



ARKANSAS HEALTHCARE TRANSPARENCY INITIATIVE: DATA SUBMISSION GUIDE & ONBOARDING FREQUENTLY ASKED QUESTIONS

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GLOSSARY OF TERMS

Term	Definition
ACHI	Arkansas Center for Health Improvement
AID	Arkansas Insurance Department
APCD	Arkansas All-Payer Claims Database
APCD Data Staging Server	Protected data environment where submitted data is stored and managed
Checksum	A checksum is a count of the number of bits in a transmission unit that is included with the data file for APCD Data Intake verification
CMS	The Centers for Medicare and Medicaid Services
Detached Signature File	A digital signature certifies and timestamps the files submitted to the APCD Data Intake process
DLZ	APCD Data Landing Zone. The DLZ is the secure infrastructure that receives encrypted data pulled from the APCD Secure File Transfer Protocol (sFTP) site
DRG	Diagnosis Related Group. DRG is a statistical system of classifying any inpatient stay information into groups for the purpose of payment
DSG	APCD Data Submission Guide
HIPAA	Health Insurance Portability and Accountability Act of 1996
HIRRD	Health Insurance Rate Review Division of the AID
JIRA	ACHI-APCD team issue tracking tool
MIME-type	Multipurpose Internet Mail Extensions media type
NPI	A national unique identification number for covered healthcare providers
Onboarding	The process to enable data file submission for submitting entities. Process includes web portal assignment and activation, encryption key exchange and protocols, and data submission guidelines
Provider	A “provider” is defined as a person or entity comprised of physicians, nurse practitioners, and/or physician assistants rendering medical care
Rule 100¹	AID guidelines for submission of medical, dental, and pharmaceutical claims, unique identifiers, geographic and demographic information for covered individuals, and provider files to the Arkansas Healthcare Transparency Initiative for the purpose of creating and maintaining a multi-payer claims database as a source of healthcare information to support consumers, researchers, and policymakers in healthcare decisions within the state
SFTP	Secure File Transfer Protocol
Submitting Entity	Entity required to submit data per Act 1233 of 2015
UAMS	University of Arkansas for Medical Sciences
URL	Uniform Resource Locator. A URL specifies a resource location, or web address, for a website

¹ “Rule 100: Arkansas Healthcare Transparency Initiative Standards.” Arkansas Insurance Department Rule 100 is issued pursuant to Act 1233 of 2015 of the Arkansas 90th General Assembly, also known as the “Arkansas Healthcare Transparency Initiative Act of 2015.” Effective November 2, 2015.” <http://insurance.arkansas.gov/Legal/PropRules/PropRule100.pdf>.

OVERVIEW

Access to timely, accurate, and relevant data is essential to improving quality, mitigating costs, and promoting transparency and efficiency in the healthcare delivery system. Pursuant to the Arkansas Healthcare Transparency Initiative of 2015,² a comprehensive all-payer claims database (APCD) is being hosted by the Arkansas Center for Health Improvement (ACHI)—the APCD “Administrator”—on behalf of the Arkansas Insurance Department (AID) that houses member enrollment data, medical claims, pharmacy claims, dental claims, and provider data. As noted in Arkansas Insurance Department Rule 100 (the “Rule”),¹ the Arkansas Healthcare Transparency Initiative - Arkansas APCD Data Submission Guide (DSG) establishes file requirements from which submitting entities develop data files for voluntary or mandatory data submission.

APCD Technical Support

If you have questions about the Data Submission Guide or Onboarding, please visit the respective [Frequently Asked Questions](#) sections below. If you still have questions or concerns, please direct them to the APCD Technical Support team. (See contact information below.)

Technical support is available to all submitting entities and data users, and issues are logged and tracked upon notifying the APCD Technical Support team. The APCD Technical Support team will provide regular feedback during the resolution process.

Hours of Operation:

Monday through Friday, 9:00 am - 4:00 pm Central Standard Time
(excluding state and federal holidays)

APCD Technical Support Contact Information:

Phone: (501) 526-4306

Email: arapcd@uams.edu

Website: <http://www.arkansasapcd.net>

Please report issues by emailing a detailed message that includes your contact information to initiate the resolution process. The APCD Technical Support team will respond to your reported issue as soon as possible.

² Act 1233 of 2015

FREQUENTLY ASKED QUESTIONS

Data Submission Guide (DSG) Related Questions and Answers

	Question	Answer
1	How often are files submitted to the Arkansas APCD?	Data submission occurs according to the schedule in Rule 100, Appendix B.
2	Is the hashed or masked unique identifier required if the Carrier Specific Unique Member ID is included in the data?	Yes. The hashed or masked unique identifier represents the member across products, plans, and enrollment dates. The Carrier Specific Unique Member ID can change based on member activity.
3	Fields on enrollment data appear to be similar to those collected on the medical claims (MCs), pharmacy claims (PCs), and dental claims (DCs) files. Can you clarify?	Many of the elements in the data files use similar semantics and a few are exact duplicates. These fields on the claims files must be submitted to allow the data to be joined across tables.
4	What might cause a member to have more than one enrollment record per month?	A member will have more than one enrollment record when they are enrolled in more than one product, have secondary coverage, have a break in enrollment, or have multiple active primary care provider (PCP) assignments within a reporting period. Accurate enrollment data are needed to calculate member months by product and by provider.
5	If the submitting entity is not a risk holder, many elements do not apply. Should this be handled using an exception request form?	Yes. When a submission is coming from a non-risk holder (e.g., third party administrators (TPAs) claims processors, pharmacy benefits manager (PBMs) device benefit managers, etc.), several elements may not be available to report and a data exception request must be submitted to identify all unavailable elements.
6	Are denied claims required in the APCD submission?	No. Denied claims are not required for the APCD at this time.
7	Are claims that are paid under a "global payment" or "capitated payment" (thus, zero paid) reported in the Arkansas APCD?	Yes. Any medical claim that is considered "paid" by the submitting entity will appear in the appropriate claims file. "Paid amount" is reported as zero (0) and the corresponding allowed contractual and deductible amounts are calculated accordingly by the submitting entity.
8	Will claim versioning be included in the APCD processes?	Adjustments and versioning processes are not required for the initial historical submission of data files to the Arkansas APCD. The Arkansas Insurance Department (AID) and Arkansas Center for Health Improvement (ACHI) will work with submitting entities to develop APCD-specific versioning processes for deployment effective prior to July 31, 2016.
9	Are APCD data to be encrypted?	All Arkansas APCD data files are encrypted upon submission. The APCD team will provide encryption protocols to each submitting entity for file-level encryption. See the Encryption Requirements section within the Data

	Question	Answer
		Submission Guide (DSG) for more information.
10	How many fields have to fail the data quality checks for data file submission failure?	If one or more data elements that are not already approved exceptions fail the data quality check, the entire submitted file will fail.
11	Whom should I contact if I have questions about the APCD or DSG?	Questions concerning APCD data should be sent to the APCD Technical Support team. APCD Technical Support information is listed in the Overview section of this FAQ document.
12	When will DSG revisions be published?	Changes to the Arkansas APCD Data Submission Guide will be published by October of each year with required submission changes due the following January.
13	Where is the data encrypted?	All submitted data files are encrypted in motion and at rest in the APCD processes. Direct identifiers are transformed into meaningless strings of numbers and letters within the encrypted files.
14	Should the member ID and/or subscriber ID be hashed by the submitting entity prior to submission?	The member ID should be hashed or masked prior to submission to the APCD and mapped to the Carrier Specific Unique Member ID. The subscriber ID must be hashed or masked prior to submission to the APCD and mapped to the Carrier Specific Unique Subscriber ID. Hashing should be consistent across all data submissions so the hashed values representing the Member ID and Subscriber ID do not change.
15	Do medical claims, pharmacy claims, and dental claims files require an APCD unique identifier?	No. The Carrier Specific Unique Member ID will be used to link medical claims, pharmacy claims, and dental claims to enrollment or member data.
16	What is the definition of an Arkansas resident?	“Arkansas resident” means an individual for whom a submitting entity has identified an Arkansas address as the individual’s primary place of residence. For individuals covered by a student health plan, “Arkansas resident” means any student enrolled in a student plan for an Arkansas college or university regardless of his or her address of record.
17	What is a submitting entity?	“Submitting entity” is defined in Arkansas Insurance Department Rule 100 in Section 4(21).
18	What entities are not considered an APCD submitting entity?	“Submitting entity” does not include an entity that provides health insurance or a health benefit plan that is accident-only, specified disease, hospital indemnity and other fixed indemnity, long-term care, disability income, Medicare supplement, or other supplemental benefit coverage.
19	How should county be determined?	If county is not available in your data, assign based on street address and ZIP code.
20	Can I access the Data Submission Guide (DSG) Q&A presentation?	Yes. There is a DSG slide presentation available on the Arkansas APCD website at https://www.arkansasapcd.net/Other/DataSubmissionGuideWebinars/ .
21	Is the Data Submission Guide (DSG) available on the website a final version?	Yes, the Data Submission Guide is in its final form as of 11-23-2015. The DSG includes some minor changes that have been captured since September 2015. An additional document containing these changes is also available at

	Question	Answer
		the following link: https://www.arkansasapcd.net/Resources/DataSubmissionGuideResources/ .
22	Are headers and trailers to be included in the actual data files, or are those separate from the data files?	The APCD team has included an example in the APCD’s Data Submission Guide found on the Arkansas APCD website in the “Data Submission Guide Resources” section at https://www.arkansasapcd.net/Resources/DataSubmissionGuideResources/ . If further assistance is needed, contact the APCD Technical Support for additional assistance.
23	Are there any specific file formats/requirements for submitting look-up tables?	Please refer to the Arkansas APCD website’s “Data Submission Guide Resources” page for an example of look-up table formatting and requirements. The link is available here: https://www.arkansasapcd.net/Resources/DataSubmissionGuideResources/ .
24	Should submitting entities include headers with the actual data element numbers?	Yes. Submitting entities should include headers with the data element numbers.

FREQUENTLY ASKED QUESTIONS

Onboarding Related Questions and Answers

	Question	Answer
25	Where is the registration form available on the website?	On the Arkansas APCD website, two registration forms are available—one for PBMs and another for TPAs to utilize during the registration process. The APCD team created separate forms to streamline the two types of submitting entities. When entities use this particular form, the APCD Technical Support team can differentiate these submissions during the registration process. Please use the following link to access the forms: https://www.arkansasapcd.net/Other/RegistrationForms/
26	Is the submitting entity required to complete a registration form before submitting an exception form?	Yes. A Registration form should be submitted before completing an Exception form. The APCD team is asking submitting entities to complete the Registration form, and then email the form to arapcd@uams.edu .
27	If a submitting entity were both an issuer and a TPA, would the entity register twice?	Yes. The submitting entity will register for each unique NAIC Company Code. This can be accomplished using one registration form.
28	Where is the exemption form available?	The exemption form is available on the APCD homepage at https://www.arkansasapcd.net/Home/ . Please note that exemption forms should be submitted directly to the Arkansas Insurance Department, as

	Question	Answer
		noted in Bulletin No.: 17-2015. Additionally, an entity should complete a registration form prior to submitting an exemption request.
29	Where is the exception form available?	The exception form is available on the Arkansas APCD website under the Data Submission Guide Resources link: https://www.arkansasapcd.net/Resources/DataSubmissionGuideResources/ . Please note that an entity should complete a registration form prior to submitting an exemption request.
30	How is the submitting threshold determined for submitting entities? For example, some submitting entities will have NAIC Company Codes that do not meet the 2,000 covered lives threshold.	Because both the submitting entity and the covered lives threshold is determined at the Group Code level, submission is determined by the total covered lives of all individual NAIC Company Codes that fall under the Group Code. Please refer to guidance listed on the registration form for more detailed information.
31	Will the APCD be handling claims versioning?	This initial data feed is a historical feed January 1, 2013, through December 31, 2015, and it is for all intents and purposes the last version of all of the claims paid to that date. If there is a version number that complies with the DSG, the submitting entity may enter the number. Otherwise, it may be worth the entity's time to request an Exception, just to note that the version number does not exist. The APCD team is not going to perform versioning or require versioning for anything received in 2016. The team will work with entities through 2016 to identify the best versioning process available, in order to release requirements in the 120-day window for the 2017 processing.
32	How are entity codes assigned for TPAs and PBMs, which do not have an NAIC Company Code?	The APCD Technical Support team will assign a five-digit entity code in such cases.
33	According to the DSG, there is a 300 MB limit for each file that will be uploaded to the APCD web portal. What does a submitting entity do if the file size exceeds the limit?	The Data Submission Guide provides instructions for naming files in the event submitting entities must send the files in pieces. The APCD data intake process is designed to receive and move a submitting entity's data as soon as possible in an attempt to prevent data overload. In addition, encryption of all files will make each file smaller. If there are problems submitting the data in pieces, the APCD Technical Support team will work with submitting entities to submit the data.
34	Can a submitting entity bypass the APCD Web Portal and instead submit directly via sFTP server?	After the test file data submission process has concluded, the APCD team will expand its data receipt solution to bypass the web portal if necessary. However, for the test file submission process, all submitting entities are required to use the APCD Web Portal.
35	Where can I access previously answered questions from	There is a link to already answered submitting entity questions, which can be found on the Arkansas APCD website under the "Data Submission Guide

	Question	Answer
	submitting entities?	Resources” page. Please review these resolved questions for additional clarity.
36	If a submitting entity cannot meet the January 1, 2016, deadline, should the entity submit an <i>exception</i> or an <i>exemption</i> form?	If a submitting entity is unable to meet the January 1, 2016, deadline, the entity must submit an exemption form. The exemption form was delivered via a bulletin distributed by the Arkansas Insurance Department. It is also located on the Arkansas APCD homepage. Note that exception forms are to be used for data elements and/or data file types unavailable by the submitting entity for submission to the APCD.
37	When will the APCD team send usernames and temporary passwords to submitting entities?	For all registered submitting entities, the APCD team will send usernames and temporary passwords for APCD web portal access. Usernames and passwords are set-up within one to two business days.
38	What is the readiness audit and its purpose?	The readiness audit is the process in which the submitting entity prepares a sample data file, tests web portal access, and tests automated data submission.
39	Can the Arkansas APCD team share hashing instructions and/or code prior to execution of the readiness audit?	Yes. Please contact the Arkansas APCD team to request unique ID hashing instructions. If you would like to see code samples, please send your request to arapcd@uams.edu . Sample code is available for JAVA, Python, SQL and C Sharp.