

POLICY MANUAL

State Mental Health, Mental Retardation and Substance Abuse Services Board Department of Mental Health, Mental Retardation and Substance Abuse Services

POLICY 1030(SYS) 90-3 Consistent Collection and Utilization of Data in State Facilities and Community Services Boards

Authority	Board Minutes Dated June 27, 1990 Effective Date: June 27, 1990 Approved by Board Chairman s/Greer D. Wilson, Ed.D.
References	STATE BOARD POLICY 1021 (SYS) 87-9 Core Services Taxonomy STATE BOARD POLICY 1034 (SYS) 05-1 Partnership Agreement STATE BOARD POLICY 1037 (SYS) 05-4 Individual Consumer Information and the Community Consumer Submission Current Community Services Performance Contract Current State Facility Director Performance Agreements Current Core Services Taxonomy Current Department of Mental Health, Mental Retardation and Substance Abuse Services Information Technology Strategic Plan Current version of AVATAR
Background	The Department recognizes that development of efficient and compatible information systems, identification and implementation of data reporting requirements that are cost-effective and consistent, and use of the data that these systems produce are integral to the effective, efficient, and accountable provision and management of services to consumers and the responsible stewardship of financial and human resources. Beginning in the early 1980s, the Department, in collaboration with the Virginia Association of Community Services Boards (VACSB) Data Task Force and representatives from state facilities, initiated efforts to standardize data collection for community services boards and behavioral health authorities, hereafter referred to as CSBs, and state hospitals and training centers, hereafter referred to as state facilities. By 1985, this collaboration produced the original core services taxonomy, the first individualized client data elements (ICDE), which was a listing of minimum data elements to be collected by CSBs, and the community services performance contract, all of which established routine reporting requirements and a minimum data set for CSBs or state facilities.

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STATE BOARD POLICY 1021 defines the core of mental health, mental retardation, and substance abuse services to be provided by CSBs and states that the current core services taxonomy shall be used to classify, describe, and measure the services delivered by all CSBs and state facilities.

STATE BOARD POLICY 1034 continues the collaborative approach that produced the core services taxonomy, performance contract, and ICDE. This policy recognizes and supports the evolution in the relationship between CSBs and the Department and its state facilities to a more collegial partnership and establishes the Central Office, State Facility, and CSB Partnership Agreement as the ongoing basis for this relationship. The agreement states that, where possible, joint work groups, representing CSBs, the Central Office, and state facilities, shall review all surveys, measures, or other requirements for relevance, cost benefit, validity, efficiency, and consistency with this statement prior to implementation and on an ongoing basis as requirements change.

In 1993, the VACSB established the Administration Committee as a standing committee that included department staff to routinely review and update data collection and reporting documents as one of its responsibilities. The committee developed the Reporting Requirements for Community Services Board Manual that incorporated the core services taxonomy, ICDE, and reporting requirements. Subsequently, this manual has been superceded by the current core services taxonomy and the community consumer submission that were developed collaboratively by the VACSB Data Management Committee, a subgroup of the Administration Committee, and the Department. The community consumer submission replaced the ICDE and the reporting requirements.

STATE BOARD POLICY 1037 articulates policy for the collection and use of individual consumer and service information and establishes the community consumer submission as the mechanism through which this information will be collected, reported, and utilized for consumers receiving services from CSBs.

The Department maintains an Information Technology Strategic Plan, as required by the Virginia Information Technologies Agency. This plan identifies the Department's current strategic information technology initiatives and projects. AVATAR is the information system that collects data and information and produces reports about consumers and services in state facilities and bills responsible parties for those services.

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The community services performance contract requires the Department and representatives of CSBs to work together to ensure that data and reporting requirements are consistent with each other and with the current core services taxonomy, community consumer submission, and applicable federal requirements. The Department has established an internal Data Policy Task Force to make recommendations to the Commissioner regarding the development, management, and utilization of department data. This task force also provides oversight and advice to facilitate coordination of the Department's multiple data systems and develops standards for Department, state facility, and CSB data systems.

Purpose

To articulate policy about consistent requirements for the collection and use of individual consumer and service data and information by the Department, CSBs, and state facilities.

Policy

It is the policy of the Board that the Department, state facilities, and CSBs shall collect and report data and information that are consistent to the greatest extent possible about consumers and the services they receive. The Department, state facilities, and CSBs shall use this data and information to monitor and evaluate the effectiveness and efficiency of state facility and community services; to identify, monitor, and report consumer outcome and provider performance measures; and to make decisions about the development and operation of state facility and community services. The Department, in collaboration with state facilities and CSBs, shall establish consistent data collection and data reporting requirements for CSBs and state facilities.

Further, it is the policy of the Board that, in all circumstances, the Department, state facilities, and CSBs shall identify collaboratively the minimum data needed to satisfy a specific requirement or accomplish a particular task or responsibility, in order to limit the imposition of additional workload burdens on direct service and administrative support staff. Nothing in this policy should be construed to limit the abilities of the Department, state facilities, or CSBs to obtain or utilize any data or information necessary to carry out their legal responsibilities, duties, or authorities.

It is also the policy of the Board that all current and future requirements for individual consumer and service data and information shall be consistent, to the greatest extent possible, with each other and with the current core services taxonomy, the current community consumer submission, and the current version of AVATAR and other state facility information systems. All current and future requirements for individual consumer and service data and information shall be identified and addressed collaboratively by the Department, state facilities, and

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CSBs in accordance with the partnership agreement established in STATE BOARD POLICY 1034. The core services taxonomy and community consumer submission shall be developed and revised collaboratively by the Department, state facilities, and CSBs in accordance with that partnership agreement.

Further, it is the policy of the Board that the Department shall identify points of responsibility within the Central Office for:

- the design of automated information systems,
- the collection of state facility and community services data,
- the coordination of responses to requests for consumer, service, financial, and human resource data from state facilities and CSBs, and
- the accuracy and reliability of automated CSB and state facility data.

It is also the policy of the Board that the Department shall establish, to the greatest extent possible within available resources, automated information systems and other mechanisms to:

- Assist CSBs and state facilities to reduce the paper work required to maintain clinical records and to collect and report consumer and service data;
- Track the movement of consumers among state facilities, between state facilities and CSBs, and among CSBs;
- Measure provider performance and consumer outcomes to assess the effectiveness of services;
- Support the development of an integrated system of quality improvement for state facility and CSB services;
- Address federally-mandated consumer, service, and manpower reporting requirements; and
- Establish a data collection mechanism in which the Department, each state facility, and each CSB has access to the financial, consumer, service, and human resources data that they mutually agree is critical to the management and operation of Virginia's public mental health, mental retardation, and substance abuse services system.

Further, it is the policy of the Board that the Department, in conjunction with CSBs and state facilities, shall develop procedures that ensure the confidentiality of shared data and information about consumers. Documentation of those procedures shall be made available upon request. The Department, state facilities, and CSBs shall comply with the Health Insurance Portability and Accountability Act and its implementing regulations, Confidentiality of Alcohol and Substance

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Abuse Records (42 C.F.R. Part 2), and other applicable current or future federal statutes or regulations and any relevant current or future state statutes or regulations regarding confidentiality of information about consumers.

It is also the policy of the Board that the Department shall make available, to the greatest extent possible within available resources, technical assistance and guidance to CSBs and state facilities about the procurement of automated data processing hardware and software and technical assistance and funding to support ongoing training of information technology and data management staff at state facilities and CSBs.

Further, it is the policy of the Board that each CSB and state facility shall develop policies and plans for ensuring the confidentiality, timeliness, quality, validity, and reliability of its automated data and information.

It also is the policy of the Board that the Department shall provide for formal liaison with the Virginia Association of Community Services Boards to ensure the VACSB's involvement in issues pertaining to:

- data collection and reporting activities of the Department, CSBs, and state facilities;
- the development of uniform definitions and conventions used in data collection, reporting, and analysis activities; and
- the review of procedures to ensure that they comply with the Health Insurance Portability and Accountability Act and other statutory or regulatory confidentiality requirements.

Finally, it is the policy of the Board that the Commissioner shall ensure that compliance with this policy is reflected in annual community services performance contracts and state facility director performance agreements.
