



FEI Systems

Alabama File Upload Training Submission Guide Overview, Client File Review, and 837P Submission

Thank you for joining us today.

To eliminate background noise, please remain on mute throughout the session.

Feel free to put questions in the chat.



FEI Systems

AGENDA

Introductions

System Overview

Submission Guide Review

Client File Review

837P Submission

Next Steps and Upcoming Documentation



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INTRODUCTIONS

ADMH PERSONNEL

- Ram Kandula - CIO
- Richetta Muse – Medicaid Specialist
- Yolanda Ballentine – Systems Manager

PROVIDERS AND VENDORS

Please add the following information in the chat.

- Providers – Name, Role, Agency, Facility, and EHR Vendor
- Vendors – Name, Role, Company, Agency you are representing

FEI PERSONNEL

- Shelby Maloney – Behavioral Health Program Manager
- Anne Clements – Account Manager
- Tim Carroll – Delivery Manager
- Lynise Low – Project Manager
- Kevin Sutter – Business Analyst Team Lead
- Chanchal Rijhwani – Business Analyst
- Naveen Bhima – Senior Business Analyst
- Scott Wilson – Trainer



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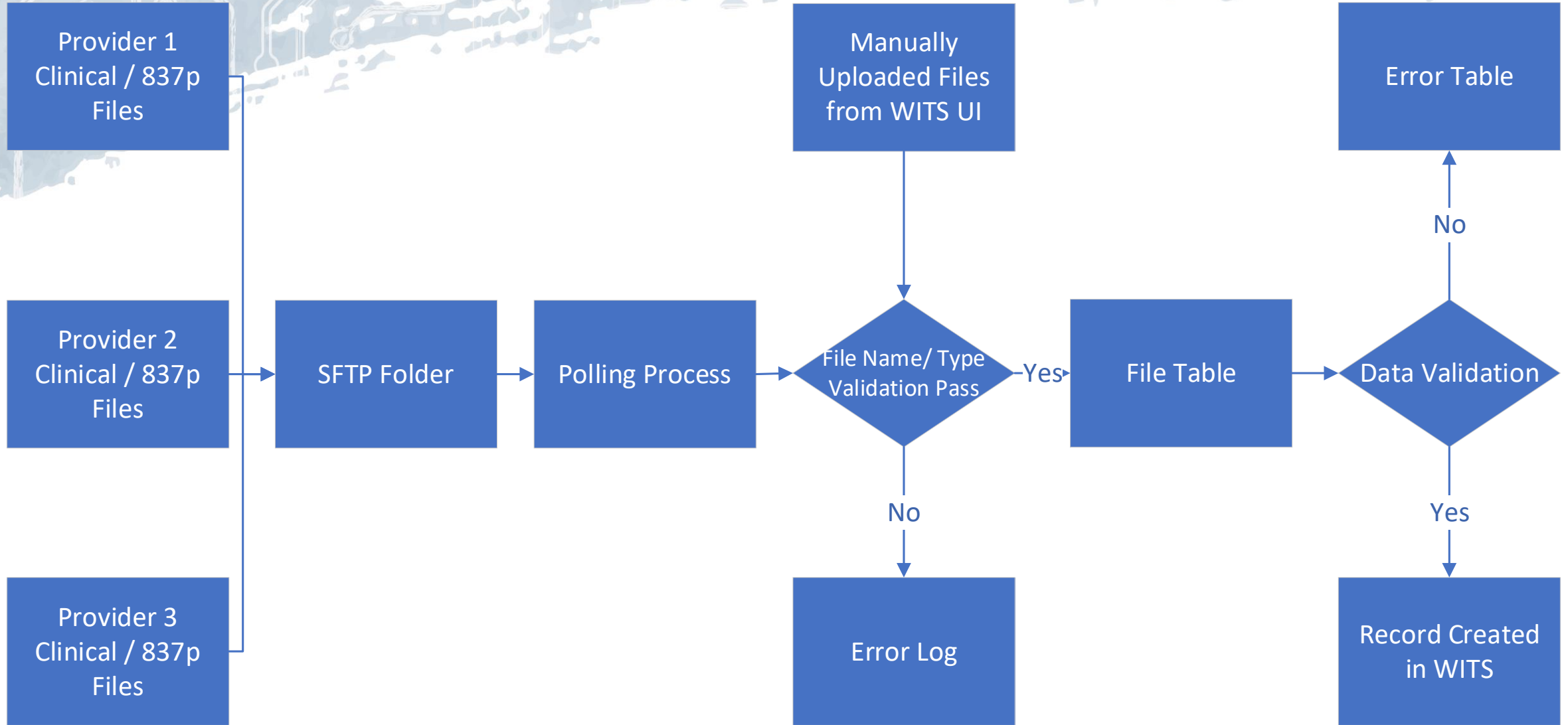
Submission Guide Review

Client File Review

837P Submission

Next Steps and Upcoming Documentation

Workflow





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VENDOR SUBMISSION GUIDE

XML File Submission

- File Naming and File Size
- Schema Validation
- Validation Errors
- Tracking Changes and Submission Actions

Validation Errors, Warnings, & Guidance

- Errors
- Warnings
- Guidance

General Overview of the Datasets

- Description
- Key Fields
- Sub Entities
- Additional Business Rules/Guidance
- Fields

Datasets

- Client
- Treatment Episode

XML FILE SUBMISSION – FILE NAMING AND FILE SIZE

- Although there is some flexibility in how files are to be named, all filenames submitted to AL-WITS must adhere to these three requirements:
 - 1) The name of the dataset must be the first word in the file, followed by an underscore.
 - 2) The filename must be unique in the submitter's (agency's) set of currently uploaded and unprocessed files. See examples on next slide
 - 3) The file extension must be ".xml"
- Any filename that does not meet these requirements will not be processed into AL-WITS and an error on the error log will be recorded.
- The required dataset name for each dataset is listed below:
 - ClientDataSet_
 - TreatmentEpisodeDataSet_

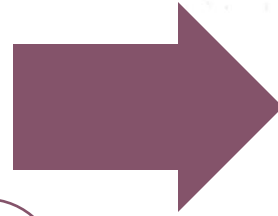
XML FILE SUBMISSION – FILE NAMING AND FILE SIZE

- To easily satisfy requirement #2 (unique file name), it is suggested to append the date and time to each file after the underscore, using the YYYYMMDDHHMMSS format.
- Some examples of acceptable filenames are:
 - ClientDataSet_20240515112204.xml
 - TreatmentEpisodeDataSet_2024051511220.xml
- AL-WITS will accept any data file that is 50 megabytes (mb) or less in size.

DATASET DEPENDENCIES

Client

Dependent on the Agency and Facility existing in AL-WITS (managed by ADMH)



Treatment Episode

Dependent on data in the Client File

MULTIPLE DATASETS

If files for multiple datasets are submitted via SFTP at the same time, the system will automatically process the files in the correct order to avoid dependency errors



XML FILE SUBMISSION – STATUSES

Once a file is submitted to WITS either manually or through SFTP, the user may go to the Clinical File Management screen to view the file upload status.

- **Queued** - the file has passed file extension and file name validation and will be processed when the scheduled process runs
- **Processed** - no errors were found in any record submitted within the uploaded file and the client records were created successfully
- **Processed with Errors** - one or more records in the file have errors
 - The records without errors are successfully created in AL-WITS
 - The ones with errors are not must be corrected and resubmitted
- **Failed** - no records were created and the complete file that was uploaded failed
 - File will need to be corrected and resubmitted

Clinical File Management Screen

Clinical File Import

File Name Upload Date

Status

Clinical File List

+ Add Clinical File

File Name	Uploaded Date	Status	
TreatmentEpisodeDataSet_UAT_test.xml	9/9/2024	Queued	⋮
TreatmentEpisodeDataSet_Discharge.xml	8/29/2024	Processed	⋮
TreatmentEpisodeDataSet_Update_7.xml	8/29/2024	Processed	⋮
TreatmentEpisodeDataSet_Update_6.xml	8/29/2024	Processed with errors	⋮
TreatmentEpisodeDataSet_Update_5.xml	8/28/2024	Processed with errors	⋮
TreatmentEpisodeDataSet_Update_4.xml	8/28/2024	Processed with errors	⋮
TreatmentEpisodeDataSet_Update_3.xml	8/28/2024	Processed with errors	⋮
TreatmentEpisodeDataSet_Update_2.xml	8/28/2024	Processed with errors	⋮
TreatmentEpisodeDataSet_Update.xml	8/28/2024	Failed	⋮
TreatmentEpisodeDataSet_20240827_6.xml	8/28/2024	Processed	⋮

XML FILE SUBMISSION – VALIDATION ERRORS

- **File Name Validation**

- Confirms that the submitted file meets the file naming criteria

- **Schema Validation**

- Confirms that the uploaded file is a valid XML file containing a structure that matches the expected structure defined in the XSD file.

- **Entity Errors**

- As each record is processed, business rules are validated.
- All the Errors are displayed on the Clinical File Profile screen under “Errors” panel for the files uploaded through Clinical file management screen on AL-WITS
- All the errors will be emailed to “Agency Contact Email address” incase of a file uploaded via SFTP

Error Management

Clinical File Profile

File Name

TreatmentEpisodeDataSet_Update_6.xml

Uploaded By

Claims, yb

Status

Processed with errors

Upload Date

8/29/2024

Provider Agency

Test EDI Upload

Process Start Date

8/29/2024

Process End Date

8/29/2024

Finish

Administrative Actions

Download

Errors

Export

Code

Message

ImportAlabamaTreatmentDataSet

10002.1Update1 of the ADMH Update Assessment record from TreatmentEpisodeDataSet_Update_6.xml submission failed because Pregnant Status has unacceptable values.

HOW TO READ/UNDERSTAND THE SUBMISSION GUIDE

Field	Description	Validation Rules
External Client Record Id	The provider's internal system identifier for the External Client record. [KEY FIELD]	Data Validation
		String Sub validation: Invalid Data – data type
		Length Validation
		50 Sub validation: Invalid Data –length.
		Required Rule Validation
External Record Identifier Required Rule Sub validation: Missing Data validation		
		Guidance
		The ExternalClientRecordIdentifier must be a unique identifier for this record in the source system. It must be a value that is unique and never changes. If the source system does not have a unique identifier, one can be constructed. A constructed RecordIdentifier might contain the values that make this record unique and never change.

HOW TO READ/UNDERSTAND XML FILES

- Recommend using Notepad++ for viewing
- External Record IDs denote ID fields in provider's EHR
- Data fields enclosed with tags
<tag> data </tag>
- Tag names that include "Code" indicate a data field whose value is dependent on valid options in a code or vocabulary table
- Related data nested in blocks
 - Client
 - Race
 - Physical Address

```
<?xml version="1.0" encoding="utf-8"?>
<ClientDataSet>
  <Clients>
    <Client action="">
      <ExternalClientRecordId>10003</ExternalClientRecordId>
      <FirstName>Sally1</FirstName>
      <LastName>Test1</LastName>
      <GenderCode>FE</GenderCode>
      <BirthDate>09/09/1997</BirthDate>
      <SocialSecurity>005052019</SocialSecurity>
      <EthnicityCode>NSL</EthnicityCode>
      <VeteranStatusCode>TEDS02</VeteranStatusCode>
      <LanguageCode>ENG</LanguageCode>
      <HearingStatusCode>1</HearingStatusCode>
      <Races>
        <Race action="">
          <RaceCode>CAU</RaceCode>
          <ExternalClientRaceRecordId>10002Race1</ExternalClientRaceRecordId>
        </Race>
      </Races>
      <ClientPhysicalAddresses>
        <ClientPhysicalAddress action="">
          <ExternalClientAddressRecordId>10002Add1</ExternalClientAddressRecordId>
          <AddressTypeCode>CH</AddressTypeCode>
          <FirstStreetAddress>111 Peanut Street</FirstStreetAddress>
          <CityName>Prattville</CityName>
          <CountyCode>4</CountyCode>
          <StateCode>AL</StateCode>
          <PostalCode>36066</PostalCode>
        </ClientPhysicalAddress>
      </ClientPhysicalAddresses>
    </Client>
  </Clients>
</ClientDataSet>
```

EXTERNAL RECORD IDs

- Unique identifier for a record
- Can be based upon information that should not change or can be arbitrary
- **Cannot be changed once created**
 - If trying to use a different ERI for the same record, a new record will be created
- Must be unique within table
 - Can have Client ERI 1234 and Intake ERI 1234
 - Cannot have two Client ERIs of 1234 within the same Agency – AL-WITS will recognize this as the same Client
- Used to link records across datasets

Dataset	Object	Primary Identifier	Reference Identifiers	
Client	Client	External Client Record Id		
	Race	External Race Record Id		
	Client Physical Address	External Client Address Record Id		
Treatment Episode	Client Treatment Episode Intake	External Client Intake Id	External Client Record Id	
	Screener			
	Uncope	External Uncope Screener Id	External Client Intake Id	External Client Record Id
	Crafft	External Crafft Screener Id	External Client Intake Id	External Client Record Id
	Assessment			
	Placement Assessment	External ADMH Placement Assessment Record Id	External Client Intake Id	External Client Record Id
	Update Assessment	External ADMH Update Assessment Record Id	External Client Intake Id	External Client Record Id
	Discharge			
	Discharge	External Discharge Record Id	External Client Intake Id	External Client Record Id

EXTERNAL RECORD IDs

Client Profile

^ Hide Context Information

Unique Client Number 001921TF999905E	State Client ID	External Record ID 10002	
Created By User, System	Created Date 8/16/2024 10:28 AM	Updated By User, System	Updated Date 8/16/2024 10:28 AM

First Name:

Middle Name:

Last Name:

Mother's Maiden Name:

Suffix:

Sex at Birth:

Gender Identity:

DOB:

SSN:

Provider Client ID:

Driver's License:

Has paper file:

Upload Profile Image

No File Selected...

An External Record ID must exist or be created in the provider's EHR for each record being uploaded into WITS.

This ID is used to match records between the provider's EHR and WITS.



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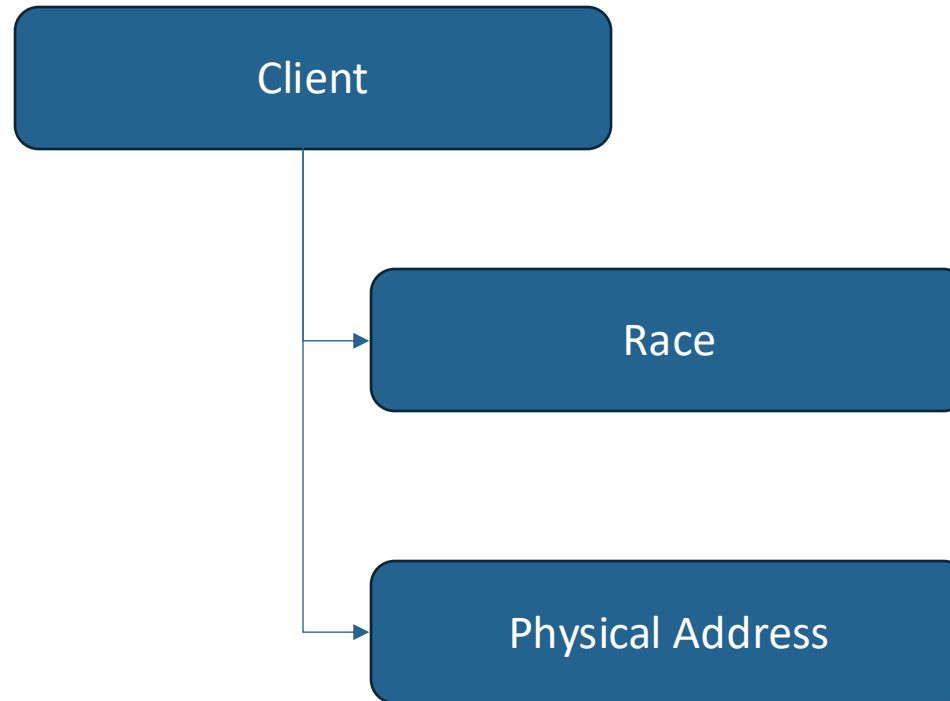
Submission Guide Review

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837P Submission

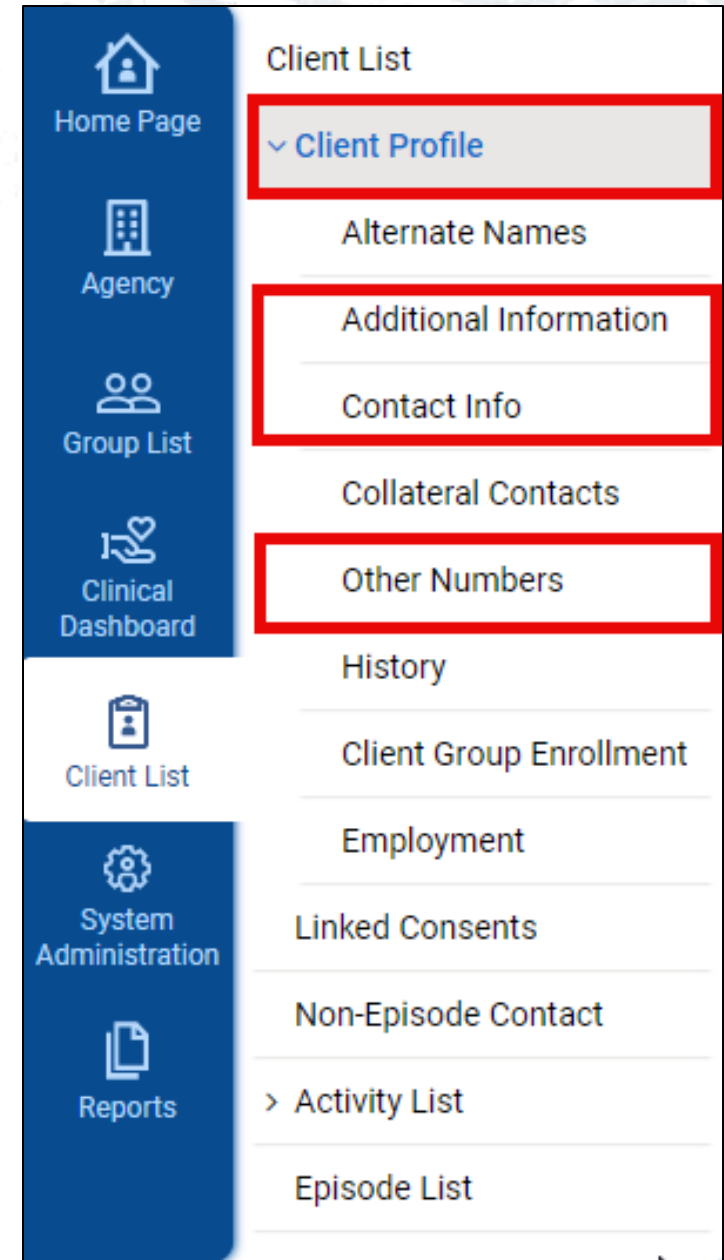
Next Steps and Upcoming Documentation

Client Data Model



Client Data File

- Creates and updates client records
- Client screens
 - Client Profile
 - Additional Information
 - Contact Info
 - Other Numbers
- Data sent to create a record must be complete (required fields) or will fail to process





Start Live Demo





Questions ?



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837P SUBMISSION

Ways to upload 837 files and download 835/999 files:

- Using WITS:
 - Login to WITS.
 - Upload 837 files via the H837 Management Screen.
 - Download 835 files from the H835 Management Screen.
 - Download 999 files from the H999 Management Screen.
- Using SFTP:
 - Login to the WingFTP server.
 - Upload 837 files to the IN folder.
 - Download 835 and 999 files from the OUT folder.

CONTRACT EDI PROFILE

- Informational Text
 - ▣ Payor
 - ▣ Receiver
 - ▣ Submitter
- Loop and Segment refer to locations in 837P

Contract EDI Profile

Contracting Agency Prevention Contractor	Provider Agency second prevention agency
Interchange Sender ID ISI002	Contract Name Second Prevention
Application Sender's Code ASC002	Contract # 99999
Submitter ETIN SE002	Contract ID 89
Receiver Name RN Abc	Interchange Receiver ID IR001
Application Receiver's Code ARC001	Receiver ETIN RE001
Payor Name PN Abc	Payor ID PID001

The Payor ID is sent in Loop 2010BB NM109 on the 837P.

The Payor ID is sent in Loop 2010BB NM109 on the 837P.

SUBSCRIBER NUMBER

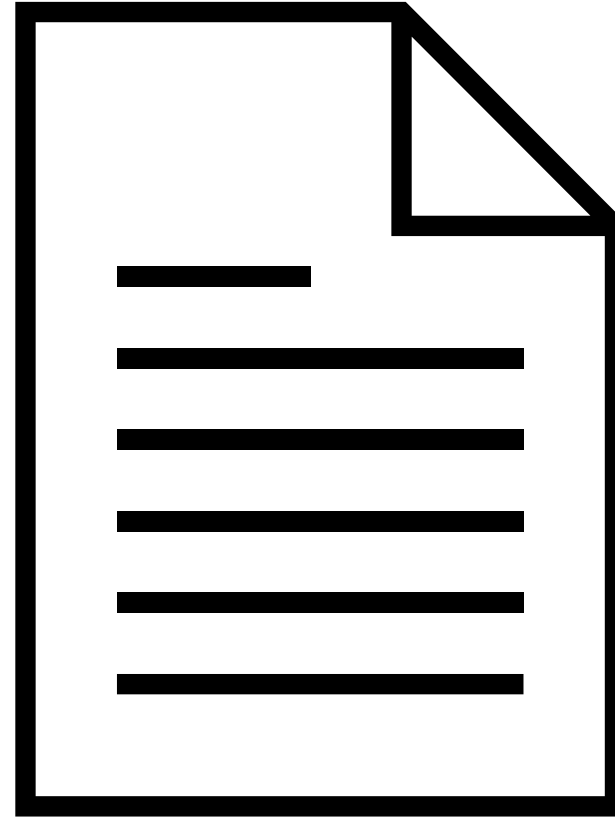
- Subscriber number is the WITS Unique Client Number (UCN)
- UCN is found by navigating to the client list and searching for the client

The screenshot displays the AL-WITS QA web application interface. At the top, the header includes the WITS logo, the text 'AL-WITS QA 2021', and user information for 'Tim Carroll, Administrative Agency, Administrative Unit'. A navigation sidebar on the left contains icons for Home Page, State Waitlist, Agency, Group List, Clinical Dashboard, Client List, System Administration, Reports, and Support Ticket. The main content area is titled 'Client Search' and features search fields for Facility, First Name (containing 'test'), Last Name, and Unique Client Number. Below the search fields are buttons for 'Search', 'Advanced Search', and 'Clear'. The 'Client List' section below shows a table with columns for Full Name, Unique Client #, and SSN. A red arrow points to the 'Unique Client #' column header. The table contains four rows of client data:

	Full Name	Unique Client #	SSN	
T1	1, Test 9/7/2000 Female	J314412D5894644	657-43-5748	...
TN	NEW, Test 1/1/2000 Not Collected	R554499IR994644	555-55-5555	...
TO	OM, Test 5/2/2000 Female	J964499QS004644	787-67-6565	...
TT	TEST, Test 2/28/1980 Male	Q623434IX252564	002-28-1980	...

837P SUBMISSION

- 837P files must be file type .dat or .txt
- File names cannot contain special characters other than underscore (_)
- File names must be unique
 - It is recommended that the file name include the date and time to ensure file names are unique
- 837Ps processed at set intervals determined by state



WITS UPLOAD - STATUSES

Once a file is submitted to WITS either manually or through SFTP, the user may go to the H837 Management screen to view the file upload status.

- **Queued** - the file has passed file extension and file name validation and will be processed when the scheduled process runs
- **Processed** - file was successfully processed with no errors in the 837P file
- **Processed with Errors** - one or more claims in the 837P have errors
 - The claims without errors were processed successfully
 - The claims with errors were not processed and must be corrected and resubmitted
- **Failed** - file failed to process
 - File will need to be corrected and resubmitted

WITS UPLOAD

H837 Management

File Name Upload Date

Status

H837 File List

Currently, there are no results to display for the H837 File List.

Upload H837

Contractor

Prevention Contractor

Upload a new H837

Test21.txt

Open

837 Files

Name	Date modified	Type	Size
Test21	3/21/2024 8:44 AM	Text Document	2 KB

File name: Test21

All Files

In WITS, you can upload only one 837P file at a time.

SFTP UPLOAD – ACCESSING SITE

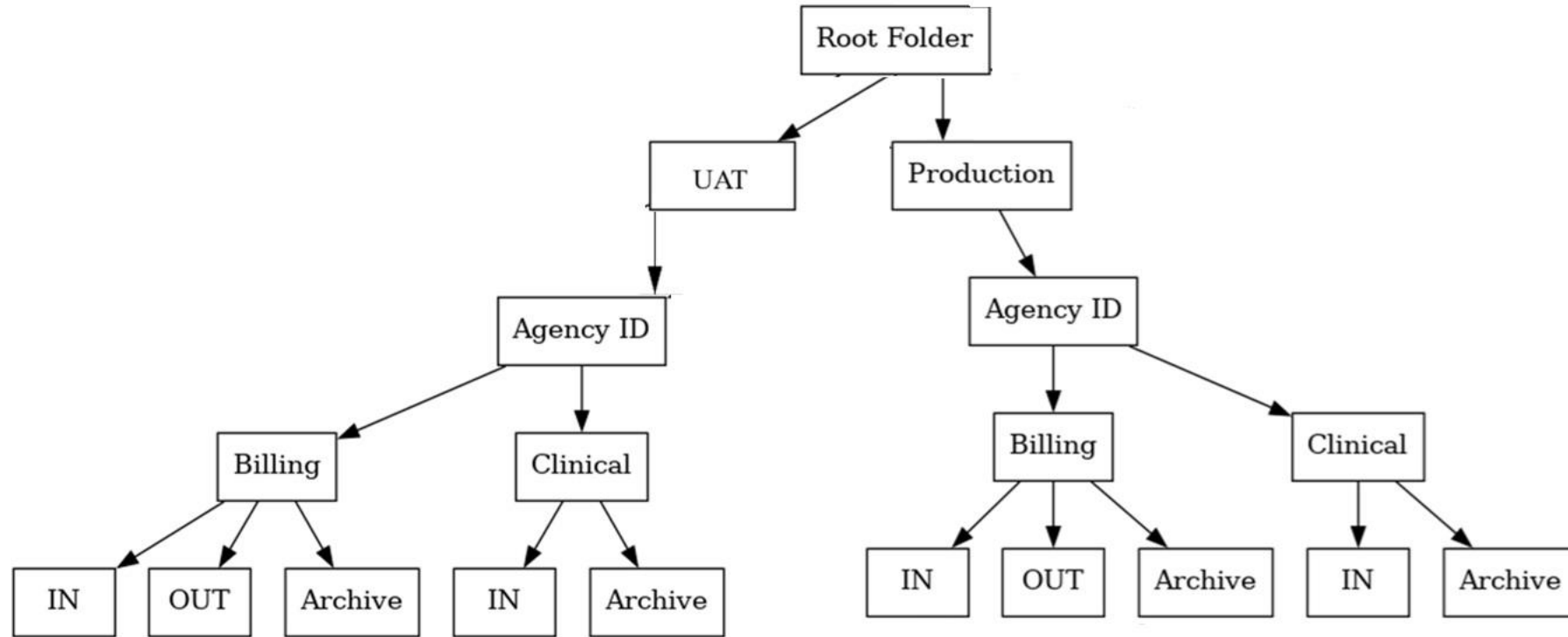
- State will contact WITS Support for SFTP site access
- Provider will need to provide email address to associate with provider's SFTP account
- Wing FTP Server (prodftp.feisystems.com)



Remember me

 Download App

SFTP Folder Structure



- Billing IN folder – 837P files to upload to WITS
- Billing OUT folder – 999 and 835 files
- Billing Archive – Successfully uploaded 837P files

- Clinical IN folder – Client dataset, treatment episode dataset to upload to WITS
- Clinical Archive folder – Successfully uploaded client dataset and treatment episode dataset files

SFTP Upload

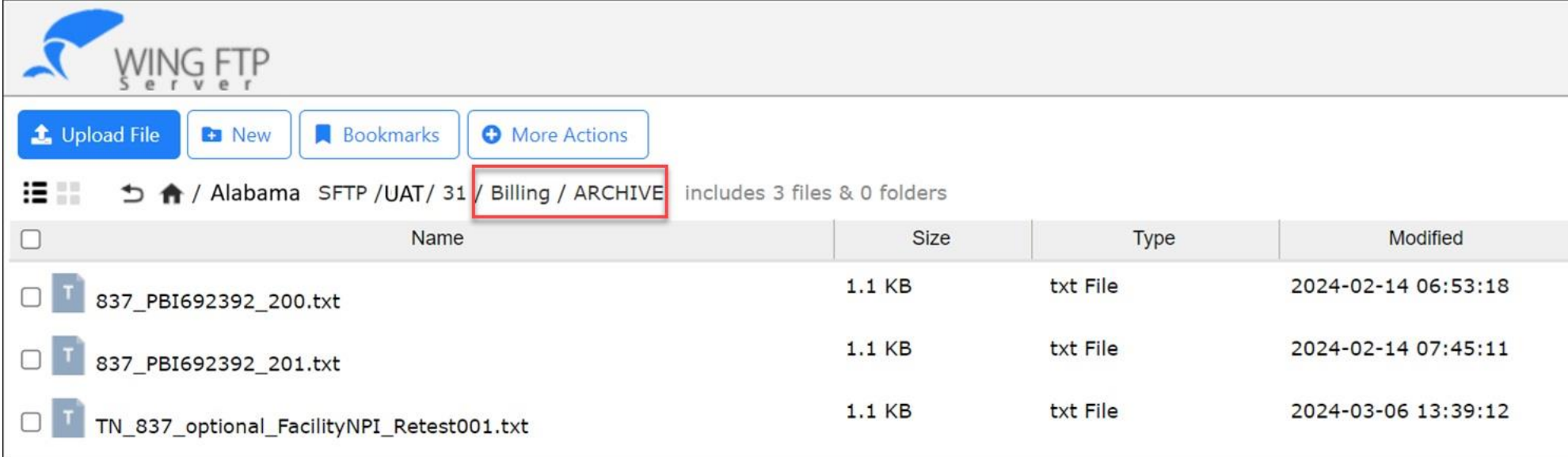
837P files that are successfully uploaded to WITS will move from the IN folder to the Archive folder.

The screenshot shows the WING FTP Server interface. At the top, there is a navigation bar with buttons for 'Upload File', 'New', 'Bookmarks', and 'More Actions'. Below this is a breadcrumb path: 'Alabama SFTP / UAT / 30 / Billing / IN'. A table with columns 'Name', 'Size', 'Type', and 'Modified' is visible. An 'Upload File' dialog box is open, featuring a dashed box for file selection and three buttons: 'Choose Files', 'Choose Folder', and 'Cancel'. A red arrow points from the 'Upload File' button in the main interface to the 'Choose Files' button in the dialog box.

Choose Files for specific file upload. Hold CTRL and click to select multiple files.

837P files that do not leave this folder failed to upload to WITS. The billing file upload contact will receive an email stating why.




Archive Folder



WING FTP Server

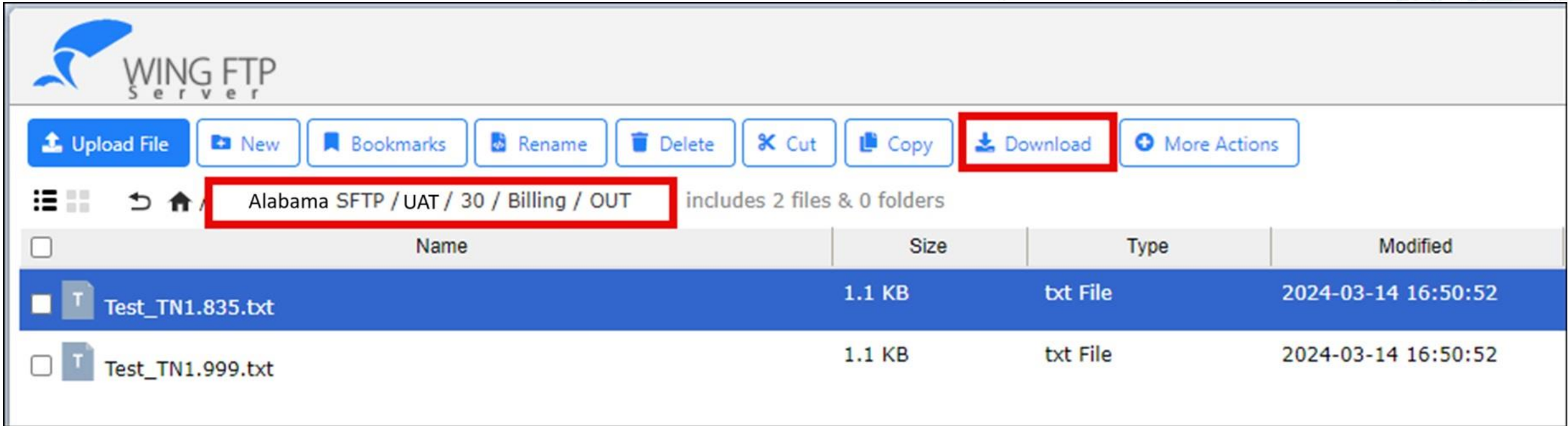
Upload File New Bookmarks More Actions

/ Alabama SFTP /UAT/ 31 / Billing / ARCHIVE includes 3 files & 0 folders

<input type="checkbox"/>	Name	Size	Type	Modified
<input type="checkbox"/>	 837_PBI692392_200.txt	1.1 KB	txt File	2024-02-14 06:53:18
<input type="checkbox"/>	 837_PBI692392_201.txt	1.1 KB	txt File	2024-02-14 07:45:11
<input type="checkbox"/>	 TN_837_optional_FacilityNPI_Retest001.txt	1.1 KB	txt File	2024-03-06 13:39:12

- 837P files successfully uploaded into WITS will be moved here
- Still need to access H837 Management screen in WITS to review processing status

835 and 999 Responses



The screenshot shows the WING FTP Server interface. At the top left is the logo for WING FTP Server. Below the logo is a navigation bar with buttons for 'Upload File', 'New', 'Bookmarks', 'Rename', 'Delete', 'Cut', 'Copy', 'Download', and 'More Actions'. The 'Download' button is highlighted with a red box. Below the navigation bar is a breadcrumb path: 'Alabama SFTP / UAT / 30 / Billing / OUT', which is also highlighted with a red box. To the right of the breadcrumb path, it says 'includes 2 files & 0 folders'. Below the breadcrumb path is a table with columns for 'Name', 'Size', 'Type', and 'Modified'. The table contains two rows of files:

	Name	Size	Type	Modified
<input type="checkbox"/>	Test_TN1.835.txt	1.1 KB	txt File	2024-03-14 16:50:52
<input type="checkbox"/>	Test_TN1.999.txt	1.1 KB	txt File	2024-03-14 16:50:52

- 835 and 999 files are located in the Out folder
- Click on file in list for Download option
- Double click a file to open and review

999 will not generate for any 837P file that failed processing in WITS. Review H837 Management for error resolution.



Start Live Demo





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REFERENCE DOCUMENTS

- Vendor Submission Guide
- Vocabulary Codes
 - List all code tables used in clinical records and the valid entries for its associated field
- XML Schema Definitions (XSDs) and Examples
- 837P Companion Guide

NEXT STEPS

- Providers and vendors should read through the reference documents in their entirety
 - Recommend evaluating which fields your system does and does not capture and begin the process to add any missing fields
- Begin file development (client dataset, treatment episode dataset, and 837P) and testing
- Direct any questions to Yolanda.Ballentine@mh.alabama.gov – she will work with FEI to get a response in a timely manner

UPCOMING MEETING

Q & A Session