Preventing Oral Anticoagulant Adverse Events

Data Transfer Protocol

As the CMS-designated Quality Improvement Organization for New York, IPRO is pleased to provide analytic support to evaluate the quality of anticoagulation-related services. To assure that patient data are handled in the most secure and efficient manner possible, we require that the following steps be followed when transferring data to IPRO:

<u>**Data Formatting**</u>

1. **Acceptable Types of Files:** All data received must be in the form of an **Excel™ spreadsheet, Access™ database or text file with column headers in the first row**. Data may **NOT** be in PDF format.
2. Completion of a direct query of a medical record database using Microsoft SQL™ or other structured query language will generate files in Excel™ or Access™ that are most appropriate for analysis by IPRO statistical programs. (Other report-generating software may generate output in Excel™, but may not provide data in suitably structured fields.)
3. **Acceptable data layouts:** Individual records should be configured in a horizontal (i.e. left to right) format, with all fields for an individual record being contained in a single row (i.e. no wrapping to subsequent rows). Individual patients should have no more than one demographic record, contained in a single row. Laboratory files may include more than one record per patient (e.g. multiple INR tests and results), although each INR record must comprise its own row. See examples below.
    a. Example of usable enrollment file:

Patient Number	DateOfBirth	Gender	ReasonForTreatment
SW014A	4/15/1961	Female	Atrial Fibrillation
SW015EE	3/12/1932	Male	Mechanical Valve Replacement

    b. Example of usable INR file:

Patient Number	DateofINR	INR
SW014A	4/12/2012	2.3
SW014A	5/1/2012	2.5
SW015EE	4/1/2012	1.2
SW015EE	5/10/2012	2.3
SW015EE	5/30/2012	2.8

Encryption and Secure Transfer

CMS has strict regulations regarding the transfer of data containing PHI from providers to IPRO. **CMS does not permit any portals to be used to transfer data in this program.** In order to comply with these regulations we use **two** following procedures:

Email Transfer of Encrypted PHI

1. Encrypt the data file with a strong password. Strong passwords contain a combination of upper and lower case letters, characters and numbers. CMS uses PK ZIP Secure Zip encryption software but we realize you may use a different program. It is best if your file has been compressed using Win Zip or other compression software. Compressing the database prevents the file from being too large to be sent via email.
2. **The password should be emailed in a separate email to Susan Wymer (swymer@nyqio.sdps.org).** Please put Transfer Email 1 along with your facility name in the subject line. Example: IPRO Transfer Email 1.
3. Email the data using your regular email account in a separate email to Susan Wymer. Please put Transfer Email 2 in the subject line along with your facility name. Example: IPRO Transfer Email 2
4. Please **DO NOT USE A SECURE PORTAL**. Due to current CMS regulations we cannot access data from a secure portal.
5. Susan will notify you once the data have been received and downloaded onto our secure servers. The email will then be deleted from our servers.
6. We will return a zipped encrypted file containing your reports to your regular email account. The password will be in the first email and the reports in the second email.
   a. If you have trouble, unzipping the reports, you will need to install PK ZIP which is available here: http://pkware.cachefly.net/products/Reader/ZIPReader.exe
   b. The installation instructions are fairly straightforward although you may need to contact your IT department for permission to install this program.
7. Please email Susan Wymer to let her know that you have received the reports.

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CENTERS FOR MEDICARE & MEDICAID SERVICES

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Mailing Encrypted PHI via Disc:

1. Encrypt the data file with a strong password. Strong passwords contain a combination of upper and lower case letters, characters and numbers. CMS uses PK ZIP Secure Zip encryption software but we realize you may use a different program.
2. **The password should be emailed to Susan Wymer (swymer@nyqio.sdps.org) and never placed with the data disc.**
3. Burn the encrypted file to a DVD or CD.
4. PLEASE **LABEL THE DISC** WITH THE NAME OF YOUR AGENCY/INSTITUTION.
5. Use a carrier which offers tracking services and **make note of the tracking number**, mail the disc to:

   > Susan Wymer
   > IPRO
   > 20 Corporate Woods Blvd.
   > Albany, NY 12211
   > Phone Number: 518-320-3554

6. Once the disc is received at IPRO we will download the data onto our secure servers and determine if the data are intact. We will destroy the disc in a CMS approved data disc shredder.
7. We will notify you once the data have been received, downloaded and the disc destroyed.
8. When we have completed the analysis we will send you an encrypted file on a DVD containing a PDF of your report and any necessary Excel files. The password will be emailed to you separately.
   a. You may have trouble unencrypting the file. If you do, you will need to install PK ZIP which is available here:
      http://pkware.cachefly.net/products/Reader/ZIPReader.exe
9. Once you click on our encrypted file you will be prompted to enter the password. Once you have entered the password, the data can be downloaded. The disc should then be destroyed once the data are securely downloaded. Please use a shredder made specifically for destroying discs containing sensitive information.

Please email Susan Wymer, Data Analyst at swymer@nyqio.sdps.org or call 426-3300 ext.-154 if you have any questions. Thank you for helping us to comply with CMS' regulations for PHI.