Chapter 246-455 WAC

HOSPITAL PATIENT DISCHARGE INFORMATION REPORTING

DISPOSITION OF SECTIONS FORMERLY CODIFIED IN THIS CHAPTER

246-455-030   Reporting of E-Codes. [Statutory Authority: RCW 43.70.040 and [43.]70.170. WSR 03-13-029, § 246-455-030, filed 6/10/03, effective 7/11/03. Statutory Authority: RCW 43.70.040. WSR 91-02-049 (Order 121), recodified as § 246-455-030, filed 12/27/90, effective 1/31/91. Statutory Authority: Chapter 70.39 RCW. WSR 88-16-043 (Order 88-05, Resolution No. 88-05), § 261-50-035, filed 7/29/88.] Repealed by WSR 07-09-091, filed 4/18/07, effective 5/23/07. Statutory Authority: RCW 43.70.040 and 43.70.052.

WAC 246-455-001 Purpose. This chapter is adopted by the Washington state department of health pursuant to RCW 43.70.040, 43.70.052, and 70.170.010 relating to the collection and maintenance of patient discharge data, including data necessary for identification of discharges by diagnosis-related groups.

[Statutory Authority: RCW 43.70.040 and 43.70.052. WSR 07-09-091, § 246-455-001, filed 4/18/07, effective 5/23/07. Statutory Authority: RCW 43.70.040 and [43.]70.170. WSR 03-13-029, § 246-455-001, filed 6/10/03, effective 7/11/03. Statutory Authority: RCW 43.70.040 and chapter 70.170 RCW. WSR 94-12-090, § 246-455-001, filed 6/1/94, effective 7/2/94. Statutory Authority: RCW 43.70.040. WSR 91-02-049 (Order 121), recodified as § 246-455-001, filed 12/27/90, effective 1/31/91. Statutory Authority: Chapter 70.39 RCW. WSR 84-20-067 (Order 84-06, Resolution No. 84-06), § 261-50-010, filed 10/1/84.]

WAC 246-455-010 Definitions. As used in this chapter, unless the context requires otherwise,

(1) "Department" means department of health.

(2) "Diagnosis-related groups" is a classification system that groups hospital patients according to principal and secondary diagnosis, presence or absence of a surgical procedure, age, presence or absence of significant comorbidities or complications, and other relevant criteria.

(3) "Hospital" means any health care institution which is required to qualify for a license under RCW 70.41.020(2); or as a psychiatric hospital under chapter 71.12 RCW.

(4) "CHARS" means comprehensive hospital abstract reporting system.

(5) "*CHARS Procedure Manual*" means the written instructions for reporting hospital discharge data to the department.

(6) "*CHARS 837 Companion Guide*" means the written technical guidelines for creating the ASC X12 837 Health Care Claim file for CHARS.

(7) Uniform Billing "UB-92/UB-04 data set" means the data element specifications developed by the National Uniform Billing Committee which can be found at www.NUBC.org. The UB-92 specifications will be used until they are replaced by the UB-04 of the National Uniform Billing Committee. Data elements are completely defined in the *CHARS Procedure Manual* which may be obtained on the department's web site or by contacting the department.

(8) "Patient discharge" means the termination of an inpatient admission or observation stay, including an admission as a result of a birth, in a Washington hospital.

(9) "Office of Management and Budget" means a body within the Executive Office of the President of the United States which is tasked with coordinating United States Federal agencies and can be found at www.whitehouse.gov/OMB.

(10) "Individually identifiable health information" means any health information that can be linked or traced to an individual or family. It includes but is not limited to: Past, present and future health care; billings or payments for health care; physical or mental health conditions; and physical or mental health diagnosis. This includes names and parts of names, Social Security numbers and parts of Social Security numbers, date of birth, admission date, exact discharge date, procedure date, nine-digit zip code and identifiers and patient control numbers assigned by a hospital for record retrieval.

(11) "Minimum necessary use" means that the use and disclosure of individually identifiable health information will be limited to the minimum amount necessary to accomplish the authorized purpose.

(12) "Data sharing agreement" means a signed agreement between government agencies, or researchers having an Institutional Review Board approval for transmitting, receiving and using records containing individually identifiable health information. Sharing such records requires each agency to have independent statutory authority to receive and disclose the information. The agreement specifies, at a minimum, what information will be exchanged, and the conditions or restrictions under which the information will be used and protected.

[Statutory Authority: RCW 43.70.040 and 43.70.052. WSR 07-09-091, § 246-455-010, filed 4/18/07, effective 5/23/07. Statutory Authority: RCW 43.70.040 and [43.]70.170. WSR 03-13-029, § 246-455-010, filed 6/10/03, effective 7/11/03. Statutory Authority: RCW 43.70.040 and chapter 70.170 RCW. WSR 94-12-090, § 246-455-010, filed 6/1/94, effective 7/2/94. Statutory Authority: RCW 43.70.040. WSR 91-02-049 (Order 121), recodified as § 246-455-010, filed 12/27/90, effective 1/31/91. Statutory Authority: RCW 70.39.180. WSR 85-17-020 (Order 85-05, Resolution No. 85-05), § 261-50-020, filed 8/13/85. Statutory Authority: Chapter 70.39 RCW. WSR 84-20-067 (Order 84-06, Resolution No. 84-06), § 261-50-020, filed 10/1/84.]

WAC 246-455-020 Reporting of UB-92/UB-04 data set information. (1) Effective for all hospital patient discharges on or after April 1, 1994, hospitals shall collect and report the following UB-92 or UB-04 data set elements to the department:

(a) Patient control number

Patient's unique alpha-numeric number assigned by the hospital to facilitate retrieval of individual patient records

(b) Type of bill

(c) Medicare provider number

(UB-92), National Provider Identifier (UB-04), or department assigned identifier, as applicable

(d) Patient last name (at least the first four letters)

(e) Patient first name (at least the first three letters)

(f) Patient middle initial

(g) Patient Social Security number (at least the last four digits)

(h) Patient zip code (U.S.A.)

(i) Patient country code (outside U.S.A.)

(j) Patient's date of birth

(k) Sex

(l) Admission date

(m) Type of admission

(n) Source of admission

(o) Patient discharge status

(p) Statement covers period (from - through)

(q) Revenue code

(r) Units of service

(s) Total charges

(t) Payer identification (up to three): Payer identification number per the CHARS procedure manual identifying each payer group from which the hospital may expect some payment of the bill

(u) Principal diagnosis code

(v) Other diagnosis codes

(w) External cause of injury (ECI) code

(x) Principal procedure code

(y) Other procedure code

(z) Attending provider identifier (legacy ID for UB-92); National Provider Identifier or legacy for UB-04 according to Centers for Medicare and Medicaid Services (CMS) schedule

(aa) Operating physician identifier (legacy ID for UB-92); National Provider Identifier or legacy for UB-04 according to CMS schedule, as applicable

(bb) Other provider identifiers (legacy ID for UB-92); National Provider Identifier or legacy for UB-04 according to CMS schedule, as applicable

(cc) Admission hour

(dd) Race - Per minimum Office of Management and Budget (OMB) standards

(ee) Ethnicity - Per minimum OMB standards

(ff) Discharge hour

(gg) Procedure date

(hh) Present on admission status

(ii) Health care provider taxonomy code

(jj) Health care common procedure coding system (HCPCS)

(kk) Service date

(2) The hospital shall report all patient discharge data described in WAC 246-455-010 and 246-455-020 according to UB-92/UB-04 specifications unless noted otherwise.

WAC 246-455-040 Acceptable media for submission of data. Hospitals shall submit data in the form prescribed by the department in the *CHARS Procedure Manual* and *CHARS 837 Companion Guide*. Additional information not listed in WAC 246-455-020 may be required by the department to successfully process data submission files. Copies of the *CHARS Procedure Manual* and *CHARS 837 Companion Guide* may be obtained on the department's web site or by contacting the department.

WAC 246-455-050 Time deadline for submission of data. Hospitals shall submit data to the department or its designee within forty-five days following the end of each calendar month.

WAC 246-455-060 Edits to data. The department shall edit the data as follows:

(1) Record layout compatibility edits on data submitted in accordance with WAC 246-455-020; and

(2) Verification of the data set elements set forth in WAC 246-455-020.

WAC 246-455-070 Revisions to submitted data. (1) All data revisions required as a result of the edits performed pursuant to WAC 246-455-020 shall be corrected and returned to the department or its designee within fourteen working days.

(2) The department may assess a civil penalty as provided in RCW 70.170.070 and WAC 246-455-100 for the costs associated with more than one cycle of edits as described in WAC 246-455-060.

[Statutory Authority: RCW 43.70.040 and chapter 70.170 RCW. WSR 94-12-090, § 246-455-070, filed 6/1/94, effective 7/2/94. Statutory Authority: RCW 43.70.040. WSR 91-02-049 (Order 121), recodified as § 246-455-070, filed 12/27/90, effective 1/31/91. Statutory Authority: RCW 70.39.180. WSR 85-17-020 (Order 85-05, Resolution No. 85-05), § 261-50-065, filed 8/13/85. Statutory Authority: Chapter 70.39 RCW. WSR 84-20-067 (Order 84-06, Resolution No. 84-06), § 261-50-065, filed 10/1/84.]

WAC 246-455-080 Security of the data. (1) The department and its contractors or agents shall maintain the confidentiality of any individually identifiable health information as required by RCW 70.170.090 and federal Health Insurance Portability and Accountability Act standards.

(2) The department shall institute security and system safeguards to prevent and detect unauthorized access, modification, or manipulation of individually identifiable health information. Accordingly, the safeguards will include:

(a) Documented formal procedures for handling the information;

(b) Physical safeguards to protect computer systems and other pertinent equipment from intrusion;

(c) Processes to protect, control and audit access to the information;

(d) Processes to protect the information from unauthorized access or disclosure when it is transmitted over communication networks;

(e) Processes to protect the information when it is physically moved from one location to another;

(f) Processes to ensure the information is encrypted when:

(i) It resides in an area that is readily accessible by individuals who are not authorized to access the information (e.g., shared network drives or outside the agency data centers);

(ii) It is stored in a format that is easily accessible by individuals who are not authorized to access the information (e.g., text files and spreadsheets);

(iii) It is stored on removable media, or portable devices (e.g., tapes, electronic disks, thumb drives, external hard drives, laptops and handheld devices).

[Statutory Authority: RCW 43.70.040 and 43.70.052. WSR 07-09-091, § 246-455-080, filed 4/18/07, effective 5/23/07. Statutory Authority: RCW 43.70.040 and [43.]70.170. WSR 03-13-029, § 246-455-080, filed 6/10/03, effective 7/11/03. Statutory Authority: RCW 43.70.040 and chapter 70.170 RCW. WSR 94-12-090, § 246-455-080, filed 6/1/94, effective 7/2/94. Statutory Authority: RCW 43.70.040. WSR 91-02-049 (Order 121), recodified as § 246-455-080, filed 12/27/90, effective 1/31/91. Statutory Authority: Chapter 70.39 RCW. WSR 84-20-067 (Order 84-06, Resolution No. 84-06), § 261-50-070, filed 10/1/84.]

WAC 246-455-090 Release of the data. (1) To acknowledge the need to protect patient privacy, federal privacy rules are used as models for deidentification of individually identifiable health information and for minimum neces-sary disclosure of individually identifiable health information in the release of CHARS data.

(2) Individually identifiable health information will not be released to the public.

(3) Confidential data sets may contain all or portions of the individually identifiable health information. Confidential data sets will be released under the following conditions:

(a) Data sets containing any of the individually identifiable health information will be constructed by applying the standard of inclusion of the minimum elements necessary for the recipient's project requirements.

(b) Research projects may receive these data sets following approval by Washington state institutional review board, and receipt of a signed data use agreement with the board and the department of health.

(c) Projects of state, local and federal agencies directly related to quality assurance or quality improvement of the data activities, hospitalization payment rate setting, program evaluation or public health surveillance may receive these data sets through a signed contract that includes a data use agreement.

The department reserves the right to determine whether a use is appropriate.

(4) The data sharing agreements for confidential data sets must include language which:

(a) Establishes who will use and receive the data set;

(b) Requires that the data not be used to identify or contact individuals;

(c) Requires appropriate safeguards to prevent the use or disclosure of the information other than as provided for in the agreement;

(d) Establishes the permitted use of the data set and excludes other uses;

(e) Requires immediate notification to DOH of any suspected security breach;

(f) Requires a report to DOH of any use or disclosure not permitted in the agreement;

(g) Contains penalties for violation of the agreement;

(h) Requires that the data set be destroyed or returned; and

(i) Requires all users, including contractors and subcontractors, to read the agreement, abide by its provisions and sign it.

[Statutory Authority: RCW 43.70.040 and 43.70.052. WSR 07-09-091, § 246-455-090, filed 4/18/07, effective 5/23/07. Statutory Authority: RCW 43.70.040 and chapter 70.170 RCW. WSR 94-12-090, § 246-455-090, filed 6/1/94, effective 7/2/94. Statutory Authority: RCW 43.70.040. WSR 91-02-049 (Order 121), recodified as § 246-455-090, filed 12/27/90, effective 1/31/91. Statutory Authority: Chapter 70.39 RCW. WSR 87-08-037 (Order 87-02, Resolution No. 87-02), § 261-50-075, filed 3/30/87.]

WAC 246-455-100 Penalties for violation. RCW 70.170.070 describes the penalty for violation of any valid orders, rules, regulations, and reporting requirements. The department may grant extensions of time to file the information. If such an extension is granted, failure to file the information shall not be considered a violation until the extension period has expired.

[Statutory Authority: RCW 43.70.040 and [43.]70.170. WSR 03-13-029, § 246-455-100, filed 6/10/03, effective 7/11/03. Statutory Authority: RCW 43.70.040 and chapter 70.170 RCW. WSR 94-12-090, § 246-455-100, filed 6/1/94, effective 7/2/94. Statutory Authority: RCW 43.70.040. WSR 91-02-

049 (Order 121), recodified as § 246-455-100, filed 12/27/90, effective 1/31/91. Statutory Authority: Chapter 70.39 RCW. WSR 88-16-043 (Order 88-05, Resolution No. 88-05), § 261-50-090, filed 7/29/88; WSR 87-08-037 (Order 87-02, Resolution No. 87-02), § 261-50-090, filed 3/30/87; WSR 87-04-008 (Order 87-01, Resolution No. 87-01), § 261-50-090, filed 1/23/87. Statutory Authority: RCW 70.39.180. WSR 86-14-081 (Order 86-03, Resolution No. 86-03), § 261-50-090, filed 7/1/86; WSR 85-17-020 (Order 85-05, Resolution No. 85-05), § 261-50-090, filed 8/13/85.]