



Statewide Planning and Research Cooperative System (SPARCS)

Quarterly Submitter Forum
July 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
- Submission of Multiple Original Claims
- SPARCS Portal User Guide Updates
- Reminders

☐ SPARCS Compliance Updates

- Claim Type Classifications
- Race/Ethnicity Data Collection
- Compliance CY2025 Annual Reconciliations

☐ SPARCS Intake Updates

- Expanded SPARCS Intake and Compliance Zendesk Portal
- Biannual Security Assessment
- Inappropriate PII in SPARCS Submissions

☐ 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.
- Effective on 7/16/2026, revenue code 0361 (OR Services, Minor Surgery) added to the list of revenue codes classified as Ambulatory Surgery claim type.
- 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.
- POA Exempt Change Date is expected to be implemented within the next few weeks.
 - A notification will be posted on the SPARCS Portal homepage once the update has been completed.
- 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. 1.3.
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 – Submission of Multiple Original Claims

- If multiple original outpatient claims are submitted for the same patient, with the same procedure codes and date of service, any additional claim will be identified as a duplicate claim.
 - If the additional claim is intended to bill for separate or additional services, the appropriate modifiers should be included to distinguish it from the original claim and ensure it is processed as a separate claim.
 - If the claim is intended to correct or change information on a previously submitted claim, it should be submitted as an adjustment claim rather than as a new original claim.
- For additional information regarding Avoiding Duplication of Claims, please refer to The SPARCS Companion Guide: [sparcs_companion_guide_3.0.pdf](#)

Open Discussion – SPARCS Portal User Guide Updates

- **Added FAQ:** The file I submitted is on the Processing and Errored Files Tab with error: “Error message 1202 – Facility ID (PFI) submitted in the claim file does not match the record in our iEDI system”.
 - Please verify that:
 - The PFI in the claim file is the correct PFI for the facility.
 - The file is being submitted under the same PFI in the Portal. (If you have access to multiple PFI’s, ensure that the PFI from the file matches the facility PFI that is in the Billing Entity.)
 - If the file was submitted via SFTP, also ensure that:
 - The correct PFI is included in the file name.
 - The same PFI is present within the file contents.
- To access the SPARCS Portal User Guide, go to [SPARCS Portal User Guide](#)

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.
- [SPARCS Data Submission Reports](#)
 - Compliance and audit dashboards refreshed every Monday afternoon to provide up-to-date information on data submissions and reconciliation for SPARCS compliance.
 - Audit charts report count of records loaded to the SPARCS data warehouse to date of publication.
 - Records not accepted to the data warehouse are not reflected in the compliance dashboards or reconciliation reports.
 - Discrepancies in volume are almost always due to rejected records or newly accepted records not yet refreshed to the weekly dashboard.

Open Discussion – Reminders

- ❑ **Facilities/Vendors should ensure they can receive emails from sparcs.submissions@health.ny.gov.**
 - Some email systems have spam filters that reject emails from SPARCS.
 - Add sparcs.submissions@health.ny.gov to your contacts to avoid missing important 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 to be reactivated which can take days to reactivate. – Do NOT open an OPTUM Helpdesk ticket.
- ❑ **Link: [SPARCS Portal User Guide](#)**



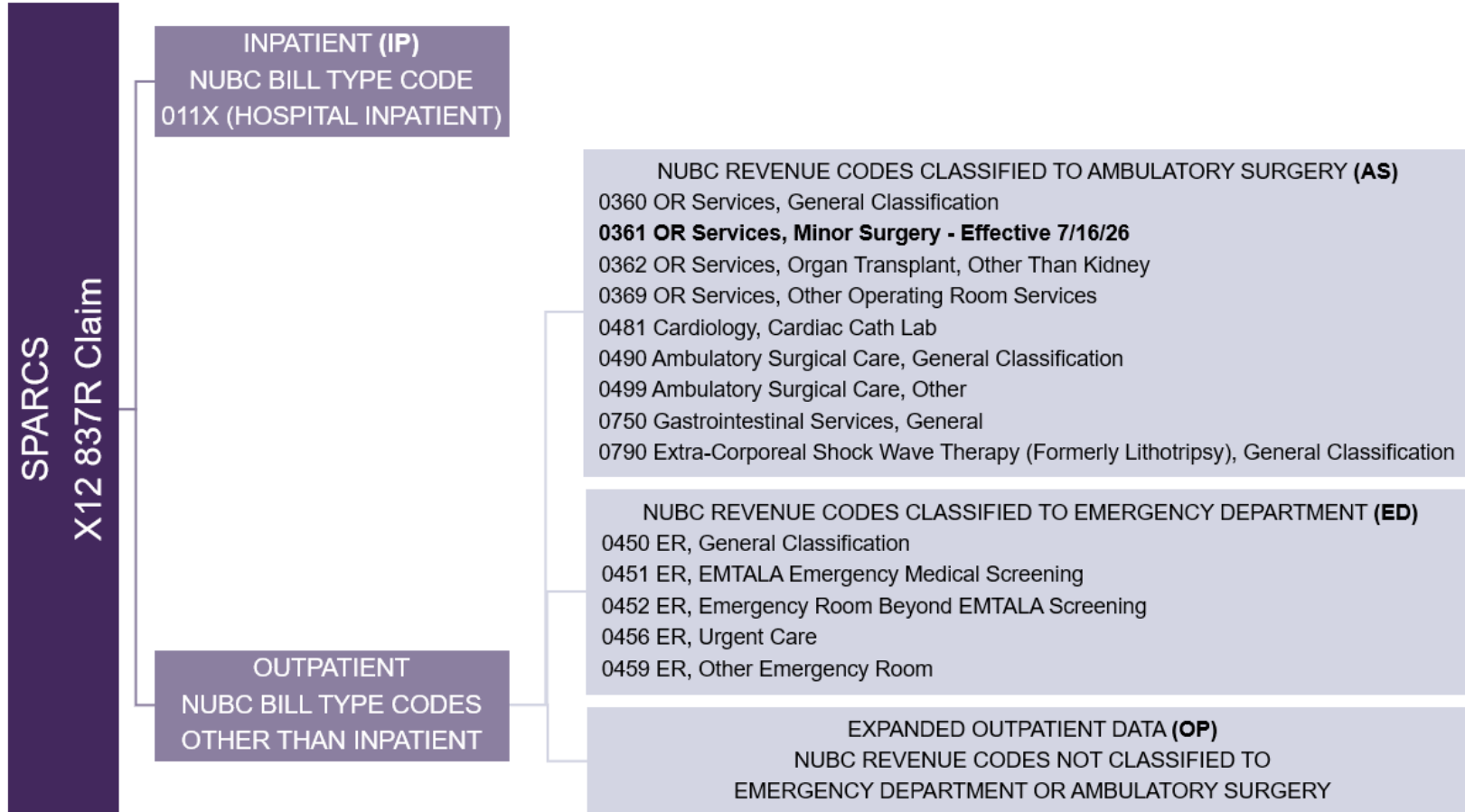
**Department
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SPARCS Compliance Updates

Janet Nguyen, MBA, CCS, CPC

JULY 30, 2026 | SPARCS SUBMITTER FORUM

SPARCS CLAIM TYPE CLASSIFICATIONS



- Effective on 7/16/2026, outpatient claims received with revenue code 0361 (OR Services, Minor Surgery) will be classified as Ambulatory Surgery (AS) claim type.
- AS records with revenue code 0361 accepted prior to 7/16/26 change will not be updated retroactively.
- Compliance exceptions may be necessary to reconcile volume shortages caused by change in classification from Expanded Outpatient Data (OP) to Ambulatory Surgery (AS) claim type.



SPARCS RACE/ETHNICITY DATA COLLECTION

- SPARCS update on 7/30/26 to accept Centers for Disease Control Race and Ethnicity Codes Version 1.3 ([CDCREC1.3](#))
- SPARCS requires at least one race code and one ethnicity code on every claim
 - Multiple race and ethnicity codes may be reported for multiracial patients
- Select codes which best describe the race and ethnic origin of the patient
 - Facilities should collect and report information as granular as possible
 - Race/ethnicity must be captured through patient (or guardian/caregiver) self-reporting (can not be assumed through physical appearance or preferred language)
 - If patients decline to answer, the only options for SPARCS reporting are “other race” (R9) and “unknown ethnicity” (E9)

COMPLIANCE CY2025 ANNUAL RECONCILIATIONS

- All CY2025 discharge and visit records were due by 6/30/2026.
- Compliance warning notices were sent in April – June for annual reconciliation.
- Statements of Deficiency (SOD) will be issued to facilities that are still non-compliant with CY2025 submissions per compliance reports.
 - Facilities receiving SOD are required to complete a plan of correction and failure to come into compliance within approved timelines could result in monetary penalties.
- [SPARCS Compliance Reports](#) dashboards refreshed every Monday afternoon to provide up-to-date information on submissions compliance and reconciliation for SPARCS records.



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SPARCS Intake Updates

David Marinik and Jay Cole, DPhil

JULY 30, 2026 | SPARCS SUBMITTER FORUM

New Zendesk Options from SPARCS Intake & Compliance

- Recently the SPARCS team has expanded an array of new options for requesting assistance from the SPARCS Intake team
- You can go to same site as the SPARCS Compliance help portal at sparcscompliance.zendesk.com and now you will see the additional SPARCS Intake options: Optum provisioning access, reactivations, SPARCS Facility name changes, Submitter updates & Hospital Owned Data reports
- We have focused on creating more efficiency and automations with easy functionality
- Requests that come to sparcs.submissions@health.ny.gov will be redirected to the Zendesk site if there is a relevant form to improve traceability and a streamlined experience
- It is the SPARCS team's pleasure to assist you!

New Zendesk Options from SPARCS Intake & Compliance

- After navigating to the [SPARCS Intake & Compliance](#) Zendesk portal, click on Submit a Request
- Select a form from the drop-down menu – new forms are highlighted in green

The screenshot shows the SPARCS Intake & Compliance Zendesk portal. On the right side, there are links for "Community" and "Submit a request". Below these is a search bar with a magnifying glass icon and the word "Search". On the left side, there is a dropdown menu. The menu is open, showing a list of forms. The first two forms, "SPARCS Compliance Exception Form" and "SPARCS Compliance Extension Form", are in a light blue box. Below them, the text "I have a general question for the SPARCS Compliance team" is visible. Then, there is a section titled "Electronic Claims Gateway (ECG) Secure File Transfer Portal (SFTP) Application". Below this section, there are four forms: "SPARCS Contact Provisioning", "SPARCS Contact Reactivation", "Hospital Owned Data - HOD Report", "SPARCS Facility Name Change", and "Submitter Update". All four of these forms are highlighted with a green border, indicating they are new. At the bottom of the dropdown menu, there is a scroll bar with an upward arrow.

Example of New Intake Zendesk Form

Submit a request

Fields marked with an asterisk (*) are required.

Select a form from the drop down menu.

Hospital Owned Data - HOD Report

CC

Facility PFI and Name*

Requestor First Name*

Requestor Last Name*

Health Commerce System (HCS) ID

HOD Requested start-date*

HOD Requested end-date*

HOD Claim Type*

Once claim type is selected, the Subject and Description fields that follow can be filled in as "n/a" unless there are additional details you would like to share.

Subject*

Please enter in a few (<10) words to title your request.

Description*

Please detail your request

Paragraph

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Attachments

Choose a file or drag and drop here

Submit

Notes:

- Fields with an asterisk are required in order to submit the request
- We have made an effort to use business logic and validations to show only the questions necessary for each scenario – the fields displayed in each form are driven by previous answers
- The Subject and Description fields at the end of each form can be skipped by entering “n/a” because they are not routinely used in responding to tickets.

SPARCS Biannual Security Assessment

- In mid-August 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 - **both of these coordinators must also report their HCS ID**
 - 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

	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 submit a provisioning ticket at [SPARCS Intake & Compliance](#).

Inappropriate Personally Identifiable Information (PII) in SPARCS Submissions

- Earlier this month the SPARCS program shared information with facilities who have a pattern of submitting PII in fields that are not designed to receive it.

FAC_ID	CLAIM_TYPE_CD	REDACTED_TABLE	REDACTED_COLUMN	PERSONAL_INFO_EXPOSED	REDACTED_RECORDS_COUNT
example	O	SPARCS_PAYOR	POL_NUMB	PAT_SOCIAL	15334
example	O	SPARCS_CLAIM	PAT_MBR_ID_NUMB	SUBSCR_SOCIAL	13074
example	O	SPARCS_CLAIM	PAT_MBR_ID_NUMB	PAT_SOCIAL	13067
example	O	SPARCS_PAYOR	POL_NUMB	SUBSCR_SOCIAL	13053
example	A	SPARCS_PAYOR	POL_NUMB	PAT_SOCIAL	1781
example	A	SPARCS_CLAIM	PAT_MBR_ID_NUMB	SUBSCR_SOCIAL	1610
example	A	SPARCS_CLAIM	PAT_MBR_ID_NUMB	PAT_SOCIAL	1606
example	A	SPARCS_PAYOR	POL_NUMB	SUBSCR_SOCIAL	1606
example	O	SPARCS_PAYOR	PAYR_NAME	PAT_ADDR_LINE1	478
example	O	SPARCS_PAYOR	PAYR_NAME	SUBSCR_FIRST_NAME	200
example	O	SPARCS_PAYOR	PAYR_NAME	PAT_FIRST_NAME	180
example	O	SPARCS_PAYOR	PAYR_NAME	SUBSCR_LAST_NAME	154
example	O	SPARCS_PAYOR	PAYR_NAME	PAT_LAST_NAME	134
example	A	SPARCS_PAYOR	PAYR_NAME	PAT_ADDR_LINE1	130

- This is **not** a remediation issue (no resubmissions). There is new SPARCS logic in place to redact this data.
- We ask that facilities review their data entry policies to make sure that no notes or other details are entered into fields that are not labelled to receive it. There is a list of loop and segment identifiers that frequently contain erroneous PII available in the Resources section of <https://www.health.ny.gov/statistics/sparcs/submission/>.
- A new bi-annual review will be instituted to monitor this issue. Expect to be contacted in November of 2026 with an updated summary of any PII that was subject to our new redaction logic.

QUESTIONS AND ANSWERS

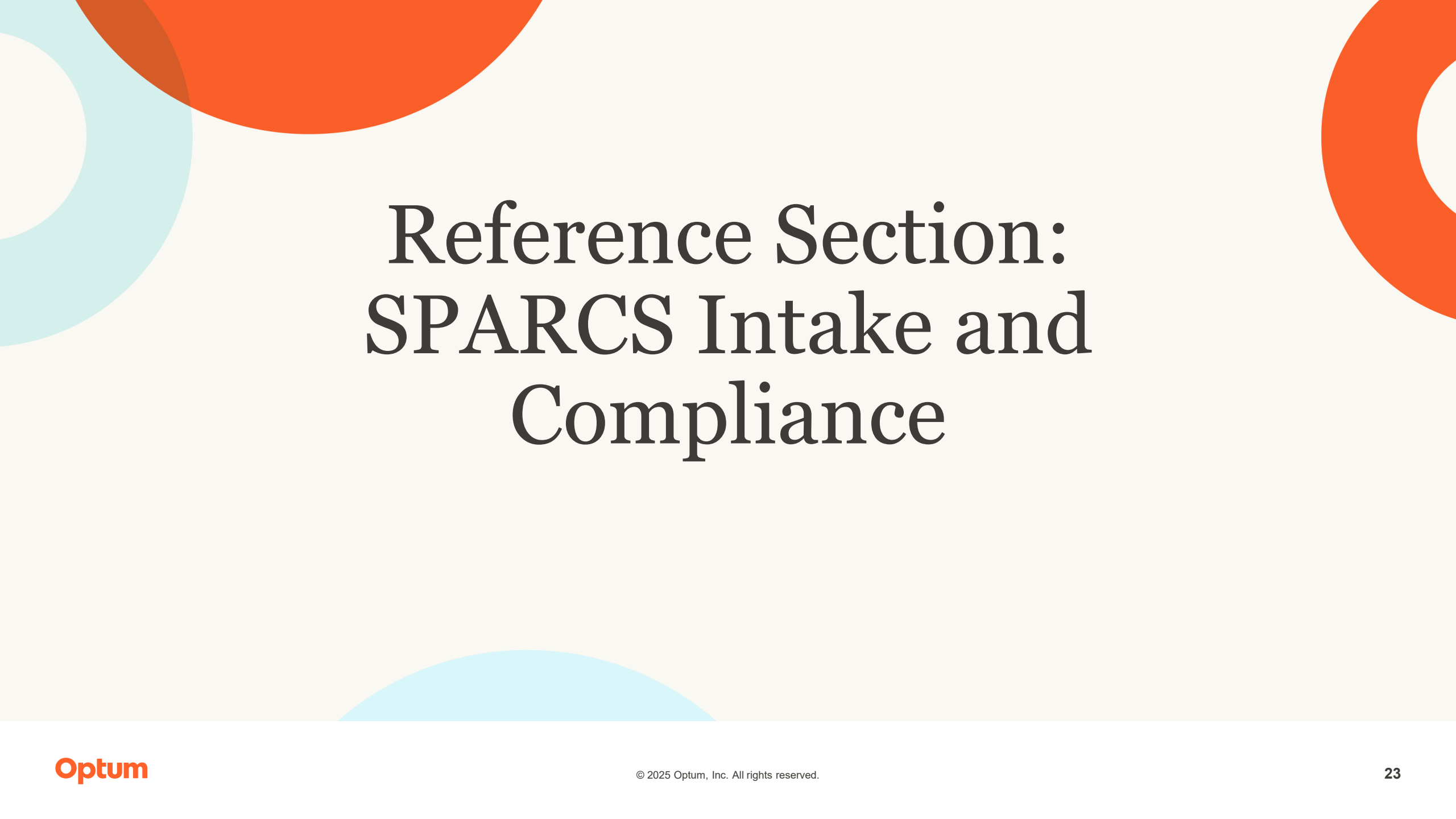
[SPARCS Intake & Compliance](#)

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 \(SPARCS\)](#)



Reference Section: SPARCS Intake and Compliance

Contact SPARCS

- ❑ Facilities or vendors who submit data to SPARCS can now visit <https://sparcscompliance.zendesk.com/hc/en-us> to submit tickets regarding:
 - SPARCS submitter provisioning requests
 - Update SPARCS coordinators or contacts
 - Hospital Owned Data (HOD) requests
 - Questions about access to the SPARCS Submission portal or SFTP submissions

- ❑ [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:

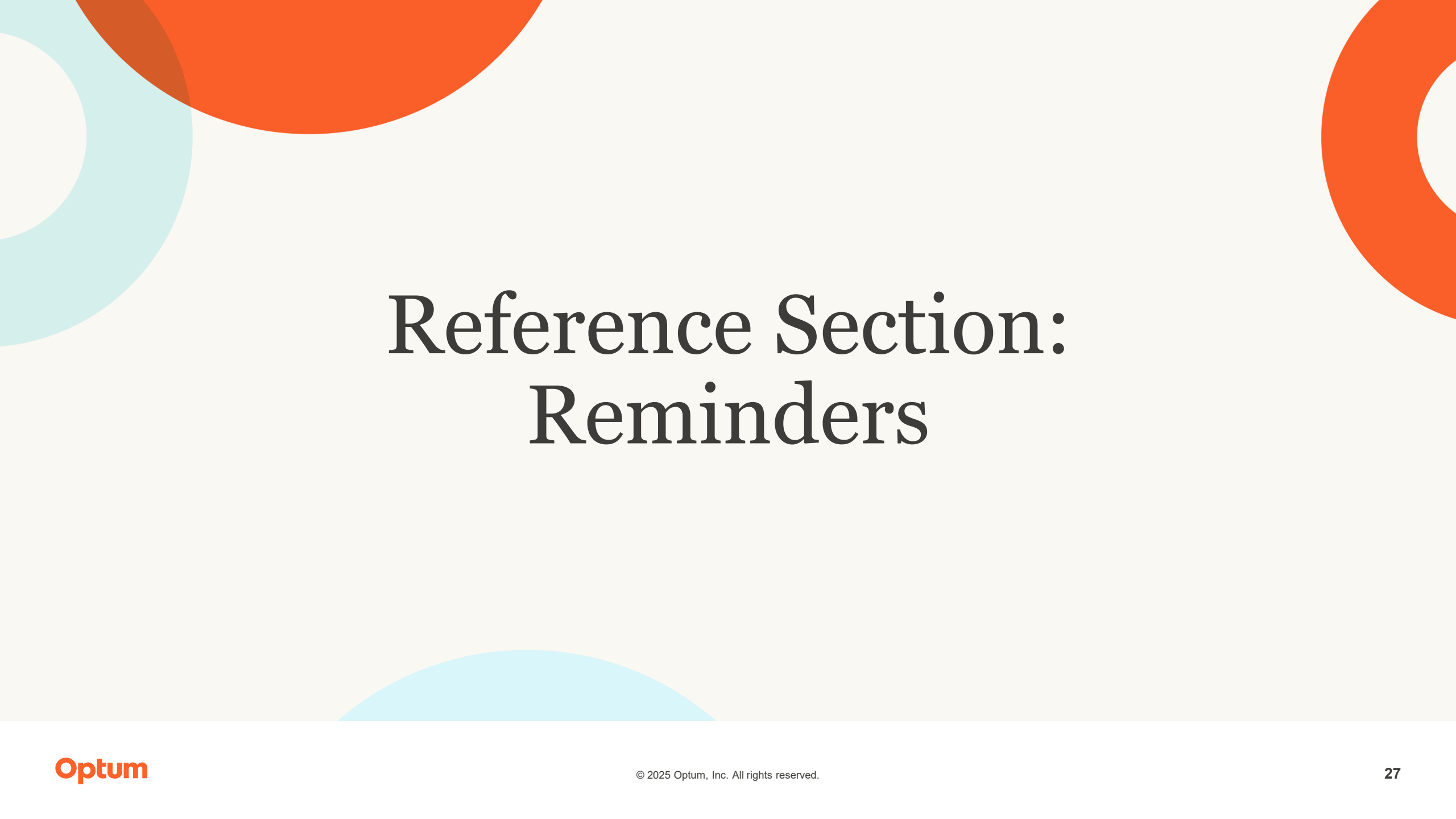
- Always provide the Permanent Facility Identifier (PFI) to the representative
- This ensures accurate and efficient support

☐ 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 Intake & Compliance](#)

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