



# California HIV/AIDS Surveillance Standard Operating Procedures

External

## Case Checks

Version 7.5

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# Standard Operating Procedures

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## Case Checks

### **Background and Purpose**

Comparing information from incoming HIV/AIDS reports to previously reported cases are commonly called "case checks". The purpose is to see if a case has already been reported in the Office of AIDS (OA) statewide Enhanced HIV/AIDS Reporting System (eHARS) data system to prevent the duplicate report of cases.

Only unduplicated HIV/AIDS cases can be submitted to the Centers for Disease Control and Prevention (CDC). Due to the large volume of work at OA, local health jurisdictions (LHJs) should check their local database before calling an OA Surveillance Coordinator for case checks against the OA statewide database to see if cases have already been reported elsewhere in California.

How often a LHJ performs case checks against the statewide database depends on the volume of HIV/AIDS case reporting. However, OA recommends LHJs contact their OA HIV/AIDS Surveillance Coordinator routinely for assistance to avoid over counting.

### **Phone and Electronic Case Checks**

#### **Phone Case Check: 10 or Fewer Cases**

Case checks for ten or fewer cases per LHJ at one time may be done over the phone (no case checks through fax or email are allowed for security reasons) with an OA Surveillance Coordinator once per day. The following identifiers help the coordinator determine if a client is already reported in eHARS:

- Date of Birth (DOB) and AKA DOB if any
- Last Name (or Last Name Soundex)
- First Name
- Social Security Number

If a case is reported, the OA Surveillance Coordinator provides the following information to the caller:

- County and zip code of HIV/AIDS Residency
- State Number
- HIV/AIDS Diagnosis Status
- Risk Information
- Ethnicity/Race
- Confirmatory Lab / Physician Diagnosis and Date(s)
- Vital Status / Date of Death

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If it is a **new** case (not previously reported), the LHJ sends a completed Adult Case Report Form (ACRF) to OA. If the case has been reported, the LHJ sends an ACRF with the updated information (i.e. name change, address change, HIV to AIDS status change, etc.) by traceable mail.

If there is a lab update only, enter the update in the Lab Data Entry Tool (LDET) and send it to OA Surveillance Section through SFT (see "**How to Use the Secure File Transfer [SFT] Network**" SOP).

**Electronic Case Checks:** *Required for 10+ case checks, optional for >10*

Electronic Case checks are required for more than ten cases, however, they are optional for less than ten cases and must be sent to OA from the LHJ using the Excel template provided at <http://www.cdph.ca.gov/programs/aids/Pages/SurvProcedures.aspx> - click on Electronic Matching Template (Excel)

### WORKING TEMPLATE

id	l_name	f_name	m_name	birth	socsec	sex
1	WHITE	SNOW		09151999	555556666	2
2	PAN	PETER		03191999	123455555	1
3	DUCK	DONALD		04061999	123444444	1
4	TOY	WOODY		08021999	7890	1
5	LIGHTYEAR	BUZZ		09021999	555666666	1
6	BEAUTY	BELLE		07161999	0000	2

**NOTE:** *patient's first, middle and last name must all be in uppercase letters and DOB should be formatted as mmddyyyy without slashes or dashes.*

- ID Index number / case count
- Last Name EHARS variable: **l\_name**
- First Name EHARS variable: **f\_name**
- Middle Name EHARS variable: **m\_name**
- Date of Birth (DOB) EHARS variable: **dob**
- Sex at birth EHARS variable: **birth\_sex**
- Social Security Number EHARS variable: **ssn**

### Sending Electronic Case Checks to OA

After completing the template upload the file to the Secure File Transfer (SFT). For guidance on using the SFT, refer to the "SOP How to use the SFT Network." The LHJ must also send an email to Brian Bannister letting him know that an Electronic Matching Template has been uploaded to the SFT web site.

### Electronic Matching Process

Upon receipt of the Electronic Matching Template file, OA compares the LHJ data variables against the eHARS database to find potential matches and creates an Excel file (see Appendix A) containing the following information:

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- Match date match run completed
- ID Case Count
- Date of Birth                      EHARS variable: **dob**
- Last Name Soundex                EHARS variable: **last\_name\_sndx**
- First Name Soundex               EHARS variable: **first\_name\_sndx**
- State Number                      EHARS variable: **stateno**
- County Name                        EHARS variable: **rsh\_county\_name,**  
**rsa\_county\_name**
- Enter Date                          EHARS variable: **enter\_dt**
- Dx date (HIV /AIDS)              EHARS variable: **hiv\_dx\_dt, aids\_dxx\_dt**
- Match Criteria

### **Reviewing Electronic Case Check Results**

Once the match file is completed, OA uploads the results to the SFT, and sends an email to the LHJ. The LHJ reviews the results and processes the case as follows:

- Line items that have a match criteria of 99 should be treated as a **new case**
- Line items that have a match criteria of 1 – 12 should be considered a “good” match and if you have new information an **update** form can be used
- Line items that have a match criteria of 13 – 17 **should be checked on the phone** with the assigned surveillance coordinator to obtain more information to clarify if there is a match

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## Appendix

### Sample Electronic Case Check Results:

matchdate	id	dob	soundex	fsoundex	rsh_county_name	rsa_county_name	enter_dt	hiv_dx_dt	aids_dxx_dt	match_criteria
6/21/2010	1		M635	P360						99-Nothing Matched
6/21/2010	2	#####	P553	J000						99-Nothing Matched
6/21/2010	3	#####	L200	R120						99-Nothing Matched
6/21/2010	4	#####	B200	M240		SACRAMENTO CO.	20100518	20060106	20060427	02-Soundex of Last Name + Full SSN Matched
6/21/2010	4	#####	B200	M240		SACRAMENTO CO.	20100518	20060106	20060427	11-Full SSN Matched
6/21/2010	5	#####	W425	M240	SACRAMENTO CO.	SACRAMENTO CO.	20100519	20100128	20100224	02-Soundex of Last Name + Full SSN Matched
6/21/2010	5	#####	W425	M240	SACRAMENTO CO.	SACRAMENTO CO.	20100519	20100128	20100224	11-Full SSN Matched
6/21/2010	6	#####	W420	S315	SACRAMENTO CO.	SACRAMENTO CO.	20100519	20100218	20100311	02-Soundex of Last Name + Full SSN Matched
6/21/2010	6	#####	W420	S315	SACRAMENTO CO.	SACRAMENTO CO.	20100519	20100218	20100311	11-Full SSN Matched
6/21/2010	7	#####	T416	R263						99-Nothing Matched
6/21/2010	8	#####	L500	J520						99-Nothing Matched
6/21/2010	9	#####	K320	J250	SACRAMENTO CO.		20100519	20100225		03-Soundex of First Name + Full SSN Matched
6/21/2010	9	#####	K320	J250	SACRAMENTO CO.		20100519	20100225		11-Full SSN Matched
6/21/2010	10	#####	N200	J535	SACRAMENTO CO.	SACRAMENTO CO.	20100519	20100208	20100319	03-Soundex of First Name + Full SSN Matched
6/21/2010	10	#####	N200	J535	SACRAMENTO CO.	SACRAMENTO CO.	20100519	20100208	20100319	11-Full SSN Matched

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### Match Criteria References:

<b>Good Match</b>	01	Last Name + First Name + DOB + Full SSN
	02	Soundex of Last name + Full SSN
	03	Soundex of First name + Full SSN
	04	DOB + Full SSN
	05	Last Name + First Name + DOB
	06	Last name + DOB + first four characters of the first name matches
	07	First four characters of last name + DOB + first name
	08	DOB the same, Last name and First name reversed
	09	Soundex of Last name + Soundex of First name + DOB
	10	First four characters of last name + DOB + first four character of first name + last four digits of SSN (SSN4)
	11	Full SSN
	12	Last Name + Middle name Initial + SSN4 + DOB
<b>Fuzzy Match</b>	13	Soundex of Last name + DOB
	14	Soundex of First name + DOB + First 2 characters of Last Name
	15	Soundex of Last name + Soundex of First name + mm/dd of DOB
	16	Soundex of Last name + Soundex of First name + mm/yy of DOB
	17	Soundex of Last name + Soundex of First name + dd/yy of DOB
	99	No match