

# Patient-Level Instructions

---

## HEDIS 2014 Patient-Level Data File Submission Instructions (2013 Measurement Year)

Version 1.0

Document Number CBC-PLD-001

January 14, 2014

Prepared for:

Barbara Crawley

Project Officer

CMS/CM/MDBG/DCAPP

7500 Security Blvd

Mail Stop C1-25-05

Baltimore, MD 21244-1850

Prepared by:



400 Red Brook Blvd, Suite 120

Owings Mills, MD 21117

## Final Approvals

<b>Title</b>	<b>Name</b>	<b>Signature (or type name)</b>	<b>Date</b>
CMS Project Officer	Barbara Crawley	Barbara Crawley	1/14/2014
NCQA Assistant Vice President, Measure Validation	Mary Braman	Mary Braman	1/14/2014
Edaptive Project Manager	Lynne Blair	Lynne Blair	1/14/2014

## Table of Contents GENERAL INFORMATION 1

Introduction .....	1
Why CMS Collects Patient-Level Data .....	1
Updates to HEDIS 2014 Technical Specifications .....	1
PCR Measure File .....	1
Patient-Level Data Submission Process Overview .....	2
Accessing the HEDIS Patient-Level Web Portal .....	3
Patient-Level Web Portal User Management .....	4
Checking the Status of Submitted Patient-Level Data Files .....	4
Accessing Project Documentation .....	4
Getting Help .....	5
<b>SUBMITTING PATIENT-LEVEL DATA FILES .....</b>	<b>6</b>
Submitting Test Data Files .....	7
Submitting Production Data Files .....	7
File Naming Conventions .....	8
Validation of Patient-Level Data Files .....	11
File Validation Rules .....	11
Error Email Messages and Error Report Files .....	11
The Error Email .....	12
The Error Report Attachment .....	12
Most Common Errors .....	13
Error Message/Type .....	13
Root Cause .....	13
Resolution .....	13

## GENERAL INFORMATION

### *INTRODUCTION*

The Centers for Medicare & Medicaid Services (CMS) requires Medicare Managed Care Organizations to report HEDIS®2014 data for measurement year 2013 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, 2014** and **June 16, 2014** 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. 2014 HEDIS Patient Level File Specification – File 1 of 2 Files.
2. 2014 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 2014 TECHNICAL SPECIFICATIONS*

Please review the ***HEDIS 2014 Technical Specifications (Volume 2)*** closely when performing measure calculations. Updates to the HEDIS 2014 specifications are posted as appropriate and can be downloaded from the NCQA web site at URL: <http://www.ncqa.org/HEDISQualityMeasurement/HEDISMeasures/HEDIS2014.aspx>.

### *PCR MEASURE FILE*

For the HEDIS 2014 Data Collection Period, the Plan All Cause Readmissions Measure will again be collected as a separate file and should be submitted in the same manner 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, **2014 HEDIS Patient-Level File Specification - File 2 of 2 files, (2013 Measurement Year)**.

---

HEDIS® is a registered trademark of the National Committee for Quality Assurance

## **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, MFT Internet or Connect:Direct** account. Alternately, plans may use a third-party vendor (e.g., Infocrossing) for data file submissions. In either case, the use of **Gentran, MFT Internet 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, MFT Internet 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.

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.com> and 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 8 – May 13: M-F 9 a.m. to 5:00 p.m. EDT

May 16 – June 16: 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 alternate points of contact and designate levels 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.

Detailed instructions for the above functionality will be available on the portal in April 2014.

### ***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 URL <https://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 into the web portal. If the file is marked not received, this does not mean that the submission failed, it simply indicates the file has not yet been processed.

### ***ACCESSING PROJECT DOCUMENTATION***

Copies of the **2014 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 from 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](mailto:hpms_access@cms.hhs.gov).

To sign up 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](mailto: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](mailto:ma_patient_data@edaptivesys.com)

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

#### SUBMITTING PATIENT-LEVEL DATA FILES

MA plans should upload their Patient Level Data files between May 16, 2014 - June 16, 2014), 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](mailto: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](mailto:ma_patient_data@edaptivesys.com) in a separate email communication.

Files submitted on DVD/CD-ROM must still 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 8, 2014, through May 13, 2014, 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 13, 2014. 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, 2014 and ends June 16, 2014 at 12 midnight EDT. Files submitted during the production period will be processed as described in section **Patient-Level Data Submission Process Overview**. No files will be accepted or processed by TEAM EDAPTIVE after this time.

**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.**

<i>Gentran/MFT Key</i>	
<b><i>guid.</i> =</b>	IACS Global User ID (7 Characters) <b><u>OR</u></b> System ID
<b><i>NONE.HEDIS.Y.</i> =</b>	Should be coded exactly as shown
<b><i>cccc.</i> =</b>	The contract number
<b><i>FUTURE.</i> =</b>	Should be coded exactly as shown
<b><i>s</i> =</b>	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/MFT INTERNET File Name for File 2: *guid*.NONE.HEDIS.Y.*cccc*.PCR.*s***

**Applies to File 2 only.**

<i>Gentran/MFT Key</i>	
<b><i>guid.</i> =</b>	IACS Global User ID (7 Characters) <b>OR</b> System ID
<b>NONE.HEDIS.Y. =</b>	Should be coded exactly as shown
<b><i>cccc.</i> =</b>	The contract number
<b>PCR. =</b>	Should be coded exactly as shown
<b><i>s</i> =</b>	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.*cccc*.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.*cccc*.PCR.T

*NOTE: "AAAAAAA" = System ID*

**CONNECT: DIRECT**

**Connect: Direct File Name for File 1:**

s#EFT.ON.HEDIS.ccccc.DYYMMDD.THHMSST

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

<i>Connect:Direct Key</i>	
<b>s =</b>	Enter a P or T, where P is for actual submissions and T is for test submissions
<b>#EFT.ON.HEDIS. =</b>	Should be coded exactly as shown
<b>cccc. =</b>	The contract number
<b>DYYMMDD.THHMSST =</b>	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.THHMSST

<i>Connect:Direct Key</i>	
<b>s =</b>	Enter a P or T, where P is for actual submissions and T is for test submissions
<b>#EFT.ON.HEDIS. =</b>	Should be coded exactly as shown
<b>cccc. =</b>	The contract number
<b>PCR.DYYMMDD.THHMSST =</b>	Literal code exactly as shown

Actual Submission Name Example for File 2:

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

Test Submission Name Example:

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

### **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 **2014 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 POC and/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](mailto: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 2014 Patient Level Data File 1 of 2 will be validated to ensure that it is exactly 333 characters long.
- Each row in the HEDIS 2014 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 11:38 AM
To: jpearson@hcdi.com
Subject: HEDIS Submission P#EFT.ON.HEDIS.R3175.D080718.T025700T Error

Dear Heather Wainwright,

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 2013 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.
<ul style="list-style-type: none"> <li>•Contract numbers in file name and header do not match for file name error, processing will stop for this file.</li> <li>•Invalid contract number in header for file name, termination error, processing will stop for this file.</li> </ul>	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.