CALIFORNIA DEPARTMENT OF

Mental Health

1600 9th Street, Sacramento, CA 95814
(916) 653-2309

December 20, 2004

DMH INFORMATION NOTICE NO.: 04-10

TO: LOCAL MENTAL HEALTH DIRECTORS
                LOCAL MENTAL HEALTH PROGRAM CHIEFS
                LOCAL MENTAL HEALTH ADMINISTRATORS
                COUNTY ADMINISTRATIVE OFFICERS
                CHAIRPERSONS, LOCAL MENTAL HEALTH BOARDS

SUBJECT: CHANGING AUTOMATED SYSTEMS THAT REPORT TO THE
                CLIENT AND SERVICE INFORMATION (CSI) SYSTEM

The Department of Mental Health (DMH) has been notified that several counties are changing or are expecting to change the automated system they use to report to the DMH's Client and Service Information (CSI) System. The purpose of this Information Notice is to remind counties that when they change software systems or make modifications to their automated systems, they must go through a test process to ensure the compatibility of the new or modified system with the existing CSI data and the CSI system. The following information describes the process and provides instructions on the change and test process. It is important to follow these instructions since submission of non-compatible and untested data can require corrections that are time-consuming, difficult, and costly for the county and DMH.

GENERAL PROCESS

Once the County Mental Health Director or designee has notified the Department of a system change or modification, the CSI analyst assigned to that county will provide assistance with the transition to the new system. Notifying the CSI analyst early in the process will be most helpful in case there are any CSI changes being discussed that might impact the new system.

The first question that must be answered is how the county intends to deal with County Client Case Numbers (CCN)? Will they be changing with the new system or will they remain the same in the new system? A failure to deal with this issue can cause serious problems, since the CCN is a primary key used to link clients to their services and information reported on the periodic record.

The CCN for all clients must remain constant within a fiscal year. This is absolutely critical in order to provide unduplicated client counts and analyses of the CSI data within a fiscal year. If the system changes require a county to change CCNs mid-year, the CSI System is able to handle these CCN changes using the Key Change transaction. The Key Change (KC) transaction merges one or more CCNs into a single CCN. This allows us to maintain a single CCN for each client in the CSI Master database. The Key Change transaction can also be used if CCNs change at the break in the fiscal year or if there is a need at any time to consolidate two or more records for one individual.

Prior to submitting production data from a new system to the CSI system, each county must submit test data. Upon receipt of the test data, DMH staff will edit it for field, relational, system, and logic errors. A county can resume reporting production data to DMH once all fields containing data are within acceptable error percentage thresholds. Once a submission of CSI data has reached an acceptable threshold of errors, DMH will send a letter instructing the county to provide production data one month at a time until current.

The following provides detailed requirements for changing systems and CCNs.

INSTRUCTIONS

If you are changing your automated reporting system, please proceed to 1.

If you are only changing the CCN, please proceed to 2.

Once 1 and/or 2 have been completed, please proceed to 3 and 4.

If you are making system modifications that do not affect the CCN, please proceed to 3 and 4.

1. CHANGING AUTOMATED REPORTING SYSTEMS
   Determine when the system change will occur and whether or not the CCN will be affected. Even if the CCN will not change, you must contact DMH to discuss historical CSI error corrections and testing the CSI data produced by your new system. Proceed to number **two** if the CCN will change, or to number **three** if the CCN will not change.

2. COUNTY CLIENT NUMBER CHANGES
   Changing the CCN Concurrent with a Change in the Fiscal Year
   If the CCN changes concurrent with a change in the fiscal year, then a client would have one CCN for all services in past fiscal years and a different CCN for all services in the current and subsequent fiscal years. This will allow for accurate unduplicated client counts within fiscal years, but will not allow for accurate linking across fiscal years, such as inpatient follow-up studies. If you do wish to maintain the CCN across fiscal years you will need to submit CSI Key Change Records to CSI. Key Change Records are applied to all past services

and allow for both accurate unduplicated CSI client counts within fiscal year and accurate linking of CSI clients and services across fiscal years.

OR

Changing the CCN During the Fiscal Year
If the CCN changes <u>during</u> the fiscal year, then discuss the timing of the change with your CSI analyst to develop a plan for the submission of CSI Key Change Records. Key Change Records merge one or more CCNs into one CCN and are absolutely necessary in this situation to maintain a single CCN for each client. Key Change Records are applied to <u>all</u> past services and allow for both accurate unduplicated CSI client counts within fiscal year and accurate linking of CSI clients and services across fiscal years.

3. <u>CSI HISTORICAL ERROR CORRECTIONS</u>
The DMH is concerned that as counties change systems they may lose the ability within their new system to correct CSI errors created in the prior system. As counties prepare to change systems, the DMH will work with counties to develop a plan to correct historical CSI errors. Below, the DMH has identified a hierarchy of CSI field errors, including error thresholds that counties will be required to meet beginning with FY 2000-01 CSI data.

I – FATAL ERRORS
Fatal errors prevent the updating of the CSI Master database. None of the data from the transaction record are added to the CSI Master database<u>. Types of errors in this category include the CCN, Provider Number, and Mode of Service. The DMH has set the Fatal Error threshold for each fiscal year at no more than one percent of a county's total CSI transaction records</u>.

II – NON-FATAL "CRITICAL" ERRORS
This category is a subset of Non-Fatal errors that are extremely critical to CSI's ability to adequately respond to requests for CSI data and analyses. Non-Fatal "Critical" errors will allow the updating of the CSI Master database with the

exception of the fields in error, which are left blank on the CSI Master database. Types of errors in this category include Date of Birth, Race/Ethnicity, and Diagnosis. <u>The DMH has set the Non-Fatal "Critical" Error threshold for each fiscal year at no more than one percent of a county's total CSI transaction records</u>.

III – NON-FATAL ERRORS
Non-Fatal errors will allow the updating of the CSI Master database with the exception of the fields in error, which are left blank on the CSI Master database. Types of errors in this category include Education, Employment Status, and Conservatorship/Court Status. <u>The DMH has set the Non-Fatal Error threshold</u>

for each fiscal year at no more than five percent of a county's total CSI transaction records.

4. TESTING CSI DATA FROM A NEW AUTOMATED REPORTING SYSTEM
   Testing CSI data from a new or modified system can proceed while corrections of historical CSI errors are completed. Testing will continue until acceptable error threshold levels for production reporting are reached. To resume production CSI reporting, Fatal and Non-Fatal "Critical" errors must be less than one percent of the test file's total transactions, while Non-fatal errors must be less than five percent of the test file's total transactions.

   Please note that it may take more than one cycle of submitting test data and correcting submission errors to bring the data within an acceptable percentage of errors per submission file.

   Once a submission of CSI data has reached an acceptable threshold of errors, DMH will send a letter instructing the county to submit production data one month at a time for all past due service months until current.

The CSI analyst will work with the county through all of these steps to facilitate the system transition.

Please direct any technical questions to Mike Anderson of Information Technology at mike.anderson@dmh.ca.gov, or by phone at (916) 654-6181 and direct questions regarding Information Technology Web Services (ITWS) to Loren Rubenstein of Information Technology at loren.rubenstein@dmh.ca.gov or by phone at (916) 654-6249.

Please direct any questions about this letter to Tom Wilson, CSI Manager, at tom.wilson@dmh.ca.gov or by phone at (916) 653-4608.

Sincerely,

STEPHEN W. MAYBERG, Ph.D.
Director

cc: Robert Garcia
       Carol Hood
       Holly Johnson
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       Tom Wilson
       Loren Rubenstein
       Mike Anderson
       CSI Staff