Patient-Level Instructions

HEDIS 2013 Patient-Level Data File Submission Instructions (2012 Measurement Year)

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GENERAL INFORMATION

INTRODUCTION

The Centers for Medicare & Medicaid Services (CMS) requires Medicare Managed Care Organizations toreport HEDIS®2013 data for measurement year 2012 and to provide the patient-level data used to calculate the summary data for each submission. Patient-Level Data files should be submitted between **May 16, 2013** and **June 17, 2013** in order to meet CMS requirements.

This document provides instructions for reporting the two patient-level data files that are required to be submitted. The format and validation rules for the fixed width text file(s) that will be used to submit the patient-level results are given in the following two documents:

1. 2013 HEDIS Patient Level File Specification – File 1 of 2 Files.
2. 2013 HEDIS Patient Level File Specification – File 2 of 2 Files.

Patient-level data files must be submitted by you or your third-party vendor following the instructions outlined below in section *Submitting Patient-Level Data Files***.**

WHY CMS COLLECTS PATIENT-LEVEL DATA

Patient-level data with patient-level identifiers for the numerator and denominator of each measure allows CMS to match HEDIS®data to other patient-level data for special projects of national interest and research, such as an assessment of whether certain groups (e.g., ethnic, racial, gender, geographic) are receiving fewer or more services than others. These analyses will not be used for public plan-to-plan comparisons.

UPDATES TO HEDIS 2013 TECHNICAL SPECIFICATIONS

Please review the ***HEDIS 2013 Technical Specifications (Volume 2)*** closely when performing measure calculations. Updates to the HEDIS 2013 specifications are posted as appropriate and can be downloaded from the NCQA web site at URL: http://www.ncqa.org/HEDISQualityMeasurement/HEDISMeasures/HEDIS2013.aspx.

PCR MEASURE FILE

For the HEDIS 2013 Data Collection Period, the Plan All Cause Readmissions Measure is again being collected as a separate file. This second file should be submitted in the same way as the main file. File naming conventions and a file detail record for the PCR Measure file will be made available in a separate file specification document **2013 HEDIS Patient-Level File Specification - File 2 of 2 Files, (2012 Measurement Year)**.

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PATIENT-LEVEL DATA SUBMISSION PROCESS OVERVIEW

Plans need to create patient-level data file(s) conforming to the specifications in this document and upload files to CMS via CMS's Enterprise File Transfer (EFT) infrastructure using an existing **Gentran** or **Connect:Direct** account.or via the MFT Internet Server. Alternately, plans may use a third-party vendor (e.g., Infocrossing) for data file submissions. In either case, the use of the MFT Internet Server, **Gentran** or **Connect:Direct** is the approved method for patient-level data file submissions.

> It is imperative that each **organization** confirm their ability to interface with the CMS EFT infrastructure prior to attempting an upload.

The CMS EFT validation system will verify that the file is named in accordance with the **Gentran** or **Connect:Direct** file naming convention described below in section ***Submitting Patient-Level Data Files, File Naming Conventions***. Files that fail this initial check will not get processed at CMS nor sent to TEAM EDAPTIVE for data file validation processing. In those instances, the CMS EFT validation system will notify you that your file was not processed and you will need to correct any naming convention errors and resubmit the file.

Files that conform to the file naming convention will be further checked to ensure that they are in the correct format and file layout. A process is run to ensure that the file conforms to the validation rules described in this document. When a patient-level file fails the validation requirements, three things happen:

1. The HEDIS Patient-Level Web Portal will be automatically updated with a 'fail' status. See section ***Accessing the HEDIS Patient-Level Web Portal*** for more information on the portal.
2. The portal system will automatically send an error email to plan's ***Patient-Level Data File Point-of-Contact (PLD POC)*** and/or their designee.
3. The portal system will automatically send an error report to the PLD POC and/or their designee.

The error report provides detailed information so that you can quickly and easily identify the specific areas in the file that failed validation processing. All errors must be resolved in order for TEAM EDAPTIVE to successfully process the file; therefore, the file may be resubmitted as often as necessary until all errors have been resolved. For instructions on how to read error reports, see section ***Error Email Messages and Error Report Files.***

When a patient-level file passes the validation requirements, two things happen:

1. The portal will be automatically updated with a 'pass' status.
2. The portal system will automatically send a pass email to the PLD POC and/or their designee.

ACCESSING THE HEDIS PATIENT-LEVEL WEB PORTAL

All plan participants have access to the **HEDIS Patient-Level Web Portal** home page; however, only authorized users are able to log in (https://mapld.edaptivesys.com/). The Web portal is intended primarily for use by MA Plan and CMS personnel. It is not necessarily intended for use by MA Plan Third-Party Vendors or HEDIS Auditors, although the information available on the home page is accessible to them. From the home page, all plan participants can:

- Download project documentation.
- View frequently asked questions (FAQs).
- Request a forgotten password.
- Log in to the Web portal.

Login accounts are created by TEAM EDAPTIVE and provided to each organization's ***HEDIS Patient-Level Data File Point-of-Contact*** (HEDIS PLD POC). For our purposes, the HEDIS PLD POC is the primary person responsible for the submission of an organization's patient-level data files to CMS. Historically, this person has been the organization's Quality Contact as identified in the CMS HPMS system. This information will be furnished to Team Edaptive by CMS, and Team Edaptive will use this identifier to send initial instructions. This contact can be updated at a later date. The Submission instructions for HEDIS 2013 differ from the ones in previous Submission Documents.

1. An e-mail will be sent containing the following instructions for logging on to the Team Edaptive server along with the Project Documents.
2. Navigate to the Team Edaptive system's first time user page at https://mapld.edaptivesys.com/firsttime/.The web page will prompt you for your e-mail address.
3. Once you have entered your e-mail address and pressed the 'Generate Password' button, the system will create a temporary password that will be sent to you at your e-mail address.
4. Navigate to the Team Edaptive system at https://mapld.edaptivesys.comand push the 'Sign In' button. Use your e-mail address as your User ID and the temporary password to complete the log on process. Once in the system, remember to change your password.Once you have logged on, you will be requested to change your password. If you forget your password at any time, you may request it from the Data Technical Support Desk at:

   Phone: 1-877-996-1333

   Email: https://mapld.edaptivesys.com

   Hours of Operation:

April 9 – May 13th: M-F 9 a.m. to 5:00 p.m. EDT

May 16st – June 17th: M-F 8 a.m. to 6:30 p.m. EDT

PATIENT-LEVEL WEB PORTAL USER MANAGEMENT

Plans will use the web portal to manage their users and contact information. POC's will be able to add points of contact and designate their level of access.This allows the HEDIS PLD POC to distribute that information to other individuals of their choosing. HEDIS PLD POC will be able to:

- Grant portal access to specific individuals, i.e., create and manage login accounts.
- Assign individuals to specific CMS contract numbers for the expressed purpose of viewing 'pass/fail' status and receiving pass/fail emails or error log information for those contracts.
- Assign/un-assign a backup HEDIS PLD POC, which allows that individual to act as the primary HEDIS PLD POC.

This new functionality will be available on the portal in April 2013 along with detailed instructions.

CHECKING THE STATUS OF SUBMITTED PATIENT-LEVEL DATA FILES

To obtain the status of Patient-Level Data Files processed by TEAM EDAPTIVE, check the 'pass/fail' status on the **HEDIS Patient-Level Web Portal** at URLhttps://mapld.edaptivesys.com. You must have a valid user ID and password to access the site. Once logged in, the status of your data files will be automatically displayed by the system.

After a file is submitted to CMS, please note that it may take up to two business days for TEAM EDAPTIVE to receive the data file from CMS, process the file,and post the 'pass/fail' results to the portal. Therefore, please DO NOT contact the help desk during that two-day period regarding data file status. You may however check the status of your file at any time by logging in to the web portal. If the file is marked not received, this does not mean that we did not receive it, only that it has not yet been processed.

ACCESSING PROJECT DOCUMENTATION

Copies of the ***2013 Patient-Level Data File Specifications*** and this document can be obtained as follows:

1. By accessing the **HEDIS Patient-Level Web Portal** at https://mapld.edaptivesys.com. Links to project documentation are available on the home page; therefore, you are not required to login to access documentation.
2. By logging into the HPMS system at https://gateway.cms.hhs.gov. After logging into HPMS, go to the "Quality and Performance" menu on the left side of the screen and select the "HEDIS" module to access this material.

GETTING HELP

If you are experiencing difficulties accessing the CMS Health Plan Management System (HPMS), submit requests and questions to the following email address: hpms_access@cms.hhs.gov.

To signup for **Gentran, MFT Internet** or **Connect:Direct**, or if you are experiencing difficulties accessing these systems**,** contact the MMA Help Desk at:

Phone: 1-800-927-8069
Email:mmahelp@cms.hhs.gov
IACS Application:https://applications.cms.hhs.gov
Hours of Operation: M-F 6 a.m. to 9 p.m. EDT

If you are experiencing difficulties accessing the **HEDIS Patient-Level Web Portal**, need assistance troubleshooting problems with your data file, or have other problems of a technical nature, contact the **Patient-Level Technical Support Desk/Help Desk** at:

Phone:1-877-996-1333
Email:ma_patient_data@edaptivesys.com
Hours of Operation: M-F 8 a.m. to 6:30 p.m. EST

SUBMITTING PATIENT-LEVEL DATA FILES

During the CY 2013 data collection period (May 16th, 2013 - June 17th, 2013), MA Plans should upload their patient-level data files to CMS via the current connectivity configuration method used to transmit enrollment and 4rx data: CMS's Enterprise File Transfer (EFT) infrastructure **Gentran, MFT Internet** or **Connect:Direct**, or through an authorized Third-Party Vendor.

On ***rare*** occasions, MA Plans may submit patient-level data files by mail on DVD/CD-ROM following these procedures:

1. Contact the **Patient-Level Technical Support Desk/Help Desk** to obtain authorization to submit patient-level data file(s) via DVD/CD-ROM. Please DO NOT send in files on DVD/CD-ROM without explicit authorization.

   Patient-Level Technical Support Desk/Help Desk Contact Information:

   Phone:1-877-996-1333
   Fax: 1-240-296-3961
   Email:ma_patient_data@edaptivesys.com
   Internet: https://mapld.edaptivesys.com
   Hours of Operation: M-F 8 a.m. to 6:30 p.m. EST

2. Once written authorization is received via email, encrypt the files on DVD/CD-ROM using the following encrypting software:**WINZIP**
3. Mail the encrypted and strong password protected zipped files directly to Health Care Dynamics International (TEAM EDAPTIVE) at the following address:
   HCD International
   ATTN: HEDIS Support Team

4390 Parliament Place
Suite A
Lanham, MD 20706

4. Send encryption key and password to ma_patient_data@edaptivesys.com in a separate email communication.

Files submitted on DVD/CD-ROM must be named in accordance with the **Gentran, MFT Internet** or **Connect:Direct**file naming convention described in section***File Naming Conventions***. Files incorrectly named will not be processed.

Files sent directly to TEAM EDAPTIVE on DVD/CD-ROM are copied to a secure file server for data file validation processing. DVD/CD-ROM media will not be returned and will be destroyed after use. TEAM EDAPTIVE maintains a verifiable audit trail log that tracks DVD/CD-ROM status from receipt through destruction.

SUBMITTING TEST DATA FILES

Beginning April 9, 2013, through May 13, 2013, plans or their third-party vendors may submit test data files to CMS via **Gentran, MFT Internet** or **Connect:Direct** for validation processing by TEAM EDAPTIVE. The purpose of this testing is to verify your **Gentran, MFT Internet** or **Connect:Direct** connection and to find programmer or logic errors before the official (production) submission period. Therefore, plans DO NOT have to submit a complete data set during the test period.

Files submitted during the testing period will be processed exactly as they will be during the production period. See section ***Patient-Level Data Submission Process Overview*** for more information on how files are processed, in particular what happens when a file fails the validation process.

The testing period ends May 3, 2013. No test data files will be accepted or processed by TEAM EDAPTIVE after that date.

Files must conform to the CMS naming conventions to be processed. See section ***File Naming Conventions*** for more information on this topic, in particular the method for naming test data files. Test data files not named in accordance to these instructions will not be processed.

SUBMITTING PRODUCTION DATA FILES

The production submission period starts May 16, 2013, and ends June 17, 2013, at 12 midnight EDT. Files submitted during the production period will be processed as described in section ***Patient-Level Data Submission Process Overview***.

FILE NAMING CONVENTIONS

Please name the file according to the following CMS policies and procedures:

Note: file name variables are shown in *lowercaseitalicletters*; all other file name components should be coded exactly as shown:

GENTRAN/MFT INTERNET SERVER FILES

Gentran/MFT Internet Server File Name for File 1:
guid.NONE.HEDIS.Y.*ccccc*.FUTURE.*s*–

Applies to File 1 only. Instructions for File 2 follow.

Gentran/MFT Key	
***guid*. =**	IACS Global User ID (7 Characters)**OR** System ID
NONE.HEDIS.Y. =	Should be coded exactly as shown
***ccccc*. =**	The contract number
FUTURE. =	Should be coded exactly as shown
***s* =**	Enter a P or T, where P is for actual submissions and T is for test submissions.

Actual Submission Name Example for File 1 using IACS Global User ID:
UHCDDMV.NONE.HEDIS.Y.H2111.FUTURE.P

Test Submission Name Example for File 1 using IACS Global User ID:
UHCDDMV.NONE.HEDIS.Y.H2111.FUTURE.T

Actual Submission Name Example for File 1 using System ID:
AAAAAAA.NONE.HEDIS.Y.H2111.FUTURE.P
NOTE: "AAAAAAA" = System ID

Test Submission Name Example for File 1 using System ID:
AAAAAAA.NONE.HEDIS.Y.H2111.FUTURE.T
NOTE: "AAAAAAA" = System ID

Gentran File Name for File 2: *guid*.NONE.HEDIS.Y.*ccccc*.PCR.*s*–

Applies to File 2 only.

Gentran Key	
***guid*. =**	IACS Global User ID (7 Characters)**OR** System ID
NONE.HEDIS.Y. =	Should be coded exactly as shown
***ccccc*. =**	The contract number
PCR. =	Should be coded exactly as shown
***s* =**	Enter a P or T, where P is for actual submissions and T is for test submissions.

Actual Submission Name Example for File 2 using IACS Global User ID:
UHCDDMV.NONE.HEDIS.Y. H0000.PCR.P

Test Submission Name Example for File 2 using IACS Global User ID:
UHCDDMV.NONE.HEDIS.Y.ccccc.PCR.T

Actual Submission Name Example for File 2 using System ID:
AAAAAAA.NONE.HEDIS.Y. H0000.PCR.P

NOTE: "AAAAAAA" = System ID

Actual Submission Name Example for File 2 using System ID:
AAAAAAA.NONE.HEDIS.Y.ccccc.PCR.T

NOTE: "AAAAAAA" = System ID

CONNECT: DIRECT

Connect: Direct File Name for File 1:

s#EFT.ON.HEDIS.*ccccc*.DYYMMDD.THHMMSST

Applies to File 1 only. Instructions for File 2 follow.

Connect:Direct Key	
***s* =**	Enter a P or T, where P is for actual submissions and T is for test submissions
#EFT.ON.HEDIS. =	Should be coded exactly as shown
***ccccc*. =**	The contract number
DYYMMDD.THHMMSST =	Literal code exactly as shown

Actual Submission Name Example for File 1:

UHCDDMV.NONE.HEDIS.Y.H2111.FUTURE.P

Connect:Direct File Name for File 2:

s#EFT.ON.HEDIS.ccccc.PCR.DYYMMDD.THHMMSST

Connect:Direct Key	
***s* =**	Enter a P or T, where P is for actual submissions and T is for test submissions
#EFT.ON.HEDIS. =	Should be coded exactly as shown
***ccccc*. =**	The contract number
PCR.DYYMMDD.THHMMSST =	Literal code exactly as shown

Actual Submission Name Example for File 2:

P#EFT.ON.HEDIS.H0524.PCR.DYYMMDD.THHMMSST

Test Submission Name Example:

T#EFT.ON.HEDIS.H0524.PCR.DYYMMDD.THHMMSST

VALIDATION OF PATIENT-LEVEL DATA FILES

TEAM EDAPTIVE uses an automated tool to perform validation checks on all test and production patient-level data files received. This check is performed to ensure that the structure and contents of a data file follow the specifications provided in the ***2013 Patient-Level Data File Specifications*** document. Data files not submitted in compliance with the data specification will be automatically rejected with a "Fail" email and error log sent to the designated HEDIS PLD POCand/or designee. See section ***Error Email Messages and Error Report Files*** for information on the types of validations performed and the details of the error log.

TEAM EDAPTIVE will coordinate with the HEDIS PLD POC and/or designee to resolve data file validation problems and errors. MA Plans may have to submit their data files multiple times to resolve all validation errors. For questions regarding data file validation errors, MA Plans may contact the **Patient-Level Technical Support Desk/Help Desk** at:

Phone:1-877-996-1333
Fax:1-240-296-3961
Email:ma_patient_data@edaptivesys.com
Internet:https://mapld.edaptivesys.com

Hours of Operation: M-F 8 a.m. to 6:30 p.m. EST

FILE VALIDATION RULES

Each record in the data set will be validated against the following validation rules:

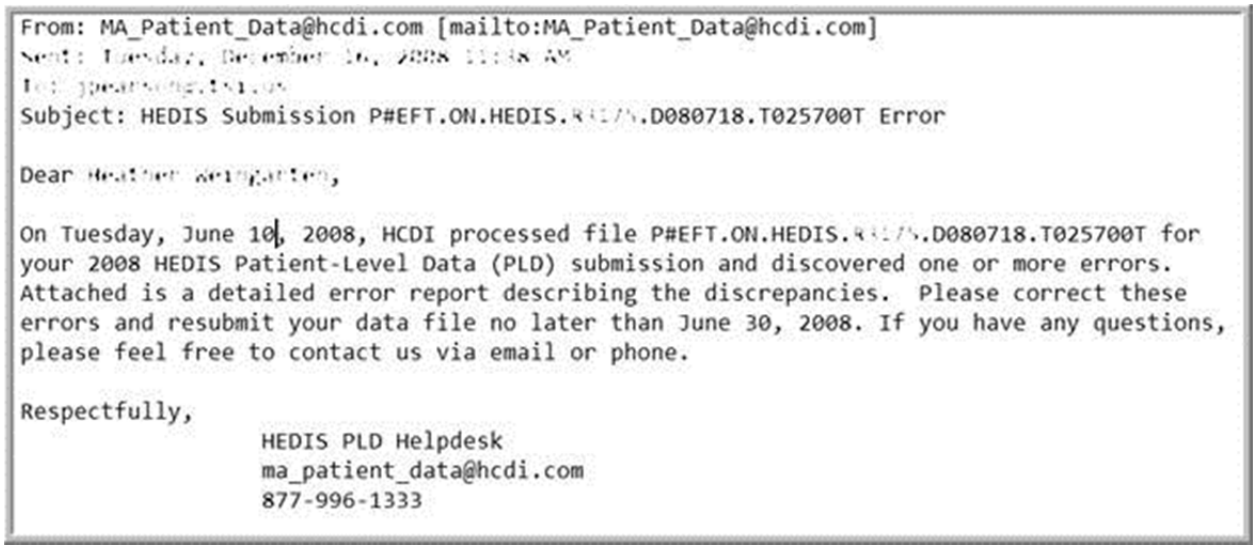
- Each row in the HEDIS 2013 Patient Level Data File 1 of 2 will be validated to ensure that it is exactly 333 characters long.
- Each row in the HEDIS 2013 PCR Patient Level Data File 2 of 2 will be validated to ensure that it is exactly 173 characters long.
- Numeric values (e.g., member months, denominators, and numerators) must be right-justified and blank filled to the left of the value.
- Text fields (e.g., "Organization Name" in the header record and "HIC Number" in the detail records) must be left-justified and blank filled to the right of the value.

ERROR EMAIL MESSAGES AND ERROR REPORT FILES

When a data file fails validation, the TEAM EDAPTIVE processing system sends an error email message and error report attachment to the plan's HEDIS PLD POC and/or their designee.

The Error Email

An error email message is sent directly to the HEDIS PLD POC and/or their designee each time a data file fails the validation checks. A sample error email is shown below:



From: MA_Patient_Data@hcdi.com [mailto:MA_Patient_Data@hcdi.com]
Sent: Tuesday, December 16, 2008 11:18 AM
To: [redacted]
Subject: HEDIS Submission P#EFT.ON.HEDIS.R3175.D080718.T025700T Error

Dear [redacted],

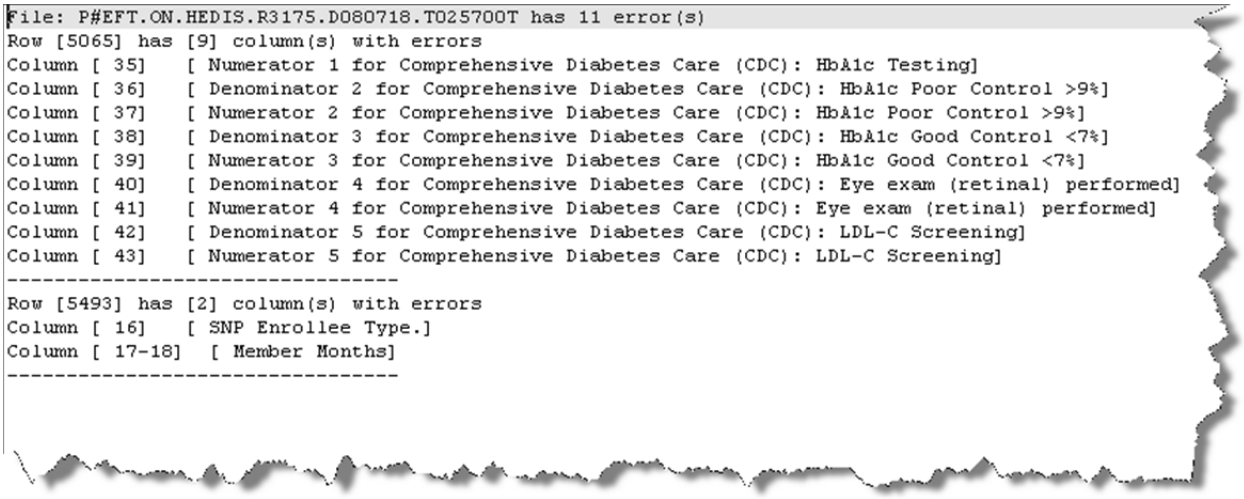
On Tuesday, June 10, 2008, HCDI processed file P#EFT.ON.HEDIS.R3175.D080718.T025700T for your 2008 HEDIS Patient-Level Data (PLD) submission and discovered one or more errors. Attached is a detailed error report describing the discrepancies. Please correct these errors and resubmit your data file no later than June 30, 2008. If you have any questions, please feel free to contact us via email or phone.

Respectfully,

HEDIS PLD Helpdesk
ma_patient_data@hcdi.com
877-996-1333

Figure 1 Sample Error Email Message

The Error Report Attachment



```
File: P#EFT.ON.HEDIS.R3175.D080718.T025700T has 11 error(s)
Row [5065] has [9] column(s) with errors
Column [ 35]    [ Numerator 1 for Comprehensive Diabetes Care (CDC): HbA1c Testing]
Column [ 36]    [ Denominator 2 for Comprehensive Diabetes Care (CDC): HbA1c Poor Control >9%]
Column [ 37]    [ Numerator 2 for Comprehensive Diabetes Care (CDC): HbA1c Poor Control >9%]
Column [ 38]    [ Denominator 3 for Comprehensive Diabetes Care (CDC): HbA1c Good Control <7%]
Column [ 39]    [ Numerator 3 for Comprehensive Diabetes Care (CDC): HbA1c Good Control <7%]
Column [ 40]    [ Denominator 4 for Comprehensive Diabetes Care (CDC): Eye exam (retinal) performed]
Column [ 41]    [ Numerator 4 for Comprehensive Diabetes Care (CDC): Eye exam (retinal) performed]
Column [ 42]    [ Denominator 5 for Comprehensive Diabetes Care (CDC): LDL-C Screening]
Column [ 43]    [ Numerator 5 for Comprehensive Diabetes Care (CDC): LDL-C Screening]
---------------------------------
Row [5493] has [2] column(s) with errors
Column [ 16]    [ SNP Enrollee Type.]
Column [ 17-18]  [ Member Months]
---------------------------------
```

Figure 2 Sample Error Report

Most Common Errors

For your information only, the table below lists the most common errors found during the 2012 submission period.

Error Message/Type	Root Cause	Resolution
Row data does not contain correct number of bytes.	The row size went beyond the specified limit listed in the data specification.	Blank spaces beyond the specified limit must be removed.
•Contract numbers in file name and header do not match for file name error, processing will stop for this file. •Invalid contract number in header for file name, termination error, processing will stop for this file.	The contract number in the file name is not the same as the contract number in the header of the file.	Verify that the contract numbers are the same on the file name as well as the header row within the file.
SNP Enrollee Type	Values received are outside of the range specified in the data specifications document.	Enter a: '0' if this member is NOT enrolled in an SNP plan benefit package. '1' if this member is enrolled in a DUAL ELIGIBLE SNP benefit package. '2' if this member is enrolled in an INSTITUTIONAL SNP benefit package. '3' if this member is enrolled in a CHRONIC CONDITION SNP benefit package.