

HEDIS[®] 2016 Patient-Level Data File Submission Instructions (2015 Measurement Year)

Version 2.1

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1 GENERAL INFORMATION

1.1 INTRODUCTION

The Centers for Medicare & Medicaid Services (CMS) requires Medicare Managed Care Organizations to report HEDIS® 2016 data for measurement year 2015 and to provide the patient-level data used to calculate the summary data for each submission. Patient-Level Data files should be submitted between May 13, 2016 and June 15, 2016 in order to meet CMS requirements.

This document provides instructions for reporting the two patient-level data files that are required to be submitted. The format and validation rules for the fixed width text files, used to submit the patient-level results, are given in the following two documents:

1. 2016 HEDIS Patient Level Data File Specifications – File 1 of 2 Files
2. 2016 HEDIS Patient Level Data File Specifications – File 2 of 2 Files

Patient-level data files must be submitted by you or your third-party vendor following the instructions in the section titled “Submitting Patient-Level Data Files.”

1.2 WHY CMS COLLECTS PATIENT-LEVEL DATA

Patient-level data, with patient-level identifiers for the numerator and denominator of each measure, allows CMS to match HEDIS® data to other patient-level data for special projects of national interest and research, such as assessing whether certain groups (e.g., ethnic, racial, gender, geographic) receive fewer or more services than others. These analyses will not be used for public plan-to-plan comparisons.

1.3 UPDATES TO HEDIS 2016 TECHNICAL SPECIFICATIONS

Review the *HEDIS 2016 Technical Specifications (Volume 2)* closely when performing measure calculations. Updates to the HEDIS 2016 specifications can be purchased from the NCQA store at URL:
<http://store.ncqa.org/index.php/performance-measurement.html>.

1.4 PCR MEASURE FILE

For the HEDIS 2016 Data Collection Period, the Plan All-Cause Readmissions (PCR) measure will be collected as a separate file and should be submitted in the same manner as File 1. File naming conventions and a file detail record for the PCR measure file will be made available in a separate file specification document known as, 2016 HEDIS Patient-Level File Specification - File 2 of 2 files, (2015 Measurement Year).

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1.5 PATIENT-LEVEL DATA SUBMISSION PROCESS OVERVIEW

Plans need to create patient-level data files conforming to the specifications in this document and upload files to CMS via CMS's Enterprise File Transfer (EFT) infrastructure using an existing Gentran, MFT Internet or Connect:Direct account. Alternately, plans may use a third-party vendor (e.g., Infocrossing) for data file submissions. In either case, Gentran, MFT Internet or Connect:Direct is the approved method for patient-level data file submissions.

It is imperative that each organization confirm their ability to use the CMS EFT infrastructure **prior** to attempting an upload.

All files submitted are subjected to a two tiered validation process. Tier 1 consists of validating the PLD file naming convention. Tier 2 consists of a character-level validation of the contents of the PLD file.

Tier 1:

The CMS EFT validation system will verify that the file is named in accordance with the Gentran, MFT Internet or Connect:Direct file naming conventions. Files that fail this initial check will not get processed at CMS nor sent to Team Edaptive for data file validation processing. In those instances, the CMS EFT validation system will notify you via a *failure* e-mail confirming that your file was **NOT** processed. If an e-mail of this nature is received, you will need to correct any naming convention errors and resubmit the file.

All files that pass the tier 1 verification confirming the correct naming convention will receive a *success* e-mail.

Tier 2:

Files that conform to the file naming convention will be further checked to ensure that they are in the correct format and file layout. Processes are run to ensure that the files conform to the validation rules described in this document.

When a patient-level file **passes** the tier 2 validation requirements, two things happen:

1. The portal will be automatically updated with a "pass" status. See section titled "**Accessing the HEDIS Patient-Level Web Portal**" for more information on the portal.
2. The portal system will automatically send the following pass e-mail to the **Patient-Level Data File Point-of-Contact (PLD POC)** and/or their designee.

From: ma_patient_data@edaptivesys.com

[mailto:ma_patient_data@edaptivesys.com]

Sent: Wednesday, June 15, 2016 4:13 PM

To: MA Plan Member POC

Subject: HEDIS Submission P.HEDIS.Hxxxx.D543219.T2365487 Successful

*Dear MA Plan Member Point of Contact,
Congratulations! Your 2016 HEDIS Patient-Level Data (PLD) submission on Wednesday, June 15, 2016 for file P.HEDIS.Hxxxx.D150615.T1557215 was successfully processed by Team Edaptive, without error. No further action is needed on your part regarding the aforementioned file.*

Respectfully,

HEDIS SUPPORT DESK

Team Edaptive

(p) 1-877-996-1333

(f) 1-240-296-3961

ma_patient_data@edaptivesys.com

NOTE: To confirm your file has successfully reached Team Edaptive for processing, the above referenced successful e-mail communication must be received from the ma_patient_data@edaptivesys.com e-mail address. Notification of successful submissions received from other e-mail addresses are not indicative of successful file submissions to Team Edaptive.

When a patient-level file **fails** the tier 2 validation requirements, three things happen:

1. The HEDIS Patient-Level Web Portal will be automatically updated with a “fail” status. See section titled “**Accessing the HEDIS Patient-Level Web Portal**” for more information on the portal.
2. The portal system will automatically send the following error e-mail to the plan’s **PLD POC** and/or their designee.

*From: ma_patient_data@edaptivesys.com
Sent: Thursday, June 9, 2016 11:07 AM
To: MA_patient_data
Subject: HEDIS Submission P.HEDIS.Hxxxx.D456789.T7654321 Error*

Dear (MA Plan Member Point of Contact),

On Saturday, June 18, 2016, Team Edaptive processed file P.HEDIS.Hxxxx.D456789.T7654321 for your 2016 HEDIS Patient-Level Data (PLD) submission and discovered one or more errors. Attached is a detailed error report describing the discrepancies. Please correct these errors and resubmit your data file. If you have any questions, feel free to contact us via e-mail or phone.

*Respectfully,
HEDIS SUPPORT DESK
Team Edaptive
(p) 1-877-996-1333
(f) 1-240-296-3961
ma_patient_data@edaptivesys.com*

3. The portal system will automatically send an error report to the PLD POC or the designee.

The error report provides detailed information so that you can quickly and easily identify the specific areas in the file that failed validation processing. All errors must be resolved for Team Edaptive to successfully process the file; therefore, the file may be resubmitted as often as necessary until all errors have been resolved. For instructions on how to read error reports accurately, see section titled “**The Error Report Log.**”

1.6 ACCESSING THE HEDIS PATIENT-LEVEL WEB PORTAL

All plan participants have access to the HEDIS Patient-Level Web Portal home page; however, only authorized users are able to log in using this link <https://mapld.edaptivesys.com/>. The Web portal is intended for MA Plan and

CMS personnel. It is not necessarily intended for use by MA Plan Third-Party Vendors or HEDIS Auditors, although the information available on the home page is accessible to them. From the home page, all plan participants can:

- Download project documentation
- View frequently asked questions (FAQs)
- Request a forgotten password
- Log in to the Web portal

Login accounts are created by Team Edaptive and provided to each organization's HEDIS PLD POC. For our purposes, the HEDIS PLD POC is the primary person responsible for the submission of an organization's patient-level data files to CMS. Historically, this person has been the organization's Quality Contact, as identified in the CMS HPMS system. This information will be furnished to Team Edaptive by CMS, and Team Edaptive will use this identifier to send initial instructions. This contact can be updated at a later date.

1. An e-mail will be sent containing the following instructions for logging on to the Team Edaptive server along with the Project Documents.
2. Navigate to the Team Edaptive system's first time user page at <https://mapld.edaptivesys.com/firsttime/>. The web page will prompt you for your e-mail address.
3. When you have entered your e-mail address and pressed the "Generate Password" button, the system will create a temporary password that will be sent to you at your e-mail address.
4. Navigate to the Team Edaptive system at <https://mapld.edaptivesys.com> and push the "Sign In" button. Use your e-mail address as your User ID and the temporary password to complete the log on process. Once you have logged on, you will be required to change your password. If you forget your password at any time, you may request it from the Data Technical Support Desk at:

E-mail: <https://mapld.edaptivesys.com>

Phone: 877-996-1333

Hours of Operation:

April 8 – May 4: M-F 9:00 a.m. to 5:00 p.m. EDT

May 13 – June 15: M-F 8:00 a.m. to 6:30 p.m. EDT

1.7 PATIENT-LEVEL WEB PORTAL USER MANAGEMENT

Plans will use the web portal to manage their users and contact information. POC's can add alternate points of contact and designate levels of access. This allows the HEDIS PLD POC to distribute that information to other individuals of their choosing. The HEDIS PLD POC can:

- Grant portal access to specific individuals; i.e., create and manage login accounts.
- Assign individuals to specific CMS contract numbers for viewing ‘pass/fail’ status and receiving “pass/fail” e-mails or error log information for those contracts.
- Assign/un-assign a backup HEDIS PLD POC, which allows that individual to act as the primary HEDIS PLD POC.

Detailed instructions for the above functionality will be available on the portal in April, 2016.

CMS and Team Edaptive strongly recommend that the HEDIS PLD POC set up at least one additional user with access to the portal. If the person assigned as the HEDIS PLD POC changes during the submission cycle it is the MA organization’s responsibility to contact Team Edaptive immediately. Contact information is provided in section 1.10.

1.8 CHECKING THE STATUS OF SUBMITTED PATIENT-LEVEL DATA FILES

To obtain the status of Patient-Level Data Files processed by Team Edaptive, check the “pass/fail” status on the HEDIS Patient-Level Web Portal at **URL** <https://mapld.edaptivesys.com>. You must have a valid user ID and password to access the site. When logged in, the status of your data files will be displayed automatically by the system.

After a file is submitted to CMS, note that it may take up to two business days for Team Edaptive to receive the data file from CMS, process the file, and post the “pass/fail” results to the portal. Therefore, DO NOT contact the help desk during that two-day period regarding data file status. You may, however, check the status of your file at any time by logging into the web portal. If the file is marked not received, this does not mean that the submission failed, it simply indicates the file has not yet been processed.

1.9 ACCESSING PROJECT DOCUMENTATION

Copies of the “*2016 Patient-Level Data File Specifications*” and this document can be obtained:

1. By accessing the **HEDIS Patient-Level Web Portal** at <https://mapld.edaptivesys.com>. Links to project documentation are available from the home page; therefore, you are not required to login to access documentation.
2. On the CMS.gov website at the bottom of this page: <https://www.cms.gov/Research-Statistics-Data-and-Systems/Statistics-Trends-and-Reports/MCRAdvPartDENrolData/index.html>.

1.10 GETTING HELP

If you are experiencing difficulties accessing the CMS Health Plan Management System (HPMS), submit requests and questions to the following e-mail address: hpms_access@cms.hhs.gov.

To sign up for Gentran, MFT Internet or Connect:Direct, or if you are experiencing difficulties accessing these systems, contact the MMA Help Desk at:

Phone: 1-800-927-8069

E-mail: mmahelp@cms.hhs.gov

IACS Application: <https://applications.cms.hhs.gov>

Hours of Operation: M-F 6:00 a.m. to 9:00 p.m. EDT

If you are experiencing difficulties accessing the HEDIS Patient-Level Web Portal, need assistance *troubleshooting* problems with your data file, or have other problems of a technical nature, contact the Patient-Level Technical Support Desk/Help Desk at:

Phone: 1-877-996-1333

E-mail: ma_patient_data@edaptivesys.com

Hours of Operation: M-F 8:00 a.m. to 6:30 p.m. EDT

1.11 SUBMITTING PATIENT-LEVEL DATA FILES

MA plans should upload their Patient Level Data files between May 13, 2016 - June 15, 2016), to CMS via the current connectivity configuration method used to transmit enrollment and 4rx data: CMS's Enterprise File Transfer (EFT) infrastructure Gentran, MFT Internet or Connect:Direct, or through an authorized Third-Party Vendor.

On *rare* occasions, MA Plans may submit patient-level data files by mail on DVD/CD-ROM following these procedures:

1. Contact the **Patient-Level Technical Support Desk/Help Desk** to obtain authorization to submit patient-level data file(s) via DVD/CD-ROM. Please **DO NOT** send in files on DVD/CD-ROM without explicit authorization.

Patient-Level Technical Support Desk/Help Desk Contact Information:

Phone: 1-877-996-1333

Fax: 1-240-296-3961

E-mail: ma_patient_data@edaptivesys.com

Internet: <https://mapld.edaptivesys.com>

Hours of Operation: M-F 8:00 a.m. to 6:30 p.m. EDT

2. When written authorization is received via e-mail, encrypt the files on DVD/CD-ROM using the following encrypting software: **WINZIP**

3. Mail the encrypted and **strong** password-protected, zipped files directly to Health Care Dynamics International (Team Edaptive) at the following address:

HCD International
ATTN: HEDIS Support Team
4390 Parliament Place
Suite A
Lanham, MD 20706

4. Send encryption key and password to ma_patient_data@edaptivesys.com in a separate e-mail communication.

Files submitted on DVD/CD-ROM must still be named in accordance with the Gentran, MFT Internet or Connect:Direct file naming convention described in section *File Naming Conventions*. Files incorrectly named will not be processed.

Files sent directly to Team Edaptive on DVD/CD-ROM are copied to a secure file server for data file validation processing. DVD/CD-ROM media will not be returned and will be destroyed after use. Team Edaptive maintains a verifiable audit trail log that tracks DVD/CD-ROM status from receipt through destruction.

1.12 SUBMITTING TEST DATA FILES

Beginning April 8, 2016, through May 4, 2016, plans or their third-party vendors may submit **test** data files to CMS via Gentran, MFT Internet or Connect:Direct for validation processing by Team Edaptive. This testing verifies your Gentran, MFT Internet or Connect:Direct connection and finds programming or logic errors before the official (production) submission period. Therefore, plans DO NOT have to submit a complete data set during the test period.

Files submitted during the testing period will be processed exactly as they will be during the production period. See section titled “**Patient-Level Data Submission Process Overview**” for more information on how files are processed, in particular what happens when a file fails the validation process.

The testing period ends May 4, 2016. No test data files will be accepted or processed by Team Edaptive after that date.

Files must conform to the CMS naming conventions to be processed. See section titled “**File Naming Conventions**” for more information on this topic, in particular the method for naming test data files. Test data files not named in accordance to these instructions will not be processed.

1.13 SUBMITTING PRODUCTION DATA FILES

The production submission period starts May 13, 2016 and ends June 15, 2016 at midnight EDT. Files submitted during the production period will be processed

as described in section *Patient-Level Data Submission Process Overview*. No files will be accepted or processed by Team Edaptive after this time.

1.14 FILE NAMING CONVENTIONS

Name the file according to the following CMS policies and procedures:

Note: file name variables are shown in *lowercaseitalicletters*; all other file name components should be coded **exactly** as shown:

GENTRAN/MFT INTERNET SERVER FILES

Gentran/MFT Internet Server File Name for File 1:

guid.NONE.HEDIS.Y.*cccc*.FUTURE.*s*–

Applies to File 1 only

<i>Gentran/MFT Key</i>	
<i>guid.</i> =	IACS Global User ID (7 Characters) OR System ID
NONE.HEDIS.Y. =	Should be coded exactly as shown
<i>cccc.</i> =	The contract number
FUTURE. =	Should be coded exactly as shown
<i>s</i> =	Enter a P or T, where P is for actual submissions and T is for test submissions

Actual Submission Name Example for File 1 using IACS Global User ID:
UHCDDMV.NONE.HEDIS.Y.Hxxxx.FUTURE.P

Test Submission Name Example for File 1 using IACS Global User ID:
UHCDDMV.NONE.HEDIS.Y.Hxxxx.FUTURE.T

Actual Submission Name Example for File 1 using System ID:
AAAAAAA.NONE.HEDIS.Y.Hxxxx.FUTURE.P
NOTE: "AAAAAAA" = System ID

Test Submission Name Example for File 1 using System ID:
AAAAAAA.NONE.HEDIS.Y.Hxxxx.FUTURE.T
NOTE: "AAAAAAA" = System ID

Gentran/MFT INTERNET File Name for File 2:

guid.NONE.HEDIS.Y.*cccc*.PCR.*s*–

Applies to File 2 only

<i>Gentran/MFT Key</i>	
<i>guid.</i> =	IACS Global User ID (7 Characters) OR System ID
NONE.HEDIS.Y. =	Should be coded exactly as shown
<i>cccc.</i> =	The contract number
PCR. =	Should be coded exactly as shown
<i>s</i> =	Enter a P or T, where P is for actual submissions and T is for test submissions

Actual Submission Name Example for File 2 using IACS Global User ID:
UHCDDMV.NONE.HEDIS.Y. Hxxxx.PCR.P

Test Submission Name Example for File 2 using IACS Global User ID:
UHCDDMV.NONE.HEDIS.Y.Hxxxx.PCR.T

Actual Submission Name Example for File 2 using System ID:
AAAAAAA.NONE.HEDIS.Y. Hxxxx.PCR.P

NOTE: "AAAAAAA" = System ID

Actual Submission Name Example for File 2 using System ID:
AAAAAAA.NONE.HEDIS.Y.Hxxxx.PCR.T

NOTE: "AAAAAAA" = System ID

CONNECT: DIRECT

Connect: Direct File Name for File 1:

`s#EFT.ON.HEDIS.ccccc.DYYMMDD.THHMSST`

Applies to File 1 only

<i>Connect:Direct Key</i>	
S =	Enter a P or T, where P is for actual submissions and T is for test submissions
#EFT.ON.HEDIS. =	Should be coded exactly as shown
CCCCC. =	The contract number
DYYMMDD.THHMSST =	Literal code exactly as shown

Actual Submission Name Example for File 1:

`P#EFT.ON.HEDIS.Hxxxx.DYYMMDD.THHMSST`

Connect:Direct File Name for File 2:

`s#EFT.ON.HEDIS.ccccc.PCR.DYYMMDD.THHMSST`

Applies to File 2 only

<i>Connect:Direct Key</i>	
S =	Enter a P or T, where P is for actual submissions and T is for test submissions
#EFT.ON.HEDIS. =	Should be coded exactly as shown
CCCCC. =	The contract number
PCR.DYYMMDD.THHMSST =	Literal code exactly as shown

Actual Submission Name Example for File 2:

`P#EFT.ON.HEDIS.Hxxxx.PCR.DYYMMDD.THHMSST`

Test Submission Name Example:

`T#EFT.ON.HEDIS.Hxxxx.PCR.DYYMMDD.THHMSST`

1.15 VALIDATION OF PATIENT-LEVEL DATA FILES

Team Edaptive uses an automated tool to perform validation checks on all test and production patient-level data files received. This check ensures that the structure and contents of a data file follow the specifications in the “**2016 Patient-Level Data File Specifications**” documents. Data files that don’t comply with the data specification will be rejected automatically with a “Fail” e-mail and error log sent to the designated HEDIS PLD POC or designee. See the section titled “**The Error Report Log**” for information on the types of validations performed and the details of the error log.

Team Edaptive will coordinate with the HEDIS PLD POC or designee to resolve data file validation problems and errors. MA Plans may have to submit their data files multiple times to resolve all validation errors. For questions regarding data file validation errors, MA Plans may contact the Patient-Level Technical Support Desk/Help Desk at:

Phone:1-877-996-1333

Fax:1-240-296-3961

E-mail: ma_patient_data@edaptivesys.com

Internet: <https://mapld.edaptivesys.com>

Hours of Operation: M-F 8:00 a.m. to 6:30 p.m. EDT

1.16 FILE VALIDATION RULES

Each record in the data set will be validated with these validation rules:

- Each row in the HEDIS 2016 Patient Level Data File 1 of 2 will be validated to ensure that it is exactly 878 characters long.
- Each row in the HEDIS 2016 PCR Patient Level Data File 2 of 2 will be validated to ensure that it is exactly 173 characters long.
- Numeric values (e.g., member months, denominators, and numerators) must be right-justified and **blank filled to the left of the value.**
- Text fields (e.g., “Organization Name” in the header record and “HIC Number” in the detail records) must be left-justified and **blank filled to the right of the value.**

1.17 THE ERROR REPORT LOG

If a submitted data file fails the validation checks, an error e-mail message is sent to the HEDIS PLD POC and their designees. That e-mail will have an error report log attached.

1.17.1 The Error Report Log

```

File: P.HEDIS.Hxxxx.D150603.T1500057 has 11 error(s)
Row [2] has [10] column(s) with errors
Column [96] [Denominator for Adult BMI Assessment (ABA)]
Column [98] [Denominator Colorectal Cancer Screening (COL)]
Column [99] [Numerator Colorectal Cancer Screening (COL)]
Column [102] [Denominator for Osteoporosis Management in Women Who Had a Fracture (OMW)]
Column [104] [Denominator for Controlling High Blood Pressure (CBP)]
Column [106] [Denominator for Persistence of Beta-Blocker Treatment After a Heart Attack (PBH)]
Column [107] [Numerator for Persistence of Beta-Blocker Treatment After a Heart Attack (PBH)]
Column [110] [Denominator 2 for Comprehensive Diabetes Care (CDC): HbA1c Poor Control >9%]
Column [111] [Numerator 2 for Comprehensive Diabetes Care (CDC): HbA1c Poor Control >9%]
Column [115] [Numerator 4 for Comprehensive Diabetes Care (CDC): Eye exam (retinal) performed]
-----
Row [3] has [1] column(s) with errors
Column [ 90-92] [ Plan ID Number]
    
```

Figure 1: Sample Error Report

The error report log shows the errors in the HEDIS data submitted by the MA Plan Members. The Error Report details errors by **Row** and **Column**.

The log above indicates that **Row 2** has 10 **Columns** with errors. Identified columns in the range from 96 – 115 have errors with the **Numerator** and **Denominator** of particular measures.

Error Report Log	
Term	
File	P.HEDIS.Hxxxx.D150603.....
Row	Rows are arranged horizontally, from left to right.
Column	Columns run vertically from top to bottom.

MOST COMMON ERRORS

For your information only, the table below lists the most common errors found during prior year submission periods.

Error Message/Type	Root Cause	Resolution
Row data does not contain correct number of bytes.	The row size went beyond the specified limit listed in the data specification.	Blank spaces beyond the specified limit must be removed. Do not add blank spaces between rows.
<ul style="list-style-type: none"> •Contract numbers in file name and header do not match for file name error, processing will stop for this file. •Invalid contract number in header for file name, termination error, processing will stop for this file. 	The contract number in the file name is not the same as the contract number in the header of the file.	Verify that the contract numbers are the same on the file name as well as the header row within the file.
SNP Enrollee Type	Values received are outside of the range specified in the data specifications document.	Enter a: “0” if this member is NOT enrolled in an SNP plan benefit package. “1” if this member is enrolled in a DUAL ELIGIBLE SNP benefit package. “2” if this member is enrolled in an INSTITUTIONAL SNP benefit package. “3” if this member is enrolled in a CHRONIC CONDITION SNP benefit package.