

Statewide Planning and Research Cooperative (SPARCS)



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Overview

- What is SPARCS?
- SPARCS Data Set
- SPARCS Submissions
- SPARCS Submission Enforcement
- SPARCS Data Access
- SPARCS Future
- UDS

Statewide Planning and Research Cooperative (SPARCS)

- Enabling legislation is located under Section 28.16 of the Public Health Law of New York.
- Part of the legislation requires providers to pay an annual assessment to fund SPARCS operations.
- Facility Operating Certificates are the ‘inventory’ of locations and services that must submit data to SPARCS.

Statewide Planning Research and Cooperative (SPARCS)

- Detailed information about each patient seen in a New York State Hospital or Ambulatory Surgery Center must be submitted.

Data Submission inclusions:

- 1979 – Inpatient (2.3 Million)
- 1984 – Ambulatory Surgery (2.5 Million)
- 2005 – Emergency Room (6.7 Million)
- 2011 – Other Outpatient visits to Hospital sites (EODC) (Phase I)
- 2016 – Laboratory & X-Rays performed on site (19 Million)
- Future – Outpatient visits from Extension Clinics owned by submitters (Phase II)
- Future+ - All Diagnostic & Treatment Centers (D&TCs)(Phase III)

SPARCS Data Uses

- Department of Health (DOH) oversight of hospitals and providers in NYS.
- DOH rate setting methodologies APR-DRGs and EAPGs (treatment of sicker patients, higher payments) for Medicaid, WC and No-Fault.
- Data set available to industry to evaluate and understand healthcare provided in NYS.
- DataGen packages the data in Sg2's *MarketEdge* product to provide market data.

SPARCS – Data Collection

- Data Submitted in ANSI X12 837R electronic format.
- Data submitted to SPARCS:
 - Patient demographics – Name, DOB, race, ethnicity, address, marital status, gender, SSN.
 - Stay information – admit and discharge date/time, admit type, point of origin, discharge disposition, attending physician and surgeon.
 - Diagnosis, present on admission and procedure information.
 - Charge and accommodation information.
 - Detailed payer information (~20 Categories.)
 - Miscellaneous: Heart rate data for AMI, birth weight, mother’s medical record number.

SPARCS Visit Submission Requirements

- Determination based on regulatory SPARCS requirements for:
 - Location – In a facility that provides inpatient, ambulatory surgery or emergency services in that location.
 - Provider – Provided by a licensed NYS provider.
 - Billable – As an institutional bill, not just professional bill.
 - Charges – Must have charges to require submissions.

Not just a landlord!

SPARCS Submissions

In 2017-18 SPARCS turned off their 1980's home grown mainframe submission and outsourced collections and edit efforts to Optum. As a result many submission rules changed and created new challenges for submitters.

National Uniform Billing Commission (NUBC) 837R ANSI X12 formatting requirements are strictly enforced for all submissions.

SPARCS Edits

- All code sets edited for validity based on discharge date.
- Minimum data set requirements are in place for almost every field.
- Relational edits (If this, then that is required).
- Only 'clean' data is excepted by SPARCS.

SPARCS Rejected Records

- SPARCS rejected records are supposed to be corrected and resubmitted by providers.
- Some submitters do, some don't.
- This can lead to volume shortages.
- SPARCS has compliance rules in place to validate that monthly submission volumes are reasonable.

SPARCS Submission Requirements

- Facilities must submit 95% of their SPARCS data within 60 days following the month of patient discharge; and
- Facilities must submit 100% of SPARCS data within 180 days following the end of the facility's fiscal year (June 30 of the following year).

Statement of Deficiency (SOD)

- SOD can be issued for non-compliance with SPARCS submission requirements.
- Will result in fines – based on \$10,000 per month, per patient type.
- SOD – creates extra work and is permanently on file for the facility.
- SOD's hinder Certificate of Need (CON) requests.

SPARCS Audit Reports

- SPARCS audit reports are updated approximately every week – check date in upper right corner.

New York State Department of Health
Statewide Planning and Research Cooperative System
Outpatient Data Type Report for Calendar Year 2017

Date Published to Web: 09/21/2020

TOTAL	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	Latest Submission
106,303	8,857	8,307	9,310	8,822	9,441	9,799	9,002	10,198	9,084	6,834	6,726	9,923	01/04/20
23,450	1,992	1,746	1,851	1,881	2,146	2,121	1,867	2,048	1,868	2,084	2,065	1,781	11/08/19
52,412	4,555	4,058	4,611	4,185	4,760	4,611	4,204	4,601	4,204	4,453	4,288	3,882	11/08/19
300,314	27,270	24,860	27,397	24,525	26,561	26,575	21,876	24,454	23,869	25,757	24,629	22,541	11/08/19
14,029	1,188	1,130	1,291	1,206	1,283	1,298	1,113	1,161	1,094	1,126	1,136	1,003	11/08/19
2,439	360	347	370	389	446	0	0	121	134	102	85	85	11/08/19
39,687	3,452	3,165	3,582	3,388	3,599	3,550	3,139	3,619	3,358	2,648	3,291	2,896	06/20/20
63,743	6,724	6,407	6,998	6,629	7,327	6,884	6,445	7,372	7,143	1,814	0	0	11/08/19
128,755	13,270	12,538	13,277	13,122	13,610	14,152	12,360	11,510	7,839	4,902	4,818	7,357	09/10/20
105,737	11,288	10,354	11,089	10,595	11,645	11,385	10,385	11,560	11,639	2,532	3,265	0	11/08/19
120,403	10,107	9,372	10,835	9,983	10,587	10,642	9,654	11,161	10,185	9,984	9,688	8,205	11/08/19
111,688	10,172	9,046	9,905	8,991	9,783	9,629	8,969	9,512	8,880	9,348	8,884	8,569	09/10/20
45,415	4,037	3,697	4,296	3,889	4,692	4,356	3,175	3,494	3,942	3,638	3,383	2,816	11/08/19

SPARCS Compliance Reports

**2020 SPARCS Data Submission Compliance Report -- Data Received Through JANUARY 2021
Submissions Not Meeting the Standard of 80% of 2019 Monthly Average (Feb and Dec Set at 75%)**

IP	January	1096	876	1,097		100%			2020 MAR
	February		822	1,021		93%			2020 JUN
	March		876	1,088		99%			2020 JUN
	April		876	817	59	74%	YES		2020 JUL
	May		876	910		83%			2020 JUL
	June		876	1,006		91%			2020 AUG
	July		876	1,108		101%			2020 SEP
	August		876	1,008		91%			2020 OCT
	September		876	956		87%			2020 NOV

- All Green – no letter

2022 Compliance

- **Q1 First Notice Sent April 2022**
 - Next escalation each month
- **Q2 First Notice Scheduled for July 2022**
 - Next escalation each month
- **Q3 First Notice Scheduled for October 2022**
 - Next escalation each month
- **Q4 First Notice Scheduled for January 2023**
 - Next escalation each month

Reminder: 95% of cases due 60 days after the end of a month.

SPARCS Compliance Expectations

- SPARCS will expects organizations to validate compliance reports and ‘certify’ that counts accurately reflect patients treated.
- SPARCS data reflects the services you provide to your community and is utilized by the Department of Health for rate setting, surveillance and many other aspects of measuring and evaluating healthcare in New York State.
- COVID has required many exceptions and will forever make 2020 and 2021 data unique.

SPARCS Release of Data

SPARCS now relies on Optum for their release of data.

SPARCS in Fall of 2021 just getting back to regular time line for release of quarterly data for 2020, 2019, 2018.

SPARCS data doesn't change much after a couple of years.

SPARCS Data Availability

- **Public use data (Annual)**
 - No identifiers, patient level
 - Available for download
- **Limited data (Quarterly)**
 - Limited identifiable (ZIP code, age)
 - Requires application, use cases and confidentiality
- **Identifiable data (Quarterly)**
 - Identifiable (account numbers, birthdate and address)
 - Requires application, use cases and confidentiality

SPARCS Data can include Unique Identifier

- Unique Identifier is encrypted to allow tracking readmissions, patients bouncing from one hospital to another and tracking trends.
- Also can be used across years.
- This is the big benefit for researchers trending data across episodes.

SPARCS Data

- Available from SPARCS includes DRG (MS and APR) and APG data.
- Used for:
 - Data released to NYSDOH and over 100 entities
 - Market Expert – Comparing hospital market share and services
 - Evaluating new sites and demands for healthcare services
 - Healthdata.ny.gov, Healthgrades.com, WEBMD, AHRQ, etc. for comparison purposes
 - SPARCS website show who receives Limited and Identifiable data

Real SPARCS Data

- 2018 Percutaneous Cardiovascular Procedures W AMI ROM and Death

	Cases	Deaths
1 Total	40.5%	0.6%
2 Total	33.7%	2.9%
3 Total	16.1%	11.1%
4 Total	9.5%	85.4%
APR DRG 174 Total	11,968	171

Real SPARCS Data

- 2018 Septicemia & Disseminated Infections - ROM and Death

	Cases	Deaths
1 Total	11.8%	0.0%
2 Total	15.4%	.7%
3 Total	34.0%	10.5%
4 Total	38.8%	88.9%
APR DRG 720 Total	95,284	10,969

Real SPARCS Data

- 2018 Inpatient Sepsis Diagnoses - POA

Yes	71.6%
No	12.6%
U – Insufficient Documentation	.1%
W – Clinically Undetermined	.1%
Blank	15.8%

Real SPARCS Data

- Payer Typology – Inpatient 2018

1	MEDICARE	39.2%
2	MEDICAID	28.6%
3	OTHER GOVERNMENT (Federal/State/Local)	0.6%
4	CORRECTIONS	0.1%
5	PRIVATE HEALTH INSURANCE	15.0%
6	BLUE CROSS/BLUE SHIELD	11.1%
7	MANAGED CARE, UNSPECIFIED (to be used only if one can't distinguish public from private)	2.7%
8	NO PAYMENT FROM AN ORGANIZATION/AGENCY/PROGRAM/PRIVATE PAYER LISTED	1.6%
9	MISCELLANEOUS/OTHER	1.1%

SPARCS Data

- Readmissions
- Agency for Healthcare Research and Quality Methodologies (AHRQ)
 - Inpatient Quality Indicators
 - Patient Safety Indicators (including PSI 90)
 - Healthcare Associated Infections
- Severity of Illness and Risk of Mortality

SPARCS 'Future'

- SPARCS is planning on implementing Phase II of the EODC data collection process. This would require all current submitters to report all cases from additional locations on your operating certificates.
- Overall volume will exceed 100 million additional cases submitted to SPARCS.
- We are configuring UDS web to handle this volume easily and quickly.
- Implementation date?

UIS Data Systems

SPARCS Done 100%

SPARCS Done 100%

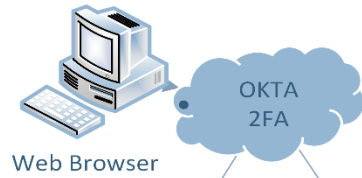


UIS Data System

- UDS serves as a back-end scrubber that edits inpatient and outpatient data for submission to SPARCS.
- Helping ~100 Hospitals and Ambulatory Surgery Centers achieve SPARCS requirements.
- Ensures data meets latest SPARCS requirements every month.
- Over 30 years experience.
- Zero IT footprint.

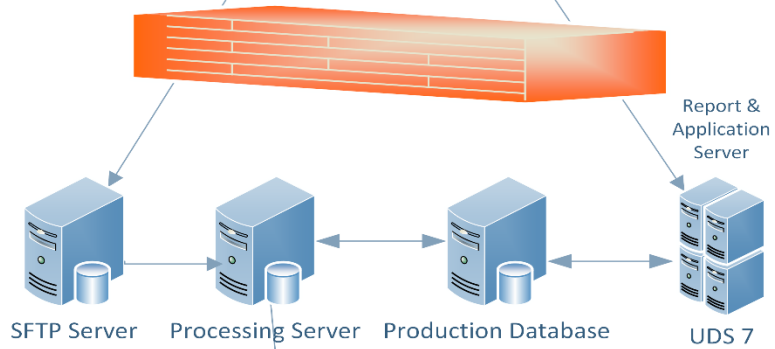
UDS 7

Clients



- Billing system exports records for submission.
- Exported records are uploaded via SFTP.
- Problematic records are corrected within UDS 7 user interface.
- Each client can access their own data.
- A User ID, password and OKTA 2FA is required to gain access.
- The site is protected with a digital certificate that is renewed annually.

DataGen



- Uploaded data are processed and stored in DataGen client-specific databases.
- The servers are encrypted.
- Data records are edited and problem-records are identified for correction.
- UDS 7 makes it easy to identify and correct records to meet SPARCS submission criteria.
- Completed records are then exported and submitted to SPARCS by an authorized DataGen employee.

SPARCS



- The SPARCS website requires a User ID, password and a second factor for authentication.
- The SPARCS site is protected with a digital certificate that is renewed on an annual basis.

Dashboard

You are here: [Dashboard](#) / GetSummaryForPFI

General Hospital - 2021

Inpatient

Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
0	0	0	1,911	1,978	1,879	1,986	1,906	1,850	2,009	1,939	1,746
0	0	0	1,911	1,978	1,879	1,986	1,906	1,845	2,007	0	0
0	0	0	0	0	0	0	0	0	2	1,285	1,148
0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	5	0	654	598

Outpatient

Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
0	6	0	5,532	5,702	6,106	5,955	6,062	5,659	5,886	5,590	5,455
0	6	0	5,532	5,701	6,106	5,955	6,062	5,657	5,878	0	0
0	0	0	0	0	0	0	0	1	0	5,434	5,306
0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	1	0	0	0	1	8	156	149

Legend

- Total
- Submitted
- Ready
- Resubmission Required
- Incomplete

Before UDS Adjustments

Abstraction Error Correction

IMPORTED: 03/24/2022 10:33:27 SAVED: 03/24/2022 10:33:27

Patient 4 DX/OP Billing Patient Reports KEY MODIFIED SPARCS EDIT:

Patient 4 DX/OP OVERRIDE CHARGES OFF OVERRIDE MCE OFF

FIELD	ERROR MESSAGE
DispCodeIndex	Discharge Disposition required
MaritalStatus	Marital Status Required
PatientGender	Gender Required
ResideCity	Patient City of Residence required

Inpatient

FIRST NAME: **SALLY**

MED REC NUMBER: **IPSPDTest1**

STATEMENT THRU: **03/01/2019**

DISCHARGE DATE: **03/01/2019 11:00** LOS: **1**

GENDER: [Redacted] MARITAL STATUS: [Redacted] SSN: **000009950** CODER: [Redacted] CODED DATE: [Redacted]

RACE: **1 White** ADD/DEL: **+** # ETHNICITY: **1 Not Spanish/Hispanic** ADD/DEL: **+**

HOMELESS: OFF ADDRESS: **123 MAIN**

CITY: [Redacted] STATE: **New York** ZIP CODE: **12204**

COUNTY: **Albany** COUNTRY: [Redacted]

Physicians

#	ROLE	NUMBER	LAST	FIRST	MID	NPI	ADD/DEL
1	ATT	000011	DOCTERSMITH	DOCTERSALLY		1234567893	+

Adjustments

- Missing County code but Zip Code is present
- Diagnosis is exempt from POA reporting
- Payor Typology submitted but Claim Filing Indicator is missing or incorrect.

Automated SPARCS Submission Monitoring (Summer 2022)

Date	Client Name													
Pfi Number	PFI Description													
	Inpatient	Month -12	Month -11	Month -10	Month -9	Month -8	Month -7	Month -6	Month -5	Month -4	Month -3	Month -2	Month -1	Month
	SPARCS total as of {audit report date}	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT
	UDS Total Pre Submit	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU
	Batch Adds	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX
	Batch Modifies	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY
	Batch Deletes	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ
	File Name Created													
	Outpatient	Month -12	Month -11	Month -10	Month -9	Month -8	Month -7	Month -6	Month -5	Month -4	Month -3	Month -2	Month -1	Month
	SPARCS total as of {audit report date}	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT	TTTTT
	UDS Total Pre Submit	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU	UUUUU
	Batch Adds	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX	XXXXX
	Batch Modifies	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY	YYYYYY
	Batch Deletes	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ	ZZZZZZ
	File Name Created													

Thank you.



Contact us

www.datagen.info

1.844.DATAGEN