

# How Researchers Can Access DHCS Data

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Using Data to Improve Maternity Care in California:  
Research Collaborations and Future Opportunities

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# Reporting to CMS

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- DHCS reports data to CMS through the Medicaid Statistical Information System (MSIS)
  - Eligibility File
  - Inpatient File
  - Long Term Care File
  - Pharmacy File
  - Other File
- Quarterly reporting since 1997
- Will become the Transformed-MSIS (T-MSIS)

# Contributing to the Data Landscape

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### Find a CMS Data File

Filter by Program:  
Medicare  
Medicaid  
Qualified Entity Program

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Research Identifiable Files  
Public Use Files

Filter by Category:  
Beneficiary Surveys  
Medicare Utilization  
Medicaid Utilization  
Facility Characteristics  
Physician and Professional Provider Characteristics  
Prospective Payment Systems  
Prescription Drugs  
Quality of Care  
Beneficiary Enrollment and Demographics  
Resident Assessments

Enter terms    Retain current filters

Showing 1 to 15 of 15 results.

#### Medicare-Medicaid Linked Enrollee Analytic Data Source

The Medicare-Medicaid Linked Enrollee Analytic Data Source (MMLEADS) has been developed to allow for the examination of all Medicare and Medicaid enrollment and claims data for those who were dually enrolled in both programs. The current files are ...

#### MAX Personal Summary File

The Personal Summary File contains one record for every individual enrolled for at least one day during the year. The file contains demographic data (e.g. date of birth, gender, race), basis of eligibility, maintenance assistance status, monthly ...

#### MAX Other Therapy File

The Other Therapy File contains claim records for a variety of Medicaid services, including physician services, lab/X-ray, clinic services, home health, hospice and premium payments. Outpatient hospital institutional claims are also included in this file ...

#### MAX Inpatient File

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TOP REQUESTED

- Medicare
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- Master I
- Summary
- Medicaid (MAX) F
- Medicare Benefici
- Assessm
- Part D I
- CMS DATA
- View data

Medicare Medicaid/CHIP Medicare-Medicaid Coordination Private Insurance Innovation Center Regulations & Guidance **Research, Statistics, Data & Systems** Outreach & Education

Home > Research, Statistics, Data and Systems > Medicaid Data Sources - General Information > Medicaid Statistical Information System (MSIS) State Summary Datamarts

### Medicaid Data Sources - General Information

- Medicaid At-a-Glance 2005
- Medicaid Managed Care Enrollment Report
- Medicaid Managed Care Penetration Rates and Expansion Enrollment by State
- Description of State Programs
- Medicaid Analytic eXtract (MAX) General Information
- Medicaid Analytic eXtract (MAX) Chartbooks
- Medicaid Pharmacy Benefit Use and Reimbursement - Introduction and Chartbooks
- MAX Provider Characteristics
- Mini MAX - Medicaid Sample
- MAXCM
- MAX and Survey Linkages
- Medicaid Issue Briefs

### Medicaid Statistical Information System (MSIS) State Summary Datamarts

#### Welcome to the MSIS State Summary Datamart

This page provides background needed to take advantage of the capabilities of the MSIS State Summary Datamart. This mart allows the user to develop high-level statistical tables covering a range of Medicaid program statistics using a simple drag-and-drop table building tool.

This page also links to an [MSIS Drug Utilization Datamart](#), which provides high level Medicaid utilization statistics for selected groups of drugs.

It is critical that users have a fundamental understanding of basic Medicaid program terminology and of the data coding captured by MSIS. This data is the source for ALL of the statistics available in the datamart. MSIS data definitions are available in the [MSIS Data Dictionary](#), updated October 2012. While we strive to make this tool as useful as possible, please be aware that response time for tables can vary greatly based on the browser access speed, CMS server performance, number of concurrent users, and table complexity. We are trying to improve performance on an ongoing basis. However, in order to minimize wait time, we strongly encourage the use of the "get data later" function described in the user guide.

#### Background

Since the implementation of the Balanced Budget Act of 1997, States have been submitting eligibility and claims program data to CMS through the Medicaid Statistical Information System (MSIS). The five files, submitted quarterly, include one file which contains eligibility and demographic characteristics for each person enrolled in Medicaid at any time during the quarter, and four separate files of claims adjudicated for payment during the quarter for long-term care services, drugs,

<http://www.cms.gov/Research-Statistics-Data-and-Systems/Computer-Data-and-Systems/MedicaidDataSourcesGenInfo/MSIS-Mart-Home.html>

# Data from DHCS

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## Accessing DHCS Protected Data for Research and Public Health

This is the primary portal for requesting protected data from the California Department of Health Care Services (DHCS) for research and public health purposes. Protected data refers to any data containing confidential information that otherwise would be unavailable to the public. This website is not for requesting publicly available data.

DHCS endeavors to draw upon the wealth of knowledge available from scientific studies in health care delivery and medical science fields. Research and public health surveillance conducted with DHCS's protected data can provide useful information about the effectiveness of DHCS' programs, as well as, identify potential areas for improvement. To the extent possible, DHCS utilizes this knowledge in its attempts to make its programs and policies "evidence-based."

All requests to this portal for access to protected data must be for research or public health purposes only. **This portal does not facilitate access to protected data for legal, administrative or other purposes.** Each request will be submitted to DHCS' Data and Research Committee (DRC), which oversees DHCS' data request evaluation process. The DRC assesses the appropriateness of requests for protected data, assigns a priority status to each request, and recommends potential approval/denial action to DHCS Executive management.

In general, the DHCS DRC will not support research that will lead to the creation of a product or tool that the researcher or funder intends to market. For example, the DHCS DRC may deny data requests from requestors wanting to evaluate the impact of prescription drugs if a pharmaceutical company finances the study directly or indirectly.

<http://www.dhcs.ca.gov/dataandstats/data/Pages/AccessingProtectedData.aspx>

# Criteria

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- Directly connected with the administration of the Medi-Cal Program
- University of California or a nonprofit educational institution:
  - Conducting scientific research
  - Approved by the Committee for the Protection of Human Subjects (CPHS) for the California Health and Human Services Agency (CHHS)
- Public Health Purposes

# Statutory Highlights

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## Federal

- Social Security Act: Sec. 1902. [42 U.S.C. 1396a]  
(a) A State plan for medical assistance ...
- Health Insurance Portability and Accountability ACT (HIPAA):  
CFR 160. Section 164.512

## State

- California Welfare and Institutions Code: Section 14100  
(administration of the Medi-Cal program)
- California Civil Code (Information Practices Act):  
Section 1798.24

# Institutional Review Board (IRB)

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## Committee for Protection of Human Subjects (CPHS)

- CHHS established the CPHS as an institutional review board in July 1976
- CHHS is bound by terms of the Federalwide Assurance (FWA) 00000681 signed in June 2001 with the U.S. Department of Health and Human Services (DHHS), Office for Human Research Protections
- CPHS is the only Institutional Review Board (IRB) empowered by the CHHS



State of California

Committee for the Protection of Human Subjects



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## → Committee for the Protection of Human Subjects

### WHAT'S NEW AT CPHS

#### Cal Protects/ Customer Service Survey

We are consistently improving our processes to ensure efficiency in filing protocols. Your feedback is important to us. For your convenience, we have added a link to the survey on the Researcher Dashboard within Cal Protects and on emails generated by Cal Protects. Please take a moment to complete the survey. For additional information, please contact the CPHS mainline at (916) 326-3660 or by email: [CPHS-Mail@oshpd.ca.gov](mailto:CPHS-Mail@oshpd.ca.gov)

### Quick Links

- ◆ [Policies, Procedures and Legal Authority](#)
- ◆ [Instructions for Researchers](#)
- ◆ [Forms](#)
- ◆ [Bulletins](#)
- ◆ [Cal Protects Submission Guide for CPHS Review](#) **New!**
- ◆ [CalPROTECTS Frequently Asked Questions \(FAQs\)](#) **New!**

### External Links

- ◆ [California Information Practices Act, Civil Code, Section 1798.24 \(SB 13\)](#)
- ◆ [Common Rule](#)
- ◆ [Office for Human Research Protections \(OHRP\)](#)



# **DHCS' Data & Research Committee (DRC)**

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All data requests for research or public health purposes will be reviewed by the DRC

- Makes recommendations to DHCS executive management regarding potential approval or denial of a data request
- Oversees process for soliciting and responding to requests from external requestors for access to protected DHCS data
- Assesses appropriateness and priority of data releases for research or public health purposes

# Criteria used to review a request

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- Program Relevance:
  - Usefulness of the potential findings to DHCS
  - Potential health impact on DHCS' beneficiaries and the general public
  - Project focus on a topic that will provide new, useful information to DHCS programs
- Methodology:
  - Reliability, accuracy, and practicality of proposed methodology in answering the identified research or public health question(s)

# Criteria used to review a request

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- Risk Assessment:
  - Potential risk to security and confidentiality of releasing the requested data sets
- Department Impact:
  - Amount of resources necessary to fulfill the data request and assist requestors
- Investigator Qualifications:
  - Assessment of the investigator's experience and qualifications

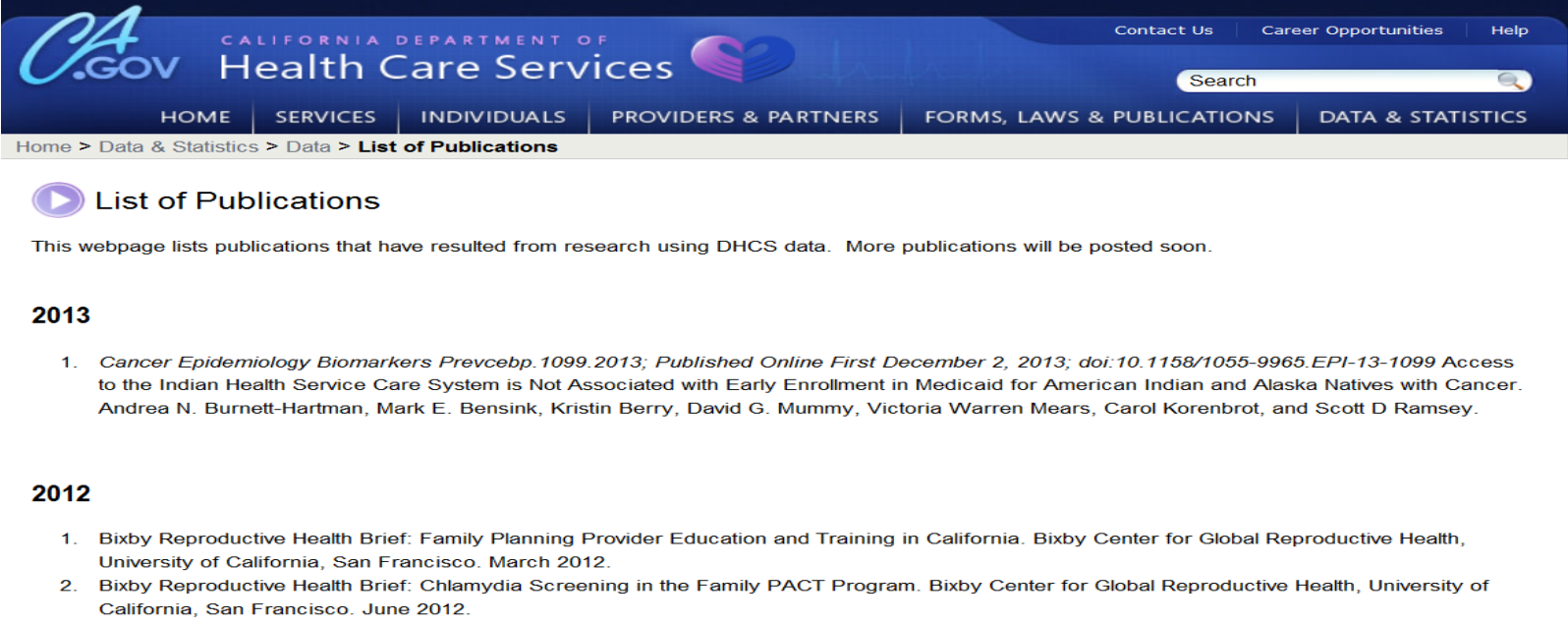
# Data Release Requires

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- Approval of DHCS DRC and Director
- Approval by CHHS Committee for the Protection of Human Subjects (CPHS)
- Submittal of a copy of the CPHS approval letter and protocol
- Submittal of yearly reports to the DRC regarding the progress of projects
- Annual renewal with both DHCS DRC & CHHS CPHS
- Approved Projects:  
<http://www.dhcs.ca.gov/dataandstats/data/Pages/ListofApprovedDRCProjects.aspx>

# Upon Completion of Work


- Destroy or return to DHCS any data files containing personally identifiable information
- Submit a copy of the journal article abstract or other publications if findings from their research using Medi-Cal data are published



The screenshot shows the California Department of Health Care Services website. The header includes the CA.GOV logo, the department name, and navigation links for Contact Us, Career Opportunities, and Help. A search bar is also present. The main navigation menu includes Home, Services, Individuals, Providers & Partners, Forms, Laws & Publications, and Data & Statistics. The breadcrumb trail indicates the current page is 'List of Publications' under 'Data & Statistics'. The page content features a play button icon and the title 'List of Publications'. A paragraph states: 'This webpage lists publications that have resulted from research using DHCS data. More publications will be posted soon.' Below this, there are two sections for the years 2013 and 2012, each containing a list of publications.

HOME SERVICES INDIVIDUALS PROVIDERS & PARTNERS FORMS, LAWS & PUBLICATIONS DATA & STATISTICS

Home > Data & Statistics > Data > **List of Publications**

 **List of Publications**

This webpage lists publications that have resulted from research using DHCS data. More publications will be posted soon.

**2013**

1. *Cancer Epidemiology Biomarkers Prev* **2013**; Published Online First December 2, 2013; doi:10.1158/1055-9965.EPI-13-1099 Access to the Indian Health Service Care System is Not Associated with Early Enrollment in Medicaid for American Indian and Alaska Natives with Cancer. Andrea N. Burnett-Hartman, Mark E. Bensink, Kristin Berry, David G. Mummy, Victoria Warren Mears, Carol Korenbrot, and Scott D Ramsey.

**2012**

1. Bixby Reproductive Health Brief: Family Planning Provider Education and Training in California. Bixby Center for Global Reproductive Health, University of California, San Francisco. March 2012.
2. Bixby Reproductive Health Brief: Chlamydia Screening in the Family PACT Program. Bixby Center for Global Reproductive Health, University of California, San Francisco. June 2012.



# Commitments



# Strategic Plan

**Directly connected with the administration of the Medi-Cal Program**

<http://www.dhcs.ca.gov/Documents/DHCSstrategicPlan.pdf>

# Strategy for Quality Improvement

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## *DHCS Strategy for Quality Improvement in Health Care - Three Linked Goals*

1. Improve the health of all Californians;
2. Enhance quality, including the patient care experience, in all DHCS programs; and
3. Reduce the Department's per capita health care program costs.

<http://www.dhcs.ca.gov/services/Pages/DHCSQualityStrategy.aspx>

# **Strategy for Quality Improvement Cont.**

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## ***DHCS Strategy for Quality Improvement in Health Care - Seven Priorities***

1. Improve patient safety
2. Deliver effective, efficient, affordable care
3. Engage persons and families in their health
4. Enhance communication and coordination of care
5. Advance prevention
6. Foster healthy communities
7. Eliminate health disparities



# Thank you!

