

# CalOMS Requirements Management Project



CALIFORNIA DEPARTMENT OF ALCOHOL AND DRUG PROGRAMS

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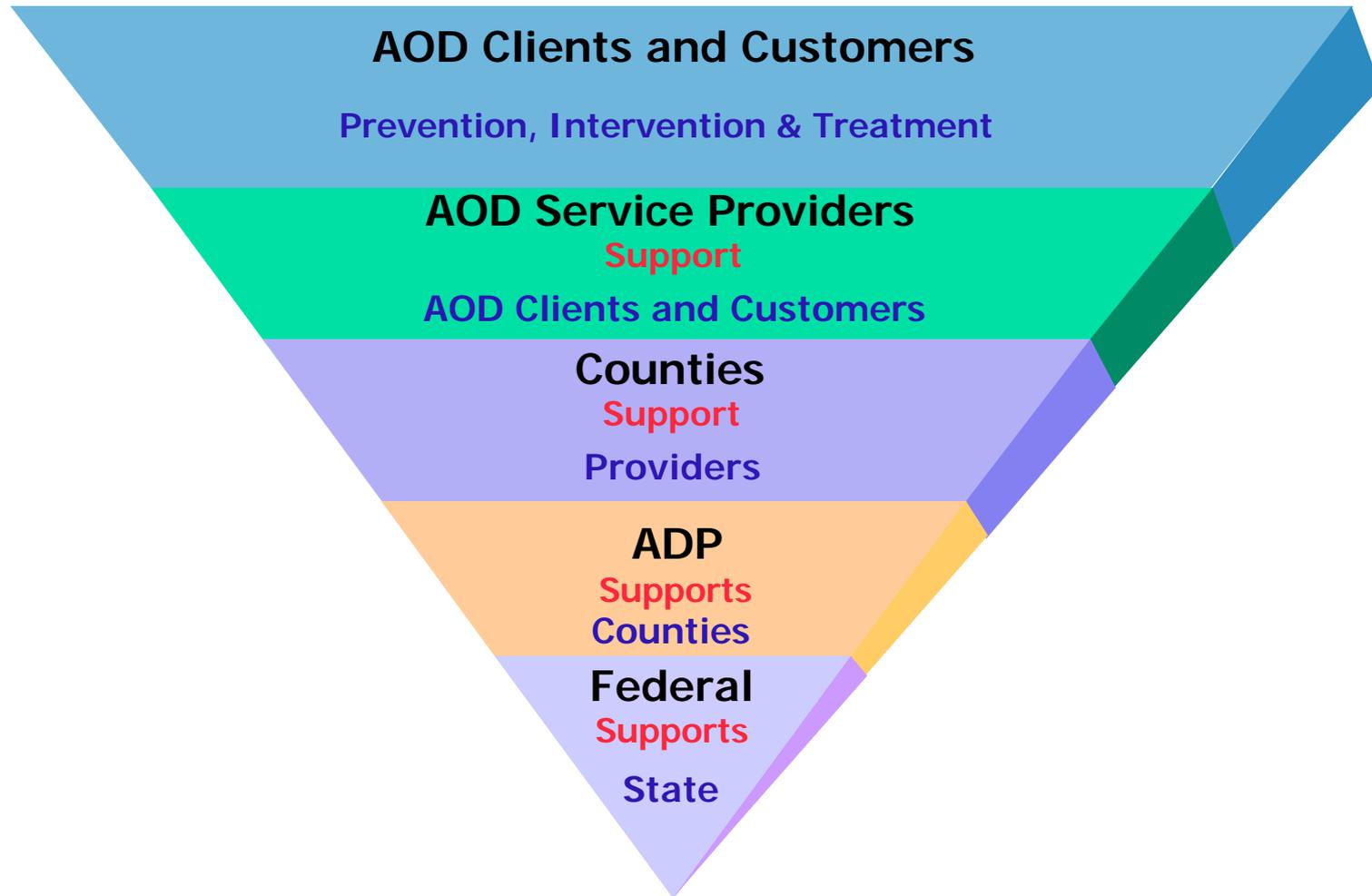
DELEGATA:

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- Kim LaFever

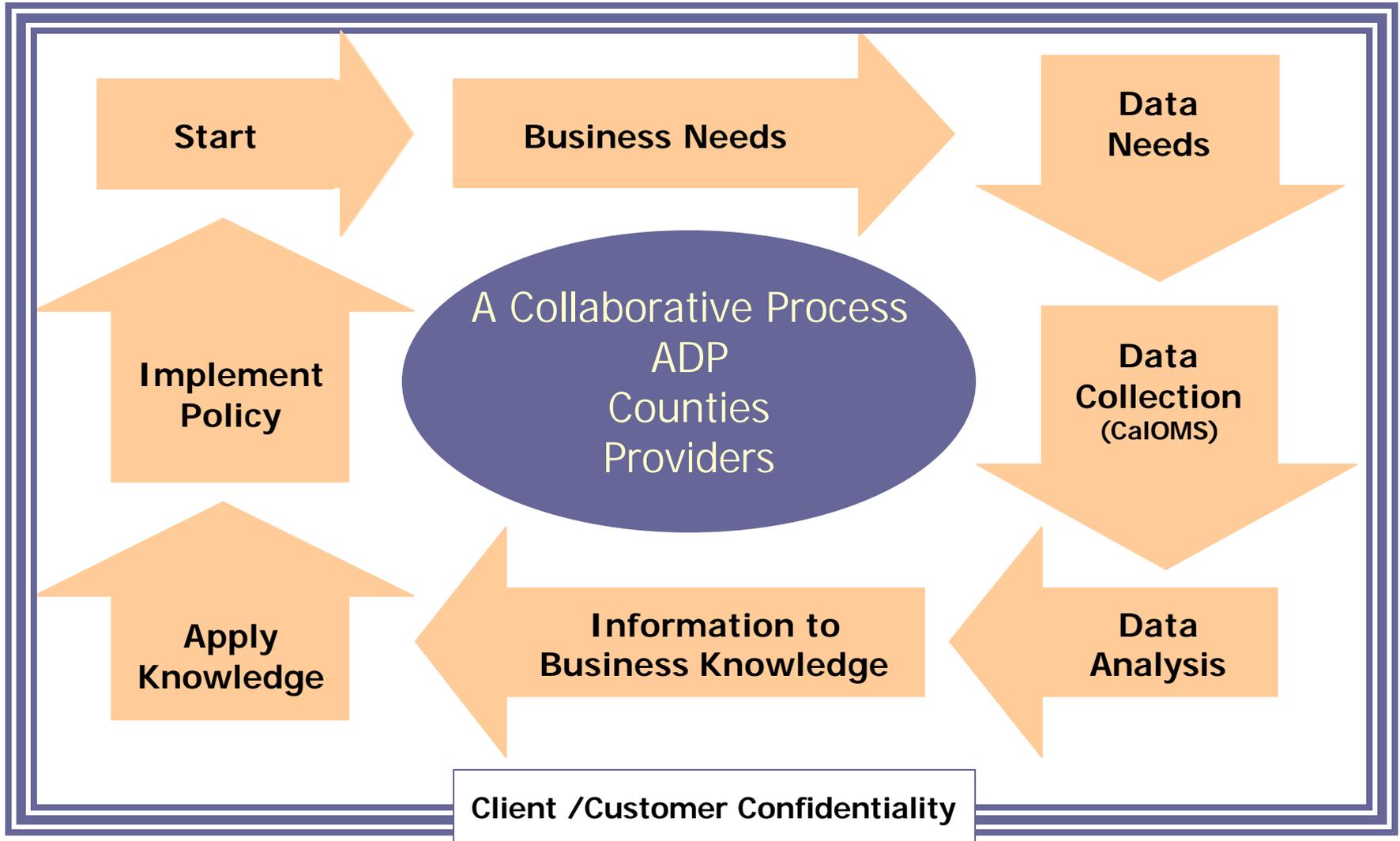
- Welcome, Introductions, and Agenda 5 min
- CA Outcomes Monitoring Program (CalOMP) 40 min
  - Vision
  - High-Level Architecture
  - Project Schedule
  - Future Phases and Benefits
- CalOMS Requirements Project Overview 15 min
- \*\*\* Break \*\*\* 15 min
- Key Treatment (Tx) Requirements Walkthrough 45 min
  - Functional
  - Data
  - Inputs and Outputs
  - Privacy/HIPAA
- Feedback/Input/Q&A 30 min
- Technology Requirements Walkthrough 30 min

# *California Outcomes Monitoring Program (CalOMP)*

## *Vision*



# A Collaborative Process





# Business Needs: Phase 1



Document Client/Customer Demographics

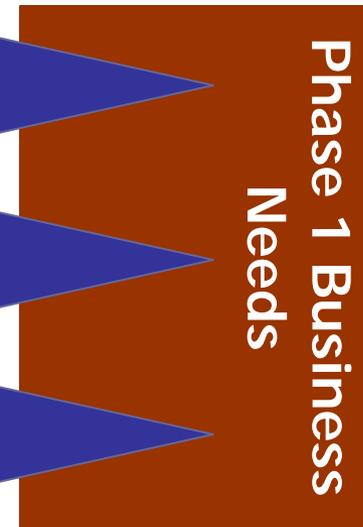
Identify AOD Trends and Risks

Meet Federal Reporting Requirements

Demonstrate Service Effectiveness

Demonstrate Services are Cost Effective

Identify Effective Practices



## California Outcomes Measurement System (CalOMS) Begins to Collect Data October 2004

- Meets Performance Partnership Grant (PPG) requirements
- Adheres to current data submission process (Provider > County > ADP)
- Testing period for all Counties begins August 2004
- Expandable to meet evolving business needs

## Simultaneous Roll-out of Treatment and Prevention

- Treatment will collect client-specific data
- Prevention will collect group-specific data

## Information Available to All Counties

- Standard State-level reports (content to be determined)
- Standardized County-specific operational reports

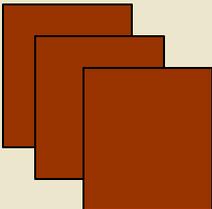
# Treatment Data Collection: Points in Time



## Admission

*Collected at admission.*

- ✓ PPG
- ✓ CADDs data
- ✓ Unique Client Identifiers (UCI)
- ✓ Core Outcome Questions
- ✓ ASI-Lite CF
- ✓ Client Locator

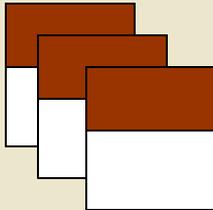


[\(Link to ASI slide\)](#)

## Discharge

*Collected at discharge*

- ✓ PPG
- ✓ CADDs data
- ✓ Client Locator
- ✓ Core Outcome Questions
- ✓ A Subset of the ASI-Lite CF

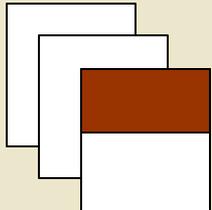


[\(Link to UCI slide\)](#)

## Post Admission

*Collected at 6 months post admission (if still in treatment)*

- ✓ PPG

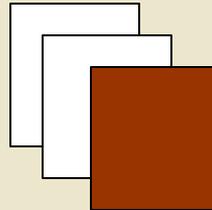


[\(Link to COQ slide\)](#)

## Follow Up

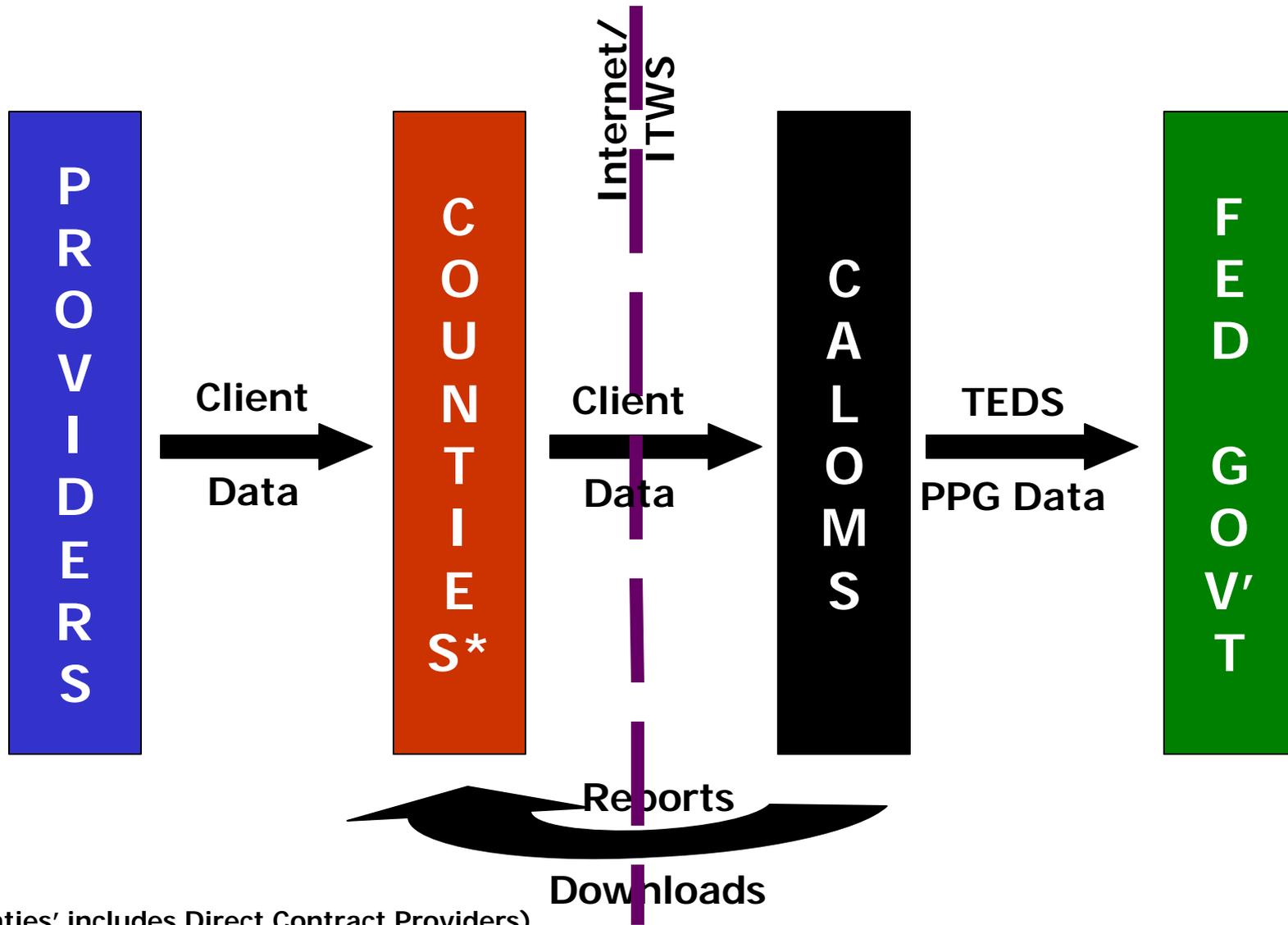
*10% Sampling conducted at 9 months post admission.*

- ✓ PPG
- ✓ CADDs data
- ✓ Core Outcome Questions
- ✓ ASI-Lite CF



# *High-Level Architecture*

# High-Level Architecture

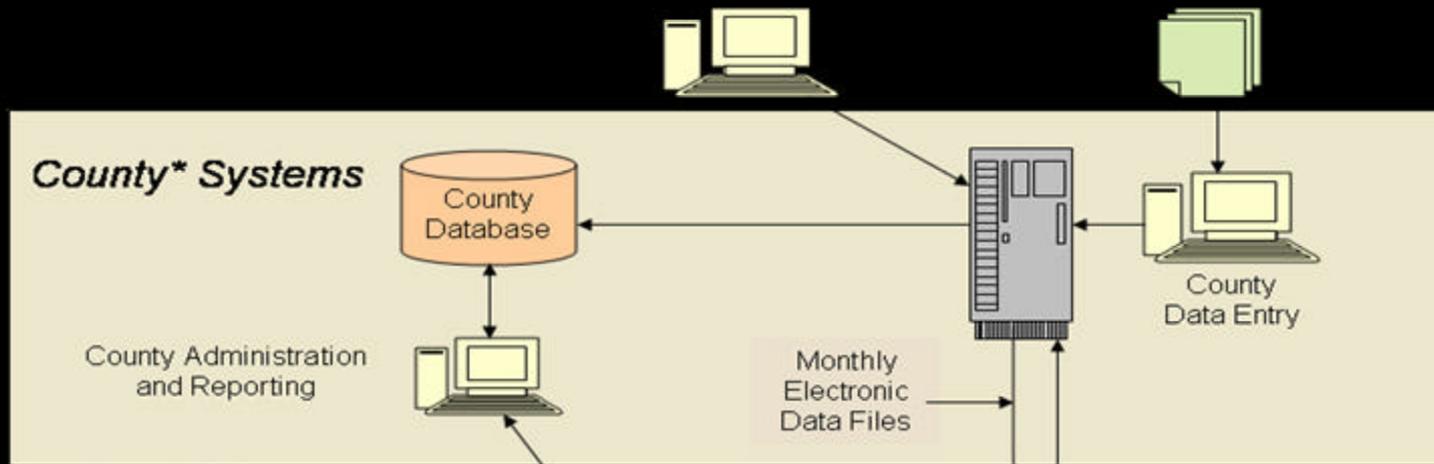


(\*'Counties' includes Direct Contract Providers)

# Mid-Level Detail Architecture

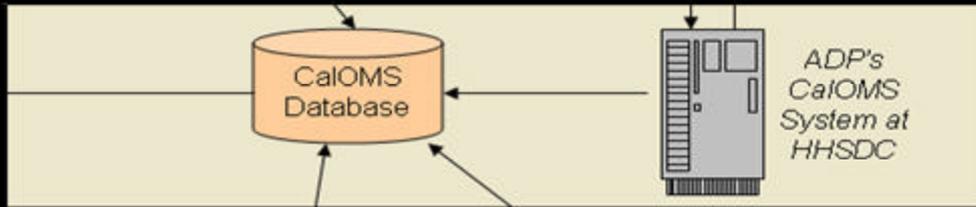


CalOMS Data Collection Architecture



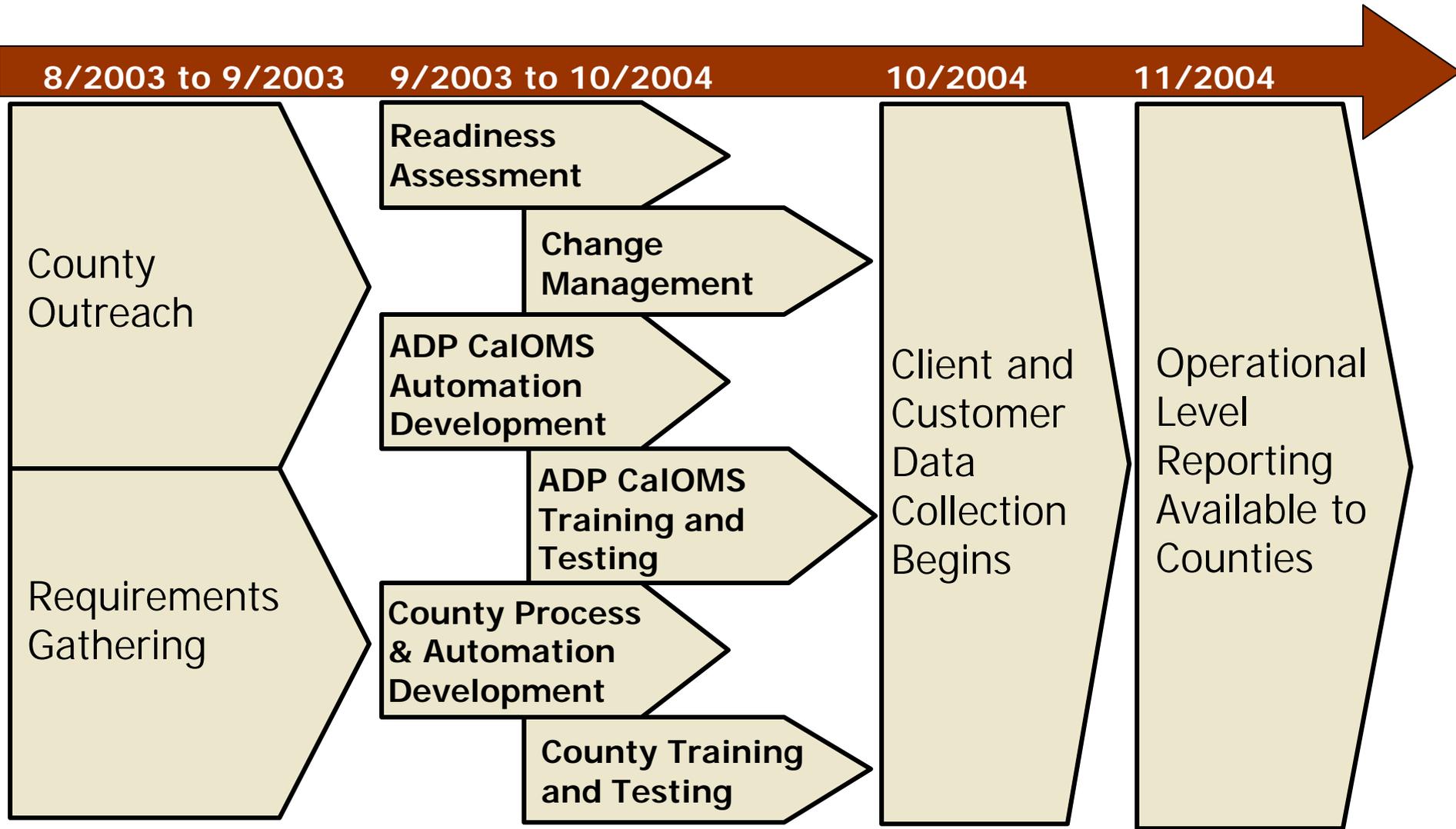
## Department of Mental Health's Information Technology Web Services

TEDS & PPG Federal Reporting



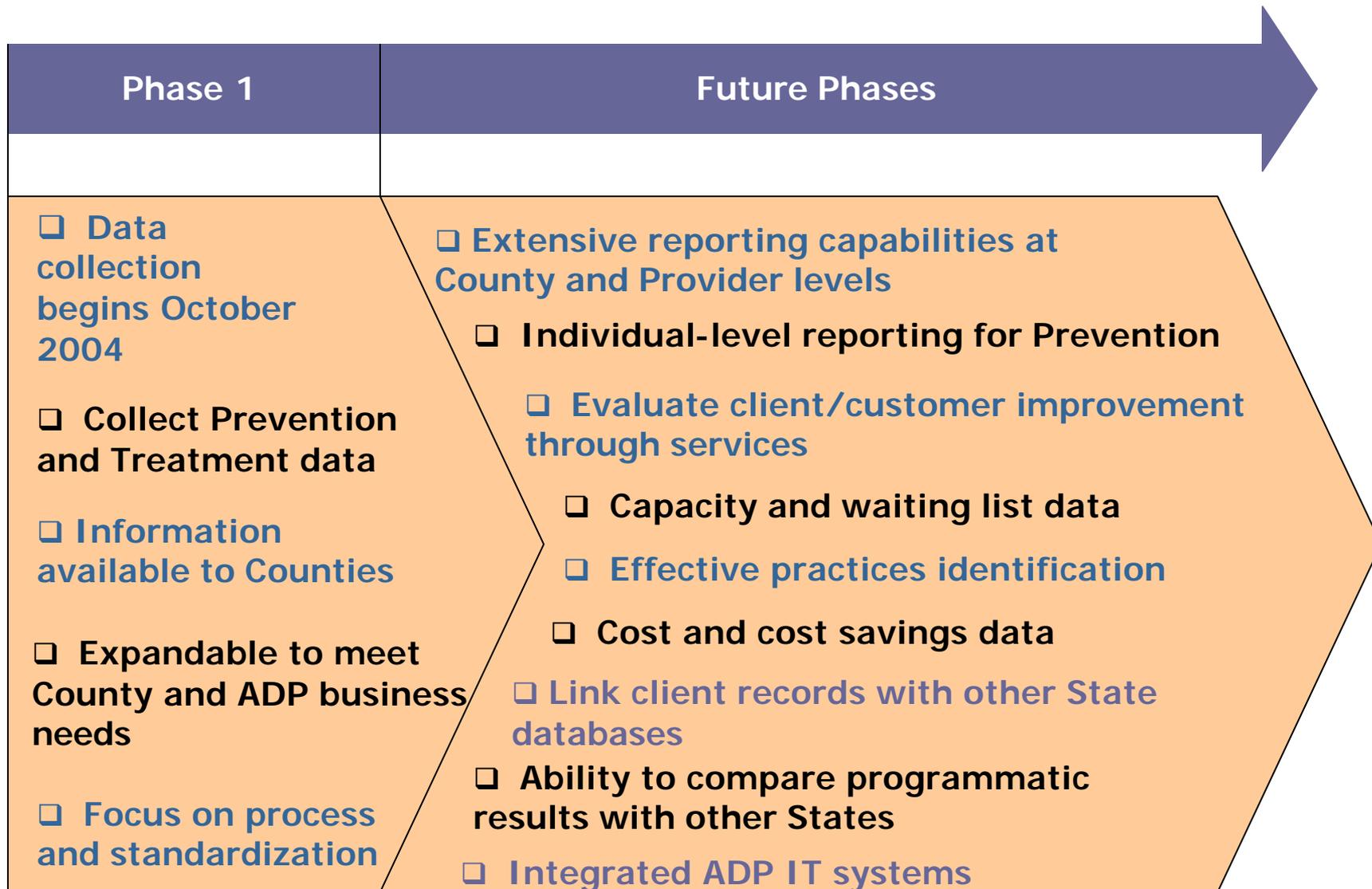
# ***Project Schedule***

# Project Schedule



# ***Future Phases and Benefits***

# Future Phases



# Phase 1 Benefits



- Documents measurable improvement in lives and communities
- Enhances the potential for new funding initiatives and provides data for assuring continued funding
- Increases Provider, County and State collaboration
- Meets Federal reporting requirements
- Facilitates the use of standardized assessment
- Lays foundation for documenting service effectiveness and improving services

## Meet remaining business needs:

- Identify effective practices
- Demonstrate services are cost effective
- Improve delivery of services

## Facilitate the accomplishment of CADPAAC Strategic Plan:

- Research Outcome Based Systems for program management and service delivery.

## Facilitate the accomplishment of ADP Strategic Plan:

- Increase capability and capacity of AOD treatment programs
- Increase AOD counselor capabilities and skills
- Increase ability of Prevention service providers and staff to meet specified core competency requirements.

*Working together, we can achieve our shared vision of*

**healthy individuals**

*and*

**communities free of  
alcohol and other drug problems**

# *CalOMS Treatment (Tx) Requirements Project Overview*

- Develop process and plan for definition of CalOMS' Treatment (Tx) requirements
- Gather treatment requirements and prepare a Treatment (Tx) Requirements Specification
- Establish on-going process for management of CalOMS' requirements
- Draft an RFP/procurement document for CalOMS' development and implementation

- ADP
  - Executives, Executive Sponsors, and Co-Sponsors
  - Program Areas
  - Information Technology
  
- All Counties
  
- ADP Direct Contract Service Provider
  - Aegis (Field Study Participant)

# Tx Requirements Definition Process



- Done ■ Confirm Requirements Categories
- Done ■ Identify Stakeholder Groups
- Done ■ Map Req'ts Categories to Stakeholder Groups
- Done ■ Identify ADP Individual Stakeholders to Provide Input
- Done ■ Schedule Interviews/Meetings w/ ADP Stakeholders
- Done ■ Prepare for Interviews/Meetings
- Done ■ Gather Initial Tx Requirements & Determine Priorities
- Done ■ Meet w/ ADP's Exec Mgmt to Confirm ADP's Req'ts/Prio's
- Done ■ Meet w/CADPAAC Execs to Discuss ADP's Req'ts/Prio's

**Late-Sep** ■ **Gather Feedback/Input from Counties/Dir Cntrct Prv**

Late-Sep ■ Input/Maintain Tx Requirements in Automated Tool

Late-Sep ■ Meet w/ ADP's Exec's to Discuss Feedback & Finalize Req'ts

Early-Oct ■ Develop Req'ts Specification Doc and Finalize Req'ts in Tool

- Core:
  - **Functional**
  - **Inputs and Outputs**
  - **Data**
  - **Privacy/HIPAA**
  - Performance
  - Quality/Reliability
  - Technical
  - Security
  - Interfaces
  - Design Constraints
  - Documentation
- Other:
  - Supportability
  - Disaster Recovery
  - Help System
  - Purchased Components
  - Licensing
  - Legal, Copyright, and Other Notices

**\* \* \* Break \* \* \***  
***(15 minutes)***

# ***Key Treatment (Tx) Requirements Walkthrough***

- **Description:**

Identifies the major business functions or features of the system that support the organization's business objectives for the new system.

Defines the system's business rules, calculations, data validations/editing rules, transaction dependencies, and data collection points/timeframes.

## ■ Key Tx Requirements:

- Treatment Data Set
  - All clients receiving treatment services at publicly-funded AOD treatment providers and publicly and privately-funded NTP treatment providers (except privately-funded providers who shall only report their SACPA-funded clients).
  
- Data Collection Points
  - Admission (all clients)
  - Discharge/Administrative Discharge (all clients)
  - 6 Month Follow-up (any clients not Discharged within 6 months after Admission)
  - 9 Month Follow-up (sample of clients)
  
- 9 Month Follow-up Sampling
  - Bi-monthly basis
  - 10% random sample of clients
  - 25% random sample list (10% sample + 15% over sample)

- **Key Tx Requirements (cont'd):**
  - Treatment Services Included
    - Residential (short and long-term)
      - Regular
      - Perinatal
      - Youth
    - Outpatient
      - Regular
      - Perinatal
      - Youth
    - Narcotic Treatment Program (NTP)
      - Regular
      - Perinatal
    - Detoxification (type of Detoxification pending final decision)
    - Day Care Habilitative
      - Regular
      - Perinatal

- **Key Tx Requirements (cont'd):**
  - Treatment Services NOT Included
    - Driving Under the Influence (DUI)
    - 6 Month or 9 Month Follow-up for Youth
    - Detoxification (type of Detoxification pending final decision)
    - Screening, Brief, Intervention, Referral, and Treatment (SBIRT)

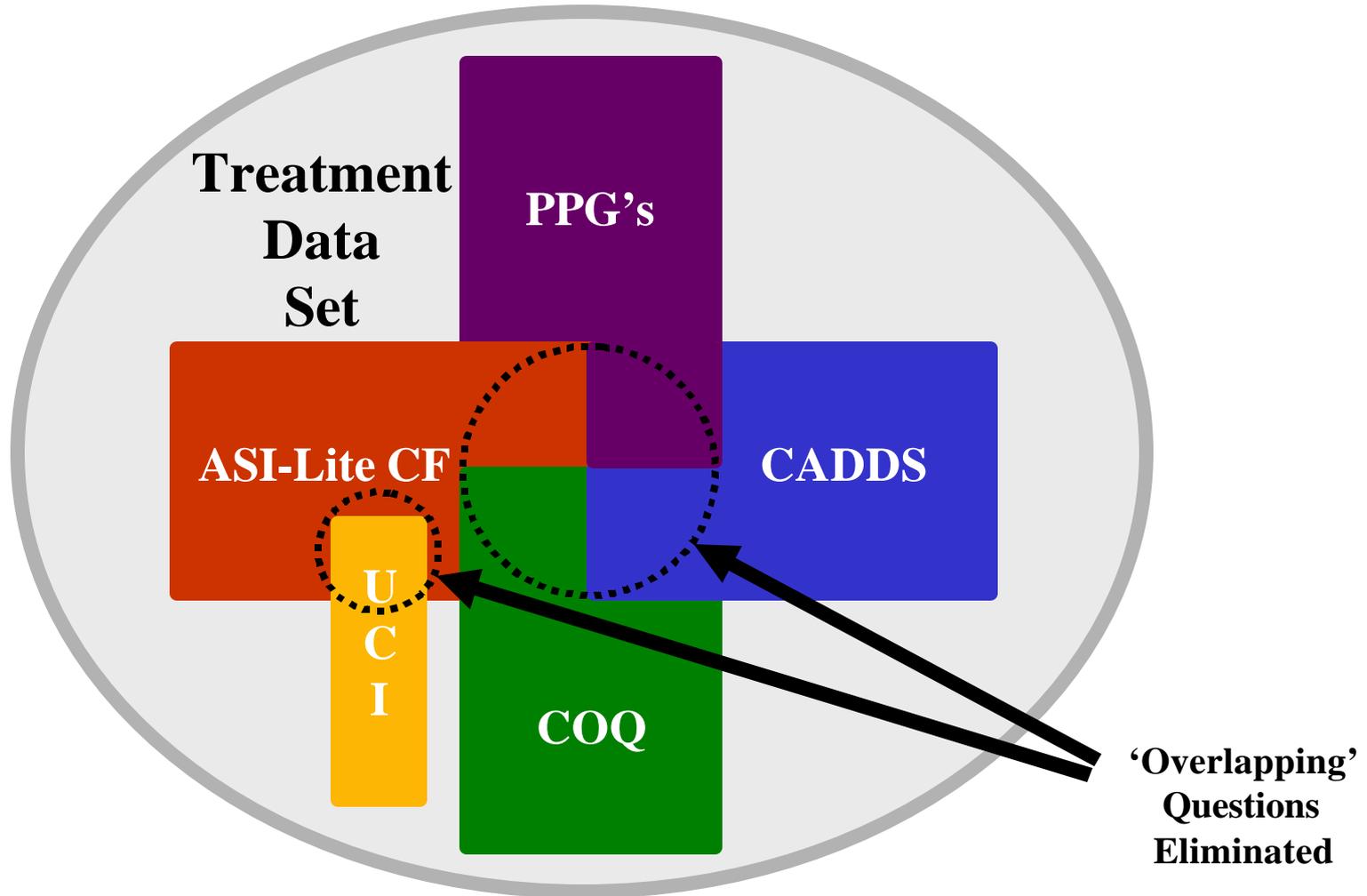
- **Description:**

Identifies the primary data elements that will be used within the system. Identifies any 'standards' that the data elements must be consistent with.

- **Key Tx Requirements:**
  - Tx Data Set
    - Tx Data Elements derived from
      - Addiction Severity Index, 5<sup>th</sup> Edition; Lite, Clinical Factors Version; University of Pennsylvania (ASI-Lite CF)  
***(ASI-Lite CF is a nationally recognized standard instrument)***
      - California Alcohol and Drug Data System (CADDs)
      - Core Outcomes Questions (COQ)
        - Interstate Core Outcomes Questions (ICOQ)
        - California Core Outcomes Questions (CCOQ)
      - Performance Partnership Grant (PPG) requirements
      - Unique Client Identifier (UCI) items
      - ADP Program-Specific Requests

- **Key Tx Requirements (cont'd):**
  - Tx Data Set (cont'd)
    - Tx Data Elements NOT Included in Phase 1 of CalOMS
      - Co-Dependent/Significant Other
      - Client Satisfaction
      - Treatment Cost
      - ASAM
      - Treatment Service Detail
      - Treatment Planning
      - Counselor Data

- Key Tx Requirements (cont'd):



# Tx Data Requirements (cont'd)



- Key Tx Requirements (cont'd):

- Data Sets: Approximate Number of Mandatory Questions per Collection Point

Question Sources >>

<u>Collection Points</u>	PPG / UCI	/CADDs/	COQ	/ASI-Lt/	Prog	TOTAL	
Admission	6	10	29	23	147	3	218
Discharge	6	10	6	13	6	-	41
Admin Disch	6	10	6	-	-	-	22
6 Mo Flw-up	2*	10	-	-	-	1	13*
9 Mo Flw-up	6	10	7	20	136	2	181

(\*Note: Number of 6 Month Follow-up PPG questions currently being verified.)

- **Description:**

Identifies the data/information that will be entered or electronically transmitted into the system's database and the data/information that will be extracted or reported out of the system's database.

- **Key Tx Requirements:**
  - Inputs
    - Monthly electronic submittals of Data Sets
      - Can be submitted more frequently
      - Monthly is the maximum time period
    - Plan to use DMH's ITWS portal
    - 'Flat file' format as prescribed by ADP
  - Standard County/Direct Contract Provider Output Methods
    - Considering using DMH's ITWS portal
    - 'CalOMS Reporting' web-based tool
      - View reports or download files

## ■ Key Tx Requirements (cont'd):

- Standard County/Direct Contract Provider Output (by county by provider unless otherwise specified)
  - List of Number of Accepted and 'Suspense'/Rejected Records
  - Records Successfully Received
  - Records in Suspense and Corresponding Error Codes
  - Summary Admission, Discharge, and Follow-up Statistics including Statewide Averages
  - List of Clients who Received an Admission but not a Discharge within 6 Months Post-Admission (clients may need a 6 Month Follow-up)
  - List of Number of 6 Month Follow-ups Not Performed in a Timely Manner
  - 'CADDs Quarterly Report'

*(continued on next page)*

- **Key Tx Requirements (cont'd):**

- Standard County/Direct Contract Provider Output (cont'd)
  - List of Clients Needing 9 Month Follow-up (10% sample + 15% over sample)
  - Supplemental List of Clients Needing 9 Month Follow-up (if initial list was not sufficient)
  - Frequently used 'CalTOP' reports
    - Change in Level of Functioning
    - Clients Served Summary
    - Drug Problem at Intake Summary
    - Outcomes Summary by Domain
    - Employment Rates
    - Frequency of Drug Use
- Ad Hoc Reports
  - No county/direct contract provider ad hoc reports in Phase 1
  - Primarily used by ADP's Research group (OARA)

***What Other Outputs/Reports Do You Need?***

***Why Are They Needed?***

***(Group to Prioritize Top 10 Outputs/Reports)***

- **Description:**

Identifies the privacy and confidentiality standards that must be followed to ensure that the system is compliant with the HIPAA (Health Insurance Portability and Accountability Act) Privacy Rule ('45 CFR' (Code of Federal Regulations) Parts 160 & 164), '42 CFR' requirements, and the California Information Practices Act (IPA) requirements.

- **Key Tx Requirements:**

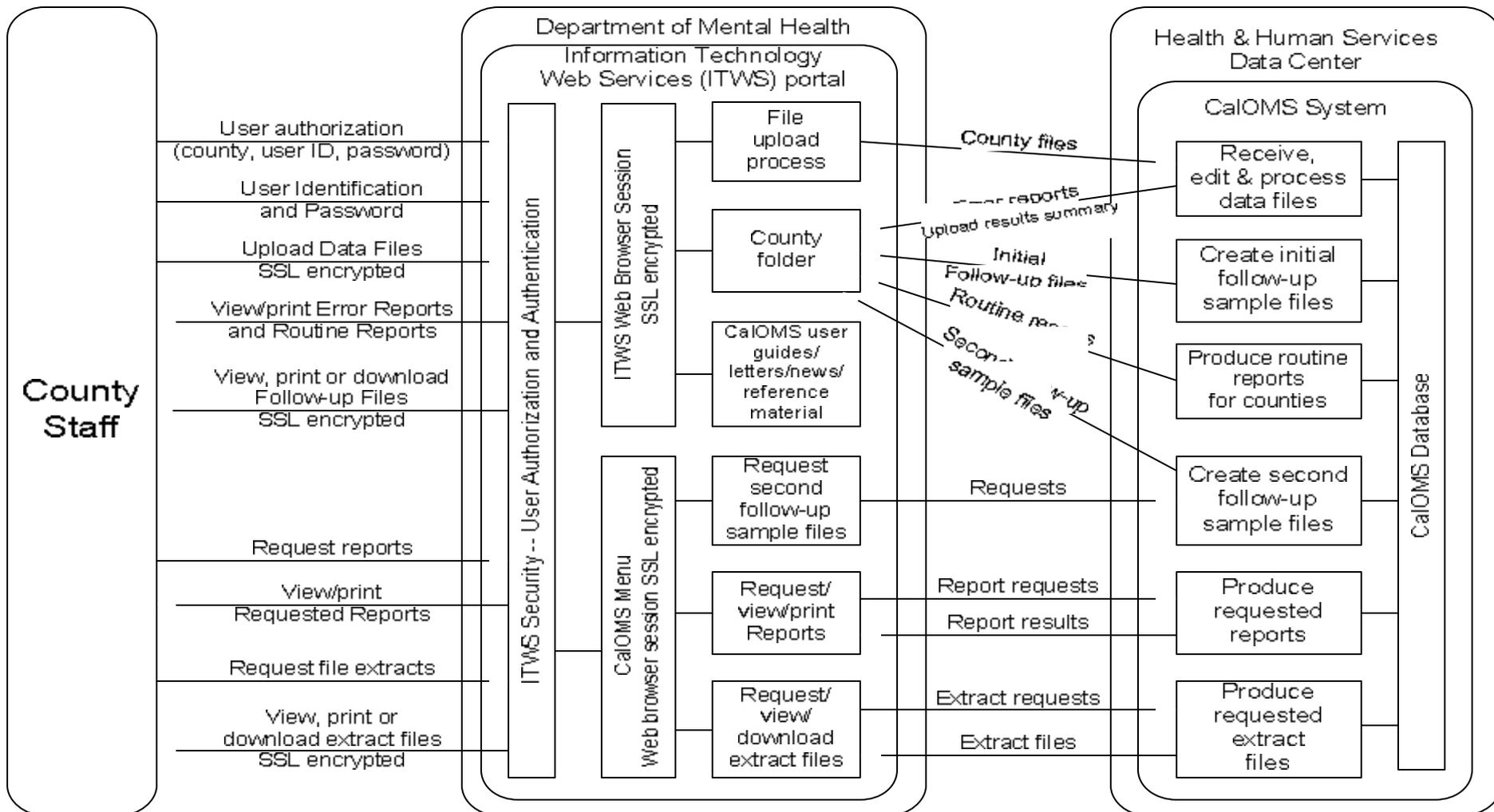
- CalOMS shall comply with:
  - HIPAA (Health Insurance Portability and Accountability Act) Privacy Rule ('45 CFR' (Code of Federal Regulations) Parts 160 & 164)
  - '42 CFR' requirements
  - California Information Practices Act (IPA) requirements
- Client identifying information shall only be used for the following purposes:
  - Audit
  - Evaluation
  - Research

- **Key Tx Requirements (cont'd):**
  - Limit user's direct access to individual records based on:
    - Role
    - Access-level hierarchy
    - Exception as approved by ADP Legal Services
  
  - Limit user's ability to extract and/or copy individual records based on:
    - Role
    - Access-level hierarchy
    - Exception as approved by ADP Legal Services
  
  - CalOMS shall keep a record of the source of:
    - Received data
    - Data updates

# ***Feedback/Input/Q&A***

# *Technical Overview*

# Detailed Architecture (Pending Approval)



Email notifications of file upload results to counties  
 Email notifications of follow-up sample files ready

- County Access to ITWS:
  - ITWS Security User Authorization and Authentication
  
- Utilizes Secure Socket Layer (SSL) Encrypted Browser Session:
  - File upload process
  - View/Print Error Reports and Routine Reports
  - View, Print or Download Follow-up Files
  
- File Upload Process:
  - Counties convert their data files to password-protected zip files
  - Upload files to ITWS via SSL browser session
  - Automated process on ITWS sends file to CalOMS

- Upload File Received by CalOMS:
  - Unzip file
  - Run edit routines
  - Identify errors
  - Update CalOMS with all valid records received
  - Produce error report and upload results summary report
  - Send report back to ITWS
  - Store reports in county designated folder on ITWS
  - Email county alerting them that file processing was completed; summarize results

- Error Reports and Data Re-submission:
  - Access reports through their designated folder on ITWS
  - Error reports are retrieved and data corrected for re-submission to CalOMS
  - Re-submission cycle continues until all inbound files successfully pass required edit checks.
  
- Routine Reports and Follow-up Samples:
  - Error reports and routine reports would be managed through ITWS folder process
  - Bi-monthly follow-up files will also be placed in a county's ITWS folder for retrieval

- Other Reports and Extracts from CalOMS:
  - Access CalOMS reports menu screen
  - Request report or extract
  - ITWS sends request to CalOMS
  - CalOMS prepares report or extract and sends back to ITWS
  - County may then view or print report from ITWS or view, print or download and extract file from ITWS

# ***Key Technical Requirements Walkthrough***

- **Description:**

Identifies the system's technical requirements and standards. This includes operating system, database, network, tools, and protocol requirements. In addition, includes the performance requirements related to system response times, throughput, and capacity.

## ■ Key Requirements:

- File Transfers
  - Utilize DMH's ITWS file transfer application
  - Data file sets transferred using a secure, encrypted file transfer protocol
- Volume
  - Facilitate the receipt, retrieval, and manipulation of at least 500,000 transactions per year
- Optimization
  - Optimize performance of data additions and data updates.
  - Process incoming files within 12 hours of receipt
- System Stability and Availability
  - Available at least 23 hours per day/7 days per week
  - Excludes scheduled maintenance periods

- **Description:**

Identifies the requirements related to the security of the system's data. There may be physical security requirements, such as controlled access to a server location, as well as application-level security requirements.

## ■ Key Requirements:

- INS Security Assessment
  - Incorporate input from INS Security Assessment (to be completed in early October, 2003).
  - Available only to authorized users
  - Maintain security auditability standards
  
- Limit a user's ability to directly access, extract or copy records based on
  - Role
  - Access-level hierarchy
  - Exceptions as approved by ADP Legal Services

- **Description:**

Identifies the supportability or maintainability requirements of the system.

## ■ Key Requirements:

- CalOMS production and test hardware and software reside in the Health & Human Services Data Center (HHSDC)
  
- Web-based Help System
  - FAQ's
  - Technical Information
  - File Layouts
  - Edit Rules
  - File Submission Procedures
  - Error Resolution Steps
  - Where to Find Help
  - How to Contact the Help Desk
  
- ADP Help Desk
  - Support:
    - Counties and Direct Contract Providers
  - Aid in troubleshooting
  - Facilitate technical issue escalation

- **Key Requirements (cont'd):**
  - CalOMS User and System Administrator Guides
    - Process Flows
    - Application Menu Map
    - Detailed User Procedures
    - Quick Reference Guide
    - Glossary of Terms

# *Feedback/Input/Q&A*



Measures  
Outcomes in Client  
Functioning Over  
Time

Universally  
Accepted

Facilitates  
Treatment Planning

Reliable and  
Consistent

[\(Link back to Data Points in Time\)](#)

The Unique Client Identifier (UCI) will allow ADP to link client records to other databases

## UCI Elements:

- Gender
- Date of Birth
- Place of Birth
- Mother's First Name
- Birth First Name
- Birth Last Name
- Zip Code at Current Residence (confirmatory)
- Current First Name
- Current Last Name (informational)
- Social Security Number (confirmatory)

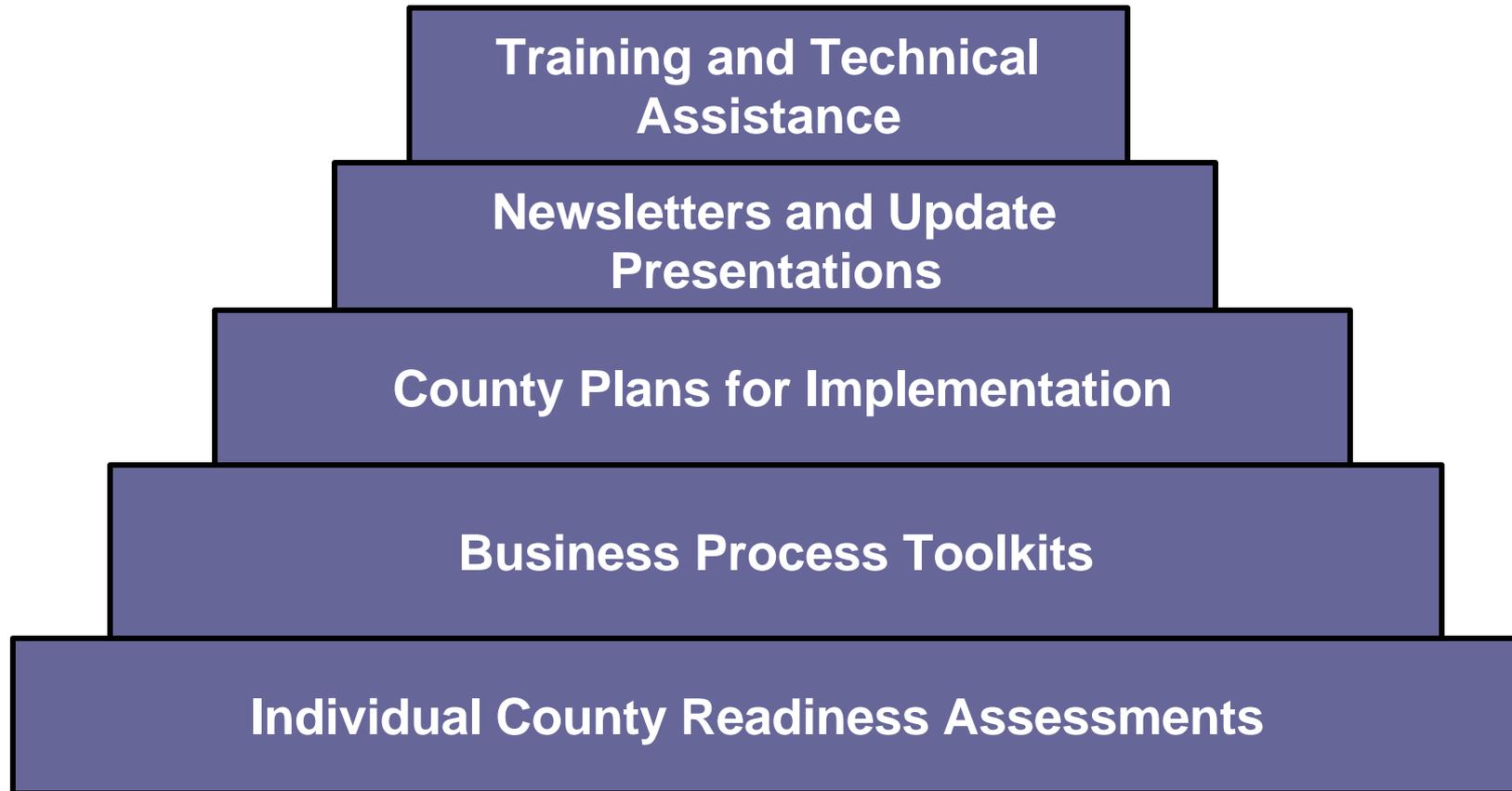
[\(Link back to Data Points in Time\)](#)

Core Outcome Questions (COQ) focus on client functioning and behavior

Includes Comparisons of:

- Number of arrests
- Number of emergency room visits
- Number of overnight psychiatric and other hospitalizations
- Living arrangements
- Employment status

[\(Link back to Data Points in Time\)](#)



[\(Link back to Project Schedule\)](#)