CQM Measures](#)
- Attestation Batch Upload - XSD-CSV-Templates**
  - [Excel Batch Upload Templates](#)
  - [XSD Request & Response Templates](#)
- Attestation Batch Upload - XML-CSV-Samples**
  - [Sample Excel for EP/Hospital/MA Providers](#)
  - [Sample XML Request & Response for EP/Hospital/MA Providers](#)
- Attestation Batch Upload - Technical Reference Information\***
  - \*Technical interface documents useful for EHR/EMR Vendors
  - [Attestation Batch Upload eReporting Scenarios](#)
  - [Attestation Batch Upload Validations & Errors Reference Sheet](#)

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[Help with File Formats and Plug-Ins](#)

- Use the mapping specifications to fill out the CSV or XML file. Fill out the batch file to include provider type, measure category combinations, and stage number.

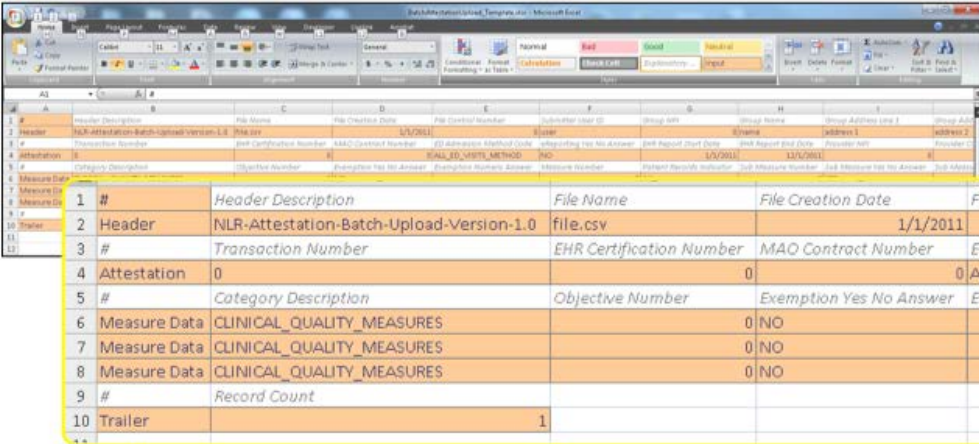
### XML File Format



```

<xsd:element name="BatchAttestationRequest" type="BatchAtt
<xsd:complexType name="BatchAttestationRequestType">
  <xsd:sequence>
    <xsd:element ref="Header" />
    <xsd:element ref="Attestations" />
    <xsd:element ref="Trailer" />
  </xsd:sequence>
</xsd:complexType>
<xsd:complexType name="AttestationsType">
  <xsd:sequence>
    <xsd:element ref="Attestation" maxOccurs="unbounde
  </xsd:sequence>
</xsd:complexType>
<xsd:complexType name="AttestationType">
  <xsd:sequence>
    <xsd:element name="TransactionNumber" type="Transa
    <xsd:element name="Provider" type="ProviderType" /
    <xsd:element name="EHRCertificationNumber">
      <xsd:simpleType>
        <xsd:restriction base="xsd:string">
  
```

### CSV File Format



#	Header Description	File Name	File Creation Date	File Cont
1	Header	NLR-Attestation-Batch-Upload-Version-1.0	file.csv	1/1/2011
2	Header	Transaction Number	EHR Certification Number	MAO Contract Number
3	Header	Transaction Number	EHR Certification Number	MAO Contract Number
4	Attestation	0	0	0 ALL_ED
5	Header	Category Description	Objective Number	Exemption Yes No Answer
6	Measure Data	CLINICAL_QUALITY_MEASURES	0	NO
7	Measure Data	CLINICAL_QUALITY_MEASURES	0	NO
8	Measure Data	CLINICAL_QUALITY_MEASURES	0	NO
9	Header	Record Count		
10	Trailer		1	

3. Access the [Registration and Attestation System](#) for the EHR Incentive Programs. Once you have logged into the system, select the “Attestation Batch Upload” option to submit attestations. This will allow you to submit attestations on behalf of multiple eligible professionals or hospitals.

Organization	EDN	Group	Quantity	Status	Year	Count	Actions
DAVIS HOSPITAL & MEDICAL CENTER LP	68-0562507 (EDN)	1548205818	460041		2011		
DAVIS HOSPITAL & MEDICAL CENTER LP	68-0562507 (EDN)	1548205818	460041	Payment Issued	2012		
DAVIS HOSPITAL & MEDICAL CENTER LP	68-0562507 (EDN)	1548205818	460041		2013		
DAVIS HOSPITAL & MEDICAL CENTER LP	68-0562507 (EDN)	1548205818	460041	Accepted	2014	3	Modify View
DAVIS HOSPITAL & MEDICAL CENTER LP	68-0562507 (EDN)	1548205818	460041		2015		Attest

**Medicare Attestation Batch**  
Please select the **Attestation Batch Upload** button to upload Attestations(s) using a batch file.

**Attestation Batch Upload**

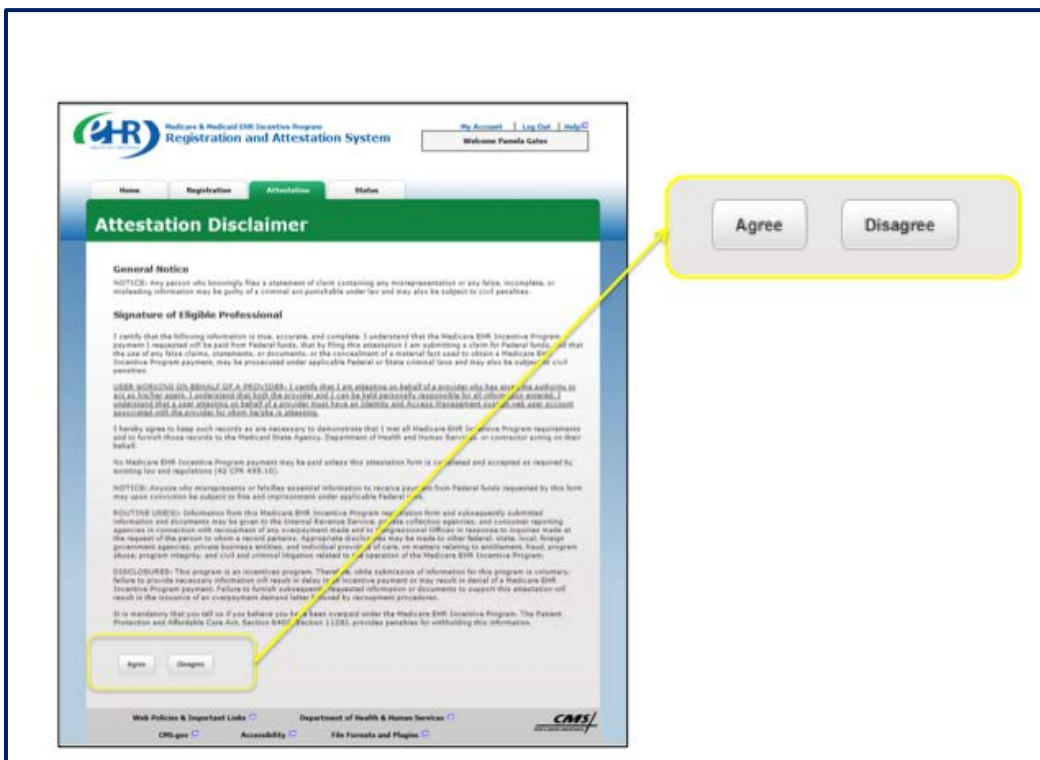
**Medicare Attestation Batch**  
Please select the **Attestation Batch Upload** button to upload Attestations(s) using a batch file.

**Attestation Batch Upload**

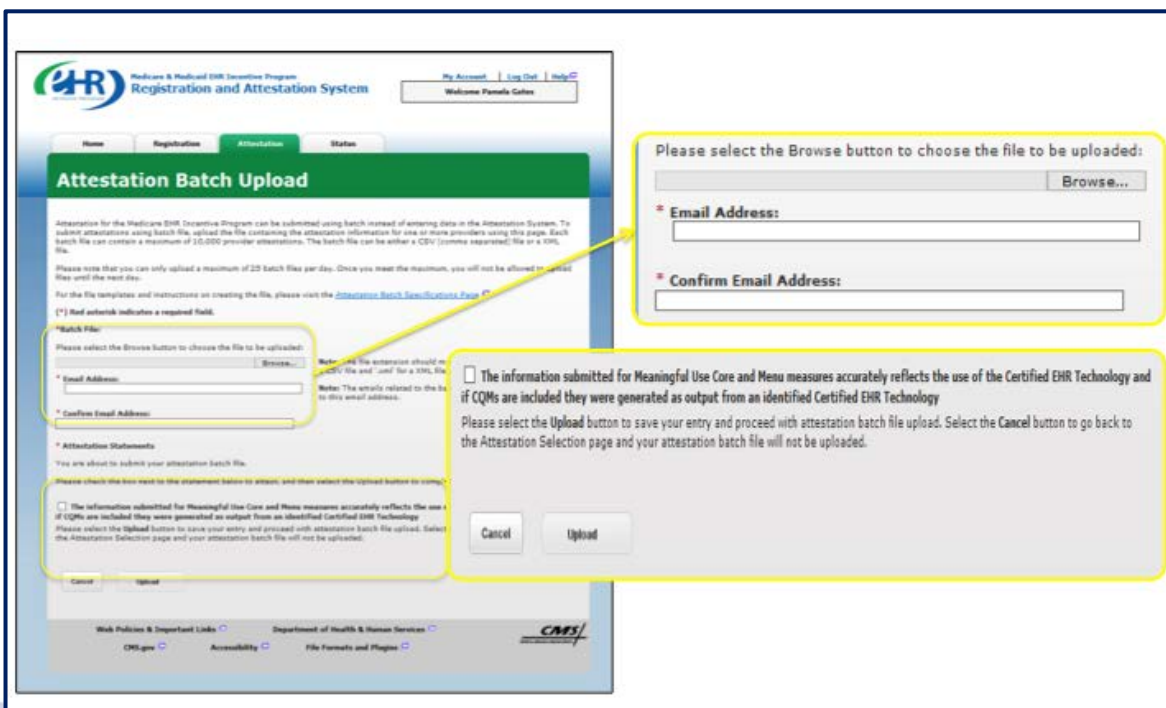
Web Policies & Important Links | Department of Health & Human Services | CMS | CMS.gov | Accessibility | File Formats and Plugins

**Note:** An attestation batch file can contain a maximum of 10,000 provider attestations. The upload file limit for a user is 25 batch files per day. Once you meet the maximum of 25 batch files, you will not be allowed to upload any additional files until the next day.

- On the Attestation Disclaimer page, click either **Agree** or **Disagree**.



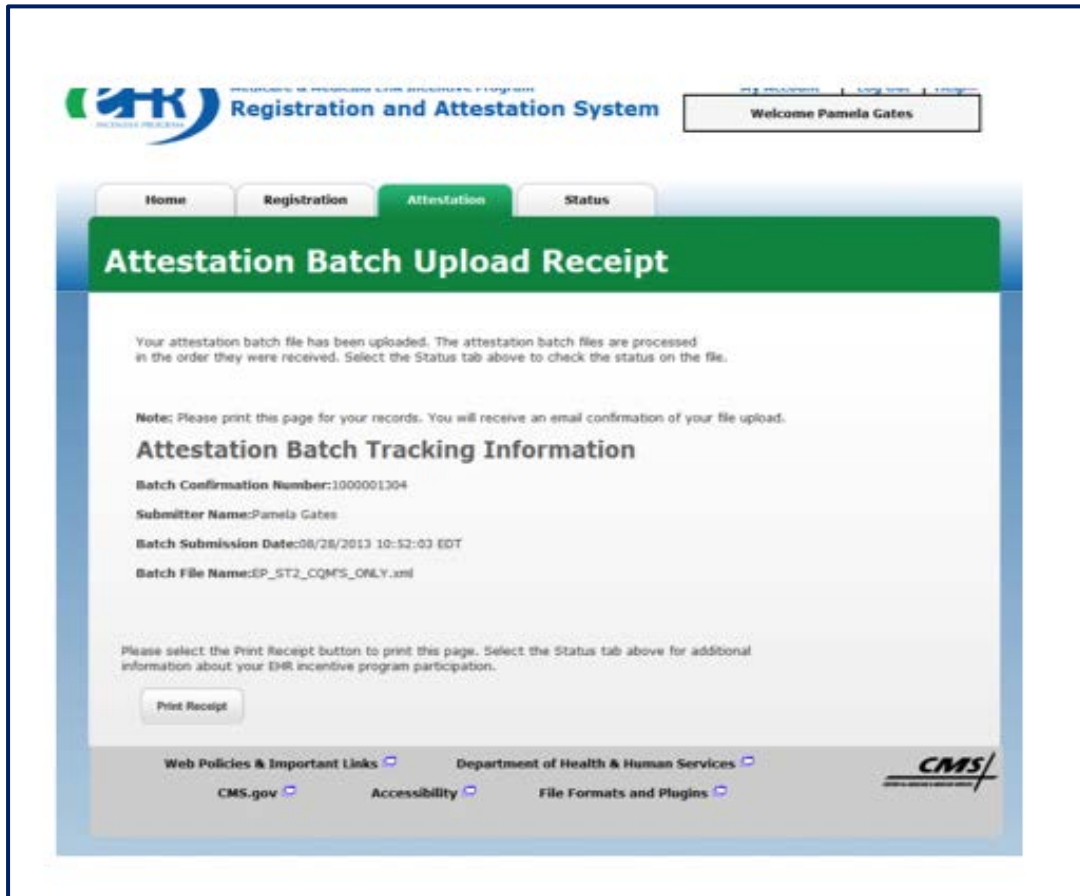
- On the Attestation Batch Upload page, click **Browse** to choose a file. Upload the CSV or XML file with the batch attestation data.



**Note:** The file extension should match the batch file format: '.csv' for a CSV file or '.xml' for an XML file.

Once you have uploaded your attestation data, enter your email address and review the attestation statement. Mark the attestation statement box and then click the "Upload" button to submit your batch data.

6. Once your attestation batch has been submitted, you will see a receipt page. This will include the batch confirmation number, submitter's name, batch submission date, and file name. Please print your receipt.



## Review batch attestation status

1. On the Status tab of the Registration and Attestation System, click the **View Attestation Batch Status** button near the bottom of the screen. This will give you an opportunity to review the batch data you submitted.
2. The Attestation Batch Status page will display one of the following batch statuses and the actions that are available for each batch file:
  - **Batch received** - file was uploaded and is waiting to be processed.
  - **Batch invalid** - file was not processed because it was an invalid format or there were data errors at the file level.
  - **Processed successfully** - file was processed. All attestation records contained in the file were successfully uploaded into the system.
  - **Processed with errors** - file was processed. However, one or more of the attestation records was invalid and could not be uploaded into the system. You may correct the errors and resubmit the invalid attestations.

Batch confirmation Number	Submission Date	Batch File Name	File Format	Stage Number	Provider Type	Measure Categories	Group NPI	Batch Status	Action
1000001304	08/28/2013 10:52:03 EDT	EP_ST2_CQM_ONLY.xml	XML					Batch Received	
1000001260	08/27/2013 10:43:05 EDT	EH_ST2_FULL_FILE_SUCCESSFULL.csv	CSV	2	Eligible Hospitals or CAH	MU Core, MU Menu and CQM	1548205818	Processed Successfully	Download View
1000001259	08/27/2013 10:23:26 EDT	EH_ST2_FULL_FILE.csv	CSV	2	Eligible Hospitals or CAH	MU Core, MU Menu and CQM	1548205818	Processed with Errors	Download View
1000001258	08/27/2013 09:56:21 EDT	EH_ST2_CQM_ONLY_SUCCESSFULL.csv	CSV	2	Eligible Hospitals or CAH	CQM Only	1548205818	Processed Successfully	Download View
1000001248	08/26/2013 16:58:25 EDT	EH_ST2_CQM_ONLY.csv	CSV	1	Eligible Hospitals or CAH	CQM Only	1548205818	Processed with Errors	Download View
1000001216	08/23/2013 16:15:23 EDT	Stage2_EH_FULL_FILE_SAMPLE_New_exempt.xml	XML	2	Eligible Hospitals or CAH	MU Core, MU Menu and CQM		Processed Successfully	Download View
1000001214	08/23/2013 16:00:16 EDT	Stage2_EH_FULL_FILE_SAMPLE_with_new_exemptions.xml	XML		N/A	N/A		Batch Invalid	
	08/23/2013	EH_STG1_C	XML		N/A	N/A		Batch	

Batch Status	Action
Batch Received	
Processed Successfully	Download View
Processed with Errors	Download View
Batch Invalid	

3. If the **Download** action is available, click to download a response file with the status for each attestation that was submitted and/or the list of error messages. This file will be in the same format as the original batch file (CSV/XML) you submitted.

**Note:** The Download option is available only for 60 days from the batch submission date.

4. Click the **View** button to display Attestation Batch details and review the summary of individual attestation records.

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