

**CARE Act Training & Technical Assistance**

**DATA FILE SUBMISSION AND  
QUALITY ASSURANCE PROCESS  
OVERVIEW**

CARE Act Data Collection and Reporting



This session is presented by Health Management Associates. The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement by, California Department of Health Care Services.



[Slide Image Description: This cover slide introduces the title and category of this training. It contains the logos for the California Department of Health Care Services and Health Management Associates.]

Welcome all to today's training in the CARE Act Data Collection and Reporting series on Data File Submission and Quality Assurance Process Overview.

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## Agenda

### Data Collection and Reporting Procedure Recap

- Review data collection and reporting procedures content presented on previous trainings.

### Data File Template Overview and Submission Procedure

- Walk through the structure of the data file template and submission procedure using MOVEit file transfer application (for authorized users).

### Quality Assurance Process Overview

- Summarize C.A.R.T dimensions and quality assurance protocol.

### Next Steps

[Slide Image Description: This slide shows the major sections of this training on a light blue background.]

Today, we will be covering three sections of content:

- Data collection and reporting procedure recap – Review data collection and reporting procedures content presented on previous trainings.
- Data file template and submission procedure – Walk through the structure of the data file template and submission procedure using MOVEit file transfer application.
- Quality assurance process overview - Summarize C.A.R.T dimensions, which refer to completeness, accuracy, reasonability, and timeliness, and the HMA quality assurance protocol.
- Where to go with questions and next steps

With that I'll be turning it over to our first presenter, Cha.

## Objectives

At the end of the session, participants will have an increased ability to:

- › Become familiar with the Data File Template.
- › Perform bulk file uploads of CARE participant data using the MOVEit file transfer application.
- › Collaborate with DHCS and HMA on the Quality Assurance (QA) process for CARE data.

[Slide Image Description: This slide shows the learning objectives for this training with a light blue background.]

This training is intended for Cohort I county data team members responsible for collecting and submitting data. Cohort II county team members are welcome to listen in. Cohort II training and TA will begin after the January kickoff. Here, we list the objectives of today's session. At the end of the session, participants will have an increased ability to:

- Become familiar with the Data File Template.
- Perform bulk file uploads of CARE participant data using the MOVEit file transfer application.
- Collaborate with DHCS and HMA on the Quality Assurance (QA) process for CARE data.

## Presenters



**KARIS BURNETT**

Consultant  
Health Management Associates



**CHA LEE**

Consultant  
Health Management Associates

[Slide Image Description: This slide includes images of the presenters of this training on a light blue background.]

Our presenters today are Karis Burnett and Cha Lee.

Karis Burnett is a data analyst dedicated to using her skills to identify and alleviate inequalities within the health care system. In her current role as a Consultant with Health Management Associates, Karis has built dynamic and interactive dashboards in Power BI analyzing community needs using both qualitative and quantitative data. Karis has experience analyzing claims data, identifying disparities within data, and analyzing financial feasibility for hospital systems and departments. Karis is also experienced in analyzing mental health data from an equity lens.

Cha Lee is a data analyst and researcher with data collection, management, analysis, interpretation and visualization experience in both clinical and patient care settings. Prior to joining HMA, Cha was a clinical research coordinator at Mayo Clinic Health System. In this role, Cha provided information to patients about open studies, managed research regulatory documents, maintained study and patient files, and created Epic reports for open studies.

HMA is DHCS' Training and Technical Assistance Contractor for the CARE Act project. HMA provides project management support; TTA coordination, development, provision, and iteration; as well as providing technical assistance to counties. HMA also supports the CARE Act Data Collection and Reporting by performing the following functions:

- Developing and managing data collection and reporting process
- Supporting county behavioral health data collection efforts
- Supporting the development of annual report
- Assisting DHCS' independent evaluation contractor with data collection to determine program outcomes, impact, and lessons learned related to the CARE Act program



[Slide Image Description: This is a section divider slide to indicate a major section of this training.]

We will provide a quick recap on details from the previous SurveyMonkey live demo training.

## Two Options for County CARE Act Data Submission to DHCS

- » **SurveyMonkey:** County behavioral health agencies can choose to manually enter all required data on SurveyMonkey.

**OR**

- » **MOVEit:** County behavioral health agencies can use the data file template and submit the data through the MOVEit file transfer application.

For more information, see the [Mechanisms for Data Submission and SurveyMonkey Demonstration training on the CARE Act Resource Center](#).



**During a single reporting quarter, county behavioral health agencies must submit data using only one mechanism.**

[Slide Image Description: This slide shows a description of data entry options within SurveyMonkey and MOVEit file transfer application. An image of a pen on a paper with a graph is shown.]

There are two options for submitting data, either via SurveyMonkey or MOVEit file transfer application. The first option is SurveyMonkey, which was demoed during a live training that has since been posted to the CARE Act Trainings page, and the link is provided on this slide. The second option, which will be described and demoed today, is called the MOVEit file transfer application.

While there are two options for data submission, every reporting quarter, counties can only choose one application to submit the data. For example, in January of 2024, if County A chooses to use the MOVEit file transfer application, all data must be uploaded via MOVEit.

For more information, see the [Mechanisms for Data Submission and SurveyMonkey Demonstration training on the CARE Act Resource Center](#).

## Secure File Transfer via MOVEit

- » MOVEit is an application used for secure automated file transfers of sensitive data.
- » HMA has defined a data file template that aligns with the structure of the CARE Act data dictionary.
- » The data file template allows users to query data from their existing data systems.
- » Pre-identified authorized users will submit this data file template through the MOVEit file transfer application.



[Slide Image Description: This slide shows the MOVEit logo with information about how the MOVEit platform can be used.]

County behavioral health agencies can use the MOVEit file transfer application to submit CARE Act data securely. MOVEit is an existing tool used for the transfer of data used by DHCS.

- MOVEit is an application used for automated file transfers of sensitive data.
- HMA has defined a data file template that aligns with the structure of the CARE Act data dictionary.
- The data file template allows users to query data from their existing data systems.
- Pre-identified authorized users will submit this data file template through the MOVEit file transfer application.



## Data File Submission: Reporting Schedule

- » Cohort I Data from October 1 – December 31 is due by March 1, 2024; Early submissions are welcome.
- » **Counties will collect data on a monthly basis and submit at least quarterly** within 60 days following the close of the reporting period.
  - Alternative: Counties can opt to submit data monthly.
- » Counties must adhere to the reporting and submission schedule regardless of implementation date.

Reporting Period	Submission Deadline
October 1 – December 31, 2023	March 1, 2024
January 1 – March 31, 2024	May 30, 2024
April 1 – June 30, 2024	August 29, 2024
July 1 – September 30, 2024	November 29, 2024
October 1 – December 31, 2024	March 1, 2025

[Slide Image Description: This slide shows a blue-colored table that gives the data reporting schedule.]

This slide depicts the reporting periods and submission schedule. Data from October 1 – December 31 is due by March 1, 2024; Early submissions are welcome

Counties will collect data on a monthly basis and submit at least quarterly within 60 days following the close of the reporting period. Counties can submit the data monthly if preferred or wait until the end of the reporting quarter.

The table on the right outlines the submission deadlines. Counties must adhere to this reporting and submission schedule regardless of implementation date. This means if a county begins implementation in the middle of a reporting period, they will submit their data by the submission deadline immediately following that period.

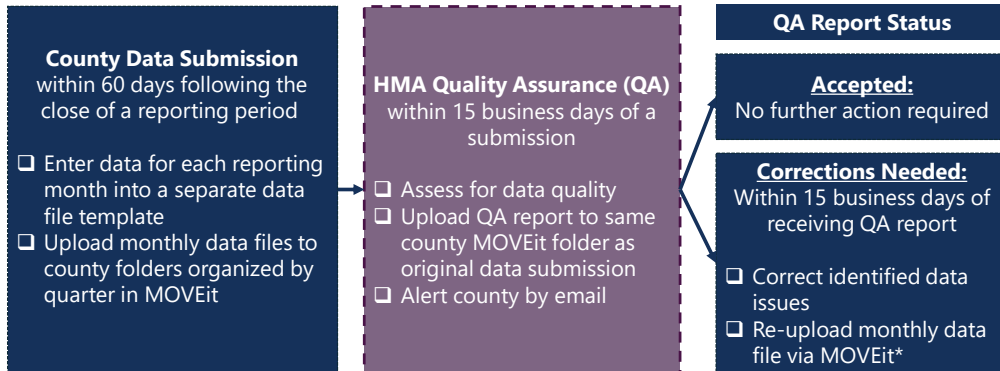
Based on the current reporting timeline, Cohort 1 counties are expected to submit their quarterly data by month (for October – December 2023) by March 1, 2024, and LA County is expected to submit their data for the month of December 2023 by March 1, 2024.

Now I will pass it off to my colleague, Karis, who will demo how to enter data into the data file template and upload it using the MOVEit file transfer application.

**Data File  
Template  
Overview and  
Submission  
Procedure**

[Slide Image Description: This is a section divider slide to indicate a major section of this training.]

## Workflow for County CARE Act Data Submission



\*The QA report and QA correspondence emails will come from the HMA CARE Act Data Team:  
[CAREDataTeam@healthmanagement.com](mailto:CAREDataTeam@healthmanagement.com).

[Slide Image Description: This slide provides a workflow for how counties will submit data and the quality assurance and correction process.]

Before we talk about the data file template and submission procedure, we want to quickly show the workflow for county CARE Act data submission. Counties will collect data on a monthly basis and submit at least quarterly within 60 days following the close of the reporting period.

- For each reporting month, counties will enter data into a separate data file template.
- Every quarter, counties should have three monthly data files. For the October 1 – December 31, 2023 reporting period, LA County is expected to have one monthly data file for the reporting month of December 2023.
- Counties will submit these monthly data files via MOVEit.

After submitting the monthly data files, the HMA data team will be notified by MOVEit. HMA will do a quality assurance check, which Cha will discuss later in this presentation, for the monthly data files within 15 business days.

A quality assurance (QA) report will be generated for each monthly data file and

uploaded to the same folder used for the current data submission. Every county, excluding LA County, will get three QA reports from HMA. The HMA data team will notify the authorized users.

\*The QA report and QA correspondence emails will come from the HMA CARE Act Data Team: [CAREDataTeam@healthmanagement.com](mailto:CAREDataTeam@healthmanagement.com).

For monthly data files with a status of Corrections Needed, counties have 15 business days to correct the data issues and resubmit those monthly data files via MOVEit file transfer application. We will discuss the process for resubmissions in this session. The HMA data team then will re-start the quality assurance process summarized in the purple box again.

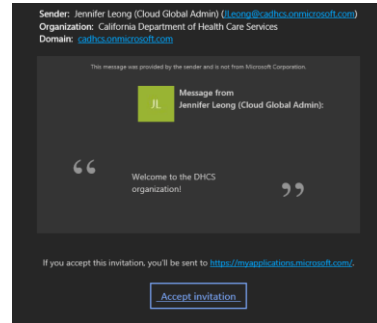
For the monthly data files with a status of Accepted, no further action will be required.

Our HMA data team will help with any data issues. Counties are encouraged to request technical assistance related to any requested corrections by filling out the Request CARE Act Data Collection and Reporting Assistance Form :

[https://docs.google.com/forms/d/e/1FAIpQLSeqgKj1SJRZhY\\_OEBhHCYRFghyJL7P3uDR0SGpxF5tMOsv\\_pw/viewform](https://docs.google.com/forms/d/e/1FAIpQLSeqgKj1SJRZhY_OEBhHCYRFghyJL7P3uDR0SGpxF5tMOsv_pw/viewform)

## Data File Submission Procedure: Access to the MOVEit File Transfer Application

- » Pre-identified authorized users will receive an invitation to join the MOVEit file transfer application via email. Only authorized users will receive the MOVEit file transfer application invitation.
- » If the authorized user has not registered with DHCS before, they will be asked to register with a Microsoft Outlook account first.
- » The submitted data is stored on the DHCS environment.
- » **Email Address:** [ITServiceDesk@dhcs.ca.gov](mailto:ITServiceDesk@dhcs.ca.gov)  
**Phone:** (800) 579-0874 and select option 2  
**Hours of Operation:** Monday through Friday; 7:30 a.m. - 5:30 p.m.



[Slide Image Description: This slide describes the data file submission procedure and how to access the MOVEit file transfer application.]

Cohort I and LA counties provided HMA the pre-identified designated user(s) within their county who will be using MOVEit. Authorized county users will receive an invitation for the MOVEit file transfer application. Only authorized users may perform bulk file uploads of CARE participant data using the MOVEit file transfer application.

The data file template will be in the Resource folder for counties to download. If there are access issues or other delays, HMA can share the data file template with authorized MOVEit users via email temporarily.

The email invite would have come from "Microsoft Invitations on behalf of California Department of Health Care Services" with the subject line "Someone's Name (Cloud Global Admin) invited you to access applications within their organization." DHCS may modify these messages in the future. Please let us know if you do not have access.

Once you have received an email you will want to register your account. If the authorized users have not registered with DHCS before, they will be asked to register

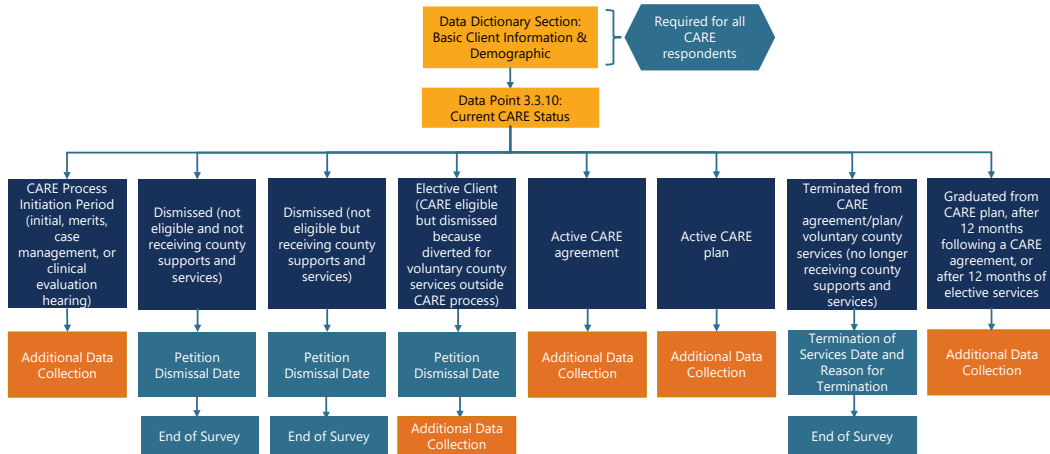
with a Microsoft outlook account. Most authorized users should already have a Microsoft outlook account, and if not, they will be asked to create one.

Once registered, counties will be able to go inside the portal and locate the File Transfer application. When you open that application you will find the folders on the left side panel. Click on folders and you will see a folder named “DHCS-CAREACT” and that folder will have your county folder.

For any new user requests or changes to the authorized users, please submit those requests to the HMA data team. [CAREDataTeam@healthmanagement.com](mailto:CAREDataTeam@healthmanagement.com)

Once you receive your invitation or access if you cannot see your folders or have additional issues, please contact DHCS Helpdesk at the email provided or use the phone number. They are available Monday-Friday from 7:30am to 5:30pm.

## Data Collection Flow Chart



[Slide Image Description: This slide shows a flow chart that details the additional specifications for the Data Dictionary Basic Client Information & Demographic section and data point 3.3.10 current CARE status.]

Today, we will do a demo of the data file template for the counties. Before we do that, we think it is helpful to review this high-level data collection flow chart again. It shows how 3.3.10 Current Care Status determines further data collection and reporting. The logic built into the both SurveyMonkey platform and data file template is based on this flow chart.

The full flow chart has been provided as a resource in PDF form on the CARE Act website. You can download the full flow chart directly in the Resource Library, on the Training page, or using the link above. The full flow chart will detail all the required data points based on the current CARE status.

From the flow chart, Basic Client Information and Demographic information will be required for all CARE Respondents that flow through county behavioral health regardless of whether they end up receiving county behavioral health services.



Once the court has made a determination about the disposition of each CARE petition, county behavioral health will be asked to report on the CARE status at the individual level.

- In the Basic Client Information section of the Data Dictionary, it is 3.3.10 Current CARE Status.
- There are a number of options, and a client's CARE status could change over time.

Each potential CARE status is shown in the flow chart. You can see if additional data collection and reporting will be required depending on which CARE status is chosen. You will see that not all data points are going to be required for all clients.

For clients who are ineligible for CARE or those who do not end up receiving county behavioral health services, please note that these clients will not be tracked further by county behavioral health after counties provide their dates of dismissal from CARE court. The flow chart here also states this information.

Now, we'll transition to a live demonstration showing how to enter data into the data file template.

Link to Detailed Data Collection Flow Chart: [https://care-act.org/wp-content/uploads/2023/09/Data-Dictionary-Resource\\_County-Data-Flow-Chart\\_9.26.23.pdf](https://care-act.org/wp-content/uploads/2023/09/Data-Dictionary-Resource_County-Data-Flow-Chart_9.26.23.pdf)

Link to CARE Act Data Dictionary: <https://care-act.org/resource/care-act-data-dictionary/>

## Data File Template Demo

Data file template demo will:

- » Visually display the template, Summary Data Tab, and necessary data points
- » Demonstrate how to upload data via MOVEit file transfer application
- » Discuss the Resource folder and available data file template, QA protocol and SQL code for QA
- » Explain next steps and expectations after uploading the data

[Slide Image Description: This slide introduces what will be included in the data file template demo.]

Next, we'll be switching to a live demo of the data file template. During this portion, we will:

- Visually display the data file template, Summary Data Tab, and necessary data points
- Demonstrate how to upload data via MOVEit file transfer application
- Explain next steps and expectations after uploading the data

### **Talking points from live demo describing data file template submission instructions:**

Here, I wanted to show you the data file template and give an example of what to expect when you are inputting the data points. It is always best practice to have this open along with the data collection flow chart and the data dictionary, so you can easily follow along. The data template uses value codes which are indicated in the data dictionary.

Here you will see what the data file template looks like so you are aware of what you will be working with. The columns are each labeled with the data point number and description. The blue cells indicate necessary data fields where you will need to input

data in those cells. A data input may also trigger an orange cell meaning you must input data in those cells.

On the bottom of the spreadsheet, you will see multiple sheets, including a welcome tab with instructions, a History Log tab with version history details, a Summary Data tab, followed by separate tabs corresponding to each CARE status. We chose to break out each CARE status into its own sheet for easier data entry.

When counties submit the data back to DHCS, we also need the county to provide the total number of clients by CARE status in the reporting month on the **Summary Data Tab**. These summary count of records will help us confirm from our back end that we are getting the right data and check for duplicated records.

**As a very important note, when counties report the summary count of records and the individual records, they must report on all active clients even if they had no contact with the client in the reporting month.**

Each CARE status will have mandatory blue fields and orange fields.

For this example, I wanted to show you the CARE Process Initiation Period. If you have a client that falls under CARE Process Initiation Period then you will click on the correlating sheet name. Columns A-BM are the same for each status and will need to be filled in. As you can see, we have included drop downs with the specific data points, so it is easier for you to fill out. When you fill out column P you will see that triggers BL and BM to turn orange and those fields are required if triggered.

Once you have completed filling out those columns, keeping in mind that blue and orange fields indicate necessary data points, you can move on to complete the rest. You can see when I select CARE Process Initiation Period in column BN, that triggers the cells in columns BO-CP to highlight blue. You will go through each one and fill those out. When you get to CP and if you indicate that the client elected, changed or removed a volunteer supporter in the reporting month as a yes (or 1), this will trigger the orange cells which indicate necessary data points. If the cell is not highlighted in blue or orange, then you do not need to input anything in that cell.

Now that we have seen the data file template and understand the data input process, we can move forward and learn how to upload the data via MOVEit file transfer application.

To start, the MOVEit file transfer application is what is used for the uploads. You will want to navigate to the MOVEit file transfer application and open it up. Once open, you will notice a left side panel that has "Folders". When you click on that, you will see a

**DHCS-CAREACT** folder. Please click on that folder, and you will see the county you represent. Within that county folder, you will see individual Year folders. When you click on a year folder, you will notice folders titled for each quarter. Please navigate to the folder that aligns with the reporting period. For example, if you have a data file template that is filled in with data from December, you will want to open the 2023 folder and upload the data to the Q4 folder.

The Resource folder will include the **SQL code for QA, QA protocol, and data file template** for counties to download.

As you can see for the data file template, it will include a version number and date. The file name for the first version is: **CountyBH\_Data\_File\_Template\_V1.0\_01172024**.

Each quarter folder should have 3 files – one for October, November and December (excluding LA County only having December). If no activity, then please indicate unknown (99999) for each data point.

To upload the data, please be sure your file is saved within your DHCS environment. You will click on upload files button in the upper right-hand corner and locate the file where you saved it, then you will click upload. Once you see your file has successfully been uploaded, you are finished. Alternatively, you can drag and drop your file to be uploaded.

HMA will receive an email when you have successfully uploaded the data. HMA will review the monthly data files and will provide you a Quality Assurance report for each of the monthly data files within 15 business days that would indicate if the data submitted needs to be updated and resubmitted or if the data is complete.

Slides will be posted to the resource center with a step-by-step resource guide that details the data submission procedure.



[Slide Image Description: This is a section divider slide to indicate a major section of this training.]

## MOVEit: Resources Folder

- » **County Data File Template:** CountyBH\_Data\_File\_Template\_V1.0\_01172024.xlsx
- » **Judicial Council Data File Template:**  
Judicial\_Council\_Data\_File\_Template\_V1.0\_01172024.xlsx
- » **CARE Act Quality Assurance Protocol:**  
CARE\_Act\_Quality\_Assurance\_Protocol\_V1.0\_01172024.xlsx
- » **SQL Query for Quality Assurance:** (forthcoming)

[Slide Image Description: This slide shows a list of the MOVEit resources.]

Again, as a quick recap, the county data file template, Judicial Council data file template, CARE Quality Assurance Protocol, and SQL Query for Quality Assurance will be in the Resources Folder within the MOVEit file transfer application for all authorized users. The SQL query is not available yet, but when it is, authorized users can get the query file from the Resources Folder.

## Data File Naming Conventions

- » Use the following file naming conventions:
  - **Initial submission:** Name of County\_MMYYYY, where MM corresponds to the reporting month and YYYY the reporting year
    - E.g., "Orange\_012024"
  - **Re-submissions:** Name of County\_MMYYYY\_Resubmission\_DDMMYYYY
    - It will be the name of the county, month & year of the reporting month, resubmission, and date of resubmission.
    - E.g., "Orange\_012024\_Resubmission\_02152024"
- » **Note:** Corrections for data manually submitted via SurveyMonkey will be done through the MOVEit file transfer application.

[Slide Image Description: This slide reviews data file naming conventions for both the initial data submission and any re-submissions.]

This slide depicts the data submission procedure. Following the reporting timeline, counties will submit data quarterly in monthly batches. Please use the following file naming conventions:

- Initial submission: Name of County\_MMYYYY, where MM corresponds to the reporting month and YYYY corresponds the reporting year. County names with spaces can choose to include a space or not  
E.g., "Orange\_012024"
- Re-submissions: Name of County\_MMYYYY\_Resubmission\_DDMMYYYY  
It will be the name of the county, month & year of the reporting month, resubmission, and date of resubmission.  
E.g., "Orange\_012024\_Resubmission\_02152024"

Any resubmissions for counties submitted data via SurveyMonkey will be done through the MOVEit file transfer application.

- For these counties, the HMA team will upload their monthly data files via MOVEit

file transfer application.

- These counties will download the monthly data files to make correction.
- After that, they will rename those monthly data files using the re-submission naming convention and upload them via MOVEit file transfer application.



## C.A.R.T. Dimensions

Quality Dimension	Description
<b>C:</b> Completeness	Checks for missing, surplus, or duplicate data
<b>A:</b> Accuracy	Checks for typos and questionable records
<b>R:</b> Reasonability	Checks if the individual data are valid and the data set, taken as a whole, is plausible
<b>T:</b> Timeliness	Checks for timely submission of data

Note: C.A.R.T. Dimensions will be applied to all submitted data, whether via SurveyMonkey or via MOVEit file transfer application.



17

[Slide Image Description: This slide includes a table with the descriptions of each of the C.A.R.T. Dimensions.]

For quality assurance or “QA”, we will follow the C.A.R.T Dimensions that have been used by DHCS for the Managed Care Plans. These are industry-standard QA dimensions.

HMA will look for completeness, accuracy, reasonability, and timeliness for submitted data, whether via SurveyMonkey or via MOVEit file transfer application.

- **Completeness:** We will check for missing, surplus, and duplicate data.
- **Accuracy:** We will check for typos and questionable records.
- **Reasonability:** We will check if the individual data are valid and the data set taken as a whole is plausible
- **Timeliness:** We will check for timely submission of the data.

Note: C.A.R.T. Dimensions will be applied to all submitted data, whether via SurveyMonkey or via MOVEit file transfer application.

## Quality Assurance (QA) Protocol

- » The **QA checklist** includes 13 elements based on the C.A.R.T. metrics.
- » Authorized users will be able to download one **QA report** per monthly data file from the MOVEit file transfer application, which summarizes their county results and tells them if this monthly data file passes all 13 elements.
- » **Resubmissions:** The monthly data files must pass all elements to be accepted. Any deficient data must be corrected and resubmitted within 15 business days of receiving the report.

[Slide Image Description: This slide outlines the quality assurance protocol and process for authorized users.]

HMA has a quality assurance checklist with 13 elements. This QA checklist follows the C.A.R.T. metrics.

Authorized users will be able to download the QA report per monthly data file from the MOVEit file transfer application, which summarizes their county results and tells them if this monthly data file passes all 13 elements.

The monthly data files must pass all 13 elements. Any deficiencies must be resubmitted within 15 business day of receiving the report.

## QA Report Preview

CARE Quality Assurance Status	CARE Quality Assurance Status
Accepted	Corrections Needed
<p><b>Name of County:</b> <b>Reporting Month:</b> <b>Date of QA Report:</b></p> <p><b>Status:</b> Accepted</p> <p>This QA Report provides a summary of the quality assurance checks conducted by HMA, following the C.A.R.T. Dimensions.</p> <p>Each file submitted must pass all elements on the QA Checklist Tab.</p> <p>Tabs A to G includes specific quality issues that must be corrected.</p> <p>Files with deficient metrics that have not been granted an exemption must be corrected and resubmitted within 15 business days of receiving the report.</p>	<p><b>Name of County:</b> <b>Reporting Month:</b> <b>Date of QA Report:</b></p> <p><b>Status:</b> Corrections Needed</p> <p>This QA Report provides a summary of the quality assurance checks conducted by HMA, following the C.A.R.T. Dimensions.</p> <p>Each file submitted must pass all elements on the QA Checklist Tab.</p> <p>Tabs A to G includes specific quality issues that must be corrected.</p> <p>Files with deficient metrics that have not been granted an exemption must be corrected and resubmitted within 15 business days of receiving the report.</p>
<p>Summary History Log <b>QA Checklist</b> A. CARE Process Initiation B. Dismissed C. Elective Client D. Active CARE agreement E. Active CARE plan F. Termination G. Graduation</p>	

[Slide Image Description: This slide has two screenshots of what authorized users would see in their Quality Assurance (QA) Report if their report was accepted or if corrections were needed. There is also a screenshot of the different tabs within the QA Report.]

The QA reports will be dropped into the MOVEit file transfer application for authorized users from each county to download and review. The HMA team will also send out an email to let all authorized users know that their county QA reports are ready for review.

When authorized users open a QA report for a monthly data file, they will see an excel document with tabs, including the Summary, History Log, QA Checklist tabs, as well as Tabs A to G.

The Summary Tab includes the overall status of the submitted data: Accepted or Corrections Needed.


If the status is “Accepted”, the submitted data for that specific monthly data file are all set.

If the status is “Corrections Needed”, the data issues for that specific monthly data file will need to be corrected.

We will look at the QA Checklist and talk about each of the 13 elements in the next few slides.

## QA Checklist: File Naming Convention

File Naming Convention	
<b>1</b>	<p>The name of the file adheres to the following naming convention: <b>(Name of County_MMYYYY)</b>, where MM corresponds to the reporting month and YYYY the reporting year.</p> <p>For resubmissions, please use the name of the county, month &amp; year of the reporting month, resubmission, and date of resubmission <b>(Name of County_MMYYYY_Resubmission_DDMMYYYY)</b>.</p>
	Pass


20

[Slide Image Description: This slide includes a screenshot of the QA checklist showing if the file naming convention element passed.]

First, we will check to make sure the correct naming convention was used.

Element 1: The name must adhere to the correct naming convention formats. It should be Name of County\_MMYYYY, and for resubmission, it should be Name of County\_MMYYYY\_Resubmission\_DDMMYYYY.

## QA Checklist: Completeness

Completeness		
2	<b>Missing Data:</b> Verify that all required data points corresponding to the client's CARE status are submitted. Required data points based on the CARE Client's status are listed in the corresponding Tabs A to G. When the answer to a question is unknown, the "Unknown" option is used.	Pass
3	<b>Duplication/Surplus Data:</b> For each reporting month, CARE clients are not being reported more than once per CARE status.	Pass

[Slide Image Description: This slide includes a screenshot of the QA checklist showing if the completeness, including missing data and duplication/surplus data, element passed.]

We will check for completeness of the data.

Element 2: We will look for missing data. We will verify that all required data points corresponding to the client's CARE status are submitted and have a response. When the answer to a question is unknown, the "Unknown" option must be used.

Element 3: We will look for duplication/surplus records. For each reporting month, we will verify that CARE clients are not being reported more than once per CARE status.

## QA Checklist: Accuracy (or Validity)

Accuracy (or Validity)		
4	All text values has the right spelling and/or use unforbidden characters. For example, the first and last name of the clients should not have any numbers.	Pass
5	For existing clients, basic client and demographic information, particularly variables used to link clients over time (e.g., name, social security, date of birth) are accurate and can be linked to previously submitted records.	Pass
6	Validity Check: data submitted adheres to the value codes defined in the CARE data dictionary and are not out of range.	Pass
7	Cross validation with Judicial Council data: The total number of CARE plans and CARE agreements should match between JC and County BH.	Pass
8	Summary count of records reported (number of clients by CARE status) must match the count of records performed by the HMA data team.	Pass

[Slide Image Description: This slide includes a screenshot of the QA checklist showing if the accuracy (or validity) element passed.]

We will check for accuracy (or validity) of the data.

Element 4: For each variable that allows a text response, we will verify that the text value has the right spelling and/or not use unforbidden characters.

Element 5: For existing clients, we will verify that the basic client and demographic information are accurate and can be linked to previously submitted records.

Element 6: We will do a validity check on all the submitted data points. The reported values must adhere to the value codes defined in the CARE data dictionary and must not out of range.

Element 7: We will compare the total number of CARE plans and CARE agreements between JC and County BH. The numbers must match.

Element 8: We will do a summary count of records submitted. Our numbers should



match the summary numbers reported by the counties.



## QA Checklist: Reasonableness

Reasonableness		
9	The current CARE status for each existing client aligns with the sequence of the CARE Court process. For example, if Client A's CARE status (3.3.10 Current CARE Status) was reported as "Active CARE Agreement" in the prior reporting month, Client A's CARE Status in the following reporting month cannot be "CARE Process Initiation Period", "Dismissed", "Elective Client", or "Active CARE Plan."	Pass
10	Reasonableness of dates: For example, the date of graduation cannot be earlier than the date of investigation.	Pass
11	Cross validation with Judicial Council data: The cumulative number of CARE clients cannot exceed the total number of petitions dismissed, since every CARE client must have a petition to qualify for CARE.	Pass
12	Trend analysis: examination for outliers in numbers of CARE clients over time.	Pass

[Slide Image Description: This slide includes a screenshot of the QA checklist showing if the reasonableness element passed.]

We will check for reasonableness of the data.

Element 9: We will verify that the current CARE status of each existing client aligns with the sequence of the CARE court process. For example, if Client A's CARE status (3.3.10 Current CARE Status) was reported as "Active CARE Agreement" in the prior reporting month, Client A's CARE Status in the following reporting month cannot be "CARE Process Initiation Period", "Dismissed", "Elective Client", or "Active CARE Plan."

Element 10: We will look at all date variables and check for reasonableness. For example, the date of graduation cannot be earlier than the date of investigation.

Element 11: We will compare the cumulative number of CARE clients from the counties to the total number of petitions dismissed from the Judicial Council. The cumulative number of CARE clients cannot exceed the total number of petitions dismissed.

Element 12: For every reporting month, we will look at trends of the data for outliers.

## QA Checklist: Timeliness

Timeliness	
13 The data is submitted on time, no later than 60 days following the end of the reporting quarter.	Pass

[Slide Image Description: This slide includes a screenshot of the QA checklist showing if the timeliness element passed.]

We will check for timeliness.

Element 13: Please make sure that the data is submitted on time.

## QA: Tabs A to G

- » For each CARE status from Tabs A to G, the HMA team will validate each data point.
  - Completeness or missing data check
  - Accuracy (or validity) data check
  - Reasonableness data check
- » When a data point has no deficient quality issues, it will receive a "Pass."
- » The SQL query for quality assurance can be provided to help counties identify quality issues and correct them before submitting the data to DHCS.

Dismissed	
3.1.1 Reporting Month (Date)	Pass
3.3.1 County	Pass
3.3.2 Current First Name	Pass
3.3.3 Current Last Name	Pass
3.3.4 Age	Pass
3.3.5 Social Security Number	Pass
3.3.6 Petition Case Number	Pass
3.3.7 Petition File Date	Pass
3.3.8 Date of Investigation	Pass
3.3.9 Original Petitioner	Pass
3.4.1 Sex	Pass
3.4.2 Race	Pass
3.4.3 Ethnicity	Pass
3.4.4 Tribal Affiliation	Pass
3.4.5 Tribal Services	Pass
3.4.6 Disability	Pass
3.4.7 Preferred Language	Pass
3.4.8 Sexual Orientation	Pass
3.4.9 Gender Identification	Pass
3.4.10 Employment Status	Pass
3.4.11 Veteran Status	Pass
3.4.12 Immigration Status	Pass
3.4.13 Health Care Coverage Status	Pass
3.4.14 County of Residence	Pass
3.3.10 Current CARE Status	Pass
3.3.11 Petition Dismissal Date	Pass

Summary History Log QA Checklist A. CARE Process Initiation B. Dismissed C. Elective Client D. Active CARE agreement E. Active CARE plan F. Termination G. Graduation

[Slide Image Description: This slide includes a screenshot of the QA checklist tabs as well as a screenshot of Tab B.]

For each CARE status from Tabs A to G, the HMA team will validate each data point.

How do we do the validation check on each data point?

We will do:

- A completeness or missing data check
- An accuracy (or validity) data check
- A reasonableness data check

The table shown on the right is from Tab B.

We will go through each of those data points.

When a data point has no deficient quality issues, it will receive a "Pass".

To aid Counties in their own QA, the HMA team will provide the SQL query used to

identify potential data quality issues. Counties can use pieces of code from the SQL query to help identify any quality issues in their own data sources and correct them before submitting any data to DHCS.

## Resubmission Guidelines

- » Counties will receive one QA report per monthly data file within 15 business days of the initial submission date.
- » Counties are expected to correct all data issues outlined in the QA report.
- » Detailed information on deficiencies will be included in Tabs A-G.
- » Counties have 15 business days to correct the deficient data and resubmit their monthly data file(s).
- » Resubmitted monthly data file(s) will use the naming convention:  
**Name of County\_MMYYYY\_Resubmission\_DDMMYYYY.**
- » Upload the revised monthly data files via the MOVEit file transfer application using the same folder location for the initial data submission.

[Slide Image Description: This slide outlines the resubmission guidelines for authorized users.]

Counties will receive a QA report per monthly data file within 15 business days of the initial submission date.

Counties are expected to correct all data issues outlined in the QA report(s).

Detailed information on deficiencies will be included in Tabs A-G. The reprov details will be at the patient level.

Once counties receive the QA report(s), they have 15 business days to correct the deficient data and resubmit their monthly data file(s) back to DHCS.

Resubmitted data files will use the naming convention Name of County\_MMYYYY\_Resubmission\_DDMMYYYY and will be uploaded via the MOVEit file transfer application using the same folder location for the initial data submission.



[Slide Image Description: This is a section divider slide to indicate a major section of this training.]

## Data Collection and Reporting Resources

Data Collection  
FAQs

Data Dictionary  
County Data  
Flowchart

Data Dictionary  
Summary Table

BHIN and Data  
Dictionary

[Slide image description: This slide shows four blue boxes that list the data collection and reporting resources.]

There are a variety of additional data collection and reporting resources available. Authorized file transfer users will have access to the Quality Assurance checklist, data file template, and SQL code in the Resource folder on the MOVEit file transfer application. They are able to download these files and share with other county data team members as needed.

- Link to Data Collection FAQs: <https://care-act.org/resource/care-act-data-collection-faqs/>
- Link to Data Flow Chart: <https://care-act.org/resource/care-act-data-flowchart/>
- Link to Data Dictionary Summary Table: <https://care-act.org/resource/care-act-data-dictionary-summary-table-appendix-b/>
- Link to Behavioral Health Information Notice (BHIN): <https://www.dhcs.ca.gov/Documents/BHIN-23-052-CARE-Act-Data-Collection-and-Reporting-Requirements-pdf.pdf>
- Link to Data Dictionary: <https://www.dhcs.ca.gov/Documents/Enclosure-I-CARE-ACT-Data-Dictionary-Version-1-0.pdf>

## Next Steps

- » To ensure you received Data Collection and Reporting specific communication and notification of trainings and resources, email [info@CARE-Act.org](mailto:info@CARE-Act.org) and share who should receive notice of Data Collection and Reporting TTA opportunities (e.g., county CARE program staff, data analyst, research managers, etc.). Please include names, titles, and emails.
- » Request Data Collection & Reporting TTA on the [CARE-Act.org](#) website using this [FORM](#)
- » Send questions to [CAREDataTeam@healthmanagement.com](mailto:CAREDataTeam@healthmanagement.com)



[Slide Image Description: This slide shows bullets with next steps. It contains decorative arrows.]

In addition to the upcoming TA opportunities, we also want to make sure you're receiving notifications about any other upcoming offerings.

To ensure you received Data Collection and Reporting specific communication and notification of trainings and resources, email [info@CARE-Act.org](mailto:info@CARE-Act.org) and share who should receive notice of Data Collection and Reporting TTA opportunities (county CARE program staff, data analyst, research managers, etc.). Include names, titles, and emails



**Questions?**  
[CARE-Act.org](http://CARE-Act.org) |  
[CAREDataTeam@healthmanagement.com](mailto:CAREDataTeam@healthmanagement.com)



**DHCS** | **HMA**  
CALIFORNIA DEPARTMENT OF  
HEALTH CARE SERVICES

[Slide Image Description: This slide shows the CARE Act website and the email address.]

We are here to support you and provide you with those opportunities to connect and hear about implementing the CARE Act. The website is [CARE-Act.org](http://CARE-Act.org)

You will receive a copy of the deck which will include links to other Data Collection and Reporting resources.

With that said, I would like to point out that our HMA data team have received several questions during the live training and have included those questions and answers in the DATA FAQs FOR DHCS REVIEW file. Please look at this file for the questions and answers from the living training.