CSI Reporting User Guide

Standalone CSI Reporting Workflow

Version 2.0
06/21/2024

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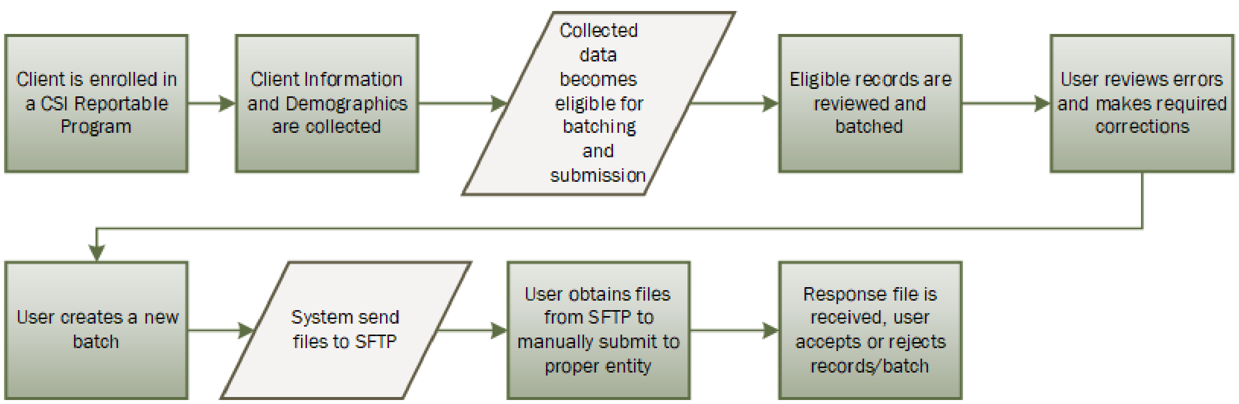
Overview

The CSI data collection process begins at time of program enrollment. A user will create a Program Assignment for a CSI reportable program with a Program Status of enrolled. This may be done using the Program Details Screen or the Program tab in the SC Core Registration. Once the Program Assignment is created a job will run at scheduled intervals that creates a TEDS episode for the reporting episode. The TEDS Episode is a SmartCare construct that allows for the tracking of enrollments to reportable services to be grouped by customer defined Episodes and Service Types. This grouping allows for data specific to the reportable episode to be grouped as such rather than being bound to a particular Program Assignment. The structure and granularity of the episodes is customer configurable, please reference the California TEDS Set Up Guide for additional details. Customers may create a Tracking Protocol based on their workflow needs that assigns a flag to the responsible user to complete the CSI Standalone Collection Document. This document collects the data required for the CSI Client and Periodic Records. Similarly, customers may also create a Tracking Protocols based on their needs for the CSI Annual Update requirements to assign a flag to the user responsible for collecting corresponding data. CSI Service Records contain data collected through SmartCare Service's for CSI reportable programs. Once these documents have been signed as complete the data sets become eligible candidate records for batching and submission.

Reporting Process

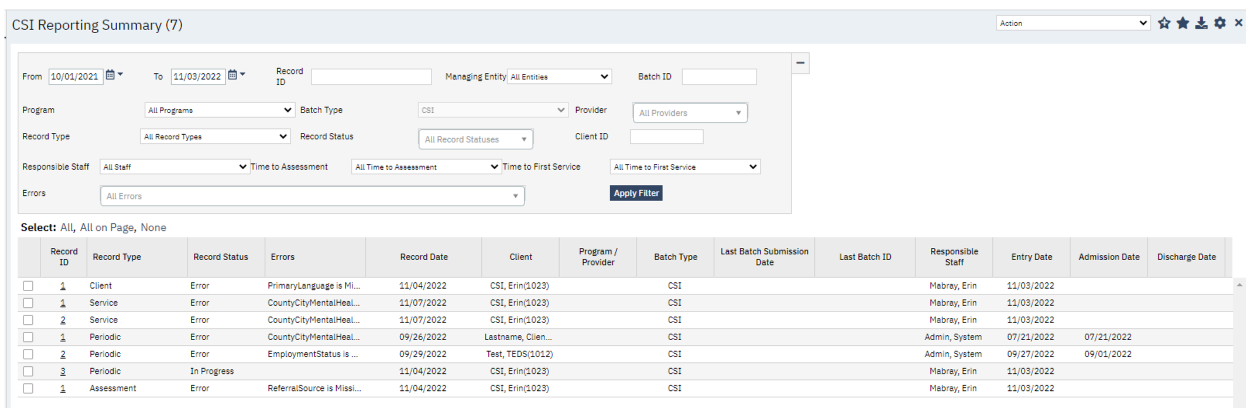


Reporting User Interface

Once the data has been collected through the CSI Standalone Collection Document or SmartCare Services it is eligible for submission and the records are available to be reviewed via the CSI 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 as it will appear in the file.

Navigating to the CSI Reporting Summary List Page.

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



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

- In Progress = a record was created and is available to be batched in a Batch Submission
  - Once a record is moved to a batched or canceled status it can be returned to a status of In Progress for rebatching when needed. See the Resubmitting Rejected/Canceled Records section of this User Guide.
- Cancel = a record was created and batched for submission in error. The record was then later canceled. A record with a status of Cancel is not able to be included in a batch..
- Sent = the record was batched for submission and is awaiting response. A record with a status of Sent is not able to be included in a batch.
- Accepted = A response file was received for the batch the record was included in and the record was marked as Accepted. A record with a status of Accepted is not able to be included in a batch.
- Reject = A response file was received for the batch the record was included in and the record was marked as Rejected. A record with a status of Rejected not able to be included in a batch.

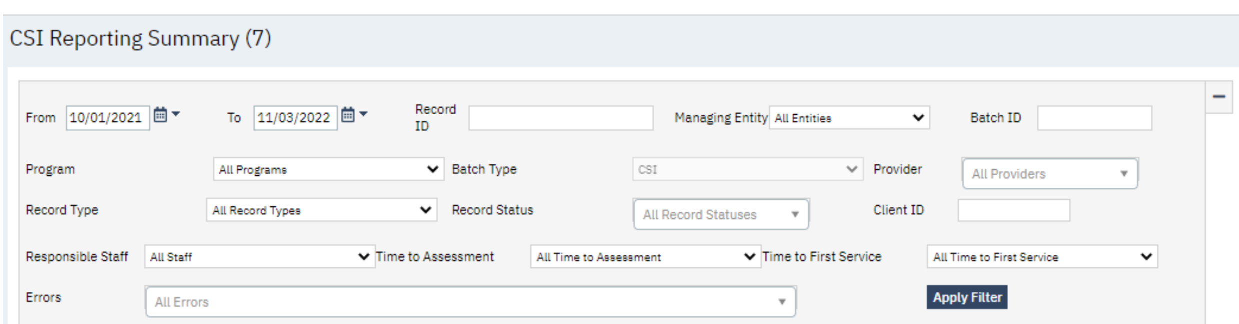
The action dropdown in the toolbar can be used to update the record statuses as follows, additional details on the specifics for each of these workflows can be found later on in this guide.

1. Accept Records
    a. Records can be accepted only if the selected record(s) are in a batch.
    b. If a user tries to accept the record(s) which are not in a batch a system validation will be displayed and read "Please create a batch for all selected records"
    c. Records can be accepted only if the selected record(s) status is Sent
2. Cancel Records
    a. Records can be canceled only if the selected record(s) status is Sent
    b. If the user tries to cancel the record(s) which are accepted then a system validation will display and read "Accepted records cannot be canceled."
    c. If the user tries to reject the records which are canceled a system validation will display and read "Please complete refresh action on the selected record and change the status".
3. Reject Records
    a. Records can be rejected only if the selected record(s) status is Sent.
    b. If the user tries to reject the record(s) which are accepted, a system validation will display and read "Accepted records cannot be rejected."
    c. If the user tries to reject the record(s) which are canceled a system validation will display and read "Please complete refresh action on the selected record and change the status".
4. Refresh Records
    a. Records can be refreshed only if the selected record(s) status is not Accepted.
    b. If the user tries to refresh the record(s) which are accepted a system validation will display and read "Accepted records cannot be refreshed."
5. Create Batch Submission
    a. Batch should be created if all the records selected are in status of in progress, or else a system validation will display and read "PLEASE SELECT NON-ERROR RECORDS FOR BATCH CREATION"
    b. When a batch is created the record status is changed to Sent.
    c. When records selected for a batch are reportable to multiple counties a batch is created for each county in the county specific format.
    d. A batch cannot be created for records already in a batch until the records have been refreshed and are in a status of In Progress, if user try to create otherwise system validation will display and read "PLEASE SELECT NON-BATCH RECORDS FOR CREATING BATCH WITHOUT ERROR"
6. Create Batch Submission with errors
    a. Batch can be created only for in progress and error records
    b. Batch cannot be created for records already in the batch until the records have been refreshed and are in a status of Error, if user try to create otherwise it

should show validation as "PLEASE SELECT NON-BATCH RECORDS FOR CREATING BATCH WITH ERRORS"

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

- Select a date range (From Date and To Date) for which data to be pulled for
    - This date range is based on the completion date of the document that was used to collect the data. In most cases this will be the date that the document signed or for Services is when the Service record status is moved to ‘complete’.
- Record ID - this is the unique id assigned to the CSI record
- Managing Entity - the county that the CSI 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 CSI record is associated with
- Batch Type - this will default to CSI Batch Type
- Provider - if the customer is a County entity and is utilizing MCO, this will indicate which Contracted Provider the CSI record is associated with
- Record Type - this multiselect dropdown filter allows for differentiating between the different CSI record types; Client, Key Change, Periodic and Service.
- Record Status - indicates the current status of the record.
- Client ID - this is the unique SC identifier of the client record associated with the CSI record.
- Responsible Staff - the staff who completed the data collection for the record will display
- Time to Assessment - based on a calculation from date of request to date of assessment appointment, this allows filtering based on time frames of 0-7, 8-14, 15-30, and 30+ days.
- Time to First Service - based on a calculation from date of request to date of service appointment, this allows filtering based on time frames of 0-7, 8-14, 15-30, and 30+ days.
- Errors - this multi select filter will display the applicable errors.

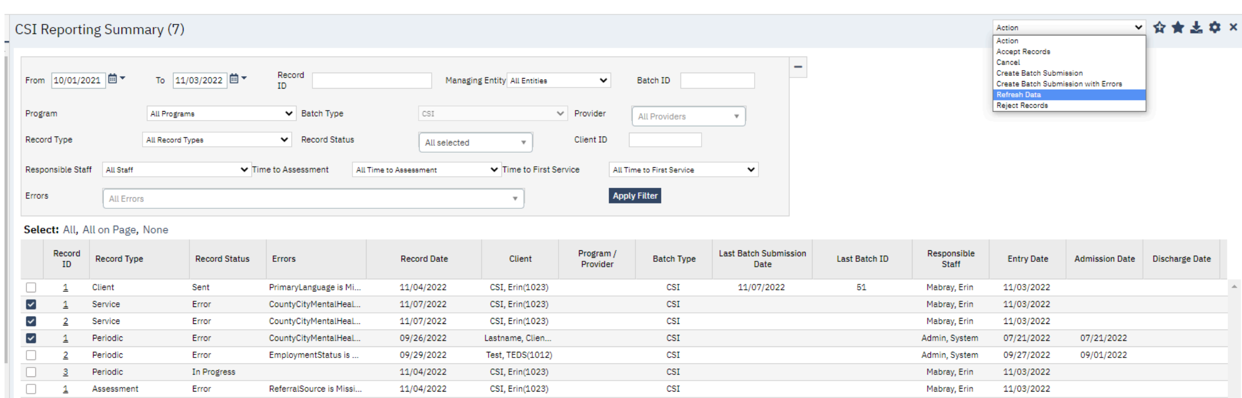


Streamline HEALTHCARE

Monitoring Reporting Prior to Submission

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

7. Navigate to the CSI Reporting Summary List Page.
8. 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.
9. For records with a status of Error, use the Record ID hyperlink to navigate to the CSI Record Detail Page to further review of error messages and record data.
10. Work error messages by navigating to the screen in which the source data resides.
    a. Details regarding the errors and steps for resolution can be found in the Error Message List Page. Reference the Error Message List Page section of this guide for additional information.
11. Once data has been corrected, navigate back to the CSI 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.



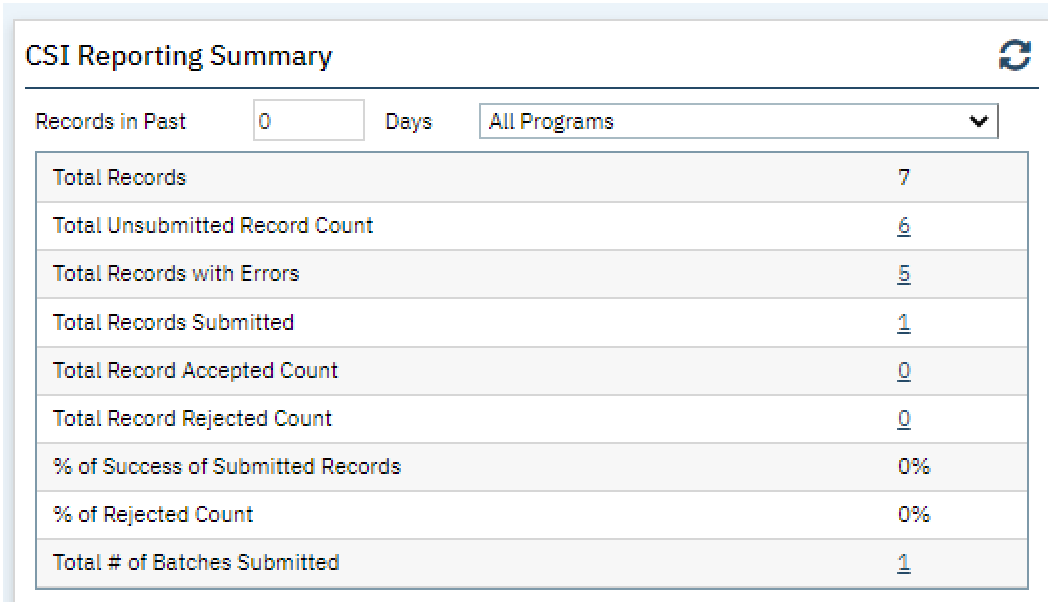
12. Repeat these steps as many times as needed in order to view errors, make corrections and confirm the errors are resolved.

Reporting Summary Widget

Another utility available for monitoring records throughout the reporting period is the CSI Reporting Summary Widget. From the Dashboard a user can review basic statistics of records within a specific day range and Program(s).

1. Navigate to My Office > Dashboard
2. Locate the CSI Reporting Summary Widget
3. Enter a number of past days for which to filter the records.

4. Select All or a specific Program using the drop down.
5. Click the refresh icon in the right hand corner of the widget if filters were modified.
6. Within the widget are hyperlinks that will direct the user to prefiltered list pages where they can review records, modify statuses or work errors as needed.



CSI Reporting Summary

Records in Past 0 Days All Programs

Total Records	7
Total Unsubmitted Record Count	6
Total Records with Errors	5
Total Records Submitted	1
Total Record Accepted Count	0
Total Record Rejected Count	0
% of Success of Submitted Records	0%
% of Rejected Count	0%
Total # of Batches Submitted	1

The CSI Reporting Summary Widget displays the follow information:

- Total Records - distinct count of all records.
- Total Unsubmitted Record Count - distinct count of all records with a status of In Progress, Error, or Canceled. Clicking the number hyperlink will direct the user to the list page pre-filtered for these values.
- Total Records with Errors - distinct count of all records with a status Error. Clicking the number hyperlink will direct the user to the list page pre-filtered for this value.
- Total Records Submitted - distinct count of all records with a status Sent. Clicking the number hyperlink will direct the user to the list page pre-filtered for this value.
- Total Records Accepted Count - distinct count of all records with a status Accepted. Clicking the number hyperlink will direct the user to the list page pre-filtered for this value.
- Total Record Rejected Count - distinct count of all records with a status Rejected. Clicking the number hyperlink will direct the user to the list page pre-filtered for this value.
- % of Success of Submitted Records - displays the percentage of records with a status of Accepted of the records sent during the reporting period.
- % of Rejected Count - displays the percentage of records with a status of Rejected of the records sent during the period.

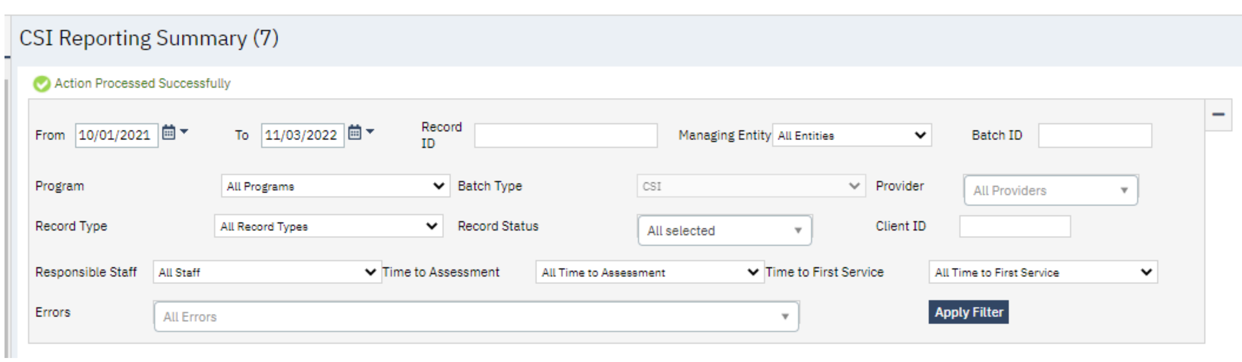
- Total # of Batches Submitted - this displays the distinct count of batches that were generated during the period. Clicking the number hyperlink will direct the user to the Compliance Batch list page pre-filtered for these values.
- Top 10 Errors - up to 10 errors will display in the last rows of the widget. This will display the top 10 most common errors for the period based on distinct counts. Clicking the number hyperlink will direct the user to the list page pre-filtered for applicable error.

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 CSI 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.



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

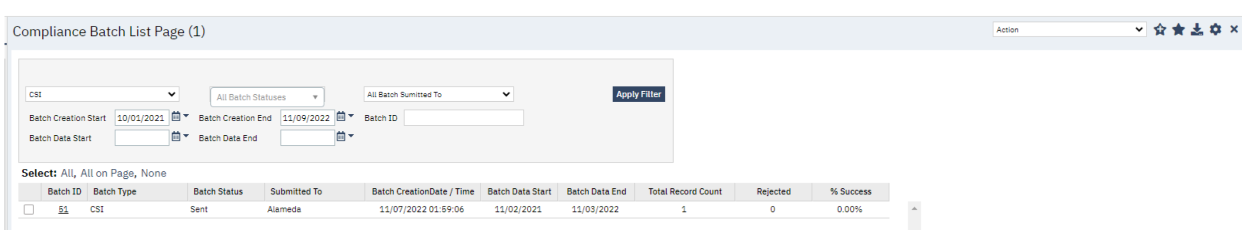
1. Navigate to the CSI Reporting Summary List Page.

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 and Obtaining a File to Submit

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 CSI folder.
4. Retrieve the file for the desired batch.



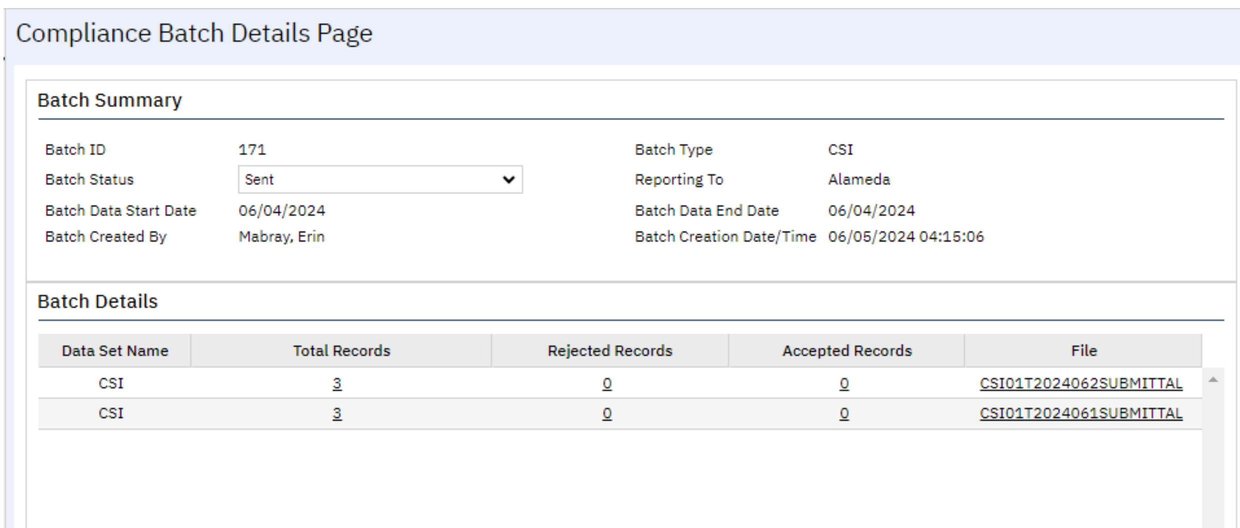
The second option is to utilize the Compliance Batch List Page.

1. Navigate to the Compliance Batch List Page using the search or Quicklinks as applicable.
2. Filter for Batch Type = CSI
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 file.

Regenerating a Batch

In situations where a batch has been created and data is updated in those records prior to submission the batch can be regenerated.

1. Navigate to the CSI Reporting Summary List Page and select all records that were included in the batch.
2. Once the records are selected choose the Refresh Data selection from the dropdown action in the toolbar.
3. Confirm that system displays the ‘Action Processed Successfully’ message
4. Navigate to the Compliance Batch List page
5. Filter for the previously generated batch.
6. Select the batch and choose ‘Regenerate File’ from the dropdown action in the toolbar.
7. Once the action has processed open the Batch Detail by clicking the Batch Id
8. A second version of the file is now available in the batch details for download or by navigating to the customer’s SFTP.



Compliance Batch Details Page

Batch Summary

Batch ID	171	Batch Type	CSI
Batch Status	Sent	Reporting To	Alameda
Batch Data Start Date	06/04/2024	Batch Data End Date	06/04/2024
Batch Created By	Mabray, Erin	Batch Creation Date/Time	06/05/2024 04:15:06

Batch Details

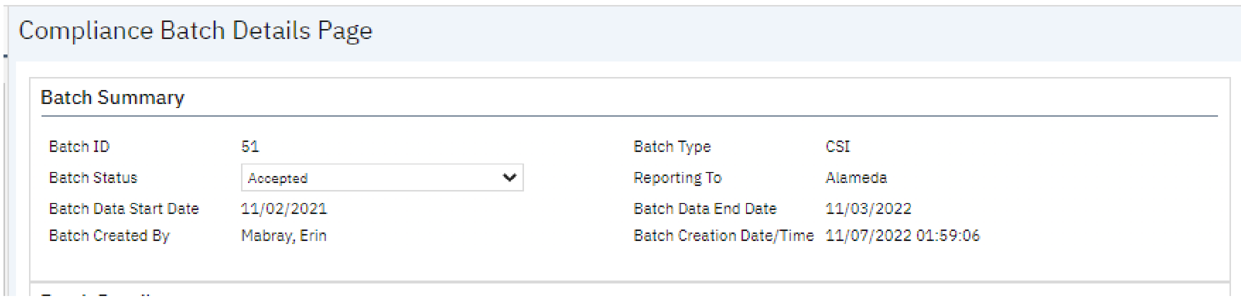
Data Set Name	Total Records	Rejected Records	Accepted Records	File
CSI	3	0	0	CSI01T2024062SUBMITTAL
CSI	3	0	0	CSI01T2024061SUBMITTAL

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:

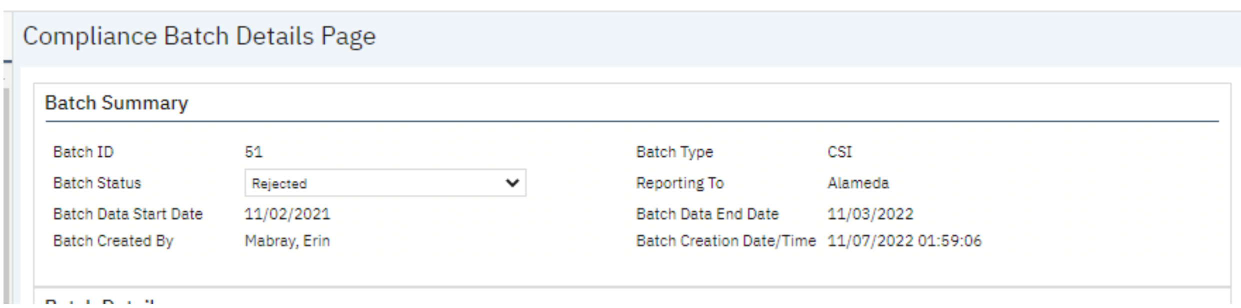
1. Navigate to the Compliance Batch List Page
2. Set Batch Type Filter to CSI, set other filters as appropriate.
3. Click Apply Filter
4. To accept multiple batches select the check boxes on the left, click All or All on Page.
5. Use the action
6. Accepting a batch can also be done individually by clicking 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.



To mark batches as rejected:

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



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 CSI 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.

Order of Operations for Accepting or Rejecting Batches and Records

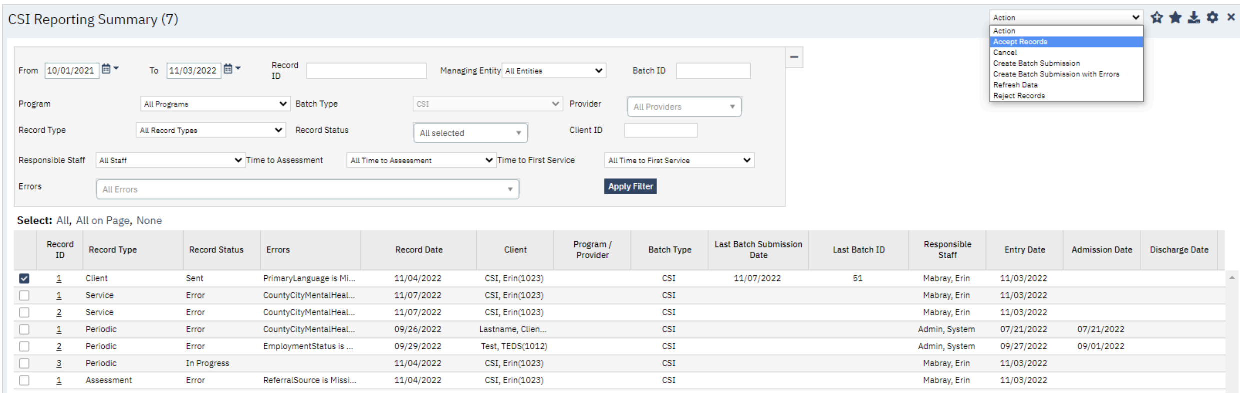
When proceeding to mark Batches as accepted or rejected it is important to first consider the status of the records that were included in the batch. Since the status of Accepted or Rejected records cannot be modified without completing a refresh action on the records, record statuses that are different from the Batch status should be handled first.The following workflows are recommended.

1. When a Batch is accepted and all records within the batch are also accepted, mark the Batch as ‘Accepted’. This will update the status of all records within the batch to ‘Accepted’
2. When a Batch is rejected and all records within the batch are also rejected, mark the Batch as ‘Rejected’. This will update the status of all records within the batch to ‘Rejected’
3. When a Batch is accepted, but one or more individual records are rejected, first mark the individual records as ‘Rejected’ then update the Batch status to ‘Accepted’. This will update the status of any records that were not rejected to ‘Accepted’ and records previously marked as ‘Rejected’ will maintain their status.

Resubmitting Rejected/Canceled records

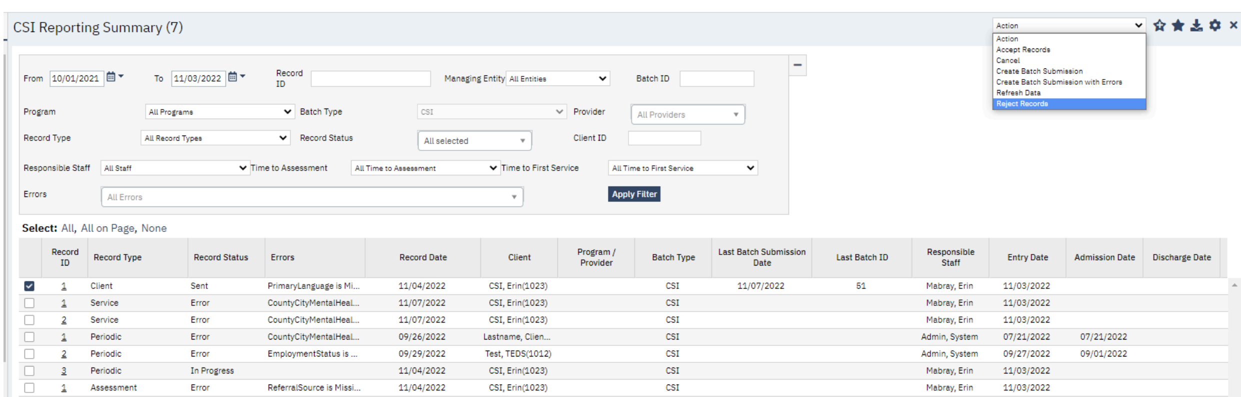
Below are the instructions for scenarios when batched items are canceled or rejected and need to be refreshed and requeued to in progress status for resubmission. This workflow is to be used when the data is allowed to be re-sent with the original record ID when applicable.

1. Filter for the records with status of Rejected/Canceled
2. Work the errors in these records if there are any
3. Once clean, select the checkboxes for the records that need to be refreshed
4. Upon selecting the checkboxes, selecting the Action dropdown as ‘Refresh data’
5. You will receive a confirmation prompt. Click ‘OK’ to proceed
6. You will now see that the Rejected/Canceled records are changed to the status of ‘In Progress’.
7. Your records are now ready to be included in the next submission



To mark records as rejected:

5. Navigate to the CSI 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.



In scenarios where a record has been batched, sent, rejected, and a new record id is required the following workflow is used.

1. Filter for records with a status of Rejected or Canceled
2. Identify the records that are required to be modified and re-sent with a new record id.
3. Click the Effective Date hyperlink to navigate to the document used to collect the data.
4. From the document, use the ‘Edit’ feature to create a new version of the document
5. Once complete, sign the document as complete.
6. Navigate back to the CSI Reporting Summary List Page and, if needed, adjust filters to include the completed document.
7. This document version 2 or greater will create a new reporting record.
8. If needed, review and resolve errors for the new record.

9. Once the record is in a status of In Progress it can then be included in a new batch for submission.

Error Message List Page

The Error Message List Page provides a location where a user can see all of the possible errors for a given type of California Reporting. The list page is intended to be used as a guide for staff to know where to look to troubleshoot an error on a record.

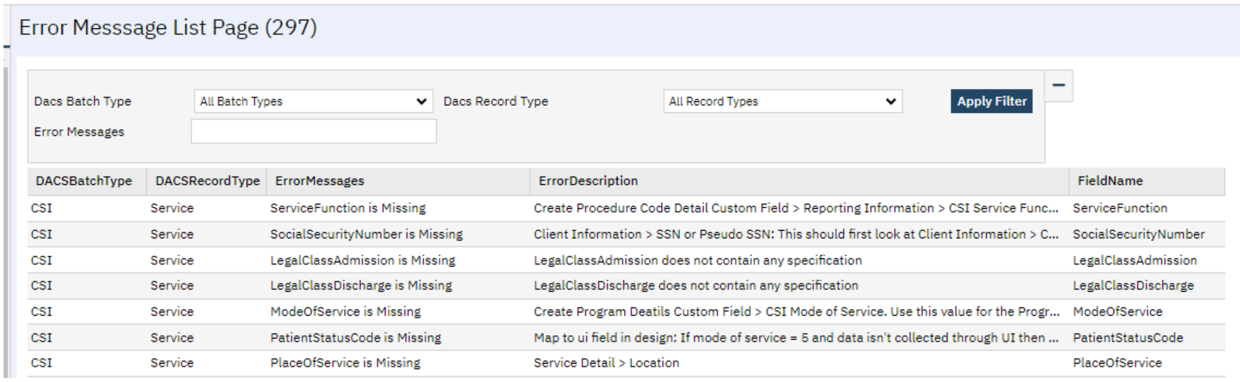
Navigating to the Error Message List Page

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

Filtering the Error Message List Page:

- In the List page, you can filter for the Batch Type and the Record Type for which you wish to see the error messages for
- You can also filter by the Error message by typing in all or some part of the error message

  Once filtered, the list page displays a list of errors with following details:
  - Batch Type - This column displays the type of Batch that the error belongs to
  - Record Type - This column displays the type of Record that the error belongs to
  - Error Messages - This column displays the Error message that would be displayed in the Reporting List page
  - Error Description - This column provides details of the location for where data can be entered/updated to correct the error
  - Field Name - This column displays the File field name that the error belongs to


Error Messsage List Page (297)

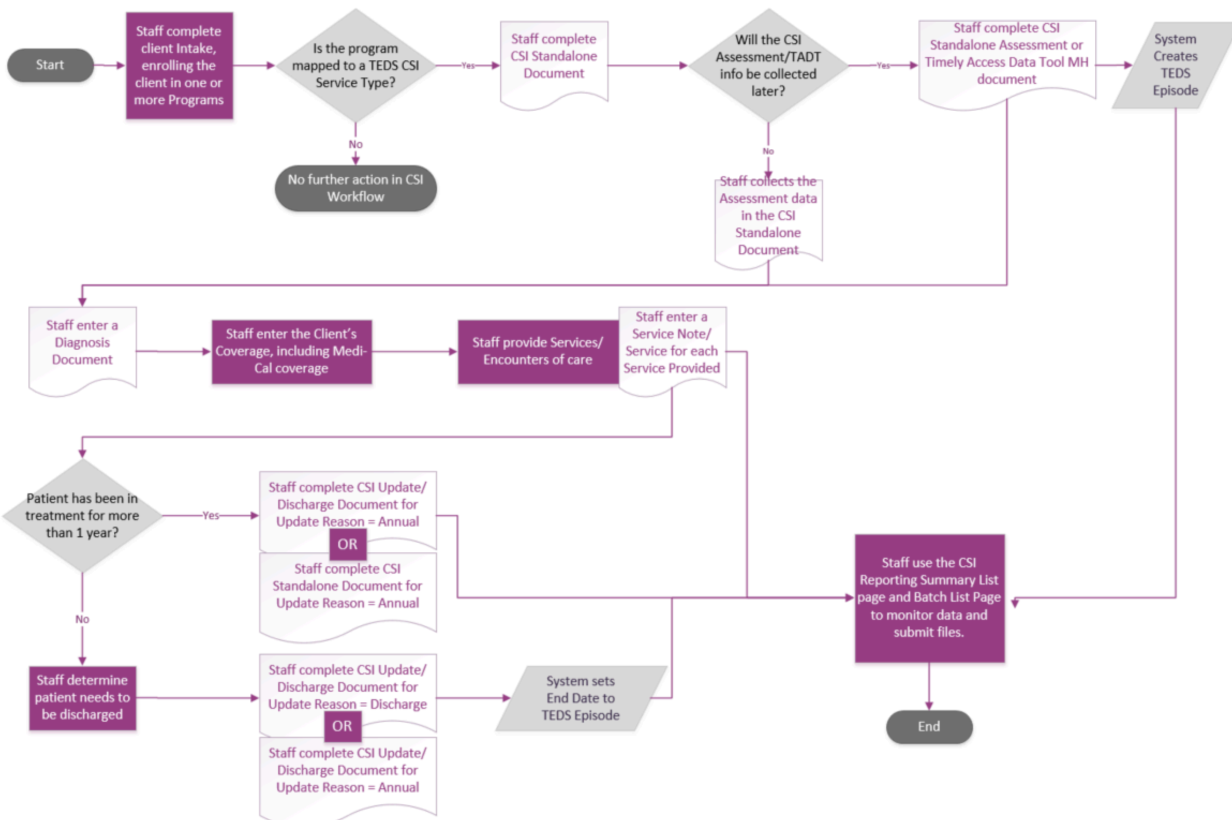
Dacs Batch Type: All Batch Types
Dacs Record Type: All Record Types
Apply Filter
Error Messages

DACSBatchType	DACSRecordType	ErrorMessages	ErrorDescription	FieldName
CSI	Service	ServiceFunction is Missing	Create Procedure Code Detail Custom Field > Reporting Information > CSI Service Func...	ServiceFunction
CSI	Service	SocialSecurityNumber is Missing	Client Information > SSN or Pseudo SSN: This should first look at Client Information > C...	SocialSecurityNumber
CSI	Service	LegalClassAdmission is Missing	LegalClassAdmission does not contain any specification	LegalClassAdmission
CSI	Service	LegalClassDischarge is Missing	LegalClassDischarge does not contain any specification	LegalClassDischarge
CSI	Service	ModeOfService is Missing	Create Program Deatils Custom Field > CSI Mode of Service. Use this value for the Progr...	ModeOfService
CSI	Service	PatientStatusCode is Missing	Map to ui field in design: If mode of service = 5 and data isn't collected through UI then ...	PatientStatusCode
CSI	Service	PlaceOfService is Missing	Service Detail > Location	PlaceOfService

Workflows for Collecting Data

The following is the recommended workflow to ensure data collection for CSI data:

1. Create the client record in SmartCare and the Clients Name, Date of Birth and Social Security Number are documented in the Client Information screen.
2. Client has a Medi-Cal Coverage Plan added in the Client Plans and Time Spans Screen
    a. Required if using the CSI Update/Discharge document
3. Complete the CSI Standalone Collection Document
    a. Note that the Configuration Key, ‘XShowCSIAssessmentTabOnCSIStandaloneDoc’ is used to control the workflow for collecting the Assessment data. Assessment data can be collected on this document or on the Timely Access Data Tool MH Document
4. Client has a Diagnosis document in the patient record with status of Signed. This is needed for Diagnosis to initialize on the CSI Update/Discharge Document and for Diagnosis to be present on the Client’s Services
    a. Required if using the CSI Update/Discharge document
5. Services are entered in Smartcare as the Client receives care from providers
6. Annually, complete the CSI Update/Discharge Document or the CSI Standalone Collection Document
7. At time of discharge from all MH Programs, complete the CSI Update/Discharge Document



The clients that are eligible for reporting have been enrolled in or discharged from a CSI reportable program and have the proper documentation completed which has collected the CSI required data. CSI has age fields that are dependent on age as well as differing requirements for Submissions, Re-Submission and Deletions. Please see the CSI File Mapping for more detailed specifications than the summary provided here.

SmartCare Screen	Description of Data	File Reported To
CSI Collection Document	C-01.0 BIRTH NAME C-02.0 MOTHER'S FIRST NAME C-04.0 PLACE OF BIRTH C-05.0 GENDER C-07.0 PRIMARY LANGUAGE C-08.0 PREFERRED LANGUAGE C-09.0 ETHNICITY C-10.0 RACE S-26.0 TRAUMA	Client Service Periodic

SmartCare Screen	Description of Data	File Reported To
	S-12.0 SPECIAL POPULATION S-19.0 PATIENT STATUS CODE S-20.0 LEGAL CLASS - ADMISSION S-21.0 LEGAL CLASS - DISCHARGE S-22.0 ADMISSION NECESSITY CODE S-34.0 GENERAL MEDICAL CONDITION SUMMARY CODE S-37.0 SUBSTANCE ABUSE / DEPENDENCE S-38.0 SUBSTANCE ABUSE / DEPENDENCE DIAGNOSIS S-39.0 DISTRICT OF RESIDENCE P-01.0 DATE COMPLETED P-02.0 EDUCATION P-03.0 EMPLOYMENT STATUS P-08.0 CONSERVATORSHIP / COURT STATUS P-09.0 LIVING ARRANGEMENT P-10.0 CAREGIVER	
Client Information	H-02.0 COUNTY CLIENT NUMBER (CCN) C-03.0 DATE OF BIRTH S-02.0 CURRENT LEGAL NAME / BENEFICIARY NAME S-03.0 SOCIAL SECURITY NUMBER K-01.0 FIRST SOURCE COUNTY CLIENT NUMBER K-02.0 ADDITIONAL SOURCE COUNTY CLIENT NUMBER	Control/Headers Client Service Key Change
CSI Assessment	A-02.0 Date of First Contact to Request Services A-03.0 Referral source A-04.0 Assessment Appointment First Offer Date A-05.0 Assessment Appointment Second Offer Date A-06.0 Assessment Appointment Third Offer Date A-07.0 Assessment Appointment Accepted Date A-08.0 Assessment Start Date A-09.0 Assessment End Date A-10.0 Treatment Appointment First Offer Date A-11.0 Treatment Appointment Second Offer Date A-12.0 Treatment Appointment Third Offer Date A-12.0 Treatment Appointment Accepted Date A-14.0 Treatment Start Date A-15.0 Closure Reason A-16.0 Closed Out Date A-17.0 Referred To	Assessment

SmartCare Screen	Description of Data	File Reported To
Program Details	S-05.0 MODE OF SERVICE S-13.0 PROVIDER NUMBER	Service
Program Assignment	S-15.0 ADMISSION DATE S-18.0 DISCHARGE DATE	Service
Service Note Details	S-25.0 EVIDENCE-BASED PRACTICES / SERVICE STRATEGIES S-01.0 RECORD REFERENCE NUMBER (RRN) S-07.0 UNITS OF SERVICE S-08.0 UNITS OF TIME S-09.0 PRINCIPAL MENTAL HEALTH DIAGNOSIS S-10.0 SECONDARY MENTAL HEALTH DIAGNOSIS S-11.0 ADDITIONAL MENTAL OR PHYSICAL HEALTH DIAGNOSIS S-11.0 ADDITIONAL MENTAL OR PHYSICAL HEALTH DIAGNOSIS S-11.0 ADDITIONAL MENTAL OR PHYSICAL HEALTH DIAGNOSIS S-16.0 FROM/ENTRY DATE S-17.0 THROUGH/EXIT DATE S-23.0 DATE OF SERVICE S-24.0 PLACE OF SERVICE	Service
Procedure Code Details	S-06.0 SERVICE FUNCTION	Service
Coverage Plan Details	S-14.0 COUNTY/CITY/MENTAL HEALTH PLAN WITH FISCAL RESPONSIBILITY FOR CLIENT	Service
Client Coverage Plans	S-27.0 CLIENT INDEX NUMBER (CIN)	Service
System Generated	H-01.0 COUNTY/CITY/MENTAL HEALTH PLAN SUBMITTING RECORD (SUBMITTING COUNTY CODE) H-03.0 RECORD TYPE H-04.0 TRANSACTION CODE X-0.1.0Test-Prod-Indicator X-02.0 FROM REPORT PERIOD X-03.0 THROUGH REPORT PERIOD X-04.0 CREATION DATE X-05.0 KEY CHANGE RECORD COUNT	Control/Headers Client

SmartCare Screen	Description of Data	File Reported To
	X-06.0 CLIENT RECORD COUNT X-07.0 SERVICE RECORD COUNT X-08.0 PERIODIC RECORD COUNT X-09.0 Assessment-Record-Count C-11.0 DATA INFRASTRUCTURE GRANT INDICATOR	
TEDS Details	A-01.0 Assessment Reference Number	Assessment

File Logic

Record Types

The CSI records are reported as four distinct record types, each with their own logic that drives the extraction of data for the submission file. Here is a summary of the different CSI Record Types with more details below this summary list:

- Client Data Set – Submitted once for a unique Client County Number
- Client Periodic Data Set – Submitted for each CSI Standalone Document or CSI Update/Discharge Document completed
- Client Service Data Set – Submitted for each Service entered for a client but there must be a CSI Standalone Document and then ongoing CSI Update/Discharge documents present.
- Key Change Data Set – Submitted when one of the following occurs:
    - Change a County Client Number (CCN).
    - Merge two or more CCN(s) on the CSI Master database into one CCN.
    - Submission of associated Service and Periodic Records on the CSI Master database from the old CCN(s) to a different CCN.
- Error of any of the above records – Submitted when the record has Status of Accepted in CSI Reporting Summary AND:
- Document is set to Status of Error or Record Deleted
- Service is set to Status of Error

Client Record

The Client Record is the first record submitted for any client. This data is collected using the CSI Standalone Collection Document

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

1. The client must be enrolled in a Program with the proper setup and configuration detailed in the System Setup section of this guide.
    a. This Program Assignment must also be associated to a TEDS Episode which was either migrated or system generated. For details on how Programs are associated with TEDS Episode please reference the California TEDS Setup User Guide.
2. The client must have a completed CSI Standalone Collection Document

Periodic Record

The Periodic Record is used to report the periodic data set at time of admission and annually thereafter. This data is collected using the CSI Standalone Collection Document.

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

1. The client must be enrolled in a Program with the proper setup and configuration detailed in the System Setup section of this guide.
    a. This Program Assignment must also be associated to a TEDS Episode which was either migrated or system generated. For details on how Programs are associated with TEDS Episode please reference the California TEDS Setup User Guide.
2. The client must have a completed CSI Standalone Collection Document which submitted a Client Record and was accepted
    a. This can be collected using the same CSI Collection Document used to collect the Client data and submitted concurrently.
    b. For legacy client's with migrated episodes, system configuration can be used to specify a reporting go live date which the system if observe and assume all data required to be submitted out of the legacy system was in fact sent and submitted. See the System Setup > Recode section of this guide for details.

Service Record

The Service Record includes the service data for CSI reportable services completed for the client.This data comes from the SmartCare service record along with some data collected using the CSI Standalone Collection Document at the episode level.

For a record to be included as an Service Record the following must occur:

1. The client must be enrolled in a Program with the proper setup and configuration detailed in the System Setup section of this guide.
    a. This Program Assignment must also be associated to a TEDS Episode which was either migrated or system generated. For details on how Programs are

associated with TEDS Episode please reference the California TEDS Setup User Guide.
2. The client must have a completed CSI Collection Document which submitted a Client Record and was accepted.
    a. This can be collected using the same CSI Collection Document used to collect the Periodic data and submitted concurrently.
    b. For legacy client's with migrated episodes, system configuration can be used to specify a reporting go live date which the system if observe and assume all data required to be submitted out of the legacy system was in fact sent and submitted. See the System Setup > Recode section of this guide for details.
3. The client must have a completed service for a procedure code with the setup and configuration detailed in the System Setup section of this guide.

Key Change Record

The Key Change Record is the only record not tied to data collection via documents or other input screens. Rather the system will generate a Key Change Record when a SmartCare Client Id is merged with another Client Id in the system.

For a record to be included as a Key Change Record the following must occur:
1. The client must be enrolled in a Program with the proper setup and configuration detailed in the System Setup section of this guide.
2. The client must have a completed CSI Collection Document which submitted a Client Record and was accepted for the Client ID that was established first.
3. The client must have a completed CSI Collection Document which submitted a Client Record and was accepted for the Client ID that was established second.
4. The two established Client IDs must be merged in SC using Administration > Merge Clients.
    a. A Key Change record will then be created for the extinguished Client ID (Source CCN) and the continuing Client ID (Target CCN) so the state database may delete/update associated Client, Service, Periodic and Assessment records accordingly.

Order of Submission of Records in a File

For the CSI reporting, all records selected on the CSI Reporting Summary List page and then have the Action 'Create a Batch' will be included in the Batch as long as the Record Status is In Progress. The Batch will create ONE File that includes all of the Record Types in the following order:
- Control of the File
- Client Records

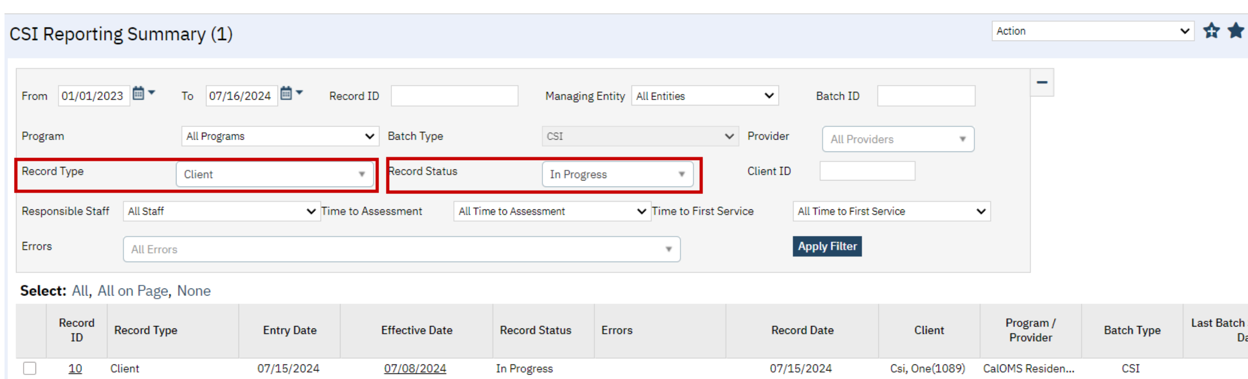
- Service Records
- Periodic Records
- Assessment Records
- Key Change Records

Within each Record Type in the file, the order in which the records will display is the oldest date record first to the newest date record last. Here are a few examples of those scenarios:

- Client A has a Client Record with an Entry Date of 3/1/2024 and Client B has a Client Record with an Entry Date of 3/2/2024. The file would submit the Client Record A then Client Record B.
- Client C has two Periodic Records to submit, one from 7/1/2023 and another from 7/1/2024. The file will report the 7/1/2023 record first and then the 7/1/2024 record second.

If it is desired to have a separate File to submit the Client Records from all other Records. Or a separate File for all Record Types, then the following workflow could be followed:

1. Use the Record Type filter to limit the results to the Record Type(s) you want to include in one file.
2. Use the Record Status filter to filter for In Progress records (this is optional as the system will exclude any that are not In Progress)
3. Set any other filters, such as Date Range, etc.
4. Select All the Records in the List
5. Choose the Action of “Create Batch Submission”
6. This will create the Batch with a File for just the selected records.
7. Repeat this process for any additional Record Types you want to generate a File for.



Reporting Legacy Records & Indicating the Submission Start Date

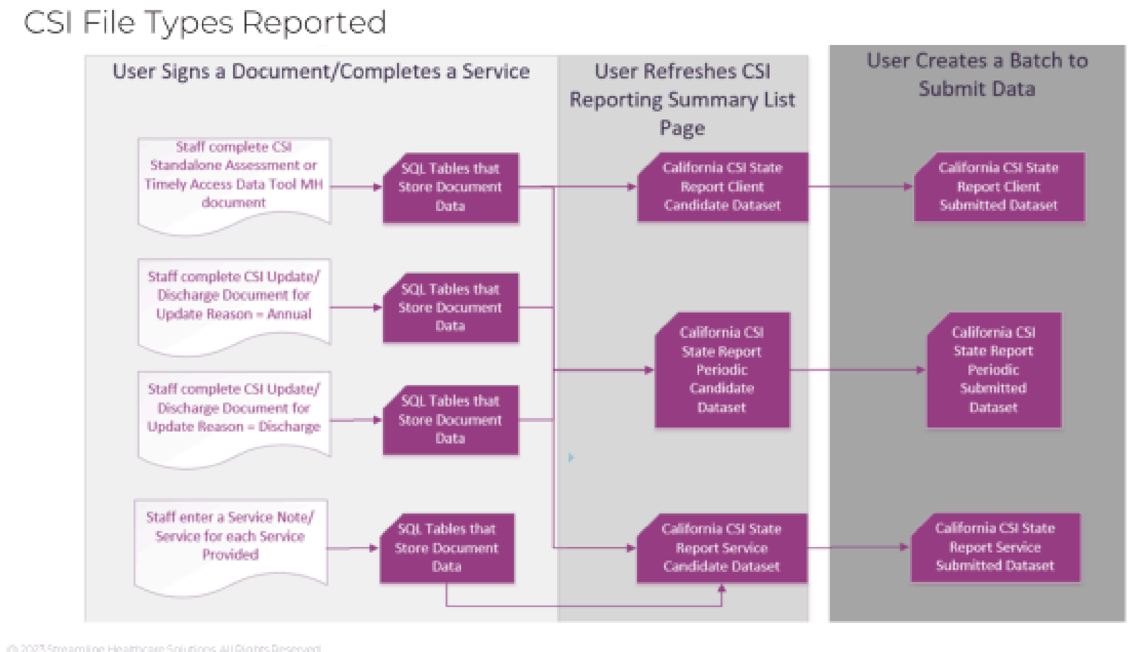
The Recode Category, ‘XCSISubmissionLogicStartDate’ is used to identify client’s where the CSI episode for the client existed prior to the SmartCare go live date. See the Recode Category set up section below for more details on setting up this Recode Category.

- When Client CSI TEDS Episode Enrolled Date is prior to the date set on the Recode, system will not enforce a validation that a CSI Client Record must be sent prior to Periodic, Assessment or Service Records.
- When Client CSI TEDS Episode Enrolled Date is equal to or after the date set on the Recode, system will enforce the validation that the CSI Client Record must be sent prior to the Periodic, Assessment or Service Records.

How Records are Stored in the Database in Relation to the SmartCare Screens

In the reporting of CSI data, there are three instances of the data being stored in the database to track the data collection and submission process. The correlation of the database tables to the data collection is as follows:

- All data collected is stored in SQL tables associated with the particular screen. For example, the Service information is in the Services table. Documents, such as the CSI Standalone Collection Document, are stored in tables with the data based on the Document Version Id of the Client’s Document. Thus, if the client has more than one document version for a single document, each version’s data is stored.
- When the Documents are signed or the Service completed, or when the user uses the Refresh action in the CSI Reporting Summary list page, the records are added or data is updated for existing records in the Candidate dataset tables. There is one candidate dataset table for each different Record Type.
    - Note it is the Primary Key ID of these tables which is displayed as the Record ID in the CSI Reporting Summary List page. Because there is more than one table, this means that there could be more than one row in the list page with the same Record ID. For example, Record ID of 10 in the California CSI State Report Client Candidate Dataset table is the 10th Client Record in the database. But the Record ID of 10 in the California CSI State Report Periodic Candidate Dateset is the 10th Periodic Record in the database. Thus, Record ID could be seen twice in the list page.
- When the Records are Batched for submission, the records are added to the Submitted Dataset tables. There is one Submitted Dataset table per Record Type.



System Setup

In order to properly submit acceptable data the environment needs to be configured with allowable values and configurations.

Global Codes

All of the Global Codes which need to be set up are in the Global Codes tab of the CSI File Mapping spreadsheet.

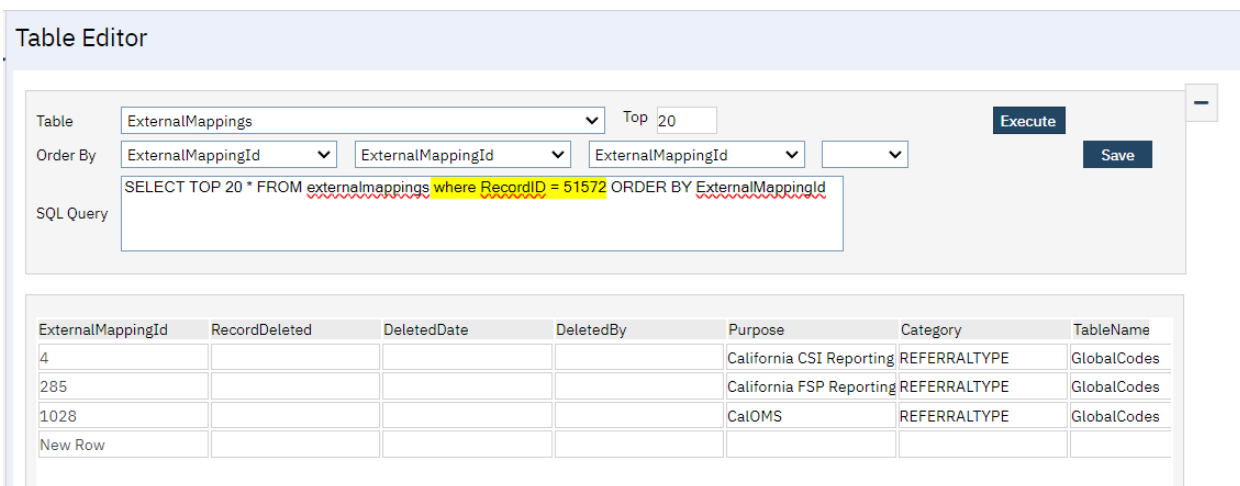
It is necessary for each customer to review this Global Code mapping spreadsheet and complete the following:

1. Confirm the Global Code Categories in Column E and you can use Column J to add the Global Code Names for reference for each Global Code for each Category listed in the spreadsheet. The SmartCare UI Field column (column B) confirms the field in SmartCare that will display the Global Code names which are setup. The spreadsheet is pre populated in Column I with the code values the state allows per the CSI reporting specifications.
2. Map each Global Code ID in Column H to the External Code that this Global Code ID should be reported as (column I) - this is the value that will be sent out in the CSI file. The spreadsheet is prepopulated with the values that are allowed to be reported for each Global Code Name from the CSI reporting specifications.

3. Column G indicates how this needs to be setup in SmartCare. This set up is usually completed by a Primary BA during implementation.
    - If Column G = EC, the External Code 1 field is used in the Global Code Screen.
    - If Column G = EM, a row must be inserted in the External Mappings table in SQL.

When you are reviewing the CSI Reporting Summary screen, if you are getting an error that reads 'value is invalid' or 'value is missing' and the data is present in the Client's record. The second place to check is the Global Code mapping outlined in step 3 for that field to confirm the mapping is correct. To confirm the mapping is correct, you can:

1. Find the Record ID for the Global Code ID you are verifying from the Global Code Details screen for the Global Code Category. Note you can get the Global Code Category from the Global Code Mapping tab of the File mapping.
2. Use the File Mapping - Global Code Tab, column G to confirm where the set up should be (as noted in the steps above)
3. If set up is in Global Code Details - External Code 1, verify this is set up on the screen.
4. If set up is in the External Mappings table, Table Editor screen can be used to view the External Mappings table to verify the setup. Add the where clause in the SQL Query section for the Record ID = the Global Code ID you are trying to verify (shown below in the highlighted section of the screenshot.



Throughout use of the SmartCare system, if you modify Global Code Categories in this spreadsheet, then you need to consider this mapping for the reporting to continue to work properly.

One rule of thumb when setting up the Global Code Mapping:

1. Each unique Global Code ID can only be mapped to one reportable value. If mapped to two or more the process will not know which one to select.
    a. Example:
        i. Global Code ID 345 has the Code Name of 'Employed'.
        ii. The state has two reportable values, report 01 if Full time employed. Report 02 if Part Time employed.

iii. In the mapping, Global Code ID 345 is mapped to both 01 and 02. This is incorrect as the process won't know which value to report. Instead, you will need two Global Code IDs, one to report the 01 and one to report the 02. They would likely have the Code Name of Full time employed and Part Time employed.

2. It IS ok to have the same reportable value reported by two different Global Code ID's.
   a. Example:
      i. Global Code ID 678 has the Code Name 'Kindergarten' and Global Code ID 689 has the Code Name 'Preschool'.
      ii. The state has one reportable value, 60 that the state gives the description of 'Preschool/Kindergarten'.
      iii. In the mapping Global Code ID 678 is mapped to an External Value of 60 AND Global Code ID 689 is mapped to an External Value of 60.
      iv. This set up will work because both global code IDs are mapped to just one External Value. It means that if either are selected on the user interface when collecting data, they would both be reported as 60.

Programs

CSI reporting will use a combination of Program setup and TEDS functionality to accurately compile the records . For further information on setting up and configuring the TEDS screens please reference the California TEDS User Guide.

To set the required program information navigate to Administration > Programs, click the Program Name from the list to open the Program Details Navigate to the Custom Fields Tab. Within this tab is the California Reporting section in which 2 fields are required.

1. CSI Mode of Service- this field indicates the Mode of Service and is required for reporting Service Records.
2. MH Provider ID - this is a required 4 digit field for reporting the Provider Number for Service Records.

System Jobs

Job Name:California DACS Record Refresh

This job will be loaded into your system to refresh any changes made to reportable records on a nightly basis. Any new versions of documents or changes made to system configuration will be pulled into the record by this job each night. Alternatively, the user can manually refresh the record by selecting the records and using the Refresh action explained earlier in this guide. Please also see the next Job outlined in this section for details about refreshing large numbers of records.

Job Name: California DACS Batch Record Actions

When the Reporting List includes more than 10,000 records being manually refreshed the refresh will not occur immediately. Rather the job will be triggered and will run for 15 minutes. Refresh records with less than 10,000 records will be processed in real time.

Procedure Code

To accurately report Service Records, CSI reportable services require configuration of the associated Procedure Code.

To set the required information navigate to Administration > Programs/Rates, click the Procedure Name from the list to open the Procedure Code Details. Navigate to the Custom Fields Tab.

1. CSI Service Function - this value indicates the CSI Service Function Code that is required for Service Record reporting.

System Configuration Keys

System Configuration keys are set up in the Configuration Keys screen 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	This configuration key may be set in order to default and hide the county of submission field on the CSI Documents. 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. To set the configuration key find the FIPS County Code in the following table and enter it into the Value field.

XSetCSIAssessmentInstructionalText	The purpose of this key is to allow organizations to configure in text instructions to end users on how to assess and input data into the CSI Assessment section of the CSI Registration Document, CSI Enrollment Event or CSI Standalone Collection Document. Use the Value field to insert the desired instructional text.
XShowCSIAssessmentTabOnCSIStandaloneDoc	The purpose of this key is to allow organizations the flexibility to capture CSI Assessment data in a workflow that meets their business needs. If key is set to "Yes" Organizations may capture CSI Assessment data for new and new returning clients within the process of registering the client to a SmartCare Episode and State Reporting Episode. Any data that is captured using the standalone CSI Assessment Document will initialize and be editable in the CSI Registration/Enrollment or CSI Standalone Collection Document. If key is set to "No" Organizations must capture CSI Assessment data or new and new returning client using the standalone CSI Assessment Document

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
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		

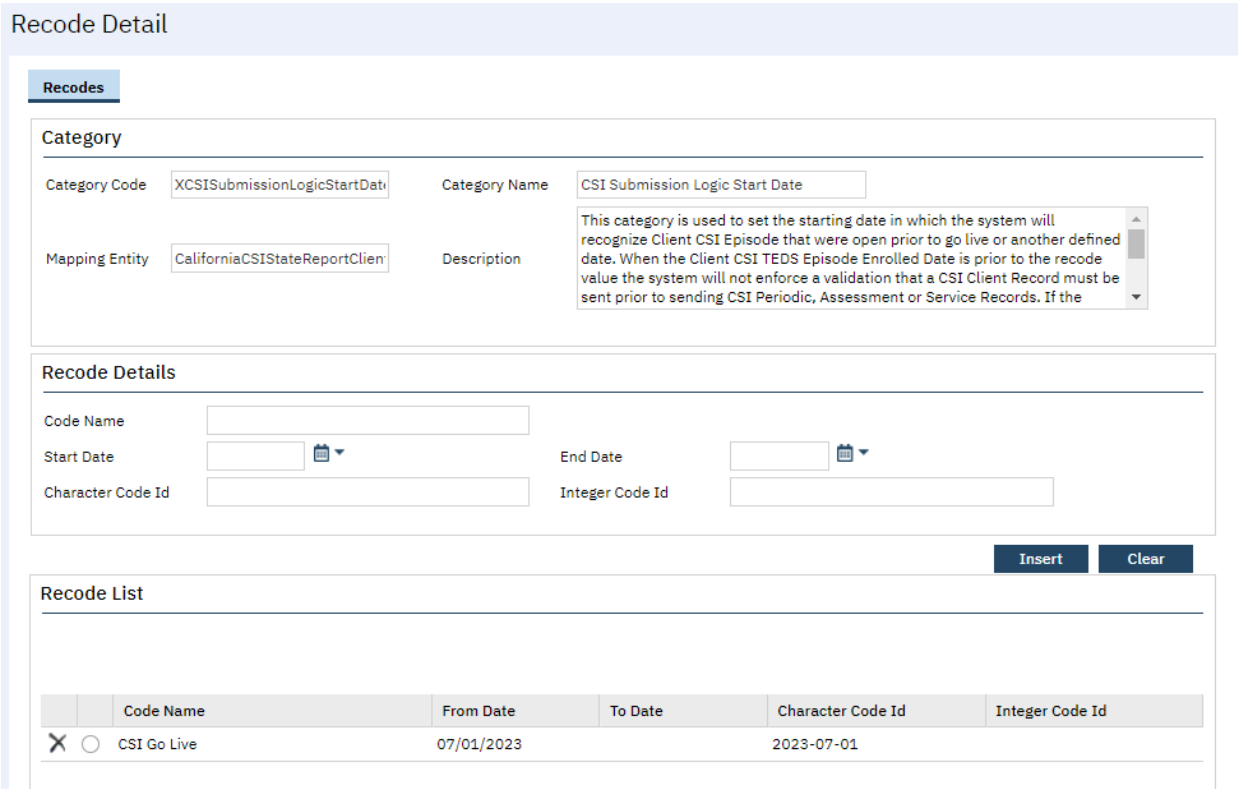
Recode Categories

Recode Categories are set up in the Recodes screen in SmartCare's Administration tab. The Recode Category 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
XCSISubmissionLogicStartDate	This category is used to set the starting date in which the system will recognize Client CSI Episodes that were open prior to go live or another defined date. When the Client CSI TEDS Episode Enrolled Date is prior to the recode value the system will not enforce a validation that a CSI Client Record must be sent prior to sending CSI Periodic or Service Records. If the Client CSI TEDS Episode Enrolled Date is on or after the recode value the system will enforce a validation via an error message in the CSI Reporting Summary List Page that a CSI Client record must be sent prior to or at the same time as the CSI Periodic or Service Record. If no value is provided the logic will not be enforced. Please enter the Character Code Id in the (yyyy-mm-dd) format

XCAMedical	This category is used to identify which Coverage Plans in SmartCare are Medi-Cal Plans. This controls which Plans in the Client's list of plans will display the Insured ID for that plan in the CSI Update/Discharge document as the Medi-Cal ID. Integer Code ID = The Coverage Plan ID from the Plan Details Screen Information tool in the toolbar will display the Coverage Plan ID). Start Date should be equal to or before your go live date.

To enter a Recode, open the Administration tab → Recodes Banner. In the banner, find the name of the Recode Category noted in the list above and click on the category to open the details screen. In the details, enter the 'Recode Details' section for the Code Name, Start Date and Integer Code ID. The Integer Code ID must be the data as noted in the table above. Click Insert and then click Save in the toolbar once all entries are made.



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

a. Select Permission Type > Screens
b. Grant CSI Report Summary and CSI Report Summary Details

5. To view CSI Batch Records
    a. Select Permission Type > Screens
    b. Grant Compliance Batch List Page and Compliance Batch Detail Page

Version Control

Revision Date	Description	Updated By
6/21/24	Clarified workflows and list page logic.	Erin Mabray
7/12/2024	Added configuration keys, workflow steps, reporting logic for order of records, and set up clarification on global codes and recode categories	Katie Morrow