MHDO — Maine Health Data Organization
Information | Insight | Improvement

PHASE 5 TESTING INSTRUCTIONS
LAST UPDATED: JUNE 28, 2016

INTRODUCTION

Thank you for your continued support of MHDO in the transition to the new hospital submission system, referred to as the Portal. This documents contains your instructions to begin Phase 5 Testing. There have not been substantial changes to the Hospital Data Portal interface other than an update to the look and feel of the site. You'll notice that the menu is now on the left instead of the top of the page. Below is the Table of Contents for these instructions.

Table of Contents

GOALS OF PHASE 5 TESTING

- Add additional system users and assign Portal roles
- Review and complete your location's registration information (contact info, user account, data streams, vendor information etc.)
- Submit your Payer Code and Location of Service lists
- Review reprocessed Q4 2015 test files submitted during Phase 4 testing and/or successfully submit Q4 2015 test files including inpatient, outpatient and provider-based clinic files to the Portal
- View and resolve data submission validation issues that need to be addressed in hospital system
- Provide feedback on any major issues or blockers that you find either in the Portal, submission process, or your own systems that could potentially delay submission for yourself or others

TIMELINE

Wednesday, June 29th - Wednesday, July 13th: Phase 5 Testing Open – files submitted during Phase 4 will be automatically reprocessed and the results will be available for review once the Portal reopens for Phase 5 testing. **This is the last opportunity to submit a test file before the Portal Go Live date.**

Tuesday, August 2nd - Wednesday, August 31st: Portal Go Live with Hospital Files Due - Hospitals are required to submit both the 3rd (if not previously submitted to Databay) and 4th quarter of 2015 and the 1st quarter of 2016 during this period. Failure to submit data may result in enforcement action as described in my April 21, 2016 message which can be found here: https://mhdo.maine.gov/hosp_data_submitters.htm

REGISTRATION AND LOGIN PROCESS

SYSTEM LOG-IN

If your registration was approved during Phase 3 testing, you can return to https://mhdo.maine.gov/hospital_portal/ where you can now login with the username and password you selected (or that were emailed to you in the case of password resets). If you have forgotten your username or password please contact the Help Desk (mhdohelp@norc.org) and provide your first and last name as well as the hospital you are registered under. Alternatively, an Administrator user from you hospital can reset your password by going to "Users" in the navigation menu and selecting "View Details", and clicking the "Reset" button.

CONFIRMING AND MANAGING USERS

Accessible to Administrator users only, in the Navigation menu "Users" you will find tabs called "Pending", and "Approved" as well as a button called "Invite". If you are associated with a hospital

system, you will have "Users" under both the "Company" and "Hospital" menu. These pages allow managing registration of users with your company/hospital.

The "Pending" page will list any users who have gone through the registration process whose accounts require approval by an Administrator. Administrators will receive an email notification when a new user has completed the registration process at which point the Administrator should log in to the portal and either approve or reject the account. Once approved, users will be moved to the "Approved" page.

The "Approved" page also gives the Administrator the ability to assign the roles of "Submitter" and/or "Administrator" to a given user. You can have multiple people serving multiple roles within each facility account. Administrators can grant access to other system users and have full control of their facility account. Data submitters will be able to access the encryption password needed to submit data and be allowed to submit data into the system.

The "Invite" page allows you to invite someone to register with your Hospital by specifying their email address. Clicking the Invite button will automatically generate an email to this person with instructions for navigating to the portal and registering a new account.

HOME PAGE AND NAVIGATION

After logging in you will find yourself on the Home page. (You can return here at any time by clicking Home in the navigation menu.) Here you will find the latest notifications where MHDO will put information such as reminders about upcoming changes to the Portal or Holidays when the Help Desk will not be available.

On the left of every page you find a standard navigation bar. You will also always have your username in the top right corner of each page while logged in. If you need to change your password, click on your username to go to the change password screen.

HOSPITAL MENU

The name of your hospital will be displayed here. If you are associated with multiple hospitals you will have access to a drop down menu where you can switch the hospital you are viewing. The "Hospital" category of the menu contains pages for information about the Hospital, campuses for that facility, and associated Provider Based Clinics as well as the Contacts page where Administrators can manage the list of contacts associated with the hospital.

Please first go to the Hospital > Summary page where you can confirm the information we have entered for your facility and campuses. Administrators can use the view button to change information if needed. **As part of Phase 5 testing there are two important pieces of information for you to update: 1) Provide information for data vendors if you have one. 2) Review and update your data stream information.** Typically this will be Inpatient and Outpatient; however, if you have a situation that would be convenient to submit regularly as a

separate file, such as a provider based clinics file, that may be reason to request an additional data stream. Should you need to establish additional data streams please send an email to the Help Desk indicating your additional requirements. For data streams beyond the standard Inpatient and Outpatient, please indicate whether the stream is for Inpatient or Outpatient records and a brief description of the particular nature of the data stream.

Next please navigate to Hospital > Contacts where you will see a list of contacts. Here you can assign contact type categories to the contacts for your Hospital. The contact type categories will be used by the system and MHDO to specifically target communications to interested parties. The MHDO requires that each hospital should identify at least one contact for each of the Compliance, Submission and CFO categories. At any time, an Administrative contact can go into "View" for a user to either "Update" to revise contact information or "Delete" to remove the user from your Hospital contacts.

If you are part of a hospital system with multiple hospitals, the hospital menu will contain a mechanism that will allow you to toggle between all of your hospitals.

COMPANY MENU

The "Company" menu will only be visible to users that have registered and been approved as associated with a Hospital System rather than a single hospital. Company > Summary displays the company name and Tax ID as well as subsections with Name, NPI, Tax ID, and submission encryption Key for each associated Hospital. Company > Users contains the same functionality found in the Users pages for Hospitals (Pending, Approved, and Invite) except at the Company level. Company > Contacts provides, again similar to the Hospital level page of the same name, allows you to manage the communication types for individuals at the company level.

SUBMISSION AND REVIEW OF FILES

Once you have confirmed your Hospital's information and added any users you need, you are ready to prepare and submit you test data file(s). Successful file preparation includes a few easy steps:

1. Use a file prepared and named as directed
2. Compress and Encrypt (AES-256) with the password provided to your facility. **You can find the password in the field labeled "Key" on the Hospital > Summary page in the table labeled "Hospital Details".**
3. Upload the file to the Portal
4. Check the Portal for validation issues

TEST DATA

All data submitted for Phase 5 Testing must be in the format as defined in Rule Chapter 241. Information on the file layout can also be found in the Portal by navigating to Guides>File Layouts. Please construct test files of a size large enough to provide a level of comfort that your process is working. We are suggesting that you use your 2015 4th quarter data (October, November,

December) in order to be prepare these files for the system launch in July. All files submitted for testing will be deleted when testing is completed.

FILE NAMING CONVENTION

This step is critical to the proper identification and attribution of a facility's data. Files transferred with improper file names will fail upon receipt.

The file name must be constructed using the following convention:

MHDOID_DS_CCYYMM_CCYYMM_FT_SN_VN.EXT

1   2   3   4   5 6 7 8
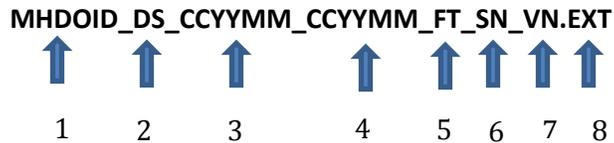
1. **MHDOID**: The MHDOID assigned to a facility for the purposes of reporting hospital inpatient and outpatient data. The MHDOID must correspond to the MHDOID in the header of the file. Each hospital and provider-based outpatient clinic will have their own MHDO ID. If provider-based outpatient clinics data are being submitted with their Hospital outpatient data, the Hospital's MHDO ID should be used and you must make sure to populate the OP4005 Location of Service element with the appropriate MHDO ID for those included records. MHDO ID information can be found in the Portal under the Hospital>Summary menu.

An underscore symbol: "_"

2. **DS – Data Stream**: Data submitters will have one or more data streams. These streams will be denoted by a 2-digit number starting with 01. The leading zero is required. MHDO will provide all submitters with the Data Stream numbers that they should use for submission. In general, a hospital's inpatient data submission will be set up as stream 01. If the hospital also submits outpatient data, this would be set up as stream 02. It may also be the case that a hospital has other separate data streams such as outpatient recurring and these may be defined as needed with incremental stream numbers. If your hospital is affiliated with one or more provider-based outpatient clinics, each facility will have its own data stream numbered 01 and you can submit separate files to each clinic's data stream. If you plan to include your outpatient clinic data as a part of your hospital's main outpatient data stream (02), you must make sure to populate the OP4005 Location of Service element with the appropriate MHDO ID for those included records.

An underscore symbol: "_"

3. **CCYYMM – Data Period Start Month** expressed as CCYYMM (two-digit century, two-digit calendar year and two-digit month; for example, 201601 indicates a January 2016 starting month). Quarterly data submissions should use the start date for the first month of the quarter. For example, the start of the first quarter of 2016 would use 201601 to indicate January 2016.

An underscore symbol: "_"

4. **CCYYMM – Data Period End Month** expressed as CCYYMM (two-digit century, two-digit calendar year and two-digit month; for example, 201601 indicates a January 2016 ending month). Quarterly data submissions should use the end date for the last month of that quarter. For example, the first quarter of 2016 would use 201603 to indicate March 2016.

> **An underscore symbol**: "_"

5. **FT – File type: Inpatient (IP) or Outpatient (OP)**

> **An underscore symbol**: "_"

6. **SN – Sequence number**: This is used to differentiate files with otherwise identical file names (for example, when two medical files are submitted during the same submission period). This will only occur when a facilities' submission is of sufficient size to require compression in volumes or occasionally during a system change where parts of the same submission are derived from separate sources.
   - This is expressed as a two-digit number, starting with 01. **The leading zero is required**.
   - The sequence numbering starts over with each new submission period.

> **An underscore symbol**: "_"

7. **VN – Version number**: This is used to differentiate multiple submissions for the same filing period. This is a common occurrence and used among other things as a way to submit corrected data. You will simply increment the value for each submission of the same filing period.
   - The format is a lower case letter "v", followed by two digits (01-99). **The leading zero is required.**
   - Original submissions of all files should be versioned "v01".
   - The Portal will not accept files that have the same name as an existing file.

> **A period**: "."

8. **EXT – File extension** (txt): Files submitted into the new Hospital submission system must be saved as a text file which will give it a .txt extension.

Examples:

- Facilities submitting monthly: 200009_01_201601_201601_IP_01_v01.txt
- Facilities submitting quarterly: 200009_02_201601_201603_OP_01_v02.txt

ENCRYPTION AND COMPRESSION

In an effort to protect sensitive data while transferring it to the MHDO, you are required to compress and encrypt all files prior to sending them. The archive MUST be encrypted using 256-bit AES (AES-256) encryption using the submitter's unique encryption password. The process is simple and can be accomplished using various commercially available compression packages. Data has been successfully prepared for transport with many solutions including 7zip (open source) and

WinZip (commercial)[1]. **You can find the password in the field labeled "Key" on the Hospital > Summary page in the table labeled "Hospital Details".**

The solution you choose to employ will require the following features:

- File compression
- File encryption – AES-256

Examples:

- Facilities submitting monthly: 200009_01_201601_201601_IP_01_v01.7z
- Facilities submitting monthly: 200009_01_201601_201601_IP_01_v02.zip
- Facilities submitting quarterly: 200009_02_201601_201603_OP_01_v01.7z
- Facilities submitting quarterly: 200009_02_201601_201603_OP_01_v02.zip

Files sent without the proper encryption will be failed upon receipt.

If you are preparing your submission file with 7zip, example steps for the process are:

1. Have your .txt file ready with the correct name.
2. Right click on the file to reach the context menu for 7zip.
3. Select "Add to Archive…" this brings up the 7zip compression and encryption window.
4. Here most of the settings can be left at their default values.
5. What you need to confirm is the following:
    a. Archive format: 7z or zip
    b. Encryption Method: AES-256
    c. Optionally check the box for "Encrypt file names"
6. You will then need to enter and reenter the "Encryption" password. This is the "Key" in the Hospital Portal.
7. When you click OK, the program will begin creating the .7z or .zip file, which should no longer have the .txt extension when complete.
8. The file produced will contain a .txt file and will prevent you from reading that file unless you provide the Key you entered.
9. At this point, the file is ready to submit to the portal for validation.

UPLOADING YOUR FILE

Now that you have a compressed encrypted file with the correctly formatted name, you can go to the page Submission > Submit Data.

Make sure that you see HTTPS in the web address to ensure you are submitting with full security. HTTPS and file Encryption with a password are critical to ensure that Personal Health Information and Personally Identifiable Information are only accessible to authorized users.

---

[1] The Maine Health Data Organization does not endorse or recommend any commercial or open source products, processes, or services. The views and opinions expressed in this document do not necessarily state or reflect those of the Maine State Government, and they may not be used for advertising or product endorsement purposes.

Click "Browse" and navigate to the file in your file system. After you click "Open" in the file search dialog, the filename will appear in the box. When you have the file you want, click "Submit" to securely upload the file to the MDHO Data Warehouse. If the filename is not correctly formatted or does not correspond to an established data stream, you will see text appear with an error message below the filename.

CHECKING YOUR FILE FOR VALIDATION ISSUES

Once you have uploaded a file, you can navigate to Submission > History to track the progress of your file. When files complete processing, they will display a "Status" of "Passed", "Failed", or "Error". Processing typically takes under an hour, but we guarantee it will happen within 24 hours. You will receive an email from the Portal once processing in complete. If your submission does not reach one of these statuses within 24 hours and/or you do not receive an email please contact the Help Desk (mhdohelp@norc.org) so that we can investigate.

You can always see a full list of validation rules that are in place in the Portal under Submission>Validation Rules. All validation rules are in place for system testing with the exception of a small number of Ad Hoc rules which are still under development.

VALIDATION FAILURE REVIEW

On a "Failed" status, your file has failed one or more intake validations. When this is the case, you will need to click on "Details" to see what the specific issues are. This will take you to a list of all the validations being applied to this file.

- If there are issues with an Issue Type of "**Structural**", you will need to resolve these before moving on to other issues. Structural issues tend to involve file structure and formatting of fields such as too many characters or invalid Record Type that are in direct conflict with the specification in the MHDO Rule Chapter 241. You can see additional information about a validation by clicking on "Details". For most structural validations you will see a message indicating that the error needs correction in the base file and will thus need resubmission to pass.
  There are a few non-fatal structural errors that can be exempted with permission from MHDO, such as Submission Period Locked when you are submitted a file for data that is older than one year. If an Exemption is permitted, you will see an "Override" button. This will take you to a screen where you can enter an explanation for MHDO to review.
- Issues of type "**Failure**" cannot be overridden. They typically involve an intrinsic issue with the format of the data, such as a date field that could not be parsed to a valid date due to being populated with symbols or letters instead of CCYYMMDD as directed by Chapter 241 or a sequence number that is outside the range of allowed values.
- Issues of type "**Exemption**" can be overridden, but require approval from MHDO for the reasons supplied in the exemption request. Requesting an override for these issues will require you to supply a time period for which you believe you will need the exemption. All overrides are reset yearly, so if you need an exemption past December of a given year, you will need to submit a new request the following year, if you data continues to fail the validation.

- Issues of type "**Profile**" are deemed dependent on business practices and can be overridden with a clear explanation of why you consider the data of sufficient quality. Subsequent failures on the same validation rule will be automatically overridden for the remainder of the calendar year once a Profile override has been established.
- Issues of type "**Ad Hoc**" may be overridden without the need for MHDO approval. However, unlike Profile overrides, Ad Hoc overrides will not persist for subsequent failures on the same validation rule such that submitters will need to provide an explanation whenever criteria for such a rule are not met.

On a "Passed" status, your file has passed our intake validations. Unless you find that there was an issue on your end or during processing for releasing data to Data Users we find issues during manual Quality Checking, you can consider this file "Done".

You can find a full list of validation rules that are applied to all files by navigating to Submission>Validation Rules.

VALIDATION RULE UPDATES
Information was provided about changes we have made to the Validation Rules based on your feedback and processing results from Phase 3 testing. In addition, the Ad Hoc validations are active for Phase 5 testing, as are validations for three code list based fields that several of you have asked about. These three fields: Location of Service, Payer ID, and Payer Name are ones for which we will need Hospitals to submit crosswalks. More information can be found below.

Our Help Desk will be available and will work with you if you experience any issues submitting files as part of Phase 5 testing.

Location of Service
Chapter 2.A.(3)(b) specifies allowance of location codes that identify the location of Outpatient services not within the municipality of the primary hospital, when that location does not have a unique MHDO assigned ID for submitting files. Some Hospitals may want to indicate hospital departments or locations within the same municipality. Crosswalks of these codes must be submitted for use with validation of the values in field OP4005. The format can be either comma separated values (.CSV) or MS Excel spreadsheet (.xls or .xlsx). When using Excel, only one sheet per workbook will be allowed. When using CSV, if any column value contains a comma, please ensure you use double quote text qualifying characters, or remove all non-delimiter commas prior to sending us the file. Please name the file indicating LOS along with your facility's MHDO assigned ID and the date when you created the file to ensure accurate association for your files.

At present, these files should be sent to the MHDO Help Desk at mhdohelp@norc.org with possible future development allowing for submission directly in the MHDO Hospital Portal. Updates, including any new or altered entries, are expected to be provided prior to submitting monthly OP data files that contain those values. Each file submitted will replace the previous file, so please ensure all potential values are included in each file. The files from facilities will be used to determine passed status for OP4005 within Record Type 40's validation rules in the Maine Hospital

Data Portal. The submitted file will be applied to only that facility's data and the values will be supplied to data users with MHDO's Hospital Encounter data release files.

Payer Information

History

Payer information has been and continues to be problematic in the hospital dataset, especially the information referenced in Chapter 241 Section 2.A.(1)(b). Given the vastly different information captured by facilities and the potential variations of spellings, abbreviations, and truncations as well as the array of alphanumeric and numeric identifiers, it is extremely difficult for the MHDO to determine the actual payer.

Issue

Without clear identification, it is not reasonable for the MHDO to assign a payer group that is released to researchers. This shortcoming jeopardizes accurate analysis and provides the potential for misleading results. To this end, Hospitals need a clear definition of what to submit in data files to meet Chapter 241 expectations and MHDO needs an accurate relation of payer field values to distinct payer entities.

Instructions for Submitters

The MHDO is requiring the facilities submit to the Maine Hospital Data Portal a file consisting of four data points for each payer in the dataset. These will consist of 1) payer ID as it exists in the patient record, 2) payer name as it exists in the patient record, 3) normalized payer name, and 4) the name of the source list. The normalized payer name must be accurate and correctly identify the payer. Table shell (headers) and examples will be provided below.

The format can be either comma separated values (.CSV) or MS Excel spreadsheet (.xls or .xlsx). When using Excel, only one sheet per workbook will be allowed. When using CSV, if any column value contains a comma, please ensure you use double quote text qualifying characters, or remove all non-delimiter commas prior to sending us the file. Please name the file indicating it is your Payer Code list, along with your facility's MHDO assigned ID and the date when you created the file to ensure accurate association for your files. At present, these files should be sent to the MHDO Help Desk at mhdohelp@norc.org with possible future development allowing for submission directly in the MHDO Hospital Portal. Updates including any new or altered payer entries are expected to be provided prior to submitting monthly IP/OP data files that contain those values. Each payer file submitted will replace the previous file, so please ensure all potential values are included in each file.

The Payer code files from facilities will be used to determine passed status for IP3004, IP3006, OP3004, and OP3006 within Record Type 30's validation rules in the Maine Hospital Data Portal. The submitted file will be applied to only that facilities data and will be used to aid in assignment of Payer categories in MHDO's Hospital Encounter data release files.

Table headers:

1. Payer Code (Payer Identification Number): Alphanumeric code that is submitted in hospital files as the value for field IP3004 and OP3004. These fields are formatted as Text and can be a max of 5 characters long.
2. Payer Name: Payer name as it exists in the patient record that is submitted in hospital files as the value for field IP3006 and OP3006. These fields are formatted as Text and can be a max of 23 characters long. Form Locator for IP3004 Primary | Secondary are UB04 50A | 50B or ASC X12N/005010A1 837/2010BB/NM1/PR/2/03 | 837/2330B/NM1/PR/2/03.
3. Normalized Name: A human readable standard name for a payer, such as "Aetna" or "BlueCross BlueShield".
4. Source List: Source lists would be "NAIC Company code" list, "MHDO Payer code" list, or a specific Hospital Electronic Billing Payer Codes list that the code comes from. If the source list is 'Unknown' or an 'Other' list not included in Chap 241 such as Internal Hospital Defined code, those will be accepted as sources. We would appreciate receiving information that is as specific as possible to help guide our ability to assist with hospital system transitions and standards adoption.

Example Table

Payer Code (IP3004 or OP3004) Payer Identification Number	Payer Name (IP3006 or OP3006)	Normalized Name	Source List
39026	ZZ WAUSAU BENEFITS IN	WAUSAU INSURANCE COMPANIES/UHIS	ELEC PAYER CODE
10001	MEDICAID	MEDICAID	MHDO PAYER CODE
20180	&S OF ILLINOIS	ANTHEM	MHDO PAYER CODE
20180	BD OF MI-I/P	ANTHEM	MHDO PAYER CODE
80624	TODAYS OPTIONSAMER PROG	AMERICAN PROGRESSIVE	NAIC
80624	TODAYS OPTIONSAM PROGR	AMERICAN PROGRESSIVE	NAIC
20180	BLUE ADVANTAGE ADMIN	ANTHEM	MHDO PAYER CODE
79413	EVERCARE-SOLUTIONS	UNITEDHEALTHCARE INS CO	NAIC
94587	MEMBERS HLTH/CANCELED	SELF PAY	NAIC
180	MEDICARE-A	MEDICARE	MHDO PAYER CODE
20180	ANTHEM MEDICARE ADVANTAGE	ANTHEM	MHDO PAYER CODE

Code Sources

If you are working on building a new set of Payer codes, or would like to update your existing lists, the lists indicated in Chapter 241 are as follows:

- Hospital Electronic Billing Payer Codes are a category of proprietary lists available from a wide variety of sources. These often come as part of a package of billing or revenue services. MHDO cannot directly provide these lists, but several can be found and browsed online.

- NAIC Company code available from the website: http://www.naic.org/prod_serv_alpha_listing.htm#life_guide under heading: "Listing of Companies" These are updated twice a year.
- MHDO Payer codes are codes specified by MHDO which include a standardized list of Payer codes along with a payer type (e.g. Self Pay) code list from MHDO which was used historically. This list is available by request to the Help Desk mhdohelp@norc.org and will be in the Portal.

REPORTS MENU

This section of the Portal will allow you to view different types of reports. This section is still Under Construction and we will provide updates when functionality is built out.

FEEDBACK AND QUESTIONS

If you encounter any issues during testing, please contact MHDO Help Desk: mhdohelp@norc.org. They will be able to assist with resolving issues or getting information from the appropriate staff members.

Even if you do not encounter blocking problems during Phase 5 Testing, please submit your feedback on the current functionality of the Hospital Data Portal to the MHDO Help Desk mhdohelp@norc.org to ensure we can address any concerns.

Thank you for providing your feedback.