



Department of Health Care Services (DHCS)

**California Outcomes Measurement System
(CalOMS) Treatment (TX)**

**Error and Submission Details Report
Use and Interpretation Guide**

Counties and Direct Contract Providers

Version 3.0

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DOCUMENT HISTORY

Version	Date	Brief Description of Modifications
1.0	08/20/2007	Initial Production Release Version
2.0	04/2009	Revised for County, Direct Provider Use
3.0	05/2014	Revised to DHCS Standards

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1.0 Executive Synopsis

This guide provides a detailed explanation of the Error and Submission Details report.

The guide is intended to serve as a reference on how to produce and interpret the Report. Specifically, this guide describes:

- Report generation procedures for Error and Submission Details used by DHCS staff, Counties and Direct Contract Providers (C/DCP).
- Report filters and the ways in which the filters are used to determine the data included on the Report, and
- Report components and their contents.

This guide also contains a section that addresses how the Error and Submission Details report may assist users in CalOMS data submission monitoring.

2.0 Error and Submission Details Report Access and Overview

2.1 Error and Submission Details Report Access

The C/DCPs will need to request access to the Error and Submission Details report function via Department of Health Care Services, Information Technology Web Services (ITWS) Memberships following the established ITWS access administration process for CalOMS. New requests for reports on ITWS will generate faster if C/DCPs delete the older reports that have been previously generated.

2.2 Error and Submission Details Report Overview

The Error and Submission Details report provides a detailed record of all errors and submissions for each C/DCP. In order to understand the Report content and layout, it is important to review the following concepts as they relate to CalOMS data submission:

- **Direct Contract Providers (DCP) vs. County Contract Providers (CCP).**

Direct Contract Providers are entities that are contracting directly with the State of California to provide drug and alcohol addiction treatment services. The DCPs are obligated to report CalOMS treatment data directly to the state via ITWS. Each DCP facility location is assigned a separate identification number that is recorded in the DHCS Master Provider File. Each DCP facility location should submit CalOMS data using the assigned identification number. CalOMS application considers each DCP location a separate DCP reporting unit.

County Contract Providers are entities that are contracting with a specific county (or in some cases several counties) to provide drug and alcohol addiction treatment services. The CCPs are obligated to report CalOMS treatment data to the county where they are located. CCP facilities are assigned identification numbers that are recorded in the DHCS Master Provider File. The county is responsible for submitting all CCP treatment data to CalOMS.

- **Report Month vs. Submission Month**

Report Month for admissions is determined based on the admission date, regardless of when the record was submitted to CalOMS. Similarly, for discharges and annual updates, the report month is determined based on the discharge date or annual update date respectively.

Submission Month for any record type is the month in which the physical submission of the record to CalOMS occurred. For example, if an admission with the admission date of January 15, 2007 is submitted on March 1, 2007 then the report month for this admission is January 2007 and the submission month is March 2007.

- **Submission of records vs. Resubmission of records**

Records submitted with the Type of Form 1 (Admission), 4 (Discharge) or 7 (Annual Update) are considered submissions.

Records submitted with the Type of Form 2 (Resubmission of Admission), 5 (Resubmission of Discharge) or 8 (Resubmission of Annual Update) are considered resubmissions.

Note: Error and Submission Details Reports presents data based on who submits the data, not by who paid for the service.

For example, if a CCP in County A provided service in June 2006 and County B submitted the record in February of 2007, the service will be included in the report details for County B (for a specified date range that includes February 2007) not County A.

The Error and Submission Details Report consists of one table, with four sections:

- **Header**
- **Sub-Header**
- **Body**
- **Footer**

The Header section identifies the report filters selected by the user as well as system generated data. The Header section also includes the name of the person that generated the report. The Sub-Header section contains data about the submitted file and records. The Body section contains the accepted and/or rejected records being reported on, as a result of the selected filters. The Footer section contains a standard template pagination field along with a privacy note.

3.0 Error and Submission Details Report Generation Instructions

This section describes the steps that the user should follow to produce the Error and Submission Details report in ITWS.

3.1 Error and Submission Details Report Generation Procedure – ITWS

This section describes how to produce the Error and Submission Details report in the ITWS system.

Step 1 – Log into ITWS

Log into ITWS using assigned user ID and password. The ITWS main page will be displayed. (Figure 1)

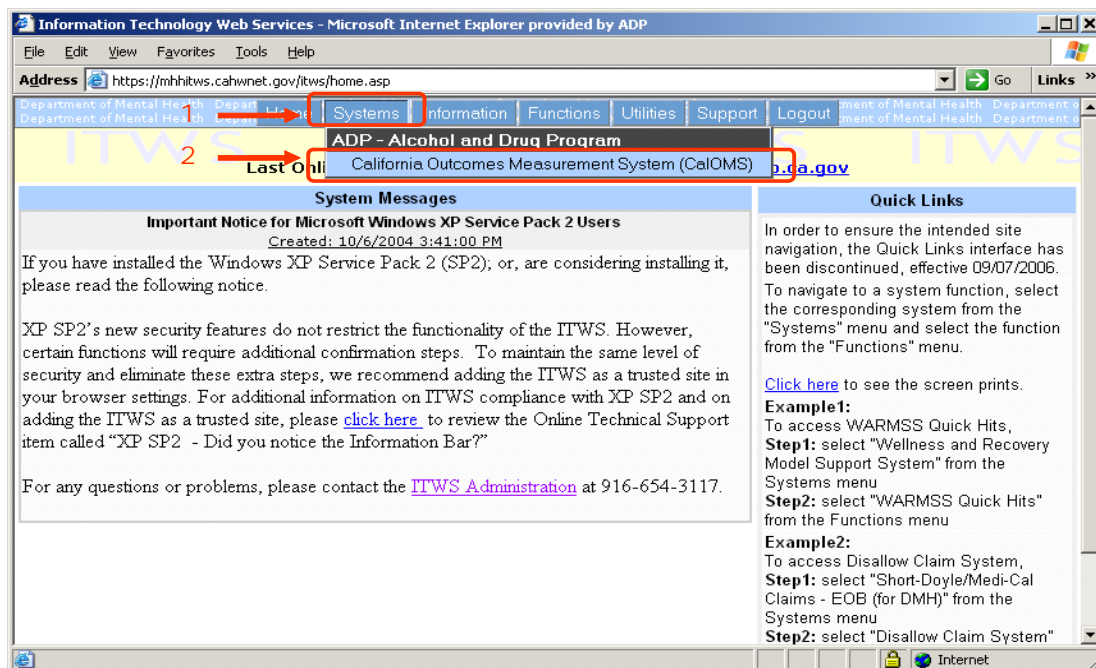


Figure 1 – ITWS Main Page

Step 2 – Select CalOMS

From the ITWS main page (Figure 1) select Systems menu option (1). Under Systems menu, select California Outcomes Measurement System (CalOMS) from the drop down list of the available systems (2). CalOMS main page will be displayed (Figure 2).

Step 3 – Access Error and Submissions Detail Report Filter Screen

From the CalOMS Main page, click the Functions button (1) on the top navigation bar. Under the Request Reports menu group (2) click to select Errors and Submission Details Report (3) from the list (Figure 2). The Error and Submissions Detail Report Filter screen will be displayed.

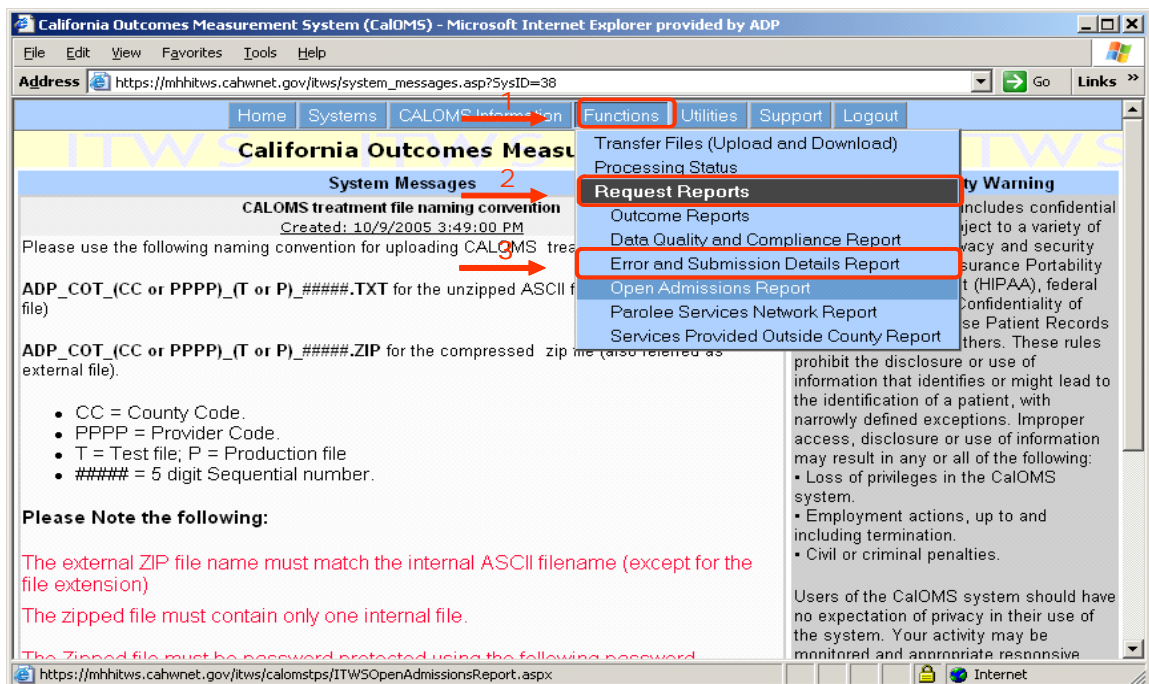


Figure 2 – ITWS CalOMS Main Page

Step 4 – Type in Start Date and End Date

From the Error and Submission Details Report Filter screen type in the Start Date and End Date(1) for which the report is requested (Figure 3).

Step 5 – Select C/DCP

From the Error and Submission Details Report Filter screen select the desired C/DCP from the drop down list (2) (Figure 3).

Step 6 – Select Record Status

From the Error and Submission Details Report Filter screen select the desired Record status interested in viewing from the drop down list (3) (Figure 3).

Step 7 – Generate Report

Click the View button (4) to generate the report in PDF format or click the Data Extract button (5) to generate the report in Excel format. (Figure 3) The system will process the report request.

Step 8 –Retrieve Report

The Error and Submission Details report contains Protected Health Information (PHI) and must be protected in compliance with the privacy and security requirements defined in the rules of the Health Insurance Portability and Accountability Act (HIPAA) and Confidentiality of Alcohol and Drug Abuse Patient Records (42 CFR Part 2). This can be located on DHCS's website at <http://www.DHCS.ca.gov/hp/hipaa.shtml>.

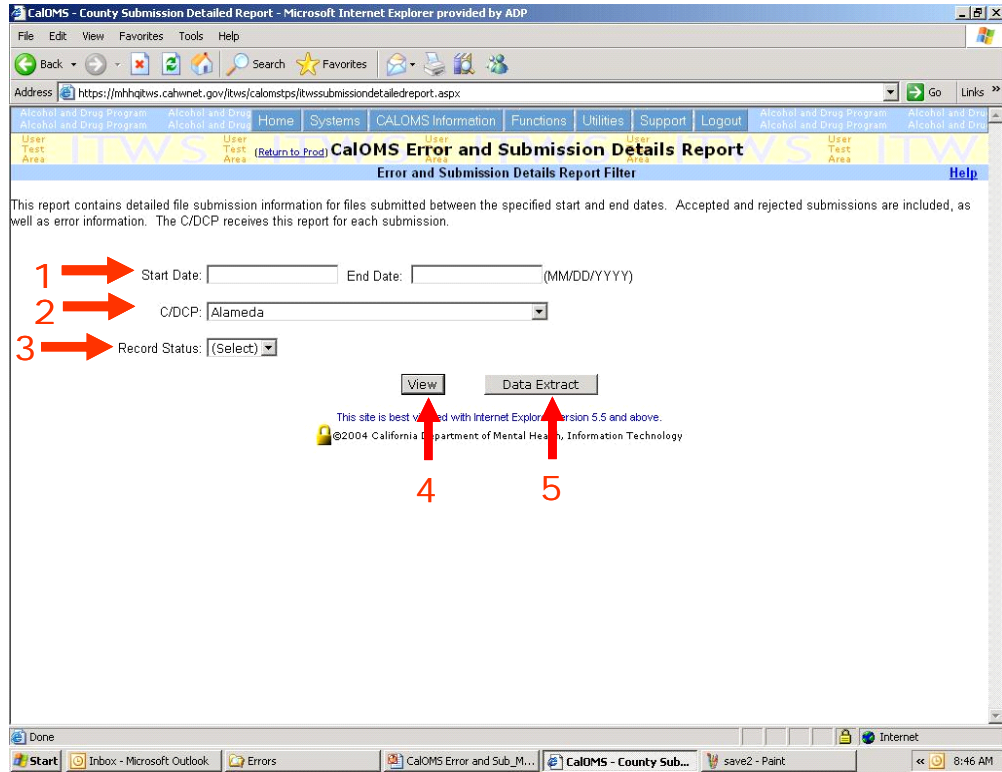


Figure 3 – ITWS Data Quality and Compliance Report Filter Screen

If the requested report takes less than 15 seconds to open, an “open” button will appear and the user has the choice to open the report or to save it. The report will not be available to view again if the user does not save the report to a secure location. If the report takes longer than 15 seconds to produce, the user will receive the following message: “Report retrieval is processing in the background. Please check your inbox later.” The message will appear in red at the top of the Error and Report Submission Details Filter screen. The user will not see a dialog box allowing the viewing of the report (Figure 4).

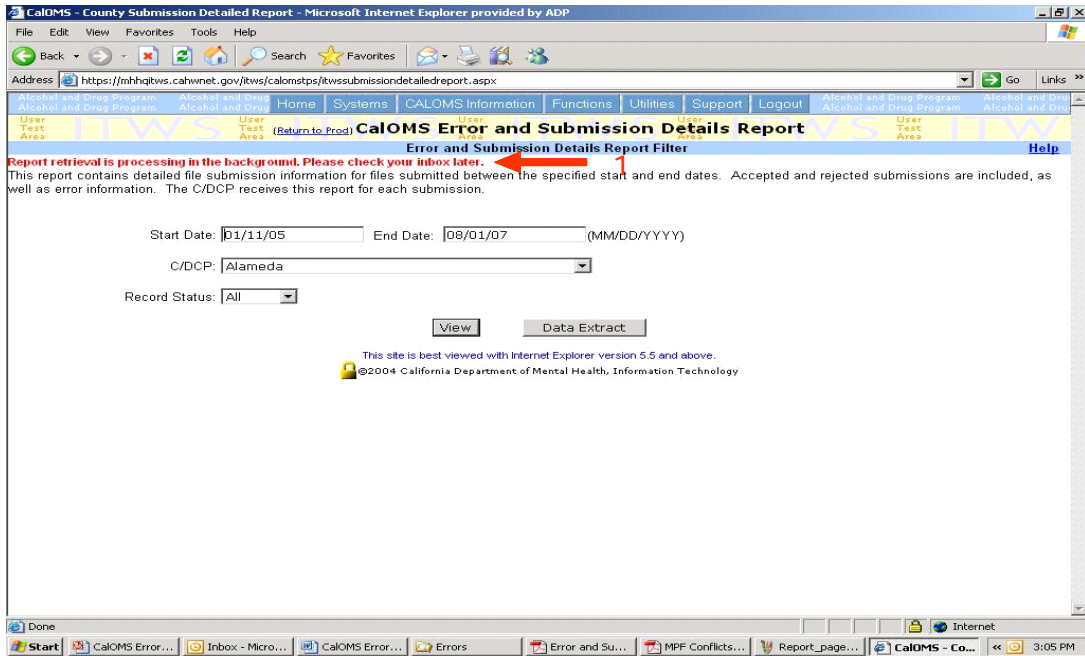


Figure 4 – ITWS Processing in Background Message

Once the report is produced by the system and is available for viewing, the system will place the zipped and password protected report file on the Transfer Files screen in the Download section and send an email notification to the user stating that the requested report is ready for review.

The user can retrieve the report by navigating to Transfer Files screen. To access Transfer Files screen click on the Functions button (1) on the top navigation bar and select Transfer Files (Upload and Download) option (2) (Figure 5).

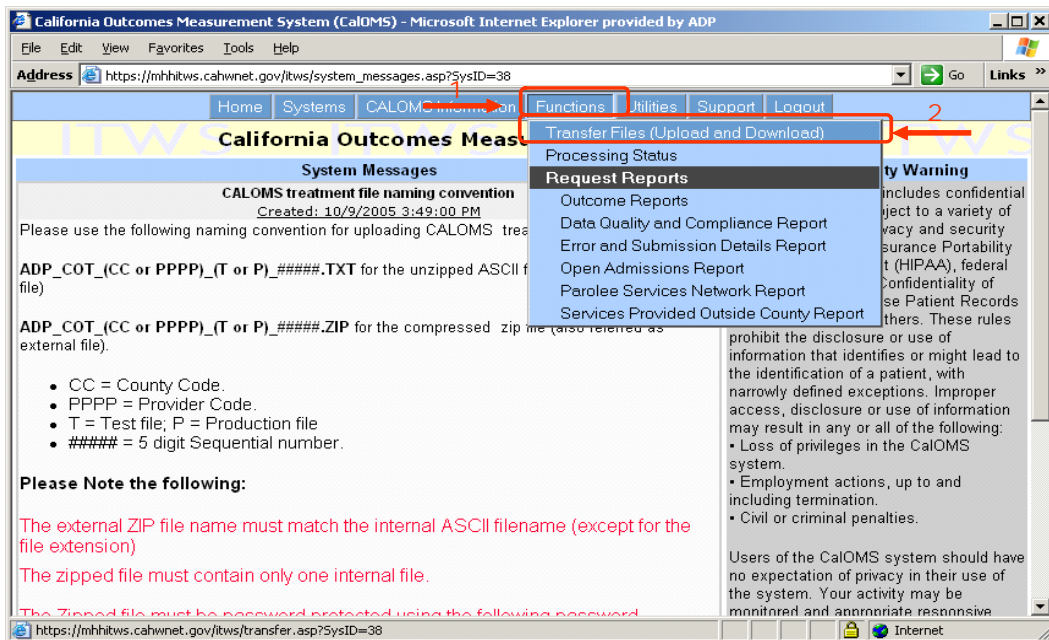


Figure 5 – ITWS Accessing Transfer Files Screen

The Transfer Files screen will be displayed (Figure 5). To access the report from the Transfer Files screen, locate the report file in the Download section of the screen (1). The file name will contain the report name – “ESD” and the report request date and time (2) (Figure 6).

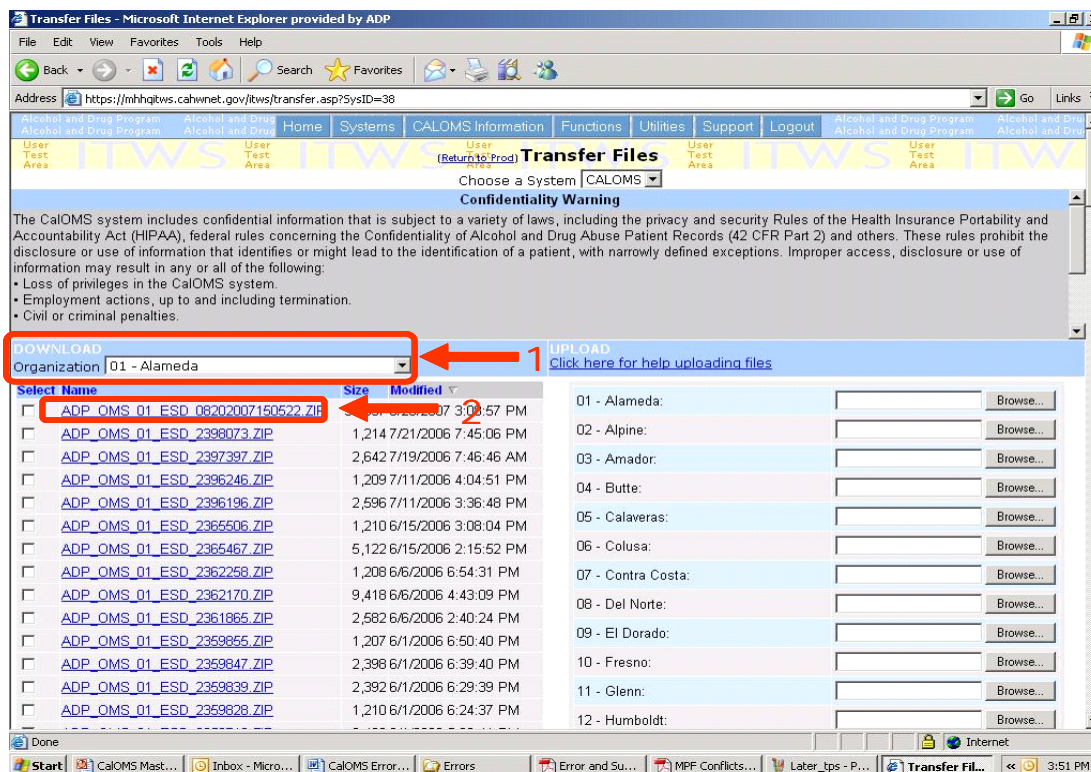


Figure 6 – ITWS Transfer Files Screen

To open the report from the Transfer Files screen, click on the file name (1). The report file will download to the user’s workstation and the File Download dialog box will be displayed. Click the Open button to open the downloaded file. The report file is zipped and password protected and will require the user to enter their password information in order to open the file. The C/DCP should use the password that is being used to submit CalOMS files in ITWS

NOTE: It is recommended that a copy of any report generated in ITWS be saved to a secure location on a personal computer. Please delete any old reports on the ITWS Transfer File screen once they are no longer needed. As the list of old reports that appear on the ITWS Transfer screen grows, it will take longer for new reports to generate.

Any reports older than 90 days will automatically be deleted by ITWS.

4.0 Error and Submission Details Report Filters

The Error and Submission Details report can be filtered using any combination of three available filter criteria. This section provides a detailed explanation of each of the Report filters. These include Start/End Date filter (1), and the Record Status filter (2).

4.1 Start/End Date Filter

The Start Date filter and the corresponding End Date filter (1) allow the user to specify the date range for which to produce the Error and Submission Details report. The text field format is explained as MM/DD/YYYY (Example: 03/07/2007). The Filter specifies the date range of submission, not of the report month/event. If Marin County submits a record for the report/event month of January 2007 in September 2007, the specified date range must include September 2007 in order to see the results of the January report/event month record. An event is an admission, discharge or annual update.

4.2 Record Status Filter

The Record Status Filter allows the user to choose to generate the report for “Errors” or “All”. Selecting the “Errors” option from the drop down list will mean that the report will only include the records that were rejected at submission due to the errors they contained. Selecting “All” from the drop down list will mean that the report will include both the rejected and accepted records.

5.0 Error and Submission Details Report Contents

The Error and Submission Details report (Figure 8) consists of one table that documents the submission status of all records, for a specific set of user defined criteria, submitted to the CalOMS database. The following sections describe the report header, sub-header, body and footer separately and provide detailed explanation for the elements of each part of the Report.

Error and Submission Details Report						
California Outcomes Measurement System						
Report Dates: 7/1/2007 to 8/1/2007				Created By: Isoares		
				Date Created: 8/15/2007 3:43:50 PM		
C/DCP: EI Dorado						
Submission Date: 7/16/2007 01:41:22 PM						
File Name: ADP_COT_09_P_00126.TXT						
Total Records: 25						
Records Rejected: 12						
Records Accepted: 13						
Provider ID	Status	Report Month	Type of Form	Transaction Date	Form Serial Number	Provider Participant ID
090913	Rejected	200704	4	05/01/2007 10:48:40	R0000195	0254
ERRORS:						
(100) Employment status invalid -- allowable value not provided.						
090918	Rejected	200704	4	05/01/2007 09:59:56	R0000202	0607
ERRORS:						
(374) Unmatched Discharge record. No matching (on FSN) admission record found.						
090918	Rejected	200704	4	05/01/2007 10:37:02	R0000186	0593
ERRORS:						
(374) Unmatched Discharge record. No matching (on FSN) admission record found.						

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Figure 8 – Error and Submission Details Report – Full View

5.1 Error and Submission Details Report Header

The header of the Error and Submission Details Report contains essential information about the report (Figure 9).

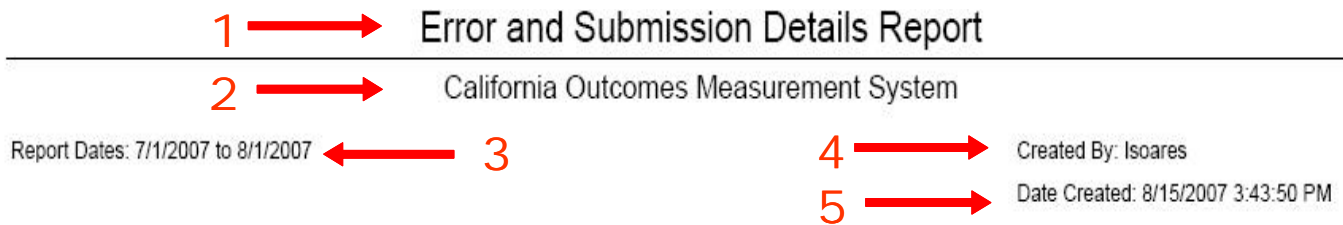


Figure 9 – Error and Submission Details Report Header

The header contains the report name (1) and the system name (2). It also contains the following data elements:

User-selected report filters:

- Report Dates (3) – Identifies the report date range for the records submitted to CalOMS that was selected by the user at the filter screen.

System generated information:

- Created By (4) – Identifies the user by displaying their ITWS user name.
- Date Created (5) – Displays the date and time that the report was created in the CalOMS database.

Error and Submission Details Report Sub-Header

The Sub-Header (Figure 10) of the Error and Submission Details Report only appears on the first page of the Report (for each file submitted). The data included in the Sub-Header is as follows:

- **C/DCP (1)**
The C/DCP field is populated with the requesting C/DCP.
- **Submission Date (2)**
The Submission Date field documents the date and time that the file was submitted to the CalOMS.
- **File Name (3)**
The name of the file that contained the records submitted to the CalOMS appears in the File Name field.
- **Total Records (4)**
The sum of the Records Rejected and the Records Accepted fields appears in the Total Records field.
- **Records Rejected (5)**
The sum of all rejected records contained within the file submission to the CalOMS appears in the Records Rejected field.
- **Records Accepted (6)**
The sum of all accepted records contained within the file submission to the CalOMS appears in the Records Accepted field.

1 → C/DCP: El Dorado

2 → Submission Date: 7/16/2007 01:41:22 PM

3 → File Name: ADP_COT_09_P_00126.TXT

4 → Total Records: 25

5 → Records Rejected: 12

6 → Records Accepted: 13

Figure 10 – Error and Submission Details Report Sub-Header

5.2 Error and Submission Details Report Body

The body of the Error and Submission Details report consists of seven columns, which house the corresponding data (Figure 11):

- **Provider ID (1)**
The Provider ID is provided to CalOMS from the DHCS Master Provider File. The ID corresponds to each record submitted to CalOMS.

- **Status (2)**

The Status is provided by the CalOMS system to Error and Submission Details report. The status is either “Accepted” or “Rejected”. If the status is “Accepted”, it is indicated that the record has met the required database element standards for record submission of the CalOMS and has been added to the CalOMS database. When the status is “Rejected”, it is understood that the record has NOT met the required database element standards for record submission to CalOMS and has NOT been added to the CalOMS database. A detailed description of the error appears alerting the C/DCP to correct the error and resubmit the record.

Note: The error message lists the corresponding error number as documented in the *CalOMS Treatment Data Dictionary* document.

- **Report Month (3)**

The Report Month is provided by the C/DCP to CalOMS, documenting the month in which the event (admission, discharge or annual update) occurred for the record being submitted.

Report Month for admissions is determined based on the admission date, regardless of when the record was submitted to CalOMS. Similarly, for discharges and annual updates, the report month is determined based on the discharge date or annual update date respectively.

- **Type of Form (4)**

The Type of Form is provided by the C/DCP to the CalOMS, documenting the form type of the event (admission, discharge or annual update) that occurred for the record being submitted.

Submission Month for any record type is the month in which the physical submission of the record to CalOMS occurred. For example, if an admission with the admission date of January 15, 2007 is submitted on March 1, 2007 then the report month for this admission is January 2007 and the submission month is March 2007.

- **Transaction Date (5)**

The Transaction Date is provided by the C/DCP to the CalOMS, documenting the date and time that the record being submitted was documented in the C/DCPs system.

- **Form Serial Number (6)**

The Form Serial Number is provided by the C/DCP to the CalOMS, documenting the serial number generated and assigned by the C/DCP’s submitting system.

- **Provider Participant ID (7)**

The Provider Participant ID is provided by the C/DCP to the CalOMS, documenting the Participant ID of the C/DCP submitting the record as documented in the C/DCP’s system.

NOTE: Provider Participant ID may be blank, as CalOMS TX rules do not require C/DCPs to assign PPID. Some C/DCPs may choose to leave this field blank on their submissions of CalOMS TX records.

1 Provider ID	2 Status	3 Report Month	4 Type of Form	5 Transaction Date	6 Form Serial Number	7 Provider Participant ID
090920	Rejected	200704	1	04/30/2007 17:36:40	R0000217	0565
ERRORS:						
(210) Medication Prescribed invalid -- allowable value not provided.						
090920	Rejected	200704	1	05/01/2007 08:27:51	R0000221	0625
ERRORS:						
(083) One or more invalid races selected.						
(150) Disability Code invalid -- allowable value not provided.						
090920	Rejected	200704	1	05/01/2007 09:22:28	R0000227	0630
ERRORS:						
(240) Secondary Drug invalid -- allowable value not provided.						
(292) Secondary Drug Frequency invalid -- 99902 is only valid if Secondary Drug is None (0).						
(274) Secondary Drug Route of Administration invalid -- 99902 is only allowed when Secondary Drug Code is None (0).						
(314) Secondary Drug Age of First Use invalid - 99902 is only valid if Secondary drug is None.						
090920	Rejected	200704	4	05/01/2007 09:33:42	R0000227	0630
ERRORS:						
(374) Unmatched Discharge record. No matching (on FSN) admission record found.						
(008) Place of Birth County is a value from 01 through 58 and Place of Birth State is not CA.						
(036) Place of Birth State invalid -- allowable value not provided.						

Figure 11 – Error and Submission Details Report Body

5.3 Error and Submission Details Report Footer

The Error and Submission Details Report footer (Figure 12) is a part of the CalOMS template and contains the following fields:

- **Page x of x (2)**

The “Page x of x” field documents the current page being viewed in context to the entire number of report pages.

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The Standard DHCS CalOMS Privacy note appears to remind the Report viewer of the sensitivity of its contents. The Error and Submission Details report contains Protected Health Information (PHI) and should be protected in compliance with the privacy and security requirements defined in the rules of the Health Insurance Portability and Accountability Act (HIPAA) and Confidentiality of Alcohol and Drug Abuse Patient Records (42 CFR Part 2).



Figure 12 – Error and Submission Details Report Footer

6.0 Error and Submission Details Report Practical Application

The following sections provide suggestions on how the Error and Submission Details report could be used to monitor submission of treatment records to the CalOMS database.

The Error and Submission Details report can be used to help:

- Serve as a companion to the Data Quality and Compliance Report Results.
- Identify a specific provider(s) contributing to the C/DCP's rejection rates.
- Bring into focus specific errors contributing to the C/DCP's inability to meet accuracy and completeness standards for compliance.

6.1 Serve as a Companion to the Data Quality and Compliance Report Results

The Data Quality and Compliance (DQ&C) report shows compliance as it relates to timeliness, completeness, accuracy, and rejection rates. The Error and Submission Details report is the companion to the DQ&C Report because it explains who is making errors and what the errors are.

6.2 Identify Specific Provider(s) Contributing to the C/DCP's Rejection Rates

The Error and Submission Details report identifies specific providers that are contributing to the C/DCP's rejection rates, possibly causing the entire County to be out of compliance with the DHCS CalOMS compliance requirements for rejection rates. The users are able to quickly identify possible problem providers that require assistance.

6.3 Bring into Focus Specific Errors Hindering Compliance

Understanding specific errors that are being generated by the C/DCP's submission of records is an important starting place for taking corrective actions. Upon review of the Error and Submission Details report, the DHCS C/DCP users are able to investigate specific errors corresponding to the CalOMS Treatment Data Dictionary document in order to make necessary corrections to the C/DCP's specific system and/or procedures.