

Dirigo Health's Response to Hearing Questions

Question	Citations in Record	Summary Response
<u>Hospital Initiatives</u>		
In order requested, please point to the record where each of the following can be found. In those cases where the information in question is not in the record, please point to those places in the record which explain why the requested information is not in the record, or failing that, please indicate explicitly that the information is not in the record. In the responding to this request, please bear in mind that your answer to the greatest extent possible, given what has been placed on the record, should provide a clear path for someone reviewing the record and attempting to replicate the findings presented in srHS report		
1. All source data sets used as a basis for the calculations estimated AMCS related to voluntary reductions in cost per CMAD	1. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, sschramm080519 2. AR 4-65, (DHA Exhibit 3), CPS Regression Variables_Race Refined_Export_percent.xls 3. AR 4-65 (DHA Exhibit 3), dha_dataset_20.mdb, Sschramm080417_cmi (table) 4. AR 1-10, (DHA Disclosure (CD) 060308\Discovery\spreadsheets and source data), CPS Uninsured Table.xls 5. AR 4-65 (DHA Exhibit 3),CMS_CBSA_WageIndex_HIST_2003_2007.txt AR 4-65 (DHA Exhibit 3), CMS_CBSA_WageIndex_HIST_Layout_2003_2007.txt AR 4-65 (DHA Exhibit 3),CMS_wage_his_1983_2003_STATE_MSA.txt AR 4-65 (DHA Exhibit 3), AR 4-65 (DHA Exhibit 3), CMS_wage_his_layout_1983_2003_STATE_MSA.txt 6. HMBI Info.xls 7. AR 4-65, (DHA Exhibit 3), hybrid rollup.xls 8. AR 1-10, (DHA Disclosure (CD) 060208\Discovery\spreadsheets and source data), CLUSTER_ALLPAYOR_20042002_DISCHARGES_BYDRG_HCUPnet.xls 9. AR 1-10, (DHA Disclosure (CD) 060208\Discovery\spreadsheets and source data), CLUSTER_ALLPAYOR_20042002_DISCHARGES_BYDRG_HCUPnet.xls 10. AR 1-10, (DHA Disclosure (CD) 060208\Discovery\attachments), Tax amounts 3.41 SFY 2007.xls	1. Raw MCR data received from AHD for SFY2000 - 2007 2. FPL Data from CPS 3. Raw CMI Data for FY00 - 05 from AHD 4. Uninsurance Rate data from CPS 5. Wage Index data from CMS 6. Hospital Market Basket Index from Global Insights 7. AHD and State Health Facts data which produces Cluster 2 8. Distribution of services by DRG (All-Payer CMI Calc) from HCUP 9. Medicare DRG relative weights from CMS 10. 2007 Maine Hospital Tax – Maine taxation began in 2004 and only Maine data available at hospital level
2. All programs and queries used to transform the source data sets into the files used in the regression analysis for savings related to cost per CMAD. Please include reference to any information regarding the exact order in which these steps could be followed by someone wishing to replicate the calculations, including all steps related to:	1. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, sschramm080519 2. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_ProvNumber_LookupTable 3. AR 4-65 (DHA Exhibit 3) dha_dataset_20.mdb, Sschramm080417_cmi (table) 4. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, tbl_CMI Master_v1 5. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_FFY06 CMI	1. Raw data from AHD – import into Access (dha_dataset_20.mdb, table named Sschramm080519) 2. Creates provider lookup table 3. Original CMI table received from AHD 4. Copy of original CMI table 5. Pulls FFY06 CMI off of AHD dataset

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	<p>6. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_append 06 to CMI 7. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_FF07 CMI 8. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_append 07 to CMI 9. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Missing CMI_01 10. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Missing CMI_02 11. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Missing CMI_03 12. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Missing CMI_04</p> <p>13. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Missing CMI_05 14. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Missing CMI_06 15. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Missing CMI_070</p> <p>16. AR 4-65, (DHA Exhibit 3), data set _23.xls AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb 17. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, CMI_from Excel (table) 18. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_New CMI Master_01</p> <p>19. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_New CMI Master_02</p> <p>20. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_New CMI Master_03</p> <p>21. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_New CMI Master_04</p> <p>22. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_CMI_01</p> <p>23. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_CMI_02 24. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_CMI_03 25. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_CMI_04 26. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_CMI_05 27. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, tbl_HMBI 28. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_HMBI_01 29. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_HMBI_02 30. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_HMBI_03 31. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SF0 Adj_01 32. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SF0 Adj_02 33. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SF0 Adj_03 34. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SF0 Adj_04 35. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SF0 Adj_05</p> <p>36. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SF0 Adj_06</p> <p>37. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Data 38. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SF0 Adj_07</p> <p>39. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SF0 Adj_08</p>	<p>6. Appends FY06 CMI to tbl_CMI Master_v1 7. Pulls FF07 CMI off of AHD dataset 8. Appends FY07 CMI to tbl_CMI Master_v1 9. Adds facility information to CMI table 10. Determines first and last year of MCR data 11. Determines first and last year of CMI data 12. Shows hospitals and time periods of missing data 13. Removes hospitals with no CMI data at all 14. Arrays CMI in columns 15. Shows missing years and all other CMI data (export to Excel) 16. Fills in holes in CMI data</p> <p>17. Result of step 16, imported to Access 18. Adds facility name to CMI data, creates table named tbl_CMI Master_v2 19. Appends missing data created in Excel</p> <p>20. Pulls FY00 CMI data from table</p> <p>21. Appends FY00 CMI data as FY99 data</p> <p>22. Determines which SFY each CMI data point falls into 23. Determines weighting factor 24. Adds pieces from step 23 25. Arrays hospital data into columns 26. Creates tbl_Hospital CMI Lookup 27. Table containing HMBI data 28. Updates HMBI data 29. Arrays HMBI into columns 30. Creates tbl_HMBI Lookup 31. Creates master list of MCR/SFY combinations 32. Determines which MCRs span a given SFY 33. Determines weighting to be applied 34. Calculates total SFY days covered by MCRs 35. Calculates adjustment to make data one full year (not FY07) 36. Combines steps 33 and 35 into one adjustment 37. Pulls all necessary data from raw AHD data 38. Brings in SFY and increases records so all necessary MCR pieces are present 39. Brings in SFY adjustment factor</p>

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	<p>40. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SFY Adj_09</p> <p>41. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SFY Adj_10</p> <p>42. AR 4-65, (DHA Exhibit 3), Cluster Results.xls, tab Numbers </p> <p>43. AR 1-10, (DHA Disclosure (CD) 060208\Discovery\spreadsheets and source data), CLUSTER_ALLPAYOR_20042002_DISCHARGES_BYDRG_HCUPnet.xls, tab Summary </p> <p>44. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SFY Adj_11</p> <p>45. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Statewide CMI_01</p> <p>46. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Statewide CMI_02</p> <p>47. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Statewide CMI_03</p> <p>48. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SFY Adj_12</p> <p>49. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SFY Adj_13a</p> <p>50. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SFY Adj_13b</p> <p>51. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_CMAD Lookup Table</p> <p>52. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SFY Adj_14</p> <p>53. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SFY Adj_15</p> <p>54. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SFY Adj_16</p> <p>55. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Discharge Lookup Table</p> <p>56. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SFY Adj_17</p> <p>57. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_SFY Adj_18</p> <p>58. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Master CMAD Table_01</p> <p>59. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Master CMAD Table_02</p> <p>60. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Hospital ID Lookup</p> <p>61. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Combine SFYs_01</p> <p>62. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Combine SFYs_02</p> <p>63. AR 4-65, (DHA Exhibit 3), dha_datases_20.mdb, qry_Combine SFYs_03</p> <p>64. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Final Hospital Deliverable</p> <p>65. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Check for Holes_01</p> <p>66. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Check for Holes_02</p> <p>67. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Check for Holes_03</p> <p>68. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Check for Holes_04</p>	<p>40. Adjusts data to SFY basis</p> <p>41. Sums data to combine into SFYs</p> <p>42. Perform Cluster analysis to determine states appropriate for All-Payer CMI adjustment</p> <p>43. Compute All-Payer CMI to Medicare CMI factor</p> <p>44. Brings in CMI and applies All-Payer conversion factor, calculates CMAD</p> <p>45. Aggregates state-level discharges and case mix adjusted discharges</p> <p>46. Calculates Statewide CMIs</p> <p>47. Creates tbl_Statewide CMI Lookup</p> <p>48. Adds Statewide CMI to use if need be, calculates cost per CMAD</p> <p>49. Pulls cost per CMAD numbers for SFY04 and SFY06</p> <p>50. Arrays cost per CMAD numbers in columns</p> <p>51. Creates tbl_CMAD Lookup Table</p> <p>52. Brings in HMBI, calculates expected 2006 CMAD and Rate Over Inflation</p> <p>53. Shows time period we must create</p> <p>54. Arrays SFY discharges into columns</p> <p>55. Creates discharge lookup table</p> <p>56. Calculates 2005 to 2006 discharge trend</p> <p>57. Creates missing SFY07 data</p> <p>58. Creates tbl_CMAD Master_01</p> <p>59. Appends missing SFY07 data to tbl_CMAD Master_01</p> <p>60. Creates tbl_Hospital ID Lookup (then use Autonumber to create ID)</p> <p>61. Pulls tbl_CMAD Master_01, arrays by facility and SFY</p> <p>62. Brings in hospital ID, sums by facility and SFY</p> <p>63. Calculates new CMAD based on step 61</p> <p>64. Creates tbl_Hospital Data</p> <p>65. Creates master list of hospitals and SFYs</p> <p>66. Finds min and max of SFY for each hospital</p> <p>67. Determines holes in dataset</p> <p>68. Master list of missing SFY records</p>

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	<p>69. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, tbl_Hospital Data_02</p> <p>70. AR 4-65, (DHA Exhibit 3), dha_dataset_24.xls</p> <p>71. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, tbl_Hospital Data_Update</p> <p>72. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Append Hospital Data</p> <p>73. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_FINAL FINAL Hospital Table_01</p> <p>74. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_FINAL FINAL Hospital Table_02</p> <p>75. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_FINAL FINAL Hospital Table_03</p> <p>76. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_FINAL FINAL Hospital Table_04</p> <p>77. qry_FINAL FINAL Statewide Data_01</p> <p>78. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_FINAL FINAL Statewide Data_02</p> <p>79. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_FINAL FINAL Statewide Data_03</p> <p>80. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_FINAL FINAL Statewide Data_04</p> <p>81. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_FINAL FINAL Statewide Data_05</p> <p>82. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, CPS Regression Variables_Race Refined_Export_percent.xls, tab Sheet 1 </p> <p>83. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, CPS Regression Variables_Race Refined_Export_percent.xls, tab Thorpe Vars </p> <p>84. AR 1-10, (DHA Disclosure (CD) 060308\Discovery\spreadsheets and source data), CPS Uninsured Table.xls, tab 2007 </p> <p>85. AR 1-10, (DHA Disclosure (CD) 060208\Discovery\spreadsheets and source data), CMS_IMPORTED_WAGE_INDEX_1983_2007_STATE_KRE.xls, tab 1983-2007 </p> <p>86. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_crostab_Statewide CMAD</p> <p>87. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_crstab_CMAD State rename</p>	<p>69. Copy of tbl_Hospital Data</p> <p>70. Fill in missing holes in data</p> <p>71. Data from step 70, imported into Access</p> <p>72. Appends data from step 71 to tbl_Hospital Data_02</p> <p>73. Creates tbl_FINAL Hospital Data from tbl_Hospital Data_02, excludes data points where cost per CMAD number is null, 0, or greater than 20,000</p> <p>74. Pulls numbers from tbl_Hospital Data_02 that have cost per CMADs of null, 0, or greater than 20,000</p> <p>75. Brings in Statewide cost per CMAD numbers from those in step 74, recalculates discharges</p> <p>76. Appends data from step 75 to tbl_FINAL Hospital Data</p> <p>77. Calculates various discharge figures for each hospital (CMAD, Rural, Teaching, Critical Access)</p> <p>78. Sums discharge figures</p> <p>79. Calculates State-level CMI and Rural/Urban, Teaching, and Critical Access Indicators</p> <p>80. Brings in State-level cost and charge data, calculates cost per CMAD</p> <p>81. Creates tbl_FINAL Statewide Data</p> <p>FPL</p> <p>82. Standardize data to match Maine SFY</p> <p>83. Arrange data vertically to match other sources</p> <p>Uninsurance</p> <p>84. Standardize data to match Maine SFY and compute missing data</p> <p>Wage Index</p> <p>85. Standardize data to match Maine SFY and compute missing data</p> <p>Clustering</p> <p>86. Array state CMAD values by SFY</p> <p>87. Rename values in arrayed CMAD to allow for linking</p>

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	<p>88. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_crostab_Disch CMAD</p> <p>89. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_crstab_Disch State rename</p> <p>90. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, qry_Base CMAD</p> <p>91. AR 4-65, (DHA Exhibit 3), dha_dataset_28.xls, tab Cluster 1 </p> <p>92. AR 4-65, (DHA Exhibit 3), dha_dataset_28.xls, tab Cluster 1 </p> <p>93. AR 4-65, (DHA Exhibit 3), dha_dataset_28.xls, tab Cluster 1 </p> <p>94. AR 4-65, (DHA Exhibit 3), dha_dataset_28.xls, tab Cluster 1 </p> <p>95. AR 4-65, (DHA Exhibit 3), dha_dataset_28.xls, tab Numbers </p> <p>96. AR 4-65, (DHA Exhibit 3), dha_dataset_28.xls, tab Summary </p> <p>97. AR 4-65, (DHA Exhibit 3), CPS Export to Access.xls, tab Sheet1 </p> <p>98. AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb, CPSdata</p> <p>99. AR 4-65, (DHA Exhibit 3), Data_US Hos.xls Dataset</p> <p>100. AR 4-65, (DHA Exhibit 3), dha_dataset_21.xls AR 4-65, (DHA Exhibit 3), dha_dataset_20.mdb</p> <p>101. AR 4-65, (DHA Exhibit 3), Data_Cluster 1.xls</p> <p>102. AR 4-65, (DHA Exhibit 3), Data_Cluster 2.xls</p>	<p>88. Array state discharge values by SFY</p> <p>89. Rename values in arrayed discharges to allow for linking</p> <p>90. Uses previous two queries to compute average CMAD value by state</p> <p>91. Link MCR data with wage data and average CMAD, paste specified variables into Excel and index weight values</p> <p>92. Perform Cluster Analyses on data and graph results</p> <p>93. Group states most common to clustering output</p> <p>94. Check for and omit states for exhibiting outlying values</p> <p>95. Perform cluster analyses on data from hybrid rollup.xls</p> <p>96. Summarize variables used in cluster and display common states for Cluster 2</p> <p>Regression Data</p> <p>97. Combine FPL, Uninsurance, and Wage data into one dataset</p> <p>98. Table within Access database which contains FPL, Uninsurance, and Wage data</p> <p>99. Link CPSdata table to tbl_FINAL Hospital Data specifying variables, paste into Excel and add indicator values</p> <p>100. If outliers are present within tbl_FINAL Statewide Data, the hospital data for that state is checked and adjustments are made to raw data, reflected in Access table named Sschramm080519 and the process is rerun from the beginning so changes flow through.</p> <p>101. Link CPSdata table to tbl_FINAL Statewide Data specifying states from step 94 and variables, paste into Excel and add indicator values</p> <p>102. Link CPSdata table to tbl_FINAL Statewide Data specifying states from step 96 and variables, paste into Excel and add indicator values</p>

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	<p>103. AR 4-65, (DHA Exhibit 3), S+ Output_US Hos.txt AR 4-65, (DHA Exhibit 3), S+ Output_Cluster 1.txt AR 4-65, (DHA Exhibit 3), S+ Output_Cluster 2.txt</p> <p>104. AR 4-65, (DHA Exhibit 3), CMAD Analytics_update_052408_KRE_full.xls</p> <p>105. AR 4-65, (DHA Exhibit 3), dha_dataset_28.xls</p> <p>106. AR 4-65, (DHA Exhibit 3), CBR.xls, tab CAID OP </p> <p>107. AR 4-65, (DHA Exhibit 3), CBR.xls, tab CAH </p> <p>108. AR 4-65, (DHA Exhibit 3), ME_Dirigo_AMCSYr4_CMAD_060108.xls ,tab National </p> <p>109. AR 4-65, (DHA Exhibit 3), ME_Dirigo_AMCSYr4_CMAD_060108.xls ,tab Cluster </p> <p>110. AR 4-65, (DHA Exhibit 3), US Hos_Adjusted_Data AR 4-65, (DHA Exhibit 3), US Hos Output AR 4-65, (DHA Exhibit 3), Results AR 4-65, (DHA Exhibit 3), Cluster Output AR 4-65, (DHA Exhibit 3), Cluster 1_Adjusted_Data</p>	<p>Regression Analysis 103. Import data from steps 99, 101, and 102 into S-Plus, input interactions, run regression, and analyze output</p> <p>104. Diagnostic plots and analysis of variables and results</p> <p>Reasonableness of OLS 105. Mixed Effects output</p> <p>Cost-Based Reimbursement 106. Calculate discharges associated with volume from SFY07 Non-CAH outpatient and outpatient ancillaries 107. Calculate discharges associated with volume from SFY07 CAH</p> <p>Savings 108. Bring in regression results from 103 and perform savings calc and apply cost-based reimbursement savings reduction 106 and 107</p> <p>109. Bring in regression results from step 103 and perform savings calc and apply cost-based reimbursement savings reduction from steps 106 and 107</p> <p>Reasonableness 110. Adjust data to account for abnormal values and run adjusted data in S-Plus.</p>
a. Testing for data quality problems	Step 100 (Steps refer to Response to Question 2 above) AR 2-60 p. 148-150 AR 1-10 (DHA Disclosure 060308) D:\Discovery\spreadsheets and source data\CMAD Analytics_update_052408_KRE_full_NYAK.xls	MCR Data Reasonableness AHD Transcription Audit Outlier Analysis
b. Steps taken to edit and/or remove observations, fields, or other information from the source files (e.g., anomalous values) and whether and how retention of anomalous values were assessed for their impact on the results	Steps 65-72 Step 100 Step 84 Steps 9-21 Step 85 AR 4-65, (DHA Exhibit 3), US Hos_Adjusted_Data.xls	Missing MCR Data Inaccurately Reported MCR Data Missing Uninsurance Rate Data Missing CMI Data Missing Wage Index Data Intervenor US Hospital Data Issues Fixed

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	AR 4-65, (DHA Exhibit 3), Cluster 1_Adjusted_Data.xls AR 4-65, (DHA Exhibit 3), US Hos Output.txt AR 4-65, (DHA Exhibit 3), Cluster Output.txt	Intervenor Cluster 1 Data Issues Fixed US Hospital Output Intervenor Data Issues Fixed Cluster 1 Output Intervenor Data Issues Fixed
c. Steps taken to calculate values from the raw source information (for example, demonstrate whether and how hospital tax, physician practice costs, etc. were removed from the MCR data)	Step 37 AR 2-60 p. 114-115 ln. 19-25, 1-5, No adjustment necessary AR 2-60 p. 115 ln. 6-9, No adjustment required – included as subset of Step 37 AR 2-60 p. 114 ln. 22-23, No adjustment – Home Health is excluded from worksheet C Step 37 AR 2-60 p. 115 ln. 13-19, No adjustment – further adjustment will increase savings as in past years Step 37 AR 2-60 p. 115 ln. 10-12, No adjustment – see CAHC CMAD Yr.4 argument at Superintendent hearing Step 43 Steps 106 and 107 Steps 86-96	Psych Hospitals and Rehab Hospitals Bad Debt Swing Beds Home Health Nursing Facilities Hospital Tax Skilled Nursing Facilities Hospital-Owned Physicians All-Payer CMI Adjustment Cost-Based Reimbursement Adjustment Cluster Analyses
d. Steps taken to impute, aggregate, or otherwise transform the source data into the analytical data sets.	Steps 31-36, 38-41, 44-48 Steps 27-30, 49-57 Steps 58-64, 73-81 Steps 58-64, 73-81 Step 82 Step 85 Step 84	MCR Fiscal Year Adjustment MCR 2007 Trending MCR CMAD Calculation MCR Virtual Hospital Aggregation FPL Fiscal Year Adjustment Wage Index Fiscal Year Adjustment Uninsurance Rate Fiscal Year Adjustment
3, All programs used to perform the regression analysis, including:	N/A N/A N/A N/A	Microsoft Excel Microsoft Access S-Plus 8.0 CPS Dataferrett
a. Explanation of the reasoning and/or theory behind the selection of variables, the use of Ordinary Least Squares vs. other regression models that could have been chosen.	AR 2-60 p. 58-69 Verbal Correspondence with Dr. Thorpe on merits of other approaches (not in record) and Step 105	Variable Selection OLS Selection
b. Explanation of diagnostic tests run on the regression results to test for failures in the assumptions underlying the form of regression model chosen and the reasoning for addressing or ignoring any such failures	Step 104 Step 104 Step 104 Step 104	Variable Transformation: CMAD vs. Independent Var Plot, Residuals vs. Independent Var Plot Heteroskedasticity: Residuals vs. CMAD Plot Multicollinearity: Independent Var vs. Independent Var Plot, Correlation Matrix Variable Selection: Correlation Matrix
c. Those regression specifications that were run but not presented in the report and the reasons for not including them in the report	Step 105 AR 1-10 (DHA Disclosure 060308) D:\Discovery\spreadsheets and source data\CMAD Analytics_update_052408_KRE_full_NYAK.xls	Mixed Effects – reinforces significance of key MDY interaction variable – not reported in report because only used as reasonableness check Removal of states with extreme CMAD values – not included in report due to minor impact on results

Question	Citations in Record	Summary Response
4. Statistical tests performed to test the significance of regression results and the analyst's conclusion about the importance of those tests and their impact on the interpretation of the results	AR 1-18 D:\DHA Exhibit 11.pdf AR 1-18 D:\DHA Exhibit 11.pdf AR 1-18 D:\DHA Exhibit 11.pdf AR 1-18 D:\DHA Exhibit 11.pdf AR 1-18 D:\DHA Exhibit 11.pdf AR 1-18 D:\DHA Exhibit 12.pdf AR 1-18 D:\DHA Exhibit 12.pdf AR 1-18 D:\DHA Exhibit 12.pdf AR 1-18 D:\DHA Exhibit 12.pdf AR 1-18 D:\DHA Exhibit 12.pdf AR 1-18 D:\DHA Exhibit 12.pdf Step 105	US Hospital Regression Interpretation US Hospital Residuals US Hospital Coefficients US Hospital t-values US Hospital R^2 Cluster 1 Regression Interpretation Cluster 1 Residuals Cluster 1 Coefficients Cluster 1 t-values Cluster 1 R^2 Mixed effects check (\$178 M) reinforces results
For any statistical critiques leveled at the analysis presented in srHS report, please point to those places in the record where your consultants adjusted for these criticisms (heteroscedasticity, autocorrelation, correction for omitted variables bias, logging the dependent variable, recalculation of the CMAD formula to match the most recent statutory definition, etc.) and re-presented adjusted results.		
Is there any evidence in the record that demonstrates how and whether cost per CMAD might change had Dirigo used the statutory formula?		
Please identify in the record the findings/compilations regarding the other states, approximately 29, that showed Dirigo savings.		
<u>Uninsured Initiatives</u>		
In order requested, please point to the record where each of the following can be found. In those cases where the information in question is not in the record, please point to those places in the record which explain why the requested information is not in the record, or failing that, please indicate explicitly that the information is not in the record. In the responding to this request, please bear in mind that your answer to the greatest extent possible, given what has been placed on the record, should provide a clear path for someone reviewing the record and attempting to replicate the findings presented in srHS report.		
1. All source data sets used as a basis for the calculations estimated AMCS related to voluntary reductions Bad Debt and Charity Care.	AR 4-65, (DHA Exhibit 3), dha_dataset_08.dta through dha_dataset_16.dta	March Supplement to the Current Population Survey (CPS) 1999-2007 (State Date File) Survey, used to populate dha_worksheet_01.xls, tabs figure_1, uncomp calcs, table_1, table_2, found in AR 1-10, (DHA Disclosure (CD) 060208\Report and Supporting Documentation) and used to populate the regression documented in dha_predicting_uninsured_00_07.log found in AR 1-18, (DHA Exhibit 3)
	AR 4-65, (DHA Exhibit 3), dha_document_49.pdf	CMS National Health Expenditure Data 2006 Projections used to populate dha_worksheet_01.xls, tab table_2, found in AR 1-10, (DHA Disclosure (CD) 060208\Report and Supporting Documentation)

Question	Citations in Record	Summary Response
	AR 4-65, (DHA Exhibit 3), dha_document_48.pdf	CMS National Health Expenditure Data 2007 Projections used to populate dha_worksheet_01.xls, tab table_2, found in AR 1-10, (DHA Disclosure (CD) 060208\Report and Supporting Documentation)
	AR 4-65, (DHA Exhibit 3), dha_document_12.pdf, p. 6 & 8	Thorpe, Ken. "Paying A Premium: The Added Cost of Care for the Uninsured" (Families USA 2005) used to populate dha_worksheet_01.xls, tab uncomp calcs, found in AR 1-10, (DHA Disclosure (CD) 060208\Report and Supporting Documentation)
	AR 4-65, (DHA Exhibit 3), dha_dataset_07.dta	Medical Expenditures Panel Survey (MEPS) Data Set used to populate dha_worksheet_01.xls, tab uncomp calcs, found in AR 1-10, (DHA Disclosure (CD) 060208\Report and Supporting Documentation)
	AR 4-65, (DHA Exhibit 3), dha_predicting_uninsured_00_07.log	Regression Log used to populate dha_worksheet_01.xls, tab table 1, found in AR 1-10, (DHA Disclosure (CD) 060208\Report and Supporting Documentation)
2. All programs and queries used to transform the source data sets into the files used in the regression analysis for savings related to Bad Debt and Charity Care. Please include reference to any information regarding the exact order in which these steps could be followed by someone wishing to replicate the calculations, including all steps related to:		
a. Testing for data quality problems	AR 4-76, (DHA Exhibit 14), Dr. Thorpe CV p. 7, publication 42 AR 4-65, (DHA Exhibit 3), dha_document_12.pdf	The national data used in the model (listed in #1) tested and proven over multiple studies (including <i>Paying a Premium and Covering Uninsured Children and Their Parents: Estimated Costs and Number of Newly Insured</i>).
b. Steps taken to edit and/or remove observations, fields, or other information from the source files c. Steps taken to calculate values from the raw source information	AR 4-65, (DHA Exhibit 3), Dirigo_predicting_uninsured_00_07.log	Refer to log file for steps summarized below (Note: must print log file to see page numbers): Fields are created on p.1-5:

Question	Citations in Record	Summary Response
<p>d. Steps taken to impute, aggregate, or otherwise transform the source data into the analytical data sets</p>		<ol style="list-style-type: none"> 1. Keep variables needed for the analysis (p. 1) and keep only persons Under 65 2. Identify children and adults to link Health insurance units (HIU) (p. 1) 3. HIU level Variables: (p. 2) 4. Age Groups: (p. 2) 5. Age Groups: Adults (over 19) and children (under 19) (p. 2) 6. Race/ethnicity Groups (p. 2) 7. Metro area (p. 3) 8. Marital Status – Adults (p. 3) 9. Marital Status of parents - Children (p. 3) 10. Education - Adults (p. 3) 11. Education - Children (p. 3) 12. Worker -Adults (p. 3) 13. Worker- Children - At least one worker in HIU (p. 3) 14. Full-Time Status - Adults (p. 3) 15. Full-Time Status of parent - Children (p. 3) 16. Firm Size –Adults (p. 4) 17. Firm Size – Parents of children (p. 4) 18. Define Uninsured Using CPS Methodology and Recodes (p. 4) 19. Covered and noins (no insurance) (p. 4) 20. Disabled (p. 4) 21. Relative Poverty Status (p. 4) 22. Family Income Levels (p. 4) 23. Medicaid eligibility (p. 5) <p>Variables are kept for analysis on (p. 5)</p> <p>Data is appended and summed on (p. 12) Append all CPS subsets for 2000-2007 and sum based on variables needed for analysis above.</p> <p>Regression output is on the following pages: National Level Data: pp. 29 – 34 and predicted uninsurance rates for 2004 to 2007 p. 47 Northeast Data: pp. 34 – 39 and predicted uninsurance rates for 2004 to 2007 p. 49 Maine Data: pp. 39 – 44 and predicted uninsurance rates for 2004 to 2007 p. 50</p>
<p>3. All programs used to perform the regression analysis,</p>	<p>N/A</p>	<p>Microsoft Excel</p>

Question	Citations in Record	Summary Response
including:	N/A	Stata
a. Explanation of the reasoning and/or theory behind the selection of variables, the use of Ordinary Least Squares vs. other regression models that could have been chosen.	AR 4-65, (DHA Exhibit 3), dha_document_12.pdf, p.23-34 AR 1-10, (DHA Disclosure (CD) 060208\Report and Supporting Documentation), dha_document_01.pdf, p.77-79 AR 3-61, (Hearing Transcript – Day 2), p. 263 (rows 16-22)	Form of regression model
	AR 1-10, (DHA Disclosure (CD) 060208\Report and Supporting Documentation), dha_document_01.pdf, p.77-79 AR 3-61, (Hearing Transcript – Day 2), p. 263 (rows 23-25), p. 264 (rows 1-7)	Standard set of variables used in health insurance demand models.
	AR 3-61, (Hearing Transcript – Day 2), p. 266 - p. 269 AR 1-10, (DHA Disclosure (CD) 060208\Report and Supporting Documentation), dha_document_01.pdf, p.68	Selection of states
b. Explanation of diagnostic tests run on the regression results to test for failures in the assumptions underlying the form of regression model chosen and the reasoning for addressing or ignoring any such failures.	AR 4-65, (DHA Exhibit 3), dha_document_12.pdf, p.23-34 AR 4-65, (DHA Exhibit 3), dha_document_12.pdf, p. 29, Endnote 2 (<i>It's the Premiums, Stupid: Projections of the Uninsured through 2013</i>)	Sample size (800+) and conformity of regression output to previously published research on uninsurance in addition to reasonable statistics (i.e. standard errors, MSE) validates the empirical methodology used in the analysis.
c. Those regression specifications that were run but not presented in the report and the reasons for not including them in the report.	AR 4-65, (DHA Exhibit 3), FE_ and_premium.txt	Evaluated specifications using premium (included within record), share of health care spending in state's GDP (not in record), year and state fixed effects (not in record), these specifications rejected - they performed substantially worse, generating out of sample predictions.
4. Statistical tests performed to test the significance of regression results and the analyst's conclusion about the importance of those tests and their impact on the interpretation of the results	AR 4-65, (DHA Exhibit 3), dirigo_predicting_uninsured_00_07.log	Regression statistics evaluated in log file (included within record) and randomly split estimated samples in 2 halves (not included in record).
Is there any quantified analysis in the record that supports an additional explanation for the reported decline in the rate of uninsurance in Maine from 1999-2006 besides the following offered explanations: 1. MaineCare expansion of non-categorical adults 2. MaineCare expansion of adults >150% of FPL 3. Dirigo enrollment of previously uninsured 4. Global impacts of Dirigo initiative		