

# Data Submission Guide v.5.0.2017

## Training Webinar

*The Arkansas Healthcare Transparency Initiative and the  
Arkansas All-Payer Claims Database (APCD)*



December, 2016

# Agenda

- Arkansas Center for Health Improvement (ACHI)
- [Submission requirements](#)
- Data Submission Guide (DSG)
- Timelines (updating/resubmission)
- Exemptions and Exceptions
- DSG Changes
- Technical support
- Q&A

# About ACHI

- The Arkansas Center for Health Improvement (ACHI) is a nonpartisan, independent health policy center dedicated to improving the health of Arkansans
- Established in 1998, creating a much needed intersection between research and policy
- ACHI has proven experience in the management and integration of health data to support research and health policy

# ACHI Major Accomplishments

Year	Accomplishment
2000	Tobacco Settlement Proceeds Act
2003	Act 1035 of 2003 – Arkansas Health Data Initiative (HDI)
2006	ARHealth Networks established
2006	Act 8 of 2006 - Clean Indoor Air Act
2009	Act 180 of 2009 - Tobacco Excise Tax
2009	Act 394 of 2009 - Graduated Driver License regulations
2009	Act 308 of 2009 - Primary Seat Belt Law
2010	Establishment of the Office of Health Information Technology (OHIT) and State Health Alliance Records Exchange (SHARE)

# ACHI Major Accomplishments

## *continued*

Year	Accomplishment
2011	Act 197 Of 2011 – Fluoridated Drinking Water
2011 – Present	Multi-payer Arkansas Health Care Payment Improvement Initiative (ACHPII)
2012	Arkansas Workforce Strategic Plan
2013 – present	State Innovation Model – Population Health
2013 – present	Arkansas Health Care Independence Program and Health Insurance Marketplace
2015	Act 1233 of 2015 – Arkansas Healthcare Transparency Initiative

# What Will Be Submitted?

Submitting entities must provide the following data categories unless granted an exemption:

- Member Enrollment data
  - Unique identifiers (no personal identifiers)
  - Demographic and geographic information
- Medical claims
- Pharmacy claims
- Dental claims
- Provider data
- Control Counts
- Look-up tables

# Arkansas Insurance Department (AID) Rule 100\*

- Further defines covered individual thresholds for submitting entities
- Describes test data and historical files
- Provides exemption process for submitting entities
- References the Data Submission Guide (DSG) for technical specifications
- Provides phased data submission timeline
- Defines DSG change process

*\* “Rule 100, page XI: Arkansas Healthcare Transparency Initiative Standards” issued pursuant to Act 1233 of 2015 of the Arkansas 90th General Assembly.*

# Data Submission Guide (DSG)

- Provides submitting entities with:
  - Data variables
  - Data submission and format requirements
  - Encryption protocols
  - Web portal onboarding process
  - Data exception request process
  - Excel Spreadsheet version of DSG layout for developers

Arkansas APCD Website Home Page: <https://www.arkansasapcd.net/Home/>

Arkansas APCD DSG Page: <https://www.arkansasapcd.net/Docs/125/>





# Arkansas All-Payer Claims Database

Administered by



With support from the  
Arkansas Insurance Department  
Health Insurance Rate Review Division

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## Welcome to the Arkansas All-Payer Claims Database (APCD)

There is a growing demand and need for transparency of healthcare information in Arkansas to promote high-value care and advance research. Consumers, employers, and policymakers are advocating for greater reporting on the prices of healthcare services as a way to encourage consumers to choose low-cost, high-quality providers and to promote competition based on value. The Arkansas All-Payer Claims Database (APCD) is a dynamic tool that will enable the state to further its transparency objectives by collecting healthcare data from public and private sources and empowering Arkansans with information to better understand how and where healthcare is being delivered and how much is being spent. Please see the "How to Use the APCD Website" box below to learn how to navigate the Arkansas APCD website.

### What's New?

**NEW!!! (11/21/2016)** The Arkansas APCD is pleased to announce that a new **Online Exception Request Process** is **NOW ACTIVE**. All Exception Requests must now be completed online!

The Online Exception Request page is accessible once you sign into your account on the Web Portal page.

We are very excited about this new process which will provide online selection of data elements needing exceptions, online approval, and immediate posting of approved exceptions to the validation process. This should significantly speed up the process of requesting and applying exceptions.

Click here for the [Online Exception Request Training Document](#).

**NEW!!! (11/29/2016)** The Arkansas APCD is pleased to announce that **Version 5.0.2017 of the Data Submission Guide (DSG)** is **NOW AVAILABLE** for download online.

Please see the [Data Submission Guide \(DSG\) Resources](#) page for the full version with and without update comments. There is also an Excel version.

(Note - Version 5.0.2017 will be the required data version for the March 31, 2017 submission period.)

### Resources

- [Onboarding Instructions](#)-Information on on web portal set-up, file encryption requirements, technical support processes, data file structure requirements, etc.
- [Frequently Asked Questions-Data Submission Guide \(DSG\) and Onboarding](#)
- [Training Documents](#)

### Entity Registration Forms

Click below to access registration forms for the Arkansas Healthcare Transparency Initiative.

[Start Here!](#)

2017 DSG





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## Data Submission Guide Resources

NEW!!! (11/21/2016) The Arkansas APCD is pleased to announce that a new Online Exception Request process is NOW ACTIVE. All Exception Requests for all versions of the DSG must now be completed online!

The Online Exception Request page is accessible once you sign into your account on the Web Portal page.

### Arkansas APCD Data Submission Guide Information

#### DSG Version 5.0.2017

- [APCD Data Submission Guide 5.0.2017](#) (New!)
- [APCD Data Submission Guide with comments\\*](#), v. 5.0.2017 (New!)
- [Excel Version of Data Submission Guide](#), v. 5.0.2017 (New!)
- APCD Data Submission Guide Training, v. 5.0.2017 (Coming Soon!)

\*Version 5.0.2017 with comments is recommended for submitting entities who have already submitted data using version 4.1.2015 to help identify required changes.

**Important: Submitting Entities must not mix DSG Versions within one data file.** If a file contains records using the version 5.0.2017 DSG layout, then all records in that file must conform to the 5.0.2017 DSG layout.

#### DSG Version 4.1.2015 (Note - will not be accepted for the March 31, 2017, data submission)

- APCD [Data Submission Guide](#) (As of 2-29-2016)
- [Excel Version of Data Submission Guide](#)

#### Shared Resources

- [APCD Online Exception Request Instructions](#) (all versions)
- [APCD Data Submission Guide Changes](#) (all versions)
- [DSG Control Counts and Lookup Data Files](#) (Added 2-4-2016)
- [APCD Data Submission Guide Changes](#) (As of 2-29-2016)

Shared  
Resources

2017 DSG

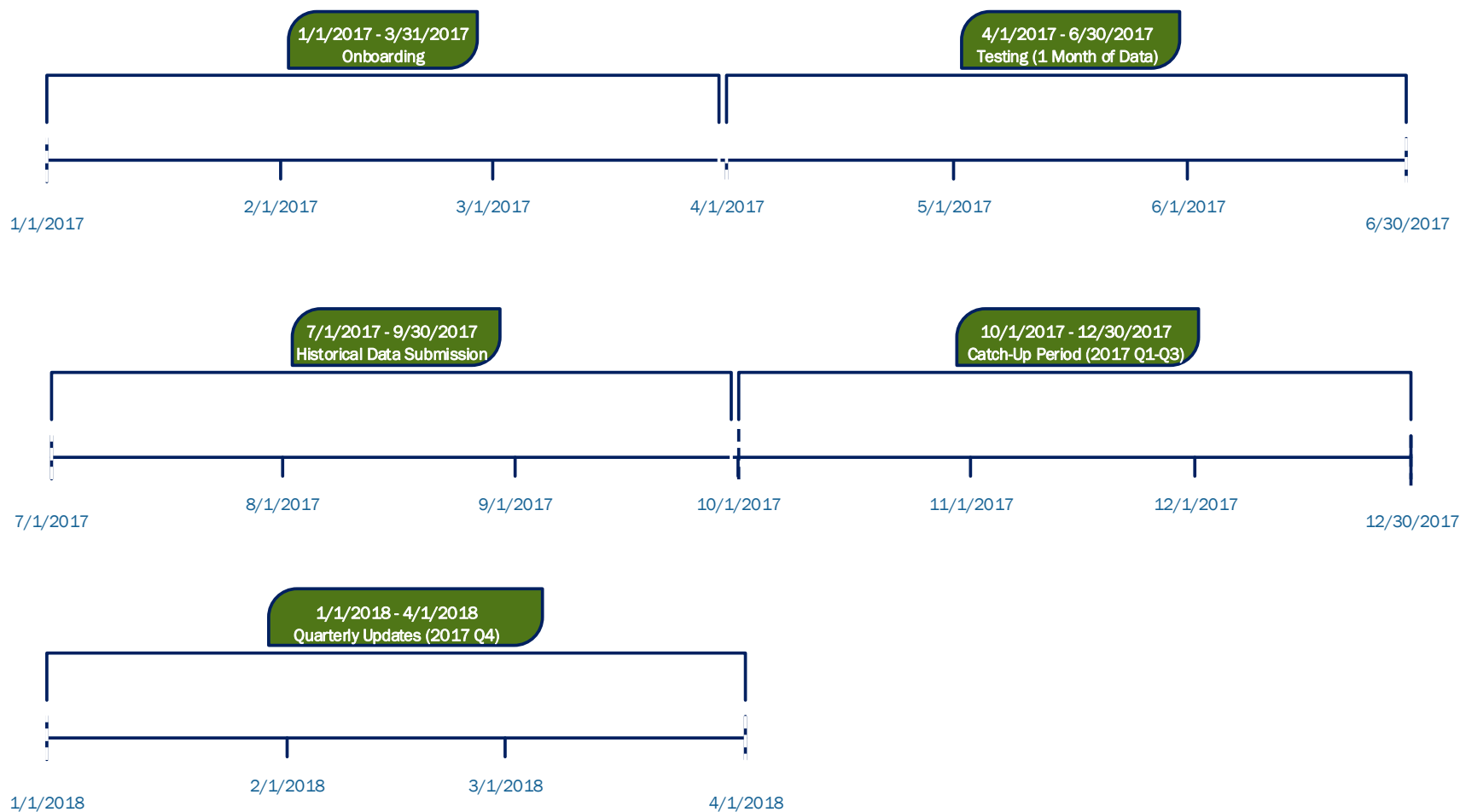
2015 DSG  
Do Not Use



# Data Submission Phases

- Arkansas APCD data submission requires the following phases be executed:
  - **Onboarding** – the period in which the submitting entity (SE) establishes connectivity with the Arkansas APCD in preparation for testing
  - **Testing** – the period in which the SE submits test files in preparation for the historical data submission
  - **Historical Data Submission** – the period in which the SE submits historical member, claims, and provider data for years 1/1/2014 through 12/31/2016
  - **Catch-up Period** – the period in which the SE submits Q1 through Q3 2017 data (1/1/2017 through 9/30/2017)
  - **Quarterly Updates** – quarterly updates start, beginning with Q4 2017.

# Data Submission Timeline



# DSG Version Transition Information

- New Submitting Entities
  - Testing for new submitting entities begins in April, 2017.
  - Files should be in DSG v.5.0.2017 format
- Current Submitting Entities
  - Complete historical data submission (2013-2015) in DSG 4.1.2015 format
  - Submit 2016 catch-up data in DSG 5.0.2017 format on March 31, 2017
  - NOTE: If 2016 data has already been submitted, the Arkansas APCD team will work with you to identify the impact of versioning

# Submitting Entity Exemption

- A submitting entity may submit an exemption request to the AID Commissioner requesting an extension, variation, or waiver of a rule requirement
- Must provide explanation – or “Good cause” - for request
- 30-day timeframe for AID response to any exemption request
- Submitting entities must be registered before exemption requests can be submitted



# Submitting Entity Data Exception

- A submitting entity may submit a data exception request to ACHI identifying required data elements that cannot be provided
- 15-day timeframe for ACHI response to any exception request
- Submitting entities must be registered before submitting exception requests
- Exceptions can be submitted anytime after onboarding is complete.
- Exception web tool can be found on APCD website

# DSG Changes for v.5.0.2017

- Major changes

- Claims versioning
- New fields
- More examples illustrating data requirements
- Web portal access information
- Data validation process steps and encryption recommendations



# DSG Changes for v.5.0.2017

- **Revision History section** contains a list of all changes made for the new DSG version. New items are prefaced with NEW, updated or changed items are prefaced with UPDATED
- **The Overview section**
  - Section 1: Steps for New Submitters - provides high level guidance for carriers to become Arkansas APCD submitting entities
  - Section 2: Submission Schedule - provides data submission rules (referencing Rule 100) and examples to help submitting entities understand when data submission is required
- **Frequently Asked Questions section** has been expanded to include many of the submitting entity questions the Arkansas Technical Support team received

Submitting entities who have already submitted 2013-2015 historical data files in calendar year 2016 do **not** have to resubmit historical data with these new fields.

# DSG Changes for v.5.0.2017

## How to Identify Changes between DSG v.5.0.2017 and DSG v.4.1.2015

### Change Identified in DSG v.5.0.2017 on page 61

23	MC023	Final Discharge Status	Final status for the patient discharged from the hospital <a href="#">See Appendix C - Discharge Status</a>	Integer	char	2	100% if MC036 begins with 11, 12 and MC094 = 002	Required
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**Author**  
Revision 51. Updated - Refer to page 48 in DSG version 4.1.2015

### Original DSG v.4.1.2015 definition on page 48

23	MC023	Discharge Status	Status for the patient discharged from the hospital  See Appendix C - Discharge Status	Integer	char	2	100% if MC036 begins with 11, 12 and MC094 = 002	Required
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### DSG v.5.0.2017 Revision History reference on page vi

5.0.2017	51	7/1/2016	Kenley Money	UPDATED MC023 – Final Discharge Status: Added the designation, Final, to data element name	61
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# Ongoing DSG Changes

- Periodically, corrections may have to be made to the DSG document including but not limited to:
  - Document formatting changes
  - Editing changes
  - Incorrect requirements
- Material DSG changes affecting submitting entity programming or processing are made annually, 120 days prior to required data delivery date
- Submitting entities will be notified when material changes occur

# DSG Change Notification

- Submitting entities will be notified using several channels
  - Notifications tab of the APCD web portal
  - Email
  - APCD website alerts with link to change listing

# New DSG Changes

Published DSG v.5.0.2017



34	PC033	Quantity Dispensed	Number of metric units dispensed. Decimals and negative values accepted.	Numeric	±decimal	12,4	99%	Required
35	PC034	Days Supply	Number of days the prescription will last if taken as prescribed	Integer	unsigned int	4	99%	Required
36	PC035	Charge Amount	Total charges for the service as reported by the provider. This is a money field containing dollars and cents. Code decimal point. This field may contain a negative value. \$0.00 is a valid value  If this field is changed in the versioning process and the dollars must be voided or backed out, the value should be represented as a negative.	Numeric	±decimal	10,2	99%	Required

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## Correction



34	PC033	Quantity Dispensed	Number of metric units dispensed. Decimals and negative values accepted.	Integer	Int	20	99%	Required
35	PC034	Days Supply	Number of days the prescription will last if taken as prescribed	Integer	unsigned int	4	99%	Required
36	PC035	Charge Amount	Total charges for the service as reported by the provider. This is a money field containing dollars and cents. Code decimal point. This field may contain a negative value. \$0.00 is a valid value  If this field is changed in the versioning process and the dollars must be voided or backed out, the value should be represented as a negative.	Numeric	±decimal	10,2	99%	Required

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# APCD Technical Support Contact Information

**Email:**

arapcd@uams.edu

**Phone:**

501-526-4306

**Website:**

<http://www.arkansasapcd.net>

**Hours of Operation:\***

Monday through Friday

9:00 AM – 4:00 PM, Central Standard Time

*\*excluding state and federal holidays*



# Next Steps

- New Submitting Entities
  - Review DSG v.5.0.2017
  - Execute Onboarding process in Q1 2017 (look for Onboarding training webinars in January/February 2017)
- Current Submitting Entities
  - Review DSG v.5.0.2017
  - Select Versioning Approach (Exhibit C)
- Attend training webinars as needed