

PATIENT SAFETY EVENT DATA SUBMISSION FREQUENTLY ASKED QUESTIONS

The following set of frequently asked questions (FAQs) represent common questions received by the Agency for Healthcare Research and Quality's (AHRQ's) Patient Safety Organization Privacy Protection Center (PSOPPC) regarding the submission, validation, and resources associated with the Patient Safety Event Data Submission Process. Updates will be made to the FAQs document as additional questions are received.

Preparing for Submission

My PSO is collecting Patient Safety Event Data and is ready to provide these data to the PSOPPC. What steps do I need to take to prepare for data submission?

- ◆ To prepare for data submission, a PSO will be required to sign a PSO Data Use Agreement (DUA) with the PSOPPC. Additionally, a PSO user must register for a PSOPPC Web site account with Level 3 authorization, which permits the submission of data to the PSOPPC.
- ◆ To prepare Patient Safety Event Data for submission, ensure that the data are in the Extensible Markup Language (XML) file format. The XML file(s) must conform to the Health Level Seven (HL7) Clinical Document Architecture (CDA), Release 2.0 standard. As a reference, CDA XML file format can be further explored at the HL7 Web site www.hl7.org.

The PSOPPC Web site states that patient safety event submissions will only be accepted as XML files that meet the Technical Specifications for Common Formats Version 1.1 or Version 1.2. What are the Technical Specifications for Common Formats Version 1.1 or Version 1.2?

- ◆ The Technical Specifications for Common Formats Version 1.1 or Version 1.2 are a set of supporting documents that assist in the development of a XML file for submission. These documents include the Implementation Guide, Resources Workbook, Flow Charts, and Annotated Paper Forms.
- ◆ In order to be accepted by the PSOPPC, each XML file must:
 - Conform to the AHRQ Common Formats Version 1.1 or Version 1.2 Implementation Guide specifications.
 - Contain the Data Elements as defined in the validation (minimum) data set for the report type.
 - Comply with the validation rules outlined in the AHRQ Common Formats Version 1.1 or Version 1.2 Resources Workbook and Flow Charts.
- ◆ As a reference, the technical specifications can be found on the PSOPPC Web Site: https://www.psoppc.org/web/patientsafety/version-1.2_techsspecs.

Submission to the PSOPPC

My PSO has the required Level 3 PSOPPC Web site account, a properly structured XML file, and is ready to submit patient safety events to the PSOPPC. How do I begin the submission process?

- ◆ To submit data, the user will first need to sign in to the secure area of the PSOPPC Web site. Within the PPC Toolbox, the Level 3 user will submit their XML file(s) as a “Test” submission to determine if the XML is structured appropriately.

How do I know if my file has been successfully submitted to the PSOPPC?

- ◆ An e-mail notification will be sent to the user who submitted the file(s) confirming that the file(s) processing is complete. Upon notification of the file(s) being processed, the user should generate the Submission Summary Report and the Submission Detail Report.
- ◆ Viewing the Submission Summary Report will help ensure that the XML file(s) have been accepted by the PSOPPC Web site. Viewing the Submission Detail Report will notify the user of any errors or issues with the XML file(s). Error message(s) will indicate items that require revision to ensure accurate reporting and mapping of the data.
- ◆ Once the user determines that the XML file(s) are structured appropriately, the file(s) can be populated with Patient Safety Event Data.

My XML files have been structured properly and populated with Patient Safety Event Data. How do I submit and begin to validate my data submission?

- ◆ Prior to submitting the data as a “Production” submission, the user will submit the populated Patient Safety Event Data XML file(s) as a “Test” submission to the PSOPPC Web site. The first “Test” submission verifies the XML file structure integrity; this second “Test” submission focuses on validating data in the file. The submission of Patient Safety Event Data as a “Test” submission allows the PSO to review the data for accuracy prior to submitting the data as a “Production” submission.
- ◆ The user should generate and review the Healthcare Event Reporting Form (HERF), Patient Information Form (PIF), and Summary of Initial Report (SIR) Aggregate Report as well as the associated Event Module Aggregate Reports with clinical, business, and programming staff to ensure the data submission accurately reflects data received from providers. Review of the Aggregate Report and use of integrity checks may assist in uncovering coding or mapping issues within the submitted data. Using your Aggregate Report to identify potential issues is the best way to ensure the completeness and integrity of the data you submit to the PSOPPC. If necessary, make corrections to the data file(s). Once all reasonability checks are completed, the PSO can submit their Patient Safety Event Data XML file(s) as a “Production” submission.

Is there a size limitation for “Test” Submissions?

- ◆ Yes. The “Test” data submission functionality is limited to 10,000 files at a time. Once you have reached 10,000 files, the system will not allow additional submissions until previous submissions are deleted. The PSOPPC recommends testing and validating data for one Common Formats event module at a time, deleting submissions once validation activities have been completed.

I see there is a data submission Web service option. What type of information can I obtain from the data submission Web service?

- ◆ Users can call the service (i.e., request) for information regarding the data submission status. The response will include details about the file status, the user who submitted the file, submission date, and error message(s), if any.

Do I need an additional username and password to access the data submission Web service?

- ◆ Yes, in addition to the Level 3 user account, a second user name and password will be required for accessing the data submissions Web service. This secondary account information will also serve to access other services the PSOPPC provides, such as Secure File Transfer Protocol (SFTP) Data Submission. Please contact the PSOPPC Help Desk for user name and password set up.

How can I access the Web Service Definition Language (WSDL) for querying patient safety data submission status?

- ◆ <https://www.psoppc.org/PSOPPCService/EventDataSubmissionStatusService?wsdl>

What queries are available on the Web service Application Programming Interface (API)?

- ◆ The data submission Web service API provides the following three ways to query the data submission status:
 - Query data submission status by batch IDs
 - Query data submission status by file name ending with .xml
 - Query data submission status by date range

What should I look for when reviewing my data submission?

- ◆ The Healthcare Event Reporting Form (HERF), Patient Information Form (PIF), and Summary of Initial Report (SIR) Aggregate Report, as well as the associated Event module Aggregate Reports should be generated and reviewed after the PSO submits its Patient Safety Event Data XML file(s) as a “Test” submission and as a “Production” submission. When reviewing the Aggregate Report, perform a thorough evaluation of each category for expected results, including the counts reflected in the Event Type (Incident, Near Miss, or Unsafe Condition), Reporting Category, Patient Demographics, NQF Classification, Circumstances of Event, and Contributing Factors.

I found issues within my submitted Patient Safety Event Data. How can I make corrections to these data?

- ◆ If data issues are found after the data have been submitted as a “Test” submission, the user will have the ability to delete the submitted data. Reported data that contain unexpected values may indicate an XML coding or system mapping issue. When all issues have been resolved, the XML file(s) may be submitted as a “Test” submission, once again, for a second round of validation checks to ensure that all issues have been corrected. Once the data are appropriately represented, the corrected data file(s) can be submitted as a “Production” submission.
- ◆ If data issues are found after the data have been submitted as a “Production” submission, the user will be required to correct and resubmit the revised data file(s). The user will not have the ability to delete data once it has been submitted as a “Production” submission; therefore, the corrected data will need to be resubmitted by the PSO. Consistency within the naming convention of the revised Patient Safety Event Data XML file(s) will ensure the corrected data file(s) will replace the incorrect data file(s) with the corresponding Event ID.

I would like to delete my “Test” submissions. Where can I find this functionality on the PSOPPC Web site?

- ◆ On the PSOPPC Web site, click the “Submit Data - Patient Safety Event” link in the left navigation area. Your organization’s “Test” submissions will be listed under “Delete Test Submissions.” You can request to delete these “Test” submissions using the check box next to the Batch ID.

When reviewing my “Test” submission batches under the “Delete Test Submissions” page, I see additional batches that were not submitted by me. Where did these additional submission batches come from?

- ◆ In the event your PSO has more than one Level 3 user with data submissions privileges, each user’s submitted batches will be visible on the “Delete Test Submissions” page. The additional batches are the test submissions of another user within your organization.

Once I submit a request to delete my “Test” submission batches, when will the data be deleted?

- ◆ The deletion process is scheduled to run every 10 minutes. The “Test” data will be deleted within 10 minutes of your deletion request.

Available Resources

Does the PSOPPC have any resources I can reference for troubleshooting?

- ◆ Yes. On the PSOPPC Web site, PSOs will have access to numerous documents that will provide further guidance on the Patient Safety Event Data Submission Process. These documents include, but are not limited to:
 - Educational Briefs
 - Issue 29: Data Submission Best Practices
 - Issue 27: Common Formats Annotated Paper Forms and Flow Charts
 - Issue 25: Implementation Guide and Resources Workbook
 - Issue 24: Information for Data Submission
 - Issue 23: Understanding HL7 CDA
 - Issue 22: Why Submit Patient Safety Event Data?
 - Issue 18: Understanding the Minimum Data Set
 - Issue 16: A Quick Guide to Online Resources for Patient Safety Organizations
 - Issue 10: AHRQ Common Formats Version 1.1: Technical Specifications—Data Submission Specifications
 - Data Submission Checklist for Common Formats
 - Common Formats Data Submission Error Messages
 - Data Submission Process Flow Chart
 - How to Use the Aggregate Report
 - Hospital Common Formats: Technical Specifications
 - Data Submission Specifications
 - Resources Workbook
 - Flow Charts
 - Provider to PSO Data Submission Specifications
 - Data Dictionary
 - Local Specifications
 - Report Specifications
 - Common Formats 1.1 Sample XML File
 - Common Formats 1.2 Sample XML File

Can I contact the PSOPPC Help Desk for questions or issues regarding data submission?

- ◆ Yes. The PSOPPC Help Desk is available for assistance Monday through Friday, 9:00 a.m. to 5:30 p.m., EST. The PSOPPC Help Desk is available by phone at (866)-571-7712 or via e-mail at support@PSOPPC.org.