

CHAPTER 1. INTRODUCTION

1.1 Purpose and Scope

This document is the State Instruction Manual for reporting **admissions** data to the Substance Abuse and Mental Health Services Administration's (SAMHSA) Treatment Episode Data Set (TEDS), including the National Outcomes Measures (NOMS) data elements. The principal audience for this document is State staff participating in the collection and submission of TEDS data.

The State role in submitting TEDS data to SAMHSA is important because TEDS is the **ONLY** national client-level database on substance abuse treatment. These data are used by federal policymakers, researchers, and many others. It provides data for comparisons and trends on the characteristics of persons admitted to substance abuse treatment. With the addition of the NOMS, TEDS will provide data outcomes in support of program performance measurement and management goals. Additional information on TEDS is available on the TEDS pages of the DASIS website at <http://www.dasis.samhsa.gov/dasis2/teds.htm>.

In order for the TEDS system to produce valid national data, all States need to submit data using the same formats and definitions. This document provides the information needed to produce standard admission data files and to submit the files to SAMHSA.

Information in this document related to the National Outcome Measures (NOMS) is relevant to States that are including the NOMS data elements in their TEDS data submissions and are participating in the State Outcomes Measurement and Management System (SOMMS) subcontracts.

NOMS specific information is presented in highlighted text.

Every effort has been made to make this Manual consistent with the NOMS reporting requirements, however, in the event there are discrepancies, the requirements specified in the SOMMS subcontract for NOMS reporting take precedence.

1.2 The Treatment Episode Data Set (TEDS)

The Treatment Episode Data Set (TEDS) is a compilation of data on substance abuse treatment events (admissions and discharges), that are routinely collected by States in monitoring their individual substance abuse treatment systems. It includes, primarily, information on clients admitted to programs that receive public funds. TEDS consists of two

2.2.3 Co-Dependents

A client is defined by TEDS as a person who has been admitted for treatment of his/her own drug or alcohol problem. A co-dependent/collateral is defined by TEDS as a person who has no alcohol or drug abuse problem but is seeking services because of problems arising from his or her relationship with an alcohol or drug user, has been formally admitted to a treatment unit, and has his or her own client record or a record within a primary client record. The reporting of co-dependents to TEDS is optional, but every admission record must indicate co-dependency/collateral status using the TEDS data item established for that purpose.

A co-dependent may become a substance abuser in his/her own right, and may thereafter receive treatment as a client. As with any other substance abuse treatment client, this is an admission reportable to TEDS. In States that report both substance abusers and co-dependents, there would be two admission records, one as a co-dependent or collateral and another as a client with a drug abuse or alcohol problem.

2.3 Discharges

The treatment episode ends with the client being "discharged", which is defined as the termination of services. The services may end for any reason (e.g. the client has completed the course of treatment, the client or the provider chooses not to continue the course of treatment, the client is unable to continue treatment). Regardless of the reason, a discharge is considered to have occurred at some point after treatment ends. In the absence of a formal discharge, TEDS uses the following operational definition of discharge: A treatment episode should be assumed to have ended if the client has not been "seen" in 3 days in the case of inpatient or residential treatment, and 30 days in the case of outpatient treatment. These discharges are often referred to as administrative discharges. States may choose to use other rules for determining when administrative discharges are to occur and should indicate those rules in the TEDS crosswalk. More information concerning the TEDS Discharge System can be found in the [*Treatment Episode Data Set State Instruction Manual - Discharge Data*](#).

Reporting point: A client returning for service after the elapsed time described in these guidelines should be reported as an admission to a new treatment episode.

2.4 TEDS Data Sets

The TEDS **Admission** System includes information on two events:

- Admissions
- Transfers.

The data items reported in the Admission and Transfer records are the same and are organized into three data sets:

- System Data Set (SDS)
- Minimum Data Set (MDS)
- Supplementary Data Set (SuDS)

The SDS (System Data Set) has data items required to identify the type of submission, the State, and the reporting date. The MDS (Minimum Data Set) has items relating to the client's demographic, substance of abuse, and treatment characteristics. Each State is required to submit data for all SDS and MDS data items. The SuDS (Supplementary Data Set) provides additional data describing client characteristics and allows more detail for several MDS data items. Reporting of SuDS data items is not required for TEDS participation, but States are encouraged to submit as many SuDS data items as possible.

State participation in SOMMS subcontracts requires reporting of four SuDS data items, *Living Arrangements, Detailed not in Labor Force, Number of Arrests in 30 days Prior to Admission, and Frequency of Attendance at Self-Help Programs in 30 Days Prior to Admission.*

Included in the SDS and the MDS are seven data items designated as "*key fields*". The TEDS processing system uses these key fields to ensure that each record submitted is unique.

The following sections briefly describe the three types of data sets and their data items. Appendix B contains additional data set detail, including the acceptable codes for the items defined in the following three sections.

Reporting Point: The items known as "key fields" define a unique admission record. They are: the State Code, the Provider Identifier, the Client Identifier, the Co-dependent/Collateral indicator, Client Transaction Type, Date of Admission, and Type of Services code.

2.4.1 The System Data Set

The System Data Set (SDS) contains information required to process each TEDS record. The data items in the SDS are:

- **System Transaction Type** -- Designates whether the record is added to the TEDS database, changes an existing record in the database, or deletes an existing record in the database.
- **State Code** -- Identifies the State submitting the record using the standard two-character FIPS Code. This is a key field.
- **Reporting Date** -- Identifies the month and year the record is being submitted to TEDS. Every record in a single State submission must contain the same reporting date.

2.4.2 The Minimum Data Set

The Minimum Data Set (MDS) contains data items that States are required to submit to TEDS. **The key fields of the MDS are:**

- **Provider Identifier** -- Identifies the provider of the drug or alcohol abuse treatment. This may be a State-assigned Provider ID or the I-SATS ID and must be identical to the State ID number or I-SATS ID number as it appears in SAMHSA's I-SATS.
- **Client Identifier** -- Identifies the client receiving treatment. The identifier is limited to 15 characters and must be unique within a provider. SAMHSA encourages States to adopt a Client ID that is unique within the State.

The Client Identifier for states reporting NOMS must be unique within the state. That is, each client ID must be used for one and only one person; and the TEDS records for that person must always include the same client ID regardless of the provider providing the treatment and regardless of when or where in the State the treatment is received.

- **Co-Dependent/Collateral** -- Specifies whether the admission record is for a substance abuse treatment client, or a person being treated for his/her co-dependency or collateral relationship with a substance abuser.
- **Client Transaction Type** -- This field identifies whether a record is for an initial **Admission (A)** or a **Transfer/change in service (T)**. Note: Some States may use other terminology such as “initial admission” and “transfer admission” in place of admission and transfer. If the State’s data system does not permit it to distinguish transfers from admissions, a note to that effect should be included on the State Crosswalk. (Chapter 3).
- **Date of Admission** -- The date when the client receives his or her first direct treatment or recovery service. For transfers, this is the date when client receives his or her first direct treatment after the transfer has occurred.

- **Type of Services** -- Identifies the type of service and treatment setting in which the client is placed at the time of admission or transfer. The TEDS has eight specific service-setting categories:

Type of Service

Detoxification, 24-Hour Service, Hospital Inpatient
 Detoxification, 24-Hour Service, Free-Standing Residential
 Rehabilitation/Residential--Hospital (other than detoxification)
 Rehabilitation/Residential--Short Term (30 days or fewer)
 Rehabilitation/Residential--Long Term (more than 30 days)
 Ambulatory--Intensive Outpatient
 Ambulatory--Non-Intensive-Outpatient
 Ambulatory--Detoxification

The remaining (non-key) fields in the MDS are:

- **Number of Prior Treatment Episodes** -- Indicates the number of previous treatment episodes the client has received in any drug or alcohol program. Changes in service for the same episode (transfers) should *not* be counted as separate prior episodes.
- **Principal Source of Referral** -- Describes the person or agency referring the client to the alcohol or drug abuse treatment program.
- **Date of Birth** -- Specifies the client's date of birth.
- **Sex** -- Specifies the client's gender.
- **Race** -- Specifies the client's race.
- **Ethnicity** -- Specifies the client's specific Hispanic origin, if applicable.
- **Education** -- Specifies the highest school grade completed by the client.
- **Employment Status** -- Designates the client's employment status at the time of admission or transfer.
- **Substance Problem Codes** -- Identifies the client's substance problem(s). Three fields are provided to identify the client's primary, secondary and tertiary substance problems. The codes for these fields are a condensed list of substances allowing summarized reporting of the abused substances. States collecting abused substances in more detail than permitted by the categories in the Substance Problem Codes should report the more detailed drug information using the Supplemental Data Set item "Detailed Drug Codes".

- **Usual Route of Administration** -- Identifies the usual route of administration of the substance specified in the Substance Problem Code field. Three fields are provided to identify the route of administration for the primary, secondary and tertiary substances of abuse.
- **Frequency of Use** -- Specifies the frequency of use of the substance identified in the Substance Problem Code field at the time of admission. Fields are provided to identify frequency for the primary, secondary and tertiary substances of abuse.
- **Age of First Use** -- For drugs other than alcohol, this field identifies the age at which the client first used the substance identified in the Substance Problem Code field. Fields are provided to identify age of first use for the primary, secondary and tertiary substances of abuse. When the substance of abuse is alcohol, this field is used to record the age of first intoxication.
- **Medication-Assisted Opioid Therapy** -- Specifies whether methadone or buprenorphine is part of the client's treatment plan.

2.4.3 The Supplementary Data Set

The Supplementary Data Set (SuDS) contains additional information that States are encouraged to provide to TEDS. States may submit some or all of the SuDS data items.

State participation in SOMMS subcontracts requires reporting of at least the following 4 SuDS data items: *Living Arrangement*, *Detailed not in Labor Force*, *Arrests in 30 Days Prior to Admission* and *Frequency of Attendance at Self-help Programs in 30 Days Prior to Admission*.

The data items in the SuDS are:

- **Detailed Drug Codes**--These three fields are used to identify, in greater detail, the drug problem recorded in the Minimum Data Set items "*Substance Problem Code* (primary, secondary and tertiary). Refer to Appendix B (Detailed Drug Code, SuDS 1) for specific procedures and specifications for reporting these data.
- **DSM Diagnosis** - The diagnosis of the substance abuse problem from the American Psychiatric Association's *Diagnostic and Statistical Manual of Mental Disorders (DSM)*. DSM IV is preferred, but use of DSM III, or the ICD codes is permissible. If the DSM IV is not used, the State must specify the coding system in State crosswalk..

- **Psychiatric Problem In Addition to Alcohol or Drug Problem**-- Indicates whether the client has a psychiatric problem in addition to his or her alcohol or drug use problem.
- **Pregnant at Time of Admission** --Specifies whether the client is pregnant at the time of admission.
- **Veteran Status**-- Specifies whether the client has served in the uniformed services (Army, Navy, Air Force, Marine Corps, Coast Guard, Public Health Service Commissioned Corps, Coast and Geodetic Survey, etc).

- **Living Arrangements** - - Specifies whether the client is homeless, living with parents, living in a supervised setting, or living independently on his or her own. This is a required data element for SOMMS subcontract participants.

- **Source of Income/Support**-- Identifies the client's principal source of financial support. For children under 18, this field indicates the parent's primary source of income/support.
- **Health Insurance**--Specifies the type of insurance a client possesses, if any. The insurance may or may not cover the alcohol or drug treatment.

Expected/Actual Primary Source of Payment-- Identifies the primary source of payment for this Treatment Episode.

- **Detailed Not In Labor Force**-- This field gives more detailed information about those clients who are coded as "not in the labor force" in MDS 13, Employment Status.. This is a required data element for SOMMS subcontract participants.

- **Detailed Criminal Justice Referral** -- This field gives more detailed information about those clients who are coded as "Criminal justice referral" in MDS 7, Principal Source of Referral..
- **Marital Status**--Indicates the client's marital status at the time of admission.
- **Days Waiting to Enter Treatment**-- Indicates the number of days from the first contact or request for service until the client was admitted and the first clinical service was provided. Excluded are time delays resulting from client failure to comply with administrative procedures or failure to meet other obligations.

- **Arrests in 30 Days Prior to Admission** -- The number of arrests in the 30 days preceding the date of admission to treatment services. This is a required data element for SOMMS subcontract participants.
- **Frequency of attendance at self-help programs in the 30 days prior to admission** -- The number of times client has attended a self-help program in the 30 days preceding the date of admission to treatment services. Includes attendance at AA, NA, and other self-help/mutual support groups focused on recovery from substance abuse and dependence. This is a required data element for SOMMS subcontract participants.

2.5 Reporting Admissions for New Facilities or Facilities New to the I-SATS

For new facilities and facilities newly added to the I-SATS, admission records should be submitted to TEDS for all current clients as of the date the facility becomes a TEDS reporter. Records may be submitted for clients discharged prior to the date that the facility became a TEDS reporter, but they must have their original admission dates.

CHAPTER 3. STATE CROSSWALK PLAN

A State Crosswalk Plan is a document containing the general instructions (or map) for translating data from the State's own data collection system to the data elements used by TEDS. Each State, working with the TEDS contractor, develops this plan and maintains the plan as changes to State data systems require. The State Crosswalk Plan guides development of the State's computer program that converts the State data items to the TEDS data items.

Anytime the State modifies a data item in its data system, or modifies its system, it is important that the State review its crosswalk and its computer program used to extract data for submission to TEDS, to assure that each State data item is correctly mapped to its TEDS counterpart.

It is the State's responsibility to develop the computer program to extract State data for submission to TEDS according to the specifications in the State TEDS Crosswalk. It is also the State's responsibility to update that program as needed when a change is made to the State data system, to assure that the State data items are accurately crosswalked/translated to the TEDS data item codes.

3.1 Objectives

The objectives of the TEDS Crosswalk are to:

1. Ensure that data in the State data system are accurately translated to the appropriate TEDS data fields; and
2. Establish a consistent conversion of State data items to the TEDS database, thereby ensuring comparability among States.

3.2 Crosswalk Responsibilities

Each State is responsible for:

- Preparing a TEDS State Crosswalk Plan that describes in detail how the State will generate the TEDS data fields from the data elements in its own system
- Submitting the plan to the TEDS contractor for review along with the State's client admission "form" or electronic data structure and related instructions/definitions (sufficient information to enable an understanding of the source of each TEDS data item)

- Converting the State data to the TEDS format specifications
- Establishing procedures to ensure the approved crosswalk plan is implemented properly by ensuring the State’s data extraction program is correct
- Notifying the TEDS contractor when changes to the State Crosswalk occur

The TEDS contractor is responsible for:

- Assisting each State in preparing its TEDS Crosswalk Plan
- Entering the State’s Crosswalk into the TEDS Crosswalk Management System
- Submitting the State TEDS Crosswalk Plan to SAMHSA for final approval
- Helping each State implement the approved crosswalk plan
- Updating each State’s Crosswalk Plan with changes provided by the State

SAMHSA is responsible for:

- Reviewing each State’s Crosswalk plan
- Giving final approval for each State’s Crosswalk Plan

3.3 The TEDS Crosswalk Plan

To establish an initial Crosswalk, the State develops a preliminary crosswalk plan by translating the State data items and codes to the appropriate TEDS data elements and codes (TEDS data items and codes are shown in Appendix B). The Plan must show in detail how each State data item translates into the corresponding TEDS Data Set element. (A crosswalk worksheet in the form of an Excel worksheet is available to assist states in preparing and reviewing their crosswalk. See note below.) The State submits its preliminary Crosswalk plan to the TEDS contractor along with a copy of the State's current data collection “form” or electronic client data structure. (If a State uses electronic data collection, a list of State data items and codes should be submitted). The TEDS contractor reviews the preliminary crosswalk to ensure compatibility with the TEDS data requirements. Discrepancies are discussed and resolved with the State. The TEDS contractor enters the crosswalk information into the Crosswalk Management System and returns a copy of the State Crosswalk Plan to the State for confirmation. Appendix C shows an example of a final crosswalk from the Crosswalk Management System.

Crosswalk worksheet

A worksheet for drafting a new crosswalk and for updating an existing crosswalk is available on the DASIS web site at http://www.dasis.samhsa.gov/dasis2/crosswalk_worksheet.xls. This is an Excel worksheet that can be completed and submitted electronically to the DASIS contractor, Synectics. Questions, comments and completed worksheets can be sent to DASIS@SMDI.com

After receiving confirmation from the State, the final Crosswalk Plan is submitted to SAMHSA for review and approval. Once SAMHSA approves the plan, the TEDS Contractor notifies the State of the Crosswalk's final approval. If during the review process additional changes to the plan are requested, the TEDS contractor will work with the State to implement the changes. The State may then begin submission of TEDS data according to the Crosswalk Plan.

Once an initial crosswalk is established, it must be updated whenever a change is made to the State data system that affects the TEDS data. When updating an existing Crosswalk, the State should provide information for only those data items requiring change. If the State data system is changed substantially, it may be necessary to establish a completely new crosswalk.

3.4 General Crosswalk Guidelines

The following guidelines are provided to assist States in developing crosswalk plans. The guidelines ensure nationwide consistency in the reporting of TEDS data. (Detailed information on the TEDS data set items and their codes are in Appendix B of this manual).

- **Collecting Partial Data** - SAMHSA anticipates that all States will eventually collect and submit data for all TEDS data items, including all items in the Supplementary Data Set. Any data item(s) currently not collected by the State will be identified on the State's crosswalk as "not collected." If known, an approximate date that the State plans to submit items currently listed as "not collected" should be included in the State's crosswalk.
- **DSM Diagnosis** - DSM IV is the preferred coding system for reporting diagnosis, but it is possible to submit diagnoses in different coding systems. It is important, therefore, to indicate in the crosswalk which coding system is being used.
- **Valid Field Codes** - All data items in the TEDS Data Set must have valid entries. Valid entries include only numeric or alphanumeric characters. Blanks are not permitted. Appendix B shows valid values for each TEDS item.

- **Use of “Not Applicable” Code** - "Not Applicable" is used to indicate that the data item does not apply for this particular admission record. It is available only for selected data items as specified in Appendix B. The not applicable code is a "6" preceded by enough 9's to fill the field. For example, the not applicable code, "96", is used in the field *Detailed not in Labor Force* when *Employment Status* is a code other than "Not in the labor force". Not applicable code 6 is used in the field *Pregnant at time of Admission* for male clients.
- **Use of “Unknown” Code** - "Unknown" is used to indicate that the State collects data for this item, but for this particular client record the value was not available. Unknown is a code of "7" preceded by the appropriate number of "9"s.
- **Use of “Not Collected” Code** - "Not Collected" is used to indicate that a State is not currently collecting a specific data item for any clients. Not collected is a code of "8" preceded by the appropriate number of "9"s. For example, a State that is not collecting “*Medication-assisted Opioid Therapy*” would use code "98" in this field. The "Not Collected" code is not acceptable in any TEDS key field.
- **SAMHSA Reserved Code** - A code of all "9"s in a field is reserved for use of SAMHSA. It is used by SAMHSA in processing for fields in which the entry is invalid. When used, it is entered into the record at the time of processing.

3.5 State Data System Changes

Whenever a State makes a change to any item in its data system that affects the TEDS data set, it must promptly notify SAMHSA and the TEDS contractor. The TEDS contractor will assist the State in revising the State’s Crosswalk Plan to reflect the changes. This is very important because it affects SAMHSA’s ability to correctly identify the data elements when preparing reports based on the TEDS data. On an annual basis, the TEDS contractor will contact each State to have them verify that the State Crosswalk Plan is accurate and up to date.

CHAPTER 4. SUBMISSION OF DATA

States are expected to report TEDS data on a regular and timely basis. In order for the data to be as timely as possible, it is preferred that States report monthly. Most States will find this to their advantage for several reasons. First, there will be fewer data errors to fix for any one submission. Second, any errors detected on one submission can be fixed and submitted with the next month's submission, reducing the time the error is carried in the database. Finally, frequent submissions will make it easier for State personnel to maintain their knowledge of and familiarity with TEDS submission procedures. States not able to report on a monthly basis may report on a quarterly basis.

States may choose the date of the month when they submit their TEDS data file, and (for quarterly cycles) which months end the submission quarters. After deciding its submission schedule, the State then coordinates its submissions with the TEDS Contractor. When a scheduled submission will not be made on time, the State should notify the TEDS Contractor (by telephone, fax or email), and provide a revised delivery date.

4.1 Timeliness

Client admission data should be submitted to TEDS as they are received from providers and become available from the State data system. Treatment facilities/providers should be encouraged to report their admissions data promptly. States should endeavor to submit all data to TEDS within 2 months of the client admission date. For example, client admissions during January should be submitted by the end of March. All client admissions records with admission date after January 1, 2000 will be accepted, but prompt data submission by providers and subsequent submission to TEDS will enable timely analysis and publication of the national TEDS data.

SOMMS participants have specific timeliness requirements specified in the SOMMS subcontracts.

The TEDS data are analyzed and published annually on a calendar year basis. The cut-off for receipt of data for each report is approximately August 31 of the year following the data year. Data received after that time will not appear in the annual report. For example, the annual report for calendar year 2009 admissions is prepared after the cut-off of August 31, 2010. For inclusion in the report, States should submit complete 2009 data before August 31, 2010.

4.2 Submission Procedures

A successful submission of data to TEDS requires that the State perform the following tasks according to their reporting schedule:

- Collect data through State data system;
- Translate/crosswalk State data to the appropriate TEDS data fields, codes and file format
- Write computer program to extract data from State system and construct data file for TEDS submission
- Submit the data file using the State TEDS Submission System (STSS) or on diskette, CD, or by electronic transmission. Procedures for submission using the STSS are provided in Section 4.2.2 below. Procedures for submission by diskette, CD, or by electronic transmission other than STSS are provided in Section 4.2.3 below.

4.2.1 Data Conversion to TEDS Format

The TEDS data are to be produced as an ASCII flat file. The data file specifications are provided in Appendix D.

Note that States reporting NOMS data elements under SOMMS subcontracts may submit a data file with a different record length than States not reporting NOMS elements because of the addition of the NOMS data elements SuDS 16 and 17.

4.2.2 Submission procedures using the STSS

Use of the State TEDS Submission System (STSS) is encouraged. This system enables the State to test/validate the records in each data file, review processing reports, make any needed corrections, and submit the file to Synectics for final processing.

The STSS is available on the following web site:

<https://dasis9.samhsa.gov/StateTEDS/>

The STSS User Guide is available on the DASIS Web Site at http://www.dasis.samhsa.gov/dasis2/stss_user_guide.pdf. Information for obtaining an STSS User ID and password is available on page 3 of the STSS User Guide.

4.2.3 Submission procedures for diskette, CD, or electronic transmission other than STSS

Each diskette and CD data submission is to be accompanied by a **TEDS Data Submission Form**, shown in Appendix D. The following information is to be entered on the submission form and forwarded with each submission. In the event of electronic transmission (other than the STSS), relevant information from the list below should be communicated by telephone, fax or email.

- Two character State code
- Reporting date-month and year
- Whether or not the submission is a re-submission
- Number of records in the submission
- State point of contact (name, phone number and email address)
- An indication of whether or not the diskette or CD should be returned.

(The two character State code and the reporting date are also part of the System Data Set and are included in each record).

States submitting data on diskette or CD should mail to:

SAMHSA Project Team
Synectics for Management Decisions
1901 North Moore Street, Suite 900
Arlington, VA 22209

Appropriate mailing containers should be used to avoid damage and delay in the receipt of the submission.

States wishing to submit data electronically (other than the STSS) should contact the TEDS Contractor to identify a mutually acceptable method for transmission. When making arrangements for an electronic submission, the State needs to provide the TEDS Contractor with the information contained on the TEDS Data Submission Form.

Submission of data via email attachment is also permissible. States wanting to transmit files via the Internet must contact the TEDS Contractor to make appropriate arrangements.

4.3 Security

The STSS uses a secure connection for data submission as described in the STSS User's Guide. When submission of the data is by other means, the security of the data during transmission from the State to the SAMHSA contractor is the responsibility of the State, but the SAMHSA contractor will make every reasonable effort to accommodate State security needs. At a minimum, it is recommended that submitted data files be password protected. If the State elects to encrypt their files, the State must coordinate with the contractor to assure that the encryption methodology is available to the contractor.

The TEDS contractor manages the data files sent by the States as well as the TEDS database in a secure manner. Data files sent by the States are processed promptly. Diskettes and CD's are kept in a locked vault in a locked room with access only by authorized contractor personnel. Once processing is complete, the files are destroyed or returned to the State, according to the State's instructions.

The TEDS database is maintained on a secure server with ID and password access limited to SAMHSA and Contractor staff. The server and back-up files are located in a locked room accessible only to SAMHSA and Contractor staff.

CHAPTER 5 PROCESSING STATE DATA AND CORRECTING RECORDS

Quality control procedures assure SAMHSA and the States that the TEDS system is providing accurate and valid data. States should develop procedures to ensure that the data they submit to TEDS are accurate and in the correct format. Upon receiving the data, the TEDS contractor verifies that the records meet the standards described in this document, makes the appropriate updates to the TEDS database, and produces feedback reports summarizing the results of the data processing.

This chapter describes the quality control process used by the TEDS contractor, the feedback provided to the States for each TEDS submission, and the procedures used to correct and resubmit data.

SOMMS participants have specific data quality requirements specified in the SOMMS subcontracts.

5.1 Objectives of the TEDS Quality Control Program

The objectives of the TEDS quality control procedures are to assure that the data are accurate and valid. The feedback provided to the States is used to confirm receipt of the State data and to help States identify and resolve data problems.

5.1.1 Quality Control Responsibilities

Each State is responsible for:

- Ensuring that each record in the data submission contains the required key fields, that all fields in the record contain valid codes, and that no duplicate records are submitted;
- Cross-checking data items for consistency across data fields;
- Responding promptly to TEDS error reports by resubmitting corrected data where appropriate.

- Reviewing the TEDS Quarterly Feedback Tables for accuracy, comparing the TEDS data with comparable state data to assure the state data have been completely and accurately reported to TEDS, and notifying the contractor of any data issues identified.
- Responding to questions about potential data problems, when applicable, and resolving all data issues identified or providing an explanation as to why the data issue cannot be resolved or does not require resolution.

The TEDS contractor is responsible for:

- Prompt processing of State data submissions into the TEDS master files;
- Checking each record submitted to verify that all TEDS key fields are valid;
- Cross-checking information within records to ensure consistency and accuracy;
- Ensuring that each record in the TEDS database is unique;
- Notifying States of errors in their data submissions and providing help to resolve State submission problems;
- Ensuring appropriate security of State submissions, and
- Promptly returning the diskette or CD to the States (if so instructed).
- Providing States with TEDS Quarterly Feedback Reports on a timely basis at the end of each calendar quarter.

5.2 Processing and Editing Performed by the TEDS Contractor

5.2.1 Processing data submitted through STSS

When data are submitted through the STSS, most processing and editing steps are done automatically, with immediate feedback of processing reports available to the State. Data files uploaded by the State to the STSS are tested with all TEDS edit procedures, and processing reports are automatically generated. States may correct errors and retest the file until the data are deemed ready for final processing and addition to the TEDS database. At that time, the State submits the file through the STSS to the TEDS contractor, who does the final processing.

The information that follows describes procedures that are performed automatically through the STSS or are performed by Synectics for non-STSS data submissions.

5.2.2 Processing data submitted by diskette, CD, or electronic transmission

The most important data fields in processing a State TEDS submission are the System Transaction Type codes (Add, Delete, and Change) and the key fields (State Code, Provider Identifier, Client Identifier, Co-Dependent/Collateral, Client Transaction Type, Date of Admission, and Type of Service). The System Transaction Type code determines whether to add, delete, or correct a record in the database. The key fields combine to form a unique identifier for each record in the TEDS database. **Records with an invalid key field are rejected.**

The records in a submission are processed in the following order according to the transaction code: Deletes, followed by Changes, followed by Adds. (This same order is followed during the STSS validation procedures). Within this processing order, records are matched against the database and the indicated action performed. An “Add” record with key fields identical to another “add” record in the submission or to a record in the TEDS database is considered to be a duplicate and is rejected unless there is a corresponding "delete" record. Rejected records are not added to the database.

In addition to checking for duplicates and invalid key fields, the edit program examines all other fields on the admission record to make sure each field has a valid code. If errors are detected, the records and the errors or inconsistencies are listed in the processing reports. **Records with errors in non-key fields are added to the database, even those that contain one or more fields with invalid codes.**

After the TEDS contractor receives a non-STSS State submission, the contractor runs the edit program in a “test mode.” In this mode, the edit is performed, duplicate records and records with errors are identified, but the records are not added to the TEDS database. A processing feedback report is produced and the results are reviewed. If the data file is “reasonably clean,” the submission is run again with the program in “production mode,” adding acceptable records to the database. A processing report is produced and sent to the State so that detected errors may be corrected. If the test run shows a significant number of records with errors in the minimum or supplemental data set and/or a significant number of records that were rejected, the TEDS contractor will notify the State by telephone or email that the file will not be run for production. The contractor will work with the State to make the necessary corrections so the data may be resubmitted.

5.3 Processing Reports

The STSS generates processing reports automatically for files submitted through STSS. The TEDS contractor will provide States with feedback regarding each non-STSS data submission. Each State will receive the following for each submission:

- Acknowledgment letter confirming that the TEDS contractor has received and incorporated the State’s data into TEDS. (See Appendix E for an example.)

- Submission Processing Results Summary-Admissions showing the number of records submitted, accepted and rejected in the submission. This report also provides information on the number of records rejected by reason for rejection, and provides summary statistics on any invalid data in the Minimum and Supplementary Data Set fields.

When applicable, the State will also receive one or more of the following reports:

- Fatal and Warning Errors in TEDS Submission-Grouped by Reason - displays records rejected in the processing because of problems found in key fields (fatal errors) and records with errors in non-key fields that will be added to the database with the error. Records are displayed in groups according to the reason for the error.
- Fatal and Warning Errors in TEDS Submission-Grouped by Field - displays records rejected in the processing because of problems found in key fields (fatal errors) and records with errors in non-key fields that will be added to the database with the error. Records are displayed in groups according to the field responsible for the error.

The Submission Processing Results Summary-Admissions and the Fatal and Warning Errors in TEDS Submission reports, along with other report options, are immediately available to the STSS user. These reports will be sent as email attachments for data files not submitted through the STSS.

Appendix E provides samples of each of the processing reports as well as a list of the error messages displayed on the reports and an explanation of their meaning. States are responsible for reviewing these reports, resolving the errors, and re-submitting corrected records.

5.4 Frequent Errors in TEDS Records

In order to help prevent potential errors and to make the submission process smoother, States are alerted to the following commonly occurring errors.

5.4.1 Frequent causes for rejected records

Records in a submission are duplicates of other records.

An "add" record is rejected if it is a duplicate of a record already on the TEDS database or a duplicate of another "add" record in the submission without a corresponding "delete" record. (Records are "duplicates" if they have identical key fields). This type of error generally results from one of 3 problems:

1. The State has submitted records that were previously submitted. This can occur if the State data system does not have a method for identifying submitted records so that they will not be resubmitted.
2. Records that are intended to have a System Transaction code of "C" (change) are erroneously submitted with a code of "A" (add). In this situation, the record that was intended to change an existing record is flagged as a duplicate and is rejected.
3. Records with Transaction Code of "A" that are intended to replace an existing record are

APPENDIX E

TEDS PROCESSING REPORTS

Appendix E - TEDS FEEDBACK REPORTS

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Introduction

The information contained in this Appendix applies differently to States that use the State TEDS Submission System (STSS) and those that do not.

States using the STSS may generate the *Submission Processing Results Summary* and the *Errors in TEDS Submissions* reports when using the STSS to submit files. When generating the reports, the State may choose the level of error to be included in the report (Fatal, Warning and Information), and may choose to display the erroneous records grouped by reason for the error or by data field. These reports will also be generated by Synectics when the data file submitted through the STSS is run for production (final processing for addition to TEDS) and will be sent to the State by email to confirm the reports previously generated by the State.

States not using the STSS will be sent selected reports, usually by email, for each file submitted. The reports generally sent are the *Submission Processing Results Summary* and the *Fatal and Warning Errors in TEDS Submission Grouped by Reason*. The other reports are available for any file processed upon request. The reports will be sent after the file has been run in test mode for State review and again when the file has been run for production.

Acknowledgement Letter - The following is an example of the letter sent to States not using the STSS, after the receipt and processing of a TEDS data submission.

July 30, 2009

Ms. State TEDS Submitter
MIS Official
Department of Health and Human Resources
Bureau of Alcohol & Drug Abuse
999 Any Street
State Capitol, USA 99999-9999

Dear Ms. Submitter:

Submission number 072003 was received on July 18, 2008 and processing was completed on July 20, 2008. According to our records, the date of the next submission for your State is during the week of August 18, 2008.

Enclosed for your review is the Submission Processing Results Summary Report the Rejected Records – Grouped by Reason Report (if applicable) providing details of the recently processed submission.

Please direct inquiries regarding the results of the submission to the TEDS contractor at the address below:

TEDS Project
Synectics, Inc.
Suite 900
1901 North Moore Street
Arlington, VA 22209

Please note, if applicable, the submission media has been returned to the person indicated in the instruction provided by your State. Thank you for your continued cooperation.

Sincerely,

[Synectics Staff]
TEDS Project Manager

cc. State Substance Abuse Director

Summary of this Appendix

After a State's submission of TEDS Admissions data is processed by the TEDS Contractor, reports are generated that provide detailed information about the outcome. These reports provide information about the number and types of records rejected in the processing, and errors found in records accepted into the database. Specific records with errors are listed for State review and correction.

In some processing reports, the terms "Fatal Error", "Warning Error" and "Information Error" may be used. A fatal error is an error in an individual record that results in that record being rejected (not added to the TEDS database). Generally, fatal errors are the result of a key field having missing or invalid data. Warning errors are non-fatal errors, meaning the record will be added to the TEDS database, though the value in the erroneous field(s) will be changed to the invalid code. Information errors are non-fatal errors that do not result in any data being changed to invalid. All errors are described for each affected record in the TEDS processing reports.

The TEDS processing reports produced include the following:

1. **Submission Processing Results Summary** (page E-5) – This report summarizes the processing outcome by showing:
 - A. The number of records accepted and rejected for each "system transaction type" (add, change or delete record).
 - B. The number of rejected records by the reason for rejection, for each transaction type.
 - C. The number of errors in accepted records for each data field.
2. **Fatal / Warning (or All) Errors in TEDS Submission - Grouped by reason** (page E-6)– This report displays specific information for each error. Records are grouped according to the reason for the error. Displayed for each error are the name of the erroneous field, all key fields for the affected record, an explanation of the error, and the value of the erroneous data (shown in the column labeled "raw"). States using the STSS may chose to see errors at all levels (Fatal, warning and information). Non-STSS States generally receive a report with Fatal and Warning errors. Further detail for the "explanation" of the error can be found in the "Listing of Error Report Messages by Field Name" on page E-9.
3. **Fatal / Warning (or All) Errors in TEDS Submission - Grouped by field** (page E-7)– This report is the same as the report described above except that the records are grouped by data field. This report may be generated through the STSS, and may be requested by non-STSS states.

Examples of these reports are provided below.

TEDSLDR1

07/17/2009

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION
OFFICE OF APPLIED STUDIES
TREATMENT EPISODE DATA SET
SUBMISSION PROCESSING RESULTS SUMMARY - ADMISSIONS

SUBMISSION NUMBER: NE062009 DATE OF ADMISSION
STATE: NE - Nebraska EARLIEST LATEST
REPORTING DATE: 06/2009 04/01/2009 06/30/2009
RECORDS SUBMITTED: 4,825

PROCESSING RESULTS SUMMARY

	PROCESSED	ACCEPTED	REJECTED	PERCENT REJECTED
ADDS	4,822	4,721	101	2.09%
CHANGES	3	0	3	100.00%
DELETES	0	0	0	0.00%
TOTAL	4,825	4,721	104	2.16%

REJECTED RECORDS: REASONS FOR REJECTION

	INVALID STATE CODE	INVALID PROVIDER ID	INVALID CLIENT ID	INVALID CO-DEP CODE	INVALID DATE OF ADMISSION
ADDS	0	38	0	0	0
CHANGES	0	0	0	0	0
DELETES	0	0	0	0	0
TOTAL	0	38	0	0	0

	INVALID CLIENT TRAN TYPE	NO RECORD FOUND	DUPLICATE KEY WITHIN SUBMISSION	DUPLICATE KEY IN DATABASE	OTHER FATAL ERRORS
ADDS	0	N/A	63	0	0
CHANGES	0	2	1	N/A	0
DELETES	0	0	0	N/A	0
TOTAL	0	2	64	0	0

ACCEPTED RECORDS WITH NON-CRITICAL ERRORS 12

ACCEPTED RECORDS: DATA SET ERRORS

DATA ITEM	# INCORRECT
DETAIL CRIM JUSTICE	3
DETAIL DRUG 1 INVALID	2
DETAIL DRUG 2 INVALID	2
DETAIL DRUG 3 INVALID	2
DOB/DOB-1ST USE AGE	1
ROUTE_OF_ADMIN	6
ROUTE_OF_ADMIN	1
ROUTE_OF_ADMIN	1

TEDSLDR5

09/16/2009

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION
 OFFICE OF APPLIED STUDIES
 TREATMENT EPISODE DATA SET - ADMISSIONS
 FATAL AND WARNING ERRORS IN TEDS SUBMISSION - GROUPED BY REASON

SUBMISSION NUMBER: CO092009

SYS- TRAN ID	PROVIDER	CLIENT ID	CLIENT		DATE OF ADMISSION	SVE CODE	RECORD NUMBER	RAW VALUE	CRITICAL ERROR	EXPLANATION
			CO- DEP	TRAN TYPE						
A	1386-04	551679	2	A	07/23/2009	02	1681	20	N	Sub2, Detail Drug2 not in Family
A	1030-00	759485	2	A	07/29/2009	02	5572	11231975	N	Age of First Use Error
A	1030-00	759568	2	A	07/24/2009	02	5744	10251985	N	Age of First Use Error
A	1053-01	376055	2	A	07/31/2009	02	4633	12121944	N	Age of First Use Error
A	1053-01	707719	2	A	07/03/2009	02	2352	07221968	N	Age of First Use Error
A	1053-01	758333	2	A	07/12/2009	02	3345	10231989	N	Age of First Use Error
A	1053-01	758545	2	A	07/05/2009	02	3931	12311989	N	Age of First Use Error

