



Statewide Planning and Research Cooperative System (SPARCS)

Quarterly Submitter Forum
April 30, 2026

Thank you for joining today's webinar!
Please mute your phones. We will begin shortly.

Agenda

❑ Open Discussion

- Validation Manager Update
- SPARCS Edits
- Reminders

❑ SPARCS Compliance Updates

- Reminder About Personally Identifiable Information
- SPARCS Compliance Heat Map and Reconciliation Report

❑ SPARCS Intake Updates

- Biannual Security Assessment
- Submission Companion Guide v3.0

❑ Reference Section:

- SPARCS Support
- Reminders
- Q&A



Open Discussion

Open Discussion – Validation Manager Updates

❑ The following updates have been made to the Validation Manager

- HCPCS codes effective 7/1/2026 were updated in the Validation Manager the evening of 7/16/2026.
 - Any records that were previously rejected incorrectly can be resubmitted.
- POA Edit P2242070 description, “SPARCS: Present on Admission Indicator is required for this diagnosis code” will be updated starting tomorrow, to include the diagnosis code.
- Race and Ethnicity Codes – Updated to latest version from CDC. While there are no updates to Ethnicity codes, there are updates to the Race codes.

Open Discussion – Edits

❑ Below are 5 edits that continue to be in the top 10 errors for last quarter:

ERROR_CODE	ERROR_DESCRIPTION	EXPLANATION
N0003	An injury diagnosis code was submitted. A cause of injury diagnosis code is required but not present	There are certain injury diagnosis codes that need to be reported with the cause of the injury. If the cause of injury code is not billed, the record will be rejected with this edit. The list of injury diagnosis codes and cause of injury diagnosis codes can be found here: https://www.health.ny.gov/statistics/sparcs/submission/
N0002	A cause of injury diagnosis was submitted. A place of injury diagnosis code is required but not present	There are certain cause of injury diagnosis codes that require the place of injury diagnosis code to be present in the record. If the place of injury code is not included, the record will be rejected with this edit. These can be found here: https://www.health.ny.gov/statistics/sparcs/submission/
H10904	Number of included segments '%d' as indicated in SE01 does not match actual segment count 'xx'	The SE01 segment doesn't match the count of total number of lines from SE to the SE segments. The "Transaction Segment Count" (SE01) must match the actual count of segments in the file
H10023	Unexpected segment..	Segments must follow the X-12 Health Care Service: Data Reporting (837R) format/guide. Implementation Guides are available at: Home X12
H20205	Incomplete Loop (%n). Missing Segment.	This error can occur on different loops. The error means a required element is missing. Example: If a patient address is incomplete, the error description would be: Incomplete loop (2010CA). Missing HIPAA-required N3 (Patient Address).

Open Discussion – Edits

❑ We are working to provide better descriptions for the edits. Below are 5 of the top 10 most triggered edits.

ERROR_CODE	ERROR_DESCRIPTION	EXPLANATION
H11204	X12 Syntax - Code Value '%d' not used for element '%si - %i'.	An invalid qualifier used within an element. This error can occur in different segments. Example for an invalid value in the Principal Diagnosis code segment, the description would be: X12 Syntax - Code Value 'E' not used for element 'Principal Diagnosis - Yes/No Condition or Response Code'.
P2242038	SPARCS: The value of '%d' is not a valid New York County Code.	New York county codes must be provided. Please refer to SPARCS Transaction Information Companion Guide X12 Version 5010 and SPARCS to FIPS County Code Map for additional information.
P2242041	SPARCS: An Ethnicity Code was expected but not found.	SPARCS expects to receive a minimum of 2 iterations. One with the race code and a second with the ethnicity code. Note: the "R" or "E" at the beginning of each code must be capitalized. SPARCS currently supports CDC Race and Ethnicity Code System v. 1.0.
P2242051	SPARCS: Service Line Procedure Code (SV2-02) must be used because this Claim is for Outpatient Services.	Outpatient claims require procedure codes. Please ensure that all outpatient claims have a procedure code for each service line.
P2242037	SPARCS: The County Code is required when the subscriber resides in the state of New York.	New York county codes must be provided. Please refer to SPARCS Transaction Information Companion Guide X12 Version 5010 and SPARCS to FIPS County Code Map for additional information.



Open Discussion – Reminders

- If your facility receives a SPARCS letter regarding non-compliance:
 - Check your system to see if there were any records that were rejected. If there are, please correct and resubmit.
 - Please remember that you can view files submitted on the SPARCS Portal for 60 days from submission.
- As best practice users should:
 - Correct any records that rejected at the time of file submission. You can find more information on how to find file and record rejections in the [SPARCS Portal User Guide](#) section 5.
 - Confirm files were processed in the SPARCS Portal. You can find more information on how to find file rejections in the [SPARCS Portal User Guide](#) section 6.
 - Log into the SPARCS Portal the day after file submission to validate the records were accepted into the SPARCS database. You can find more information on how to find record rejections in the [SPARCS Portal User Guide](#) section 7.

Open Discussion – Reminders

- ❑ **Facilities/Vendors should notify DOH @ sparcs.submissions@health.ny.gov of any contact, phone and email changes**
 - Some email systems have spam filters that reject emails from SPARCS.
 - Add sparcs.submissions@health.ny.gov to your contacts to avoid missing any communications from DOH.
- ❑ **Do not share your user ID or password with anyone.**
 - Each submitter should be provisioned with their own user account with individual email for security authentication.
 - Protect your credentials to maintain system security and compliance.
- ❑ **Log in to both the portal and the Optum Customer Care HUB at least once every 30 days.**
 - Failure to do so will result in your access being suspended and requiring reactivation.
 - If your access is suspended, you must contact DOH @ sparcs.submissions@health.ny.gov to be reactivated which can take days to reactivate. – Do NOT open an OPTUM Helpdesk ticket.
- ❑ **Link: [SPARCS Portal User Guide](#)**



**Department
of Health**

SPARCS Compliance Updates

Janet Nguyen, MBA, CCS, CPC

APRIL 30, 2026 | SPARCS SUBMITTER FORUM

SPARCS Reminder About PII

- Never send PII to DOH or Optum in emails, compliance tickets, or help desk tickets.
- Facilities must remain vigilant in protecting patient privacy by complying with X12 standards as designed.
- Facilities must never include personal identifying information (PII) in any field that does not explicitly require it.
- Patient or Subscriber first and last name, date of birth, social security number, or address must not be included in any field that is not designed to receive it.
- Examples of fields where facilities have exposed PII by submitting it inappropriately include:
 - PAYR_NAME (payor name)
 - PAYR_ID (payor ID)
 - PAT_GRP_NUMB (patient group number)
 - POL_NUMB (policy number)
 - MED_REC_NUMB (medical record number)
 - PAT_CTRL_NUMB (patient control number)

SPARCS Reminder About PII

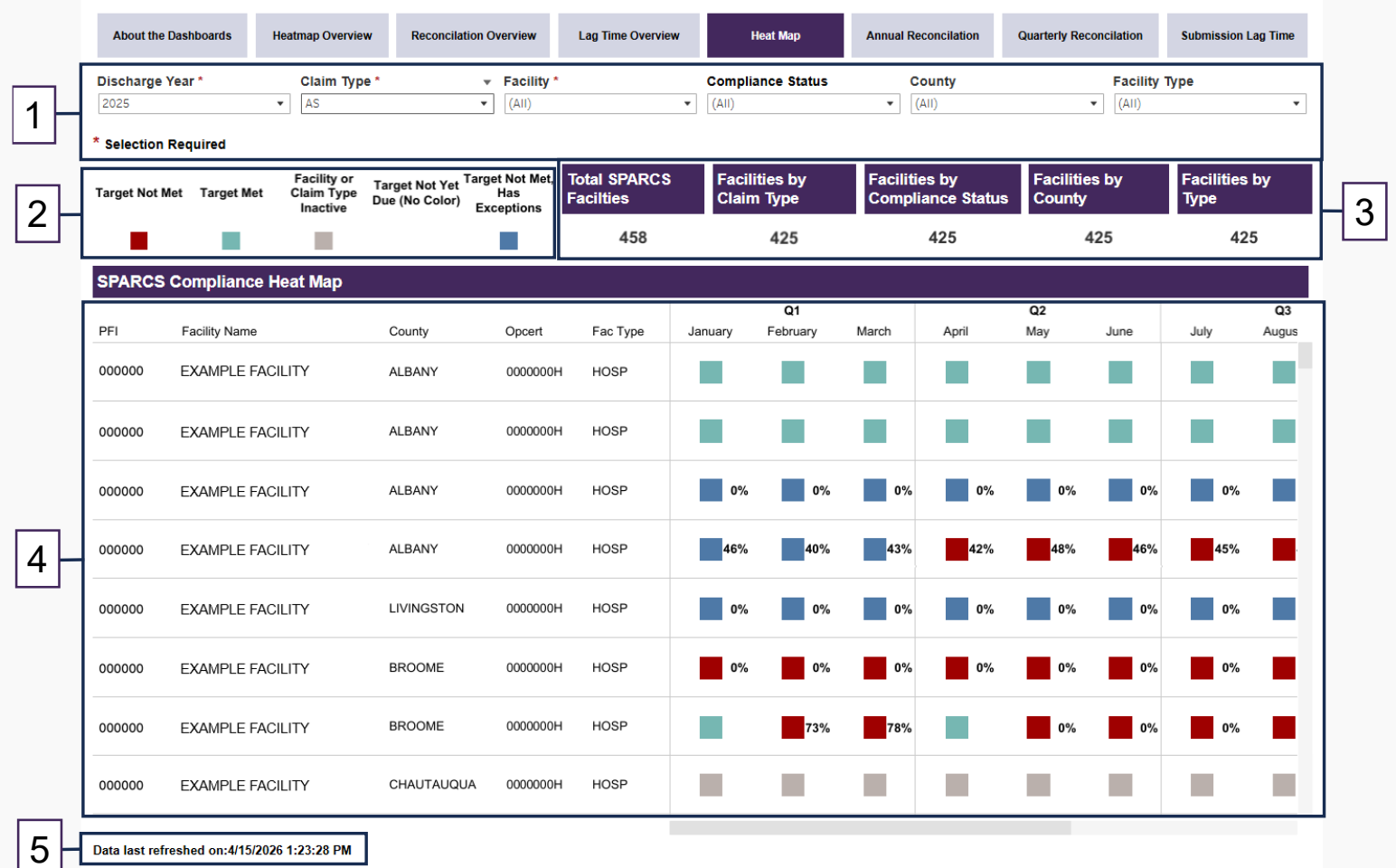
- New [SPARCS PII Loops and Segments Guidance](#) spreadsheet has been published to specify which 837R claim transaction loops and segments are not designed to receive PII. There are two separate tabs in the guidance for facility review:
 1. ERRONEOUS PII Fields: 837R fields that are not designed to receive PII, but where facilities have submitted PII in error.
 2. Expected PII Fields: 837R fields that are designed to receive PII. The data in these fields are used in the new SPARCS internal redaction process to protect PII if it is submitted in any of the erroneous fields.
- Facilities should use the [SPARCS PII Loops and Segments Guidance](#) to identify the applicable fields for review of their data entry and submission processes to ensure adherence to the [SPARCS Transaction Information Companion Guide](#) instructions.
- SPARCS program is aware of certain payers using social security number to identify patient or member IDs in the fields considered erroneous. Facilities are not expected to modify their business process in cases where payers have assigned IDs by social security number. SPARCS will rely on the internal redaction process to ensure PII data protection.

COMPLIANCE CY2025 ANNUAL RECONCILIATIONS

- [SPARCS Compliance Dashboards](#) launched summer 2025
- SPARCS Compliance Heat Map and Reconciliation Reports coming May 2025
- SPARCS dashboards refreshed every week to provide up-to-date information on submissions compliance and reconciliation for SPARCS records.
- Quarterly Reconciliation Report dashboard will be refreshed weekly also, however the compliance warning notices generated from the reconciliation report will be sent to facilities monthly in accordance with the [SPARCS Data Submission Compliance Protocol](#).

COMPLIANCE HEAT MAP

- Report produced to display compliance and non-compliance status for facilities submitting data.
- The heatmap integrates SPARCS Compliance dashboard metrics with facility information to analyze trends over time, by facility and claim type.
- Dashboard can be viewed by selected discharge year, claim type, and facility



COMPLIANCE RECONCILIATION REPORTS

- Reconciliation reports used to generate annual or quarterly warning notices to facilities that have not met compliance targets.
- Reports showing only facilities that are noncompliant with SPARCS submission metrics.
- Annual reconciliation within a specified discharge year per claim type.
- Quarterly reconciliation within a specified quarter and discharge year per claim type.
- Facilities can use dashboards to identify data shortages for reconciliation by correcting data submissions or compliance exceptions.

[About the Dashboards](#)
[Heatmap Overview](#)
[Reconciliation Overview](#)
[Lagtime Overview](#)
[Heat Map](#)
[Annual Reconciliation](#)
[Quarterly Reconciliation](#)
[Submission Lag Time](#)

1

Discharge Year *
2025

Claim Type

(All)

Facility *

(All)

Discharge Quarter *

Q1

County

(All)

* Selection Required

2

Total SPARCS Facilities

458

Total Reconciliation Facilities

20

Total Reconciliation Facilities by County

20

3

SPARCS Compliance : Quarterly Reconciliation Report

PFI	Facility Name	County	Discharge Month	Discharge Year	Claim Type	Records Loaded	Target	Shortage	Extension Due Date	File Last Submitted	Percent of Prev Yr Avg
000000	EXAMPLE FACILITY	SUFFOLK	February	2025	AS	308	317	9		3/14/2025	73%
			March	2025	AS	332	338	6		5/16/2025	78%
000000	EXAMPLE FACILITY	QUEENS	January	2025	OP	0	1	1			0%
			February	2025	OP	0	1	1			0%
			March	2025	OP	0	1	1			0%
000000	EXAMPLE FACILITY	ERIE	January	2025	AS	0	591	591			0%
			February	2025	AS	0	554	554			0%
			March	2025	AS	0	591	591			0%
000000	EXAMPLE FACILITY	NASSAU	January	2025	AS	577	680	103		9/23/2025	68%

4

Data last refreshed on:4/15/2026 1:23:28 PM

DATA SUBMISSION LAG REPORTS

- Report intended to show timeliness of facility submissions in compliance with SPARCS regulatory requirement to submit all data within 180 days from the end of the month of patient discharge or visit.
- The data is grouped by discharge year, facility, and claim type as a percentage of total records received per discharge month within:
 - 30 days,
 - 60 days,
 - 90 days,
 - 120 days, or
 - 180 days from the end of the discharge month

1

About the Dashboards

Heatmap Overview

Reconciliation Overview

Lag Time Overview

Heat Map

Annual Reconciliation

Quarterly Reconciliation

Submission Lag Time

2

Discharge Year *
2025

Claim Type *
AS

Facility *
(All)

County
(All)

* Selection Required

3

SPARCS Facilities Count by Claim Type

Facilities Submitted within 30 Days of Discharge

Facilities Submitted within 60 Days of Discharge

Facilities Submitted within 90 Days of Discharge

Facilities Submitted within 120 Days of Discharge

Facilities Submitted within 180 Days of Discharge

425

279

377

391

393

394

4

SPARCS Submission Lag Time (by Discharge Year)

Facility ID	Facility	County	Discharge Month year	Records Loaded	Within 30 Days	Within 60 Days	Within 90 Days	Within 120 Days	Within 180 Days
000000	EXAMPLE FACILITY	ALBANY	January 2025	1737	0%	94%	96%	98%	99%
			February 2025	1568	0%	95%	98%	98%	100%
			March 2025	1782	0%	95%	96%	98%	100%
			April 2025	1831	0%	97%	98%	99%	100%
			May 2025	1803	21%	97%	98%	100%	100%
			June 2025	1734	0%	97%	99%	99%	99%
			July 2025	1693	0%	99%	99%	99%	100%
			August 2025	1597	0%	99%	100%	100%	100%
			September 2025	1713	5%	99%	99%	100%	100%
			October 2025	1822	0%	99%	99%	100%	100%
			November 2025	1672	0%	99%	100%	100%	100%
			December 2025	1636	0%	100%	100%	100%	100%
000000	EXAMPLE FACILITY	ALBANY	January 2025	0					
			February 2025	0					
			March 2025	0					
			April 2025	0					
			May 2025	0					
			June 2025	0					
			July 2025	0					
			August 2025	0					
			September 2025	0					
			October 2025	2	100%	100%	100%	100%	100%
			November 2025	0					
			December 2025	0					
000000	EXAMPLE FACILITY	ALBANY	January 2025	1388	47%	57%	97%	97%	98%
			February 2025	1422	34%	98%	99%	99%	99%
			March 2025	1507	93%	99%	99%	99%	99%
			April 2025	1585	99%	100%	100%	100%	100%
			May 2025	1663	98%	100%	100%	100%	100%

Data last refreshed on:4/15/2026 1:23:28 PM

COMPLIANCE QUESTIONS?

SPARCS Compliance Program

New York State Department of Health

Office of Health Services Quality and Analytics

Corning Tower, Empire State Plaza, Albany, NY 12237

[Statewide Planning and Research Cooperative System \(SPARCS\)](#)



Department
of Health



**Department
of Health**

SPARCS Intake Updates

David Marinik and Jay Cole, DPhil

APRIL 30, 2026 | SPARCS SUBMITTER FORUM

SPARCS Biannual Security Assessment

- In early March 2026, an email will be sent to each facility that reports SPARCS data
 - An attached csv spreadsheet will list all current SPARCS contacts and their details
 - The csv can be opened using Excel
- **Every facility MUST:**
 - **Designate one Primary Coordinator and one Backup Coordinator**
 - **Provide the name and contact details of the CEO in case of emergencies**
 - **Designate at least one Submitter who will be responsible for submitting SPARCS data each month (this may be the same as the Primary or Backup Contact, but does not have to be)**

SPARCS Biannual Security Assessment

- Currently, there are several delinquent facility confirmations.
- We ask those facilities for their immediate attention to the requests and several notifications already sent.
- The deadline has past, a process of deactivating all resources from those facilities will begin 05/04/2026.
- Primary and backup coordinators are responsible for confirming the information.
 - **All contacts must be reviewed for changes to name, email, and phone.**

SPARCS Biannual Security Assessment

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W
1	PFI	Facility Name	Address 1	Ad State	City	Zip	Last Name	First Name	Midd Suffix	Title	Phone	Extension	Email	Contact Ty	Vendor	CEO/Adm	Submitter	HCS ID	OHC ID	Updated Contact Details	Remove Contact		
2	555555	Flintstones TES	Boulder Ave	NY	Bedrock	12312	Flintstone	Frederick		Quarryma	1112223333		Fred@bed	CONTACT	No	Yes	No						
3	555555	Flintstones TES	Boulder Ave	NY	Bedrock	12312	Rubble	Barney		Bosom Bu	9998887777	4444	Barney@b	CONTACT	No	No	No						
4	555555	Flintstones TES	Boulder Ave	NY	Bedrock	12312	Flintstone	Pebbles		Sunshine I	4448889999		Pebbs@ber	CONTACT	No	No	No		PEBS1213				
5	555555	Flintstones TES	Boulder Ave	NY	Bedrock	12312	Rubble	BamBam		Bam Bam	9991112222		Bam@bed	CONTACT	No	No	Yes		BAM624				
6																							

- This is an example of the spreadsheet that will be sent, to be confirmed.
- If there are **updates** to the name spelling, phone, email or contact type, place an “X” in column V (Updated Contact Details).
- If a contact needs to be **removed**, place an “X” in column W (Remove Contact).
- Return the form via email to sparcs.submissions@health.ny.gov, as soon as possible.
- Primary & Backup Coordinators are responsible for contacts listed and provisioning requests.
- If a new submitter needs to be **added**, they must follow the standard provisioning process. Please send an email to sparcs.submissions@health.ny.gov.

SPARCS Submissions Companion Guide Version 3.0

- A fully redesigned version of the [SPARCS Transaction Information Companion Guide X12 Version 5010](#) (commonly referred to as the SPARCS Submissions Companion Guide) is now available on the SPARCS Submissions website at <https://www.health.ny.gov/statistics/sparcs/submission/>
- The format has been updated to provide high-level guidance on many of the frequently asked questions we have received over the past two years.
- Technical instructions that are specific to SPARCS also remain available in loop-specific tabular form.
- The most important changes are also highlighted in the new [SPARCS Submissions Companion Guide Change Log](#)

SPARCS Submissions Companion Guide Version 3.0

← → ↻ health.ny.gov/statistics/sparcs/submission/



Resources

The materials below are for your reference. If there are materials that you may need that you do not see here, please e-mail us at sparcs.submissions@health.ny.gov.

- [ASC X12 Implementation Guides](#)
- [SPARCS Transaction Information Companion Guide X12 Version 5010](#)
- [SPARCS Submissions Companion Guide Change Log](#)
- [SPARCS Injury, Cause, and Place Code Set \(N0002/N0003 Edits\)](#)
- [SPARCS Injury Secondary Diagnosis Required Code Set \(N0004 Edit\)](#)
- [SPARCS Secondary Diagnosis Required Code Set \(N0007 Edit\)](#)
- [SPARCS Acute Myocardial Infarction Diagnosis Code Set \(N0015 Edit\)](#)
- [SPARCS Low Birth Weight Edits \(N0010/N0016 Edits\)](#)
- [SPARCS to FIPS County Code Map](#)
- [Mapping of Claim Filing Indicators to Source of Payment Typology](#)

Questions or comments: sparcs.submissions@health.ny.gov

Revised: April 2026

Department of Health



**Department
of Health**

SPARCS Submissions Companion Guide Version 3.0

SPARCS Data Submissions Companion Guide Change Log

Last updated: April 2026

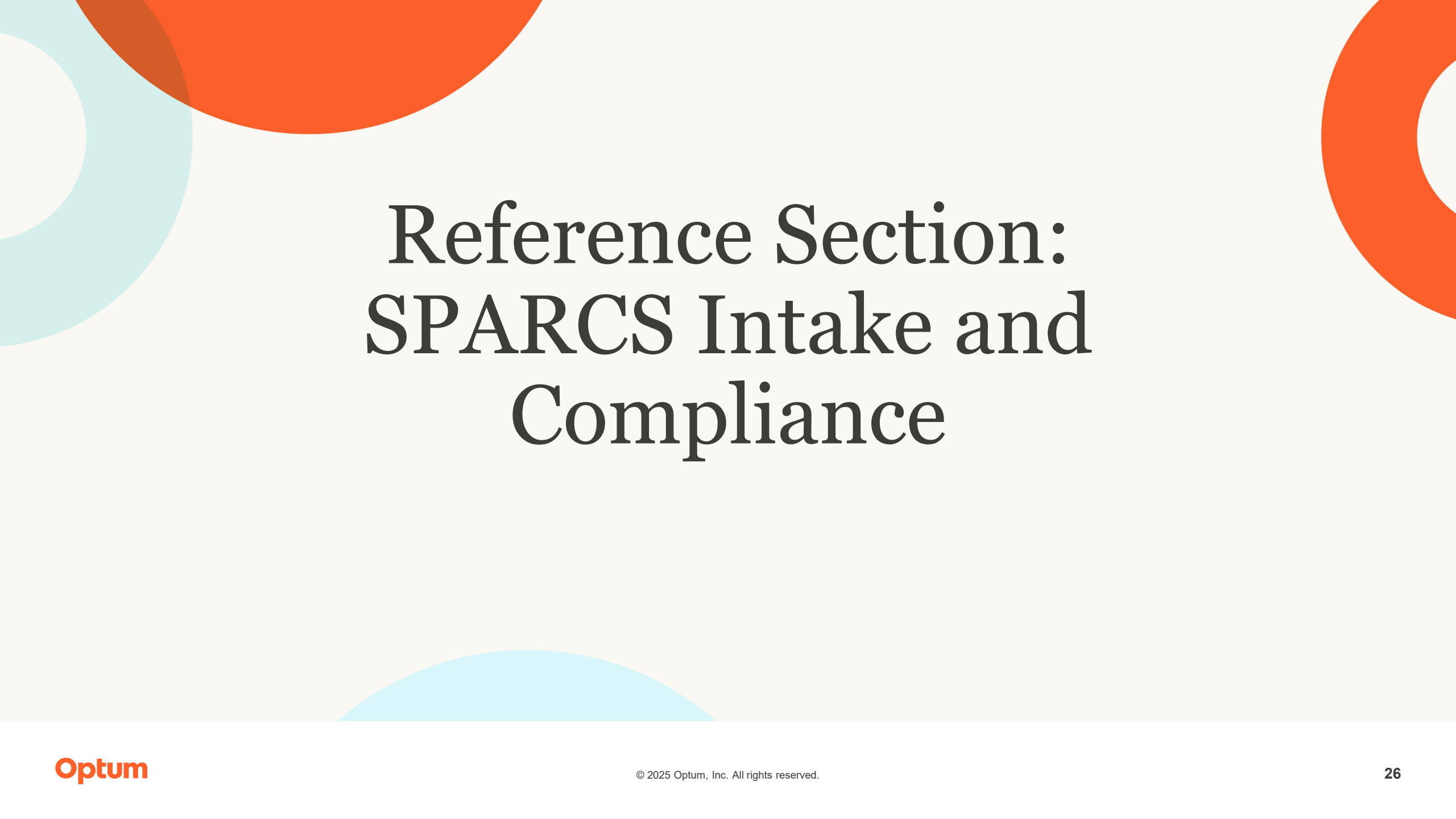
Version	Date	Nature of Change	Loop (if applicable)	Changes
3.0	April 2026	Data Processing	2300HI	Description: The minimum allowable birthweight is now 99g. Rationale: The previous minimum birthweight of 150g caused some valid records for extremely low birthweights to be rejected.
3.0	April 2026	Instructional	All	Description: No Personally Identifiable Information (PII) should be included in any X12 field that is not explicitly designated to receive it. Free text entry fields are at particular risk of being misused to record notes that include PII. PII must only be included in claims where it is required (ie in fields labeled Patient Date of Birth, Patient First/Last Name, Patient Address, etc). Rationale: Including PII such as patient name, address, or date of birth in any field that is not explicitly labeled to receive those details risks exposing that information and violating patient privacy.



Department
of Health

Questions and Answers





Reference Section: SPARCS Intake and Compliance

Contact SPARCS

- ❑ Facilities or vendors who submit data to SPARCS can email SPARCS.submissions@health.ny.gov for questions regarding:
 - New facility portal set up
 - SPARCS submitter provisioning requests
 - Update SPARCS coordinators or contacts
 - Hospital Owned Data (HOD) requests
- ❑ [SPARCS Compliance](https://sparcscompliance.zendesk.com/hc/en-us) (<https://sparcscompliance.zendesk.com/hc/en-us>)
 - SPARCS compliance questions and exception/extensions requests
 - SPARCS policy questions
- ❑ [SPARCS Support](https://sparcssupport.zendesk.com/hc/en-us) (<https://sparcssupport.zendesk.com/hc/en-us>) Does NOT pertain to SPARCS Data Submission
 - SPARCS research data use or access
 - SPARCS statistics reports
- ❑ Please **DO NOT SEND PHI** in any communications
 - Redact PHI if necessary to share screenshots or reports in emails

Optum Helpdesk

☐ **Contact Optum if you need help with:**

- ☐ Portal training and claim testing
- ☐ File or record rejections
- ☐ Interpretation of edit error reports
- ☐ Technical issues or questions

☐ **How to contact Optum:**

- ☐ Optum Customer Care Hub: <https://customercare.optum.com/public/home.html>
- ☐ Optum Phone Number: (877) 545-0011; Monday-Friday, 8AM-7PM EST

☐ **Do NOT Contact Optum for:**

- ☐ SPARCS compliance questions
- ☐ Policy interpretation
- ☐ Compliance exceptions or extensions

Open Discussion – Optum Ticket best practices

❑ When calling the helpdesk:

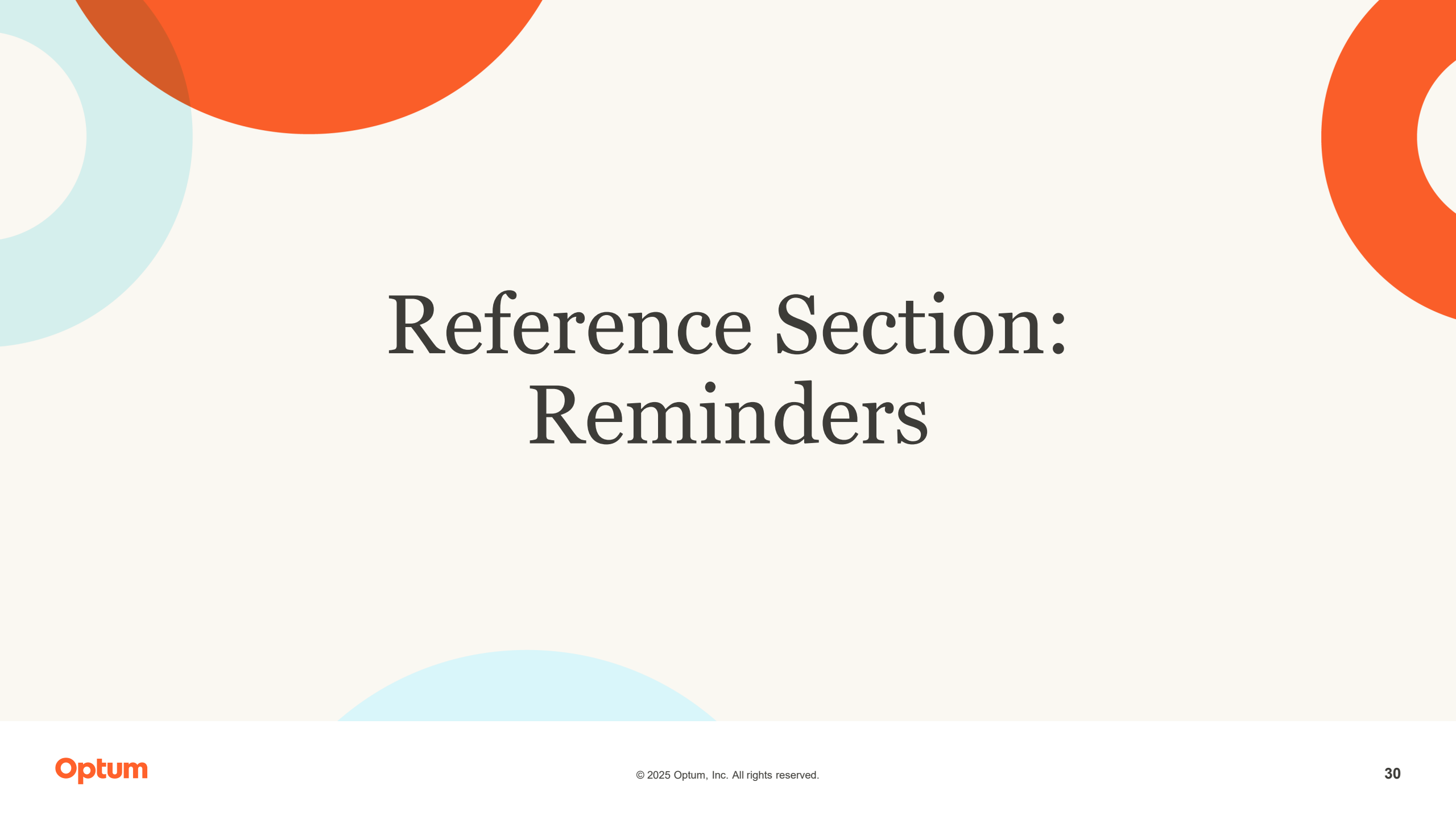
- Always provide the Permanent Facility Identifier (PFI) to the representative
- This ensures accurate and efficient support

❑ If you already have an open ticket for an error report:

- **Do NOT open another ticket to receive a new error report**
- Instead, update your current ticket by:
 - Responding to the existing email thread
 - Or calling the helpdesk at **(877) 545-0011 Hours:** Monday–Friday, 8:00 AM – 7:00 PM EST

❑ Optum Help Desk is NOT for SPARCS compliance inquiries, which must be submitted to a different website:

- [SPARCS Compliance](https://sparcscompliance.zendesk.com/hc/en-us) (https://sparcscompliance.zendesk.com/hc/en-us)



Reference Section: Reminders

SPARCS Reminders

SPARCS Data Submission:

- ❑ **Data submission file should contain only data for a single PFI.**
- ❑ **Rules for data submission file:**
 - Files submitted through SFTP must begin with FAC followed by your PFI.
 - Limit original file name to 89 characters.
 - File Size :
 - 5MB Limits if submitting directly on the portal.
- ❑ **Recommendations for data submission file:**
 - Less than 10MB recommended if submitting through SFTP.
 - Submission Timing Recommendations :
 - Avoid submitting files between 12:00AM – 1:00AM EST.
 - Do not submit multiple large files simultaneously.
- ❑ **Data must be submitted at least monthly per SPARCS regulation.**

SPARCS Injury Diagnosis Edits

- SPARCS edits check ICD10 codes specified as injury diagnoses for required cause, place, or other diagnosis information.
- Injury code sets are published on the SPARCS website:
 - [SPARCS Injury, Cause, and Place Code Set \(N0002/N0003 Edits\)](#)
 - [SPARCS Injury Secondary Diagnosis Required Code Set \(N0004 Edit\)](#)

SPARCS Edit	N0003	N0002	N0004
Edit Description (Claims Rejected)	An injury diagnosis code was submitted. A cause of injury diagnosis code is required but not present.	A cause of injury diagnosis was submitted. A place of injury diagnosis code is required but not present.	An injury diagnosis code was submitted. The presence of other diagnosis information is required, but not present.
Example of ICD10 Code to Trigger Edit	Injury: S060X1A Concussion with loss of consciousness of 30 minutes or less, initial encounter	Cause: W14XXXA Fall from tree, initial encounter	Injury: T360X5A Adverse effect of penicillins, initial encounter
Example of ICD10 Code to Resolve Edit	Cause: W14XXXA Fall from tree, initial encounter	Place: Y92821 Forest as the place of occurrence of the external cause	Manifestation: R112 Nausea with vomiting, unspecified



Open Discussion – Reminders

Ensure Correct Facility Identification

- ☐ Before submitting files to SPARCS, **verify that the file includes the correct PFI** (Permanent Facility Identifier) for your facility.
 - This ensures accurate reporting and compliance.

- ☐ **Always match the Permanent Facility Identifier (PFI) with the correct facility name**
 - Do not mix or mismatch these values
 - Use the proper combination to maintain accurate facility identification and compliance

- ☐ **If submitting for multiple facilities through the SPARCS Portal:**
 - Select the facility in the portal that matches the PFI in your file
 - Verify the selection before submitting to avoid errors and ensure compliance

Open Discussion – Reminders

❑ Tips for submitting claims for residents outside the U.S.A.

- Canadian Residents:
 - Submit Country Code 'CA'
 - County code is not required.
 - There should be no space in the Postal Code
 - Postal code is 6 digits
- Residents of other countries
 - Submit Country Code
 - Use the alpha-2 country codes from Part 1 of ISO 3166
 - County code is not required.
 - There should be no Postal Code



Thank you!

For more information, contact sparcs.submissions@health.ny.gov

Optum

Optum is a registered trademark of Optum, Inc. in the U.S. and other jurisdictions. All other brand or product names are the property of their respective owners. Because we are continuously improving our products and services, Optum reserves the right to change specifications without prior notice. Optum is an equal opportunity employer.

© 2025 Optum, Inc. All rights reserved.