# Commonwealth of Massachusetts
# Center for Health Information & Analysis (CHIA)
# Non-Governmental Application for Case Mix Data (LDS)

*This form is required by all Applicants, except Government Agencies as defined in 957 CMR 5.02. All Applicants must also complete the Data Management Plan, attached to this Application. The Application and the Data Management Plan must be signed by an authorized signatory of the organization. This Application and the Data Management Plan will be used by CHIA to determine if your organization may receive CHIA data. Please be sure the documents are completed fully and accurately. You may wish to consult the Evaluation Guide that CHIA will use to review your documents. Prior to receiving CHIA Data, the organization must execute the Data Use Agreement. You may wish to review that document as you complete these forms.*

**NOTE:** *In order for your application to be processed, you must submit the required application fee. Please consult the fee schedule for the appropriate fee amount. A remittance form with instructions for submitting the application fee is available on the CHIA website.*

*For Applicants seeking data for years 2004 – 2014 please complete this form: [to be posted]*

*All attachments must be uploaded to IRBNet with your Application.*

## I. GENERAL INFORMATION

| APPLICANT INFORMATION | |
|---|---|
| Applicant Name: | Marcy Carty, M.D. |
| Title: | Vice President, Performance Measurement and Improvement |
| Organization: | Blue Cross Blue Shield of MA |
| Project Title: | AHRQ Measure Calculation |
| Mailing Address: | 101 Huntington Avenue, Suite 300  Boston, MA 02199-7611 |
| Telephone Number: | 617 246-3669 |
| Email Address: | Marcy.Carty@bcbsma.com |
| Names of Co-Investigators: | John Dawson |
| Email Addresses of Co-Investigators: | John.Dawson@bcbsma.com |
| Original Data Request Submission Date: | 04/18/2016 |
| Dates Data Request Revised: | 04/18/2016 |
| Project Objectives (240 character limit): | 1) Calculate hospital performance on the Agency for Healthcare Research and Quality (AHRQ) Quality indicators. 2) Calculate Hospital performance on the National Quality Forum (NQF) endorsed Hospital 30 Day All Cause Unplanned Readmission measure |
| Project Research Questions (if applicable) Business Use Case(s): | N/A |

## II. PUBLIC INTEREST & PROJECT SUMMARY

1. Briefly explain why completing your project is in the public interest.

> BCBSMA uses this information to work with providers to:
>
> 1) improve their performance on important patient safety indicators
> 2) improve performance on unplanned re-admissions
>
> We believe our work with providers on these important measures improves patient safety across Massachusetts by encouraging providers to implement processes and procedures to reduce potential complications and adverse events following various surgeries and procedures and after hospitalizations

2. Has an Institutional Review Board (IRB) reviewed your project?
    ☐ Yes, a copy of the approval letter and protocol must be **attached** to this Application
    ☒ No, this project is not human subject research and does not require IRB review.

3. If your project has not been reviewed by an IRB, please **attach** a brief (1-2 page) description of your project including the methodology, objectives, and research questions.

## III. DATA FILES REQUESTED

1. Please indicate the Case Mix files from which you seek data, the year(s) of data requested, and your justification for requesting *each* file. Please refer to the Data Specifications for details of the file contents.

| CASE MIX | Year(s) Of Data Requested<br>Current Yrs. Available<br>☐ 2015 |
|---|---|
| ☒ **Inpatient Discharge** | Please describe how your research objectives require Inpatient Discharge data:<br><br>*BCBSMA utilizes the CHIA inpatient discharge data to determine performance on the AHRQ Patient Safety Indicator (PSI) and the AHRQ Inpatient Quality Indicator (IQI) measure results  The Inpatient data is needed to run the AHRQ quality measures and for calculating re-admission rates.  Without the inpatient Discharge data we would could not produce these important Patient Saftey measurements.* |
| ☐ **Outpatient Observation** | Please describe how your research objectives require Outpatient Observation data: |
| ☐ **Emergency Department** | Please describe how your research objectives require Emergency Department data: |

## GEOGRAPHIC DETAIL
Please choose _one_ of the following geographic options for MA residents:

| ☒ 3 Digit Zip Code (Standard) | ☐ 3 Digit Zip Code & City/Municipality *** | ☐ 5 Digit Zip Code *** | ☐ 5 Digit Zip Code & City/Municipality *** |
|---|---|---|---|
| ***Please provide justification for the chosen level of geographic detail if requesting something other than 3-Digit Zip Code only. Refer to specifics in your methodology: | | | |

## V. DEMOGRAPHIC DETAIL
Please choose _one_ of the following demographic options:

| ☒ Not Requested (Standard) | ☐ Race & Ethnicity*** |
|---|---|
| *** If requested please, provide justification for requesting Race and Ethnicity. Refer to specifics in your methodology: | |

## VI. DATE DETAIL
Please choose _one_ option from the following options for dates:

| ☐ Year (YYYY)(Standard) | ☐ Month (YYYYMM) *** | ☒ Day (YYYYMMDD)*** |
|---|---|---|
| ***Please provide justification for the chosen level of date detail if requesting Month or Day. Refer to specifics in your methodology:The full date is needed for calculating re-admission rates. The full date is needed when calculating AHRQ measure reults for patient Safety measures that measure number of days from admission to procedureand with out it we cannot produce accuarte rates. We also need the full date when calculating Hospital Performance on the Hospital 30 day All Cause Unplanned Re-admission measure. | | |

## VII. PHYSICIAN IDENTIFICATION NUMBERS (UPN)
Please choose _one_ of the following options for Provider Identifier(s):

| ☒ Not Requested (Standard) | ☐ Hashed ID *** | ☐ Board of Registration in Medicine # (BORIM) *** |
|---|---|---|
| ***If requested please, provide justification for requesting Hashed ID or BORIM #. Refer to specifics in your methodology: | | |

## VIII. HASHED UNIQUE HEALTH IDENTIFICATION NUMBER (UHIN)
Please choose _one_ of the following:

| ☐ Not Requested (Standard) | ☒ UHIN Requested *** |
|---|---|
| *** If requested please, provide justification for requesting UHIN. Refer to specifics in your methodology: A unique individual identifier is needed to calculate hospital performance on the Hospital 30 day All Cause Unplanned Re-admission measure. This is also needed when processing the AHRQ pateient safety measures | |

## IX. HASHED MOTHER'S SOCIAL SECURITY NUMBER

Please choose _one_ of the following:

| ☒ Not Requested (Standard) | ☐ Hashed Mother's SSN Requested *** |
|---|---|
| **\*\*\* If requested please, provide justification for requesting Mother's SSN.  Refer to specifics in your methodology:** | |

## X.  DATA LINKAGE AND FURTHER DATA ABSTRACTION

_Note: Data linkage involves combining CHIA Data with other databases to create one extensive database for analysis. Data linkage is typically used to link multiple events or characteristics that refer to a single person in CHIA Data within one database._

1. Do you intend to link or merge CHIA Data to other datasets?
   ☐ Yes
   ☒ No linkage or merger with any other database will occur

2. If yes, please indicate below the types of database to which CHIA Data be linked.  [Check all that apply]
   ☐ Individual Patient Level Data (e.g. disease registries, death data)
   ☐ Individual Provider Level Data (e.g., American Medical Association Physician Masterfile)
   ☐ Individual Facility Level Data level (e.g., American Hospital Association data)
   ☐ Aggregate Data (e.g., Census data)
   ☐ Other (please describe):

3. If yes, describe the data base(s) to which the CHIA Data will be linked, which CHIA data elements will be linked; and the purpose for the linkage(s):

4. If yes, for each proposed linkage above, please describe your method or selected algorithm (e.g., deterministic or probabilistic) for linking each dataset.  If you intend to develop a unique algorithm, please describe how it will link each dataset.

5. If yes, please identify the specific steps you will take to prevent the identification of individual patients in the linked dataset.

## XI.  PUBLICATION / DISSEMINATION / RE-RELEASE

1. Describe your plans to publish or otherwise disclose CHIA Data, or any data derived or extracted from such CHIA Data, in any paper, report, website, statistical tabulation, seminar, conference, or other setting.  All publication of CHIA Data must comply with CHIA's cell size suppression policy, as set forth in the Data Use Agreement.  Please explain how you will ensure that any publications will not display a cell less than 11, and no percentages or other mathematical fomulas will be used if they result in the display of a cell less than 11.

> **BCBSMA utilizes the CHIA data to determine performance on the AHRQ Patient Safety Indicator (PSI) and the AHRQ Inpatient Quality Indicator (IQI) measure results. The measure results are created at the aggregate Hospital level and each Hospital receives a report listing their rate's for the PSI and IQI measures.**

2. Do you anticipate that the results of your analysis will be published and/or publically available to any interested party? Please describe how an interested party will obtain your analysis and, if applicable, the amount of the fee, that the third party must pay.

> No

3. Will you use CHIA Data for consulting purposes?
   - ☐ Yes
   - ☒ No

4. Will you be selling standard report products using CHIA Data?
   - ☐ Yes
   - ☒ No

5. Will you be selling a software product using CHIA Data?
   - ☐ Yes
   - ☒ No

6. Will you be reselling CHIA Data in any format?
   - ☐ Yes
   - ☒ No

If yes, in what format will you be reselling CHIA Data (e.g., as a standalone product, incorporated with a software product, with a subscription, etc.)?

7. If you have answered "yes" to questions 4, 5 or 6, please describe the types of products, services or studies.

8. If you have answered "yes" to questions 4, 5, or 6, what is the fee you will charge for such products, services or studies?

## XII. APPLICANT QUALIFICATIONS

1. Describe your qualifications (and the qualifications of your co-investigators) to perform the research described.

> BCBSMA has been using the Discharge Data provided by CHIA for the past 5+ years to calculate the rates for AHRQ Quality measures. See attached for resumes of the BCBSMA staff that will be accessing the data.

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2. **Attach** résumés or curricula vitae of the Applicant/principal investigator, and co-investigators. (These attachments will not be posted on the internet.)

## XIII. USE OF AGENTS AND/OR CONTRACTORS

**Please note: by signing this Application, the Organization assumes all responsibility for the use, security and maintenance of the CHIA Data by its agents, including but not limited to contractors.**

Third-Party Vendors. Provide the following information for all agents and contractors who will work with the CHIA Data.

| | |
|---|---|
| Company Name: | |
| Contact Person: | |
| Title: | |
| Address: | |
| Telephone Number: | |
| E-mail Address: | |
| Organization Website: | |

1. Will the agent have access to the CHIA Data at a location other than your location, your off-site server and/or your database?

&#9744; Yes, a separate Data Management Plan must be completed by each agent who will store CHIA Data
&#9744; No

2. Describe the tasks and products assigned to this agent for this project; their qualifications for completing the tasks; and the Organization's oversight of the agent, including how the Organization will ensure the security of the CHIA Data to which the agent has access.

| |
|---|
| |

## XIV. FEE INFORMATION
Please consult the fee schedules for Case Mix Data and select from the following options:

&#9746; Single Use
&#9744; Limited Multiple Use
&#9744; Multiple Use

Are you requesting a fee waiver?
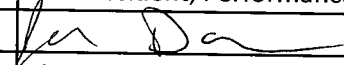&#9746; Yes
&#9744; No

If yes, please refer to the Application Fee Remittance Form and submit a letter stating the basis for your request (if required). Please refer to the fee schedule for qualifications for receiving a fee waiver. If you are requesting a waiver based on the financial hardship provision, please provide documentation of your financial situation. Please note that non-profit status alone isn't sufficient to qualify for a fee waiver.

By submitting this Application, the Data Applicant attests that it is aware of its data use, privacy and security obligations imposed by state and federal law *and* is compliant with such use, privacy and security standards. The Data Applicant further agrees and understands that it is solely responsible for any breaches or unauthorized access, disclosure or use of

any CHIA Data provided in connection with an approved Application, including, but not limited to, any breach or unauthorized access, disclosure or use by its agents.

Applicants requesting data from CHIA will be provided with data following the execution of a Data Use Agreement that requires the Data Applicant to adhere to processes and procedures aimed at preventing unauthorized access, disclosure or use of data.

**By my signature below, I attest to: (1) the accuracy of the information provided herein; (2) that the requested data is the minimum necessary to accomplish the purposes described herein; (3) the Data Applicant will meet the data privacy and security requirements describe in this Application and supporting documents, and will ensure that any third party with access to the data meets the data use, privacy and security requirements; and (4) my authority to bind the organization seeking CHIA Data for the purposes described herein.**

| | |
|---|---|
| Signature:<br>(Authorized Agent) | |
| Printed Name : | Marcy Carty, M.D. |
| Title: | Vice President, Performance Measurement and Improvement |
| Applicant's Signature: | |
| Name: | John Dawson |
| Title: | Director, Network Incentive Provider Reporting |
| Original Data Request Submission Date: | 4/13/2016 |
| Dates Data Request Revised: | |

Attachments. Please indicate below which documents have been attached to the Application and uploaded to IRBNet:

☐ 1. IRB approval letter or summary of project (if applicable)

☒ 2. Resumes of Applicant and co-investigators

☒ 3. Data Management Plan (for each institution that will store CHIA Data)