



DoD INSTRUCTION 6040.40

MILITARY HEALTH SYSTEM (MHS) DATA QUALITY MANAGEMENT CONTROL (DQMC) PROGRAM

Originating Component: Office of the Under Secretary of Defense for Personnel and Readiness

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Reissues and Cancels: DoD Instruction 6040.40, "Military Health System Data Quality Management Control Procedures," November 26, 2002

Incorporates and Cancels: Assistant Secretary of Defense for Health Affairs Memorandum, "Policy Memorandum – Data Quality Management Control (DQMC) Program," November 29, 2000

Approved by: James N. Stewart, Assistant Secretary of Defense for Manpower and Reserve Affairs, Performing the Duties of the Under Secretary of Defense for Personnel and Readiness

Purpose: In accordance with the authority in DoD Directive 5124.02, this issuance establishes policy, assigns responsibilities, and prescribes procedures for the DQMC Program for the MHS.

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY. This issuance applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD.

1.2. POLICY. It is DoD policy that:

a. The MHS data are standardized, with minimum variance amongst the Military Departments. The quality of MHS data is critical to the effectiveness of MHS-wide optimization programs, performance-based management, TRICARE contracts, resource allocation, decision-making at all levels, patient safety, and many other operations and management activities across the system. The Defense Health Agency (DHA) will establish and operate the DQMC Program for the MHS to enforce standard data business rules.

b. The Military Departments and DHA will establish and effectively operate the DQMC Program for each military treatment facility (MTF) under their respective control. The DQMC Program at each MTF will operate in accordance with this policy and DHA supplemental policy to provide the internal structure to meet the DQMC performance metrics for data accuracy, completeness, and timeliness, and to assure uniformity and standardization of information across the MHS.

c. The DHA and the Military Departments routinely collect, aggregate, and analyze sufficient data to manage data quality (DQ) operations. Each MTF that submits Military Expense and Performance Reporting System data must also submit DQ performance metrics in the form of accurate, complete, timely, and consistent Commander's DQ Statements for all activities within its control (e.g., core hospital, branch clinics, and subordinate MTFs).

1.3. INFORMATION COLLECTIONS. The "Commander's DQ Statement" referred to in Paragraph 1.2.c has been determined to be exempt from licensing in accordance with Enclosure 3, Paragraph 1.b.16 of Volume 1 of DoD Manual 8910.01.

SECTION 2: RESPONSIBILITIES

2.1. ASSISTANT SECRETARY OF DEFENSE FOR HEALTH AFFAIRS (ASD(HA)).

Under the authority, direction, and control of the Under Secretary of Defense for Personnel and Readiness, the ASD(HA):

- a. Oversees the Director, DHA, in the execution of programmatic and operational responsibilities.
- b. Delegates authority to the Director, DHA, to develop and update supporting guidance to manage, operate, and routinely evaluate MHS DQ performance under this issuance, as necessary.
- c. Monitors compliance with DQ regulations in accordance with this issuance.

2.2. DIRECTOR, DHA. Under the authority, direction, and control of the Under Secretary of Defense for Personnel and Readiness, through the ASD(HA), the Director, DHA:

- a. Develops and guides the DHA DQMC Program to implement and oversee the formal MHS DQ monitoring process and business rules in compliance with this issuance and all other applicable guidance.
- b. Ensures the DQMC Program is executed in compliance with this issuance. Assures data standardization and reduces variance.
- c. Implements DQ control procedures, and develops a DQMC program.
- d. Updates and publishes annual DQMC Review List and Commander's DQ Statement.
- e. Publishes monthly DHA DQ summary of the DQ performance metrics, which are a summary of the Commander's DQ Statements submitted to the DHA.
- f. Ensures availability of training opportunities for DQ staff development in the areas of data collection, auditing, and performance metrics.

2.3. SECRETARIES OF THE MILITARY DEPARTMENTS. The Secretaries of the Military Departments ensure that the Surgeons General of the Military Departments:

- a. Implement and support DQMC Program procedures within their Military Departments.
- b. Establish DQMC programs as appropriate to carry out requirements outlined in this issuance.

SECTION 3: PROCEDURES

3.1. DHA DQMC PROGRAM MANAGER. The DHA DQMC Program Manager will:

a. Oversee, support, and consult with the MTF DQ managers to implement and monitor the DQMC Program.

b. Conduct periodic meetings with the DQ stakeholders to review deficiencies and discuss the DQMC Program requirements.

c. Brief appropriate metrics and results from the monthly submissions to the appropriate DHA governing body and report results on the DHA DQMC Program Web Site located on the DHA Launchpad (<https://info.health.mil>).

d. Update the DQMC Review List and the Commander's DQ Statement annually with input from the Military Departments and other DHA DQ stakeholders. The updated DQMC documents will be published under separate cover and distributed to the appropriate DHA stakeholders.

e. Coordinate with applicable system program offices to ensure system changes are coordinated through the DQMC Workgroup for evaluation to determine if changes to metrics and procedures for data collection and standardization are warranted.

f. Conduct and monitor the annual DHA external medical records coding audit of a defined set of medical records to produce MTF workload-level estimates of coding accuracy.

(1) The audit will be conducted by certified coding auditors.

(2) The medical records audit team will generate the random pull list based on the audit study plan requirements and distribute the pull list.

(3) The audit is independent of but coordinated with the DHA Medical Coding Program Office in accordance with Paragraph 3.1.a and 3.1.d of DoD Instruction 6040.42.

g. Include the appropriate DQMC programs in the medical inspector general and audit agency compliance program, and maintain a historical record of MTF deficiencies and corrective actions where necessary.

3.2. DHA DQMC WORKGROUP. The DQMC Workgroup will:

a. Oversee and support the DQMC Program in accordance with the DQMC Workgroup Charter.

b. Review issues and provide recommendations to the DQMC Program Manager regarding program compliance and DQ.

c. Provide recommendations for the annual update of the DQMC Review List and Commander's DQ Statement, including the most relevant issues affecting the MHS. This activity will include adding, changing, and deleting checklist questions to address changing data collection systems and data repositories.

3.3. MTF COMMANDER OR DIRECTOR. The MTF commander or director, as appropriate will:

- a. Provide resources, executive leadership oversight and support to ensure continuous process improvement, sustainment of DQ performance and countermeasures.
- b. Appoints a DQ Manager, who is responsible for accomplishing the DQMC activities.
- c. Establishes or tasks an existing committee, workgroup or function to monitor financial and clinical workload DQ assurance and management controls.
- d. Submits the Commander's DQ Statement to the DHA DQMC Program Manager at the prescribed suspense each month.

3.4. DQ MANAGER AND DQ ASSURANCE TEAM (DQAT).

a. DQ Manager. The MTF commander or director appoints a DQ Manager, who is responsible for accomplishing the DQMC activities. The DQ Manager oversees the correction of DQ issues by working closely with MTF staff and senior leaders, including the commander or director. The DQ Manager will work with members of the DQAT to share responsibilities in the completion of the DQMC Review List.

b. DQAT.

(1) The MTF commander or director establishes or tasks an existing structure to monitor financial and clinical workload DQ assurance and management controls.

(2) The DQAT includes the DQ Manager and MTF personnel who play an integral role in creating and maintaining the MTF data. The DQAT should be aware of the DQ issues identified at the MTF and be involved in formulating recommended solutions.

(3) Members of the DQAT should represent the following areas: clinical activities, Military Expense and Performance Reporting System, budgeting and accounting, group practice management, Uniform Business Office, coding, quality assurance, patient safety/risk, ancillary services, patient administration, health information management, clinical informatics or systems (such as Composite Health Care System, AHLTA, Essentris, MHS GENESIS) and internal review offices.

3.5. DQMC PROGRAM DOCUMENTS AND REPORTING PROCEDURES. The MTF DQ Manager will collaborate with representatives from the DQAT to gather the DQ metrics and

complete the monthly DQMC Review List. Once the list is completed, the DQ Manager will brief the results to the MTF's executive committee. Monthly, the commander or director will submit the Commander's DQ Statement to the DHA DQMC Program Manager **no later than the last business day of the reporting month.**

a. DQMC Review List. This document is a tool to assist the MTFs in identifying and correcting financial and clinical workload data problems.

(1) The DQMC Review List contains a series of questions pertinent to the management and control of the DQ in the MHS. For any DQ issue related to systems operation that cannot be resolved at the local level, the issue must be noted in the comment section with the related incident ticket.

(2) The DQMC Review List will include DQ performance metric questions that address issues such as organizational factors, data inputs, data outputs, system security, and other pertinent issues.

(3) The questions are updated annually by the DQMC Workgroup concurrent with the Commander's DQ Statement and published under separate cover as a product of the DQMC Program.

b. DQMC Review List Reporting. The MTF DQ Manager coordinates with the DQAT and presents the results of the completed monthly DQMC Review List to the executive committee and MTF commander or director. The DQMC Review List and the Commander's DQ Statement forms may be downloaded from the DHA DQMC Program Web Site located on the DHA Launchpad (<https://info.health.mil>).

c. Completed DQMC Review Lists. Copies of the completed lists are maintained at the facility level. Internal Review offices and external oversight organizations such as the DoD Inspector General or General Accounting Office may use them as part of their audit activities. The DQMC Review List is not required to be forwarded to the DHA DQMC Program Manager; however, the appropriate Military Department or DHA leadership may review them.

d. Commander's DQ Statement. This document is a subset of the DQMC Review List that the MTF commander or director approves and submits to the DHA DQMC Program Manager. The questions for the Commander's DQ Statement are updated annually in sync with the DQMC Review List and published under separate cover as a product of the DQMC Program.

e. Commander's DQ Statement Reporting. Specific information from the DQMC Review List is needed to complete the Commander's DQ Statement.

(1) The MTF DQ Manager submits the Commander's DQ Statement by the timeframe prescribed in the Military Department or DHA facilities DQMC Program procedures.

(2) The DHA DQMC Program Manager will monitor and analyze these statements for compliance, brief their respective leadership, and summarize the findings and corrective actions for the appropriate DHA governing body.

(3) The results of the Commander's DQ Statements are combined into the DHA DQ summary. The DHA DQMC Program Manager briefs the appropriate DHA governing body at least quarterly on various DQ concerns that arise from the DHA DQ summary.

(4) The DHA DQMC Program Manager will assess the DQMC Program metrics and determine if there are material weaknesses that require reporting in the annual statement of assurance.

GLOSSARY

G.1. ACRONYMS.

ASD(HA)	Assistant Secretary of Defense for Health Affairs
DHA	Defense Health Agency
DQ	data quality
DQAT	data quality assurance team
DQMC	data quality management control
MHS	Military Health System
MTF	military treatment facility

G.2. DEFINITIONS. These terms and their definitions are for the purpose of this issuance:

Commander's DQ Statement. A subset of questions from the DQMC Review List that the MTF commander or director approves and submits to the DHA DQMC Program Manager. The DQMC Workgroup updates this statement annually.

DQMC Review List. A set of questions to assist MTFs in identifying and correcting financial and clinical workload data problems. The DQMC Workgroup updates this list of questions annually, concurrently with the Commander's DQ Statement.

MTF commander or director. The commander or director of an MTF established for the purpose of furnishing medical or dental care to eligible individuals.

REFERENCES

- Defense Health Agency “Data Quality Management Control Workgroup Charter,” December 17, 2018¹
- DoD Directive 5124.02, “Under Secretary of Defense for Personnel and Readiness (USD(P&R),” June 23, 2008
- DoD Instruction 6040.42, “Management Standards for Medical Coding of DOD Health Records,” June 8, 2016
- DoD Manual 8910.01, Volume 1, “DoD Information Collections Manual: Procedures for DoD Internal Information Collections,” June 30, 2014, as amended

¹ Available on the Internet at <https://info.health.mil/bus/brm/dqmc/SitePages/ManagementControl.aspx>