



DRAFT FOR INFORMAL PUBLIC COMMENT

COMAR 10.25.06:
MARYLAND MEDICAL CARE DATA BASE
AND DATA COLLECTION

*Written Public Comments
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Title 10 DEPARTMENT OF HEALTH AND MENTAL HYGIENE

Subtitle 25 MARYLAND HEALTH CARE COMMISSION

Chapter 06 Maryland Medical Care Data Base and Data Collection

Authority: Health-General Article §§19-103(c)(3), (4), (7), and (8), 19-109(a)(1), (6), and (7), 19-133, 19-134, and 19-137, Annotated Code of Maryland

.01 Scope and Purpose.

These regulations establish appropriate methods for collecting and compiling statewide data on selected health care services provided either under a Maryland contract or to Maryland residents by health care practitioners and facilities:

- A. From payors;
- B. From third party administrators; and
- C. Regarding providers for whom the Maryland Health Care Commission otherwise receives data.

.02 Definitions.

A. In this chapter, the following terms have the meanings indicated.

B. Terms Defined.

- (1) "Adjudicated" means paid, resolved, or settled.
- (2) "Behavioral health services" means mental health services or alcohol and substance abuse services.
- (3) "Capitated encounter" means a health care visit in which a health care practitioner or office facility provides a service pursuant to an agreement with a reporting entity for reimbursement on an aggregate fixed sum or per capita basis.
- (4) "Claim control number" means a reporting entity's internal number used to track a claim.
- (5) "Commission" means the Maryland Health Care Commission.
- (6) "Crosswalk" means a list of all codes and their definitions in a separate file that maps to a specific data field.
- (7) "Executive Director" means the Executive Director of the Maryland Health Care Commission.
- (8) "Fee-for-service encounter" means a medical care visit in which a health care practitioner or office facility provided a health care service for which a claim was submitted to a reporting entity for payment, and payment was made on a per service basis.
- (9) "General health benefit plan" means:

- (a) A hospital or medical policy, contract, or certificate issued by a carrier;
- (b) A behavioral health management organization or behavioral health services plan;
- (c) A pharmacy benefit plan;
- (d) A vision plan; or
- (e) A dental plan.

(10) "Health care service" means a health or medical care procedure or service rendered by a health care practitioner that:

- (a) Provides testing, diagnosis, or treatment of human disease or dysfunction; or
- (b) Dispenses drugs, medical devices, medical appliances, or medical goods for the treatment of human disease or dysfunction.

(11) "Health Benefit Exchange" or "Exchange" means the Maryland Health Benefit Exchange established as a public corporation under §31-102 of this title and includes the Individual Exchange and the Small Business Health Options Program (SHOP) Exchange.

(12) "Health Information Exchange" or "HIE" means an entity that creates an infrastructure that provides organizational and technical capabilities in an interoperable system for the electronic exchange of protected health information among participating organizations not under common ownership, in a manner that ensures the secure exchange of protected health information to provide care to patients. An HIE does not include an entity that is acting solely as a health care clearinghouse, as defined in 45 CFR §160.103. A payor may act as, operate, or own an HIE subject to these regulations.

(13) "HIPAA" means the U.S. Health Insurance Portability and Accountability Act of 1996, P.L.104-191, as implemented and amended in federal regulations, including the HIPAA Privacy and Security rules, 45 CFR §§160 and 164, as may be amended, modified, or renumbered and including as amended by Health Information Technology for Economic and Clinical Health (HITECH) Act.

(14) Institutional Review Board has the meaning stated in the federal regulations on the protection of human subjects.

(15) Line Item.

(a) "Line item" means a single entry on a bill associated with a health care service reimbursed by a reporting entity.

(b) "Line item" contains information on the procedure performed, the rendering practitioner, service dates, practitioner charges, and reporting entity reimbursement.

(16) "MCDB Submission Manual" or "Manual" means the composition of data reporting requirements with guidelines of technical specifications, layouts, and definitions necessary for filing the reports required by this chapter.

(17) "Managed care organization" or "MCO" means:

(a) A certified health maintenance organization that is authorized to receive medical assistance prepaid capitation payments; or

(b) A corporation that: (i) Is a managed care system that is authorized to receive medical assistance prepaid capitation payments; (ii) Enrolls only program recipients or individuals or families served under the Maryland Children's Health Program; and (iii) Is subject to the requirements of Health-General Article §15-102.4, Annotated Code of Maryland.

(18) "Master patient index" or "MPI" means a database that maintains a unique index identifier for each patient whose protected health information may be accessible through the HIE and is used to cross reference patient identifiers across multiple participating organizations to allow for patient search, patient matching, and consolidation of duplicate records.

(19) "Medical Care Data Base" or "MDCB" means the Maryland Medical Care Data Base.

(20) "NCPDP number" means the unique 7-digit number assigned by the National Council for Prescription Drug Program.

(21) "NDC number" means the 11-digit National Drug Code number.

(22) "NPI number" means the 10-digit National Provider Identifier number assigned by the federal government for use in all HIPAA transactions to:

(a) An individual practitioner; and

(b) An organization for billing purposes.

(23) "Office facility" means a freestanding facility providing:

(a) Ambulatory surgery;

(b) Radiologic or diagnostic imagery; or

(c) Laboratory services.

(24) "Non-Fee-for-Service Medical Expenses Report" means a report with information on lump sum payments made by carriers to providers as part of the carriers' compensation to the providers for non-claim-based services.

(25) "Office of Management and Budget (OMB)" means the Federal Government agency that conducts the final review of federal regulations.

(26) "Payor" means:

- (a) An insurer or nonprofit health service plan that holds a certificate of authority and provides health insurance policies or contracts in Maryland;
- (b) A health maintenance organization (HMO) that holds a certificate of authority in Maryland; or
- (c) For Medical Care Data Base purposes, a third party administrator registered under Title 8, Subtitle 3 of the Insurance Article.

(27) "Pharmacy Benefit Management Services" means:

- (a) The procurement of prescription drugs at a negotiated rate for dispensation within the State to beneficiaries;
- (b) The administration or management of prescription drug coverage provided by a purchaser for beneficiaries; and
- (c) Any of the following services provided with regard to the administration of prescription drug coverage:
 - (i) Mail service pharmacy;
 - (ii) Claims processing, retail network management, and payment of claims to pharmacies for prescription drugs dispensed to beneficiaries;
 - (iii) Clinical formulary development and management services;
 - (iv) Rebate contracting and administration;
 - (v) Patient compliance, therapeutic intervention, and generic substitution programs; or
 - (vi) Disease management programs.
- (d) "Pharmacy benefit management services" does not include any service provided by a nonprofit health maintenance organization that operates as a group model, provided that the service is provided solely to a member of the nonprofit health maintenance organization and is furnished through the internal pharmacy operations of the nonprofit health maintenance organization.

(28) "Pharmacy Benefit Manager" means a person that performs pharmacy benefit management services.

(29) "Person" means an individual, receiver, trustee, guardian, personal representative, fiduciary, representative of any kind, partnership, firm, association, corporation, or other entity.

(30) "Practitioner" means a person who is licensed, certified, or otherwise authorized under Health Occupations Article, Annotated Code of Maryland, to provide health care services in the ordinary course of business or practice of a profession or in an approved education or training program

(31) "Practitioner federal tax ID number" means the federal tax identification number of the practitioner, practice, supplier or office facility receiving reimbursement for the service provided.

(32) "Practitioner/supplier ID number" means the unique identification number used by the reporting entity to identify the particular practitioner or supplier.

(33) "Primary diagnosis" means the principal diagnosis for the health care service visit.

(34) "Provider" means:

(a) A practitioner;

(b) A facility where health care is provided to patients or recipients, including:

(i) A facility, as defined in Health-General Article §10-101(e), Annotated Code of Maryland;

(ii) A hospital, as defined in Health-General Article §19-301, Annotated Code of Maryland;

(iii) A related institution, as defined in Health-General Article §19-301, Annotated Code of Maryland;

(iv) A health maintenance organization, as defined in Health-General Article §19-701(g), Annotated Code of Maryland;

(v) An outpatient clinic; and

(vi) A medical laboratory; or

(c) The agents and employees of a facility who are licensed or otherwise authorized to provide health care, the officers and directors of a facility, and the agents and employees of a health care provider who are licensed or otherwise authorized to provide health care.

(35) "Reporting entity" means a payor or a third party administrator that is designated by the Commission to provide reports consistent with this chapter to be collected and compiled into the Medical Care Data Base.

(36) "State-Designated Health Information Exchange" or "State-Designated HIE" means an HIE designated by the Maryland Health Care Commission and the Health Services Cost Review Commission pursuant to the statutory authority set forth under Health-General Article §19-143, Annotated Code of Maryland.

(37) "Supplier" means a person or entity, including a health care practitioner, which supplies medical goods or services.

(38) "Third Party Administrator (TPA)" means a person that is registered as an administrator under Title 8, Subtitle 3 of the Insurance Article.

(39) "Qualified Dental Plan" means a dental plan certified by the Maryland Health Benefit Exchange that provides limited scope dental benefits, as described in § 1311(c) of the Affordable Care Act and Insurance Article §31-115, Annotated Code of Maryland.

(40) “Qualified Health Plan” means a general health benefit plan that has been certified by the Maryland Health Benefit Exchange to meet the criteria for certification described in §1311(c) of the Affordable Care Act and Insurance Article §31-115, Annotated Code of Maryland.

(41) “Qualified Vision Plan” means a vision plan certified by the Maryland Health Benefit Exchange that provides limited scope vision benefits, as described in the Insurance Article §31-108(b)(3) Annotated Code of Maryland.

.03 Persons Designated to Provide Data to the Commission.

A. Payors. By December 31 of each year, the Commission shall make available a list of each payor meeting the criteria for designation as a reporting entity and who for the year immediately following shall file the reports under this chapter.

(1) The Commission shall designate as a reporting entity each payor whose total lives covered exceeds 1,000, as reported to the Maryland Insurance Administration.

(2) The Commission shall designate as a reporting entity each payor offering a qualified health plan, qualified dental plan, or qualified vision plan certified by the Maryland Health Benefit Exchange Insurance Article §31-115, Annotated Code of Maryland.

(3) The Commission shall designate as a reporting entity each payor that is a managed care organization participating in the Maryland Medical Assistance Program in connection with the enrollment of an individual in the Maryland Medical Assistance Program or the Maryland Children's Health Program.

(4) The Commission may conduct surveys as needed to fulfill the purposes of the MCBD.

(a) The Commission may conduct a survey of any payor to determine if the payor is required to report data or for other purposes consistent with this chapter.

(b) If necessary, the Commission may institute an annual survey to obtain information needed to determine and designate third party administrators whose annual covered lives report filed with the Maryland Insurance Administration does not delineate the number of covered lives for the following:

(1) A behavioral health management organization or behavioral health services plan;

(2) A pharmacy benefit plan; or

(3) A vision plan.

(c) A payor shall timely report information sought by the Commission in a survey.

B. Data Already Collected by the Commission from Providers and Payors. For the purpose of supplementing the MCDB, the Commission may include information that the Commission has otherwise received regarding providers and services.

C. Data Collected from other State or Federal Agencies. The Commission designates and selects any data obtained from a state or federal agency to be a part of the MCDB for use consistent with this chapter.

.04 Process for Collecting Data.

A. The Commission shall provide each reporting entity with an annual update to the MCDB Data Submission Manual, and each current submission update available as specified in Regulation .15 of this chapter.

B. Each reporting entity shall provide each of the following reports, if applicable:

- (1) Professional Services Data Report;
- (2) Pharmacy Data Report;
- (3) Provider Directory Report;
- (4) Institutional Services Data Report;
- (5) Eligibility Data Report;
- (6) Plan Benefit Design Report;
- (7) Dental Data Report; and
- (8) Non-Fee-for-Service Medical Expenses Report.

C. An MCO shall provide each required report to the Commission through the Maryland Medical Assistance Program (Medicaid).

.05 Time Period for Submitting Data Reports.

A. For services rendered in calendar year 2013, only those reporting entities designated under Regulation .03A(1) shall submit to the Commission a complete set of the entity's data for that period in the form and format described in Regulations .07 - .14 of this chapter by June 30, 2014.

B. For services rendered in calendar year 2014 and thereafter, each reporting entity shall submit to the Commission a complete set of the entity's data for each quarter in the form and manner described in Regulations .07 – .14 of this chapter within 4 months of the last day in the applicable quarter, unless a less frequent submission is specified by the Commission, with notice to reporting entities that includes a dated posting on the Commission's website.

C. Each submission shall consist of all claims for services provided in the previous reporting period that are adjudicated between the first day of the reporting period for which the submission is due through three months after the end of that reporting period.

.06 Protection of Confidential Information.

A. Filing Data Using Encryption.

(1) To assure that confidential records or information are protected, each reporting entity shall encrypt each of the following data elements in such a manner that each unique value for a data element produces an identical unique encrypted data element:

(a) Patient/enrollee identifier; and

(b) Internal subscriber contract number.

(2) In order to maintain a consistent and unique identifier for each patient across providers, payors, and services, the Commission shall:

(a) As necessary, provide each reporting entity with an encryption algorithm using one-way hashing consistent with the Advanced Encryption Standard (AES) recognized by the National Institute of Standards and Technology; and

(b) Beginning with 2014 submissions, direct each reporting entity to provide selected data to the State-Designated HIE for the creation and encryption of a Master Patient Index.

(3) Each reporting entity shall maintain the security and preserve the confidentiality of the encryption algorithms provided by the Commission.

B. Security Safeguards.

(1) Any person accessing or retrieving data collected for and stored in the Medical Care Data Base shall use safeguards developed in accordance with State agency data systems security practices.

(2) Only an authorized individual designated in writing by the Executive Director, or his designee, shall have access to the Maryland Medical Care Data Base.

(a) The Executive Director, or his designee, shall establish a scope of access for each authorized individual.

(b) Each authorized individual shall sign a confidentiality security agreement as specified by the Commission.

C. Disclosure of Data for Research Use.

To ensure that confidential or privileged patient information is kept confidential, prior to any disclosure of data that contains "directly or indirectly identifiable health information", as defined in HIPAA, a review shall be conducted by the Commission's Institutional Review Board, as provided in COMAR 10.25.11.

.07 Professional Services Data Report Submission.

A. Each reporting entity shall submit a professional services data report that provides the data for each fee-for-service and capitated encounter provided by a health care practitioner or office facility.

(1) This report shall include all health care services provided:

(a) To each Maryland resident insured by that entity under a fully insured or a self-insured contract; and

(b) To each non-Maryland resident insured under a Maryland contract.

(2) The health care services in this report shall include but are not limited to behavioral health services and vision services.

B. Each professional services data report shall contain the information specified by the Commission in its annual update to the MCDB Data Submission Manual and be filed in a form and manner specified in the Manual.

.08 Pharmacy Data Report Submission.

A. Each reporting entity shall submit a pharmacy data report for each prescription drug encounter for services provided by a pharmacy located in or out of the State. This report shall include all pharmacy services provided to each Maryland resident insured under a fully insured contract or a self-insured contract, and to each non-Maryland resident insured under a Maryland contract.

B. Each pharmacy data report shall contain the information specified by the Commission in its annual update to the MCDB Data Submission Manual and be filed in a form and manner specified in the Manual.

.09 Provider Directory Report Submission.

A. Each reporting entity shall submit a provider directory report detailing each health care practitioner or supplier that provided services to any enrollee of that reporting entity during the reporting period. This report shall contain information for each in-State Maryland practitioner or supplier, and for each out-of-State practitioner or supplier, that has served a Maryland resident or a non-Maryland resident under a Maryland contract.

B. Each provider directory report shall include a crosswalk to each practitioner or supplier ID listed in the professional services data report submitted under .07 of this regulation or the pharmacy data report submitted under .08 of this regulation.

C. Each provider directory report shall contain the information specified by the Commission in its annual update to the MCDB Data Submission Manual and be filed in a form and manner specified in the Manual.

.10 Institutional Services Data Report Submission.

A. Each reporting entity shall submit an institutional services data report that reports all institutional health care services provided to each Maryland resident insured under a fully insured contract or self-insured contract, and each non-Maryland resident insured under a Maryland contract, whether those services were provided:

- (1) By a health care facility located in-State or out-of-State; or
- (2) Under a general health benefit plan.

B. Each institutional services data report shall contain the information specified by the Commission in its annual update to the MCDB Data Submission Manual and be filed in a form and manner specified in the Manual.

.11 Eligibility Data Report Submission.

A. Each reporting entity shall submit an eligibility data report that provides information on the characteristics of each enrollee that is a Maryland resident insured under a fully insured contract or a self-insured contract, and that is a non-Maryland resident insured under a Maryland contract for services covered under each policy or contract issued by the reporting entity that are subject to this chapter.

B. Each eligibility data report shall contain the information specified by the Commission in its annual update to the MCDB Data Submission Manual and be filed in a form and manner specified in the Manual.

.12 Plan Benefit Design Report.

Each plan benefit design report shall contain the information specified by the Commission in its annual update to the MCDB Data Submission Manual and be filed in a form and manner specified in the Manual.

.13 Dental Data Report.

Each dental data report shall contain the information specified by the Commission in its annual update to the MCDB Data Submission Manual and be filed in a form and manner specified in the Manual.

.14 Non-Fee-for-Service Medical Expenses Report.

Each non-fee-for-service medical expenses report shall contain the information specified by the Commission in its annual update to the MCDB Data Submission Manual and be filed in a form and manner specified in the Manual.

.15 Report Submission Methods.

A. When a reporting entity collects more granular information than required by this chapter, it shall provide a conversion table that describes how internal values are mapped to each required category.

B. The MCDB Data Submission Manual shall contain technical specifications, encryption algorithms, layouts, required reports, and definitions for each reporting entity.

(1) The Commission shall provide an annual MCDB Submission Manual by November 15 of each year to be used for the reporting periods in the subsequent year.

(2) The Commission may provide quarterly updates to the MCDB Submission Manual at least 3 months prior to each submission due date.

(3) The Commission shall timely post the MCDB Data Submission Manual and each update to the Manual on the Commission website and provide notice in the Maryland Register.

C. The Commission may require that each reporting entity electronically submit sufficient demographic information on each enrollee to create a Master Patient Index.

(1) The Commission may require that the reporting entity provide this information to the State-designated Health Information Exchange solely for this purpose.

(2) The information shall be submitted in a manner consistent with all relevant federal and State privacy laws and regulations.

.16 Request for an Extension of Time.

A. A reporting entity may request an extension of an additional 30 days time to provide the required data report.

B. For a 30 day extension request to be considered by Commission staff, the reporting entity shall submit a written request to the Executive Director at least 30 days before the quarterly submission date that includes:

(1) The extraordinary cause necessitating the extension request; and

(2) A proposed date, which is no more than 30 days after the initial quarterly submission date, when the reporting entity will provide the quarterly data to the Commission.

.17 Request for an Annual Waiver or Format Modification.

A. Annual Waiver Request. When a reporting entity is not able to submit a data report as set forth in this chapter, it shall file with the Commission by March 15 of the year for which a waiver is sought a written request for an annual waiver that shall include:

(1) An explanation of why the reporting entity is not able to provide the data report, including any extraordinary circumstances; and

(2) Any supporting documentation required.

(a) A general health benefit plan shall include an affidavit from an officer of the organization stating that its total lives covered does not exceed 1,000, as reported to the Maryland Insurance Administration.

(b) A qualified health benefit plan, a qualified vision plan or a qualified dental plan shall include a relevant document from the Health Benefit Exchange indicating that the entity's filing of the data is not required.

(c) A third party administrator shall include an affidavit from an officer of the organization stating that its total lives covered does not exceed 1,000, as reported to the Maryland Insurance Administration.

B. Format Modification Request. When a reporting entity is not able to provide all the information required in .07 - .14 of this Regulation, it shall file with the Commission a written request for a format modification 30 days before the applicable submission date that shall include:

(1) The extraordinary circumstances surrounding the reporting entity's inability to submit values for a specific data element;

(2) An explanation of each reason why a format modification is necessary; and

(3) A detailed description of the reporting entity's proposed layout or submission method, or both when applicable.

C. The Executive Director shall provide the reporting entity with a written decision within 30 days of the filing of a completed request.

D. Appeal of the Executive Director's Decision. The aggrieved party may file a written request for Commission review of the Executive Director's written decision within 14 days of the decision.

(1) The Commission may provide an opportunity for the reporting entity to present argument to the Commission.

(2) The Commission may affirm, reverse, or modify the decision of the Executive Director.

(3) The decision by the Commission shall be by a majority of the quorum present and voting.

.18 Failure to File Data Reports.

A reporting entity that does not timely file a data report may be subject to penalties provided in COMAR 10.25.12.

.19 Summaries and Compilations.

The Commission shall develop public-use data, summaries, and compilations for public disclosure, pursuant to Health-General Article §§19-103(c)(3), 19-109(a)(6), and 19-134, Annotated Code of Maryland, in compliance with all applicable federal and State laws and regulations.

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Regulations .01—.14 repealed and new Regulations .01—.14 adopted effective August 21, 2000 (27:16 Md. R. 1525)

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