

Attachment B

DRAFT

# Insure Kids Now

Provider Data Submission Technical Information

June 16, 2009

Centers for Medicare & Medicaid Services (CMS)

Health Resources Services Administration (HRSA)

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## Table of Contents

| <u>Section</u>  | <u>Page</u> |
|---|-------------|
| Provider Data Submission Technical Information .....  | 1           |
| What is eRoom? .....  | 1           |
| Option 1: Submission of Oral Health Provider Data Files Produced from a State's Automatic Data Processing Systems ..... | 1           |
| Option 2: Use Desktop Data Entry to Produce Oral Health Provider Data Files .....                                       | 4           |
| Option 3: Direct Entry on Oral Health Provider Data Using eRoom Database .....  | 5           |
| APPENDIX A: Add Files Procedure .....   | A-1         |
| APPENDIX B: Entry of Federally Qualified Health Centers Provider Data .....   | B-1         |

# Insure Kids Now

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## Provider Data Submission Technical Information

The Insure Kids Now (IKN) website project entails collecting data about qualified Oral Health Providers<sup>1</sup> within each State or Territory and development of a locator application to make this data available to the public over the web. Centers for Medicare & Medicaid Services (CMS) and Health Resources and Services Administration (HRSA) will be using the **eRoom** collaborative environment to collect and disseminate information about the IKN website project and to coordinate with our State<sup>2</sup> partners in this effort.

### What is eRoom?

The eRoom is a secure portal for sharing electronic project data and information including: documents, databases, files, schedules, calendars. Each State will be part of the IKN community and have access to the common data and restricted access to their own State information and data. Only personnel from your State (and the system administrators) will be able to access your State's IKN eRoom. Each State is to inform the IKN eRoom Site Administrator of the personnel who will be granted access to the IKN community and the State specific eRoom. The administrator will provide the users the log in instructions, identification, and passwords so that they can gain access to the IKN eRoom. The eRoom will have documents and information on the fields we are collecting, how the data will be used, the Access Data Collection Tool, additional instructions for the various types of ways to provide the data, and an eRoom database for collecting this data.

Because the States manage their provider data in a variety of ways, CMS and HRSA have identified three options for creating and submitting the required data (in effect large, medium, and small scale data options). The first is creation of the data files from a State's automatic data processing (ADP) system, the second is using a CMS and HRSA provided desktop database tool, and the third is entry of data in an uncomplicated web data table. *The States will need to inform CMS and HRSA which option the State will employ. Each of the options is described below.*

### **Option 1: Submission of Oral Health Provider Data Files Produced from a State's Automatic Data Processing Systems**

CMS and HRSA are asking States to provide Oral Health Provider Data in two text files. The first is the control file which provides identifying information for the data. This control file needs to be called **IKN\_CONTROL\_XX.txt** (where the XX is the State abbreviation) and must contain the name of preparer, the contact name, contact phone number, contact e-mail (if available), the

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<sup>1</sup> A qualified oral health provider is one who provides dental services to children enrolled in the State plan (or waiver) under Medicaid or the State child health plan (or waiver) under the Children's Health Insurance Program (CHIP).

<sup>2</sup> The term **State** refers to U.S. States, the District of Columbia, and Territories throughout the remainder of the document.

# Insure Kids Now

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number of records, and the data as of date. The second file called **IKN\_XX.txt** (where the XX is the State abbreviation) is a vertical pipe ( | ) delimited file (the pipe separates the fields) which contains the data elements in the required order as described in **Table 1** below.

The first line of the data file shall include the pipe-delimited list of field names (see **Table 1** below) as this shall be used in validation of the submission. For values you are leaving blank, two pipes will be together with nothing in between. Here is an example record showing the first few data fields of the first two lines in a data file.

```
Nat_Prov_ID|Prov_Aff|First_Nm|Middle_Nm|Last_Nm|Fac_Nm|Phy_Street_Addr|City|...  
12345|FQHC|John||Smith|Family Dentistry|123 Elm Street|Topeka|...
```

**Figure 1. Example of Provider Data File.**

Note that John Smith has no middle name, but the position is maintained by the two pipes with nothing in between. There are some data elements which are optional, if a State does not have these data elements at this time, a blank entry is acceptable. For fields that allow for multiple entries within them (i.e. Language), please use a comma (,) to separate the multiple entries (example: |Spanish, Chinese|).

Each distinct physical location at which a provider (as defined by their National Provider Identifier or State Medicaid Number) works needs a record. As guidance, some provider and location scenarios and the expected pipe-delimited data records are described below:

**One Provider at One Location:** If a provider has one location then the **IKN\_XX.txt** file would have a single complete record for that provider.

**One Provider with Multiple Locations:** If a provider has three locations then the **IKN\_XX.txt** file would have three complete records for that provider.

**Practice with More than One Provider and One Location:** If a practice has two providers at a single location then the **IKN\_XX.txt** file would have two complete records (one for each provider).

**Practice with More than One Provider and Multiple Locations:** If a practice has two providers and three locations then the **IKN\_XX.txt** file would have complete records for each provider associated with each location at which that provider practices.

*Please refer to **Appendix B, Entry of Federally Qualified Health Centers Provider Data** for special instructions for handing of the Federally Qualified Health Center (FQHC) data.*

# Insure Kids Now

**Table 1. Oral Health Provider Data Elements.**

| Data Element Name      | Description                           | Required | Comments  |
|------------------------|---------------------------------------|----------|---|
| <b>Nat_Prov_ID</b>     | National Provider Identifier          | Required | Will not be available on the IKN website. Could be the State Medicaid Number if the provider does not have a NPI  |
| <b>Prov_Aff</b>        | Provider Affiliation                  | Required | For entry purposes use the provided codes:<br><b>PP</b> = Private Practice<br><b>CHC</b> = Community Health Center<br><b>HD</b> = Health Department<br><b>OTH</b> = Other |
| <b>First_Nm</b>        | Provider First Name                   | Required | Note: See FQHC exception Appendix B   |
| <b>Middle_Nm</b>       | Provider Middle Name                  | Optional | Note: See FQHC exception Appendix B See FQHC exception  |
| <b>Last_Nm</b>         | Provider Last Name                    | Required | Note: See FQHC exception Appendix B See FQHC exception  |
| <b>Grp_Prac_Nm</b>     | Group Practice Name                   | Required | Only if applicable.   |
| <b>Active_Ind</b>      | Active Status                         | Required | Enter Y or N.   |
| <b>Active_Dt</b>       | Active Date                           | Optional | mm/dd/yyyy  |
| <b>Inactive_Dt</b>     | Inactive Date                         | Optional | mm/dd/yyyy  |
| <b>Fac_Nm</b>          | Facility Name                         | Optional | Applies in cases where the practice location is associated with or contained in a facility such as a hospital, school, or community health center                         |
| <b>Phy_Street_Addr</b> | Provider Physical Site Street Address | Required | No P.O. Box or R.R. Box. Only a physical location where services are provided.  |
| <b>City</b>            | Provider City                         | Required |   |
| <b>State_Abbr</b>      | Provider State                        | Required | Two character postal abbreviation.  |
| <b>ZIP</b>             | Provider ZIP Code                     | Required | 99999-9999  |
| <b>Phone_Num</b>       | Phone Number                          | Required | 999-999-9999 x999   |

## Insure Kids Now

| Data Element Name    | Description                         | Required | Comments  |
|----------------------|-------------------------------------|----------|---|
| <b>FAX_Num</b>       | FAX Number                          | Optional | 999-999-9999 x999   |
| <b>Lang_Spoken</b>   | Languages Spoken                    | Optional | Only enter languages other than English that are spoken at the facility. A blank entry indicates that only English is spoken.<br>NOTE: Use a comma (,) to separate multiple entries |
| <b>Specialty</b>     | Provider Specialty                  | Required | Select any and all from list: General Dentist; Pediatric Dentist; Oral Surgeon; Orthodontist; Endodontist; Periodontist.<br>NOTE: Use a comma (,) to separate multiple entries      |
| <b>New_Patients</b>  | Accepts New Patients                | Required | Enter Y or N.   |
| <b>Special_Needs</b> | Can Accommodate Special Needs       | Required | Enter Y or N.   |
| <b>Website</b>       | Website Address                     | Optional |   |
| <b>Managed_Care</b>  | Affiliation with Managed Care Plans | Optional | Name of the Managed Care Organization   |

When creating the pipe-delimited data file, use only the column names exactly as provided. Additional, missing, or miss-ordered data elements will impede the loading of your State's data. The created data submission files **IKN\_CONTROL\_XX.txt** (control) and **IKN\_XX.txt** (pipe-delimited provider data) will be uploaded by the State into their IKN eRoom by the required date as noted in the cover letter. Please refer to **Appendix A, Add Files Procedure** for assistance with the file upload process. *Remember a state's submission is not complete unless both the control and provider data files have been uploaded in the State's eRoom.*

### **Option 2: Use Desktop Data Entry to Produce Oral Health Provider Data Files**

For States which would like to manage this data on their own, but will not be exporting the data from an existing database system, a small straightforward Microsoft Access database tool is available for download from the IKN eRoom. This tool opens a switchboard menu for navigation to (1) the State Control Information data entry window, (2) the oral health provider information data entry window, (3) a printable report to facilitate State review of the data, and (4) the IKN files export function which will produce the submission files in the correct format (see **Table 1** above) and save them to a location on the user's workstation or network. The process

# Insure Kids Now

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of data entry process starts with entry of the State control information; this is the State identifying information which is used in validating a State's submission. The second step is entry/review of the provider data. There are some data elements which are optional, if a State does not have these data elements at this time, a blank entry is acceptable; please refer to **Table 1** above for the required and optional data elements. Next is the automatic production of the data files (the final button on the switchboard menu). At this point the State is ready to submit their data; this is accomplished by logging into the eRoom and uploading the two required data files into their eRoom by the specified date. Please refer to **Appendix A, Add Files Procedure** for assistance with the file upload process. A benefit of using the desktop tool is that States can update their own IKN provider data using this tool as required (not just for the quarterly submissions) and make use of this data for their own reporting purposes. *Remember a state's submission is not complete unless both the control and provider data files have been uploaded in the State's eRoom.*

*Please refer to **Appendix B, Entry of Federally Qualified Health Centers Provider Data** for special instructions for handling of the Federally Qualified Health Center (FQHC) data.*

## **Option 3: Direct Entry on Oral Health Provider Data Using eRoom Database**

*Option 3 is the only one which will not require uploading any data files.*

Each State will have its own eRoom **CHIP Oral Health Care Providers Database**. This database will allow the State to key in their provider data from scratch or start with the import of a CSV file and edit it in the eRoom. The State would complete their data entry by the required date and HRSA/CMS will directly retrieve the data from each State's eRoom database. There are some data elements which are optional, if a State does not have these data elements at this time, a blank entry is acceptable; please refer to **Table 1** above for the required and optional data elements. This may be the best option for States where there are a limited number of providers (under 50) or provider lists where there is little change from quarter to quarter, since data can be updated over the web and HRSA/CMS will be responsible for storing and backing up the data. If a State needs to use their data, the eRoom database can be exported using a button on the database page (see **Figure 2** below).

When States are entering data in its eRoom database, keep in mind that each distinct physical location at which an oral health provider (as defined by their National Provider Identifier or State Medicaid Number) works needs a record. As guidance, some provider and location scenarios and the expected data entries are described below:

# Insure Kids Now

**One Provider at One Location:** If a provider has one location then the **eRoom database** would have a single complete record for that provider.

**One Provider with Multiple Locations:** If a provider has three locations then the **eRoom database** would have three complete records for that provider.

**Practice with More than One Provider and One Location:** If a practice has two providers at a single location then the **eRoom database** would have two complete records (one for each provider).

**Practice with More than One Provider and Multiple Locations:** If a practice has two providers and three locations then the **eRoom database** would have complete records for each provider associated with each location at which that provider practices.

Please refer to **Appendix B, Entry of Federally Qualified Health Centers Provider Data** for special instructions for handling of the Federally Qualified Health Center (FQHC) data.

The screenshot shows the EMC2 documentum eRoom interface for the 'CHIP Oral Health Care Providers Database'. The page includes a header with the EMC2 logo and 'documentum eRoom'. Below the header, there is a navigation path: 'My eRooms > CHIP Oral Health Providers > CHIP Oral Health Care Providers Database'. The main content area features a title 'CHIP Oral Health Care Providers Database' with an 'edit' link, a note 'a database created by Julie Baitty on 2 Apr 09', and a summary bar with 'new entry', 'show search', and '(all 2 entries shown)'. A descriptive paragraph explains that the database allows for manual entry or CSV import. Below this is a summary table with columns for 'National Provider Identifier', 'Provider Affiliation', 'Active Status', and 'Provider Specialty'. A detailed table below shows columns for 'National Provider Identifier', 'Provider First Name', 'Provider Last Name', and 'Group or Clinic Name'. At the bottom, there are various utility buttons like 'new entry', 'print view', 'Export to HTML', 'Custom Print', 'EOC Wizard', 'HRSA Statistical Report', 'Print Detail', 'access', 'notification', 'export', and 'import'. Callout boxes highlight the 'Add Record Button' (pointing to 'new entry'), 'HTML Export Button' (pointing to 'Export to HTML'), 'CSV Export Button' (pointing to 'Export to CSV'), and 'Import Button' (pointing to 'import').

| National Provider Identifier | Provider Affiliation |                   | Active Status |    |       | Provider Specialty |       |     |
|------------------------------|----------------------|-------------------|---------------|----|-------|--------------------|-------|-----|
| non-blank                    | FQHC                 | Safety Net Clinic | yes           | no | blank | General Dentist    | Other | yes |
| 1                            | 1                    | 1                 | 2             | 0  | 0     | 1                  | 1     | 2   |

|          | National Provider Identifier | Provider First Name | Provider Last Name | Group or Clinic Name (Practice Name) for the physical site |
|----------|------------------------------|---------------------|--------------------|--|
| Group by | National Provider Identifier |                     |                    |  |
| +        | 0001                         | 1                   |                    |  |
| +        | (blank)                      | 1                   |                    |  |

Figure 2. eRoom Database Page.

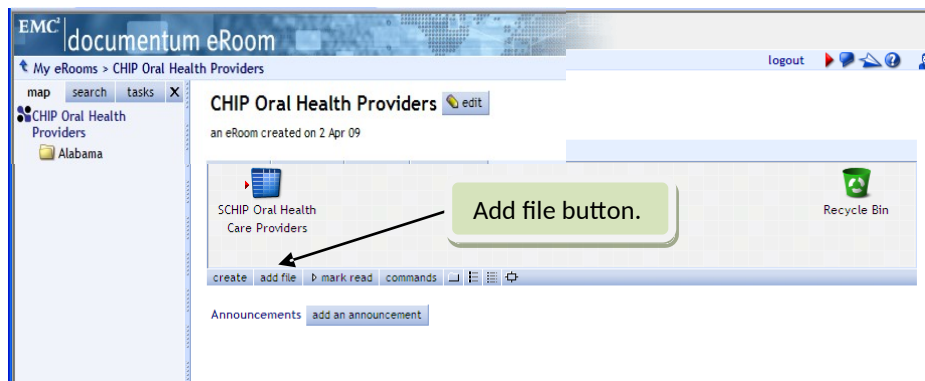


# Insure Kids Now

## APPENDIX A: Add Files Procedure

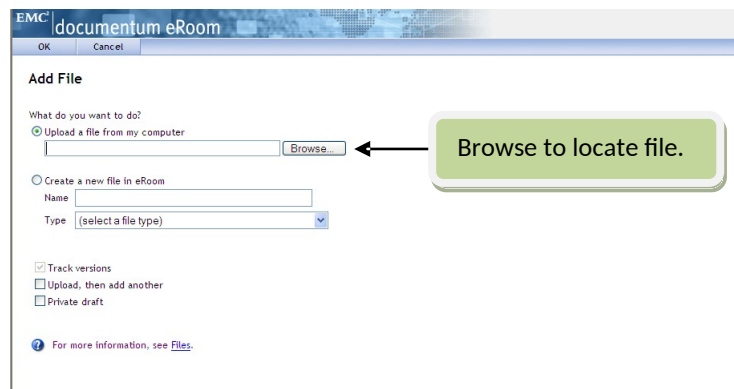
The procedure to add files is described here. The description is uses the specific instances of adding the *IKN\_CONTROL\_XX.txt* control file and the *IKN\_XX.txt* pipe-delimited provider data file). Remember a state's submission is not complete both files have been uploaded in the state's eRoom.

The process for doing this is to first log into your state IKN eRoom. After logging in the user will see an eRoom as displayed in **Figure 1** below (there will be more items in the state eRooms, this is just for demonstration). Click the **<add file>** button.



**Figure 1. Example State IKN eRoom.**

Next the Add File page will appear (see **Figure 2** below); the user can browse their desktop/server to find the location where the data files are located, select the control file and then click the **<OK>** button. Then repeat this for the provider data file.



**Figure 2. eRoom Add File Page.**

## **APPENDIX B: Entry of Federally Qualified Health Centers Provider Data**

Many Federally Qualified Health Centers (FQHCs) provide dental services through contracts with local private practices. It is understood that many of these oral health providers supplying these services through these contractual arrangements may not want their practice information listed on the IKN website. It is not necessary to provide the name and address of oral health providers that are seeing clients through contracts with FQHCs, assuming that the billing is done through the FQHC's National Provider Identifier (NPI). Instead, it is requested that when providing information for FQHCs, that the addresses of all clinic locations that provide oral health services are listed separately and that a name of an FQHC staff person be identified. For entries identified as an FQHC, only the name, address and phone number will be listed on the IKN website and not the provider name.