Transaction and Fields

Batch Header

Submitter ID
Batch Number
Batch Date
Notes

Every batch
Batch number in header must match batch number in the file name. Must be a valid date format YYYYMMDD
Batch numbers are generated by the ASO
A blank batch number will generate an error
Batch numbers must be sequential

Client Demographic

Submitter Id
Client Id
Effective Date
First Name
Middle Name
Last Name
Alternate Last Name
Social Security Number
Birthdate
Gender
Hispanic
Origin
Primary Language   Primary speaking language of the client as used in the home
Race(S)   Select one or more categories, if a person selects more than 1 code, enter each one in sequence.
If client does not identify with any of the listed races, then code "050" for Other Race.
If information is not available or unknown, then code "999".

Sexual Orientation
Source Tracking Id
Notes

Must be first transaction received
At change
An accepted demographic record must be in place before any other transaction will be accepted.
Required for MH and SUD
For WMS/DCR invest only required items: First Name, Last Name, Birthdate
Collected on date of request for service or whenever possible and updated whenever status changes

Client Address

Submitter Id
Client Id
Effective Date
Address Line 1
Address Line 2
City

County
State
Zip Code
Source Tracking Id
Notes   Required at admission and change
Required for MH and SUD
Optional for WMS. May not be required with DCR
City, State Zip Required. Use 'Unknown' when no address is available.

Client Profile
Submitter Id
Client Id
Provider Npi
Profile Record Key
Effective Date

Education
Employment   Use the appropriate valid code for the specified classification of a person who is 'Not in the
Labor Force,' defined as not employed and not actively looking for work during the past 30 days
(i.e. people not interested to work or people who have been discouraged to look for work).

Marital
Status
Parenting   Indicates whether a client has dependent children. Dependent children are defined as less than
18 years of age. "Parenting" indicates some form or level of custodial or child support
responsibility (i.e. part-time custody or when there is not custody, but parent pays child
support).
Female Substance Use Disorder clients only, optional for all other clients
Pregnant
Smoking
Status
Residence   Use "Unknown" if a particular situation does not fit in one of the categories
Codes for "PRIVATE RESIDENCE – adult only", "DEPENDENT LIVING", and "INDEPENDENT
LIVING" should be used for adult clients only (age 18 and over)
Children / Adults who live in family foster homes and therapeutic foster homes should use
"FOSTER HOME/FOSTER CARE" and NOT "PRIVATE RESIDENCE"
Although reported at least every 90 days or upon change whichever comes first, the living
situation indicates where the client was the majority of the time in the preceding 30 days.

School Attendance
Self Help Count   The average number of times in a week the client has attended a self-help program in the thirty
days preceding the date of collection
Used Needle Recently   injected illicit or unprescribed drugs in the last 30 days
Needle Use Ever
Military Service   Report code 1 (Yes) regardless of length of service or if the client was dishonorably discharged

Smi/Sed
Source Tracking Id

Notes	Report at admission, discharge and at least every 90 days or upon change, whichever comes first
	MH and SUD
	MH required elements: Education, Employment, Marital Status, Parenting, Pregnant, Smoking, Status, Residence, School Attendance
	If no new information is gathered submit another record with the same data and a new effective date

Program Identification

Submitter Id
Client Id
Provider Npi
Program Id Key
Program Id
Program
Start Date
Program End Date
Entry Referral Source
Program End Reason
Source Tracking Id

Notes	MH and SUD
	MH only MH modalities
	SUD only SUD modalities
	Send only those types found in the Program ID table
	51-58 capture services modalities for substance use clients

Co-occurring Disorder

Submitter Id
Client Id
Provider Npi
Gain-Ss Date
Screen Assessment Indicator

Co-Occurring Disorder
Screening (Ids)
Co-Occurring Disorder
Screening (Eds)
Co-Occurring Disorder
Screening (Sds)
Co-Occurring Disorder
Assessment
Source Tracking Id

Notes	Due at assessment
	Co-occurring Disorder, MH and SUD

Authorization

Submitter Id
Provider Npi
Client Id
Authorization Id

Authorization Decision Date

Authorization Start Date
Authorization End Date
Authorization Decision
Notes   Submitted when Authorization is Approved or Rejected

ASAM Placement
Submitter Id
Client Id
Provider Npi
Asam Record Key
Asam Assessment Date
Asam Level Indicated
Notes   MH, SUD, WMS
                                   Due at Assessment
                                   WMS only when Assessment provided

DCR Investigation
Submitter Id
Client Id
Investigation Start Date
Investigation Start Time
Investigation County Code

Investigation Outcome
Detention Facility Npi
Legal Reason For
Detention/Commitment
Return To   This element is specific to returning a client under less restrictive alternative (LRA) to inpatient
Inpatient/Revocation   treatment and the filing of a revocation petition. It distinguishes legal criteria used for person on
Authority   LRA being returned to inpatient treatment. Use code "9" for all cases where the person is placed
                                   on LRA or not committed.

Dcr Agency Npi
Investigation Referral Source

Investigation End Date
Source Tracking Id

ITA Hearing
Submitter Id
Client Id
Hearing Date
Hearing Outcome
Detention Facility Npi
Hearing County
Source Tracking Id

Service Episode

Submitter Id
Client Id
Provider Npi
Episode Record Key
Service Episode Start Date

Service Episode End Date

Service Episode End Reason — Indicates the primary reason the client is being discharged from treatment.
"Lost to Contact" is used for clients who did not get back to the provider agency and are not able to be contacted.
"Left against advice, including dropout" is a termination of treatment initiated by the client, without the Provider Agency's concurrence.
"Terminated by facility" is a termination of treatment services that is initiated by the provider agency in response to a client's continued violation of the provider agency's established rules or in response to a client's inability to continue participating in treatment (i.e. medical reasons, transfer of job, etc.).

Date Of First Offered Appointment
Medication Assisted Opioid Therapy
Service Referral Source

Notes — MH, SUD and WMS
Also send Program Id for those in the Program ID types

Substance Use

Submitter Id
Client Id
Program Id
Provider Npi
Effective Date
Substance (1,2,3)
Age At First Use (1,2,3)
Frequency Of Use (1,2,3)
Peak Use (1,2,3)
Method (1,2,3)
Date Last Used (1,2,3)
Source Tracking Id

Notes — SUD and WMS
Collected on date of first service
Required at admission, discharge and updated at least every 90 days or upon change whichever comes first

Funding

Submitter Id
Client Id
Effective Date
Type Of Funding Support

Source Of Income/Support   Reporting of this field is optional

Block Grant Funded Services   •Optional reporting
•If state is collecting this information but opted not to report, cite reason.
•Use code 97 (Unknown) if the state collects this data but for some reason a particular record does not reflect an acceptable value.
•Use code 98 (Not Collected) if the state does not collect this data or per state policy this data element is not collected for a certain population. Use code 98 (not code 97) if the particular record belongs to the population exempt in the state policy from reporting this data element.
•Cite in the State Data Crosswalk if this data element is currently not collected. If the state is collecting this data but decided not to report, cite reason for not reporting and use code 98.

Source Tracking Id
Notes   MH, SUD and WMS
Required at Assessment, Authorization and Program/Episode End
For children younger than 18 years old, report the primary parental source of income/support

Edits   Compliance

Date < today

does not contain 'homeless'

is between '000000000' and '999999999'

< 90 days, Present at Admit,
Present at d/c