NEW YORK STATE OF OPPORTUNITY. Department of Health

Challenges for SPARCS Data

Presented by:
John Piddock, Director,
SPARCS Operations
Bureau of Health Informatics
Division of Information and Statistics

June 7, 2016

Agenda

1. Introduction to SPARCS
2. ICD 10s
3. Private Referred Ancillaries
4. Quality
5. NYS Health Profiles and Health Data NY

Introduction to SPARCS

What is SPARCS?

- Statewide Planning and Research Cooperative System (SPARCS)
  - Cooperation between the health care industry and government
- Been in existence over 35 years: established through statute in 1979
- Calendar Year Based Discharge/Visit Dataset
- All payer claim level detail on patient characteristics, diagnoses and treatments, services, and charges for hospital discharges, ambulatory surgery, emergency department, and hospital based outpatient service visits (or EODC) in New York State
- Public web link: http://www.health.ny.gov/statistics/sparcs/
  - SPARCS Operations Manual
  - Data Governance Policy and Procedures

Who Submits to SPARCS?

- Facilities licensed under Article 28 of the Public Health Law

- Freestanding ambulatory surgery centers (D&TC's)

Inpatient Services

- Article 28

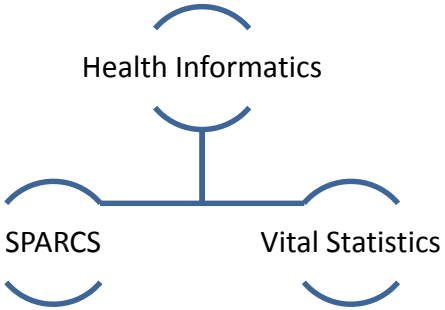
Outpatient Visits

- Emergency Department
- Ambulatory Surgery
  - Free-Standing Diagnostic & Treatment Center (D&TC)
  - Hospital Based
- Hospital Based Outpatient
  - EODC = Expanded Outpatient Data Collection

Where is SPARCS Located?

Bureau of Health Informatics

New Address:
Bureau of Health Informatics
Office of Quality and Patient Safety
NYS Department of Health
Corning Tower, Room 1970
Albany, New York 12237
Phone: 518-473-8144
Fax: 518-486-3518
E-mail: SPARCS.submissions@health.ny.gov (General Inquiries)
SPARCS.requests@health.state.ny.gov (Data Access)
BIO-INFO@health.ny.gov (Vital Statistics)



The Bureau of Health Informatics supports the Office of Quality and Patient Safety objectives of improving data timeliness, accuracy, integrity and accessibility, inclusive of both the Statewide Planning and Research Cooperative System (SPARCS) and Vital Statistics (VS).

NEW YORK STATE OF OPPORTUNITY. Department of Health

How is SPARCS Data Submitted?

- Health care facilities submit their SPARCS data in an electronic, computer-readable format through NYSDOH's secure electronic network: the **Health Commerce System** (HCS)

- All SPARCS data must be supported by documentation in the patient's medical and billing records

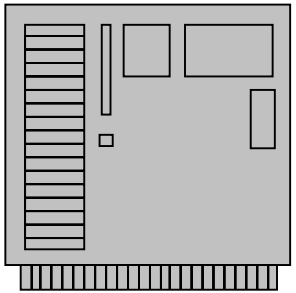
SPARCS Submission Process

Article 28
Health
Facilities

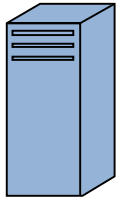
electronic

Department of Health
Health Commerce System (HCS)
To
MVS Mainframe System

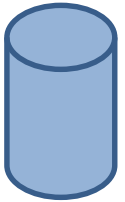
- Edits applied
- Output Files
  - Identifiable
  - Non-Identifying
  - Encryption



Encrypted
File Distribution
Server



Other Internal
Units



Data Mart

NEW YORK STATE OF OPPORTUNITY. Department of Health

Many Uses of SPARCS Data

- Financial, Rate Setting (e.g., APR-DRG SIWs)
- Developing and Evaluating Policy
- Epidemiology
- Health Planning/Resource Allocation
- Quality of Care Assessment
- Research
- Surveillance
- Utilization Review
- Geo-coding
- Linkages with other data sets, registries, etc.
- AHRQ Healthcare Cost and Utilization Project (HCUP)
- AHRQ Quality, Efficiency and Patient Safety Measures (i.e. IQI, PQI/PDIs, PSIs)
- 3M Efficiency Measures (i.e. PPVs, PPRs, PPCs)

ICD 10s

ICD 10's

On October 1, 2015, SPARCS transitioned to the ICD 10 coding system, following the lead of CMS.

- All records with a discharge date prior to October 1, 2015, use ICD 9
- All records with a discharge date on or after October 1, 2015, use ICD 10

SPARCS edit matrix was distributed on the HCS in April 2015

- Was independently reviewed by 3 coders prior to release.

ICD 10s

SPARCS notified facilities numerous times via various methods requesting them to submit test data.

Limited testing was done.

- Fewer than 25 facilities tested prior to October 1, 2015.

Result is that submission volumes are below anticipated levels.

- For the last two months (October and November) that fall under the 60 day compliance measure, discharges are currently underreported 452,000 and 376,000 respectively.

ICD 10s

SPARCS edit matrix was developed using

- ICD 9 to ICD 10 conversion maps
- ICD10 to ICD 9 conversion maps
- CMS edit specifications
  - https://www.cms.gov/Medicare/Coding/ICD10/ICD-10-MS-DRG-Conversion-Project.html
  - V32 Definitions Manual Medicare Code Edits

ICD 10s

In November 2015, various coders communicated to SPARCS Operations that a portion of the ‘Injury’ codes should not require Cause of Injury (CoI) codes, as they already contained them in their description.

An independent volunteer coder went through the codes to identify potential codes to change Cause of Injury requirement to exempt.

ICD 10s

Following the review by the independent coder, staff went through the codes identifying if similar codes were missed

SPARCS edit matrix was revised in December 2015

- Net result was 500+ codes reclassified as exempt from reporting Cause of Injury

ICD 10s

The matrix was revised again in March 2016, to allow for:

- Z381 (Single liveborn infant, born outside hospital),
- Z384 (Twin liveborn infant, born outside hospital), and
- Z387 (Other multiple liveborn infant, born outside hospital)

to be reported as a Principal Diagnosis.

Private Referred Ancillaries

Private Referred Ancillaries/Singletons

- Definition of a Private Referred Ancillary (“Singleton”) is:
  - Where an Expanded Outpatient Data (EODC) record contains only a single event; usually noted by one (1) revenue code.

- The September 3, 2015 Announcement Letter stated that starting on January 1, 2016, stand-alone radiology and laboratory Singletons are required to be reported to SPARCS.

Private Referred Ancillaries/Singletons

This letter, supported by revised FAQs, overrides the February 16, 2011 directive requesting that facilities not report “lab-only” and “x-ray only” records.

Private Referred Ancillaries/Singletons

It further states, in conjunction with revised FAQ EODC-011 that:
Q: What records do not need to be sent?
A: All outpatient records should be sent at this time.

And FAQ EODC-012:
Q: How do you suggest removing lab-only or x-ray only visits?
A: We are no longer suggesting removing lab-only or x-ray only visits from SPARCS Outpatient data reporting.

Private Referred Ancillaries/Singletons

The following CPT/HCPCS codes are suggested for Laboratory/ Radiology inclusion criteria.

36415;

70000 – 76999; 77051 – 77084; 78000 – 78999; 80000 – 89999; 99000 – 99002; G0027; G0101 – G0107; G0117 – G0124; G0130 – G0148; G0202 – G0235; G0252; G0306 – G0307; G0328; G0330 – G0331; G0430 – G0431; G0434; G0450; G0452; G0455;

P2028 – P7001; P9603 – P9615;

Q0091 – Q0115;

R0070 – R0076;

S0820; S2120; S3600 – S3900; S3905; S8001 – S8093; S9024.

Private Referred Ancillaries/Singletons

The following revenue codes are being suggested to identify single event laboratory and radiology services. Within the following coding list, the "X" denotes a wildcard:
030X – 0341; 0343; 0349;
035X;
040X; and
061X.

Data Quality

Data Quality

SPARCS, has been and continues to be committed to reliable data.

Consequently, questions about data quality are looked upon as positive steps to improve the data.

The more the data are used and scrutinized, the better it becomes.

Data Quality

As such, the new regulations from 2014 contain provisions for compliance based on data quality.

Provisions of the new regulations include:

- The SPARCS program may:
  - conduct an audit evaluating the quality of submitted SPARCS data
  - issue an audit report to a health care facility listing any inadequacies or inconsistencies in the data

- Any health care facility so audited must submit corrected data to the SPARCS program within 90 days of the receipt of the audit report.

Data Quality

SPARCS Operations staff are developing a Quality Compliance Protocol.

This protocol will describe the process by which:

- SPARCS Operations staff monitor the quality of data from the facilities,
- How the facilities will be notified of issues and
- What measures can be enacted if those issues are not resolved.

Data Quality

In general terms, SPARCS Operations will

- Evaluate the quality of submitted SPARCS data
- Issue reports listing any inadequacies or inconsistencies in the data.
- Any health care facility that receives a data quality report finding will be required to submit corrected data to the SPARCS program within 90 days of the receipt of the report.

Data Quality

- SPARCS will be reaching out to facilities to get their feedback on what should be included in the quality compliance protocol.

- SPARCS Operations staff work with facility contacts to help them determine the root cause of data quality issues and corrective actions undertaken.

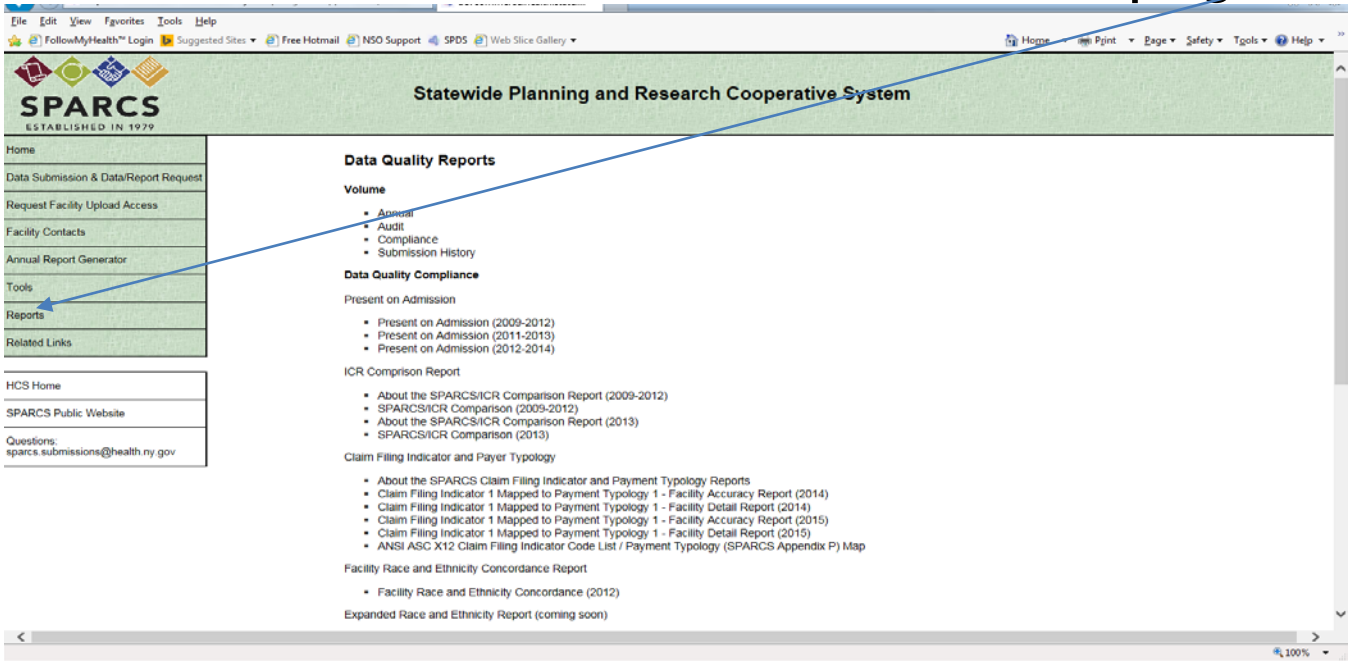
Data Quality

The first areas/data elements that SPARCS is reporting on are:

- Present On Admission (POA)
- SPARCS/Institutional Cost Reports (ICR) Comparison
- Source of Payment/Payment Typology
- Race/Ethnicity
- Diagnosis and Procedure Reporting
- Patient Disposition
- Source of Admission
- Patient County/Homeless
- Duplicative Records

Data Quality

These reports will be available on the HCS, under Reports on the SPARCS site. Below is a draft of the page.



NEW YORK STATE OF OPPORTUNITY. Department of Health

Compliance Based on Quality

Enforcement:

For cases where inadequacies or inconsistencies are found in the data, reports listing those cases will be issued to the facilities in question.

- Similar to the compliance reports currently issued for submissions.

For facilities that receive a data quality report finding, they must either:

- Report to the SPARCS program that the data in question truly reflects those discharges and patients, with documentation supporting that assertion, or
- Submit corrected data to the SPARCS program within 90 days of the receipt of the report.

Compliance Based on Quality

Enforcement (con't):

SPARCS staff will work with facility contacts to help them determine the root cause of data quality issues and corrective actions needed to be undertaken.

Failure to comply may result in Statements of Deficiency issued, with possible fees and other actions levied.

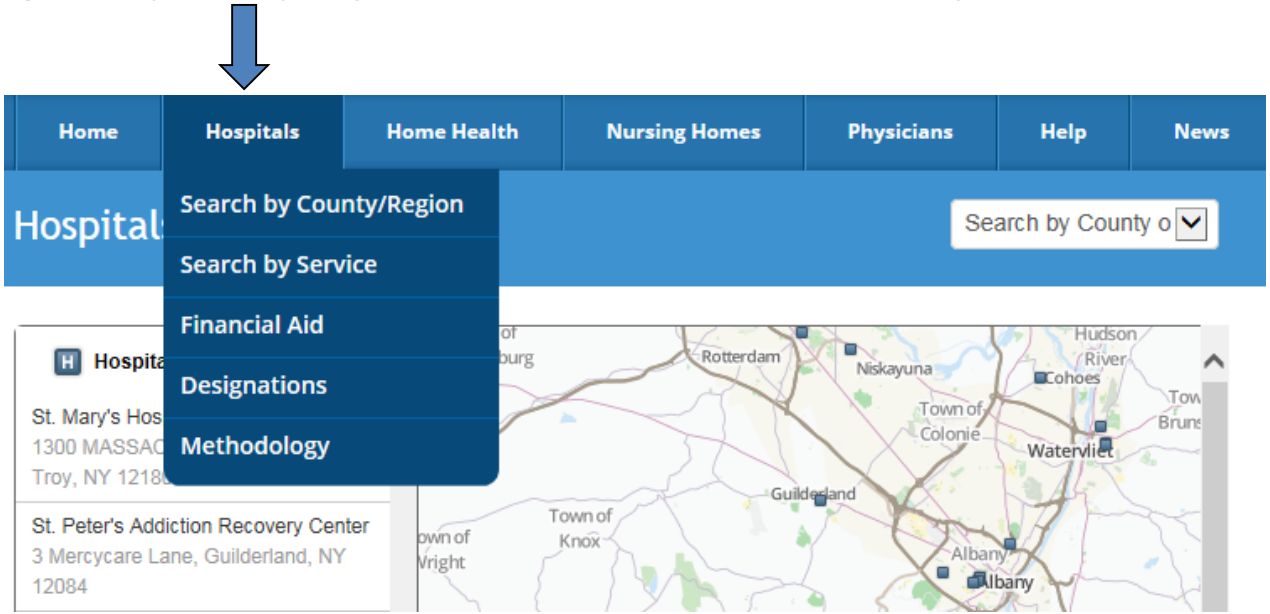
NYS Health Profiles and Health Data NY

NYS Health Profiles

- Hospitals profile was officially launched on 9/16/14: http://profiles.health.ny.gov
- Highly-frequented area of the DOH website
- Key redesign improvements:
  - Central access to the four profiles
  - Utilizes modern web technologies
  - Improved presentation and consumer usability
  - Enhanced ability to quickly view, bookmark, search, and compare hospitals on selected measures

Hospital Profiles: Hospital Search

Search for hospitals by county/region, service, financial aid, or designations:

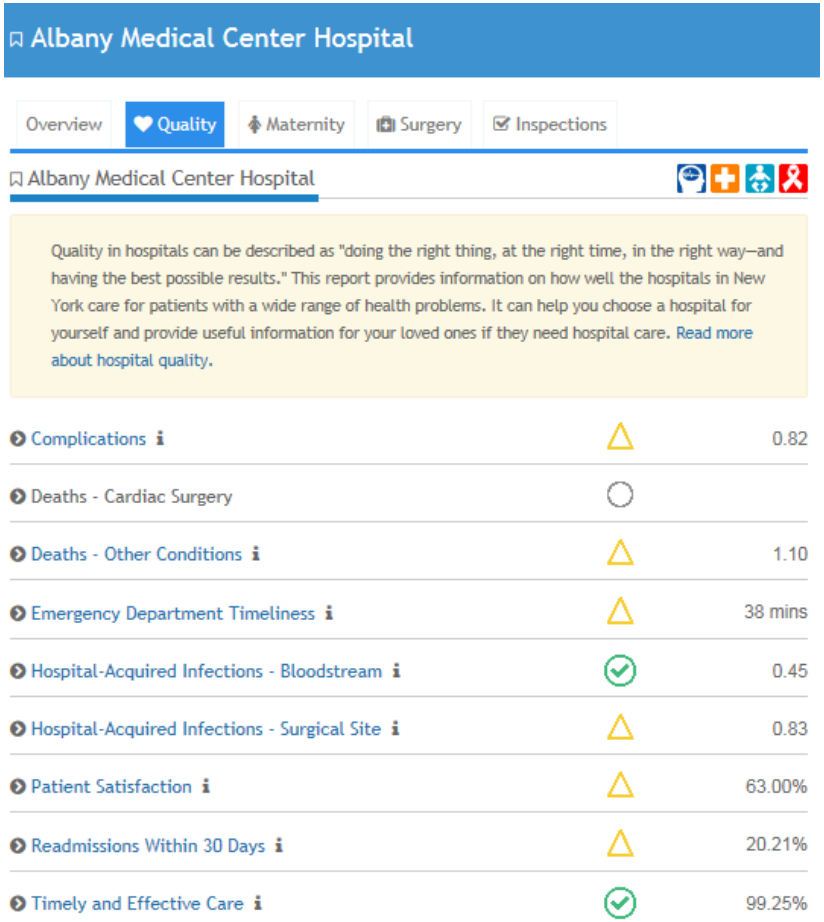


NEW YORK STATE OF OPPORTUNITY. Department of Health

Hospital Quality

- Nine quality measure groups are presented
- New measures will be added over time
- Methodology page provides detailed explanations
- Source data files are being added to the Health Data NY open data portal:

https://health.data.ny.gov



NEW YORK STATE OF OPPORTUNITY. Department of Health

Hospital Profiles

Hospital Profiles (con't)

Users of the site are encouraged to use this information to begin conversations with their doctor, hospital representatives, or other healthcare professionals about their condition(s) and available treatment options; as well as with family members, friends, and associates.

The site also provides information on such topics as "Choosing a Hospital" and Financial Aid".

Health Data NY

Health Data NY

Launch of https://health.data.ny.gov/ occurred 3 years ago.

Currently, SPARCS data for Inpatient Discharges, years 2009 to 2014, is available.

The site has both aggregated files and de-identified at the discharge level

Health Data NY

Additional data files on Health Data NY include:

- Opiate visits seen in the ER and Inpatient admissions, for years 2010-2014

- For discharge level records, total charge and total cost
  - Total cost calculated using the Cost-to-Charge ratios

- Median and Mean costs and charges by
  - APR-DRG and Severity of Illness

Health Data NY

Additional data files on Health Data NY include:

- Quality Measure data files
  - Prevention Quality Indicators (PQI/PDIs)
  - Inpatient Quality Indicators (IQIs)
  - Patient Safety Indicators (PSIs)
  - Potentially Preventable Complications (PPCs)
  - Potentially Preventable Readmissions (PPRs)
  - Potentially Preventable Visits (PPVs)

Contact Information

E-mail:
SPARCS.submissions@health.ny.gov
SPARCS.requests@health.ny.gov

Listserv:
e-mail: sparcs@health.state.ny.us
subscribe: **sparcs-l** first_name last_name.

Phone:
(518) 474-3189
(518) 473-8144

Fax:
(518) 486-3518

Mailing Address:
SPARCS Operations
Bureau of Health Informatics
Office of Quality and Patient Safety
NYS Department of Health
Corning Tower, Room 1970
Albany, New York 12237

NEW YORK STATE OF OPPORTUNITY. Department of Health