

## OVERVIEW

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**NOTE:** At the time of this writing, the TRICARE Duplicate Claims System is a client server application that runs on dedicated lines. TMA is in the process of developing a web-based version of the system that will run on the Internet/NIPRNET. TMA expects to deploy the web version in late 2003 or early 2004. The functionality of the web version is exactly the same as the client server application described below. The only difference will be in the telecommunication specifications. Please refer to the TRICARE Systems Manual, [Chapter 1](#) for information on connecting to the NIPRNET. The web application will use the same extract criteria used for identifying potential duplicate claim sets as the client server application described below. The rules for operating the system and resolving duplicate claim sets are exactly the same as the client server version. The only difference is that the system will be accessed via a web browser (Internet Explorer 5.5 or above) as opposed to operating on dedicated lines. For planning purposes, contractors should price both telecommunications scenarios: 1) PCs operating the DCS across dedicated lines; and 2) PCs operating the DCS through Internet Explorer 5.5 or later across the NIPRNET. TMA will advise contractors, at the technical specifications meeting following award, which version of the DCS will be used on the start of Health Care Delivery (client server or web).

All data in the Duplicate Claims System is protected by the Privacy Act of 1974 (P.L. 93-579); DoD HIPAA Privacy Regulation; and the HIPAA Privacy Regulation

The TRICARE Duplicate Claims System (Duplicate Claims System or DCS) was developed by the TRICARE Management Activity (TMA) to automate the resolution of duplicate claim payments. The system facilitates the identification of actual duplicate claims payments, the initiation and tracking of recoupments, and the removal of duplicate records from the TRICARE Encounter Data (TED) database. The system also generates operational and management reports. The main difference between the Health Care Service Record (HCSR) version of the DCS and the TRICARE Encounter Data (TED) version is the way non-institutional line items are handled. The TED version gives the user the capability to identify actual duplicates at the line item level. The TED record contains line item level paid amounts where the HCSR contained only line item allowed amounts. In the TED version, adjustments will reflect paid amounts rather than allowed amounts. This difference is reflected in the TED version's resolve logic. To resolve a set in the TED version, the adjustment paid amount must now equal the actual recoupment amount. In the HCSR version, the adjustment allowed amount has to be equal to or greater than the actual recoupment amount. Also, the TED record does away with payment record suffixes. In the HCSR version, claims are uniquely identified by ICN, Suffix and Time Stamp. In the TED version, a unique claim is identified by ICN and Time Stamp only. Finally, the Line Item Screen in the TED version contains a horizontal scroll bar that permits the user to see additional data elements that were not available in the HCSR version.

## 1.0. PREFACE

This document employs a number of conventions and application-specific terminology which may be unfamiliar to new users. Some of this terminology is directly related to concepts and activities pertaining to the system. Other terminology, although applied generally to the TRICARE community, takes on specific meaning in the system. In the interests of space and readability, this document uses the word contractor or the term "FI" (or contractors or FIs for the plural) to mean TRICARE Managed Care Support Contractor organizations. Similarly, the term claim refers to claims or encounters or TEDs.

For highlighting certain features of the system, we have employed several stylistic conventions in this document. All references to "buttons" a user must click on with a mouse device are shown in capital letters and bold type (e.g., **RESOLVE THE SET** button). All field names are shown in upper and lower case letters and bold type (e.g., **Dupe?** field). All claim set status categories are represented in upper and lower case with italics (e.g., *Open* status). Menu Bar selections are shown with a letter underlined and in bold, just as they appear on the screen (e.g., **View** function). User selections to system prompts are generally shown within single quotes ('Y').

Users also should be aware that terminology used in this document is consistent with field names displayed on system screens. For example, the system uses three amount fields to resolve duplicate claims: total amount identified for recoupment in field **ID Recoup**; total amount actually recouped in field **Actual Recoup**; and total adjustment Government paid amount in field **Adjust Amount**.

In displaying these fields, the system captures the dollar amounts a user has entered for specific claims and computes totals for each of these fields. To ensure that the conventions and terms employed are fully understood by users, the Government will provide training and detailed instructions prior to initial system installation.

All processes associated with the use of the system and all outputs and results generated by or associated with the system, including claims, encounters, dispositions, recoupments, collections, adjustments, and TEDs, are subject to audit by the Government. The Duplicate Claims System is the property of the United States Government.

## 2.0. DEFINITION OF A DUPLICATE CLAIM PAYMENT

A duplicate claim or encounter is a payment made for services for which reimbursement has already been made on one or more previous claims or encounters. In other words, two or more payments were made for the same service for the same beneficiary.

For the purposes of the Duplicate Claims System, when two or more payments are issued for the same service for the same beneficiary, the additional payments are considered actual duplicate payments, regardless of whether the additional payments were justified or made in error, recoupment of the additional payments initiated, or refunds have been received.

The criterion to use in determining if a claim represents an actual duplicate payment is an affirmative answer to the following question:

Have any or all of the services paid on this claim been paid on a previous claim/encounter?

It must be noted that claims data displayed in the Duplicate Claims System are TED records. The Government assumes that the TED records submitted by contractors accurately reflect the adjudication of the claims and the dollars paid. When a user works in the Duplicate Claims System, they are seeing records that reside on the TED database. They are seeing what appears to the Government to be duplicate payments. Users might think of TED records as entries in the Government's checkbook. When a pair of TED records are displayed in the Duplicate Claims System, they are, in essence, representing two entries in the Government's checkbook. If these entries are not cancelled or adjusted, they represent actual dollars spent. For the purposes of the Duplicate Claims System, an unadjusted or non-cancelled TED record on the TED database represents a claims payment even if the claim appears on the contractor's claims processing system as having been adjusted or cancelled. All duplicate TED records displayed in the DCS must be flagged as actual duplicate payments and must be corrected through adjustments and cancellations to remove the duplicate conditions from the TED database.

### **3.0. DEVELOPMENT OF THE SYSTEM**

The Duplicate Claims System was developed to facilitate the identification and resolution of actual duplicate payments, increase accountability for recoupments, and verify the submission of TED adjustments to correct duplicate conditions in the TED database. The system was designed to optimize the efforts of both TMA staff and contractor staff in meeting their respective responsibilities regarding duplicate claim payments.

#### **3.1. TMA And Contractor Benefits**

For the TMA, the system provides the tools to ensure that potential and actual duplicate payments are identified, recoupments are received, TED database corrections are made, and contractor standards of performance are met. For contractors, the system provides the tools to facilitate the research of potential duplicate payments and the identification of actual duplicate payments, document recoupment activities, and ensure that corrections to the TED database in the form of adjustments or cancellations are completed.

User defined, formatted reports are included in the Duplicate Claims System to help analyze trends, contractor performance, and processing or procedural problems in contractor operations.

#### **3.2. System Objectives**

The system was designed to meet the following objectives:

**3.2.1.** To create a user-friendly, cost-effective, PC-based application using client/server technology;

- 3.2.2.** To preserve TED data integrity and display only those potential duplicate claims records applicable to each contractor;
- 3.2.3.** To provide as much data as possible to assist contractors in their efforts to identify actual duplicate payments;
- 3.2.4.** To improve the detection of actual duplicate claims payments through the use of match criteria that have been found to be successful in identifying duplicate claim payments;
- 3.2.5.** To automate methods for grouping and displaying institutional and non-institutional potential duplicate TEDs to contractors for research and resolution;
- 3.2.6.** To automate and simplify methods for contractors to report their determinations as to whether the identified potential duplicate TEDs represent actual duplicate payments and, if they do, to report the corresponding amounts expected to be recouped;
- 3.2.7.** To automate and simplify methods for contractors to report actual recoupment amounts and provide a mechanism for verifying that TED adjustments/cancellations were submitted and accepted, thereby correcting the duplicate condition in the TED database;
- 3.2.8.** To automate methods to facilitate TMA and contractor audits and performance monitoring and;
- 3.2.9.** To provide the capability to generate user defined reports and graphs.

In meeting these objectives, the system provides the tools to monitor timely contractor research and accurate identification of actual duplicate payments and aids in diagnosing processing problems which cause duplicate payments.

#### **4.0. FUNCTIONAL CAPABILITIES OF THE DUPLICATE CLAIMS SYSTEM**

The Duplicate Claims System is an on-line, user-friendly system. The Duplicate Claims System employs five different TED-based, duplicate detection match criteria to identify potential duplicate claims. It also accommodates contractor transitions, financially underwritten/non-financially underwritten claims, and duplicate claims payments caused by jurisdictional processing errors. The Duplicate Claims System improves TMA and contractor accountability of actual duplicate payments through the tracking of the amounts identified for recoupment, amounts actually received in refunds or offsets, and TED adjustments or cancellations submitted on receipt of the refunded or offset overpayments. The functional capabilities of the Duplicate Claims System supports the claims resolution process.

#### **4.1. The Claims Resolution Process**

The process by which duplicate claims are corrected in the Duplicate Claims System is referred to as the "claims resolution process". To initiate the claims resolution process, the Duplicate Claims System identifies and groups potential duplicate claims into "sets". This enables contractors to view matching claims and conduct the necessary research to determine if one or more claims in a set involve actual duplicate payments.

If one or more of the claims in a set represents an actual duplicate payment, the contractor will identify the duplicate payment by entering a 'Y' (for "Yes") in the **Dupe?** field of that claim. If there are only two claims in the set, the other claim will have a 'N' (for "No") in the **Dupe?** field to indicate it was the original or BASE claim. Only one claim in a set can be the BASE claim. The claims resolution process requires a contractor to enter a reason code to explain the cause of the duplicate payment and the dollar amount to be recouped. Upon receipt of the refund or offset, the contractor will enter the amount actually recouped.

After recording the amount actually recouped for the duplicate claim, the contractor must correct the duplicate condition in the TED database by submitting an adjustment/cancellation TED. When the TED adjustment has been processed and accepted, it will be transmitted to the DCS for processing. This processing, which generally occurs daily, adds adjustment transactions to appropriate sets. When the appropriate adjustment appears in a set, the contractor can verify removal of the duplicate condition from the TED database by flagging the adjustment transaction (i.e., by entering 'Y' in the **TED Adjust?** field of the claim). All claims identified as a duplicate payment must have a 'Y' in the **Dupe?** field, a valid reason code, and an amount identified for recoupment. Duplicate claims may also have an amount actually recouped and an adjustment amount.

The set can now be resolved by clicking the **RESOLVE THE SET** button which invokes the "rules of resolution". (See [Chapter 10, Section 4, Figure 10-4-1](#), Rules Of Resolution.) The rules state that a set can be resolved to a *Closed* status only if full recoupment has been received or if none of the claims in the set involve duplicate payments. If one of the claims is a duplicate payment but full recoupment was not received, the set can be resolved to a *Validate* status, providing an explanation has been entered to explain why full recoupment was not possible.

#### **4.2. Extracting TED Data To Create And Maintain The Duplicate Claims Databases**

Using the duplicate claims detection criteria, the Duplicate Claims System identifies potential duplicate claims from TEDs residing in the TED database. These claims are extracted from the TED database. At the same time, data elements and values required for system operation are added and the records are loaded to a TMA Microsoft SQL Server®. TED records are then converted and imported into Microsoft SQL Server® tables. These tables comprise the Duplicate Claims Databases. TED data and Duplicate Claims System data residing in the Duplicate Claims Databases are accessible to users through the Duplicate Claims System application built in Paradox®. See [Chapter 10, Section 3, paragraph 1.0](#). for details on the building of the Duplicate Claims Databases.

#### **5.0. SYSTEM DESIGN**

In technical terms, the Duplicate Claims System is a "client/server" application. This term is used to describe an automated system that provides a user-friendly "client" environment on distributed personal computers which are interfaced with a transaction-based "server" environment that processes transactions, maintains databases, and optimizes the access and transfer of data between the two environments.

## **5.1. System Design Platforms**

The Duplicate Claims System utilizes three platforms:

### **5.1.1. IBM-Compatible Mainframe Platform**

The IBM-compatible mainframe platform is composed of an Amdahl 5995 OS / 390 mainframe and operating system, and an IDMS database management system that maintains the TED database.

### **5.1.2. Microsoft SQL Server Platform**

The Microsoft SQL Server® platform is comprised of a Microsoft SQL Server® database and tables.

### **5.1.3. Personal Computer Platform**

The PC platform is composed of personal computers installed at user sites. These computers are installed with a run-time version of Paradox® containing the Duplicate Claims System application. PCs also are installed with Borland International's SQL Links for Windows® which provides the interface between the Paradox user interface and the SQL Server tables.

Users at contractor and TMA sites use the Duplicate Claims System's on-line screens built in Paradox® Version 9.0, running under Microsoft Windows 95®, Microsoft Windows 98®, Microsoft Windows 98 SE®, Microsoft NT 4.0®, Microsoft Windows 2000®, or Microsoft Windows XP®. The Duplicate Claims System user interface is a Paradox application based on a customized, graphical user interface employing full-color graphics, pull-down menus, and point- and-click mouse technology. It complies with standard Windows® conventions and provides all required functionality for resolving potential duplicate claim sets.

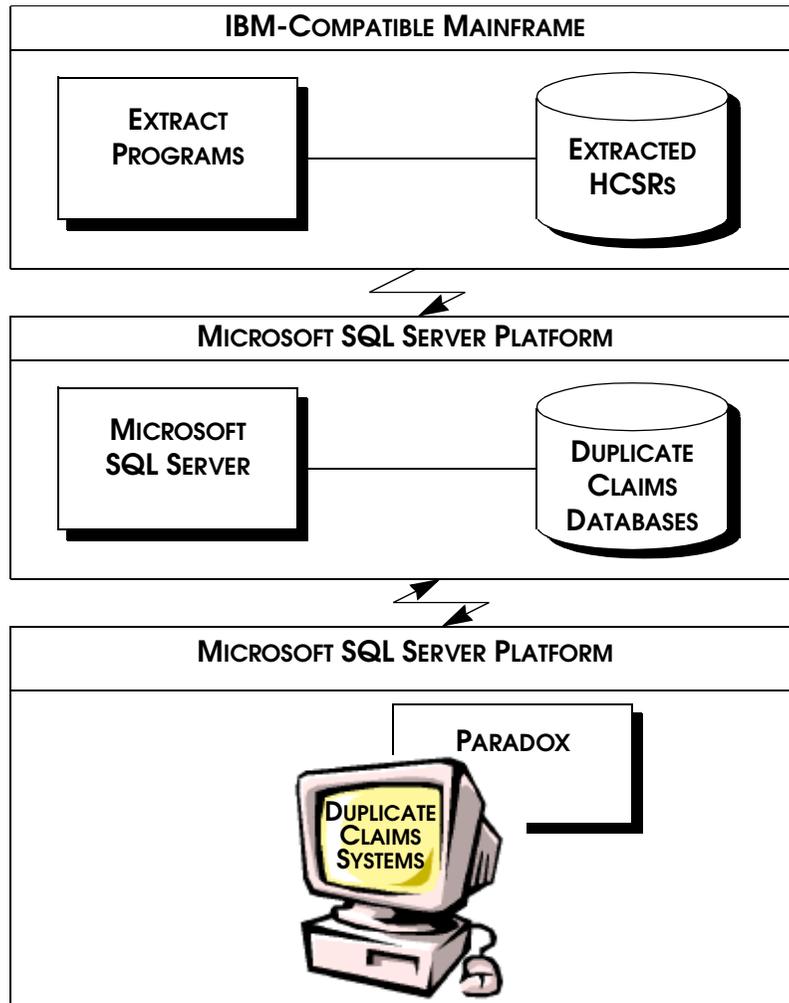
The three platforms will be upgraded as required to ensure compliance with TMA automation standards.

User screens include ease-of-use features such as tabs, buttons, scroll bars, shading, colors, VCR buttons, dialog boxes, user prompts, help messages, and error messages. These features enhance the display of claims data and facilitate movement from field to field, screen to screen, and claim set to claim set.

## **5.2. Communications**

The three system platforms described above and shown in [Figure 10-1-1](#), System Platforms, operate independently. Data is transmitted from one platform to another through interfaces and a communications network. Users connect to this network and the Duplicate Claims System via contractor-supplied communication lines(e.g., 56 Kb line, 128 Kb line). Instructions on establishing a connection to the network and the Duplicate Claims System will be provided by the Government. See the TRICARE Systems Manual, [Chapter 1](#) for additional telecommunications requirements.

FIGURE 10-1-1 SYSTEM PLATFORMS



### 5.3. Design Efficiencies

To optimize system resources, the Duplicate Claims System employs on-line and background processing. Users work only in the on-line mode of operations. The background mode is used for data handling, database maintenance, and system administration.

#### 5.3.1. On-Line Processing Mode

The on-line processing mode contains system functionality for user activities, such as verifying that only authorized users gain access to system application software and duplicate claims data. Within this environment, the system provides menus for user functions, such as viewing potential duplicate claim sets through user-defined filters and criteria; locating specific claim sets by claim set number, sponsor Social Security Account Number (SSAN), or individual claim number (ICN); designating a claim as either an actual duplicate or a non-duplicate; entering identified and actual recoupment amounts; linking TED adjustments to identified actual duplicate claims; and resolving duplicate claim sets.

### **5.3.2. Background Mode**

The background processing mode contains system functionality for system administration and maintenance, such as the interface with the TED data on the IBM mainframe to identify and extract potential duplicate claims and associated TED adjustments and cancellations. Background processing also maintains the necessary controls to group matching claims into sets and ensures that each contractor accesses only their own data.

## **6.0. SYSTEM FUNCTIONS**

The Duplicate Claims System provides a broad range of user functions to support contractor and TMA activities and to ensure system integrity.

### **6.1. Claim Set Resolution Functions**

As specified in all MCS contracts, contractors are responsible for both preventing and resolving duplicate claim payments. The Duplicate Claims System supports contractors in this responsibility by automating the process. The automated process defines the rules under which the resolution of claim sets can be completed, provides users with screens to enter the results of duplicate payment research, and maintains the necessary interfaces with the TED database to ensure and verify correction of duplicate conditions.

To resolve claim sets with one or more claims determined to contain actual duplicate payments, users are required to perform five basic activities:

**6.1.1.** Enter a 'Y' or 'N' to indicate that a claim (or line item) does or does not represent an actual duplicate payment;

**6.1.2.** Select a reason code from a pre-defined list of reason codes for each claim, and enter a narrative description when prompted to explain why a claim does or does not represent an actual duplicate payment;

**6.1.3.** Enter the dollar amount identified for recoupment for each actual duplicate institutional claim or non-institutional line item;

**6.1.4.** Enter the dollar amount actually received from the recoupment/offset action of each duplicate claim; and

**6.1.5.** Submit the TED adjustment and link this adjustment to the actual duplicate institutional claim or non-institutional line item after the adjustment has been processed by the TED system and received by the Duplicate Claims System.

### **6.2. Additional System Functions**

A number of other tasks and data handling procedures facilitate duplicate claims resolution and maintenance of system integrity. These tasks and data handling procedures include:

**6.2.1.** Verifying user authorization through PKI authentication, passwords, and sign-on procedures;

**6.2.2.** Displaying to each contractor only those potential duplicate claim sets associated with that contractor;

**6.2.3.** Displaying TED adjustments associated with duplicate institutional claims or duplicate non-institutional line items;

**6.2.4.** Providing capabilities to track user activities;

**6.2.5.** Providing system maintenance and data administration capabilities, e.g., automated support for reassigning claim sets upon contractor transitions;

**6.2.6.** Determining ownership of sets involving potential duplicate claims paid by two different contractors (i.e., multi-contractor sets).

**NOTE:** Although the owner designated by the system is the contractor who paid the latest claim, ownership can be switched to other contractors involved];

**6.2.7.** Highlighting claims that appear as potential duplicates in other sets; and

**6.2.8.** Appending new TED claims to existing sets.

