



Florida Department of Children and Families

Substance Abuse and Mental Health

Financial and Services Accountability Management System (FASAMS)

Pamphlet 155-2 Chapter 7 Waiting List

Last Revision Date: 11/01/2022
Effective Date: 7/01/2021
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	Florida Department of Children and Families
FASAMS	Financial and Services Accountability Management System
ME	Managing Entity
SAMH	The Substance Abuse and Mental Health Program Office
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 Waiting List Data

The collection of waiting list data is necessary to ensure compliance with several Block Grant regulations. According to 45 CFR § 96.133(a)(6), states must provide “documentation describing the results of the State’s management information system pertaining to capacity and waiting lists.” Block Grant applications also call on states to identify critical system gaps and *unmet* service needs. Waiting list management is also integral to complying with the following Block Grant regulations:

- According to 45 CFR § 96.131(a), Block Grant funded treatment providers must give preference in admissions for the following populations in the following order: (1) pregnant injecting drug users; (2) pregnant substance abusers; (3) injecting drugs users; and (4) all others.
- According to 45 CFR § 96.131(d), interim services, including a referral to prenatal care, must be made available to pregnant women within 48 hours after seeking treatment if the provider does not have the capacity to admit the woman.
- According to 45 CFR § 96.126, intravenous drug users must be admitted to treatment no later than 14 days, unless they are provided interim services within 48 hours of requesting treatment, in which case they may be admitted to treatment no later than 120 days.

Waiting list records are created for individuals who have received an assessment and a recommended service but who are unable to receive the recommended service.

Waiting List data must be submitted for all individuals who meet the criteria for priority population and are eligible to receive substance abuse and/or mental health services whose cost of care is funded, in whole or in part, by DCF funds, e.g. SAMH, TANF, Local Match, and Title 21.

At a minimum, entities contracted with the Department are required to report each waiting list record for persons who meet the eligibility criteria for state substance abuse and mental health priority populations, and whose services are funded, in whole or in part, by DCF funds.

Any entity that has a state contract or subcontract to provide services in community mental health or substance abuse programs is required to submit waiting list data on each person placed on their waiting list.

Managing Entities must require each Provider that has a contract with the Managing Entity to submit Waiting List data captured locally by Provider staff in their individual systems (e.g., Electronic Health Record Systems) to the Managing Entity. Managing Entities will validate and submit the data from each Provider to DCF.

Managing Entities submit reconciled waiting list data received from Providers to the Department no later than the date specified in the Managing Entity contract.

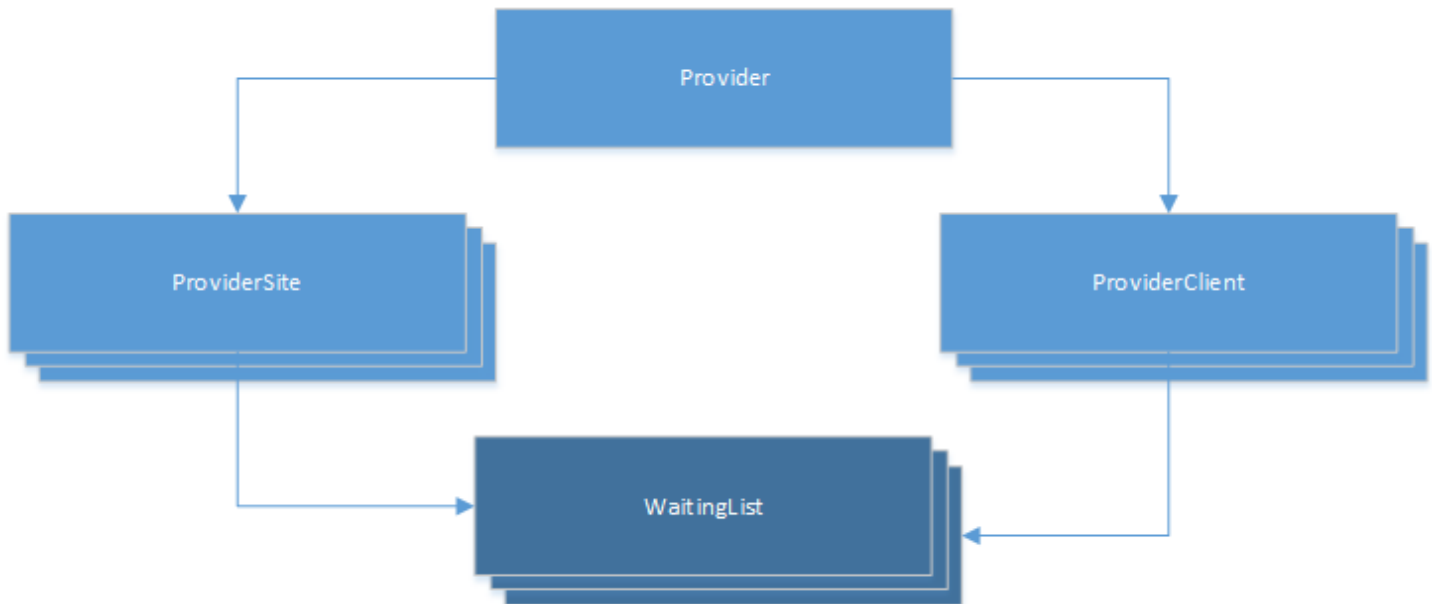
- In order for the individual to remain on the waiting list, a face-to-face meeting, telephone contact or other documented contact must have taken place at least within 30 days of the evaluation and at least every 30 days thereafter. The contacts should be more frequent than every 30 days; however, the individual must be contacted within the 30-day time period.
- Individuals receiving some services, but still waiting for the recommended level of service, should be counted as waiting for the recommended level of service. For example, a person receiving outpatient treatment while waiting to enter a residential program should be counted as waiting for residential treatment.

If the outcome and outcome date are not known at the time the Waiting List record is added, then an update should be sent to populate that information to complete the record. Any individual who has not had a face-to-face, telephone or other documented contact in the last 30 days should be updated with an outcome code and date.

An individual should be placed on the Waiting List by the provider whose services the individual is waiting on. If the provider does not offer the services the individual needs and refers the individual to another provider, that provider would submit the Waiting List data if their services were not available. The provider who submits the Waiting List data is responsible for updating and completing the data.

1.3 Waiting List Domain Diagram

The following diagram depicts the relationships between Waiting List and Provider domains in the FASAMS data warehouse.



1.4 Crosswalk to SAMHIS Data Elements

The table below provides a crosswalk of the data elements in the Waiting List domain with those used in the obsolete SAMHIS data sets. Data elements without a corresponding SAMHIS mapping are new, and details can be found within Section 3 of this document. 63% of elements in this data set map to SAMHIS elements, and 37% are new.

Waiting List Domain	SAMHIS Data Elements
WaitingList.SourceRecordIdentifier	
WaitingList.ProviderSourceRecordIdentifier	
WaitingList.ProviderInformationalNote	
WaitingList.FederalTaxIdentifier	WAITLIST ProviderId
WaitingList.SiteIdentifier	WAITLIST SiteId
WaitingList.ClientSourceRecordIdentifier	WAITLIST Ssn
WaitingList.ProgramAreaCode	WAITLIST Program
WaitingList.CoveredServiceCode	
WaitingList.ProjectCode	
WaitingList.ContractNumber	
WaitingList.SubcontractNumber	
WaitingList.LevelOfCareEvaluationToolCode	
WaitingList.LevelOfCareEvaluationDate	WAITLIST AssessDate
WaitingList.RecommendedLevelOfCareCode	WAITLIST LevelCare
WaitingList.ActualLevelOfCareCode	
WaitingList.PlacementDate	WAITLIST PlaceDate
WaitingList.PregnantCode	WAITLIST Pregnant
WaitingList.ChildWelfareInvolvedCode	
WaitingList.IntravenousDrugUseCode	WAITLIST IvDrugUse
WaitingList.HomelessCode	WAITLIST Homeless
WaitingList.OutcomeDate	WAITLIST RemoveDate
WaitingList.OutcomeCode	WAITLIST RemoveReas

2 Waiting List File Information

2.1 Naming Convention

The data set name to be used for naming the Waiting List file is **WaitingListVersion14DataSet**.

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 'Version14DataSet' and 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:

- WaitingListVersion14DataSet_20180215083045.xml
- WaitingListVersion14DataSet_20180222091530.xml

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

2.2 Adding Waiting List Data

When data for a new Waiting List record is submitted to FASAMS, the Provider, Provider Site, Contract, and Client must all be set up in FASAMS before the Waiting List record can be sent. A new Waiting List record would be one where the key fields (SourceRecordIdentifier, Federal Employer Identification Number (FEIN), and SiteIdentifier of the Provider) do not currently exist in FASAMS.

The WaitingListDataSet must include all required data for each new Waiting List record.

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

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

2.2.1 XML Example of Adding Waiting List Data

```
<WaitingLists>
  <WaitingList>
    <SourceRecordIdentifier>ABC1234</SourceRecordIdentifier>
    <ProviderSourceRecordIdentifier>ABC1234</ProviderSourceRecordIdentifier>
    <ProviderInformationalNote>notes</ProviderInformationalNote>
    <FederalTaxIdentifier>XX-XXXXXXX</FederalTaxIdentifier>
    <SiteIdentifier>02</SiteIdentifier>
    <ClientSourceRecordIdentifier>ZYX122345</ClientSourceRecordIdentifier>
    <ProgramAreaCode>1</ProgramAreaCode>
    <CoveredServiceCode>03</CoveredServiceCode>
    <ContractNumber>ABC123456</ContractNumber>
    <SubcontractNumber>ABC123456</SubcontractNumber>
    <LevelOfCareEvaluationToolCode>3</LevelOfCareEvaluationToolCode>
  </WaitingList>
</WaitingLists>
```

```

<LevelOfCareEvaluationDate>4/15/2018</LevelOfCareEvaluationDate>
<RecommendedLevelOfCareCode>6</RecommendedLevelOfCareCode>
<PlacementDate>4/20/2018</PlacementDate>
<PregnantCode>6</PregnantCode>
<IntravenousDrugUseCode>0</IntravenousDrugUseCode>
<HomelessCode>0</HomelessCode>
</WaitingList>
</WaitingLists>

```

2.3 Updating Waiting List Data

When data for an existing Waiting List entity has changed, the Waiting List information in FASAMS must be updated. An existing Waiting List record would be one where the key fields (SourceRecordIdentifier, Federal Employer Identification Number (FEIN), and SiteIdentifier of the Provider) exist in the FASAMS system.

For updates, the entire Waiting List 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 Waiting List and the fields that have changed.

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

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

2.3.1 XML Example of Updating Waiting List Data

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

2.3.1.1 Update a Waiting List Outcome

```

<WaitingLists>
  <WaitingList>
    <SourceRecordIdentifier>ABC1234</SourceRecordIdentifier>
    <FederalTaxIdentifier>XX-XXXXXXX</FederalTaxIdentifier>
    <SiteIdentifier>02</SiteIdentifier>
    <OutcomeDate>5/3/2018</OutcomeDate>
    <OutcomeCode>1</OutcomeCode>
    <ActualLevelOfCareCode>6</ActualLevelOfCareCode>
  </WaitingList>
</WaitingLists>

```

2.4 Deleting Waiting List Data

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

The WaitingListDataSet must include the key fields for the Waiting List record and the Action attribute should be set to “delete” for the specific Waiting List entity that is being deleted. Key fields are identified in the entity section below.

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

2.4.1 XML Example of Removing Data Element from FASAMS Database

This approach can be used to remove a previously submitted data element from the FASAMS database, within an entity, without resubmitting the entire entity or submitting a deletion action. Users can submit the key fields for the entity and submit the data element that should be removed with a 'blank' value in the element.

2.4.1.1 Removing Data Element from FASAMS Database

```
<WaitingLists>
  <WaitingList>
    <SourceRecordIdentifier>ABC1234</SourceRecordIdentifier>
    <FederalTaxIdentifier>XX-XXXXXXX</FederalTaxIdentifier>
    <SiteIdentifier>02</SiteIdentifier>
    <ProviderInformationalNote></ProviderInformationalNote>
  </WaitingList>
</WaitingLists>
```

2.4.2 XML Example of Deleting Waiting List Data

```
<WaitingLists>
  <WaitingList action="delete">
    <SourceRecordIdentifier>ABC1234</SourceRecordIdentifier>
    <FederalTaxIdentifier>XX-XXXXXXX</FederalTaxIdentifier>
    <SiteIdentifier>02</SiteIdentifier>
  </WaitingList>
</WaitingLists>
```

3 Waiting List Entities

This section defines the entities involved in the Waiting List data set.

The Waiting List data set is designed to comply with federal regulations, which require the State to do the following:

- a) Improve the process for referring individuals to a treatment facility that is most appropriate for their individual needs.
- b) Establish a waiting list management program which provides systematic reporting of treatment demand.
- c) Develop and implement a Care Coordination Policy that specifies the methods used to reduce, manage, and eliminate waitlists for services.

Ultimately, Waiting List data is necessary to document unmet needs and the extent to which current resources are insufficient to meet the need for services.

3.1 WaitingList (Required)

3.1.1 Description

A waiting list record represents an individual that has a need for a particular service in a particular program area associated with a treatment setting or level of care, which cannot be met by a given provider. An individual is

considered to be waiting for a service as of the date they were placed on the waiting list and is considered removed from the waiting list when an outcome is specified. If the individual is accepted into treatment, the actual level of care is collected in order to evaluate state-wide gaps in the ability to meet treatment demand. A waiting list record will be uniquely identified in FASAMS by the Provider’s internal system identifier (SourceRecordIdentifier) for the waiting list record, and the FEIN for the provider. Therefore, no two waiting list records should be sent with the same internal system identifier and FEIN.

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:

Field
SourceRecordIdentifier
FederalTaxIdentifier
SiteIdentifier

3.1.3 Unique Constraint Rule

1. A waiting list record will be rejected if the following composite fields are submitted AND already exist in the database with a different SRI than in the submission file:
 - a. Waiting List CompositeKey fields: ProviderSite + SSN/PSSN+ CoveredService/ProjectCode + PlacementDate
 - i. Rule will use the CompositeKey + ProgramAreaCode
 - ii. ProgramAreaCode rules:
 1. If ProgramAreaCode 1 exists, PAC 5 will be rejected
 2. If ProgramAreaCode 2 exists, PAC 5 will be rejected
 3. If ProgramAreaCode 5 exists, PAC 1 or 2 will be rejected
 4. If ProgramAreaCode 3 exists, PAC 6 will be rejected
 5. If ProgramAreaCode 4 exists, PAC 6 will be rejected
 6. If ProgramAreaCode 6, PAC 3 or 4 will be rejected

3.1.4 Fields

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

Field	Value Type	Description/Validation Rules
SourceRecordIdentifier	string	<p>The provider’s internal system identifier for the waiting list record.</p> <ul style="list-style-type: none"> • Required • Must be unique within the Provider’s Federal Tax Identifier. • Must be 100 characters or less • The SourceRecordIdentifier should 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

Field	Value Type	Description/Validation Rules
		<p>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 should 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.</p> <ul style="list-style-type: none"> • A unique identifier for this record might contain: the UniqueClientIdentifier or the individual's SSN, CoveredServiceCode or ProjectCode, PlacementDate and ProgramAreaCode.
ProviderSourceRecordIdentifier	string	<p>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.</p> <ul style="list-style-type: none"> • Optional • Must be 100 characters or less
ProviderInformationalNote	string	<p>This field is for the Provider's general use only and should be populated based on the direction from the Provider.</p> <ul style="list-style-type: none"> • Optional • Must be 100 characters or less
FederalTaxIdentifier	string	<p>The unique federal employer identification number of the facility that is placing the individual on waiting list.</p> <ul style="list-style-type: none"> • Required • Must match the FederalTaxIdentifier for a single provider already set up in FASAMS.
SitIdentifier	string	<p>The unique identifier of the provider site where the individual is being placed on waiting list.</p> <ul style="list-style-type: none"> • Required • Must match the SitIdentifier for a single provider site already set up in FASAMS for the provider identified by the FederalTaxIdentifier.
ClientSourceRecordIdentifier	string	<p>The provider's internal system identifier for the individual being placed on waiting list.</p> <ul style="list-style-type: none"> • Required • Must match the SourceRecordIdentifier for a single individual already set up in FASAMS for the provider identified by the FederalTaxIdentifier.
ProgramAreaCode	string	<p>The code indicating the program area for which the individual is being placed on the Waiting List.</p>

Field	Value Type	Description/Validation Rules
		<ul style="list-style-type: none"> • Required • Must be one of the following values: <ul style="list-style-type: none"> ○ 1 for Adult Mental Health ○ 2 for Adult Substance Abuse ○ 3 for Child Mental Health ○ 4 for Child Substance Abuse ○ 5 for Adult Substance Abuse and Mental Health ○ 6 for Child Substance Abuse and Mental Health • Codes 5 and 6 should be used only if the individual is known to have co-occurring substance abuse and mental health needs. Otherwise, use code 1, 2, 3, or 4 as needed. • All state mental health treatment facilities, regardless of their contractual relationships, should use codes 1 or 5.
CoveredServiceCode	string	<p>The code indicating the covered service for which the individual is being placed on the Waiting List.</p> <ul style="list-style-type: none"> • Required • Must be provided if ProjectCode is not provided. • Must not be provided if ProjectCode is provided. • Must be a valid CoveredService for the given ProgramAreaCode, where the TypeCode (Event Type) equals 'Client-Specific'. Valid values are listed in the Covered Service section of Appendix 1 Data Code Values of Pamphlet 155-2.
ProjectCode	string	<p>The code indicating the project code for which the individual is being placed on the Waiting List.</p> <ul style="list-style-type: none"> • Required • Must be provided if CoveredService is not provided. • Must not be provided if CoveredService is provided.
ContractNumber	string	<p>The number indicating the contract between DCF and the contracting entity.</p> <ul style="list-style-type: none"> • Required when the Provider.ContractualRelationshipCode is not 3 (State Mental Health Treatment Facility - DCF Operated). • Must not be provided if Provider.ContractualRelationshipCode is 3 (State Mental Health Treatment Facility - DCF Operated). • Must match a single contract number already set up in FASAMS.
SubcontractNumber	string	<p>The number indicating the subcontract between the service provider and a managing entity that is placing the individual on the Waiting List.</p> <ul style="list-style-type: none"> • Only Service providers under contract with managing entities are required to send this field.
LevelOfCareEvaluationToolCode	string	<p>The code indicating the type of clinical instrument used for evaluating the level of care needed by the individual being placed on the Waiting List.</p> <ul style="list-style-type: none"> • Required

Field	Value Type	Description/Validation Rules
		<ul style="list-style-type: none"> Valid values are listed in the Evaluation Level section in Appendix 1 Data Code Values of Pamphlet 155-2. If the evaluation is based on a professional/medical evaluation rather than on the use of an evaluation tool, Tool Code 3 BIO Psychosocial should be used.
LevelOfCareEvaluationDate	date	<p>The date indicating when the evaluation was made, to determine the level of care needed by the individual being placed on the Waiting List.</p> <ul style="list-style-type: none"> Required Must be less than or equal to the PlacementDate. Must be in a valid date format. Refer to Appendix 2 Common Data Types in Pamphlet 155-2.
RecommendedLevelOfCareCode	string	<p>The code indicating the recommended level of care for the individual being placed on the waiting list.</p> <ul style="list-style-type: none"> Required Must be a valid Level Code for the given Evaluation Tool. Valid values are listed in the Evaluation Level section in Appendix 1 Data Code Values of Pamphlet 155-2.
ActualLevelOfCareCode	string	<p>The code indicating the actual level of care for the individual being placed on the waiting list.</p> <ul style="list-style-type: none"> Required when the OutcomeCode is 1 (Receiving Services at this Provider) or 7 (Receiving Services at another provider). Must be a valid Level Code for the given Evaluation Tool. Valid values are listed in the Evaluation Level section in Appendix 1 Data Code Values of Pamphlet 155-2.
PlacementDate	date	<p>The date indicating when the individual was placed on the waiting list.</p> <ul style="list-style-type: none"> Required Should be within the beginning and ending dates of the Subcontract or Contract number given above. Must be in a valid date format. Refer to Appendix 2 Common Data Types in Pamphlet 155-2.
PregnantCode	string	<p>The code indicating whether the individual, who is being placed on waitlist, is female and pregnant.</p> <ul style="list-style-type: none"> Required Must be one of the following values: <ul style="list-style-type: none"> 0 for No 1 for Yes 6 for Not Applicable (Male) Should be 6 if the individual's gender is male.
ChildWelfareInvolvedCode	string	<p>The code indicating if ChildWelfare is involved with the individual being placed on waitlist.</p> <ul style="list-style-type: none"> Required Must be one of the following values:

Field	Value Type	Description/Validation Rules
		<ul style="list-style-type: none"> ○ 0 for No ○ 1 for Yes
IntravenousDrugUseCode	string	<p>The code indicating if the individual, who is being placed on waitlist, is an intravenous drug user.</p> <ul style="list-style-type: none"> • Required • Must be one of the following values: <ul style="list-style-type: none"> ○ 0 for No ○ 1 for Yes
HomelessCode	string	<p>The code indicating if the individual, who is being placed on waitlist, is homeless.</p> <ul style="list-style-type: none"> • Required • Must be one of the following values: <ul style="list-style-type: none"> ○ 0 for No ○ 1 for Yes
OutcomeDate	Date	<p>The date indicating when the outcome was determined for this individual after having been placed on the waiting list.</p> <ul style="list-style-type: none"> • Required when the individual is removed from the waiting list. • Must be in a valid date format. Refer to Appendix 2 Common Data Types in Pamphlet 155-2. • Must be provided if the OutcomeCode is provided. • Must be greater than or equal to the PlacementDate.
OutcomeCode	String	<p>The code indicating the outcome of the individual after having been placed on the waiting list.</p> <ul style="list-style-type: none"> • Required when the individual is removed from the waiting list. • Must be provided if the OutcomeDate is provided. • Must be one of the following values: <ul style="list-style-type: none"> ○ 1 for Receiving Services at this Provider ○ 2 for Moved out of State ○ 3 for Moved out of Managing Entity catchment area ○ 4 for Declined ○ 5 for Died ○ 6 for Evaluation determined that service is no longer appropriate ○ 7 for Receiving Services at another Provider ○ 8 for Incarcerated ○ 9 for Not had face-to-face, telephone, or other documented contact in Last 30 Days