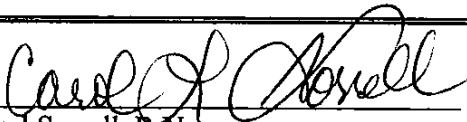
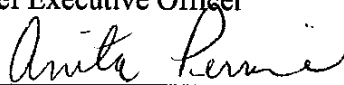
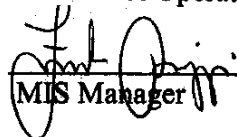


**KERN HEALTH SYSTEMS  
POLICIES AND PROCEDURES**

SUBJECT: Encounter Data Generation and Submittal		INDEX NUMBER 7.10-I	Page 1 of 1
SECTION: Management Information Systems		ISSUE DATE: June 1, 2004	
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Approved		Date	5/27/04
	Carol Sorrell, R.N. Chief Executive Officer		
Approved		Date	6/11/04
	Director of Operations		
Approved		Date	5/27/04
	MIS Manager		

**POLICY:**

Kern Health Systems (KHS) personnel will prepare and submit an encounter data file to the Department of Health Services (DHS) on a monthly basis. Upon written notice by the DHS that encounter data is insufficient or inaccurate, KHS will submit corrected data within fifteen (15) days of receipt of DHS' notice. KHS may request the DHS grant an extension for submission of corrected encounter data.

**PURPOSE:**

The Management Information Systems (MIS) department is contractually required to implement policies and procedures for ensuring the complete, accurate, and timely submission of encounter data for all services for which financial liability has been incurred, whether directly or through subcontracts or other arrangements. Encounter data is to include data elements specified in DHS' most recent Managed Care Data Element Dictionary and all existing Policy Letters related to encounter data reporting.

**PROCEDURE:**

A desktop procedure has been developed for the generation and submittal for encounter data. (see Attachment A).

**Attachments:**

- Attachment A: *Encounter Data Generation and Submittal – Desktop Procedure (April 30, 2004)*

***Encounter Data Generation and Submittal  
Desktop Procedure (April 30, 2004)***

***Overview***

Encounter Data reports are created and submitted to the Department of Health Services (DHS) to meet the needs of their monitoring requirements and quality processes for Medi-Cal Managed Care Plans (MCPs). Use of encounter data is a progression from the existing practice requiring only the submission of specific aggregate data from the MCPs.

***Purpose***

Submission of encounter data is a contractual requirement for MCPs participating in the Geographic Managed Care program or the two plan model and is written into the contract between DHS and the MCP. The encounter data will serve the following purposes:

1. To evaluate health care quality and cost containment performance.
2. To evaluate health plan performance.
3. To develop and evaluate capitation rates.
4. To meet federal Medicaid reporting requirements.

***Encounter Data Reporting Elements***

The following data elements are required for encounters.

DATA ELEMENT	TYPE	BYTE (S)	FORMAT	CLAIM TYPE
1.Claim Reference Number	Numeric	13	YDDDDXXXXXXXXXX	ALL
2.Plan Code	Numeric	5	XXXXX	ALL
3.Format Code	Alpha/Numeric	1	X	ALL
4.Program Code	Alpha/Numeric	1	X	ALL
5.Adjustment Code	Alpha/Numeric	1	X	ALL
6.Adjustment CRN	Numeric	13	YDDDDXXXXXXXXXX	ALL

BENEFICIARY DATA		
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7.Medi-Cal Beneficiary #	Alpha/Numeric	14	CCAAXXXXXXXXXX	ALL
8.Social Security #	Alpha/Numeric	9	XXXXXXXXXX	ALL
9.Beneficiary Name	Alpha/Numeric	10	XXXXXXXXXX	ALL
10.Birth Date	Numeric	8	CCYYMMDD	ALL
11.Sex	Alpha/Numeric	1	X	ALL
12.Ethnic/Race	Alpha/Numeric	1	X	Not Req'd

PROVIDER DATA				
13.Provider #/Facility # or Provider License #	Alpha/Numeric	9	XXXXXXXXXX	ALL
14.Provider Name	Alpha	28	X (28)	ALL
15.Provider Zip Code	Numeric	5	XXXXX	ALL
16.Provider County	Numeric	2	XX	ALL
17.Provider Type	Alpha/Numeric	2	XX	ALL
18.Physician Specialty	Numeric	2	XX	MD

SERVICE/CLAIM DATA				
19.Beginning Date of Service	Numeric	8	CCYYMMDD	ALL
20.Ending Date of Service	Numeric	8	CCYYMMDD	ALL
21.Referring/Prescribing/Admitting Provider #	Alpha/Numeric	9	XXXXXXXXXX	ALL
22.Prior Authorization/PCP Referral indicator		1	X	ALL
23.Primary Diagnosis (ICD)	Alpha/Numeric	5	XXXXX	ALL
24.Secondary Diagnosis (ICD)	Alpha/Numeric	5	XXXXX	ALL
25.Tertiary Diagnosis (ICD)	Alpha/Numeric	5	XXXXX	ALL
XX. 4 <sup>th</sup> Diagnosis				
XX. 5 <sup>th</sup> Diagnosis				
26. Family Planning	Alpha/Numeric	1	X	ALL

ADJUDICATION/PROCESS DATA				
27. Adjudication Status	Alpha	1	X	ALL

28. Adjudication date	Numeric	8	CCYYMMDD	ALL
29. Date of payment by plan/check date	Numeric	8	CCYYMMDD	ALL
30. Billed amount	Numeric	9	XXXXXXXXXX	ALL
31. Reimbursement Amount	Numeric	9	XXXXXXXXXX	ALL
32. Patient Liability (SOC)	Numeric	9	XXXXXXXXXX	ALL
33. Medicare Deductible Amount	Numeric	9	XXXXXXXXXX	ALL
34. Medicare Co-Insurance	Numeric	9	XXXXXXXXXX	ALL
35. Other Health Coverage Amount	Numeric	9	XXXXXXXXXX	ALL
36. Copay Indicator	Alpha /Numeric	1	X	Not Req'd
37. Copay Amount	Numeric	3	XXX	Not Req'd

REQUIRED FOR OUTPATIENT, MEDICAL, VISION, OR DENTAL DATA RECORD				
38. Place of Service (POS)	Alpha/Numeric	2	XX	MD
39. Procedure code billed by provider	Alpha/Numeric	5	XXXXX	MD
40. Procedure Modifier or tooth	Alpha/Numeric	2	XX	MD
41. Outpatient/ Medical procedure quantity	Numeric	5	XXXXX	MD
42. Rendering provider number	Alpha/Numeric	9	XXXXXXXXXX	MD
51. Patient status	Alpha/Numeric	2	XX	MD

REQUIRED FOR DRUG DATA RECORD				
43. National drug code (NDC) uniform product code	Alpha/Numeric	11	MMMMMXXXXXX	P

44. Drug/ Medical Supply Indicator	Alpha/Numeric	1	X	P
45. Drug Quantity	Numeric	5	XXXXX	P
46. Days Supply	Numeric	3	XXX	P
38. Place of service	Alpha/Numeric	2	XX	P

REQUIRED FOR LTC DATA RECORD				
47. LTC accommodati on codes	Alpha/Numeric	2	XX	LTC
48. Days stay	Numeric	3	XXX	LTC
51. Patient status	Alpha/Numeric	2	XX	LTC
49. Admission date	Numeric	8	CCYYMMDD	LTC
50. Discharge date	Numeric	8	CCYYMMDD	LTC

INPATIENT DATA RECORD/REQUIRED FOR INPATIENT DATA ONLY				
52. Admission necessity code	Alpha/Numeric	1	X	H
51. Patient status	Alpha/Numeric	2	XX	H
53. Primary surgical procedure	Alpha/Numeric	5	XXXXX	H
54. Secondary surgical procedure	Alpha/Numeric	5	XXXXX	H
49. Admission date.	Numeric	8	XXXXXXXXX	H
50. Discharge date	Numeric	8	CCYYMMDD	H
55. Discharge diagnosis code	Alpha/Numeric	5	XXXXX	H
56. Number of claim lines	Numeric	2	XX	H
57. Accommodation / Ancillary	Alpha/Numeric	3	XXX	H
48. Days stay	Numeric	3	XXX	H

30. Billed amount	Numeric	9	XXXXXXXXXX	H
31. Reimbursed amount	Numeric	9	XXXXXXXXXX	H

### *Encounter Data Log*

This application was developed to automate the creation of Encounter Data files. Prior to this application there existed a document that listed steps to create the encounter files. The new application was created for the following reasons:

1. The old process used to take hours to format the files (not including time from MHC).
2. Required the user to use multiple applications (MHC, FTP, Addline, Paradox, Zip, IE Explorer).
3. Had unneeded overhead due to the creation of a table from a text file and then back to a text file.
4. Required the user to move the file from one destination to another - to archive the file.

With the new application, everything is done with the touch of a few buttons and in less than ten minutes (not including time taken by MHC). The only other applications still needed are: MHC - To retrieve the data from the database and IE Explorer - To submit the data to the state. The application has the following capabilities:

1. FTP to MHC to retrieve pre-formatted Encounter Data file.
2. Format the Encounter Data file, to appropriate format - by creating only the end formatted file.
3. Zip the selected files.
4. Archives the file to the appropriate directory.
5. Open's IE Explorer to appropriate website to upload file to the state.
6. Allows user to update Baby's table without moving any files, just with the click of a button.

### *Outpatient Process*

The data from MHC comes as a text file, with all the data on a single line. The file is then processed by the Encounter Data Log application. The text file is read by the application (few bytes at a time), processed and then written to another text file. Each new line written to the new text file is a fixed length of 335 bytes. The first line of the new text file is a header line that looks like the following example (Submit ID (303), Media Type (E), Header (HDR), Sub Year (2), Sub Date (249), Sub Name (Kern Health Systems), Record Count (000390), Date (090602)):

303    EHDR 2249    Kern Health Systems                    000390                    090602

The original MHC's data elements (DE) are copied byte for byte to the new text file. Each line represents a separate encounter record, which is a copy of a record from MHC's file except for the following exceptions:

1. DE-1 becomes XXXXXXXXXXX001 if there is only one instance of the claim number. If more than one exists then the next becomes XXXXXXXXXXX002, etc.
2. DE-4 is changed to ' ' if the element is anything other than 'C', 'S' OR ' '.
3. DE-6 if this element is populated then the entire record is deleted.
4. DE-7 if this element starts with a 'B' then the DE-7 (Beneficiary #) is located in the baby's table. If the # is found, then DE-7 and DE-8 (SSN) are replaced with the numbers in the table; Else they are left as is and are possibly fixed by another application (SSNFixInP.exe).
5. DE-17 are changed as follows:
  - a. If '47' then change to '50'
  - b. If '63' then change to '34'
  - c. If '64' then change to '16'.
  - d. Else leave the same.
6. DE-18 if this element is anything other than '22' or '26' then the element is replaced with ' '.
7. DE-27 if this element is 'D' then the entire record is deleted.
8. DE-29 and DE-30 if DE-27 is a 'C' then the DE-29 and DE-30 are changed to '0000000000000000'.
9. DE-38 if this element is '27' then change it to '99'; otherwise leave it the same.
10. DE-39 if this element contains 'TRIAG', 'TAXI' or 'DROP' then delete this record. Else if the element exists in the CodeTrns Table, then replace it with the translated value. Else leave it the same.

Once the end text file is created, SSNFixInP.exe is used to fix missing SSN problems. This application looks up the blank SSN's in the Oracle Baby's tables. This process looks to replace the missing SSN's (DE-8) with the mother's SSN's and replaces the Beneficiary # (DE-7) with the mothers #.

### ***Inpatient Process***

The data from MHC comes as a text file, with all the data on a single line. The file is then processed by the Encounter Data Log application. The text file is read by the application (few bytes at a time), processed and then written to another text file. Each new line written to the new text file is a fixed length of 900 bytes. The first line of the new text file is a header line that looks like the following example (Submit ID (303), Media Type (E), Header (HDR), Sub Year (2), Sub Date (249), Sub Name (Kern Health Systems), Record Count (000390), Date (090602)):

303    EHDR 2249    Kern Health Systems            000390            090602

The original MHC's data elements (DE) are copied byte for byte to the new text file. Each line represents a separate encounter record, which is a copy of a record from MHC's file except for the following exceptions:

1. DE-1 becomes XXXXXXXXXXX001 if there is only one instance of the claim number. If more than one exists then the next becomes XXXXXXXXXXX002, etc.
2. DE-6 if this element is populated then the entire record is deleted.
3. DE-7 if this element starts with a 'B' then the DE-7 (Beneficiary #) is located in the baby's table. If the # is found, then DE-7 and DE-8 (SSN) are replaced with the numbers in the table; Else they are left as is and are possibly fixed by another application (SSNFixInP.exe).
4. DE-17 are changed as follows:
  - a. If '47' then change to '50'
  - b. If '63' then change to '34'
  - c. If '64' then change to '16'
  - d. Else leave the same.
5. DE-18 if this element is anything other than '22' or '26' then the element is replaced with ' '.
6. DE-27 if this element is 'D' then the entire record is deleted.
7. DE-53 and DE-54 are changed to blank because they don't exist in our inpatient claim type on CSC system. Only hospital billing is contained in our inpatient claims.
8. DE-57 is translated if the element exists in the CodeTrns Table. Else leave it the same.

Once the end text file is created, SSNFixInP.exe is used to fix missing SSN problems. This application looks up the blank SSN's in the Oracle Baby's tables. This process looks to replace the missing SSN's (DE-8) with the mother's SSN's and replaces the Beneficiary # (DE-7) with the mothers beneficiary #.

#### ***Vision Services Plan Process***

The data for VSP encounter data as a semi-colon delimited text file from our provider via 3 1/2" Disk. The data is then read and rewritten without the semi-colons. The first line of the new text file is a header line that looks like the following example (Submit ID (303), Media Type (E), Header (HDR), Sub Year (2), Sub Date (249), Sub Name (Kern Health Systems), Record Count (000390), Date (090602)):

303 EHDR 2249 Kern Health Systems 000390 090602

#### ***Pharmaceutical Care Network Process***

We download the PCN file from their server and populate the PCN table in Oracle. The data is written to a text file with no medications to the data. The first line of the new text file is the header line that looks like the following example (Submit ID (303), Media Type (E), Header (HDR), Sub Year (2), Sub Date (249), Sub Name (Kern Health Systems), Record Count (000390), Date (090602)):

303 EHDR 2249 Kern Health Systems 000390 090602

## *Procedure*

### **Outpatient/Inpatient**

The following steps must be performed to generate a valid encounter file:

#### *Clear File*

Step 1: On the MHC system step through the following menu items:

- 1) Production Accounts Menu
- 2) Managed Health Care
- 3) File Maintenance
- 4) Electronic Processing

Step 2: At this point hit 0. This should bring up a cursor and command prompt at the bottom of the screen:

```
LIVE MHC>
```

Step 3: At the prompt type 'Clear-File MD.ENCR.HOLD' and hit <Enter>:

```
LIVE MHC> Clear-File MD.ENCR.HOLD
```

This will clear the hold file. Hit <Esc> to get back to menu options.

#### *Build Medicaid Encounters Hold File*

Step 1: Continue navigating the menu items:

- 1) Medicaid Encounters Processing
- 2) Build Medicaid Encounters File (HC520.11.1)

This program populates the Medicaid encounter hold file according to the parameters entered on the screen. After processing the program, the program will generate a get-list name, which will be used in the MHC Data-Out process.

Step 2: Enter the following parameters into the HC520.11.1 form:

- 1) BATCH NUMBER
  - a. Enter an identifying number unique to this group of records (i.e. 001, 002, etc.).
- 2) GENERAL/PHARMACY CLAIMS (G/P)
  - a. Enter 'G' for general claims (Inpatient, Outpatient).
- 3) CLAIM TYPES (IH/LTC/OTHERS)
  - a. IH - Inpatient
  - b. OTHERS - Outpatient

- 4) LOB (S) OR 'ALL'
  - a. MCAL
- 5) GROUP (S) OR 'ALL'
  - a. ALL
- 6) FROM APPROVAL DATE (MM-DD-YY)
  - a. Enter an approval date after which claims are approved (Begin date, i.e. beginning of month).
- 7) TO APPROVAL DATE
  - a. Enter an approval date to which claims are approved (End date, i.e. last day of month).
- 8) FROM SERVICE DATE
  - a. Enter a date of service from when the claims were serviced (i.e. 01-01-99).
- 9) TO SERVICE DATE
  - a. Enter a date of service to when the claims were serviced (End date, same as Approval Date, end of month).

Step 3: Type 'PR' at bottom of the screen to process file, and hit <Enter>. DO NOT HIT ANY OTHER KEY AFTER HITTING <Enter>!!!

~~CHANGE THE DATE~~

Step 4: When the process is complete. Note the GET.LIST number:  
GET.LIST NAME: #####

### ***Data-Out Processing***

Step 1: Hit <Enter> to exit HC520.11.1 screen.

Step 2: Hit <ESC>. Navigate to the Data-Out Processing Menu Item (HC524).

Step 3: Type in the proper Format ID for the Encounter:

- |                |                         |
|----------------|-------------------------|
| 1) IN.ENC.TAPE | - Inpatient Encounters  |
| 2) OP.ENC.TAPE | - Outpatient Encounters |

Step 4: Type the Get.List name from 'Build Medicaid Encounters Hold File' Step 4, into the GET.LIST section AND HIT <Enter>.

Step 5: Type PRO at the bottom of the screen to process file.

Step 6: When the process is complete. Note the name of the file generated (should be the date.###, i.e. 021902.001).

### ***FTP File***

Step 1: Open the Encounter Data program, if it is not opened.

Step 2: Click on 'FTP file (In/Outp'n PCN)'.

Step 3. Click on 'Out Patient' or 'In Patient' on bottom of program, depending on type of file you just formatted on MHC.

Step 4. Find the file and type it into the edit box and hit <Download>.

Step 5: Hit <Disconnect>.

### ***Formatting Encounter File***

Step 1: Click 'Format encounter file'. Then select appropriate encounter type and then hit <Submit>. Then <Submit> again.

Step 2: Select the file you FTP'd from MHC and hit <Open>.

Step 3: Wait until finished.

### ***Missing SSN Numbers***

In order to fix a majority of the missing SSN's due to new born babies, you must run the program entitled 'SSNFixInp.exe'.

Step 1: Open 'SSNFixInP.exe'.

Step 2: Click on Inpatient or Outpatient and then hit <Submit>.

Step 3: Select the Outpatient or Inpatient file to fix. (i.e. outp0402.txt or inp0302.txt). Then click on <Open>.

Step 4. When the process is complete, then continue on to the 'Zip Encounter File' Section.

### ***Zip Encounter File***

Step 1: Prior to zipping the file, ensure the record count is correct, and the last line in the file is complete, not partial. If the last line is partial, simply delete the last line, and check the record count. Record count should be, the number of lines in the file, minus one for the header.

Step 2: Click 'Zip encounter file'.

Step 3: Hit <Submit>.

Step 4: Select the file(s) to zip. There might be multiple files to zip, if the encounter data is larger than a certain number of Megas. (i.e. Outp0302a.txt and Outp0302b.txt).

Step 5. Hit <Open>.

Step 6. Wait until finished.

### ***Upload and Archive File***

Step 1: Click on 'Upload and archive file' and then hit <Submit>.

Step 2: At this point a website will open to <http://www.medi-cal.ca.gov/>.

Step 3: Click on 'Login', in the top left corner of website.

Step 4: Type in User ID: meshid019 and password. Then hit <Submit>.

Step 5: Click on ' Managed Care Uploads'.

Step 6: Click on <Browse>. Select the file and then hit <Submit>.

Step 7. If you have to submit more than one file, click on the back button and submit additional files as directed in step 6.

### ***FTP File***

Step 1: Open the Encounter Data program, if it is not opened.

Step 2: Click on 'FTP file (In/Outp'n PCN)'.

Step 3. Click on 'Out Patient' or 'In Patient' on bottom of program, depending on type of file you just formatted on MHC.

Step 4. Find the file and type it into the edit box and hit <Download>.

Step 5: Hit <Disconnect>.

### ***Zip Encounter File***

Step 1: Click 'Zip encounter file'.

Step 2: Hit <Submit>.

Step 3: Select the file(s) to zip.

Step 4. Hit <Open>.

Step 5. Wait until finished.