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Data Exchange and Continuity of Care Guidelines

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I. Background

A. Historical Data Exchange

In compliance with the Texas [Health and Safety Code \(THSC\)](#), Chapter 614, the Department of State Health Services (DSHS) requires all 37 Local Mental Health Authorities (LMHAs) and the NorthSTAR program (collectively known as "[community centers](#)," or singularly, a "community center") to exchange data with local and county jails on individuals booked into jails who also have a history of state mental health care. The type of information that is routinely exchanged includes, but is not limited to, the individual's name, date of birth, social security number, sex, ethnicity, diagnoses, a community center or state Mental Health Facility (SMHF) service provider identifier, and the dates of most recent service by the community center, or SMHF. This data exchange process is electronically completed by the county jails and the community center is required to exchange information within 72 hours of the jail's request to the community center. DSHS developed this data-exchange process in collaboration with the Texas Correctional Office on Offenders with Medical or Mental Impairments (TCOOMMI), the Texas Commission on Jails Standards (TCJS), and the Texas Department of Public Safety (DPS) in an effort to ensure continuity of care for individuals with mental illness who are involved with the criminal justice system, and to provide local post-booking jail diversion opportunities.

B. Senate Bill 839

The 80th Texas Legislature passed [Senate Bill 839](#), which amended the THSC, Chapter 614 to include DPS - Bureau of Identification and Records in the data exchange process. As amended, the THSC §614.017 requires DSHS and DPS to develop a real-time identification and data-exchange system for special needs offenders which replaced the 72-hour manual data exchange process. This revision to the data-exchange process was an effort to ensure more expedient data exchange to support continuity of care for individuals with mental illness who are involved with the criminal justice system, and local post-booking jail diversion activities.

C. Guiding Legislation and Contract Requirements

This section contains statutory and contractual requirements most important to the deployment and management of a continuity of care and services program. It is not meant to be a comprehensive listing of all statutory and contractual requirements placed on DSHS, community centers, jails, TCOOMMI, TCJS, or DPS, or that may affect continuity of care and services programs.

1. THSC, Chapter 614 requires agencies to:
 - a. accept information relating to a [special needs offender](#) that is sent to the agency to serve the purposes of [continuity of care and services](#) regardless of whether other state law makes that information confidential; and
 - b. disclose information relating to a special needs offender, including information about the offender's identity, needs, treatment, social, criminal,

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and vocational history, supervision status and compliance with conditions of supervision, and medical and mental health history, if the disclosure serves the purposes of continuity of care and services.

2. THSC, Chapter 533:
 - a. requires DSHS to develop rules related to the responsibility of the community centers to make recommendations relating to the most appropriate and available treatment alternatives for individuals in need of mental health services, including individuals who are in contact with the criminal justice system and individuals detained in local jails and juvenile detention facilities;
 - b. requires community centers to provide assessment services, crisis services, and intensive and comprehensive services using disease management practices for adults with bipolar disorder, schizophrenia, or clinically severe depression and for children with serious emotional illnesses; and
 - c. states that DSHS must require each LMHA to incorporate jail diversion strategies into the authority's disease management practices for managing adults with schizophrenia and bipolar disorder to reduce the involvement of those client populations with the criminal justice system.
3. THSC, Chapter 534 requires community centers to provide:
 - a. 24-hour emergency screening and rapid crisis stabilization services;
 - b. community-based crisis residential services or hospitalization;
 - c. community-based assessments, including the development of interdisciplinary treatment plans and diagnosis and evaluation services;
 - d. family support services, including respite care;
 - e. case management services;
 - f. medication-related services, including medication clinics, laboratory monitoring, medication education, mental health maintenance education, and the provision of medication; and
 - g. psychosocial rehabilitation programs, including social support activities, independent living skills, and vocational training.
4. Title 25, [Texas Administrative Code](#), Chapter 412, Subchapter D establishes criteria and guidelines related to:
 - a. SMHF admissions, transfers, absences, and discharges;
 - b. community center admissions and discharges, and changing community centers; and
 - c. continuity of services for persons receiving community center services and inpatient services at a SMHF.
5. The community center contract requires coordination with criminal/juvenile justice agencies (e.g., police departments and sheriff's offices, adult/juvenile probation offices, parole offices, and local/county jails), and other social services agencies (e.g., Outreach Screening Assessment and Referral providers, detoxification or substance abuse treatment providers, and family advocacy agencies) within the local service area. Demonstration of efforts to coordinate service delivery is reflected in maintenance of a [Local Service Area Plan \(i.e., the Consolidated Local Service Plan\)](#). One element of the Local Service Area Plan is System-Wide Priorities: Jail Diversion Strategies . In this

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plan the community center identifies the processes by which the community center implements jail and detention diversion strategies for adults with serious mental illness and children or youths with serious emotional disturbance. The context for identification of jail diversion strategies is based on the Substance Abuse and Mental Health Administration's Sequential Intercept Model to which there are five elements: :

- a. Intercept 1:
 - i. identification of individuals with serious mental illness and serious emotional disturbances involved with, or at high risk of becoming involved with, the criminal and juvenile justice systems;
 - ii. providing crisis screening and assessment for inpatient hospitalization; and
 - iii. receiving criminal or juvenile justice system referrals.
- b. Intercept 2:
 - i. criminal or juvenile justice system diversion strategies implemented at time of initial detention/court hearings ;
- c. Intercept 3:
 - i. criminal or juvenile justice system diversion strategies implemented with judges, the District Attorney's Office, and defense attorneys;
- d. Intercept 4:
 - i. collaboration and coordination efforts with local stakeholders supporting the diversion of individuals from the criminal or juvenile justice system such as facilitating reentry from jails or prisons;
- e. Intercept 5:
 - i. how state, federal, and local funds are integrated to support efforts to re-integrate individuals into the community through programs/services designed for individuals on probation or parole. .

II. Electronic Data Interchange (EDI)

A. CARE/TLETS Interface

DSHS and DPS have created an interface between the [Client Assignment and Registration](#) (CARE) system and the [Texas Law Enforcement Telecommunications System](#) (TLETS). This interface allows authorized personnel at local and county jail TLETS terminals to run a real-time query on CARE. The query process begins when the authorized TLETS personnel sends a [data inquiry](#) to CARE that includes an individual's last name, first name, date of birth, social security number, sex, ethnicity, and race.

B. CARE Match Algorithm

DSHS uses the following match algorithm after a TLETS data inquiry is received:

1. Exact match - the data inquiry matches on last name, first name, date of birth, sex, social security number, and race.

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2. Probable match – the data inquiry matches on a minimum 5 of the 6 exact match items (last name, first name, date of birth, sex, and race) and includes at least 7 matching numbers of the social security number.
3. Possible match - The data inquiry matches on:
 - a. last name, first initial, date of birth, and sex; or
 - b. last name, first initial, birth year, sex, and social security number; or
 - c. the first 3 letters of the last name, first initial, the year and month of birth, sex or social security number; or
 - d. last name matches to any others found, first initial matches to any others found, age is within 5 years, sex, and social security number matches to any others found.

C. CARE Return Report Selection Criteria

After CARE receives the TLETS data inquiry and searches for matching information, then CARE begins the process of preparing a return report. The selection of data for the return report is completed in accordance with the following selection criteria:

1. The match is an individual with a registered problem of mental health in CARE ;
or
2. The match is an individual with a registered mental health encounter, mental health hospitalization, mental health CARE assignment, or, TRAG or Adult Needs and Strength Assessment recommending a full RDM service package or level of care (LOC) in or since fiscal year 2011 (September 2010 to date).

D. CARE Return Report

CARE may find one or multiple matches depending upon the commonality of the individual's personal identifying information, or the individual's history of state mental health care. When CARE finds a match, and the selection criteria are met, then CARE sends completed search results in a return report back to the authorized TLETS user. Exact matches are given priority on the return report. Therefore, if the match algorithm finds an exact match and one or more possible matches, then only the exact match is returned to the authorized TLETS user. If the match algorithm finds one or more possible matches, and no exact matches, though, then all possible matches are returned to the authorized TLETS user.

The CARE return report includes:

1. The data inquiry [match type](#);
2. Unique client identification numbers for each match;
3. Last, first name;
4. Social security number;
5. Social security match;
6. Date of birth;
7. Gender;
8. Race;
9. County of residence code;
10. Community center component number;

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11. Community center phone number;
12. The client's local case number; and
13. The time that CARE received and then replied to the data inquiry.

TLETS displays the [CARE return report](#) to the authorized user, who will then analyze the data for a proper match. If the match is based upon a SMHF admission only, then the CARE return report will populate the community center component and phone number fields with the community center within the local or county jail's catchment area. If the match is based upon a mental health community service encounter, authorization, or assessment, then the CARE return report will populate the community center component and phone number fields with the community center that generated the encounter, authorization or assessment. Therefore, the community center displayed as part of the CARE return report may not be the community center located within the local or county jail's catchment area. In order to prevent duplication of services or diversion efforts, the community center within the local or county jail's catchment area should incorporate communication and coordination procedures into the local continuity of care and services program operating procedures.

E. Continuity of Care Reports

CARE will create a response log table that includes both the TLETS data inquiry and the CARE return report. This response log table will be accessed daily by the [Mental Retardation and Behavioral Health Outpatient Warehouse](#) (MBOW). MBOW will match the data within the response log table to information within MBOW to create [cross-reference and continuity of care reports](#). These reports are designed for use by community centers to support local continuity of care and service activities for individuals with mental illness who are involved with the criminal justice system, and to divert individuals from the criminal justice system into appropriate community-based treatment alternatives.

Cross-reference and continuity of care reports are located in MBOW within the CA Continuity of Care folder. These reports will be available to all authorized MBOW users. The selection of data for the continuity of care reports occurs based upon the presence of mental health activity within three years of the TLETS data inquiry. MBOW uses data found in accordance with the following hierarchy:

1. Texas Resilience and Recovery (TRR) authorizations for LOCs 1 – 5;
2. Mental health community service encounters; and
3. SMHF admissions.

A community center will receive updated cross reference and continuity of care reports daily if, based upon the search hierarchy, the community center is determined to be a [Continuity of Care Center](#) (CC Comp) or a [Jail Territory Center](#) (Jail Comp). The CC Comp is listed first, and the Jail Comp is listed second on all continuity of care reports. These reports will contain service provision information from community centers and SMHFs. All information in these reports is designed to assist community centers with the operation of the local continuity of care and

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services program¹. Community centers shall review these reports daily, and incorporate the information contained in them into the daily operations of the locally developed continuity of care and services program. The Jail Match cross-reference and continuity of care report contains state Fiscal Year, Query Begin and End Date, and Match Type [prompts](#), and a multitude of [drillable variables](#). The first two tabs of the Jail Match report (i.e., Client Count by Match Type, and Request Count by Match Type) contain actuarial data, but the last two tabs (i.e., Detail by Responsible Component, and Detail By Request) contain details relevant to determining appropriateness for diversion.

III. Continuity of Care and Services Program

Community centers shall coordinate efforts to merge jail and detention diversion efforts/strategies into a locally developed and operated continuity of care and service program. As outlined in the definition of [continuity of care and services](#), this program shall be designed to identify treatment or service needs, develop plans to meet identified needs, and to coordinate the provision of services at the local level. In order to satisfy this requirement, the community center shall coordinate collaborative development of operating procedures to support the continuity of care and services program. Minimally, continuity of care and service program operating procedures shall address:

1. The means of communication among local criminal/juvenile justice agencies, and other social services agencies participating in the continuity of care and services program;
2. Access to 24-hour emergency screening and rapid crisis stabilization services as required by Health and Safety Code Chapter 534;
3. The type, and limits, of services provided by each agency participating in the continuity of care and services program;
4. Continuity of care and services program eligibility criteria, which includes eligibility criteria for pre- and post booking diversion, admission to a SMHF, and admission to detoxification and substance abuse treatment services;
5. The process for providing continuity of care and services, including pre- and post-booking diversion, admission to a SMHF, and admission to detoxification and substance abuse treatment services; and
6. The process for coordinating communication regarding continuity of care and services between local continuity of care and services program agencies, and other community center providers when individuals from outside of the local service area are provided continuity of care and services.

¹ Disclosure of confidential information received within these reports for purposes other than continuity of care and services, or as authorized by other law or by the consent of the person to whom the information relates is an offense classified as a Class B misdemeanor under Health and Safety Code, Chapter 614.

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IV. Glossary of Terms

1. Client Assignment and Registration - WebCARE is a web-based clinical record keeping system for state-contracted community mental health and substance abuse service providers.
2. Community Centers – A term used to identify all 37 Local Mental Health Authorities and the NorthSTAR program collectively.
3. Continuity of Care Center - the TLETS data inquiry and MBOW selection criteria indicates that the community center is:
 - a. the community center that provided the most recent authorization into LOC 1 - 5, if found;
 - b. the community center that delivered the most recent mental health community service encounter, if found; and/or
 - c. the center of discharge listed on the individual's SMHF discharge summary.
4. Continuity of Care and Services - refers to the process of:
 - a. identifying the medical, psychiatric, or psychological care or treatment needs and educational or rehabilitative service needs of an offender with medical or mental impairments;
 - b. developing a plan for meeting the treatment, care, and service needs of the offender with medical or mental impairments; and
 - c. coordinating the provision of treatment, care, and services between the various agencies that provide treatment, care, or services such that they may continue to be provided to the offender at the time of arrest, while charges are pending, during post-adjudication or post-conviction custody or criminal justice supervision, and for pretrial diversion.
5. Crisis Intervention Services - Interventions provided in response to a crisis in order to reduce symptoms of severe and persistent mental illness or serious emotional disturbance and to prevent admission of an individual to a more restrictive environment.
- 6.
7. Jail Territory Center - The TLETS data inquiry originated from the LMHA or NorthSTAR local service area.
8. Local Service Area Plan – A comprehensive plan that demonstrates the community center's ability to coordinate and maximize services by using the best and most cost-effective means of using federal, state, and local resources to meet the needs of the local service area.
9. Match Type - includes the following:
 - a. exact - the information submitted by the authorized TLETS user matched exactly with information maintained in DSHS's mental health database; and
 - b. possible - enough information submitted by the authorized TLETS user matched with the information maintained in DSHS's mental health database to indicate that the individual has likely been registered. The information submitted, though, did not match exactly and should be examined further.
10. Mental Retardation and Behavioral Health Outpatient Warehouse - A data warehouse that standardizes reporting and analysis across the state-funded community-based mental health service network. Reports are available via a web interface and focus on utilization management and contract compliance.

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11. TRR - The state-funded community-based mental health service delivery model in Texas.
12. Special Needs Offender - Includes an individual for whom criminal charges are pending or who after conviction or adjudication is in custody or under any form of criminal justice supervision.
13. System-Wide Priorities: Jail Diversion Strategies - The community center's plan for ongoing identification and diversion of adults with serious mental illness and children or youths with serious emotional disturbance from the criminal and juvenile justice system respectively.
14. Texas Law Enforcement Telecommunications System - A store and forward message switching application behind city and county law enforcement telecommunications systems. TLETS provides 24 hours per day, 7 days per week access to a variety of local, state, and federal law enforcement database systems.

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V. Figures

A. TLETS Data Inquiry Screen

The screenshot shows a web application window titled "CONTINUITY OF CARE QUERY". The window is divided into four main sections, each with a title and several data entry fields:

- AGENCY/CASE DATA:**
 - Originating Agency Code (ORI): TX1101110
 - Jail County (COU): [Empty field with dropdown arrow]
- PERSON DATA:**
 - Last Name (LNA): [Empty field]
 - First Name (FNA): [Empty field]
 - Date of Birth (DOB): [Empty field]
 - Sex (SEX): [Empty field with dropdown arrow]
 - Social Security Number (SOC): [Empty field]
 - Race (RAC): [Empty field with dropdown arrow]
- JAIL FACILITY DATA:**
 - Jail Contact Person (JCN): BOB SMITH
 - Jail Name (JNM): CUT AND SHOOT PD
 - Jail Address (ADR): 5805 S LAMAR BLVD
 - Jail City (CTY): GEORGETOWN
 - Jail Zip Code (ZIP): 78752
 - Jail Phone Number (PHO): [Empty field]
- SPECIAL OPTIONS:**
 - Control Field (CTL): [Empty field]

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B. TLETS CARE Return Report Screen

REGARDING INQUIRY ON:

LNA/XXXXXXXXXX.FNA/.XXXXXXXXXX.DOB/19670315.SEX/Male.SOC/111223333.ETH/Hispanic.JCN
/JCN.JNM/JNM.JCO/227.ADR/JAIL ADR.CTY/AUSTIN.ZIP/78753.PHO/5124242000.

Match type: POSSIBLE
Client ID: 111222
Client Name: XXXXXXXXXXXX, XXXXXXXXXXXX
SSN: 111-22-3333
SSN Match: Y
DOB: 1957-12-25
Gender: FEMALE
Race: ASIAN
County Code: WILBARGER
Community Center Component: NTSB
Community Center Phone: 940 552-9901
Community Center Case ID: F14000

Match type: POSSIBLE
Client ID: 333444
Client Name: XXXXXXXXXXXX, XXXXXXXXXXXX
SSN: 111-22-3333
SSN Match: N
DOB: 1990-09-22
Gender: MALE
Race: WHITE
County Code: WICHITA
Community Center Component: HELEN FARABEE
Community Center Phone: 940 397-3143
Community Center Case ID: F21000

Match type: POSSIBLE
Client ID: 555666
Client Name: XXXXXXXXXXXX, XXXXXXXXXXXX
SSN: 111-22-3333
SSN Match: N
DOB: 1983-02-15
Gender: FEMALE
Race: WHITE
County Code: MONTGOMERY
Community Center Component: TRI-COUNTY
Community Center Phone: 936 756-8331
Community Center Case ID: F22000

Match type: EXACT
Client ID: 777888
Client Name: XXXXXXXXXXXX, XXXXXXXXXXXX
SSN: 111-22-3333
SSN Match: Y
DOB: 1994-11-20
Gender: FEMALE
Race: BLACK OR AFRICAN AMERICAN
County Code: MONTGOMERY
Community Center Component: TRI-COUNTY
Community Center Phone: 936 756-8331
Community Center Case ID: F20000

MRI: XXXXXXXX IN: DSHS 1 AT ddmmyyyy hh:mm:ss
OUT: XXXX 1 AT ddmmyyyy hh:mm:ss

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C. Cross-Reference and Continuity of Care Reports

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The screenshot displays the BusinessObjects InfoView application interface. At the top, the browser address bar shows the URL: `http://hhsapp08.mhmr.state.tx.us:8080/InfoViewApp/listing/main.do?appKind=InfoView&service=%2FInfoViewApp%2Fcommon%2FAppService.do&`. The application header includes "BUSINESSOBJECTS INFOVIEW" and the Business Objects logo. The main content area is titled "Web Intelligence - Jail Match" and contains a report titled "Client Count by". A "Prompts" dialog box is open, displaying the following prompts:

- Select the Fiscal Year(s). 2010
- Select the Query Begin Date. 6/1/2009 12:00:00 AM
- Select the Query End Date. 6/9/2010 12:00:00 AM
- Select Match Types to Include: Exact;Probable

The dialog also features a "Refresh Values" section with a "Refresh Values" button and a list containing "2010". Below this is a search field labeled "Enter your search pattern here" and a "More Information" link. At the bottom of the dialog are "Run Query" and "Cancel" buttons. The background report shows a table with columns for "SSN Match", "Resp Comp Code", "Query Date", and "Facility County Name". The bottom of the interface includes a navigation bar with tabs for "Client Count by Match Type", "Request Count by Match Type", "Request Count by County", "Detail by Resp Comp", and "Detail by Request". The system tray at the bottom right shows the date and time: "11:02 AM Friday 9/3/2010".

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The screenshot displays the BusinessObjects InfoView application within a Windows Internet Explorer browser. The browser's address bar shows the URL: `http://hhsapp08.mhmr.state.tx.us:8080/InfoViewApp/listing/main.do?appKind=InfoView&service=%2FInfoViewApp%2Fcommon%2FappService.do`. The application title is "BusinessObjects InfoView".

The main interface is titled "Jail Match" and includes a navigation menu with "Home", "Document List", "Open", "Send To", and "Dashboards". On the right, there are links for "Help", "Preferences", "About", and "Log Out".

The central area is divided into several sections:

- Data Properties:** A tree view on the left shows a hierarchy starting with "Registry Match", followed by "Responsible Center Dimension", "Match Request Time Dimension", "Match Request Dimensions", "Match Response Dimension", "Continuity of Care Dimension" (which is selected), and "Measures".
- Result Objects:** A grid of 48 object buttons, each with a blue arrow icon. These objects include:
 - Responsible Comp Code and Name, CoFC Type, Last Enc Comp Cd, Last Enc Proc Cd, Last Enc Service Date, Last Hosp Followup MH Comp Cd, Last Hosp Admit Date
 - Last Hosp Disch Date, Auth Comp Cd, LOC-A Cd, Last LOC-R Cd, Last Auth End Dt, Auth Server Desc, Auth Local Unit, Auth Case No, CoFC Territory Status
 - Facility Name, Facility Name, City, Contact and Phone, First Name, Birth Date, Match Type, Resp Last Name, Resp First Name, Resp Birth Date
 - Query Date and Time, Care ID, Resp Comp Code, Resp Comp Name, CoFC Comp Cd, Jail Territory Comp Cd, SSN, Resp SSN, Last Name
 - Resp County, Request Id, Highest Match Type Cd, Matching Comp Count, Matching Client Count, Gender, Race, Resp Gender, Resp Race
 - Resp Case No, Query Date, Jail Territory Comp Code and Name, CoFC Comp Cd and Name, Proc Short Desc, SSN Match, Last Hosp Comp Cd, Last ATYP Comp Cd
 - Last ATYP Service Month, Last Med Enc Comp Cd, Last Med Enc Comp Cd and Name, Last Med Enc Service Date, Last Med Enc Proc Cd, Last Med Enc Proc Short Desc
 - Diagnosis Sub Group, Facility County Name, Transaction Count, Response Count
- Query Filters:** A section containing three filter criteria:
 - Jail Match Request
 - Prompt Query Fiscal Year
 - Prompt Query Date Between
 Below these is a "Match Type" filter with an "In list" dropdown and a "Select Match Types to Include:" button.

At the bottom left, there are radio buttons for "Display by objects" (selected) and "Display by hierarchies". A "Query 1" button is also present. The status bar at the bottom indicates "Retrieving data" and "Last Refresh Date: September 3, 2010 11:20:04 AM GMT-05:00".