Detailed Business Requirements
Breast Cancer Surgery Episode
a1.0 c03 d01

State of Ohio

June 12, 2018
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1. INTRODUCTION

1.1 Versions and revisions

Episode design is an iterative process that typically involves multiple stakeholders. Once the design is finalized and the episode implemented, experience with the new payment model may generate new insights. The insights can in turn be leveraged to modify and improve the initial episode design. To keep track of the version of an episode used at any given time, a versioning system consisting of three numbers is employed:

- The algorithm version reflects the version of the software code used to produce the outputs for a particular episode. It is indicated by a major and minor version number, e.g., a1.1. The major algorithm version does not reset. The minor algorithm version resets when the major algorithm version is incremented.

- The configuration version reflects the version of the parameter settings and medical codes used to produce the outputs for a particular episode. The configuration includes for example the dollar amounts for the gain/risk sharing thresholds and the trigger diagnoses codes. The configuration version is indicated by a two digit number, e.g., c01. It is specific to the design decisions made by the organization that is implementing an episode and it does not reset.

- The documentation version reflects the version of the Detailed Business Requirements describing a particular episode. It is indicated by a two digit number, e.g., d01, and increments when a revision is made to the documentation without making a change to the algorithm or the configuration. It resets every time the algorithm or the configuration version changes.

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<td>■ DBR: Updated the Source Table Name of the input field 'MCP ID' to specify that the T_CA_ICN.MCO_PROV_KEY should also be used.</td>
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<td>■ DBR: Updated section 4.1 to specify that preliminary potential trigger start and end dates can be extended if they overlap with another hospitalization.</td>
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<td>■ DBR: Updated section 4.1 to specify that potential triggers cannot be built off of professional claims that overlap with another hospitalization.</td>
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<td>■ Configuration and DBR: Clarified that the age ranges for risk factors are inclusive of the minimum and value maximum values.</td>
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<td>■ Configuration and DBR: Updated all ICD-9 code references to also specify ICD-10.</td>
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<td>■ DBR: Updated Glossary to indicate that hospitalization should not be extended to include transfers.</td>
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<td>- DBR: Updated outpatient associated facility identification as well as the method for setting potential trigger start and end dates using outpatient associated facility claims in section 4.1</td>
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<td>- DBR: Updated language for quality metric 3 to clarify timing and requirements in section 4.7</td>
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### 1.2 Scope of this document

The Detailed Business Requirements (DBR) document serves as a guide to understand the definition of an episode. The DBR addresses three audiences:

- The episode owner who is accountable overall for the episode design and implementation
- The analytics team tasked with pressure testing the design of an episode and quality controlling the outputs from the episode algorithm
- The IT team tasked with implementing the algorithm to produce outputs for an episode
Section 2 of the DBR contains a description of the episode and is aimed at the episode owner and the analytics team. It addresses the following questions:

- **Patient journey**: Which patient cases are addressed by the episode?
- **Sources of value**: At which points in the patient journey do providers have most potential to improve quality of care and outcomes?
- **Design dimensions**: What decisions underlie the design of the episode?
  - Trigger: What events trigger an episode?
  - Episode duration: What is the duration of the episode?
  - Claims included and excluded: Which claims are included in or excluded from the episode spend?
  - Episode spend: How is spend for an episode calculated?
  - Principal Accountable Provider (PAP): Which provider is primarily held accountable for the outcomes of an episode?
  - Excluded episodes: Which episodes are excluded from a PAP’s average episode spend for the purposes of calculating any gain/risk sharing?
  - Quality metrics: Which quality metrics are employed to inform PAPs about their quality of care?
  - Risk adjustment: What approach is taken to adjust episodes for risk factors that cannot be directly influenced by the PAP?
  - Gain and risk sharing: How are the gain and risk sharing amounts for PAPs determined?

Section 3 of the DBR explains the data flow of an episode. It is aimed at the analytics team and the IT team and addresses the following questions:

- **Input data**: What inputs does the episode algorithm require to build the episode?
- **Episode algorithm**: What is the intent of the episode design that needs to be reflected in the software code to produce the episode outputs?
- **Episode configuration**: What parameters (e.g., dollar amounts) and medical codes (e.g., diagnoses codes) need to be specified to define the episode?
- **Outputs**: What are the outputs of an episode algorithm?
- **Provider reports**: What information is included in the provider reports?
The algorithm logic in section 4 of the DBR is aimed at the IT team. It may also be helpful to the analytics team in their communication with the IT team over the course of quality controlling an episode. The algorithm logic addresses the following questions:

- What are the logical steps the episode algorithm needs to complete in order to produce the required outputs?
- Which cases does the algorithm need to address?
- Are there exceptions to the overall logic and, if so, how are they handled?

The DBR document does not cover the following topics:

- Background on how episodes compare to the current payment system
- Clinical rationale for inclusions and exclusions
- Intermediate analyses used during design of the episode
- Meeting materials used during design of the episode
- Guidance on data collection/transformation/storage
- Guidance on the episode algorithm coding approach
2. DESCRIPTION OF THE EPISODE

2.1 Patient journey

The episode described in this document pertain to patients who undergo a lumpectomy, mastectomy, sentinel lymph node biopsy, or an axillary lymphadenectomy. As depicted in Exhibit 1, the patient journey begins when a patient has a positive biopsy result for malignancy or decides to undergo a prophylactic breast surgery. The patient is deemed to require a mastectomy and/or lymph node(s) removal by a surgeon. Prior to the surgery, the patient is likely to undergo pre-operative assessment and potential additional imaging and diagnostic testing. The patient may also undergo neo-adjuvant therapy to shrink the tumor before surgery in order to become a better surgical candidate for breast conserving surgery. During the surgery, local or general anesthesia is used, and the procedure is performed. Depending on the type of procedure, the patient may be discharged either on the same day (common for partial mastectomy), or after a short hospital stay (common for total/radical mastectomy).

Following surgery, the patient may receive adjuvant antineoplastic medical therapy and/or radiation therapy as part of the breast cancer treatment regimen. The patient may also receive routine follow-up care for pain and supportive management. Complications such as infection, edema, and/or cosmetic deformities may occur following the procedure. The patient may be referred for reconstructive surgery.
2.2 Sources of value

In treating patients receiving a mastectomy, sentinel lymph node biopsy, or an axillary lymphadenectomy, providers have several opportunities to improve both the quality and cost of care, and to reduce clinical variation (see Exhibit 2). An important source of value is the timeliness of breast cancer surgery and/or other follow-up therapies after a breast cancer diagnosis. Additionally, providers can utilize appropriate imaging studies as necessitated by patient’s clinical status. Another important source of value is choosing the appropriate type of surgery and anesthesia. Based on the patient’s diagnosis and clinical status, providers can also deliver more efficient and timely care by appropriate use of neo-adjuvant and adjuvant therapy. Overall, providers can bring about an improvement in the coordination of breast cancer treatments and improvement in overall outcomes.
### 2.3 Design dimensions

Designing and building a breast cancer surgery episode comprises nine dimensions, as depicted in Exhibit 3. Each dimension is associated with a set of data manipulations that convert the data inputs to the desired data outputs. Section 3 provides additional details on the episode data flow.
2.3.1 Episode trigger

A potential trigger for a breast cancer surgery episode is identified by a professional claim with a procedure code for a lumpectomy, mastectomy, sentinel lymph node biopsy, or an axillary lymphadenectomy. An associated facility claim with a primary diagnosis code related to breast cancer or its symptoms is required. The configuration file lists the trigger procedure codes and confirming diagnosis codes under “Trigger Procedures,” and “Trigger Confirming Diagnoses,” respectively.

A potential trigger extends for the entire duration of the professional claim that triggered the episode, plus the duration of the associated hospitalization or outpatient claim, if one exists. Hospitalizations denote periods of time when a patient was continuously hospitalized in an inpatient facility. They may consist of one or more inpatient claims. Hospitalizations and the claim types referenced throughout the DBR are defined in the glossary.
2.3.2 Episode duration

The duration of a breast cancer surgery episode comprises the pre-trigger window, the trigger window, and the post-trigger window. The overall duration of the episode is referred to as the episode window.

- **Pre-trigger window**: The pre-trigger window begins 30 days prior to the trigger window and ends 1 day prior to the trigger window.

- **Trigger window**: The trigger window begins on the first day of a potential trigger that constitutes an episode and ends on the last day of a potential trigger that constitutes an episode.

- **Post-trigger window 1**: The post-trigger window 1 begins the day after the trigger window ends and extends for 30 days. If a hospitalization begins on or before the 30th day of the post-trigger window and extends beyond the 30th day (i.e., is ongoing on the 30th day of the post-trigger window 1), then the post-trigger window 1 is extended until discharge from the hospitalization. Extending the episode in this way may only occur once per episode window and does not lead to further extensions. For a definition of hospitalization, see the glossary.

- **Post-trigger window 2**: The post-trigger window 2 begins the day after the post-trigger window 1 ends and extends for 60 days after the trigger end. If a hospitalization extends the post-trigger window 1, then the post-trigger window 2 begins the day after the extended end date of the post-trigger window 1. This leads to a decrease in the length of the post-trigger window 2 since the post-trigger window 2 always ends 60 days after the end date of the trigger window. If a hospitalization extends the post-trigger window 1 beyond the 60th day after the end of the trigger window, then there is just one post-trigger window. If a hospitalization begins on or before the 60th day after the end date of the trigger window and extends beyond the 60th day after the end date of the trigger window (i.e., is ongoing on the 60th day after the end date of the trigger window), then the post-trigger window 2 is extended until discharge from the hospitalization. Extending the episode in this way may only occur once per episode window and does not lead to further extensions. For a definition of hospitalization, see the glossary.

- **Clean period**: The clean period starts on the potential trigger start date and extends for 90 days from the potential trigger end date. The clean period is defined as the period during which, if the potential trigger triggers an
episode, no new episode of the same type can be triggered. Note that the clean period is not part of the episode duration.

Based on the definitions of the clean period and the pre-trigger, trigger, and post-trigger windows, potential triggers are divided into trigger procedures and repeat procedures:

■ **Trigger procedures**: Potential triggers that do not occur during another episode constitute the trigger window of a new episode.

■ **Repeat procedures**: Potential triggers that occur within the clean period of an episode do not constitute the trigger window of a new episode.

### 2.3.3 Claims included in episode spend

Episode spend is calculated on the basis of claims directly related to or stemming from the breast cancer surgery episode. Claims that are included in the calculation of episode spend are referred to as included claims. Claims that are not included in the calculation of episode spend are referred to as excluded claims. The criteria to identify included claims depend on the time window during which a claim occurs.

■ **Pre-trigger window**: Outpatient and professional claims during the pre-trigger window that are related to breast cancer surgery are included claims. Included claims during the pre-trigger window fall into the following groups:

  - Included evaluation and management (E&M) care: Outpatient and professional claim detail lines with included procedure codes for specific E&M visits to the PAP are included in the pre-trigger window.

  - Included imaging and testing: Outpatient and professional claim detail lines with included procedure codes, and inpatient claims with ICD-9 or ICD-10 procedure codes, for specific imaging and testing related to a breast biopsy (e.g., breast MRI) are included in the pre-trigger window.

  - Included procedures: Outpatient and professional claim detail lines with an included procedure code are included claim detail lines.

  - Excluded procedures: Outpatient, inpatient, or professional claim detail lines with an excluded procedure code (such as breast biopsy, breast reconstruction, radiation therapy, or antineoplastic therapy) are excluded claim detail line or claim from the pre-trigger window, regardless of other inclusion logic.
**Trigger window:** All inpatient, outpatient, and professional claims during the trigger window are included claims. Pharmacy claim detail lines with an included medication code are also included claim detail lines.

For this episode, claims and claim detail lines assigned to the trigger window are excluded if they are also assigned to one of the following types of services. This exclusion of claims or claim detail lines takes precedence over any of the above spend inclusion rules.

- Excluded procedures: Outpatient, inpatient, or professional claim detail lines with an excluded procedure code (such as breast biopsy, radiation therapy, antineoplastic therapy, or breast reconstruction) is an excluded claim detail line or claim from the trigger window.

**Post-trigger window 1:** Inpatient, outpatient, professional, and pharmacy claims during the post-trigger window that are related to breast cancer surgery, or indicate potential complications, are included claims. Included claims during the post-trigger window 1 fall into the following groups:

- Included hospitalizations: Hospitalizations are included in the calculation of episode spend if they are related to the episode. Hospitalizations that are related to the episode are identified using an included diagnosis code in the primary diagnosis field of an inpatient claim, or an included surgical procedural code in any surgical procedure field of an inpatient claim. All inpatient claims that are part of an included hospitalization are included claims. Hospitalizations without any included complication diagnosis codes in the primary diagnosis field or included surgical procedure codes in any surgical procedure field are considered unrelated hospitalizations and are not included in the calculation of episode spend.

- Included procedures: Outpatient and professional claim detail lines with an included procedure code or an included follow-up care procedure code are included claim detail lines.

- Included complication diagnoses: Outpatient and professional claims with an included complication diagnosis code in the primary diagnosis field are included claims. All claim detail lines of these claims are included claim detail lines.

- Included E&M care: Outpatient and professional claim detail lines with an included evaluation and management procedure code and a corresponding relevant diagnosis code in the primary diagnosis field are included claim detail lines.
– Included medications: Pharmacy claim detail lines with an included medication code are included claim detail lines.

– Excluded procedures: Outpatient, inpatient, or professional claim detail lines with an excluded procedure code (such as radiation therapy, antineoplastic therapy, or breast reconstruction) are excluded claim detail line or claim from the post-trigger window 1, regardless of other inclusion logic.

- **Post-trigger window 2:** Claims in the post-trigger window 2 are used to determine performance for Quality Metric 03 Adjuvant radiation therapy following breast-conserving surgery; these claims are not included in the calculation of episode spend. Refer to section 2.3.7 for more details.

The one exception to the above logic are claims related to transportation and vaccines, which are always excluded claims when the procedures occur on outpatient and professional claims.

The codes used to identify included hospitalizations as well as other included diagnoses, complication diagnoses, included procedures, included E&M procedures, included medications, excluded transportation, and excluded vaccinations are listed in the configuration file under “Included Diagnoses,” “Included Related Diagnoses,” “Included Procedures – Pre-trigger,” “Included Procedures – Post-trigger 1,” “Included E&M,” “Included Medications,” “Excluded Procedures – Pre-trigger,” “Excluded Procedures – Trigger,” “Excluded Procedures – Post-trigger 1,” “Excluded Transportation Procedures,” and “Excluded Vaccination Procedures,” respectively. The descriptions “All Claim Types,” “Outpatient Professional,” and “Inpatient” in the list names indicate which claim types are searched for the corresponding diagnosis codes.

**2.3.4 Episode spend**

The episode spend is the amount that reflects the totality of spend for included claims. Since the totality of spend for included claims is not risk-adjusted, it is referred to as non-risk-adjusted episode spend. Based on the available data, Ohio Medicaid calculates the non-risk-adjusted episode spend as the sum of the allowed amount for included claims from Medicaid Fee For Service (FFS) and the sum of the paid amount for included claims from Medicaid Managed Care Plans (MCPs). Given variation in data and payment practices, payers should use their judgment in determining which fields to utilize so as to best reflect the entire spend of an episode.
To remove variation in inpatient spend that is intentionally not addressed by the episode-based payment model, spend for included, DRG-paid inpatient claims is calculated by summing the APR-DRG base payment and the APR-DRG outlier payment for each included, DRG-paid inpatient claim. Medical education and capital expenditure payments are not included in non-risk-adjusted episode spend.

The non-risk-adjusted episode spend is calculated overall and by claim type, by window during the episode, and by claim type and window during the episode.

For the purpose of risk-adjustment only, a separate measure of episode spend, referred to as normalized-non-risk-adjusted episode spend, is used. Normalized-non-risk-adjusted episode spend is calculated using normalized APR-DRG base rates for DRG-paid inpatient claims to remove variation in unit prices before performing risk adjustment. DRG-exempt inpatient, outpatient, professional, and pharmacy spend is calculated the same way for normalized-non-risk-adjusted episode spend as for non-risk-adjusted episode spend.

To calculate the DRG-paid inpatient spend component of normalized-non-risk-adjusted episode spend the APR-DRG base payment for each included DRG-paid inpatient claim is normalized using the following method: The normalized base rate is calculated as the average hospital base rate across all DRG-paid inpatient claims weighted by volume of DRG-paid inpatient claims. The DRG base payment on each DRG-paid inpatient claim is then multiplied by the ratio of the normalized base rate to the actual base rate of each hospital. Outlier payments, if present, are added unchanged. The medical education payment and the capital expenditure payment are not included in normalized-non-risk-adjusted episode spend.

2.3.5 Principal Accountable Provider

The Principal Accountable Provider (PAP) is the provider deemed to be in the best position to influence the quality and cost of care for a patient undergoing a mastectomy, sentinel lymph node biopsy, or an axillary lymphadenectomy. The PAP for the breast cancer surgery episode is the surgeon that performs the procedure. The PAP is identified using the billing provider ID on the professional claim which triggered the episode.
2.3.6 Excluded episodes

Episode exclusions ensure that the remaining episodes are comparable to each other and allow fair comparisons between patient panels. After all exclusions that identify invalid episodes have been applied, a set of valid episodes remains. The valid episodes form the basis to assess the performance of PAPs.

- **Business exclusions:**
  - Dual eligibility: An episode is excluded if a patient has dual coverage by Medicaid and Medicare at any time during the episode window. The configuration file lists the codes used to identify dual eligible beneficiaries under “Business Exclusions - Duals.”
  - FQHC/RHC: An episode is excluded if the PAP is classified as a federally qualified health center or rural health clinic. The configuration file lists the codes used to identify FQHCs and RHCs under “Business Exclusions – FQHC And RHC.”
  - Incomplete episodes: An episode is excluded if the non-risk-adjusted episode spend (not the risk-adjusted episode spend) is less than the incomplete episode threshold. Spend less than the incomplete episode threshold may be an indication that claims are miscoded or incomplete. The incomplete episode threshold was set at the cost of the minimum services required to treat an episode. The incomplete episode threshold is listed as a parameter in the configuration file under “Excluded Episodes.”
  - Inconsistent enrollment: An episode is excluded if there are gaps in full Medicaid coverage (FFS or with an MCP) of the patient during the episode window. The configuration file lists the codes used to identify beneficiaries with inconsistent enrollment under “Business Exclusions – Inconsistent Enrollment.”
  - Long hospitalization: An episode is excluded if a hospitalization longer than (> ) 30 days occurs during the episode window.
  - Long-term care: An episode is excluded if long-term care occurs before the triggering procedure.
  - Missing APR-DRG: An episode is excluded if a DRG-paid inpatient claim during the episode is missing the APR-DRG and severity of illness.
Multiple payers: An episode is excluded if a patient changes enrollment between FFS and an MCP or between two MCPs during the episode window. The rules to attribute an episode to a payer are described in the glossary under “Payer attribution.”

PAP out of state: An episode is excluded if the PAP’s practice address is outside Ohio.

No PAP: An episode is excluded if the billing provider number is not available.

Third-party liability: An episode is excluded if third-party liability charges are present on any claim or claim detail line during the episode window or if the patient has relevant third-party coverage at any time during the episode window.

Clinical exclusions:

- Age: An episode is excluded if the patient is younger than thirteen (<13) or older than sixty-four (>64) years of age.
- Males: All males are excluded from a breast cancer surgery episode.
- Comorbidity: An episode is excluded if the patient has one or more of the following comorbidities during a specified time window. The configuration file lists the comorbidity codes and time windows under “Comorbidities <Comorbidity Name> - <Procedures or Diagnoses>.” Comorbidity codes are searched for on inpatient, outpatient, and professional claims.

The comorbidity exclusions for breast cancer surgery episode are:

- Cardiac arrest and ventricular fibrillation during the episode window or during the 365 days before the episode window
- Coma or brain damage during the episode window or during the 365 days before the episode window
- Cystic fibrosis during the episode window or during the 365 days before the episode window
- End stage renal disease (ESRD) during the episode window or during the 365 days before the episode window
- HIV infection during the episode window or during the 365 days before the episode window
- Multiple sclerosis during the episode window or during the 365 days before the episode window
- Organ transplant during the episode window or during the 365 days before the episode window
- Paralysis during the episode window or during the 365 days before the episode window
- Tuberculosis during the episode window or during the 365 days before the episode window
- Aspiration pneumonitis; food/vomitus during the 365 days before the episode window
- Meningitis or encephalitis during the episode window or during the 365 days before the episode window
- Fracture of neck of femur (hip) during the episode window or during the 365 days before the episode window
- Lung disease due to external agents during the episode window or during the 365 days before the episode window
- Other CNS infection and poliomyelitis during the episode window or during the 365 days before the episode window
- Parkinson’s disease during the episode window or during the 365 days before the episode window
- Pregnancy during the episode window or during the 365 days before the episode window
- Respiratory distress syndrome during the 365 days before the episode window
- Spinal cord injury during the episode window or during the 365 days before the episode window

- Death: An episode is excluded if the patient has a discharge status of “expired” on any inpatient or outpatient claim during the episode window or has a date of death before the end of the episode window.

- Left against medical advice: An episode is excluded if a patient has a discharge status of “left against medical advice or discontinued care” on any inpatient or outpatient claim during the episode window.
Multiple other comorbidities: A breast cancer surgery episode is excluded if it is affected by too many risk factors to reliably risk adjust the episode spend. The configuration file lists the number of risk factors beyond which an episode is excluded as a parameter under “Excluded Episodes.”

Outliers:
- High outlier: An episode is excluded if the risk-adjusted episode spend (not the non-risk-adjusted episode spend) is greater than the high outlier threshold. The high outlier threshold was set based on analyses of episode spend distributions for episodes that ended between January 2014 and December 2014, inclusive. It was set at three standard deviations above the average risk-adjusted episode spend for otherwise valid episodes. The high outlier threshold is listed as a parameter in the configuration file under “High Outlier.”

2.3.7 Quality metrics

A PAP must pass all quality metrics tied to gain sharing to be eligible for gain sharing. PAPs also receive information on additional quality metrics that allow them to assess their performance, but do not affect their eligibility to participate in gain sharing. Quality metrics are calculated for each individual PAP across valid episodes attributed to the PAP. The quality metrics are based on information contained in the claims filed for each patient. Additional information on how the quality metrics could be tied to gain sharing is provided in section 2.3.9 ("Gain and risk sharing").

The breast cancer surgery episode has three quality metrics that are tied to gain sharing and five informational (i.e. not tied to gain sharing) quality metrics.

Quality metric tied to gain sharing for breast cancer surgery episode:
- Quality metric 1: Percent of valid mastectomy episodes with partial mastectomy. The codes used to identify partial mastectomy and all mastectomy procedures are listed in the configuration file under “Partial Mastectomy” and “Quality Metric 01 All Mastectomy” respectively.
- Quality metric 2: Percent of valid episodes with surgical complications during the trigger and during the 30 days after the triggering procedure. The codes used to identify surgical complications are listed in the configuration file under “Quality Metric 02 Surgical Complications.”
Quality metric 3: Percent of valid episodes with radiation therapy following a partial mastectomy during the 60 days following the breast-conserving surgery. The codes used to identify radiation therapy and breast-conserving therapy are listed in the configuration file under “Radiation therapy delivery” and “Partial Mastectomy” respectively.

■ Quality metrics not tied to gain sharing for breast cancer surgery episode:

— Quality metric 4: Percent of valid episodes with repeat surgery following a partial mastectomy during the 30 days after the triggering procedure. The codes used to identify a repeat surgery are listed in the configuration file under “Partial Mastectomy” and “Quality Metric 04 Repeat surgery” respectively.

— Quality metric 5: Percent of valid episodes with neo-adjuvant radiation therapy up to 180 days before the triggering procedure. The codes used to identify a neo-adjuvant radiation therapy are listed in the configuration file under “Radiation Therapy Delivery.”

— Quality metric 6: Percent of valid episodes with timely transition to mastectomy. This includes episodes with evidence of a biopsy or anti-neoplastic therapy up to 60 days before the triggering procedure. The codes used to identify breast biopsy and anti-neoplastic therapy are listed in the configuration file under “Quality Metric 06 Breast Biopsy” and “Antineoplastic therapy – Procedures,” “Antineoplastic therapy – Medications” respectively.

— Quality metric 7: Percent of valid episodes with antineoplastic therapy during the 60 days following a total, or radical mastectomy, or lymphadenectomy. The codes used to identify antineoplastic therapy and total, or radical mastectomy, or lymphadenectomy are listed in the configuration file under “Antineoplastic therapy – Procedures,” “Antineoplastic therapy – Medications” and “Other Breast Cancer Surgery” respectively.

— Quality metric 8: Percent of total episodes (valid and invalid episodes) with complete patient-level clinical factor reporting to the Cancer Registry within six months of the episode start date for patients with a breast cancer diagnosis or with a prophylactic breast removal. The codes used to identify are listed in the configuration file under “Quality Metric 08 Prophylactic Breast Removal,” and “Quality Metric 08 Breast Cancer”
respectively. Please note that registry data is currently unavailable for the calculation of this metric. When registry data becomes available, a value for this metric will be displayed in the episode provider reports.

2.3.8 Risk adjustment

Principal Accountable Providers (PAPs) participating in episode-based payment models are compared based on their performance on quality metrics and based on the average spend for episodes treated by each PAP. The credibility and effectiveness of an episode-based payment model therefore rests on the comparability and fairness of the episode spend measure used in the comparisons. Risk adjustment is one of several mechanisms that episode-based payment models may use to achieve comparability in episode spend across PAPs.

Risk adjustment specifically captures the impact on episode spend of documented clinical risk factors that typically require additional care during an episode and are outside the control of the PAP. The goal of risk adjustment is to account for different levels of medical risk across patient panels and, by doing so, reduce incentives for tactical selection of patients (i.e., avoiding riskier and more costly patients) when payments are tied to episode spend performance.

Risk factors and risk coefficients are identified in an iterative process informed by medical best practice, expert opinion, and statistical testing. The risk coefficients are used to calculate a risk score for each episode given the risk factors that are present for the episode. The risk score represents the ratio of the expected episode spend when no risk factors are present to the expected episode spend given the set of risk factors present for the episode. Multiplying the observed episode spend by the risk score results in the risk-adjusted episode spend. Risk-adjusted episode spend represents how much spend would have been incurred during the episode had there been no risk factors present, all other things being equal. By minimizing the effect of clinically documented medical risk that is outside the control of the PAP on episode spend, risk-adjustment contributes to the fairness of the episode spend comparisons that underlie episode-based payment models.

For additional details on the risk adjustment process, please refer to the document “Supporting documentation on episode risk adjustment.”

This process was conducted as part of episode design by the Ohio Department of Medicaid. Risk factors and coefficients derived from this process are included
in the accompanying configuration file. At this time it is not expected that individual payers run their own risk adjustment process for the Ohio Medicaid population.

The breast cancer surgery risk factors are:

- Anemia
- Bilateral mastectomy
- Conduction disorders
- Family history of breast cancer
- Genetic susceptibility to breast cancer
- Pulmonary heart disease
- Secondary malignancy of lymph nodes

Risk factors have to be present during the episode window or during the 365 days before the episode window. The codes used to identify each risk factor are listed in the configuration file under “Risk Factor <risk factor number and name>.” The risk coefficients associated with each risk factor are listed as parameters in the configuration file under “Risk Adjustment.”

2.3.9 Gain and risk sharing

The State of Ohio and the MCPs will send provider reports to PAPs to inform them about their performance in the episode-based payment model. A detailed description of the provider reports is beyond the scope of the Detailed Business Requirements. Please refer to the “Episode of Care Payment Report Sample” provided separately as a general guide for the layout and metrics of the provider reports.

At some point after thresholds are set, provider reports will include gain/risk sharing information. Gain/risk sharing is determined based on the comparison of the average risk-adjusted episode spend for valid episodes of each PAP to three pre-determined thresholds. The thresholds and relevant calculations are detailed below. Note that, throughout this section, the average risk-adjusted episode spend for valid episodes will be referred to as the ‘average risk-adjusted spend’:
- **Acceptable threshold**: PAPs with an average risk-adjusted spend above the acceptable threshold and that also have a minimum of five valid episodes during the performance period owe a risk-sharing payment.

- **Commendable threshold**: PAPs with an average risk-adjusted spend between the commendable threshold and above the gain sharing limit threshold that also have a minimum of five valid episodes and pass the quality metrics tied to gain sharing during the performance period receive a gain sharing payment.

- **Gain sharing limit threshold**: PAPs with average risk-adjusted spend below the gain sharing limit threshold that also have a minimum of five valid episodes and pass the quality measures tied to gain sharing receive a gain sharing payment that is proportional to the difference between the commendable threshold and the gain sharing limit as a percentage of average risk-adjusted episode spend.

PAPs with average risk-adjusted episode spend between the acceptable and commendable thresholds may neither owe a risk sharing payment nor receive a gain sharing payment.

The gain or risk sharing payment of each PAP is calculated based on episodes that ended during a performance period of a certain length (e.g., 12 months). The calculation of the gain or risk sharing payment is as follows (Exhibit 4):

- **Risk sharing**: The calculation of the risk-sharing amount involves multiplying the percentage of spend subject to risk-sharing by the total non-risk-adjusted episode spend for all valid episodes of the PAP and the risk-sharing proportion (e.g., 50%). The percentage of spend subject to risk-sharing is the difference between the PAP's risk-adjusted spend and the acceptable threshold as a percentage of the PAP's risk-adjusted spend.

- **Gain sharing**: The calculation of the gain-sharing amount involves multiplying the percentage of spend subject to gain sharing by both a PAP's total non-risk-adjusted episode spend for valid episodes and the gain-sharing proportion (e.g., 50%). The calculation of the percentage of spend subject to gain sharing depends on whether the PAP’s average risk-adjusted spend is above or below the gain-sharing limit:
  - If a PAP’s average risk-adjusted spend is above the gain sharing limit, the percentage of spend subject to gain-sharing is the difference between the
PAP's average risk-adjusted spend and the commendable threshold as a percentage of the PAP's average risk-adjusted spend.

- If the PAP’s average risk-adjusted spend is below the gain sharing limit, the percentage of spend subject to gain sharing is the difference between the gain sharing limit and the commendable threshold as a percentage of the PAP’s average risk-adjusted spend.
3. EPISODE DATA FLOW

The analytics underlying an episode-based payment model are performed by an episode algorithm. The algorithm takes an input dataset, transforms the data in accordance with the intent of the episode design, and produces a set of output tables (Exhibit 5). The output tables are used to create provider reports.

Several of the episode design dimensions require input parameters such as age ranges and medical codes such as diagnosis, procedure, and medication codes to specify the intent of the episode. The parameters and medical codes are provided in the episode configuration.

It is recommended that the episode data flow include two elements for quality assurance: (1) An input acceptance criteria table to assess the content and quality of the input dataset. (2) An output acceptance criteria table to assess the content and quality of the output tables. It is the responsibility of each payer to determine the details of appropriate quality assurance measures.
3.1 Input data

To build an episode, the following input data are needed:

- **Member Extract**: List of patients and their health insurance enrollment information.
- **Provider Extract**: List of participating providers and their addresses.
- **Claims Extract**: Institutional claims (UB-04 claim form), professional claims (CMS1500 claim form), and pharmacy claims (NCPDP claim form) at the patient level.
- **APR-DRG Base Rate Table**: Table containing the APR-DRG base rate for each DRG-paid provider.

The table below lists the required input fields using the source field abbreviations and source table names provided in the Ohio Vendor Extracts Companion Guides. The algorithm logic (section 4) describes the use of each input field. In the algorithm logic, input fields are referred to by the “Source field name in DBR” and written in italics.
<table>
<thead>
<tr>
<th>Source field name in DBR</th>
<th>Source field abbreviation</th>
<th>Source table names OH Medicaid</th>
</tr>
</thead>
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</tr>
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<td>IND_CLAIM</td>
<td>DSS.T_CA_ICN</td>
</tr>
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<td>T_CA_ICN.MCO_PROV_KEY</td>
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<td>DSS.T_CA_IND_KEY</td>
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<td>Source table names OH Medicaid</td>
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</tr>
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<td>Header FFS Allowed Amount</td>
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<td>Detail FFS Allowed Amount</td>
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<tr>
<td>Header MCP Paid Amount</td>
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<td>DSS.T_CA_ICN</td>
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<td>Detail MCP Paid Amount</td>
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<td>CDE_DRG</td>
<td>DSS.T_CA_ICN</td>
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</tr>
<tr>
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<td>DSS.T_CA_UB92</td>
</tr>
<tr>
<td>DRG Outlier Payment A</td>
<td>AMT_DAY_OUTLIER</td>
<td>DSS.T_CA_UB92</td>
</tr>
</tbody>
</table>
The date range for the input data has to include the 12 months duration reporting period as well as the 14 months preceding the reporting period. The time period preceding the reporting period is set at 14 months as it is comprised of the duration of the post-trigger window as well as 12 months prior to the episode trigger. This time period is needed to allow for identification of risk factors and comorbidities as well as to provide sufficient input data to identify the episode start date for the first episodes that end during the reporting period.

15 months preceding the reporting period are needed to allow for identification of risk factors and comorbidities as well as to provide sufficient input data to identify the episode start date for the first episodes that end during the reporting period.

The input data includes claims from the payer responsible for the episode as well as historical claims from other Medicaid payers prior to the episode trigger. Payers are provided with this claims data upon member enrollment. The inclusion of this data is particularly important in generating appropriate risk factors and exclusions.

Historical data should be treated exactly the same as claims that were submitted directly to the payer with one exception: Payers should only report on episodes for which they paid the triggering claim in order to avoid double-counting of episodes across plans.

The input data has to contain only unique and paid claims. It is the responsibility of each payer to apply appropriate methods to ensure that all claims in the input data are valid, de-duplicated, and paid. For Ohio Medicaid, the methods provided by the State are used to remove duplicate and void claims. The input fields *Header Paid Status* and *Detail Paid Status* are used to determine whether a claim or claim detail line was paid.
If the value of an input field from the Claims Extract that is required to build an episode is missing or invalid, then the corresponding claim is ignored when building the episode. For example, a claim that would be a potential trigger, but is missing the *Header From Date Of Service*, cannot be a potential trigger.

### 3.2 Episode algorithm

The intent of the episode algorithm is detailed in the algorithm logic (section 4) of the DBR.

### 3.3 Episode configuration

The parameters and medical codes needed to define an episode are listed in the configuration file which is provided as an attachment to the DBR. There is one configuration file for the breast cancer surgery episode. The file includes:

- **Parameters sheet**: Values for parameters used in the episode, for example the outlier thresholds and risk coefficients.
- **Code sheet**: Medical codes used in the episode, for example trigger diagnosis or procedure codes and codes to identify included claims. Diagnosis and procedure codes may be provided as complete or incomplete codes. If an incomplete code is provided, the incomplete code itself as well as all complete codes that stem from it need to be taken into account when using the code.

The algorithm logic (section 4) explains the intended use of the parameters and medical codes by the episode algorithm. References to medical codes in the configuration file are made using the name for the relevant design dimension subcategory in the code sheet of the configuration file. References to parameters in the configuration file are made using the name for the relevant design dimension in the parameters sheet of the configuration file.

### 3.4 Output tables

Using the input data tables and the configuration file, an episode algorithm creates two output tables: the episode output table and the PAP output table. The algorithm logic (section 4) describes the definition of each output field. In the algorithm logic, output fields are referred to by the output field names provided in the tables below and are written in italics.
3.4.1 Episode output table

The episode output table contains the set of episodes identified by the algorithm and the characteristics of each episode. The table below lists the required output fields.

### Table – Episode Output Table

<table>
<thead>
<tr>
<th>Output field name</th>
<th>Output field abbreviation</th>
</tr>
</thead>
<tbody>
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<td>MemberAge</td>
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<tr>
<td>Episode Start Date</td>
<td>EpisodeStartDate</td>
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<tr>
<td>Episode End Date</td>
<td>EpisodeEndDate</td>
</tr>
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<td>Pre-trigger Window Start Date</td>
<td>PreTriggerWindowStartDate</td>
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<tr>
<td>Pre-trigger Window End Date</td>
<td>PreTriggerWindowEndDate</td>
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<tr>
<td>Trigger Window Start Date</td>
<td>TriggerWindowStartDate</td>
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<tr>
<td>Trigger Window End Date</td>
<td>TriggerWindowEndDate</td>
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<tr>
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<tr>
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<td>PAPName</td>
</tr>
<tr>
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<td>RenderingID</td>
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<tr>
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<td>RenderingName</td>
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<tr>
<td><strong>Excluded episodes</strong></td>
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<td>EEAny</td>
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<td>Exclusion Age</td>
<td>EEAge</td>
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<tr>
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<td>Output field abbreviation</td>
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**Count Of Included Claims**

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<td>By Trigger Window</td>
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<tr>
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</tr>
<tr>
<td>By Post-trigger Window 2</td>
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</tr>
<tr>
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</tr>
<tr>
<td>By Outpatient</td>
<td>EpiClaimsIncludedOP</td>
</tr>
<tr>
<td>By Professional</td>
<td>EpiClaimsIncludedProf</td>
</tr>
<tr>
<td>By Pharmacy</td>
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</tr>
<tr>
<td>By Pre-trigger Window And Inpatient</td>
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</tr>
<tr>
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<td>EpiClaimsIncludedPreTrigOP</td>
</tr>
<tr>
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<tr>
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</tr>
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</tr>
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</tr>
<tr>
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<tr>
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<td>EpiClaimsIncludedPostTrig2Pharma</td>
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</tbody>
</table>

**Episode spend**

| Non-risk-adjusted Episode Spend                     | EpiSpendNonAdjPerformance |
| Same breakouts as for claim counts                  |                           |
| Normalized-non-risk-adjusted Episode Spend          | EpiSpendNonAdjNorm        |
| Risk-adjusted Episode Spend                         | EpiSpendAdjPerformance    |

**Risk adjustment**

| Episode Risk Score                                  | EpiRiskScore               |
Output field name | Output field abbreviation  
---|---  
Risk Factor 001 | RF001  
Risk Factor 002 | RF002  
Risk Factor 003 | RF003  
Number of RFs depends on episode  

**Quality metrics**  
Quality Metric 01 Indicator | EpiQM01  
Quality Metric 02 Indicator | EpiQM02  
Quality Metric 03 Indicator | EpiQM03  
Number of QMs depends on episode  

### 3.4.2 PAP output table

The PAP output table contains information about each PAP and their episodes. The table below lists the required output fields.

**Table – PAP Output Table**

<table>
<thead>
<tr>
<th>Output field name</th>
<th>Output field abbreviation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PAP identification</strong></td>
<td></td>
</tr>
<tr>
<td>PAP ID</td>
<td>PAPID</td>
</tr>
<tr>
<td>PAP Name</td>
<td>PAPName</td>
</tr>
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<tr>
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<td>PAPAddress2</td>
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</tr>
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</tr>
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<td>PAP Zip Code</td>
<td>PAPZip</td>
</tr>
<tr>
<td><strong>Episode counts</strong></td>
<td></td>
</tr>
<tr>
<td>Count Of Total Episodes Per PAP</td>
<td>PAPEpisodesTotal</td>
</tr>
<tr>
<td>Count Of Valid Episodes Per PAP</td>
<td>PAPEpisodesValid</td>
</tr>
<tr>
<td>With Inpatient</td>
<td>PAPEpiWithIP</td>
</tr>
<tr>
<td>With Outpatient</td>
<td>PAPEpiWithOP</td>
</tr>
<tr>
<td>With Professional</td>
<td>PAPEpiWithProf</td>
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<td>With Pharmacy</td>
<td>PAPEpiWithPharma</td>
</tr>
<tr>
<td><strong>PAP performance</strong></td>
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</tr>
<tr>
<td>Gain Sharing Quality Metric Pass</td>
<td>PAPQMPassOverall</td>
</tr>
<tr>
<td>Gain/Risk Sharing Amount</td>
<td>PAPGainRiskShare</td>
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<tr>
<td>PAP Sharing Level</td>
<td>PAPSharingLevel</td>
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<tr>
<td>Minimum Episode Volume Pass</td>
<td>MinEpiPass</td>
</tr>
<tr>
<td><strong>PAP spend</strong></td>
<td></td>
</tr>
</tbody>
</table>
### Output field name | Output field abbreviation
--- | ---
Average Non-risk-adjusted PAP Spend | PAPSpendNonadjPerformanceAvg
Inpatient A/B | PAPSpendNonadjPerformanceAvgIP A/B
Outpatient A/B | PAPSpendNonadjPerformanceAvgOP A/B
Professional A/B | PAPSpendNonadjPerformanceAvgProf A/B
Pharmacy A/B | PAPSpendNonadjPerformanceAvgPharma A/B
Total Non-risk-adjusted PAP Spend | PAPSpendNonadjPerformanceTotal
PAP Risk Adjustment Ratio | PAPRiskAdjRatioPerformance
Average Risk-adjusted PAP Spend | PAPSpendAdjPerformanceAvg
Total Risk-adjusted PAP Spend | PAPSpendAdjPerformanceTotal

### Quality metrics performance

<table>
<thead>
<tr>
<th>Quality metrics performance</th>
<th>Performance</th>
</tr>
</thead>
</table>
PAP Quality Metric 01 Performance | PAPQM01 |
PAP Quality Metric 02 Performance | PAPQM02 |
PAP Quality Metric 03 Performance | PAPQM03 |
Number of QMs depends on episode | |

#### 3.5 Provider reports

During the initial implementation phase, each PAP receives a report to inform them about their performance in the episode-based payment model. The information shown in the provider report is based on the episode and PAP output tables. The reports show episodes with an episode end date during the reporting period. A detailed description of the provider report is beyond the scope of the Detailed Business Requirements. Please refer to the “Episode of Care Payment Report Sample” provided separately as a general guide for the layout and metrics of the provider report.

#### 4. ALGORITHM LOGIC

The algorithm logic forms the basis to code an episode algorithm. It explains the intent of the episode design at a level of granularity that will allow an IT implementation team to create an algorithm that matches the episode design.
4.1 Identify episode triggers

The first design dimension of building a breast cancer surgery episode is to identify potential triggers.

**Episode output fields created:** *Trigger Claim ID, Member ID*

Potential triggers are identified over the entire date range of the input data. For the breast cancer surgery episode, a potential trigger is defined as a professional claim with a relevant breast cancer surgery procedure code that has an associated inpatient or outpatient facility claim with a relevant diagnosis code related to breast cancer or its symptoms. Claim types (inpatient, outpatient, professional, and pharmacy) are identified based on the input field *Claim Type*. For the definition of each claim type see the glossary.

The professional claim must meet both of the following conditions:

- The claim has a procedure code for breast cancer surgery in the input field *Detail Procedure Code* of one or more of its claim detail lines. The configuration file lists the procedure codes under “Trigger Procedures.”

- At least one of the claim detail lines with the breast cancer surgery procedure code does not contain a modifier that indicates assistant, anesthesiologist, or discontinued procedure in one of the input field *Modifier 1-4*. The configuration file lists the modifiers under “Assistant Surgeon”, “Nurse”, and “Discontinued.”

A proximal facility claim is considered an associated facility claim. The associated facility claim, which is necessary to identify a potential trigger, is an inpatient or outpatient facility claim that overlaps with the professional claim detail line and contains a confirming diagnosis code related to breast cancer or its symptoms, as listed in the configuration file under “Trigger Confirming Diagnoses.” An inpatient facility claim overlaps with the professional claim detail line if all of the following are true:

- The inpatient claim has a *Header From Date Of Service* on or before (≤) the minimum input field *Detail From Date Of Service* of the triggering professional claim detail line(s) with one of the procedure codes listed under “Trigger Procedure Codes” and also a *Discharge Date* on or after the maximum *Detail From Date of Service* of the professional claim detail line(s) with one of the procedure codes listed under “Trigger Procedure Codes”.
The inpatient claim has a *Discharge Date* on or after (≥) the input field *Detail To Date Of Service* of the triggering professional claim detail line with one of the procedure codes listed under “Trigger Procedure Codes.”

The inpatient claim has a confirming diagnosis code in the input field *Header Diagnosis Primary*.

The outpatient claim must have at least one detail line with a *Detail From Date Of Service* that is within two days (i.e., as early as two days before or as late as two days after, inclusive) of the *Detail From Date Of Service* of the professional claim detail line with the trigger procedure.

For outpatient claims, a confirmatory diagnosis or procedure code is defined as one of the diagnoses codes listed in the configuration file under “Trigger Confirming Diagnoses” in the input field *Diagnosis Code Primary* for confirmatory diagnoses codes.

The hospitalization that includes the inpatient associated facility claim is used to set the duration of the potential trigger.

The output field *Trigger Claim ID* is set to the input field *Internal Control Number* of the professional claim that identifies a potential trigger. The output field *Member ID* is set to the input field *Member ID* of the professional claim that identifies a potential trigger. The output field *Facility Trigger Claim ID* is the input field *Internal Control Number* of the associated facility claim. The output field *Facility Trigger Claim Type* is the input field *Claim Type* of the associated facility claim. The output field *Member Gender* is the input field *Member Gender* of the professional claim that identifies a potential trigger.

The start date of a potential trigger is the earlier of (1) the *Detail From Date Of Service* of the professional claim detail line with the trigger procedure; or (2) the *Header From Date Of Service* of the associated inpatient claim (if the associated facility claim is an inpatient claim); or (3) the *Detail From Date of Service* of the associated outpatient claim detail line (if the associated facility claim is an outpatient claim). The end date of a potential trigger is the later of (1) the *Detail To Date Of Service* of the professional claim detail line with the trigger procedure; or (2) the *Header To Date Of Service* of the associated inpatient claim (if the associated facility claim is an inpatient claim); or (3) the *Detail To Date of Service* of the associated outpatient claim detail line (if the associated facility claim is an outpatient claim).
A specific rule applies for potential triggers where the associated facility claim is an inpatient claim that is part of a hospitalization consisting of two or more inpatient claims. In such a case, the potential trigger starts on the earlier of the *Detail From Date Of Service* of the professional claim detail line(s) with the trigger procedure and the *Header From Date Of Service* of the chronologically first inpatient claim during the hospitalization. The potential trigger ends on the later of the *Detail To Date Of Service* of the professional claim detail line(s) with the trigger procedure and the *Discharge Date* of the chronologically last inpatient claim of the hospitalization. For the definition of hospitalizations, see the glossary.

To address cases where a professional claim has more than one potential associated facility claim, the following hierarchy is used such that each professional claim is unambiguously associated with one inpatient claim. The inpatient claims that are lower in the hierarchy are treated like any other claims during a potential trigger, not like an associated facility claim.

- First, if multiple inpatient associated facility claims have one or more relevant diagnoses in the input fields *Header Diagnosis Code Primary*, the claim with the earliest *Header From Date of Service* is given higher priority. The relevant diagnosis codes are listed in the configuration file under “Trigger Confirming Diagnoses.”
- Next, if a tie still exists, it is broken by giving the claim with the latest *Header To Date of Service* the higher priority.
- Finally, if a tie still exists, it is broken by giving the claim with the lowest *Internal Control Number* the higher priority.

Once all potential triggers have been identified, the preliminary start and end dates for each potential trigger can be extended if they overlap with another hospitalization. In order for an extension to occur, the hospitalization must meet one of the following conditions:

- The preliminary potential trigger start and end dates both occur between the hospitalization start and end dates
- The preliminary potential trigger start date occurs between the hospitalization start date and 1 day before the hospitalization end date
- The hospitalization start date occurs between the preliminary potential trigger start date and 1 day before the preliminary potential trigger end date,
and the hospitalization end date occurs after the preliminary potential trigger end date.

This extension is possible even if the trigger claim (and associated facility claim, if applicable to the episode) does not have a Claim Type of inpatient, as long as the trigger logic does not explicitly prohibit episodes to trigger during an inpatient stay. An overlapping hospitalization cannot result in the shortening of the preliminary potential trigger duration.

For the definition of hospitalizations see the glossary. The extension logic only applies to the first overlapping hospitalization. Additional extension is not allowed if the extended potential trigger window overlaps with another hospitalization.

4.2 Determine the episode duration

The second design dimension of building a breast cancer surgery episode is to define the duration of the episode and to assign claims and claim detail lines to each episode.

**Episode output fields created:** Pre-trigger Window Start Date, Pre-trigger Window End Date, Trigger Window Start Date, Trigger Window End Date, Post-trigger Window 1 Start Date, Post-trigger Window 1 End Date, Post-trigger Window 2 Start Date, Post-trigger Window 2 End Date, Episode Start Date, Episode End Date

Four time windows are relevant in determining the episode duration (see Exhibit 6).

**EXHIBIT 6 – EPISODE DURATION**
- **Pre-trigger window**: The output field Pre-trigger Window Start Date is set to 30 days before the Trigger Window Start Date. The Pre-trigger Window End Date is set to the day before the Trigger Window Start Date. If a hospitalization is ongoing on the 1st day of the pre-trigger window, the Pre-Trigger Window Start Date is set to the Header From Date Of Service of the hospitalization. A hospitalization is ongoing on the 1st day of the pre-trigger window if the hospitalization has a Header From Date Of Service before the existing pre-trigger window and a Discharge Date during the pre-trigger window. If more than one hospitalization is ongoing on the 1st day of the pre-trigger window, the earliest Header From Date of Service sets the start date of the pre-trigger window. Hospitalizations are defined in the glossary. The output field Pre-trigger Window Start Date is also the Episode Start Date.

- **Trigger window**: The output fields Trigger Window Start Date and Trigger Window End Date are set using the potential trigger start and end dates which are defined in section 4.1. Only potential triggers that constitute an episode start can set the duration of a trigger window. The approach to determining whether a potential trigger is an episode start is described below.

- **Post-trigger window 1**: The output field Post-trigger Window 1 Start Date, is set to the day after the Trigger Window End Date. The output field Post-trigger Window 1 End Date is set to the 30th day after the Trigger Window End Date (for a post-trigger window 1 of 30 days duration) or, if a
hospitalization is ongoing on the 30th day of the post-trigger window 1, to the Discharge Date of the hospitalization. A hospitalization is ongoing on the 30th day of the post-trigger window 1 if the hospitalization has a Header From Date of Service during the trigger window or the 30-day post-trigger window 1 and a Discharge Date beyond the 30-day post-trigger window 1. If more than one hospitalization is ongoing on the 30th day of the post-trigger window 1, the latest Discharge Date present on a hospitalization sets the end date of the post-trigger window 1. Hospitalizations are defined in the glossary.

The extension of the post-trigger 1 due to a hospitalization may not lead to further extensions of the post-trigger window 1, i.e., if the post-trigger window 1 is set based on the Discharge Date of a hospitalization and a different hospitalization starts during the extension of the post-trigger window 1 and ends beyond it the post-trigger window 1 is not extended a second time (Exhibit 7).

- **Post-trigger window 2**: The output field Post-trigger Window 2 Start Date, is set to the day after the Post-trigger Window 1 End Date. The output field Post-trigger Window 2 End Date is set to the 60th day after the Trigger Window End Date (for a post-trigger window 2 of 30 days duration) or, if a hospitalization is ongoing on the 30th day of the post-trigger window 2, to the Discharge Date of the hospitalization. A hospitalization is ongoing on the final day of the post-trigger window 2 if the hospitalization has a Header From Date of Service during the post-trigger window 2 and a Discharge Date beyond the 30-day post-trigger window 2. Hospitalizations are defined in the glossary.

The output field Post-trigger Window 2 End Date is also the Episode End Date.

- **Clean period**: The clean period starts on the potential trigger start date and extends for 90 days from the potential trigger end date. The clean period is defined as the period during which, if the potential trigger triggers an episode, no new episode of the same type can be triggered. Note that the clean period is not part of the episode duration. The episode window ends with the post-trigger window, as defined above.
The extension of an episode due to a hospitalization may not lead to further extensions of the episode, i.e., if the post-trigger window 2 is set based on the Discharge Date of a hospitalization and a different hospitalization starts during the extension of the post-trigger window 2 and ends beyond it the episode is not extended a second time (Exhibit 7).

The combined duration of the pre-trigger window, trigger window, and post-trigger window 1 and post-trigger window 2 is the episode window. All time windows are inclusive of their first and last date. For a definition of how the duration of time windows is calculated, see the glossary.

The logic that determines the duration of the episode window assigns potential triggers to one of two groups:

- **Trigger Procedures**: Potential triggers that do not occur during another episode constitute the trigger window of a new episode.
■ **Repeat Procedures:** Potential triggers that occur during the clean period of an episode do not constitute the trigger window for a new episode.

To define episode windows for each patient a chronological approach is taken. The first trigger breast cancer surgery of a given patient is identified as the earliest (i.e., furthest in the past) potential trigger in the input data. Once the first trigger breast cancer surgery for a patient has been identified, the pre-trigger window, the trigger window, the post-trigger window, and the clean period are set. If another potential trigger for the same patient starts within the clean period, it is classified as a repeat breast cancer surgery. The next potential trigger that starts outside of the clean period constitutes the second trigger breast cancer surgery for a given patient. The process of setting episode windows continues for each patient until the last episode window that ends during the input data date range is defined. Note that the input data begins 15 months prior to the reporting window, so potential triggers may be repeat breast cancer surgery, and thus not trigger a breast cancer surgery episode due to a breast cancer surgery that occurred prior to the reporting period. There should be no overlap between the episode windows of any of the resulting episodes.

The following special cases may occur when determining the episode duration:

■ If two or more potential triggers of the same patient overlap, i.e., the start date of one potential trigger falls between the start date and the end date (inclusive) of one or more other potential triggers of the same patient, then only one of the overlapping potential triggers is chosen as a trigger mastectomy or repeat mastectomy. The other overlapping potential triggers do not count as trigger mastectomy or repeat mastectomy, but are treated like any other claims. The following hierarchy is applied to identify the one potential trigger out of two or more overlapping potential triggers that is assigned as a trigger mastectomy or repeat mastectomy:

  − The potential trigger with the earliest *Detail From Date Of Service* for the professional claim detail line with the breast cancer surgery procedure has the highest priority.
  − If there is a tie, the potential trigger with the latest end date is selected.
  − If there is still a tie, the potential trigger with the lowest *Trigger Claim ID* is selected.

■ If the start date of a potential trigger occurs during the clean period of an episode but its end date is outside of the clean period of the episode, the
potential trigger is neither a repeat breast cancer surgery nor a trigger breast cancer surgery, and the claim detail lines in the potential trigger are treated like any other claims.

To determine which claims and claim detail lines occur during an episode and before an episode the following assignment rules are used. In addition, specific rules apply to assign claims and claim detail lines to windows during the episode (the pre-trigger window, the trigger window, the post-trigger window, and hospitalizations).

■ **Assignment to the episode window:**

  - Hospitalizations, all inpatient claims within them, and all claim detail lines of the inpatient claims are assigned to the episode window if both the *Header From Date Of Service* and the *Discharge Date* of the hospitalization occur during the episode window.

  - Outpatient, long-term care, and professional claims are assigned to the episode window if at least one of their claim detail lines is assigned to the episode window. Outpatient, long-term care, and professional claim detail lines are assigned to the episode window if both the *Detail From Date Of Service* and the *Detail To Date Of Service* occur during the episode window.

  - Pharmacy claims and all their claim detail lines are assigned to the episode window if both the *Header From Date Of Service* and the *Header To Date Of Service* occur during the episode window.

■ **Assignment to a window before the episode:**

  - Hospitalizations, all inpatient claims within them, and all claim detail lines of the inpatient claims are assigned to a window before the episode (e.g., 365 days to 1 day before the *Episode Start Date*, 90 days to 1 day before the *Episode Start Date*) if the *Header From Date Of Service* of the hospitalization occurs during the specified time window before the *Episode Start Date*.

  - Outpatient, and professional claims are assigned to a window before the episode if all their claim detail lines are assigned to the window before the episode. Outpatient and professional claim detail lines are assigned to a window before the episode if the *Detail From Date Of Service* occurs during the specified time window before the *Episode Start Date*. 
Pharmacy claims and all their claim detail lines are assigned to a window before the episode if the *Header From Date Of Service* occurs during the specified time window before the *Episode Start Date*.

**Assignment to the pre-trigger window:**

- Hospitalizations, all inpatient claims within them, and all claim detail lines of the inpatient claims are assigned to the pre-trigger window if the hospitalization is assigned to the episode window and also has a *Header From Date Of Service* during the pre-trigger window.

- Outpatient, and professional claims are assigned to the pre-trigger window if at least one of their claim detail lines is assigned to the pre-trigger window. Outpatient and professional claim detail lines are assigned to the pre-trigger window if they are assigned to the episode window and also have a *Detail From Date Of Service* during the pre-trigger window.

- Pharmacy claims and all their claim detail lines are assigned to the pre-trigger window if they are assigned to the episode window and also have a *Header From Date Of Service* during the pre-trigger window.

**Assignment to the trigger window:**

- Hospitalizations, all inpatient claims within them, and all claim detail lines of the inpatient claims are assigned to the trigger window if both the *Header From Date Of Service* and the *Discharge Date* of the hospitalization occur during the trigger window.

- Outpatient, long-term care, and professional claims are assigned to the trigger window if all their claim detail lines are assigned to the trigger window. Outpatient, long-term care, and professional claim detail lines are assigned to the trigger window if both the *Detail From Date Of Service* and the *Detail To Date Of Service* occur during the trigger window.

- Pharmacy claims and all their claim detail lines are assigned to the trigger window if both the *Header From Date Of Service* and the *Header To Date Of Service* occur during the trigger window.

**Assignment to the post-trigger window 1:**

- Hospitalizations, all inpatient claims within them, and all claim detail lines of the inpatient claims are assigned to the post-trigger window 1 if the hospitalization is assigned to the episode window and also has a *Discharge Date* during the post-trigger window. For hospitalizations with a *Header From Date Of Service* during the pre-trigger window and a
Discharge Date during the post-trigger window 1, assignment to the pre-trigger window takes precedence.

- Outpatient, long-term care, and professional claims are assigned to the post-trigger window if at least one of their claim detail lines is assigned to the post-trigger window 1 and none of their claim detail lines are assigned to the pre-trigger window. Outpatient, long-term care, and professional claim detail lines are assigned to the post-trigger window 1 if they are assigned to the episode window and also have a Detail To Date Of Service during the post-trigger window 1. For claim detail lines with a Detail From Date Of Service during the pre-trigger window and a Detail To Date Of Service during the post-trigger window 1 assignment to the pre-trigger window takes precedence.

- Pharmacy claims and all their claim detail lines are assigned to the post-trigger window 1 if they are assigned to the episode window and also have a Header To Date Of Service during the post-trigger window 1. For claims with a Header From Date Of Service during the pre-trigger window and a Header To Date of Service during the post-trigger window 1, assignment to the pre-trigger window takes precedence.

■ Assignment to the post-trigger window 2:

- Hospitalizations, all inpatient claims within them, and all claim detail lines of the inpatient claims are assigned to the post-trigger window 2 if the hospitalization is assigned to the episode window and also has a Discharge Date during the post-trigger window 2. For hospitalizations with a Header From Date Of Service during the pre-trigger window and a Discharge Date during the post-trigger window 2, assignment to the pre-trigger window takes precedence.

- Outpatient, long-term care, and professional claims are assigned to the post-trigger window 2 if at least one of their claim detail lines is assigned to the post-trigger window 2 and none of their claim detail lines are assigned to the pre-trigger window. Outpatient, long-term care, and professional claim detail lines are assigned to the post-trigger window 2 if they are assigned to the episode window and also have a Detail To Date Of Service during the post-trigger window 2. For claim detail lines with a Detail From Date Of Service during the pre-trigger window and a Detail To Date Of Service during the post-trigger window 2 assignment to the pre-trigger window takes precedence.
– Pharmacy claims and all their claim detail lines are assigned to the post-trigger window 2 if they are assigned to the episode window and also have a *Header To Date Of Service* during the post-trigger window 2. For claims with a *Header From Date Of Service* during the pre-trigger window and a *Header To Date of Service* during the post-trigger window 2, assignment to the pre-trigger window takes precedence.

### 4.3 Identify claims included in episode spend

The third design dimension of building a breast cancer surgery episode is to identify which claims and claim detail lines are included in the calculation of episode spend. For short, such claims or claim detail lines are referred to as included claims or included claim detail lines. Claims or claim detail lines that are excluded from the calculation of episode spend are referred to as excluded claims or excluded claim detail lines.

**Episode output fields created:** *Count Of Included Claims, Count of Excluded Claims*

Different rules for the inclusion of claims and claim detail lines apply to claims and claim detail lines assigned to the pre-trigger window, the trigger window, the post-trigger window 1 and the post-trigger window 2. The assignment of claims and claim detail lines to windows during the episode is detailed in section 4.2.

**Pre-trigger window:** Outpatient and professional claims during the pre-trigger window that are related to breast cancer surgery are included claims. Included claims during the pre-trigger window fall into the following groups:

– Included procedures: If an outpatient or professional claim detail line that is assigned to the pre-trigger window contains an included imaging, testing, pathology, or other related procedure in the input field *Detail Procedure Code*, then the claim detail line is an included claim detail line. The configuration file lists included imaging, testing, pathology, or other related procedure codes under “Included Procedures – Pre-trigger.” For outpatient claims, all other claim detail lines on the same claim with the same *Detail From Date Of Service* and *Detail To Date Of Service* as the included claim detail line are also included claim detail lines.

– Included evaluation and management (E&M) care: If an outpatient or professional claim detail line that is assigned to the pre-trigger window
contains an included evaluation and management (E&M) code in the input field *Detail Procedure Code* and a relevant diagnosis code in the input field *Header Diagnosis Code Primary*, then the claim detail line is an included claim detail line. The configuration file lists included E&M codes and relevant diagnosis codes under “Included E&M” and “Included Related Diagnoses,” respectively. For outpatient claims, all other claim detail lines on the same claim with the same *Detail From Date Of Service* and *Detail To Date Of Service* as the included claim detail line are also included claim detail lines.

- Excluded procedures: If an inpatient, outpatient or professional claim detail line that is assigned to the pre-trigger contains an excluded surgical or medical procedure code in the input field *Detail Procedure Code*, then the claim detail line is an excluded claim detail line. For outpatient claims, all other claim detail lines on the same claim with the same *Detail From Date Of Service* and *Detail To Date Of Service* as the excluded claim detail line are also excluded claim detail lines. The configuration file lists the codes under “Excluded Procedures – Pre-trigger.” This exclusion of claims or claim detail lines takes precedence over any of the above spend inclusion rules.

- **Trigger window:** All inpatient, outpatient, professional, and pharmacy claims during the trigger window are included claims, with the following exception:

  - Excluded procedures: If an inpatient, outpatient or professional claim detail line that is assigned to the trigger contains an excluded surgical or medical procedure code in the input field *Detail Procedure Code*, then the claim detail line is an excluded claim detail line. For outpatient claims, all other claim detail lines on the same claim with the same *Detail From Date Of Service* and *Detail To Date Of Service* as the excluded claim detail line are also excluded claim detail lines. The configuration file lists the codes under “Excluded Procedures - Trigger”. This exclusion of claims or claim detail lines takes precedence over any of the above spend inclusion rules.

- **Post-trigger window 1:** For claims and claim detail lines assigned to the post-trigger window, a hierarchy is applied to identify included claims and included claim detail lines:

  - First, included hospitalizations are identified. If an inpatient claim assigned to the post-trigger window includes a relevant diagnosis code in
the input field *Header Diagnosis Code Primary*, then all claim detail lines of all inpatient claims in the entire hospitalization are included claim detail lines. The configuration file lists the diagnosis codes under “Included Diagnoses.”

- Second, Outpatient, professional, and pharmacy claims that are assigned to the post-trigger window are checked for included procedures and included medications.

  □ Included procedures: If an outpatient or professional claim detail line that is assigned to the post-trigger window contains an included imaging, testing, pathology, or other related procedure in the input field *Detail Procedure Code*, then the claim detail line is an included claim detail line. The configuration file lists included procedure codes under “Included Procedures – Post-trigger 1.” For outpatient claims, all other claim detail lines on the same claim with the same *Detail From Date Of Service* and *Detail To Date Of Service* as the included claim detail line are also included claim detail lines.

  □ Included evaluation and management (E&M) care: If an outpatient or professional claim detail line that is assigned to the post-trigger window contains an included E&M procedure in the input field *Detail Procedure Code* and a confirming diagnosis code in the input field *Header Diagnosis Code Primary*, then the claim detail line is an included claim detail line. The configuration file lists included E&M codes and relevant diagnosis codes under “Included E&M” and “Included Related Diagnoses,” respectively. For outpatient claims, all other claim detail lines on the same claim with the same *Detail From Date Of Service* and *Detail To Date Of Service* as the included claim detail line are also included claim detail lines.

  □ Included post-trigger medications: If a pharmacy claim that is assigned to the post-trigger window contains an included medication code found in the input field *National Drug Code*, then the claim is an included claim. The configuration file lists included medications under “Included Medications” using Hierarchical Ingredient Code Level 3 (HIC3) identifiers provided by First Databank.

- Excluded procedures: If an inpatient, outpatient or professional claim detail line that is assigned to the post-trigger window contains an excluded surgical or medical procedure code in the input field *Detail Procedure
Code, then the claim detail line is an excluded claim detail line. For outpatient claims, all other claim detail lines on the same claim with the same Detail From Date Of Service and Detail To Date Of Service as the excluded claim detail line are also excluded claim detail lines. The configuration file lists the codes under “Excluded Procedures – Post-trigger 1.”

- **Post-trigger window 2:** Claims in the post-trigger window 2 are used to determine quality metrics; these claims are not included in the calculation of episode spend. Refer to section 2.3.7 for more details.

- **Episode window:** Outpatient and professional claim detail lines that are assigned to the episode window are checked for excluded procedures. These exclusions supersede any other reason a claim detail line might be included.
  - Excluded transportation: If an outpatient or professional claim detail line that is assigned to the episode window contains an excluded transportation procedure code in the input field *Detail Procedure Code*, then the claim detail line is an excluded claim detail line. The configuration file lists the codes under “Excluded Transportation Procedures.” This exclusion of claim detail lines takes precedence over any other inclusion logic.
  - Excluded vaccinations: If an outpatient or professional claim detail line that is assigned to the episode window contains an excluded vaccination procedure code in the input field *Detail Procedure Code*, then the claim detail line is an excluded claim detail line. The configuration file lists excluded vaccination procedure codes under “Excluded Vaccination Procedures.” This exclusion of claim detail lines takes precedence over any other inclusion logic.
  - Not included claims: Any claim or claim detail line not explicitly included during the episode window is an excluded claim or excluded claim detail line.

The output field *Count Of Included Claims* is defined as the number of unique claims that contribute to episode spend. For the purpose of calculating counts of claims, a claim is counted as contributing to episode spend if it is an included claim or if one or more of its claim detail lines are included claim detail lines. The output field *Count Of Included Claims* is calculated overall as well as broken out by claim type, by window during the episode, and by claim type and window during the episode. Breakouts by window are calculated based on the window to which each claim is assigned.
4.4 Calculate non-risk adjusted episode spend

The fourth design dimension of building a breast cancer surgery episode is to calculate the non-risk-adjusted spend for each episode.

**Episode output fields created**: Non-risk-adjusted Episode Spend, Normalized-non-risk-adjusted Episode Spend

**PAP output fields created**: Average Non-risk-adjusted PAP Spend, Total Non-risk-adjusted PAP Spend

The *Non-risk-adjusted Episode Spend* is defined as the sum of:

- The spend for included, header-paid inpatient claims. The spend for each included, header-paid inpatient claim is calculated as the value in the input field *DRG Base Payment* plus the values in the input fields *DRG Outlier Payment A* and *DRG Outlier Payment B*. Header-paid inpatient claims are identified based on a *Header Or Detail Indicator* of ‘H’. Other components of the DRG payment are not taken into account. Ohio Medicaid has a methodology to derive this clinical component of care for relevant encounters using the relative weights for each DRG-SOI combination and hospital rates as posted on the Ohio Medicaid website (http://medicaid.ohio.gov/PROVIDERS/FeeScheduleandRates/SchedulesandRates.aspx#1682575-inpatient-hospital-services).

- The spend for included, detail-paid inpatient claims. The spend for each included, detail-paid inpatient claim is calculated as the sum of the input fields *Detail Paid Amount* for claims from MCPs and the sum of the inputs fields *Detail Allowed Amount* for claims from FFS.

- The *Header Paid Amount* of included pharmacy claims from MCPs.

- The *Header Allowed Amount* of included pharmacy claims from FFS.

- The *Detail Paid Amount* for included outpatient, and professional claim detail lines from MCPs.

- The *Detail Allowed Amount* for included outpatient, and professional claim detail lines from FFS.

Claims from MCPs and FFS are distinguished based on the input field *FFS Or MCP Indicator*. A value of ‘E’ in the input field *FFS Or MCP Indicator* indicates an MCP claim; a value of ‘F’ indicates a FFS claim. The output field *Non-risk-adjusted Episode Spend* is calculated overall and broken out by claim
type, by window during the episode, and by claim type and window during the
episode.

The \textit{Normalized-non-risk-adjusted Episode Spend} is defined as the sum of:

- The normalized spend for included, header-paid inpatient claims. The
  normalized spend for each included, header-paid inpatient claim is
calculated as the value in the input field \textit{DRG Base Payment} multiplied by
the ratio of the \textit{Normalized Base Rate} to the \textit{Base Rate} plus the values in
the input fields \textit{DRG Outlier Payment A} and \textit{DRG Outlier Payment B}. The
configuration file lists the \textit{Normalized Base Rate} as a parameter under
“Episode Spend.” The \textit{Base Rate} is determined by looking up the appropriate
value in the input field \textit{Base Rate} from the APR-DRG Base Rate Table using
the input field \textit{Provider ID} to link to the \textit{Billing Provider ID} of each
included, header-paid inpatient claim. Header-paid inpatient claims are
identified based on a \textit{Header Or Detail Indicator} of ‘H’. Other components
of the DRG payment are not taken into account.

- The spend for included, detail-paid inpatient claims. The spend for each
  included, detail-paid inpatient claim is calculated as the sum of the input
fields \textit{Detail Paid Amount} for claims from MCPs and the sum of the inputs
fields \textit{Detail Allowed Amount} for claims from FFS.

- The \textit{Header Paid Amount} of included pharmacy claims from MCPs.

- The \textit{Header Allowed Amount} of included pharmacy claims from FFS.

- The \textit{Detail Paid Amount} for included outpatient and professional claim detail
  lines from MCPs.

- The \textit{Detail Allowed Amount} for included outpatient and professional claim
detail lines from FFS.

If a claim detail line is included for two or more reasons (e.g., due to an included
diagnosis and an included procedure), its \textit{Detail Allowed Amount} or \textit{Detail Paid
Amount} counts only once towards the \textit{Non-risk-adjusted Episode Spend} or the
\textit{Normalized-non-risk-adjusted Episode Spend}.

For the provider reports, the fields \textit{Average Non-risk-adjusted PAP Spend} and
\textit{Total Non-risk-adjusted PAP Spend} are added to the PAP output table. \textit{Average
Non-risk-adjusted PAP Spend} is calculated as the average of the \textit{Non-risk-
adjusted Episode Spend} across valid episodes for a given PAP. \textit{Total Non-risk-
adjusted PAP Spend} is calculated as the sum of the \textit{Non-risk-adjusted Episode
Spend across valid episodes for a given PAP. See section 4.5 for the identification of PAPs and section 4.6 for the definition of valid episodes.

The Average Non-risk-adjusted PAP Spend is shown overall as well as broken out by claim type, by window during the episode, and by claim type and window during the episode. The breakouts of Average Non-risk-adjusted PAP Spend are calculated in two ways:

- Breakout A: The averages are calculated across all valid episodes of a PAP.
- Breakout B: The averages are calculated across valid episodes of a PAP that have spend greater zero dollars (>0) in the category that is broken out.

For example, a PAP has 100 valid episodes and 80 of the episodes have any inpatient spend, the remaining 20 do not have any inpatient spend. To calculate breakout A for Average Non-risk-adjusted PAP Spend Inpatient, the denominator is 100 valid episodes. To calculate breakout B for Average Non-risk-adjusted PAP Spend Inpatient the denominator is 80 valid episodes with any inpatient spend.

### 4.5 Identify Principal Accountable Providers

The fifth design dimension of building a breast cancer surgery episode is to assign each episode to a Principal Accountable Provider (PAP).

**Episode output fields created:** PAP ID, PAP Name, Rendering Provider ID, Rendering Provider Name

**PAP output fields created:** PAP ID, PAP Name, PAP Address Line 1, PAP Address Line 2, PAP City, PAP State, PAP Zip Code

The output field PAP ID is set using the input field Billing Provider ID on the professional claim that is used to set the output field Trigger Claim ID.

The output field Rendering Provider ID is set using the input field Rendering Provider ID of the claim that is used to set the Trigger Claim ID.

The output fields PAP Name, PAP Address Line 1, PAP Address Line 2, PAP City, PAP State, and PAP Zip Code are set based on the Provider Extract input fields Provider Name, Practice Address Line 1, Practice Address Line 2, Practice City, Practice State, and Practice Zip Code, respectively. The output fields are linked to the Provider Extract by matching the output field PAP ID to the input field Provider ID of the Provider Extract.
The output field **Rendering Provider Name** is set based on the Provider Extract input field **Provider Name**. The output field is linked to the Provider Extract by matching the output field **Rendering Provider ID** to the input field **Provider ID** of the Provider Extract.

### 4.6 Identify excluded episodes

The sixth design dimension of building a breast cancer surgery episode is to identify episodes that are excluded from the episode-based payment model.

**Episode output fields created:** Any Exclusion, Exclusion Inconsistent Enrollment, Exclusion Multiple Payers, Exclusion Third-party Liability, Exclusion Dual Eligibility, Exclusion PAP Out Of State, Exclusion No PAP, Exclusion Long Hospitalization, Exclusion Long-term Care, Exclusion Missing DRG, Exclusion Incomplete Episode, Exclusion Age, Exclusion Left Against Medical Advice, Exclusion Death, Exclusion <Comorbidity Name>, Exclusion Multiple Other Comorbidities, Exclusion High Outlier, Exclusion FQHC RHC

Each Exclusion <name of exclusion> output field indicates whether an episode is excluded for a given reason and therefore invalid for the purpose of the episode based payment model. If an episode is excluded for more than one reason, each exclusion is indicated. The output field **Any Exclusion** indicates whether an episode contains any exclusion. Episodes may be excluded for business reasons, for clinical reasons, or because they are outliers. After all exclusions have been applied, a set of valid episodes remains.

**Business exclusions**

- **Dual eligibility:** An episode is excluded if the patient had dual coverage by Medicare and Medicaid during the episode window. Dual coverage is determined using the **Eligibility Start Date** and **Eligibility End Date** from the Member Extract where the **Aid Category** indicates dual coverage. **Aid Category** codes that indicate dual coverage are listed in the configuration file under “Business Exclusions – Duals.” Note that only the first digit of the **Aid Category** code is used for this purpose.

  A patient is considered to have dual coverage during the episode window if the patient’s **Eligibility Start Date** for dual coverage falls before or on (≤) the **Episode End Date** and the **Eligibility End Date** for dual coverage falls on or after (≥) the **Episode Start Date**. The input field **Member ID** is linked to the
output field Member ID from the Member Extract to identify the enrollment information for each patient.

If a patient has an Eligibility Start Date without a corresponding Eligibility End Date for dual coverage, the dual coverage is considered to be ongoing through the last date of the input data.

If a patient had dual coverage before or after the episode window, but not during the episode window, the episode is not excluded.

- **FQHC/RHC:** An episode is excluded if the PAP is classified as a federally qualified health center or rural health clinic. The codes used to identify them are listed in the configuration file under “Business Exclusions – FQHC and RHC.”

- **Incomplete episodes:** An episode is excluded if the Non-risk-adjusted Episode Spend (not the Risk-adjusted Episode Spend) is less than (<) the incomplete episode threshold. The incomplete episode threshold is listed as a parameter in the configuration file under “Excluded Episodes.”

- **Inconsistent enrollment:** An episode is excluded if the patient was not continuously enrolled in Ohio Medicaid during the episode window. Enrollment is verified using the input fields Eligibility Start Date and Eligibility End Date from the Member Extract where the input field Aid Category indicates full Medicaid enrollment. Aid Category codes that indicate full Medicaid enrollment are listed in the configuration file under “Business Exclusions – Inconsistent Enrollment.” Note that only the first digit of the Aid Category code is used for this purpose.

A patient is considered continuously enrolled if the patient’s Eligibility Start Date for full Medicaid falls before or on (≤) the Episode Start Date and the Eligibility End Date for full Medicaid falls on or after (≥) the Episode End Date. The output field Member ID is linked to the input field Member ID from the Member Extract to identify the enrollment information for each patient.

A patient may have multiple entries for Eligibility Start Date and Eligibility End Date for full Medicaid and some of the dates may be overlapping. In such cases, continuous, non-overlapping records of a patient’s enrollment are created before confirming whether the patient was continuously enrolled during an episode. If a patient has an Eligibility Start Date without a corresponding Eligibility End Date for full Medicaid, enrollment is considered to be ongoing through the last date of the input data.
If a patient was not continuously enrolled in Ohio Medicaid before or after the episode window, but was continuously enrolled during the episode window, the episode is not excluded.

**Long hospitalization:** An episode is excluded if a hospitalization that is assigned to the episode window has a duration greater than the threshold for long hospitalizations. The hospitalization may or may not be included in the episode spend. The long hospitalization threshold is listed as a parameter in the configuration file under “Excluded Episodes.”

**Long-term care:** An episode is excluded if the patient has one or more long-term care claim detail lines which overlap the pre-trigger window. A long-term care claim detail line which overlaps the pre-trigger window is defined as one with both a *Detail From Date Of Service* on or prior to (≤) the *PretriggerWindow End Date* and a *Detail To Date Of Service* on or after (≥) the *PretriggerWindow Start Date*. The long-term care claim detail line may or may not be included in the episode spend.

**Missing DRG:** An episode is excluded if a header-paid inpatient claim assigned to the episode window has an invalid or missing value in the input fields APR-DRG or Severity Of Illness. Header-paid inpatient claims are identified based on a *Header Or Detail Indicator* of ‘H’.

**Multiple payers:** An episode is excluded if a patient changes enrollment between MCPs during the trigger window or during the post-trigger window(s) (if applicable). Episodes are identified as having multiple payers if there is an inpatient, outpatient, professional, or pharmacy claim that meets all the following conditions:

- The claim is assigned to the trigger window or the post-trigger window of the episode (if applicable)
- The input field *FFS or MCP Indicator* of the claim is not “FFS”
- The input field *MCP ID* on the claim is not null and does not belong to the same payer that the episode is attributed to. Since a payer may be associated with multiple MCP IDs, the input field *MCP ID* must be cross-walked to a payer name. An updated crosswalk including current and historical MCP IDs must be used for each reporting period

If a patient changes enrollment between MCPs during the pre-trigger window (if any) or before the episode, it is the responsibility of the payer to whom the episode is attributed to utilize the claims history of the patient with
the prior payer to build the episode. Attribution of an episode to a payer is defined in the glossary under “Payer attribution”.

- **No PAP**: An episode is excluded if the PAP cannot be identified. A PAP cannot be identified if the Billing Provider ID is not available.

- **PAP out of state**: An episode is excluded if the PAP has a practice address outside of Ohio. The state of the practice address is determined using the output field PAP State. The code used to identify the state of Ohio is listed in the configuration file under “Business Exclusions – PAP Out Of State”.

- **Third-party liability**: An episode is excluded if either:
  - An inpatient, outpatient, or professional claim that is assigned to the episode window is associated with a third-party liability amount. A claim is considered to be associated with a third-party liability amount if either the input field Header TPL Amount or any of the input fields Detail TPL Amount have a value greater than (>) zero. The claim with a positive TPL amount may or may not be included in the calculation of episode spend.

As an exception, a third party liability amount in the input field Header TPL Amount or the input field Detail TPL Amount of a professional FFS claim from an FQHC or RHC does not lead to exclusion of the episode if the episode is attributed to an MCP. Professional claims from FQHC or RHC are identified based on one or more detail lines that are assigned to the episode window and also have a Place Of Service of FQHC or RHC. The relevant values for Place Of Service are listed in the configuration file under “Business Exclusions – TPL Exempt Places of Service”. Claims from FFS are identified based on the input field FFS Or MCP Indicator having a value of ‘F’. Attribution of an episode to a payer is defined in the glossary under “Payer attribution”.

- A patient was enrolled with a relevant source of third party liability during the episode window. Enrollment is verified using the TPL Effective Date and TPL End Date from the Member Extract where the Coverage Type indicates relevant TPL coverage. Coverage Type codes that indicate relevant TPL are listed in the configuration file under “Business Exclusions – TPL Relevant Coverage”.

A patient is considered enrolled with a relevant source of TPL if the patient’s TPL Effective Date falls before or on (≤) the Episode End Date and the TPL End Date falls on or after (≥) the Episode Start Date. The
output field Member ID is linked to the input field Member ID from the Member Extract to identify the enrollment information for each patient.

If a patient has a TPL Effective Date without a corresponding TPL End Date the enrollment with a relevant source of TPL is considered to be ongoing through the last date of the input data.

If a patient was enrolled with a relevant TPL source before or after the episode window, but was not enrolled during the episode window, the episode is not excluded.

Clinical exclusions

- **Age**: An episode is excluded if the output field Member Age does not fall into the valid age range or if it is invalid. See the glossary for the definition of Member Age. The valid age range for the breast cancer surgery episode are listed as parameters in the configuration file under “Excluded Episodes.”

- **Comorbidity**: An episode is excluded if the patient has a comorbidity code during a specified time window. Each comorbidity exclusion listed in the configuration file sets a separate output field named Exclusion <Name Of Comorbidity>. For example, the HIV comorbidity exclusion sets the output field Exclusion HIV for all those episodes with evidence of HIV during the specified time period. The following approaches are used to identify comorbidities:
  - Comorbidity diagnosis codes are searched for in the input fields Header Diagnosis Code Primary or Header Diagnosis Code 2-28 of inpatient, outpatient, and professional claims that are assigned to the specified time windows. The configuration file lists the codes and time windows under “Comorbidities <name of comorbidity> - Diagnoses.”
  - Comorbidity CPT and HCPCS procedure codes are searched for in the input field Detail Procedure Code of outpatient and professional claim detail lines that are assigned to the specified time windows. The configuration file lists the codes and time windows used under “Comorbidities <name of comorbidity> - Procedures.”
  - Comorbidity ICD-9 and ICD-10 procedure codes are searched for in the input fields Surgical Procedure Code Primary and Surgical Procedure Code 2-24 of inpatient claims that are assigned to the specified time windows. The configuration file lists the codes and time windows used under “Comorbidities <name of comorbidity> - Procedures.”
The claims and claim detail lines that are searched for comorbidities do not have to be included claims or included claim detail lines. If a patient lacked continuous eligibility during the year before the episode or during the episode window, comorbidities are checked in the data available.

■ **Death**: An episode is excluded if either:
  - The patient has a *Patient Status Indicator* of “Expired” on any inpatient or outpatient claim assigned to the episode window. The claim may be an included claim or not. The values of the *Patient Status Indicator* used to identify whether the patient expired are listed in the configuration file under “Clinical Exclusions – Death.”
  - The input field *Date Of Death* in the Member Extract contains a date before or equal to the *Episode End Date*. The output field *Member ID* is linked to the input field *Member ID* from the Member Extract to identify the *Date Of Death* for each patient.

■ **Left against medical advice**: An episode is excluded if the patient has a Patient Status Indicator of “Left Against Medical Advice or Discontinued Care” on any inpatient or outpatient claim assigned to the episode window. The claim may be an included claim or not. The value of the Patient Status Indicator used to identify whether the patient left against medical advice is listed in the configuration file under “Clinical Exclusions – Left Against Medical Advice.”

■ **Multiple other comorbidities**: An episode is excluded if it is affected by too many risk factors to reliably risk adjust the episode spend. The output fields *Risk Factor <risk factor number>* as defined in section 4.8 are used to identify how many risk factors affect an episode. Each output field *Risk Factor <risk factor number>* indicates whether an episode is affected by one risk factor. If an episode is affected by more (> risk factors than the value listed as a parameter in the configuration file under “Excluded Episodes,” the episode is excluded.

**Outliers**

■ **High outlier**: An episode is excluded if the *Risk-adjusted Episode Spend* (not the *Non-risk-adjusted Episode Spend*) is above (> the high outlier threshold. The high outlier thresholds for the breast cancer surgery episode are listed as parameters in the configuration file under “Excluded Episodes.” See section 4.8 for the definition of *Risk-adjusted Episode Spend*. 
4.7 Identify Principal Accountable Providers who pass the quality metrics

The seventh design dimension of building a breast cancer surgery episode is the calculation of the quality metrics and the identification of PAPs who meet the quality metrics performance requirement.

**Episode output fields created:** Quality Metric 01 Indicator, Quality Metric 01 Denominator, Quality Metric 02 Indicator, Quality Metric 03 Indicator, Quality Metric 04 Indicator, Quality Metric 04 Denominator, Quality Metric 05 Indicator, Quality Metric 06, Quality Metric 07, Quality Metric 08

**PAP output fields created:** PAP Quality Metric 01 Performance, PAP Quality Metric 02 Performance, PAP Quality Metric 03 Performance, PAP Quality Metric 04 Performance, PAP Quality Metric 05 Performance, PAP Quality Metric 06 Performance, PAP Quality Metric 07 Performance, PAP Quality Metric 08 Performance

The breast cancer surgery episode has three quality metrics tied to gain sharing. Additionally, the breast cancer surgery episode has five informational quality metrics. Informational quality metrics are not tied to gain sharing.

**Quality metric tied to gain sharing for breast cancer surgery episode:**

- **Quality metric 1: Rate of partial mastectomy**
  - The output field Quality Metric 01 Indicator marks episodes with an included procedure code for partial mastectomy in the input field Detail Procedure Code on the professional trigger claim. The codes used to identify the partial mastectomy are listed in the configuration file under “Partial Mastectomy”.
  - The output field Quality Metric 01 Denominator marks episodes with an included procedure code for all mastectomy procedures in the input field Detail Procedure Code on the professional trigger claim. The codes used to identify the mastectomy procedure are listed in the configuration file under “Quality Metric 01 All Mastectomy”.
  - The output field PAP Quality Metric 01 Performance is expressed as a percentage for each PAP based on the following ratio:
    - Numerator: Number of valid episodes of the PAP with partial mastectomy, as indicated by the Quality Metric 01 Indicator
- Denominator: Number of valid episodes of the PAP with mastectomy, as indicated by the Quality Metric 01 Denominator

**Quality metric 2: Rate of surgical complications**

- The Quality Metric 02 Indicator marks episodes that have an inpatient, outpatient, or professional claim assigned to the trigger window or post-trigger window 1 that contains a diagnosis code for relevant surgical complications in the input field Header Diagnosis Code in the primary diagnosis field. The diagnosis codes for surgical complications are listed in the configuration file under “Quality Metric 02 Surgical Complications.”

- The PAP Quality Metric 02 Performance is expressed as a percentage for each PAP based on the following ratio:
  - Numerator: Number of valid episodes of the PAP with surgical complications in the trigger or the post-trigger window 1, as indicated by the Quality Metric 02 Indicator
  - Denominator: Number of valid episodes of the PAP

**Quality metric 3: Rate of adjuvant radiation therapy following partial mastectomy**

- The Quality Metric 03 Indicator marks partial mastectomy episodes with radiation therapy in the post-trigger window 1 or post-trigger window 2. The claims are identified if they meet the following conditions:
  - An inpatient claim with procedure code for radiation therapy in the input field Header Surgical Procedure Code in any field that is assigned to the post-trigger window 1 or post-trigger window 2, OR
  - An outpatient or professional claim with a procedure code for radiation therapy in the input field Detail Procedure Code. The configuration file lists the radiation therapy procedure codes under “Radiation Therapy Delivery,”
  - A professional trigger claim with an included procedure code for partial mastectomy in the input field Detail Procedure Code, as listed in the configuration file under “Partial Mastectomy,” is also required, regardless of how the radiation therapy is identified.

- The Quality Metric 03 Denominator marks episodes with an included procedure code for partial mastectomy in the input field Detail Procedure Code.
Code on the professional trigger claim, as listed in the configuration file under “Partial Mastectomy.”

- The **PAP Quality Metric 03 Performance** is expressed as a percentage for each PAP based on the following ratio:
  
  □ Numerator: Number of valid partial mastectomy episodes of the PAP with radiation therapy in the post-trigger window 1 or post-trigger window 2, as indicated by the **Quality Metric 03 Indicator**
  
  □ Denominator: Number of valid episodes of the PAP with partial mastectomy, as indicated by the **Quality Metric 03 Denominator**

**Quality metrics not tied to gain sharing for breast cancer surgery episode (i.e., included for information only):**

- **Quality metric 4: Rate of repeat surgery for partial mastectomy episodes**

  - The output field **Quality Metric 04 Indicator** marks episodes with repeat surgery after a partial mastectomy. Claims containing a repeat surgery procedure code are identified if both the following conditions are true:

  □ A professional trigger claim with an included procedure code for partial mastectomy in the input field **Detail Procedure Code**, as listed in the configuration file under “Partial Mastectomy.”

  □ An inpatient, outpatient or professional claim with a procedure code for a repeat surgery that is assigned to the post-trigger window 1. For inpatient claims, repeat surgery procedure codes are searched in the input field **Header Surgical Procedure Code** in any field. For outpatient and professional claims, the repeat surgery codes are searched in the input field **Detail Procedure Code**. The procedure codes are in the configuration file under “Repeat Surgery.”

  - The **Quality Metric 04 Denominator** marks episodes with an included procedure code for partial mastectomy in the input field **Detail Procedure Code** on the professional trigger claim, as listed in the configuration file under “Partial Mastectomy.”

  - The output field **PAP Quality Metric 04 Performance** is expressed as a percentage for each PAP based on the following ratio:
- Numerator: Number of valid episodes of the PAP with at least one included claim for repeat surgery in the post-trigger window, as indicated by the Quality Metric 04 Indicator
- Denominator: Number of valid episodes of the PAP with partial mastectomy, as indicated by the Quality Metric 04 Denominator

## Quality metric 5: Rate of neo-adjuvant radiation

- The Quality Metric 05 Indicator marks episodes with a neo-adjuvant radiation therapy procedure in the 180 days before the trigger window. Neo-adjuvant radiation therapy can be identified in any one of the following ways:
  - An inpatient claim with procedure code for radiation therapy in the input field Header Surgical Procedure Code Primary and Surgical Procedure Code 2-24 in any field.
  - An outpatient and professional claim with a procedure code for radiation therapy in the input field Detail Procedure Code.

The procedure codes for radiation therapy are listed under “Radiation Therapy Delivery” in the configuration file. A claim is in the 180 days before the trigger window if the difference between the input field Header To Date Of Service (for inpatient claims) or Detail To Date Of Service (for professional or outpatient claims) and the Detail To Date Of Service of the trigger claim is 180 days or less.

- The PAP Quality Metric 05 Performance is expressed as a percentage for each PAP based on the following ratio:
  - Numerator: Number of valid episodes of the PAP with radiation therapy in the 180 days before the trigger window, as indicated by the Quality Metric 05 indicator
  - Denominator: Number of valid episodes of the PAP

## Quality metric 6: Timely transition to mastectomy

The Quality Metric 06 Indicator marks episodes with evidence of a breast biopsy or breast-cancer related antineoplastic therapy up to 60 days before the triggering procedure. Breast biopsy procedures or antineoplastic therapy can be identified in any one of the following ways:
☐ An inpatient claim with procedure code for breast biopsy or antineoplastic therapy in the input field Header Surgical Procedure Code Primary and Surgical Procedure Code 2-24 in any field.

☐ An outpatient and professional claim with a procedure code for breast biopsy or antineoplastic therapy in the input field Detail Procedure Code.

☐ A pharmacy claim with a HIC3 code for antineoplastic therapy that are identified by the presence of a National Drug Code in the input field National Drug Code. To identify specific medications, the HIC3 codes must be cross-walked to the NDCs. Since the NDCs change over time, an updated crosswalk including current and historical NDCs must be used for each reporting period.

The configuration file lists the breast biopsy and the antineoplastic therapy procedure codes under “Quality Metric 06 Breast Biopsy,” “Antineoplastic Therapy – Procedures,” and “Antineoplastic Therapy – Medications” respectively.

A claim is in the 60 days before the triggering procedure if the difference between the input field Header To Date Of Service (for inpatient claims) or Detail To Date Of Service (for professional or outpatient claims) and the Detail To Date Of Service of the trigger claim is 60 days or less.

- The PAP Quality Metric 06 Performance is expressed as a percentage for each PAP based on the following ratio:
  ☐ Numerator: Number of valid episodes of the PAP with breast biopsy or antineoplastic therapy up to 60 days before the triggering procedure, as indicated by the Quality Metric 06 Indicator
  ☐ Denominator: Number of valid episodes of the PAP

■ Quality metric 7: Rate of adjuvant antineoplastic therapy following mastectomy

- The Quality Metric 07 Indicator marks episodes with antineoplastic therapy following total, radical mastectomy or lymphadenectomy during the post-trigger window 1 or post-trigger window 2. Claims for Quality Metric 07 indicator are identified if both the following conditions are true:
  ☐ An inpatient, outpatient or professional claim with a procedure code for a total mastectomy or radical mastectomy or lymphadenectomy that is assigned to the trigger window. For inpatient claims, the
procedure codes for total, radical mastectomy or lymphadenectomy are searched in *Header Surgical Procedure Code* in any field. For outpatient and professional claims, the total, radical mastectomy or lymphadenectomy codes are searched in the input field *Detail Procedure Code*. The configuration file lists the mastectomy procedure codes under “Other Breast Cancer Surgery,” AND

- An inpatient, outpatient or professional claim with a procedure code for antineoplastic therapy that is assigned to the post-trigger window 1 or post-trigger window 2. For inpatient claims, the procedure codes for antineoplastic therapy are searched in the input field *Header Surgical Procedure Code* in any field. For outpatient and professional claims, the antineoplastic therapy codes are searched in the input field *Detail Procedure Code*. The configuration file lists the antineoplastic therapy procedure codes under “Antineoplastic Therapy - Procedures,” OR

- A pharmacy claim with a HIC3 code for antineoplastic therapy that are identified by the presence of a National Drug Code in the input field *National Drug Code*. To identify specific medications, the HIC3 codes must be crosswalked to the NDCs. Since the NDCs change over time, an updated crosswalk including current and historical NDCs must be used for each reporting period. The configuration file lists the antineoplastic therapy medication codes under “Antineoplastic Therapy - Medications.”

- The *Quality Metric 07 Denominator* marks episodes with total, radical mastectomy or lymphadenectomy procedure codes that are assigned to the trigger window. For inpatient claims, the procedure codes for total, radical mastectomy or lymphadenectomy are searched in *Header Surgical Procedure Code* in any field. For outpatient and professional claims, the total, radical mastectomy or lymphadenectomy codes are searched in the input field *Detail Procedure Code*. The configuration file lists the mastectomy procedure codes under “Other Breast Cancer Surgery”.

- The *PAP Quality Metric 07 Performance* is expressed as a percentage for each PAP based on the following ratio:

  - Numerator: Number of valid episodes of the PAP with a procedure code for total, radical mastectomy or lymphadenectomy in the trigger window AND a procedure code for antineoplastic therapy in the post-
trigger window 1 or post-trigger window 2, as indicated by the Quality Metric 07 Indicator

- Denominator: Number of valid episodes of the PAP with a procedure code for total, radical mastectomy or lymphadenectomy in the trigger window, as indicated by the Quality Metric 07 Denominator

**Quality metric 8: Timely clinical registry reporting**

- The Quality Metric 08 Indicator marks episodes that have confirmation of complete patient-level clinical factor reporting in the Ohio Cancer Registry within six months of the Episode Start Date and meet any of the following conditions:
  - No inpatient, outpatient or professional claim assigned to the trigger window with a prophylactic breast removal diagnosis in the input field Header Diagnosis code in any field. The prophylactic breast removal codes are listed in the configuration file under “Quality Metric 08 Prophylactic Breast Removal”; OR
  - At least one (1) inpatient, outpatient or professional claim assigned to the episode window with a breast cancer diagnosis in the input field Header Diagnosis Field in any field. The breast cancer diagnosis codes are listed in the configuration file under “Quality Metric 08 Breast Cancer”.

- The Quality Metric 08 Denominator marks episodes that meet any of the following conditions:
  - No inpatient, outpatient or professional claim assigned to the trigger window with a prophylactic breast removal diagnosis in the input field Header Diagnosis code in any field. The prophylactic breast removal codes are listed in the configuration file under “Quality Metric 08 Prophylactic Breast Removal”; OR
  - At least one (1) inpatient, outpatient or professional claim assigned to the episode window with a breast cancer diagnosis in the input field Header Diagnosis Field in any field. The breast cancer diagnosis codes are listed in the configuration file under “Quality Metric 08 Breast Cancer”.

- The PAP Quality Metric 08 Performance is expressed as a percentage for each PAP based on the following ratio:
- Numerator: Number of valid episodes of the PAP with *Quality Metric 08 Indicator*
- Denominator: Number of valid episodes of the PAP with *Quality Metric 08 Denominator*

- Clinical factor reporting completion is a non-claims-based metric.
- Please note that registry data is currently unavailable for the calculation of this metric. When registry data becomes available, a value for this metric will be displayed in the episode provider reports.

### 4.8 Perform risk adjustment

The eighth design dimension of building a breast cancer surgery episode is to risk adjust the non-risk-adjusted episode spend for risk factors that may contribute to higher episode spend given the characteristics of a patient.

**Episode output fields created**: *Risk Factor <risk factor number>, Episode Risk Score, Risk-adjusted Episode Spend*

**PAP output fields created**: *Average Risk-adjusted PAP Spend, Total Risk-adjusted PAP Spend*

Risk adjustment first requires identification of the risk factors that affect each episode. Then the *Non-risk-adjusted Episode Spend* is multiplied by the risk score that applies to the episode given its risk factors. The derivation of the risk factors and their coefficients is not part of the algorithm to produce an episode and is therefore not described in the DBR.

**Flag episodes that are affected by risk factors**: The following types of risk factors apply:

- **Age-based risk factors**: The output fields *Risk Factor <risk factor number>* for age-based risk factors indicate whether the *Member Age* of the patient falls into the age range specified for the risk factor. The relevant age ranges are listed as parameters in the configuration file under “Risk Adjustment” and are inclusive of the minimum (\(\geq\)) and maximum (\(\leq\)) values. For the definition of *Member Age* see the glossary.

- **Diagnosis-based risk factors**: The output fields *Risk Factor <risk factor number>* for diagnosis-based risk factors indicate whether an inpatient, outpatient, or professional claim that is assigned to the specified time
window contains a risk factor diagnosis code in any of the input fields *Header Diagnosis Code Primary* or *Header Diagnosis Code 2-28*. The risk factor diagnosis codes and the time windows are listed in the configuration file under “Risk Factors <risk factor number and name>.”

- **CCS category-based risk factors:** The output fields *Risk Factor <risk factor number>* for CCS category-based risk factors indicate whether an inpatient, outpatient, or professional claim that is assigned to the specified time window contains a risk factor diagnosis code associated with the CCS code(s) in any of the input fields *Header Diagnosis Code Primary* or *Header Diagnosis Code 2-28*. CCS codes are converted into ICD-9 and ICD-10 diagnosis codes using the definition of the single/multi-level CCS categories (as indicated in the configuration file) for ICD-9 and ICD-10 diagnosis codes available from AHRQ ([ICD-9](https://www.hcup-us.ahrq.gov/toolssoftware/ccs/ccs.jsp), ICD-10 [ICD-10](https://www.hcup-us.ahrq.gov/toolssoftware/ccs10/ccs10.jsp)). The configuration file lists the codes and time windows used under “Risk Factors <risk factor number and name> - CCS”.

- **CCS category, diagnosis, and age-based risk factors:** The output fields *Risk Factor <risk factor number>* for CCS category, diagnosis, and age-based risk factors indicate whether both of the following are true:

  - The Member Age of the patient falls into the age range specified for the risk factor. The relevant age ranges are listed as parameters in the configuration file under “Risk Adjustment” and are inclusive of the minimum (>=) and maximum (<=) values. For the definition of Member Age see the glossary.

  - There is evidence for the risk factor diagnosis in the specified time window, as identified by either:

    - An inpatient, outpatient, or professional claim that is assigned to the specified time window and contains a risk factor diagnosis code associated with the CCS code(s) in any of the input fields *Header Diagnosis Code Primary* or *Header Diagnosis Code 2-28*. CCS codes are converted into ICD-9 and ICD-10 diagnosis codes using the definition of the multi-level CCS categories for ICD-9 and ICD-10 diagnosis codes as described above. The configuration file lists the codes and time windows used under “Risk Factors <risk factor number and name> - CCS”.
An inpatient, outpatient, or professional claim that is assigned to the specified time window and contains a risk factor diagnosis code in any of the input fields *Header Diagnosis Code Primary* or *Header Diagnosis Code 2-28*. The risk factor diagnosis codes and the time windows are listed in the configuration file under “Risk Factors <risk factor number and name> - Diagnoses”.

- Bilateral mastectomy as a risk factor: The output field *Risk Factor Bilateral Mastectomy* for procedure-based risk factors is flagged when the episode meets any of the following conditions:
  - An outpatient or professional claim detail line that is assigned to the trigger window with a procedure code for a non-partial mastectomy in the input field *Detail Procedure Code* as listed in the configuration file under “Risk Factor 001 Non-partial Mastectomy” and a modifier code in the input field *All Modifiers*, as listed in the configuration file under “Risk Factor 001 Bilateral Procedure Modifier”, OR
  - The episode has both:
    - An outpatient or professional claim detail line assigned to the trigger window with a procedure code for a non-partial mastectomy in the input field *Detail Procedure Code* as listed in the configuration file under “Risk Factor 001 Non-partial Mastectomy” and modifier codes in the input field *All Modifiers*, as listed in the configuration file under “Risk Factor 001 Left Side Procedure Modifier,” AND
    - An outpatient or professional claim detail line assigned to the trigger window with a procedure code for a non-partial mastectomy in the input field *Detail Procedure Code* as listed in the configuration file under “Risk Factor 001 Non-partial Mastectomy” and modifier codes in the input field *All Modifiers*, as listed in the configuration file under “Risk Factor 001 Right Side Procedure Modifier.”

The claims that are searched for risk factors do not have to be included claims. If a patient was not continuously enrolled during the year before the episode window or during the episode window, risk factors are searched for in the claims available.

**Calculate the episode risk score**: Each risk factor is associated with a risk coefficient, the values for which are listed as parameters in the configuration file
under “Risk Adjustment.” The sum of all the risk coefficients for factors present in a given episode plus the Average Risk Neutral Episode Spend is the predicted spend of the episode. The configuration file lists the Average Risk Neutral Episode Spend as a parameter under “Risk Adjustment.” For the CABG and VALVE episodes, the Episode Risk Score for an episode is the ratio of the Average Risk Neutral Episode Spend to the predicted spend of the episode. For example, if an episode is affected by two risk factors, Risk Factor 001 and Risk Factor 002, the Episode Risk Score is:

\[
\text{Episode Risk Score} = \frac{\text{Average Risk Neutral Episode Spend}}{\text{Average Risk Neutral Episode Spend} + \text{Risk Coefficient 001} + \text{Risk Coefficient 002}}
\]

If an episode is not affected by any risk factors, the Episode Risk Score is equal to one (1).

**Calculate risk-adjusted episode spend:** To calculate the episode output field Risk-adjusted Episode Spend, the Non-risk-adjusted Episode Spend is multiplied by the Episode Risk Score.

\[
\text{Risk-adjusted Episode Spend} = \text{Non-risk-adjusted Episode Spend} \times \text{Episode Risk Score}
\]

The PAP output field Average Risk-adjusted PAP Spend is calculated as the average of the Risk-adjusted Episode Spend across valid episodes of each PAP. The Total Risk-adjusted PAP Spend is calculated as the sum of the Risk-adjusted Episode Spend across valid episodes of each PAP.

**4.9 Calculate gain/risk sharing amounts**

The ninth and final design dimension of building the breast cancer surgery episode is to calculate the gain or risk sharing amount for each PAP. The description below outlines one possible approach of linking PAP performance to payments. The State of Ohio may choose to provide further guidance at a future point in time when gain/risk sharing payments will be implemented.
**PAP output fields created:** *Count Of Total Episodes Per PAP, Count Of Valid Episodes Per PAP, Minimum Episode Volume Pass, Gain Sharing Quality Metric Pass, Gain/Risk Sharing Amount, PAP Sharing Level*

Gain and risk sharing amounts are calculated based on the episodes of each PAP that end during the reporting period. The State’s proposed approach to calculating the gain or risk sharing amount paid to/by each PAP uses the following pieces of information:

- **Number of episodes of each PAP:** The output field *Count Of Total Episodes Per PAP* is defined as the number of total episodes each PAP treats during the reporting period. The output field *Count Of Valid Episodes Per PAP* is defined as the number of valid episodes each PAP treats during the reporting period. Episodes are counted separately by each payer. For the provider reports the field *Count Of Valid Episodes Per PAP* is also shown broken out by the number of valid episodes with spend of each claim type (*Count Of Valid Episodes Per PAP With Inpatient/With Outpatient/With Professional/With Pharmacy*). To calculate the breakouts, the number of valid episodes of each PAP are counted that have greater than zero dollars (>0) in *Non-risk-adjusted Episode Spend* for a given claim type.

- **Minimum episode requirement:** Only PAPs who pass the minimum episode requirement of five or more (≥5) valid episodes receive a provider report and are eligible for gain and risk sharing. The output field *Minimum Episode Volume Pass* is set to indicate whether a PAP has five or more valid episodes during the reporting period. Whether a PAP passes the minimum episode requirement is determined independently by each payer based on the episodes a PAP has for patients enrolled with the payer. The assignment of episodes to a payer is detailed in the glossary under payer attribution.

- **Performance of each PAP on quality metrics tied to gain sharing:** Only PAPs who pass the quality metrics tied to gain sharing are eligible for gain sharing. The thresholds to pass the quality metrics are set in accordance with the definition of each quality metric and are provided as input parameters for the episode algorithm. The output field *Gain Sharing Quality Metric Pass* indicates whether a PAP passes all quality metrics tied to gain sharing.

- **Commendable Threshold, Acceptable Threshold, and Gain Sharing Limit Threshold:** The thresholds are set based on the historical performance of PAPs with five or more episodes. The values for the thresholds are provided as input parameters for the episode algorithm.
**Gain Share Proportion and Risk Share Proportion:** The split of the gains and losses in the episode-based payment model between payer and provider is at the discretion of each payer. The proportions are provided as input parameters for the episode algorithm.

**Gain sharing payment:** To receive a gain sharing payment, a PAP must meet all of the following three criteria:

- Pass the quality metrics thresholds tied to gain sharing
- Pass the minimum episode requirement,
- Have an Average Risk-adjusted PAP Spend below (<) the Commandable Threshold and have an Average Risk-adjusted PAP Spend above or equal to (>=) the Gain sharing limit.

If the three conditions are met, the Gain/Risk Sharing Amount is set based on the following formula:

\[
\text{[Gain/Risk Sharing Amount]} = \frac{\text{[Total Non-risk-adjusted PAP Spend] \times \text{[Gain Share Proportion]}}}{\left( \frac{\text{[Commandable Threshold]} - \text{[Average Risk-adjusted PAP Spend]}}{\text{[Average Risk-adjusted PAP Spend]}} \right)}
\]

**Risk sharing payment:** To owe a risk-sharing payment, a PAP must meet both of the following criteria:

- Pass the minimum episode requirement
- Have an Average Risk-adjusted PAP Spend above or equal to (>=) the Acceptable Threshold.

The risk-sharing payment applies irrespective of the performance of the PAP on the quality metrics. If the above two conditions are met, the Gain/Risk Sharing Amount is set based on the following formula:

\[
\text{[Gain/Risk Sharing Amount]} = \frac{\text{[Total Non-risk-adjusted PAP Spend] \times \text{[Risk Share Proportion]}}}{\left( \frac{\text{[Acceptable Threshold]} - \text{[Average Risk-adjusted PAP Spend]}}{\text{[Average Risk-adjusted PAP Spend]}} \right)}
\]
If neither the conditions for a gain sharing payment nor a risk sharing payment are met, the output field \textit{Gain/Risk Sharing Amount} is set to zero dollars (‘$0’).

To summarize the performance of each PAP in the episode-based payment model the output field \textit{PAP Sharing Level} is set to

- “1” if Average Risk-adjusted PAP Spend < Gain Sharing Limit Threshold
- “2” if Average Risk-adjusted PAP Spend < Commendable Threshold and also >= Gain Sharing Limit Threshold
- “3” if Average Risk-adjusted PAP Spend <= Acceptable Threshold and also >= Commendable Threshold
- “4” if Average Risk-adjusted PAP Spend > Acceptable Threshold

*** End of algorithm ***
5. GLOSSARY

- **BRSUR**: breast cancer surgery
- **CCS**: Clinical Classifications Software (CCS) is a tool for clustering patient diagnoses and procedures into management number of clinically meaningful categories
- **Claim types**: The claim types used in the breast cancer surgery episode are based on the input field *Claim Type*. The required claim types are:
  - Inpatient (I)
  - Outpatient (O)
  - Pharmacy (P and Q)
  - Professional (M)
- **Clean period**: See section 2.3.1
- **CPT**: Current Procedural Terminology
- **DBR**: Detailed Business Requirements
- **Duration of time windows**: The duration of a time window (e.g., the episode window, the trigger window), the duration of a claim or claim detail line, and the length of stay for inpatient stays is calculated as the last date minus the first date plus one (1). For example:
  - A trigger window with a *Trigger Window Start Date* of January 1, 2014 and a *Trigger Window End Date* of January 1, 2014 has a duration of one (1) day.
  - A trigger window with a *Trigger Window Start Date* of January 1, 2014 and a *Trigger Window End Date* of January 3, 2014 has a duration of three (3) days.
  - A claim with a *Header From Date Of Service* of January 1, 2014 and a *Header To Date of Service* of January 2, 2014 has a duration of two (2) days.
- **ED**: Emergency department
- **E&M**: Evaluation and management
- **Episode window**: See section 4.2
- **FFS**: Fee For Service
- **HCPCS**: Healthcare Common Procedure Coding System
- **HIC3**: Hierarchical Ingredient Code at the third level based on the classification system by First Databank
- **Hospitalization**: A hospitalization is defined as all the inpatient claims a patient incurs while being continuously hospitalized in one inpatient facility. A hospitalization may include more than one inpatient claim because the inpatient facility may file interim inpatient claims. A hospitalization consisting of just one inpatient claim starts on the *Header From Date Of Service* and ends on the *Discharge Date* of the inpatient claim. A hospitalization where two or more inpatient claims are linked together starts on the *Header From Date Of Service* of the first inpatient claim and ends on the *Discharge Date* of the last inpatient claim in the hospitalization. Within the DBR, the start of a hospitalization is referred to as the *Header From Date Of Service* for that hospitalization and the end of the hospitalization is referred to as the *Discharge Date* of that hospitalization.

Inpatient claims are linked together into one hospitalization consisting of two or more inpatient claims if any of the following conditions apply:

- Interim billing or reserved/missing discharge status: An inpatient claim with a *Patient Status Indicator* that indicates interim billing (see the configuration file under “Hospitalization – Interim Billing” for the codes used), that is reserved (see the configuration file under “Hospitalization – Reserved” for the codes used), or that is missing is linked with a second inpatient claim into one hospitalization if either of the following conditions apply:
  - There is a second inpatient claim with a *Header From Date Of Service* on the same day as or the day after the *Discharge Date* of the first inpatient claim
  - There is a second inpatient claim with an *Admission Date* on the same day as the *Admit Date* of the first inpatient claim and also a *Header From Date Of Service* on the same day as or within thirty (≤ 30) days after the *Discharge Date* of the first inpatient claim. If the *Discharge Date* of the first inpatient claim is not populated, then use the *Header To Date of Service* of the first inpatient claim.

- If the second inpatient claim (and potentially third, fourth, etc.) also has a *Patient Status Indicator* indicating interim billing, reserved, or missing, the hospitalization is extended further until an inpatient claim with a
discharge status other than interim billing, reserved, missing, or transfer occurs, or until the inpatient claim that follows does not satisfy the required conditions.

- Transfer: An inpatient claim with a Patient Status Indicator indicating a transfer (see the configuration file under “Hospitalization – Transfer” for the codes used) is not linked with the second inpatient claim. The second inpatient claim yields a separate hospitalization with a Header From Date Of Service on the same day as or the day after the Discharge Date of the first inpatient claim.

- **ICD-9:** International Classification of Diseases, Ninth Revision
- **ICD-10:** International Classification of Diseases, Tenth Revision
- **ICN:** Internal Control Number
- **Invalid episodes:** See section 4.6
- **Length of stay:** See glossary entry Duration of time windows.
- **MCP:** Managed Care Plan
- **Member Age:** The output field Member Age reflects the patient’s age in years at the episode trigger. Member Age is calculated as the difference in years between the start of the claim that is used to set the Trigger Claim ID and the date of birth of the patient. The start of the claim is determined using the input field Header From Date Of Service for inpatient claims and the earliest Detail From Date Of Service across all claim detail lines for outpatient and professional claims. The date of birth of the patient is identified by linking the Member ID of the patient in the episode output table to the Member ID of the patient in the Member Extract and looking up the date in the input field Date of Birth. Member Age is always rounded down to the full year. For example, if a patient is 20 years and 11-months old at the start of the episode, the Member Age is set to 20 years. If the Date of Birth is missing, greater than (>) 100 years, or less than (<) 0 years, then the output field Member Age is treated as invalid.
- **NDC:** National Drug Code
- **PAP:** Principal Accountable Provider
- **Patient:** An individual with either a CABG or VALVE episode
- **Payer attribution:** Patients may be enrolled with Ohio Medicaid Fee For Service or with a Managed Care Plan. An episode is assigned to the payer
that paid for the claim that is used to set the *Trigger Claim ID*. The payer that paid for a claim is identified using the input data field *MCP ID*.

- **Post-trigger window**: See section 4.2
- **Pre-trigger window**: See section 4.2
- **Total episodes**: All episodes, valid plus invalid.
- **Trigger window**: See section 4.2
- **Valid episodes**: See section 4.6