CDS Batch Transaction Process Application

## *Transmitting Files to the Client Data System*

The frequency with which you submit batch files is determined by your provider. OASAS recommends that you transmit files daily to more easily identify and correct errors, speed up the time it takes to process a file and to keep your provider data in the OASAS Client Data System most current. If not daily, submissions can be done at any frequency; e.g. every other day, weekly, bi-weekly, etc. However, at a minimum, a submission needs to be made monthly if any activity occurred during the month.

Transaction files containing less than 100 records have the optimal processing time. The maximum number of records for a transaction file is 500. Please keep this in mind when determining the frequency of your submissions.

To process a batch file, log into the OASAS application's Home Page by going to the Internet site: (https://apps.oasas.ny.gov).

If you need further instructions for logging into the OASAS applications and finding your access, on the Home Page click "**Logging into OASAS Applications**" instructions in the column under the heading **Application Documentation.**

Below is the Client Data System screen. When testing the file transfer process, the "CDS Batch Process (Test)" link will be used. For production submissions, the "CDS Batch Process (Production)" link is used.
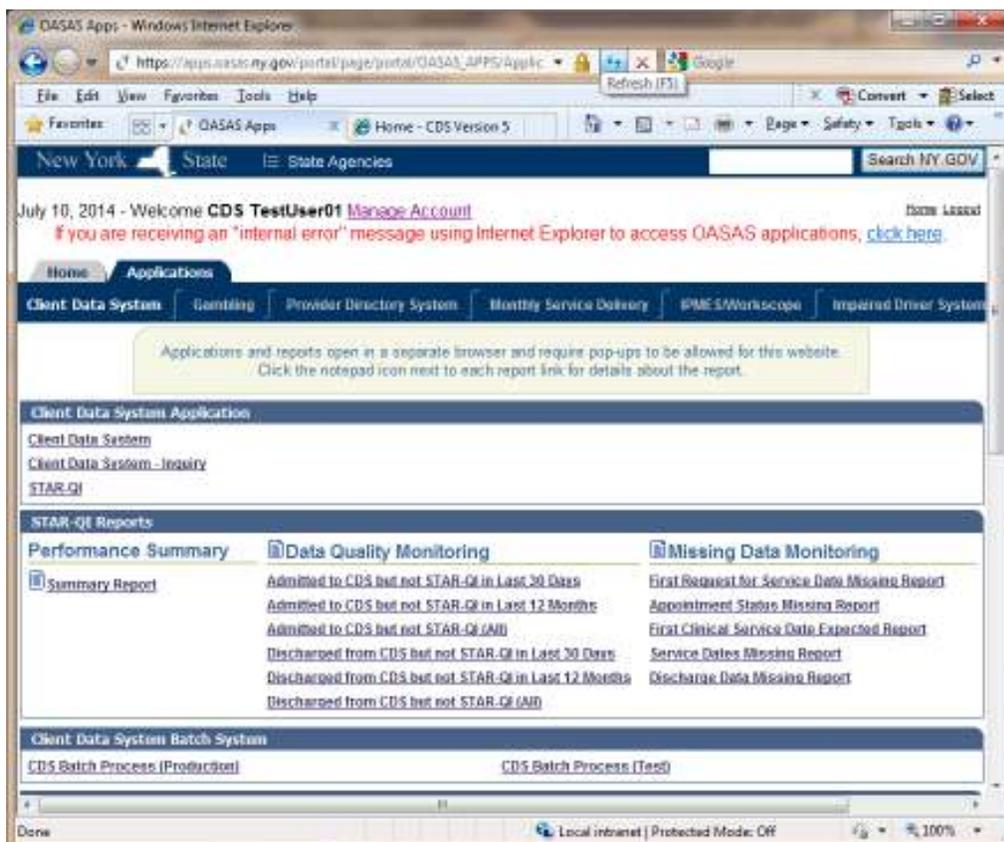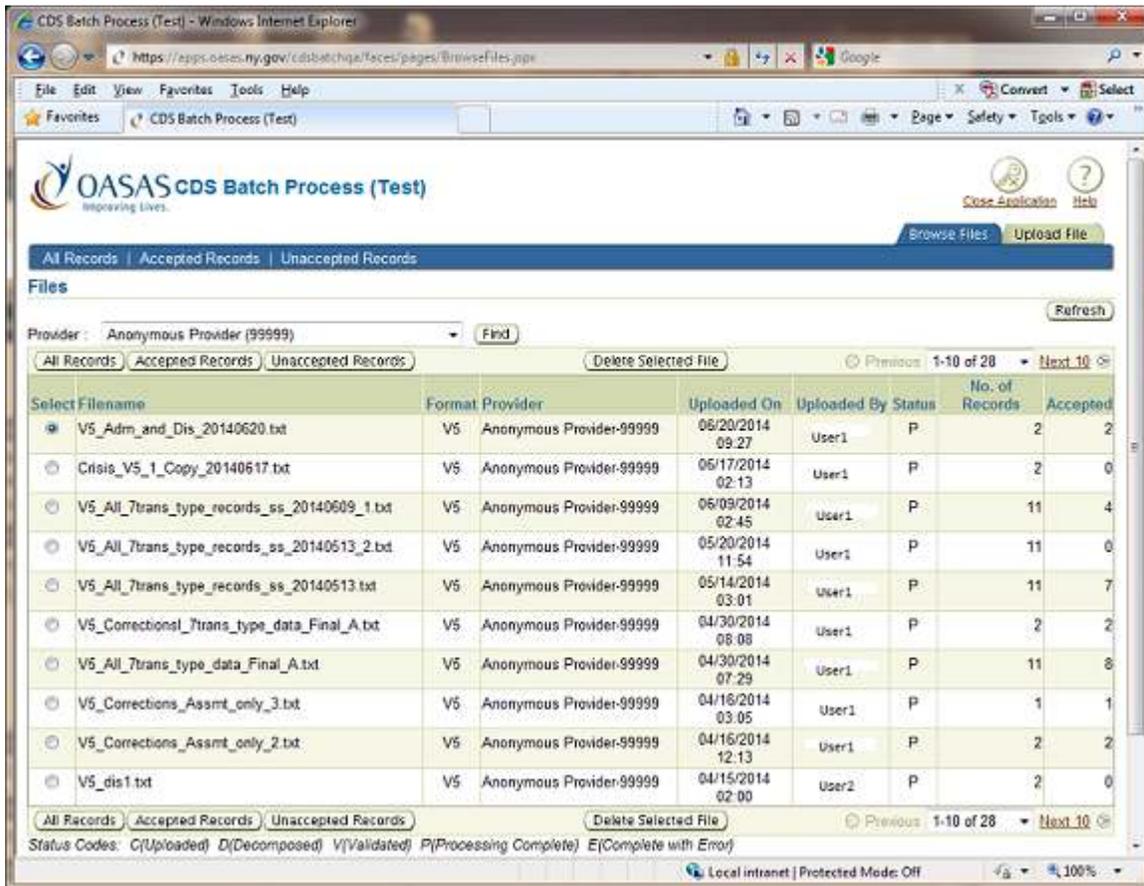
Uploading Files

Uploading files means that you are submitting client records in a batch file.

The CDS Batch Process screen (below) shows a history of files that you have already submitted.

> **Recommended Practice:** Over time, this screen will show many files previously submitted. To make it easier to manage, delete files that are no longer needed because all the records have been successfully entered. Do not delete a file if the file still has some client records that have not been successfully transmitted. To delete a file, select the file from the "Select Filename" column and then click the "Delete Selected File" button on the top or bottom of the page.

To upload a file, click the tab marked "Upload File" (or click the "Upload File" hyperlink at the bottom of the screen).

Upon clicking the "Upload File" tab, the following screen will appear:

To upload a new transaction batch file:

- Select the appropriate file format Version from the dropdown based on the transaction dates of transactions in the file you are submitting. Version date ranges are as follows:

  Version 1: dates Before June 1st, 2005
  Version 2: dates between June 1st, 2005 and December 31st, 2006
  Version 3: dates between January 1st, 2007 and March 31st, 2009
  Version 4: on or after April 1st, 2009
  Version 5: on or after October 1st, 2014

- Select a provider.
- Click the "Browse…" button. Select a file to upload from your system.
- Click "Upload" button.

  Recommended Practice: OASAS recommends that the file should be named using the format: F*pppppmmddyyyyv*.DAT, where *ppppp* is your five-digit OASAS provider number, *mm* is two-digit month number, *dd* is two-digit day number, *yyyy* is four-digit year number and *v* is the version identifier. Naming the file(s) in this manner may make it easier to keep track of submissions, and as a reference number in case you need to discuss a problem with the file with OASAS. The version identifier can be any uppercase alphabetic character, which can be "A" for the initial submission, "B" for the second submission, etc... For example, "F9000501112007A.DAT" means St. Lawrence ATC's first January 11th, 2007 submission and "F3420007062007B.DAT" Lexington Center for Recovery's second July 6th, 2007 submission.

Processing Your File

Once you submit a file, the system automatically processes it. The whole process takes a few minutes for a file with less than 100 records. Files with a large number of records take longer. You can avoid the time it takes in submitting large files by submitting files more frequently.

Checking the Results

To see if your records have finished processing, click "Browse Files".

There are multiple steps involved in the computer system checking the accuracy of the data in a file before a file is completely processed. In the "Status" column, the file will be marked "P" when the processing is complete, and the file will be marked "E" when errors occurred during processing the file. If you do not yet see a "P" or "E" in this column, periodically click the "Refresh" button to give you an update of the status. It usually takes a minute or so to completely process a file with less than 100 records and three to four minutes for a file with 500 records.

The reason it takes this time to process is that the transaction takes four steps:

"C"   for Uploaded. In the first phase, the application splits a file into records and then a record into fields to match the Client Data System.

"D"   for "Decomposed but not validated yet." Once the file is split into individual records, the system checks to see if the records match certain requirements (For instance, each record is of correct length, each required field contains data, and each field with specific format defined contains data matching its pattern.)

"V"   for "Validated but not processed yet." Once the Decomposition phase is complete the system checks to see if the information being submitted is correct based up the Client Data System requirements. (For instance it will not approve a record that inserts letters in a field that requires numbers.)

"P"   for "Processing complete." The transfer of information from your records into the OASAS database is complete. At this point, the system will identify any client records that contain errors. Client records that do not contain errors will be accepted into the system. Client records with errors need to have the errors corrected before that client's information will be allowed to update the system.

"E"   for "Completed with error." This means there is an error in the file that will not let it be processed, or there is an error in the application. Check your file format and contact the person in your organization who is responsible for developing the format for file format problems. For other problems, delete and upload the file again. If the file status shows "E" again, contact the Provider Help Desk.

When the file processing is complete, the following screen will display allowing you to see each file submitted:
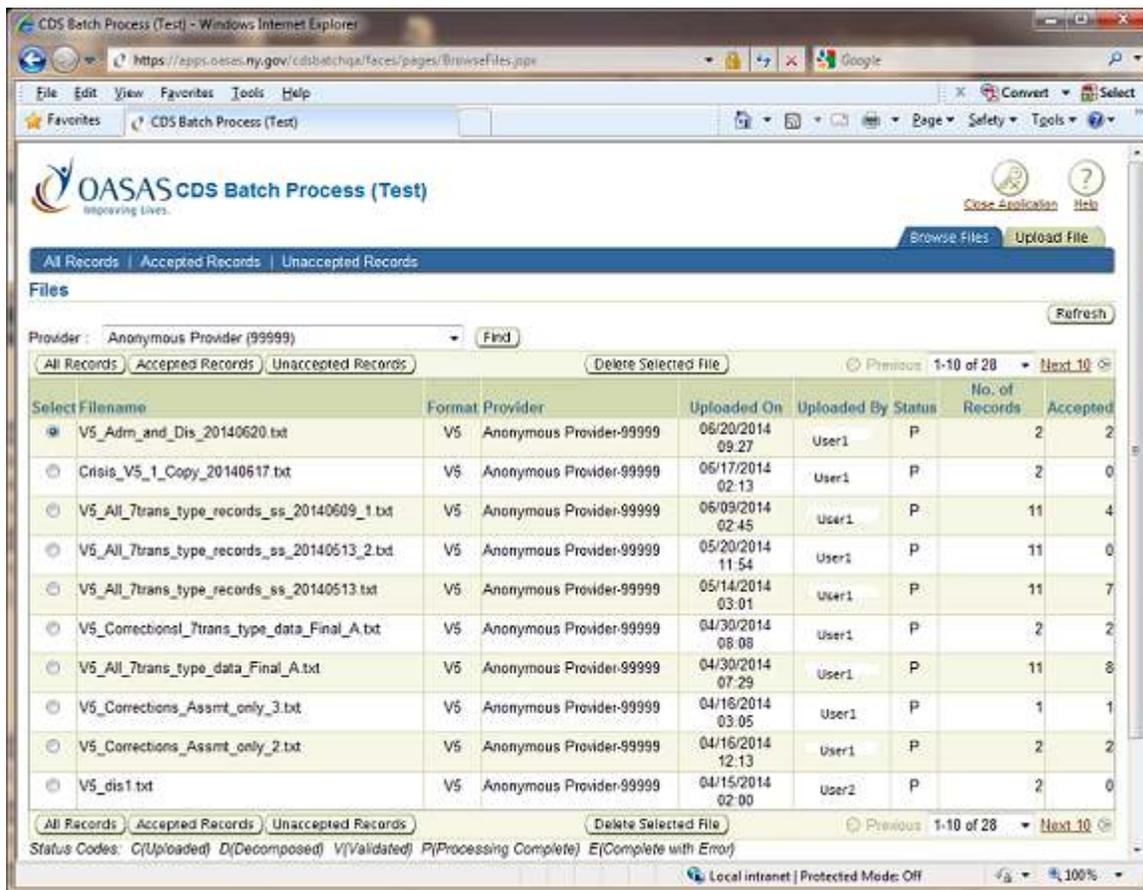
The screen shows the number of records that were processed in the file and the number that were successfully submitted without error. If the number under "Accepted" equals the "No. of Records" number, congratulations, you are done since there are no errors. If there are errors, you must correct the errors in order to allow the record to be resubmitted.

Correcting Errors

Correcting errors involves a process of:

1. Identifying what is causing the error.
2. Correcting the error in your client management system.
3. Resubmitting a batch file of the client record with the correct information.

To reduce the potential for future errors, it is advisable to keep your internal client management system's rules for data in sync with the OASAS system's rules. For instance, OASAS requires that a client record has a valid zip code for county of residence. If the provider's system allows for the entry of invalid zip code for county of residence, this can cause many unaccepted records.

Identifying what caused the error:

If your file fails to process or only processes part of the file, then the file has an error that prevents the file from being loaded. These are errors involving the Decomposing (D) step. Contact the person in your organization who is responsible for developing the format for the file being uploaded.

Once the file has passed the Validation (V) or Processing (P) steps, an Unaccepted Records report is created that allows you to look at which client records contained errors.

To find the client records containing errors, click the circle under the "Select Filename" column for the file that you are interested in. Select the file and click "Unaccepted Records" button. The Unaccepted Records in Selected File screen will show each client record that was not accepted.

Errors can occur in processing the files for three reasons:

"VR" There is incorrect computer coding of the file being transmitted. These errors are identified under the "Error Type" column as "VR", which means "Record Level Validation Error". Examples would be a wrong record length or merging multiple data items into one field. The person(s) responsible for setting up the coding, at your provider, need to fix these problems.

"VD" Missing data or incorrect types of data. These errors are identified as "VD" which means "Field Level Validation Error". You get the VD errors when the field data is not in the correct format or does not contain a valid value. For example, the field requiring a Yes/No answer accepts either 1 (for Yes) or 2 (for No) as its valid value. Any other values end up with the field validation failure.

"BZ" Violation of business rules. Examples of this type of error: trying to process a client discharge before processing an admission, entering non-existent ZIP Codes, identifying a

6

client as male and pregnant. These errors are identified as "BZ" which means "Business Rule Violation".

Correcting the Error:
To find the specific errors in a client's record, it is recommended that you click the [Printer-Friendly View] button. You will see a popup window displaying the printable Unaccepted Records report. To print the records, go to browser's "File" menu (top left corner), click "File" and then "Print".

There are other ways that you can look at errors:

1. On the Unaccepted Records in Selected File page, you can click the "Show" buttons on the left hand side to see detailed error messages.

2. You can click the "Select" and "Field" buttons to see every field of information regarding a client record.

3. If you would like to identify or group the records that were not accepted for a specific reason, on the Unaccepted Records in Selected File page, you can:

   - Search by Record Type,
   - Search by Error Type (VR, VD or BZ)
   - Search by Error Message. Type, or copy and paste, the error message from one of the unaccepted records into the error message box.
   - To print this report click the [Printer-Friendly View], then go to browser's "File" menu (top left corner), click "File" and then on "Print".

Recommended Practice: It is possible that a record has multiple errors. You may find it easier to first correct VD errors, resubmit the file, and then deal with the remaining BZ errors. (If you have a record with validation error (VD) and business rule errors (BZ), business rules errors will not be identified until the VD error has been corrected.)

You also may find it helpful to correct the different types of BZ (Business Rule Violations) separately. There are two types of BZ errors, one related to client status and the other for field values. Correct the field value errors first, extract the transaction file again from your system, and repeat the steps until you correct all errors.

Resubmitting batch file of the client record with the correct information:

As mentioned above, you must correct the error in your own system in order to submit information to OASAS. In the resubmission, you have two options:

- Resubmit only the records that contained errors and related files since all successful records were accepted by OASAS.
- Resubmit the entire original file.

Since each of these methods has a different impact, each will be discussed separately below.

Resubmitting only records that contained errors and related files:

When you have the corrected records and related files combined in a file, go to the Upload a Transaction File screen.
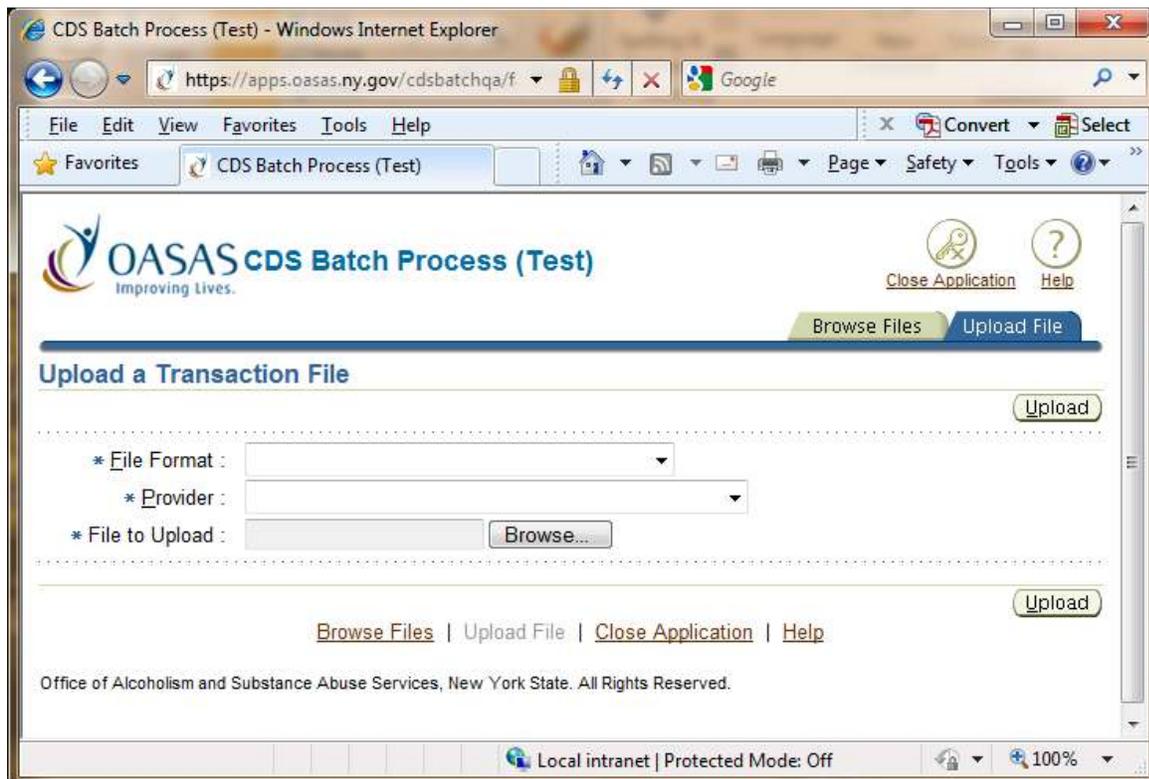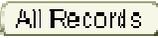
Upload the new file with a filename different from the original submission. If you had used the OASAS recommendation for naming your files, this file would be the original file name with the only version being changed. Repeat the process for submitting a file and check to see if the number of success matches the number of records submitted. If they are the same number, you have successfully made the corrections. If some of the records have errors, repeat the process for finding and correcting errors, and then resubmit.

Caution! This process can cause a problem. If on your original file submission you processed an admission and a discharge record for the same client, what happens if there is an error in the admission record? In such cases, the admission record is rejected because of the error and the discharge record is rejected because there has been no admission record processed. In such cases, providers who resubmit only the corrected error files risk submitting the revised admission record but fail to submit the discharge. (The discharge record didn't need to be corrected; it was not accepted because there was no valid admission record.) If you use this process of only submitting records that need to be corrected, make sure you also submit the related discharge record if applicable.

Resubmitting the Entire Original File:

If you resubmit the entire original file, then records that were previously correct will now be marked with an error of having been previously submitted. To avoid confusion and keep track of true errors and error corrections:

a. Print a copy of all the unaccepted records in your original submission. (Select the file and click "Unaccepted Records" button.).
b. Select the second submission file and click button. This report will show as errors any of the original errors not yet corrected plus all the originally successful records as being errors (since it looks like you are trying to submit records already in the system.).
c. Match the original list of unaccepted records with the second report. You can match using Record No. or Client No. All original records with errors that have been corrected will show as successful on the second report. To keep track, mark the records in the original Unaccepted Records Report which have now been successfully corrected.
d. If all the records in the original Unaccepted Record Report have been marked as successful, congratulations you have corrected all the errors.
e. If all the records in the original Unaccepted Record Report are **not** marked as successful, you will need to correct the remaining errors in your client management system and repeat step b and c for those records not marked as successful.