DATA SUBMISSION OPTIONS – SURVEYMONKEY, MOVEIT, AND THE DATA FILE TEMPLATES

CARE Act Data Collection and Reporting

August 6, 2024

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 to this training presented by Health Management Associates (HMA) and the California Department of Health Care Services (DHCS) on CARE Act Data Submission Options. In this training, we will walk through CARE data submission options, provide live demonstrations of existing tools, including SurveyMonkey and Data File Template Options for bulk data upload via the MOVEit File Transfer Application. We will also review the quality assurance process.

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

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 TA 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

Our presenters today are Cha Lee and Karis Burnett, both with Health Management Associates. We will place their bios in the chat.

Presenter bios placed in chat:
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.

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, Ms. Burnett 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, analyzing financial feasibility for hospital systems and departments. Karis is experienced in analyzing mental health data from an equity lens.

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

Let's take a look at our learning objectives for today.

Our goal is that, by the end of the session, participants will have an increased ability to:
- Describe the two options for submitting monthly data for CARE participants: SurveyMonkey and bulk data upload via the MOVEit File Transfer Application.
- Enter data in SurveyMonkey using embedded logic to ensure collection of required data based on CARE Act statute.
- Perform bulk file uploads of CARE participant data using Data File Template Options A & B and the MOVEit File Transfer Application.
- Understand the Quality Assurance process for CARE Act data.

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

We are here today to provide information on how county behavioral health agencies will submit data for CARE Act participants.

We hope this session can be interactive, so please, if you have questions during the introduction or especially during the live demo, please submit them using the chat features.

The agenda will include the following sections:
- CARE Act Data Submission Mechanisms Overview
  - Compare SurveyMonkey and MOVEit
  - Provide context for live demo of SurveyMonkey and Data File Template Options & B
- Live Demo: SurveyMonkey Platform
  - Navigate directly within the SurveyMonkey platform
- Live Demo: Data File Template Options A & B and MOVEit
  - Walk through the structure of the Data File Template Options A & B and

submission procedure using MOVEit File Transfer Application (for authorized users).

- Quality Assurance Process Preview
    - Review Quality Assurance Process for CARE Act Data
- Q&A
    - Please submit questions throughout the presentation to be answered at the end
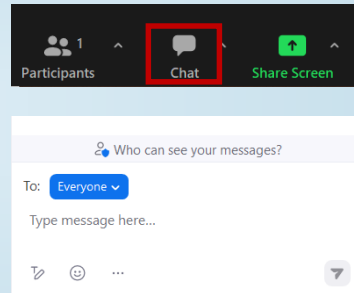
[Slide Image Description: This slide includes text that reads "please submit your questions via the chat" and an image of two Q&A thought bubbles.]

We'd like the live demo portions to be as helpful as possible. If you have any questions as we move through the demo, please submit them using the chat feature and we will have time at the end of the session to review and respond to them. Please be as specific as possible so we can easily determine which part of the training the question is referencing.

CARE Act Data Submission Mechanism Overview

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

In this next section, we want to give you an overview the CARE Act Data Submission mechanisms.

County CARE Act Data Reporting Schedule

» Counties collect data on a monthly basis and submit it 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.

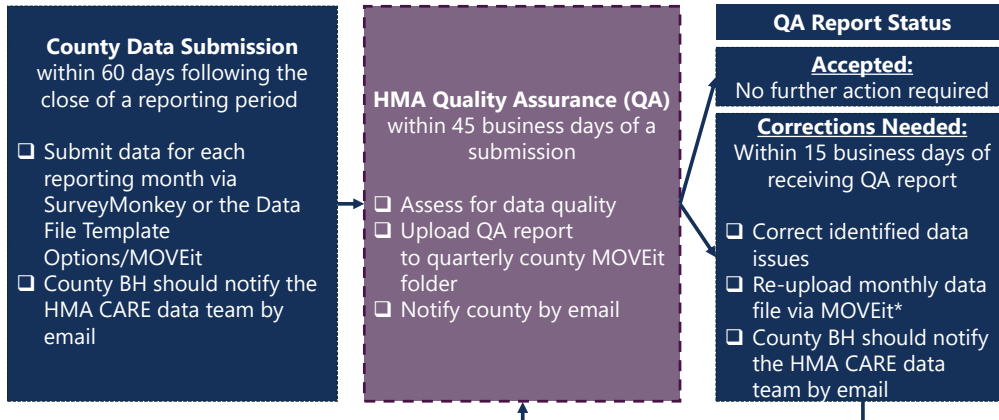| Reporting Period	Submission Deadline
Q1: January 1 – March 31	May 30
Q2: April 1 – June 30	August 29
Q3: July 1 – September 30	November 29
Q4: October 1 – December 31	March 1

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

This slide outlines the reporting schedule. Counties are required to collect CARE Act data on a monthly basis and submit it within 60 days following the close of a reporting period. Reporting periods cover three month spans. Counties can submit their data monthly, if preferred, or wait until the end of the reporting period to report on all three months in the quarter.

The table on the right has the submission deadlines. Data from January 1 – March 31 is due May 30. Data from April 1 – June 30 is due August 29. Data from July 1 – September 30 is due November 29. Data from October 1 – December 31 is due March 1.

Counties must adhere to this reporting and submission schedule regardless of implementation date. This means even if a county implements CARE in the middle of a reporting period, they are still required to submit their data by the submission deadline immediately following that period.

Workflow for County CARE Act Data Submission

County Data Submission
within 60 days following the close of a reporting period

- Submit data for each reporting month via SurveyMonkey or the Data File Template Options/MOVEit
- County BH should notify the HMA CARE data team by email

HMA Quality Assurance (QA)
within 45 business days of a submission

- Assess for data quality
- Upload QA report to quarterly county MOVEit folder
- Notify county by email

QA Report Status

Accepted:
No further action required

Corrections Needed:
Within 15 business days of receiving QA report

- Correct identified data issues
- Re-upload monthly data file via MOVEit*
- County BH should notify the HMA CARE data team by email

*The QA report and QA correspondence emails will come from the HMA CARE Act Data Team: CAREDataTeam@healthmanagement.com.

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[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 Options 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.
- If counties are using SurveyMonkey, they will submit one survey per respondent and select the appropriate reporting month each time.
- If counties are using MOVEit, for each reporting month, counties will enter data into a separate Data File Template.
    - Every quarter, counties should submit three monthly data files and save them in the correct quarterly folder.
    - Counties will submit these monthly data files via MOVEit.

After submitting the monthly data files, please notify the HMA CARE data team by email at CAREDataTeam@healthmanagement.com.
HMA will do a quality assurance (QA) check, which Cha and Karis will discuss later in this presentation. HMA's target is to send these QA reports within 45 business days of

county data submission.

A QA report will be generated for each monthly data file and uploaded to MOVEit. Even counties that submit data via SurveyMonkey will receive their QA reports on MOVEit, so it's important for every county to have authorized MOVEit users. Every county will get three QA reports from HMA per submission- one for each reporting month in the quarter. The HMA data team will notify the authorized users via email when their QA report is uploaded. This correspondence will come from the HMA CARE Act Data Team email: 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. Again, please notify the HMA CARE data team that the resubmission files have been uploaded. 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 is available to help with any data issues. Counties are encouraged to request technical assistance related to any requested corrections by filling out the **CARE Act Data Collection and Reporting Assistance Form:** https://docs.google.com/forms/d/e/1FAIpQLSeqgKj1SJRZhY_OEBhHCYRFghyJL7P3uDR0 SGpxF5tMOsv_pw/viewform
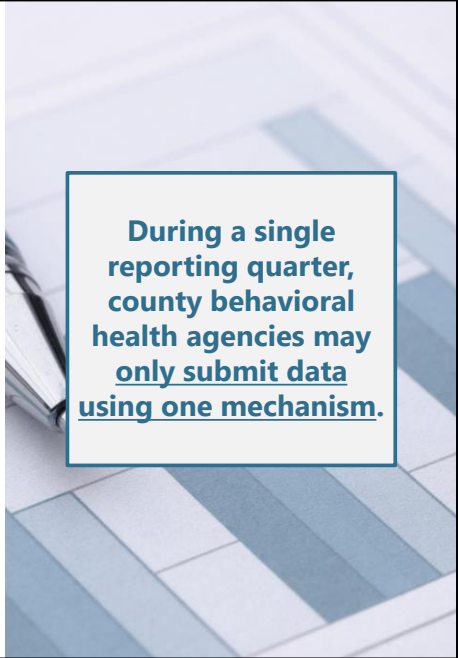
SurveyMonkey vs. MOVEit

» County behavioral health agencies can choose to manually enter all required data on SurveyMonkey

OR

» County behavioral health agencies can use Data Template Option A or B and submit data through MOVEit

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

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

Now that we have covered data reporting responsibilities, let's cover how county behavioral health agencies will submit data.

There are two options for submitting data, either via SurveyMonkey or MOVEit. SurveyMonkey is a manual data entry tool option, whereas MOVEit can be used by counties that wish to automate their data entry. There are two Data File Template Options available for bulk upload of CARE data. Data File Template Option A includes every data point as its own column. Data File Template Option B is designed to facilitate automated data pulls. While there are two options for data submission, **every reporting quarter, counties can only choose one mechanism to submit data**. For example, in January of 2024, if county A chooses to use SurveyMonkey, all data must be entered into SurveyMonkey manually for that entire quarter.

Over the next few slides, we will go over how to submit data through SurveyMonkey, understand the structure of both MOVEit File Template Options A & B, and how to access the MOVEit File Transfer Application.

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

We will start with the SurveyMonkey platform. SurveyMonkey is a popular survey and data collection tool, so many of you may have already heard of it or even used it in your work or personal life.

SurveyMonkey is the cloud-based service selected to host the CARE Act data collection and reporting tool, or "DCRT".

The DCRT has logic built in, so it will only require the data points that are relevant to the client's Current CARE Status.

For those county behavioral health agencies that prefer **manual data entry**, they can utilize this option. Users can save and return to responses before submission. However, once the survey is submitted, users will not be able to make any changes until HMA provides their QA report. A full export of submitted data will be provided with the QA report. County BH will not automatically receive a copy of their submission from SurveyMonkey upon completion.
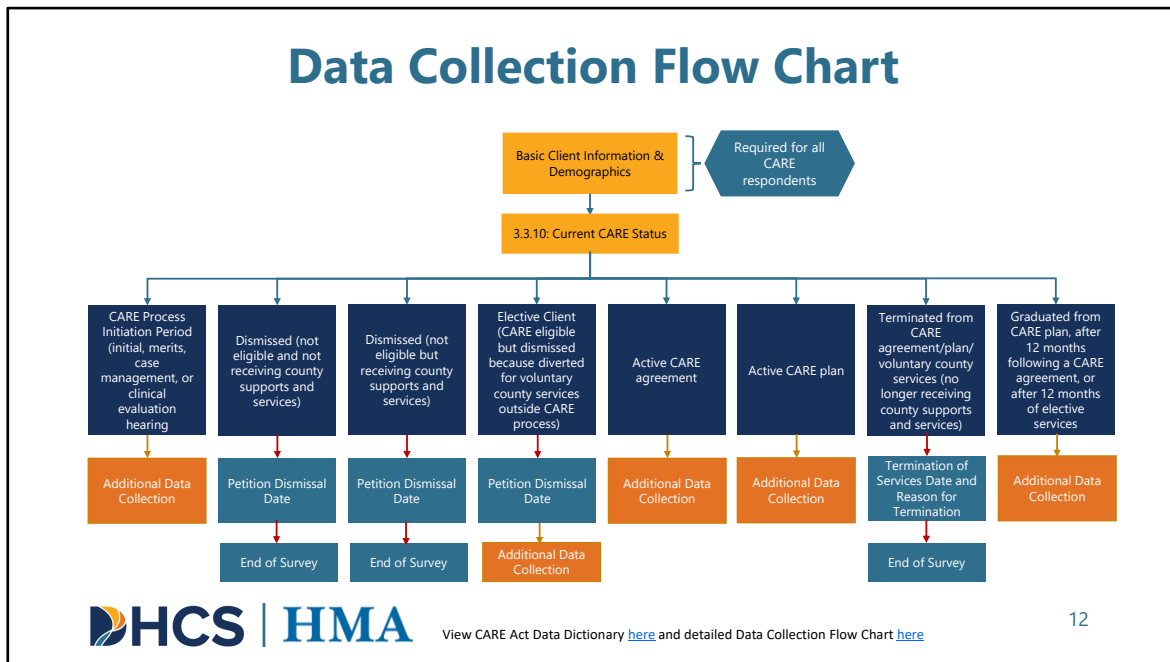
[Slide Image Description: This slide shows the MOVEit logo with information about how the MOVEit platform can be used.]

The second option for county behavioral health data submission uses a process where a Data File Template is uploaded to the MOVEit File Transfer Application. There are two Data File Template Options to choose from. Data File Template Option A aligns directly with the structure of the CARE Act Data dictionary. Data File Template Option B allows users to query data from their existing data systems. Counties can use Data Template Option A or B to transfer CARE data securely via MOVEit. MOVEit is an existing mechanism for the transfer of data used by DHCS.

Counties can access the most current version of the Data File Templates in the Resources folder within MOVEit. The history log within the Data File Template will indicate when the file was most recently updated.

Counties should not use MOVEit for data storage, as all files uploaded via MOVEit are automatically deleted every 45 days.

Data Collection Flow Chart

[Slide Image Description: This slide shows a flow chart that details the additional specifications for the 3.3.10 current CARE status.]

We will next move into a demo of the SurveyMonkey platform, but before we do that, let's review this high-level data collection flow chart. This flowchart shows how a key data point, 3.3.10 Current Care Status, determines further data collection and reporting. The logic built into the SurveyMonkey platform and the structure of Data File Template Options A and B are based on this flow chart.

We will place a link to the Data Dictionary and the detailed data collection flowchart in the chat: View CARE Act Data Dictionary here and detailed Data Collection Flow Chart here.

Starting from the top, 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. The CARE Status data point includes multiple value code options to choose from, including the CARE Process Initiation Period, Dismissed options (which includes Elective Client), Active CARE agreement, Active CARE plan, Terminated, and Graduated. A client's CARE status can and likely will 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.

Live Demo: SurveyMonkey Platform

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

Now, with that context, we will provide a live demo of the SurveyMonkey platform.

Log in to SurveyMonkey

» Link to the survey:
  https://www.surveymonkey.com/r/testingCARE2024
» Password: CARE2024!

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[Slide Image Description: This slide provides a link to the SurveyMonkey test site and the login information. It contains a checkbox and an arrow.]

Before we jump into SurveyMonkey for the CARE Act survey, we have provided a link and password to the test survey.

We encourage you to follow along with the demo on your own browser. Please use the link and password provided. The link is surveymonkey.com/r/testingCARE2024

When you navigate to this page, it will ask you for a password. The monthly survey link is always going to be password protected. Only county staff who are responsible for data entry will have access to the link and password.

The password to access the survey for today's demo is all capitals – CARE2024!

I will wait a few moments here as people get logged on. Once you get to the welcome page, please hold.

Link to the survey: https://www.surveymonkey.com/r/testingCARE2024
Password: CARE2024!

SurveyMonkey Live Demo's Key Takeaways

» Demographic and basic client information are required every reporting month.
» The current CARE Status data point is critical as it helps guide all subsequent data collection based on the client's status during the reporting month.
» The data flow chart is a guide to data collection and reporting for county behavioral health agencies. It lists all the required data points based on the CARE status, including the branching data points.

[Slide Image Description: This slide shows a bullet point list of key takeaways from the live demo of SurveyMonkey.]

We think it will be helpful to review the key takeaways from the demo before we begin. Please keep these in mind as we review the tool:

- Demographic and basic client information are required every reporting month.
- The current CARE Status data point is **critical** every reporting month because it determines reporting of subsequent required data points.
- The data flow chart is a guide to data collection and reporting for county behavioral health agencies. It lists all the required data points based on the CARE status, including the branching data points.

Now, we are going to move into a live demo of the SurveyMonkey tool. We are going to demo one of the shorter routes through the survey, which is a situation in which a CARE respondent is in the Initiation phase. This portion of the training is intended to show how to use the SurveyMonkey tool, rather than get into specifics on data points. Please be aware that for CARE respondents with CARE Status of CARE Process Initiation Period, Elective Client, Active CARE agreement, Active CARE Plan, and Graduated will

have additional mandatory data entry that will detail the supports and services received during the month, in addition to housing placements, substance use, detentions and LPS involvement, criminal justice involvement, volunteer supporters, death, hospitalizations, and CARE plan/agreement and graduation information. These additional data points are detailed in full in the Data Dictionary.

[Slide Image Description: This slide shows an image of the introduction and instruction page of the SurveyMonkey tool.]

This is the first page of the tool in SurveyMonkey. It provides a welcome and short orientation to the survey. This page has instructions on how to save responses and how to deal with data points that are unavailable.

At the bottom of this introductory page, we include the link to the Request CARE Act Data Collection and Reporting Assistance form. If users need any technical assistance or need to edit the data for a client, they can use this form to submit the requests: https://docs.google.com/forms/d/e/1FAIpQLSeqgKj1SJRZhY_OEBhHCYRFghyJL7P3uDR0SGpxF5tMOsv_pw/viewform

Once you have read this information and are ready to move on, there will be a blue box at the bottom of the page that says "**Next**". Click "**Next**" to move to the next page in the survey.

[Slide Image Description: This slide shows an image of the Reporting Month page of the SurveyMonkey tool. A bullet point list of the data points included in the section is shown.]

When you click "**Next**", you will be directed to the first data point, which is **Reporting Month**. You will see an asterisk next to the question. This means a response is required. Each data point will also have a number associated with it, here it is 3.3.1. This number maps to the data dictionary. For more information on any data point referenced throughout this demo, please note the data element number and find that same number in the data dictionary.

This data point is required because it establishes a time stamp, which is very important for our back-end work. You cannot go to the next page until you enter a date.

On each page of the survey, we have included the data specifications in red text.

The specification for **Reporting Month** states that the date should correspond to the last day of the reporting month. If January 2024 data is being reported, the county should enter **01/31/2024**.

Let's assume that we are reporting data for **January 2024**. We will enter **01/31/2024** and then click "**Next**".

Live Demo: Basic Client Information

- » 3.3.1 County
- » 3.3.2 Current First Name
- » 3.3.3 Current Last Name
- » 3.3.4 Age
- » 3.3.5 Social Security Number
- » 3.3.6 Petition Case Number
- » 3.3.7 Petition File Date
- » 3.3.8 Date of Investigation
- » 3.3.9 Original Petitioner

[Slide Image Description: This slide shows an image of the Basic Client Information page of the SurveyMonkey tool. A bullet point list of the data points included in the section is shown.]

This page requests basic client information. **Basic Client Information** and **Demographic Information** are always required for all CARE respondents that flow through county behavioral health regardless of whether they end up receiving county behavioral health services.

If you refer to the high-level data flow chart provided, this is the first element. You will be required to report data points 3.3.1 to 3.3.9.

Let's now move through the questions on this page of the survey. **As a reminder, please always read the additional specification information in red text.**

Let's pretend we have a client named Ming Wang and we are using SurveyMonkey to report the CARE Act data for her.

3.3.1 Which county was assigned by the court to investigate or follow this client in

the reporting month?
- We will select the reporting or investigating county.
- Let's select "**Stanislaus County**".

3.3.2: What is the client's current first name?
- We enter the client's first name.
- Let's enter "**Ming**".

3.3.3 What is the client's current last name?
- We enter the client's last name.
- Let's enter "**Wang**".

3.3.4: What is the client's date of birth?
- We enter the client's date of birth. We use the date of birth to determine age.
- Let's enter "**09/05/1981**".

3.3.5: What is the client's Social Security Number (SSN)? (If social security number is not available, please use the client's Medi-Cal beneficiary number.)
- We enter the client's **SSN**.
- Let's enter "**123-45-6789**".
- If the **SSN** is not available, please use the **Medi-Cal beneficiary number**. This information is stated in the additional specification.
- Please be consistent and report the same number every month. If you use the SSN, it has to be the SSN every month until there is no more tracking for this client. Do not switch between SSN and Medi-Cal beneficiary number.

3.3.6: What is the CARE petition case number?
- We enter the petition case number.
- Let's enter "**123456789**".

3.3.7: What date was the CARE petition filed?
- We enter the petition file date.
- Let's enter a random date.

3.3.8: On what date did the court order the investigation?
- We enter the date of investigation.
- For Ming, the date of investigation is not applicable. From the additional specification, we will enter "**09/09/9998**".

3.3.9: Who filed the original CARE petition?
- We select the original petitioner.
- Ming is referred by a family member who lives with her.

- We will select "**A person who lives with the respondent.**"
- There are many different options for the petitioner. Choose the option that makes the most sense for the client.

Now that we have entered all required data points from 3.3.1 to 3.3.9, we click "**Next**" to go to the next page.

Live Demo: New Client/New Demographic Information
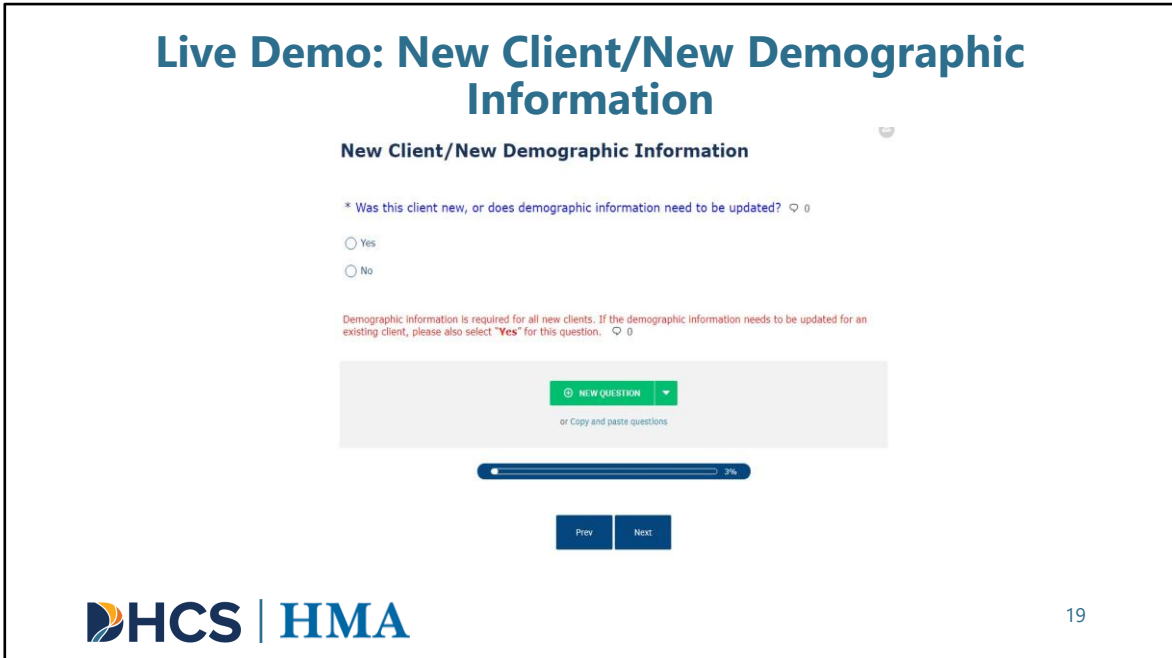
[Slide Image Description: This slide shows an image of the New Client and New Demographic Information page of the SurveyMonkey tool.]

The next page will request **demographic information**. The **demographic information** is always required. To reduce the burden of re-entering demographic information for existing clients, we have added this question. As you can see, it does not have a data point number.

Selecting "**No**" will allow you to skip re-entering demographic information for existing clients. If the client is new or an existing client who has new demographic data, you will select "**Yes**", which will direct you to the demographic section. If you select "**No**", it will skip the demographic section and take you to the **Current CARE Status** section.

Let's assume we already have entered the demographic information for Ming in the previous reporting month, so we will select "**No**" and click "**Next**". This action should skip the demographic section and take us to the Current CARE Status section.

Live Demo: Important Specification Information for Current CARE Status

[Slide Image Description: This slide shows an image of the Important Specification Information for Current CARE Status page of the SurveyMonkey tool.]

This page has very important specification information for **3.3.10 Current CARE Status**. It is important that you read this note before continuing to the next page to answer 3.3.10 Current CARE Status.

From the specification information, we learn that **3.3.10 Current CARE Status** is always required for every reporting month and users must complete the survey twice when there is a change of CARE status within the same reporting month for a client.

Once we have read the details, we can click "**Next**".

[Slide Image Description: This slide shows an image of the Current CARE Status page of the SurveyMonkey tool. A bullet point list of the data points included in the section is shown.]

This page is where users will be asked to report current CARE status.

3.3.10 Current CARE Status is a very crucial data point and must be reported every reporting month. The selected CARE status for the client in the reporting month will determine all the required data points.

There are 8 CARE statuses, and each CARE status will have different required branching data points.

Options 1 to 3 are only applicable for those clients during the **CARE Process Initiation Period**.

Options 4 to 6 **(Elective, Active CARE agreement, Active CARE plan clients)** are only applicable for those clients during the **Active Service Period**. <u>**County behavioral health will track these clients.**</u>

Option 7 (**Termination**) is only applicable for **Elective, Active CARE agreement,** and **Active CARE plan clients** who were terminated from the Active Service Period.

Lastly, option 8 is used for the **Follow-Up Period**. This option is only applicable for the **Elective, Active CARE agreement,** and **Active CARE plan clients** who have finished the **Active Service Period**.

Based on the selected current CARE status, the tool will show the different required data points. In this presentation, we will use **CARE Process Initiation Period (Initial, merits, case management, or clinical evaluation hearing)** as an example.

Live Demo: CARE Process Initiation Period (Initial, Merits, Case Management, or Clinical Evaluation Hearing)

[Slide Image Description: This slide shows an image of the Current CARE Status and Date of Petition Dismissal pages of the SurveyMonkey tool.]

First, I would like to show you what happens when you choose **CARE Process Initiation Period**.

We will select this current CARE status for **Ming** and click "**Next**".

If you have the data flow chart opened, you can see that the next section will be **3.6 Housing Placement.** It will give you some details about housing placements. As you click "**Next**", it will direct you to **3.6.1 Housing Status/Living Situation** and **3.6.2 Type of Housing Support**. You will provide an answer for these two data points and continue to the next required data points.

Once all the required data points have been triggered, the survey should end.

Live Demo: Thank You

Thank you for completing the survey. If you need any technical assistance or need to edit the data for a client, please use the Request CARE Act Data Collection and Reporting Assistance form (https://docs.google.com/forms/d/e/1FAIpQLSeqgKj1SJRZhY_OEBhHCYRFghyJL7P3uDR0SGpxF5tMOsv_pw/viewform) to submit the requests. A member of the data support team will respond as soon as possible.

Also, please do not forget to submit another survey if there is a change of CARE status.

Done

[Slide Image Description: This slide shows an image of the ending thank you page of the SurveyMonkey tool.

After selecting "**Done"**, you will see a thank you screen. If you need any technical assistance or need to edit the data for a client, please copy and paste the link on the screen to submit a request for technical assistance. Click "**Done**" again to exit out of the survey or to start a new entry.

Live Demo: Data File Template Options A & B and MOVEit Submission

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

Next, we will look at Data File Template Options A & B, and then demonstrate how to access MOVEit and where to upload your data.

Requesting Access to MOVEit

» Chat Carlie Balicki to check who from your county has requested authorized user access for MOVEit.
» Request MOVEit authorized user access using this form.
» DHCS IT Helpdesk: ITServiceDesk@dhcs.ca.gov.

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[Slide Image Description: This slide invites users to chat an HMA staffperson to check on their MOVEit access request status. It also includes a link to the request form and the DHCS IT Helpdesk. It contains a checkbox and an arrow.]

We are going to move into the MOVEit File Transfer Application. Only authorized users will be able to access MOVEit to submit data and download the resources stored there. Almost all counties have submitted user requests and DHCS is diligently working to process them. If you are not aware of who has submitted for authorized user access on behalf of your county, you are welcome to chat Carlie Balicki, who can check the back-end of the form. Or, feel free to take that back as a homework assignment.

If you would like to submit to be an authorized user of MOVEit, please use this form, which we will drop in the chat.

Many counties have submitted user requests that have been granted. If you have been granted MOVEit access and are having issues logging in or accessing the necessary folders, please email ITServiceDesk@dhcs.ca.gov

Accessing the MOVEit File Transfer Application

» Pre-identified authorized users should have received 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.

» **Email Address:** ITServiceDesk@dhcs.ca.gov
Phone: (800) 579-0874 and select option 3
Hours of Operation: Monday through Friday; 7:30 a.m. - 5:30 p.m.

» DHCS CARE Team: dhcscareact@dhcs.ca.gov
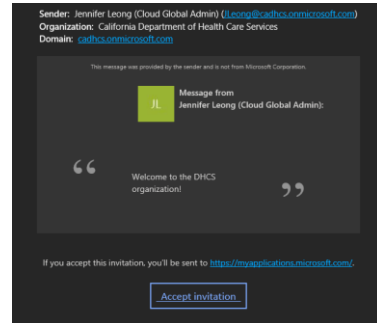
Access the CARE Act MOVEit File Transfer Application Access Request Form here.

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

Counties will pre-identify designated user(s) within their county who will be using MOVEit and use the CARE Act MOVEit File Transfer Application Access form to request MOVEit access for these users. 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 email invite will 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. Do not ignore this email and please respond back to get access to the folder. Please let us know if you are having any trouble getting 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.

For any new user requests or changes to the authorized users, please use the CARE Act MOVEit File Transfer Application Access form to submit a request.

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. You can also contact the DHCS CARE Team to get help with MOVEit issues.

Live Demo: Data File Template Options A & B and MOVEit

The Demo of Data File Template Options A and B and MOVEit will:
» Visually display each Data File Template Option, 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 Options, QA protocol and SQL code for QA.
» Explain next steps and expectations after uploading the data.

» **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.**

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[Slide Image Description: This slide introduces what will be included in the Data File Template Option and MOVEit demo.]

Next, we'll be switching to a live demo of Data File Template Options A and B and MOVEit. During this portion, we will:
• Visually display each Data File Template Option, 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 Options, QA protocol and SQL code for QA.
• 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 Options 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. Both Data File Template Options use value codes which are indicated in the data dictionary.

Here you will see what the Data File Template Option A 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, CARE Data Elements, Data Dictionary, 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.

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 following cells 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.

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.

In addition, we have also created Data File Template Option B which still includes all data points. There are fewer columns in this Template because you can include all data values within the same cell. For example, when you are inputting a clients Race, when

there are multiple selections you can include each data value within the same cell and you don't have to input them in separate cells.

Now that we have seen Data File Template Option A and understand the data input process, we will look at Data File Template Option B.

Similar to the layout and structure of Data File Template Option A, Data File Template Option B also includes the blue and orange fields that indicate where you need to input data values.

For this example, I wanted to show you what the data entry looks like and show you what it will look like when a data point is triggered. We will use 3.4.2 Race (Column L) as an example. The cell is already blue and is a necessary data point to include. Here, if the value is Other or 99903, you will enter that value and the following cell will turn orange indicating a necessary data value. When there are multiple selections for race you can enter the values using commas as delimiters.

Next, 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 **QA protocol and Data File Template Options** for counties to download.

Each Data File Template Option will include a version number and date.

Data File Template Option A: **Version_1.0A_Option A_CountyBH_Data_File_Template.**
Data File Template Option B: **Version_1.0B_Option B_CountyBH_Data_File_Template**

Each quarter folder should have 3 files – one for October, November and 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 asks that each county notify us when you submit the files. 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. The first few round of data submission will take longer than 15 days for the HMA team.

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

Difference between Data File Template Option A & B

Option A	Option B
Mirrors the Excel data extract from SurveyMonkey	Streamlined version to support more automated process
Results in a wide format, with multiselect data value options separated into their own columns	Data reported within a **single sheet**
To supported more intuitive reporting, the file template is separated into **several sheets** by CARE Status	Multiselect data value options are delimited by commas

[Slide Image Description: This slide visually shows the differences in Data File Template Options A and B]
We will be showing you the template options, this slide is giving a preview of the template options.

Here, we have summarized the differences between Data File Template Options A and B.

Data File Template Option A mirrors was created to mirror the Excel data extract from SurveyMonkey. Due to the limited functionalities of SurveyMonkey, the associated Data File Template results in a very wide format, with multiselect data value options separated into their own columns. The HMA data team structured the CARE Act Data File Template according to CARE Act status (so you have several sheets) to make it more intuitive for reporting the CARE Act data.

In response to requests from cohort I counties to support a more automated data process, Data File Template Option B was created where
(1) Data can be reported within a **single sheet** (not separate ones) –
(2) Multiselect data value options are delimited by commas (we will show you an example in the next slide)

Data File Template Option A & B: Example of Reporting Difference

Option A: "Check all that apply" Data Point Responses Separate

3.4.2: What is the client's race? (Check all that apply) - White	3.4.2: What is the client's race? (Check all that apply) - Hispanic	3.4.2: What is the client's race? (Check all that apply) - Black	3.4.2: What is the client's race? (Check all that apply) - Other Asian or Pacific Islander	3.4.2: What is the client's race? (Check all that apply) - Alaskan Native or American Indian
1	2			

Option B: "Check all that apply" Data Point Responses Comma-delimited

3.4.2 Race	3.4.2 Race (Other)
1, 2	

[Slide Image Description: This slide visually shows the differences in Data File Template Options A and B]

Here is an example of how the data point responses will be reported differently for the same Data Element in Option A vs Option B.

We use Data Element 3.4.2: Client's Race as an example. Client's Race allows for multiple selections (i.e., check all the races that apply)

If you refer to the CARE Act Data Dictionary, you will see White is equal to value code 1 and Hispanic is equal to value code 2 and so forth.

Example data is entered on the slide for a respondent that identifies as both White and Hispanic.

So, in Data File Template Option A, you will enter a 1 in the first column for White and 2 in the second column for Hispanic. You will leave the rest of the cells for this question blank. In Data File Template Option B, you are able to enter all applicable value code options for Race separated by a comma, so you will enter 1, 2.

Data File Template Option B: Reporting Reason(s) for Services Not Provided

3.5.3 Mental Health Treatment Services in CARE Agreement or Plan Not Provided	3.5.3 Mental Health Treatment Services in CARE Agreement or Plan Not Provided (Other)
1,5,7	

1: Adult Crisis Residential Services   **5:** Day Rehabilitative (Half-Day & Full—Day)   **7:** Intensive Care Coordination

3.5.4 Reason for Mental Health Services in CARE Agreement or Plan Not Provided	3.5.4 Reason for Mental Health Services in CARE Agreement or Plan Not Provided (Other)
2,99903,99903	Not needed,Family Declined

2: Client declined   **99903:** Other

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[Slide Image Description: This slide visually shows how data is entered into Data File Template Option B.]

Here we want to show counties on how to report the reason data points on Template Option B. We are using Mental Health Treatment Services as an example.

When a support or service is listed on the CARE plan or agreement but <u>not provided to the client in the reporting month</u>, counties are required to provide a reason for that support or service not being offered. If there are multiple supports and services not provided, each of them will require a reason for non-offering.

On data point 3.5.3, it asks for the Mental Health Treatment Services in CARE agreement or plan not provided. It has three Mental Health Treatment Services in CARE agreement or plan that are not provided:

1 – Adult Crisis Residential Services
5 – Day Rehabilitative (Half-Day & Full—Day)
7 – Intensive Care Coordination

There are multiple Mental Health Treatment Services. That means counties are required to provide a reason for each of them.

On Template Option B, we want the counties to provide each reason separated by a comma for data point 3.5.4. As counties can see on data point 3.5.4, there are three reasons: 2,99903,99903.

2 – Client declined is the reason Adult Crisis Residential Services was not provided.
The first **99903 – Other** is the reason Day Rehabilitative (Half-Day & Full—Day) was not provided
And the second **99903 – Other** is the reason Intensive Care Coordination was not provided

We also want counties to specify the 99903 code further in the following column, separated by a comma .

Quality Assurance (QA) Process Overview

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

Now, we'll move onto an overview of the Quality Assurance process.

MOVEit Resources Folder

» **County Data File Template Option A:** Version_1.0A_Option A_CountyBH_Data_File_Template.xlsx

» **County Data File Template Option B:** Version_1.0B_Option B_CountyBH_Data_File_Template.xlsx

» **CARE Act Quality Assurance Protocol:** Version_1.0_CARE_Act_Quality_Assurance_Protocol.xlsx

» **SQL Query for Quality Assurance:** (forthcoming)

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

Again, as a quick recap, the county Data File Template Options, 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.]

As mentioned earlier in the presentation, counties will submit data quarterly in monthly batches. When submitting, we ask that counties 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
C: Completeness	Checks for missing, surplus, or duplicate data
A: Accuracy	Checks for typos and questionable records
R: Reasonability	Checks if the individual data are valid and the data set, taken as a whole, is plausible
T: 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.

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[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.

- 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 the MOVEit File Transfer Application.

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

[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.

Regardless how the data is submitted using Data File Template Option A or Data File Template Option B or through SurveyMonkey, the QA report will look the same.

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.

CARE Quality Assurance Checklist	
File Naming Convention	
The name of the file adheres to the following naming convention: (**Name of County_MMYYYY**), where MM corresponds to the reporting month and YYYY the reporting year. For resubmissions, please use the name of the county, month & year of the reporting month, resubmission, and date of resubmission (**Name of County_MMYYYY_Resubmission_DDMMYYYY**).	Fail
Completeness	
Missing Data: 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.	Fail
Duplication/Surplus Data: For each reporting month, CARE clients are not being reported more than once per CARE status.	Pass
Accuracy (or Validity)	
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
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
Validity Check: data submitted adheres to the value codes defined in the CARE data dictionary and are not out of range.	Pass
Cross validation with Judicial Council data: The total number of CARE plans and CARE agreements should match between JC and County BH.	Fail
Summary count of records reported (number of clients by CARE status) must match the count of records performed by the HMA data team.	Pass
Reasonableness	
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
Reasonableness of dates. For example, the date of graduation cannot be earlier than the date of investigation.	Pass
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
Trend analysis: examination for outliers in numbers of CARE clients over time.	Pass
Timeliness	
The data is submitted on time, no later than 60 days following the end of the reporting quarter.	Pass

[Slide Image Description: This slide has a list of the 13 elements based on the CART metrics.]

Here are all 13 elements based on the CART metrics. We will tell counties which elements failed and which elements passed. Tab A and G will list all the details at the individual level for the failed elements.

As an example, for the Accuracy dimension, you'll see that part of the QA process includes cross-validating County and JC data. From the previous two data submissions, we've seen inconsistencies between JC and counties on the total number of CARE agreements. We want to clarify/remind counties that they should not count CARE agreements until they have been approved by the courts.

[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 plans to 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 45 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.

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

As we previously mentioned, counties will receive a QA report per monthly data file within **45** business days of the initial submission date.

Counties are expected to correct all data issues outlined in the QA report(s) included in Tabs A-G. The provided details will be at the client 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.
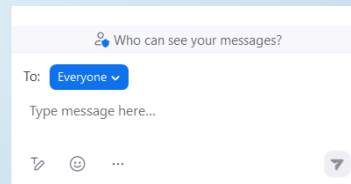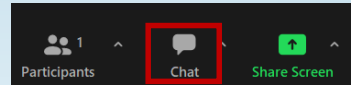
[Slide Image Description: This slide includes text that reads "please submit your questions via the chat" and an image of two Q&A thought bubbles.]

With that, we can now turn to Q&A. I'll now take a look at the chat and see what questions have been submitted. If you have any questions you'd like us to answer, please submit them now.

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

Thank you all for your time and attention today. As a reminder, we hoped that by the end of the session participants would have an increased ability to:

- Describe the two options for submitting monthly data for CARE participants: SurveyMonkey and the MOVEit File Transfer Application.
- Enter data in SurveyMonkey using embedded logic to ensure collection of required data based on CARE Act statute.
- Perform bulk file uploads of CARE participant data using Data File Template Options A & B and the MOVEit File Transfer Application.
- Understand the Quality Assurance process for CARE Act data.

Data Collection and Reporting Resources

CARE Act Data Dictionary	Data Dictionary County Data Flowchart	Data Dictionary Summary Table
Data Collection FAQs	Request Data Collection and Reporting TA	CARE Data Lessons Learned Resource

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

There are a variety of additional data collection and reporting resources available. We will place the links in chat and post these slides for easy access in the following days.

- Link to Data Dictionary: https://www.dhcs.ca.gov/Documents/Enclosure-I-CARE-ACT-Data-Dictionary-Version-1-0.pdf
- 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 Data Collection FAQs: https://care-act.org/library/data-collection-reporting-resources/#datafaqs
- Link to TTA Request form: https://docs.google.com/forms/d/e/1FAIpQLSeqgKj1SJRZhY_OEBhHCYRFghyJL7P3u DR0SGpxF5tMOsv_pw/viewform

The HMA Data Team has recently developed a new resource titled Preparing for CARE Act Data Collection and Reporting: Lessons Learned from Counties that Have Implemented CARE. The resource features a set of lessons learned compiled from a

Data Affinity Group Panel Discussion held on May 21, 2024. Panelists were asked to share how they approached data collection and reporting for the CARE Act, what they wish they would have known early on, best practices for CARE Act data collection and reporting, and the most important advice they have for counties preparing to launch CARE. Data contacts should have received a copy of this resource to their inbox.
To receive a copy that includes a link to the recorded Data Affinity Group, please email the HMA Data Team at CAREDataTeam@healthmanagement.com.

[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**