

Information Exchange System (IES) Event Implementation Guide for Nonwaiver Programs



**WISCONSIN DEPARTMENT
of HEALTH SERVICES**

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INTRODUCTION

Purpose of this Guide

The IES Event Implementation Guide for Nonwaiver Programs will help you submit a batch process of your event data as specified in your contract with DHS. This implementation guide has three sections:

- I. **Introduction** – Provides general information about the LTCare IES application.
- II. **Construction of an XML file** – Gives instructions on how to construct an XML file.
- III. **Appendix** – Contains the log information of changes made to IES.

If you have questions about the use of the Information Exchange System (IES) application, please contact:

dhsltcareencounterhelp@dhs.wisconsin.gov

Overview of the IES Application

The IES application accepts data from submitters to the state. These data submissions yield timely information for reporting and analysis. All file submissions, report viewing, and administration activities can be done from a standard web browser.

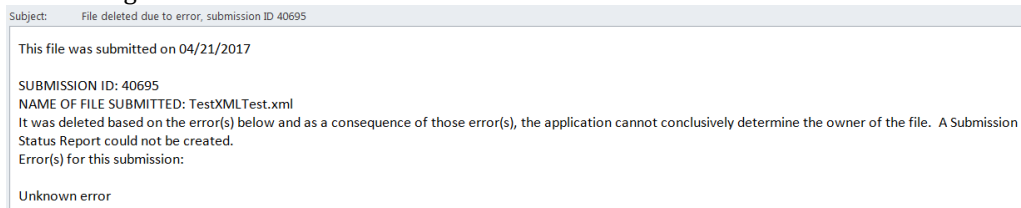
The IES collection and verification utility:

- Accepts event data directly from submitting entities,
- Provides real time results as to the acceptance of the data based on business rules and validation of acceptable values, and
- Certified data flows from the IES application each weekend into the data warehouse for queries and analysis.

The Batch submission data is submitted in an XML file. XML file construction starts on page 10. Once submitted, the XML file passes through a series of parser and content edits based on the business rules. Differing levels of edit (error) checking occur within the application to verify the submission and validate data fields for correctness of length, format, and if the field is required. Parser edits must be corrected before the content edits are applied.

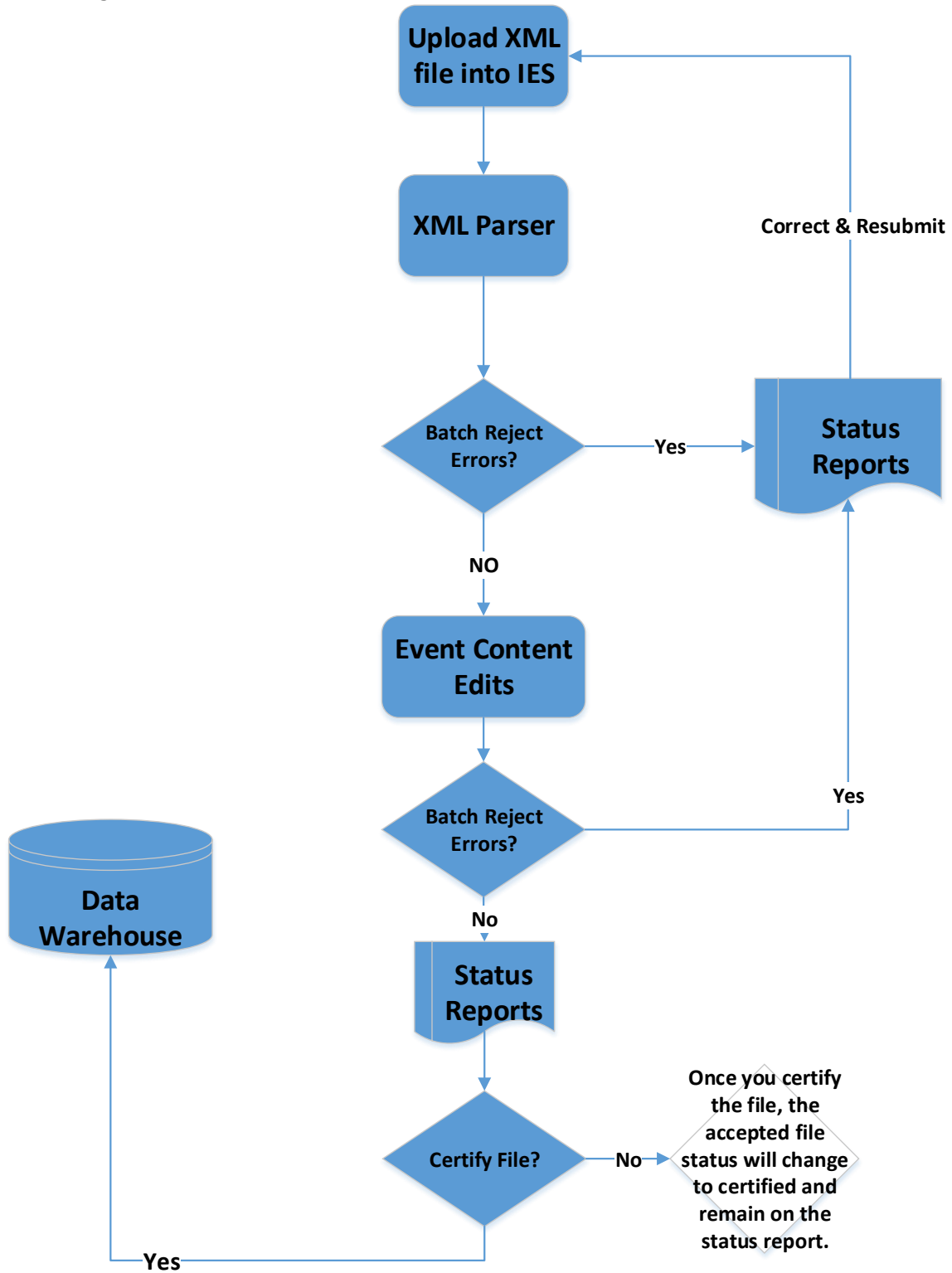
It is possible that an entire batch submission will be deleted due to an unknown error. You will be sent an email message shown here as Figure 1. When a file is deleted, it often occurs because information in the header or some other section of the file was not “well-formed.” Review the file for formatting errors, correct errors, and resubmit.

Figure 1: File Deleted Email



An entire submission is rejected when certain critical errors are found. This is referred to as a “batch reject error”. The report has a submission number and lists the edit error number and the record(s) that failed that particular edit. These reject errors restrict invalid data from acceptance and warning errors help the submitter manage its data. The batch rejected errors must be corrected. A batch is considered accepted when no batch reject errors occur. Accepted files must be certified before they are loaded into the data warehouse.

Figure 2: LTCare IES Process Flow



Implementation Planning

To take advantage of the features of the data collection and validation utility, organizations must consider the current requirements of the event reporting process and evaluate these requirements against their own current systems capability. This implementation guide provides an overview of the event reporting. The MCO/agency can contact the LTCare Encounter Reporting Team at DHSLTCareEncounterHelp@dhs.wisconsin.gov to discuss questions or unique challenges.

Planning Guidelines

In addition to the business system requirements listed above, the following fundamental principles must be considered when planning for the implementation of event reporting:

- 1) Organizations must be able to generate event records for their organization.
- 2) Organizations must have sufficient resources available to analyze and correct problems with data submitted to the IES application.
- 3) Organizations must be able to extract event level data in XML file format for transmission.
- 4) Organizations must evaluate the capability of their existing business system and determine any functional gaps between their system and the requirements of event reporting.
- 5) MCOs/agencies must consider each of the following items and develop an implementation plan to address any conflicts that may relate to them:
 - Data dictionary elements
 - XML file reports
 - Develop Test data sets

Defining an Event

Event records are detailed records of events, requests, contacts or incidents that apply to members or prospective members, family members or community individuals. An event record requires a separate and unique record for each event. Examples of event records include the following:

- 1) **Contacts**—Contacts occur between Aging and Disability Resource Centers (ADRCs), referral entities, providers and consumers,
- 2) **Incidents**-- Reportable incidents are defined as actual or alleged events, situations or conditions that pose a significant immediate and/or ongoing threat or risk to the physical or mental health, safety, well-being or continued community presence of an adult or child
- 3) **Request to use Restrictive Measures**—A request to use restrictive measures to manage dangerous or challenging behavior(s) must be approved before use.
- 4) **Provider Assessment Data**—Information can be obtained about licensing, capacity, services offered, population served, etc.

Contact Example

Multiple events (such as contacts to an ADRC Agency) may occur between a single Agency and a single person, entity or group of people. For example, the daughter of an elderly woman may phone the Agency with questions about benefits to help pay for assisted living. Later in the day, the daughter phones the Agency about transportation options for her mother to see her dentist and doctor. These two calls are reported as two events.

Incident Example

A member can experience two incidents on one day. Early in the day, the person trips on a throw rug and suffers a head wound requiring emergency care. Later that day the person eloped (wandered away) from their scheduled day care program. These are two separate incidents or events.

Event data is submitted through a batch submission process and adheres to the contract between DHS and the Program. In the near future, an online direct entry application will be available. DHS Policy will dictate what submission process is available to different programs. Separate User and Implementation Guides will be developed for online direct entry application.

Purpose of Event Data Collection

The LTCare IES reporting process provides a consistent data collection and validation utility to gather data to:

- Provide a source of data for federal reporting.
- Monitor program integrity (i.e., responsiveness, timeliness).
- Conduct research.
- Evaluate and monitor the quality, consistency and the number of events/contacts provided.
- Ensure adherence to the contract between the Department of Health Services (DHS) and the submitter, and
- Improve the program's effectiveness.

Obtain Access to the LTCare IES Application

- Each submitter organization or agency must designate an IES administrator to perform administrative functions. The administrator can set up new users with their appropriate permission level, reset passwords, and inactivate users who have left employment. See your administrator to request access.
- You can contact the help desk at DHSLTCareEncounterHelp@dhs.wisconsin.gov and request the name of your administrator.
- Once your administrator establishes you as a user, you will receive an email with your temporary password.

Figure 3: Notification of Temporary Password

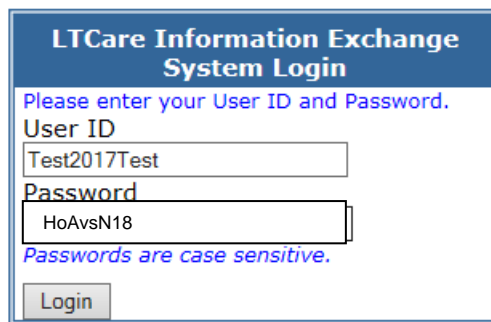
Encounter_DoNotSendMailToThisAddress@lhcencounter.forwardhealth.wi
to me ▾

The password for the Encounter Application account associated with this email address has been reset. Your new Encounter password is:

HoAvsN18

You will be prompted to change this password the next time you log into the application. Please note that passwords are case-sensitive.

Figure 4: Enter Your User ID and Temporary Password



LTCare Information Exchange System Login

Please enter your User ID and Password.

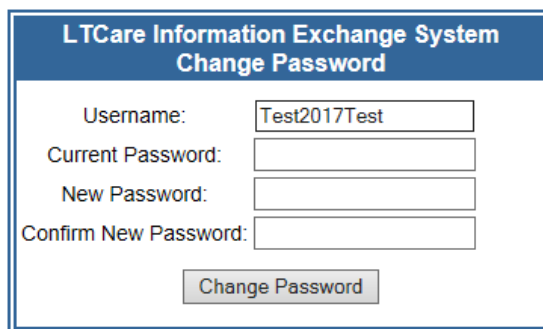
User ID
Test2017Test

Password
HoAvsN18

Passwords are case sensitive.

Login

Figure 5: Change Password Process—Enter Your User name, Temporary Password, and New Password Twice



LTCare Information Exchange System Change Password

Username: Test2017Test

Current Password:

New Password:

Confirm New Password:

Change Password

Figure 6: Notification That Your Password Has Been Successfully Changed!

Your password was successfully changed!

[Home](#)

HOW TO USE THE LTCare IES APPLICATION FOR BATCH SUBMISSIONS

Logging On and Off the LTCare IES

To Log On

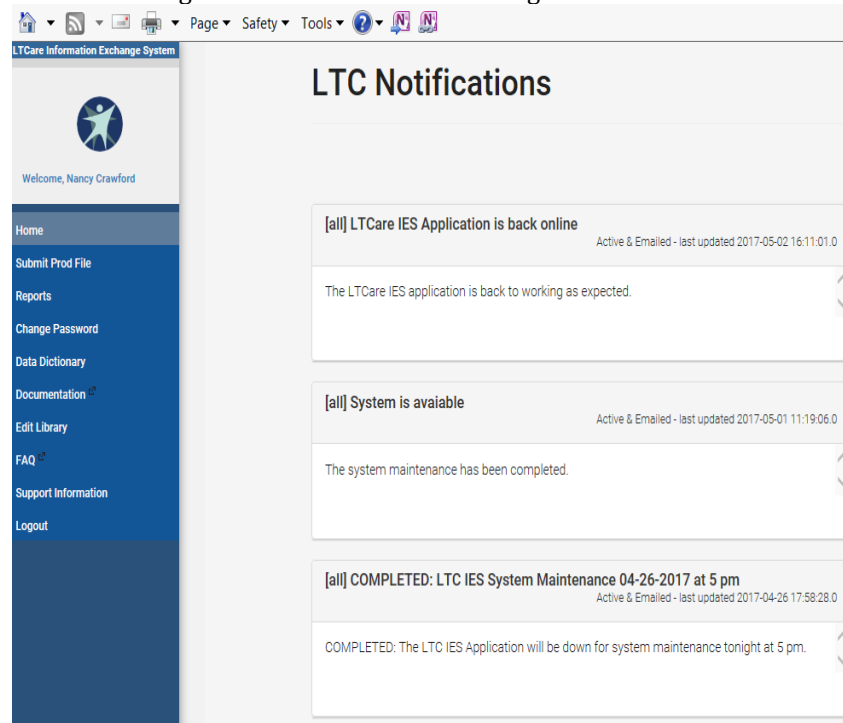
1. Open the web browser on your workstation and position your cursor at the address line.
2. Type in the following URL and Press <ENTER>
<https://ltcareies.forwardhealth.wi.gov/ltcareIES/secureLogin.html>
3. You will see the following screen (Figure 7):

Figure 7: LTCare Information Exchange System Login

The image shows a login form titled "LTCare Information Exchange System Login" in a blue header box. Below the title, the text "Please enter your User ID and Password." is displayed in blue. There are two input fields: "User ID" and "Password". Below the "Password" field, the text "Passwords are case sensitive." is displayed in blue. At the bottom of the form is a "Login" button.

In the User ID field, enter the user ID (username) you chose. In the Password field, enter your password. Then click on the **Login** button and you will see the following home page screen (Figure 8):

Figure 8: Home Page with Menu Panel and Messages



You are now logged onto the LTCare IES application where you can submit your event records or log off when your work is completed.

To Log Off:

On the left-hand side of the main screen, you see the menu. In order to log off the system, please click on the hyperlink that says “**Logout.**” Once this is completed, you are logged off.

Event Data Submission Process

Event reporting has designated submission periods for each line of business. Once certified, there are no changes to these records.

Event submissions are required to be certified by the established due date following the posting period and contain complete data posted in that period. Partial submissions are not acceptable. The begin posting date must always be the beginning of the submission period and the end posting date is the last day of the period. The previous period’s submission must be accepted before any new submission is accepted. (**Note:** This does not apply to the initial data submission as a prior submission does not exist.)

Certified event reporting submissions are due no later than the assigned date or on the first business day following the due date. Organizations should send the event

submissions prior to the assigned due date to allow time to make corrections should the submission fail any edits.

Extracting Data and the XML File Format

An XML file layout template is provided on the [DHS website](#) for the different nonwaiver programs. A Data Dictionary that contains specific details of each data element, including the maximum length of these fields, is also available.

The following are issues to consider when creating the XML file:

Comments use the following syntax: `<!--This is a comment -->`

Do not generate XML tags for fields that do not contain data. For example, if there is no `call_topic_code` 3, then omit this line from the XML file for that event record.

There is currently no support for the NULL attribute.

It is very important that the first line of the XML file is exactly as provided here. There must not be any characters before this line in the file.

`<? Xml version="1.0" encoding="UTF-8" ?>`

The last line of the XML file must be a proper end of file. Do not end the file with a single Line Feed (LF) without a Carriage Return (CR). Do not end the file with any extraneous characters.

Issue a line break after each line of XML code, otherwise the file is read as one (very long) line. A very long line is difficult to parse, and causes difficulty in issuing meaningful error references.

A few special characters (`<`, `>`, `&`, `'`, or `"`) confuse the XML parser. The XML parser strips 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:

Character	Escape Sequence
<code><</code> (less than)	<code>&lt;</code>
<code>></code> (greater than)	<code>&gt;</code>
<code>&</code> (ampersand)	<code>&amp;</code>
<code>'</code> (apostrophe)	<code>&apos;</code>
<code>"</code> (quotation mark)	<code>&quot;</code>

For example:

`<billing_provider_last_name>Jones & Smith</billing_provider_last_name>`

Becomes:

`<billing_provider_last_name>Jones & Smith</billing_provider_last_name>`

Or send:

<billing_provider_last_name>Jones and Smith</billing_provider_last_name>

Note: The semicolon is part of the sequence.

Submission File Edits for Header and Details

Edits are imposed at the parser and content levels. Parser editing is for length, type and requirement (if field is always required, not required or situational.) Content editing is generally for valid values and dependencies. Content editing does not take place if a parser edit is triggered. A submission file may contain only header information and not contain any detail records. For example, an MCO/Agency may not have any requests for restrictive measures during the reporting period. However, the file submission is needed to maintain the reporting sequence

Figure 14: ADRC XML Template

```

File Edit Format View Help
<?xml version="1.0" encoding="UTF-8" standalone="no" ?>
<submission adrc2:submission_type="production"
xmlns="http://www.wisconsinedi.org" xmlns:adrc2="http://www.wisconsinedi.org"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xsi:schemaLocation="http://www.wisconsinedi.org
http://www.wisconsinedi.org/schema/adrc_submission.xsd">
  <header_record>
    <submitter_organization_id>61000000</submitter_organization_id>
    <submission_date>2016-02-02</submission_date>
    <begin_posting_date>2016-01-01</begin_posting_date>
    <end_posting_date>2016-01-30</end_posting_date>
    <number_of_records_transmitted>5</number_of_records_transmitted>
  </header_record>
  <detail_record>
    <contact_id>Abel</contact_id>
    <cnsmr_age_grp_cd>ab1</cnsmr_age_grp_cd>
    <call_tpc_cd_1></call_tpc_cd_1>
    <call_tpc_cd_2></call_tpc_cd_2>
    <call_tpc_cd_3></call_tpc_cd_3>
    <call_tpc_cd_4></call_tpc_cd_4>
    <call_tpc_cd_5></call_tpc_cd_5>
    <call_tpc_cd_6></call_tpc_cd_6>
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    <call_tpc_cd_20></call_tpc_cd_20>
    <call_type></call_type>
    <contact_date></contact_date>
    <contact_disability_type1></contact_disability_type1>
    <contact_disability_type2></contact_disability_type2>
    <contact_disability_type3></contact_disability_type3>
    <contact_disability_type4></contact_disability_type4>
    <contact_disability_type5></contact_disability_type5>
    <initiated_contact></initiated_contact>
    <cnsmr_prmry_id></cnsmr_prmry_id>
  </detail_record>
</submission>

```

Messaging Within the LTCare IES

Email messages will be sent during the following processes:

- When the application has finished all edit processing.

- When the file cannot be processed.
- When the application has finished a purge request.
- When the application has finished certifying a file.

Upon initial login: The LTCare IES displays the “Home Page Menu Panel” on the left quarter of the screen and the Message Center on the remainder of the screen. This is to make sure you always visit the Message Center.

Accessing On-line Documentation

Select the “Documentation” link from the menu bar on the left side of the main menu. Clicking that link brings you to the Documentation area.

Figure 27: Documentation Menu



To open, save, and/or print a document, follow the steps outlined in this implementation guide.

Accessing Frequently Asked Questions (FAQ)

- Select the “FAQ” link from the menu bar on the left side of the main menu.
- Clicking that link brings you to the FAQ area.

CHANGE LOG

Date	Changes	Changed By	Remarks/Reason
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3/24/2017	Updated text and figures to represent changes and enhancements made since the last update.	Nancy Crawford	We are moving away from Encounter Reporting because many of the programs we serve do not have encounters.
3/24/2017	Moved the instruction section for XML construction to the Implementation Guide.	Nancy Crawford	Technical staff will build the XML file.
4/21/2017	Moved the considerations that MCOs/agencies should think about before planning for the implementation guide.	Nancy Crawford	Technical staff more likely to review these considerations.
5/31/17	FAQ moved to its own document so that implementation guide does not need to be changed as often.	Nancy Crawford	
6/1/2017	User and Implementation Guides are listed by waiver and non-waiver programs to be applicable to organizations that report incidences, contacts, etc.	Nancy Crawford	
8/4/2017	Charles and Nancy reviewed the changes from the EIA and made a few updates with new information. After EIA approves, this document will be available on the IES Documentation Menu.	Nancy Crawford and Charles Rumberger	The other User and Implementation Guides will incorporate EIA suggestions.