



Florida Department of Children and Families

Substance Abuse and Mental Health

Financial and Services Accountability Management System (FASAMS)

Pamphlet 155-2 Chapter 4 Client Data

Last Revision Date: 01/05/2020

Version 14.0



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1 General Information and Policies

1.1 Terms and Acronyms

The following table provides a list of business and technical acronyms/terms used in this document.

Acronym/Term	Definition		
DCF	Department of Children and Families		
FASAMS	Financial and Services Accountability Management System		
FEIN	Federal Tax Identification Number		
MCI	Master Client Index		
GUID	Globally unique identifier is a 32 hexadecimal digit unique reference number used as an identifier in computer software.		
ME	Managing Entity		
SAMH	Substance Abuse and Mental Health		
TANF	Temporary Assistance for Needy Families		
XML	In computing, Extensible Markup Language (XML) is a markup language that defines a set of rules for encoding documents in a format that is both human-readable and machine-readable.		

1.2 Submitting Client Data

Client demographic data must be submitted for all individuals receiving substance abuse and/or mental health services whose cost of care is funded, in whole or in part, by DCF funds (e.g. Substance Abuse and Mental Health (SAMH), Temporary Assistance for Needy Families (TANF), Local Match and Title 21).

Client data must be submitted prior to any other data submissions associated with that individual. This creates a parentchild relationship between the ProviderClient record and all other records.

Whenever the information contained in an individual's demographic record changes, FASAMS must be updated.

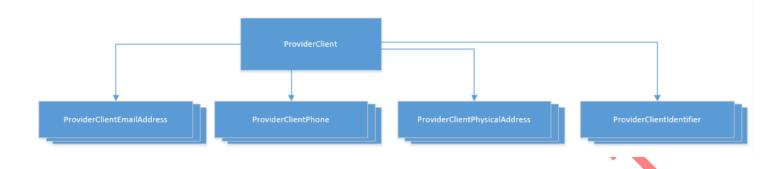
Managing Entities (ME) must require each Provider which has a contract with the ME to submit Client data directly to the Managing Entity. Managing Entities will validate and submit the data from each subcontracted Provider to DCF.

Providers that have a direct contract with DCF and state treatment facilities are required to submit Client data directly to DCF.

1.3 Client Domain Diagram

The following diagram depicts the relationships between all objects in the Client domain in the FASAMS data warehouse. Each of the objects below is an entity within the ProviderClient domain.





1.4 Crosswalk to Previous Pamphlet 155-2SAMHIS Data Elements

The table below identifies each data element in the new Client domain, and how it maps to the previous version of Pamphlet 155-2. Data elements without a corresponding Pamphlet 155-2 mapping are new, and details can be found within Section 3 of this document. Forty-five percent of elements in this data set map to the previous Pamphlet 155-2, and fifty-five percent are new.

Client Domain	Pamphlet 155-2				
ProviderClient					
UniqueClientIdentifier					
FederalTaxIdentifier	DEMO ProviderID				
SourceRecordIdentifier					
ProviderSourceRecordIdentifier					
ProviderInformationalNote					
BirthDate	DEMO DOB				
FirstName	DEMO First				
MiddleName	DEMO Middle				
LastName	DEMO Last				
SuffixName	DEMO Suffix				
GenderCode	DEMO Gender				
RaceCode	DEMO Race				
EthnicityCode	DEMO Ethnic				
Provider	ClientEmailAddress				
EmailAddress					
Provide	erClientIdentifier				
TypeCode					
Identifier	DEMO SSN				
Provid	derClientPhone				
TypeCode					
PhoneNumber					
ProviderClientPhysicalAddress					
TypeCode					
StreetAddress					
CityName					

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Client Domain	Pamphlet 155-2
StateCode	
PostalCode	
CountyAreaCode	

2 Client File Information

2.1 Naming Convention

The data set name to be used for naming the Client file is **ClientDataSet**.

When submitting files to FASAMS, files must adhere to the below 3 requirements:

- 1. The name of the data set must be the first word in the file, followed by an underscore.
- 2. The filename must be unique in the submitters set of currently uploaded and unprocessed files.
- 3. The file must end with ".xml".

In order to satisfy requirement #2 above, it is suggested to append the date and time to each file after the underscore, using the YYYYMMDDHHMMSS format.

Some example acceptable filenames would be:

- ClientDataSet_20180215083045.xml
- ClientDataSet_20180222091530.xml

Any file that does not meet this requirement will not be processed into FASAMS.

2.2 Adding Client Data

When data for a new individual is submitted to FASAMS, the Client must be set up in FASAMS before any other data can be sent. A new Client would be one where the key fields (Source Record Identifier of that client and the Federal Tax Identification Number (FEIN) of the Provider) do not currently exist in FASAMS.

The Client Data Set must include all required data for each new Client.

FASAMS will detect that the key fields don't exist in the system, and the Client data will be added.

For detailed information on how FASAMS handles add/update/delete/undo-delete, see the Tracking Changes and Submission Actions section in Chapter 1 Introduction of Pamphlet 155-2.

```
2.2.1 XML Example of Adding Client Data
```

```
<ProviderClients>
  <ProviderClients
  <SourceRecordIdentifier>ABC123</SourceRecordIdentifier>
  <FederalTaxIdentifier>XX-XXXXXX</FederalTaxIdentifier>
  <BirthDate>1979-01-02</BirthDate>
  <FirstName>Robert</FirstName>
  <MiddleName>Bob</MiddleName>
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```



<LastName>Smith</LastName> <SuffixName>III</SuffixName> <GenderCode>1</GenderCode> <RaceCode>5</RaceCode> <EthnicityCode>5</EthnicityCode> <ProviderClientIdentifiers> <ProviderClientIdentifier> <TypeCode>1</TypeCode> <Identifier>001234567</Identifier> </ProviderClientIdentifier> </ProviderClientIdentifiers> <ProviderClientPhones> <ProviderClientPhone> <TypeCode>2</TypeCode> <PhoneNumber>850-555-5555</PhoneNumber> </ProviderClientPhone> </ProviderClientPhones> <ProviderClientEmailAddresses> <ProviderClientEmailAddress> <EmailAddress>Bob.Smith@email.com</EmailAddress> </ProviderClientEmailAddress> </ProviderClientEmailAddresses> <ProviderClientPhysicalAddresses> <ProviderClientPhysicalAddress> <TypeCode>2</TypeCode> <StreetAddress>25 Street Rd.</StreetAddress> <CityName>Tallahassee</CityName> <StateCode>FL</StateCode> <PostalCode>32301</PostalCode> <CountyAreaCode>37</CountyAreaCode> </ProviderClientPhysicalAddress>4 </ProviderClientPhysicalAddresses> </ProviderClient> <ProviderClient> <SourceRecordIdentifier>CDE123456789</SourceRecordIdentifier> <FederalTaxIdentifier>XX-XXXXXXXX/FederalTaxIdentifier> <BirthDate>1980-11-02</BirthDate> <FirstName>Bill</FirstName> <MiddleName>W</MiddleName> <LastName>Smith</LastName> <SuffixName>II</SuffixName> <GenderCode>1</GenderCode> <RaceCode>5</RaceCode> <EthnicityCode>5</EthnicityCode> <ProviderClientIdentifiers> <ProviderClientIdentifier> <TypeCode>1</TypeCode> dentifier>456789123</Identifier> </ProviderClientIdentifier> </ProviderClientIdentifiers> <ProviderClientPhones> <ProviderClientPhone> <TypeCode>2</TypeCode> <PhoneNumber>850-555-5511/PhoneNumber> </ProviderClientPhone> </ProviderClientPhones>



<ProviderClientEmailAddresses> <ProviderClientEmailAddress> <EmailAddress>Bill.Smith@email.com</EmailAddress> </ProviderClientEmailAddress> </ProviderClientEmailAddresses> <ProviderClientPhysicalAddresses> <ProviderClientPhysicalAddress> <TypeCode>2</TypeCode> <StreetAddress>27 Street Rd.</StreetAddress> <CityName>Tallahassee</CityName> <StateCode>FL</StateCode> <PostalCode>32301</PostalCode> <CountyAreaCode>37</CountyAreaCode> </ProviderClientPhysicalAddress> <ProviderClientPhysicalAddress> <TypeCode>1</TypeCode> <StreetAddress>28 Street Rd.</StreetAddress> <CityName>Tallahassee</CityName> <StateCode>FL</StateCode> <PostalCode>32301</PostalCode> <CountyAreaCode>37</CountyAreaCode> </ProviderClientPhysicalAddress> </ProviderClientPhysicalAddresses> </ProviderClient> </ProviderClients>

2.3 Updating Client Data

When data for an existing individual has changed, the information in FASAMS must be updated. An existing Client would be one where the key fields (Source Record Identifier of that client and the Federal Tax Identification Number (FEIN) of the Provider) exist in the FASAMS system.

For updates, the entire Client record set can be sent, or only those data elements that need to be updated. If only the changed data elements are sent, the data set must include the key fields for the Client, and the key fields for the specific Client entity that is being updated.

FASAMS will automatically determine which data elements were changed, and only update those elements.

For detailed information on how FASAMS handles add/update/delete/undo-delete, see the Tracking Changes and Submission Actions section in Chapter 1 Introduction of Pamphlet 155-2.

2.3.1 XML Example of Updating Client Data

The XML example for updating an individual is the same as for adding a Client, if the entire Client record set is being sent. The example below indicates how to send only a portion of the Client record set for updating.

```
2.3.1.1 Update a Client Address
```

```
<providerClients>
    <providerClient>
        <SourceRecordIdentifier>ABC123</SourceRecordIdentifier>
        <FederalTaxIdentifier>XX-XXXXXX</FederalTaxIdentifier>
        <ProviderClientPhysicalAddresses>
```



2.4 Deleting Client Data



If Client data has been submitted in error, it can be deleted in whole or in part by using the Action attribute of the XML file. The data will not be physically deleted from FASAMS but will be marked as deleted and will become unusable.

The Client Data Set must include the key fields for the Client, and the key fields for the specific Client entity that is being deleted. The Action attribute must be set to "delete" for the specific Client entity that is being deleted. Key fields are identified in the entity section below.

If a Client is specified to be deleted, all child records for that Client will be deleted as well.

For detailed information on how FASAMS handles add/update/delete/undo-delete, see the Tracking Changes and Submission Actions section in Chapter 1 Introduction of Pamphlet 155-2.

2.4.1 XML Example of Deleting Client Data

```
2.4.1.1 Entire Client
<ProviderClients>
  <ProviderClient action="delete">
    <SourceRecordIdentifier>ABC123</SourceRecordIdentifier>
    <FederalTaxIdentifier>XX-XXXXXXX</FederalTaxIdentifier>
  </ProviderClient>
</ProviderClients>
2.4.1.2 Client's Identifier
<ProviderClients>
  <ProviderClient>
    <SourceRecordIdentifier>ABC123</SourceRecordIdentifier>
    <FederalTaxIdentifier>XX-XXXXXXX</FederalTaxIdentifier>
       <ProviderClientIdentifiers>
         <ProviderClientIdentifier action="delete">
           <TypeCode>1</TypeCode>
         </ProviderClientIdentifier>
      </ProviderClientIdentifiers>
  </ProviderClient>
</ProviderClients>
```

2.5 UnDo-Deletion

If Client data is mistakenly deleted, it can be re-instated by using the Action attribute of the XML file. The data that was previously marked as deleted will be unmarked and will become usable again.



The Client Data Set must include the key fields for the Client, and the key fields for the specific Client entity that is being re-instated. The Action attribute must be set to "undo-delete" for the specific Client entity that is being re-instated. Key fields are identified in the entity section below.

For detailed information on how FASAMS handles add/update/delete/undo-delete, see the Tracking Changes and Submission Actions section in Chapter 1 Introduction of Pamphlet 155-2.

2.5.1 XML Example of UnDo-Delete

```
<providerClients>
    <providerClient action="undo-delete">
        <SourceRecordIdentifier>ABC123</SourceRecordIdentifier>
        <FederalTaxIdentifier>52-0000001</FederalTaxIdentifier>
        </ProviderClient>
    </ProviderClients>
```

3 Client Entities

This section defines the entities involved in the Client data set.

Entities that are under contract with DCF to provide SAMH services are required to submit client records in compliance with §394.74(3)(e), Florida Statutes.

3.1 ProviderClient (Required)

3.1.1 Description

A provider client represents a provider's record of demographic information for an individual serviced by the provider. A provider client will be uniquely identified in FASAMS by the Provider's internal system identifier and FEIN for the provider, and, separately by the unique client identifier for the individual once a client record is created. Providers are required to submit a unique internal system identifier for each individual. The internal system identifier will be used to help providers obtain the unique client identifier that is assigned to each individual by DCF's Master Client Index (MCI) process. Therefore, no two client records shall be sent with the same internal system identifier and FEIN. And, no two client records shall be sent with the same MCI unique client identifier.

3.1.2 Key Fields

The fields in this entity that will be used to uniquely identify a record, to determine whether to create or update an existing record, and to be used to delete an existing record are:

Fie	eld	
SourceReco	rdldentif	ier
FederalTax	dentifier	

3.1.3 Additional Business Rules & Guidance

1. If the UniqueClientIdentifier is already known, then it must be sent.



2. When new clients are created in FASAMS and a UniqueClientIdentifier is assigned to that client, submitters must login to the FASAMS web-based portal and retrieve the UniqueClientIdentifier, so that future updates to the client contain the correct UniqueClientIdentifier.

3.1.4 Fields

The fields in the provider client entity, along with a value type, description, and associated validation rules for each are:

Field	Value Type	Description/Validation Rules
UniqueClientIdentifier	string	The unique client identifier assigned by the state's master client index process to uniquely identify the individual receiving treatment. • Required if known • Must be unique.
FederalTaxIdentifier	string	 The unique FEIN of the facility that provides services under contract with the managing entity, direct contract with DCF or of the state treatment facility. Required. Record will be rejected if this field is blank or fails validation. Must match the FederalTaxIdentifier for a single Provider already set up in FASAMS.
SourceRecordIdentifier	string	 The provider's internal system identifier for the individual. Required Must be unique for the FederalTaxIdentifier. Must be 100 characters or less. The SourceRecordIdentifier must be a unique identifier for this record in the source system. It must be a value that is unique and never changes. Examples of unique identifiers are Identity, AutoNumber or GUID. If the source system does not have a unique identifier, one can be constructed. A constructed SourceRecordIdentifier might contain the values that make this record unique, separated by a delimiter. If a SourceRecordIdentifier is constructed, the best practice would be to store and retain this value so that it can be easily referenced when sending updated information. For example, if a SourceRecordIdentifier contains an admission date, and you later change the value of the admission date on the record in the source system, the SourceRecordIdentifier that had previously been sent with the old admission date must still be used to identify that record. If you reconstruct the SourceRecordIdentifier using the new value, FASAMS would see this as a new record, and you be unable to update the original record. A unique identifier for this record might contain: the UniqueClientIdentifier or the individual's SSN.
ProviderSourceRecordIdentifier	<u>string</u>	This field should be used for Provider originated Source Record Identifier when it is not used as the primary SRI. If the Provider originated Source Record Identifier is used for the primary SRI, then this field can be left blank. • Optional • Must be 100 characters or less



Field	Value Type	Description/Validation Rules
ProviderInformationalNote	<u>string</u>	This field is for the Provider's general use only and should be populated based on the direction from the Provider.
		Optional Must be 100 characters or less
BirthDate	date	Birth date of the individual.
		 Required Must be in a valid date format. Refer to Appendix 2 Common Data Types in Pamphlet 155-2.
		Must be less than the current date.
		 Cannot be greater than 150 years from the current date.
FirstName	string	 The first name of the individual. Required Must be 100 characters or less. Must not contain special characters that are generally not acceptable as part of a name. Only lower case and upper case letters, spaces, hyphens and apostrophes will be permitted in these fields.
MiddleName	string	The middle name of the individual.
		 Optional Must be 100 characters or less. Must not contain special characters that are generally not acceptable as part of a name. Only lower case and upper case letters, spaces, hyphens and apostrophes will be permitted in these fields.
LastName string		The last name of the individual.
	0	 Required Must be 100 characters or less.
	X	 Must not contain special characters that are generally not acceptable as part of a name. Only lower case and upper case letters, spaces, hyphens and apostrophes will be permitted in these fields.
SuffixName		The suffix name of the individual.
		Optional
		• Must be 100 characters or less.
		 Must not contain special characters that are generally not acceptable as part of a name. Only lower case and upper case letters, spaces, hyphens and apostrophes will be permitted in these fields.
GenderCode string		The code indicating the gender of the individual.
		Required
		 Must be one of the following values:
		◦ 1 for Male
		○ 2 for Female



Field	Value Type	Description/Validation Rules
RaceCode	string	The code indicating the race of the individual.
		Required
		Must be one of the following values:
		\circ 1 for White
		○ 2 for Black
		o 3 for American Indian
		○ 4 for Other
		○ 5 for Alaskan Native
		○ 7 for Asian
		\circ 8 for Native Hawaiian or Other Pacific Islander
		○ 9 for Multi-Racial
EthnicityCode	string	The code indicating the ethnicity of the individual.
		• Required
		 Must be one of the following values:
		○ 1 for Puerto Rican
		o 2 for Mexican
		o 3 for Cuban
		○ 4 for Other Hispanic
		o 5 for Haitian
		○ 6 for None of the Above
	•	o 7 for Mexican American
		 8 for Spanish/Latino

3.2 ProviderClientEmailAddress (Optional)

Subentity of ProviderClient

3.2.1 Description

A provider client email address represents a unique email address for a specific individual. An individual can have multiple email addresses. An email address will be uniquely identified in FASAMS by the provider client record, and the email address. Therefore, no two client email address records should be sent with the same email address for the same provider client.

3.2.2 Key Fields

The fields in this entity that will be used to uniquely identify a record, to determine whether to create or update an existing record, and to be used to delete an existing record are:





3.2.3 Additional Business Rules & Guidance

- 1. It is optional to send client email addresses for an individual.
- 2. Since the email address is the key field for this entity, in order to change an email address, the existing email address record must be deleted, and a new email address record submitted.
- 3. If the individual is a minor, the contact information in this entity should reflect the contact information of the parents or legal guardian.

3.2.4 Fields

The fields in the client email address entity, along with a value type, description, and associated validation rules for each are:

Field	Value Type	Description/Validation Rules
EmailAddress	string	The email address for the individual. • Required • Optional • Must be 255 characters or less.

3.3 ProviderClientIdentifier (Required

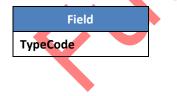
Subentity of ProviderClient

3.3.1 Description

A provider client identifier represents a particular identifier for an individual other than the identifiers sent at the provider client level itself. A provider client can contain multiple provider client identifier records. A provider client identifier will be uniquely identified in FASAMS by the provider client record, and the identifier type code. Therefore, no two provider client identifier records can be sent with the same identifier type for the same provider client.

3.3.2 Key Fields

The fields in this entity that will be used to uniquely identify a record, to determine whether to create or update an existing record, and to be used to delete an existing record are:





3.3.3 Additional Business Rules & Guidance

- 1. If an individual's Social Security Number (i.e. SSN) is known then a ProviderClientIdentifier of type 'Social Security Number' must be provided and must be in a valid SocialSecurityNumber format. Refer to Appendix 2 Common Data Types in Pamphlet 155-2.
- 2. If an individual's Social Security Number (i.e. SSN) is not provided then a ProviderClientIdentifier of type 'Pseudo Social Security Number' must be provided and must be in a valid PseudoSocialSecurityNumber format. Refer to Appendix 2 Common Data Types in Pamphlet 155-2.
- 3. If an individual's Medicaid Number is known, then a ProviderClientIdentifier of type 'Medicaid Number' must be provided.

3.3.4 Fields

The fields in the provider client entity, along with a value type, description, and associated validation rules for each are:

Field	Value Type	Description/Validation Rules		
TypeCode	string	The code indicating the type of identifier.		
		Required		
		 Must be one of the following values: 		
		 1 for Social Security Number 		
		 2 for Medicaid Number 		
		 3 for Pseudo Social Security Number 		
Identifier	string	The unique value for this type, i.e. the SSN, the pseudo-SSN or Medicaid number.		
		• Required		
		Must be less than 50 characters.		

3.4 **ProviderClientPhone (Optional)**

Subentity of ProviderClient

3.4.1 Description

A provider client phone represents a unique phone number for an individual. An individual can have multiple phone numbers. A client phone will be uniquely identified in FASAMS by the client record and the phone type code. Therefore, no two client phone records should be sent with the same phone type for the same client.

3.4.2 Key Fields

The fields in this entity that will be used to uniquely identify a record, to determine whether to create or update an existing record, and to be used to delete an existing record are:



Fie	eld

TypeCode

3.4.3 Additional Business Rules & Guidance

- 1. It is optional to send client phone records for an individual.
- 2. If the individual is a minor, the contact information in this entity should reflect the contact information of the parents or legal guardian.

3.4.4 Fields

The fields in the provider client phone entity, along with a value type, description, and associated validation rules for each are:

Field	Value Type	Description/Validation Rules
TypeCode	string	The code indicating the type of phone number.
		• Required
		Must be one of the following values:
		○ 1 for Work
		o 2 for Home
		○ 3 for Mobile
PhoneNumber	string	The phone number for the individual.
		• Required
		 Must be in the format ###-####-##### or ########### where # is a number.

3.5 ProviderClientPhysical ddress (Optional)

Subentity of ProviderClient

3.5.1 Description

A client physical address represents a unique physical address for an individual. An individual can have multiple physical addresses. A physical address will be uniquely identified in FASAMS by the client record and the physical address type code. Therefore, no two physical address records should be sent with the same address type for the same client.

3.5.2 Key Fields

The fields in this entity that will be used to uniquely identify a record, to determine whether to create or update an existing record, and to be used to delete an existing record are:





3.5.3 Additional Business Rules & Guidance

- 1. It is optional to send physical addresses for an individual.
- 2. If the individual is a minor, the contact information in this entity should reflect the contact information of the parents or legal guardian.

3.5.4 Fields

The fields in the client physical address entity, along with a value type, description, and associated validation rules for each are:

TypeCode	string	The code indicating the type of physical address.
		• Required
		Must be one of the following values:
		• 1 for Work Address
		• 2 for Home Address
		• 3 for Mailing Address
StreetAddress	string	The street address for the physical address.
		• Required
		• Must be 100 characters or less.
CityName	string	The city name for the physical address.
		• Required
		Must be 100 characters or less.
StateCode	string	The code indicating the state of the physical address.
		• Required
		• Must be a valid State/Province code value. Refer to Appendix 1 Data Code Values of Pamphlet 155-2.
PostalCode	string	The postal code of the physical address.
		Required
		• Must be in the format ##### or #####-#### or ######### where # is a number.
CountyAreaCode	string	The code indicating the county of the physical address
		• Required
$\langle \cdot \rangle$	•	• When the StateCode is the code for 'Florida', then the CountyAreaCode must be a valid CountyArea value for the state of Florida. Refer to Appendix 1 Data Code Values of Pamphlet 155-2.
		 When the StateCode is anything other than the code for 'Florida', then the CountyAreaCode must be '99' to indicate Out of State.