

## *NYS Division of Disability Determinations*

### **Data Exchange Guidelines**

#### **CE Data Transfer**

1. CE Data Transfer System Requirements (1 p.)
2. Record Layout for the Transfer Record To Data Transfer Providers (3 pp.)
3. CE Data Transfer, Fields Going to Provider (3 pp.)
4. Record Layout for Provider's Return Record (3 pp.)
5. CE Data Transfer, Provider Return Fields (2 pp.)
6. Instructions for Completion of DDD-4184 (4 pp.)
7. DDD-4184, CE Appointment History Form (1 p.)
8. Sequence of Download & Return Transfer Records (2 pp.)
9. Record Layout for Procedure File (1 p.)
10. Trailer Line Layout for CE-5, 5B, 7, 9 and DDD-4334 (4 pp.)
11. Instructions for Provider Generated CE-7 (1 p.)
12. Combined Primary/Secondary CE Orders (1 p.)
13. Claimant Letter and Voucher Paragraphs (3 pp.)
14. Regional Office Mailing Addresses (1 p.)
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16. CE Exam Results Structured Data (5 pp.)
17. CE Unstructured Data (1 p.)
18. File Exchange Process (1 p.)

OTDA reserves the right to make changes in the System Requirements, format of Data Transfer, Record Layout, Structured and Unstructured data, etc. The Contractor is required to comply with these requests without any further financial compensation from OTDA.

REVISED 6/2013

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CE Data Transfer System Requirements

**Provider Specifications**

- High speed cable or DSL connection
- Access to an Internet Service Provider.
- May require a digital certificate

**Record Layout – Download to Provider  
(Including Cancellations & Supplementals)**

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*****
*** WSMG4100 ***
*****
*** THIS PROC IS USED AS THE RECORD LAYOUT FOR THE CE DATA ***
*** TRANSFER RECORD. ***
*** THE RECORD CONTAINS 5000 CHARACTERS. ***
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01 CDT-RECORD.
  03 CDT-HEADER-INFO.
    05 CDT-PROVIDER-NO.
      07 CDT-PROVIDER-ID PIC X(09).
      07 CDT-PROVIDER-LOC PIC X(01).
    05 CDT-OV-NUM PIC X(07).
    05 CDT-REGION PIC 9(01).
    05 CDT-MODULE PIC X(01).
    05 CDT-UNIT PIC X(03).
    05 CDT-PIN PIC 9(04).
    05 CDT-FILLER PIC X(09).
    05 CDT-CLAIM-BIC PIC X(04).
    05 CDT-TASK-NUMBER PIC 9(02).
  03 CDT-PHONE-NO PIC 9(10).
  03 CDT-PROVIDER PIC X(30).
  03 CDT-ORD-DATE.
    05 CDT-ORD-DATE-YY PIC XX.
    05 CDT-ORD-DATE-MM PIC XX.
    05 CDT-ORD-DATE-DD PIC XX.
  03 CDT-CLAIMANT-NAME.
    05 CDT-CLAIMANT-FIRST-NAME PIC X(13).
    05 CDT-CLAIMANT-MIDDLE-INIT PIC X.
    05 CDT-CLAIMANT-SURNAME PIC X(20).
  03 CDT-CLAIMANT-ADDR.
    05 CDT-CLAIMANT-ADDR1 PIC X(30).
    05 CDT-CLAIMANT-ADDR2 PIC X(30).
    05 CDT-CLAIMANT-CITY PIC X(20).
    05 CDT-CLAIMANT-STATE PIC X(02).
    05 CDT-CLAIMANT-ZIP PIC X(09).
  03 CDT-TOLL-NUMBER PIC 9(11).
  03 CDT-REGIONAL-ADDR.
    05 CDT-REGIONAL-STREET PIC X(30).
    05 CDT-REGIONAL-CITY PIC X(20).
    05 CDT-REGIONAL-STATE PIC X(02).
    05 CDT-REGIONAL-ZIP PIC X(09).
  03 CDT-SPECIAL-ADDR.
    05 CDT-SPEC-PROV-NAME PIC X(30).
    05 CDT-SPECIAL-ADDR1 PIC X(30).
    05 CDT-SPECIAL-ADDR2 PIC X(30).
    05 CDT-SPECIAL-CITY PIC X(20).
    05 CDT-SPECIAL-STATE PIC X(02).
    05 CDT-SPECIAL-ZIP PIC X(09).
  03 CDT-CLAIM-PHONE-NUM PIC 9(10).
  03 CDT-CLAIMANT-DOB PIC 9(06).

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03 CDT-GRP-ORD-VOUCHS.
  05 CDT-OTHER-OVS          OCCURS 4 TIMES.
    07 CDT-SEC-OV-NUM          PIC X(07).
    07 CDT-SEC-PROV-ID.
      10 CDT-SEC-PROV-NUM      PIC X(09).
      10 CDT-SEC-PROV-LOC      PIC X(01).
    07 CDT-SEC-PROV-NAME      PIC X(30).
    07 CDT-SEC-ADDR1          PIC X(30).
    07 CDT-SEC-ADDR2          PIC X(30).
    07 CDT-SEC-CITY           PIC X(20).
    07 CDT-SEC-STATE          PIC X(02).
    07 CDT-SEC-ZIP            PIC X(09).
  05 CDT-SEC-PROC-INFO      OCCURS 11 TIMES.
    07 CDT-SEC-PROC-OV        PIC X(07).
    07 CDT-SEC-PROC-CODE      PIC X(6).
    07 CDT-SEC-PROC-DISC      PIC X(40).
    07 CDT-SEC-PROC-FEE       PIC 999V99.
    07 CDT-SEC-PROC-DIST      PIC X(1).
  05 CDT-PROCEDURE-CODES    OCCURS 12 TIMES.
    07 CDT-PROC-CODES         PIC X(06).
    07 CDT-PROC-FEE           PIC 999V99.
    07 CDT-PROC-DIST          PIC X(01).
    07 CDT-PROC-DISC          PIC X(40).
03 CDT-CE5-LETTER.
  05 CDT-CE5                  OCCURS 5 TIMES    PIC X(02).
03 CDT-CE7-LETTER.
  05 CDT-CE7                  OCCURS 4 TIMES    PIC X(01).
03 CDT-COND-CODES.
  05 CDT-COND-CODE            OCCURS 2 TIMES    PIC X(04).
  05 CDT-COND-DISC            OCCURS 2 TIMES    PIC X(92).
03 CDT-FORM-CODES            OCCURS 26 TIMES    PIC X(11).
03 CDT-RETURN-ADDR.
  05 CDT-RETURN-STREET        PIC X(30).
  05 CDT-RETURN-CITY          PIC X(20).
  05 CDT-RETURN-STATE         PIC X(02).
  05 CDT-RETURN-ZIP           PIC X(09).

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\*\*\*\*\* BACKGROUND INFORMATION TO CEMD \*\*\*\*\*

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03 CDT-ADD-INFO              PIC X.
03 CDT-CLMT-OCCUPATION        PIC X(30).
03 CDT-CLMT-COMPLAINTS        PIC X(50).
03 CDT-CLMT-OBSERVATION        PIC X(110).
03 CDT-NON-HOSP-DAT-FROM      OCCURS 2 TIMES.
  05 CDT-NON-HOSP-DT-FROM      PIC 9(6).
03 CDT-NON-HOSP-DAT-TO        OCCURS 2 TIMES.
  05 CDT-NON-HOSP-DT-TO        PIC 9(6).
03 CDT-NON-HOSP-DIAGS         OCCURS 2 TIMES.
  05 CDT-NHOSP-DIAGNOSIS       PIC X(20).
03 CDT-NON-HOSP-TREAT         OCCURS 2 TIMES.
  05 CDT-NHOSP-TREATMENT       PIC X(30).
03 CDT-NON-HOSP-EXAM          OCCURS 2 TIMES.
  05 CDT-NHOSP-EXAM-FIND       PIC X(30).
03 CDT-NON-HOSP-LAB           OCCURS 2 TIMES.
  05 CDT-NHOSP-LAB-FIND        PIC X(20).
03 CDT-HOSP-DAT-FROM          OCCURS 2 TIMES.
  05 CDT-HOSP-DT-FROM          PIC 9(6).
03 CDT-HOSP-DAT-TO            OCCURS 2 TIMES.
  05 CDT-HOSP-DT-TO            PIC 9(6).
03 CDT-HOSP-DIAGS             OCCURS 2 TIMES.
  05 CDT-HOSP-DIAG             PIC X(20).

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03 CDT-HOSP-TREATMENT	OCCURS 2 TIMES.	
05 CDT-HOSP-TREAT		PIC X(30).
03 CDT-OTHER-REMARKS.		
05 FILLER		PIC X(255).
05 FILLER		PIC X(255).
05 FILLER		PIC X(140).
<b>***** THIRD PARTY REP/OTHER DATA DSS-4334 *****</b>		
03 CDT-REP-NAME		PIC X(34).
03 CDT-REP-ADDR1		PIC X(30).
03 CDT-REP-ADDR2		PIC X(30).
03 CDT-REP-CITY		PIC X(20).
03 CDT-REP-STATE		PIC X(02).
03 CDT-REP-ZIP		PIC X(09).
03 CDT-OTH-NAME		PIC X(34).
03 CDT-OTH-ADDR1		PIC X(30).
03 CDT-OTH-ADDR2		PIC X(30).
03 CDT-OTH-CITY		PIC X(20).
03 CDT-OTH-STATE		PIC X(02).
03 CDT-OTH-ZIP		PIC X(09).
03 CDT-ANAL-FNAME-INIT		PIC X.
03 CDT-ANAL-LNAME		PIC X(20).
03 CDT-ANAL-TITLE		PIC X(18).
03 CDT-ANAL-UNIT-NAME		PIC X(07).
03 CDT-ANAL-MOD		PIC X.
03 CDT-ANAL-UNIT		PIC X(3).
03 CDT-CASE-TITLE		PIC X(2).
03 CDT-CENTURY.		
05 CDT-ORD-DATE-CC		PIC XX.
05 CDT-CLAIMANT-DOB-CC		PIC XX.
03 CDT-SPECIAL-PHONE-NO		PIC X(10).
03 CDT-UNIT-FAX-NO		PIC 9(11).
03 CDT-CANCEL-INFO.		
05 CDT-CANCEL		PIC X(6). "CANCEL"
05 CDT-CANCEL-DATE		PIC X(8). "CCYYMMDD"
03 CDT-SUPL-ORDER-TAG		PIC X(18).
<b>***** OTHER MISC DATA *****</b>		
03 CDT-SNO-FLAG		PIC X.
03 FILLER		PIC X(197).
03 FILLER		PIC X(255).
03 FILLER		PIC X(197).
03 CDT-END-REC		PIC X(003).

CE DATA TRANSFER DATA FIELDS										
FIELDS	SOURCE	DESCRIPTION	SIZE	CE-7*	CE-5,5B*	CE-9	CE-2	4149*	4184*	4334
Phone No.	Staff File	Analyst's local phone #	Num [10]	x	x	x	x			
Provider	Prov. File	Specialist's name	Char [30]	x	x	x	x			
O&V No.	CE Rec.	Unique Order & Voucher #	Char [07]	x	x	x	x		x	
Order Date	CE Rec.	Date CE Order generated	Num [06]	x	x	x	x			x
Region	Staff File	Region Identifier	Num [01]	x	x	x	x	x	x	
MOD	Staff File	Module Identifier	Char [01]	x	x	x	x	x	x	
Unit	Staff File	Unit Identifier	Char [03]	x	x	x	x	x	x	
PIN	Staff File	Analyst's Pers. ID Number	Num [04]	x	x	x	x	x	x	
<b>FILLER</b>	<b>Case File</b>	<b>Filler</b>	Char [09]	x	x	x	x	x	x	x
BIC	Case File	Claimant's BIC	Char [04]					x		
Task Number	Case File	CPL Task Number	Num [02]	x	x	x	x		x	x
Claimant Name	Case File	Claimant's name								
		First	Char [13]	x	x	x	x	x	x	
		Middle Initial	Char [01]	x	x	x	x	x	x	
Claimant Address	Case File	Last	Char [20]	x	x	x	x	x	x	
		Claimant's Address								
		Address 1	Char [30]	x	x	x	x			
Payee ID	Prov. File	Address 2	Char [30]	x	x	x	x			
		City	Char [20]	x	x	x	x			
		State	Char [02]	x	x	x	x			
		Zip	Char [09]	x	x	x	x			
		Provider's ID Number	Char [09]	x						
Provider Location	Prov. File	Primary Provider ID	Char [09]	x			x			
		Secondary Provider ID (occurs maximum of 4 times)	Char [09]	x			x			x
Toll-free Phone	Reg'l Addr.	Provider Location Code								
		Primary Provider Location	Char [01]	x			x			
Regional Address	Reg'l Addr.	Secondary Provider Location (occurs maximum of 4 times)	Char [01]	x			x			x
		Region's Toll-Free Phone No.	Num [11]		x	x	x			x
Specialist's Address	Prov. File	Region's mailing address								
		Street Address	Char [30]				x	x		
		City	Char [20]				x	x		
		State	Char [02]				x	x		
		Zip	Char [09]				x	x		
Claimant Phone Number	Case File	Provider's Service address								
		Provider Name	Char [30]		x	x	x			
		Address Line 1	Char [30]		x	x	x			
		Address Line 2	Char [30]		x	x	x			
		City	Char [20]		x	x	x			
DOB	Case File	State	Char [02]		x	x	x			
		Zip	Char [09]		x	x	x			
Other O&V #(s)	CE File	Secondary Order Numbers (occurs maximum of 4 times)	Char [07]	x						
Secondary Provider Address	Prov. File	Secondary Prov's Service Addr. (occurs a maximum of 4 times)								
		Provider Name	Char [30]		x	x	x			
		Address Line 1	Char [30]		x	x	x			
		Address Line 2	Char [30]		x	x	x			
		City	Char [20]		x	x	x			
		State	Char [02]		x	x	x			
Procedure Codes	Proc. File	Zip	Char [09]		x	x	x			
		Procedure Codes (occurs 12 times each O&V)	Char [06]	x						
Procedure Code Distinction	CE File	Procedure Code Distinction (occurs 12 times each O&V)	Char [01]	x						
Procedure Code Description	Proc. File	Procedure Fees (occurs 12 times each O&V)	Char [40]	x						

# CE Data Transfer, Upload Record

# APPENDIX S

Special Paragraphs	Print File	Special paragraph requests CE-5 paragraphs (possible 5 occurrences)	Char [0 2]	x						
		CE-7 paragraphs (possible 4 occurrences)	Char [01]	x						
Condition Code	Alleg. File	Condition Code (maximum of 2 occurrences)	Char [04]		x					
Condition Description	Alleg. File	Condition Code (maximum of 2 occurrences)	Char [92]		x					
Form Codes	Proc. File	Reporting Form Codes (26 occurrences)	Char [11]	x						
Case Title	Case File	SSA Title for Funding	Char [02]	x						
Return To Address	Reg'l Addr.	Regional address for Return Street Address City State Zip	Char [30] Char [20] Char [02] Char [09]	x x x x						
DDD-4149 BACKGROUND INFORMATION TO CEMD – DATA ELEMENTS										
Additional Information ? (Y/N)	Anal. Input	Indicates whether additional inf.	Char [01]					x		
Occupation	Anal. Input	Claimant's occupation	Char [30]					x		
Complaints	Anal. Input	Claimant's complaints	Char [30]					x		
Observations	Anal. Input	Interviewer's observations of claimant at SSA Office	Char [110]					x		
Non-Hospitalization From Date	Case File	Non-hospital treatment From Date (occurs twice)	Num [06]					x		
Non-Hospitalization To Date	Case File	Non-hospital treatment To Date (occurs twice)	Num [06]					x		
Diagnosis (non-hospital)	Case File	Diagnosis for non-hospital treatment (occurs twice)	Char [20]					x		
Treatment/Response (non-hospital)	Case File	Treatment & response for non-hospital treatment (occurs twice)	Char [30]					x		
Exam Findings (non- hosp.)	Case File	Exam findings for non-hospital treatment (occurs twice)	Char [30]					x		
Lab findings (non-hospital)	Case File	Lab findings for non-hospital treatment (occurs twice)	Char [20]					x		
Hospitalization From Date	Case File	Hospitalization From Date (occurs twice)	Num [06]					x		
Hospitalization To Date	Case File	Hospitalization From Date (occurs twice)	Num [06]					x		
Diagnosis (in hospital)	Case File	Hospitalization diagnosis (occurs twice)	Char [20]					x		
Treatment/Response (in hospital)	Case File	Hospitalization treatment/resp. (occurs twice)	Char [30]					x		
Other Remarks	Anal. Input	Free-format additional information (8 lines of 77 characters)	Char [650]					x		
DDD-4334 COVER LETTER TO THIRD PARTY REP/OTHER DATA ELEMENTS (One, but not both)										
Third Party Rep. Name	Case File	Third Party Rep's Name First Middle Initial Last	Char [13] Char [01] Char [20]		x x x	x x x				x x x
Third Party Rep Address	Case File	Third Party Rep's Address Address 1 Address 2 City State Zip	Char [30] Char [30] Char [20] Char [02] Char [09]		x x x x x	x x x x x				x x x x x
Other Party Name	Case File	Other Party's Name First Middle Initial Last	Char [13] Char [02] Char [20]		x x x	x x x				x x x

**CE Data Transfer, Upload Record**

**APPENDIX S**

Other Party Address	Case File	Other Party's Address Address 1 Address 2 City State Zip	Char [30] Char [30] Char [20] Char [02] Char [09]		x x x x x	x x x x x					x x x x x
Analyst's Name	Staff File	First Initial Last	Char [01] Char [11]								x x
Analyst's Title	(Hard Code)	"Disability Analyst"	Char [18]								x
Analyst's MOD/Unit	Staff File	"Unit - "+MOD+Unit	Char [11]								x
Order Date – Century	CE Rec.	Century of Order Creation	Char [02]		x						
Claimant's DOB Century	Case File	Century of Claimant's DOB	Char [02]		x						
Specialist's Phone Number	Prov. File	Specialist's Phone Number	Char [10]		x						
Unit FAX Number	Reg'l Addr.	DDD Unit's FAX Number	Char [11]		x						
Cancel CE	CE Rec.	"CANCEL"	Char [06]								
Cancellation Date	CE Rec.	Date CE was cancelled	Char [08]								
Supplemental Order Tag	CE Rec	"SUPPLEMENTAL ORDER"	Char [18]								
SNO Flag	Case File	Type of delivery required for Blind	Char[01]								
Filler	(Hard Code)	Filler	Char [229]								
Filler	(Hard Code)	Filler	Char [255]								
Filler	(Hard Code)	Filler	Char [197]								
End of Record	(Hard Code)	End of Record	Char [03]								

<b>*Forms #</b>	<b>Description</b>
CE-7	CE Order & Voucher
CE-5/5b	Appointment Letter
CE-9	Authorization to Release Inf. Letter
CE-2	Instructions to Secondary Provider
4149	Background Information to CEMD
4184	Inf. from Provider on Status of Appointment
4334	Claimant Letter Regarding Inf. Sent to Representative

## Record Layout – Upload from Provider

01	DTP-RECORD.	
03	DTP-HEADER-INFO.	
05	DTP-PROVIDER-NO.	
07	DTP-PROVIDER-NUM	PIC X(9).
07	DTP-PROVIDER-LOC	PIC X.
05	DTP-OV-NUM.	
07	DTP-OV-FIRST-1	PIC X.
07	DTP-OV-LAST-6	PIC X(6).
05	DTP-REGION	PIC 9.
05	DTP-MODULE	PIC X.
05	DTP-UNIT	PIC XXX.
05	DTP-PIN	PIC 9999.
05	DTP-FILLER	PIC X(9).
05	DTP-CLAIM-BIC	PIC X(4).
05	DTP-TASK-NUMBER	PIC 99.
03	DTP-DSS-4184-1ST.	
05	DTP-APPT-DATE-1ST.	
07	DTP-APPT-YY-1ST	PIC XX.
07	DTP-APPT-MM-1ST	PIC XX.
07	DTP-APPT-DD-1ST	PIC XX.
05	DTP-APPT-TIME-1ST.	
07	DTP-APPT-HOUR-1ST	PIC XX.
07	DTP-APPT-MIN-1ST	PIC XX.
05	DTP-APPT-AM-PM-1ST	PIC X.
05	DTP-BY-PHONE-1ST	PIC X.
05	DTP-BY-LETTER-1ST	PIC X.
05	DTP-UNABLE-TO-CONTACT-1ST	PIC X.
05	DTP-UNABLE-DAY-ONE-1ST	PIC X(6).
05	DTP-UNABLE-DAY-TWO-1ST	PIC X(6).
05	DTP-WILL-ATTEND-1ST	PIC X.
05	DTP-WILL-NOT-ATTEND-1ST	PIC X.
05	DTP-WILL-NOT-ATTEND-REASON-1ST	PIC X.
05	DTP-APPT-KEPT-1ST	PIC X.
05	DTP-EXAMS-TESTS-COMP-1ST	PIC X.
05	FILLER	PIC X(5).
05	DTP-APPT-NOT-KEPT-NO-CALL-1ST	PIC X.
05	DTP-APPT-CANCELED-1ST	PIC X.
05	DTP-APPT-RESCHEDULED-1ST	PIC X.
03	DTP-DSS-4184-2ND.	
05	DTP-APPT-DATE-2ND.	
07	DTP-APPT-YY-2ND	PIC XX.
07	DTP-APPT-MM-2ND	PIC XX.
07	DTP-APPT-DD-2ND	PIC XX.

THE FORMAT FOR  
DATES WITH  
PIC X (6)  
IS YYMDD

UNABLE-DAY-ONE 1<sup>ST</sup>  
UNABLE-DAY-TWO-1<sup>ST</sup>  
UNABLE-DAY-ONE-2<sup>ND</sup>  
UNABLE-DAY-TWO-2<sup>ND</sup>

## Record Layout – Upload from Provider (continued)

05 DTP-APPT-TIME-2ND.	
07 DTP-APPT-HOUR-2ND	PIC XX.
07 DTP-APPT-MIN-2ND	PIC XX.
05 DTP-APPT-AM-PM-2ND	PIC X.
05 DTP-BY-PHONE-2ND	PIC X.
05 DTP-BY-LETTER-2ND	PIC X.
05 DTP-UNABLE-TO-CONTACT-2ND	PIC X.
05 DTP-UNABLE-DAY-ONE-2ND	PIC X(6).
05 DTP-UNABLE-DAY-TWO-2ND	PIC X(6).
05 DTP-WILL-ATTEND-2ND	PIC X.
05 DTP-WILL-NOT-ATTEND-2ND	PIC X.
05 DTP-APPT-KEPT-2ND	PIC X.
05 DTP-EXAMS-TESTS-COMP-2ND	PIC X.
05 FILLER	PIC X(5).
05 DTP-APPT-NOT-KEPT-NO-CALL-2ND	PIC X.
05 DTP-APPT-CANCELED-2ND	PIC X.
03 DTP-DSS-4184-3RD.	
05 DTP-APPT-APPROVED-3RD	PIC X.
05 DTP-APPT-DATE-3RD.	
07 DTP-APPT-YY-3RD	PIC XX.
07 DTP-APPT-MM-3RD	PIC XX.
07 DTP-APPT-DD-3RD	PIC XX.
05 DTP-APPT-TIME-3RD.	
07 DTP-APPT-HOUR-3RD	PIC XX.
07 DTP-APPT-MIN-3RD	PIC XX.
05 DTP-APPT-AM-PM-3RD	PIC X.
05 DTP-APPT-KEPT-3RD	PIC X.
05 DTP-EXAMS-TESTS-COMP-3RD	PIC X.
05 FILLER	PIC X(5).
05 DTP-APPT-NOT-KEPT-3RD	PIC X.
03 DTP-ACK-INFO.	
05 DTP-SEQ-NUM	PIC X(8).
05 DTP-ACK-FLAG	PIC X.
05 DTP-ACK-DATE	PIC X(8).
03 FILLER	PIC X(46).

## Record Layout – Upload from Provider (continued)

01	3RD-APPT-RECORD.	
03	3RD-APPT-HEADER-INFO.	
05	3RD-APPT-PROVIDER-NO.	
07	3RD-APPT-PROVIDER-ID	PIC X(09).
07	3RD-APPT-PROVIDER-LOC	PIC X(01).
05	3RD-APPT-OV-NUM	PIC X(07).
05	3RD-APPT-REGION	PIC 9(01).
05	3RD-APPT-MODULE	PIC X(01).
05	3RD-APPT-UNIT	PIC X(03).
05	3RD-APPT-PIN	PIC 9(04).
05	FILLER	PIC X(09).
05	FILLER	PIC X(04).
05	3RD-APPT-TASK-NUMBER	PIC 9(02).
03	3RD-APPT-3RD-PARTY-NAME	PIC X(34).
03	3RD-APPT-3RD-PARTY-ADDR1	PIC X(30).
03	3RD-APPT-3RD-PARTY-ADDR2	PIC X(30).
03	3RD-APPT-3RD-PARTY-CITY	PIC X(20).
03	3RD-APPT-3RD-PARTY-STATE	PIC X(2).
03	3RD-APPT-3RD-PARTY-ZIP	PIC X(9).
03	3RD-APPT-3RD-PARTY-PHONE	PIC 9(10).
03	3RD-APPT-3RD-PARTY-REMARKS1	PIC X(80).
03	3RD-APPT-3RD-PARTY-REMARKS2	PIC X(80).
03	3RD-APPT-3RD-PARTY-REMARKS3	PIC X(80).
03	3RD-APPT-3RD-PARTY-REMARKS4	PIC X(80).
03	FILLER	PIC X(3819).
03	3RD-APPT-INFO.	
05	3RD-APPT-FLAG	PIC X(6).
05	3RD-APPT-DATE	PIC X(8).
03	FILLER	PIC X(668).
03	3RD-APPT-END-REC	PIC X(003).

The fields specified make up the complete 200 character Record Layout to be returned by transmission from the Provider to DDD. REQ'D ENTRY Fields must be completed for every return transmission; those checked as 'SPACE or ENTRY' must be returned as either spaces or updated entries, but maintaining the record layout in every case.

CE DATA TRANSFER DATA FIELDS				
FIELDS	DESCRIPTION	SIZE	REQUIRED ENTRY	SPACE or ENTRY
Payee ID	Provider's ID Number Primary Provider ID	Char [09]	X	
Provider Location	Provider Location Code Primary Provider Location	Char [01]	X	
O&V Number	Unique Order & Voucher Number	Char [07]	X	
Region	Region Ordering the CE	Num [01]	X	
MOD	Module Identifier	Char [01]	X	
Unit	Unit Identifier	Char [03]	X	
PIN	Analyst's Personal ID Number	Num [04]	X	
<b>Filler</b>	<b>Filler</b>	Char [09]	X	
BIC	Claimant's BIC	Char [04]	X	
Task	Task Number	Num [02]	X	
DATA FIELDS RETURNED BY PROVIDER				
DDD-4184 Information	Scheduled Appointment Date (3 occurrences)	Num [06]		YYMMDD
	Scheduled Appointment Time (3 occurrences)	Char [04]		9999
	Scheduled Time AM/PM (3 occurrences)	Char [01]		A/P/b
	Received Phone Reminder (2 occurrences)	Char [01]		Y/b
	Received Letter Reminder (2 occurrences)	Char [01]		Y/b
	Unable-to-Contact (2 occurrences)	Char.[01]		Y/b
	First-Contact-Date (2 occurrences)	Num.[06]		X
	Second-Contact-Date (2 occurrences)	Num.[06]		X
	Will-Attend (2 occurrences)	Char.[01]		Y/b
	Will-Not-Attend (2 occurrences)	Char.[01]		Y/b
	<b>Will-Not-Attend-Reason*</b>	Char.[01]		X
	Claimant-Rescheduled	Char.[01]		X
	Appointment-Cancelled (2 occurrences)	Char.[01]		Y/b
	Claimant-Kept-Appt. (3 occurrences)	Char.[01]		Y/b
	Claimant-Did-Not-Keep-Appt. (3 occurrences)	Char.[01]		Y/b
	All-exams/tests-complete (3 occurrences)	Char.[01]		Y/N/b
	<b>3rd-Appt-Approved-by**</b>	Num.[01]		1/2
Sequence-Number	Char.[08]		X	
Acknowledgement-Flag	Char.[01]		A/b	
Acknowledgement-Date	Num.[08]		CCYYMM	
Filler	Filler	Char [61]	X	

**\*Will-Not-Attend-Reason** valid values are:

Blank or 0--Not Applicable

- 1--Doctor had to reschedule
- 2--Claimant called to reschedule
- 3--Claimant hospitalized
- 4--Mail returned from Post Office
- 5--Claimant deceased
- 6--Other
- 7--Cancelled by Provider

**\*\*Third-Appointment-Approved-By** valid values are:

- 1--Analyst
- 2--MRO

The code transmitted by the Provider will be translated for screen display for ACPS.

**Instructions For Completion And Transmission of the  
Consultative Examination (CE) Appointment History Form, DDD-4184**

**Introduction**

The intent of these instructions is to provide the CE contractors and Volume Providers with the process to complete the DDD-4184 and when to return the record via CE data transfer. It is not intended to cover every situation that may occur. Should an unusual circumstance occur, please contact your Medical Relations Officer or Disability Analyst, whichever is appropriate.

**General Instructions**

1. Complete the header information for each DDD-4184 on the return record with the header information from the CE order record. This includes task, module, unit, PIN, etc.
2. All mandatory phone calls to the claimant [or applicant filing for the claimant or authorized representative for the claimant or designated third party], which include the first appointment call and all reminder calls, must be documented to include claimant's intention to attend/not attend the appointment. The information needs to be converted to a text file prior to each transmission so that there is a cumulative record after each transmission.

**NOTE:** This instruction is subject to modification based upon any changing Federal guidelines.

3. All appropriate boxes will be completed prior to each transmission so that there will be a cumulative record after each transmission.
4. Do not complete a box that results in a conflicting statement, e.g., in the first appointment section one should not check the box "By phone, with confirming letter mailed" if the first appointment was scheduled "by letter, no phone or unable to reach by phone" was the situation.
5. Any questions or unusual circumstances regarding completion and/or return of the record should be referred to your Medical Relations Officer or Disability Analyst, whichever is appropriate.
6. For those instances where two specialty examinations are ordered on one voucher and/or ancillary tests are ordered the field "*claimant kept appointment, all exams/tests completed (Y/N)*" will be used to provide status on whether or not all exams/tests were completed at the time of the scheduled appointment.

For example: If there is a complete specialist exam and a psychiatric exam on one voucher, and the claimant keeps the psychiatric exam but leaves before the complete internal medicine exam, then the field will be completed to indicate appointment kept, all exams/tests completed (*No*). The provider will proceed to schedule a second appointment. Also, if the claimant is scheduled for an orthopedic exam with two x-rays and the claimant is examined but leaves before the x-rays are taken, then the provider will complete the field indicating the appointment was kept, all exams/tests completed (*No*). If the claimant fails to complete all exams/tests at the time of the second scheduled appointment, a third appointment should not be scheduled without Disability Analyst or MRO approval.

***INSTRUCTIONS FOR COMPLETING FIRST, SECOND AND THIRD APPOINTMENT SECTIONS OF THE DDD-4184 FOLLOW: PLEASE REFER TO THE NUMBERED SAMPLE FORM (DDD-4184), ATTACHED.***

**At least one of the first two scheduled appointments must be scheduled for 10 days or less in the future.**

**A. First Appointment**

- When the first appointment is scheduled, complete Boxes 1 & 2, e.g., scheduled for 7/1/13 at 11:00 A.M.
- Then complete either Box 3 or 4 depending on the method used to schedule the first appointment. The next step is to transmit the record.

**B. First Appointment and Reminder Phone Call:** Depending on the situation/response completes either Boxes 5, 6, 7; or Box 8; or Boxes 9 & 10.

- Complete Boxes 5, 6 and 7 when unable to contact claimant after two attempts at different times on different days.
- Complete Box 8 when claimant is contacted and will attend first appointment.
- Complete Boxes 9&10 when the claimant is contacted but will not attend first appointment and gives a reason. The provider enters appropriate code for Box 10. See attached list of codes. Usually, this will result in scheduling a second appointment. However, if the response is such that a second appointment is not possible, e.g., claimant moving out of state, then advises the claimant to contact DDD and transmit the record.

**C. First Appointment Status:** Depending on the situation complete either Boxes 11 & 12 or 13, or 14 or 15.

- If claimant kept first appointment and all exams/tests were completed check Box 11, enter "Y" for Box 12 and transmit the record.
- If claimant kept first appointment but all exams/tests were not completed, check Box 11, Enter "N" for Box 12, then proceed to second appointment section for completion.
- Complete Box 13 when claimant did not keep first appointment and did not call. Then proceed to second appointment section for completion.
- Complete Box 14 when claimant cancels the first appointment and will not or cannot reschedule appointment. Tell claimant to contact DDD and transmit the record.
- If you have checked Box 15 because the claimant rescheduled, then proceed to second appointment section for completion.

**D. Second Appointment Section**

- Complete Boxes 16 and 17, **AND**
- Complete either Box 18 or 19 depending on the method to schedule the second appointment. Then the next step is to transmit the record to notify DDD of the second appointment date.

**E. Second Appointment Reminder Phone Call:** Depending on the situation/response, complete either Boxes 20, 21, 22 or 23, or 24.

- Complete Boxes 20, 21, 22 when unable to contact claimant after two attempts at different times on different days.
- Complete Box 23 when claimant is contacted and will attend second appointment.
- Complete Box 24 if claimant is contacted to be reminded of second appointment date and will not attend, then tell claimant to contact DDD and transmit record to DDD.

**F. Second Appointment Status:** Depending on situation complete either Boxes 25 & 26 or 27, or 28.

- If claimant kept second appointment and all exams/tests completed, check Box 25, Enter "Y" in Box 26 and transmit the record.
- If claimant kept second appointment but all exams/tests were not completed, check Box 25, Enter "N" in Box 26, and transmit the record. Third appointments for exams/tests should not be scheduled automatically and must be approved by DDD.
- Complete Box 27 if claimant did not keep second appointment and did not call to cancel and transmit the record.
- Complete Box 28 if the claimant calls to cancel the second appointment. Tell the claimant to contact DDD and transmit the record.

**G. Third Appointment Section:** Complete Box 29, 30, 31 and depending on the situation 32 & 33 or 34. Third appointments for exams/tests should not be scheduled automatically and must be approved by DDD. Contractor must be able to receive an electronic request from DDD for a 3<sup>rd</sup> appointment.

- Upon receipt of request from DDD for a 3<sup>rd</sup> appointment, Contractor will schedule 3<sup>rd</sup> appointment and complete Boxes 29, 30 & 31. Box 29 will be completed with appropriate code identifying whether analyst or MRO approved and requested 3<sup>rd</sup> appointment. Contractor transmits the record to DDD. Contractor also transmits Third Appointment Progress Report to DDD.
- Contractor makes reminder call within 2 days of the appointment date.
- If claimant kept third appointment and all exams/tests were completed, check Box 32, enter "Y" for Box 33 and transmit the record.
- If claimant kept third appointment but all exams/tests were not completed, check Box 32, enter "N" for Box 33 and transmit the record.
- Complete Box 34 when the third appointment is not kept. Transmit record and return all paperwork to DDD.

**H.** Contractor is required to generate an Office designated appointment letter containing the same information as the sample appointment letter in Appendix T. Contractor is required to make a reminder call to the claimant within 2 days of the appointment date.

#### Attachment

\*DDD-4184 "Will Not Attend Reason" Valid values are:

- Blank or 0 - Not Applicable
- 1 - Doctor had to reschedule
- 2 - Claimant called to reschedule
- 3 - Claimant hospitalized
- 4 - Mail returned from Post Office
- 5 - Claimant deceased
- 6 - Other
- 7 - Cancelled by Provider

\*\*DDD-4184 "Third Appointment Approved By" valid values are:

- 1 - Analyst
- 2 - MRO

The code transmitted by the Provider will be translated for screen display in ACPS.



IF REQUESTED BY OTDA, THE CONTRACTOR MUST COMPLETE THE CE APPOINTMENT HISTORY (DDD-4184) REPORT AND SEND TO OTDA AS AN UNSTRUCTURED TIF IMAGE.

DDD-4184

TO: Division of Disability Determinations TASK/MOD/UNIT/PIN

FROM: DATE:

RE: Claimant: \_\_\_\_\_ Phone: [ ] Yes  
 [ ] No  
 O & V: \_\_\_\_\_

**CE APPOINTMENT HISTORY**

FIRST APPOINTMENT Scheduled for: \_\_/\_\_/\_\_ @ \_\_\_\_\_

- [ ] by phone, agrees to attend, with confirming letter mailed
- [ ] by letter (no phone or unable to reach by phone)
- [ ] unable to contact claimant after two attempts at different times on different days \_\_/\_\_/\_\_, \_\_/\_\_/\_\_

REMINDER PHONE CALL:

- [ ] unable to contact claimant after two attempts at different times on different days \_\_/\_\_/\_\_, \_\_/\_\_/\_\_
- [ ] claimant contacted, will attend
- [ ] claimant contacted, will not attend because \_\_\_\_\_.

**STATUS:**

- [ ] claimant kept appointment, all exams/tests completed (Y/N) \_.
- [ ] claimant did not keep appointment, did not call.
- [ ] claimant cancelled and will not/cannot reschedule appointment now or in near future. Claimant told to contact DDD.
- [ ] claimant rescheduled.

SECOND APPOINTMENT Scheduled for: \_\_/\_\_/\_\_ @ \_\_\_\_\_

- [ ] by phone, agrees to attend, with confirming letter mailed
  - [ ] by letter (no phone or unable to reach by phone)
- REMINDER PHONE CALL:
- [ ] unable to contact claimant after two attempts at different times on different days \_\_/\_\_/\_\_, \_\_/\_\_/\_\_
  - [ ] claimant contacted, will attend second appointment
  - [ ] claimant contacted, will not attend second appointment. Claimant told to contact DDD.

**STATUS:**

- [ ] claimant kept second appointment, all exams/tests completed (Y/N) \_.
- [ ] claimant did not keep second appointment, did not call
- [ ] claimant called to cancel second appointment. Claimant told to contact DDD.

THIRD APPOINTMENT APPROVED BY \_\_\_\_\_ Scheduled for \_\_/\_\_/\_\_ @ \_\_\_\_\_

- [ ] third appointment kept, all exams/tests completed (Y/N) \_.
- [ ] third appointment not kept, all paperwork returned to DDD.

**Sequence of Download and Return  
CE Data Transfer Records**

1. The Division of Disability Determinations (DDD) will place daily CE Orders in a Provider Directory on the DDD Web Server, with the following file name format:

**AB123456.TXT,**

where 'AB' is the 2-character designation of the provider and '123456' is the sequential numeric designation of the transfer file.

2. The Provider will download the file from the DDD Web Server. Each file will contain a 5000-character record for each CE Order being transmitted. The last record in the file will identify the number of records and also be included in the transferred record count.
3. New Orders: The Provider will return a 200-character return record for each new order, containing only the following data:
  - Provider Number through Task Number (Header Info.)
  - Sequence Number (unique)
  - Acknowledgment Flag (A)
  - Acknowledgment Date (CCYYMMDD)

The Provider will upload the file to the DDD Web Server with the file name format:

**AB123456.ACK or .TXT**

where 'AB' is the same Provider designation as the download record and '123456' is the Provider's unique number of the returned record. The extension '.ACK' should be used if the return file contains ONLY Acknowledgment information as specified above. The '.TXT' extension should be used if scheduling or other status information is also included in the file.

4. DDD-4184 Updated Information: The Provider will return the same 200-character return record for each updated order, containing the following data:
  - Provider Number through Task Number (Header Info.)
  - Sequence Number (unique)
  - PLUS the cumulative DDD-4184 information for each order being reported, with the following file name format:

**AB123456.TXT**

where 'AB' is the Provider's designator and '123456' is the Provider's unique number of the returned record.

Tiff naming convention:

**AB123456\_#.TIF - #1, thru many**

**PLEASE NOTE** that a **unique sequence number** is required for **each** 200-character return record within the file uploaded to the DDD Web Server.

5. DDD will place an Acknowledgment file in the Provider's download directory on the DDD Web Server, containing the 200-character record sequence number and date received by DDD for each DDD-4184 record returned by the Provider, in the file name format **AB123456.ACK**. DDD **will not** acknowledge the Acknowledgment records uploaded by the Provider in this file.
6. DDD will place images in the Provider's download directory on the DDD Web Server, containing CE background information. The file name format is XX-XXXXXXX-9999.TIF. The first two characters are a provider prefix, the third thru ninth characters are the Order and Voucher number and the last four characters identify a unique image. The same Order and Voucher number can have multiple images. This document will be a level 4, TIF image, but it may change to a different format at DDD's discretion.
7. The provider should be prepared to deliver at the Division's request appointment and claimant letters in an unstructured format (.TIF). See the section on unstructured data for details.
8. The provider should be prepared to deliver at the Division's request reports and results in a structured data format (XML). These reports would be for exam results that are easily quantifiable and interpreted against POMS standards.

## CE Data Transfer, Procedure File Layout

The Procedure Code/Fee File, which the CE Data Transfer Provider downloads from the CE Secure Server, is laid out per the following Record Layout. It will be necessary for translating the downloaded CE Orders and printing out the CE-7 (Order and Voucher), and for generating statements included in some of the other documents.

## RECORD LAYOUT FOR THE PROCEDURE FILE

## 01 PROCEDURE-LINE-DATA-RECORD

05	PROCEDURE-CODE	PIC X(6)
05	PROCEDURE-CLASS	PIC XX
05	REGION-1-FEE	PIC 999V99
05	REGION-2-FEE	PIC 999V99
05	REGION-3-FEE	PIC 999V99
05	REGION-4-FEE	PIC 999V99
05	PROCEDURE-TYPE	PIC X
05	PROCEDURE-NAME	PIC X(40)
05	PROCEDURE-DESCR-LIN1	PIC X(60)
05	PROCEDURE-DESCR-LIN2	PIC X(60)
05	PROCEDURE-DESCR-LIN3	PIC X(60)
05	PROCEDURE-DESCR-LIN4	PIC X(60)
05	PROCEDURE-DESCR-LIN5	PIC X(60)
05	PROCEDURE-DESCR-LIN6	PIC X(60)
05	PROCEDURE-DESCR-LIN7	PIC X(39)
05	FILLER	PIC X(21)

*Document Trailer Record Layouts*

The following pages show the record layouts to be used for the trailer lines on CE Data Transfer documents created by the provider.

CE-5, CE-5B – Appointment Letter:

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<b>01 FT-LINE-2.</b>	
<b>03 FT-CASE-NUM</b>	<b>PIC X(11).</b>
<b>03 FILLER</b>	<b>PIC X VALUE "/".</b>
<b>03 FT-BIC</b>	<b>PIC X(4).</b>
<b>03 FILLER</b>	<b>PIC X VALUE "/".</b>
<b>03 FT-TASK-ID</b>	<b>PIC 9(2).</b>
<b>03 FILLER</b>	<b>PIC X VALUE "/".</b>
<b>03 FT-PIN</b>	<b>PIC 9(4).</b>
<b>03 FILLER</b>	<b>PIC X VALUE "/".</b>
<b>03 FT-REGION</b>	<b>PIC 9.</b>
<b>03 FILLER</b>	<b>PIC X VALUE "/".</b>
<b>03 FT-MODULE</b>	<b>PIC X.</b>
<b>03 FT-UNIT</b>	<b>PIC XXX.</b>
<b>03 FILLER</b>	<b>PIC X VALUE "/".</b>
<b>03 FT-ADDRESSEE</b>	<b>PIC X(30).</b>
<b>03 FILLER</b>	<b>PIC X VALUE "/".</b>
<b>03 FT-FORM-NUMBER</b>	<b>PIC X(5).</b>
<b>03 FT-CLM-OR-REP</b>	<b>PIC X(10).</b>
<b>03 FILLER</b>	<b>PIC X VALUE "/".</b>
<b>03 FT-CASE-TITLE</b>	<b>PIC X(2).</b>
<b>03 FT-PAGE-END.</b>	
<b>05 FILLER</b>	<b>PIC X(6) VALUE "/PAGE ".</b>
<b>05 FT-PAGE1</b>	<b>PIC X.</b>
<b>05 FILLER</b>	<b>PIC X(4) VALUE " OF ".</b>
<b>05 FT-PAGE2</b>	<b>PIC X.</b>

The CE-5, and the CE-5B must contain the following notice on the letter above the trailer.

YOU ARE EXPECTED TO MAKE AND KEEP THIS APPOINTMENT. IF YOU FAIL TO KEEP THIS APPOINTMENT, AND YOU DO NOT ADVISE US OF THE REASON YOU ARE UNABLE TO APPEAR FOR THE EXAMINATION, THE DECISION MAY BE MADE BASED ON THE INFORMATION IN YOUR CASE; AND IT MAY BE FOUND THAT YOU ARE NOT (OR NO LONGER) DISABLED OR BLIND.

CE-7 – CE Order and Voucher:

01 FT-LINE-2.	
03 FT-FILLER	PIC X(9).
03 FT-CASE-NUM	PIC X(11).
03 FILLER	PIC X VALUE "/".
03 FT-BIC	PIC XXXX.
03 FILLER	PIC X VALUE "/".
03 FT-TASK-ID	PIC 99.
03 FILLER	PIC X VALUE "/".
03 FT-PIN	PIC 9999.
03 FILLER	PIC X VALUE "/".
03 FT-REGION	PIC 9.
03 FILLER	PIC X VALUE "/".
03 FT-MODULE	PIC X.
03 FT-UNIT	PIC XXX.
03 FILLER	PIC X VALUE "/".
03 FT-ADDRESSEE	PIC X(30).
03 FILLER	PIC X VALUE "/".
03 FT-FORM-NUMBER	PIC X(5).
03 FILLER	PIC X VALUE "/".
03 FT-CASE-TITLE	PIC XX.
03 FT-PAGE-END.	
05 FILLER	PIC X(6) VALUE "/PAGE ".
05 FT-PAGE-1	PIC X.
05 FILLER	PIC XXXX VALUE " OF ".
05 FT-PAGE-2	PIC X.

CE-9 – Authorization to Release Information Letter:

01 FT-LINE-2.	
03 FT-CASE-NUM	PIC X(11).
03 FILLER	PIC X VALUE "/".
03 FT-BIC	PIC X(4).
03 FILLER	PIC X VALUE "/".
03 FT-TASK-ID	PIC 9(2).
03 FILLER	PIC X VALUE "/".
03 FT-PIN	PIC 9(4).
03 FILLER	PIC X VALUE "/".
03 FT-REGION	PIC 9.
03 FILLER	PIC X VALUE "/".
03 FT-MODULE	PIC X.
03 FT-UNIT	PIC XXX.
03 FILLER	PIC X VALUE "/".
03 FT-ADDRESSEE	PIC X(30).
03 FILLER	PIC X VALUE "/".
03 FT-FORM-NUMBER	PIC X(5).
03 FT-CLM-OR-REP	PIC X(10).
03 FILLER	PIC X VALUE "/".
03 FT-CASE-TITLE	PIC X(2).
03 FT-PAGE-END.	
05 FILLER	PIC X(6) VALUE "/PAGE ".
05 FT-PAGE1	PIC X.
05 FILLER	PIC X(4) VALUE " OF ".
05 FT-PAGE2	PIC X.

DDD- 4334 – Claimant Letter Regarding Information Sent to Representative:

**01 FT-LINE-2.**

03 FT-CASE-NUM	PIC X(11).
03 FILLER	PIC X VALUE "/".
03 FT-BIC	PIC X(4).
03 FILLER	PIC X VALUE "/".
03 FT-TASK-ID	PIC 9(2).
03 FILLER	PIC X VALUE "/".
03 FT-PIN	PIC 9(4).
03 FILLER	PIC X VALUE "/".
03 FT-REGION	PIC 9.
03 FILLER	PIC X VALUE "/".
03 FT-MODULE	PIC X.
03 FT-UNIT	PIC XXX.
03 FILLER	PIC X VALUE "/".
03 FT-NAME	PIC X(30).
03 FILLER	PIC X VALUE "/".
03 FT-FORM-NUMBER	PIC X(8).
03 FT-PRIM-OR-FILE	PIC X(5).
03 FILLER	PIC X VALUE "/".
03 FT-CASE-TITLE	PIC X(2).

**Instructions for Provider-Generated CE-7**

- The CE-7 document generated by the Data Transfer Provider will include the procedure code and description for all procedures associated with the Order and Voucher Number, as specified in the downloaded Order record.
- If a procedure is deleted by the Provider (per agreement with the ordering analyst), a '**DEL**' notation should appear before the procedure description on the CE-7 generated by the Provider.
- If a procedure is added by the Provider (per agreement with the ordering analyst), an '**ADD**' notation should appear before the procedure description on the CE-7 generated by the Provider.

### Combined Primary/Secondary CE Orders

- Individual CE records are created for the CE Data Transfer (primary) Provider and the Laboratory Provider the Data Transfer Provider has elected to use. These records contain the procedures associated with each provider.
- All pathology procedures to be performed by the laboratory provider will print on the CE-7 of the primary provider.
- The funds are encumbered for both providers, based on the CE records created from the association of the providers and procedures. Therefore even though the pathology procedures print on the CE-7 of the primary, the pathology procedures are encumbered for the secondary lab that performs the test(s).
- It is the CE Data Transfer Provider's responsibility to:
  - notify the designated lab by requisition form, the tests to be performed;
  - make changes to the CE-7 if tests are added or deleted;
  - includes the report from the lab with their reports, prior to returning them to the Disability Analyst at the regional DDD office.
- **A CE-7 will not be generated for a secondary provider unless non-pathology procedures are requested.**
- **All CE-7's generated will list the amount for each procedure.**
- **The amounts for the laboratory procedures will be the Medicaid fees.**

**Note:** Since all laboratory procedure codes are in the 80000 series, adds and deletes, as well as certified and cleared payment authorizations, can be directed to the appropriate O&V record, which will continue to be stored and paid separately.

### Points of Impact to Contract CE Providers

1. If the Contract provider generates its own CE 7 form, it must be modified to include the laboratory information. This information will include the lab name, lab O&V number, lab provider number, procedure code(s), procedure description(s), and procedure amount(s).
2. The CE Contract provider must submit their reports and the laboratory reports together with the CE-7.

**Claimant Letter Paragraphs  
(CE-5, CE-5B)**

Paragraph 01: This includes requests for reimbursement.

Paragraph 02: You will receive letters for more than one specialist examination (either enclosed or sent separately). Please make an appointment with each specialist.

Paragraph 03: We have arranged for you to be examined by a social worker and a psychiatrist. Please telephone the social worker promptly and make the earliest appointment possible. The social worker may want to visit you at home. The social worker, after meeting with you, will send a copy of his/her report to the psychiatrist and arrange for you to be examined. Do not telephone the psychiatrist directly unless you are advised to do so by the social worker. Please call us at the number in the heading with the date and time of each appointment.

Paragraph 04: The specialist has been advised to perform the examination in your home. Please call the specialist to arrange the appointment.

Paragraph 05: This notice replaces our letter of \_\_\_\_\_ in which we requested that you be examined by \_\_\_\_\_. We have found it necessary to advise this specialist that arrangements for your examination are cancelled. If you made an appointment with him/her please do not keep it. Instead, please contact the new specialist shown above.

Paragraph 06: The above request is made for the Administrative Law Judge, Office of Hearings and Appeals, who now has jurisdiction over your claim.

Paragraph 07: The attached request is made for the Appeals Council, Office of Disability Adjudication and Review, which now has jurisdiction over your claim.

Paragraph 08: Although you were previously examined at our request, we now find that it is important for you to call the specialist named above, so that we may obtain additional information in connection with your Social Security disability claim. The specialist may refer you to another physician or laboratory, at our expense, for the tests we authorized.

Paragraph 09: Please bring someone with you to the examination who speaks both English and your own language.

Paragraph 10: We have made arrangements for you to be examined by your own doctor (named above). We will pay for the examination and any tests performed. Your doctor's function is to provide medical evidence, BUT NOT TO MAKE A DECISION OF DISABILITY. Please call the doctor and make the earliest appointment possible.

Paragraph 11: We have pre-arranged your appointment with the specialist for the date and time shown above. If for any reason, you find that you will not be able to keep your appointment, please call the specialist in advance to change your appointment. You must then call us at the number in the heading with the date and time of your new appointment.

**Ordered by Analyst, up to 4 choices, or at Provider Selection, up to 5 choices**

**Voucher Paragraphs  
(CE-7)**

Paragraph 1: Please observe the above order requests that you conduct your examination in the claimant's home. This visit should be made only after an appointment is arranged. If examination in the home cannot be completed, please telephone this office: do not perform the examination in any other place without prior authorization.

Paragraph 2: Upon review of your recent report of examination, we have decided that additional services, shown on the attached order, are required. Please submit a supplementary report that specifies your current findings and integrates them with your previous report. A photocopy of your report is enclosed.

Paragraph 3: The claimant is also scheduled for a Psychiatric Social Survey. A copy of the social worker's report will be sent to you. PLEASE AWAIT THIS REPORT BEFORE EXAMINING THE CLAIMANT. If you are not contacted for an appointment 10 days after receipt of this letter, please call DDD.

Paragraph 4: The above order is issued pursuant to a request from the Administrative Law Judge, Office of Disability Adjudication and Review, who now has jurisdiction over this claim.

Paragraph 5: Please do not make an appointment with the claimant until you review the specifications on form CE-502 or CE-502.1 attached and receive the required reports.

Paragraph 6: We are aware that you previously examined this claimant at our request. The services shown on the attached order are needed so that we may ascertain the claimant's current medical condition. ( ) A photocopy of your report is enclosed.

Paragraph 7: The above order will authorize you to amend our original consultative examination request for the claimant. A voucher is attached for the performance of the additional services. Please see paragraph No. 3 on our cover letter (CE-2) regarding other specialists.

Please be sure to submit your own signed voucher, if you have not already done so, with the final report. ( ) A copy of your previously submitted report is enclosed.

Paragraph 8: This will authorize you to examine, on our behalf, your patient (named above) who has applied for Social Security Disability Insurance Benefits. This notice is to confirm prior arrangements concerning this examination made between you and our Medical Relations Officer Staff.

**Ordered by Analyst, up to 3 choices; or at Provider Selection – up to 4 choices**

Following are the correct mailing addresses of DDD's Regional Offices, for use on printed documents.

**NYS OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE  
Division of Disability Determinations**

**PC 1 – Manhattan**

Bowling Green Station  
PO Box 5191  
New York, NY 10274-5191

**PC 3 – Albany**

P. O. Box 165  
Albany, NY 12260-0165

**PC 4 – Endicott**

PO Box 9009  
Endicott, NY 13761-9009

**PC 5 – Buffalo**

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## CE Data Transfer Supplementals Provider Instructions

### Supplemental CE Orders, Identification and Processing

- ◆ Supplementals will be included with CE Orders and CE Cancels sent via data transfer to the Secure Server (web site).
- ◆ The Data Transfer Record for Supplementals will be the 5000 character record currently sent to Data Transfer Providers.
- ◆ The Header Information for the Supplemental will have the same Order and Voucher Number (CDT-OV-NUM) as the original Order & Voucher Number.
- ◆ The Secondary Order and Voucher Numbers (CDT-SEC-OV-NUM) will be the same Supplemental Order Numbers.
- ◆ The procedures to be performed will be the Secondary Procedures (CDT-SEC-PROC-CODE).
- ◆ The first Primary Provider Procedure Code in the O&V will be: **“5000SP SUPPLEMENTAL ORDER,”** which also identifies the order as a Supplemental Order. The procedure 5000 SP will have a dollar amount of \$00.00.
- ◆ Following CDT-CANCEL-DATE in the 5000 character transfer record will be the new field, CDT-SUPL-ORDER-TAG. This field will be filled with the message, “SUPPLEMENTAL ORDER” for all CE Supplemental Orders.
- ◆ The Primary Provider is responsible for notifying the Supplemental Provider and generating the CE-7 (voucher) and an Authorization to Release Medical Information for the Supplemental Order.

**CE Examination Results Structured Data Requirements**

The intent of these instructions is to provide the CE contractors with the process to send examination results for certain procedures to DDD via CE data transfer. These requirements will change as the process is refined and additional procedures are added.

**Instructions**

The Primary Provider is responsible for uploading examination and test results to the CE Data Transfer site in the format of an XML file specified in this document for the below CE Procedure Codes. These files must be uploaded to the Department as quickly as possible. At the Department’s discretion, the contractor may be required to return findings on the specified ancillary tests by close of the next business day. At the Department’s discretion other ancillary tests may be added to the list of tests requiring delivery to the CE Data Transfer site in XML format and may also require the contractor to return findings by close of the next business day. This requirement is in addition to the 20 day requirement for returning CE report images on all tests. At the Department’s discretion, the examination report may also require delivery to the CE Data Transfer site in XML format.

Exam	Procedure Code(s)
Visual Fields	90005
Dopplers	9390, 93910 or 93911
Pulmonary Function Testing	94010 or 94060

**File Name**

[O&V].xml e.g. C080123.xml

Sample XML is included to document the data structures.

**Top-Level Data**

Attribute	Type	Len	Conditions
OrderVoucher	Alphanumeric	7	Mandatory
Procedure Code	Numeric	5	Mandatory

Additional elements are included in the transaction depending upon the particular procedure selected.

## Visual Fields

Procedure Code = 90005

Attribute	Type	Conditions
Method	Numeric	R
Left Best Visual Acuity, uncorrected Snellen numerator	Numeric	R
Left Best Visual Acuity, uncorrected Snellen denominator	Numeric	R
Left Best Visual Acuity, corrected Snellen numerator	Numeric	O
Left Best Visual Acuity, corrected Snellen denominator	Numeric	O
Left 0 Meridian	Numeric	R
Left 45 Meridian	<b>Numeric</b>	R
Left 90 Meridian	<b>Numeric</b>	R
Left 135 Meridian	<b>Numeric</b>	R
Left 180 Meridian	<b>Numeric</b>	R
Left 225 Meridian	<b>Numeric</b>	R
Left 270 Meridian	<b>Numeric</b>	R
Left 315 Meridian	<b>Numeric</b>	R
Right Best Visual Acuity, uncorrected Snellen numerator	Numeric	R
Right Best Visual Acuity, uncorrected Snellen denominator	Numeric	R
Right Best Visual Acuity, corrected Snellen numerator	Numeric	O
Right Best Visual Acuity, corrected Snellen denominator	Numeric	O
Right 0 Meridian	<b>Numeric</b>	R
Right 45 Meridian	<b>Numeric</b>	R
Right 90 Meridian	<b>Numeric</b>	R
Right 135 Meridian	<b>Numeric</b>	R
Right 180 Meridian	<b>Numeric</b>	R
Right 225 Meridian	<b>Numeric</b>	R
Right 270 Meridian	<b>Numeric</b>	R
Right 315 Meridian	<b>Numeric</b>	R

## Dopplers

Procedure Code = 9390, 93910 or 93911

Attribute	Type	Conditions
Right Brachial Systolic BP	Numeric	R
Left Brachial Systolic BP	Numeric	R
Right Dorsalis Pedis Pressure	Numeric	R
Right Dorsalis Pedis A/B Ratio	Numeric	R
Right Posterior Tibial Pressure	Numeric	R
Right Posterior Tibial A/B Ratio	Numeric	R
Left Dorsalis Pedis Pressure	Numeric	R
Left Dorsalis Pedis A/B Ratio	Numeric	R
Left Posterior Tibial Pressure	Numeric	R
Left Posterior Tibial A/B Ratio	Numeric	R
Right Great Toe Pressure	Numeric	C
Left Great Toe Pressure	Numeric	C
Right Dorsalis Pedis Immediate Post Exercise	Numeric	R
Right Posterior Tibial Immediate Post Exercise	Numeric	R
Right Dorsalis Pedis 10 Minutes Post Exercise	Numeric	R
Right Posterior Tibial 10 Minutes Post Exercise	Numeric	R
Left Dorsalis Pedis Immediate Post Exercise	Numeric	R
Left Posterior Tibial Immediate Post Exercise	Numeric	R
Left Dorsalis Pedis 10 Minutes Post Exercise	Numeric	R
Right Posterior Tibial 10 Minutes Post Exercise	Numeric	R

## Pulmonary Function Testing

Procedure Code = 94010 or 94060

Attribute	Type	Measure	Conditions
Measured Height	Numeric	Inches	R
Measured Arm Span	Numeric	Inches	O
Predicted Total FVC	Numeric		R
Observed Pre Total FVC	Numeric		R
Observed Post Total FVC	Numeric		O
Predicted FEV1	Numeric		R
Observed Pre FEV1	Numeric		R
Observed Post FEV1	Numeric		O

## Example XML

```
<OrderVoucher OrderVoucher="C080123">
  <Procedure Code="90005"
    method="1"
    leftBestVisualAcuityUncorrectedSnellenNumerator=""
    leftBestVisualAcuityUncorrectedSnellenDenominator=""
    leftBestVisualAcuityCorrectedSnellenNumerator=""
    leftBestVisualAcuityCorrectedSnellenDenominator=""
  left0Meridian=""
    left45Meridian=""
    left90Meridian=""
    left135Meridian=""
    left180Meridian=""
    left225Meridian=""
    left270Meridian=""
    left315Meridian=""
    rightBestVisualAcuityUncorrectedSnellenNumerator=""
    rightBestVisualAcuityUncorrectedSnellenDenominator=""
    rightBestVisualAcuityCorrectedSnellenNumerator=""
    rightBestVisualAcuityCorrectedSnellenDenominator=""
    right0Meridian=""
    right45Meridian=""
    right90Meridian=""
    right135Meridian=""
    right180Meridian=""
    right225Meridian=""
    right270Meridian=""
    right315Meridian="">
  </Procedure>
  <Procedure Code="93910"
    rightBrachialSystolicBP=""
    leftBrachialSystolicBP=""
    rightDorsalisPedisPressure=""
    rightDorsalisPedisABRatio=""
    rightPosteriorTibialPressure=""
    rightPosteriorTibialABRatio=""
    leftDorsalisPedisPressure=""
    leftDorsalisPedisABRatio=""
    leftPosteriorTibialPressure=""
    leftPosteriorTibialABRatio=""
    rightDorsalisPedisImmediatePostExercise=""
    rightPosteriorTibialImmediatePostExercise=""
    rightDorsalisPedis10MinutesPostExercise=""
    rightPosteriorTibial10MinutesPostExercise=""
    leftDorsalisPedisImmediatePostExercise=""
    leftPosteriorTibialImmediatePostExercise=""
    leftDorsalisPedis10MinutesPostExercise=""
    leftPosteriorTibial10MinutesPostExercise=""
    rightGreatToePressure=""
    leftGreatToePressure="">
  </Procedure>
  <Procedure Code="94010"
    measuredHeight=""
    measuredArmSpan=""
    predictedTotalFVC=""
    observedPreTotalFVC=""
    observedPostTotalFVC=""
    predictedFEV1=""
    observedPreFEV1=""
    observedPostFEV1=""
  </Procedure>
</OV>
```

**CE Unstructured Data**

**Completed CE Reports**

The unstructured CE report must be in a multi-page, TIFF image, or other acceptable format, as defined by DDD. It contains the results of the examination and is uploaded to the DDD web server. It has additional requirements as listed below.

1. The filename must be formatted correctly. The filename must be :
  - 9 or 11 characters in length.
    - I020xxxAB.tif Order and voucher number (7char.) plus provider site (2 char). The provider site code will be assigned by DDD.
    - I020xxxAB00.tif Order and voucher number, provider site code and series number.
2. The digit series number will be '00' for most reports, but can be a number up to '99'. This number will be maintained by the provider to all for multiple files for the same O&V.

**Physician signature**

An "electronic signature" may be used, but must be consistent with prevailing DDD guidelines and approved by DDD prior to use.

Acceptable CE Report signatures are:

- original written signatures, signed in ink, also known as "wet" signatures, on the original paper copy of the CE report;
- facsimiles, photocopies, or scanned images of written ("wet") signatures;

**Hardcopy of report**

No additional hardcopy of the report is used.

**DDD-4184 Ancillary Data – Unstructured Format**

You may be required in certain situations to provide additional information regarding the efforts made in scheduling an appointment that is beyond the data contained in the structured DDD-4184 text file. That information should generated, then uploaded to the DDD web server. The naming convention of the scanned file must be:

CE Voucher Number	1 - 7	
Text	8 - 14	"_NOTES_"
Sequence Number	15 - 16	(i.e. "01", "02", "03" ...)
Extension	17 - 20	".tif"

**Appointment Notices – Special Notice Option**

When the CDT-SNO-CD is not zero, you are required to upload a copy of the appointment notice and claimant letters to the DDD web server. Note that this file must be a PDF document. The naming convention of the scanned file must be

CE Voucher Number	1 - 7	
Text	8 - 10	"SNO"
Sequence Number	11 - 12	(i.e. "01", "02", "03" ...)
Extension	13 - 16	".pdf"

**Appointment Notices – Other**

The provider should be prepared to deliver at the Division's request appointment and claimant letters in an unstructured format to the DDD webserver. The naming convention of the scanned file must be

CE Voucher Number	1 - 7	
Text	8 - 11	"FTC_"
Sequence Number	12 - 12	(i.e. "1", "2", "3" ...)
Extension	13 - 16	".tif"

### **File Exchange**

The provider will access its own area on the DDD web-server via a secure, encrypted web portal. The provider will return status and report information in either unstructured or structured data format depending on the situation and prevailing DDD guidelines.

DDD will provide a point of contact to get access credentials for accessing the DDD web server to exchange the files mentioned above. These credentials may require periodic changes and DDD may change the access method as necessary.

The provider will upload all structured and unstructured documents to an upload directory as directed by the DDD web server. The provider will also download all structured and unstructured data from a download directory as directed by the DDD web server. The provider will be given an opportunity to "browse" his computer and mark multiple images to be uploaded for DDD use and will be given an opportunity to select multiple files to download.

Provider requirements:

1. A high speed internet connection
2. A browser (Internet Explorer minimum version 6.0)
3. Ability to generate multi-page level-4.TIF images, or other acceptable format to be determined by DDD

File formats: (as determined by DDD)

1. Structured Data: .txt or .xml as indicated by the appropriate section
2. Unstructured Data: Generally, multi-page, level 4 .TIF images, unless otherwise stated or changed at DDD's discretion.

Backup System:

A backup of all files should be kept with the provider for a minimum of 12 months.

System failure:

In the event of system failure, DDD may require the Contractor to hand deliver the CE reports within 48 hours of completion. Alternative arrangements for delivery via overnight mail or courier may be made with DDD approval.