

Tip Sheet for 411 Audit Submissions

Beacon Health Options (Beacon) has created this tip sheet to help Colorado providers submit records for the annual State Encounter Audit (411) that contain all elements and appropriate detail. Our aim is to achieve a score across the partnerships of 90% for every element.

Data Element (Field)		Data Description	Tips
0	Record No	Sequential number for each of 411 records; Should align with the <i>Record No</i> in the flat file.	Submit each record with the matching record number as given in the audit request. Each record should be for one encounter only.
1	Encounter Procedure Code	0=No supporting doc, or not consistent w the doc, or not in the USCS, or not comply with the service description in USCS*; 1=yes, consistent with the supporting doc and comply with USCS *all of the information under the headings of "procedure code description," "service description," "notes," "minimum documentation requirements," and "example activities" should be taken into account when they are applicable.	Auditors are looking for a note that matches the procedure code submitted in the encounter, the nature of the service indicated by the procedure code AND the documentation requirements for that service as outlined in the USCS manual.
2	Encounter Diagnosis code	0=No doc, or not consistent w the supporting doc, or not comply w the diagnosis code requirement in USCS; 1=yes, comply and consistent	All five digits of the diagnosis code, either DSM-V or ICD-10 must be present, including any zeroes at the beginning or the end of the code. Watch for computer "cut off". Diagnosis reported on the encounter must be the same as one in the record (usually the primary dx).
3	Encounter POS	0=No doc, or not consistent w the supporting doc, or not comply w USCS; 1=yes, comply	Place of service must be named and be an allowable location for the service provided. Pay particular attention to "telephone", "Clubhouse", "Drop-in center", and "other" location codes. Watch for use of different POS codes by different staff.
4	Encounter Service /Program Category (Procedure Modifier 1)	0=Not comply with the program category requirement in the USCS for the encounter procedure code; 1= comply	Encounter data must use the modifier code appropriate to the service and the provider.
5	Encounter Units	0=No supporting doc, or not consistent w the doc or not within the duration allowed by USCS; 1= comply	Encounter units must be appropriately calculated based on duration of the service. Watch for incorrect calculations, especially for 15 minute units
6	Encounter Service Start Date	0=Start date does not comply w the supporting doc; 1= comply	Service start date must match between record and encounter
7	Encounter Service End Date	0=End date does not comply w the supporting doc; 1= comply	Service end date must match between record and encounter. This is usually the same as start date but may not be, especially for crisis services.

8	Doc_population	0=No doc or not comply w USCS; 1= comply	Client must be among the population(s) eligible for the service provided.
9	Doc_duration	0=No doc or not comply w USCS; 1= comply	Duration of service must fall between the minimum and maximum outlined in USCS manual. Auditor will calculate duration of service from start to stop time (in minutes).
10	Doc_allowed_mode_delivery	0=No doc or not comply w USCS; 1= comply	Mode of delivery must be allowable for the nature of the service delivered. Pay particular attention to use of "telephone".
11	Doc_Staff_req	0=No doc or not comply w USCS; 1=yes, comply	Staff providing the service must have eligible credentials for that service. Staff credentials should be clearly reported for each record, particularly for non-licensed, QMAP, and peer specialist providers.
12	Doc_Procedure Code	Procedure Code in the supporting doc; 'NA' if there is no document or unable to determine service based on documentation	Auditor documents procedure code in the record. It might not match Item 1 if it appears to be incorrect in the encounter.
13	Doc_diag	Diagnosis code in the supporting doc; 'NA' if there is no document	Auditor documents diagnosis in the record. It might not match Item 2 if it appears to be incorrect in the encounter.
14	Doc_POS	Place of Service in the supporting doc; 'NA' if there is no document	Auditor documents place of service in the record. It might not match Item 3 if it appears to be incorrect.
15	Doc_Units	Max of the units comply w USCS; 'NA' if there is no document	Auditor documents the number of units reported in the record. It might not match Item 5 if the encounter units were miscalculated.
16	Doc_Service Start Date	Start Date in the doc; 'NA' if there is no doc;	Auditor documents start date in record. It might not match Item 6 if there was an error in the encounter
17	Doc_Service End Date	End Date in the doc; 'NA' if there is no doc;	Auditor documents end date in record. It might not match Item 7 if there was an error in the encounter.
18	USCS version used	1=October 2016 versio, 2=January 2017 version, 3= July 2017 version, 4= July 2016	Auditor names the version of USCS manual consulted for each encounter. 2016 version applies to all services after July 1, 2016.
19	Comments (optional)	Any comments, for example 'no documentation received from provider'	Auditor documents duration in minutes. Auditor makes comments about errors or concerns with the encounter. Trends or patterns may be noted.