

ISD Requirements and Design Document

Authored by AHCCCS

SSR/Task Number: 2011-0232-01

SSR/Task Title: County Jail Match

SSR Priority

- Emergency
- Urgent
- High Priority
- Scheduled Work

Requestor(s) Name: Dawn O'Dell

Requestor(s) Phone 417-4644

Requesting State: AZ HI

Non-Requesting State:

- AZ HI
- Implementing
- Regression Test Only
- Not Applicable

Subsystem Recipient

Date Completed 9/23/2011

Planned Release Date 12/9/2011

Developed By Robert Heppler

TABLE OF CONTENTS

Requirements and General Design Portion.....	3
A. Requirements and General Design Approvers.....	4
B. Business Need / Problem	5
C. Scope.....	5
D. Business Benefits / Impact	5
E. Business Cases with Expected Outcomes.....	5
F. Detailed Requirements	6
1. County/PMMIS Incarceration Daily.....	6
G. General Design	8
H. Input and Output Layouts	10
1. Input match file layout.....	10
2. Output Response Match File Layout.....	11
3. Partial Match Report Layout.....	Error! Bookmark not defined.
4. Report of Matched Records	Error! Bookmark not defined.
I. Process Flow Diagram(s).....	Error! Bookmark not defined.
J. Potential Impacts	Error! Bookmark not defined.
K. Significant Dates and Hours Estimates.....	Error! Bookmark not defined.
L. Special Roles/Responsibilities	14
M. Issues and Questions	14
N. Requirements Assumptions.....	14
O. Constraints.....	14
P. Glossary	14
Q. Requirements Attachments.....	14
Detail Design Portion.....	Error! Bookmark not defined.
A. Change Management	Error! Bookmark not defined.
B. Scope.....	Error! Bookmark not defined.
C. Final Impacts.....	Error! Bookmark not defined.
D. Edit/Reference Table Updates	Error! Bookmark not defined.
E. Database Updates.....	Error! Bookmark not defined.
F. Impacted Components.....	Error! Bookmark not defined.
G. Detail Design.....	Error! Bookmark not defined.
1. County/PMMIS Incarceration Daily.....	Error! Bookmark not defined.
H. Estimate	Error! Bookmark not defined.
I. Design Assumptions	Error! Bookmark not defined.
J. Design Attachments	Error! Bookmark not defined.
K. Detail Design Approvers	Error! Bookmark not defined.

Requirements and General Design Portion

For Review and Approval by ISD Customers

DRAFT

A. Requirements and General Design Approvers

Customer Stakeholders

Dawn O'Dell	AHCCCS (Arizona) Requestor/Customer
N/A	MED-QUEST (Hawaii) Requestor/Customer

ISD Stakeholders

Dennis Koch	ISD Project Manager	
Stacy Westerholm	ISD Testing Representative	<input checked="" type="checkbox"/> Testing Planned <input type="checkbox"/> Testing Bypassed
Vince Swiebocki	ISD Operations/Computer Services	

B. Business Need / Problem

Combine SSR 2010-0206 (Maricopa Daily Incarcerations) and 2011-0103 (Prisoner Excep Code) under this one SSR.

Old SSR 2009-0236 created a process to suspend enrollments based on information from Pima County Jails.

Other counties are interested in sending us data of their incarcerated population so that we can suspend the enrollment while the person is incarcerated. Each county will need a unique exception code and each county should work the same. As of today the counties showing interest are Coconino, Gila, Yuma, Navajo and Maricopa.

This SSR will focus on the 5 counties mentioned but the programs and processing must be designed to allow for new counties to be incorporated in an easy and convenient fashion.

A file must be sent every day, if there are no records on a given day a one record file will be sent with 'NO RCRDS' in the BKG-NBR field.

C. Scope

Each participating County will send a daily file of booking and releases to AHCCCS. The data files will be received through the AHCCCS Secure EFT (Enhanced File Transfer) and outputs will be placed on the EFT. The data will be matched against the AHCCCS system to change enrollment information on the county inmates. Each County will utilize the same required input and output layouts. See the Input and Output Layouts in Section H of this document.

The enrollment in the system will be changed to a No Pay plan (CTYPRI) for the day after the booking date and will remain enrolled into the No Pay plan until notification of release.

D. Business Benefits / Impact

This will save capitation dollars when members are inmates of a county institution and will allow members to obtain services upon their release from jail.

E. Business Cases with Expected Outcomes

Input test files will be required for each participating County. The output files will be built in a comma delimited format; will contain all input fields plus a match indicator. Any records that partially match will be reported for review, by AHCCCS staff. Complete matched booking records (using standard overlay, RP90L006) will terminate the existing enrollment and create a new CTYPRI enrollment record. Complete matched release records will terminate the CTYPRI enrollment record and re-enroll the member based on enrollment rules.

Exception codes will be created or updated based on booking type and the county code.

Example of update:

Medicaid individual enrolled in PHP is taken into custody on 10/20 and is still in jail on 10/21 and so is on the file to AHCCCS on 10/22 with a booking date of 10/20.

On 10/22 the individual is disenrolled 10/20 from PHP and enrolled in Non Pay 10/21.

On 11/05 the individual is released and is on the 11/06 file.

The individual will be disenrolled from the Non Pay plan 11/04 and enrolled in PHP 11/05.

F. Detailed Requirements

1. County/PMMIS Incarceration Daily

- 1.1 Get County incarceration file from the ETF server on a daily basis (Will be received around 5.pm daily, before the recipient critical daily cycle). For file layout see H.1.
- 1.2 One unique exception code for each Arizona County. Not every county will be ready to participate at this time. Updates to RF539.

1.2.1 AP	APACHE COUNTY INMATES
1.2.2 CC	COCONINO COUNTY INMATES
1.2.3 CO	COCHISE COUNTY INMATES
1.2.4 GH	GRAHAM COUNTY INMATES
1.2.5 GL	GILA COUNTY INMATES
1.2.6 GR	GREENLEE COUNTY INMATES
1.2.7 LP	LA PAZ COUNTY INMATES
1.2.8 MC	MARICOPA COUNTY INMATES
1.2.9 MH	MOHAVE COUNTY INMATES
1.2.10 NV	NAVAJO COUNTY INMATES
1.2.11 PM	PIMA COUNTY INMATES
1.2.12 PN	PINAL COUNTY INMATES
1.2.13 SC	SANTA CRUZ COUNTY INMATES
1.2.14 YU	YUMA COUNTY INMATES
1.2.15 YV	YAVAPAI COUNTY INMATES

- 1.3 Process each County incarceration record and write it back in the AHCCCS/County response match daily file (For file layout see H.2). Every County Response record will contain not only the data that was on the input record but will also include a return-code to show the results of the match. Response file will be in comma delimited format (comma after every field).

The possible return code values are as follows:

- 1.3.1 'R' = INVALID RECORD
- 1.3.2 'P' = PARTIAL MATCHED
- 1.3.3 'M' = MATCHED
- 1.3.4 'N' = NO MATCH FOUND
- 1.3.5 'X' - MATCHED BUT NOT PROCESSED, FOR 'B' (booking type) RECORD it means "NO CURRENT ELIGIBILITY AND ENROLLMENT FOUND". , FOR 'R' (release type) RECORD it means "NOT IN A CTYPRI PLAN OR NO CURRENT ELIGIBILITY AND ENROLLMENT"
- 1.3.6 'E' = EMPTY FILE

1.4 Process each incarceration input record in the following order:

- 1.4.1 Perform edit checks on various fields making sure they are in the right format (DOB, BKG-DATE (booking), RLS-DATE (release)) or valid values (SEX, TYPE, RTOA). Edit if BKG-DATE exist and valid for TYPE = 'B' (booking) and edit if RLS-DATE exist and valid for TYPE = 'R' (release). If the record fails any of the edits, write the record to the Response File with the invalid record return code. See #1.3.
DOB-MM/DD/YEAR; Booking date-MM/DD/YY; Release date-MM/DD/YY;
TYPE-B or R; Sex-M or F; RTOA-Y or N, Space ok if booking record.
- 1.4.2 The file has one record with a value of 'NO RCRDS' in the BKG-NBR field there is nothing to be processed. Returned response file will right that record back with a value of 'E' in the RETURN-CODE field.
- 1.4.3 The record passes the edit step; the dup overlay match program RP90L006 will be called using the last name, first name, gender and DOB.
- 1.4.4 Only records that fully match PMMIS data can update PMMIS information. Records that partially matched PMMIS recipients will be written to the Response File with RETURN-CODE = 'P', will not update PMMIS and will be listed on a Partial Matched Record Report. Records that did not match any PMMIS recipient will be written to the Response File with RETURN-CODE = 'N' and will not update PMMIS.
- 1.4.5 If full match is found in PMMIS, check if current eligibility and enrollment exist, if no current eligibility and enrolment exist don't process the record and set the value of the RETURN-CODE = 'X'.
- 1.4.6 If full match is found in PMMIS and current eligibility and enrollment exist and the record type is equal = 'B' (Booking record) perform the following:
If already in the 'CTYPRI' health plan, check for inmate exception code, update or add to insure that the correct inmate exception code exists for the updating county record, set up the RETURN-CODE = 'M' and process next record. Note: only one open exception code is valid a time.

If not already enrolled in the 'CTYPRI' health plan, dis-enroll the current enrollment as of the Booking date and inactivate prospective lines of enrollment if any is found. Create a new 'IE' 'A' transaction record for the enrollment process. Create an enrollment record with HP-ID = 'CTYPRI' and create an inmate exception record that corresponds with the County with a begin date = booking date + 1 day, set up the output RETURN-CODE = 'M'.

Only one Inmate Exception Code may exist on any day. Before adding any new inmate Exception Code, check for an existing inmate exception and terminate it.

- 1.4.7 If full match is found in PMMIS and current eligibility and enrollment exist and the record type is equal = 'R' (Release record) and RTOA (release to other agency) field = 'N' then the following will be checked:
If the current enrollment is not with the 'CTYPRI' health plan, do not process this record and set up the RETURN-CODE = 'X'.

If his current enrollment is 'CTYPRI' health plan dis-enroll the 'CTYPRI' enrollment with end date = release date - 1 day, and term the inmate exception record with that same end date. Set up the RETURN-CODE = 'M'. Create an 'EL' 'R' action record with date

of release as begin date and let RP90L700 enroll it into the proper HP-ID and create BHS (Behavioral Health Services) if applicable.

- 1.4.8 Some Basic Enrollment rules that will be followed: RP160 (Enrollment Screen)
If the booking date is less than current RP160 begin date, need to deactivate the enrollment and enroll into CTYPRI to replace the deactivated enrollment.

If booking date is less than current RP160 begin date, but old period of RP160 intersects the booking date with no gap with current enrollment, deactivate the old enrollment and rebuild equal to booking date then add CTYPRI starting with day following booking date.

If booking date is less than current RP160 begin date but old period of RP160 intersect the booking date but with gap with current enrollment, deactivate the old enrollment and rebuild equal to booking date then add CTYPRI as of day following the booking date and replace the enrollment after the gap with CTYPRI.

- 1.5 When CYTPRI enrollment is created check for existing BHS to terminate and create the TM action code. When released the system will process enrollment rules which will also build BHS when applicable. (**There have been Major BHS changes over last year a phase II is in the works, as of now leave Inmate match as is regarding BHS data, currently it is not updated in this process).**)
- 1.6 Upon completion of the incarceration match process, put the Response File on the ETF server for the agency that sent the input to pick up. The Response file is a comma delimited file (each individual field is followed by a comma).

G. General Design

Requirement(s): 1

1. Set up File location for each County input and output files to AHCCCS. Set up Daily processing Schedules to run around 5pm. Input file layout is detailed in H.1.
2. Update Recipient Exception Code Reference with the new County Inmate exceptions (RF539).
3. Every Input Record will be checked against PMMIS and every record will be returned on the Response file with Code to let against know the match results.
'R' = INVALID RECORD
'P' = PARTIAL MATCHED
'M' = MATCHED
'N' = NO MATCH FOUND
'X' = MATCHED BUT NOT PROCESSED, FOR 'B' (booking type) RECORD it means "NO CURRENT ELIGIBILITY AND ENROLLMENT FOUND". , FOR 'R' (release type) RECORD it means "NOT IN A CTRPRI PLAN OR NO CURRENT ELIGIBILITY AND ENROLLMENT"
'E' = EMPTY FILE
4. The Input File is sorted in Record Type order before processing. All 'B' (Booking) records are matched first and then all 'R' (Release) records are matched.
 - a. Does Basic edit checks on various fields making sure they are in the right format (DOB, BKG-DATE (booking), RLS-DATE (release)) or valid values (SEX, TYPE, RTOA). Edit if BKG-DATE exist and valid for TYPE = 'B' (booking) and edit if RLS-DATE exist and valid for TYPE = 'R' (release). If the record fails any of the edits,

write the record to the Response File with the invalid record return code. DOB-MM/DD/YEAR; Booking date-MM/DD/YY; Release date-MM/DD/YY; TYPE-B or R; Sex-M or F: RTOA-Y or N, Space ok if booking record.

- b. We should always get a file, if no activity (no bookings and no releases) we should get a file with one record and a value of 'NO RCRDS' in the BKG-NBR field, that will be our indication that nothing to process. Returned response file will right that record back with a value of 'E' in the RETURN-CODE field
- c. All records that pass the basic edits are then matched against PMMIS using our standard duplicate check program RP90L006 (Dup/Overlay), the required data items to call RP90L006 are the last name, first name, gender and DOB
- d. Only records that fully match PMMIS data will update PMMIS information and are also written to the Response file, the RETURN-CODE is determined by other data verifications (see 'e' and below). Create a file or report of full matches with AHCCCS ID for internal verification and auditing of any updates.
Records that partially matched PMMIS recipients will be written to the Response File with RETURN-CODE = 'P', will not update PMMIS and will be listed on a Partial Matched Record Report.
Records that did not match any PMMIS recipient will be written to the Response File with RETURN-CODE = 'N' and will not update PMMIS.
- e. If full match is found in PMMIS, but the member does not have eligibility or enrollment on the booking/release dates there is nothing to update. Set the value of the RETURN-CODE = 'X'.
- f. If Booking Record and full match and the member has current eligibility or enrollment on the booking, update the member as follows.
Set the RETURN CODE = 'M' (matched).
If already enrolled in 'CTYPRI' health plan, create/update the exception code record(s) to insure that only one exception code exists for a given day. The new Exception code will be built with the begin date = booking date + 1.
If not enrolled in 'CTYPRI' plan, END-DATE the current enrollment as of Booking date and inactivate any prospective enrollment if found. Create a new 'IE' 'A' transaction record. Create a New enrollment record with HP-ID = 'CTYPRI' and the exception code record that will begin as of booking date + 1.
Only one Inmate Exception Code may exist on any day. Before adding a new inmate Exception Code, check for an existing inmate exception (any county) and terminate the existing inmate exception code.
- g. If Release Record and full match record with current eligibility and enrollment and RTOA (release to other agency) field = 'N' then the following will be checked:
If current enrollment is not 'CTYPRI' plan, do not process this record and set up the RETURN-CODE = 'X'.
If current enrollment is 'CTYPRI' plan disenroll 'CTYPRI' enrollment with end date = release date - 1 day, and term the exception record with the same date as enrollment end date. Set up the RETURN-CODE = 'M'. Create an 'EL' 'R' action record that begins as of release date. Normal Enrollment rules will place the member into a valid health plan.
- h. Must Follow Basic Enrollment Rules.
Do not terminate an Enrollment record if the begin date is after the expected termination date, the Enrollment gets inactivated.
EXAMPLE: If the booking date is less than current enrollment begin date, need to inactivate the enrollment and enroll into CTYPRI to replace the inactivated

enrollment.

If booking date is less than current enrollment begin date, but an older period of enrollment intersects the booking date with no gap with current enrollment , inactive the old enrollment and rebuild equal to booking date then add CTYPRI starting with day following booking date.

If booking date is less than current enrollment begin date but an older period of enrollment intersect the booking date but with gap with current enrollment, deactivate the old enrollment and rebuild equal to booking date then add CTYPRI as of day following the booking date to the end of the interesting enrollment and replace the enrollment after the gap with CTYPRI.

5. When CTYPRI enrollment is added, terminate existing BHS data and create TM action record. When CTYPRI enrollment is terminate, enrollment rules will determine if the member will be enrolled back into an AHCCCS plan as well as BHS. **(There have been Major BHS changes over last year a phase II is in the works, as of now leave Inmate match as is regarding BHS data, currently it is not updated in this process).**
6. The output files will be sent in comma delimited format (a comma will be present as a separator for each field).

H. Input and Output Layouts

1. Input match file layout.

Associated Requirement(s): 1 – Input Record Length=87. File name **CCYYMMDD.TXT**

Field Name	Size	Description	Starting Position
TYPE	1	Record Type. R=RELEASE, B=BOOKING	1
BKG-NBR	9	Inmate's Booking Number, (Changes with every new Booking)	2
LAST-NAME	20	Inmate Last Name	11
FIRST-NAME	10	Inmate First Name	31
MID-INIT	1	Inmate Middle Initial	41
DOB	10	Inmate Date of Birth	42
SEX	1	Gender(M or F)	52
BKG-DATE	8	Date of Booking	53
RLS-DATE	8	Date of Release	61
RTOA	1	Inmate Released to another institution. (Y, N, or '_')	69
OTHER-AGENCY	15	Location of other institution	70
CODE	3	County Code	85

Additional File information:

TYPE - The output records are listed Releases first, then Bookings. Legal values for this column are "R" for release data and "B" for booking data.

BKG_NBR - The Booking Number is a number assigned to an inmate when he is initially booked. The inmate is assigned a new booking number every time he is brought in and booked.

RTOA - This field denotes that the inmate has been released to another agency. If this field shows "Y", then the next field (field 11) will show the agency the inmate was released to. If the field shows "N", the release occurred without having to release him to another agency.

OTHER_AGENCY - If RTOA (above) shows "Y", this is the name of the other agency to which the inmate was released. The data for this field is entered into the source database as a free text field.

CODE – The County Codes for each County:

APACHE '001'
COCHISE '003'
COCONINO '005'
GILA '007'
GRAHAM '009'
GREENLEE '011'
MARICOPA '013'
MOHAVE '015'
NAVAJO '017'
PIMA '019'
PINAL '021'
SANTA CRUZ '023'
YAVAPAI '025'
YUMA '027'
LA PAZ '029'

All records were created on a UNIX system and are terminated with a single NEWLINE character ("\n"), carriage return and must be **MS DOS text compatible**.

Booking records, by definition, would not normally contain the following release fields: RLS_TIME, RTOA, and OTHER_AGENCY.

In the case where no records are returned from the external agency query, a single blank record with "NO RCRDS" in the BKG_NBR field (#02) will be sent to AHCCCS.

2. Output Response Match File Layout.

Associated Requirement(s): 1 – Output Record Length=101

AZ COUNTY INCARCERATIONS
AHCCCS - RESPONSE FILE LAYOUT
YYYYMMDD.RSP

#	Field Description/FIELD NAME	Size	Comments
1	Record Type Indicator	X(01)	'R' = Release Record 'B' = Booking Record

#	Field Description/FIELD NAME	Size	Comments
2	Booking Number	X(09)	Inmates Booking Number
3	Last Name	X(20)	Inmates Last Name
4	First Name	X(10)	Inmates First Name
5	Middle Initial	X(01)	Inmates Middle Initial
6	Date of Birth	X(10)	DOB (MM/DD/YYYY)
7	Sex	X(01)	'M' = Male 'F' = Female
8	Booking Date	X(08)	Format (MM/DD/YY)
9	Release Date	X(08)	Format (MM/DD/YY)
10	Release to Other Agency	X(01)	'Y' = Released to Other Agency (Field 11 denotes Agency) 'N' = Not released to Other (Field 11 will be blank) " " For record type 'B' records
11	Other Agency	X(15)	If Field 10 shows 'Y', this Field denotes the agency to which the inmate was released
12	County Code	X(03)	County Code from AHCCCS
13	Return Code	X(01)	'N' = No match found 'M' = Record matched 'P' = Partial match 'R' = Invalid record 'X' = Matched but not processed, for 'B' type records no current eligibility and enrollment found. For 'R' type records, not in a plan or no current eligibility and enrollment. 'E' = Empty File
14	Renewal Date for member	X(08)	Format YY/MM/DD

Additional File information:

RETURN-CODES:

- 'N' No match found
- 'M' Record matched
- 'P' Partial match
- 'R' Invalid record
- 'X' Matched but not Processed, For 'B' Type Record No Current Eligibility/Enrollment
- 'X' For 'R' Type Record Not in a County Prisoner Plan or No Current Eligibility/Enrollment

'E' Empty File

Original Delivery/implementation date	12/09/2011
Planned Delivery/implementation date	12/9/2011

DRAFT

Other significant date	N/A
Initial macro hours	100
Initial estimated hours	75
Revised estimated hours	N/A

I. Special Roles/Responsibilities

Who	Role/Responsibility
ISD	Set Up EFT Folders for Each Participating County
County Institutions	Create Test Files with AHCCCS

J. Issues and Questions

N/A

K. Requirements Assumptions

- 1) The planned implementation date will be met, provided that this document is approved, by all required parties, within 5 business days of document receipt.

L. Constraints

N/A

M. Glossary

N/A

N. Requirements Attachments

From 2011-0143 (DHCM knowledge of Fix to End BHS for No Pay Plans)

20 Incarceration Issue	Members move from paid plan to non paid plan-BH assignment not being adjusted with auto process. Programs need to be updated. (1/19/11 email)	5/3 Lori will complete SSR for Phase 2 SSR number to be added to matrix for tracking purposes.
------------------------	---	--

DRAFT

ISD Stakeholders

Dennis Koch	ISD Project Manager	
Stacy Westerholm	ISD Testing Representative	<input checked="" type="checkbox"/> Testing Planned <input type="checkbox"/> Testing Bypassed
Vince Swiebocki	ISD Operations/Computer Services	

DRAFT