

## DOCUMENTATION CHECKLIST



## RESPIRATORY ASSIST DEVICE – E0471

## Bi-Level Pressure Capacity WITH Backup Rate

## REQUIRED DOCUMENTATION

## All Claims for E0471 – Initial Coverage (1st Three Months)

## 5 Element Order (5EO) obtained prior to delivery for the E0470

5 Element Order contains:

Beneficiary's name

Prescribing physician/practitioner's NPI

A description of the item of DME ordered - the description can be either a general description (e.g., wheelchair or hospital bed), a HCPCS code, a HCPCS code narrative, or a brand name/model number

Signature of the prescribing physician/practitioner

Order date

The 5EO must be completed within six (6) months after the required face-to-face examination.

The date of the written order shall be on or before the date of delivery

Any changes or corrections have been initialed/signed and dated by the ordering practitioner.

## Detailed Written Order for any accessories/supplies

The DWO contains all of the following elements:

Beneficiary's name;

Prescribing physician/practitioner's signature (and date if applicable\*)

*\* Someone other than the physician/practitioner may complete the DWO of the item unless statute, manual instructions, the contractor's LCD or policy articles specify otherwise. However, the prescribing physician/practitioner must review the content and sign and date the document.*

The date of the order;

All items, options, or additional features that are separately billed or require an upgraded code. The description can be either a narrative description (e.g., lightweight wheelchair base), a HCPCS code, a HCPCS code narrative, or a brand name/model number.

For supplies – list all supplies that are separately billable, and for each include the frequency of use (if applicable), and the quantity dispensed

The physician's signature on the detailed written order meets **CMS Signature Requirements** <https://www.cms.gov/Outreach-and-Education/Medicare-Learning-Network-MLN/MLNMattersArticles/downloads/MM6698.pdf>

Any changes or corrections have been initialed/signed and dated by the ordering physician.



Delivery Documentation

Direct Delivery	Shipped/Mail Order Tracking Slip	Shipped/Mail Order Return Post-Paid Delivery Invoice
Beneficiary's name Delivery address Quantity delivered A description of the item(s) being delivered. The description can be either a narrative description (e.g., lightweight wheelchair base), a HCPCS code, the long description of a HCPCS code, or a brand name/model number. Signature of person accepting delivery Relationship to beneficiary Delivery date	Shipping invoice Beneficiary's name Delivery address A description of the item(s) being delivered. The description can be either a narrative description (e.g., lightweight wheelchair base), a HCPCS code, the long description of a HCPCS code, or a brand name/model number. Quantity shipped Tracking slip References each individual package Delivery address Package I.D. #number Date shipped Date delivered A common reference number (package ID #, PO #, etc.) links the invoice and tracking slip (may be handwritten on one or both forms by the supplier)	Shipping invoice Beneficiary's name Delivery address A description of the item(s) being delivered. The description can be either a narrative description (e.g., lightweight wheelchair base), a HCPCS code, the long description of a HCPCS code, or a brand name/model number. Quantity shipped Date shipped NOTE: If a supplier utilizes a shipping service or mail order, suppliers have two options for the DOS to use on the claim: 1. Suppliers may use the shipping date as the DOS. The shipping date is defined as the date the delivery/shipping service label is created or the date the item is retrieved by the shipping service for delivery. However, such dates should not demonstrate significant variation. 2. Suppliers may use the date of delivery as the DOS on the claim. Signature of person accepting delivery Relationship to beneficiary Delivery date

**BILLING REMINDER**

- **Direct Deliveries** - The date the beneficiary received the DMEPOS supply shall be the date of service on the claim.
- **Shipped or mailed** - The date shipped shall be the date of service on the claim. The shipping date may be defined as the date the delivery/shipping service label is created or the date the item is retrieved for delivery. However, such dates should not demonstrate significant variation.

**Medical Record Documentation**

Medical records include documentation of a face-to-face encounter between the beneficiary and the ordering practitioner that occurred within 6 months prior to completion of the 5EO.

The medical record fully documents symptoms characteristic of sleep-associated hypoventilation (daytime hypersomnolence, excessive fatigue, morning headache, cognitive dysfunction, dyspnea, etc.)

Medical records support that the beneficiary has one of the following clinical disorders and meets all coverage criteria for that clinical disorder.

**Restrictive Thoracic Disorder**

The beneficiary's medical record documents a neuromuscular disease (for example, ALS) or a severe thoracic cage abnormality (for example, post-thoracoplasty for TB); **and**

The medical record documents ONE of the following:

An arterial blood gas PaCO<sub>2</sub>, done while the beneficiary is awake and breathing the prescribed FI<sub>O2</sub>, is greater than or equal to 45 mm Hg; **or**



Sleep oximetry demonstrates oxygen saturation less than or equal to 88% for greater than or equal to 5 minutes of nocturnal recording time (minimum recording time of 2 hours), done while breathing the beneficiary’s prescribed recommended FIO2; **or**

For neuromuscular disease only,

The maximal inspiratory pressure is less than 60 cm H2O **or**

Forced vital capacity is less than 50% predicted; **and**

The medical record supports that COPD does not contribute significantly to the beneficiary’s pulmonary limitation.

**Severe COPD** - Covered in either of the two situations below, depending on the testing performed to demonstrate the need.

**Situation 1** – Beneficiary qualified for an E0470 device and, after any period of initial use of an E0470 device, both of the following criteria are met.

An arterial blood gas PaCO2, done while awake and breathing the beneficiary’s prescribed FIO2, shows that the beneficiary’s PaCO2 worsens greater than or equal to 7 mm HG compared to the ABG result performed to qualify the beneficiary for the E0470 device; and

A facility-based PSG demonstrates oxygen saturation less than or equal to 88% for greater than or equal to a cumulative 5 minutes of nocturnal recording time (minimum recording time of 2 hours) while using an E0470 device that is not caused by obstructive upper airway events – i.e., AHI less than 5.

**Situation 2** – Beneficiary qualified for an E0470 device and, at a time no sooner than 61 days after initial issue of the E0470 device, both of the following criteria are met:

An arterial blood gas PaCO2 done while awake and breathing the beneficiary’s prescribed FIO2, still remains greater than or equal to 52 mm Hg.

Sleep oximetry, while breathing with the E0470 device, demonstrates oxygen saturation less than or equal to 88% for greater than or equal to a cumulative 5 minutes of nocturnal recording time (minimum recording time of 2 hours), done while breathing oxygen at 2 LPM or the beneficiary’s prescribed FIO2 [whichever is higher].

**Central Sleep Apnea or Complex Sleep Apnea**

Prior to initiating therapy, a complete facility-based, attended polysomnogram was performed.

The polysomnogram documents **all** of the following.

A diagnosis of central sleep apnea (CSA) or complex sleep apnea (CompSA); **and**

There was significant improvement of the sleep-associated hypoventilation with the use of the device on the settings prescribed for initial use at home, while breathing the beneficiary’s prescribed FIO2.

**Central sleep apnea (CSA) is defined as:**

1. An apnea-hypopnea index (AHI) greater than 5, and
2. The sum total of central apneas plus central hypopneas is greater than 50% of the total apneas and hypopneas, and
3. A central apnea-central hypopnea index (CAHI) is greater than or equal to 5 per hour, and
4. The presence of at least one of the following:
 

- Sleepiness	- Awakening short of breath
- Difficulty initiating or maintaining sleep, frequent awakenings, or nonrestorative sleep	- Snoring
	- Witnessed apneas
5. There is no evidence of daytime or nocturnal hypoventilation.



**Complex sleep apnea (CompSA) is a form of central apnea specifically identified by all of the following:**

1. With use of a positive airway pressure device without a backup rate (E0601 or E0470), the polysomnogram (PSG) shows a pattern of apneas and hypopneas that demonstrates the persistence or emergence of central apneas or central hypopneas upon exposure to CPAP (E0601) or a bi-level device without backup rate (E0470) device when titrated to the point where obstructive events have been effectively treated (obstructive AHI less than 5 per hour).
2. After resolution of the obstructive events, the sum total of central apneas plus central hypopneas is greater than 50% of the total apneas and hypopneas; and
3. After resolution of the obstructive events, a central apnea-central hypopnea index (CAHI) greater than or equal to 5 per hour.

### **Hypoventilation Syndrome**

A covered E0470 device is being used; and

Spirometry shows an FEV1/FVC greater than or equal to 70%. (Refer to SEVERE COPD [above] for information about device coverage for beneficiaries with FEV1/FVC less than 70%; and

One of the following criteria are met:

An arterial blood gas PaCO<sub>2</sub>, done while awake, and breathing the beneficiary's prescribed FIO<sub>2</sub>, shows that the beneficiary's PaCO<sub>2</sub> worsens greater than or equal to 7 mm HG compared to the ABG result performed to qualify the beneficiary for the E0470 device; or

A facility-based PSG or HST demonstrates oxygen saturation less than or equal to 88% for greater than or equal to 5 minutes of nocturnal recording time (minimum recording time of 2 hours) that is not caused by obstructive upper airway events – i.e., AHI less than 5 while using an E0470 device. (Refer to the Positive Airway Pressure Devices LCD for information about E0470 coverage for obstructive sleep apnea).

### **All Claims for E0471 – Continued Coverage (Beyond the 1st Three Months of Therapy)**

The medical record contains a re-evaluation on or after the 61st day of therapy.

The re-evaluation records the progress of relevant symptoms; and

The re-evaluation documents beneficiary usage of the device up to that time.

The supplier's file includes a signed and dated statement completed by the treating physician no sooner than 61 days after initiating use of the device.

The statement declares that the beneficiary compliantly uses the device (an average of 4 hours per 24 hour period); and

The statement confirms that the beneficiary is benefiting from its use.

### **Replacement E0471 During Reasonable Useful Lifetime Due to Loss, Theft, or Irreparable Damage**

Documentation that verifies the reason for the replacement (police report, insurance report, fire report, etc.)

### **Replacement E0471 Following 5 year RUL**

Face-to-face evaluation by the treating physician that documents the beneficiary continues to use and benefit from the device

5EO obtained prior to delivery for the E0471

### **Beneficiaries Entering Medicare (Continued Use of Existing Device or Replacement Device)**

5EO obtained prior to delivery for the E0471

Qualification testing shows that the beneficiary meets current coverage criteria for one of the 4 clinical disorder groups covered under the RAD policy. (Testing may either have been performed prior to Medicare eligibility or following enrollment in FFS Medicare.)



The treating physician conducted a clinical evaluation following the beneficiary's enrollment in FFS Medicare that documents:

- The beneficiary has the qualifying medical condition for the applicable scenario; and
- The testing performed, date of the testing used for qualification and results; and
- The beneficiary continues to use the device; and,
- The beneficiary is benefiting from the treatment.

### Refill Request For Non-Consumable Supplies

Beneficiary's name or authorized representative if different from the beneficiary

A description of each item that is being requested

Date of the request

Documentation that describes the functional condition of the item(s) being refilled in sufficient detail to demonstrate the cause of the dysfunction that necessitates the replacement

Contact did not take place sooner than 14 days prior to the delivery/shipping date

Delivery was no sooner than 10 calendar days prior to end of usage for the current product

### Continued Medical Need for the equipment/accessories/supplies is verified by either:

A refill order from the treating physician dated within 12 months of the date of service under review; or

A change in prescription dated within 12 months of the date of service under review; or

A medical record, dated within 12 months of the date of service under review, that shows usage of the item.

## REMINDERS

- Items with no physician or other licensed health care provider order must be submitted with an "EY" modifier added to each affected HCPCS code.
- Suppliers should not submit claims to the DME MAC prior to obtaining a valid written order. Items billed to the DME MAC before a signed and dated order has been received must be submitted with an "EY" modifier added to each affected HCPCS code.
- Where permitted, KX must be added to code E0471 and codes for the accessories.
- For initial coverage, the KX modifier must not be used on claims unless all RAD coverage criteria are met and all required documentation has actually been obtained.
- For continued coverage, the KX modifier can only be used on claims if both the "Initial Coverage" criteria and "Continued" Coverage criteria have been met. See the RAD LCD for detailed information about use of the KX modifier.
- If all the coverage criteria have not been met, the GA or GZ modifier must be added to the code. When there is an expectation of a medical necessity denial, suppliers must enter GA on the claim line if they have obtained a properly executed Advance Beneficiary Notice (ABN) or GZ if they have not obtained a valid ABN.
- Claim lines billed without a KX, GA, or GZ modifier will be rejected as missing information.

## ONLINE RESOURCES

- **DME MAC Supplier Manual**
  - **JB:** <https://www.cgsmedicare.com/jb/pubs/supman/index.html>
  - **JC:** <https://www.cgsmedicare.com/jc/pubs/supman/index.html>
- **Local Coverage Determinations (LCDs) and Policy Articles**
  - **JB:** <https://www.cgsmedicare.com/jb/coverage/lcdinfo.html>
  - **JC:** <https://www.cgsmedicare.com/jc/coverage/LCDinfo.html>



**NOTE:** It is expected that the beneficiary's medical records will reflect the need for the care provided. These records are not routinely submitted to the DMERC but must be available upon request. Therefore, while it is not a requirement, it is a recommendation that suppliers obtain and review the appropriate medical records and maintain a copy in the beneficiary's file.

### DISCLAIMER

This document was prepared as an educational tool and is not intended to grant rights or impose obligations. This checklist may contain references or links to statutes, regulations, or other policy materials. The information provided is only intended to be a general summary. It is not intended to take the place of either written law or regulations. Suppliers are encouraged to consult the *DME MAC Supplier Manual* and the Local Coverage Determination/Policy Article for full and accurate details concerning policies and regulations.