

# Indicated Prevention File Specification FY2021

Effective July 1, 2020

## Division of Substance Abuse and Mental Health

Updated 3/3/2020

### Change Log

<b>DATE</b>	<b>AUTHOR</b>	<b>VERSION</b>	<b>NOTES</b>
3/3/2020	Justin Hyatt	2.1	Changed "Client ID" Field Name (Field 3) into "Provider Client ID."
4/3/2019	Kimberlie Raymond	2.0	Added a Nonbinary option to gender to identify client's gender.
5/11/2017	Ryan Carrier	1.0	Created initial draft

## Introduction:

The purpose of this file is to allow providers to submit Indicated Prevention data to the Division.

## Client Name Validation Rules:

The file has fields for the following parts of a name:

- Last name
- First name
- Middle name

### Naming Rules:

Names can be entered in upper case, lower case, or a mix.

**Spaces:** Allowed in first and middle names. NOT allowed in last names.

*Example: Mc Donald should be entered as McDonald*

*De La Cruz should be entered as DeLaCruz*

*Example: Le Ann Mary Ann Mc Cartney*

*Can be entered as:*

*First: Le Ann*

*Middle: Mary Ann*

*Last: Mc Cartney*

**Hyphens:** Allowed in first, middle and last names. It is the only punctuation character allowed.

*Examples:*

*(last name) Smith-Jones should be entered as Smith-Jones*

*(first name) Jo-Ann should be entered as Jo-Ann*

*(last name) O'Rilley should be entered as ORilley*

*(last name) St. James should be entered as StJames*

*(first name) D'Ann should be entered as DAnn or D Ann*

**Numeric characters:** Not allowed in any name

**First name is an initial:** The initial can be entered in the first name field but no periods.

**Middle name:** If there is no middle name or it is not available, leave blank. Supply the full legal middlename where possible and the middle initial if that is all that is available. Periods are not allowed.

**Second name:** Enter the second name in the middle name field

*Example: J. Edgar Hoover*

*First name: J (no period)*

*Middle name: Edgar*

*Last Name: Hoover*

**Enter legal names rather than nicknames**

*Example: "Bill" should be entered as William*

*"Bob" should be entered as Robert*

“C.J.” should be entered as Carlos as a first name and James as the middle name

**Naming rules synopsis:**

<b>Character</b>	<b>Last Name</b>	<b>First and Middle Names</b>
Alpha Characters	Allowed	Allowed
Hyphen	Allowed	Allowed
Spaces	Not Allowed	Allowed
Apostrophe	Not allowed	Not allowed
Numeric Characters	Not allowed	Not allowed

**Submitting for Multiple Providers**

Recovery support files can contain data for more than one provider per file. SAMHIS backend processing engines associate data in the file to the provider ID specified on every row in the file.

**Processing Sort Rules**

Sorting as follows with subsequent sort rules applying within the ‘parent’ sort rule.

- System Trans Type (Delete, Add and then Change)
- Provider ID (alphanumeric ascending)
- client ID (provider’s) (alphanumeric ascending)

**CSV File Generation Guidelines**

1. All files should be submitted without a header row.
2. It is recommended that fields **NOT** contain extra spaces for padding. For example, if a field allows 11 digits but the code values only use 3 digits then 3 digits is an acceptable width for the field. Adding the spaces only increases the size of the file and slows down uploading and processing of files.
3. Non-required fields must either be blank or contain a valid value.
4. Commas are not allowed within the data in any field. (Commas are column delimiters.)
5. Do not use quotes in any fields.
6. Do not insert blank lines between rows.

**Column Specs**

The following table lists the fields and all rules associated with those fields.

*NOTE: No blanks fields are allowed in the file except where specified in the note field.*

Field #	Field name	Codes/Allowed Values	Format	Notes
1	Unique Indicated Prevention Event ID	alphanumeric values. Must uniquely identify the service for the client and provider	string(50)	Key field - Must uniquely identify the service for the provider across all clients at the provider.
2	System Transaction Type Code	A - Add D - Delete C - Change	string(1)	Add is for adding new rows. Delete is for removing rows from SAMHIS. Submit a delete row in conjunction with an Add row to fix a key field that has changed. Change is for updating an existing row with new updated information for an existing event. Change cannot be used to fix a key field. For Add and Change system transaction type codes all fields must be supplied with valid data in each field. Only difference will be that a change record will error out if an existing event record is not already found. Change records should be sent anytime one of the data elements in the spec are modified or when needing to change a baseline (T1 or T2). For Delete records all the key fields must be supplied. The rest of the fields can be filled-in or left blank. Remember that every row must have the correct number of commas regardless of the fields provided.
3	Provider Client ID	alphanumeric values. Unique client ID for the provider	string(15)	An identifier that is from 1 to 15 alphanumeric characters and at a minimum is unique within the provider. The identifier: 1. Must NOT be reassigned to another client, 2. Can be meaningless, and 3. Must ensure confidentiality of client records 4. An individual cannot have more than one ID at a given provider
4	Provider ID	unique value for provider	string(40)	If you are unsure of what value to provide here contact a SAMHIS administrator.
5	SAMHIS Client Id	ID provided by the Division	number(10)	May be left blank. Should not have leading zeros.
6	First Name Client full legal first name		string(25)	The first name of the client. Please limit the first name to 25 letters. Any names exceeding 25 letters will be truncated to fit in the field.
7	Last Name Client full legal last name		string(30)	The last name of the client. Please limit the last name to 30 letters. Any names exceeding 30 letters will be truncated to fit.
8	Middle Name Client full legal middle name	Can be left blank	string(25)	Middle name of the client. If there is no middle name or it is not available, leave blank. Supply the full legal middle name where possible and the middle initial if that is all that is available. Periods are not allowed. May be left blank.
9	Date of Birth	Date no time mm/dd/yyyy	string(10)	
10	Gender	1=Male 2=Female 3=Nonbinary	number(1)	Identifies client's gender
11	Veteran Status	Y = Yes N = No 97 = Unknown	string(2)	This required variable is to be updated at the 6-month case review. (Have you ever or are you currently serving in the military?)
12	Social Security Number	000-00-0000 = Unknown 999-99-9999 = None	string(11) nnn-nn-nnnn	The client's social security number. SSA modified the SSN assignment rules June 25, 2011 and SSNs are assigned randomly using all available numbers except those starting 000, 666, 900-999. We will also do not allow 123-45-6789 or 099-99-9999. Valid SSNs cannot be utilized by more than 1 client.

13	Race	<p>1 = Alaskan Native  2 = American Indian  3 = Asian  4 = Native Hawaiian or Other Pacific Islander  5 = Black/African American  6 = White  7 = Unknown  8 = Two or more races  0 = Other single race</p>	number(2)	<p>Indicates the client's race. If you don't distinguish between American Indian and Alaska Native, code both as American Indian. Clients of Hispanic ethnicity are typically coded as "White" in the racial category.</p> <p><u>Alaska Native:</u> (Aleut, Eskimo, Indian) Origins in any of the original people of Alaska.  <u>American Indian:</u> (Other than Alaska Native) Origins in any of the original people of North America and South America (including Central America) and who maintain cultural identification through tribal affiliation or community attachment.  <u>Asian:</u> Origins in any of the original people of the Far East, the Indian subcontinent, Southeast Asia, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Philippine Islands, Thailand, Vietnam.  <u>Native Hawaiian or Other Pacific Islander:</u> Origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.  <u>Black or African American:</u> Origins in any of the black racial groups of Africa.  <u>White:</u> Origins in any of the original people of Europe, North Africa or the Middle East.  <u>Two or more races:</u> Use this code when your system collects multiple races and does not have a way to designate a primary race.  <u>Other single race:</u> Use this category for instance in which the client is not classified in any other category or whose origin group, because of area custom is regarded as a racial class distinct from the above categories.  (DO NOT use this category for clients indicating multiple races.)</p>
14	Ethnicity	<p>1=Puerto Rican  2=Mexican  3=Cuban  4=Other  5=Not of Hispanic Origin  7=Unknown</p>	number(1)	<p>Identifies the specific Hispanic Origin.  Puerto Rican: Of Puerto Rican origin regardless of race.  Mexican: Of Mexican origin regardless of race.  Cuban: Of Cuban origin regardless of race.  Other Specific Hispanic: Of known or unknown Central or South American or any other Spanish cultural origin (including Spain), other than Puerto Rican, Mexican or Cuban, regardless of race.</p>
15	Pre-test Score	0-100 = Score	number(3)	<i>Not Required</i>
16	Post-test Score	0-100 = Score	number(3)	<i>Not Required</i>
17	Service Code	See Indicated Prevention codes on website)	string(10)	
18	Service Date	Date no time mm/dd/yyyy	string(10)	Date service was provided
19	Service Unit	Hours	string(7) NNN.NN	Hours may be expressed in decimals (e.g., one hour forty-five minutes = 1.75).