Managed Care Data Quality Monitoring Webinar

Encounter Data Validation Testing

DHCS
CALIFORNIA DEPARTMENT OF
HEALTH CARE SERVICES

May 29, 2024

Introduction

Amy Peterson, MPA

Managed Care Data Support Section Chief

DHCS

Agenda

» DHCS Encounter Data Validation Testing

» Enhanced Care Management/Community Supports/Comprehensive Care Management Java Script Object Notation (ECM/CS/CCM JSON) Exchange

» Communication & Resources

DHCS Staff

» Speakers
- Amy Peterson
- Christine Fesler
- Stephen LeFebre
- Constantin Ciochina
- Jeff Jennings

» Support
- Abiy Gebereselassie
- Mei Shan Ng
- Samantha Van
- Xiaoyan Ma
- Soo Jung Kim

Questions & Answers

» For **GENERAL** questions, please submit your question to the WebEx chat and please ensure that your questions are visible to all participants, because the host is not monitoring private chat to the host.

» For **SPECIFIC** questions, please reach out to the appropriate Data Mailbox as will be instructed closer to the end of this presentation.

DHCS Encounter Data Validation Testing

Data Quality Reporting Unit

Purpose of Validation Testing

Who Requires Testing

New plans onboarding with DHCS

Plans undergoing a major system update

Plans contracting with a new vendor

Why Testing is Needed

Demonstrates ED systems' operational readiness

Verifies overall data quality capabilities

Confirms data accuracy and reasonability of encounter data files

Roles and Responsibilities

Health Care Plans ("HCPs")

- **Request access to PACES Test and Production ("Prod") servers. Uses Secure File Transfer Protocol ("SFTP") via MOVEit.**
- HCPs provide contacts to CM that need permission for access to submit Test and Prod files.
- If utilizing an ED contractor, act as intermediary.
- Build and submit test files based on DHCS Test Criteria.

Contract Managers ("CMs")

- **CM onboarding protocols**
- **CMs connect HCPs with DQRU to complete encounter data testing.**
- HCP provides DQRU with contacts for encounter data experts who develop and submit Test Files.

DQRU

- **Provide testing documents**
- **Discuss Testing Plan**
- **Provide support throughout testing**
- **Validate test files**
- **Communicate Success to HCP**

Steps in Preparation for Encounter Data Testing

HCP + DHCS CM: SFTP Access

DHCS CM: intro HCP to DQRU

HCP + DQRU: Discuss Test Schedule

HCP: ED Validation Testing

DHCS PACES SFTP Test Server

» The HCPs must upload the test files into the PACES SFTP **SUBMIT folder**.

» In this example, **Plan ABC** is in Testing process.

» PACES processes the file and upload a **Response file.**

» The HCP goes into the **Response folder** to download the .xml file.

» The Response file indicates whether:

- The file was Accepted or Rejected

- The Encounters were Accepted or Denied
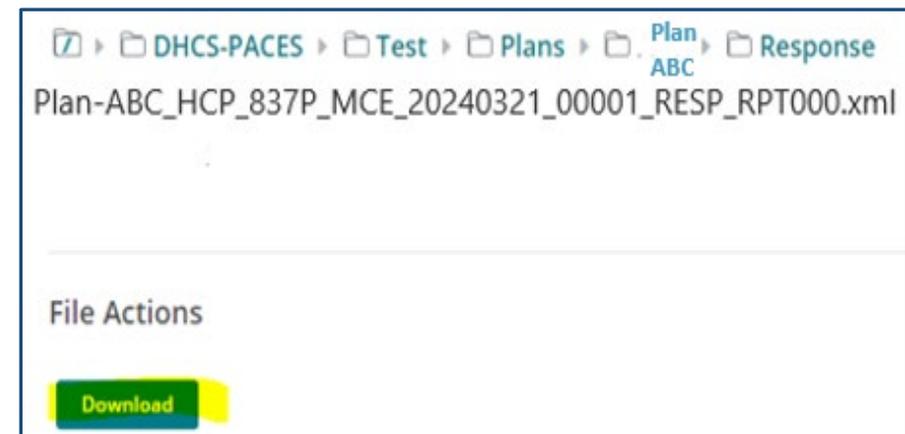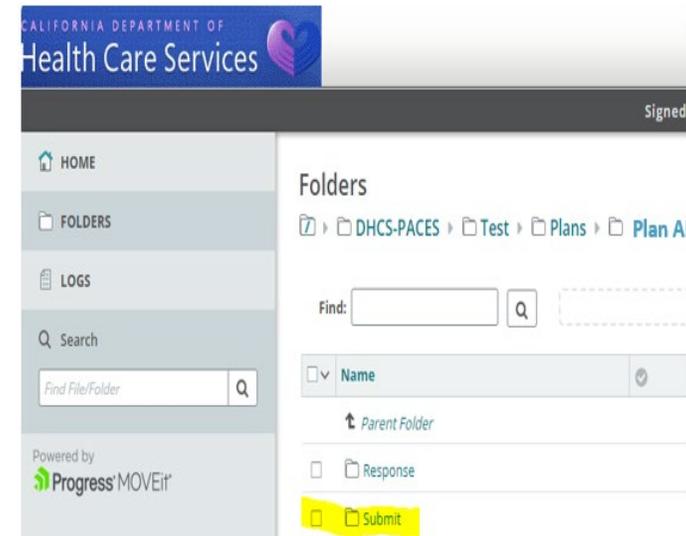
DHCS Testing Server Cont.
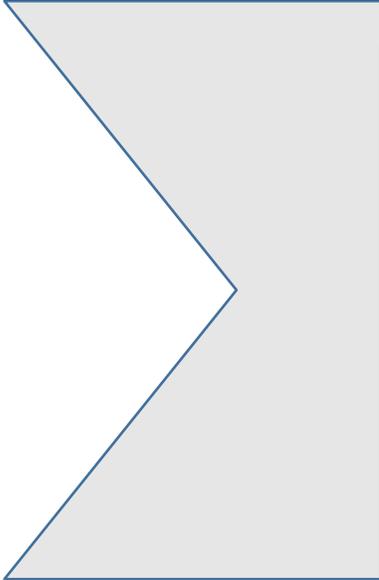
The PACES Test Server/Staging environment was created so HCPs can test a file PRIOR to submitting to the PACES Prod server. This helps to improve data quality by:

» Allowing HCPs to determine if a file will be accepted or rejected, encounters will accept or deny, in order to fix errors before submission to production.

- Response files produced in the Test server mirror those in Prod server.

» Confirming files accepted in Prod will meet the required data schema.

Testing Materials/ Documents

Testing Criteria Thresholds	Testing Tracker (Excel Template)	Test Client Index Numbers (CINs)	DHCS Companion Guides
Sets standards for Pass/Fail	Tracks test file submissions	Maintains HIPAA Compliance for PHI	Provides guidance for all encounter transaction types
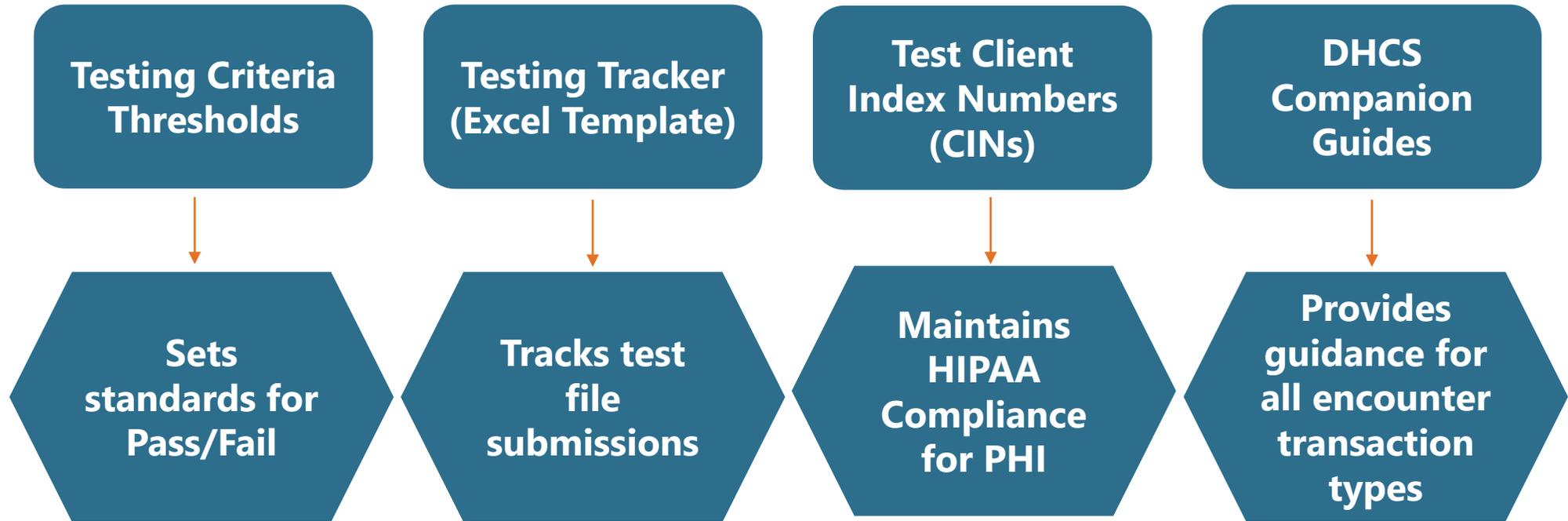
DHCS Encounter Data Companion Guides

DHCS Companion Guides Needed for Encounter Data Validation Testing in DHCS PACES SFTP Testing and for Go-Forward Submission to DHCS PACES SFTP Production

DHCS Docs Center

837 Encounter Data Companion Guides links

837 Institutional Encounter Data Transaction Companion Guide (ASCX12)

837 Professional Encounter Data Transaction Companion Guide (ASCX12)

PACE Organization Specific Encounter Data Companion Guide links (if needed)

837 Dental Encounter Data Transaction Companion Guide (ASCX12)

NCPDP 4.2 PACES Post-Adj. Payer Sheet

NCPDP 2.2 PACES Post-Adj. Payer Sheet

DHCS Companion Guides

Companion guides are available at the DHCS Documentation Center. Link: [Documentation Center](#)

For access to the Documentation Center send request to [DataExchange@dhcs.ca.gov](#)

Companion Guides can answer most encounter related questions. Reference them regularly!

ED Testing Planning

CM forwards HCP contacts to DQRU Specialist, who initiates communication with HCP.

DHCS Specialist sends HCP technical documentation, test CINs, Testing Plan, testing Tracker Template, invite to DHCS Docs Center, and DHCS PACES system companion guides.

DQRU and HCP schedule meeting to discuss material.

DQRU/HCP sets schedule for start of test and expected end date.

Test Criteria Thresholds

Goal: To establish Testing Criteria ("TC") that minimizes HCP time without losing testing efficacy

1. Provides Target Thresholds for data quality

2. Includes all transaction types

3. Tests all encounter Types & Modifiers.

4. TC document is a testing guide.

Test Criteria Details

» Test criteria to be met by each plan must include the following, where appropriate: 837P, 837I, 837D, NCPDP 2.2 and/or 4.2.

Test Case	Description	Threshold

EDCT.TC.001	Can successfully submit all types of applicable encounters:
	• Pharmacy
	• Dental
	• Long Term Care
	• Hospital Inpatient
	• Outpatient
	• Physician
		837I – 25 Inpatient encounters
		    25 Outpatient encounters
		    25 LTC encounters
		837P – 50 encounters
		837D – 25 encounters
		NCPDP 2.2 and/or 4.2 – 25 encounters
		
		* For 837I, 837P and 837D, please include at least 5 encounters for each modifier type (i.e., 59,76,77). To achieve a minimum of 5 accepted encounters with modifiers, up to 10 encounters can be submitted for each transaction type/modifier.
		
		* An acceptance rate of at least 85% is required to pass. To achieve this rate, a surplus of encounters can be submitted.

EDCT.TC.002	Can successfully replace all types of applicable encounters:
	• Pharmacy
	• Dental
	• Long Term Care
	• Hospital Inpatient
	• Outpatient
	• Physician
		837I – 25 Inpatient replacement encounters
		    25 Outpatient replacement encounters
		    25 LTC replacement encounters
		837P – 50 replacement encounters
		837D – 25 replacement encounters
		NCPDP 2.2 and/or 4.2 – 25 replacement encounters
		
		* An acceptance rate of at least 85% is required to pass. To achieve this rate, a surplus of encounters can be submitted.

Test Criteria Details

Test Case	Description	Threshold

EDCT.TC.003	Can successfully void all types of applicable encounters:
	• Pharmacy
	• Dental
	• Long Term Care
	• Hospital Inpatient
	• Outpatient
	• Physician
		837I – 25 Inpatient void encounters
		    25 Outpatient void encounters
		    25 LTC void encounters
		837P – 50 void encounters
		837D – 25 void encounters
		NCPDP 2.2 and/or 4.2 – 25 void encounters
		* An acceptance rate of at least 85% is required to pass. To achieve this rate, a surplus of encounters can be submitted.

EDCT.TC.004	If applicable, can correctly submit Compound Drugs with Drug Units in NCPDP transactions.	NCPDP 2.2 and/or 4.2 – 10 Compound drugs encounters Can submit up to 15 encounters to achieve the minimum of 10 accepted compound drugs encounters.
EDCT.TC.005	If applicable, can correctly submit Physician Administered Drugs (PADs): • Professional • Institutional	837I – 10 PAD encounters 837P – 10 PAD encounters Can submit up to 15 encounters for each transaction type to achieve the minimum of 10 accepted compound drugs encounters.
EDCT.TC.006	Can submit a week's worth of production data to the test environment with minimal denials.	Submit 837I, 837P, 837D and NCPDP production files with at least 85% acceptance rate. Actual production encounters may be submitted, providing all actual CINs are replaced with the test CINs provided by DHCS.

Testing Tracker Template

Testing Tracker Template

A new version must be sent for every newly submitted test file.

Date stamp in file name must be updated.

HCP alerts DRQU of newly submitted file.

Keeps track of submitted test files.
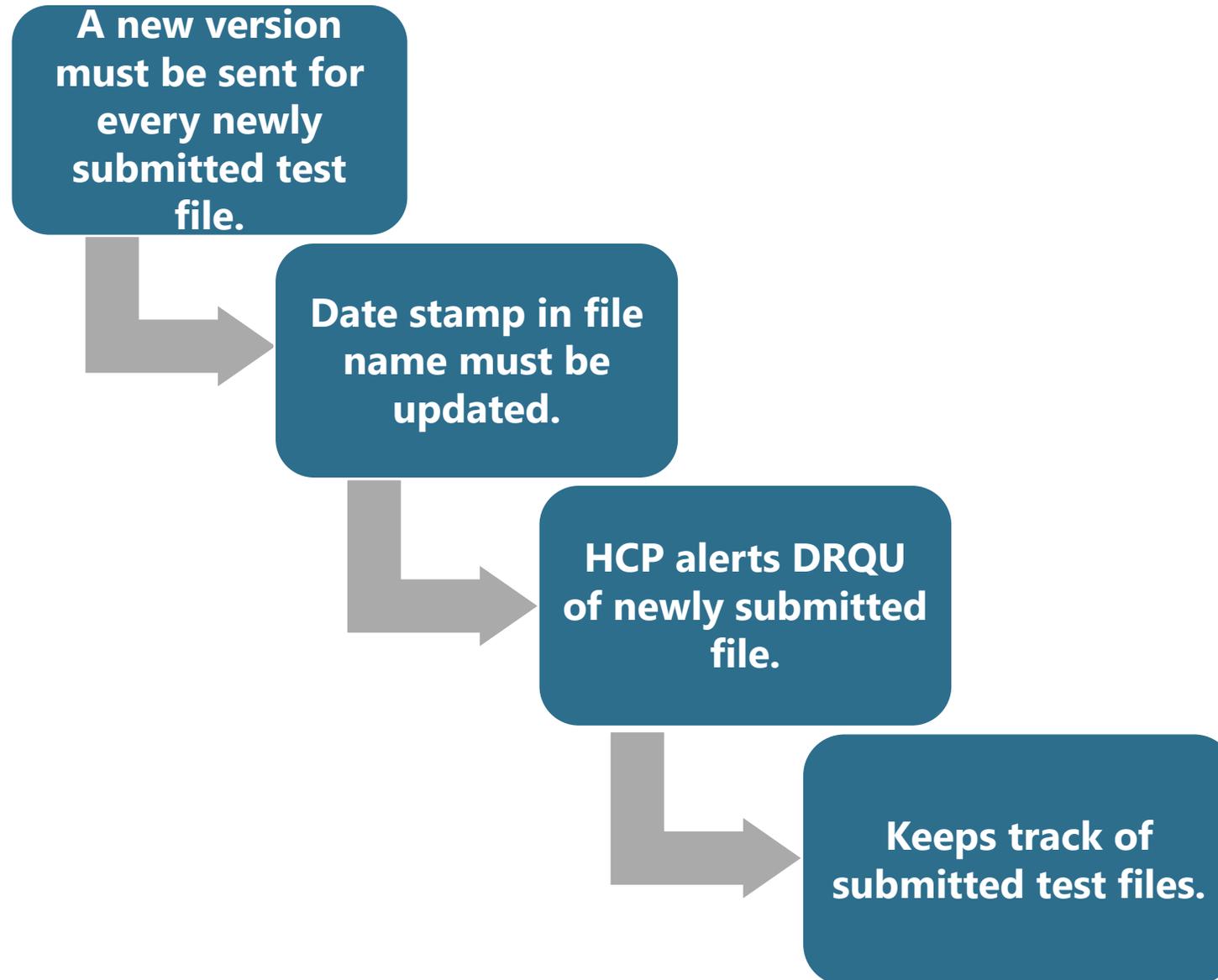
Excel Testing Tracker Template

Submission Month	Test Case	Threshold	Submission Date	HCP Code	Submitted File Name
	EDCT.TC.001	**837I** – 25 Inpatient, 25 Outpatient, 25 LTC encounters **837I** – Modifiers 59, 76, 77 - 5 encounters each			(plan insert here)
	EDCT.TC.001	**837P** – 50 encounters **837P** – Modifier 59, 76, 77 - 5 encounters each			
	EDCT.TC.001	25 **837D** - Dental encounters (Only if testing dental files)			
	EDCT.TC.001	NCPDP 2.2 and/or 4.2 – 25 encounters			
	EDCT.TC.002	**837I** – 25 replacements each for: Inpatient, Outpatient, LTC encounters			
	EDCT.TC.002	**837P** – 50 replacement encounters			
	EDCT.TC.002	25 **Dental** replacement encounters (Only if testing dental files)			
	EDCT.TC.002	**NCPDP 2.2 and/or 4.2**–25 replacement encounters			
	EDCT.TC.003	**837I** – 25 of each: Inpatient void, Outpatient, LTC void encounters			
	EDCT.TC.003	**837P** – 50 void encounters			
	EDCT.TC.003	25 Dental void encounters (Only if testing dental files)			
	EDCT.TC.003	**NCPDP 2.2 and/or 4.2** – 25 void encounters			
	EDCT.TC.004	**NCPDP 2.2 and/or 4.2** – 10 Compound drugs encounters			
	EDCT.TC.005	**837I** – 10 PAD encounters			
	EDCT.TC.005	**837P** – 10 PAD encounters			
	EDCT.TC.006	Submit 837I, 837P, 837D and NCPDP **production** files with acceptance rate ≥ **85%.**			

Instructions | Contact Info | **Submssion Log**

Test Client Index Numbers

Client Index Number = CIN (Medi-Cal ID)

Unique fictitious numbers replace and protects PHI.

Use Test CINs on all test files.

Request Test CINs from your DRQU Specialist.
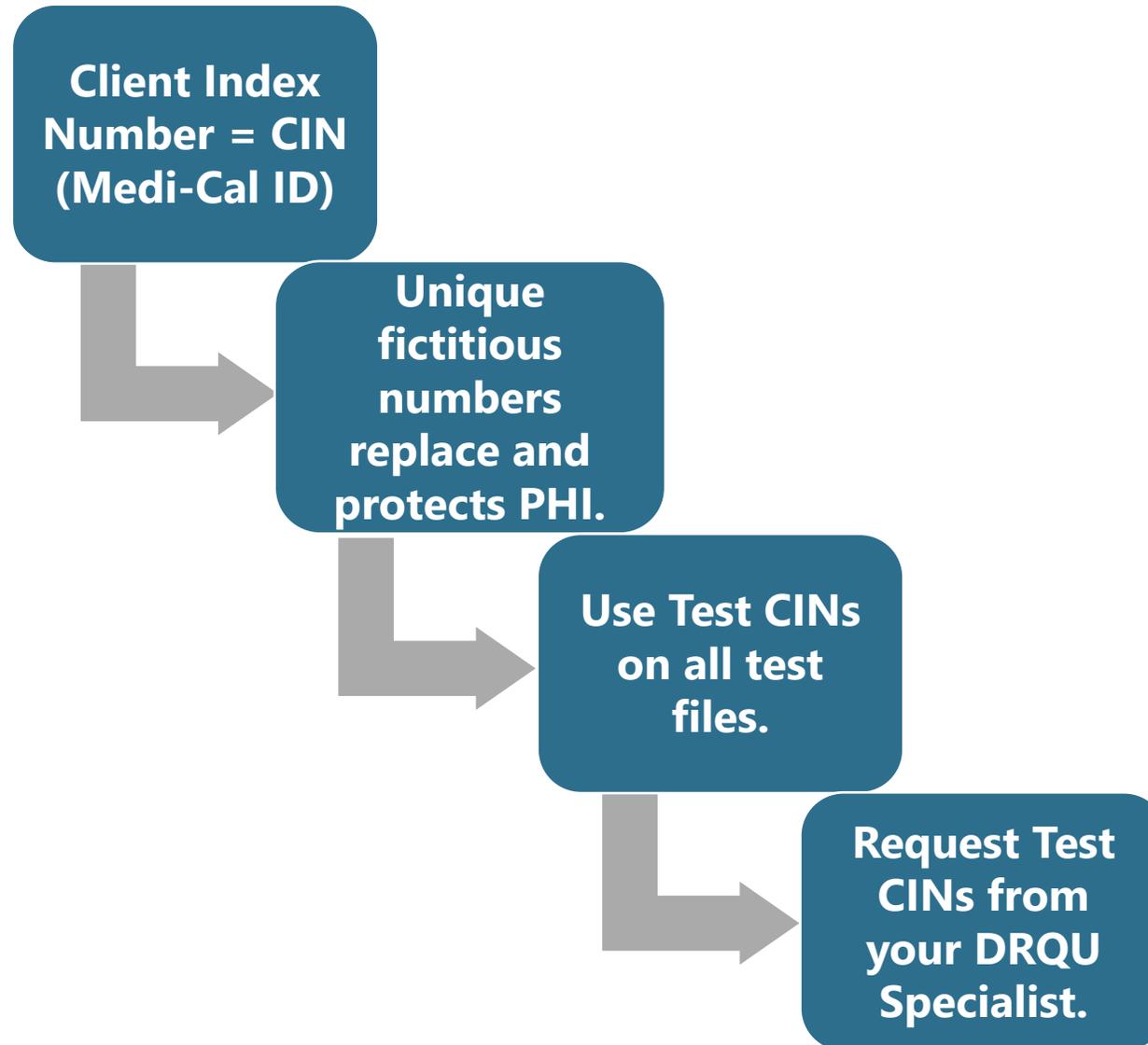
Usage of Test Client Index Numbers (CINs) in Testing

HCP Receives Test CINs

	A	B	C
1	Test CINs	HICN	HCP
2	32001135A		XXX
3	32001136A		XXX
4	32001137A		XXX
5	32001138A		XXX
6	32001139A		XXX
7	32001140A		XXX
8	32001141A		XXX
9	32001142A		XXX
10	32001143A		XXX
11	32001144A		XXX

Test Case Files

837I

837P

837D

NCPDP 2.2 and/or 4.2

DHCS PACES SFTP Testing
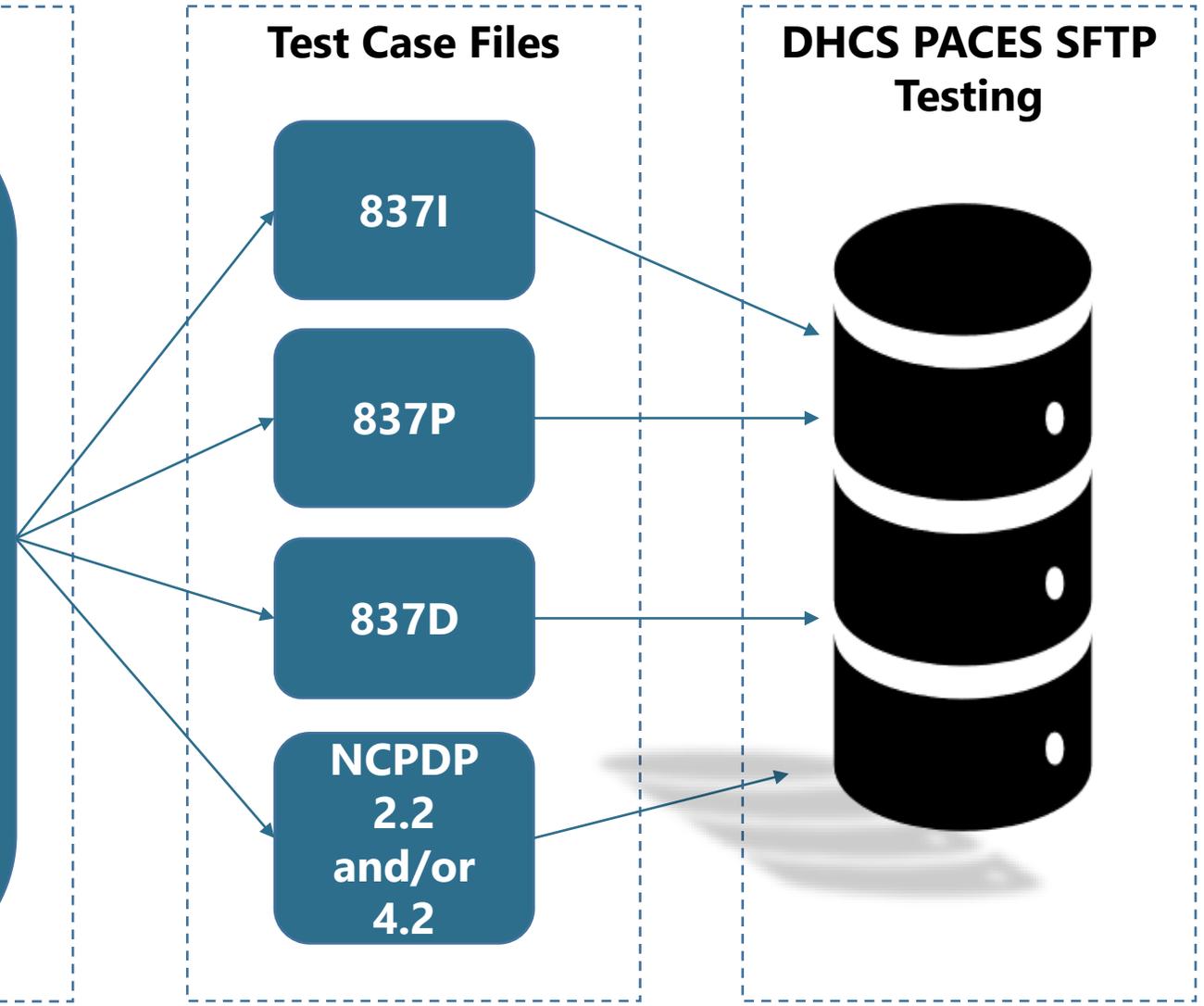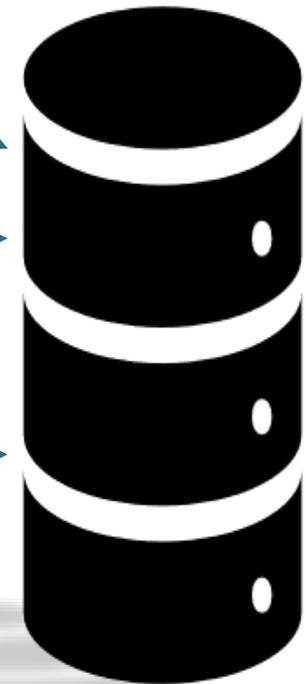
ED Testing: Test Case Process

HCP creates test files for Stage 1 of the Testing Plan and submits it to the PACES testing environment

HCP receives a **Response** file designating the status of the file (Rejected or Accepted) and encounters (Accepted or Denied).

HCP updates the Test Tracker Template with outcome data and emails to DQRU Specialist.

DRQU Specialist runs validation protocol and informs HP of the results.

Pass: proceed to next Test Criteria.

Fail: correct errors and resubmit with new filename.

Once all test criteria are passed, DRQU sends a message informing the HCP that they are approved to submit to DHCS PACES Prod server.

HCP may continue to use submit to Test server for ongoing file/encounter checks.

ED Testing Timeframes

In general, the testing process could be completed within one to three months.

The Testing timeframe and schedule can be negotiated......
But......

The HCP must achieve a file acceptance rate of At LEAST 85% for each Test Case

Questions...

» Please review the [DHCS Managed Care Data Quality Monitoring Frequently Asked Questions](#) page for guidance related to Encounter Data and other Managed Care file questions.

» Please submit managed care and PACE Plan encounter questions through the DQRU group mailbox MMCDEncounterData@dhcs.ca.gov with a copy to your DQRU specialist.

» Technical questions (data feed, etc.), please send to EDIMDataSupport@dhcs.ca.gov

» Feedback is always welcome.

Questions ?

DHCS

ECM/CS/CCM JSON Exchange

Jeff Jennings

(Data Exchange Validation Unit Chief)

DHCS

ECM/CS/CCM JSON Exchange
Important Information for Phase 2

» **Important Dates**

- **Testing/Staging**
  - Starts June 2024
- **Production**
  - Starts August 2024

» **Important Resources**

- **Documentation Center**

- **Have questions about ECM/CS/CCM JSON Exchange, contact the EDIMdataSupport@dhcs.ca.gov mailbox.**

Testing/Staging Environment

Test CINs must be used in the Test/Staging Environment. If you use actual Medi-Cal member CINs in this environment, it will error out. *(Please reference Technical Documentation, Section 1.6.)*

? Where can we get our test CINs?

» Test CINs can be found in the "Documentation Center" in the "PACES Test CINs" folder.
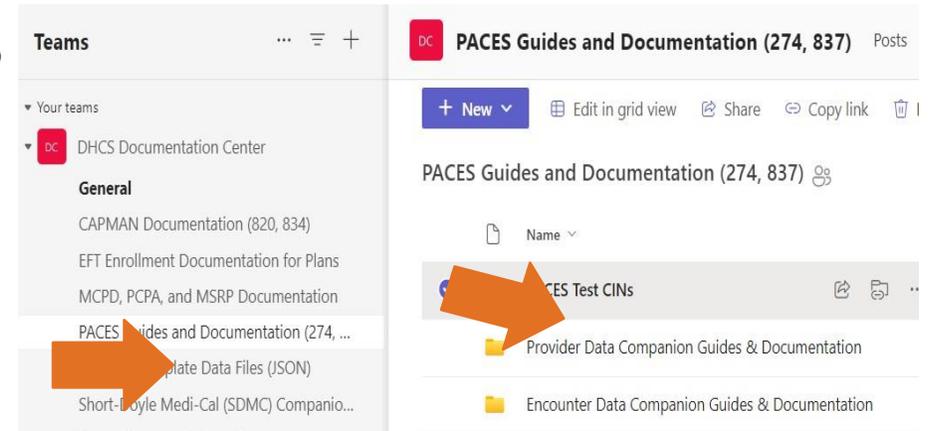
Testing/Staging Environment

? **Where do we submit our test files to?**

» Submit test files to:

- *DHCS-PACES/Test/Plans/PlanName/Submit (Please reference Technical Documentation, Section 1.3)*

? **How do we know if our test files had any issues?**

» You will receive a response file in the following path:

- *DHCS-PACES/Test/Plans/PlanName/Response*

Production Environment

Actual member CINs must be used in the Production Environment. Using test CINs will cause an error.

? Where do we submit our production files to?

» Submit production files to:

- *DHCS-PACES/Prod/Plans/PlanName/Submit (Please reference Technical Documentation, Section 1.3)*

? How do we know if our production files had any issues?

» You will receive a response file in the following path:

- *DHCS-PACES/Prod/Plans/PlanName/Response*

Resubmission of Phase 1 Data In Phase 2

» **Starting August 1, 2024, any resubmission of Phase 1 data will need to be in the Phase 2 data format.**
  - Refer to Technical Documentation Section 1.1.
    - ✓ Samples of the schema can be found in the Technical Documentation, Section 4.2.2.
  - Files not in Phase 2 format will be erroring out.

» **For Technical Assistance, please contact:**
  - EDIMdatasupport@dhcs.ca.gov.

4.2.2 Phase 2 Example:

There are 2 schema examples, one for the original submission file and the other for resubmission files. See both listed below and the example scenario provided.

Schema example scenario 1: If a MCP did not make a submission in February 2024 (Phase 1) and wants to submit their first original file in August 2024, the MCP will use the schema sample below.

```
{
    "header": {
        "planParent": "TestPlan",
        "submissionDate": "20230502",
        "reportingPeriod": "20230430",
        "submissionType": "Original",
        "submissionVersion": "001",
        "schemaVersion": "2.0"
    },
    "ecmMember": [
        {
            "planCode": "999",
            "cin": "30000003A",
            "benefitStartDate": "20230301",
            "adultPOF": [
                "Individuals Experiencing Homelessness",
                "SMH or SUD"
            ],
            "lastName": "Smith",
            "firstName": "Bob",
            "dateOfBirth": "19550505",
            "providerNPI": "1558750083",
            "inPersonEncountersCount": 5,
            "teleEncounterCount": 0
        },
        {
```

DEPARTMENT OF HEALTH CARE SERVICES   29   MANAGED CARE QUALITY MGMT DIV

Questions ?

Communication & Resources

Communication

» Data group mailboxes

- 274 Medical (Physical Health): MCQMDProviderData@dhcs.ca.gov
- 274 Behavioral Health Plans (MHP & DMC-ODS): 274Expansion@dhcs.ca.gov
- 274 Dental: DMCdeliverables@dhcs.ca.gov
- Encounter: MMCDEncounterData@dhcs.ca.gov
- BH Short Doyle: MEDCCC@dhcs.ca.gov
- DHCS Documentation Center Access requests: dataexchange@dhcs.ca.gov
- Technical questions, ECM/CS/CCM JSON exchange: EDIMDataSupport@dhcs.ca.gov
- MCDSS Webinar Support: MCDSS@dhcs.ca.gov

» If the message is urgent, please mark [URGENT]

Resources

Quality Measures & Reporting

DHCS monitors the quality of care provided to its members in a number of ways. Below are links to different types of reports that have been developed to monitor DHCS programs and the quality of care provided to our members.

Quality Webinar Series

The resources below provide materials and webinar information related to the quality of managed care data.

- Managed Care Data Quality Monitoring Webinar Series: DHCS is currently hosting a monthly webinar series to improve quality monitoring of Managed Care Data.

- Frequently Asked Questions (FAQ)

- DHCS Documentation Center (DDC): The DDC is our solution for sharing Companion Guides and other Managed Care docs and artifacts used by trading partners (MCPs). The PACES, CAPMAN, MCPD and PCPA Companion Guides and other docs and artifacts are posted here and are available to trading partner staff. Access to the DDC is available to trading partners upon request. Access requests can be sent to dataexchange@dhcs.ca.gov.

Quality Measures

The reports below provide quality measures based on administrative and clinical data such as the Healthcare Effectiveness Data and Information Set (HEDIS) measures and self-reported data such as the Consumer Assessment of Healthcare Providers and Systems (CAHPS) surveys.

- Dashboard Initiative: DHCS is developing a comprehensive dashboard initiative to strengthen public reporting practices throughout the department while improving transparency and accountability.

» DHCS Quality Webinar Series webpage

- Data & Statistics -> Reports -> Quality Measures and Reporting

Resources (cont.)

Managed Care Data Quality Monitoring Webinar Series

This monthly webinar series will allow for continued discussion on the status of Managed Care Data Quality Monitoring, which is currently underway at DHCS. Additionally, it will allow for ongoing plan on the development of the necessary changes of the Managed Care Data Quality Monitoring. This discussion will include on the Quality Monitoring Process of 274 Physical Health Medi-Cal Managed Care Provider Data, Dental Data, Mental Health Plan Data, Drug Medi-Cal Organized Delivery System Data, Encounter Data, and Behavioral Health Short Doyle Data.

If you would like notifications regarding these and any upcoming webinars, please click here to Subscribe/Unsubscribe.

Please contact MCDSS@dhcs.ca.gov if you have questions about this webinar series.

Next webinar: May 29, 2024 at 10 a.m.

Additional Resources and Related Materials

- DHCS Documentation Center (DDC) : The DDC is our solution for sharing Companion Guides and other Managed Care docs and artifacts used by trading partners (MCPs). The PACES, CAPMAN, MCPD and PCPA Companion Guides and other docs and artifacts are posted here and are available to trading partner staff. Access to the DDC is available to trading partners upon request. Access requests can be sent to dataexchange@dhcs.ca.gov.
- DHCS Managed Care Data Quality Monitoring Frequently Asked Questions
- Managed Care Data Quality Webinar Glossary

Back to the Quality and Measures Reporting page

2024 Webinar Schedule

Month	Topic	Webinar Date	Webinar Materials
January	Semi Annual Data Checks	1/31/2024	Presentation Slides
February	Behavioral Health Short Doyle	2/28/2024	Presentation Slides
March	Excel Data Templates	3/27/2024	Presentation Slides
April	Annual Address	4/24/2024	Presentation Slides
May	Encounter Data Validation Testing	5/29/2024	Available June 2024
June	274 Behavioral Health / Mental Health Program Data	6/26/2024	Available July 2024
July	Semi Annual Data Checks	7/31/2024	Available August 2024
August	Encounter Data	8/28/2024	Available September 2024
September	274 Dental Data	9/25/2024	Available October 2024
October	Monthly Data Checks	10/30/2024	Available November 2024
November	274 Behavioral Health / Drug Medi-Cal ODS	11/27/2024	Available December 2024
December	MCPD/PCPA files and expansion	To be determined	Available January 2025

» [Webinar Series Webpage](#)

- Recording/script
- PPT slides deck
- Upcoming Webinar schedule
- Distribution List Subscription Link

» [Frequently Asked Questions](#)

» [Glossary](#)

DHCS Data Collection Status

Data Transaction type	Status
Med-Cal Managed Care Plans 274 Provider Network data (274 MCP)	In production
County Mental Health Plans 274 Provider Network Data (274 MHP)	In production
County Drug Medi-Cal Organized Delivery Systems 274 Provider Network Data (274 DMC-ODS)	33% of DMC-ODS plans are in production
Dental Managed Care Plans 274 Provider Network Data (274 Dental)	In production
BH – Short Doyle	In production
Encounter data	In production
Excel Data Templates	In production
MCPD/PCPA JSON file expansion	In production, CG updated in April
ECM/CS/CCM JSON exchange	Phase 2 (Testing/Staging in June, Production in Aug)

Questions ?

Thank you!