

# SPARCS Update

New York State Department of Health

August 2014

Office of Quality and Patient Safety

## General Announcements

### *SPARCS Regulations: Title 10 NYCRR § 400.18*

We are pleased to announce an amendment to section 400.18 of the New York Codes Rules and Regulation Title 10, which will be finalized this month. Once fully adopted, the revised regulations will be posted on the Department's public website at [http://www.health.ny.gov/regulations/nycrr/title\\_10/](http://www.health.ny.gov/regulations/nycrr/title_10/), where they can be viewed by searching for "400.18."

SPARCS regulations were changed to delete obsolete language, realign to current practice, and add new provisions. The amended regulations authorize the creation of a SPARCS Data Governance Committee, who will oversee the release of identifiable SPARCS data, replacing the Data Protection Review Board. More information on the SPARCS Data Governance Committee is included in the Data Release section of this Update and additional detail will be included in the September 2014 SPARCS Update.

Another new provision within the revised regulations is the creation of data quality reports that will be sent to healthcare facilities. SPARCS Operations is currently preparing a series of data quality reports that highlight any inadequacies or inconsistencies in the data submitted by hospitals. Additional information on the amended regulations and SPARCS compliance is included in the Compliance and Quality Improvement section of this Update. More information on the availability and timing of data quality reports will be included in the September SPARCS Update.

### *SPARCS Data Collection Advisory Group*

SPARCS is in the preliminary stages of forming an advisory group for the purpose of collaborating on the data collection process and continuous quality improvements to SPARCS data.

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This collaborative effort will aid us in ensuring efficient processing and quality of SPARCS data.

If you are interested in participating in the SPARCS Data Collection Advisory Group, please e-mail us at [sparcs@health.state.ny.us](mailto:sparcs@health.state.ny.us).

### *Preliminary All-Payer Breast Cancer Surgery Volume Data Released*

The New York State Department of Health released preliminary all-payer breast cancer surgery volume data in support of the New York State Department of Health policy, whereby Medicaid will not pay for mastectomy or lumpectomy procedures performed at hospital and ambulatory surgery centers averaging fewer than 30 surgeries over a three-year period. These data reflect surgeries performed from 2011-2013 and submitted to SPARCS on or before May 31, 2014. The data provide facilities with a projected status of their volume designations (low or high). Additionally, release of these data provide facilities with sufficient time to correct any discrepancies between facility-calculated volume and SPARCS reported volume.

Volume data were e-mailed to facilities' SPARCS coordinators and backup coordinators on August 1st. Final breast cancer surgery volume data for Medicaid contracting in State Fiscal Year 2015-2016 will be calculated this November.

For any questions regarding the data, please contact Millah Musungu at (518) 486-9012.

### *Updates to SPARCS Public Website*

As part of our ongoing commitment to providing accurate, up-to-date, and complete information on SPARCS Operations, the SPARCS public website has been streamlined and updated with the most current information available. Please check out the new website design and updated content at:

<http://www.health.ny.gov/statistics/sparcs/>.

## **Compliance and Quality Improvement**

### *2013 Annual Reconciliation*

The 2013 annual reconciliation ends on **August 31, 2014**. Any facility that has not submitted all its 2013 data or has not requested an exception for those 2013 months with less than expected numbers of patient records will be at risk of receiving a Statement of Deficiency (SOD). The compliance report generated after the September 2, 2014 upload will be the basis for this determination.

### *SPARCS Compliance and the New SPARCS Regulations*

The amended SPARCS regulation, Compilation of the Rules and Regulations of the State of New York (NYCRR) Title 10 Section 400.18 is anticipated to be finalized in August 2014. The SPARCS reporting requirement in the new regulation reads as follows:

*Health care facilities must submit on a monthly basis to the SPARCS program, or cause to have submitted on a monthly basis to the SPARCS program, data for all inpatient discharges and outpatient visits. Health care facilities must submit, or cause to have submitted, at least 95 percent of data for all inpatient discharges and outpatient visits*

*within sixty (60) days from the month of a patient's discharge or visit. Health care facilities must submit, or cause to have submitted, 100 percent of data for all inpatient discharges and outpatient visits within one hundred eighty (180) days from the end of the month of a patient's discharge or visit.*

The July 18, 2014 announcement letter outlined the new compliance protocol for the timely submission of SPARCS data. SPARCS will no longer conduct an annual reconciliation with the data due 180 days after the end of the previous year, but a quarterly compliance reconciliation with 100% of successfully submitted SPARCS data due 180 days from the end of the quarter.

### **Monthly Notification**

Ninety-five percent of a healthcare facility's expected SPARCS data for discharges and visits occurring May 2014 were due July 31, 2014. SPARCS coordinators of healthcare facilities who submitted no SPARCS data or few SPARCS records were sent an e-mail reminder of this reporting requirement.

### **2014 First Quarter Compliance Reconciliation**

On July 25, 2014 SPARCS coordinators of healthcare facilities, who had submitted no data or less than the expected amount of SPARCS data for January, February, and March 2014, were sent a first notice warning e-mail. The determination was made based upon the SPARCS data successfully submitted by July 1, 2014. On August 12, 2014, SPARCS sent a second warning notice to the SPARCS coordinators of healthcare facilities have not submitted the proper number of patient records for the first quarter of 2014. The determination was based on the SPARCS data submitted for August 5th upload. One hundred percent of a healthcare facility's SPARCS data must be submitted by 180 days from the end of the quarter with all SPARCS data for the first quarter of 2014 due on September 30, 2014.

<b>Discharge Month</b>	<b>95% of SPARCS Data Due</b>	<b>100% of SPARCS Data Due</b>
<b>January 2014</b>	March 31, 2014	September 30, 2014
<b>February 2014</b>	April 30, 2014	September 30, 2014
<b>March 2014</b>	May 30, 2014	September 30, 2014

## **Data Release**

### *Limited and Identifiable*

Applications to obtain limited or identifiable SPARCS data should be submitted to [dprb@health.state.ny.us](mailto:dprb@health.state.ny.us).

The following organizations received SPARCS data files in July 2014.

The complete list of approved identifiable data requests can be found on our public website at [http://www.health.ny.gov/statistics/sparcs/dprb/approved\\_data\\_req.htm](http://www.health.ny.gov/statistics/sparcs/dprb/approved_data_req.htm).

Organization	Data File Type	Years
Boston University School of Medicine	Identifiable	2003-2010
Dartmouth-Hitchcock Medical Center	Limited	2012
HANYS Service Inc.	Identifiable	2013-2014
Hospital of the University of Pennsylvania	Identifiable	1995-2012
IPRO	Identifiable	2013
Montefiore Medical Center	Identifiable	2007-2012
Mount Sinai - Icahn School of Medicine	Limited	1982-2013
Mount Sinai Hospital - Department of Urology	Limited	1982-2012
Next Wave Inc.	Identifiable	2013
NYC DOH MH	Identifiable	2000-2014
O'Conco Healthcare Consultants	Limited	2013
Pennsylvania Office of Attorney General Antitrust	Limited	2012
Stony Brook University Medical Center	Limited	2011-2013
SUNY Downstate Medical Center	Identifiable	2012
SUNY Stony Brook University Hospital	Identifiable	2011-2012
Truven Health Analytics-MMT	Limited	2013
University at Buffalo School of Nursing	Identifiable	2000-2012
University of Iowa	Limited	2008 - 2012
University of Rochester	Identifiable	2000-2012

### *Data Release Governance Committee*

In compliance with an *amendment to* Title 10 NYCRR § 400.18, the Data Protection Review Board (DPRB), has been replaced with the SPARCS Data Governance Committee (DGC). The process for applying for SPARCS data largely remains the same; however, requests for data will no longer be reviewed by an external board. If you are interested in requesting SPARCS limited or identifiable data, you will need to complete the appropriate application, available for download from the Department's public webpage: <http://www.health.ny.gov/statistics/sparcs/forms/>.

## **Submitter Notes**

### *Collecting and Reporting SPARCS Expanded Race and Ethnicity Data*

All facilities reporting inpatient discharges to SPARCS were to be fully transitioned to collect and report the expanded race and ethnicity categories by January 1, 2014.

One of the best resources available to facilities to ensure a successful transition is the <http://improvepatientdatanys.org/> website, "Addressing Health Equity: Eliminating Healthcare Disparities in New York State." The website provides presentations, toolkit materials, and other resources to ease the transition to collect and report the expanded race and ethnicity categories.

On the data reporting side, SPARCS Operations has published the expanded race and ethnicity categories in its Appendix RR and the SPARCS inpatient Race and Ethnicity Addendum to X12-837 Input Data Specifications.

The most significant changes from the way that facilities used to report race and ethnicity is that now all race and ethnicity codes must be reported in the DMG segment using the codes provided in Appendix RR. The practice of allowing the reporting of race and ethnicity codes in the NTE segment has been discontinued. Also, the DMG segment has been expanded to allow a combination of up to 10 race and ethnicity codes for the subscriber (if subscriber is the patient) or patient.

### *Resubmitting Corrected SPARCS Records*

There has been an increase in duplicate records being submitted to SPARCS as a result of facilities resubmitting entire files instead of just corrected records. This causes an increase in processing time which results in jobs running much slower. When resubmitting corrected records, please resend only those corrected, and not the entire file. Facilities having difficulties submitting corrected records only, please contact us at [sparcs@health.state.ny.us](mailto:sparcs@health.state.ny.us).

### *SPARCS-837 PC Application SQLite Issues*

A few facilities have reported that they have received SQLite errors while importing SPARCS X12-837 format data into their SPARCS-837 PC application. The following suggestions could help eliminate SQLite errors while importing X12-837 data into the SPARCS-837 PC application:

If you are using McAfee anti-virus software, create the following On-Access/real-time Exclusions:

- Folder exclusion: C:\Program Files\SPARCS (include subfolders) Action: read/write
- File exclusion: \*\*\sparcs.\* (this excludes any filename sparcs.<any extension> in any folder/subfolder on the PC).

If you are using the enterprise Symantec Anti-Virus software, the following User-defined Exceptions have found to be effective:

<u>Exception Item</u>	<u>Exception Type</u>	<u>Action</u>
C:\Program Files (x86)\SPARCS\smain.exe	All Scans	Ignore
C:\Program Files (x86)\SPARCS\*	Security Risk Scans: All Scans	Ignore
C:\Program Files (x86)\SPARCS\*	SONAR	Ignore

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We welcome comments and feedback, please contact us at:

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**SPARCS Update** newsletters are distributed electronically to individuals with Health Commerce System (HCS) data upload access, subscribers to SPARCS-L, and other interested parties upon request. Updates are available online at:

<http://www.health.ny.gov/statistics/sparcs/newsletters/>