
Automatic Case Distribution

SMCR-665

Updated 08/25/2009

System Maintenance Change Request (SMCR)

AMENDMENTS

Amendment #	Description	Date
1.0	<ol style="list-style-type: none"> 1. Modify Table 3-1 Organizational Unit (rename Field #1, add telephone number) 2. Modify Table 3-2 Caseload Structure (rename Field 6, remove Fields 7, 8 & 9. Add new fields Permanent Daily Limit and Daily increment) 3. Modify 3.6 Display Changes (Caseload Code displays on legacy client search results and as a hyperlink in CMS Net Web client headers and client search results) 4. Add new requirement for Section 3.6 display Changes (When Caseload Code hyperlink is selected, a new pop-up box will display with information regarding the caseload and OU members) 5. Add assumption regarding Admin. Lock functionality. 	2/2/09
2.0	<ol style="list-style-type: none"> 1. Add Appendix E, Sample Report for My Caseload hyperlink 	2/3/09
3.0	<ol style="list-style-type: none"> 1. Modify Table 3-1 Organizational Unit (updated description for members and administrator, removed Parent/Child Relationship, renamed Role to Class (from user Security), updated source of telephone number from user security). 	2/5/09
4.0	<ol style="list-style-type: none"> 1. Modify Table 3-2 Updated field name to be Team Association. 2. Updated appendix E. This report will also display from the Caseload Identification screen. 3. Page 3 OU description, removed requirement that there is only one OU per county. There may be 1 or more OU per county. 	2/18/09
5.0	<p>Removed duplicate date validations for new referrals and total limits. Retained date range validation for temporary daily limits only and consolidated reason codes.</p> <p>Updated acronyms and definitions table.</p> <p>Modified the My Caseload functionality and added new report to Reports menu for user to print Caseload Details</p>	4/22/09
6.0	Updated Field 6 description for Table 3-2, Caseload Structure	5/12/09

Amendment #	Description	Date
7.0	<p>Accepted a multitude of grammatical suggestions.</p> <p>Updated field description (format) for Table 3-1 Organizational Structure</p> <p>Table 3-2, Caseload Structure updates: Removed Fld #5 (Permanent Daily Limit) and Fld #6 (Daily Increment) Renamed Fld #11 (Requested by) to Comment</p> <p>Section 3.3, Caseload Routing</p> <ol style="list-style-type: none"> 1. Added additional information regarding shelter cases 3. Updated information regarding siblings <p>3.4, Processing Rules</p> <ol style="list-style-type: none"> 2. Updated details, combined 2 & 3 4. Updated details 5,6. Removed original text <p>3.5,Carve Out Rules</p> <p>Administrative lock cases, updated description to reference CMSFS-10 Orthodontia cases, updated description to reference CMSFS-10</p> <p>3.7, Caseload Transfer/Movement</p> <ol style="list-style-type: none"> 1. Updated information about the shelter flag 4. Added information about siblings and transferring cases <p>3.9 Notifications</p> <p>Removed "My Caseload" requirements and Appendix D screen shot</p>	8/25/09

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1 INTRODUCTION

1.1 PURPOSE

The purpose of this SMCR is to define a module in CMS Net for automatic case distribution and all other components that surround case distribution.

1.2 SCOPE

The scope of this SMCR is to:

- Create a method for specific users based upon defined security roles the ability to restrict caseload assignment, transfer caseload assignments, view caseload assignments and run reports according to caseload business rules.
- Create a systematic method for cases to be assigned to an OU (Caseload) based upon definable business rules for the County Office and Regional Office. The initial implementation focuses implementation of the LA County requirements for case distribution, but the development should be flexible enough to allow other counties/Regional Offices to define business rules.

1.3 DEFINITIONS, ACRONYMS, AND ABBREVIATIONS

Table 1-2 lists the definitions, abbreviations and acronyms that may be used within this document:

Table 1-1, Definitions, Abbreviations and Acronyms

Term	Definition
ACMS	Automated Case Management System (Los Angeles County CCS Program Case Management System)
CCS	California Children’s Services
CIN	Client Index Number
CMS	Children’s Medical Services
DHCS	Department of Health Care Services
MTP	Medical Therapy Program
MTU	Medical Therapy Unit
OT	Occupational Therapy
PT	Physical Therapy
PFSW	Patient Financial Social Worker
SMCR	System Maintenance Change Request
OU	Organization Unit – the structure to create the parent-child relationships between county and case managers
Caseload Structure	the structure to create the relationship between the individual client records and the caseload definitions
Team	the CMS Net user(s) who represent the principal participants responsible for a caseload
Members	CMS Net user(s) who are a member of the OU and share similar case management responsibilities
Carve Out	Carve out cases are excluded from the automatic distribution rules.
Admin Lock	Cases assigned to a caseload that is managed by a specific Administrative case manager.
Target Limit	The number of cases the CL administrator would ideally like to see in the caseload.
Temporary Daily Limit	the total number of cases the caseload may be assigned each day
Permanent Daily Limit	The total number of new cases that may be assigned to the caseload initially. However after the limit is met, the system will automatically begin assigning 1 new case thereafter.
Caseload Code (ID)	System defined, (LA assigns their own as free text) LA Rules: <ul style="list-style-type: none"> • General caseloads are four-digit, where the first two digits indicate the team and the last two are sequential within the team • MTU caseloads use a three-letter abbreviation for the unit and ‘TU’ or ‘T2’ for a second caseload

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Term	Definition
	<ul style="list-style-type: none"><li data-bbox="516 235 1487 338">• Orthodontia caseloads are usually the team initials followed by a digit 'ORTH1' 'or 'ORTH2' for the 2 nurses covering orthodontia cases.<li data-bbox="516 346 1487 373">• Administrative Lock caseload is 'ADMIN'

1.4 OVERVIEW

When a referral is entered into CMS Net, (Patient Registration Face Sheet) there has not been any automatic assignment of a case to a case manager.

Los Angeles County has a module in their ACMS, which automatically assigns a case to a case manager upon registering that patient in ACMS. The assignment is done based on a defined set of rules that Los Angeles has entered into ACMS. Other available functions include but are not limited to transferring a caseload, require assignment of a case to a specific user, and running caseload reports.

2 OVERALL DESCRIPTION

2.1 ASSUMPTIONS AND DEPENDENCIES

- 1) Use of Automatic Case Distribution is optional in CMS Net.
- 2) Because this SMCR is complicated, a design meeting may be necessary before development begins. Please consider this when estimating hours.
- 3) Some business rules are specific to Los Angeles County.
- 4) This SMCR uses a web interface to manage distribution groups and rules. CMS Net Legacy executes the case distribution process.
- 5) The model defined in this SMCR allows Counties and other organizational units to use and tailor the case distribution functionality.
- 6) Specific case distribution requirements for LA County's conversion to CMS Net are not included in this document. Conversion requirements will be defined in the LA County Conversion documentation.
- 7) The administrative lock functionality is only used for Automatic Case Distribution. Until all CMS Net screens are modified to read the administrative lock flag, users will have access to client records based upon existing County/Regional Office/Client security rules.

3 FUNCTIONAL REQUIREMENTS

3.1 ORGANIZATIONAL STRUCTURE

Organizational Units (OU) are structured using a parent child relationship model and contain the following user definable attributes. For illustrative purposes two tables are included in this document, however, development may include all entries in one table structure.

Table 3-1, Organizational Structure

Fld#	Element Name	Length	Type	Required	Description/Comments
1	Caseload Code (OU Level)	6	Alpha/Numeric	Yes	<ul style="list-style-type: none"> • Could be Group Name, Team Name or Individual Case Manager Name • Prohibit duplicates in the same top-level OU • Format: 2 digit county code followed by 4 alpha/numeric
2	Administrator Flag	1	Boolean	Yes	CMS Net user who has administrative security role for OU.
3	Member(s) (Team Level)	30	Alpha Pick-List	Yes	<p>CMS Net user(s) who are a member of the OU and share similar case management responsibilities.</p> <p>Must be "active" entry from the New Person (CMS_User.Master_200) Table</p>
4	Telephone Number	10	Display	No	Telephone number for each member of the OU. User work phone number from User security (Member -> WorkPhone)
5	Class	20	Display	No	User class from User Security (Member -> SecurityClassId)
6	Last Updated By	30	Display Only	Yes	Displays name of the person from the user file that last updated the OU.
7	Last Updated Date	10	Display Only	Yes	Displays date that the last update was made to the OU.

The highest OU in the Organization is the main County Caseload associated with that OU. The application has a report for documentation purposes showing a graphical representation of the organizational structure including assigned users.

3.2 CASELOAD

Caseloads are associated with an OU on a one-to-one basis and contain the following user definable attributes and filter criteria:

Table 3-2, Caseload Structure

Fld#	Element Name	Length	Type	Required	Description/Comments
1	Team Association (Caseload Name)	20	Alpha Pick-List	Yes	Team must exist to be associated. Teams may only be associated to one OU.
2	Carve out Reason	40	Alpha Pick-List	If Carve out = "Yes"	One Reason may be selected from the table. Values: -Administrative Lock -MTU -Orthodontia -Shelter (only selectable after a CL has been assigned)
3	MTU	40	Alpha Pick-List	If Carve out Reason = "MTU"	Select from MTU table in CMS Net. If the MTU case has a different legal county than that of the caseload, then exclude from the carve out case count. This is if the case is being case managed in another county.
4	Target Limit	5	Numeric	Yes	Enter the target number of cases for the caseload. (Includes Active, Transfer/Active, Pending, Reopen Pending cases.) Denied, Closed and Not Open cases are not counted in the target limit total. Default: 99999
5	Temporary Daily Limit	5	Numeric	Yes	Enter the total number of cases the caseload may be assigned each day for exceptions. (Includes Active, Transfer/Active, Pending, Reopen Pending cases.) Denied, Closed and Not Open cases are not counted.

Fld#	Element Name	Length	Type	Required	Description/Comments
6	Temporary Daily Limit Reason	40	Alpha Pick-List	If Temporary Daily Limit is not null.	One reason may be selected from the table: -Clinic Nurse -EPSDT Nurse -Family Leave -Jury Duty -Leave of Absence -Medical Leave -Mentor -Military Leave -No Referrals -Nurse Response Unit -Resource Nurse -Sick Time -Trainee -Vacation
7	Temporary Daily Limit Start Date	10	Date/Calendar Date Picker	If Temporary Daily Limit is not null.	Date the temporary limit is effective Must be today or after
8	Temporary Daily Limit End Date	10	Date/Calendar Date Picker	If Temporary Daily Limit is not null.	Date the temporary limit ends Must be after Temporary Daily Limit Start Date
9	Comment	240	Alpha/numeric	Yes	Free text. Record the name of the person that requested the OU update or other specific information.
10	Current Case Count	5	Display Only		Display current caseload count for each case status: Active, Transfer/Active, Pending, Reopen Pending. Closed, Denied, Not Open are excluded.
11	Last Updated By	40	Display Only		Displays name of the person from the user file that last updated the CL.
12	Last Updated Date	10	Display Only		Displays date that the last update made to the CL.

3.3 CASELOAD ROUTING

General routing rules are user configurable and automatically applied to a case entering the caseload.

1. Cases with a shelter flag remain in the original caseload until modified by a user (see 3.7 CASELOAD TRANSFER/MOVEMENT). The shelter flag keeps the case in the current caseload until removed by a CL administrator. A new field on CMSFS-10 Patient Registration will allow a CL Administrator to set and remove the shelter flag.

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2. Immediately upon registration, pending and reopen pending cases are assigned to a caseload (see processing rules for details).
3. A pending or reopen pending case for a patient with sibling(s) in the "Siblings Known To CMSNET" field in CMSFS-10 Patient Registration is always assigned to the same caseload unless the sibling is in a carve-out caseload (see 3.5 CARVE OUT RULES).

3.4 PROCESSING RULES

1. When a case is closed, denied, or not open, any assigned caseload code remains, but is not counted in the ongoing caseload count.
2. When a case is reopened, the caseload code remains. Cases are not transferred to a different caseload just because the case status changes.
3. Caseloads can be assigned new cases if the caseload does not have a temporary daily limit of zero.
4. New cases (general caseload distribution) are assigned to the caseload in a round-robin manor. Each caseload is assigned a new case one at a time starting with the caseload with the lowest number of cases.
5. Carve-out type caseloads are assigned a caseload in a round-robin manor also, but limited to distributing cases within each carve-out type (see 3.5 CARVE OUT RULES).

3.5 CARVE OUT RULES

Carve out cases are excluded from the automatic distribution rules. These carve out conditions take precedence over the general case distribution rules. When the carve out situation changes, (i.e. a new carve out is assigned or a carve out is removed) for a case than the general distribution rules are applied to the case and it is assigned to a new caseload.

- Administrative lock case. High profile cases or for any client related to an employee within the county. Such cases are assigned to a caseload that is managed by a specific Administrative caseload. Using a field on the CMSFS-10 Patient Registration, a state/county system administrator or user with nurse administrator, nurse supervisor, or nurse manager class roles can flag the case as being in administrative lock.
- Orthodontia cases are assigned to a caseload, which takes orthodontia cases only. Using a field on CMSFS-10 Patient Registration, a state/county system administrator or user with nurse administrator, nurse supervisor, or nurse manager class role can flag the case as orthodontia.
- Medical Therapy Unit cases. When a case is assigned to a MTU, it is assigned to the caseload associated to that specific MTU. For caseload validation, there is an MTU in the MTU field of Patient Registration. The application maintains a cross-reference of which MTU is associated to each OU caseload.

3.6 DISPLAY CHANGES

1. The Caseload Code is displayed on all CMS Net Legacy client search results and all client headers and client search results CMS Net Web as a hyperlink.

When the hyperlink is selected, a pop up window displays with caseload details including the members of the caseload and their telephone numbers). A sample of the pop-up window is included as Appendix C.

2. When a case is assigned to a caseload, the case record is updated with the name of "Nurse Case Manager" member entry of the OU into the "County Case Manager" field of the Patient Registration Face Sheet, CMSFS-50. The Nurse Case Manager must be present in the User Table.

3.7 CASELOAD TRANSFER/MOVEMENT

1. Only users with state/county system administrator or nurse manager class security can transfer cases from one caseload to another. All administrative and carve-outs flags must be removed from a case before it can be moved from a carve-out caseload to the general caseload. Cases within the same carve-out type can be transferred with no restrictions.
2. Parent members of each OU may move/transfer cases within their own OU or any OU below them in the organizational structure (hierarchy). Child members of the OU may move/transfer cases under their own OU only.
3. Transfer of cases includes either assigning a single case from one caseload to another, or bulk assigning several or an entire caseload's case from one caseload to another.
4. Notify the user with a message if one of the cases moved/transferred is associated to a sibling. The user will manually transfer all siblings to the case caseload as necessary.

3.8 SECURITY RULES

OU Administration

State and County System administrators, nurse administrator, nurse manager, and nurse supervisor class roles may create, update, or deactivate OUs.

Patient Cases within each OU

State and County System Administrators, and any member of each OU may access cases within each caseload. For Los Angeles County, members of each OU shall contain Nurse Administration, Nurse Case Managers, PFSW, and a Physician.

3.9 REPORTS

The CMS Net Web reports menu includes several reports related to case distribution. State or County System administrators or parent members of each OU access reports.

1. The Caseload Distribution Management Report is a listing by parent OU, child OU, and caseload code of all caseloads, totals, and applicable carve outs and limits. The report layout is included as *Appendix A*. The user may view/print this report.
2. The Caseload History Report details the caseloads to which an individual case has been assigned. The report layout is included as *Appendix B*. Any member of the OU and state and county system administrators may print these reports. The user may view/print this report.
3. The Caseload Detail report displays all the cases assigned to a particular caseload. The report layout is included as *Appendix E*. The user may view/print this report.

APPENDIX A

**Case Distribution Management Report
Generated: 99/99/9999 @ 99:99:AM**

PARENT OU, PARENT OU MANAGER

CODE	CASE MANAGER	CASES	LIMIT	DATES	REASON	LIMITED BY
------	--------------	-------	-------	-------	--------	------------

CHILD OU1 CHILD OU MANAGER

XXXX	CASELOAD NURSE CASE MGR	XXX	LIMIT TYPE	LIMITFDT - LIMITTDT	LIMIT REASON	REQUESTED BY
0304	Angie Macias, RN	429	No New Referrals	07/22/05 - 12/22/05	Mentor	Beacham,Stephanie
0305	Oretta Bonds, PHN	528				
0306	Celia Gonzalez, RN	514				
0307	Grace Calasanz, PHN	1	No New Referrals	01/01/05 -	Resource Nurse	Beacham,Stephanie
0309	Alma Jauregui, RN	0				
0311	Rosa Peters, RN	513				

CHILD OU2 CHILD2 OU MANAGER

0601	Elaine Mitchell, RN	519				
0602	Myrna Co, PHN	513				
0603	Sunny Yoon, RN	515				
0604	Kilcha Chang	528				
0605	Zoila Fuentes, RN	0	No New Referrals	01/01/05 -	Resource Nurse	Millan,Angie
0606	Maria Rodriguez, RN	0	No New Referrals	12/28/04 -	Sick Time	Chacon,Irma

APPENDIX B

Caseload History Report
Generated: 99/99/9999 @ 99:99:AM

Name: PATIENT NAME DOB: MM/DD/YYYY CCS# XXXXXXXX

Date Assigned	Caseload	Case Manager
DT CASELOAD ASSGN	XXXX	OU NURSE CASE MGR
09/26/2005 09:00AM	0703	SAENZ-BRACERO, VERONICA
07/18/2005 04:27PM	0103	WILLIAMS, SUZANNE
01/14/2005 04:18PM	QI02	RUBAL, SYLVIA

APPENDIX C

Sample Caseload Code display screen, displays when caseload code hyperlink is selected from the patient header or patient search results in CMS Net web.

Caseload Look-Up			[X]
Caseload Code: XXXXXXXXXXXX			
Role/Security Class:	Name Member1	Telephone #	
Role/Security Class:	Name Member2	Telephone #	
Nurse Case Manager:	PARKS RN, PHN ,JUNE	(626) 123-1345	
Therapy Unit:			
Therapist:			
Therapy Supervisor:			
[close]			

APPENDIX D

Sample report for the Caseload Detail report. The report is accessible from the Reports menu of CMS Net web. The report contains the fields below, however the presentation may vary.

The report is separated by caseload code as a header and list the clients alphabetically by last name, first name.

Caseload Code: CODE BLUE

CCS Number	Client Name	AKA	DOB	Gender	CII	County	Reg	Med	FR	Pgrm End Date	CCS Elig
1234556	TEST,CLIENT A		01/01/09	M	919381793A	19	A	E	E	01/01/2010	9K
T193859	TEST,CLIENT B		12/31/08	F	915675686D	19	P	E	P		

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