



TIP SHEET FOR 411 AUDIT SUBMISSIONS (new 11-2023)

This tip sheet is to help 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.

411 EDV Response Data Layout for Inpatient Services Encounter Lines

Data Element (Field)		Response Field Variable	Data Description	Format	Length
0	Record No	RECORD_NO	Sequential number for each of 137 records, should align with the <i>Record No</i> in the flat file (Appendix I)	X	Integer
1	Encounter Primary Diagnosis Code	ENC_DIAG	0 = No or insufficient documentation, assignment of incorrect primary diagnosis code 1 = Correct primary diagnosis code	X	1
2	Encounter Revenue Code	ENC_REV	0=No or insufficient documentation, incorrect revenue code 1=Correct revenue code	X	1
3	Encounter Discharge Status	ENC_DCSTAT	0=No or insufficient documentation, incorrect discharge status 1=Correct discharge status	X	1
4	Encounter Service Start Date	ENC_FDOS	0= No or insufficient documentation, incorrect service start date 1= Correct service start date	X	1
5	Encounter Service End Date	ENC_LDOS	0= No or insufficient documentation, incorrect service end date 1=Correct service start date	X	1
6	Documented Diagnosis Code	DOC_DIAG	Enter correct primary diagnosis code if present in the supporting documentation Enter 'No Doc' if no or insufficient documentation of correct diagnosis code	X	7
7	Documented Revenue Code	DOC_REV	Enter correct revenue code if present in supporting documentation Enter 'No Doc' if no or insufficient documentation of correct revenue code	X	4
8	Documented Discharge Status	DOC_DCSTAT	Enter correct discharge status if present in supporting documentation Enter 'No Doc' if no or insufficient documentation of correct discharge status	X	8
9	Documented Service Start Date	DOC_FDOS	Start Date of Service in the documentation 'No Doc' if there is no documentation	MM/DD /YYYY	10
10	Documented Service End Date	DOC_LDOS	End Date of Service in the documentation 'No Doc' if there is no documentation	MM/DD /YYYY	10
11	E&M Guidelines Version	EM_VERS	1 = 1995 version of Evaluation and Management Services Documentation Guidelines 2 = 1997 version of Evaluation and Management Services Documentation Guidelines	X	1

Uniform Service Coding Standards (USCS)

Data Element (Field)		Response Field Variable	Data Description	Format	Length
			3 = 2021 version of Evaluation and Management Services Documentation Guidelines 4 = 2023 version of Evaluation and Management Services Documentation Guidelines 9 = Does Not Apply		
12	Comments (conditionally required)	COMMENTS	Reviewer should enter comments supporting the decision made. Comments are required in the following scenarios: <ul style="list-style-type: none"> • If no supporting medical records were provided, enter, “no documentation received from provider” • If medical records do not support the date of service and subsequent data elements were scored “0”, enter, “DOS not found in MR” • If a decision support tool or supplemental documentation was used, enter, “refer to document: <file name>” • If the case includes supplemental medical record pages without a Medicaid ID, enter, “Supplemental medical record pages without a Medicaid ID were submitted but not used for validation” <u>Comments are required to support the following scenarios:</u> <ul style="list-style-type: none"> • To provide details regarding non-specific primary diagnosis codes • To provide details regarding agreement or disagreement with the encounter start date for inpatient stays that began as an observation stay • To provide details regarding the documentation supporting an inpatient discharge status determination 	X	Flexible

TIP SHEET FOR 411 AUDIT SUBMISSIONS – Psychotherapy and Residential services

rev. 11-16-2023

Uniform Service Coding Standards (USCS)



This tip sheet is to help 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.

411 EDV Response Data Layout for Psychotherapy and Residential Professional Services Encounter Lines

Data Element (Field)		Response Field Variable	Data Description	Format	Length
0	Record No	RECORD_NO	Sequential number for each of 274 records, should align with the <i>Record No</i> in the flat file (Appendix I)	X	Integer
1	Encounter Procedure Code	ENC_PROC	0=No supporting documentation, or not consistent with the documentation, or not in the USCS, or does not comply with the service description in USCS (Note 4 below) 1=Yes, consistent with the minimum supporting documentation requirements and complies with USCS	X	1
2	Encounter Diagnosis Code	ENC_DIAG	0=No documentation, or not consistent with the supporting documentation, or does not comply with the diagnosis code requirement in USCS 1=Yes, complies with USCS and consistent with the supporting documentation	X	1
3	Encounter POS	ENC_POS	0=No documentation, or not consistent with the supporting documentation, or not comply with USCS 1=Yes, complies with USCS and consistent with the supporting documentation	X	1
4	Encounter Service Cat/Program Category (Procedure Modifier 1)	ENC_MOD	0=Does not comply with the program category requirement in the USCS for the encounter procedure code 1=Yes, complies with USCS and consistent with the supporting documentation	X	1
5	Encounter Units	ENC_UNITS	0=No supporting documentation, or not consistent with the documentation or not within the duration allowed by USCS 1=Yes, complies with USCS and consistent with the supporting documentation	X	1
6	Encounter Service Start Date	ENC_FDOS	0=Start date does not comply with the supporting documentation 1= Yes, consistent with the supporting documentation	X	1
7	Encounter Service End Date	ENC_LDOS	0=End date does not comply with the supporting documentation 1=Yes, consistent with the supporting documentation	X	1
8	Documented Population	DOC_POP	0=No documentation or not comply with USCS 1=Yes, complies with USCS	X	1
9	Documented Duration	DOC_DUR	0=No documentation or not comply with USCS	X	1

Uniform Service Coding Standards (USCS)

Data Element (Field)		Response Field Variable	Data Description	Format	Length
			1=Yes, complies with USCS		
10	Documented Staff Requirements	DOC_STAFF	0=No documentation or not comply with USCS, if procedure code is included in USCS 1=Yes, complies with USCS (Note 10 below)	X	1
11	Documented Procedure Code	DOC_PROC	Procedure code in the supporting documentation 'No Doc' if there is no document or unable to determine service based on documentation	X	5
12	Documented E&M Procedure Code	DOC_EM	For psychotherapy cases with a documented procedure code of 90833, 90836, or 90838, the primary E&M procedure code associated with the psychotherapy service in the supporting documentation 'No Doc' if there is no document or unable to determine the associated E&M procedure code based on documentation Enter 'NA' if data element does not pertain to the service type or if the psychotherapy procedure code is a stand-alone code that does not require an E&M code <i>Required for Psychotherapy encounters with a documented procedure code of 90833, 90836, or 90838.</i>	X	5
13	Documented Diagnosis Code	DOC_DIAG	Diagnosis code in the supporting documentation 'No Doc' if there is no documentation	X	7
14	Documented Place of Service (POS)	DOC_POS	Place of Service in the supporting documentation 'No Doc' if there is no documentation	X	2
15	Documented Units	DOC_UNITS	Maximum of the units complying with USCS, if procedure code is included in USCS 'No Doc' if there is no document	X	Integer
16	Documented Service Start Date	DOC_FDOS	Start Date of Service in the documentation 'No Doc' if there is no documentation	MM/DD/YYYY	10
17	Documented Service End Date	DOC_LDOS	End Date of Service in the documentation 'No Doc' if there is no documentation	MM/DD/YYYY	10
18	USCS Version Used	USCS_VERS	1= July 2022 Version , covering dates of service from July 1, 2022 through September 30, 2022 2= October 2022 Version , covering dates of service from October 1, 2022 through December 31, 2022 3= January 2023 Version , effective January 1, 2023 through June 30, 2023	X	1
19	Comments (conditionally required)	COMMENTS	Reviewer should enter comments supporting the decision made. Comments are required in the following scenarios:	X	Flexible

Uniform Service Coding Standards (USCS)



Data Element (Field)		Response Field Variable	Data Description	Format	Length
			<ul style="list-style-type: none">• If no supporting medical records were provided, enter, “no documentation received from provider”• If medical records do not support the date of service and subsequent data elements were scored “0”, enter, “DOS not found in MR”• If a decision support tool or supplemental documentation was used, enter, “refer to document: <file name>”• If the case includes supplemental medical record pages without a Medicaid ID, enter, “Supplemental medical record pages without a Medicaid ID were submitted but not used for validation”		