

# Hospital Data Submitter Webinar

November 18, 1:00 – 2:30 pm EDT

Participant Reminders:

- Please mute your line.
- Please submit your questions via webinar Chat feature.
- We will address as many questions as possible at the end of today's webinar. For those questions we are unable to get to answers will be distributed to the group

# Agenda

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Welcome  
5 minutes

Updates on Current Submissions  
5 minutes

New Data Submission Process,  
Including Proposed Validations  
20 minutes

Technology Requirements  
5 minutes

MHDO Rule Chapter 241  
25 minutes

Timelines and Next Steps  
15 minutes

Closing and Questions  
15 minutes

# Current Submission Updates

## Options for Q3 2015 Data Submission

You have the option to submit your Q3 2015 inpatient and outpatient hospital data:

**To Databay, as usual**

**OR**

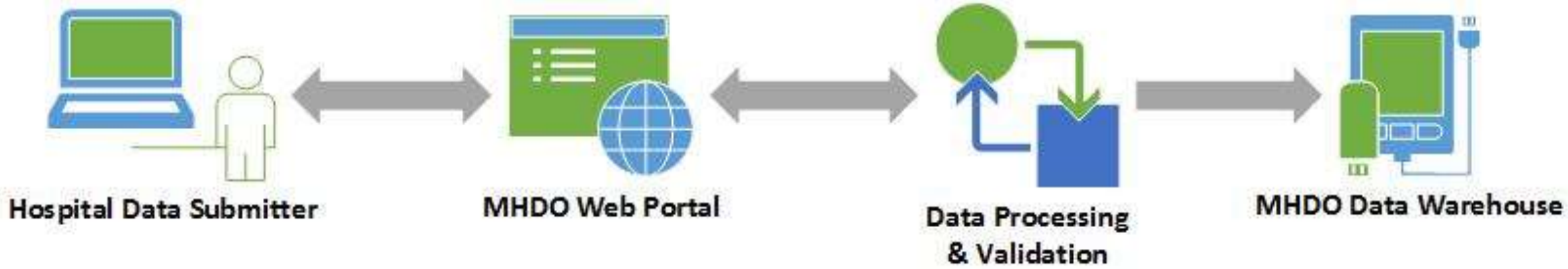
**Hold your Q3 2015 data until we begin accepting submissions in the new system.**

All outstanding historical data (which is defined as Pre Q3 2015) must be submitted to Databay and in a passed status (meaning fully corrected and transmitted) by January 31, 2016.

## New Data Submission Process Goals

- 1. Clear reporting of status of submitted files (Processing, Failed, Passed etc.), and compliance with submission requirements.**
- 2. Timely feedback and clear explanation of data issues.**
- 3. Decrease the amount of time needed to address errors.**
- 4. Ensure that the data and data quality meet the needs of the MHDO's numerous and varied stakeholders**

# New Data Submission Process



# Process Steps

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**Step 1:** Registration

**Step 2:** Data Submission

**Step 3:** Data Processing & Validation

**Step 4:** Data Passed to MHDO Data Warehouse



MHDO Web Portal

# Step 1: Registration

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- Every hospital must register in the new system prior to data submission.
- There are a number of system roles that hospital users can be assigned to.
- Every hospital **MUST** have an Administrative contact who can grant permissions for other system roles.



MHDO Web Portal

# Step 1: Registration

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## System Roles:

- **Administrative** (required) - Keeps facility profile and contact/user information updated; assigns roles and site access permissions.
- **Compliance** (required) - Supervises inpatient and outpatient data submitters; has authority to resolve issues related to missing or failed inpatient or outpatient data submissions.
- **Outpatient Data Submitter** (required)
- **Inpatient Data Submitter** (required for hospitals)
- **General** - No set roles or responsibilities in the MHDO Data Warehouse Portal, but they are interested in receiving relevant, periodic notifications from the MHDO.



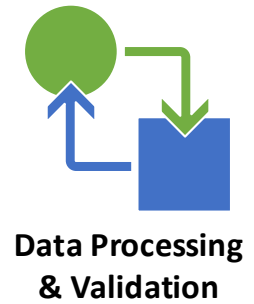


MHDO Web Portal

## Step 2: Data Submission

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- Data will be submitted via the online MHDO Web Portal
- Files must be compressed and encrypted before submission
- Portal users must be assigned either Administrative or Data Submitter permissions in the MHDO Web Portal to submit data
- Data can be submitted on a monthly or quarterly basis
- Data must be submitted in the required file format (according to MHDO Rule Chapter 241 specifications)



## Step 3: Data Processing & Validation

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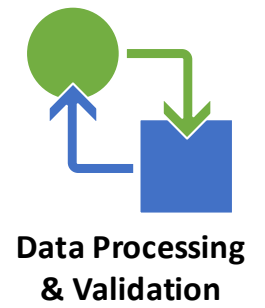
- All hospital data submitted to the MHDO Web Portal will be evaluated against a set of data validations before they are accepted into the MHDO Data Warehouse.
- The validation process will produce a report that identifies the validation issue(s) that must be resolved before data are accepted into the MHDO Data Warehouse.

# Validations

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- Tailored sets of validations for hospital IP and OP data
- All data submissions will be evaluated against the validation set
- 4 types of validations
  1. Structural
  2. Exemption
  3. Profile
  4. Ad Hoc

# Process Overview



## Data Submitter



# Proposed Validation Rules

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A proposed set of inpatient validation rules was e-mailed to all hospital data submitters on November 10th.

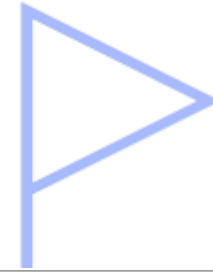
These proposed validation rules are also available on the Hospital data Submitters Page of the MHDO website ([https://mhdo.maine.gov/hosp\\_data\\_submitters.htm](https://mhdo.maine.gov/hosp_data_submitters.htm)).

**Questions/feedback due to [kmullins@hsri.org](mailto:kmullins@hsri.org) by December 4th.**

After the inpatient validation rules have been finalized we will distribute the proposed outpatient validation rules.

# Validation Issue Types

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## Structural-Level

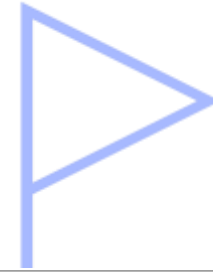
- Occur when a file fails to meet the required file format
- Typically prevent the use or validation of the data



The only way to resolve a structural-level failure is to correct the file format and resubmit the file with the next version number in the file name or, if applicable, request an override from MHDO.

# Validation Issue Types

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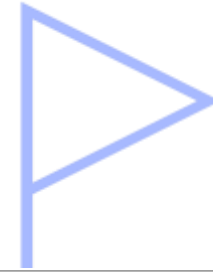


## Structural-Level Examples

Rule Name	Description
File name problem	File name does not conform to file naming conventions.
Unexpected Volume	The total number of records submitted is expected to fall within +/- 15% of the rolling historical average number of records submitted over the prior 12 months. This validation is only performed when historical volume is consistently greater than 100 records.

# Validation Issue Types

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## Exemption-Level

A submitter may request an exemption to a threshold by providing an explanation/justification to the MHDO. If authorized the explanation will be maintained in the system as metadata and made available to the MHDO data users.

Exemptions from thresholds are typically limited to a set period of time, but exemptions can be made permanent at MHDO's discretion.



# Validation Issue Types



## Exemption-Level Examples

IP Element	Rule Name	Validity Criteria	Threshold
IP2004	Valid Patient Sex Code	A valid entry means that the Patient Sex is not blank and is on the list of codes.	100%
IP7110	Valid Principal Procedure Code	When not blank, a valid entry means that the ICD 10-PCS procedure code is on the list of valid codes.	99.5%

# Validation Issue Types

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## Profile-Level

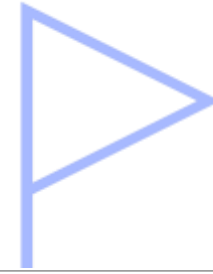
A submitter may override profile-level issues without MHDO approval by providing an explanation/justification. The explanation will be maintained in the system as metadata and made available to the MHDO data users.

Once such an override is in place, it will be applied automatically to all future submissions made until the end of calendar year.

Profile-level validations apply to elements that can vary by nature of a submitter's business.

# Validation Issue Types

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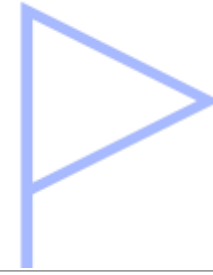


## Profile-Level Examples

IP Element	Rule Name	Validity Criteria	Threshold
IP2012	Admission Hour Populated	A valid entry means that this field is not blank.	99.5%
IP7110	Principal Procedure Code Populated	A valid entry means that the field is not blank.	99.5%

# Validation Issue Types

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## Ad Hoc-Level

A submitter may override ad hoc-level issues without MHDO approval by providing an explanation/justification. The explanation will be maintained in the system as metadata and made available to the MHDO data users.

Once such an override is in place, it will only apply to the current submission.

Ad hoc-level validations are those that submitters may override during the data submission process but that MHDO does not allow to be set permanently in the submitter's Validation Profile.

# Validation Issue Types



## Ad Hoc-Level Examples

IP Element	Rule Name	Validity Criteria	Threshold
IP2004	Patient Sex Not Unknown	A valid entry has Patient Sex coded as something other than Unknown.	99.5%
IP7106	Diagnosis code invalid for Patient Sex Code	A valid entry means the diagnosis is appropriate for patient Sex Code.	99.5%

# Validation Notification and Issues

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## **Validation Email Notification**

Once a file has been submitted, processed (within 24 hours but typically less than 1 hour) and validated, the submitter will be notified via email as to the file status:

1. Passed with no issues
2. Failed with the number of issues found

The user will then login to the MHDO Data Warehouse Portal to view details in the Validation Issues report.



MHDO Web Portal

# Validation Notification and Issues

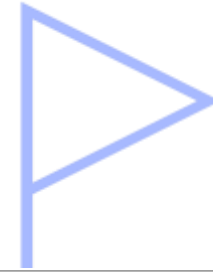
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## **Portal Validation Issues Report**

Users will login to the MHDO Data Warehouse Portal to view a summary of issues for each submission. Users can view the details of a validation issue and resolve it by overriding with an explanation or requesting an exemption. Structural failures will require correction and resubmission of the file.

# Validation Issues

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## **Annual Override Reset**

All exemption-level and profile-level overrides will automatically expire at the end of each calendar year.



# Tips for Reducing Resubmissions

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1. Ensure that files are being prepared to meet Chapter 241 requirements to avoid structural failures
2. Make sure technical vendors have a copy of the validations so they understand what would cause a file to fail
3. Encourage those preparing the data to test that required fields are populated correctly

# Questions for Hospitals: ICD-10

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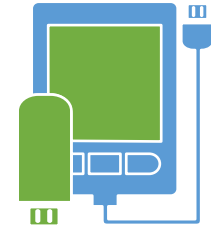
Please e-mail [kmullins@hsri.org](mailto:kmullins@hsri.org) by November 20<sup>th</sup> with your responses to the following questions:

- Will you be utilizing the grace period defined by CMS?
- Do you have any special arrangements with other payers?

**Your responses to these questions will help us decide how best to validate ICD-10. The two options are currently:**

1. Validate the full specificity and allow submitters to override the issue by providing a reason/justification
2. Validate the family only until the grace period defined by CMS expires

# Step 4: Data Passed to MHDO Data Warehouse



MHDO Data Warehouse

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Once all validation issues are cleared, data will be passed and enter into the MHDO Data Warehouse.

Additional transformations or calculations are performed by MHDO and data are then released by MHDO to approved data users.

# Submission History

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- Users will have the ability to view a complete summary of their Submission History and the status (Failed, Passed etc.) of each file.
- Users can view detailed validation results, resubmit or cancel files from the Submission History.
- Files will be moved to the Data Warehouse and released to data users only after they have a status of Passed.

# Technology Requirements

# Technology Requirements: Browsers & Settings

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## Currently supported browsers:

- Microsoft Internet Explorer 9.0 and later
- Mozilla Firefox 3.5 and later
- Apple Safari 5.0 and later
- Google Chrome 4.0 and later



## Minimum required browser settings:

- Screen Resolution: Optimized for 800x600 or higher
- JavaScript: Required
- Cookies: Required
- Security: SSL/Certificate required for access to restricted resources
- Internet Explorer Compatibility View: Turn Off

# Technology Requirements: Email Notifications

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The MHDO Data Warehouse Portal will send email notifications regarding registration, file submissions, etc. to users.

Please ask your company to whitelist or approve the MHDO Data Warehouse Portal email address ([portal@mhdo.maine.gov](mailto:portal@mhdo.maine.gov)) in their spam filters.

# Technology Requirements: Encryption & Compression

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To ensure the security of personally identifiable information and personal health information, and to reduce file transmission times, MHDO will require submitters to compress and encrypt all files before uploading.

Compression and encryption can be accomplished by a number of industry standard tools, such as **WinZip** or **7-Zip**, many of which may already be in use at your workplace.

- Each file that is to be uploaded to the MHDO Data Warehouse Portal should be added to a separate zip archive.
- The archive **MUST** be encrypted using 256-bit AES encryption using the submitter's unique encryption password provided in the MHDO Data Warehouse Portal.



# Data Warehouse Security & Storage

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## File Submission

Hospitals will submit via the Data Warehouse Portal (HTTPS) which uses the Secure Sockets Layer (SSL) protocol.

## Storage

All data are transferred directly to servers controlled by NORC at the University of Chicago, a nonprofit organization that specializes in secure data warehousing. Data are then validated and stored entirely within NORC's secure data enclave which complies with federal information security requirements.

# MHDO Rule Chapter 241



# Chapter 241: Uniform Reporting System for Hospital Inpatient Data Sets and Hospital Outpatient Data Sets

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The new system will require that your file layout comply with MHDO Rule Chapter 241.

A copy of the current Rule Chapter 241 and the Proposed Rule Chapter 241, which was recently approved by the MHDO Board and is in its final review stage, can be found on our Statutes and Rules page:

<https://mhdo.maine.gov/rules.htm>

# Chapter 241

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I. Overview: definitions, data set filing descriptions, submission requirements, standards for data, etc.

II. Appendices

A: Source Codes and References

B-1: Inpatient Data Submission Specifications

B-2: Inpatient Data Record Mapping to National Standards

C-1: Outpatient Data Submission Specifications

C-2: Outpatient Data Record Mapping to National Standards

# Chapter 241 Changes

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## General Submission Requirements

- References to designee or designee system are no longer specific to one designee or system.
- Obsolete names/references are updated.
- The term 'text' replaces 'alphanumeric'.
- Signed values would be reported differently.
- The resubmission of historical data older than one year can be approved by the MHDO.
- Clarification of appropriate, timely provider response to notification of data set failures.

# Chapter 241 Changes (cont.)

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## Appendices

- Source document information updated.
- Version numbers eliminated and additional instruction provided.
- References to obsolete standards removed.
- Data element names updated.
- Data element type 'alphanumeric' now identified as 'text'; sequence numbers and dates reassigned to 'text'.
- Data element mappings updated. Separate mappings to 837 Institutional (837I) and 837 Professional (837P) in outpatient data indicate mapping differences.

# Tips and Helpful Hints

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- Providers **MUST** use the MHDO-assigned, 6-digit provider codes for all inpatient and outpatient data submissions (file names and file headers).
- Default values or blanks will **NOT** be accepted for MHDO-assigned or provider-assigned identifiers (e.g. patient control number or medical record number).
- Appendix A of Chapter 241 provides references to the accepted source codes.

# Tips and Helpful Hints (Cont.)

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- For a particular field there should only be ICD-9 OR ICD-10. There are separate fields for each.
- Each hospital using the Location of Service field (OP4005) MUST provide a crosswalk of its codes to the MHDO.



# Timeline & Next Steps



# High-Level Timeline

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Task	Start Date	End Date
Final submissions to current system (Databay Check) - Q3 2015 Data (optional) and all outstanding historical data (which is defined as Pre-Q3 2015)	10/1/2015	1/31/2016
Hospitals test new submission Portal with the submission of Q4 2015 data	4/1/2016	4/30/2016
Go Live	7/11/2016	7/11/2016
Hospitals submit Q3 2015 (optional), Q4 2015 & Q1 2016 data	7/11/2016	8/31/2016

Questions?



Additional Questions  
or Comments:  
[webcontact.mhdo@  
maine.gov](mailto:webcontact.mhdo@maine.gov)

Please indicate in the  
subject line that you are  
a hospital data submitter.



**MHDO** Maine Health  
Data Organization

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