

Draft Guidelines for the Identification of Beneficiaries with Risk Factors in Accordance with the Entry and Verification Criteria

Version 7.0
Applicable from 1 January 2013

Council for Medical Schemes



The Council for Medical Schemes (CMS) was established
in terms of the Medical Schemes Act 131 of 1998
to provide regulatory oversight to the medical schemes industry

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Changes made to version 7.0 since the publication of version 6.1 of the guidelines in January 2013.

1. Due to the nomenclature change from Insulin dependent and non-Insulin dependent Diabetes's mellitus the following changes were made to both diabetes type 1 (DM1) and type 2 (DM2) ICD 10 codes

Condition	ICD 10 CODE	Description	Changes made
Diabetes type 1	O24.4	Diabetes mellitus arising in pregnancy	Removed and re-classified as type 2
	O24.9	Insulin-dependent diabetes mellitus	Removed
	E12	Malnutrition-related diabetes mellitus	Removed
	E12.0	Malnutrition-related diabetes mellitus with coma	Removed
	E12.1	Malnutrition-related diabetes mellitus with ketoacidosis	Removed
	E12.2	Malnutrition-related diabetes mellitus with renal complications	Removed
	E12.3	Malnutrition-related diabetes mellitus with ophthalmic complications	Removed
	E12.4	Malnutrition-related diabetes mellitus with neurological complications	Removed
	E12.5	Malnutrition-related diabetes mellitus with peripheral circulatory complications	Removed
	E12.6	Malnutrition-related diabetes mellitus with other specified complications	Removed
	E12.7	Malnutrition-related diabetes mellitus with multiple complications	Removed
	E12.8	Malnutrition-related diabetes mellitus with unspecified complications	Removed
	E12.9	Malnutrition-related diabetes mellitus without complications	Removed
Diabetes type 2	E10.0	Insulin-dependent diabetes mellitus with coma	Removed
	E10.1	Insulin-dependent diabetes mellitus with ketoacidosis	Removed
	E10.2	Insulin-dependent diabetes mellitus with renal complications	Removed
	E10.3	Insulin-dependent diabetes mellitus with ophthalmic complications	Removed
	E10.4	Insulin-dependent diabetes mellitus with neurological complications	Removed
	E10.5	Insulin-dependent diabetes mellitus with peripheral circulatory complications	Removed
	E10.6	Insulin-dependent diabetes mellitus with other specified complications	Removed
	E10.7	Insulin-dependent diabetes mellitus with multiple complications	Removed
	E10.8	Insulin-dependent diabetes mellitus with unspecified complications	Removed
	E10.9	Insulin-dependent diabetes mellitus without complications	Removed
	O24.0	Pre-existing diabetes mellitus, insulin-dependent	Removed

- 1.1 Malnutrition related diabetes mellitus: Malnutrition related diabetes which was previously categorised as DM 1 as well as DM2 is now purely categorised as DM2.
- 1.2 It should be noted that the pathophysiology of malnutrition related diabetes mellitus is poorly understood, and has both insulin resistance and lack of insulin. This classification is merely meant for entry and verification criteria practical application in order to avoid double counting of patient when ICD code is included in both.
- 1.3 Gestational diabetes: for previous existing diabetes (O24.0), when it is insulin dependent it is categorised as DM1 and when it is not insulin dependent (O24.1) it

is categorised as DM2. Diabetes arising in pregnancy (O24.4) is categorised as DM2, as the pathophysiology mainly involves insulin resistance. However, it should be noted that DM1 and DM2 can be diagnosed for the first time in pregnancy. The only way to know if it is “true” gestational diabetes is if the diabetes resolves at the end of pregnancy. If diabetes does not resolve, then the patient can be reclassified appropriately as either DM1 or DM2.

- 1.4** Insulin therapy is the mainstay of treatment in pregnant women regardless of whether they are type 1 or type 2 diabetics. Therefore treatment regime would not be able to differentiate these cases.
- 1.5** ICD code E10.1-10.9 was removed from DM2 and is categorised as DM1 only.
- 1.6** The ATC codes for glatiramer acetate (L03AX13) and natalizumab (L04AA23) were added to multiple sclerosis treatment
- 1.7** Supportive treatment with Tricyclic antidepressants and anticholinergics was added to multiple sclerosis.

1. Introduction

- 1.8** Following the Risk Equalisation Fund (REF) shadow process, a decision was taken that the Council for Medical Schemes (CMS) should continue to collect risk factor data in a manner similar to the REF shadow process. The Scheme Risk Measurement (SRM) process replaces the REF shadow process.
- 1.9** The Industry Technical Advisory Panel (ITAP) has been established as a successor to the Risk Equalisation Technical Advisory Panel (RETAP). It is a forum created by the CMS for participation of all stakeholders involved in the medical schemes industry in clearly defined initiatives and investigations approved by the Chief Executive & Registrar that will have a systemic impact on the industry.
- 1.10** The SRM process involves the collection of risk factor data from medical schemes to estimate changes in scheme risk profiles and estimate the costs of prescribed minimum benefits (PMBs).
- 1.11** Successful implementation of the clinical risk management South Africa is contingent on the accurate identification of beneficiaries with specified risk factors within medical schemes. The SRM variables include all the 25 Chronic Disease List (CDL) conditions, HIV, maternity events and age¹.
- 1.12** The purpose of this guideline is to define criteria that must be met in the identification of beneficiaries with the above-mentioned risk factors.
- 1.13** The entry and verification criteria are intended for this purpose alone, and should not be construed to be limitations or expansions on the entitlements of beneficiaries of medical schemes to PMBs in terms of the Medical Schemes Act 131 of 1998.
- 1.14** Therefore, there might be instances where a beneficiary is legally entitled to a PMB in respect of a particular condition, but cannot be included in the SRM returns.
- 1.15** Similarly, certain medicines that are not included in the CDL therapeutic algorithms may be included as proof of treatment for the purpose of identifying a beneficiary with a condition qualifying for inclusion in the SRM returns. Inclusion of such

¹ The CDL is the list of conditions included under the heading "Chronic Conditions" in the Prescribed Minimum Benefit schedule included as Annexure A to the General Regulations made in terms of the Medical Schemes Act, 131 of 1998.

medicines in the entry and verification criteria does not create an entitlement of a beneficiary to access that medicine as a PMB.

- 1.16** These criteria have been developed with the emphasis on the verifiability of cases and will be used to ensure that there is uniformity in the way that medical schemes identify SRM risk factors.
- 1.17** These guidelines provide specific clinical codes that serve to identify patients who were treated for CDL conditions.
- 1.18** These guidelines will be reviewed as the need arises.

2. Implementation date

- 2.1 These criteria (as amended) are applicable from 1 January 2013.

Existing CDL cases

- 2.2 The diagnoses of cases that have been started on treatment before 1 January 2006 are acceptable for the purposes of SRM.
- 2.3 Cases diagnosed after 1 January 2006 must meet the criteria applicable at the time of diagnosis as specified in Table 1 below, or the diagnosis criteria specified in this document

Table 1: Periods for the application of entry & verification diagnostic criteria

<i>Period</i>	<i>Version applicable</i>
Before 2006	None
January 2006 to December 2006	Version 1
January 2007 to December 2007	Version 2.1
January 2008 to December 2008	Version 3.2
January 2009 to December 2009	Version 4
January 2010 to December 2011	Version 5
January 2012 to December 2012	Version 6.1
January 2013 to December 2013	Version 7.0

New CDL cases

- 2.4 All newly diagnosed cases from 1 January 2013 onwards must meet the diagnosis criteria specified in this document (Version 7.0).

All CDL cases

- 2.5 All CDL cases, *existing or* newly diagnosed must meet the “proof of treatment” component stipulated in version 7.0 of the guidelines from 1 January 2013.

Note on cases identified with previous versions of the guidelines

- 2.6 Medical schemes are requested to ensure that their administration systems (as employed by medical scheme administrators, clearing houses, managed care organisations, providers, and others) are capable of applying different sets of criteria strictly on the dates when they become effective. Adequate version control is therefore a requirement.

3. Preparation of grids

General

- 3.1 The grids are submitted separately for each option in a particular medical scheme, with separate sections for male and female beneficiaries.
- 3.2 A beneficiary is counted for the grid if a beneficiary is entitled to benefits in respect of that month.
- 3.3 The service date is used to establish in which month a beneficiary is counted. (See paragraphs 5.7 - 5.9)

Age bands

- 3.4 The age band is determined by taking age at the last birthday on 1 January. This value will always be an integer. The beneficiary is then placed in the appropriate age band: "Under 1", "1-4", "5-9", "10-14"... or "85+". The same age bands are applicable for the statutory returns.
- 3.5 A new-born child is to be incorporated into the age structure by taking the age of the beneficiary as on 1 January of the year of evaluation. The naming of the category as "Under 1" allows for that calculation to produce either a zero or a negative result.

Only claims paid from a risk benefit could result in a case eligible for inclusion in SRM

- 3.6 All beneficiaries that are reported on in the SRM grids must receive their benefits for the relevant condition from a risk pool (as opposed to a personal medical savings account) to qualify for eligibility.

CDL cases

- 3.7 Columns 2 - 28 of the SRM count grid and SRM prevalence grid are populated based on the SRM entry and verification criteria for each chronic disease, as specified in this document. Please note that the age band "Under 1" must not be populated with CDL or HIV information, all beneficiaries under one with CDLs must be included in the "NON" column. Hence, all CDL and HIV columns for the "Under 1" age band must read zero.
- 3.8 For the SRM count grid each beneficiary must be placed in only one cell in Columns 1 - 28. For a person with two or more CDL conditions (or HIV and one or more CDL conditions), the scheme may choose the highest cost cell of the combination. A

beneficiary with multiple diseases will only be counted once in columns 1 - 28. Thus the total of beneficiaries for columns 1 - 28 must equal the beneficiaries in the option for the period.

- 3.9 Note that with the combination of cardiac heart failure (CHF) and cardiomyopathy (CMY) into one condition, from 1 January 2006, the CHF column must be left blank. All CHF and CMY cases must be entered in the CMY column. The contribution table will be adjusted to reflect the new rates.

Multiple chronic conditions

- 3.10 Once the most expensive disease has been allocated to columns 2 - 28, the multiple disease columns 29 - 31 need to be populated according to the number of chronic diseases. Hence a beneficiary with multiple chronic diseases will reflect twice in the SRM count grid once for the most expensive disease and once for the number of multiple diseases.

Exclusion of specific diseases as multiple chronic conditions in the count grids

- 3.10.1 For SRM count grid purposes, certain CDL diseases that co-occur in the same patient will not be counted as multiple diseases. *(However, if these conditions do co-occur, they must be reflected in the prevalence grid tables – see paragraph 3.15).* Cases encountered with co-occurring conditions as described in paragraphs 3.10.1.1 – 3.10.1.8 below are not eligible to be counted as multiple diseases in the count grids (CC2, CC3, or CC4 modifiers). The most expensive condition must be counted as a single disease in the count grid. The conditions are arranged in descending cost order as determined by the contribution table 2009, which includes the following hierarchy:

Table 2: Disease ranks

New ranks (2009 data, used 2012)			Old ranks (2005 data, used 2009)	
CDL Condition	Description	Rank	CDL Condition	Rank
HAE	Haemophilia	1	HAE	2
CRF	Chronic renal disease	2	CRF	1
MSS	Multiple sclerosis	3	MSS	3
COP	Chronic obs. Pulmonary disease	4	COP	5
CMY	Cardiomyopathy	5	CMY	8
CSD	Crohns disease	6	CSD	7
DBI	Diabetes insipidus	7	DBI	13
DM1	Diabetes mellitus 1	8	DM1	4
BCE	Bronchiectasis	9	BCE	17
PAR	Parkinsons disease	10	PAR	11
BMD	Bipolar mood disorder	11	BMD	9
SCZ	Schizophrenia	12	SCZ	15
DYS	Dysrhythmias	13	DYS	16
SLE	Systemic LE	14	SLE	6
IBD	Ulcerative colitis	15	IBD	19
EPL	Epilepsy	16	EPL	14
HIV	Hiv/aids	17	HIV	10
IHD	Coronary artery disease	18	IHD	12
ADS	Addisons disease	19	ADS	25
RHA	Rheumatoid arthritis	20	RHA	20
AST	Asthma	21	AST	21
DM2	Diabetes mellitus 2	22	DM2	18
HYP	Hypertension	23	HYP	24
HYL	Hyperlipidaemia	24	HYL	22
GLC	Glaucoma	25	GLC	23

- 3.10.1.1 For count purposes, only one of the following chronic respiratory diseases can be assigned to the same patient: *chronic obstructive pulmonary disease, bronchiectasis and asthma*
- 3.10.1.2 For count purposes, only one of the following cardiovascular diseases can be assigned to the same patient: *cardiomyopathy and cardiac failure, coronary artery disease, dysrhythmias; and hypertension*
- 3.10.1.3 For count purposes, only one of *chronic renal disease or hypertension* may be assigned to the same patient.

Applicable to cases reported from 1 January 2013

- 3.10.1.4 For count purposes, only one of the following gastro intestinal conditions can be assigned to the same patient: *crohn's disease or ulcerative colitis*
- 3.10.1.5 For count purposes, only one of the following psychiatric conditions can be assigned to the same patient: *bipolar mood disorder or schizophrenia*
- 3.10.1.6 For count purposes, only one of the following neurological/psychiatric conditions can be assigned to the same patient: *multiple sclerosis, bipolar mood disorder, or epilepsy*
- 3.10.1.7 For count purposes, only one of the following auto-immune conditions can be assigned to the same patient: *systemic lupus erythematosus or rheumatoid arthritis*
- 3.10.1.8 Diabetes mellitus type 1 and type 2 cannot co-occur. (see table 13 and Table 14 in section 6)

Maternity

- 3.11 The maternity modifier relates to “all the codes that indicate the delivery of a single/multiple foetus either stillborn or alive; following a pregnancy of at least 24 weeks duration”. Codes that apply to the delivery modifier are presented in Table 29.
- 3.12 The beneficiary qualifying for the maternity modifier is only entered ONCE — in the month corresponding to the date of admission of the mother into the service facility, or in instances where no admission occurred, the actual date of the confinement is used. The amount payable from risk benefits is an annual amount and not a monthly amount as with the other modifiers.

Beneficiaries without chronic diseases

- 3.13 To complete the “NON” column: After completing columns 2 - 28 of the SRM count grid, beneficiaries who have not been allocated to these columns need to be counted and reflected in column 1. This column now includes **all** beneficiaries from the “Under 1” age band. This completion of columns 1 - 28 will reflect each beneficiary of an option in only one cell of the grid.

Prevalence grid tables

- 3.14 In the SRM prevalence grid, the beneficiary is reflected for each one of the diseases he/she has. This rule does not apply to the “Under 1” age band, which must be defaulted to the “NON” column.

- 3.15 The SRM prevalence grid contains the total number of beneficiaries in the cell for the period. Each beneficiary must be placed in as many cells in columns 1 - 28 as they have chronic conditions (CDL conditions or HIV). For a person with three CDL conditions the scheme will place the beneficiary in the three relevant columns. Thus the total of beneficiaries for columns 1 - 28 will be more than the beneficiaries in the option for the period.
- 3.16 Each of the conditions listed in paragraph 3.10.1 and its sub-paragraphs must be reported on in the SRM prevalence grid.
- 3.17 The same number of beneficiaries in column 1 of the SRM count grid should be reflected in column 1 of the SRM prevalence grid. Hence for both grid types, the "Under 1" age band is defaulted to "NON".

Availability of information from capitated providers

- 3.18 Medical schemes have indicated that they frequently have difficulties to obtain the information required to complete the grids from managed care organisations (MCOs) and from capitated providers. It is important to note that:
- 3.18.1 In terms of Regulation 15B(2)(d) to the Medical Schemes Act 131 of 1998, it is required that an accredited MCO has the necessary resources, systems, skills and capacity to render the managed care services which it wishes to provide. Further, should an MCO comply with Regulations 15D(a) and (c), such an organisation would be capable of providing the medical scheme with the data required for the SRM return.
- 3.18.2 Regulation 15E(a) makes it clear that a medical scheme is not absolved of its responsibility towards members if any other party is in default to provide any service.
- 3.19 Schemes must ensure that their contracts with preferred providers make provision for the availability of the information that is required to prepare for the submission of the SRM grids. (See paragraph 5.19)

4. Submission of SRM count and prevalence grid data to the CMS.

- 4.1 The statutory returns portal on the CMS website accommodates the manual entry of the grids. (www.medicalschemes.com)
- 4.2 Manual data entry is time-consuming and leads to many errors during the capturing process.
- 4.3 Medical schemes are therefore urged to use the e-mail facility that has been created to speed up the SRM submission process. (srmsubmissions@medicalscchemes.com)
 - 4.3.1 Excel templates will be e-mailed to schemes and/or scheme administrators, who in turn must distribute these to the relevant people that will do the SRM data submissions. ***Please do not change the file name.***
 - 4.3.2 Separate count and prevalence files need to be completed for each option and period respectively.
 - 4.3.3 E-mail the completed files to srmsubmissions@medicalscchemes.com
 - 4.3.4 Allow two days for processing, then log on to the statutory returns portal on the CMS website (www.medicalschemes.com).
 - 4.3.5 A dialog box will appear that indicates which submissions have been received.

(Depending on the number of submissions received, it might take more than one day after e-mailing the xls file before it will appear on the list. Should the scheme name not appear within 48 hours after the files have been e-mailed, please send an e-mail to srmqueries@medicalscchemes.com)
 - 4.3.6 Click on "Submit." The system will validate results and send an e-mail with the errors to the person that has done the submission.
 - 4.3.7 After corrections have been made, the corrected file must be e-mailed to the same address.
 - 4.3.8 Once all the validation criteria have been met, a final copy for signature will be e-mailed to the person doing the submissions.

5. Specific rules applicable to the identification of CDL cases based on entry and verification criteria

Purpose of Boolean tables in section 6

- 5.1 Each of the tables in section 6 consists of a section on diagnosis related information and a section on proof of treatment. To qualify for inclusion as a beneficiary, a case must have gone through an authorisation process and must meet both the diagnosis related criteria as well as the proof of treatment criteria.
- 5.2 Authorisation must be performed to collect the diagnosis related information required in the Boolean tables, and does therefore imply a specific process that must be used to ensure that a beneficiary meets all of the requirements listed in the Boolean tables.
- 5.3 The authorisation process cannot happen automatically or without the application of managed care protocols. “Auto chronic” methods are therefore not acceptable. Diagnosis information gleaned from claims (medicine or services) is not acceptable for SRM.
- 5.4 Existing patients on active treatment should not be compromised through the withholding of treatment to prove that they meet the diagnosis related requirements. (See section 2).

Notes on the collection and archiving of diagnosis related information

- 5.5 Diagnosis related information must be recorded in an auditable format; this includes voice recordings, electronic submissions (digital storage, PDF, etc) and written hardcopies.
 - 5.5.1 The provider codes (PCNS or HPCSA codes – see paragraph 5.18) of providers who are diagnosing and/or treating in accordance with the SRM entry and verification criteria must be documented in all cases.
 - 5.5.2 MCOs and administrators may provide diagnosis codes on the information provided by the providers (or their employees) specified in section 6. The source documentation (voice recordings, electronic recordings and/or paper copies) underlying the coding decision must however be archived in an auditable format.
 - 5.5.3 Where the diagnosis can be established by any medical practitioner, and such a provider has not submitted a pre-authorisation request with the given diagnosis, the diagnosis may be communicated to the MCO or administrator on behalf of the

diagnosing doctor by either the employees of such a provider or the pharmacist dispensing medication for such a condition, provided that this diagnostic information is part of the authorisation process (see paragraph 5.2 and 5.3).

- 5.5.4 Where the diagnosis should be from a provider from a specified group (e.g. specialists), and such a provider has not submitted a pre-authorisation request with the given diagnosis, the treating provider should submit the name of the diagnosing specialist and the diagnosis during the authorisation process.
- 5.5.5 Where the diagnosis should be supported by results of diagnostic tests specified in the entry and verification criteria, proof of original laboratory or other test results must be kept. These results can be submitted by the diagnosing or treating provider or the laboratory, if the information is in an auditable format. (See paragraphs 5.5 and 5.16).
- 5.5.6 Hospitalisation or other treatment records may be used as proof of a specific clinical event or diagnosis specified in the entry and verification criteria (e.g. multiple sclerosis)
- 5.6 The use of diagnosis codes provided on claims alone is not acceptable. The diagnosis related information specified in paragraphs 5.2 and 5.3 is required, implying that a separate authorisation process must exist for each of the conditions specified in section 1.7.

Proof of treatment information is based on claims data

- 5.7 Proof of treatment information must be based on paid claims data.
 - 5.7.1 Procedure codes are used as evidence for the performance of specified procedures in the entry and verification criteria (see chronic renal disease Table 8).
 - 5.7.2 Anatomical Therapeutic Chemical Classification System (ATC codes) are used in the definitions of the entry and verification criteria to describe specific medicines. (See paragraphs 5.25 and 5.26).
 - 5.7.3 Proof of treatment is valid only if proof of diagnosis has been obtained separately, through an authorisation process; and benefits must be paid from a risk pool. (See paragraphs 3.6 and 5.1 - 5.3). In the instance of DM1 and DM2, an authorisation for either DM1 or DM2 is acceptable (see Table 13 and Table 14).

Two-out-of-three and one-out-of-three month rules

5.7.4 In most instances, evidence is required that a patient has received the specified treatment during at least two preceding calendar months in the three calendar months preceding the current month (the month for which the beneficiary's risk status is established). The schedule below indicates that, to count a beneficiary in December, payment towards treatment must have been made for services rendered in two of the three calendar months of September, October, and November. In instances where treatment occurs less frequently, the beneficiary does not qualify as a risk measurement beneficiary. To clarify:

Application of proof of treatment requirements in instances where proof of treatment is required for two calendar months in the three months preceding the calendar month for which eligibility is determined		
Month:	Treatment provided and paid for from a risk pool: (Use service date to allocate to a specific month)	Eligible for inclusion in the grids:
Jan	Yes	No
Feb	Yes	No
Mar	Yes	Yes
Apr	Yes	Yes
May	Yes	Yes
Jun	No	Yes
Jul	No	Yes
Aug	Yes	No
Sep	Yes	No
Oct	Yes	Yes
Nov	No	Yes
Dec	No	Yes
Jan	Yes	No
Feb	Yes	No

5.8 Specified conditions require proof of payment for services rendered at least once during the three calendar months preceding the period for which scheme risk eligibility is determined. These conditions and *the specific drugs for which the less frequent issue of medicines is a requirement*, are specified in Table 4: Asthma, Table 9: Chronic Obstructive Pulmonary Disease, Table 13: Diabetes Mellitus (Type 1), Table 14: Diabetes Mellitus (Type 2) and Table: 18 Haemophillia.

- 5.9 For those conditions that need to have proof of treatment less frequently for specific ATC codes, the following table provides an explanation

Application of proof of treatment requirements in instances where proof of treatment is required for one calendar months in the three months preceding the calendar for which SRM eligibility is determined		
Month:	Treatment provided and paid for from a risk pool: (Use service date to allocate to a specific month)	Eligible for Inclusion in the SRM grids:
Jan	Yes	No
Feb	Yes	Yes
Mar	Yes	Yes
Apr	Yes	Yes
May	Yes	Yes
Jun	No	Yes
Jul	No	Yes
Aug	Yes	Yes
Sep	Yes	Yes
Oct	Yes	Yes
Nov	No	Yes
Dec	No	Yes
Jan	No	Yes
Feb	Yes	No

- 5.10 The tables in section 6 have been written to assist in the development of Boolean statements that will be used by schemes to identify beneficiaries correctly with SRM risk factors. These queries must be made available to the CMS and auditors on request. It is critical that proper version control is applied, since it is likely that these criteria will change at least once a year. The tables describe the logic that must be applied to:

- 5.10.1 Test whether a case meets the criteria for inclusion as a CDL or HIV/AIDS beneficiary in the SRM.

- 5.11 Categorise diabetes mellitus cases as either type 1 or type 2.

Days of therapy (DOT) method as alternative to the two-out-of-three and one-out-of three month rules

- 5.12 Under specific exceptional circumstances, schemes may apply to the CMS to be exempted from the two-out-of-three and one-out-of three month rules and to apply the DOT method. Such an application must be accompanied by details of the DOT method that is applied, which must conform with the requirements set out in paragraphs 5.13 - 5.14.2 and section 8. The outcome of such an application to the CMS will be communicated to the scheme in writing.
- 5.13 To qualify for the application of the DOT method, schemes must provide CDL medication to their beneficiaries in larger than 30 days quantities on a regular basis for at least 20% of their beneficiaries, and the total cost of these medicines must exceed 20% of their total CDL medicine costs. For the purposes of this definition the average volume and cost of bulk medication dispensed over the most recent three month period for which data is available must be considered.
- 5.14 As far as the DOT method is concerned:
- 5.14.1 The source of the estimated days-of-therapy must be the prescribing clinician, as recorded on the script, and must be verified by comparing the maximum / minimum daily therapeutic quantity with information as provided by reputable sources of DOTs, including SA package insert specifications and peer-reviewed scientific publications.
- 5.14.2 The DOT estimates must be rounded down to the closest 30 days, and no single issue of medication can have a DOT value exceeding 90 days.
- 5.15 Section 8 describes the DOT method in detail.

Results of special investigations

- 5.16 For chronic obstructive pulmonary disease, chronic renal disease, haemophilia, HIV/AIDS, and hyperlipidaemia, it is required that the results of special investigations are kept by schemes. This information must also be made available to auditors on request but may be in the form of voice recordings or other electronic records.

Specialist diagnosis required for certain CDL conditions

- 5.17 The tables in section 6 specify specialists that are required for the diagnosis of the following conditions: addison's disease, crohn's disease, diabetes insipidus, genetic hyperlipidaemia (in the absence of total cholesterol values supporting the diagnosis),

multiple sclerosis, rheumatoid arthritis (if the patient is not taking disease modifying medicines) schizophrenia, systemic lupus erythematosus and ulcerative colitis.

- 5.18 The “provider codes” required in section 6 refer to the Board of Healthcare Funders (BHF) Discipline list. Health Professions Council for South Africa (HPCSA) numbers should only be used if the provider does not have a Practice Code Numbering System (PCNS) code. In instances where neither an HPCSA nor a PCNS number is available, but the diagnosis was made by a provider employed by a state hospital, the state hospital code is adequate to meet the requirements for specialist diagnosis specified in paragraph 5.17.

Verifiability and auditing of categorisation

- 5.19 Medical schemes or their contractors must store the information that is required to apply the logic set out in the tables for a period of at least three years. Schemes must ensure that their contracts with third party service providers must specify the period for which the information must be kept, and indicate how this information will be transferred from one contractor to the other where more than one contractor is involved or when contracts are terminated.
- 5.20 This information must be auditable and must be provided to the CMS and auditors on request, either may also conduct on-site audits.

Ambiguous ICD10 codes to identify CDL cases

- 5.21 Some of the ICD10 codes specified in the PMB algorithms have been presented in a different context in section 6 to ensure that a case cannot be assigned to more than one CDL condition in each specific instance.
- 5.22 As a rule, if an ICD10 code indicates more than one of the CDL conditions, only the most expensive condition can be selected for the SRM count grid table, while all conditions must be included in the SRM prevalence grid tables. In both instances, the proof of treatment criteria must have been met.
- 5.22.1 *I11.0: Hypertensive heart disease with (congestive) heart failure (or O10.1: Pre-existing hypertensive heart disease complicating pregnancy, childbirth and the puerperium)*

If the “proof of treatment” criteria are met, this condition must be categorised in the SRM
Count grid to:
Cardiac failure and cardiomyopathy
Or
Hypertension
(See Table 7 for the cardiac failure and cardiomyopathy criteria and Table 20 for the hypertension criteria)

For the SRM prevalence grid, these cases must be counted as cardiac failure and Cardiomyopathy *and* as hypertension.

5.22.2 I12.0: Hypertensive renal disease with renal failure (or O10.2: Pre-existing hypertensive renal disease complicating pregnancy, childbirth and the puerperium)

If the “proof of treatment” criteria are met, this condition must be categorised in the SRM
Count grid to:
Chronic renal disease
Or
Hypertension
(See Table 8 for the chronic renal disease criteria and Table 20 for the hypertension Criteria)

For the SRM prevalence grid, these cases must be counted as chronic renal disease *and* hypertension.

5.22.3 I13.0: Hypertensive heart and renal disease with (congestive) heart failure (or
010.3: Pre-existing hypertensive heart and renal disease complicating pregnancy,
childbirth and the puerperium)

and / or

I13.2: Hypertensive heart and renal disease with both (congestive) heart failure
and renal failure

If the proof of treatment and diagnosis criteria is met, this condition must be in the SRM
count grid categorised to:

Cardiac failure and cardiomyopathy

Or

Chronic renal disease

Or

Hypertension

(See Table 8 for the chronic renal disease criteria and Table 20 for the hypertension
criteria).

For the SRM prevalence grid, these cases should be counted as chronic renal disease
and hypertension and as cardiac failure and cardiomyopathy.

5.22.4 I25.5: Ischaemic cardiomyopathy

For SRM purposes, this code is applicable only to coronary artery disease and is not
relevant in cardiac failure and cardiomyopathy in the count grid.

Note that for the prevalence grid, these cases should be counted as only coronary artery
disease.

Use of Five-digit ICD10 codes

5.23 As an interim measure, previous versions of the entry and verification criteria allowed
three digit ICD10 codes in spite of the fact that more specific five-digit codes could be
used. This was an interim measure to make provision for the gradual improvement in
the quality of ICD10 coding. Since version 3 of the criteria requires the most specific
ICD10 code, in accordance with the industry master ICD 10 table, must be used as
proof of diagnosis.

Use of ATC and NAPPI codes

5.24 Medical schemes, administrators, providers, and clearing houses make use of
National Pharmaceutical Product Index (NAPPI) codes to identify and bill for
pharmaceuticals.

5.25 The entry and verification criteria are based on ATC codes, which change less frequently and are widely used. Crosswalks between NAPPI and ATC codes are available from clearing houses and major administrators. Please note the following with regard to ATC codes:

5.25.1 The classification of a substance in the ATC system is not a recommendation for use, nor does it imply any judgements about efficacy or relative efficacy of medicines or group of medicines. The ATC system is not applicable for making a diagnosis.

5.25.2 ATC codes may change over the years. An updated version of the ATC Index is issued annually.

5.25.3 The ATC Index is published by the World Health Organisation (WHO) Collaborating Centre for Drug Statistics Methodology and is available at www.whocc.no

Use of specific medicines to identify CDL cases

5.26 The medicines represented by ATC codes in section 6 do not imply that the CMS recommends that these medicines be used. Neither is it implied that these medicines are required by the regulations on PMBs or the CDL Therapeutic Algorithms published by the Minister of Health. In all instances, the inclusion of a case is based on the information required in the table on “diagnosis –related information” as well as the information related to “proof of treatment.” (see paragraph 5.1)

5.27 The use of a medicine to assign a diagnosis to a patient is not acceptable in terms of the criteria specified in section 6. In all instances, an authorisation process (see paragraphs 5.2 and 5.3) together with proof of diagnosis and proof of treatment is required.

6. Entry and verification criteria for CDL conditions

Each of the conditions specified in the subsequent Tables are subject to the overriding rules on the exclusion of specific multiple diseases specified in paragraph 3.10.1 as well as the rules on ambiguous ICD10 codes in paragraphs 5.21 and 5.22.

Table 3: Addison's Disease

Addison's Disease				
Diagnosis-related information			AND	Proof of Treatment
Provider code of the diagnosing provider:	AND	ICD10 Codes		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Must be a specialist physician, paediatrician or endocrinologist or diagnosis must be made by a by a provider employed by a state hospital 018000 056001 032000 056002 056000 056003		E27.1	AND	H02AB H02AA02

Table 4: Asthma

Asthma						
For count purposes, only one of the following chronic respiratory diseases can be assigned to the same patient: <i>chronic obstructive pulmonary disease, bronchiectasis and asthma</i>						
Diagnosis-related information				AND	Proof of Treatment	
Provider code of the diagnosing provider:	AND	ICD10 Codes (Any of the following)			Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in one calendar month in the three calendar months preceding the current month:	
Any registered medical practitioner		J45.0	J45.9		R03AC	R03BB01
		J45.1	J46			R03AK
	J45.8		R03BA	R03DA04	R03DC	

Table 5: Bipolar Mood Disorder

Bipolar Mood Disorder					
For count purposes, only one of the following psychiatric conditions can be assigned to the same patient: <i>bipolar mood disorder or schizophrenia</i> and may not co-occur with epilepsy or multiple sclerosis					
Diagnosis-related information				AND	Proof of Treatment
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)			Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Any registered medical practitioner		F31.0	F31.5		N05AN01
		F31.1	F31.6		N03AX09
		F31.2	F31.7	N03AF01	
		F31.3	F31.8	N03AG01	
		F31.4	F31.9		

Table 6: Bronchiectasis

Bronchiectasis					
For count purposes, only one of the following chronic respiratory diseases can be assigned to the same patient: <i>chronic obstructive pulmonary disease, bronchiectasis and asthma</i>					
Diagnosis-related information			AND	Proof of Treatment	
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:	
Any registered medical practitioner		J47 Q33.4		H02AB R03AC R03AK R03BA	R03BB01 R03CC R03DA04

Table 7: Cardiac Failure and Cardiomyopathy

Cardiac Failure and Cardiomyopathy					
For count purposes, only one of the following cardiovascular diseases can be assigned to the same patient: <i>cardiomyopathy and cardiac failure, coronary artery disease, dysrhythmias; and hypertension</i>					
Diagnosis-related information				Proof of Treatment	
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		AND	Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Any registered medical practitioner		I27.9	I42.2		C01AA05
		I50.0	I42.3		C01DA
		I50.1	I42.4		C02DB
		I50.9	I42.5		C03
		I11.0	I42.6		C07
		I13.0	I42.7		C09
		I13.2	I42.8		
		I42.0	I42.9		
		I42.1	O10.1		
			O10.3		

Table 8: Chronic Renal Disease

Chronic Renal Disease												
For count purposes , only one of <i>hypertension</i> or <i>chronic renal disease</i> may be assigned to the same patient												
Diagnosis-related information					AND	Proof of Treatment						
Provider code of the diagnosing provider	AND	Result of Special investigations	AND	ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in one calendar month in the three calendar months preceding the current month:						
Any registered medical practitioner		Creatinine clearance value of < 30 ml / min		N03.0		N05.1	B05D	B05Z	B03XA01	V03AE	A11CC	L04A
				N03.1		N05.2						
				N03.2		N05.3						
				N03.3		N05.4						
				N03.4		N05.5						
OR		A Glomerular Filtration Rate estimate of < 30 ml / min		N03.5		N05.6	OR					
				N03.6		N05.7						
AND		AND		N03.7		N05.8	Evidence of payment for peritoneal or haemodialysis for at least 8 sessions in the preceding three months, as evidenced by any of the following NHRPL* or UPFS** codes:					
				N03.8	N05.9							
	N03.9		N11.0									
	N04.0		N11.1									
	N04.1		N11.8									
	N04.2		N11.9									
	N04.3		N18.0									
	N04.4		N18.8									
	N04.5		N18.9									
	N04.6		I12.0									
	N04.7		I13.1									
	N04.8		I13.2									
	N04.9		O10.2									
	N05.0		O10.3									

* NHRPL = National Health Reference Price List

** UPFS = Uniform Patient Fee Schedule

Table 9: Chronic Obstructive Pulmonary Disease

Chronic Obstructive Pulmonary Disease					
For count purposes, only one of the following chronic respiratory diseases can be assigned to the same patient: <i>chronic obstructive pulmonary disease, asthma and bronchiectasis</i>					
Diagnosis-related information				AND	Proof of Treatment
Any registered medical practitioner	AND	Result of Special investigations	ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in one calendar month in the three calendar months preceding the current month:
Any registered medical practitioner		Lung function tests demonstrating FEV1/FVC post-bronchodilator values below 70% and FEV1 post-bronchodilator values of less than 70% of predicted			J43.0 J43.1 J43.2 J43.8 J43.9 J44.0 J44.1 J44.8 J44.9

Table 10: Coronary Artery Disease

Coronary Artery Disease					
For count purposes, only one of the following cardiovascular diseases can be assigned to the same patient: <i>cardiomyopathy and cardiac failure, coronary artery disease, dysrhythmias; and hypertension</i>					
Diagnosis-related information				AND	Proof of Treatment
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)			Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Any registered medical practitioner			I20.0 I20.1 I20.8 I20.9 I25.0 I25.1	I25.2 I25.3 I25.4 I25.5 I25.6 I25.8 I25.9	C01DA C07 C08

Table 11: Crohn's Disease

Crohn's Disease					
For count purposes, only one of the following Gastro Intestinal conditions can be assigned to the same patient: <i>crohn's disease or ulcerative colitis</i>					
Diagnosis-related information			AND	Proof of Treatment	
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:	
Must be a specialist physician, paediatrician, surgeon or gastroenterologist or diagnosis must be made by a by a provider employed by a state hospital 018000 056000 032000 056001 042000 056002 019000 056003		K50.0 K50.1 K50.8 K50.9	AND	A07E H02AB J01XD01 J01MA L04AD01 L04AD02	L04AB04 L04AB02 L04AX01 L04AX03 L01BA01 P01AB01

Table 12: Diabetes Insipidus

Diabetes Insipidus					
Diagnosis-related information			AND	Proof of Treatment	
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:	
Must be a specialist physician, paediatrician, neurosurgeon, neurologist or endocrinologist or diagnosis must be made by a by a provider employed by a state hospital 018000 056000 032000 056001 024000 056002 020000 056003		E23.2	AND	H01BA	

Table 13: Diabetes Mellitus (Type 1)

Diabetes Mellitus Type 1					
<p><i>Note:</i></p> <ul style="list-style-type: none">• For SRM purposes, type 1 and type 2 diabetes cannot occur concurrently.• Where there is <u>only insulin use (ATC A10A)</u>, the doctor's diagnosis (based on the ICD10 codes below) of type 1 versus type 2 must be accepted• Cases meeting the proof of treatment criteria must be counted in accordance with the classification as type 1 in accordance with the rules below, regardless of the type for which authorisation was given.					
Diagnosis-related information					Proof of Treatment
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)			Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Any registered medical practitioner		E10.0	E12.0	AND	A10A
		E10.1	E12.1		
		E10.2	E12.2		
		E10.3	E12.3		
		E10.4	E12.4		
		E10.5	E12.5		
		E10.6	E12.6		
		E10.7	E12.7		
		E10.8	E12.8		
	E10.9	E12.9			
		O24.0			
		O24.2			
		O24.3			

Table 14: Diabetes Mellitus (Type 2)

Diabetes Mellitus Type 2							
<p><i>Note:</i></p> <ul style="list-style-type: none">For purposes, type 1 and type 2 diabetes cannot occur concurrently.Evidence of use of oral euglycaemic medicines in the preceding three months automatically leads to the classification of a diabetic case as type 2.Cases meeting the proof of treatment criteria must be counted in accordance with the classification as type 2 in accordance with the rules below, regardless of the type for which authorisation was given.							
Diagnosis-related information					AND	Proof of Treatment	
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		AND		Evidence of use of oral hypoglycaemic or euglycaemic agents in the preceding three months. This includes any product in the A10B ATC category:	Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Any registered medical practitioner		E11.0	E11.9			OR	A10B
		E11.1	E12.0			Any ICD10 code indicative of Non-Insulin Dependent Diabetes:	OR
		E11.2	E12.1				
		E11.3	E12.2				
		E11.4	E12.3				
E11.5	E12.4	E11.0	Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in one calendar month in the three calendar months preceding the current month:				
E11.6	E12.5	E11.1	A10A				
E11.7	E12.6	E11.2					
E11.8	E12.7	E11.3					
E12.8	E11.4						
E12.9	E11.5						
O24.0	E11.6						
O24.1	E11.7						
O24.2	E11.8						
O24.3	E11.9						
O24.4	O24.1						
O24.9							

Table 15: Dysrhythmias

Dysrhythmias				
For count purposes, only one of the following cardiovascular diseases can be assigned to the same patient: <i>cardiomyopathy and cardiac failure, coronary artery disease, dysrhythmias; and hypertension</i>				
Diagnosis-related information			AND	Proof of Treatment
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Any registered medical practitioner		I47.2 I48		B01AA03 C01A C01B C07 C08D

Table 16: Epilepsy

Epilepsy				
For count purposes, <i>bipolar mood disorder and multiple sclerosis may not co-occur with epilepsy</i>				
Diagnosis-related information			AND	Proof of Treatment
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Any registered medical practitioner		G40.0 G40.8 G40.1 G40.9 G40.2 G41.0 G40.3 G41.1 G40.4 G41.2 G40.5 G41.8 G40.6 G41.9 G40.7		N03

Table 17: Glaucoma

Glaucoma					
<i>Diagnosis-related information</i>			AND	<i>Proof of Treatment</i>	
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:	
Any registered medical practitioner		<div>H40.0</div> <div>H40.1</div> <div>H40.2</div> <div>H40.3</div> <div>H40.4</div>		S01E	
		<div>H40.5</div> <div>H40.6</div> <div>H40.8</div> <div>H40.9</div> <div>Q15.0</div>			

Table 18: Haemophilia

Haemophilia					
<i>Diagnosis-related information</i>			AND	<i>Proof of Treatment</i>	
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in one calendar month in the three calendar months preceding the current month:	
Any registered medical practitioner		<div>D66</div> <div>D67</div>		<div>B02AA02</div> <div>B02BD02</div> <div>B02BD03</div> <div>B02BD08</div>	<div>B02BD04</div> <div>B02BD06</div> <div>H01BA</div>
		<div>AND</div> <div>Laboratory evidence of Factor VIII or IX levels lower than or equal to 5%</div>			

Table 19: Hyperlipidaemia

Hyperlipidaemia									
<p><i>Note:</i></p> <ul style="list-style-type: none">Information supporting the diagnosis must be kept in a format that could be audited. This includes paper copies or the electronic storage of voice recordings that could substantiate the diagnosis, the results of special investigations and the data underlying the risk assessment (Framingham score).Only a diagnosis by an endocrinologist will be accepted to diagnose genetic hyperlipidaemias without supporting high Total Cholesterol values									
Diagnosis-related information						Proof of Treatment			
Provider code of the diagnosing provider	Door diagnosis of symptomatic atherosclerotic disease Including any of the following ICD10 codes				ICD10 Codes (Any of the following)	Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:			
Any registered medical practitioner.	AND	G45.0	I21.9	I25.8	I65.8	E78.0	AND	C10	
		G45.1	I22.0	I25.9	I65.9	E78.1			
		G45.2	I22.1	I63.0	I66.0	E78.2			
		G45.3	I22.8	I63.1	I66.1	E78.3			
		G45.4	I22.9	I63.2	I66.2	E78.4			
		G45.8	I24.0	I63.3	I66.3	E78.5			
		G45.9	I24.1	I63.4	I66.4				
		I20.0	I24.8	I63.5	I66.8				
		I20.1	I24.9	I63.6	I66.9				
		I20.8	I25.0	I63.8	I67.6				
		I20.9	I25.1	I63.9	I70.0				
		I21.0	I25.2	I64	I70.1				
		I21.1	I25.3	I65.0	I70.2				
		I21.2	I25.4	I65.1	I70.8				
		I21.3	I25.5	I65.2	I70.9				
		I21.4	I25.6	I65.3					
		OR							
		10 year MI risk > 20% and/or risk at age 60 years >30% as per Framingham Risk Score (2001 version)							
		OR							
		Genetic hyperlipidaemias diagnosed by:							
			By any registered medical practitioner where TC>7.5mmol/l						
			OR						
			TC> 7 mmol/l	AND	Positive family history of a premature vascular event in a 1 st degree male relative < 55 yrs				
		OR							

Applicable to cases reported from 1 January 2013

			TC> 7 mmol/l	AND	Positive family history of a premature vascular event a 1 st degree female relative <65 yrs			
			OR					
			The presence of tendon Xantomata					
			OR					
An endocrinologist (PCNS Practise type: 11801)								

Table 20: Hypertension

Hypertension						
For count purposes, only one of the following cardiovascular diseases can be assigned to the same patient: <i>cardiomyopathy and cardiac failure, coronary artery disease, dysrhythmias; and hypertension</i>						
For count purposes , only one of <i>Hypertension or Chronic Renal Disease</i> may be assigned to the same patient						
Diagnosis-related information				AND	Proof of Treatment	
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)			Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:	
Any registered medical practitioner		I10 I11.0 I11.9 I12.0 I12.9 I13.0 I13.1 I13.2 I13.9 I15.0 I15.1	I15.2 I15.8 I15.9 O10.0 O10.1 O10.2 O10.3 O10.4 O10.9 O11		C02 C03 C07	C08 C09 G04CA03

Table 21: Hypothyroidism

Hypothyroidism				
<i>Diagnosis-related information</i>			AND	<i>Proof of Treatment</i>
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Any registered medical practitioner		<div>E01.8</div> <div>E02</div> <div>E03.0</div> <div>E03.1</div> <div>E03.2</div> <div>E03.3</div> <div>E03.4</div> <div>E03.5</div> <div>E03.8</div> <div>E03.9</div> <div>E89.0</div>		H03AA

Table 22: Multiple Sclerosis

Multiple Sclerosis						
For count purposes, <i>bipolar mood disorder and epilepsy may not co-occur with multiple sclerosis</i>						
Diagnosis-related information			AND	Proof of Treatment		
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:		
Must be a specialist physician, or neurologist or diagnosis must be made by a by a provider employed by a state hospital 018000 020000 056000 056001 056002 056003		G35		Disease Modifying agents		Symptomatic supportive treatment
				L03AB07 L03AB08 D07AA01 L03AX13 L04AA23)	AND/OR	N03AF01 N06AA09 N06AA07 M03BX01
				OR		
				Evidence of hospitalisation (admission date) in the preceding 3 months for acute exacerbation of Multiple Sclerosis (G35)		

Table 23: Parkinson's Disease

Parkinson's Disease					
Diagnosis-related information			AND	Proof of Treatment	
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:	
Any registered medical practitioner		G20 G21.0 G21.1 G21.2		G21.3 G21.8 G21.9	N04

Table 24: Rheumatoid Arthritis

Rheumatoid Arthritis							
For count purposes, <i>systemic lupus erythematosus</i> may not co-occur with <i>rheumatoid arthritis</i>							
<i>Note: Where a patient is not using disease modifying anti-rheumatic medicines, the diagnosis must be verified by a specialist physician or rheumatologist</i>							
Diagnosis-related information						Proof of Treatment	
Provider code of the diagnosing provider		ICD10 Codes				Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:	
		(Any of the following)					
Any registered medical practitioner	AND	M05.00	M05.35	M06.10	M06.45	AND	A07EC01
		M05.01	M05.36	M06.11	M06.46		H02AB
		M05.02	M05.37	M06.12	M06.47		L01AA01
		M05.03	M05.38	M06.13	M06.48		L01BA01
		M05.04	M05.39	M06.14	M06.49		L04A
		M05.05	M05.80	M06.15	M06.80		M01AB
		M05.06	M05.81	M06.16	M06.81		M01AC
		M05.07	M05.82	M06.19	M06.82		M01AE
		M05.08	M05.83	M06.17	M06.83		M01AG
		M05.09	M05.84	M06.18	M06.84		M01AH
		M05.10	M05.85	M06.20	M06.85		M01C
		M05.11	M05.86	M06.21	M06.86		P01BA01
		M05.12	M05.87	M06.22	M06.87		
		M05.13	M05.88	M06.23	M06.88		
		M05.14	M05.89	M06.24	M06.89		
		M05.15	M05.90	M06.25	M06.90		
		M05.16	M05.91	M06.26	M06.91		
		M05.17	M05.92	M06.27	M06.92		
		M05.18	M05.93	M06.28	M06.93		
		M05.19	M05.94	M06.29	M06.94		
		M05.20	M05.95	M06.30	M06.95		
		M05.21	M05.96	M06.31	M06.96		
		M05.22	M05.97	M06.32	M06.97		
		M05.23	M05.98	M06.33	M06.98		
		M05.24	M05.99	M06.34	M06.99		
		M05.25	M06.00	M06.35	M08.00		
		M05.26	M06.01	M06.36	M08.01		
		M05.27	M06.02	M06.37	M08.02		
		M05.28	M06.03	M06.38	M08.03		
		M05.29	M06.04	M06.39	M08.04		
		M05.31	M06.05	M06.40	M08.05		
		M05.30	M06.06	M06.41	M08.06		
		M05.32	M06.07	M06.42	M08.07		
		M05.33	M06.08	M06.43	M08.08		
		M05.34	M06.09	M06.44	M08.09		

Table 25: Schizophrenia

Schizophrenia					
For count purposes, only one of the following psychiatric conditions can be assigned to the same patient: <i>bipolar mood disorder or schizophrenia</i>					
Diagnosis-related information				Proof of Treatment	
Provider code of the diagnosing provider.	AND	ICD10 Codes (Any of the following)		AND	Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Must be a psychiatrist or paediatric psychiatrist or diagnosis must be made by a by a provider employed by a state hospital 022000 056002 056000 056003 056001		F20.0 F20.1 F20.2 F20.3 F20.4	F20.5 F20.6 F20.8 F20.9		N05A

Table 26: Systemic Lupus Erythematosus

Systemic Lupus Erythematosus					
For count purposes, <i>systemic lupus erythematosus</i> may not co-occur with <i>rheumatoid arthritis</i>					
Diagnosis-related information				Proof of Treatment	
Provider code of the diagnosing provider	AND	ICD10 Codes (Any of the following)		AND	Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Must be a specialist physician, paediatrician or rheumatologist or diagnosis must be made by a by a provider employed by a state hospital 018000 056002 018012 056003 032000 031000 056000 056001		M32.0 M32.1 M32.8 M32.9	L93.0 L93.1 L93.2		B01AA03 H02AB L01AA01 L01BA01 L04AD01 L04AD02 L04AA06 L04AX01 M01AB M01AC M01AE M01AG M01AH

Table 27: Ulcerative Colitis

Ulcerative Colitis				
For count purposes, only one of the following gastro intestinal conditions can be assigned to the same patient: <i>crohn's disease or ulcerative colitis</i>				
Diagnosis-related information				Proof of Treatment
Provider code of the diagnosing provider		ICD10 Codes (Any of the following)		Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Must be a specialist physician, surgeon or gastroenterologist or diagnosis must be made by a by a provider employed by a state hospital 042000 018000 019000 056000 056001 056002 056003	AND	K51.0 K51.1 K51.2 K51.3	K51.4 K51.5 K51.8 K51.9	AND A07E H02AB L04AB02

Table 28: HIV/AIDS

HIV/AIDS						
<i>Documented proof that demonstrates that the patient qualifies for ART in accordance with the National Antiretroviral Treatment Guidelines must be made available to auditors on request but may be in the form of voice recordings or other electronic records</i>						
Diagnosis-related information					Proof of Treatment	
Provider code of the diagnosing provider	AND	ICD10 Codes(Any of the following)		AND	AND	Evidence of payment of claims for any product included in the ATC categories below, for services / treatment that was provided in two different calendar months in the three calendar months preceding the current month:
Any registered medical practitioner		B20.0	B21.3			J05AE
		B20.1	B21.7			J05AF
		B20.2	B21.8			J05AG
		B20.3	B21.9			J05AR
		B20.4	B22.0			J05AX08
		B20.5	B22.1			
		B20.6	B22.2			
		B20.7	B22.7			
		B20.8	B23.0			
		B20.9	B23.1			
		B21.0	B23.2			
		B21.1	B23.8			
		B21.2	B24			

Table 29: Maternity

Maternity Codes		
Admission date		Procedure codes (Any of the following)
		2614, 2615, 2616, 2653
OR		OR
		Diagnosis codes (Any of the following)
Confinement Date	AND	<div> O60.0 Preterm labour without delivery O60.1 Preterm labour with preterm delivery O60.2 Preterm labour with term delivery O61.0 Failed medical induction of labour O61.1 Failed instrumental induction of labour O61.8 Other failed induction of labour O61.9 Failed induction of labour, unspecified O62.0 Primary inadequate contractions O62.1 Secondary uterine inertia O62.2 Other uterine inertia O62.3 Precipitate labour O62.4 Hypertonic, incoordinate, and prolonged uterine contractions O62.8 Other abnormalities of forces of labour O62.9 Abnormality of forces of labour; unspecified O63.0 Prolonged first stage (of labour) O63.1 Prolonged second stage (of labour) O63.2 Delayed delivery of second twin; triplet; etc. O63.9 Long labour; unspecified O64.0 Obstructed labour due to incomplete rotation of fetal head O64.1 Obstructed labour due to breech presentation O64.2 Obstructed labour due to face presentation O64.3 Obstructed labour due to brow presentation O64.4 Obstructed labour due to shoulder presentation O64.5 Obstructed labour due to compound presentation O64.8 Obstructed labour due to other malposition and malpresentation O64.9 Obstructed labour due to malposition and malpresentation; unspecified O65.0 Obstructed labour due to deformed pelvis O65.1 Obstructed labour due to generally contracted pelvis O65.2 Obstructed labour due to pelvic inlet contraction O65.3 Obstructed labour due to pelvic outlet and mid-cavity contra O65.4 Obstructed labour due to fetopelvic disproportion; unspecified O65.5 Obstructed labour due to abnormality of maternal pelvic organs O65.8 Obstructed labour due to other maternal pelvic abnormalities O65.9 Obstructed labour due to maternal pelvic abnormality; unspecified O66.0 Obstructed labour due to shoulder dystocia O66.1 Obstructed labour due to locked twins O66.2 Obstructed labour due to unusually large fetus O66.3 Obstructed labour due to other abnormalities of fetus O66.4 Failed trial of labour; unspecified O66.5 Failed application of vacuum extractor and forceps, unspecified O66.8 Other specified obstructed labour O66.9 Obstructed labour; unspecified O67.0 Intrapartum haemorrhage with coagulation defect O67.8 Other intrapartum haemorrhage O67.9 Intrapartum haemorrhage, unspecified O68.0 Labour and delivery complicated by fetal heart rate anomaly </div> <div> O71.7 Obstetric haematoma of pelvis O71.8 Other specified obstetric trauma O71.9 Obstetric trauma, unspecified O72.0 Third-stage haemorrhage O72.1 Other immediate postpartum haemorrhage O72.2 Delayed and secondary postpartum haemorrhage O72.3 Postpartum coagulation defects O73.0 Retained placenta without haemorrhage O73.1 Retained portions of placenta and membranes, without haemorrhage O74.0 Aspiration pneumonitis due to anaesthesia during labour and delivery O74.1 Other pulmonary complications of anaesthesia during labour and delivery O74.2 Cardiac complications of anaesthesia during labour and delivery O74.3 Central nervous system complications of anaesthesia during labour and delivery O74.4 Toxic reaction to local anaesthesia during labour and delivery O74.6 Other complications of spinal and epidural anaesthesia during labour and delivery O74.7 Failed or difficult intubation during labour and delivery O74.8 Other complications of anaesthesia during labour and delivery O74.9 Complication of anaesthesia during labour and delivery, unspecified O75.0 Maternal distress during labour and delivery O75.1 Shock during or following labour and delivery O75.2 Pyrexia during labour, not elsewhere classified O75.3 Other infection during labour O75.4 Other complications of obstetric surgery and procedures O75.5 Delayed delivery after artificial rupture of membranes O75.6 Delayed delivery after spontaneous or unspecified rupture of O75.7 Vaginal delivery following previous caesarean section O75.6 Delayed delivery after spontaneous or unspecified rupture of membranes O75.7 Vaginal delivery following previous caesarean section O75.8 Other specified complications of labour and delivery O75.9 Complication of labour and delivery, unspecified O80.0 Spontaneous vertex delivery O80.1 Spontaneous breech delivery O80.8 Other single spontaneous delivery O80.9 Single spontaneous delivery, unspecified O81.0 Low forceps delivery O81.1 Mid-cavity forceps delivery O81.2 Mid-cavity forceps with rotation O81.3 Other and unspecified forceps </div>

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	<p>O68.1 Labour and delivery complicated by meconium in amniotic fluid</p> <p>O68.2 Labour and delivery complicated by fetal heart rate anomaly</p> <p>O68.3 Labour and delivery complicated by biochemical evidence of f</p> <p>O68.8 Labour and delivery complicated by other evidence of fetal s</p> <p>O68.9 Labour and delivery complicated by fetal stress; unspecified</p> <p>O69.0 Labour and delivery complicated by prolapse of cord</p> <p>O69.1 Labour and delivery complicated by cord around neck; with co</p> <p>O69.2 Labour and delivery complicated by other cord entanglement</p> <p>O69.3 Labour and delivery complicated by short cord</p> <p>O69.4 Labour and delivery complicated by vasa praevia</p> <p>O69.5 Labour and delivery complicated by vascular lesion of cord</p> <p>O69.8 Labour and delivery complicated by other cord complications</p> <p>O69.9 Labour and delivery complicated by cord complication; unspecified</p> <p>O70.0 First degree perineal laceration during delivery</p> <p>O70.1 Second degree perineal laceration during delivery</p> <p>O70.2 Third degree perineal laceration during delivery</p> <p>O70.3 Fourth degree perineal laceration during delivery</p> <p>O70.9 Perineal laceration during delivery, unspecified</p> <p>O71.0 Rupture of uterus before onset of labour</p> <p>O71.1 Rupture of uterus during labour</p> <p>O71.2 Postpartum inversion of uterus</p> <p>O71.3 Obstetric laceration of cervix</p> <p>O71.4 Obstetric high vaginal laceration alone</p> <p>O71.5 Other obstetric injury to pelvic organs</p> <p>O71.6 Obstetric damage to pelvic joints and ligaments</p>	<p>delivery</p> <p>O81.4 Vacuum extractor delivery</p> <p>O81.5 Delivery by combination of forceps and vacuum extractor</p> <p>O82.0 Delivery by elective caesarean section</p> <p>O82.1 Delivery by emergency caesarean section</p> <p>O82.2 Delivery by caesarean hysterectomy</p> <p>O82.8 Other single delivery by caesarean section</p> <p>O82.9 Delivery by caesarean section, unspecified</p> <p>O83.0 Breech extraction</p> <p>O83.1 Other assisted breech delivery</p> <p>O83.2 Other manipulation-assisted delivery</p> <p>O83.3 Delivery of viable fetus in abdominal pregnancy</p> <p>O83.4 Destructive operation for delivery</p> <p>O83.8 Other specified assisted single delivery</p> <p>O83.9 Assisted single delivery, unspecified</p> <p>O84.0 Multiple delivery, all spontaneous</p> <p>O84.1 Multiple delivery, all by forceps and vacuum extractor</p> <p>O84.2 Multiple delivery, all by caesarean section</p> <p>O84.8 Other multiple delivery</p> <p>O84.9 Multiple delivery, unspecified</p> <p>Z37.0 Single live birth</p> <p>Z37.1 Single stillbirth</p> <p>Z37.2 Twins; both liveborn</p> <p>Z37.3 Twins; one liveborn and one stillborn</p> <p>Z37.4 Twins; both stillborn</p> <p>Z37.5 Other multiple births; all liveborn</p> <p>Z37.6 Other multiple births; some liveborn</p> <p>Z37.7 Other multiple births; all stillborn</p> <p>Z37.9 Outcome of delivery; unspecified</p> <p>Z38.0 Singleton; born in hospital</p> <p>Z38.1 Singleton; born outside hospital</p> <p>Z38.2 Singleton; unspecified as to place of birth</p> <p>Z38.3 Twin; born in hospital</p> <p>Z38.4 Twin; born outside hospital</p> <p>Z38.5 Twin; unspecified as to place of birth</p> <p>Z38.6 Other multiple; born in hospital</p> <p>Z38.7 Other multiple; born outside hospital</p> <p>Z38.8 Other multiple; unspecified as to place of birth</p>
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7. ATC code descriptions

The purpose of this section is merely to provide descriptions for the codes that are used in the algorithms and must not be interpreted to append the criteria stipulated in section 6.

Addison's disease	
H02AB	Glucocorticoids
H02AA02	Fludrocortisone
Asthma	
R03AC	Selective beta-2-adrenoreceptor agonists
R03AK	Adrenergics and other drugs for obstructive airway diseases
R03BA	Glucocorticoids
R03BB01	Ipratropium bromide
R03CC	Selective beta-2-adrenoreceptor agonists
R03DA04	Theophylline
R03DC	Leukotriene receptor antagonists
Bipolar mood disorder	
N05AN01	Lithium
N03AX09	Lamotrigine
N03AF01	Carbamazepine
N03AG01	Valproic acid
Bronchiectasis	
H02AB	Glucocorticoids
R03AC	Selective beta-2-adrenoreceptor agonists
R03AK	Adrenergics and other drugs for obstructive airway diseases
R03BA	Glucocorticoids
R03BB01	Ipratropium bromide
R03CC	Selective beta-2-adrenoreceptor agonists
R03DA04	Theophylline
Cardiac Failure and Cardiomyopathy	
C01AA05	Digoxin
C01DA	Organic nitrates
C02DB	Hydrazinophthalazine derivatives
C03	Diuretics
C07	Beta blocking agents
C09	Agents acting on the renin-angiotensin system

Chronic renal disease	
B05D	Peritoneal dialytics
B05Z	Haemodialytics and haemofiltrates
B03XA01	Erythropoietin
V03AE	Drugs for treatment of hyperkalemia and hyperphosphatemia
A11CC	Vitamin D and analogues
L04A	Immunosuppressive agent
Chronic obstructive pulmonary disease	
R03AC	Selective beta-2-adrenoreceptor agonists
R03AK	Adrenergics and other drugs for obstructive airway diseases
R03BA	Glucocorticoids
R03BB	Anticholinergics
R03CC	Selective beta-2-adrenoreceptor agonists
R03DA04	Theophylline
Coronary artery disease	
C01DA	Organic nitrates
C07	Beta blocking agents
C08	Calcium channel blockers
Crohn's disease	
A07E	Intestinal antiinflammatory agents
H02AB	Glucocorticoids
J01XD01	Metronidazole
J01MA	Fluoroquinolones
L04AD01	Ciclosporin
L04AD02	Tacrolimus
L04AB01	Etanercept
L04AB02	Infliximab
L04AX01	Azathioprine
L04AX03	Methotrexate
L01BA01	Methotrexate
P01AB01	Metronidazole
L04AB04	Adalimumab
Diabetes insipidus	
H01BA	Vasopressin and analogues
Diabetes mellitus	
A10A	Insulins and analogues
A10B	Oral blood glucose lowering drugs

Dysrhythmias	
B01AA03	Warfarin
C01A	Cardiac glycosides
C01B	Antiarrhythmics, class i and iii
C07	Beta blocking agents
C08D	Selective calcium channel blockers with direct cardiac effects
Epilepsy	
N03	Antiepileptics
Glaucoma	
S01E	Antiglaucoma preparations and miotics
Haemophilia	
B02AA02	Tranexamic acid
B02BD02	Coagulation factor VIII
B02BD03	Factor VIII inhibitor bypassing activity
B02BD06	Von Willebrand factor and coagulation factor VIII in combination
B02BD04	Coagulation factor IX
H01BA	Vasopressin and analogues
B02BD08	Eptacog alfa (activated)
Hyperlipidaemia	
C10	Serum lipid reducing agents
Hypertension	
C02	Antihypertensives
C03	Diuretics
C07	Beta blocking agents
C08	Calcium channel blockers
C09	Agents acting on the renin-angiotensin system
G04CA03	Terazosin
Hypothyroidism	
H03AA	Thyroid hormones
Multiple sclerosis	
L03AB07	Interferon beta-1a
L03AB08	Interferon beta-1b
Parkinson's disease	
N04	Anti-parkinson drugs

Rheumatoid Arthritis	
A07EC01	Sulfasalazine
H02AB	Glucocorticoids
L01AA01	Cyclophosphamide
L01BA01	Methotrexate
L04A	Immunosuppressive agents
M01AB	Acetic acid derivatives and related substances
M01AC	Oxicams
M01AE	Propionic acid derivatives
M01AG	Fenamates
M01AH	Coxibs
M01C	Specific antirheumatic agents
P01BA01	Chloroquine
Schizophrenia	
N05A	Antipsychotics
Systemic lupus erythematosus	
B01AA03	Warfarin
H02AB	Glucocorticoids
L01AA01	Cyclophosphamide
L01BA01	Methotrexate
L04AD01	Ciclosporin
L04AD02	Tacrolimus
L04AA06	Mycophenolic acid
L04AX01	Azathioprine
M01AB	Acetic acid derivatives and related substances
M01AC	Oxicams
M01AE	Propionic acid derivatives
M01AG	Fenamates
M01AH	Coxibs
Ulcerative colitis	
A07e	Intestinal antiinflammatory agents
L04ab01	Etanercept
H02ab	Glucocorticoids
L04ab02	Infliximab
HIV / AIDS	
J05AE	Protease inhibitors
J05AF	Nucleoside and nucleotide reverse transcriptase inhibitors
J05AG	Non-nucleoside reverse transcriptase inhibitors
J05AR	Antiviral treatment for HIV infections
J05AX08	Raltegravir

8. Details for the days-of-therapy (DOT) method

- 8.1 This methodology considers the Days of Therapy equivalent of issued medication when determining compliance with medication for SRM purposes. This is done in addition to the two-in-three-month and one-in-three-month rules in specified paragraphs 5.7 to 5.9.
- 8.2 This method is applicable only to schemes that have applied in accordance with paragraphs 5.12 to 5.15 to use this additional method.
- 8.3 This section only provides an additional technique to the two-in-three-months and one-in-three-months rules dealing with proof of treatment, and does not affect other elements of these criteria.
- 8.4 Instead of verifying claim frequency based on actual received claims across the three month compliance evaluation period specified in paragraphs 5.7 to 5.9, the DOT method is an additional technique that may be applied by qualifying schemes to derive a compliancy status for patients that do not meet the two-in-three-month and one-in-three-month rules.

Days of therapy (DOT) method

- 8.5 For individuals not meeting the compliance requirements of the two-in-three-month and one-in-three-month rule specified in paragraphs 5.7 to 5.9, matching claims for the preceding five months must be selected. (For example, to determine the SRM status for June of a specific year, the DOT method will select claims for medications issued in January to May).
- 8.6 The first step is to round the DOT value down to the nearest multiple of thirty.
- 8.7 For claims received in the **first** month of the selected five month period the DOT value is considered:
 - 8.7.1 If a zero Rounded DOT value is received on claims, a default value of 30 Days is allocated for these claims.
 - 8.7.2 If the Rounded DOT value on the claim is ≥ 60 Days, an indicator is set to indicate that a claim was received in month one of the three month compliance evaluation period.
- 8.8 For claims received in the **second** of the selected five months claim selection, the DOT is evaluated:

- 8.8.1 If the Rounded DOT value is ≥ 30 Days, an indicator is set to indicate that a claim was received in month one of three month compliance evaluation period.
- 8.8.2 If the Rounded DOT value is ≥ 60 Days, an indicator is set to indicate that a claim was received in month one **and** two of three month compliance evaluation period.
- 8.9 For claims received in the **third** month of the selected five months claim selection (the first month of the three month compliance evaluation period), the DOT is evaluated:
 - 8.9.1 An indicator is set that a claim was received in month one of the three month compliance evaluation period.
 - 8.9.2 If the Rounded DOT value is ≥ 30 Days an indicator is set to indicate that a claim was also received in month two of the of the three month compliance evaluation period.
 - 8.9.3 If the Rounded DOT value is ≥ 60 Days an indicator is set to indicate that a claim was also received in month two **and** month three of the of the three month compliance evaluation period.
- 8.10 For claims received in the **fourth** month of the selected five months claim selection (the second month of the three month compliance evaluation period), the DOT is evaluated
 - 8.10.1 An indicator is set that a claim was received in month two of the three month compliance evaluation period.
 - 8.10.2 If the rounded DOT value is ≥ 30 Days, an indicator is set to indicate that a claim was also received in month three of the three month compliance evaluation period.
 - 8.10.3 If the rounded DOT value is ≥ 60 Days, the same procedure is followed as in 8.10.2.
- 8.11 For claims was received in the **fifth** month of the selected five months claim selection (the third month of the three month compliance evaluation period), the DOT is not considered, but an indicator is set that a claim was received in month three of the three month compliance evaluation period.
- 8.12 Schemes applying the DOT method must submit grids after application of the DOT method in accordance with the specifications in section 4, but must also provide the

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CMS with additional grids that reflect the compliance in accordance with the standard compliance measurements.