

Electronic Reporting in New York 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., Full hospital abstract vs. Amb. Surg. Center
 - Assessed at record level
 - e.g., Collaborative Stage – specific years only
- 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 Application (2)

- Some 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

From: Canreg1 [mailto:canreg@health.ny.gov]
Sent: Friday, June 23, 2017 5:02 PM
To: abc@hospitalname.org; fieldrep@health.ny.gov
Subject: Cancer File Submission -- Facility: 12345 Batch: 0009

Attached are the errors resulting from the Gatekeeper Edit System.

Facility id: 12345
Batch number: 0009
Submission Date: Jun 23, 2017

Record Count: 126

# Reports Rejected:	5	4%
# Non-Reportable:	0	0%
# Early Reports:	0	0%
# Reports with Errors:	5	4%
# Rejected Lab Reports:	0	0%
# Rejected Early Case Capture Reports:	0	0%
# Rejected DCO with Followback:	0	0%
# Rejected Physician Followback:	0	0%
# Reports to be resubmitted:	5	4%
# Reports Accepted:	121	96%
# Reports with Warnings:	0	0%
# Accepted Lab Reports:	3	2%
# Accepted DCO with Followback:	0	0%
# Accepted Early Case Capture Reports:	2	2%
# Accepted Physician Followback:	0	0%

Sample Gatekeeper Error Report

NEW YORK STATE CANCER REGISTRY
CANCER CASE SUBMISSION ERROR REPORT

GENEDITS and REQUIRED FIELD Output - 6/23/2017 17:01:43

Record ID: 1717999
Abstracted By: XYZ
Hospital Sequence #: 00
Sequence Number: 9407859
Batch Number: 0009

ERROR: Text--Remarks is a required field when over-ride Acsn/Class/Seq is set

Record ID: 1999991
Abstracted By: XYZ
Hospital Sequence #: 00
Sequence Number: 9407861
Batch Number: 0009

EDIT NAME: Secondary Diagnosis 7 (COC)
ERROR: Secondary Diagnosis 7 (HM13862) is invalid

Record ID: 2799994
Abstracted By: XYZ
Hospital Sequence #: 00
Sequence Number: 9407907
Batch Number: 0009

ERROR: Marital status at DX is a required field

Record ID: 2999999
Abstracted By: ABC
Hospital Sequence #: 00
Sequence Number: 9407949
Batch Number: 0009

ERROR: Physician--Follow-Up is a required field

Record ID: 9919999
Abstracted By: ABC
Hospital Sequence #: 02
Sequence Number: 9407952
Batch Number: 0009

ERROR: CS Version Input Original is a required field
ERROR: CS Version Input Current is a required field

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

Case Submission and Error Rejection Tracking System - [Submission Log]

File Tracking Reports Window Help

Select Submission Log Criteria

Submission date(s) : 05/30/2017 through 06/23/2017

Select a facility :

or

Enter multiple PFI's :
(separated by commas)

Vendor Name :

User Id :

Reset Selection Criteria

Available Batches

Batch #	Idnum	Doh Receive Date

* Run Report *

6/29/2017 # of Records: 893 New York State Cancer Registry Submission Log Page 1 of 8

PFI	Facility Name	Received	Batch#	#Cases	#Acptd	#Reject (%)	File Type	Vendor	Submitter Email Addr
12345	General Hospital	06/23/2017 20:38:15	0133	2	2	0 (0)	160	AP 3.5.0.0	
45678	Memorial Hospital	06/23/2017 20:37:30	0132	6	6	0 (0)	160	AP 3.6.0.0	
98765	Community Hospital	06/23/2017 17:38:45	0197	2	2	0 (0)	160	METRIQ2.8	
800001	Radiation Treatment Center	06/23/2017 17:27:19	0117	1	0	1 (100)	160	ap 3.5.0.0	
99554	Ambulatory Surgery Center	06/23/2017 17:27:11	0106	1	1	0 (0)	160	AP 3.6.0.0	
800001	Radiation Treatment Center	06/23/2017 17:26:49	0116	4	4	0 (0)	160	AP 3.5.0.0	

Batch Case Listing

BCC055 - Single Batch Case Listing

Find

New York State Department of Health

**New York State Department of Health
New York State Cancer Registry**

Batch Case Listing Report

Facility ID: 10456

General Hospital

Batch #: 0026

Batch Receive Date: 06/23/2017

Total Records: 203

File Type: NAACCR version 16

Total Accepted: 197

Facility Reporting Type: CTR Required

Total Non-rptbl: 0

Vendor Name: METRIQ2.86

General

<u>Seqno</u>	<u>FI</u>	<u>Last Name</u>	<u>Diag Date</u>	<u>Sex</u>	<u>SS Number</u>	<u>Birth Date</u>	<u>MR Num</u>	<u>CC</u>	<u>Prim Site</u>	<u>Site Text</u>	<u>Lat</u>	<u>Morph</u>	<u>O2/Morph</u>	<u>O3/Gr</u>	<u>Histology Text</u>	<u>SS</u>	<u>Abs</u>	<u>Cnf</u>	<u>Svc</u>
9408168	D	Duck	04/25/2016	2		09/22/1994		14	C778 -	LN'S MULTI REGIONS ABOVE	0		/ 9663	3 / 6	CLASSICAL HODGKIN LYMPHOMA, NODULAR	5		1	20
9408066	M	Mouse	06/01/2016	1		05/23/1935		14	C649 -	LT KIDNEY	2		/ 8310	3 / 2	CLEAR CELL, RCC, GR 2	1		1	21
9408163	H	Dumpty	03/22/2016	2		06/11/1938		12	C541 -	ENDOMETRIUM	0		/ 8380	3 / 1	FIGO GR 1 ENDOMETRIOID ADENOCA,	1		1	01
9408065	A	Jones	05/20/2016	2		01/01/1936		00	C343 -	RLL LUNG	1		/ 8041	3 / 9	HG NEUROENDOCRINE CA, SM CELL TYPE	5		1	20
9408057	J	Smith	06/09/2016	1		06/06/1932		14	C447 -	SKIN, RT THIGH	1		/ 8247	3 / 9	MERKEL CELL CA	1		1	21
9408169	L	Brown	06/10/2016	1		06/10/1929		14	C421 -	BONE MARROW	0		/ 9732	3 / 6	PLASMA CELL MYELOMA	7		3	20

Batch Submission Report

6/29/2017

New York State Cancer Registry Batch Submission Report

Records received on 6/23/2017 14:25:01 from General Hospital

PFI: 12345

File Type: NAACCR version 16

Batch #: 0040

Vendor: METRIQ2.8

Record Count: 79

Facility Reporting Type: CTR Required

Description of Records Sent:

# Reports Rejected:	0	0%
# Non Reportable:	0	0%
# Early Reportable:	0	0%
# Reports with Errors:	0	0%
# Rejected Lab Reports:	0	0%
# Rejected DCO with Followback:	0	0%
# Reports to be resubmitted:	0	0%
# Records Accepted:	79	100%
# Reports with Warnings:	0	0%
# Accepted Lab records:	1	1%
# Accepted DCO with Followback:	0	0%

Distribution of Year of Diagnosis

<u>Year</u>	<u>Total Count</u>	<u>Accepted Cnt</u>
2002	1	1
2006	3	3
2008	1	1
2009	2	2
2012	1	1
2014	2	2
2015	1	1
2016	68	68

Distribution of Year of Discharge

<u>Year</u>	<u>Count</u>
None	29
2016	37
2017	13

Data Quality:

Missing or Unknown Values:

County Code:	0	0%
Zip code:	0	0%
Gender:	0	0%

Median Reporting Lag Time (Days): 224

Batch Submission Report

Gender:	0	0%
Race:	0	0%
Ethnicity:	79	100%
Primary site:	1	1%
Laterality:	3	4%
Morphology:	0	0%
Behavior:	0	0%
Grade:	0	0%
Unknown Stage:	11	14%
Diagnostic confirmation:	0	0%
Site text:	0	0%
Morphology text:	0	0%
Class:	0	0%
Tobacco history:	79	100%

Non-specific Values:

Primary site of C809 or C76_:	1	1%
Morphology of 8000,8010,8800:	5	6%
Diagnostic confirm of 5 - 8:	9	11%

CERTS Error Report

Cancer File Submission - Error and Warning Detail

RUN DATE: 06/07/2017
 FACILITY:
 BATCH NUM: 0034

Patient Name: Mouse, Minnie	Patient Control Num: 903777	Primary Site: C505
Medical Rec Num:	Diagnosis Date: 09992016	Soc Sec Num:
Sequence Num: 9393866	Submission Type: CTR - V16.0	
Accession Num: 20160144	Abstracted by: XYZ	

METAFILE EDIT ERRORS:

Age at Diagnosis (SEER AGEDX)

FAILURE: Age at Diagnosis not valid Age at Diagnosis (193) = -84

RX Summ--Surgical Margins, Primary Site,ICD03 (COC)

FAILURE: Conflict among RX Summ--Surgical Margins, RX Summ--Surg Prim Site, Primary Site and Histologic Type ICD-O-3

RX Summ--Surgical Margins (1574) = 0
 RX Summ--Surg Prim Site (1567) = 0
 Primary Site (540) = C505
 Histologic Type ICD-O-3 (550) = 8500
 Date of Diagnosis (530) = Y:2016 M:09 D:

Age, Primary Site, Morph ICD03--Pediatric (NPCR)

FAILURE: Pediatric Age/Site/Hist conflict

Over-ride Age/Site/Morph (1896) = <BLANK>
 Age at Diagnosis (193) = -84
 Primary Site (540) = C505
 Histologic Type ICD-O-3 (550) = 8500
 Behavior Code ICD-O-3 (554) = 3
 Date of Diagnosis (530) = Y:2016 M:09 D:

Systemic RX, Surgery, Systemic/Sur Seq (COC)

FAILURE: Conflict among Systemic RX, Surgery, and Systemic Sur Seq

RX Summ--Surg Prim Site (1567) = 0
 RX Summ--Scope Reg LN Sur (1569) = 0
 RX Summ--Surg Oth Reg/Dis (1570) = 0
 RX Summ--BRM (1589) = 0
 RX Summ--Chemo (1585) = 01
 RX Summ--Hormone (1587) = 00
 RX Summ--Transplnt/Endocr (1583) = 00
 RX Summ--Systemic/Sur Seq (1616) = 3
 Regional Nodes Examined (916) = 01
 Date of Diagnosis (530) = Y:2016 M:09 D:

Summary of Missing Required Fields

Required Field	Count
Mets at DX-Other	1
Physician--Follow-Up	2
PFI Number	13
Req/Ref First Name	2
Req/Ref Last Name	2
Req/Ref Address	2
Req/Ref City	2
Req/Ref State	2
Req/Ref Zip Code	2

Summary of NAACCR Edits

Edit Name	Errors	Warnings
Marital Status at DX, Age at Diagnosis (SEER IF14)	5	
RX Summ--Surgical Margins, Primary Site,ICD03 (COC)	1	
Age, Primary Site, Morph ICD03--Pediatric (NPCR)	4	
Systemic RX, Surgery, Systemic/Sur Seq (COC)	1	
Age, Birth Date, Date of Diagnosis (NYSDOH)	11	
Date 1st Crs RX COC, Dates of RX (COC)	1	
RX Date Rad Ended, Rad--Location of RX (COC)	1	
RX Date Radiation, Rad--Location of RX (COC)	1	
RX Summ--Treatm Stat, Date 1st Crs RX COC (COC)	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

Case Submission and Error Rejection Tracking System - [Error Rejection Log]

File Tracking Reports Window Help

Submission date(s) : 01/20/2017 through 05/31/2017

Select a facility :

or

Enter multiple PFI's :
(separated by commas)

Vendor Name :

User Id :

Diagnosis date(s) : 00/0000 through 00/0000

Discharge date(s) : 00/0000 through 00/0000

Social security no. :

Batches with Rejected Cases

Batch #	Idnum	Doh Receive Date

Reset Selection Criteria

*** Run Report ***

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of Records: 214 **New York State Cancer Registry
Error Rejection Tracking Log**

PFI	Seqno	Name	DxDate	SS#	MR#	Primary Site	Lat	Morphology/Behavior/Grade	Batch#	Abst Serv by Type	Reject Date
12345	9383644	SOLO, HANS	03/30/2016	999-11-0000	555555	C421 BONE MARROW	0	9732 / 3 / 6 MULTIPLE MYELOMA	0133	20	5/30/2017
55544	9384298	PIPER, PIED	02/06/2017	111-22-3333	666666	C502 RIGHT BREAST AT 2:00	1	8523 / 2 / 4 DUCTAL CARCINOMA IN SITU, HIGH NUCLEAR GRADE,	0038	21	5/30/2017
99922	9384011	JONES, JOHN	06/09/2015	222-111-4444	111111	C481 OMENTUM, RLQ	0	9050 / 3 / 9 PERITONEAL MESOTHELIOMA, GRADE NOT STATED	0046	20	5/30/2017
770003	9383991	MOUSE, MICKEY	08/05/2016	888-88-8888	987654	C619 PROSTATE	0	8140 / 3 / 1 ADENOCARCINOMA	0103	11	5/30/2017

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

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