

FEI Systems

ADMH Clinical File Upload and  
Claims Submission Project

**ADMH Clinical File Upload  
Implementation Guide**

Version 1.1

Prepared by Raj Lakhani

Date 8/19/2024

## Table of Contents

---

<b>Introduction .....</b>	<b>1</b>
Terms and Definitions.....	1
Purpose.....	1
<b>Transitioning Agencies .....</b>	<b>1</b>
Align External Client IDs.....	1
Discharge Existing Client Episodes.....	2
Expire Existing TEDS Programs.....	5
<b>Transitioning and New File Upload Agencies .....</b>	<b>5</b>
Align existing records/Facility IDs .....	5
Create ASAM-based TEDS Programs.....	6
Agency Setup .....	6
Assign Roles .....	7

## List of Tables

---

Table 1: Record of Changes.....	1
Table 2: Terms and Definitions .....	1

## List of Figures

---

Figure 1: Other Numbers Menu.....	1
Figure 2: Other Numbers Screen .....	2
Figure 3: Close Open TEDS Program Enrollments.....	3
Figure 4: Close Intake (Treatment Episode).....	4
Figure 5: Unit ID in Facility List Screen.....	5
Figure 6: Clinical File Upload Agency Indicator Set to True .....	6
Figure 7: Clinical File Management Roles .....	7
Figure 8: Billing Related Roles.....	7
Figure 9: Billing, Contract Management, and Clinical File Management Menus.....	8

## Record of Changes

Table 1: Record of Changes

Version Number	Date	Author/Owner	Description of Change
08/19/2024	1.0	Raj Lakhani	Initial version
9/24/2024	1.1	Kevin Sutter	Updated Agency Setup screens to bulleted format. Peer reviewed.

## Introduction

The Alabama Department of Mental Health (ADMH) Clinical File Upload feature enables agency providers to submit TEDS clinical data and claims data directly to AL-WITS. To ensure a smooth transition from manual data entry to automated file uploads, agency providers should refer to this **ADMH Clinical File Upload Implementation Guide** alongside the **ADMH SAIS Submission Guide, 837 Companion Guide**, and its supporting materials. These resources will assist in successfully uploading Clinical and Claims files into AL-WITS.

## Terms and Definitions

Table 2: Terms and Definitions

Term	Description
ADMH	Alabama Department of Mental Health
AL-WITS	ADMH's instance of WITS
CPE	Client Program Enrollment
EHR	Electronic Health Record
ERI	External Record IDs. IDs that represent data records in an EHR external to AL-WITS.
TEDS	Treatment Episode Data Set
XML	Extensible Markup Language
XSD	XML Schema Definition

## Purpose

This document offers a step-by-step guide for transitioning an agency from direct data entry in AL-WITS to a clinical file upload agency. It also outlines the setup process for a new provider agency with its own EHR that has never previously used AL-WITS, configuring it as a clinical file upload agency.

Topics covered include:

- Transitioning existing client records between systems.
- Agency setup.

- Program setup.
- Assigning Clinical File Upload roles.

## Transitioning Agencies

Providers transitioning from doing direct data entry to using File Upload functionality will use the following instructions.

### Align External Client IDs

To effectively manage and update client data from a provider's external EHR, AL-WITS relies on unique identifiers. These identifiers, referred to as External IDs, are crucial for matching records between the two systems.

When an EHR sends datasets to AL-WITS via file upload, the system stores the corresponding External IDs. This information is essential for subsequent updates or deletions. By referencing these IDs, AL-WITS can accurately locate and modify the appropriate records.

For Instance: To ensure seamless synchronization of a client record, it is essential to copy the home EHR client ID to the "Other Numbers" section of the Client Profile screen as "External Record ID" number type in AL-WITS. This ID must match the "ExternalClientId" value found in the XML file for the client record. This step ensures that AL-WITS can correctly identify and process any data changes in the client record from the external EHR.

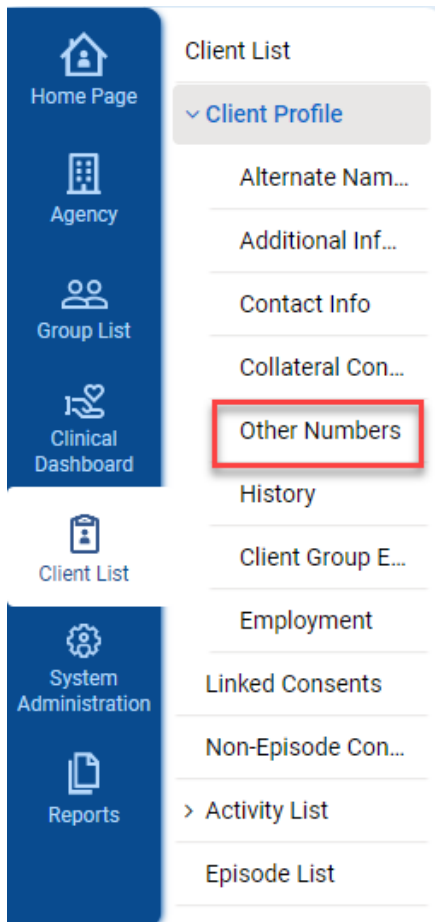


Figure 1: Other Numbers Menu

### Other Numbers List

+ Add Other Number

Currently, there are no results to display for the Other Numbers List.

### Other Number Profile

Number Type  
  

ASAIS ID  
CJAMS ID  
Court Case Number  
**External Record Id**  
Juvenile Court Number  
NO Photo ID available  
OBSIS Number  
Other Photo ID

Number

Start Date

End Date

Contact

Figure 2: Other Numbers Screen

## Discharge Existing Client Episodes

To prevent duplicate client records in AL-WITS, all current clients enrolled in open TEDS programs must be administratively discharged. This involves closing their Substance Abuse domain treatment episodes and completing necessary assessments to close the Intake.

Since most existing client records in AL-WITS lack external record identifiers (ERIs) from the original EHR, new client record uploads would create duplicate entries. To address this, all open SUD treatment episodes need to be closed and then resubmitted as new records via file upload. This process will allow AL-WITS to correctly match and update client information using the ERIs provided in the new file uploads.

MA

**ADMH, Manual**

22

123 main st  
alabama, Alabama 55547

F670257DA840220  
UNIQUE CLIENT ID

1  
CASE #

6/27/2002  
DOB

Female  
SEX

PREFERRED METHOD OF CONTACT

Home Page

Agency

Group List

Clinical Dashboard

Client List

System Administration

Reports

Client List

Client Profile

Linked Consents

Non-Episode Con...

Activity List

Intake

Drug Testing

Tx Team

Screening

Assessments

Outcome Mea...

Program Enroll

Diagnosis List

Encounters

Notes

Treatment

### Program Enrollment Profile

Facility

Facility 1

Domain

Prevention

Days on Wait List

Start Date

7/26/2024

End Date

7/26/2024

Date of Last Contact

7/1/2024

Program Name

Prevention

Program Staff

Bhima, Naveen

Termination Reason

Completed Treatment. No Substance Use

Notes

Save

Save and Finish

Cancel


Figure 3: Close Open TEDS Program Enrollments


MA


**ADMH, Manual**  
F870257DAM40228  
UNIQUE CLIENT ID


**22**  
6/22/2022  
DOB


123 main st  
Alabama, Alabama 55547  
PREFERRED METHOD OF CONTACT


  
Home Page


  
Agency

  
Group List

  
Clinical Dashboard

  
Client List

  
System Administration

  
Reports

### Intake Case Information

^ Hide Context Information

Case #  
1

External Record ID

Created By  
amirinan, anusha

Created Date  
6/28/2024

Updated By  
amirinan, anusha

Updated Date  
6/28/2024

**Intake Facility**  
Facility 1

**Intake Staff**  
amirinan, anusha

**Intake Date**  
6/28/2024

**Case Status**  
Open Active

**Initial Contact**  
By Appointment

**Initial Contact Date**  
[Calendar Icon]

**Pregnant**  
Yes

**Due Date**  
6/30/2024

**Prenatal Treatment**  
☐ Yes ☒ No

**County**  
Baldwin

**Primary Referral Source**  
Self (Individual)

**Secondary Source of Referral**  
[Empty]

**Referral Contact**  
[Empty]

**Injection Drug User**  
No

**Problem Area**  
[Empty]

**What is the most important thing you want that made you contact us?**  
[Text Area: test]

**Presenting Problems**

- Abuse Victim
- Assault Victim
- Criminal Justice
- Daily Coping
- Dep/Mood Disorder

**Other Presenting Problem Description**  
[Text Area]

**Presenting Problems Selected**

- Alcohol

**Special Initiative**

- PIV
- Methadone
- Persistent & Disabling Personality, Anxiety, Eating Disorder
- Psychiatric Emergency Services
- Therapeutic Courts

**InterAgency Service**

- Child Protective Services (CPS)
- Court/Legal Interface
- DCSP
- Developmental Disabilities
- Domestic Violence

**Domains**

- Prevention

**Special Initiative Selected**

[Empty]

**InterAgency Service Selected**

[Empty]

**Selected Domains**

- Treatment

**Date Closed**  
9/12/2024 [Calendar Icon] Save & Close the Case

Save
Save and Finish
Cancel

Figure 4: Close Intake (Treatment Episode)



## Expire Existing TEDS Programs

To ensure each facility has only one active program per ASAM Level of Care (LOC), follow these steps:

- 1. Expire Duplicate Programs:** Expire any additional programs at a facility so that only one program remains active for each ASAM LOC.
- 2. Criteria for Retaining Programs:** If a program meets the file upload criteria and has no duplicates, it may be retained.
- 3. Discharge Clients Before Expiration:** Before expiring any programs, ensure all clients are administratively discharged from their Substance Abuse domain treatment episodes and TEDS program enrollments.
- 4. One program per LOC:** The file upload process only recognizes one program per LOC. If duplicates exist, such as two active outpatient programs, AL-WITS will be unable to create the CPE for the uploaded client Treatment Episode.

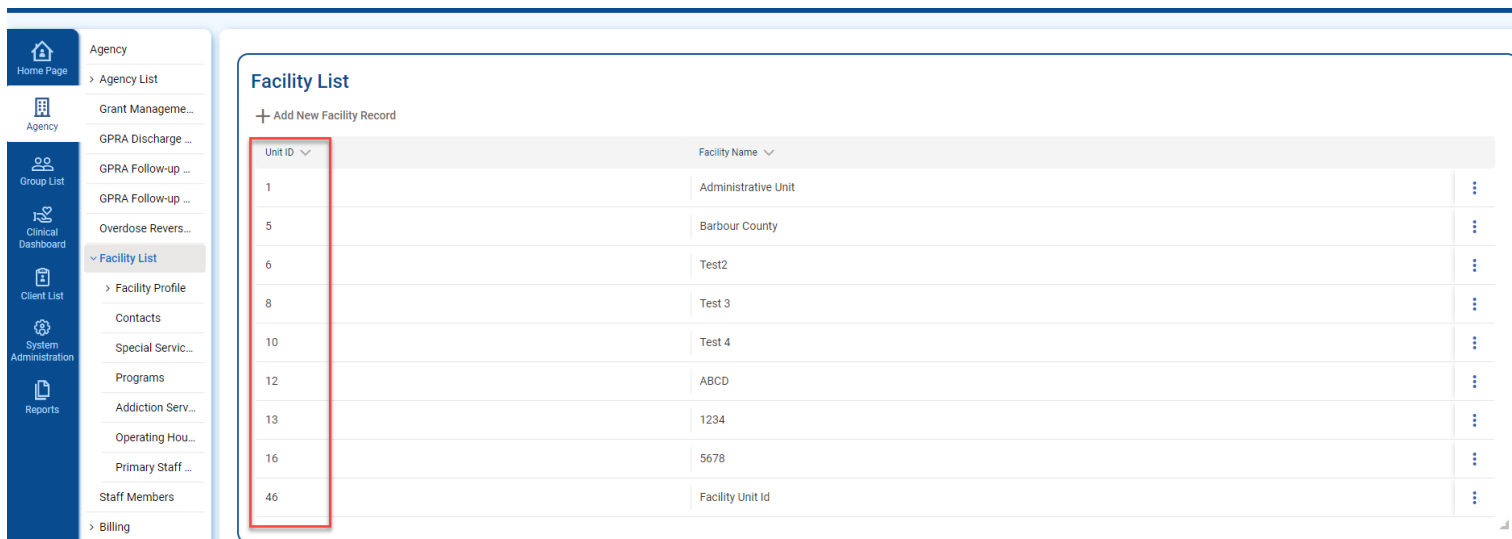
## Transitioning and New File Upload Agencies

Providers using WITS for the first time as File Upload agencies will use the following instructions.

### Align existing records/Facility IDs

When AL-WITS receives a file upload from an external EHR, it must store the unique IDs associated with the records in that file. These IDs are essential for matching the data from the provider's EHR with the corresponding records in AL-WITS. This ensures that any future updates or deletions submitted by the external EHR can be accurately applied to the correct records.

To facilitate this process, the provider must include the WITS facility ID (also known as the WITS Unit ID) in the client's treatment record within their home EHR. This ID should be submitted as the "IntakeAtUnitId" in the Tx Episode file to create the Intake record in WITS.



Unit ID	Facility Name
1	Administrative Unit
5	Barbour County
6	Test2
8	Test 3
10	Test 4
12	ABCD
13	1234
16	5678
46	Facility Unit Id

Figure 5: Unit ID in Facility List Screen

## Create ASAM-based TEDS Programs

AL-WITS automatically creates a TEDS-reportable Client Program Enrollment (CPE) based on the Actual Level of Care (LOC) indicated in the ASAM record at the client's admission, as submitted in the Treatment Episode file. To ensure this function works properly, it's essential to create generic TEDS programs for each ASAM LOC offered by a facility (e.g., Outpatient Services). For instance, if a facility only provides Outpatient Services and Intensive Outpatient services, there's no need to create programs for other levels, like clinically managed low-intensity Residential (Adult).

However, if a facility has more than one program for the same LOC (e.g., two active TEDS intensive outpatient programs), the process will fail, and AL-WITS will be unable to generate the client's CPE. To avoid this issue, ensure only one active program exists per LOC by closing any duplicate programs.

Note: These guidelines are based on the ASAM vocabulary in AL-WITS, as defined by ADMH, which aligns with standard ASAM levels. If ADMH specifies different breakdowns within each ASAM LOC (e.g., separate Outpatient Level programs for adults and youth), AL-WITS can generate client program enrollments for these more specific levels.

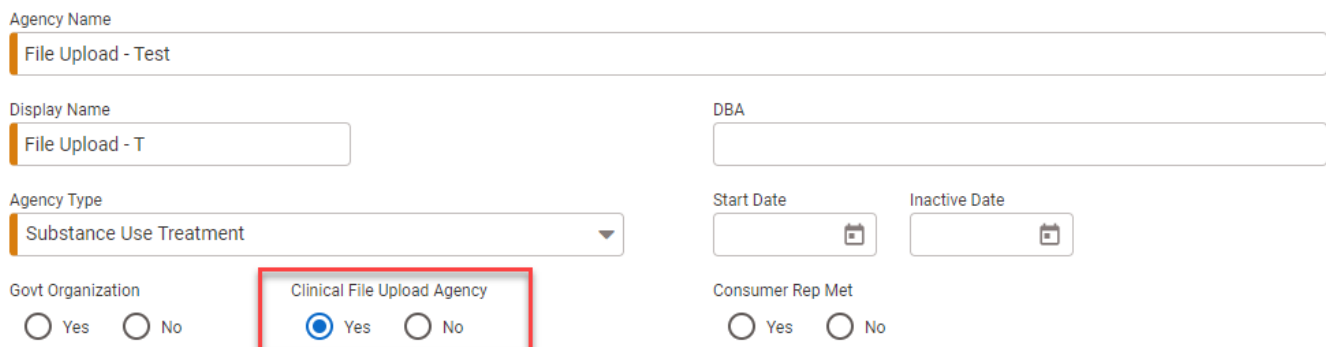
## Agency Setup

Set the file upload indicator to "True" in the Agency Profile. Doing so will enable users with the appropriate role (as detailed in Section 7 below) to access the Clinical File Upload screen. This change will also make the following screens read-only:

- Client Profile
- Intake
- Screeners
- Placement Assessment
- Update Assessment
- Outcome Measure
- Client Program Enrollment
- Discharge

Once an admin user activates this indicator, it becomes locked and can only be modified by the Production Support Team if necessary.

## Agency Profile



The screenshot shows the 'Agency Profile' form. The 'Clinical File Upload Agency' indicator is highlighted with a red box. The indicator is a radio button labeled 'Yes' which is selected, next to a radio button labeled 'No'.

Agency Name	File Upload - Test		
Display Name	File Upload - T	DBA	
Agency Type	Substance Use Treatment	Start Date	Inactive Date
Govt Organization	Clinical File Upload Agency	Consumer Rep Met	
<input type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	

Figure 6: Clinical File Upload Agency Indicator Set to True

## Assign Roles

Assign the Clinical File Management, Billing, H835 Management, and H999 Management roles to the appropriate user accounts. Depending on the level of access required, assign either the full access or read-only versions of these roles. Users will only see the Clinical File Upload menu and associated screens if they have the Clinical File Management role and if the File Upload Agency indicator is set to "True." Users with Billing, H835 Management, or H999 Management roles do not require the File Upload indicator to be set to "True" in order to access the billing and contract management menus and screens needed for the 837P process.

### Roles

Available Roles
☐ Hide Inherited Roles
☒ Show description

<b>Clinical File Management (Full Access)</b> Grants full access to the <b>Clinical File Management</b> screen.	Task <a href="#">View included roles</a>	+
<b>Clinical File Management (Read-Only)</b> Grants read-only access to the <b>Clinical File Management</b> screen.	Task <a href="#">View included roles</a>	+

Figure 7: Clinical File Management Roles

### Roles

Available Roles
☐ Hide Inherited Roles
☒ Show description

<b>Agency Billing</b> Full access to the Agency Billing screens, other than Encounter, under Agency/Billing.	Task Group <a href="#">View included roles</a>	+
<b>Agency H835 Management</b> Allows access to the Agency H835 Management screen.	Task Group <a href="#">View included roles</a>	+
<b>Agency H999 Management</b> Allows access to the Agency H999 Management screen.	Task Group <a href="#">View included roles</a>	+
<b>Agency Invoicing (Full Access)</b> Full access to the Invoicing screens used for Cost Reimbursement and located under Agency Billing.	Task Group <a href="#">View included roles</a>	+
<b>Agency Invoicing (Read-Only)</b> Read-Only access to the Invoicing screens used for Cost Reimbursement and located under Agency Billing.	Task Group <a href="#">View included roles</a>	+
<b>Agency Reporting</b> Access and run agency-wide reports under the Reports. This role also gives access to the Unfinished Client Activity and Client list by Program report.	Task Group <a href="#">View included roles</a>	+

Figure 8: Billing Related Roles

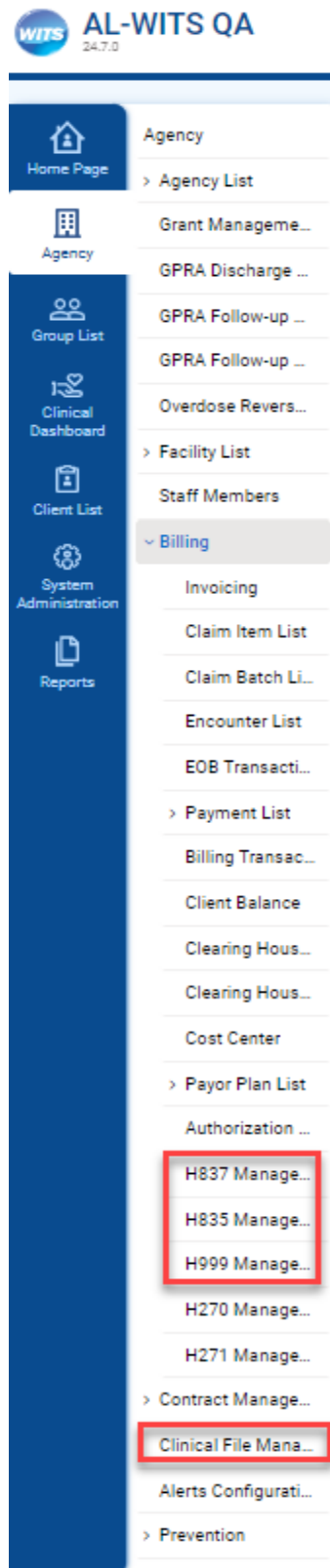


Figure 9: Billing, Contract Management, and Clinical File Management Menus