



**OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE**

WASHINGTON, DC 20301-1200

SEP 02 2011

HEALTH AFFAIRS

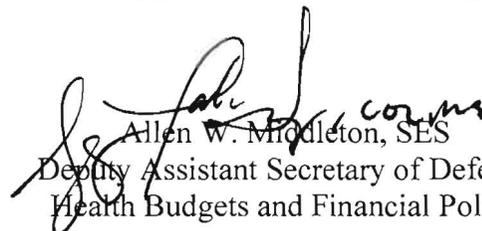
MEMORANDUM FOR DEPUTY SURGEON GENERAL OF THE ARMY  
DEPUTY SURGEON GENERAL OF THE NAVY  
DEPUTY SURGEON GENERAL OF THE AIR FORCE  
COMMANDER, JOINT TASK FORCE, NATIONAL  
CAPITAL REGION MEDICAL

SUBJECT: Policy Memorandum - TRICARE Management Activity Data Quality  
Management Control Program, Revised Reporting Documents

This memorandum revises Enclosure 1 (Data Quality Management Control (DQMC) Review List) and Enclosure 2 (Data Quality Statement) of Department of Defense Instruction (DoDI) 6040.40 (Military Health System (MHS) Data Quality Management Control Procedures), dated 26 November 2002. These important documents are the basis for the military treatment facility (MTF) Report Format submitted to you monthly from your MTFs. The changes recommended in this memorandum will be incorporated into the DoDI through a reissuance process at a later date; changes to the enclosures are authorized in the DoDI.

The DQMC Workgroup which includes both Surgeon General staff and TRICARE Management Activity representation has recommended changes to the reporting and management tools. The primary changes for fiscal year 2012 focus on clarifying the instruction language for DQMC Review List. Several new questions were added to the DQMC Review List to insert best practices for use of Composite Health Care System when completing monthly processing. In addition, Item E.4.i, the Armed Forces Health Longitudinal Technology Application (AHLTA) usage question, was deleted since AHLTA has been deployed across all Services. The revised DQMC documents will be used beginning with the December 2011 Reporting Period (October 2011 Data Month). These documents can be viewed on the DQMC webpage [http://www.tricare.mil/ocfo/mcfs/dqmcp/management\\_control.cfm](http://www.tricare.mil/ocfo/mcfs/dqmcp/management_control.cfm).

Thank you once again for your staff's cooperation in making improvements to the DQMC Program and continued support of the MHS data quality initiatives.

  
Allen W. Middleton, SES  
Deputy Assistant Secretary of Defense  
Health Budgets and Financial Policy

Enclosures:  
As stated

E.1 ENCLOSURE 1

FY 2012 DATA QUALITY MANAGEMENT CONTROL REVIEW LIST

<p><i>Instructions:</i> The Military Treatment Facility (MTF) Data Quality (DQ) Manager and members of the DQ Assurance Team (or other designated structure) will forward the completed DQMC Review List to the MTF Executive Committee and Commander for review, coordination and action to meet timelines for completing the Data Quality (DQ) Statement, <b>to be signed by the Commander of the MTF</b>. Fill in the form with a Yes or No answer, count or percentage, date or other entry as indicated. The completed list provides information for the completion of the monthly Data Quality Statement. <b><u>Bolded items contain data required to complete the Data Quality Statement. Please explain negative responses with proposed corrective actions in the comment sections.</u></b> The Review list is an internal tool to assist in identifying and correcting financial and clinical workload data problems. All items on this checklist will be completed on a monthly basis (data month – 2 months prior) unless otherwise specified or the question does not apply to the MTF in which case the answer is Not Applicable (na). For tracking purposes, the completed forms and accompanying working papers or audit support documents (summary level only and supports answers to the Review List) must be kept on file for <u>five years</u> or as otherwise noted in supporting guidance for the statements in Sections A-E below:</p>	
<p><b>A . Organizational Factors</b></p>	
<p><i>Leadership commitment and support are critical to assure the appropriate environment for data quality. Questions A.5 – A.7 are to be completed quarterly and all others in this section to be completed monthly.</i></p>	
<p><b>POC Name(s) and Phone Number(s)</b></p>	
A.1. The MTF Commander signed last month's Data Quality Statement acknowledging responsibility for the quality of data reported from the MTF.	Date signed:
A.2. The MTF DQ Manager submitted last month's Data Quality Statement to the Service's respective DQ Manager(s).	Date submitted:
A.3. The Data Quality Assurance Team or other designated structure met during the month to complete the DQMC Review List. (Recommend attaching meeting minutes.) Data Month: _____	Date completed:
A.4. The DQ Manager briefed last month's DQMC Review List, and Financial and Workload Data Reconciliation and Validation results to the MTF Executive Committee.	Date briefed:
A.5. Does your MTF have a Coding Compliance Plan. a) Reviewed and approved annually for update? Date: _____ b) Reviewed and approved quarterly for compliance? Date: _____	Yes or No
A.6. Does your MTF have a Uniform Business Office (UBO) Compliance Plan. a) Reviewed and approved annually for update? Date: _____ b) Reviewed and approved quarterly for compliance? Date: _____	Yes or No
A.7. Has your Data Quality Manager or Data Quality Assurance Team members attended: a) TMA Data Quality Course (DQ Manager in the last three years)? Date attended: _____ b) TMA Data Quality Course (DQ Assurance Team)? Latest date attended: _____ c) Have the members of the DQ Assurance Team been trained in their area of responsibility? Note: A.7.c is to be used locally to ensure that team members have training in their functions and responsibilities. (E.g., Analysis: WISDOM; Medical Expense and Performance Reporting System (MEPRS): MADI, QUEST; Uniformed Business Office (UBO): webinars; Patient Administration (PAD): Service PAD Course.)	Yes or No a) b) c)
A.8. Was there evidence in meeting minutes or other sources of corrective plans, of appropriate resourcing and actions to follow-up on the previous month's negative findings?	Yes or No
A. Comments: (Include comments for any items reflected above as non-compliant, to include corrective actions being taken, incident tickets initiated (if applicable), and estimated corrective date.)	





**C. Data Output**

*Data Output controls are used to ensure the accurate and timely distribution of outputs.*

**POC Name(s) and Phone Number(s)**

<b>C.1. Medical Expense and Performance Reporting System for Fixed Military Medical and Dental Treatment Facilities Manual (MEPRS Manual), DoD 6010.13-M, dated April 7, 2008, paragraph C3.3.4, requires report reconciliation. (Question 3 (a, b, c, d) of DQ Statement.)</b>	<b>Month Reviewed</b>	<b>Yes or No</b>
<p><b>a) Was the monthly MEPRS (EAS) financial reconciliation completed, validated, and approved by the MTF Resource Manager (i.e., Navy or Army Comptroller or Air Force Budget Officer or Analyst) prior to MEPRS monthly transmission?</b></p>	a)	a)
<p>b) Has the MTF used the Workload Generation Controller (WGC) in CHCS to generate their WWR and WAM files?</p>	b)	b)
<p>c) Were monthly Inpatient and Outpatient MEPRS (EAS) reconciliation processes completed (excluding coding audits performed in C.5, C.6 and C.7)?</p>	c)	c)
<p><b>d) Were the data load status, outlier or variance, WWR (EAS IV), and allocation tabs in the MEWACS document reviewed and explanations provided in the comments section for flagged data anomalies?</b></p>		
<p>1. EAS IV Repository MEPRS data load status and compliance with the 45-day reporting suspense or Service Guidance whichever is earlier. If the facility has a pattern (2 or more) of flagged cells on this tab, has it corrected it or developed a plan to correct it. Provide an explanation in the Comments Section.</p>	d.1)	d.1)
<p>2. MTF-specific summary data outliers. If the facility has any Prior Fiscal Year or Current Fiscal Year flagged cells on this tab, provide an explanation in the Comments Section.</p>	d.2)	d.2)
<p>3. WWR – EAS IV total ambulatory visit comparison. If the facility has any Prior Fiscal Year or Current Fiscal Year fiscal month data where WWR vs. EAS IV visit counts differ by greater than 5%, provide an explanation in the Comments Section.</p>	d.3)	d.3)
<p>4. Ancillary and Support expense allocation tests. If the facility is flagged in the Prior Fiscal Year or Current Fiscal Year due to incomplete allocation of ancillary or support expenses, provide an explanation in the Comments Section, including projected date for submitting corrected data.</p>	d.4)	d.4)
<p>Note: For MEPRS related guidance consult the following Web site: <a href="http://www.meprs.info">http://www.meprs.info</a></p>		
<p>e) For DMHRSi, have the “DoD Batch and Timecard Status Report” and “HR Data Issues affecting EAS” or similar reports been run and the results presented to the Commanding Officer for review?</p>	e) Count	e) Percentage
<p><b>f) For DMHRSi, what is the percentage of submitted timecards by the suspense date? (Timecards submitted by Service determined date.)</b> Formula: Number of timecards submitted on-time / total number of timecards for an MTF. Note: The FY12 goal is 100% on-time submissions.</p>	f) ___/___	f) ___%
<p><b>g) For DMHRSi, what is the percentage of timecards approved by the suspense date? (Timecards submitted by Service determined date.)</b> Formula: Number of timecards approved on-time / total number of timecards for an MTF. Note: The FY12 goal is 100% on-time approval.</p>	g) ___/___	g) ___%

<b>C. Data Output (Continued)</b>		
<p>C.2. Use CHCS during the data month to identify potential duplicate patient registration.</p> <p><b>a) For CHCS or AHLTA hosts only, what was the number of potential duplicate patient registration in the data month for all MTFs under the host? (Question 10a of DQ Statement.)</b>  Run the CHCS standard report – “Potential Duplicate Patient Search”. List the DMIS IDs of the MTFs included in the comments section.  Note: For current advice about how to identify duplicate records, please see TRICARE Data Quality Web page:  <a href="http://www.tricare.osd.mil/ocfo/mcfs/dqmcp/refs_regs.cfm">http://www.tricare.osd.mil/ocfo/mcfs/dqmcp/refs_regs.cfm</a>.  Potential duplicate patient registration can be minimized by performing DEERS validation checks.</p> <p>b) Do you have a process to reduce the number of duplicate patient registration? Recommend running the CHCS standard report – “User Registration”.</p> <p>c) Has your MTF determined how to correct the duplicate appointments or encounters and avoid the errors in the future?</p> <p>d) Have incident tickets been filed with MHS Service Desk for duplicate records in CHCS or AHLTA that cannot be resolved at the MTF level?  Note: All AHLTA issues must be fixed with an MHS Service Desk incident ticket.</p> <p>e) Number of AHLTA patient merge incident tickets submitted to the MHS Service desk.</p>	Number	a)
	Yes or No	b)
	Number	e) _____
<p><b>C.3. Were system outputs transmitted to central repositories by date specified in TMA and Service-Level guidelines? (Question 4 (a, b, c, d, e) of DQ Statement.)</b></p> <p>a) MEPRS (EAS) (45 calendar days or Service guidance whichever is earlier)</p> <p>b) SIDR (CHCS) (5<sup>th</sup> working day of the following month)</p> <p>c) WWR (CHCS) (10<sup>th</sup> calendar day of the following month)</p> <p>d) CAPER (ADM): Number of days with successful transmissions / number of days in the month.</p> <p>e) Daily Outpatient Workload Detailed Report (DOWDR), also known as the Daily Patient Appointments File: Number of successful daily transmissions / number of days in the month.</p>	Date or Initials	Yes or No
	a)	a)
	b)	b)
	c)	c)
<b>Count</b>	<b>Percentage</b>	
d) ___/___	d) _____%	
e) ___/___	e) _____%	
<p>C.4. Were the following activities performed:</p> <p>a) Check the “ADM SADR/CAPER Error Report”?</p> <p>b) Correct the errors listed on the report?</p>	Yes or No	a)
	a)	b)

**C. Data Output (Continued)**

**C.5. In a random review of CHCS Inpatient dispositions from the data month, the Service Headquarters will determine the specific random sample to be audited. The minimum of 30 records or encounters should be pulled randomly from the entire population of MTF inpatient medical records for the audit data month (e.g., 1 - 31 July). (Question 5 (a, b, c, d) of the DQ Statement).**

**(See applicable DoDD or DoDI on Medical Records Retention and Coding and Service specific guidance.**

Note: A random sample of 30 records per MTF will provide a statistical confidence level of 90%, with a confidence interval or sampling error range of plus or minus 15%.

The Services may request that each MTF conduct additional focused internal audits, in addition to the monthly random audits being conducted for the DQMC Program (i.e., pull an additional number of records to be used in a focused audit, on specific clinics or departments). The focused audits may assist each MTF in targeting its coding improvement efforts, while the random-sample audit results can be extrapolated to assess the overall coding accuracy for that MTF.

a) Percentage of inpatient medical records located?

Formula: Number of records available or documented as checked out / number of records requested for audit.

b) Percentage of documentation that was complete.

**c) Percentage of inpatient medical records whose assigned DRG Codes were correct?**

**Note: This is a comparison of the paper record to computerized coded information.**

Formula: Number of correct MS-DRGs / total number of MS-DRGs.

d) Percentage of inpatient records whose DRG-related data elements were correct?

Note: Related data elements (C.5.d) are 1. All diagnoses, 2. Any procedures done, 3. Sex, 4. Age, and 5. Discharge or Disposition were correct.

e) Percentage of SDRs completed (in a "D" status).

Note: Auditing Sampling Methodology (for questions C.5.f,g,h) – One calendar day of the attending professional services during each audited hospitalization will be audited from the randomly selected sample. For hospitalizations which begin and terminate the same calendar day, that calendar day will be audited. For all other hospitalizations, the registration number will determine if services for the first or second calendar day will be audited. Odd registration numbers will be audited for the first day and even registration numbers will be audited for the second day.

**f) Percentage of Inpatient Professional Services Rounds encounters E & M Codes audited and deemed correct?**

Formula: Number of correct E&M Codes / total number of E&M Codes.\*

**g) Percentage of Inpatient Professional Services Rounds encounters ICD-9 Codes audited and deemed correct?**

Formula: Number of correct ICD-9 Codes / total number of ICD-9 Codes.\*

**h) Percentage of Inpatient Professional Services Rounds encounters CPT Codes audited and deemed correct?**

Formula: Number of correct CPT Codes / total number of CPT Codes.\*

\*Note: The denominator for all categories should include codes identified by the auditor. See specific Service guidance for calculation details. (See applicable MHS Professional Services and Specialty Coding Guidelines for "Coding Audits" at: [http://tricare.osd.mil/ocfo/bea/ubu/coding\\_guidelines.cfm](http://tricare.osd.mil/ocfo/bea/ubu/coding_guidelines.cfm)).

Date completed:  
\_\_\_\_\_

Count

a) \_\_\_/\_\_\_

c) \_\_\_/\_\_\_

f) \_\_\_/\_\_\_

g) \_\_\_/\_\_\_

h) \_\_\_/\_\_\_

Percentage

a) \_\_\_\_\_%

b) \_\_\_\_\_%

c) \_\_\_\_\_%

d) \_\_\_\_\_%

e) \_\_\_\_\_%

f) \_\_\_\_\_%

g) \_\_\_\_\_%

h) \_\_\_\_\_%

**C. Data Output (Continued)**

<p><b>C.6. In a random review of CHCS outpatient encounters from the data month, the Service Headquarters will determine the specific random sample to be audited. The minimum of 30 records or encounters should be pulled randomly from the entire population of MTF outpatient encounters for the audit data month (e.g., 1 - 31 July) (Question 6 (a,b,c,d) of DQ Statement.) (See applicable DoDD or DoDI on Medical Records Retention and Coding and Service specific guidance).</b></p>		<p><b>Date completed:</b> _____</p>
	<p><b>Count</b></p>	<p><b>Percentage</b></p>
<p>Note: A random sample of 30 records per MTF will provide a statistical confidence level of 90%, with a confidence interval or sampling error range of plus or minus 15%.</p>		
<p>The Services may request that each MTF conduct additional focused internal audits, in addition to the monthly random audits being conducted for the DQMC Program (i.e., pull an additional number of records to be used in a focused audit, on specific clinics or departments). The focused audits may assist each MTF in targeting its coding improvement efforts, while the random-sample audit results can be extrapolated to assess the overall coding accuracy for that MTF.</p>		
<p><b>a) Is adequate documentation of the encounter selected to be audited available? Documentation includes documentation in the medical record, loose (hard copy) documentation or an electronic record of the encounter in AHLTA. (Denominator equals sample size.)</b> Formula: Number of adequately documented encounters available / number of requested encounters.</p>	<p>a) ___/___</p>	<p>a) _____%</p>
<p>Note: This question is asking "Is adequate documentation of the encounter available to be audited?" If the documentation is available however the patient's outpatient health record is not available, the "record of the encounter" is available for audit.</p>		
<p><b>b) What is the percentage of E &amp; M Codes deemed correct? (E &amp; M Code must comply with current DoD guidance.)</b> Note: If the paper record does not indicate an E&amp;M Code was required and the computerized record does not have an E&amp;M, the record is deemed correct. Formula: Number of correct E&amp;M Codes / total number of E&amp;M Codes.*</p>	<p>b) ___/___</p>	<p>b) _____%</p>
<p><b>c) What is the percentage of ICD-9 Codes deemed correct?</b> Formula: Number of correct ICD-9 Codes / total number of ICD-9 Codes.*</p>	<p>c) ___/___</p>	<p>c) _____%</p>
<p><b>d) What is the percentage of CPT Codes deemed correct? (CPT Code must comply with current DoD guidance.) Note: If the paper record does not indicate a CPT was required and the computerized record does not have a CPT, the record is deemed correct.</b> Formula: Number of correct CPT Codes / total number of CPT Codes.*</p>	<p>d) ___/___</p>	<p>d) _____%</p>
<p>Note: The denominator for all categories should include codes identified by the auditor. See specific Service Guidance for calculation details. (See applicable MHS Professional Services and Specialty Coding Guidelines for "Coding Audits" at: <a href="http://tricare.osd.mil/ocfo/bea/ubu/coding_guidelines.cfm">http://tricare.osd.mil/ocfo/bea/ubu/coding_guidelines.cfm</a>)</p>		

**C. Data Output (Continued)**

<p><b>C.7. In a random review of CHCS Ambulatory Procedure Visits (APV) appointments from the data month, the Service Headquarters will determine the specific random sample to be audited. The minimum of 30 records or encounters should be pulled randomly from the entire population of MTF APV encounters for the audit data month (e.g., 1 - 31 July) (Question 7 (a, b, c) of DQ Statement.)</b>  <b>(See applicable DoDD or DoDI on Medical Records Retention and Coding and Service specific guidance).</b></p>		Date completed:
	Count	Percentage
<p>Note: A random sample of 30 records per MTF will provide a statistical confidence level of 90%, with a confidence interval or sampling error range of plus or minus 15%.</p> <p>The Services may request that each MTF conduct additional focused internal audits, in addition to the monthly random audits being conducted for the DQMC Program (i.e., pull an additional number of records to be used in a focused audit, on specific clinics or departments). The focused audits may assist each MTF in targeting its coding improvement efforts, while the random-sample audit results can be extrapolated to assess the overall coding accuracy for that MTF.</p>		
<p><b>a) Is adequate documentation of the encounter selected to be audited available? Documentation includes documentation in the medical record, loose (hard copy) documentation or an electronic record of the encounter in AHLTA.</b>  <b>(Denominator equals sample size.)</b>                      Formula: Number of adequately documented encounters available / number of requested encounters.</p>	a) ___/___	a) _____%
<p><b>b) What is the percentage of ICD-9 Codes deemed correct?</b>                      Formula: Number of correct ICD-9 Codes / total number of ICD-9 Codes.*</p>	b) ___/___	b) _____%
<p><b>c) What is the percentage of CPT Codes deemed correct? (CPT Code must comply with current DoD guidance.) Note: If the paper record does not indicate a CPT was required and the computerized record does not have a CPT, the record is deemed correct.</b>                      Formula: Number of correct CPT Codes / total number of CPT Codes.*</p>	c) ___/___	c) _____%
<p>Note: The denominator for all categories should include codes identified by the auditor. See specific Service guidance for calculation details.                      (See applicable MHS Professional Services and Specialty Coding Guidelines for "Coding Audits" at: <a href="http://tricare.osd.mil/ocfo/bea/ubu/coding_guidelines.cfm">http://tricare.osd.mil/ocfo/bea/ubu/coding_guidelines.cfm</a>)</p>		

**C. Data Output (Continued)**

<p><b>C.8. In a random review of Non-Active Duty medical records or encounters from the data month, looking for the DD Form 2569s (electronic or hardcopy), the Uniformed Business Office staff in coordination with the Service Headquarters will determine the specific random sample to be audited for each type of record Inpatient, Outpatient, and Ambulatory Procedure Visits (APVs): The minimum of 30 records or encounters should be pulled randomly from the entire population of MTF for the audit data month (e.g., 1 - 31 July). (Question 8 (a, b, c, d, e, f) of DQ Statement.)</b></p>		<p><b>Date completed:</b> _____</p>
	<p><b>Count</b></p>	<p><b>Percentage</b></p>
<p>Note: A random sample of 30 records per MTF will provide a statistical confidence level of 90%, with a confidence interval or sampling error range of plus or minus 15%.</p> <p><b>From the 30 randomly pulled Inpatient dispositions:</b>  <b>a) What percentage of completed and current (signed within the past 12 months) DD Form 2569s (Third Party Collection Insurance Info) is available for audit (non-active duty encounters only)? (See DoD 6010.15-M, MTF UBO Manual)</b>                      Formula: Number of complete and current DD 2569s / number of Non-Active Duty records audited. Availability may be electronic, loose, or signed form maintained in other locations.</p>	<p>a) ___/___</p>	<p>a) _____%</p>
<p><b>b) What percentage of available, current and complete DD Form 2569s is verified to be correct in the Patient Insurance Information (PII) module in CHCS?</b>                      Formula: Number of correct entries in the PII module / number of available, current and complete DD Form 2569s.</p>	<p>b) ___/___</p>	<p>b) _____%</p>
<p><b>From the 30 randomly pulled Outpatient encounters:</b>  <b>c) What percentage of completed and current (signed within the past 12 months) DD Form 2569s (TPC Insurance Info) is available for audit (non-active duty encounters only)? (See DoD 6010.15-M, MTF UBO Manual)</b>                      Formula: Number of complete and current DD2569s / number of Non-Active Duty records audited. Availability may be electronic, loose, or signed form maintained in other locations.</p>	<p>c) ___/___</p>	<p>c) _____%</p>
<p><b>d) What percentage of available, current and complete DD Form 2569s is verified to be correct in the Patient Insurance Information (PII) module in CHCS?</b>                      Formula: Number of correct entries in the PII module / number of available, current and complete DD Form 2569s.</p>	<p>d) ___/___</p>	<p>d) _____%</p>
<p><b>From the 30 randomly pulled APVs:</b>  <b>e) What percentage of completed and current (signed within the past 12 months) DD Form 2569s (TPC Insurance Info) is available for audit (non-active duty encounters only)? (See DoD 6010.15-M, MTF UBO Manual)</b>                      Formula: Number of complete and current DD2569s / number of Non-Active Duty records audited. Availability may be electronic, loose, or signed form maintained in other locations.</p>	<p>e) ___/___</p>	<p>e) _____%</p>
<p><b>f) What percentage of available, current and complete DD Form 2569s is verified to be correct in the Patient Insurance Information (PII) module in CHCS?</b>                      Formula: Number of correct entries in the PII module / number of available, current and complete DD Form 2569s.</p>	<p>f) ___/___</p>	<p>f) _____%</p>

<b>C. Data Output (Concluded)</b>		
<b>C.9. Comparison of reported workload data. (Question 9 (a, b, c, d, e) of DQ Statement)</b>	<b>Count</b>	<b>Percentage</b>
<b>a) Number of CAPER encounters * / number of Kept-Appointments.</b>	a) ___/___	a) _____%
<b>b) Number of SIDR dispositions* / number of WWR dispositions.</b>	b) ___/___	b) _____%
<b>c) Number of MEPRS visits / number of Kept-Appointments (count only).</b>	c) ___/___	c) _____%
<b>d) Number of MEPRS dispositions / number of WWR dispositions.</b>	d) ___/___	d) _____%
Note: Questions a - d above, are allowed to be greater than 100%, with comment over 105%.		
<b>e) Number of A*** CAPERs that were completed by the attending provider or service (FCC=A***) / number of SUM WWR (Bed days + Bassinet Days + Dispositions).</b>	e) ___/___	e) _____%
Note: The FY12 goal is 80%. Answers that are above 110% need an explanation.		
Validate Service report to the criteria below: * For ADM Encounters, omit Appointment Status of "No-Show," "Canceled," and Disposition Code "Left without being seen," but include Appointment Status "TelCon." * For WWR visits and MEPRS visits use outpatient visits that include APVs. * Only CAPER records in B**** and FBN* clinics that are marked complete "C" will be included, or SIDRs with a Disposition Status of "D" will be included. * Since WWR now collects visit information on B codes and FBN, ADM and MEPRS should also include FBN and B MEPRS codes for encounters or visits. * SIDRS to exclude Carded for Record Only (CRO) and absent sick records (primarily Army issue). * For Inpatient Professional Services "RNDS" CAPER completion ensure WWR Workload Summary Report calculation includes Bed Days (source 00), Bassinet Days (source 01), Dispositions (source 12).		
C. Comments: (Include comments for any items reflected above as non-compliant, to include corrective actions being taken, incident tickets initiated (if applicable), and estimated corrective date.)		

**D . Security**

*These controls should provide assurances that computers and the data they contain are properly protected against theft, loss, unauthorized access, and natural disaster.*

**POC Name(s) and Phone Number(s)**

D.1. Security keys: a) Are there internal controls and procedures in place to approve and manage assignment of security key privileges?	Yes or No a)
b) Have all Security key holders been identified and their need for security key privileges validated by the Chief Information Officer or designee?	b)

D. Comments: (Include comments for any items reflected above as non-compliant, to include corrective actions being taken, incident tickets initiated (if applicable), and estimated corrective date.)

<b>E . System Design, Development, Operations, and Education and Training</b>		
<i>Controls in this category are intended to ensure that systems meet user needs, are developed economically, are thoroughly documented and tested, and contain appropriate internal controls.</i>		
<b>POC Name(s) and Phone Number(s)</b>		
E.1. Was a point of contact (POC) appointed in writing for each of the following?	Yes or No	Name
a) ADM b) AHLTA c) CCE d) CHCS e) DMHRSi f) Essentris g) MEPRS (EAS) h) TPOCS	a) b) c) d) e) f) g) h)	a) b) c) d) e) f) g) h)
E.2. Are procedures and documentation in place to ensure that all assigned personnel responsible for data entry received training and education on CHCS, MEPRS (EAS), TPOCS, and ADM etc.?	Yes or No	Number
How many users were trained this data month?  a) ADM b) AHLTA c) CCE d) CHCS e) DMHRSi f) Essentris g) MEPRS (EAS) h) TPOCS		a) b) c) d) e) f) g) h)
E.3. Was a process in place that allows users to submit suggestions concerning new or enhanced requirements to MHS centrally funded systems (CHCS, ADM, TPOCS, EAS etc.,) through the system change request process?	Yes or No	Number
How many system change requests were submitted this data month? a) ADM b) AHLTA c) CCE d) CHCS e) DMHRSi f) Essentris g) MEPRS (EAS) h) TPOCS		a) b) c) d) e) f) g) h)
E.4. Was a process in place, such as system incident report, where users can identify issues affecting system (CHCS, ADM, TPOCS, EAS etc.,) functioning and operations?	Yes or No	Number
How many system incident reports were submitted this data month?  a) ADM b) AHLTA c) CCE d) CHCS e) DMHRSi f) Essentris g) MEPRS (EAS) h) TPOCS		a) b) c) d) e) f) g) h)

<b>E. System Design, Development, Operations, and Education and Training (Concluded)</b>		
E.5. Were written Standard Operating Procedures (SOPs) in place to assure routine system software and hardware maintenance?		Yes or No
a) ADM (host site only) b) AHLTA (host site only) c) CCE (all) d) CHCS (host site only) e) DMHRSi (centrally managed) f) Essentris (all) g) MEPRS (EAS)(centrally managed) h) TPOCS (all)		a) b) c) d) e) na f) g) na h)
E.6. Are there contingency plans in place to restore operations?	Business Operations Yes or No	System Operations Yes or No
	a) na b) c) na d) e) f) g) h)	a) na b) c) d) e) na f) g) na h)
E.7. What is the number of unresolved incident tickets (to include incident tickets with no action taken)?		
	# of Tickets Data Month	Previous Data Months
a) ADM b) AHLTA c) CCE d) CHCS e) DMHRSi f) Essentris g) MEPRS (EAS) h) TPOCS	_____ _____ _____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____ _____ _____
E.8. TRICARE Managed Care use.		Yes or No
a) Did the Managed Care Support Contractor (MCSC) provide MTF with MTF Profile report? b) Was the report briefed to the MTF leadership?		a) b)
E. Comments: (Include comments for any items reflected above as non-compliant, to include corrective actions being taken, incident tickets initiated (if applicable), and estimated corrective date.)		

E2. ENCLOSURE 2

FY 2012 DATA QUALITY STATEMENT

**DATE:** \_\_\_\_\_  
**MTF:** \_\_\_\_\_  
**DMIS ID:** \_\_\_\_\_

MEMORANDUM FOR DEFENSE HEALTH PROGRAM RESOURCE MANAGEMENT  
 STEERING COMMITTEE

THROUGH: (1) SERVICE DATA QUALITY MANAGER  
 (2) TMA DATA QUALITY MANAGEMENT CONTROL PROGRAM  
 MANAGER

SUBJECT: Data Quality Statement

I acknowledge responsibility for the financial and clinical workload data reported from my Military Treatment Facility (MTF). I am working with the MTF's Data Quality (DQ) Manager and have reviewed this month's DQ Management Control (DQMC) Review List to ensure complete, accurate, and timely data from my facility. I am aware the DQ Manager will forward the monthly Data Quality Statement to my Service's designated DQ Manager and that higher headquarters are also tracking metrics at the corporate level. The following is information from this month's DQMC Review List.

	Count	Percentage
1. In the data month (include only B*** and FBN* accounts):		
a) What percentage of appointments was closed in meeting your "End of Day" processing requirements, "Every appointment - Every day?" (B.5.a)	a) ___/___	a)____%
2. In accordance with legal and medical coding practices have all of the following occurred: (B.6,a, b, c)		
a) What percentage of Outpatient Encounters, other than APVs, has been coded within 3 business days of the encounter?	a) ___/___	a)____%
b) What percentage of APVs has been coded within 15 calendar days of the Encounter?	b) ___/___	b)____%
c) What percentage of Inpatient records has been coded within 30 calendar days after discharge?	c) ___/___	c)____%

	Count	Percentage
<p>3. <i>Medical Expense and Performance Reporting System for Fixed Military Medical and Dental Treatment Facilities Manual</i> (MEPRS Manual), DoD 6010.13-M, dated April 7, 2008, paragraph C3.3.4, requires report reconciliation. <b>(C.1.a, d, f, g)</b></p> <p>a) Was the monthly MEPRS (EAS) financial reconciliation completed, validated, and approved by the MTF Resource Manager (i.e., Navy or Army Comptroller or Air Force Budget Officer or Analyst) prior to MEPRS monthly transmission?</p> <p>b) Were the data load status, outlier or variance, WWR (EAS IV), and allocation tabs in the MEWACS document reviewed and explanations provided in the comments section for flagged data anomalies?</p> <p>c) For DMHRSi, what is the percentage of submitted timecards by the suspense date?</p> <p>d) For DMHRSi, what is the percentage of approved timecards by the suspense date?</p>	<p>c) ___/___</p> <p>d) ___/___</p>	<p>Yes or No</p> <p>a)</p> <p>b)</p> <p>c) _____%</p> <p>d) _____%</p>
<p>4. Compliance with TMA or Service-Level guidance for timely submission of data. <b>(C.3.a, b, c, d, e)</b></p> <p>a) MEPRS (EAS) – 45 calendar days</p> <p>b) SIDR (CHCS) – 5<sup>th</sup> working day of the following month</p> <p>c) WWR (CHCS) – 10<sup>th</sup> calendar day of the following month</p> <p>d) CAPER (ADM) – Daily</p> <p>e) DOWDR or Daily Patient Appointments File – daily transmissions.</p>	<p>d) ___/___</p> <p>e) ___/___</p>	<p>Yes or No</p> <p>a)</p> <p>b)</p> <p>c)</p> <p>d) _____%</p> <p>e) _____%</p>
<p>5. Outcome of monthly inpatient coding audit: <b>(C.5.c, f, g, h)</b></p> <p>a) Percentage of inpatient medical records whose assigned DRG Codes were correct?</p> <p>b) Percentage of Inpatient Professional Services Rounds encounters E &amp; M Codes audited and deemed correct?</p> <p>c) Percentage of Inpatient Professional Services Rounds encounters ICD-9 Codes audited and deemed correct?</p> <p>d) Percentage of Inpatient Professional Services Rounds encounters CPT Codes audited and deemed correct?</p>	<p>a) ___/___</p> <p>b) ___/___</p> <p>c) ___/___</p> <p>d) ___/___</p>	<p>a) _____%</p> <p>b) _____%</p> <p>c) _____%</p> <p>d) _____%</p>
<p>6. Outpatient Records. <b>(C.6.a, b, c, d)</b></p> <p>a) Is adequate documentation of the encounter selected to be audited available? Documentation includes documentation in the medical record, loose (hard copy) documentation or an electronic record of the encounter in AHLTA. (Denominator equals sample size.)</p> <p>b) What is the percentage of E &amp; M Codes deemed correct? (E &amp; M Code must comply with current DoD guidance.)</p> <p>c) What is the percentage of ICD-9 Codes deemed correct?</p> <p>d) What is the percentage of CPT Codes deemed correct? (CPT Code must comply with current DoD guidance.)</p>	<p>a) ___/___</p> <p>b) ___/___</p> <p>c) ___/___</p> <p>d) ___/___</p>	<p>a) _____%</p> <p>b) _____%</p> <p>c) _____%</p> <p>d) _____%</p>
<p>7. Ambulatory Procedure Visits (APV). <b>(C.7.a, b, c)</b></p> <p>a) Is adequate documentation of the encounter selected to be audited available? Documentation includes documentation in the medical record, loose (hard copy) documentation or an electronic record of the encounter in AHLTA. (Denominator equals sample size.)</p> <p>b) What is the percentage of ICD-9 Codes deemed correct?</p> <p>c) What is the percentage of CPT Codes deemed correct? (CPT Code must comply with current DoD guidance.)</p>	<p>a) ___/___</p> <p>b) ___/___</p> <p>c) ___/___</p>	<p>a) _____%</p> <p>b) _____%</p> <p>c) _____%</p>

	Count	Percentage
<p>8. DD-2569 forms. <b>(C.8.a, b, c, d, e, f)</b></p> <p>Inpatient dispositions:</p> <p>a) What percentage of completed and current (signed within the past 12 months) DD Form 2569s (TPC Insurance Info) is available for review?</p> <p>b) What percentage of available, current and complete DD Form 2569s is verified to be correct in the Patient Insurance Information (PII) module in CHCS?</p> <p>Outpatient encounters:</p> <p>c) What percentage of completed and current (signed within the past 12 months) DD Form 2569s (TPC Insurance Info) is available for review?</p> <p>d) What percentage of available, current and complete DD Form 2569s is verified to be correct in the Patient Insurance Information (PII) module in CHCS?</p> <p>APVs:</p> <p>e) What percentage of completed and current (signed within the past 12 months) DD Form 2569s (TPC Insurance Info) is available for review?</p> <p>f) What percentage of available, current and complete DD Form 2569s is verified to be correct in the Patient Insurance Information (PII) module in CHCS?</p>	<p>a) ___/___</p> <p>b) ___/___</p> <p>c) ___/___</p> <p>d) ___/___</p> <p>e) ___/___</p> <p>f) ___/___</p>	<p>a) _____%</p> <p>b) _____%</p> <p>c) _____%</p> <p>d) _____%</p> <p>e) _____%</p> <p>f) _____%</p>
<p>9. Comparison of reported workload data. <b>(C.9.a, b, c, d, e)</b></p> <p>a) Number of CAPER encounters / number of Kept-Appointments.</p> <p>b) Number of SIDR dispositions / number of WWR dispositions.</p> <p>c) Number of MEPRS visits / number of Kept-Appointments (count only).</p> <p>d) Number of MEPRS dispositions / number of WWR dispositions.</p> <p>e) Number of Inpatient Professional Services Rounds CAPER encounters (FCC=A***) / number of SUM WWR (Bed days + Bassinet Days + Dispositions).</p> <p>Note: The FY12 goal for item e is 80%.</p>	<p>a) ___/___</p> <p>b) ___/___</p> <p>c) ___/___</p> <p>d) ___/___</p> <p>e) ___/___</p>	<p>a) _____%</p> <p>b) _____%</p> <p>c) _____%</p> <p>d) _____%</p> <p>e) _____%</p>
<p>10. Use CHCS during the data month to identify potential duplicate patient registration. <b>(C.2.a)</b></p> <p>a) For CHCS or AHLTA hosts only, what was the number of potential duplicate patient registration in the data month for all MTFs under the host? List the DMIS IDs of the MTFs included in the comments section.</p>		<p>Number</p> <p>a) _____</p>
<p>11. I am aware of the data quality issues identified by the completed Data Quality Statement and the Data Quality Management Control Review List and when needed, have incorporated monitoring mechanisms and have taken corrective actions to improve the data from my facility.</p>	Date	Yes or No

**Comments:** (Include comments for any items reflected above as non-compliant, to include corrective actions being taken, incident tickets initiated (if applicable), and estimated correction date.)

\_\_\_\_\_  
Signature (or record of approval if completed electronically)  
Commanding Officer or Officer in Charge