CA PSC-35 Reporting User Guide

Version 3.0
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Overview

Reporting Process

Reporting User Interface

Once the data has been collected and is eligible for submission the records are available to be reviewed via the PSC 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.

Navigating to the PSC Reporting Summary List Page.

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

The PSC Reporting Summary List Page displays all eligible PSC 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 PSC 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 PSC record
- Batch ID - if a record has previously been batched, this field will filter on a specific Batch ID.
- Client ID - this is the unique SC identifier of the client record associated with the PSC record.
- Program - indicates which program the PSC record is associated with
- Provider - if the customer is a County entity and is utilizing MCO, this will indicate which Contracted Provider the PSC record is associated with
- Reason for Assessment - this filter allows for differentiating between different reasons the PSC was completed.
- Record Type - this filter allows for differentiating between the different PSC record types; if applicable
- Record Status - indicates the current status of the record.
- Responsible Staff - the staff who completed the data collection for the record will display
- Managing Entity - the county that the PSC records are to be reported to may be selected.
- Batch Type - this will default to PSC Batch Type
- Errors - this multi select filter will display the applicable errors.

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 PSC 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 PSC 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.

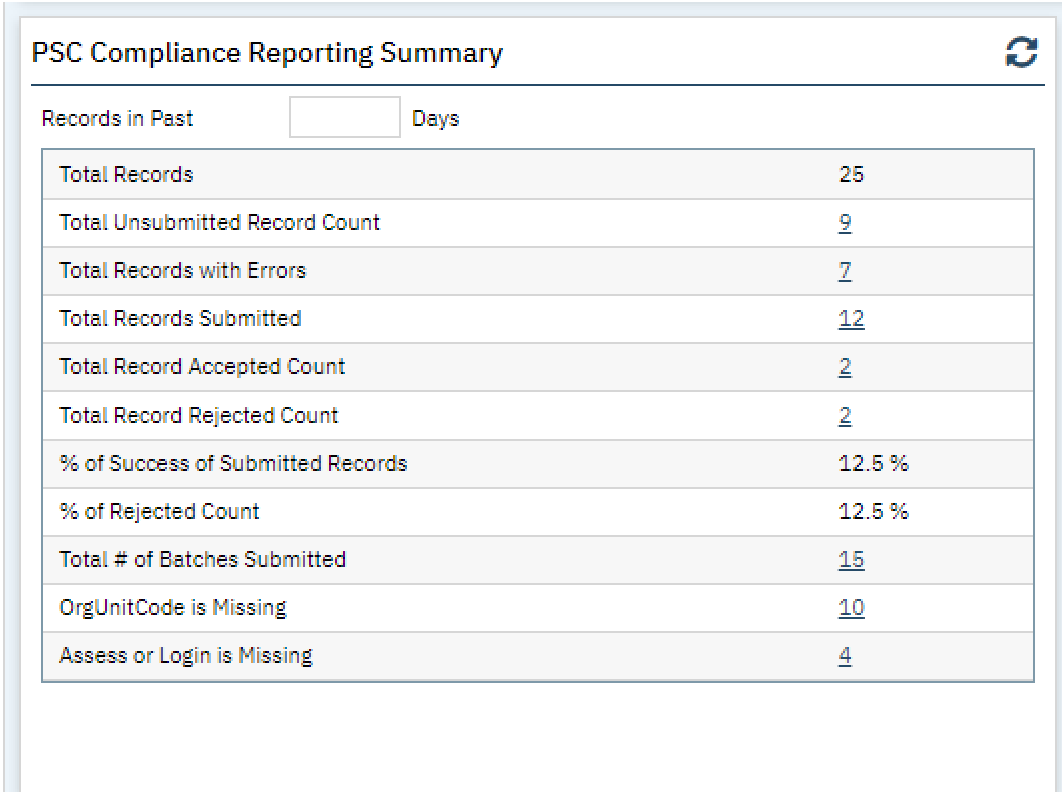
   a. Details regarding the errors and steps for resolution can be found in the Error Message List Page. Reference the Error Message List Page section of this guide for additional information.
5. Once data has been corrected, navigate back to the PSC Reporting Summary List page and use the check box to 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.

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 PSC 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 PSC Reporting Summary Widget
3. Enter a number of past days for which to filter the records.
4. Click the refresh icon in the right hand corner of the widget if filters were modified.
5. 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.



Total Records	25
Total Unsubmitted Record Count	9
Total Records with Errors	7
Total Records Submitted	12
Total Record Accepted Count	2
Total Record Rejected Count	2
% of Success of Submitted Records	12.5 %
% of Rejected Count	12.5 %
Total # of Batches Submitted	15
OrgUnitCode is Missing	10
Assess or Login is Missing	4

The PSC 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 PSC 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 PSC 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 PSC folder.
4. Retrieve the file for the desired batch.

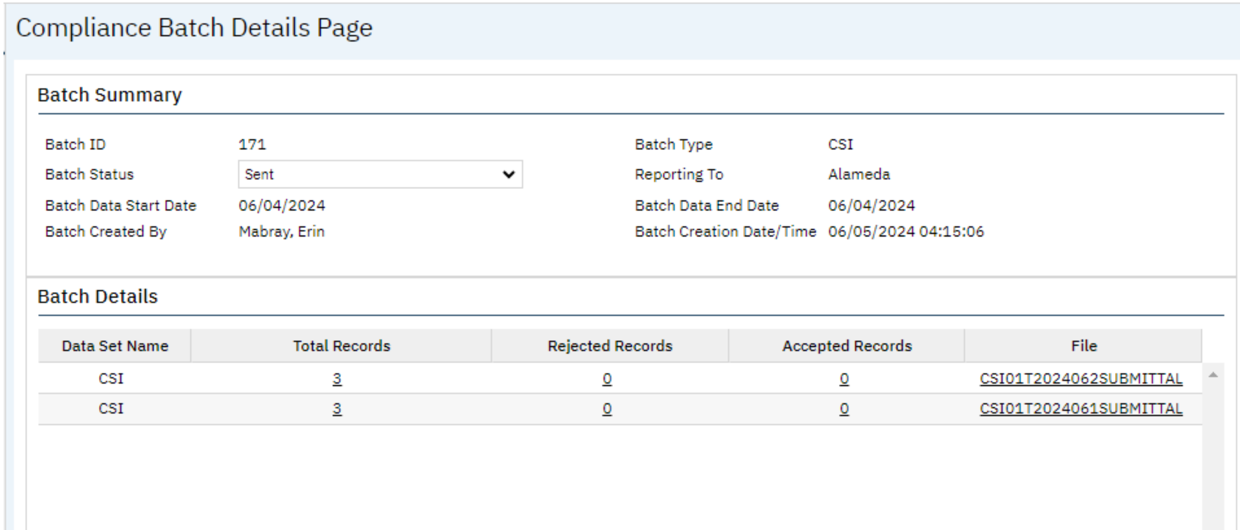
The second option is to utilize the Compliance Batch List Page.

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

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.



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 PSC, 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 PSC, 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 PSC 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.

To mark records as rejected:

5. Navigate to the PSC 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.

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

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
ASAM	ASAM	Medi-Cal Client Index Number is Missing	Client Plans > General OR "Medi-Cal Field" in Client Information > Custom Fields">Fill t...	ClientIndexNumber
ASAM	ASAM	Medi-Cal Client Index Number is Miss m...	Client Plans > General OR "Medi-Cal Field" in Client Information > Custom Fields">Corr...	ClientIndexNumber
ASAM	ASAM	Indicated Level Of Care is Missing	Final Determination > Final Placement Determination ">Select the "Indicated/Referred ...	IndicatedLevelOfCare
ASAM	ASAM	Actual Level Of Care is Missing	Final Determination > Final Placement Determination ">Select the "Provided Level" in C...	ActualLevelOfCare
ASAM	ASAM	Additional Indicated Level Of Care 1 is M...	SB ASAM Final Determination > Final Placement Determination">Select the "Additional ...	AdditionalIndicatedLe...
ASAM	ASAM	Additional Indicated Level Of Care 2 is M...	SB ASAM Final Determination > Final Placement Determination">Select the "Second Ad...	AdditionalIndicatedLe...
ASAM	ASAM	Additional Actual Level Of Care is Missing	SB ASAM Final Determination > Final Placement Determination">Select the "Provided A...	AdditionalActualLevel...
ASAM	ASAM	Actual Level Of Care Difference is Missing	SB ASAM Final Determination > Final Placement Determination">Select the "If Actual L...	ActualLOCDifference
ASAM	ASAM	Actual Level Of Care Difference Other is ...	SB ASAM Final Determination > Final Placement Determination">Enter the "If reason w...	ActualLOCDifferenceO...
ANSA	ANSA	AssessmentDate Field Is Missing	Please Provide the AssessmentDate In California ANSA>Initial>General>Date of Assess...	AssessmentDate
ANSA	ANSA	OrgUnitCode Field Is Missing	Please Provide the OrgUnitCode In Program Details>Custom Fields>California Reportin...	OrgUnitCode
ANSA	ANSA	AssessorLogin Field Is Missing	Please Provide the AssessorLogin In Staff/Users>Staff Details>Custom Fields>Legacy S...	AssessorLogin
ANSA	ANSA	ApprovalDate Field Is Missing	Supervisor Signature & Date>Signature Date">Please Provide the ApprovalDate In Calif...	ApprovalDate
ANSA	ANSA	InstrumentType Field Is Missing	Please Provide the InstrumentType In California ANSA>Initial>General>Client meets cri...	InstrumentType
ANSA	ANSA	CaregiverFirstName Field Is Missing	Please Provide the CaregiverFirstName In California ANSA>Caregiver Needs>Caregiver...	CaregiverFirstName
ANSA	ANSA	CaregiverLastName Field Is Missing	Please Provide the CaregiverLastName In California ANSA>Caregiver Needs>Caregiver...	CaregiverLastName

1 2 3 4 5 6 Next Last 1

Workflows for Collecting Data

Clients with a completed PSC-35 document are eligible for PSC Reporting. Please see the PSC File Mapping for more detailed specifications than the summary provided here.

SmartCare Screen	Description of Data
PSC-35 Document	TRANSACTION CODE TRANS_CD COUNTY CODE CNTY_CD ASSESSMENT DATE ASSESS_DT ASSESSMENT TYPE ASSESS_TYPE HAS CAREGIVER CAREGIVER PSC_Q1 PSC_Q2 PSC_Q3 PSC_Q4 PSC_Q5 PSC_Q6 PSC_Q7 PSC_Q8 PSC_Q9 PSC_Q10 PSC_Q11 PSC_Q12 PSC_Q13 PSC_Q14 PSC_Q15 PSC_Q16 PSC_Q17 PSC_Q18 PSC_Q19 PSC_Q20 PSC_Q21 PSC_Q22 PSC_Q23 PSC_Q24 PSC_Q25 PSC_Q26 PSC_Q27 PSC_Q28 PSC_Q29 PSC_Q30 PSC_Q31

SmartCare Screen	Description of Data
	PSC_Q32 PSC_Q33 PSC_Q34 PSC_Q35 PSC_PROBLEMS PSC_ADDL_SERVICES PSC_SERVICELIST
Client Information	COUNTY CLIENT NUMBER (CCN) CCN CLIENT NAME CLIENT_NAME CLIENT DOB
Program Details	PROVIDER NUMBER PROVIDER_NUM
Client Coverage Plan	CLIENT INDEX NUMBER (CIN) CIN
System Generated	ASSESSMENT TOOL CODE

File Logic

Record Types

The PSC records are reported as one record type.

PSC Record

For a record to be included as a PSC 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 PSC-35 Document

System Setup

Outline in this section the setup needed to successfully deploy the reporting into production. You can reference other documents where lists are maintained for things like Global Codes. Or you can directly add those to the user guide. Applicable areas may include the following:

Global Codes

Global Code Category	Field in PSC-35 Report	What to Set Up
XCAReasonAssessment		Global Code Details
XCACaregiverType		Global Code Details

Program

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 field is required.

1. 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.

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	This configuration key may be set in order to default and hide the county of submission field on the PSC-35 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. To set the configuration key find the FIPS County Code in the following table and enter it into the Value field.

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		

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 PSC Documents
   a. Select Permission Type > Document Codes (View)
   b. Grant PSC-35 Document
   c. Select Permission Type > Screens
   d. Grant PSC-35 Document
2. To edit PSC Documents
   a. Select Permission Type > Document Codes (Edit)
   b. Grant PSC-35 Document
   c. Select Permission Type > Screens
   d. Grant PSC-35 Document
3. To view the PSC Reporting Summary Widget
   a. Select Permission Type > Widgets
   b. Grant PSC Reporting Summary
4. To view PSC Records
   a. Select Permission Type > Screens
   b. Grant PSC Report Summary and PSC Report Summary Details
5. To view PSC Batch Records
   a. Select Permission Type > Screens
   b. Grant Compliance Batch List Page and Compliance Batch Detail Page

Revision Tracking

Revision Date	Updates	Updated by
11/7/2022	First draft	Erin Mabray
2/10/2024	• Added steps to queue the records for resubmission once the records are rejected/canceled • Added a section that explains the Error Message List Page • Updated the branding - including the headers and footers and the colors for the header 1, header 2 etc • Added a Revision Tracking section	Neha S
6/21/2024	Clarified workflows and list page logic	Erin Mabray