
New York State Department of Health

2016 CMART

Care Management Annual Reporting Tool

User Manual

Major Changes from Last Year

- Revised two edit checks in the Data Entry Errors feature.
- Removed “Health Homes” from the Program Type field and Plan Descriptive form.

Installation

For those plans using the Care Management Annual Reporting Tool (CMART) for two or more discrete health plans, make a copy of the CMART Tool to use for each of the plans separately prior to entering any data. You should not use the same CMART Tool for entering more than one plan's data.

- 1) Create a folder on your computer's hard drive entitled “CM2016”.
- 2) Download the attachment containing the database and store it in the folder.
- 3) Unzip the file.
- 4) To open the unzipped file, double click on the file "CMART 2016.mdb".

Note that since the database was developed with Microsoft Access®, your computer should have Microsoft Access®, version 2000 or later to use this tool.

This tool contains a total of seven screens for member-level data and two screens for plan-level data. Some of the screens pertain to data entry into the tool, while other screens allow for previewing or printing data. Data entry can be accomplished by either entering data directly into the tool or by importing data from an external Excel file. Below is a description of each screen, with screen shots displayed.

Note: If you receive a pop-up message when you open the CMART that refers to 64-bit systems, you will need a different version of the CMART. Some new computers are equipped with a 64-bit version of the Microsoft application, which is not compatible with the 32-bit version. Contact Lisa Balistreri at IPRO if you need a 64-bit version of the CMART.

Screen 1: Main Menu Plan Registration Screen

Double clicking on the file "CMART 2016.mdb" will bring you to the first screen that requests your plan's name. After selecting your plan's name from the drop down box, the plan registration screen appears (see below). On the left side of this screen, enter the name and address information of the contact person for your plan's data submission. The key on the right side of the screen was added to help guide you through the sections that are explained in this user manual.

The Main Menu has three buttons for data entry and four buttons for generating reports. There is one data entry button and one report button for plan-level data (both shaded in gray). Plan-level data must be manually entered and can be completed either before or after entry of member data.

The Data Entry Errors feature will be performed after the plan enters data or imports data to identify problems with member-level data before submission of the CMART. The Frequencies feature displays all of the response options for the text fields and the three count fields, and whether a date was entered for the date fields.

Important: All users should first run the Data Entry Errors function to identify errors and after cleaning errors, users should run the Frequency Report to determine if the values match what they would expect.

Enter Plan's Registration Information:

Enter the name and address information of the contact person for your plan's data submission.

First Name:

Last Name:

Address1:

Address2:

City:

State:

Zip Code:

Email Address:

Work Phone:

General Fax:

Data Entry

- Manual Data Entry
- Import Data
- Plan Descriptive Data

Reports: Print / Preview

- Data Entry Errors
- Frequencies
- Member-Level Data
- Plan-Level Reports

Screens 2 & 3

Screen 4

Screen 8

Screen 5

Screen 6

Screen 7

Screen 9

Screen 2: Manual Data Entry - Main Form

If you click on the Manual Data Entry button from the Main Menu, a new screen appears which offers the option of entering a new record or searching for an existing record that the user has already entered in order to edit the record. Click on the corresponding box to select either option.

If you choose to search for an existing record, you must first enter the CIN in the light blue box. This box displays CIN, ProgramType, and EnrollCMDdate. If a CIN appears more than once, select the CIN with the correct program type and enrollment date. Once you click one of the two boxes on this screen, a new screen will appear where data entry or editing takes place.

The screenshot shows a web browser window titled "frmDataEntryMain - Case Management 2016". The browser's address bar and menu bar are visible, with the menu bar containing "Home", "Create", "External Data", and "Database Tools". Below the browser window, there is a header bar with "SMART 2016" on the left, "Happy Health Plan" in the center, and a "Close" button on the right. The main content area is titled "Manual Data Entry Main Menu" in blue text. Below this title, the instruction "DATA ENTRY: SELECT ONE BELOW" is displayed. There are two main options, each in a light gray box with a border. The first option is "Enter New Record" in red text, accompanied by a pencil icon. The second option is "Search for an Existing Record" in red text, accompanied by a magnifying glass icon. Under the "Search for an Existing Record" option, there is a light blue box labeled "Select CIN:" followed by a white text input field and a small dropdown arrow. To the right of the input field is a small icon of two people.

Screen 3: Data Entry / Data Editing

If you manually enter the data, the Plan ID number is always autopopulated with the value corresponding to the plan name you selected when you first entered the database. If you choose an existing record, all of the data which currently exists in the database for the member will appear.

To avoid any missing data, we recommend that you enter all of the information at once for each member. Otherwise, you will need to go back to each member at a later time to finalize entry.

The data entry form includes drop down menus with response options to select for the following items: 7, 8, 10, 11, 12, 14, 18, and 20. Simply select one of the choices. All dates corresponding to items 5, 6, 9, 13, and 19 have prepopulated slashes to separate months, days, and years, and the user will enter MMDDYYYY. This screen contains edit checks to minimize data entry errors. If an invalid entry occurs, a warning message will prompt the user to go back to correct the mistake. The CIN is a required data element in order to save data entry for the record. Upon entering certain items, note that some items that are not applicable will gray out if they should be skipped.

On the right side of the data entry form are buttons to return to the Main Menu (screen 1), return to the previous screen (screen 2), or to add a new record (which applies if you entered this screen by going to the Enter New Record button).

To account for data that the plan does not know, use the following flags:

- Missing for Text fields
- 09/09/9999 for Date fields
- 999 for Numeric fields

Appendix 1 contains the valid data entry values for each field.

frmDataEntry - Case Management 2016

Home Create External Data Database Tools

CMART 2016 Happy Health Plan

1 Plan ID#	12345	Go to Main Menu
2 Medicaid Client Identification Number	DD43434X	
3 Member Last Name	Parsons	
4 Member First Name	Jim	Go to Previous Screen
5 Member Date of Birth	12/12/1960	
6 Trigger Date	2/5/2015	Add a New Record
7 Program Type	Chronic Adult	
8 Able to Contact Flag	Yes	
9 Contact Date	2/10/2015	
10 Determined to be Appropriate for CM	Yes	
11 Refused Participation in CM Flag	Did not refuse	
12 Enrolled	Yes	
13 Enrollment in CM Date	3/1/2015	
14 Level of Intensity	Medium	
15 Mail Interventions Count	7	
16 Phone Interventions Count	6	
17 In-Person Interventions Count	4	
18 CaseClosed	Closed	
19 Closure Date	7/15/2015	
20 Reason for Closure	Met program goals	

Screen 4: Import Data Menu

If you choose to import the data rather than enter the data manually, click on the button "Import Data" from the Main Menu (screen 1). A new screen will appear denoting three steps. The first step is to click on the "Browse" button to find your Care Management Excel file. The default location for the file search is "C:\My Documents". Once you select the file, the file name will appear in the box between step 1 and step 2. The second step is to click the "Import File" button to import your Care Management file. If successful, a message will appear that notifies you that the import worked. If no message appears, contact Lisa Balistreri (see last page for contact information), after confirming that all field names match the specifications, as defined below.

The import feature will only work by importing an Excel file (version 2000 or later). This Excel file must adhere to the field names listed in Table 1 on the next page. These field names will appear as the first row in the file, and each row under the header row will comprise the data for members. Duplicate CINs are permitted under certain circumstances. If EnrolledCM='No' then

there should not be any duplicate CINs. If EnrolledCM='Yes', then duplicates are allowed if they have different enrollment dates. For members who were enrolled at least once, remove the rows where the same member was not enrolled.

Ideally, you should import a file with complete data for each member. However, if you would like to import the data for some of the fields, and then manually enter data for the remaining fields, you can do so. If you use the import feature more than once, any member-level data that had been imported previously will be deleted prior to importing. Therefore, the Excel file should include all of the members' data, not just new records.

frmImportData - Case Management 2016

Home Create External Data Database Tools

CMART 2016 Happy Health Plan Close

Import Data Menu

Step 1: Click "Browse" button to find your Case Management file.

[Browse...](#)

Step 2: Click "Import File" button to import your Case Management file.

[Import File](#) **Note: File must be an Excel file**

Step 3: Return to the Main Menu and enter all information in blue cells.

[Return to Main Menu](#)

Tips for troubleshooting failure to import data:

- The spelling of all field names should match those outlined in the Technical Specifications. There should be no spaces or punctuation in any of the field names.
- The Excel file should only contain fields outlined in the Technical Specifications. The file should not contain additional fields.
- The data to be imported should be in the first tab of the Excel file.

Important: The Excel file that is imported should only contain the fields listed below.

Appendix 1 contains the valid data entry values for each field.

To account for data that the plan does not know, use the following flags:

- Missing for Text fields
- 09/09/9999 for Date fields
- 999 for Numeric fields

Table 1. Field Names and Data Types for Excel file

Excel file Column	Field name	Data type
A	ClientID	Text
B	CIN	Text
C	LastName	Text
D	FirstName	Text
E	DOB	Date (MM/DD/YYYY)
F	TriggerDate	Date (MM/DD/YYYY)
G	ProgramType	Text
H	AbleContact	Text
I	ContactDate	Date (MM/DD/YYYY)
J	AppropriateCM	Text
K	RefusedCM	Text
L	EnrolledCM	Text
M	EnrollCMDDate	Date (MM/DD/YYYY)
N	Intensity	Text
O	CountMail	Numeric
P	CountPhone	Numeric
Q	CountPerson	Numeric
R	CaseClosed	Text
S	ClosureDate	Date (MM/DD/YYYY)
T	ReasonClosure	Text

Note: ClientID is the plan's OMC Plan ID.

Screen 5: Report Generation – Data Entry Errors

Ideally, the user should review all data prior to entering or importing data into the CMART to minimize the need to clean data after it is incorporated into the tool. Appendix 2 contains a list of 32 edit checks that are contained in the tool and that you can use to check your raw data.

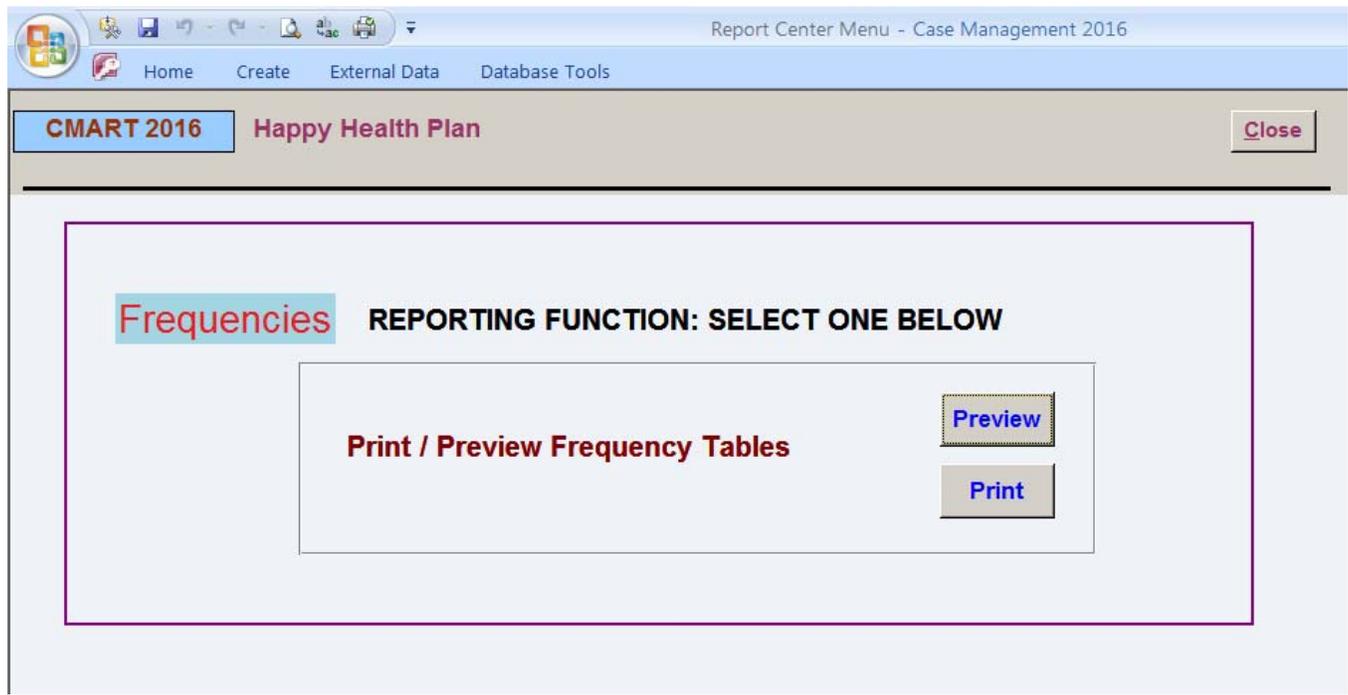
After the member-level data are entered or imported, the user can check for any erroneous data using the Data Entry Errors button on the Main Menu (screen 1). This function allows for previewing or printing reports of records that contain erroneous data. Once you click on the button a new screen appears, which provides choices to preview or print (see the top part of the screen below). The first report on the screen is a 2-page summary of the count of errors per edit check. Each count should be 0. Non-zero values are highlighted in red font. The second button “All Error Reports” will print or preview all 32 reports displaying erroneous data. Below this button, each individual report is listed, allowing the user to print specific reports based on the results displayed in the first summary report, instead of printing all 32 reports.

If you find errors, return to the data to correct the errors. If manual data entry was used, correct the records in the CMART using screens 2 and 3. If the data were imported, correct the data in the original Excel file that was imported and then import the clean data. Once all errors are corrected, the next step is to print or preview the Frequency reports to assess whether they correspond to what you would expect.

Summary of Number of Errors per Edit Check		
All Error Reports		
Duplicate CINs	Each member should appear only once in the file if EnrolledCM (#12) = No	[Preview] [Print]
	Each member should appear only once unless have different EnrollCMDate (#13)	[Preview] [Print]
	Members with at least one CM segment should not have any trigger-only events (#12)	[Preview] [Print]
Missing Data	Required fields Items 1 and 2: ClientID, CIN	[Preview] [Print]
Inconsistent Response Patterns	If AbleContact (#8) = Yes, ContactDate (#9) should be entered If AbleContact (#8) = No or Not Appropriate for CM, ContactDate (#9) should be blank	[Preview] [Print]
	If EnrolledCM (#12) = No, all remaining items should be blank	[Preview] [Print]
	If EnrolledCM (#12) = Yes, EnrollCMDate (#13) should be entered If EnrolledCM (#12) = No, EnrollCMDate (#13) should be blank	[Preview] [Print]
	If CaseClosed (#18) = Closed, ClosureDate (#19) should be entered If CaseClosed (#18) = Open, ClosureDate (#19) should be blank	[Preview] [Print]
	If ReasonClosure (#20) = any response, ClosureDate (#19) must be entered	[Preview] [Print]
Inconsistent Responses	AbleContact (#8) and AppropriateCM (#10) Inconsistent	[Preview] [Print]
	AbleContact (#8) and RefusedCM (#11) Inconsistent	[Preview] [Print]
	AbleContact (#8) and EnrolledCM (#12) Inconsistent	[Preview] [Print]
	AppropriateCM (#10) and EnrolledCM (#12) Inconsistent	[Preview] [Print]
	RefusedCM (#11) and EnrolledCM (#12) Inconsistent	[Preview] [Print]

Screen 6: Report Generation – Frequencies

The Frequencies button on the Main Menu allows for previewing or printing a report that displays the frequencies of each of the member-level data fields that were entered or imported. Once you click on the button, a new screen appears (see below), which provides choices to preview or print. All of the fields are included in this report, with the exception of CIN, last name, and first name. For date fields, “Date entered” appears instead of the actual dates to minimize the length of this report. Each frequency distribution is programmed to display all valid response options first, followed by “Missing” data, followed by responses that are not valid. Note that an asterisk appears for any response that is not considered a valid data entry.



Screen 7: Report Generation – Member-Level Data

The Member-Level Data button on the Main Menu allows for previewing or printing reports that contain the data entries for records that have been entered. Once you click on the button a new screen appears (see below), which provides four choices: Print all records, Preview all records, Print one record, or Preview one record. To print or preview one record, you must first select the appropriate CIN, ProgramType, and EnrollCmDate in the light blue box.

The screenshot shows a web application window titled "Report Center Menu - Case Management 2016". The browser's address bar shows "Home Create External Data Database Tools". The application header includes "CMART 2016" and "Happy Health Plan" with a "Close" button. The main content area is titled "Member Data" and "REPORTING FUNCTION: SELECT ONE BELOW". It contains two sections: "Print / Preview All Records" with "Preview" and "Print" buttons, and "Print / Preview One Record" with a "Preview" and "Print" button. Below the second section is a "Select CIN:" label and a light blue dropdown menu.

Screen 8: Plan Descriptive Data Entry

The Plan Descriptive Data button on the Main Menu opens the screen for data entry of plan-level data elements. All plan-level data must be manually entered into the tool (below is the top portion of the screen). This screen contains check boxes, numeric boxes, drop down boxes, and open-ended text boxes. Note that all open-ended text boxes are limited to a maximum of 250 characters.

frmPlanData - Case Management 2016

Home Create External Data Database Tools

CMART 2016 Happy Health Plan Close

Plan-Level Data Entry

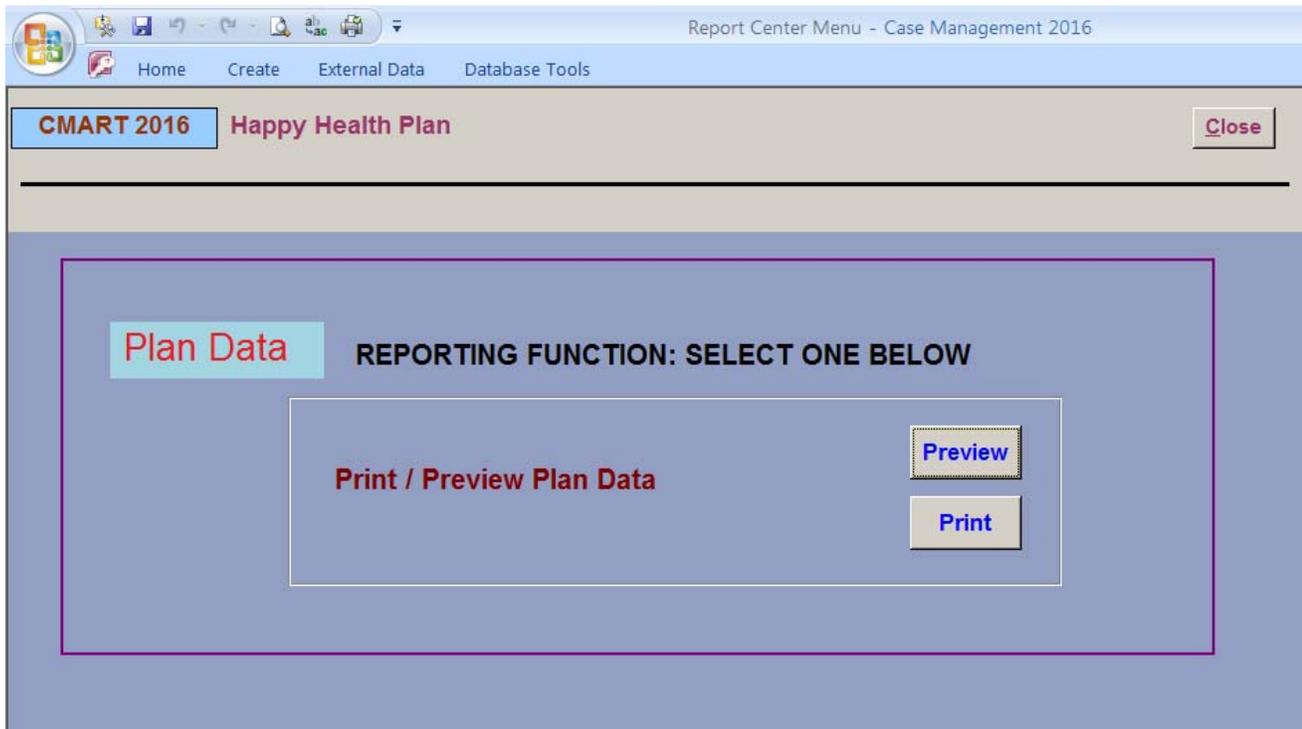
1. Care Management Programs and Populations

Check each Program Describe each Program

<input type="checkbox"/> Behavioral Health	
<input type="checkbox"/> High Risk OB	
<input type="checkbox"/> Catastrophic	
<input type="checkbox"/> Chronic Adult	
<input type="checkbox"/> HIV/AIDS	
<input type="checkbox"/> Oncology	
<input type="checkbox"/> Pediatrics	
<input type="checkbox"/> Provider-based	
<input type="checkbox"/> Utilization-based	

Screen 9: Report Generation – Plan-Level Reports

The Plan-Level Reports button on the Main Menu allows for previewing or printing reports that contain the plan-level data entries. Once you click on the button a new screen appears (see below).



Data Submission

Follow these steps for submitting the CMART to IPRO:

Step 1. Prior to submission:

- (a) Enter the data into the CMART (either manually or using the import feature),
- (b) Enter the plan registration information on the Main Menu,
- (c) Ensure that the data are clean after reviewing the Data Entry Errors and Frequency Reports,
- (d) Rename your file with your plan name inserted before the CMART 2016.mdb (i.e., Plan Name CMART 2016.mdb).
- (e) Zip the CMART.

Step 2. Submission -- Send the database (zipped up version) to IPRO per the instructions below and as described in the Technical Specifications document. **Note:** a secure file transfer must be used because the file contains member level information.

- (a) The CMART data submission tool must be submitted to IPRO via the secure file transfer system on the Health Commerce System (HCS). This requires a user ID and password; each plan has access to the HCS and has an HCS Coordinator.
- (b) After you login to the HCS, select 'Applications', then select letter 'S' under browse. From the list select 'Secure File Transfer Application'. Click on 'Send someone else a file'. Click the 'Get User ID' box and type in 'Elizabeth Balistreri' and select the ID. You will then upload your file (Plan Name CMART 2016.zip). Once the file is attached, select the 'Upload' box and the file will be sent. The sender will receive an email that the file has been sent to the receiver.
- (c) Submitting the file via the secure HCS is required. Files sent via email (whether encrypted or not) will not be accepted.

Who to Call for Help

For questions about the specifications and general reporting guidelines, contact Anne Schettine or Amy Palmer of the Quality Measurement Unit at:

- Email: nysqarr@health.state.ny.us
- Phone: (518) 486-9012; CMART team

For questions about the data submission tool, contact Lisa Balistreri of IPRO at:

- Email: ebalistreri@ipro.org
- Phone: (516) 209-5357

Appendix 1: SMART Valid Data Entry Values

Field name	Valid Entries		Missing Response
ClientID	7-digit Plan OMC ID	Required	
CIN	Medicaid CIN number	Required	
LastName			
FirstName			
DOB	Year <= 2015, < Trigger Date		09/09/9999
TriggerDate	Year in 2015 or prior		09/09/9999
ProgramType	<ul style="list-style-type: none"> • Behavioral Health • High Risk OB • Catastrophic • Chronic Adult • HIV/AIDS • Oncology • Pediatrics • Provider-based • Utilization-based 		Missing
AbleContact	Yes, No, Not Appropriate for CM		
ContactDate	3/31/2016 or prior, >=TriggerDate	Blank = Not Contacted	09/09/9999
AppropriateCM	Yes, No, Not Able to Contact		
RefusedCM	Refused, Did not refuse, Not offered CM		
EnrolledCM	Yes, No		
EnrollCMDate	3/31/2016 or prior, >=TriggerDate	Blank = Not Enrolled	09/09/9999
Intensity	High, Medium, Low	Blank = Not Enrolled	Missing
CountMail	Numeric	Blank = Not Enrolled	999
CountPhone	Numeric	Blank = Not Enrolled	999
CountPerson	Numeric	Blank = Not Enrolled	999
CaseClosed	Closed, Open	Blank = Not Enrolled	
ClosureDate	Year in 2015, >EnrollCMDate	Blank = Not Enrolled or Not Closed	09/09/9999
ReasonClosure	<ul style="list-style-type: none"> • Met program goals • Disenrolled from plan • Refused to continue • Lost to follow up • Transitioned to non-plan CM • Not closed 	Blank = Not Enrolled	Missing

Appendix 2: List of Edit Checks

Duplicate CINS	Each member should appear only once in the file if EnrolledCM = No
	Each member should appear only once unless have different EnrollCMDate
	Members with at least one CM segment should not have any trigger-only events
Missing Data	Required fields are ClientID and CIN
Inconsistent Response Patterns	If AbleContact = Yes, ContactDate should be entered If AbleContact = No or Not Appropriate for CM, ContactDate should be blank
	If EnrolledCM = No, all remaining items should be blank
	If EnrolledCM = Yes, EnrollCMDate should be entered If EnrolledCM = No, EnrollCMDate should be blank
	If CaseClosed = Closed, ClosureDate should be entered If CaseClosed = Open, ClosureDate should be blank
	If ReasonClosure = any response, ClosureDate must be entered
Inconsistent Responses	AbleContact and AppropriateCM Inconsistent
	AbleContact and RefusedCM Inconsistent
	AbleContact and EnrolledCM Inconsistent
	AppropriateCM and EnrolledCM Inconsistent
	RefusedCM and EnrolledCM Inconsistent
Format	CIN numbers should have a valid format (AA#####A)
Date Comparison	DOB must be less than TriggerDate
	TriggerDate must be less than or equal to ContactDate
	TriggerDate must be less than or equal to EnrollCMDate
	EnrollCMDate must be less than or equal to ClosureDate
Date Limits	TriggerDate should be in 2015 or prior
	TriggerDate should be in 2015 if Not Enrolled
	ContactDate should be 3/31/2016 or prior
	EnrollCMDate should be 3/31/2016 or prior
	ClosureDate should be in 2015
Response options should match response options of the project	ProgramType
	AbleContact
	AppropriateCM
	RefusedCM
	EnrolledCM
	Intensity
	CaseClosed
ReasonClosure	