



**Wisconsin Department of Health Services**

# PPS Batch Processing Guidelines

## Table of Contents

Overview .....	3
Modules .....	3
Description of Database Segments.....	4
Participant Registration .....	4
Episodes and Episode-Level Consumer Profile Data .....	4
Services .....	5
Consumer Status Data .....	5
SOS Help Desk Contact Information .....	6
Security and Set-Up .....	6
MCI .....	6
FTP Specifications .....	7
FTP Scheduling .....	8
Considerations When Creating an XML file .....	8
Upload Process.....	10
Frequently Asked Questions .....	12
Troubleshooting Questions.....	12
How to Questions .....	15
Security Questions .....	21
Administrative Questions .....	22
MCI Questions.....	22
Miscellaneous Questions .....	23
Appendix A. Naming Standards for the XML Files .....	24
Appendix B. Sample XML Formats .....	26
Appendix C. Directions for Access to PPS .....	27

## Overview

The Program Participation System (PPS) allows users to enroll and maintain participants in the following services: core, mental health, and alcohol and other drug abuse (AODA). Counties may enter, view, and update data either online or through a batch process.

This document focuses on the batch process for reporting data for core, mental health, and AODA services. The batch process provides counties with the ability to upload XML files containing registration, episode, service, and status data to the state's server using secure internet-based FTP and file transfer software. A batch job cycle automatically retrieves these files from the FTP server and moves them to the batch server for processing and loading into PPS. If any errors are encountered, an error file containing the errored records and error details is uploaded to the FTP server for the agency to review and address.

This document also provides information on the user acceptance testing (UAT) environment.

## Modules

Three modules in PPS support batch file upload.

### 1. Core Services

Core collects service data for social service and mental health participants. More details can be found in the specification document PP60.150.DUV06-Core on the [core PPS webpage](#).

### 2. Mental Health Services and Outcomes

Mental health collects service data for mental health participants. More details can be found in the specification document PP60.150.DUV09-MH on the [mental health and AODA PPS webpage](#).

### 3. AODA Services and Outcomes

AODA collects service data for substance use participants. More details can be found in the specification document PP60.150.DUV03-AODA on the [mental health and AODA PPS webpage](#).

## **Description of Database Segments**

### ***Participant Registration***

Participants entered into PPS must have a unique identifier. This is called the master customer index (MCI) number.

If the participant has never been entered into any PPS module or state system, then the participant does not yet have a valid MCI number. The participant needs to be processed through the PPS MCI clearance mode, which is discussed in the “MCI” section.

A participant may have an MCI number as a result of enrollment in another state program, such as Wisconsin Works (W-2), FoodShare, Medicaid, BadgerCare Plus, Children’s Long-Term Care Waiver, or some other public assistance program; however, their current MCI number is only valid after the participant is processed through the PPS MCI clearance mode.

Once a participant has had their MCI number verified or created through the MCI clearance mode, the participant will not need to be processed through MCI clearance again unless their name changes.

The minimum required data items for this database segment include:

<submitter\_organization\_id>, <submission\_date>, <number\_of\_records\_transmitted>, <mci\_flag>, <record\_id>, <recipient\_first\_name>, <recipient\_last\_name>, <gender>, and <recipient\_birth\_date>.

### ***Episodes and Episode-Level Consumer Profile Data***

Once a participant is registered in PPS through the MCI clearance mode, an episode of care can be opened. An episode of care consists of one or more services. The episode start and end dates are the bookends around services. If an episode start date is not provided in the record, the batch system creates it from the service start date. When using the batch upload process, a newly created episode must contain at least one service. The episode also contains the consumer profile data such as race, referral source, and diagnosis.

If a participant has not received any direct services for a period of 90 days in AODA or 180 days in mental health, the episode should be considered for closing. In order to close an episode, all services on the episode must be closed with a standard program category (SPC) end date and the last chronological service must have a non-19 SPC end reason. In addition, an episode end date needs to be submitted, and for mental health, an episode end reason. (See the frequently asked question “What is the minimum data I need to upload to close an episode once all services in the episode have been closed?”)

## ***Services***

A service record can be defined as a visit, session, or encounter. A service record may also consist of several rolled-up service encounters for a particular month or the participant's entire service experience within the episode. (See the frequently asked question "How do I report a service that spans multiple months?" for guidance on reporting services.) Service dates must be within the episode start and end dates. When first opening a new episode, the record must contain the consumer profile data and one service. After that, service records may be submitted without the consumer profile data if desired. (See the frequently asked question "How do I add a service record without needing to input the consumer profile data?") Service records can be updated or deleted if need be.

Service records should be closed in a timely fashion. If no service has been provided in the last 90 days, the service should be considered for closing. The additional data entered into the closing service record include the SPC end date, SPC end reason (other than code 19), and five additional fields for the AODA module: employment status, frequency of substance use, living arrangement, support group attendance, and number of arrests in the past 30 days. Once all services within an episode are closed, the episode itself can be closed.

### **Importance of Record ID on a Service**

Every uploaded record must have a unique record identifier or ID. It is recommended this record ID be stored in the local system's clinical or claims record as opposed to a number that is generated during the file generation process. The local user and PPS can use this record ID if a record needs to be edited or deleted. The record ID may be up to 80 characters, including letters or numbers. An example of what a record ID might look like or contain is below.

For a new participant enrollment or look-up record:  
AODAMCI[local participant ID][date][sequential number]

For an episode or service record:  
MHUP[local participant ID][service code][date][sequential number]

### ***Consumer Status Data***

The mental health module includes several minimum data items that must be entered at the start of the episode and then entered every six months thereafter. These items are: blue ribbon commission target population, employment status, living arrangement, commitment status, criminal justice system interaction, number of arrests in the past 30 days, and number of arrests in the past six months.

## SOS Help Desk Contact Information

The SOS Help Desk is the primary point of contact for setting up your batch upload and if any issues arise when uploading information to PPS.

Hours: 8:00 a.m. to 4:00 p.m. (Monday-Thursday)

Email: [dhssoshelp@dhs.wisconsin.gov](mailto:dhssoshelp@dhs.wisconsin.gov)

Phone: 608-266-9198

Fax: 608-267-2437

## Security and Set-Up

For directions on getting access to PPS, see Appendix C.

For login credentials for your FTP folder, contact the SOS Help Desk. If you are unable to log in, contact the SOS Help Desk.

## MCI

MCI is a way to identify the same person between different computer systems. The MCI contains four pieces of identifying data: first and last name, Social Security number (SSN), date of birth, and sex. The SSN is optional and it is not recommended that it is used.

### What does MCI clearance mean?

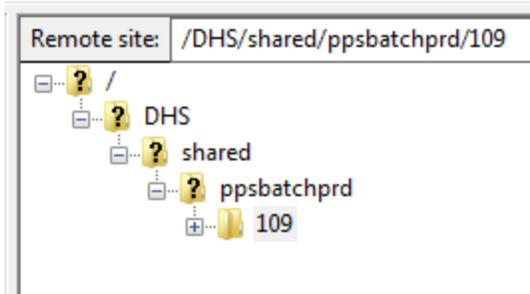
MCI clearance is the process of comparing identifying data for an individual against a database before registering the individual in PPS. When you are creating a new applicant, the MCI system looks through all MCI records to determine if there are any individuals who have matching identifying data and calculates a match percentage.

If the MCI clearance process calculates a match percentage that is 75% or less, the batch process creates a new individual and assigns them a MCI. If the match percentage is greater than or equal to 96% for individuals with a SSN or 92% for individuals without a SSN, the clearance process returns the existing MCI number from that match.

If the match percentage is between 76% and 95% for an individual with an SSN and between 76% and 92% for an individual without an SSN, the system will not return an MCI number. Instead, it will return an error: *<error\_msg> Could not find a valid match in the MCI application with provided Individual Information. Please provide valid Individual Information.</error\_msg>*. If this is the case, the user will have to log in into PPS and register the individual manually using the basic registration screen. (See the frequently asked question “Why am I getting the following error message in the MCI clearance mode and how do I resolve this problem?”)

## FTP Specifications

For each agency, there will be two folders set up on the batch server to store incoming and outgoing files. Once you log onto the FTP server using the login credentials, navigate to the following folder: /DHS/shared/ppsbatchprd/. Select your agency ID folder to see the folders used for batch upload.

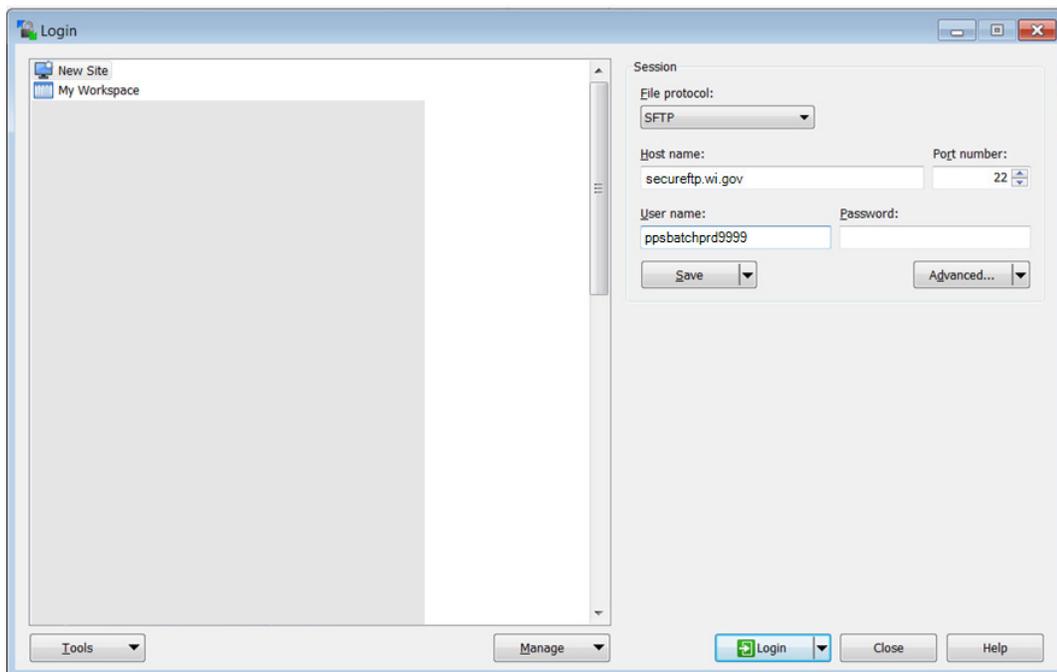


The **production** folders:

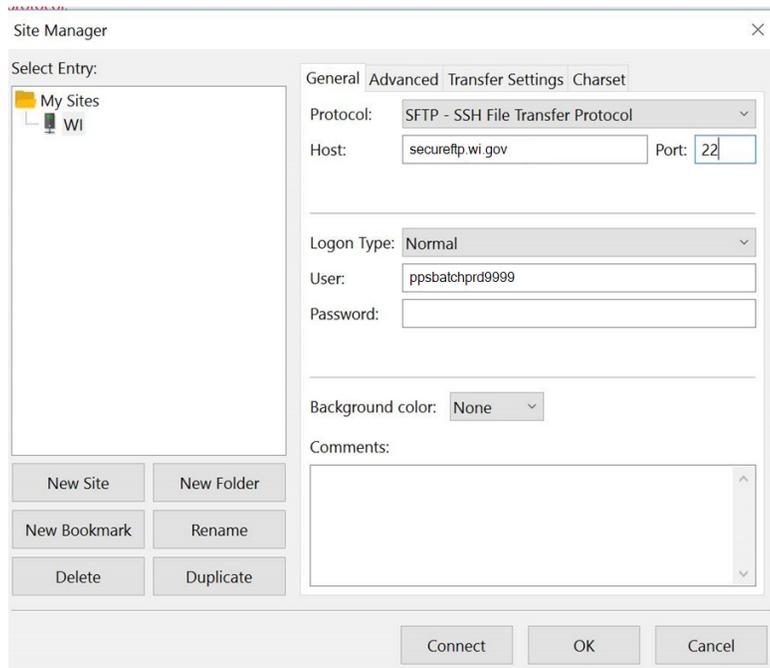
- Input for agency files copied from the FTP server to be processed.
- Output for processing result files that are created and sent to the FTP server.

### Recommended Software for FTP

1. [WinSCP](#)



## 2. [Filezilla](#)



## FTP Scheduling

### Production Environment

The upload process is scheduled to run every two minutes from 8:00 a.m. to 6:00 p.m. Monday through Friday.

### Considerations When Creating an XML file

- Comments use the following syntax: `<!--This is a comment??-->`
- The first line of the XML file must be exactly as follows. There must not be any characters before this line in the file:  
`<?xml version="1.0" encoding="UTF-8" standalone="yes"?>`
- The last line of the XML file must be a proper end of file, closing the submission with `</submission>`.
  - Do not end the file with a single line feed without a carriage return.
  - Do not end the file with any extraneous characters.
- Issue a line break after each line of XML code. When a line break is not entered after each line of XML code, the file is read as one very long line. This is difficult to parse and causes difficulty in issuing meaningful error references.
- A few special characters (`<` `>` `&` `"`) confuse the XML parser. The XML parser is used to strip the data from the XML file. Each occurrence of these special characters must be issued with a specific escape sequence or character string. These characters are often found in provider

names but they may exist in other fields as well. The following table illustrates the escape sequence mapping:

<b>Character</b>	<b>Escape Sequence</b>
< (less than)	&lt;
> (greater than)	&gt;
& (ampersand)	&amp;
“ (quotation mark)	&quot;

- Header edits impose the domain and format for each field contained in the file header. There must be a single header record per file. Each submission must contain a header record. Header edits include, but are not limited to, the number of records transmitted equaling the number of detail records contained in the file.
- Detail edits are used to impose the domain and format for each individual field contained in the file submission. The number of detail records in the file must equal the number of records transmitted as specified in the header. Edits used to validate detail records are specified in the specification document.
- For optional fields, if there is no change in the value for any given field, then either the previous value or an empty value can be provided in the corresponding XML element. The element can also be excluded from the XML file.
- Required fields must have valid values in the record.
- Record ID is required for detail records in both MCI clearance and upload modes. This is a unique ID assigned by the submitting organization to uniquely identify the record within their organization.
- If a service has to be deleted, then all the XML elements related to the service must have “0” as the value. This excludes record ID (<record\_id>) which can never be empty or “0.”
- Dates should be in “YYYY-MM-DD” format and should be between 1900-01-01 and 2099-12-31.
- When the file runs in MCI clearance mode or upload mode, the entire input data will be present in the output file. The output file can also include elements which were not in the input file. If there are any errors or warnings present, appropriate error and warning sections will be added at the end of each input record and sent in the output result file.

## Upload Process

Once you have generated an XML file, you will need to upload it in order for the data to be processed and submitted to PPS. There are different processes depending on whether you are uploading test data to UAT or real data to production. The batch upload operates in two required modes.

### Test Submission

To submit a test file, you will need to work with the SOS Help Desk.

#### 1. Obtaining an MCI (MCI Clearance Mode)

- Register a new participant in PPS by getting a MCI assigned from the MCI database.
- Create an XML file for registering an individual in PPS by setting the MCI flag to “Y.”
  - Refer to Appendix A for naming standard.
  - Refer to Appendix B for XML upload format.
- Email the test file to the SOS Help Desk. The SOS Help Desk will review the file to ensure there is no production data, then upload the file to UAT on your behalf and return the result file.
- Review the result file for any errors or warnings. When a participant is not able to be matched to an MCI, you may have to go into PPS to register the participant. (See the frequently asked question “Why am I getting the following error message in the MCI clearance mode and how do I resolve this problem?”) If there are no errors, then check the <recipient\_id> element for the MCI number. Add the MCI number to your local database.

#### 2. Submitting PPS Participant Data (Update Mode)

- Prepare XML file with data for upload.
- Create an XML file for episode and service Information, set the MCI flag to “N,” update <recipient\_id> with the MCI number returned in the previous step
  - Refer to Appendix A for naming standard.
  - Refer to Appendix B for XML upload format.
- Email the test file to the SOS Help Desk. The SOS Help Desk will review the file to ensure there is no production data, then upload the file to UAT on your behalf and return the result file.
- Review the result file for any errors or warnings after the file has processed. If there are any errors, update the XML to correct the errors in your original file and email the SOS Help Desk again for processing.

## **Production Submission**

### **1. Obtaining an MCI (MCI Clearance Mode)**

- Register a new participant in PPS by getting a MCI assigned from the MCI database.
- Create an XML file for registering an individual in PPS by setting the MCI flag to “Y.”
  - Refer to Appendix A for naming standard.
  - Refer to Appendix B for XML upload format.
- Place the XML on to the FTP server’s Input folder.
- Check the output result file in the Output folder for any errors or warnings after the file has processed. When a participant is not able to be matched to an MCI, you may have to go into PPS to register the participant. (See the frequently asked question “Why am I getting the following error message in the MCI clearance mode and how do I resolve this problem?”) If there are no errors, then check the <recipient\_id> element for the MCI number. Add the MCI number to your local database.

### **2. Submitting PPS Participant Data (Update Mode)**

- Prepare XML file with data for upload.
- Create an XML file for episode and service Information, set the MCI flag to “N,” update <recipient\_id> with the MCI number returned in the previous step, and then place this XML into the FTP server’s Input folder.
  - Refer to Appendix A for naming standard.
  - Refer to Appendix B for XML upload format.
- Check the output result file in the Output folder for any errors or warnings after the file has processed. If there are any errors, update the XML to correct the errors in your original file and place modified XML in the Input folder again for processing.

### **Important information about the upload process**

- Do not upload actual participant data in the test environment. If masking is used to protect actual participant data, remember to mask the first name, last name, date of birth, SSN, and address.
  - MCI numbers from the test environment will not work in the production environment.
  - The system is designed to handle 50 MB files in production. However, for testing purposes only generate an XML file with 10 to 20 records.
- Prior to testing the following must be in place:
  - Production security login credentials.
  - Test agency in UAT. The system assigns a test agency ID that will be placed in the XML header as the submitter organization ID. If this has not been done, contact the SOS Help Desk for assistance.

## Frequently Asked Questions

### *Troubleshooting Questions*

- 1. I received an error that the participant can't be found in PPS. However, I have supplied the required information and a valid MCI. Why isn't the participant found?**

If you have all of the required information and a valid MCI, but still receive an error message that the participant cannot be found in PPS, you need to make sure you have run this participant through MCI clearance. An MCI can be generated in another state system, but unless it is run through MCI clearance with PPS, PPS may not contain the MCI.

- 2. What is the cause of an unexpected system error occurring while creating the "submission object" or processing "header information?"**

*<error\_msg>Unexpected system error occurred while creating the 'Submission object' or processing 'Header Information' for the file with name 'MH\_109\_TEST\_20120228\_0900.xml'. Please make sure that provided file is valid XML, verify the 'Header Information' and send the file again for processing.</error\_msg>*

The reason for this error could be due to following:

- The system could not find default name space "xmlns=http://www.wisconsinedi.org" in the submission object.
- There was a typo error in the submission object.
- The submission tag was not properly closed.
- The XML parser is case sensitive; it must be "submission" and not "Submission."
- The encoding type of the file must be UTF-8. To check the encoding type, open the XML file in Notepad and click file -> save as. In the save as window that opens, check the bottom of the window and to the left of the save button for the field labeled "Encoding." Make sure it has a value of UTF-8. If not, save the file by selecting UTF-8 and resubmit the file.

### **3. Why is the XML file sitting in the Input folder for more than an hour and not processing?**

This can be caused by various reasons:

- The XML file name does not follow the naming convention. Check file naming standards.
- Your FTP client needs to be refreshed.
- There may be many files in the queue at same time. Wait a day and recheck the output folder.
- The file is large, so the processing cycle will take time. The next cycle will not start until the current cycle has finished processing. For example, at the end of the quarter, agencies are sending large files to get their reporting completed. This volume and size of files creates longer cycle processing time.
- The batch process may be down. Call the SOS Help Desk and verify the batch process is running.

### **4. How will I know if a batch file upload is successful?**

Once an XML file is processed by PPS, it is placed in the output folder where the file name is appended with “\_Result.” The result file will display errors after each detail record in the file as follows:

```
<errors_record>
  <record_id>10101001000</record_id>
  <error_msg></error_msg>
</errors_record>
```

If your output file doesn't have any errors then it means your file was uploaded successfully. If you are uploading a file in MCI clearance mode, then the system will return an MCI ID in the <recipient\_id> tag. If you are uploading a file in update mode, then the system will return an episode ID in the <episode\_id> tag. If any warning messages appear in your result output file, the record was uploaded successfully and this information is for your own data quality improvement purposes.

**5. Why am I getting the following error message in the MCI clearance mode, and how do I resolve this problem?**

*<error\_msg>Could not find a valid match in the MCI application with provided Individual Information. Please provide valid Individual Information.</error\_msg>*

There are a few reasons that could cause this error:

- In the particular record, the SSN may not match the SSN in the MCI database. We do not recommend sending SSNs. If you are sending as SSN, then you will need to verify that the SSN is correct. If you are not sure of the SSN, then try uploading a file without an SSN:
  - `<social_security_number></social_security_number>`
  - `<social_security_number/>`
- The birthdate in your local system is different and does not match the birthdate in the MCI database. Call the SOS Help Desk if you think the birthdate in the state system is incorrect.
- There might be a slight difference in the first name or last name between the MCI database and your local system. For example: Jim vs. James, or Christianson vs. Christensen.
- There may be an individual in the MCI database that is similar, but not similar enough for the process to determine it is a match. In this case, log in to PPS and go through the basic registration workflow. This will list out similar individuals to the one you are attempting to register, and you can determine manually if they are a match or if you need to create a new individual with a new MCI.

**6. Why am I getting the following error about duplicates when there is no duplication in my file? (This error could refer to other tags that follow a numbering or primary/secondary/tertiary pattern.)**

*'Characteristics' cannot have duplicates. Please make sure no two of the '<characteristic\_1>, <characteristic\_2>, <characteristic\_3>' elements have the same value.*

One possibility is that the participant had multiple values for this field, and one was deleted and the resulting rearranging of values caused a value to be listed in multiple fields. Take the following example: file 1 submitted two characteristics, one is deleted, then only a single characteristic is submitted in file 2. The value "02" is stored in the `<characteristic_2>` field, but when file 2 is submitted, it attempts to store the same value "02" in `<characteristic_1>`. The batch process does not interpret the empty `<characteristic_2></characteristic_2>` tag as "delete the value in this field", so the process sees a duplicate value trying to be stored in both fields. Log in to PPS to check what is stored on the participant. If you need to delete a characteristic, either delete it online or zero out (i.e. `<characteristic_1>0</characteristic_1>`) that field.

*File 1:*

`<characteristic_1>03</characteristic_1>`  
`<characteristic_2>02</characteristic_2>`

*File 2:*

`<characteristic_1>02</characteristic_1>`  
`<characteristic_2></characteristic_2>`

## 7. Why am I getting the following error when I try to close an episode?

*This episode cannot be closed as the service with an SPC Start Date of '2018-06-20', SPC Code of '507.00', Provider of '33237000' and Record Id of 'TESTRECORD20' has not been closed with an SPC End Reason Code other than 19 and/or SPC End Date.*

This error indicates you have not ended all of the services within the episode and identifies the service(s) that needs review. There can be multiple services listed which need review before closing the episode.

Before closing an episode, all services must have an SPC End Date and an SPC End Reason. Additionally, the final chronological service for each SPC/Provider ID combination must have a SPC End Reason other than "19-Service is Continuing". You can either manually edit the specified service in the online system, or edit and resubmit the service via batch file if the error contains a record ID.

## ***How to Questions***

### **1. How do I add a service record without needing to input the consumer profile data?**

Once an episode has been created and the first service has been entered, you can enter services through batch with the following required XML segments:

```
<detail_record>
  <record_id>5531800</record_id>
  <recipient_birth_date>1978-01-01</recipient_birth_date>
  <recipient_id>0111008409</recipient_id>
  <agency_responsibility_id>109</agency_responsibility_id>
  <provider_number>31024100</provider_number>
  <spc>103</spc>
  <unit_or_basis_for_measurement_code>HR</unit_or_basis_for_measurement_code>
  <quantity>1</quantity>
  <spc_start_date>2012-01-01</spc_start_date>
  <spc_end_date></spc_end_date>
  <spc_end_reason></spc_end_reason>
  <spc_delivery_year_month></spc_delivery_year_month>
</detail_record>
```

### **2. How do I delete a service record?**

If you know the record ID, recipient ID, and birthdate, then you can generate an XML file with zeros in all service fields, which will delete the service. The following are examples of the fields that need to be zeroed for each module in order to delete a service:

- To delete an AODA service, submit an XML file with the following XML elements containing zeros.

```

<!-- Service Details -->
<provider_number>0</provider_number>
<spc>0</spc>
<spc_start_date>0</spc_start_date>
<unit_or_basis_for_measurement_code>0</unit_or_basis_for_measurement_
code>
<quantity>0</quantity>
<target_group>0</target_group>
<spc_end_date>0</spc_end_date>
<spc_end_reason>0</spc_end_reason>
<spc_delivery_year_month>0</spc_delivery_year_month>
<spc_review_due_year_month>0</spc_review_due_year_month>
<service_worker_id>0</service_worker_id>
<!-- Closing Status Information -->
<close_status_A>0</close_status_A>
<close_status_support_group>0</close_status_support_group>
<close_status_AR>0</close_status_AR>
<close_status_LA>0</close_status_LA>
<close_status_E>0</close_status_E>

```

- To delete a mental health service record, submit an XML file with the following elements containing zeros.

```

<!-- Service Details -->
<provider_number>0</provider_number>
<spc>0</spc>
<unit_or_basis_for_measurement_code>0</unit_or_basis_for_measurement_
code>
<quantity>0</quantity>
<spc_start_date>0</spc_start_date>
<spc_end_date>0</spc_end_date>
<spc_end_reason>0</spc_end_reason>
<spc_delivery_year_month>0</spc_delivery_year_month>
<spc_review_due_year_month>0</spc_review_due_year_month>
<service_worker_id>0</service_worker_id>

```

- To delete a core service record, submit an XML file with the following elements containing zeros.

```
<!-- Service Details -->  
<provider_number>0</provider_number>  
<spc>0</spc>  
<spc_start_date>0</spc_start_date>  
<spc_end_date>0</spc_end_date>  
<spc_review_date>0</spc_review_date>  
<target_group>0</target_group>  
<service_worker_id>0</service_worker_id>
```

### **3. How do I delete an episode?**

Deleting an episode is a two-step process. First delete all of the services on the episode. Then delete the episode. It is best to handle this process using two different records, first by deleting all the service records under the episode, and then by deleting the episode. Service records and episodes can also be deleted online. On the service details screen, there is a delete button that can delete services. Once you have deleted all service records, the system will prompt you to delete the episode.

### **4. How do I close an episode?**

It is best to handle this process using two records in the batch file, with the first record closing the final service and the second record closing the episode. You may need to close more than one service and should review all services within the episode to ensure they are properly ended before attempting to close the episode.

### **5. What is the minimum data I need to upload to close an episode once all services in the episode have been closed?**

All episodes need to be closed when services are no longer being provided. To close an episode you need to include only the following information in the XML detail record:

- Recipient ID
- Recipient birthdate
- Agency of Responsibility
- Episode end date
- Episode end reason (for mental health episodes only)
- Record ID (this is the record ID of the last service under this episode)

## 6. How do I report a service that spans multiple months?

This depends on the type of service being reported.

If the service is an inpatient or residential type of service reported with a quantity of days, it should be reported on one service record. Create a single record with the SPC start date and SPC end date set to the start and end of the stay.

Record_ID	SPC Start Date	Delivery Year Month	Unit Quantity	SPC End Date	SPC End Reason
109_10001	2012-07-05	2012-07	163	2012-12-18	1 = Completed service - major improvement

If the service is ongoing community program, like the Comprehensive Community Services or Community Support Programs, then you can report all services within a month to a single rolled-up monthly record. Create a separate record for each month with the same SPC code, unit of measurement, and provider ID. The record ID, SPC start date, unit quantity, SPC end date, and SPC end reason can be updated monthly as shown in the example below. Each monthly service record spans from the beginning to the end of the month.

When the participant is clinically discharged, the last service record is required to have a SPC end date that is the date of last contact and a SPC end reason code besides 19.

Record_ID	SPC Start Date	Delivery Year Month	Unit Quantity	SPC End Date	SPC End Reason
109_10001	2012-07-05	2012-07	10	2012-07-31	19 = service is continuing
109_10002	2012-08-01	2012-08	10	2012-08-31	19 = service is continuing
109_10003	2012-09-01	2012-09	10	2012-09-30	19 = service is continuing
109_10004	2012-10-01	2012-10	10	2012-10-31	19 = service is continuing
109_10005	2012-11-01	2012-11	10	2012-11-30	19 = service is continuing
109_10006	2012-12-01	2012-12	6	2012-12-18	1 = Completed service - major improvement

If the service is an outpatient or day treatment service with regularly scheduled sessions, report each service individually. Create a separate record for each service with the same SPC code, unit of measurement, and provider ID. The record ID, SPC start date, unit quantity, SPC end date, and SPC end reason will be unique to each session.

When the participant is clinically discharged, the last service record is required to have a SPC end reason code besides 19.

Record_ID	SPC Start Date	Delivery Year Month	Unit Quantity	SPC End Date	SPC End Reason
109_10001	2012-07-05	2012-07	1	2012-07-05	19 = service is continuing
109_10002	2012-08-10	2012-08	1	2012-08-10	19 = service is continuing
109_10003	2012-09-07	2012-09	1	2012-09-07	19 = service is continuing
109_10004	2012-10-11	2012-10	1	2012-10-11	19 = service is continuing
109_10005	2012-11-10	2012-11	1	2012-11-10	19 = service is continuing
109_10006	2012-12-18	2012-12	1	2012-12-18	1 = Completed service - major improvement

For additional details on how to report services, see Appendix 6 of the PPS Mental Health Handbook or Appendix 4 of the PPS Substance Use Handbook.

**7. How do I submit encounter-level or rolled-up monthly continuing service records (SPC end reason code 19) through batch?**

Below is an example of submitting continuing service records through batch with the required XML segments:

```

<detail_record>
  <record_id>5531800</record_id>
  <recipient_birth_date>1978-01-01</recipient_birth_date>
  <recipient_id>0111008409</recipient_id>
  <agency_responsibility_id>109</agency_responsibility_id>
  <provider_number>31024100</provider_number>
  <spc>503</spc>
  <unit_or_basis_for_measurement_code>HR</unit_or_basis_for_measurement_code>
  <quantity>1</quantity>
  <spc_start_date>2012-01-01</spc_start_date>
  <spc_end_date>2012-01-30</spc_end_date>
  <spc_end_reason>19</spc_end_reason>
  <spc_delivery_year_month></spc_delivery_year_month>
</detail_record>

```

**8. What is the minimal amount of consumer status information that I need enter at the start of an episode and then enter every six months thereafter?**

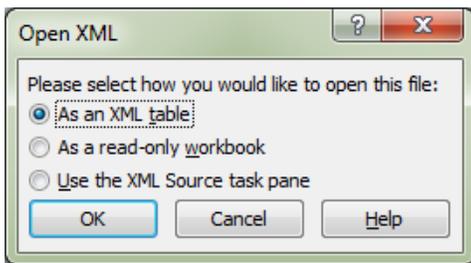
Below is an example of the consumer status information with the required XML segments that needs to be entered through batch every six months. This information cannot be submitted on its own record; it must be submitted with a service record.

```
<detail_record>
  <record_id>MHTEST2013010100001</record_id>
  <recipient_id>5201636250</recipient_id>
  <recipient_birth_date>1980-12-12</recipient_birth_date>
  <agency_responsibility_id>109</agency_responsibility_id>
  <report_date>2013-01-01</report_date>
  <brc_target_population_update>H</brc_target_population_update>
  <employment>1</employment>
  <residential_arrangement>3</residential_arrangement>
  <commitment_status_update>1</commitment_status_update>
  <criminal_justice_system_1>9</criminal_justice_system_1>
  <number_of_arrests_in_past_30_days>0
</number_of_arrests_in_past_30_days>
  <number_of_arrests_in_past_6_months>0
</number_of_arrests_in_past_6_months>
</detail_record>
```

**9. How do I find an invalid character in an XML file?**

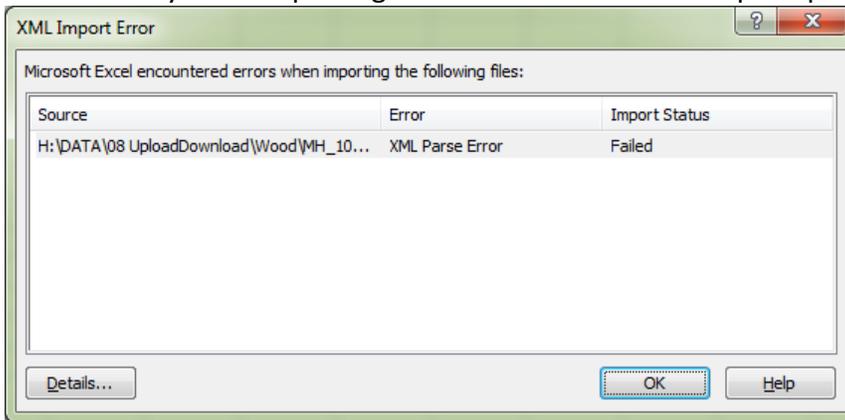
To find invalid characters in an XML file:

1. Open the XML file in Excel.

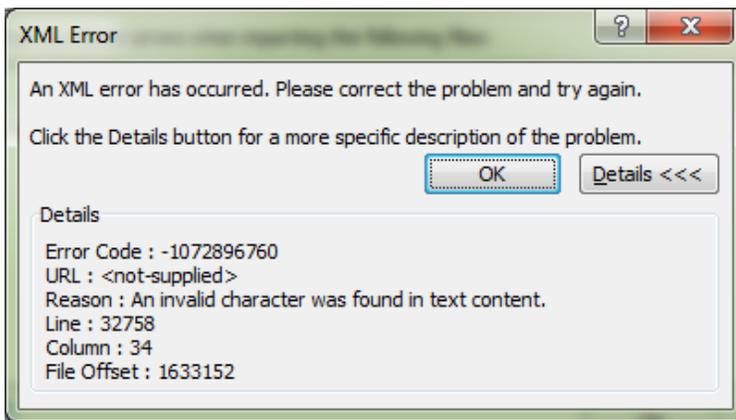


2. Select "As an XML table" and click OK.

3. If there is any error in parsing an XML file then Excel will prompt as:



4. Click "Details..." to find the exact location of the invalid character:



5. Open the XML file in the any text editor and go to the line mentioned in the XML error from Excel.
6. Check the line record, remove the invalid character and save the file.
7. To verify issue is fixed, redo steps one through three.

## ***Security Questions***

1. **What valid file extension is allowed on the file?**

The valid file extensions are: .XML, .xml, .Xml, .xMl, .xmL, .XML, .xML, or .XmL. Any other extension is invalid and the system will not process the file. It will remain in the input folder until it is removed or renamed.

## **2. How secure is uploading files on the FTP server?**

The FTP server meets the following security requirements:

- Enforces SFTP
- Appropriate SSL/TLS protocols – TLS 1.2 only
- Data is encrypted at rest which is FIP 140-2 compliant

Each county has their own folder on the FTP server and the system requires a username and private key to log in and access the folder.

## ***Administrative Questions***

### **1. When do results files from the output folder get deleted?**

The system automatically deletes any file after 90 days, but users can delete the file anytime. We recommend deleting result files from the output folder after successful submission of data.

### **2. Can county users delete files from their FTP folder?**

Yes, county users have edit and delete privileges in their FTP folder.

## ***MCI Questions***

### **1. Why is the MCI or recipient ID returned sometimes as numbers that are nine digits long or ten digits long?**

The length of the MCI or recipient ID field is ten digits. When the MCI is stored as a numeric value, the system treats numbers with a leading zero the same as numbers without a leading zero. Nine digit IDs have a leading zero that is removed before being returned in the result file.

### **2. For the PPS MCI clearance mode process, are the participant names from our records checked against the entire state, or just within our county's records?**

The MCI clearance mode process always checks individuals against the entire MCI database. Several systems use MCI, such as CARES, interChange, FSIA, and Medicaid; and those systems may be statewide.

### **3. After registering a participant and attempting to open an episode, are our county's records checked against all participants that exist in all of PPS, meaning people in AODA, mental health, Birth to 3, etc.; even in PPS areas I do not have access?**

Yes.

- 4. If any of the MCI identifying data elements checked against PPS do not match, will the record receive an error? For example, including a middle initial or SSN when the participant doesn't have those fields in PPS?**

Failure of the record depends on matching percentage for that individual, so the record may or may not fail in these instances. See the "MCI" section for more information.

- 5. For MCI clearance records that fall in the group with less than a 96% match, what do we do?**

Log in to PPS, then add the individual using the basic registration screen. It will take you through MCI clearance again and if the system finds an individual that is a close match to the new individual that is being created, the MCI clearance page will be displayed. You will then have to decide if the match is really for the same person or a different person. Select the right person or create a new individual if the person is not in the close match list. You can then obtain the MCI number from the individual summary screen and add it to your local system. After that, you can use that MCI number to upload service data to PPS. You may also contact the SOS Help Desk for assistance in decisions with these participants.

- 6. I have been submitting test file uploads with MCI=Y to get back MCI numbers for the county so we can load them into our local system. Are these authentic MCI numbers that will be the same in the production environment or will I have to redo this process in the production environment?**

Do not send actual names, birthdates, and SSNs in the test environment. The MCI IDs in the test environment are not authentic. When you are ready to upload your data in production, you can then send actual names and obtain authentic MCI numbers in production, not in UAT.

## ***Miscellaneous Questions***

- 1. Can county users access uploaded information via the PPS online application?**

Yes, all county batch file upload users can obtain access to PPS online by contacting the SOS Help Desk. There is useful functionality for all county users in the PPS.

## Appendix A. Naming Standards for the XML Files

### Input Files

Files for upload to PPS must conform to the following naming standard:

*PROGRAM\_AGENCY\_ENVIRONMENT\_DATE\_TIME.xml*

Each part of the name conforms to the following:

- *PROGRAM*: The program for which the file contains data.
  - AODA
  - CORE
  - MH
- *AGENCY*: The production agency ID of the uploading agency.
- *ENVIRONMENT*: Include the word “TEST” in all test files. Leave blank for production files.
- *DATE*: The date the file was uploaded. (YYYYMMDD format)
- *TIME*: The time the file was uploaded. May be approximate as long as the file name is unique. HHMM format in military (24 hour) time with leading zeros (e.g., 0115, 2107)

Example:

Production: MH\_1010\_20140331\_1115.xml

Test: MH\_1010\_TEST\_20140331\_1115.xml

### Result (Output) Files

Resulting error files that are generated by the batch cycle and returned to the FTP site for county consumption will be uploaded to each county’s output folder so they can be downloaded.

The result files will conform to the following naming standard:

*PROGRAM\_AGENCY\_ENVIRONMENT\_DATE\_TIME\_Result.xml*

The name of the original uploaded file is preserved with the addition of “\_Result” appended to the end of the file name.

Example:

Production: MH\_1010\_20140331\_1115\_Result.xml

Test: MH\_1010\_TEST\_20140331\_1115\_Result.xml

**Regarding Agency IDs**

The agency ID listed in the file name will always be the production agency ID. This same ID is used in the name for files submitted to both UAT and production. The agency ID in the file name must match the agency number in the folder name.

For files submitted to UAT, you can use the production agency ID in the file name, but you must have a test agency ID which is placed inside the XML file in the <submitter\_organization\_ID> tag within the header record. The test agency ID is assigned by the SOS Help Desk and must be obtained prior to submitting any data to UAT. In the example on the previous page, 1010 is the production agency ID and is used in the file name for both production and UAT. However, within the XML file, the submitter organization IDs will be different depending on whether the file is being submitted to production or UAT.

## Appendix B. Sample XML Formats

### AODA Update Mode

<https://www.dhs.wisconsin.gov/pps/aodaxxyyyymmddhhmm.xml>

### Core Update Mode

<https://www.dhs.wisconsin.gov/pps/corexxyyyymmddhhmm.xml>

### Mental Health Update Mode

<https://www.dhs.wisconsin.gov/pps/mhxxxyyyymmddhhmm.xml>

### MCI Clearance Mode

(FOR ILLUSTRATION ONLY – last updated October 2013)

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<submission xmlns="http://www.wisconsinedi.org">
  <header_record>
    <submitter_organization_id>109</submitter_organization_id>
    <submission_date>YYYY-MM-DD</submission_date>
    <number_of_records_transmitted>1</number_of_records_transmitted>
    <mci_flag>Y</mci_flag>
  </header_record>
  <detail_record>
    <record_id>AODACOREMH01</record_id>
    <recipient_id></recipient_id>
    <recipient_first_name></recipient_first_name>
    <recipient_middle_name></recipient_middle_name>
    <recipient_last_name></recipient_last_name>
    <recipient_suffix_name></recipient_suffix_name>
    <gender>M</gender>
    <recipient_birth_date>YYYY-MM-DD</recipient_birth_date>
    <social_security_number></social_security_number>
  </detail_record>
</submission>
```

## Appendix C. Directions for Access to PPS

You will need to first get a Web Access Management System (WAMS) ID and then request access to PPS.

### Getting a WAMS ID

1. Use the following link to get to WAMS: <https://pps.wisconsin.gov>. If you already have a production WAMS ID for another system, use that ID. You do not need to create a new ID.
2. Click on the WAMS link.
3. At the Wisconsin User ID WAMS page, click on the self-registration link to request a Wisconsin User ID and password.
4. Read the Wisconsin WAMS agreement and click on the accept button at the bottom of the page.
5. Fill in the self-registration form and click on submit at the bottom of the form.
6. After submitting the request, you will receive an email from [WAMS@wisconsin.gov](mailto:WAMS@wisconsin.gov). Follow the directions in the email to activate your WAMS account.
7. When you are successful in activating your account, you will see a page indicating that you have successfully created and activated your Wisconsin Login Account.

### Getting Access to PPS

1. From the [Human Services System Gateway Page](#) click on the PPS – Request Access link.
2. Enter your WAMS ID and password.
3. Select the following PPS modules on the form under the “Profiles” section:
  - MH Services and Outcomes Full Access
  - AODA Services and Outcomes Full Access
4. Click on the submit button and print the form to be faxed to the SOS Help Desk. You can also scan and email a copy of your completed form to the SOS Help Desk.
5. Once the form is sent to the SOS Help Desk, then security will be set up for PPS. You will receive an email notification about your approved access.

These instructions also are on the [PPS webpage](#). Select “Request WAMS ID” to view them.