



**Council for Medical Schemes**

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

**Version 15.1**

**Applicable from 1 January 2022**

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## Changes made to version 15.1 since the publication of version 14.1 of the guidelines for 2021.

The changes summarised in this section details proposals made in submissions received after publication of the Version 15.0 of the document.

### 1. Asthma

A10BK01 - Dapagliflozin	Requested to be added. Accepted
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The changes summarised in this section details proposals made in submissions received after publication of the Version 14.1 of the document.

### 2. Asthma

Proposed	Accepted / Rejected / Amended
R03DX09 - Mepolizumab	Request to remove the drug from the document – rejected. Section 21 drugs are included in the counts to ensure that all patients with these conditions are counted.
R03BB04 - Tiotropium	Available in SA and applicable to Asthma – requested to add it - Accepted

### 3. Cardiac Failure and Cardiomyopathy

Proposed	Accepted / Rejected / Amended
O10.1 and O10.3 are not listed under CDL for CF or CMO on the 2013 ICD-10 code list as these are obstetric codes. Both codes are listed as CDLs for Hypertension and O10.3 are also listed as CDL under Chronic renal disease. We recommend that these codes be removed.	Accepted – codes deleted. Member's already suffered from the disease and would be counted with the correct ICD-10 code, now during pregnancy it will not change the count as they will still be on be same treatment
A10BK01 - Dapagliflozin	Requested to be added

### 4. Multiple Sclerosis (MSS)

Proposed	Accepted / Rejected / Amended
L04AA34 - Alemtuzumab	Requested to be added - Accepted
N07XX07 - Dalfampridine	Requested to be added - Accept

**5. Systemic Lupus Erythematosus (SLE)**

Proposed	Accepted / Rejected / Amended
L04AA26 -Belimumab	Requested to be added - Accept

**6. Preparation Data**

Proposed	Amended
Request that the column containing the applicable E78 codes is moved to the left of the column containing the relevant G- and I-codes and the other alternative entry criteria for Hyperlipidaemia	Column moved - Accepted

**7. Additional changes to document**

The ATC codes indicated in Section 6 and Section 7 have been aligned.

## 1. Introduction

- 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.
- 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.
- 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).
- Successful implementation of the clinical risk management for 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 age<sup>1</sup>.
- The purpose of this guideline is to define criteria that must be met in the identification of beneficiaries with the above-mentioned risk factors.
- 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.
- 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.
- 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 medicines in the entry and verification criteria does not create an entitlement of a beneficiary to access that medicine as a PMB.
- 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.
- These guidelines provide specific clinical codes that serve to identify patients who were treated for CDL conditions.
- These guidelines will be reviewed as the need arises.

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<sup>1</sup> 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.

## 2. Implementation date

- These criteria (as amended) are applicable from 1 January 2019.

### *Existing CDL cases*

- The diagnoses of cases that have been started on treatment before 1 January 2006 are acceptable for the purposes of SRM.
- 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 7.1
January 2014 to December 2014	Version 8.1
January 2015 to December 2015	Version 9.1
January 2016 to December 2016	Version 10.1
January 2017 to December 2017	Version 11.0
January 2018 to December 2018	Version 12.1
January 2019 to December 2019	Version 13.1
January 2020 to December 2020	Version 14.1
January 2021 to December 2021	Version 15.1

### *New CDL cases*

- All newly diagnosed cases from 1 January 2021 onwards must meet the diagnosis criteria specified in this document (Version 15.1).

### *All CDL cases*

- All CDL cases, *existing or newly diagnosed* must meet the “proof of treatment” component stipulated in version 15.1 of the guidelines from 1 January 2021.

### *Note on cases identified with previous versions of the guidelines*

- 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



**Applicable to cases reported from 1 January 2021**

different sets of criteria strictly on the dates when they become effective. Adequate version control is therefore a requirement.

### 3. Preparation Data

#### *General*

- 3.1 SRM data will be solely collected through the ASR Healthcare Utilisation System. Schemes will still be required to apply the entry and verification criteria for identifying beneficiaries.
- 3.2 The data is submitted separately for each option in a particular medical scheme, for both male and female beneficiaries.
- 3.3 A beneficiary is counted if he/she is entitled to benefits in respect of that month.
- 3.4 The service date is used to establish in which month a beneficiary is counted. (See paragraphs 5.7 - 5.9)

#### *Age bands*

- 3.5 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.
- 3.6 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*

- 3.7 All beneficiaries that are reported in the SRM data 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*

- 3.8 A beneficiary is counted for a specific CDL condition for SRM Count and SRM prevalence 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 defaulted to "NON".
- 3.9 For the SRM count data each beneficiary must be counted for only one – CDL condition. For a person with two or more CDL conditions (or HIV and one or more CDL conditions), the scheme may choose the condition with the highest cost of the combination. A beneficiary with multiple diseases will only be counted once – for a CDL condition. Thus the total of beneficiaries – for each of the CDL Conditions including "NON", and excluding "MAT" must equal the beneficiaries in the option for the period.

- 3.10 Note that with the combination of cardiac heart failure (CHF) and cardiomyopathy (CMY) into one condition, from 1 January 2006, the CHF indicator must be left blank. All CHF and CMY cases must be counted as CMY.

*Multiple chronic conditions*

- 3.11 Once the most expensive disease has been allocated to a CDL code, the multiple disease modifier must be allocated according to the number of chronic diseases for the beneficiary. Hence a beneficiary with multiple chronic diseases will reflect twice in the SRM count data once for the most expensive disease and once for the number of multiple diseases. Multiple chronic conditions should only be accounted for in SRM Count data and not in the SRM prevalence data.

*Exclusion of specific diseases as multiple chronic conditions in the count data*

- 3.11.1 For SRM count data 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 data – see paragraph **Error! Reference source not found.**)*. Cases encountered with co-occurring conditions as described in paragraphs 3.11.1.1 – 3.11.1.8 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 data. The conditions are arranged in descending cost order as determined by the contribution table 2009, which includes the following hierarchy:

Table 2: Disease ranks

Updated CDL ranks (2009 PMB Costing Study, applicable for cases reported from 1 January 2017)		
CDL Condition	Description	Rank
HAE	Haemophilia	1
CRF	Chronic renal disease	2
MSS	Multiple sclerosis	3
COP	Chronic obs. pulmonary disease	4
CMY	Cardiomyopathy	5
CSD	Crohn's disease	6
DBI	Diabetes insipidus	7
DM1	Diabetes mellitus 1	8
BCE	Bronchiectasis	9
PAR	Parkinson's disease	10
BMD	Bipolar mood disorder	11
SCZ	Schizophrenia	12
DYS	Dysrhythmias	13
SLE	Systemic LE	14
IBD	Ulcerative colitis	15
EPL	Epilepsy	16
HIV	HIV/aids	17
IHD	Coronary artery disease	18
ADS	Addison's disease	19
RHA	Rheumatoid arthritis	20
AST	Asthma	21
DM2	Diabetes mellitus 2	22
HYP	Hypertension	23
HYL	Hyperlipidaemia	24
GLC	Glaucoma	25
TDH	Hypothyroidism	26

- 3.11.1.1 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*
- 3.11.1.2 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*
- 3.11.1.3 For count purposes, only one of *chronic renal disease or hypertension* may be assigned to the same patient

- 3.11.1.4 For count purposes, only one of the following gastrointestinal conditions can be assigned to the same patient: *crohn's disease or ulcerative colitis*
- 3.11.1.5 For count purposes, only one of the following psychiatric conditions can be assigned to the same patient: *bipolar mood disorder or schizophrenia*
- 3.11.1.6 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*
- 3.11.1.7 For count purposes, only one of the following auto-immune conditions can be assigned to the same patient: *systemic lupus erythematosus or rheumatoid arthritis*
- 3.11.1.8 Diabetes mellitus type 1 and type 2 cannot co-occur (see table 13 and Table 14 in section 6).

#### *Maternity*

- 3.12 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.
- 3.13 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*

- 3.14 Populating the “NON” indicator: After counting the CDL Code indicator of the SRM count data, beneficiaries who have not been counted need to be allocated and reflected in the “NON” indicator. This indicator includes **all** beneficiaries from the “Under 1” age band. The sum of all indicators (CDL codes, “NON”) reflects all beneficiaries of an option.

#### *Prevalence data*

- 3.15 In the SRM prevalence data, 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 “NON”.
- 3.16 The SRM prevalence data contains the total number of beneficiaries in each period. Each beneficiary must be counted for all the chronic conditions (CDL conditions or HIV) the person has. For a person with three CDL conditions the scheme must count the beneficiary under the three relevant chronic codes. Data officers should consult the ASR Healthcare Utilisation Data Specification (Table A7) for further clarity.

- 3.17 Each of the conditions listed in paragraph 3.11.1 and its sub-paragraphs must be reported on in the SRM prevalence data.
- 3.18 The same number of beneficiaries in the “NON” indicator of the SRM count data should be reflected in the “NON” indicator of the SRM prevalence data. Hence for both indicators (Count and Prevalence), the “Under 1” age band is defaulted to “NON”.

*Availability of information from capitated providers*

- 3.19 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:
  - 3.19.1 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.
  - 3.19.2 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.
- 3.20 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 data. (See paragraph 5.19)

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

- 4.1.1 The SRM data should be submitted through the Annual Statutory Returns submission process via the Healthcare Utilisation System on Table A.7, for both Count and Prevalence.
- 4.1.2 Data Officers should consult the Data Specification documents, detailing the submission process.

## 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). Cases that are on treatment for one of the PMB CDLs when they transfer from one scheme to another must not be compromised and must therefore continue to receive treatment. The E & V criteria therefore has to rely on the proof of treatment information rather than on the diagnosis related information. Information of such members must be transferred from one scheme to another.

### *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 6.

*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 3.7 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 Haemophilia.

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 month for which SRM eligibility is determined			
Month:	Treatment provided and paid for from a risk pool: <i>(Use service date to allocate to a specific month)</i>	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 to 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, glaucoma, genetic hyperlipidaemia (in the absence of total cholesterol values supporting the diagnosis), multiple sclerosis, schizophrenia, systemic lupus erythematosus and ulcerative colitis. This includes Rheumatoid Arthritis in cases where a DMARD is not used.
- 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 ICD-10 codes to identify CDL cases*

- 5.21 Some of the ICD-10 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 ICD-10 code indicates more than one of the CDL conditions, only the most expensive condition can be selected for the SRM count data, while all conditions must be included in the SRM prevalence data. 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 data 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 data, 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 data 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 data, 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 I10.3: 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 data 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 data, 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 ICD-10 codes

5.23 As an interim measure, previous versions of the entry and verification criteria allowed three digit ICD-10 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 ICD-10 coding. Since version 3 of the criteria requires the most specific ICD-10 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](http://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 3.11.1 as well as the rules on ambiguous ICD-10 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	ICD-10 Codes		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 endocrinologist or diagnosis must be made by a provider employed by a state hospital 018000 056001 032000 056002 056000 056003		E27.1	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	ICD-10 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 J45.1 J45.8	J45.9 J46	R03AC R03AK R03BA R03DX05 R03DX09 A10BK01	R03BB01  R03DA04 R03DC R03BB04



**Table 5: Bipolar Mood Disorder**

<b>Bipolar Mood Disorder</b>					
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					
<b>Diagnosis-related information</b>			<b>AND</b>	<b>Proof of Treatment</b>	
Provider code of the diagnosing provider	<b>AND</b>	ICD-10 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 F31.1 F31.2 F31.3 F31.4		F31.5 F31.6 F31.7 F31.8 F31.9	N05AN01 N03AX09 N03AF01 N03AG01 N05AH03 N05AH04 N05AX08 N05AX12

**Table 6: Bronchiectasis**

<b>Bronchiectasis</b>					
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>					
<b>Diagnosis-related information</b>			<b>AND</b>	<b>Proof of Treatment</b>	
Provider code of the diagnosing provider	<b>AND</b>	ICD-10 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 R03DA04

**Table 7: Cardiac Failure and Cardiomyopathy**

<b>Cardiac Failure and Cardiomyopathy</b>					
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>					
<b>Diagnosis-related information</b>			<b>Proof of Treatment</b>		
Provider code of the diagnosing provider	<b>AND</b>	ICD-10 Codes (Any of the following)		<b>AND</b>	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		I50.0	I42.2		C01AA05
		I50.1	I42.3		C01DA
		I50.9	I42.4		C02DB
		I11.0	I42.5		C03
		I13.0	I42.6		C07
		I13.2	I42.7		C09
		I42.0	I42.8		C01EB17
		I42.1	I42.9		A10BK01

Add all ICD-10 codes on new algorithms and to the algorithm update

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				Proof of Treatment			
Provider code of the diagnosing provider		Result of Special investigations		ICD-10 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	AND	Creatinine clearance value of < 30 ml / min	AND	N03.0	N05.1	B05D	V03AE
				N03.1	N05.2	B05Z	A11CC
				N03.2	N05.3	B03XA01	L04A
				N03.3	N05.4	C03	B03AC
				N03.4	N05.5	C07	B03BB01
				N03.5	N05.6	C08	A12AA04
				N03.6	N05.7	C09	H05BX01
				N03.7	N05.8	B03AA	A12BA
				N03.8	N05.9	B03XA02	B03XA03
		OR		N03.9	N11.0	OR	
		A Glomerular Filtration Rate estimate of < 60 ml / min		N04.0	N11.1	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:	
				N04.1	N11.8		
		OR		N04.2	N11.9		
		Albumin-to-Creatinine Ratio (ACR) of ≥ (equal to or greater than) 3.4 mg/mmol (or 30mg/g)		N04.3	N18.1	<b>Medical Practitioners</b>	<b>Clinical Technologists</b>
				N04.4	N18.2	1843	145
				N04.5	N18.3	1845	146
				N04.6	N18.4	1847	148
				N04.7	N18.5	1849	147
				N04.8	N18.9	1851	176
				N04.9	I12.0	1852	177
				N05.0	I13.1		149
				E10.2	I13.2		150
				E11.2			151
				E12.2			152
				Z94.0			154
							156
							153
							155
							<b>Registered Nurses:</b>
							092
							608
							610
							612
							090
							<b>UPFS</b>
							0310
							0311
							0312
							0313
							0320
							0321
							0322
							0323

\* NHRPL = National Health Reference Price List

\*\* UPFS = Uniform Patient Fee Schedule

**Table 9: Chronic Obstructive Pulmonary Disease**

<b>Chronic Obstructive Pulmonary Disease</b>						
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>						
<b>Diagnosis-related information</b>				<b>Proof of Treatment</b>		
Any registered medical practitioner	<b>AND</b>	Result of Special investigations	<b>AND</b>	ICD-10 Codes (Any of the following)	<b>AND</b>	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 80% of predicted		J43.0 J43.1 J43.2 J43.8 J43.9 J44.0 J44.1 J44.8 J44.9		R03AC R03AK R03BA R03BB R03DA04 R03DX07 V03AN01 H02AB06 H02AB07

**Table 10: Coronary Artery Disease**

<b>Coronary Artery Disease</b>						
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>						
<b>Diagnosis-related information</b>				<b>AND</b>	<b>Proof of Treatment</b>	
Provider code of the diagnosing provider	<b>AND</b>	ICD-10 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 C01EB17 C01EB18		

**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			Proof of Treatment		
Provider code of the diagnosing provider	AND	ICD-10 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, surgeon or gastroenterologist or diagnosis must be made by a provider employed by a state hospital 018000 056000 032000 056001 042000 056002 019000 056003		K50.0 K50.1 K50.8 K50.9		A07E H02AB <b>OR</b> J01MA L04AD01 L01BB02 L04AA33	L04AB04 L04AB02 L04AX01 L04AX03 L01BA01 P01AB01 L04AC05 L04AD02

**Table 12: Diabetes Insipidus**

Diabetes Insipidus					
Diagnosis-related information			Proof of Treatment		
Provider code of the diagnosing provider	AND	ICD-10 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, neurosurgeon, neurologist or endocrinologist or diagnosis must be made by a provider employed by a state hospital 018000 056000 032000 056001 024000 056002 020000 056003		E23.2		H01BA	

**Table 13: Diabetes Mellitus (Type 1)**

<b>Diabetes Mellitus Type 1</b>				
<p>Note:</p> <ul style="list-style-type: none"> <li>• For SRM purposes, type 1 and type 2 diabetes cannot occur concurrently.</li> <li>• Where there is <u>only insulin use (ATC A10A)</u>, the doctor's diagnosis (based on the ICD-10 codes below) of type 1 versus type 2 must be accepted</li> <li>• 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.</li> </ul>				
<b>Diagnosis-related information</b>			<b>Proof of Treatment</b>	
Provider code of the diagnosing provider		ICD-10 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	E10.0 E10.1 E10.2 E10.3 E10.4 E10.5 E10.6 E10.7 E10.8 E10.9 O24.0 H36.0	AND	E13.0 E13.1 E13.2 E13.3 E13.4 E13.5 E13.6 E13.7 E13.8 E13.9 E14.0 E14.1 E14.2 E14.3 E14.4 E14.5 E14.6 E14.7 E14.8 E14.9  A10AB A10AC A10AD A10AE01 A10AE02 A10AE03 A10AE04 A10AE05 A10AE06

Table 14: Diabetes Mellitus (Type 2)

Diabetes Mellitus Type 2					
<p>Note:</p> <ul style="list-style-type: none"> <li>For purposes, type 1 and type 2 diabetes cannot occur concurrently.</li> <li>Evidence of use of oral euglycaemic medicines in the preceding three months automatically leads to the classification of a diabetic case as type 2.</li> <li>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.</li> </ul>					
Diagnosis-related information				Proof of Treatment	
Provider code of the diagnosing provider	ICD-10 Codes (Any of the following)		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	AND	E11.0	E11.9	OR	A10B
		E11.1	E12.0		Any ICD-10 code indicative of Non-Insulin Dependent Diabetes:
		E11.2	E12.1		
		E11.3	E12.2		AND
		E11.4	E12.3		
		E11.5	E12.4	E11.0	
		E11.6	E12.5	E11.1	
		E11.7	E12.6	E11.2	
		E11.8	E12.7	E11.3	
		E13.0	E12.8	E11.4	
		E13.1	E12.9	E11.5	
		E13.2	O24.1	E11.6	
		E13.3	O24.2	E11.7	
		E13.4	O24.3	E11.8	
		E13.5	O24.4	E11.9	
		E13.6	O24.9	O24.1	
		E13.7			A10A
		E13.8			
		E13.9			
		E14.0			
		E14.1			
		E14.2			
		E14.3			
		E14.4			
		E14.5			
		E14.6			
		E14.7			
		E14.8			
		E14.9			

**Table 15: Dysrhythmias**

<b>Dysrhythmias</b>			
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>			
<b>Diagnosis-related information</b>			<b>Proof of Treatment</b>
Provider code of the diagnosing provider	<b>AND</b>	ICD-10 Codes (Any of the following)	<b>AND</b>
Any registered medical practitioner		I47.2 I48.0 I48.1 I48.2 I48.3 I48.4 I48.9	

**Table 16: Epilepsy**

<b>Epilepsy</b>			
For count purposes, <i>bipolar mood disorder and multiple sclerosis may not co-occur with epilepsy</i>			
<b>Diagnosis-related information</b>			<b>Proof of Treatment</b>
Provider code of the diagnosing provider	<b>AND</b>	ICD-10 Codes (Any of the following)	<b>AND</b>
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	



**Table 17: Glaucoma**

<b>Glaucoma</b>					
<i>Diagnosis-related information</i>			<b>AND</b>	<i>Proof of Treatment</i>	
Provider code of the initial /confirmation diagnosing specialist provider	<b>AND</b>	ICD-10 Codes (Any of the following)		<b>AND</b>	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:
Specialist ophthalmologist or provider employed by a state hospital (26000, 056000, 056001, 056002, 056003)		H40.0 H40.1 H40.2 H40.3 H40.4	H40.5 H40.6 H40.8 H40.9 Q15.0		S01E

**Table 18: Haemophilia**

<b>Haemophilia</b>					
<i>Diagnosis-related information</i>			<b>AND</b>	<i>Proof of Treatment</i>	
Provider code of the diagnosing provider	<b>AND</b>	ICD-10 Codes (Any of the following)		<b>AND</b>	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		D66 D67	B02AA02 B02BD02 B02BD03 B02BD08		B02BD04 B02BD06 H01BA B02BX06
		<b>AND</b>			
		Laboratory evidence of Factor VIII or IX levels lower than or equal to 5%			

Table 19: Hyperlipidaemia

Hyperlipidaemia										
<p>Note:</p> <ul style="list-style-type: none"> <li>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).</li> <li>Only a diagnosis by an endocrinologist will be accepted to diagnose genetic hyperlipidaemias without supporting high Total Cholesterol values.</li> </ul>										
Diagnosis-related information					Proof of Treatment					
Provider code of the diagnosing provider	ICD-10 Codes	Diagnosis of symptomatic atherosclerotic disease Including any of the following ICD-10 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 registered medical practitioner.	(Any of the following) E78.0 E78.1 E78.2 E78.3 E78.4 E78.5	G45.0	I21.2	I25.1	I63.5	I66.2	C10  C10AX14			
		G45.1	I21.3	I25.2	I63.6	I66.3				
		G45.2	I21.4	I25.3	I63.8	I66.4				
		G45.3	I21.9	I25.4	I63.9	I66.8				
		G45.4	I22.0	I25.5	I64	I66.9				
		G45.8	I22.1	I25.6	I65.0	I67.6				
		G45.9	I22.8	I25.8	I65.1	I70.0				
		I20.0	I22.9	I25.9	I65.2	I70.1				
		I20.1	I24.0	I63.0	I65.3	I70.2				
		I20.8	I24.1	I63.1	I65.8	I70.8				
		I20.9	I24.8	I63.2	I65.9	I70.9				
		I21.0	I24.9	I63.3	I66.0					
		I21.1	I25.0	I63.4	I66.1					
		AND		OR					AND	
				Diagnosis of Diabetes mellitus type 2, or Diabetes mellitus type 1 with micro-albuminuria/proteinuria						
AND		OR								
		Chronic kidney disease (GFR <60 ml/min/1.73 m <sup>2</sup> ) – only N18.3, N18.4 and N18.5								
AND		OR								
		10 year CVD risk ≥ 15% as per Framingham Risk Score (2012 version)								
AND		OR								
		Genetic hyperlipidaemias diagnosed by:								
		By any registered medical practitioner where TC>7.5mmol/l								
AND		OR								
		TC> 7 mmol/l	AND	Positive family history of a premature vascular event in a 1 <sup>st</sup> degree male relative < 55 yrs						
AND		OR								

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

**Table 20: Hypertension**

<b>Hypertension</b>					
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					
<i>Diagnosis-related information</i>			<i>Proof of Treatment</i>		
Provider code of the diagnosing provider	AND	ICD-10 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 O10.2 O10.3 O10.4 O10.9 O11	AND	C02 C03 C07

**Table 21: Hypothyroidism**

<b>Hypothyroidism</b>					
<i>Diagnosis-related information</i>			<i>Proof of Treatment</i>		
Provider code of the diagnosing provider	AND	ICD-10 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		E01.8 E02 E03.0 E03.1 E03.2 E03.3	E03.4 E03.5 E03.8 E03.9 E89.0	AND	H03AA

**Table 22: Multiple Sclerosis**

<b>Multiple Sclerosis</b>					
For count purposes, <i>bipolar mood disorder and epilepsy may not co-occur with multiple sclerosis</i>					
<i>Diagnosis-related information</i>			<i>Proof of Treatment</i>		
Provider code of the diagnosing provider	<b>AND</b>	ICD-10 Codes (Any of the following)	<b>AND</b>	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 provider employed by a state hospital 018000 020000 056000 056001 056002 056003		G35			
				L03AB07 L03AB08 L03AX13 L04AA23 L04AA27 G04BD L04AA36 L03AB13 L04AA31 L04AA40	N03AF01 N06AA09 M03BX01 N06AA02 H02AB04 L04AA34 N07XX07
				<b>OR</b>	
				Evidence of hospitalisation (admission date) in the preceding 3 months for acute exacerbation of Multiple Sclerosis (G35).	

**Table 23: Parkinson's Disease**

<b>Parkinson's Disease</b>				
<i>Diagnosis-related information</i>			<i>Proof of Treatment</i>	
Provider code of the diagnosing provider	<b>AND</b>	ICD-10 Codes (Any of the following)	<b>AND</b>	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		N04

Table 24: Rheumatoid Arthritis

Rheumatoid Arthritis						
For count purposes, <i>systemic lupus erythematosus</i> may not co-occur with <i>rheumatoid arthritis</i>						
Note: Where a patient is not using disease modifying anti-rheumatic medicines, the diagnosis must be verified by a specialist physician or rheumatologist						
Diagnosis-related information				Proof of Treatment		
Provider code of the diagnosing provider	ICD-10 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	M05.00	M05.35	M06.10	M06.45	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	M01AB
		M05.05	M05.80	M06.15	M06.80	M01AC
		M05.06	M05.81	M06.16	M06.81	M01AE
		M05.07	M05.82	M06.19	M06.82	M01AG
		M05.08	M05.83	M06.17	M06.83	M01AH
		M05.09	M05.84	M06.18	M06.84	M01C
		M05.10	M05.85	M06.20	M06.85	P01BA01
		M05.11	M05.86	M06.21	M06.86	L04AX01
		M05.12	M05.87	M06.22	M06.87	L04AX03
		M05.13	M05.88	M06.23	M06.88	L04AA13
		M05.14	M05.89	M06.24	M06.89	L04AD01
		M05.15	M05.90	M06.25	M06.90	L04AB02
		M05.16	M05.91	M06.26	M06.91	L04AB04
		M05.17	M05.92	M06.27	M06.92	L04AB01
		M05.18	M05.93	M06.28	M06.93	L04AB06
		M05.19	M05.94	M06.29	M06.94	L04AC07
		M05.20	M05.95	M06.30	M06.95	L04AA24
		M05.21	M05.96	M06.31	M06.96	L01XC02
		M05.22	M05.97	M06.32	M06.97	L04AA37
		M05.23	M05.98	M06.33	M06.98	L04AC03
		M05.24	M05.99	M06.34	M06.99	L04AA29
		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			
				AND		

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	ICD-10 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 psychiatrist or paediatric psychiatrist or diagnosis must be made 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	ICD-10 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 or rheumatologist or diagnosis must be made 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 L04AX03 D07A M04AC01 L04AA26

**Table 27: Ulcerative Colitis**

<b>Ulcerative Colitis</b>					
For count purposes, only one of the following gastro intestinal conditions can be assigned to the same patient: <i>crohn's disease</i> or <i>ulcerative colitis</i>					
<b>Diagnosis-related information</b>					<b>Proof of Treatment</b>
Provider code of the diagnosing provider		ICD-10 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 provider employed by a state hospital 042000 018000 019000 056000 056001 056002 056003	<b>AND</b>	K51.0 K51.2 K51.3	K51.4 K51.5 K51.8 K51.9	<b>AND</b>	A07E H02AB L04AB02 L04AB04 L04AB06 L04AX01 L01BB02 L04AD01 L01BA01 L04AA29 L04AA33

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	ICD-10 Codes(Any of the following)		AND	Documented proof to demonstrate that patient qualifies for ART in accordance with the National Antiretroviral Treatment Guidelines (CD4 count not applicable anymore as new National Antiretroviral Treatment Guidelines)
Any registered medical practitioner		B20.0 B20.1 B20.2 B20.3 B20.4 B20.5 B20.6 B20.7 B20.8 B20.9 B21.0 B21.1 B21.2 Z20.6	B21.3 B21.7 B21.8 B21.9 B22.0 B22.1 B22.2 B22.7 B23.0 B23.1 B23.2 B23.8 B24		
					J05AE J05AF J05AG J05AR J05AX08 J05AX09 J05AX12



Table 29: Maternity

<b>Maternity Codes</b>	
Admission date	<b>Procedure codes (Any of the following)</b>
	2614, 2615, 2616, 2653
<b>OR</b>	
Confinement Date	<b>Diagnosis codes (Any of the following)</b>
	<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p>O60.0 Preterm labour without delivery</p> <p>O60.1 Preterm labour with preterm delivery</p> <p>O60.2 Preterm labour with term delivery</p> <p>O61.0 Failed medical induction of labour</p> <p>O61.1 Failed instrumental induction of labour</p> <p>O61.8 Other failed induction of labour</p> <p>O61.9 Failed induction of labour, unspecified</p> <p>O62.0 Primary inadequate contractions</p> <p>O62.1 Secondary uterine inertia</p> <p>O62.2 Other uterine inertia</p> <p>O62.3 Precipitate labour</p> <p>O62.4 Hypertonic, incoordinate, and prolonged uterine contractions</p> <p>O62.8 Other abnormalities of forces of labour</p> <p>O62.9 Abnormality of forces of labour; unspecified</p> <p>O63.0 Prolonged first stage (of labour)</p> <p>O63.1 Prolonged second stage (of labour)</p> <p>O63.2 Delayed delivery of second twin; triplet; etc.</p> <p>O63.9 Long labour; unspecified</p> <p>O64.0 Obstructed labour due to incomplete rotation of fetal head</p> <p>O64.1 Obstructed labour due to breech presentation</p> <p>O64.2 Obstructed labour due to face presentation</p> <p>O64.3 Obstructed labour due to brow presentation</p> <p>O64.4 Obstructed labour due to shoulder presentation</p> <p>O64.5 Obstructed labour due to compound presentation</p> <p>O64.8 Obstructed labour due to other malposition and malpresentation</p> <p>O64.9 Obstructed labour due to malposition and malpresentation; unspecified</p> <p>O65.0 Obstructed labour due to deformed pelvis</p> <p>O65.1 Obstructed labour due to generally contracted pelvis</p> <p>O65.2 Obstructed labour due to pelvic inlet contraction</p> <p>O65.3 Obstructed labour due to pelvic outlet and mid-cavity contra</p> <p>O65.4 Obstructed labour due to fetopelvic disproportion; unspecified</p> <p>O65.5 Obstructed labour due to abnormality of maternal pelvic organs</p> <p>O65.8 Obstructed labour due to other maternal pelvic abnormalities</p> <p>O65.9 Obstructed labour due to maternal pelvic abnormality; unspecified</p> <p>O66.0 Obstructed labour due to shoulder dystocia</p> <p>O66.1 Obstructed labour due to locked twins</p> <p>O66.2 Obstructed labour due to unusually large fetus</p> <p>O66.3 Obstructed labour due to other abnormalities of fetus</p> <p>O66.4 Failed trial of labour; unspecified</p> <p>O66.5 Failed application of vacuum extractor and forceps, unspecified</p> <p>O66.8 Other specified obstructed labour</p> <p>O66.9 Obstructed labour; unspecified</p> <p>O67.0 Intrapartum haemorrhage with coagulation defect</p> <p>O67.8 Other intrapartum haemorrhage</p> <p>O67.9 Intrapartum haemorrhage, unspecified</p> <p>O68.0 Labour and delivery complicated by fetal heart rate anomaly</p> <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 fetal stress</p> <p>O68.8 Labour and delivery complicated by other evidence of fetal stress</p> <p>O68.9 Labour and delivery complicated by fetal stress; unspecified</p> </div> <div style="width: 48%;"> <p>O71.7 Obstetric haematoma of pelvis</p> <p>O71.8 Other specified obstetric trauma</p> <p>O71.9 Obstetric trauma, unspecified</p> <p>O72.0 Third-stage haemorrhage</p> <p>O72.1 Other immediate postpartum haemorrhage</p> <p>O72.2 Delayed and secondary postpartum haemorrhage</p> <p>O72.3 Postpartum coagulation defects</p> <p>O73.0 Retained placenta without haemorrhage</p> <p>O73.1 Retained portions of placenta and membranes, without haemorrhage</p> <p>O74.0 Aspiration pneumonitis due to anaesthesia during labour and delivery</p> <p>O74.1 Other pulmonary complications of anaesthesia during labour and delivery</p> <p>O74.2 Cardiac complications of anaesthesia during labour and delivery</p> <p>O74.3 Central nervous system complications of anaesthesia during labour and delivery</p> <p>O74.4 Toxic reaction to local anaesthesia during labour and delivery</p> <p>O74.6 Other complications of spinal and epidural anaesthesia during labour and delivery</p> <p>O74.7 Failed or difficult intubation during labour and delivery</p> <p>O74.8 Other complications of anaesthesia during labour and delivery</p> <p>O74.9 Complication of anaesthesia during labour and delivery, unspecified</p> <p>O75.0 Maternal distress during labour and delivery</p> <p>O75.1 Shock during or following labour and delivery</p> <p>O75.2 Pyrexia during labour, not elsewhere classified</p> <p>O75.3 Other infection during labour</p> <p>O75.4 Other complications of obstetric surgery and procedures</p> <p>O75.5 Delayed delivery after artificial rupture of membranes</p> <p>O75.6 Delayed delivery after spontaneous or unspecified rupture of</p> <p>O75.7 Vaginal delivery following previous caesarean section</p> <p>O75.6 Delayed delivery after spontaneous or unspecified rupture of membranes</p> <p>O75.7 Vaginal delivery following previous caesarean section</p> <p>O75.8 Other specified complications of labour and delivery</p> <p>O75.9 Complication of labour and delivery, unspecified</p> <p>O80.0 Spontaneous vertex delivery</p> <p>O80.1 Spontaneous breech delivery</p> <p>O80.8 Other single spontaneous delivery</p> <p>O80.9 Single spontaneous delivery, unspecified</p> <p>O81.0 Low forceps delivery</p> <p>O81.1 Mid-cavity forceps delivery</p> <p>O81.2 Mid-cavity forceps with rotation</p> <p>O81.3 Other and unspecified forceps 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> </div> </div>

Applicable to cases reported from 1 January 2021

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

<b>Addison's disease</b>	
H02AB	Glucocorticoids
H02AA02	Fludrocortisone
<b>Asthma</b>	
R03AC	Selective beta-2-adrenoreceptor agonists
R03AK	Adrenergics and other drugs for obstructive airway diseases
R03BA	Glucocorticoids
R03BB01	Ipratropium bromide
R03DA04	Theophylline
R03DC	Leukotriene receptor antagonists
R03DX05	Omalizumab
A10BK01	Dapagliflozin
R03BB04	Tiotropium
<b>Bipolar mood disorder</b>	
N05AN01	Lithium
N03AX09	Lamotrigine
N03AF01	Carbamazepine
N03AG01	Valproic acid
N05AH03	Olanzapine
N05AH04	Quetiapine
N05AX08	Risperidone
N05AX12	Aripiprazole
<b>Bronchiectasis</b>	
H02AB	Glucocorticoids
R03AC	Selective beta-2-adrenoreceptor agonists
R03AK	Adrenergics and other drugs for obstructive airway diseases
R03BA	Glucocorticoids
R03BB01	Ipratropium bromide
R03DA04	Theophylline
<b>Cardiac Failure and Cardiomyopathy</b>	
C01AA05	Digoxin
C01DA	Organic nitrates
C02DB	Hydrazinophthalazine derivatives
C03	Diuretics
C07	Beta blocking agents
C09	Agents acting on the renin-angiotensin system

Applicable to cases reported from 1 January 2021

C01EB17	Ivabradine
A10BK01	Dapagliflozin

**Applicable to cases reported from 1 January 2021**

<b>Chronic renal disease</b>	
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
C03	Diuretics
C07	Beta-blocking agents
C08	Calcium channel blockers
C09	Drugs acting on the renin-angiotensin system
B03AA	Oral iron
B03AC	Parenteral iron
B03BB01	Folic acid
A12AA04	Calcium carbonate
H05BX01	Cinacalcet
A12BA	Potassium
B03XA02	Methoxy polyethylene glycol-epoetin beta (Mircera)
B03XA03	Darbepoetin alfa (Aranesp)
<b>Chronic obstructive pulmonary disease</b>	
R03AC	Selective beta-2-adrenoreceptor agonists
R03AK	Adrenergics and other drugs for obstructive airway diseases
R03BA	Glucocorticoids
R03BB	Anticholinergics
R03DA04	Theophylline
R03DX07	Roflumilast
V03AN01	Oxygen
H02AB06	Prednisolone
H02AB07	Prednisone
<b>Coronary artery disease</b>	
C01DA	Organic nitrates
C07	Beta blocking agents
C08	Calcium channel blockers
C01EB17	Ivabradine
C01EB18	Ranolazine
<b>Crohn's disease</b>	
A07E	Intestinal anti-inflammatory agents
H02AB	Glucocorticoids
J01MA	Fluoroquinolones
L04AD01	Ciclosporin
L04AD02	Tacrolimus
L04AB02	Infliximab
L04AC05	Ustekinumab

**Applicable to cases reported from 1 January 2021**

L04AX01	Azathioprine
L04AX03	Methotrexate
L01BA01	Methotrexate
P01AB01	Metronidazole
L04AB04	Adalimumab
L01BB02	6-mercaptopurine
L04AA33	Vedolizumab
<b>Diabetes insipidus</b>	
H01BA	Vasopressin and analogues
<b>Diabetes mellitus</b>	
A10AB	Insulins and analogues for injection, fast-acting
A10AC	Insulins and analogues for injection, intermediate-acting
A10AD	Insulins and analogues for injection, intermediate- or long-acting combined with fast-acting
A10AE01	Insulin (human)
A10AE02	Insulin (beef)
A10AE03	Insulin (pork)
A10AE04	Insulin glargine
A10AE05	Insulin detemir
A10AE06	insulin degludec
A10B	Blood glucose lowering drugs other than insulin
<b>Dysrhythmias</b>	
B01AA03	Warfarin
C01A	Cardiac glycosides
C01B	Antiarrhythmics, class i and iii
C07	Beta blocking agents
C08D	Selective calcium channel blockers with direct cardiac effects
B01AF01	Rivaroxaban
B01AE07	Dabigatran
B01AF02	Apixaban
<b>Epilepsy</b>	
N03	Antiepileptics
<b>Glaucoma</b>	
S01E	Antiglaucoma preparations and miotics
<b>Haemophilia</b>	
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)
B02BX06	Emicizumab
<b>Hyperlipidaemia</b>	
C10	Serum lipid reducing agents

Applicable to cases reported from 1 January 2021

C10AX14	Alirocumab
<b>Hypertension</b>	
C02	Antihypertensives
C03	Diuretics
C07	Beta blocking agents
C08	Calcium channel blockers
C09	Agents acting on the renin-angiotensin system
G04CA03	Terazosin
<b>Hypothyroidism</b>	
H03AA	Thyroid hormones
<b>Multiple sclerosis</b>	
L03AB07	Interferon beta-1a
L03AB08	Interferon beta-1b
L03AX13	Glatiramer acetate
L04AA40	Cladribine
L04AA23	Natalizumab
N03AF01	Carbamazepine
N06AA09	Amitriptyline
M03BX01	Baclofen
N06AA02	Imipramine
L04AA27	Fingolimod
G04BD	Drugs for urinary frequency
H02AB04	Parenteral methylprednisolone
L04AA31	Terflunomide
L03AB13	Peginterferon-beta-1a
L04AA36	Ocrelizumab
L04AA34	Alemtuzumab
N07XX07	Dalfampridine
<b>Parkinson's disease</b>	
N04	Anti-parkinson drugs
<b>Rheumatoid Arthritis</b>	
A07EC01	Sulfasalazine
H02AB	Glucocorticoids
L01AA01	Cyclophosphamide
L01BA01	Methotrexate
L04AC03	Anakinra
M01AB	Acetic acid derivatives and related substances
M01AC	Oxicams
M01AE	Propionic acid derivatives
M01AG	Fenamates
M01AH	Coxibs
M01C	Specific antirheumatic agents

Applicable to cases reported from 1 January 2021

P01BA01	Chloroquine
L04AX01	Azathioprine
L04AX03	Oral methotrexate
L04AA13	Leflunomide
L04AD01	Cyclosporine
L04AB02	Infliximab
L04AB04	Adalimumab
L04AB01	Etanercept
L04AB06	Golimumab
L04AC07	Tocilizumab
L04AA24	Abatacept
L01XC02	Rituximab
L04AA37	Baricitinib
L04AA29	Tofacitinib
<b>Schizophrenia</b>	
N05A	Antipsychotics
<b>Systemic lupus erythematosus</b>	
B01AA03	Warfarin
H02AB	Glucocorticoids
L01AA01	Cyclophosphamide
L01BA01	Methotrexate
L04AD01	Ciclosporin
L04AD02	Tacrolimus
L04AA06	Mycophenolic acid
L04AA26	Belimumab
L04AX01	Azathioprine
M01AB	Acetic acid derivatives and related substances
M01AC	Oxicams
M01AE	Propionic acid derivatives
M01AG	Fenamates
M01AH	Coxibs
L04AX03	Oral methotrexate
D07A	Topical corticosteroids
M04AC01	Colchicine
P01BA01	Chloroquine
L04AA26	Belimumab
<b>Ulcerative colitis</b>	
A07E	Intestinal antiinflammatory agents
H02AB	Glucocorticoids
L04AA29	Tofacitinib
L04AB02	Infliximab
L04AB04	Adalimumab
L04AB06	Golimumab



Applicable to cases reported from 1 January 2021

L04AX01	Azathioprine
L01BB02	6-mercaptopurine
L04AD01	Ciclosporin
L01BA01	Methotrexate
L04AA33	Vedolizumab
<b>HIV / AIDS</b>	
J05AE	Protease inhibitors
J05AF	Nucleoside and nucleotide reverse transcriptase inhibitors
J05AG	Non-nucleoside reverse transcriptase inhibitors
J05AR	Antiviral treatment for HIV infections
J05AX08	Raltegravir
J05AX09	Maraviroc
J05AX12	Dolutegravir

## 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 compliance 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  $\geq 60$  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  $\geq 30$  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  $\geq 60$  Days, an indicator is set to indicate that a claim was received in month one **and** two of three month compliance evaluation period.

**Applicable to cases reported from 1 January 2021**

- 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  $\geq 30$  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  $\geq 60$  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  $\geq 30$  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  $\geq 60$  Days, the same procedure is followed as in 8.10.2.
- 8.11 For claims 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 CMS with additional grids that reflect the compliance in accordance with the standard compliance measurements.