Shortage Designation Management System (SDMS)

PCO Provider Management User Guide

April 2020

The information collected via the Shortage Designation Management System is used to determine which areas, populations, and facilities have qualifying as Health Professional Shortage Areas for the distribution of NHSC resources. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this information collection is 0906-0029 and it is valid until 5/31/2020. This information collection is required to obtain or retain a benefit (Section 332 and Section 330(b)(3) of the Public Health Service (PHS) Act). Public reporting burden for this collection of information is estimated to average xx hours per response, including the time for reviewing instructions, searching existing data sources, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to HRSA Reports Clearance Officer, 5600 Fishers Lane, Room 14N136B, Rockville, Maryland, 20857 or paperwork@hrsa.gov.

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SHORTAGE DESIGNATION MANAGEMENT SYSTEM (SDMS) OVERVIEW

Goal: The Shortage Designation Management System is used to manage, create, and update designations, and to manage and update provider records in support of designations. The foundation of the Shortage Designation Management System comes from nationally sourced data and the policies and procedures of the Division of Policy and Shortage Designation (DPSD).

PCOs are able to complete the following:

- Search for existing designations
- View information about existing designations
- Create and submit new designations
- Update existing designations
- Copy designations
- Review and update POC-submitted designations
- Create and manage inquiries
- Create and update provider location records

Roles: The shortage designation role is required to be part of the PCO user account in order to have access to the Shortage Designation Management System for Designations for their state. Please refer to the Create Account Section to gain the role and permission to perform the Designation Management functions.

CONTENT OF THIS USER GUIDE

This user guide covers provider management functionality and business rules. For further information on designation and user management related functionality and business rules, refer to the Designation Management User Guide and User Management User Guide on your SDMS Portal Home Page.

1. ACCESSING THE SDMS PORTAL

Go to the BHW portal homepage and select the “A State Primary Care Office Member” option. The homepage can be accessed via the HRSA Program Portal.

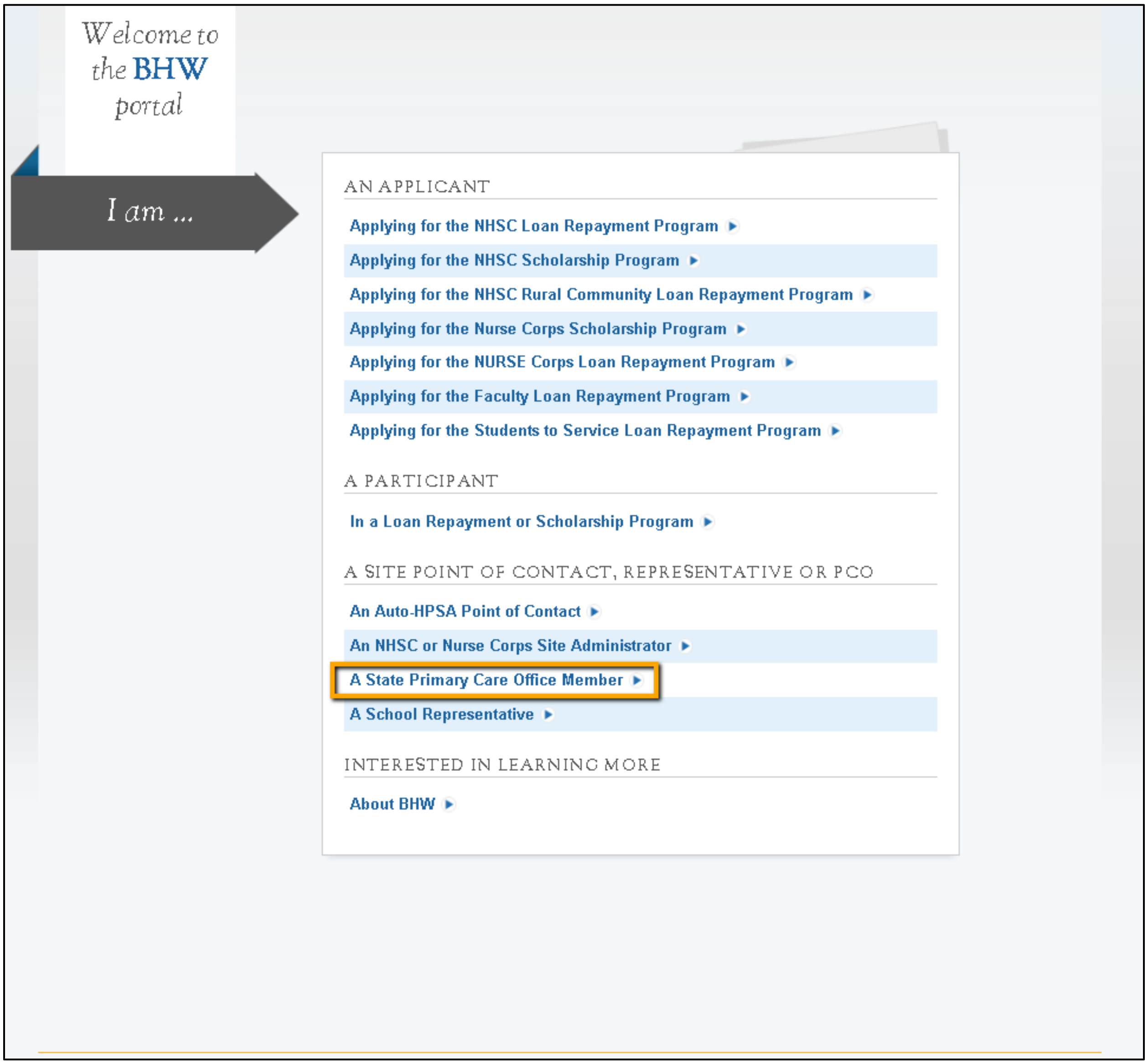


Figure 1: BHW Portal Homepage

Once directed to the login page, the user should enter their login email and password to login. If the user has three failed login attempts, the account will be locked. To create an account or recover a lost password, see *Section 1.2 Forgot Password* and *Section 1.3 Create Account*.

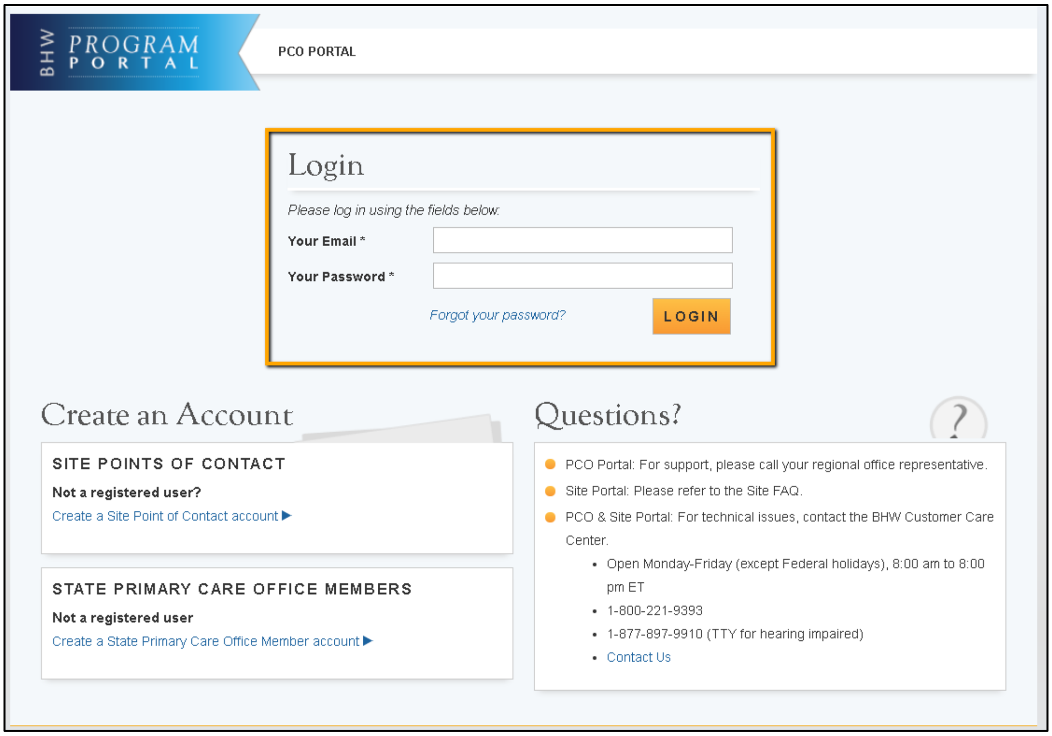


Figure 2: BHW Login Page

After successfully logging in, select “Link to Shortage Designation Main Page” link on the PCO Portal Landing Page.

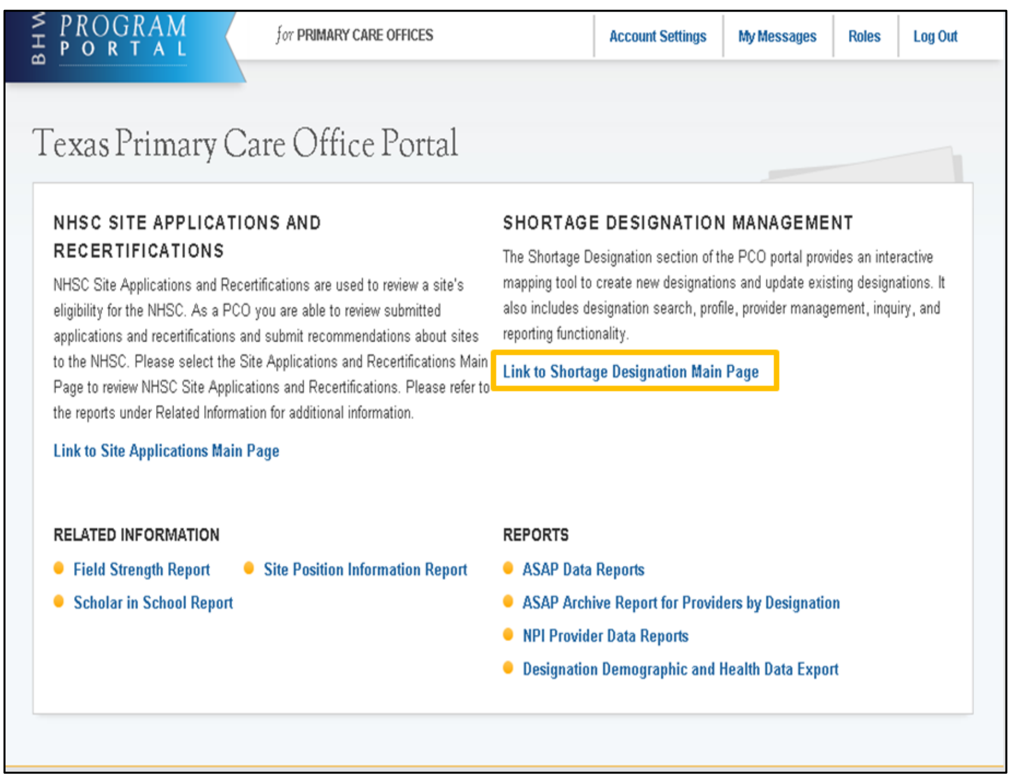


Figure 3: PCO Portal Landing Page

1.1 PCO PORTAL LANDING PAGE (OVERVIEW)

The purpose of the PCO Portal Landing page is to give the PCO access to both the NHSC Site Applications and Recertifications and the Shortage Designation Program.

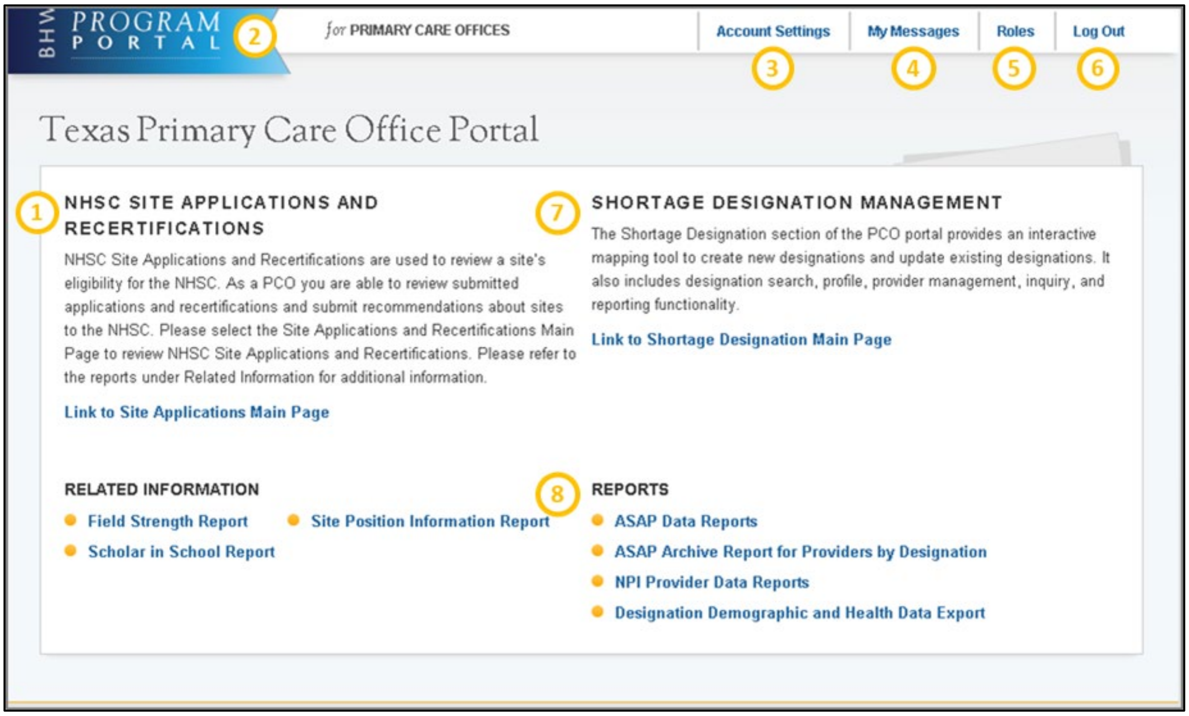


Figure 4: BMISS PCO Portal Landing Page

Feature	Description
1. NHSC Site Applications and Recertifications	This section contains a number of tools for the site administrator as well as support contact information and a summary of all open requests. If the site administrator has either submitted an application for a site or is a POC at a site which has an application pending, those applications will appear there.
2. Program Portal	Clicking on the Program Portal logo will take the user to the Portal.
3. Account Settings	The account setting will allow the PCO to manage and update security information as well as email and password information.
4. My Messages	The PCO can view their messages within the Portal here.
5. Roles	The PCO can view the roles associated with the user account.
6. Log Out	The PCO can log out of the PCO Portal here.
7. Shortage Designation Program	This section contains information about the Shortage Designation Provider Management. It allows PCOs to manage, review, and update the provider information as part of the designation application process.

Feature	Description
	User Notes: • Only PCO with the Shortage Designation Program role will have access to this. • The PCO will see only their designated state. •
8. Shortage Designation Reports	There are now four reports available: • *ASAPS Archive Designations Report* • *ASAPS Archive Report for Providers by Designation* • *NPI Provider Data Report*: The report is an exportable file of all the provider information associated with the PCO state. • *Designation Data and Health Data Export*: Is an exportable file for all associated information broken down by designation for all designations in the PCO state. See the Designation Management User Guide for additional information on *ASAPS Archive Reports*.

1.1.2 ACCOUNT SETTINGS

The Account Settings page can be used to update security information as well as email and password information.

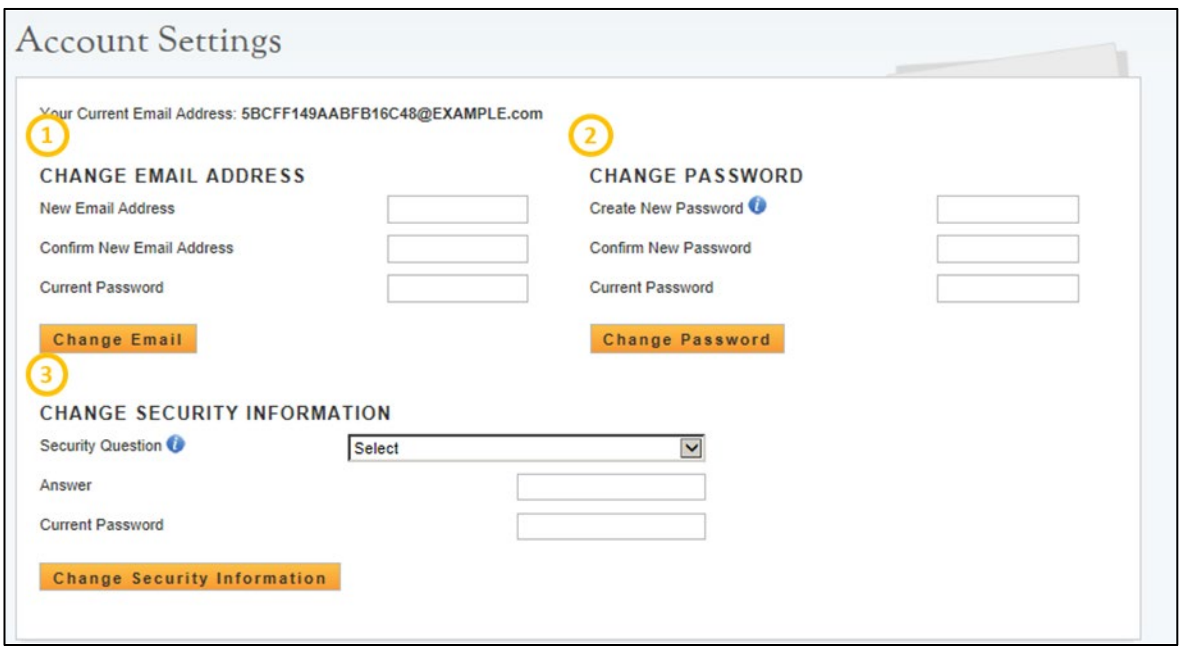


Figure 5: Change PCO Account Settings

Feature	Description
1. Change Email Address	Allows the user to change the email address which they log-in with.
2. Change Password	PCO can change their password in this section.

Feature	Description
3. Change Security Information	PCO can change the security information through these steps.

1.2 FORGOT PASSWORD

When a password is forgotten or needs to be reset, please select the Forgot Password link.

INSTRUCTIONS

1. Select the Forgot Password link. This will open another window that will request the user's email address
2. Enter the email address associated with the account
3. Enter the answer to the security question
4. Select Submit

A reset password email will be sent after submission of the correct security question answer. It will contain a link that must be used to rest the password. After changing the password, the user can return to the portal login page and enter the account email and new password.

USER NOTES:

- The security question and answer are entered during the create account process. If this is unknown, the Forgot Password process cannot proceed, and the user will need to contact the BHW Customer Call Center at 1-800-221-9393.
- Passwords must have a minimum length of eight characters; shall not contain slang, jargon, or personal information; shall not contain all or part of the username; and must contain: at least one English upper-case character (A-Z), at least one English lower-case character (a-z), at least one numerical digit (0-9), and at least one special character (e.g. @, !, $, %). A character may not be repeated more than once in succession.

1.3 CREATE ACCOUNT

The Create Account process begins on the Portal Login page. Primary Care Offices must only use the create accounts for PCOs.

USER NOTES

- PCO Accounts created prior to September 27th, 2014 must follow the create account process.
- The email address to be used as the username, the state, and the role must be communicated from the PCO to the Project Officer or Customer Call Center prior to creating the account otherwise the account will not be activated.
- The account will be activated after 24 hours. An account activation email may be sent prior to this 24 hours but the account will only be activated after the 24 hour period has passed.

Figure 6: Creating a PCO Account

Feature	Description
1. Create My Account	The six fields displayed are required to create an account. The user can select the information icon to get more information about password requirements or additional information about the field. *User Notes:* • The email used will serve as email username for portal login. • The Security Question and Answer must be easily remembered in order to be used as part of the Forgot Password process. •
2. Cancel	The PCO can click on this button and be taken to the Portal page.
3. Register	After entering all the required fields, the PCO can click on the “Register” button to register their account.
4. Login	PCO can login to the account after 24 hours.

2. SHORTAGE DESIGNATION MANAGEMENT SYSTEM (SDMS) MAIN PAGE

The purpose of the Shortage Designation Main Page is for the PCO to view important updates, access helpful resources and access the Designations portal, Providers portal, User Management portal, and Inquiries and Report functionalities. The user can access this page by selecting “Link to the Shortage Designation Main Page” on the main portal homepage.

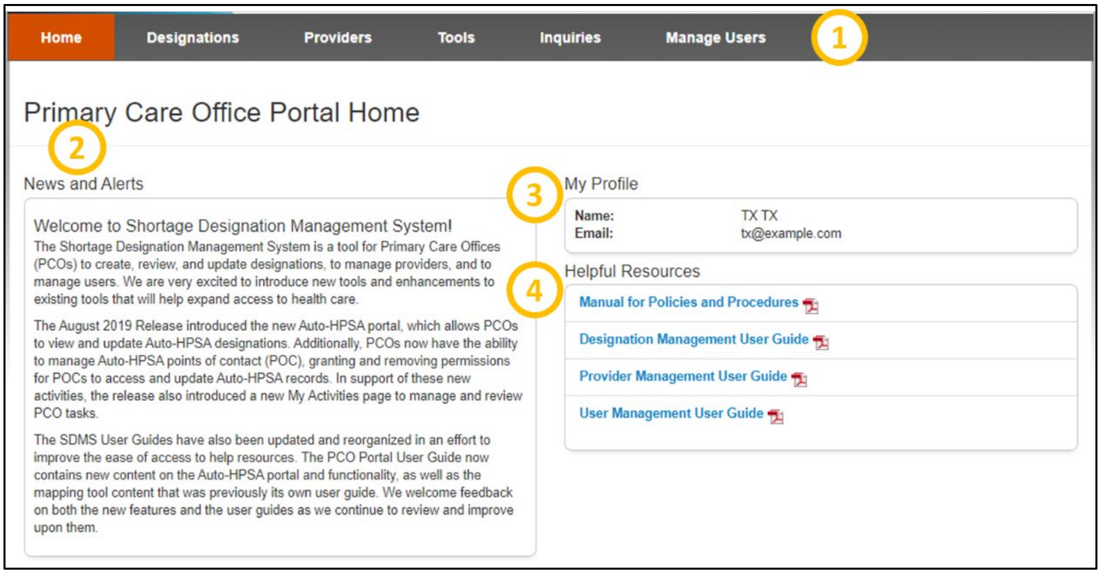


Figure 7: PCO Shortage Designation Main Page

Feature	Description
1. Navigation Panel	The user may navigate to other sections of the PCO Portal using this toolbar. Several of these menu items have sub-menus when clicked.
2. News and Alerts	This section will provide the user with new information and updates pertaining to Shortage Designation Management.
3. My Profile	This section will list the name and email address of the logged-in user.
4. Helpful Resources	This section will provide the user with resources on the policies and procedures of SDMS.

From the Shortage Designation Main Page Navigation Panel, PCOs can access:

- SDMS Mapping tool (via the Designations Portal) to create and update designations
- Designations Portal (Search for and View Designations, Manage Tasks in My Activities)
- Auto-HPSA Designations Portal (via the Designations Portal) to view and rescore Auto-HPSAs
- Tools
- Provider Management Portal (Search for Providers, Upload an Import File, Download State Provider Data)
- User Management Portal (Manage Auto-HPSA Points of Contact, Manage Stakeholder Notifications)

An overview of the provider management portal is provided in the subsequent section.

3. PROVIDER MANAGEMENT

The purpose of the Provider Management Portal is to give the PCO the ability to search for a provider and update eligible information. The portal currently provides PCOs two convenient ways to update provider data: using the web application or by importing data using the import tool. This user guide details how to search for providers and make updates to provider records using the two methods mentioned above.

Figure 8 illustrates the Provider Management Dashboard, which serves as the landing page for the Provider Management Portal. From this page, users can navigate to the "Search," "Upload," or "Download" pages.

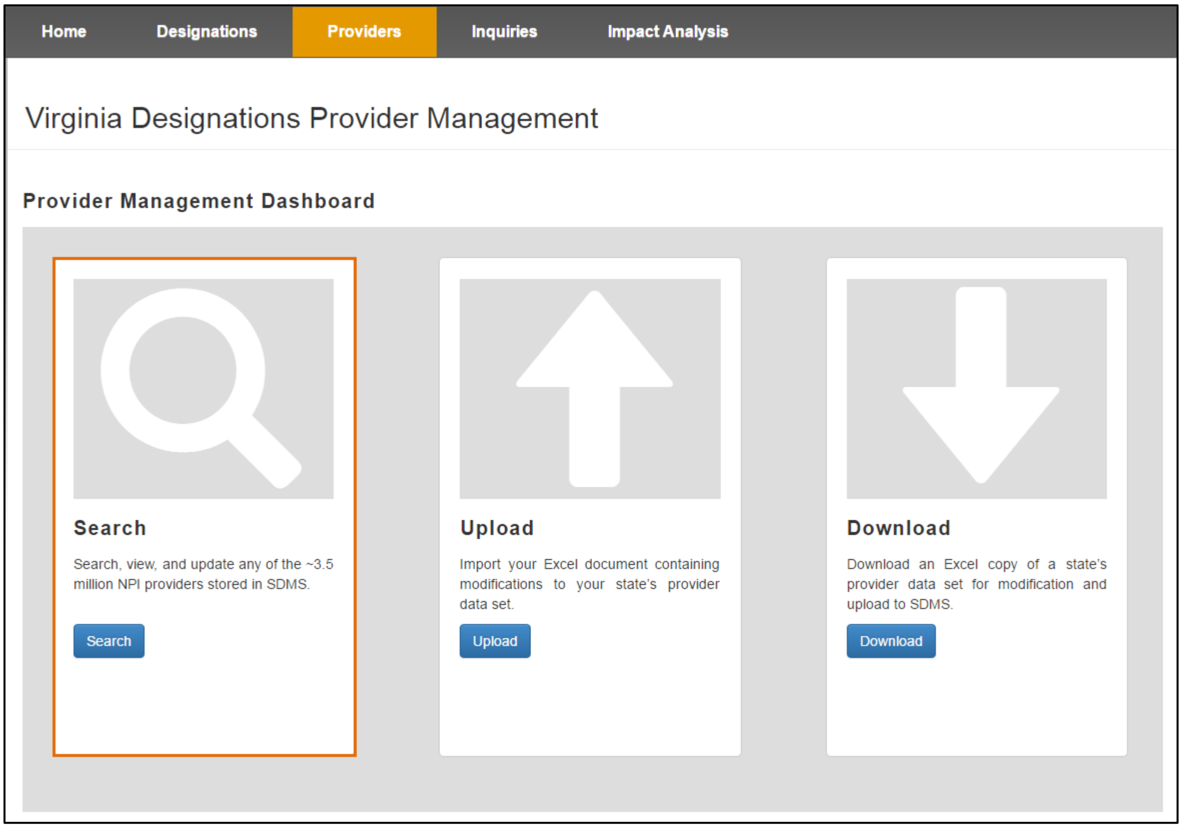


Figure 8: Provider Management Dashboard (Landing Page)

3.1 PROVIDER SEARCH

The user can navigate to the Provider Search Page (see *Figure 9*) by clicking on the "Search" button on the Provider Management Dashboard. The default search screen allows users to search basic provider information.

Users can conduct a more advanced search by clicking on "Advanced Search" which expands the search box and enables additional search fields. *Figure 10* provides a visual of all the fields available for search.

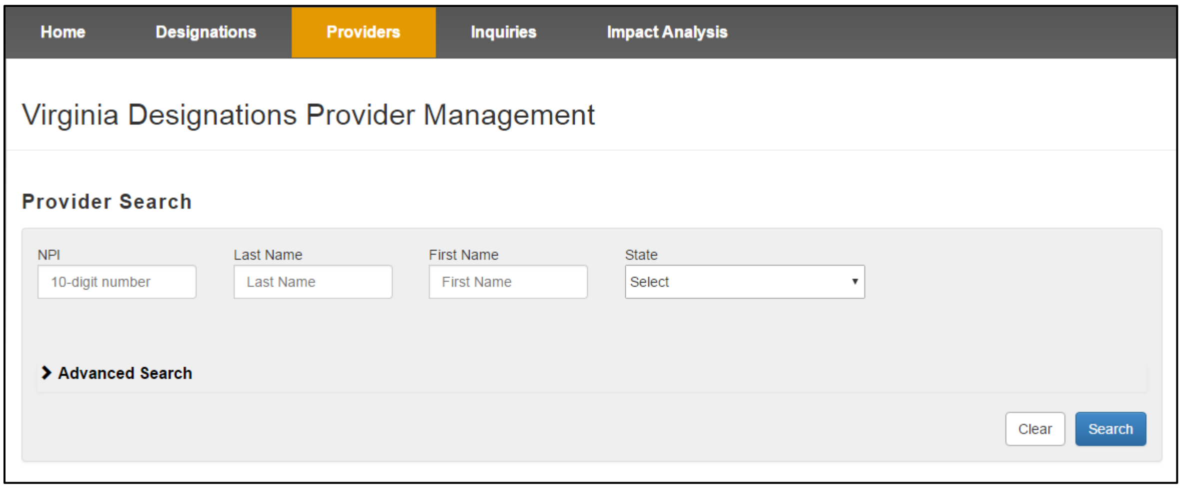


Figure 9: Provider Search Page - Basic Search Screen

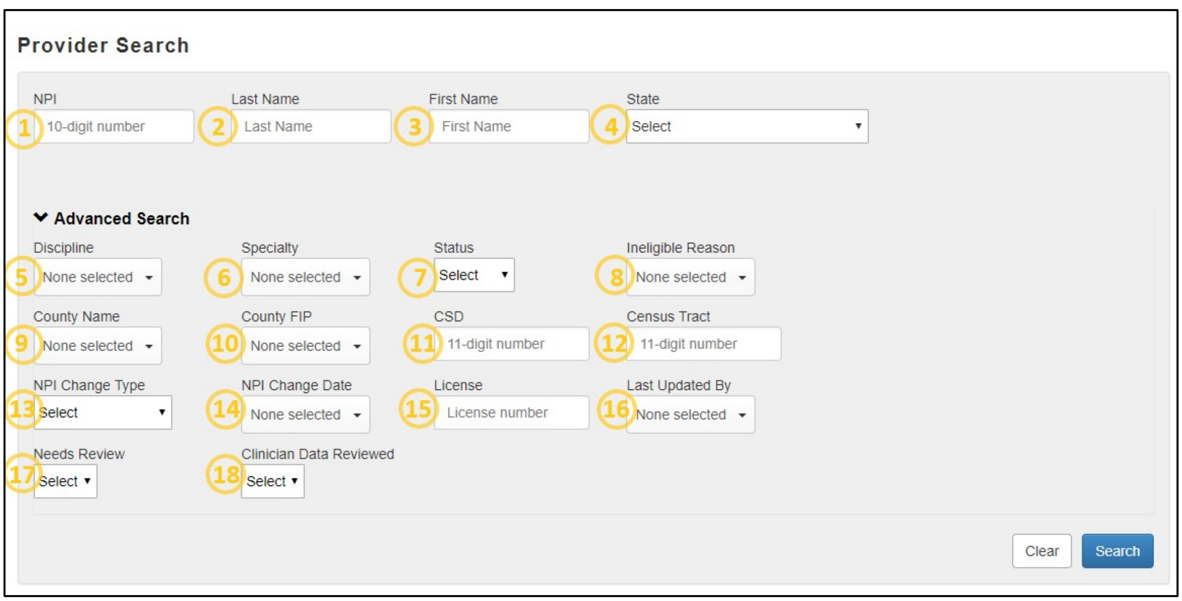


Figure 10: Provider Search Page - Advanced Search Screen

BASIC SEARCH

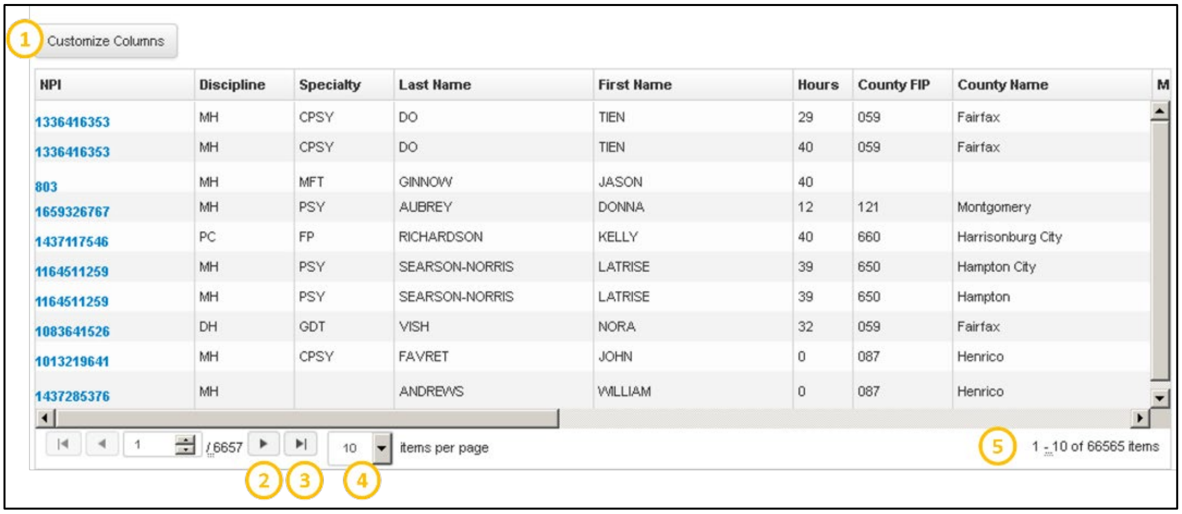
Feature	Description
1. NPI	Enter the 10-digit numerical National Provider Identifier in this field.
2. Last Name	Enter any text in this field; only exact matches will be returned.
3. First Name	Enter any text in this field; only exact matches will be returned.
4. State	Select any one of the 50 states or 6 territories. *User Notes:* • If a state is not selected as part of the search criteria, SDMS will search providers across all states. PCOs can view providers across all states, but can only edit providers within their designated states (the state associated with the PCO's user account).

ADVANCED SEARCH

Feature	Description
5. Discipline	Select one or more of the three disciplines: • PC: Primary Care • MH: Mental Health • DH: Dental Health
6. Specialty	Select one or more of the ten specialties. This field can only be completed once a discipline has been selected. Once a discipline is selected, only the specialties that fall under that discipline will be available for selection. Note that if multiple disciplines were selected, all specialties that apply will be available as dropdown menu options. PC: Primary Care • FP: Family Practice • IM: Internal Medicine • OBG: Obstetrics and Gynecology • PD: Pediatrics MH: Mental Health • PSY: Psychiatrist • CPSY: Clinical Social Psychologist • CSW: Clinical Social Worker • PNS: Psychiatric Nurse Specialist • MFT: Marriage and Family Therapist DH: Dental Health • GDT: Dentist •
7. Status	Select one of the two statuses: • Eligible • Ineligible
8. Ineligible Reason	Select one or more of the eight ineligible reasons. Note that this field will not be visible if an "Eligible" status is selected.

Feature	Description
	• CMS Deactivated • PCO Omitted • Not Geocoded • Is Federal Provider • Is NHSC Provider • J1 Visa Waiver Holder • No Discipline/Specialty • New, Not Reviewed
9. County Name	Select one or multiple counties available for that state. Only the county names that fall under the selected state will be available for selection. Note that when a "County Name" is selected, the system will populate the "County FIP" dropdown with its corresponding value.
10. County FIP	Select one or multiple County FIPs available for that state. Only the County FIPs that fall under the selected state will be available for selection. Note that when one or more County FIP(s) is selected, SDMS will populate the "County Name" dropdown with its corresponding value.
11. CSD	Enter any 10-digit numerical value in this field; only exact matches will be returned.
12. Census Tract	Enter any 11-digit numerical value in this field; only exact matches will be returned.
13. NPI Change Type	Select one of the four options: • New Provider • CMS Deactivated • Taxonomy Change • NPI Address Change
14. NPI Change Date	Select one or multiple dates available. Note that dates will be populated based on the "NPI Change Type" selected.
15. License	Enter any numerical value in this field; only exact matches will be returned.
16. Last Updated By	Select one or multiple usernames available. Note that if a state is selected, only those users who updated records in that state will be listed.
17. Needs Review	Select one of the two options: • Yes • No
18. Clinician Data Reviewed	Select one of the two options: • Yes • No

After entering all relevant search criteria, click "Search" to initiate the search. The search results will display in the "Provider Search Results" grid. *Figure 11* provides an example grid of search results.



Customize Columns

NPI	Discipline	Specialty	Last Name	First Name	Hours	County FIP	County Name	M
1336416353	MH	CPSY	DO	TIEN	29	059	Fairfax	
1336416353	MH	CPSY	DO	TIEN	40	059	Fairfax	
803	MH	MFT	GINNOW	JASON	40			
1659326767	MH	PSY	AUBREY	DONNA	12	121	Montgomery	
1437117546	PC	FP	RICHARDSON	KELLY	40	660	Harrisonburg City	
1164511259	MH	PSY	SEARSON-NORRIS	LATRISE	39	650	Hampton City	
1164511259	MH	PSY	SEARSON-NORRIS	LATRISE	39	650	Hampton	
1083641526	DH	GDT	VISH	NORA	32	059	Fairfax	
1013219641	MH	CPSY	FAVRET	JOHN	0	087	Henrico	
1437285376	MH		ANDREWS	WILLIAM	0	087	Henrico	

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Figure 11: Provider Search Results Grid

Feature	Description
1. Customize Columns	Allows the user to customize the columns that are part of the search grid; see *Section 3.1.1 Customizing The Provider Search Results Grid View* for more detail.
2. 	Click to move to the previous/next page.
3. 	Click to move to the first/last page.
4. 	Allows the user to adjust the number of records viewed per page by clicking on the dropdown and selecting 10, 20, 50, or 100. The search results page defaults to 10 records per page.
5. 1 - 10 of # Items	Displays the total number of results returned and the subset of results being displayed.

BUSINESS RULES

- At least one search criteria is required to run the search. The system will return an error message if no search criteria is entered.
- Each search criteria will run only exact matches.
    - Ex. A misspelled name will render no results.
- Fields are not case-sensitive.
- Only one option may be selected on these dropdowns:
    - State
    - Status
    - NPI Change Type
- Multiple options may be selected on these dropdowns:
    - Discipline
    - Specialty
    - Ineligible Reason
    - County Name
    - County FIP
    - NPI Change Date

    - Last Updated By
- The default state is set to a null value. Search will search across all states.
- You can elect to search on any state.
- If you click the “Clear” button, state will reset to a null value.

USER NOTES

- Click on the NPI to navigate to provider profile.
- Sort the search result by ascending or descending order by clicking on any column header.
- Information from NPI database is read-only.

3.1.1 CUSTOMIZING THE PROVIDER SEARCH RESULTS GRID VIEW

On the Provider Management Search Results grid, users can add, remove, or reorder columns by clicking on the “Customize Columns” button. The following “Visible Columns” pop-up will display:

Figure 12: Customize the Column Layout in Search Results Grid

INSTRUCTIONS

To add, remove, or reorder columns on the search results grid:

1. Check (to add) or uncheck (to remove) column options.
    a. The columns that display in the default search results grid will be checked. Uncheck these columns to remove them from the layout of the search results grid.
    b. Additional columns can be added to the layout of the search results grid by checking the checkbox.
    c. Click and drag the checked columns in the desired order to be displayed.
    d. Click Select All to select all the search grid columns.
    e. Click Deselect All to deselect all the search grid columns.
2. Click the “Close” button to save changes and return to the updated search results grid layout.

USER NOTES

- The search result grid can display up to 38 column headers.
- Click and drag column headers in the Search Results Grid or in the “Customize Columns” pop-up menu to change the column order.
- Use the scroll bar on the bottom of the search result grid to navigate horizontally across the search results to a column.
- The search result grid can be downloaded by clicking on the Download button.

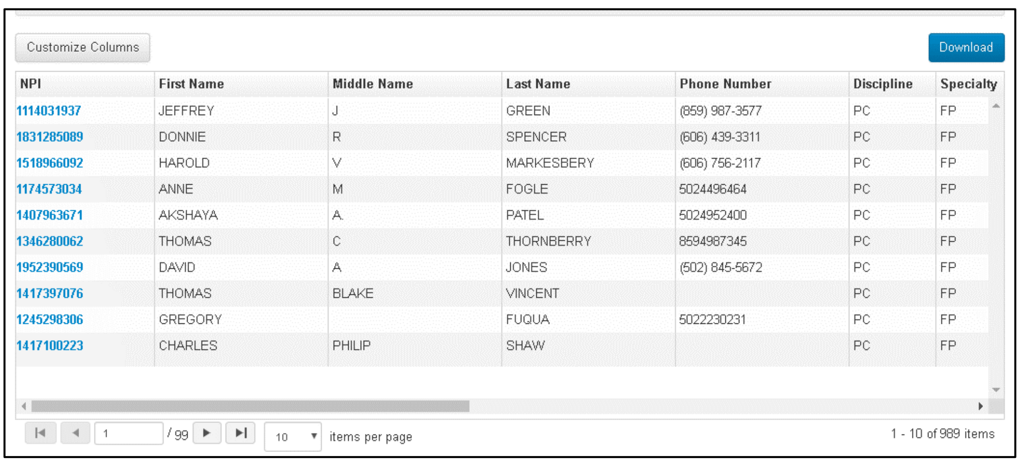
3.1.2 DOWNLOADING PROVIDER SEARCH GRID RESULTS

On the Provider Management Search Results grid, users can add or remove columns and download those results by clicking on the “Download” button.

INSTRUCTIONS

To download provider search results grid:

1. Select your state.
2. Apply filters to the Advanced Search fields.
3. Select “Customize Columns” to add or remove columns for the search grid results
4. Click “Download” and a pop-up message will appear notifying you that the required columns to upload the file back through the import tool will be included in your search grid results download.
5. Click “Download” to see the file.


Customize Columns
Download

NPI	First Name	Middle Name	Last Name	Phone Number	Discipline	Specialty
1114031937	JEFFREY	J	GREEN	(859) 987-3577	PC	FP
1831285089	DONNIE	R	SPENCER	(606) 439-3311	PC	FP
1518966092	HAROLD	V	MARKESBERY	(606) 756-2117	PC	FP
1174573034	ANNE	M	FOGLE	5024496464	PC	FP
1407963671	AKSHAYA	A	PATEL	5024952400	PC	FP
1346280062	THOMAS	C	THORNBERRY	8594987345	PC	FP
1952390569	DAVID	A	JONES	(502) 845-5672	PC	FP
1417397076	THOMAS	BLAKE	VINCENT		PC	FP
1245298306	GREGORY		FUQUA	5022230231	PC	FP
1417100223	CHARLES	PHILIP	SHAW		PC	FP

1 / 99 10 items per page 1 - 10 of 989 items

Figure 13: Download Search Results Grid

BUSINESS RULES

- The state the PCO works in must be selected in order for the “Download” button to be enabled.
- The required 24 columns will be included in the Search Grid Results download regardless if they were chosen as part of the search grid.

3.1.3 EDITING PROVIDER RECORDS IN THE SEARCH RESULTS GRID VIEW

The purpose of this functionality is to enable PCOs to quickly update multiple records and save. After reviewing the search results on the grid, make edits directly within the grid, and save without having to navigate to the provider record.

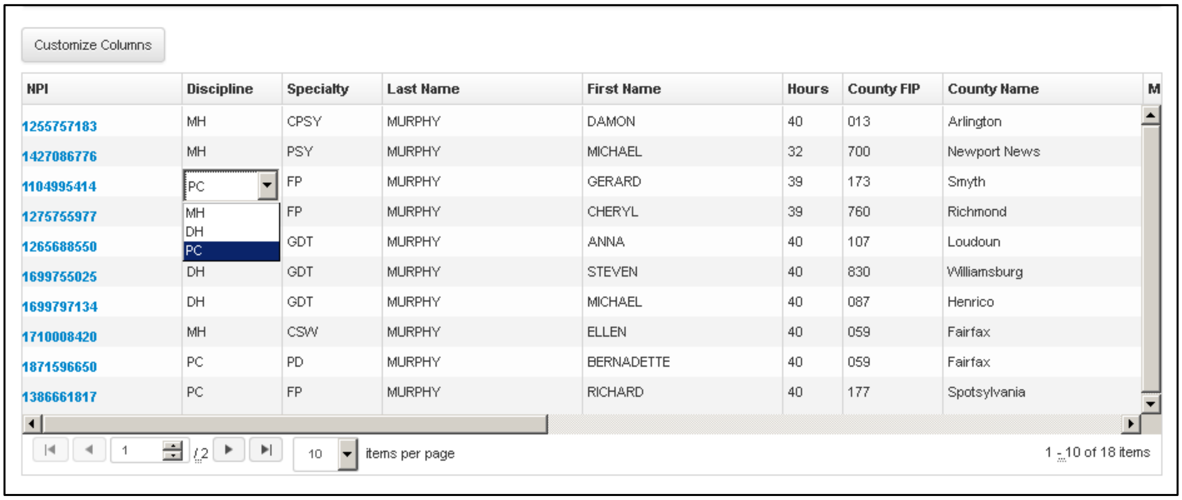
INSTRUCTIONS

To edit provider data directly in the search results grid:

1. Double click on the cell you want to edit. Be sure you are on the row of the correct provider record.
2. Make edits to the fields that are editable.
3. Press “Enter” on the keyboard to save changes after editing each row of provider information or click out of the row. There will be no save confirmation message.

USER NOTES

- If you click into a cell in another row or click outside of the row you are editing, the system will still save your changes. If you want to cancel any changes you’ve made, you must change the data back.
- All data from NPI is read-only.



NPI	Discipline	Specialty	Last Name	First Name	Hours	County FIP	County Name	M
1255757183	MH	CPSY	MURPHY	DAMON	40	013	Arlington	
1427086776	MH	PSY	MURPHY	MICHAEL	32	700	Newport News	
1104995414	PC	FP	MURPHY	GERARD	39	173	Smyth	
1275755977		FP	MURPHY	CHERYL	39	760	Richmond	
1265688550		GDT	MURPHY	ANNA	40	107	Loudoun	
1699755025	DH	GDT	MURPHY	STEVEN	40	830	Williamsburg	
1699797134	DH	GDT	MURPHY	MICHAEL	40	087	Henrico	
1710008420	MH	CSW	MURPHY	ELLEN	40	059	Fairfax	
1871596650	PC	PD	MURPHY	BERNADETTE	40	059	Fairfax	
1386661817	PC	FP	MURPHY	RICHARD	40	177	Spotsylvania	

Figure 14: Editing Fields in the Search Results Grid

Depending on the field, the edit format will vary:

Feature | **Description**

1. 

All the fields that are read-only will highlight when you double click on the cell, but will not switch to an editable format.

Applies to:

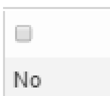
- NPI, Last Name, First Name, County FIP, County Name, CSD, Census Tract, Last Updated Statuses, Activation Date, NPI Deactivation, NPI Reactivation, NPI New, NPI Address Change, NPI Taxonomy Change, Dental Auxiliaries, Address, City, State, Zip, NHSC Provider

2. 

All the fields that enable typing directly within the cell will highlight when you double click on the cell, and will switch to an editable format.

Applies to:

- Phone Number, Fax Number

Feature	Description
2. 	Fields with pre-defined data to select from will be in the format of a dropdown menu. Double-click in the cell to display the dropdown, then select the desired option from the dropdown menu. *Applies to:* • Discipline, Specialty, Reason Code
3. 	Fields with numerical data will have an up/down arrow option to scroll to the desired numerical value. You can also type the number directly into the cell as long as it is a valid value. *Applies to:* • Hours, Medicaid Patient?, Annual Medicaid Claims?, Homeless %, Migrant or Farmworker %, Native American %, Sliding Fee Scale %, Migrant Seasonal Worker %
4. 	To edit the field, double click into the cell and a checkbox will appear. A checked checkbox indicates a value of “Yes” and a blank checkbox indicates a value of “No”. Check the box to change the field to yes. Uncheck the box to change the field to no. *Applies to:* • Serves at Correctional Facility, Serves at State/County Mental Hospital, PCO Omitted, Intern or Resident, JV Visa Waiver Program, Federal Provider

BUSINESS RULES

- All read-only fields will not allow you to edit the data in that field.
- The maximum % is 100.
- The “Dental Auxiliaries” column can only be edited if the discipline of the provider record is a DT: Dental discipline.

USER NOTES

- Hours can only be changed to 0 and saved if the Reason Code column is added to the search grid view, and a reason code is specified. If a reason code is not specified, the entire row will turn red, indicating that the edit cannot be saved due to an error.

3.2 PROVIDER INFORMATION

From the Provider Management Search Results grid click on the hyperlinked NPI number of a provider to navigate to that provider's profile page.

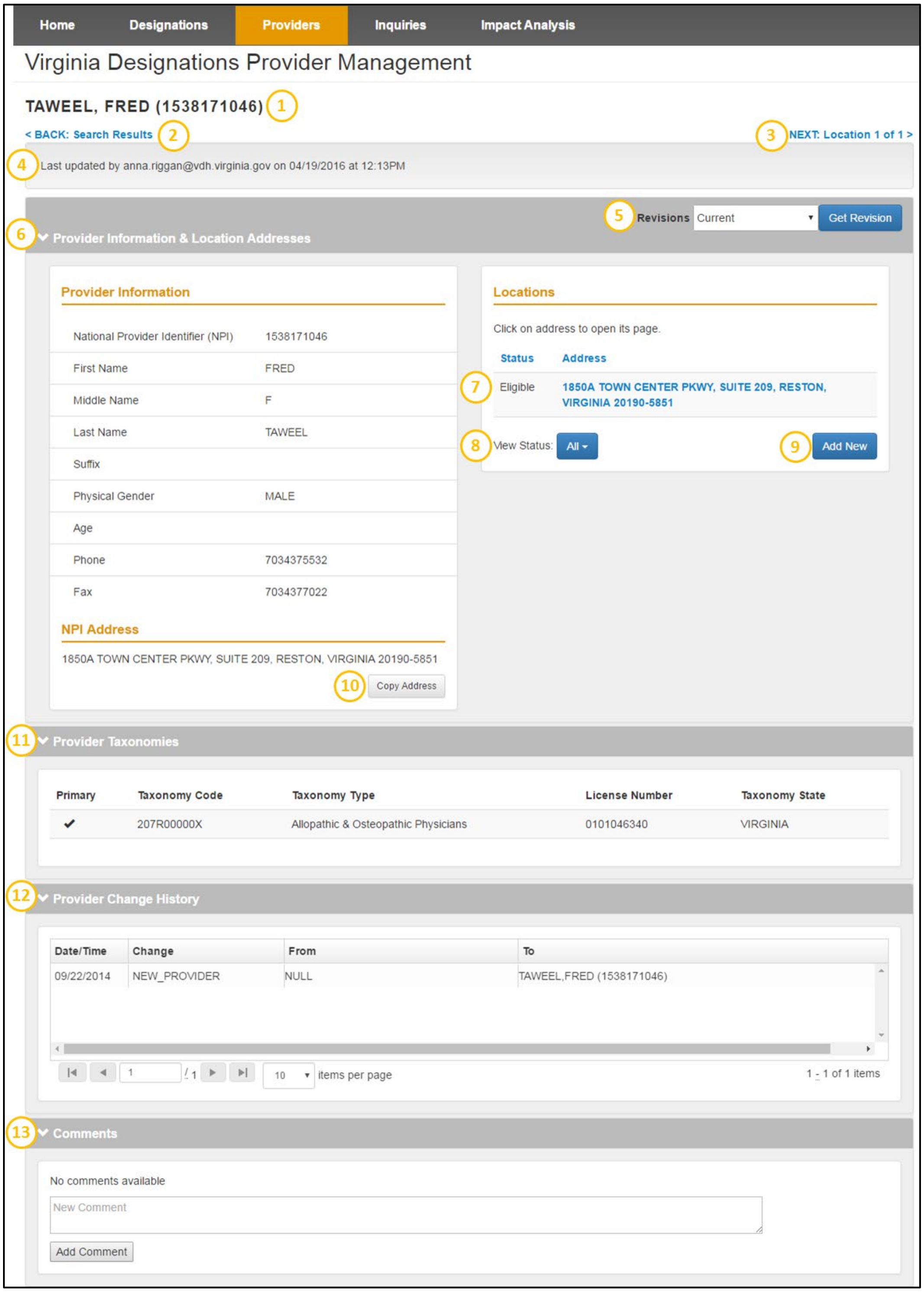


Figure 15: Provider Overview Page of the Provider Record

Feature	Description
1. Last Name, First Name, NPI	The name and NPI of the provider is displayed here.
2. < BACK: Search Results	Click this button to return to your current search results. If changes to the provider information are not saved before selecting this button, the changes will be lost. Users will **not** receive a warning message about unsaved data.
3. NEXT: Location 1 of # >	Click this button to navigate to the edit view of the first/next physical location for the provider. The location page for each address can also be accessed by clicking on the hyperlinked address in the Locations" module.
4. Last Updated by …	This is the last date the provider record has been updated by either a user or by the system (e.g., NPI delta file import). The format for display is: MM/DD/YYYY HH:MM AM/PM (12-hour time).
5. Revisions	Click on this dropdown to view previous versions of the provider's location.
6. Provider Information & Location Addresses	This section lists the provider's basic information, NPI address, and physical location(s). Provider Information and NPI address are data from the NPI and are therefore read-only. From this section, users can add an NPI address to a physical location and can add or edit physical locations.
7. 	Click on a hyperlinked address in the "Locations" module to view additional details and edit details for that provider location.
8. 	Change the filter on the Locations list to show all addresses, only eligible addresses, or only ineligible addresses.
9. 	Click on this button to navigate to the "Edit Location" page to add a new physical location to the provider record.
10. 	Click on this button to quickly create a physical location record from the NPI address. When this button is clicked, the "Edit Location" page will open with the location address fields already populated with the NPI address.
11. Provider Taxonomies	This section lists the provider's taxonomy information. A provider may have one or multiple taxonomies listed. The primary taxonomy is identified by a ✓ in the "Primary" column.
12. Provider Change History	This section lists changes to the provider record from the NPI file. It does not include changes made by system users.
13. Comments	This section allows users to post comments to a provider record. Any user can post a comment, regardless of the state associated with the provider record.
14. NPI Non-Primary Provider Information	This section will display a providers secondary NPI Address from CMS. No changes or actions can be made on this address.

USER NOTES

- All read-only data cannot be updated through the system and can only be updated through the NPI Primary File or Delta file.
- Last updated time and date will be captured after the user makes an update through the search grid, location page, or import tool. For more information on when last updated time and date are changed, see *Appendix A – Changes to Last Updated By Data*.
- When viewing previous versions, all information will be read-only.

3.2.1 NPI ADDRESS

The NPI Address is obtained from the NPI Primary and Delta Files and cannot be edited by the user.

- When a new provider is added to SDMS, the NPI address is the default address used to determine FTE calculations and is copied over as the provider's location address.
- Changes to the NPI address of an existing provider record will **not** affect location addresses and will be reflected only in the NPI address displayed on the Provider Profile page (see *Figure 16*).

ADDING THE NPI ADDRESS AS A PHYSICAL LOCATION ADDRESS

If the NPI address needs to be added as a physical location address, users can quickly add the NPI address by clicking the "Copy Address" button.

The Add/Edit Location page will open and the NPI address will pre-populate to the address fields. For complete instructions on adding or editing physical location addresses to a provider record, see *Section 3.2.2 Adding and Editing Provider Physical Locations*.

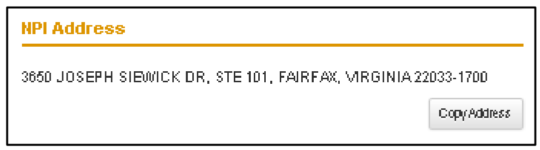


Figure 16: Read-Only NPI Address on Provider Profile Page

USER NOTES

- The "NPI Address" is the only address imported from the NPI Delta File. Other location addresses for a provider can only be added to the provider record by a user.

3.2.2 ADDING AND EDITING PROVIDER PHYSICAL LOCATIONS

From the Provider Profile page, users can access the Locations module to add new locations and edit existing locations. Each provider location will have its own page so users can only view the details of one provider location at a time.

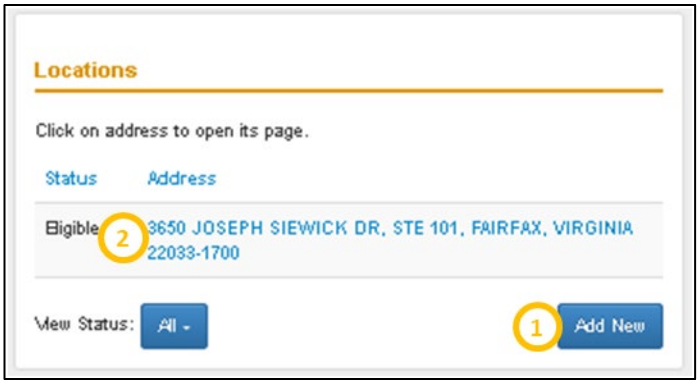


Figure 17: Locations List and Access to View/Edit Location Page

Feature	Description
1. Add New Location	To add a new location, select the “Add New” button in *Figure 17* to navigate to a blank Location page.
2. View or Edit Details of an Existing Location	To view or edit the details of an existing location, click on the hyperlinked location address to view/edit in the Locations list. See *Section 3.3 Provider Locations* for more details.

USER NOTES

- A user can choose to filter the Locations module to view all locations, only eligible locations, or only ineligible locations by selecting a filter option from the “View Status” dropdown menu.

3.2.3 PROVIDER TAXONOMIES

The taxonomy information in this section is NPI data and is read-only (see *Figure 18*). The taxonomy information reflects provider-reported data on their practice location(s) and specialization(s).

When a new provider is imported into the SDMS system, the system will search for a **primary** and **valid** taxonomy.

a. If there is an identified primary taxonomy and it is valid, the system will populate the “Discipline” and “Specialty” fields (on the Provider Location page) with the corresponding “Discipline” and “Specialty.”
b. If there is no primary taxonomy or the identified primary taxonomy is invalid, the “Discipline” and “Specialty” fields (on the Provider Location page) will be left blank, resulting in an “Ineligible” Status and “Ineligible Reason” of “No Discipline/Specialty”.

NPI Delta File updates to taxonomy information will **not** result in an update to the “Discipline” and “Specialty” fields.

The SDMS Provider Portal allows PCOs to override the NPI-determined “Discipline” and “Specialty” by entering a new discipline or specialty that may or may not match the taxonomy code and taxonomy type. The system will use the discipline/specialty information in its calculations, not the taxonomy information.

Figure 18: Provider Taxonomies

Taxonomy	Description
1. Primary	This field displays NPI data and is populated by the NPI Primary and Delta Import Files. This is a read-only field. A provider may have one or more taxonomies, but only one primary taxonomy. The primary taxonomy is identified by a ✔. If there is no primary taxonomy identified, the "Discipline" and "Specialty" fields will not be populated by the system, resulting in an "Ineligible" status.
2. Taxonomy Code	This field displays NPI data from the NPI Primary and Delta Import Files. This is a read-only field. Taxonomy codes are assigned by CMS based on the specific CMS-defined specialty of practice for the provider.
3. Taxonomy Type	This field displays NPI data from the NPI Primary and Delta Import Files. This is a read-only field. "Taxonomy Type" is determined by the "Taxonomy Code."
4. License Number	This field displays NPI data from the NPI Primary and Delta Import Files. This is a read-only field. A provider must have at least one license number for each state in which they practice, and may have more than one license number per state if they have more than one specialization.
5. Taxonomy State	This field displays NPI data from the NPI Primary and Delta Import Files. This is a read-only field. "Taxonomy State" indicates the state in which the provider is providing services for that taxonomy type/code.

BUSINESS RULES

- A primary taxonomy is required in order for the system to populate the "Discipline" and "Specialty" fields.
- A valid taxonomy is required in order for the system to populate the "Discipline" and "Specialty" fields.

USER NOTES

- Users may manually enter or update a valid discipline/specialty for providers in their designated state.
- Users may have more up-to-date information on providers than CMS. Therefore it is possible that the data fields that are completed by PCOs may not always match the NPI read-only data. PCO-entered data will never be overridden by NPI Delta File updates.
- A provider may have two different taxonomy codes with the same taxonomy type if they have two specializations.
- A provider may have two of the same taxonomy code with two different license numbers and states if they are providing the same service in two different geographic locations.

3.2.4 PROVIDER CHANGE HISTORY

On the Provider Profile page, users can see a change history log of important NPI changes to the provider. NPI changes are imported to SDMS weekly in the NPI Delta Import File.

The change history log captures four NPI change types:

- New Providers
- NPI Taxonomy Changes
- NPI Address Changes
- NPI Provider Deactivations

The change log does not capture changes made by users.

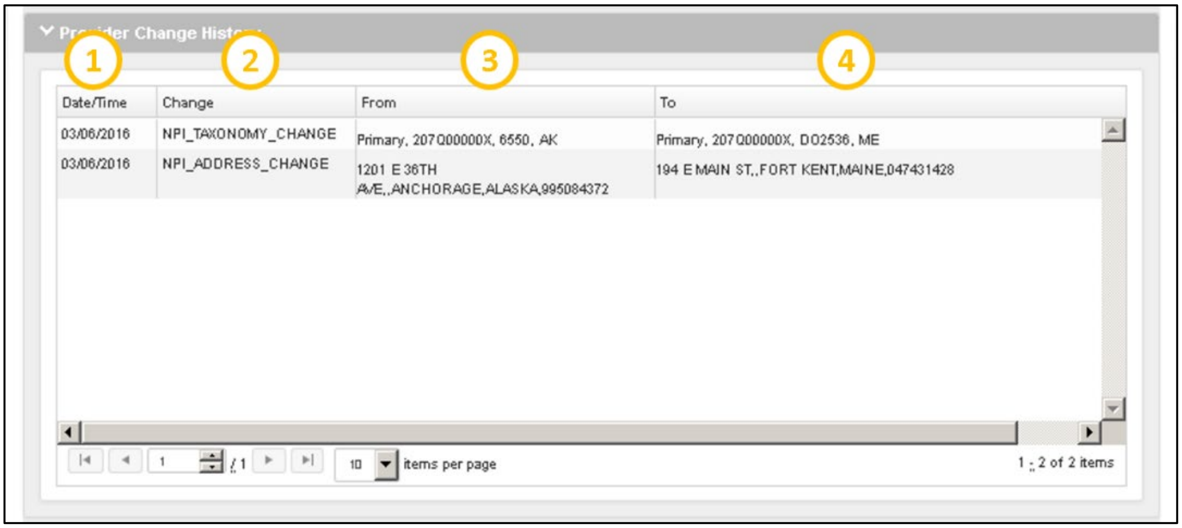


Figure 19: Provider Change History Log

Feature	Description
1. Date/Time	This field identifies the date and time that the provider record was updated by NPI.
2. Change	This field identifies the type of change being recorded. It will be one of the four change types listed above.
3. From	This field shows the original data before the NPI update. The purpose of this field is to aid users in determining what changes have been made.
4. To	This field shows the new data after the NPI update. Users can compare this data to the data in the "From" column to determine what changes have been made.

USER NOTES

- The change history log is read-only.
- Sort the search result by ascending or descending order by clicking on any column header.

3.2.5 COMMENTS

On the profile page, users can add comments to a provider record to communicate important information with other users. Comments will display with the name of the commenter, the date and time the comment was added, and the comment text. Comments cannot be deleted once the “Add Comment” button has been clicked, and all system users who can access the provider’s record can see the comments. There is no way to limit the audience when entering a comment.

Figure 20: Adding Comments to a Provider Record

Feature	Description
1. Name	This field displays the name of the user who added the comment.
2. Date	This field displays the date and time that the comment was added.
3. Comment	This field shows the published comment. This is a read-only field.
4. Add Comment	Users can type their comments in the text box and then click “Add Comment” to publish their comment. Once a comment has been published, it cannot be edited or deleted.

3.3 PROVIDER LOCATIONS

On the Provider Location page, users can add new locations, activate and deactivate locations, and view all details related to a provider location.

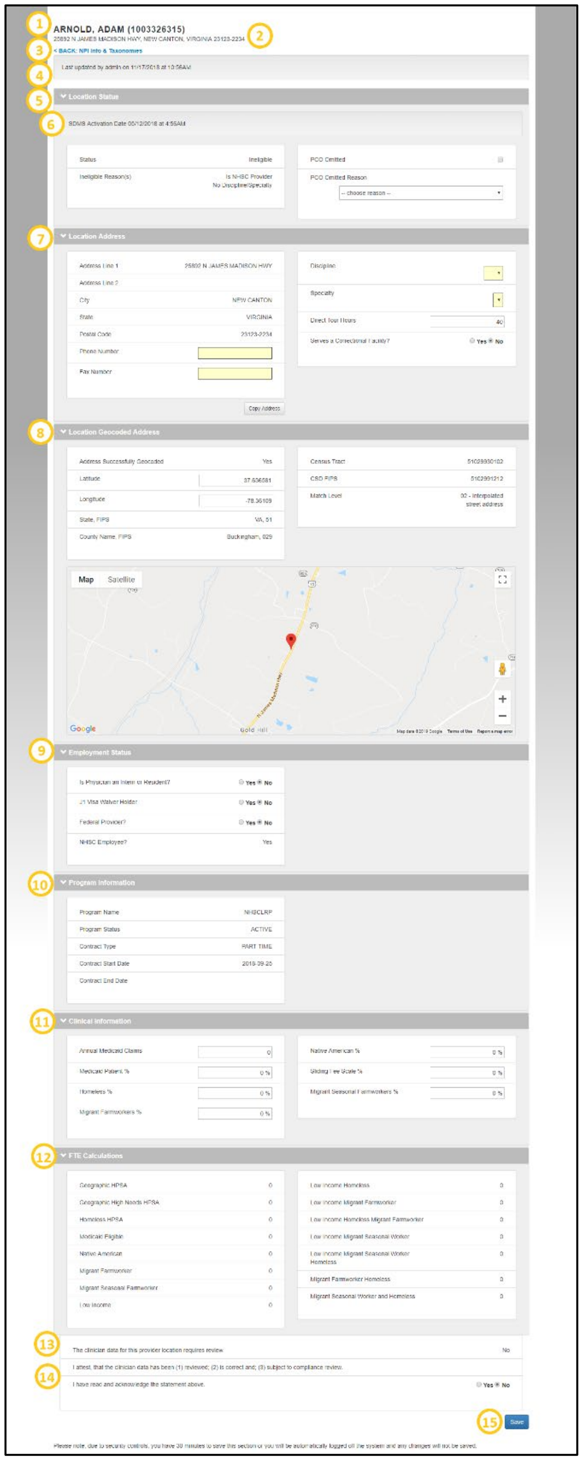


Figure 21: Provider Location Report

Feature	Description
1. Last Name, First Name, NPI	The name and NPI of the provider is displayed here.
2. Address	The address of the provider location being viewed is displayed here.
3. < BACK: NPI Info & Taxonomies	Click this button to return to the previous screen – the Provider Overview page.
4. Last Updated by	This is the last date the provider record has been updated by either a user or by the system (e.g., NPI delta file import). The format for display is: MM/DD/YYYY HH:MM AM/PM (12-hour time).
5. Location Status	This section displays whether or not the location is eligible, provides the reason(s) a location is ineligible, and allows PCOs to omit or include locations. See *Section 3.3.1 Location Status* for more information.
6. SDMS Activation Date	If active, the date the location was activated will be displayed here.
7. Location Address	This section displays the physical address of the provider location, the type of location, the phone and fax of the provider location, and the type and number of hours of service provided. See *Section 3.3.3 Location Address* for more information.
8. Location Geocoded Address	This section illustrates additional geographical information returned by the geocoding service. All information under this grouping is read-only, except for the latitude and longitude fields. *See Section 3.3.4 Location Geocoded Address* for more information.
9. Employment Status	This section displays additional details about the provider's employment status specific to the location being viewed.
10. Program Status	This section displays the provider's BMISS Program status. If the provider is not enrolled in a BMISS program this section will not appear.
11. Clinical Information	This section lists the fields pertaining to clinical information specific for the provider location being viewed.
12. FTE Calculations	This section shows the FTE calculations for the provider location being viewed. The calculations are dynamic, with values updating after each save of edits in other sections that impact FTE calculations. All the values displayed are read-only.
13. Needs Review Status	This section indicates whether the clinician data associated with the provider location needs to be reviewed

14. Clinician Data Attestation	This section shows whether the clinician data has been reviewed and attested to and allows the user to update the status.
15. Save	The user must click "Save" to save the updated information. If the user leaves the page without saving, they will not be prompted to save and the information will be lost.

BUSINESS RULES

- When a new provider is imported into the system, the SDMS activation date will be null until the PCO modifies the location and saves.

USER NOTES

- When a user creates a new location, the system will pre-populate certain fields (such as "Discipline" and "Specialty") based on valid NPI data in the provider record, but the user can update these fields before saving the new location.
- When a user updates any of the information in the provider location page and saves those changes, the "Needs Review" status will not change.

3.3.1 LOCATION STATUS

Provider locations can be **eligible** or **ineligible**.

- If a provider location is eligible for a given provider, that provider location will be counted or otherwise used in the designation application process and/or HPSA update for that state.
- If a provider location is ineligible for a given provider, that provider location will not be counted or otherwise used in the designation process and/or HPSA update for that state.

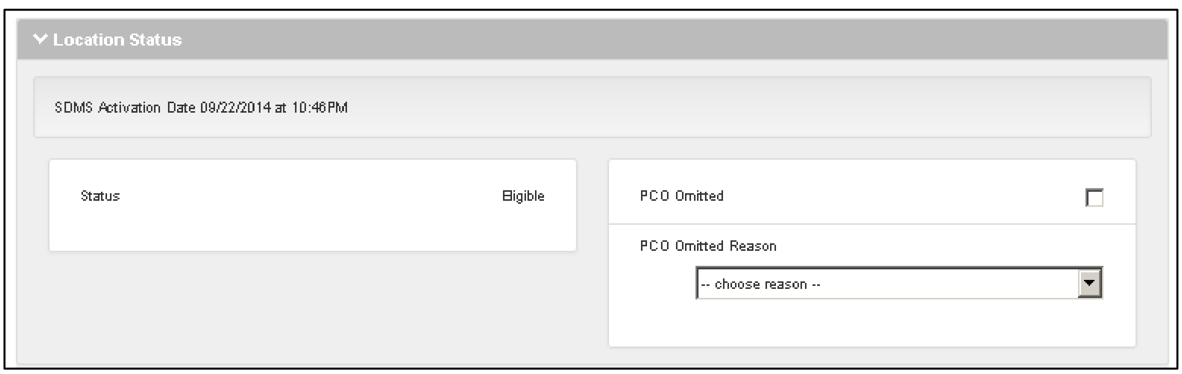


Figure 22: Eligible Status Display

3.3.2 INELIGIBLE REASONS

If a provider location is ineligible, it must have one or more ineligible reasons. If a location is ineligible, the "Ineligible Reason(s)" field will display one of the reasons described in the table below

Reason	Description
CMS Deactivated	CMS deactivated the provider. This ineligible reason can only be removed by a change in the NPI Delta file.
PCO Omitted	The PCO selected the "PCO Omitted" checkbox and entered a reason code. This ineligible reason can be removed by unchecking the "PCO Omitted" checkbox. If the provider has other ineligible reasons listed, they will remain ineligible.
Not Geocoded	The system received a geocoded match level of 4 or higher. This ineligible reason can be removed by prompting the system to attempt to geocoded the address again, or by manually geocoding the address. See *Section 3.3.4 Location Geocoded Address* for instructions on how to resolve geocoding issues.
Is Federal Provider	The PCO indicated that the provider is a federal provider. This ineligible reason can be removed by indicating that the provider is **not** a federal provider in the "Employment Status" section on the Provider Location page.
Is NHSC Employee	The PCO is an Active NHSC provider. This ineligible reason can only be removed by a change in the participant's status in BMISS.
No Discipline/Specialty	The provider's primary taxonomy does not map to a valid discipline/specialty combination in SDMS. This ineligible reason can be removed by adding a valid discipline and specialty.
New, Not Reviewed	The provider was imported into SDMS but has not been reviewed and/or updated by the PCO. This ineligible reason can be removed by visiting the new provider record and clicking "Save" with or without making any edits to the provider record.

3.3.2A OMITTING A PROVIDER LOCATION

A PCO may omit a provider location at any time by selecting the "PCO Omitted" option and selecting a "PCO Omitted Reason."

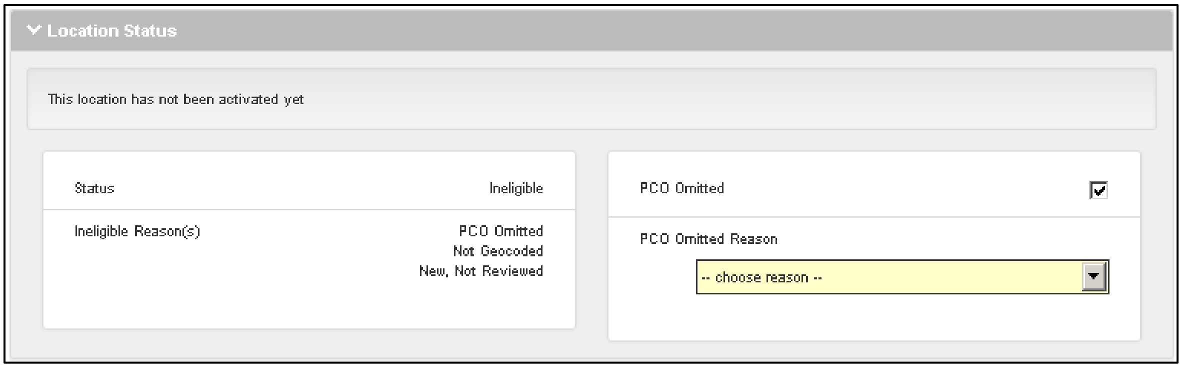


Figure 23: Ineligible Status Display

PCO Omitted Reasons include:

- Deceased
- Duplicate entry
- Faculty
- Incorrect profession
- Inpatient facility only
- License suspended by state/in disciplinary status by state
- Locum Tenens/PRN
- Non-Fed not licensed in state
- Not in clinical practices
- Not public access facility
- Not a service delivery site
- Open-ended long term leave
- Relocated
- Retired
- Specialist/Subspecialist
- Urgent Care Clinic

INSTRUCTIONS

To omit a Provider location:

1. Check the checkbox next to “PCO Omitted”
2. Select a “PCO Omitted Reason” from the dropdown menu. This field is required before the system can successfully omit a provider location. If a reason is not selected when you save your changes, you will receive an error message (see *Figure 24*).
3. Click the “Save” button at the bottom of the page to save your changes.

Figure 24: Error Message Received when User Tries to Omit Provider Location without Selecting a Reason

BUSINESS RULES

- The address being omitted must be within the PCO’s state.
- The user must provide a reason code when omitting an address.

USER NOTES

- If the user selects a reason code without checking "PCO Omitted", the system will not save the change and will return an error message.

PCO OMISSION USER CODE DEFINITIONS

Number	Reason Code	Definition
1.	Deceased	Provider is deceased
2.	Duplicate Entry	Duplicate of an existing location
3.	Faculty	Location is an academic or research location
4.	Incorrect taxonomy	Provider is listed with an incorrect taxonomy
5.	Inpatient Facility Only	Facility has no outpatient services
6.	License Suspended by State/In Disciplinary Status by State	Provider is not practicing due to a suspended license
7.	Locum Tenens/As Necessary	Provider is standing in for the permanent full time provider at this site
8.	Non-Fed Not Licensed in State	Provider not working at federal facility and also not licensed in state
9.	Not in Clinical Practices	Provider not currently in clinical practice
10.	Not Public Access Facility	Facility does not offer care to the general public
11.	Not a Service Delivery Site	Medical care cannot be accessed at this location (Possible home address or an administrative location)
12.	Open-Ended Long Term Leave	Provider is on an extended leave from practice
13.	Relocated	Location omitted because provider moved
14.	Retired	Provider has retired
15.	Specialist/Subspecialist	Provider has an eligible taxonomy but practices an ineligible subspecialty
16.	Urgent Care Clinic	Location is an urgent care clinic and does not provide full scope of Primary, Mental, or Dental care

3.3.3 LOCATION ADDRESS

The location address section of the Provider Location page displays the physical address associated with the location and details around the provider services associated with the location.

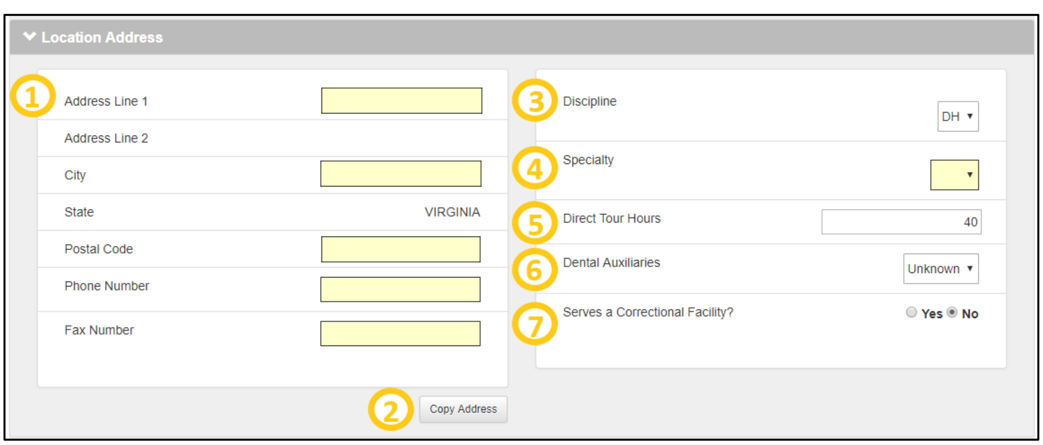


Figure 25: Location Address Section for a Dental Health Discipline

Feature	Description
1. Address	For a new provider, the initial location address is the address provided by the provider in the NPI file as the primary location of practice. For an existing provider, users can add additional physical location addresses, phone numbers, and fax numbers.
2. Copy Address	This button will generate a duplicate location record for the location being viewed. The address of a location cannot be updated once saved, so in the case of a typo or other user error, the user should deactivate the existing location, create a copy, and update the fields as needed before saving.
3. Discipline	Select the discipline associated with the provider’s services at the selected location. The three discipline options are “Primary Care,” “Mental Health,” and “Dental Health.” This selection will determine what additional fields are displayed in the “Location Address” module. *User Notes:* • The “Dental Auxiliaries” field will only appear if the “Dental Health” discipline is selected. • The “Serves State/County Mental Hospital” field will only appear if the “Mental Health” discipline is selected
4. Specialty	Select a corresponding specialty after selecting a discipline. A specialty cannot be selected if a discipline has not been identified.
5. Direct Tour Hours	The “Direct Tour Hours” will be defaulted to 40 hours, and Geographic HPSA will be 1 in the FTE Calculations. PCO can enter whole number integers from 0-168 hours. “Direct Tour Hours” cannot be 0 for an eligible provider. The system will produce an error message as shown in *Figure 26*.
6. Dental Auxiliaries	This field is only available for providers with a discipline of “DT” (Dental Health). This field will not display for all other disciplines.
7. Serves a Correctional Facility?	This field has a dropdown with the following options: • Yes • No
8. Serves State/County Mental Hospital	This field is only available for providers with a discipline of “MH” (Mental Health). This field will not display for all other disciplines.

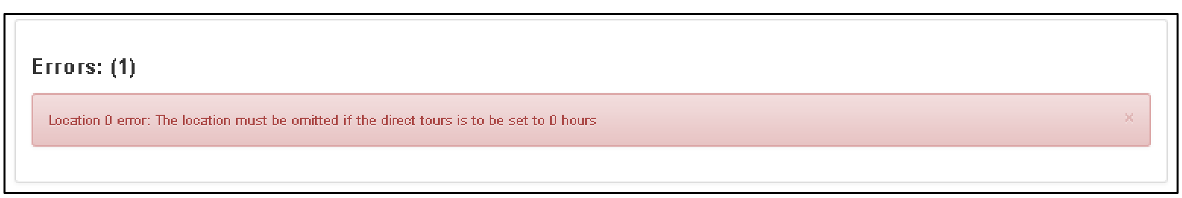


Figure 26: Error Message when Direct Tour Hours are Incorrectly Set to 0 Hours

INSTRUCTIONS

To add a new location address:

1. Input the “Address,” “City,” and “Zip Code” of the new location.

2. Update tour hours as necessary and provide a reason code.
3. Click “Save” to save your changes after completing relevant fields in the other sections on the location page (e.g., Employment Status).

BUSINESS RULES

- “Address Line 1,” “City,” “State,” and “Zip Code” are required to add a new address.
- The user may enter “Direct Tour Hours” greater than 40 and up to 168, but a maximum of 40 hours will be used by the database in order to calculate FTE.
- The system will not count dental auxiliaries when calculating FTEs based on Medicaid claims.
- The “Auxiliary Weight” is determined by the “Dentist’s Age” and “Auxiliary Number” entered.

USER NOTES

- SDMS does not calculate primary care FTEs when only office hours are known. It is the responsibility of the user to enter the correct tour hours (adjusted or otherwise) into SDMS. See *Section IV of the Manual for Policies and Procedures* for more detail.
- When “Direct Tour Hours” are changed to 0, an error message will be displayed. The error message reads: “The location must be omitted if the direct tour hours is to be set to 0 hours.” (See *Figure 25*)
- A new location cannot be deleted once it is submitted. To remove the address fully from FTE Calculations, users can omit the address. See *Section 3.3.1 Location Status* for instructions on how to omit a location address.
- A PCO may add an address for their designated state to a provider currently listed in another state. However, a PCO may not add an address for another state to a provider currently listed in their state.

3.3.4 LOCATION GEOCODED ADDRESS

This section illustrates additional geographical information returned by the geocoding service. All information under this grouping is read-only, except for the latitude and longitude fields.

The system will geocode new addresses automatically. However, if a user wants to override the system-geocoded location, or if the system fails to successfully geocode the address, users associated to the provider can override the given latitude and longitude by entering new values or dropping a pin on the map in the correct location.

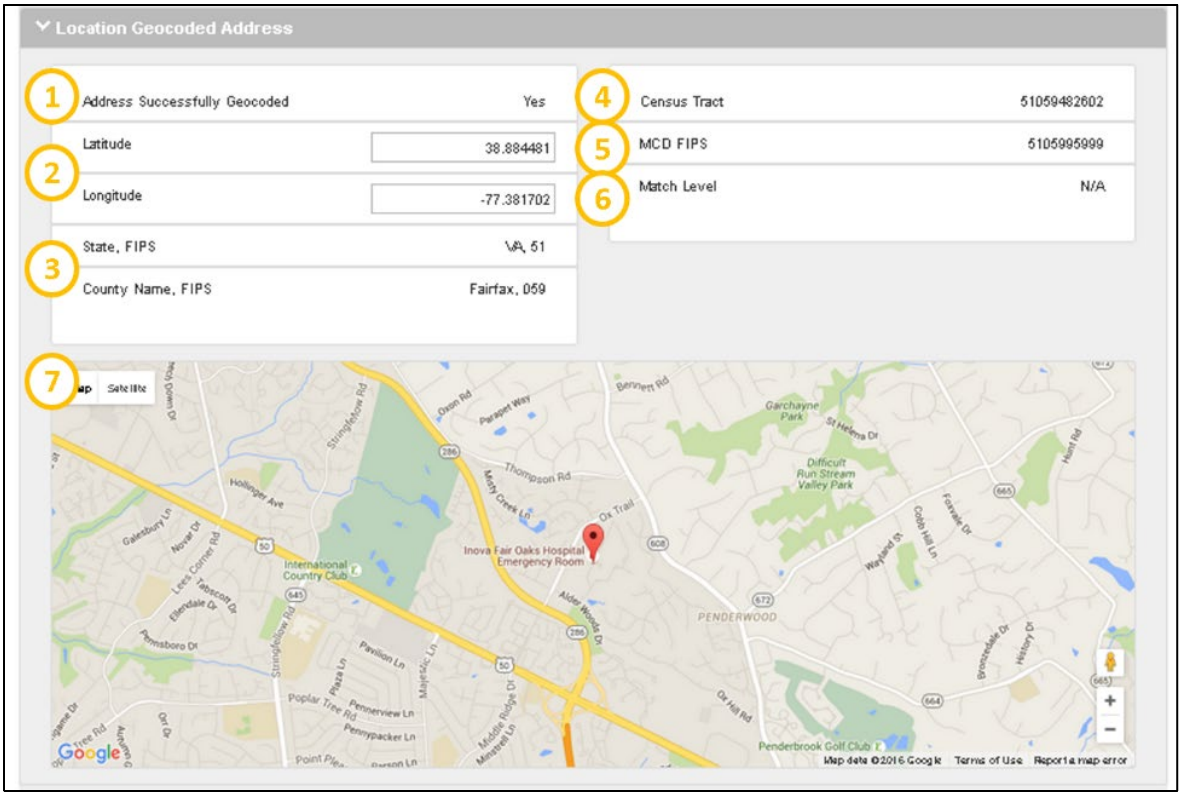


Figure 27: Geocoded Address

Feature	Description
1. Address Successfully Geocoded	This indicates if the system has successfully geocoded the provided address or not.
2. Latitude and Longitude	These fields are prepopulated by the system if it found a “Latitude” and “Longitude” for the provided address. Users associated to the provider can override the given latitude and longitude here by entering new values or deleting existing values.
3. State, FIPS, County Name, FIPS	These fields are prepopulated by the system if the address was successfully geocoded.
4. Census Tract	This field is prepopulated by the system if the address was successfully geocoded.
5. CSD FIPS	This field is prepopulated by the system if the address was successfully geocoded.
6. Match Level	This field indicates the confidence level that this address has been successfully geocoded. If the user modifies the latitude and/or longitude the new match level would be “0 – User Override.”
7. Address Map	The map pinpoints the physical location of the provided address. Users associated to the provider can override the given geocoded location here by dragging and dropping a pin on the correct location on the map.

BUSINESS RULES

- The new location will be geocoded immediately after the user selects the “Save Provider Information” button if the system found a strong enough match to the provided address. Refer to the “Location Geocoded Address” section of the location to find more information on its status.

USER NOTES

- Users can delete the “Latitude” and “Longitude” values and save without inputting new values to trigger the system to attempt to geocode the address again.
- If the provider cannot be geocoded then it will not show up on the map and therefore not be counted in the area the PCO is trying to create the RSA.

3.3.4A STEPS TO RESOLVE GEOCODING EXCEPTIONS

INSTRUCTIONS

1. Search for locations that have not been geocoded successfully.
2. Delete the existing latitude and longitude and select the “Save” button.
    a) If its match level is 3 or less, the “Latitude” and “Longitude” are accurate, and the components are also accurate, then the system has successfully geocoded the address.
    b) If its match level is 4 or higher, or the “Latitude” and “Longitude” aren’t accurate, or the components are incorrect, move on to the next steps.
3. Create a new location.
4. Enter the correct address and save.
5. Check your results:
    a) If its match level is 3 or less, the “Latitude” and “Longitude” are accurate, and the components are also accurate, then the system has successfully geocoded the address.
    b) If its match level is 4 or higher, or the “Latitude” and “Longitude” aren’t accurate, or the components are incorrect, move on to the next step.
6. Drag the pin to the correct location and save.

3.3.5 EMPLOYMENT STATUS

This section on the Location page displays additional details about the provider that impact a provider’s eligibility status and FTE calculations. Users must answer “Yes” or “No” to the following questions:

- Is Physician an Intern or Resident?
- J1 Visa Waiver Holder?
- Federal Provider?

A provider is ineligible if any of the following fields are checked “Yes”:

- J1 Visa Waiver Holder
- Federal Provider
- NHSC Employee
    - System will determine if the provider is a NHSC Employee from data sourced from BMISS.

If a PCO checks “Yes” for “Is Physician an Intern or Resident?”, the FTE will be affected as follows:

- For Primary Care, the FTE can be no higher than .1
- For Mental Health, the FTE can be no higher than .5
- For Dental Health, the FTE will be 0

Figure 28: Employment Status

3.3.6 PROGRAM STATUS

This section on the Location page displays additional details about the BMISS program status of a provider that could impact a provider's eligibility status. This section will not appear if a provider has not been enrolled in any BMISS program. The user will not be able to adjust this information.

- Program Name
- Program Status
    - A provider is deemed ineligible if they are in an "ACTIVE" status.
- Contract Type
- Contract Start Date
- Contract End Date

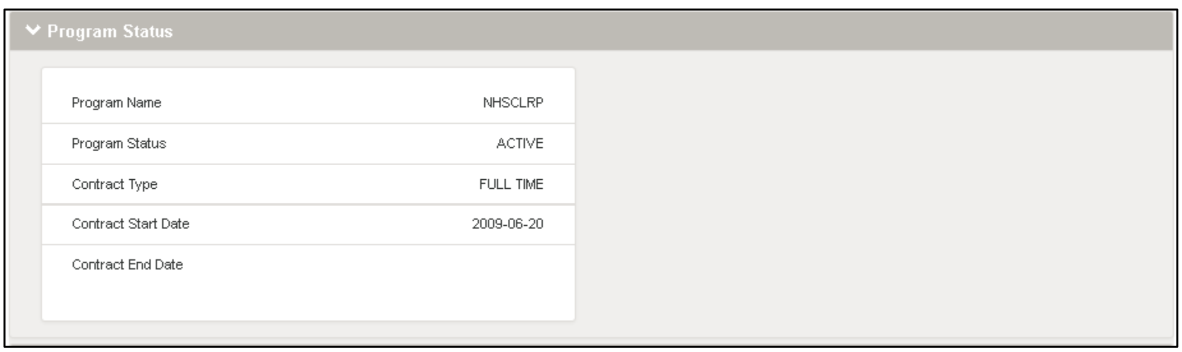


Figure 29: Program Status

3.3.7 CLINICAL INFORMATION

This section lists the fields pertaining to clinical information specific to the location being viewed.

- For "Annual Medicaid Claims," a user may enter any whole number value from 0 – 9999. For primary care, any value 5000 and above results in a FTE of 1. For mental health and dental health, any value 4000 and above results in a FTE of 1.
- For all % fields in this section, a user may enter any whole number value between 0 and 100.

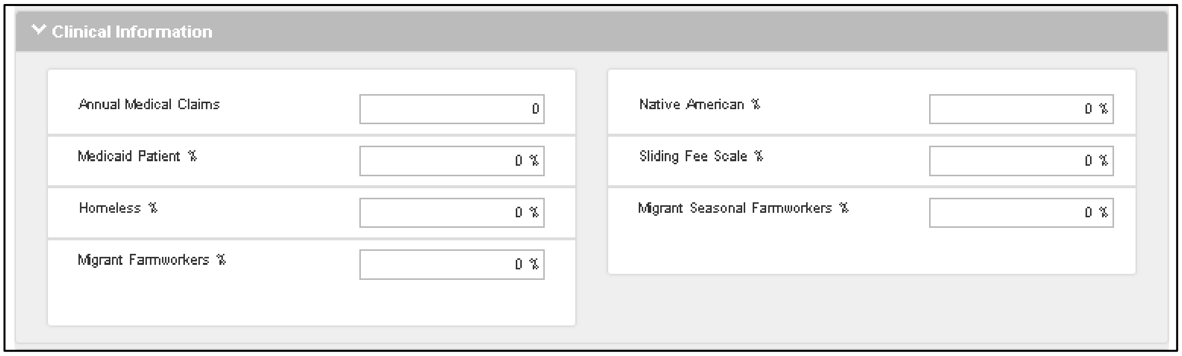


Figure 30: Clinical Information

BUSINESS RULES

- For any low-income calculation, enter in either or both of the following:
    - An “Annual Medicaid Claims” or “Medicaid Patient %” value greater than 0.
        - If both “Annual Medicaid Claims” and “Medicaid Patient %” have values greater than 0, the system will look at the Annual Medicaid Claims value.
    - “Yes” to “Sliding Fee Scale” with a value greater than 0.

3.3.8 FTE CALCULATIONS

This section shows the FTE calculations for the location being viewed. The calculations are dynamic, with **values updating after each save** of edits that impact FTE calculations. All the values displayed in this section are read-only.

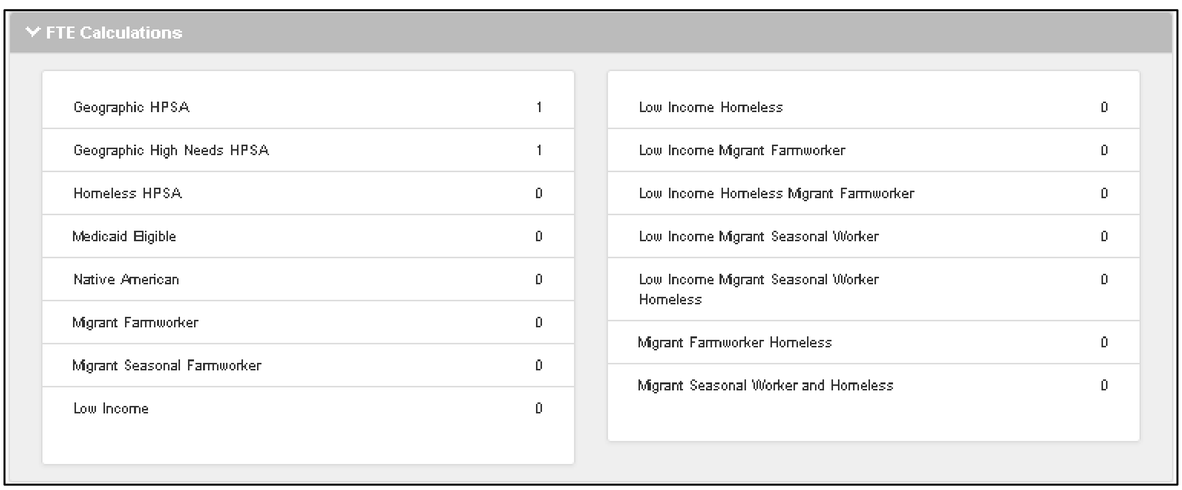


Figure 31: FTE Calculations

3.3.9 CLINICIAN DATA ATTESTATION

This section shows whether the data for the location being viewed needs to reviewed and if the data has been attested to by a user. The user may indicate if the clinician data for the location being viewed is attested by checking the “Yes” radio button.

Figure 32: Clinician Data Review and Attestation

BUSINESS RULES

- The “Needs Review” status of a provider location will not change in response to updates completed by the user; it will be changed in response to criteria set by DPSD.

3.4 IMPORT TOOL

The import tool will provide the PCOs the capability to add, update, or omit/include provider location data in bulk by modifying system-generated excel files. The modified files can then be uploaded through the User Interface where the system will validate the attempted modification. The system will generate files with the most current provider data for each state on a nightly basis at 12:00 AM EST.

Figure 33 illustrates the Provider Management Landing page, where users will be able to reach the Search, Upload, or Download pages by clicking on the respective tile. Clicking on the Download button will direct the user to the Excel file repository where users can download the state’s data.

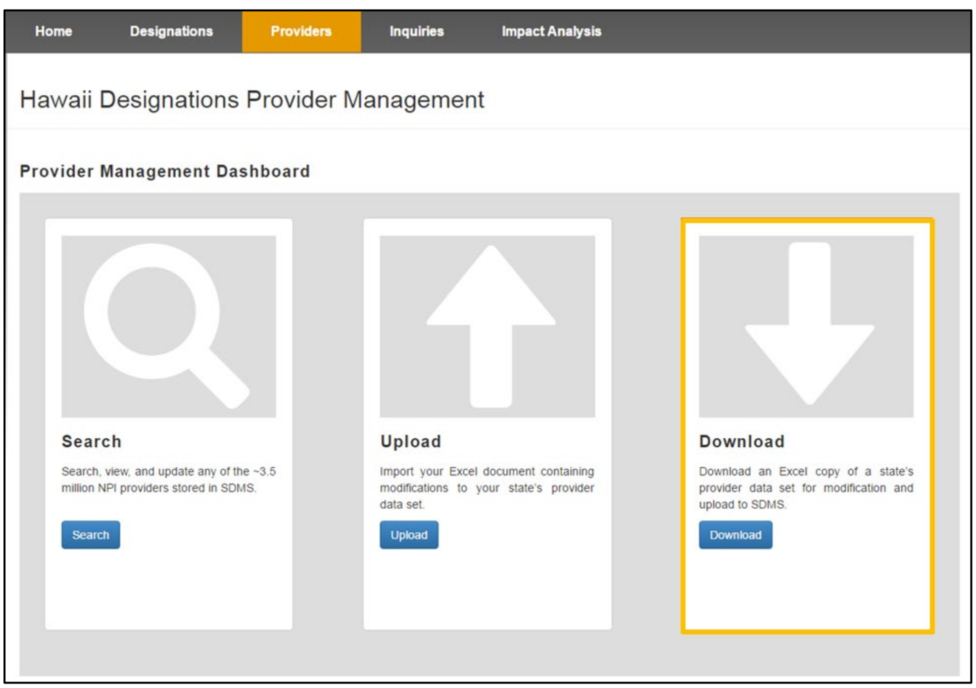


Figure 33: Provider Management Landing Page

3.4.1 DOWNLOADING PROVIDER EXPORT FILE

The first step in modifying provider data in bulk is to download the system-generated file. The system will provide a dropdown displaying only the PCO's respective state or territory.

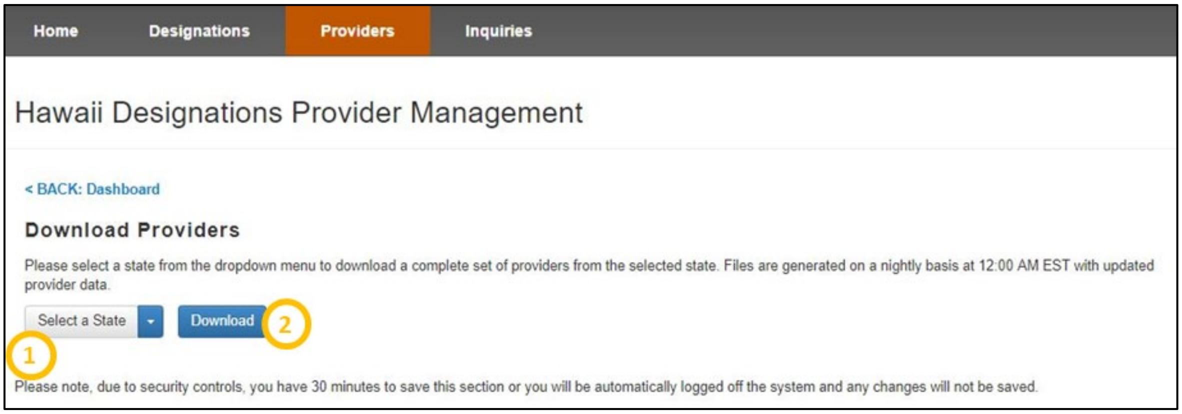


Figure 34: Downloading Provider Management File

Feature	Description
1. Select a State	To download the file, click on the "Select a State" dropdown and select the state that you wish to download a comprehensive list of providers for.
2. Download	When the desired state has been selected, the download button will download the comprehensive list of providers for the respective state.

The file will be downloaded as a zipped folder that will contain the downloaded state's provider information.

3.4.2 EXPORT FILE INTRODUCTION

The system-generated provider data file (export file) will have all provider data for that state which includes eligible and ineligible locations. The file will have a Provider Locations tab and a Metadata tab (see *Figure 35*). The Provider Locations tab has provider information for all providers which can be edited to modify provider data through the Import tool. The Metadata tab has a creation date that informs the system when the file was generated. If an update is made to a record after the file was generated and an update is being attempted to that same record through the Export file, the system will reject the file's attempted update for the given provider. The Metadata tab also provides the reason code values, discipline and specialty lists.

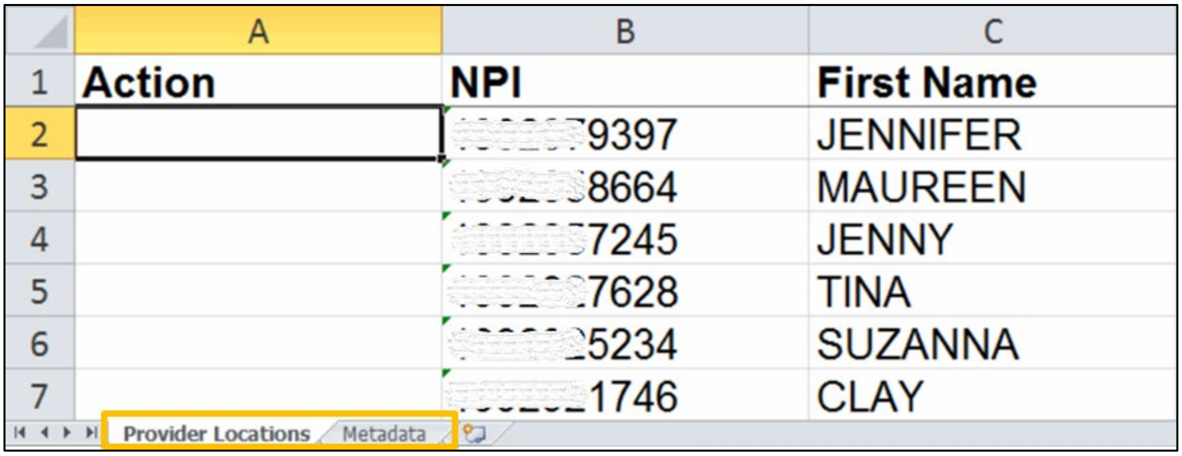


Figure 35: Excel Export File tabs

USER NOTES

The Provider Locations and Metadata tab labels should not be relabeled or deleted, as they are needed for the system to properly recognize the file. Relabeling these tabs will cause the system to reject the file and display an "Invalid File" error message when the file is uploaded

The Export file will contain the following columns (in order) and be populated with data for each location if the data exists for those records:

1. Action
2. NPI
3. First Name
4. Middle Name
5. Last Name
6. Suffix
7. Phone Number
8. Fax Number
9. Discipline
10. Specialty
11. Status
12. Ineligible: CMS Deactivated
13. Ineligible: PCO Omitted
14. Ineligible: Not Geocoded
15. Ineligible: Federal Provider
16. Ineligible: NHSC Provider
17. Ineligible: J1 Visa Waiver Holder
18. Ineligible: No Specialty/Discipline
19. Ineligible: New, Not Reviewed
20. Address Line 1
21. Address Line 2
22. City
23. State
24. Postal Code
25. County Name
26. Latitude
27. Longitude
28. Match Level
29. State FIPS
30. County FIPS
31. Census Tract
32. CSD
33. Age
34. Dental Auxiliaries
35. Direct Tour Hours
36. Reason Code
37. Serves at Correctional Facility?
38. Serves at State/County Mental Hospital?
39. Annual Medicaid Claims
40. Medicaid Patient %
41. Homeless %
42. Migrant Farmworkers %
43. Native American %
44. Sliding Fee %
45. Migrant Seasonal Farmworker %
46. Resident/Intern

47. J1 Visa Waiver Holder
48. Federal Provider
49. NHSC Provider?
50. Needs Review
51. Clinician Data Reviewed
52. Attestation Date
53. Activation Date
54. SDMS Last Modified Date
55. SDMS Last Modified By
56. NPI Address Change Date
57. NPI Deactivation Date
58. NPI Reactivation Date
59. NPI New Provider Date
60. NPI Taxonomy Change Date
61. Taxonomy Code*
62. Taxonomy Type*
63. License Number*
64. License State*

** Taxonomy Code, Taxonomy Type, License Number, and License State will have 15 columns each to accommodate providers with multiple taxonomies and licenses*

Users may delete columns from the spreadsheet that are not required by the system for recognition and processing. The spreadsheet must always contain the following columns:

- Action
- NPI
- Discipline
- Specialty
- Address Line 1
- City
- State
- Postal Code
- Dental Auxiliaries
- Direct Tour Hours
- Reason Code
- Serves at Correctional Facility?
- Serves at State/County Mental Hospital?
- Annual Medicaid Claims
- Medicaid Patient %
- Homeless %
- Migrant Farmworker %
- Native American %
- Sliding Fee %
- Migrant Seasonal Farmworker %
- Resident/Intern
- J1 Visa Waiver Holder
- Federal Provider?
- NHSC Provider?

Users will have the ability to add additional columns if needed; the system will ignore all but the editable or identifying columns. Should any of the editable columns be modified or deleted, the system will reject the file and return an "Invalid File" error message under the Report Detail portion of the upload page and no updates will be made to provider data.

The first time a file is opened, users may encounter one or both of the following firewall warnings (depending on the excel version and firewall settings) as illustrated in *Figure 36* and *Figure 37*.

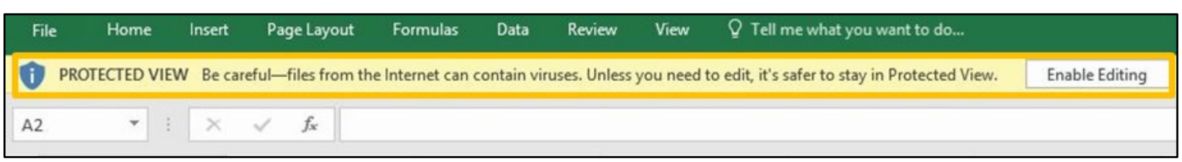


Figure 36: Enabling Editing Capability

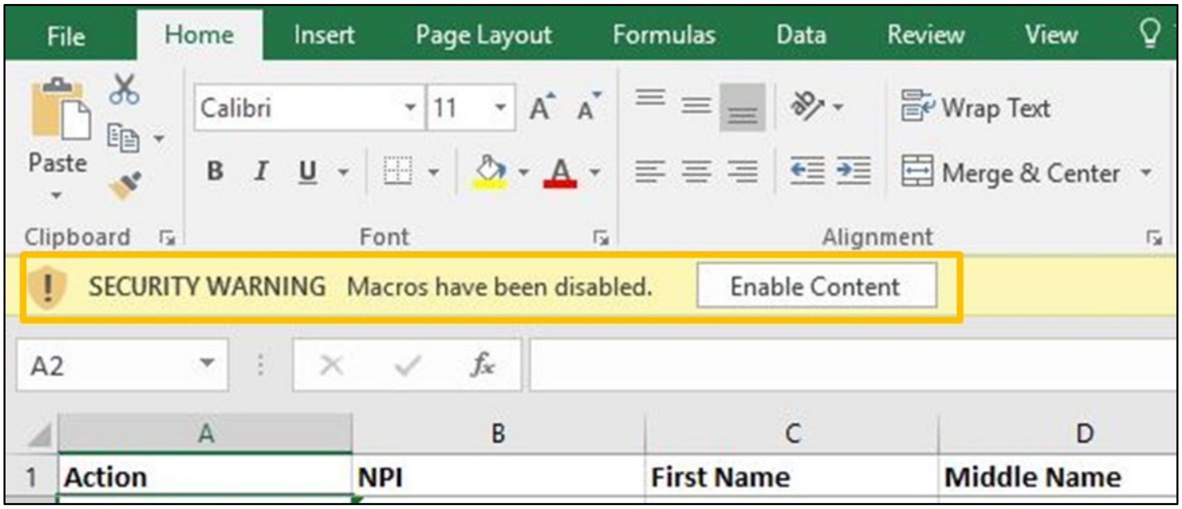


Figure 37: Enabling Macro Capability

To use the Export file, users may need to click the “Enable Editing” and “Enable Content” buttons if prompted by Excel.

3.4.3 EDITING PROVIDER LOCATIONS USING THE EXPORT FILE

This section outlines how users can add, update, or omit provider locations using the export file.

3.4.3A ACTIVATING THE BUILT-IN MACRO

In order for the system to know the action the user is attempting to make, the user will need to select one of the options (Add, Update or Omit) in the dropdown under the “Action” column. These options have been built into a macro in the Export file to facilitate user’s ability to modify the data. The macro can be activated by pressing

(Ctrl + Shift + I) on the keyboard. Activating the macro will populate the Action, Discipline, Specialty, Dental Auxiliaries, Reason Code, Facility Information, and Employment Status columns’ options. Once the macro is activated, all the necessary dropdowns in the file will be populated with different options as illustrated in *Figure 38* and *Figure 39*.

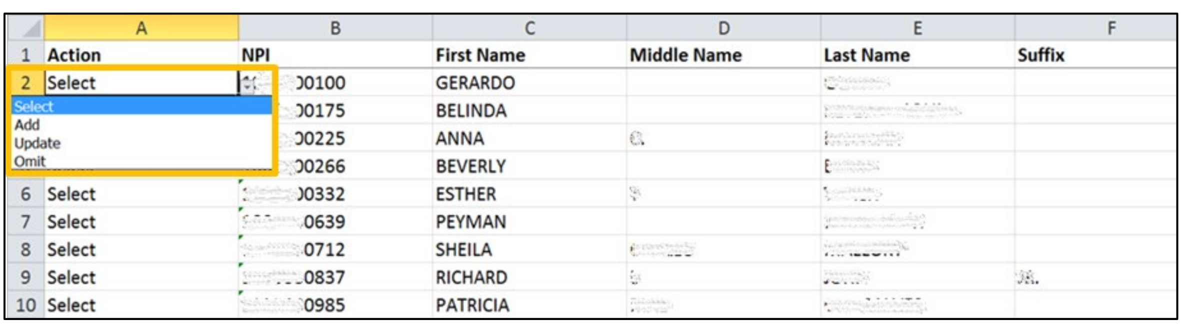


Figure 38: Macro Populated Action Column

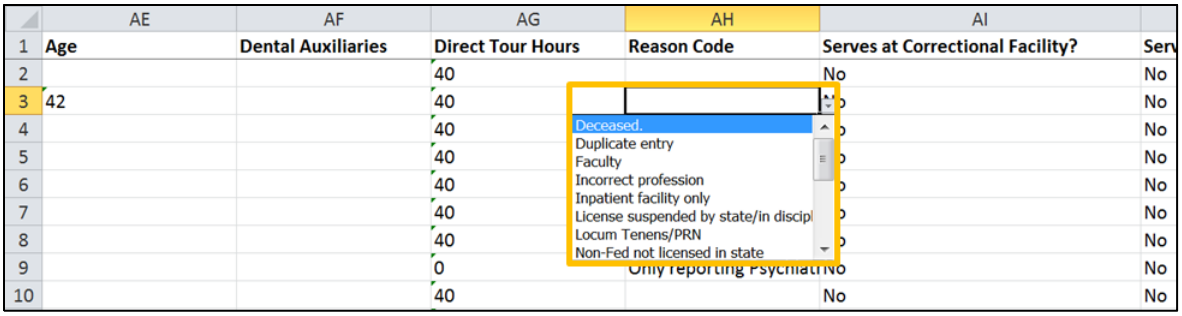


Figure 39: Macro Populated Reason Code

USER NOTES

- The system will only accept values from the provided options for all columns that were prepopulated by the macro. Entering any other value will cause the record to be rejected and no updates will be made to that particular record. The system will inform the user why the attempted action was rejected through the detailed report, which can be viewed through the user interface.

The second step in modifying provider data in bulk is to update all the necessary records by selecting one of the provided action types which are covered in *Section 3.4.3B Add New Location*, *Section 3.4.3C Update Existing Location*, and *Section 3.4.3D Omit Existing Location.*

3.4.3B ADD NEW LOCATION

The Import tool will allow users to add new locations for existing providers within SDMS by selecting the "Add" option from the dropdown under the Action column. The user must provide the NPI for the provider that the location is being added to. The system will accept the following information when the Add action is selected:

- Discipline
- Specialty
- Address Line 1
- Address Line 2
- City
- State
- Zip
- Postal Code
- Dental Auxiliaries (If DH provider)
- Direct Tour Hours
- Facility Information (e.g., Serves at Correctional Facility)
- Clinical Information (e.g., Annual Medicaid Claims)
- Employment Status (e.g., Resident/Intern)

USER NOTES

- There can only be one unique address with an "Eligible" status. If a user attempts to add a new location with the exact same address as an existing location, the system will return an error message.

3.4.3C UPDATE EXISTING LOCATION

The import tool will give users the ability to modify any provider's location information in the PCO's state by selecting the "Update" option from the dropdown under the Action column. When attempting to update an existing location's information, the system will accept changes to information in the following columns:

- Discipline
- Specialty
- Address Line 2
- Match level*
- Dental Auxiliaries (If Dental Health provider)
- Direct Tour Hours
- Reason Code (Remove reason code to un-omit location)
- Facility Information (e.g., Serves at Correctional Facility)
- Clinical Information (e.g. Annual Medicaid Claims)
- Employment Status (e.g., Resident/Intern)

**Locations with geocoded match levels greater than 3 or no match level can be re-geocoded with the "Update" action.*

USER NOTES

- The system will only consider records that have an action type selected, if the selected option in the dropdown is "Select", the system will ignore that row's record and move on to the next record without providing an error message or warning to the user.

3.4.3D OMIT EXISTING LOCATION

The import tool allows users to omit provider locations in the PCO's state by selecting the "Omit" option from the dropdown under the Action column and selecting an option under the Reason Code column. A reason code must be selected or the system will reject the omit attempt.

USER NOTES

- When attempting to Update or Omit records using the Export file, NPI and Address information must match the system's records 100% with the following fields:
    - NPI
    - Address Line 1
    - City
    - State
    - Postal Code (at least the first 5 digits)
- Should there be any difference with any of those fields, the system will reject the attempted update/omit and return an error message.

3.4.4 UPLOAD COMPLETED FILE

The last step to making bulk updates is to upload the modified file by accessing the upload page.

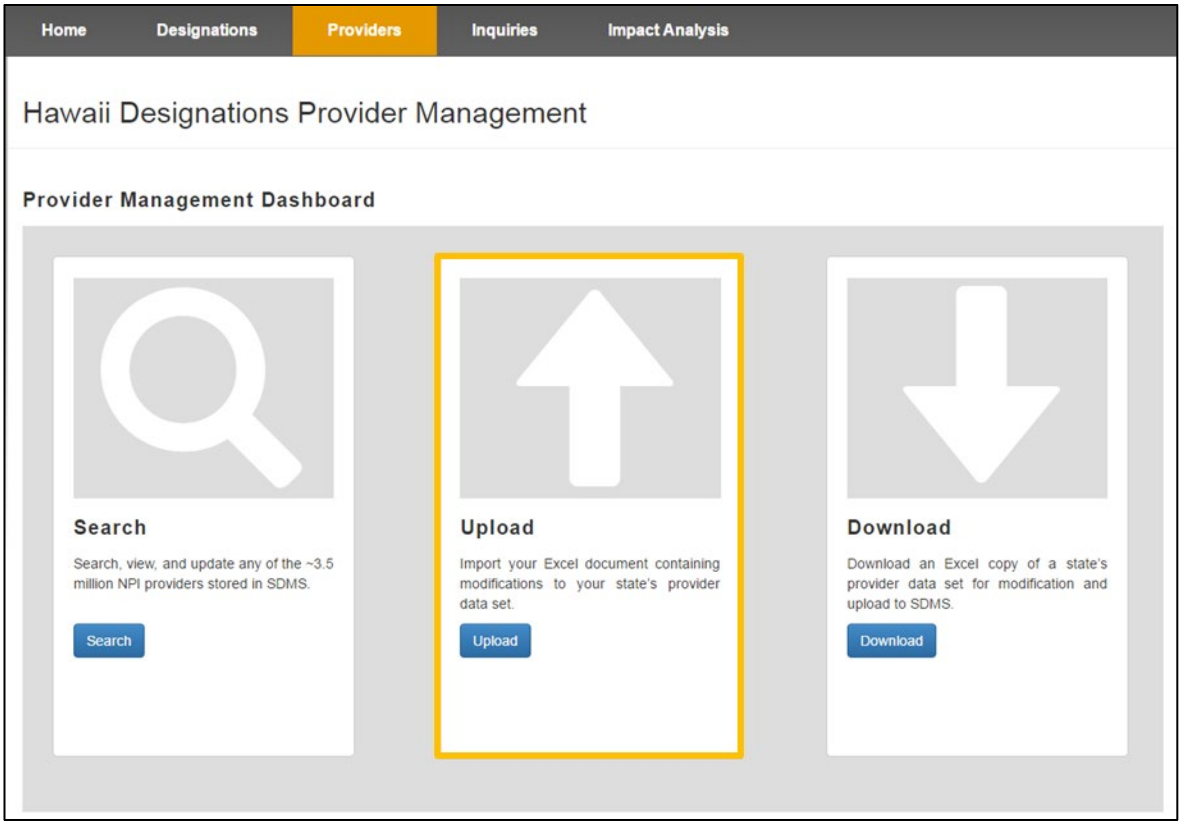


Figure 40: Accessing Upload Page

Once the user selects the Upload button, they will be directed to the upload page (see *Figure 41*). To select the file to upload, press the Browse button. This will launch a window for the user to select the file from their computer.

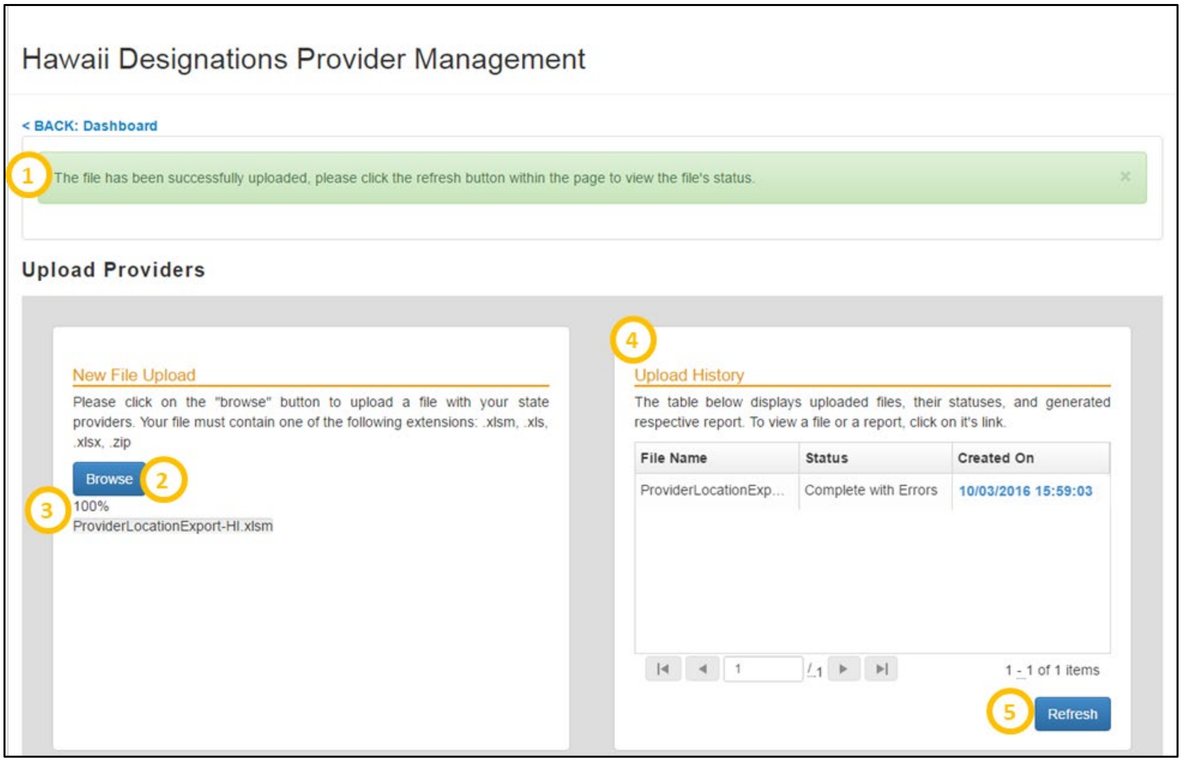


Figure 41: Uploading a File

1. Upload Notification Bar

A Green notification bar will appear at the top of the portal notifying the user that the document has been successfully uploaded and will provide additional instructions to refresh the Upload History. If a file has not successfully uploaded, this bar will not appear.

2. Browse

This button should be engaged when the user is ready to select a file to be uploaded. When selected, a pop-up window will appear allowing the user to browse their computer for the file to be uploaded.

3. File Name and Upload Status

The percentage directly under the browse button indicates the status of the file being uploaded to the portal. The name of the selected file will appear directly below the upload percentage.

4. Upload History

The upload history section will display the bulk upload history for the given state. It will display the File name, the status of the upload, and a hyperlinked date and time in the “Created On” column.

5. Refresh

When a file has been uploaded, the user should select the refresh button to have the uploaded file display in the upload history table. Once this is done, the file should be represented at the top of the table.

Users will not be restricted on the number of files that can be uploaded per user, but each file should contain no more than 50,000 records. The system will notify users of a successfully upload through a percentage counter under the Browse button and the green banner at the top of the page. Depending on the size of the file, the file may be reflected immediately under the Upload History section of the page, or the user may need to click the Refresh button after a few minutes to see the file and its status.

3.4.4A EXCEPTIONS REPORT

Once the attempted file is complete, the file will appear in the Upload History section of the page, along with the status of the file and a hyperlink to the upload report. Clicking on the hyperlink will open the Report Summary section of the page that summarizes the actions attempted in the file. If a large file is uploaded, the file may remain in "Processing" until it completely processes the whole file. Users will have the ability to see the progress the system is making with the file by first clicking on the Refresh button and then the hyperlink again. Each time the Refresh button is clicked, the system updates the number of accepted and rejected records.

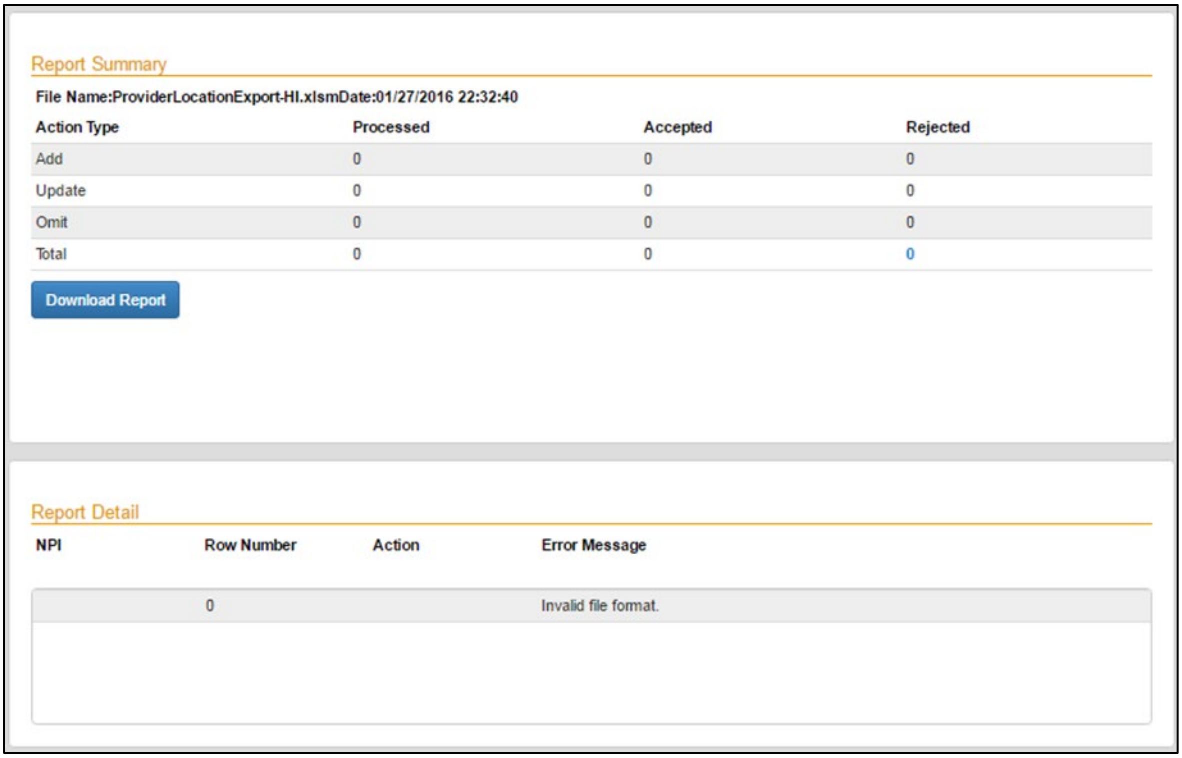
The most recent file will be displayed at the top of the list. Only ten files will be visible per page. If a state has more than ten files, users will be able to search for them by using the back and forward buttons at the bottom of the Upload History page.

Once the file has been successfully uploaded, the system will run the file through two validation checks prior to updating any provider records. The first system check will look at the file as a whole and the second check will validate each record's attempted modifications against the business and system rules (See *Section 3.4.5 System and Business Rules*).

The uploaded document will fail the first system check if it encounters one of the following issues:

- The metadata tab has been deleted or modified.
- An unsupported file format has been uploaded.
- A file larger than 50 MB has been uploaded.
- One of the identifying or editable columns has been deleted.
- A row has been added on top of the column headers.
- An identical file has been uploaded.

If the system encounters any of the aforementioned criteria, the system will display zero process records in the Report Summary section and display an invalid file format error message in the Report Detail section of the page (see *Figure 42*).



Report Summary

File Name:ProviderLocationExport-HI.xlsmDate:01/27/2016 22:32:40

Action Type	Processed	Accepted	Rejected
Add	0	0	0
Update	0	0	0
Omit	0	0	0
Total	0	0	0

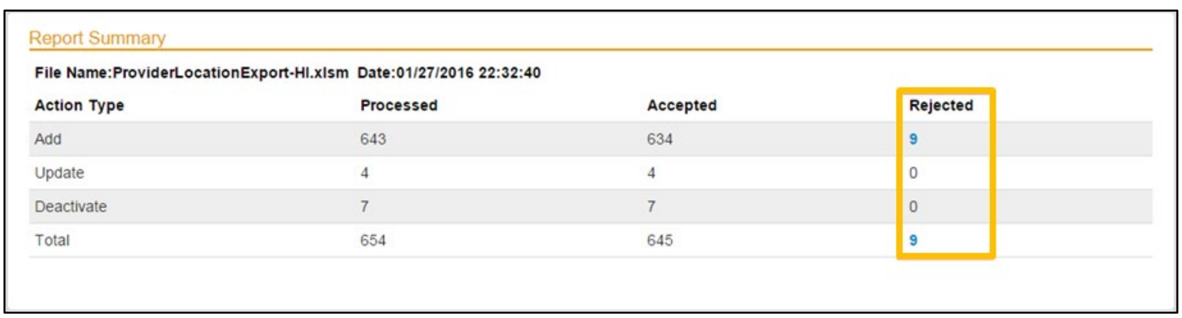
Download Report

Report Detail

NPI	Row Number	Action	Error Message
	0		Invalid file format.

Figure 42: Exceptions Report - Invalid File

If the uploaded file passed the first system check, individual records will then start going through the validation process. *Figure 43* illustrates an example of the Report Summary page where the file that was uploaded had a combined total of 654 add, updated, and omit attempts. The system rejected nine out of the 654 attempted actions because those nine records did not meet the system or business rules.



Report Summary

File Name:ProviderLocationExport-HI.xlsm Date:01/27/2016 22:32:40

Action Type	Processed	Accepted	Rejected
Add	643	634	9
Update	4	4	0
Deactivate	7	7	0
Total	654	645	9

Figure 43: Exceptions Report - Valid File

All values under the Rejected column of the report summary will have a hyperlink if the value is greater than zero (except for total, this will always have a hyperlink). Clicking on the hyperlinked number under the "Rejected" column will direct the user to the Report Detail page which will provide the error messages of the rejected records as illustrated in *Figure 44*. The Report Detail section of the page provides the user useful information about the records that were rejected. It displays the NPI, Row Number in the file, Action type, and the Error Message describing why the attempted action was rejected.

Report Detail

NPI	Row Number	Action	Error Message
1831106681	92	ADD	Duplicate Included Address.
1821385081	95	ADD	NPI does not exist.
1811011810	184	ADD	Invalid Zip Code
1801938196	197	ADD	Not all address fields exist
1780884353	274	ADD	State does not match PCO state
1730137571	503	ADD	Not all address fields exist
1730100710	507	ADD	Direct Tour Hours are 0
1720193881	526	ADD	Reason code is not blank
1710074646	573	ADD	Dental Auxiliaries contains an invalid value

Figure 44: Exceptions Report - Report Detail

Users will have the ability to download the generated exceptions report by clicking the "Download Report" button under the Report Summary section. The downloaded report will be an excel file as illustrated below in *Figure 45*.

	A	B	C	D
1	**NPI**	**Row Number**	**Action**	**Error Message**
2	[illegible]	4	ADD	NPI does not exist.
3				
4				
5				

Report Summary | Report Detail

Figure 45: Downloaded Exceptions Report

An individual record will fail the second system check if it violates one of the system or business rules. An uploaded file can be partially successful and have both accepted and rejected records in one file. *Section 3.4.5 System and Business Rules* covers the system and business rules in more detail.

3.4.5 SYSTEM AND BUSINESS RULES

The system will process updates to the Import file according to the rules depicted in the table below, which describes the editable columns when certain actions are selected.

Action	Column	Business Rule	File Rule
- Add - Update - Omit	Action	An option must be selected if a record requires a modification. All records with the "Select" option will be ignored by the system.	Only values from the provided dropdown can be selected.
- Add - Update - Omit	NPI	NPI must exist in the system's database.	Cannot be blank. Must be a numeric value containing 10 characters.
- Add - Update	Discipline	Discipline and Specialty must match according to the following criteria:	Cannot be blank, A value must be selected from

Action	Column	Business Rule	File Rule

- Add
- Update
	Specialty	• Primary Care:
		  ○ Family Practice
		  ○ Internal Medicine
		  ○ Obstetrics and Gynecology
		  ○ Pediatrics
		• Mental Health:
		  ○ Psychiatrist
		  ○ Clinical Psychologist
		  ○ Clinical Social Worker
		  ○ Psychiatric Nurse Specialist
		  ○ Marriage and Family
		• Dental Health:
		  ○ Dentist
			the provided options in the dropdown.

- Add	Address Line 1	Must be a valid address containing alphanumeric characters.	Cannot be blank. Must contain alphanumeric characters.
- Add - Update	Address Line 2	Can be added, updated, or removed at any time.	May be blank.
- Add	City	Must be within the state of the PCO modifying the record.	Cannot be blank. Must contain alphabetic characters.
- Add	State	Must be within the state of the PCO modifying the record.	Cannot be blank. Must be a valid state/territory abbreviation.
- Add	Postal Code	Must be within the state of the PCO modifying the record.	Cannot be blank. Must be 5 to 9 numeric characters.
- Add - Update	Dental Auxiliaries	May only be selected for DH providers.	A value must be selected from the options provided.
- Add - Update	Direct Tour Hours	Must be a number between 1 and 168.	Must be a numeric value.
- Omit	Reason Code	A Reason Code must be selected only if omitting a location.	A value must be selected from the options provided.
- Add - Update	Serves at Correctional Facility?	Select if provider serves at a Correctional Facility.	Only values form the provided dropdown can be selected.
- Add - Update	Serves at State/County Mental Hospital?	May only be selected for Mental Health provider. If the selected value is 'Yes', the value for the Correctional Facility must be 'No'.	Only values from the provided dropdown can be selected.
- Add - Update	Annual Medicaid Claims	Can be any number greater than or equal to 0.	Must be a numeric value.
- Add - Update	Medicaid Patient %	Can be any number ranging from 0 to 100.	Must be a numeric value.
- Add - Update	Homeless %	Can be any number ranging from 0 to 100.	Must be a numeric value.
- Add - Update	Migrant Farmworker %	Can be any number ranging from 0 to 100.	Must be a numeric value.

Action	Column	Business Rule	File Rule
- Add - Update	Native American %	Can be any number ranging from 0 to 100.	Must be a numeric value.
- Add - Update	Sliding Fee %	Can be any number ranging from 0 to 100.	Must be a numeric value.
- Add - Update	Migrant Seasonal Farmworker %	Can be any number ranging from 0 to 100.	Must be a numeric value.
- Add - Update	Resident/Intern	Select if provider is a Resident or Intern.	Only values from the provided dropdown can be selected.
- Add - Update	J1 Visa Waiver Holder	Select if provider is a J1 Visa Waiver Holder.	Only values from the provided dropdown can be selected.
- Add - Update	Federal Provider?	Select if provider is a Federal Provider.	Only values from the provided dropdown can be selected.
- Add - Update	NHSC Provider?	Select if provider is part of NHSC.	Only values from the provided dropdown can be selected.

USER NOTES

- Only the fields mentioned in the table above will be considered by the system when files are uploaded, all others will be ignored if modifications are made to the existing data.

3.4.6 IMPORT TOOL EXAMPLES AND BEST PRACTICES

This section outlines best practices for using the Import tool.

3.4.6A IMPORT TOOL FAQS

Q. How do I activate the macro or populate the dropdowns?

A. Press Ctrl + Shift + I

Q. Can I update an address by using the update action?

A. No, an actual address cannot be modified. If an address needs to be modified, the user will need to first omit the address that requires address update, and then add a new location with the updated address.

Q. How can I add a new location?

A. By selecting the Add option under the Action column and adding a new address for the record.

Q. When adding a new location, will updating the address in the file delete the existing location's address?

A. No, a new location will be created with the newly provided address.

Q. Can I add additional columns and/or change the order of columns?

A. Yes, the system will only check that all original columns exist in the file. The only restriction is to not modify original column titles or add new columns with the same title.

Q. Can I modify/add different types of formatting to the file (e.g. data formatting/highlighting rows/columns)?

A. Yes, the system will ignore any formatting done to the file, but still accept the value.

Q. Can I hide rows?

A. Yes, the system will find any data in the file as long as it has a selected action type.

Q. Can I delete rows?

A. Yes, it is actually encouraged to delete unnecessary rows.

Q. Do I need to upload the whole original file?

A. No, it is actually recommended that only those records that need to be updated be uploaded.

Q. Why do most providers in the Export file have 40 hours?

A. Those are the defaulted hours provided by SDMS to all providers. If 40 hours are not accurate for all locations, then the user is encouraged to update them to reflect the correct number of hours.

Q. Why am I receiving this error message after uploading a file: "Location has been modified since the location data was exported"?

A. The attempted update through the export file was rejected because the record was updated AFTER the file was originally created. The system rejects the attempted update to prevent over-riding changes accidentally.

Q. Can I update the latitude and longitude through the export file?

A. No, any updates made to the latitude and longitude fields in the export file will be ignored by the system. Coordinates can be updated on the location page in the web application.

Q. Can I add new providers through the export file?

A. No, the system will only accept changes to provider's NPIs that are already in SDMS.

3.4.6B BEST PRACTICES

- Save an original copy and working copy in case something goes wrong with the working copy.
- Split uploads by ‘action’ type, if all action types are required, consider uploading all ‘omit’ first, ‘Add’ second, and ‘Update’ last.
- Try to keep files to less than 50,000 records.
- Consider deleting all unnecessary rows.
- Consider deleting unnecessary columns.

3.4.6C MODIFYING PROVIDER DATA EXAMPLES

The following sections will cover three basic scenarios on how to Add, Update, and Omit provider data using the export file.

ADDING NEW PROVIDER LOCATIONS

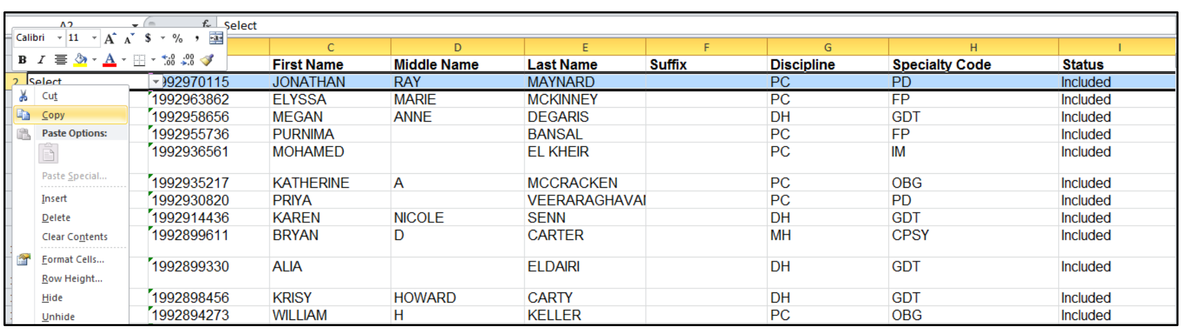
To add a new location, users could either type in or copy the row of an existing provider’s location and update all the necessary fields. The necessary steps to adding a new location are described below:

Step 1) (Optional) Copy an existing row, then right click and insert the copied row as a new row
Step 2) Select ‘Add’ from the Action column
Step 3) Enter new location’s address information with all the required fields:

i. Address Line 1
ii. City
iii. State (Must be within PCO’s state)
iv. Zip Code
v. Direct Tour Hours (Must be greater than zero)

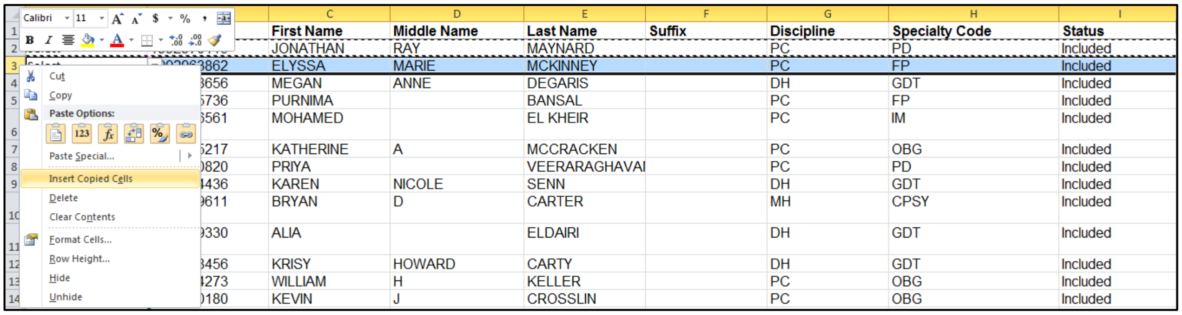
Should one of the required fields be left empty, the system will reject the request to add the new location.

The example below illustrates the process of adding a new location by copying and inserting an existing location.



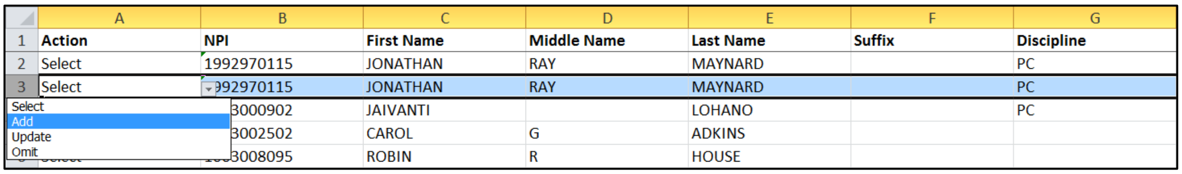
	First Name	Middle Name	Last Name	Suffix	Discipline	Specialty Code	Status
92970115	JONATHAN	RAY	MAYNARD		PC	PD	Included
1992963862	ELYSSA	MARIE	MCKINNEY		PC	FP	Included
1992958656	MEGAN	ANNE	DEGARIS		DH	GDT	Included
1992955736	PURNIMA		BANSAL		PC	FP	Included
1992936561	MOHAMED		EL KHEIR		PC	IM	Included
1992935217	KATHERINE	A	MCCRACKEN		PC	OBG	Included
1992930820	PRIYA		VEERARAGHAVAI		PC	PD	Included
1992914436	KAREN	NICOLE	SENN		DH	GDT	Included
1992899611	BRYAN	D	CARTER		MH	CPSY	Included
1992899330	ALIA		ELDAIRI		DH	GDT	Included
1992898456	KRISY	HOWARD	CARTY		DH	GDT	Included
1992894273	WILLIAM	H	KELLER		PC	OBG	Included

Figure 46: Adding Provider Locations - Copying Data



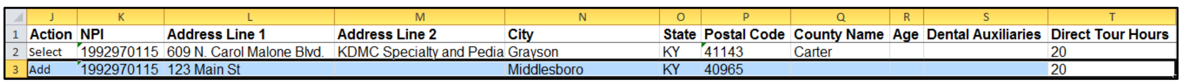
	B	First Name	Middle Name	Last Name	Suffix	Discipline	Specialty Code	Status
2		JONATHAN	RAY	MAYNARD		PC	PD	Included
3	3862	ELYSSA	MARIE	MCKINNEY		PC	FP	Included
4	3656	MEGAN	ANNE	DEGARIS		DH	GDT	Included
5	5736	PURNIMA		BANSAL		PC	FP	Included
6	5561	MOHAMED		EL KHEIR		PC	IM	Included
7	5217	KATHERINE	A	MCCRACKEN		PC	OBG	Included
8	0820	PRIYA		VEERARAGHAVAI		PC	PD	Included
9	1436	KAREN	NICOLE	SENN		DH	GDT	Included
10	9611	BRYAN	D	CARTER		MH	CPSY	Included
11	9330	ALIA		ELDAIRI		DH	GDT	Included
12	3456	KRISY	HOWARD	CARTY		DH	GDT	Included
13	1273	WILLIAM	H	KELLER		PC	OBG	Included
14	0180	KEVIN	J	CROSSLIN		PC	OBG	Included

Figure 47: Adding Provider Locations - Inserting Provider Data



	Action	NPI	First Name	Middle Name	Last Name	Suffix	Discipline
2	Select	1992970115	JONATHAN	RAY	MAYNARD		PC
3	Select	1992970115	JONATHAN	RAY	MAYNARD		PC
4		3000902	JAIVANTI		LOHANO		PC
5		3002502	CAROL	G	ADKINS		
6		3008095	ROBIN	R	HOUSE		

Figure 48: Adding Provider Locations - Selecting Add Action



	Action	NPI	Address Line 1	Address Line 2	City	State	Postal Code	County Name	Age	Dental Auxiliaries	Direct Tour Hours
2	Select	1992970115	609 N. Carol Malone Blvd.	KDMC Specialty and Pedia	Grayson	KY	41143	Carter			20
3	Add	1992970115	123 Main St		Middlesboro	KY	40965				20

Figure 49: Adding Provider Location - Completed Cell

The Import file will only accept NPIs known to SDMS.

UPDATING EXISTING PROVIDER LOCATIONS

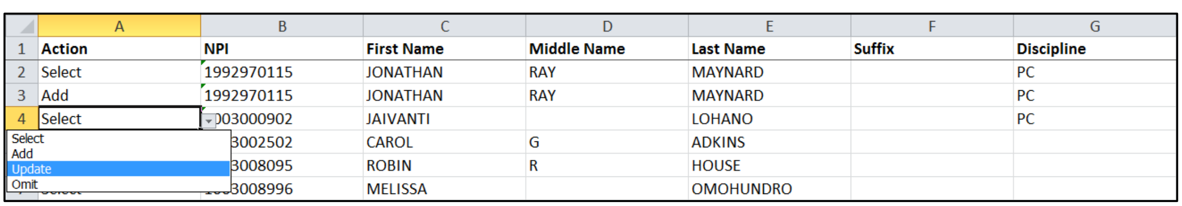
The steps to updating existing locations are described below:

Step 1) Select 'Update' from the Action column

Step 2) Update all the necessary information

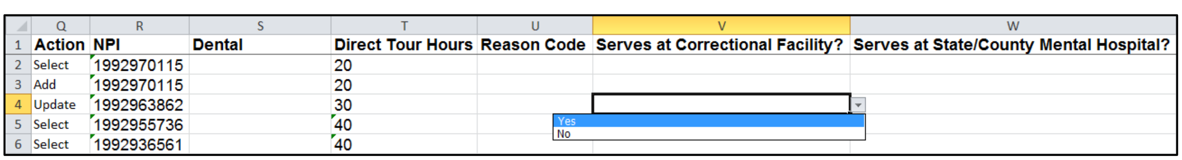
Step 3) Make sure all business and file rules have been followed which are described in *Section 3.4.5 System and Business Rules* above

The example below illustrates the process of updating Direct Tour Hours and Correctional Facility.



	Action	NPI	First Name	Middle Name	Last Name	Suffix	Discipline
2	Select	1992970115	JONATHAN	RAY	MAYNARD		PC
3	Add	1992970115	JONATHAN	RAY	MAYNARD		PC
4	Select	003000902	JAIVANTI		LOHANO		PC
5		3002502	CAROL	G	ADKINS		
6		3008095	ROBIN	R	HOUSE		
7		3008996	MELISSA		OMOHUNDRO		

Figure 50: Updating an Existing Provider - Selecting Update Action



	Action	NPI	Dental	Direct Tour Hours	Reason Code	Serves at Correctional Facility?	Serves at State/County Mental Hospital?
2	Select	1992970115		20			
3	Add	1992970115		20			
4	Update	1992963862		30			
5	Select	1992955736		40			
6	Select	1992936561		40			

Figure 51: Updating an Existing Facility - Changing Additional Information

USER NOTES

- NPI and Address information must match the system's records or the attempted updates will be rejected. Should an update be required to an existing address, a new location would need to be added. If the existing address is no longer valid, the user can make that location ineligible through the web portal.

OMITTING EXISTING PROVIDER LOCATIONS

The steps to omit existing locations are described below:

Step 1) Select 'Omit' from the Action column

Step 2) Select an option from the 'Reason Code' column

The example below illustrates the process of omitting an existing location.

	A	B	C	D	E	F	G
1	Action	NPI	First Name	Middle Name	Last Name	Suffix	Discipline
2	Select	1992970115	JONATHAN	RAY	MAYNARD		PC
3	Add	1992970115	JONATHAN	RAY	MAYNARD		PC
4	Update	1003000902	JAIVANTI		LOHANO		PC
5	Select	003002502	CAROL	G	ADKINS		
	Select	3008095	ROBIN	R	HOUSE		
	Add	3008996	MELISSA		OMOHUNDRO		
	Update Omit	3009036	JENNILLE		ZABIEREK		

Figure 52: Omitting Provider Location - Selecting Omit Action

	AD	AE	AF	AG	AH	AI
1	Action	NPI	Dental Auxiliaries	Direct Tour Hours	Reason Code	Serves at Correctional Facility?
2	Select	1992970115		0		No
3	Add	1992970115		40		No
4	Update	1003000902		0		No
5	Omit	1003002502		40		o
6	Select	1003008095		40	Deceased.	o
7	Select	1003008996		40	Duplicate entry Faculty	o
8	Select	1003009036		40	Incorrect profession	o
9	Select	1003010539		40	Inpatient facility only License suspended by state/in discipl	o
10	Select	1003011222		40	Locum Tenens/PRN	o
11	Select	1003012428		40	Non-Fed not licensed in state	No

Figure 53: Omitting Provider Location - Omit Reason Code

APPENDIX A – CHANGES TO LAST UPDATED BY DATA

Different updates to provider data and provider locations cause the last updated by data at the top of the provider and location profiles to be changed.

Update Type	Update Initiator	Updates Location Last Modified Date?	Updates Location Last Modified by?	Updates Profile Last Updated Date?	Updates Profile Last Updated by?
New Provider	NPPES - Import	Yes	Yes	Yes	Yes
NPI Address	NPPES - Import	Yes	Yes	Yes	Yes
Taxonomy Change	NPPES - Import	No	No	Yes	Yes
DoB Update	NPPES - DoB	No	No	Yes	Yes
Deactivate Provider	NPPES - Import	Yes	Yes	Yes	Yes
Reactivate Provider	NPPES - Import	Yes	Yes	Yes	Yes
NHSC Nightly Job	System - NHSC	Yes	Yes	Yes	Yes
New Location through Portal	User	Yes	Yes	Yes	Yes
New Location Through Import Tool	User	Yes	Yes	Yes	Yes
Location Updated Through Search Page	User	Yes	Yes	Yes	Yes
Location Updated Through Location Page (**includes** geocoding)	User	Yes	Yes	Yes	Yes
Location Updated Through Import Tool (**includes** geocoding)	User	Yes	Yes	Yes	Yes
Batch Geocoding Updates	System - Geocode	No	No	No	No