

CMS Data: Introduction to Limited Data Sets (LDS)

4/10/13

Presented by Sarah Brunsberg

About ResDAC

- **Centers for Medicare and Medicaid (CMS) contractor**
- **Offer free assistance to researchers interested in using Medicare and Medicaid data for research**
- **Staffed by a team of public health and health services research specialists**
- **Provide a range of services related to CMS data**
 - Assistance Desk
 - Workshops and Outreach

Overview of Limited Data Set Files

- **Goals for today**
 - **Define “limited data set” data**
 - **Walk through LDS data files**
 - **Discuss the request process for obtaining LDS data**

What is a Limited Data Set?

- **Contain beneficiary level health information but exclude specified direct identifiers and certain variables are encrypted, blanked or ranged**
- **Made available to the public, subject to privacy release approvals**
- **Have been stripped of data elements that might permit identification of beneficiaries or providers**

	Research Identifiable Files	Limited Data Sets
Requires privacy board review	Yes	No
Requires DUA	Yes	Yes
File includes beneficiary level data	Yes	Yes
Data file can be customized to only include a specific cohort	Yes	No (only available as 100% or 5% national sample)
Data can be linked to non-CMS data using a beneficiary identifier (such as SSN_	Yes	No

Variable	File	Research Identifiable File	Limited Data Set
Beneficiary Identifier	Claims & Enrollment Files	Encrypted Identifier	Encrypted Identifier
Health Insurance Claim (HIC) or SSN	Claims & Enrollment Files	Not included in file	Not included in file
Dates (MM/DD/YYYY)	Claims Files	Included	Included as of calendar year 2010
Beneficiary Zip Code	Enrollment File	Included	Not included, only county or state
Beneficiary Date of Birth	Enrollment File	Included	Not included, either age year or 5-year age range
Date of Death	Enrollment File	Included	Included, only for validated dates of death
UPIN/NPI of performing provider	Claims Files	Included	Included but encrypted
Institutional Provider Number	Claims Files	Included	Included

RIF versus LDS

- Pricing is different for LDS data than RIF. LDS data pricing posted on the CMS website, RIF data require a formal cost estimate
- Minimum data necessary: LDS data may still be appropriate for academic researchers

LDS Data: Standard Analytical Files (SAFs)

Institutional Files:

- **Inpatient**
- **Outpatient**
- **Home Health**
- **Skilled Nursing Facility**
- **Hospice**

Non-Institutional Files:

- **Carrier (Physician/supplier)**
- **Durable Medical Equipment**

LDS Standard Analytical Files: Institutional Claims Files:

Inpatient, Outpatient, Home Health, Skilled Nursing Facility, Hospice

- **Contains beneficiary level claims data submitted by the institutional facility provider**
- **Includes a unique encrypted beneficiary identifier which is consistent within the files, across the files and over time**
- **Physician identifiable numbers are encrypted**
- **Contains provider number, claim from and through date, diagnosis and procedure information, revenue center codes, and cost and payment information**

LDS Standard Analytical Files, Non-Institutional Claims Files:

Physician/Supplier (Carrier), Durable Medical Equipment

- Contains beneficiary level claims data submitted by the non-institutional provider (individual physician or provider, durable medical equipment supplier)
- Includes a unique encrypted beneficiary identifier which is consistent within the files, across the files and across time
- Physician identifiable numbers are encrypted
- Contains place of service code, provider specialty code, diagnosis and procedure information, claim from and through dates, cost and payment information, units codes, etc.

Standard Analytical Files: Date File

- From 1999-2008, the standard analytical files only contain quarterly dates of service
- In 2009, CMS created the “Date File” which are requested and purchased separately from the claims files and are then appended to the claims files
 - Available for Inpatient, Outpatient, Skilled Nursing Facility, Home Health Agency, Hospice, Physician/supplier (Carrier), and Durable Medical Equipment files
- Starting in 2010, CMS decided to include exact dates of service in the standard analytical files

LDS Data: Denominator File

- **Contains Medicare beneficiary entitlement, enrollment and demographic information**
- **Includes demographic variables: state and county of residence, age, sex, race**
- **Includes entitlement and enrollment variables: reason for entitlement and Medicare status, (aged, disabled, ESRD), Parts A and B enrollment information, HMO/managed care enrollment, Buy-in Indicator, date of death**
- **While there are demographic variables in the claims files, ResDAC recommends that researcher request the Denominator for reliable beneficiary demographic and enrollment information**

Denominator File: Buy-in Indicator

- **When CMS populates the Denominator buy-in indicator, they are considering all cases where the state has reported paying the Part B premiums. (SLMBs, SLMB Pluses, QMBs, QMB Pluses)**
- **There is no information identifying eligibility for full Medicaid benefits.**
- **CMS Denominator data will always undercount the dually eligible since it does not include those who have both Medicare and Medicaid full coverage but no state Medicaid buy-in for any Medicare beneficiary expenditures.**

LDS Data: MedPAR Files

- **There are three LDS MedPAR Files available: Hospital, Skilled Nursing Facility, and Long-Term Care Hospital**
- **The LDS MedPAR is a stand-alone file without any unique beneficiary identifiers**
- **Available as a proposed version and a final version**
- **Often used by providers to comment on federal regulations**

MedPAR Files

- Contains records for **100%** of beneficiaries who use hospital inpatient services, skilled nursing services, or hospital inpatient services in a long-term care hospital
- The records are stripped of most data elements that permit identification of beneficiaries
- Includes beneficiary demographic information: age, sex, race, Medicare status, beneficiary state of residence
- Includes information about the stay: admit and discharge date, total charge amount, length of stay, ICU indicator, Diagnosis present on admission, diagnosis and procedure information, DRG
- Includes information about the facility: Medicare provider number, Disproportionate shared amount, Indirect Medical Education Amount, etc.

LDS Data: Medicare Current Beneficiary Survey

- **The MCBS is a continuous survey of representative national sample of 16,000 Medicare beneficiaries.**
- **The goal of the MCBS are to determine health status and expenditures and sources of payment**
- **Two data files include:**
 - **Access to Care**
 - » **Contains information on access to health care, satisfaction with care, and usual sources of care**
 - **Cost and use**
 - » **Links Medicare claims to survey-reported events and provides complete expenditure and source of payment data on all health care services (including those not covered by Medicare)**

MCBS: Request Process

- While the MCBS is considered an LDS, it does required a ResDAC review
- MCBS data can be linked to Research Identifiable File data (RIF) and researchers submitting a request for both MCBS and RIF data will need to complete the RIF request process

LDS Data: Health Outcomes Survey

- **The Medicare Health Outcomes Survey (HOS) is survey data gathered from Medicare beneficiaries in Medicare Advantage**
- **The HOS is a cohort of 1,200 surveyed every two years**
- **The LDS HOS data contain plan identifiers and plan characteristics as well as beneficiary information**

LDS Data: Hospital Outpatient Prospective Payment System File (OPPS)

- Contains hospital outpatient department visits for only those hospitals that use the Outpatient Prospective Payment System.
- Created from The Outpatient SAF, but contain select claim level data
- Excludes critical access hospitals, Indian Health Services, and some specialty hospitals
- Contains diagnoses, bill type, outlier payments, revenue payments

LDS Data: Ambulatory Surgical Center File

- **Contains a summary of service utilization by ambulatory surgical center suppliers**
- **Contains procedure codes, allowed services and charges, Carrier information, supplier NPI number and geographic information, wage index, and discounted allow services (number of procedures that Medicare contractor allowed the supplier to bill)**

LDS Data: Inpatient Psychiatric Prospective Payment System

- **Contains case level data for inpatient psychiatric stays and is derived from the 2011 MedPAR file**
- **Contains diagnoses, procedures, DRG, length of stay, payment information, Medicare provider number of the facility provider, total charges, urban/rural indicator, and wage index**

Pricing Information

- Pricing for all limited data set files is included on the CMS website
- From www.cms.gov, under the research statistics, data and systems tab, under the files for order subsection, click on “Limited Data Set (LDS) Files.”
- Must click on each file to get specific pricing information
- For Standard Analytical Files – LDS (Inpatient, Outpatient etc.), you can find a price list under the downloads section

Process for Requesting

- On CMS website, under research, statistics, data and systems tab, subsection files for order, limited data set (LDS) files
- The Downloads section has a link “DUA – Limited Data Sets (LDS)” which directs to the page for more information on the request process
- Requires a completed data use agreement form, research protocol, and LDS Worksheet be emailed to CMS for review and approval

Resources for Help

CMS Website

- **Limited Data Set Files Page:**
 - “Research, Statistics, Data and Systems” section
 - “Files for Order” sub-section
 - “Limited Data Set (LDS) Files”
- **CMS Data Navigator**
 - <http://dnav.cms.gov>
 - Menu-driven search tool for locating CMS data and information resources

Resources for Help

ResDAC

- **ResDAC Website**
 - Knowledgebase articles
 - » <http://www.resdac.org/resconnect/articles>
 - Search data files by privacy level
 - » <http://www.resdac.org/cms-data>

- **ResDAC Assistance Desk**
 - Email: resdac@umn.edu
 - Phone: 1-888-973-7322
 - Web: <http://www.resdac.org>

Upcoming Webinars

- **04/25 – Research Identifiable Data**
- **05/02 – Medicare Utilization Data**