

## Quality Control of Electronic Reporting via the Gatekeeper and CERTS System

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## Gatekeeper Application (1)

- Used to establish required fields and edits for different submission types
  - Required fields can vary by type of case and diagnosis year
    - e.g., CTR-required hospital vs. ASC
    - Assessed at record level
    - e.g., primary payer – 2006 forward
    - e.g., out of state reports – currently no edits
- Used to approve new vendor versions
  - An unapproved version is marked as "unreviewed vendor"
  - Run through our test version of Gatekeeper
  - Approved if no systematic problems are found

## Gatekeeper Program – Selection of Required Fields

## Gatekeeper Program - Selection of Data Edits

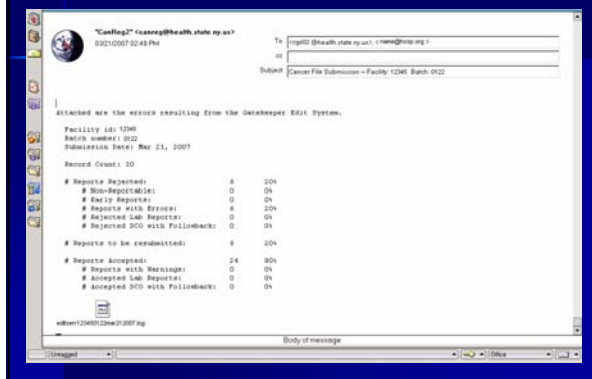
## Gatekeeper Application (2)

- New edits added to the NYSCR's metafile are initially set as "warnings"
- Edits selected to produce "warnings" are known as edit exceptions & are selected by individual edit, DX year & submission type
- "Warned" cases are not rejected
  - But the NYSCR expects facilities to correct the errors and resubmit the cases
- After the phase-in period has expired, new edits are reset as "errors"

## Gatekeeper Application (3)

- Gatekeeper processes incoming batches every hour
- Cases that are missing one or more required fields and/or fail one or more edits are rejected
- The facility and the NYSCR field representative for that facility receive an e-mail
  - Total number of cases in the batch
  - Number accepted
  - Number rejected
  - Error report (if any cases rejected or warned)

## Sample Gatekeeper E-mail



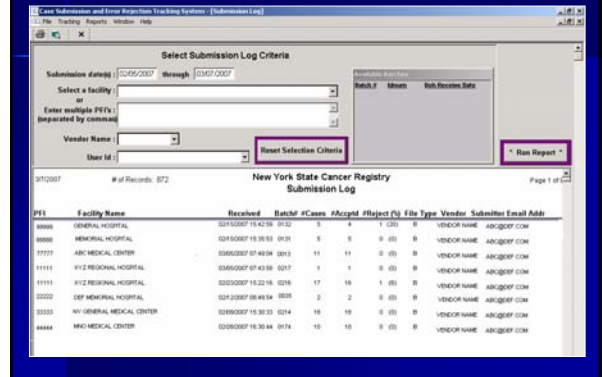
## Sample Gatekeeper Error Report



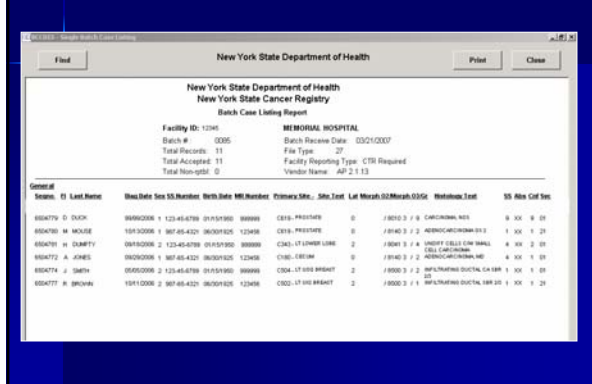
## Case Error Rejection Tracking System (CERTS) (1)

- Monitors incoming batches, outstanding rejected cases and frequency of transmissions
  - Submission log is updated hourly
- Provides information to help field representatives assist facilities with error corrections
- Produces a variety of management reports
  - Batch case listing
  - Batch submission report
  - Error report
  - Error rejection tracking log
  - Overdue submission report

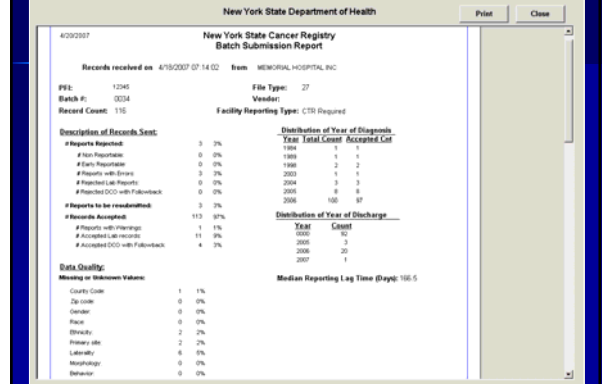
## CERTS Submission Log



## Batch Case Listing



## Batch Submission Report



### Batch Submission Report, Continued

CERTS - Production Database

New York State Department of Health

# Accepted LAR records: 11 9% 2007 10  
 # Accepted DCO with Followback: 4 3% 2006 20  
 2007 1

**Data Quality:**  
 Missing or Unknown Values: Median Reporting Lag Time (Days): 155.5

County Code	1	1%
Zip code	0	0%
Gender	0	0%
Race	0	0%
Ethnicity	2	2%
Primary site	2	2%
Laterality	0	0%
Morphology	0	0%
Behavior	0	0%
Grade	43	39%
UterineIn Situ	25	22%
Diagnostic confirmation	0	0%
Site text	0	0%
Neurology text	0	0%
Class	0	0%
Topology history	18	16%

**Non-specific Values:**  
 Primary site of C800 or C70\_ 2 2%  
 Morphology of 8000,2011,2000 11 10%  
 Diagnostic confirmation of 1- 0 0%

### CERTS Error Report

New York State Department of Health

Cancer File Submission - Error and Warning Detail

Run Date: 03/01/2007  
 Facility: 0300  
 Batch# Name: 0300

Patient Name: HARTY, CLARITY Patient Control Num: 00190200 Primary Site: C570  
 Medical Rec Num: 12048 Diagnostic Date: 06/19/2005 Sec Sac Num:  
 Sequence Num: 040101 Submission Type: CTR - V11

**MESSAGE EDIT ERRORS:**  
 Primary Site Morphology Type K200 (SBR W3)  
 FAILURE: Site & Morphology control - K200  
 Over-ride Site Type (120) - HLARR - Primary Site (20) - C200  
 Morphology Type K200-3 (20) - 0401

Patient Name: FACOTY, ANN Patient Control Num: 002244 Primary Site: C143  
 Medical Rec Num: 0420 Diagnostic Date: 03/02/2006 Sec Sac Num:  
 Sequence Num: 040200 Submission Type: CTR - V11

**MISSING REQUIRED FIELDS:**  
 FAILURE: All Tag-Surgery is required when surgery code is valid.

Item	Count	Item	Count	Warning
0001 Summary Stage 2000	1	Surgery, Rec, SurgHist (S00)	1	
Text-Old Proc-Full	1	Primary Site Morphology Type K200 (SBR W3)	1	
Text-Stage	3	PT Hosp-Surg Prim Site, Primar Site, K200 (S00)	1	
PT Text-Surgery	2	PT Hosp-Surg Hist (S10), Primar Site (S00)(S00)	1	
Text-Remarks	2	Behavior K200, Summary Stage 2000 (NA)(S0)	1	
Path-Request Available	1	Primary Site Morphology Type K200 (SBR W3)	1	
RegAffFirst Name	1			
RegAffLast Name	1			
RegAffAddress	1			
		Total	8	1

- ### Case Error Rejection Tracking System (CERTS) (2)
- Field representatives are responsible for tracking outstanding rejections
    - Error Rejection Tracking log
  - When sufficient variables (name, SSN, MR#, etc.) on a corrected case match the rejected transaction, CERTS usually removes the rejected case from the log
  - Resolved cases can also be manually removed when necessary
  - On a monthly basis, field representatives mail lists of outstanding rejections to their facilities

### CERTS Error Rejection Tracking Log

New York State Cancer Registry Error Rejection Tracking Log

PT#	Source	Name	Delate	SSN	MR#	Primary Site	Laf	Morphology/Behavior Code	Batch#	Alert Date	Report for Type Date	
12048	647044	SMITH, JOHN	01/26/2006	111-11-0111	100102	C800	PROSTATE GLAND	0	01440112	ADMINISTRATIVE	02/28	01/11/03/2007
12048	640713	MOLISE, MONEY	05/01/2004	222-22-2222	100103	C800	RT LUNG HLAR	1	30401110	NON-SMALL CELL CA	02/28	01/11/03/2007
12048	640103	BROWN, JOHN	12/13/2004	325-35-3333	100040	C800	PROSTATE	0	014401110	PROSTATIC	02/28	01/11/03/2007
12048	640440	SMITH, JANE	07/11/2006	844-84-4444	100124	C700	LARYNX VOCELS N00	0	00771210	HARVEY CELL Lymphoma	02/28	01/11/03/2007
12048	640440	DOE, JOHN	06/22/2006	555-55-5555	100123	C800	BLAD OF TONGUE	0	00771210	HARVEY CELL Lymphoma	02/28	01/11/03/2007

- ### Case Error Rejection Tracking System (CERTS) (3)
- Reporting facilities are required to submit cases on a monthly basis
  - Field representatives generate a report containing a list of their facilities that have not reported in five or more weeks
  - Report includes information about each facility's last submission
  - Field representatives contact the facilities to remind them that they are due for a new transmission

### CERTS Overdue Submission Report

New York State Cancer Registry Facilities Not Reporting for Five or More Weeks Information Regarding Last Submission

Field Representative(s)	Facility Name	Received	Batch#	#Cases	#Accepted	#Rejected (%)	File Type	Vendor	Submitter (Email Addr)
12048	Memorial Hospital	01/22/2007	08/07/24	0228	13	13	0 (0%)	B	AP 21111 jared@memorialhospital.org
14007	Medical Center	10/13/2006	14/30/30	0120	6	6	0 (0%)	B	AP 21111 aldy@medcenter.org
04002	General Hospital	10/11/2006	14/30/30	0000	13	13	0 (0%)	B	AP 21111 Regatt@generalhospital.org

## Summary

- The NYSCR system for quality control of electronic reporting is efficient and provides timely feedback to reporting facilities and field representatives
- System has enhanced data quality through stringent edit checks that can easily be maintained through the Gatekeeper application
- CERTS enables field representatives to assist facilities with resolving errors and to easily identify facilities with reporting issues

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