



# CAASAM Reporting User Guide

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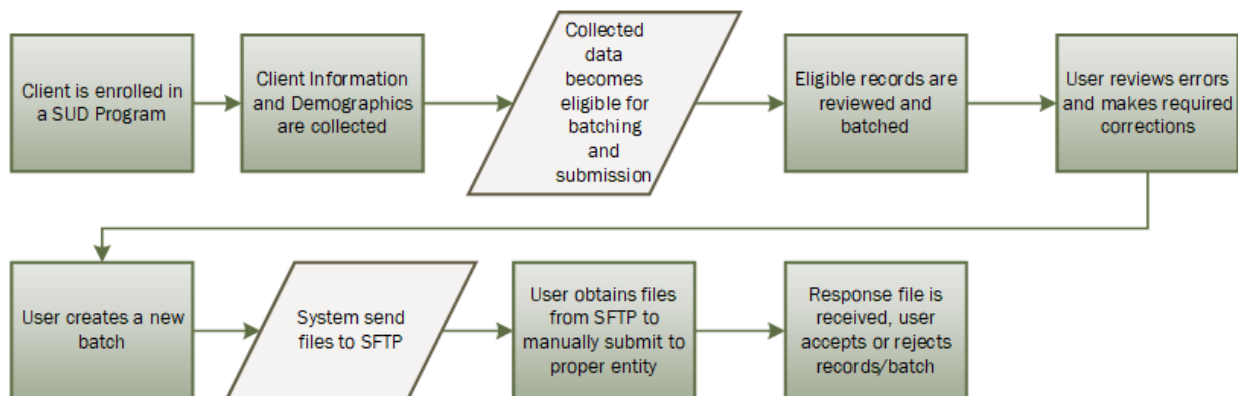
## Overview

ASAM stands for American Society of Addiction Medicine which holds the criteria as the nation's most widely used and comprehensive set of guidelines for placement, continued stay and transfer/discharge of patients with addiction and co-occurring conditions. These guidelines are intended to aid clinicians in their clinical decision-making and management of patients, provide information on evidence-based treatment, and provide members with the most up-to-date best practices and information on addiction medicine.

ASAM LOC data submission will be cumulative and must be submitted at least once monthly, no later than 45 days after the month of service. However, counties are not limited to once per month reporting and can choose to submit ASAM LOC data more often as needed.

## Reporting Process

The overall workflow of the reporting process is as follows:



## Reporting User Interface

Once the data has been collected and is eligible for submission the records are available to be reviewed via the ASAM Reporting Summary List Page. There the user can review the available candidate records, errors the records may have and the field level data for each record.

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## Navigating to the ASAM Reporting Summary List Page.

The screenshot shows the SmartCare application interface. The top navigation bar includes the SmartCare logo, a search bar, and system administration options. The left sidebar contains a navigation menu with categories like My Office, Administration, and SmartLinks. The main content area displays the ASAM Reporting Summary List Page, which includes a search filter section and a table of records. The search filter section has fields for To Date (09/13/2022), Record ID, Managing Entity, Program, Provider, Batch Type (ASAM), Record Status (All Record Statuses), Client ID, and Responsible Staff (All Staff). An 'Apply Filter' button is present. The table below has the following columns: Record Status, Errors, Record Date, Client, Program / Provider, Batch Type, and Last Batch Subm Date. The records are filtered by 'ASAM' batch type and 'All Record Statuses'.

Record Status	Errors	Record Date	Client	Program / Provider	Batch Type	Last Batch Subm Date
Sent	Medi-Cal Client Inde...	08/22/2022	Test33, Test55 (...)		ASAM	09/13/2022
Sent	Medi-Cal Client Inde...	08/22/2022	OK, OK (1043)	Main St - Intake...	ASAM	09/13/2022
Error	Medi-Cal Client Inde...	08/17/2022	Test, Syed (1077)		ASAM	09/13/2022
Sent		08/17/2022	Test, Demo (110...	CSI Reportable ...	ASAM	09/13/2022
Sent		08/17/2022	Test, Demo (110...	CSI Reportable ...	ASAM	09/13/2022
Sent	Medi-Cal Client Inde...	08/17/2022	Test, Adoc (1113)		ASAM	09/13/2022
Sent	Medi-Cal Client Inde...	08/17/2022	Test, Adoc (1113)		ASAM	09/13/2022
Sent	Medi-Cal Client Inde...	08/17/2022	Test, Adoc (1113)		ASAM	09/13/2022

1. Search for the ASAM Reporting Summary List Page. (My Office) using the Search icon. Click on the ASAM Reporting Summary List Page in the typable drop down. This will open the ASAM Reporting Summary List Page.
2. Alternatively, locate the ASAM Reporting Summary List Page using the Quicklink if this has been configured in your environment.

The ASAM Reporting Summary List Page displays all eligible ASAM submission records according to the following Status Types:

- In Progress = a record was created but not yet batched for reporting.
- Cancel = a record was created and batched for submission then later canceled. These records are no longer eligible for batching.
- Sent = the record was batched for submission and is awaiting response. These records are no longer eligible for batching.
- Accepted = A response file was received for the batch the record was included in and the record was marked as Accepted. These records are no longer eligible for batching.
- Reject = A response file was received for the batch the record was included in and the record was marked as Rejected. These records are no longer eligible for batching.

There are filters available in the ASAM Reporting Summary List Page. These are as follows:

- Select a date range (From Date and To Date) for which data to be pulled for
- Record ID - this is the unique id assigned to the ASAM record

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- Managing Entity - the county that the CalOMS records are to be reported to may be selected.
- Batch ID - if a record has previously been batched, this field will filter on a specific Batch ID.
- Program - indicates which program the ASAM record is associated with
- Batch Type - this will default to ASAM Batch Type
- Provider - if the customer is a County entity and is utilizing MCO, this will indicate which Contracted Provider the ASAM record is associated with
- Record Type - this filter allows for differentiating between the different ASAM record types; Admission, Annual Update and Discharge.
- Record Status - indicates the current status of the record.
- Client ID - this is the unique SC identifier of the client record associated with the ASAM record.
- Responsible Staff - the staff who completed the data collection for the record will display

## Monitoring Reporting Prior to Submission

To monitor records throughout the reporting period, prior to your submission deadline, you can complete the following steps:

1. Navigate to the ASAM Reporting Summary List Page.
2. Review or filter for records in a status of In Progress and/or Error since the last batch creation date or the last review date.
3. For records with a status of Error, use the Record ID hyperlink to navigate to the ASAM Record Detail Page to further review of error messages and record data.
4. Work error messages by navigating to the screen in which the source data resides.
5. Once data has been corrected, navigate back to the ASAM Reporting Summary List page and use the check box to select the record(s) that have been corrected then select Refresh Data from the Action drop down to pull the corrected data into that record to later be batched for submission.

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CalMHSASmartcareQA40 | 20/07/2022

SmartCare

ASAM Reporting Detail Page

My Office

PSC-35 Reporting List Page

Client

Program

Administration

Provider

API

SmartLinks

**General**

Record ID	555	Errors	Medi-Cal Client Index Number is Miss match, Indicated Level Of Care is Missing, Actual Level Of Care is Missing, Additional Indicated Level Of Care 1 is Missing, Additional Indicated Level Of Care 2 is Missing, Additional Actual Level Of Care is Missing, Actual Level Of Care Difference is Missing
Record Type	ASAM	Last Batch Submission Date	09/08/2022
Record Status	Sent	Record Date	08/24/2022
Last Batch Id	1827	Program / Provider	
Client	Test, CAL (1056)	Date of Screening	06/01/2022
DOB	04/03/2007	CIN	AC8888

**Actual Level of Care**

ActualLevelOfCare :  
 ActualLOCDifference :  
 ActualLOCDifferenceOther :  
 AdditionalActualLevelOfCare :

Repeat these steps as many times as needed in order to view errors, make corrections and confirm the errors are resolved.

## Creating a New Batch and Submitting Files

To create a batch for submission there are two options, creating a batch file without errors or creating a batch file with errors.

To create a batch without errors:

1. Navigate to the ASAM Reporting Summary List Page.
2. Filter records as desired based on last batch date or other requirements.
3. For Record Status set filter to In Progress.
4. Apply filter.
5. Review displayed records as needed.
6. Select the appropriate records. This can be done for individual records using the check boxes in the left hand column, clicking Select All or Select All on Page.
7. Once desired records have been selected use the Action drop down in the top right to select Create Batch Submission.
8. A pop up window will appear confirming the action to batch X number of records.
9. Click OK.
10. Once results have processed a green message will display above the filters confirming the action was successful.
11. The batched file is now available for retrieval via the Batch Detail Page or the SFTP.



ASAM Reporting List Page (13)

Action Processed Successfully

From: 08/01/2021 To: 09/13/2022 Record ID: Managing Entity: All Managing Entities

Batch ID: Program: All Programs Provider: All Providers Batch Type: ASAM

Record Type: ASAM Record Status: In Progress Client ID: Responsible Staff: All Staff

Errors: All Errors [Apply Filter]

Select: All, All on Page, None

Record ID	Record Type	Record Status	Errors	Record Date	Client	Program / Provider	Batch Type	Last Batch Submission Date
<input type="checkbox"/> 584	ASAM	In Progress		08/19/2022	Test, Pink (1036)	EII FSP 3M prog	ASAM	
<input type="checkbox"/> 590	ASAM	In Progress		08/17/2022	Test, Last (1102)	Maple Ave - Psy...	ASAM	
<input type="checkbox"/> 591	ASAM	In Progress		08/17/2022	60 old, Paf (1084)		ASAM	
<input type="checkbox"/> 602	ASAM	In Progress		08/17/2022	Test, Demo (110...	CSI Reportable ...	ASAM	

Under certain circumstances it may be necessary to create a batch record with errors. In this situation, follow these steps:

1. Navigate to the ASAM Reporting Summary List Page.
2. Filter records as desired based on last batch date or other requirements.
3. For Record Status set filter to In Progress and Error.
4. Apply filter.
5. Review displayed records as needed.
6. Select the appropriate records. This can be done for individual records using the check boxes in the left hand column, clicking Select All or Select All on Page.
7. Once desired records have been selected use the Action drop down in the top right to select Create Batch Submission.
8. A pop up window will appear confirming the action to batch X number of records.
9. Click OK
10. Once results have processed a green message will display above the filters confirming the action was successful.
11. The batched file is now available for retrieval via the Batch Detail Page or the SFTP.

## Viewing Batch Details

Once the batch has been generated there are two options for retrieving the file for submission. The first being from the customer's SFTP folder.

1. Navigate to the customer's SFTP folder.
2. Within that folder select the State Reporting folder.
3. Select the ASAM folder.
4. Retrieve the file for the desired batch.

The second option is to utilize the Compliance Batch List Page.

1. Navigate to the Compliance Batch List Page using the search or Quicklinks as applicable.

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Compliance Batch List Page (1) Action  ☆ ★ ⬇ ⚙ ✕

ASAM  All Batch Statuses  All Batch Summized To  Apply Filter

Batch Creation Start  10/01/2021 Batch Creation End  11/09/2022 Batch ID

Batch Data Start  Batch Data End

Select: All, All on Page, None

Batch ID	Batch Type	Batch Status	Submitted To	Batch CreationDate / Time	Batch Data Start	Batch Data End	Total Record Count	Rejected	% Success
<input type="checkbox"/>	ASAM	Sent	Contra Costa	11/05/2022 12:13:11	01/01/2019	11/02/2022	1	0	0.00%

2. Filter for Batch Type = ASAM
3. Select other filters as appropriate.
4. Click Apply to refresh the List Page results.
5. Select the desired batch by clicking the Batch ID hyperlink, this will direct you to the Batch Detail Page.
6. From the Batch Detail Page click the hyperlink to the file in the Batch Details to download the results.

### Compliance Batch Details Page

#### Batch Summary

Batch ID	48	Batch Type	ASAM
Batch Status	<input type="text"/> Sent <input type="text"/>	Reporting To	Contra Costa
Batch Data Start Date	01/01/2019	Batch Data End Date	11/02/2022
Batch Created By	Mabray, Erin	Batch Creation Date/Time	11/05/2022 12:13:11

#### Batch Details

Data Set Name	Total Records	Rejected Records	Accepted Records	File
ASAM	<u>1</u>	<u>0</u>	<u>0</u>	<a href="#">ADP LOC 07 T1105202200...</a>





## Accepting or Rejecting a Batch

Once the batch file has been sent to the appropriate entity, batches can be marked as accepted or rejected. To mark batches as accepted:

1. Navigate to the Compliance Batch List Page
2. Set Batch Type Filter to ASAM, set other filters as appropriate.
3. Click Apply Filter
4. To accept multiple batches select the check boxes on the left, click All or All on Page.
5. Use the action
6. Accepting a batch can also be done individually by clicking the Batch Id hyperlink that directs you to the Compliance Batch Detail Page.
7. In the Batch Summary section select Accept from the Batch Status drop down.

Compliance Batch Details Page

### Batch Summary

Batch ID	48	Batch Type	ASAM
Batch Status	<input type="text" value="Sent"/>	Reporting To	Contra Costa
Batch Data Start Date	<input type="text" value="In Progress"/>	Batch Data End Date	11/02/2022
Batch Created By	<input type="text" value="Sent"/>	Batch Creation Date/Time	11/05/2022 12:13:11

**Batch Details**

Data Set Name	Total Records	Rejected Records	Accepted Records	File
ASAM	<u>1</u>	<u>0</u>	<u>0</u>	<a href="#">ADP LOC 07 T1105202200...</a>

To mark batches as rejected:

1. Navigate to the Compliance Batch List Page
2. Set Batch Type Filter to ASAM, set other filters as appropriate.
3. Click Apply Filter

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4. To reject multiple batches select the check boxes on the left, click All or All on Page.
5. Accepting a batch can also be done individually by clicking the Batch Id hyperlink that directs you to the Compliance Batch Detail Page.
6. In the Batch Summary section select Accept from the Batch Status drop down.

Compliance Batch Details Page

### Batch Summary

Batch ID	48	Batch Type	ASAM
Batch Status	<input type="text" value="Sent"/>	Reporting To	Contra Costa
Batch Data Start Date		Batch Data End Date	11/02/2022
Batch Created By		Batch Creation Date/Time	11/05/2022 12:13:11

**Batch Details**

Data Set Name	Total Records	Rejected Records	Accepted Records	File
ASAM	1	0	0	<a href="#">ADP LOC 07 T1105202200...</a>

## Accepting or Rejecting an Individual Record

Once the batch file has been sent to the appropriate entity, if a portion of records were accepted these can be marked as such. To mark records as accepted:

1. Navigate to the ASAM Reporting Summary List Page.
2. Filter the results to display the records needing to be accepted. This can be done a number of ways including by date, Status, or Batch ID
3. Select the records you wish to accept using the check boxes, clicking All or All or Page.
4. Use the Action drop down to select Accept Records.

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ASAM Reporting List Page (1)

From: 11/01/2021 To: 11/30/2022

Record ID: [ ] Managing Entity: All Managing Entities

Batch ID: [ ] Program: [ ] Provider: All Providers Batch Type: [ ]

Record Type: ASAM Record Status: All Record Statuses Client ID: [ ] Responsible Staff: All Staff

Errors: All Errors **Apply Filter**

Select: All, All on Page, None

Record ID	Record Type	Record Status	Errors	Record Date	Client	Program / Provider	Batch Type	Last Batch Subm Date
<input checked="" type="checkbox"/> 1	ASAM	Sent	Medi-Cal Client Inde...	11/02/2022	Test, Erin (1013)		ASAM	11/05/2022

Action menu: Action, Accept Records, Cancel, Create Batch Submission, Create Batch Submission with Errors, Refresh Data, Reject Records

To mark records as rejected:

5. Navigate to the ASAM Reporting Summary List Page.
6. Filter the results to display the records needing to be accepted. This can be done a number of ways including by date, Status, or Batch ID
7. Select the records you wish to reject using the check boxes, clicking All or All or Page.
8. Use the Action drop down to select Reject Records.

ASAM Reporting List Page (1)

From: 11/01/2021 To: 11/30/2022

Record ID: [ ] Managing Entity: All Managing Entities

Batch ID: [ ] Program: [ ] Provider: All Providers Batch Type: [ ]

Record Type: ASAM Record Status: All Record Statuses Client ID: [ ] Responsible Staff: All Staff

Errors: All Errors **Apply Filter**

Select: All, All on Page, None

Record ID	Record Type	Record Status	Errors	Record Date	Client	Program / Provider	Batch Type	Last Batch Subm Date
<input checked="" type="checkbox"/> 1	ASAM	Sent	Medi-Cal Client Inde...	11/02/2022	Test, Erin (1013)		ASAM	11/05/2022

Action menu: Action, Accept Records, Cancel, Create Batch Submission, Create Batch Submission with Errors, Refresh Data, Reject Records

## Workflows for Collecting Data

The clients that are eligible for reporting have a completed CA ASAM Document in the specified reporting period. Please see the ASAM File Mapping for more detailed specifics than the summary provided here.

SmartCare Screen	Description of Data	File Reported To
CA ASAM	Date RecType LOC_Ind LOC_IND_Addt_1 LOC_IND_Addt_2	ASAM

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SmartCare Screen	Description of Data	File Reported To
	LOC_Actl LOC_Actl_Addt LOC_Actl_Diffrsn LOC_Actl_Diffrsn_Oth Delay_Rsn Delay_Rsn_Oth Add_Comment	
Client Information	FirstName LastName DOB	ASAM
Client Coverage Plans	CIN	ASAM

## File Logic

The CA ASAM submission includes one record type, ASAM.

For a record to be included as a ASAM record the following must occur:

1. The client must have a completed CA ASAM Document

## System Set Up

### Global Codes

The following Global Code Set Up is needed. The details of the values allowed and the recommended mapping is available in the ASAM Report File Mapping spreadsheet.

Global Code Category	Field in ASAM Report
XINDICATEDLEVEL	LOC_Ind
XINDICATEDLEVEL	LOC_IND_Addt_1

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XINDICATEDLEVEL	LOC_IND_Addt_2
XPROVIDEDLEVEL	LOC_Actl
Delay_Rsn	LOC_Actl_Addt
XCAActualLOC	LOC_Actl_Diffrsn
XCAActualLOC	Delay_Rsn

## System Configuration Keys

System Configuration keys are set up in the Configuration Keys banner in SmartCare's Administration tab. The Key name can be filtered on. Then opening to the detail page allows the user to modify the Value field as indicated below. Then Saving the screen will update the information.

Configuration Key Name	Description
XSetCountyCodeForCaliforniaStateReporting	<p>This configuration key may be set in order to default and hide the county of submission field on the ASAM Document. If the customer is a county MHP or only reports to one California County this configuration key can be used to set the county for which all data will be reported for/to. If not set, the County field is available and the user will be required to select the county from the available Global Code.</p> <p>To set the configuration key find the FIPS County Code in the following table and enter it into the Value field.</p>

FIPS	County	FIPS	County	FIPS	County	FIPS	County
6001	Alameda	6031	Kings	6061	Placer	6091	Sierra
6003	Alpine	6033	Lake	6063	Plumas	6093	Siskiyou
6005	Amador	6035	Lassen	6065	Riverside	6095	Solano

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6007	Butte	6037	Los Angeles	6067	Sacramento	6097	Sonoma
6009	Calaveras	6039	Madera	6069	San Benito	6099	Stanislaus
6011	Colusa	6041	Marin	6071	San Bernardino	6101	Sutter
6013	Contra Costa	6043	Mariposa	6073	San Diego	6103	Tehama
6015	Del Norte	6045	Mendocino	6075	San Francisco	6105	Trinity
6017	El Dorado	6047	Merced	6077	San Joaquin	6107	Tulare
6019	Fresno	6049	Modoc	6079	San Luis Obispo	6109	Tuolumne
6021	Glenn	6051	Mono	6081	San Mateo	6111	Ventura
6023	Humboldt	6053	Monterey	6083	Santa Barbara	6113	Yolo
6025	Imperial	6055	Napa	6085	Santa Clara	6115	Yuba
6027	Inyo	6057	Nevada	6087	Santa Cruz		
6029	Kern	6059	Orange	6089	Shasta		

## Roles and Permissions

Depending on the logged in user's responsibilities they will need access to the following permissions. Navigate to Administration > Role Definition and permission the items below by role as needed.

1. To view ASAM Documents
  - a. Select Permission Type > Document Codes (View)
  - b. Grant ASAM Standalone Collection Document
  - c. Select Permission Type > Screens
  - d. Grant ASAM Admission and ASAM Update/Discharge
2. To edit ASAM Documents
  - a. Select Permission Type > Document Codes (Edit)
  - b. Grant ASAM Standalone Collection Document
  - c. Select Permission Type > Screens
  - d. Grant ASAM Admission and ASAM Update/Discharge
3. To view the ASAM Reporting Summary Widget

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- a. Select Permission Type > Widgets
  - b. Grant ASAM Reporting Summary
4. To view ASAM Records
  - a. Select Permission Type > Screens
  - b. Grant ASAM Report Summary and ASAM Report Summary Details
5. To view ASAM Batch Records
  - a. Select Permission Type > Screens
  - b. Grant Compliance Batch List Page and Compliance Batch Detail Page

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