

Alameda County – Objective Arts CSV upload formats

This document describes the file formats used to upload assessments into the Objective Arts (OA) system using the batch upload functionality and how to download examples of upload files.

Assessments can be uploaded using comma delimited CSV files containing a predefined header row followed by one row per assessment.

The header row defines the "columns" in the file. Some columns are common to all instruments (CANS 0-5, CANS 6-17, ANSA-T, ANSA, and PSC_35) while others are specific to the type of assessment the user wants to upload. The same is true for client and caregiver assessments.

Caregiver assessments can be grouped with the corresponding client assessment using the "interviewId" property of the assessment. Assessments with the same "interviewId" are grouped together so that multiple caregiver assessments can be specified for a client assessment. Caregiver assessments can be uploaded in the same file as client assessments simply specifying questions for both client and caregiver assessments and only entering values for either the client assessment or the caregiver assessment depending on instrument type. Please refer to the example upload files to see how this is done.

Only approved assessments can be uploaded into the system (except in the case of the PSC_35, which does not support the submit/approve workflow), which means an approver login and approval date must always be specified. Once an assessment has been uploaded it cannot be re-uploaded into the system and can only be modified using the UI by a user with the appropriate role (i.e. a user who can modify approved assessments).

All files generally must contain the following columns, regardless of instrument type (with exceptions noted):

Column name	Required	Description
<i>operation</i>	yes	This must always be set to "UPDATE" when uploading new assessments
<i>id</i>	yes	Unique identifier for the assessment. This identifier is unique for the organization uploading the assessment and should have format "<organization code>_<unique id assigned by you>". You can find your organization code in the "alameda_reporting_units.csv" file listed below. This field is a string with a maximum length of 100 characters. An example of id is "MYORG_1234AB".
<i>interviewId</i>	yes	Unique identifier used to group assessments together. Caregiver assessments must have the same <i>interviewId</i> as the client assessment they refer to.
<i>assessmentDate</i>	yes	The date on which the assessment was done. Date must be specified with format "YYYY/MM/DD" (e.g. "2015/01/16")
<i>orgUnitCode</i>	yes	The code of the Reporting Unit for which the assessment was done. You can

		download a list of Reporting Unit codes from here: https://s3.amazonaws.com/oapublicdocs/alameda/alameda_reporting_units.csv
<i>assessorLogin</i>	yes	The login used on the OA system by the assessor. This is the same as the user Alameda County InSyst Staff ID
<i>approverLogin</i>	yes	The login used on the OA system by the user who approved the assessment. This is the same as the approved Alameda County InSyst Staff ID. If this value is specified, then the assessment is uploaded as "Approved", otherwise as "Submitted" (i.e. in need of approval). (Should not be included for PSC_35 uploads)
<i>approvalDate</i>	yes	The date on which the assessment was approved. This field is required if "approverLogin" is specified. Date must be specified with format "YYYY/MM/DD" (e.g. "2015/01/16") (Should not be included for PSC_35 uploads)
<i>clientIdentifier</i>	yes	The InSyst Client ID of the assessed client
<i>baseType</i>	yes	The base instrument type for the assessment. Accepted values are "ANSA" for the ANSA-T instrument and "CANS" for the CANS 0-5 and CANS 6-17 instruments, or "PSC" for PSC_35 instrument.
<i>instrumentType</i>	yes	The instrument type for the assessment. One of: <ul style="list-style-type: none"> • ALAMEDA_ANSA_T • ALAMEDA_ANSA_T_CAREGIVER • ALAMEDA_ANSA • PSC_35 • ALAMEDA_CANS_ZERO_TO_FIVE • ALAMEDA_CANS_ZERO_TO_FIVE_CAREGIVER • ALAMEDA_CANS2 • ALAMEDA_CANS2_CAREGIVER
<i>caregiverFirstName</i>	conditional	If the assessment is a caregiver assessment, this value is required and is the first name of the caregiver
<i>caregiverLastName</i>	conditional	If the assessment is a caregiver assessment, this value is required and is the last name of the caregiver
<i>caregiverRelation</i>	conditional	If the assessment is a caregiver assessment, this value is required and is the relationship between the client and the caregiver. Allowed values are: <ul style="list-style-type: none"> • Adoptive Parent • Aunt • Biological Parent • Foster Parent • Godparent • Legal Guardian

		<ul style="list-style-type: none"> • Grandparent • Other • Stepparent • Uncle
<i>startAssessment</i>	yes	Must be set to "TRUE" and placed before the columns containing the answers and notes for the assessment

The file must then contain two columns per instrument question, one to specify the answer to the question and one to specify notes associated with the answer. The name of the column is defined by the question identifier that has been assigned to the question, while the column used to specify the note has format "<question identifier>_note". For example, to specify the answer to a question with identifier "community_life", the answer value must be specified under column "community_life" and if a note is present it can be specified under column "community_life_note". Notes can contain up to 64KB of text. Please be aware that Alameda County requires you to upload notes when present in the system of origin.

You can download CSV files containing the definition of all questions for the Alameda County instruments (along with a description of which questions are required and which are the valid values for each question) here:

ANSA-T	https://s3.amazonaws.com/oapublicdocs/alameda/ansa-t_questions.csv
ANSA-T Caregiver	https://s3.amazonaws.com/oapublicdocs/alameda/ansa-t_caregiver_questions.csv
ANSA 25+	https://s3.amazonaws.com/oapublicdocs/alameda/ansa_25_plus_questions.csv
CANS 0-5	https://s3.amazonaws.com/oapublicdocs/alameda/cans_0_5_questions.csv
CANS 0-5 Caregiver	https://s3.amazonaws.com/oapublicdocs/alameda/cans_0_5_caregiver_questions.csv
CANS 6-17 (new vsn as of 7/1/2018)	https://s3.amazonaws.com/oapublicdocs/alameda/cans2_6_17_questions.csv
CANS 6-17 Caregiver (new vsn as of 7/1/2018)	https://s3.amazonaws.com/oapublicdocs/alameda/cans2_6_17_caregiver_questions.csv
PSC-35	https://s3.amazonaws.com/oapublicdocs/alameda/psc_35_questions.csv

You can also download examples of upload files for each client instrument and the corresponding caregiver instrument here:

ANSA-T (and caregiver)	https://s3.amazonaws.com/oapublicdocs/alameda/ANSA-T.csv
ANSA 25+	https://s3.amazonaws.com/oapublicdocs/alameda/ANSA_25_PLUS.csv

CANS 0-5 (and caregiver)	https://s3.amazonaws.com/oapublicdocs/alameda/CANS_0_5.csv
CANS 6-17 (and caregiver) (new vsn as of 7/1/2018)	https://s3.amazonaws.com/oapublicdocs/alameda/CANS2_6_17.csv
PSC_35	https://s3.amazonaws.com/oapublicdocs/alameda/psc_35.csv

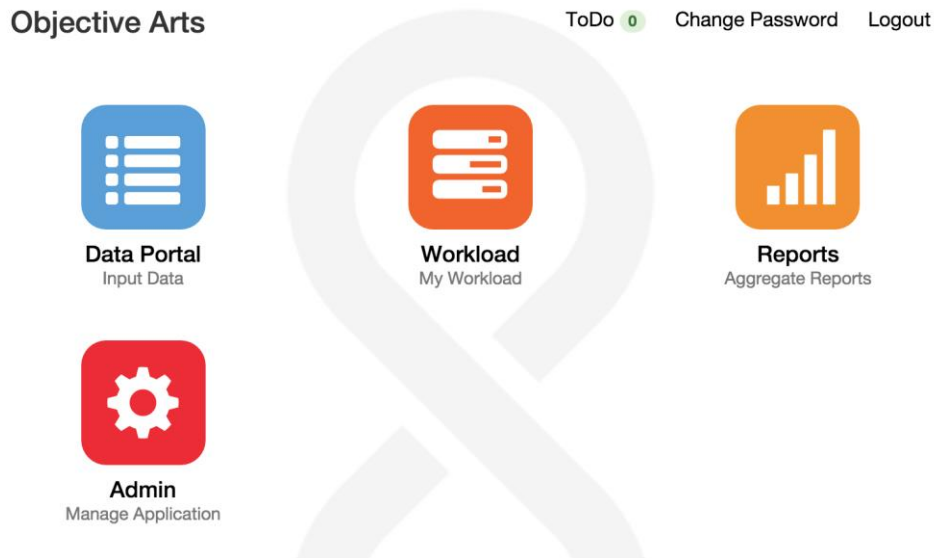
Suggested testing strategy

In order to test if your upload format is correct, we suggest you create:

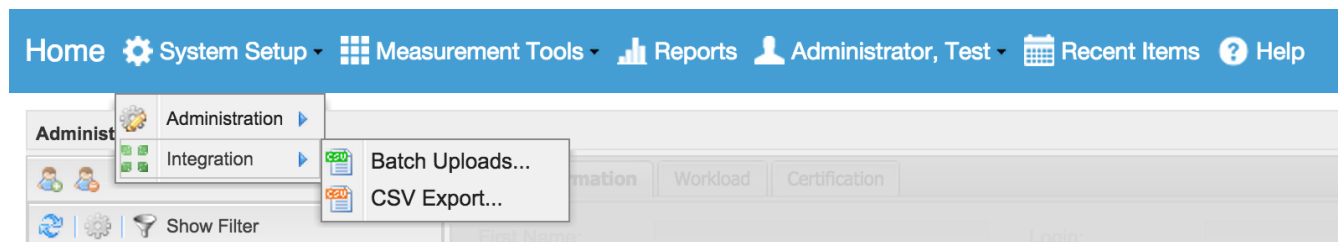
- One upload file per instrument with all questions for both the client and caregiver assessment set to "1". Once you are able to upload the files without receiving any validation error (or other errors), you should use the UI to verify that all questions in the instrument are set. If this is not the case (i.e. some questions have no answer), then some of the column names in your upload files are incorrect or missing. These files must use identifiers of real assessors, approvers and clients. You can simply take the upload for an existing assessment and change all the answer values to "1".
- One upload file per instrument with real data for a subset of your population. This will allow you to verify what type of errors are returned for your data (e.g. missing users certifications, missing episodes, incorrect dynamic validations, etc.)

How to manually upload an assessments batch file

In order to manually upload an assessments batch file, select the "Admin" icon from the home page.



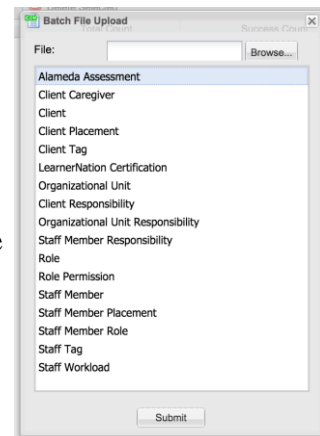
Then select "System Setup", "Integration" and "Batch Uploads..."



You then need to select "New Upload". You will be presented with a dialog where you need to select the file to upload and "Alameda Assessment". Press "Submit" and close the dialog.

At this point you need to select the newly uploaded batch and press "Process Selected". Once the batch has been processed its Status will change to "Completed" if there are no errors, or "Failure" if some of the assessments failed to upload.

In order to view a list of error messages, select the batch and press "Show Error Details". This will open a dialog containing a list line numbers for the original file and the corresponding error. You can also download the list of errors by clicking on "Download Error Details". The download file format is the same as the one used for upload receipt described in the next section.



Type	Status	Total Count	Success Count	Error Count	Last Updated
<input checked="" type="checkbox"/> Alameda Assessment	Failure	4	0	4	5/8/2015 03:22:57 PM

Type	Status	Total Count	Success Count	Error Count	Last Updated
<input checked="" type="checkbox"/> Alameda Assessment	Failure	4	0	4	5/8/2015 03:22:57 PM
<input type="checkbox"/> Alameda Assessment					5/8/2015 03:20:01 PM
<input type="checkbox"/> Alameda Assessment					5/8/2015 03:18:55 PM
<input type="checkbox"/> Alameda Assessment					5/8/2015 03:16:13 PM
<input type="checkbox"/> Alameda Assessment					5/8/2015 03:14:33 PM
<input type="checkbox"/> Organizational Unit Responsibility					1/13/2015 02:50:40 PM
<input type="checkbox"/> Staff Member Placement					1/13/2015 02:50:31 PM
<input type="checkbox"/> Staff Member Role					1/13/2015 02:50:21 PM
<input type="checkbox"/> Staff Member					1/13/2015 02:49:45 PM
<input type="checkbox"/> Organizational Unit Responsibility					12/2/2014 11:06:53 PM
<input type="checkbox"/> Staff Member Role					12/2/2014 11:02:42 PM
<input type="checkbox"/> Staff Member Placement					11/5/2014 01:21:47 PM
<input type="checkbox"/> Staff Member					11/5/2014 01:21:17 PM

Line Number	Message
1	Approver 3098 does not have permission to approve CANS assessments
2	Approver 3098 does not have permission to approve CANS assessments
3	Assessor must exist in the system with login : 15
4	No client found for identifier: 554116343X

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Automate upload of assessments batch files

Providers who want to automate the upload of assessments to OA can request access to an AWS S3 folder where batch files can be uploaded on a regular schedule.

The provider is expected to upload assessments batch files containing newly approved assessments on a daily base. Files will be processed starting at 4:30am Pacific time, so providers need to be aware that files uploaded after 4:30am Pacific might not be processed until the following day.

The name of the uploaded files must start with the string "assessments_" and have extension ".csv" (e.g. "assessments_myorganization_20150601.csv"). All files uploaded to the folder must be marked for server side encryption (SSE). Files that are not marked for SSE will be rejected. Please refer to the official S3 documentation to learn how to mark files for SSE.

The OA system will remove files uploaded by the provider from the folder and process them. Once a file has been processed, OA will put a receipt file containing a list of errors (if any) in the same folder where the batch file was placed. The receipt file has the same name of the file it refers to, prefixed with the string "RECEIPT_". For example, the receipt for file "assessments_xyz.csv" will have name "RECEIPT_assessments_xyz.csv". The provider should check the presence of receipt files starting from 6:00am Pacific and remove the receipt files after processing them. If receipt files are not removed by the provider, they will be automatically deleted 30 days after creation.

Receipt files are CSV files containing the following columns:

- lineNumber: the line number in the batch file for the assessment in error
- message: the error message containing the reason why the assessment was rejected
- id: the id of the assessment as specified in the batch file
- interviewId: the interviewId the assessment belongs to as specified in the batch file
- clientId: the identifier of the client associated with the assessment in error

Below an example of receipt file.

```
"lineNumber","message","id","interviewId","clientId"  
"7","Assessor must exist in the system with login : Test123","MYPROVIDER_738912","MYPROVIDER_738912","6637454"  
"19","Approver Test456 cannot approve own assessment","MYPROVIDER_738933","MYPROVIDER_738933","2455372"
```

Information about processed batch files can also be viewed and downloaded by the upload user (the CBO administrator) in the "Batch Uploads" view as described in the previous section of this document.

In order to request access to a S3 folder, the provider should send an email to Davide Bonicelli at dbonicelli@objectivearts.com providing the following information:

- Contact name
- Contact phone number
- Contact email
- Username (InSyst ID) of the upload user (usually the CBO administrator user ID)

OA will send a GPG encrypted file containing S3 folder location and the access key and secret key to access it and will call the provided phone number to provide the password for the GPG encrypted file.

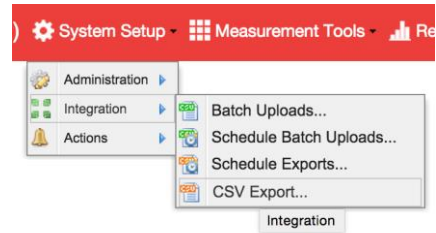
For more information on how to upload files to S3 and to download the S3 SDK for different programming languages, please refer to the official S3 documentation at <https://aws.amazon.com/documentation/s3/>

Export assessments

CBO Administrators can download assessments for their organization using the "CSV Export" functionality. To access the CSV export view, click on "System Setup", "Integration" then "CSV Export...". This will open the CSV export view where the user can select the type of export. Select "Assessments Export" to be presented with list of filter options for your export.

The relevant filter fields for Alameda providers are:

- **Instrument:** this is the type of assessments you want to export (CANS 0-5, CANS 6-17 or ANSA-T).
- **Status:** the status of the assessments to export. This should be set to "Approved".
- **Start Date:** the beginning of the period for which you want to export the assessments. This matches the assessments date, which is different from the assessments creation/upload date and the approval date.
- **End Date:** the end of the period for which you want to export the assessments. This matches the assessments date, which is different from the assessments creation/upload date and the approval date.
- **Include Caregivers:** this should be checked if you want to export the caregiver sections for the assessments included in the export.
- **Without external ID only:** this should be checked if you only want to export assessments that have been manually entered using the system UI instead of uploading them.
- **Reporting Units:** the reporting units for which you want to export assessments. You will only see reporting units you are responsible for and you must select at least one reporting unit.



After setting the filters, you need to click the "Export" button (bottom right corner of the screen). The system will generate the export file and prompt you to save it.

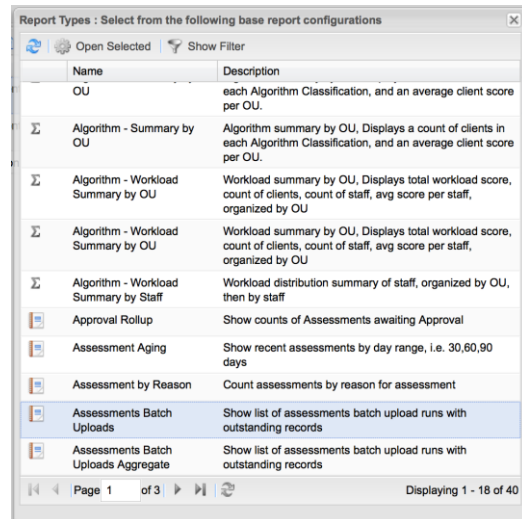
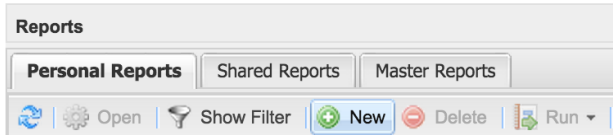
The format of the export CSV files is the same described for batch upload files. The files contain additional columns that can be ignored.

Assessments Batch Upload Reports

In addition to using the batch uploads UI, you can also monitor your batch uploads by running reports. In particular the system provides two reports related to assessments batch uploads:

- the "Assessments Batch Uploads" report
- the "Assessments Batch Uploads Aggregate" report

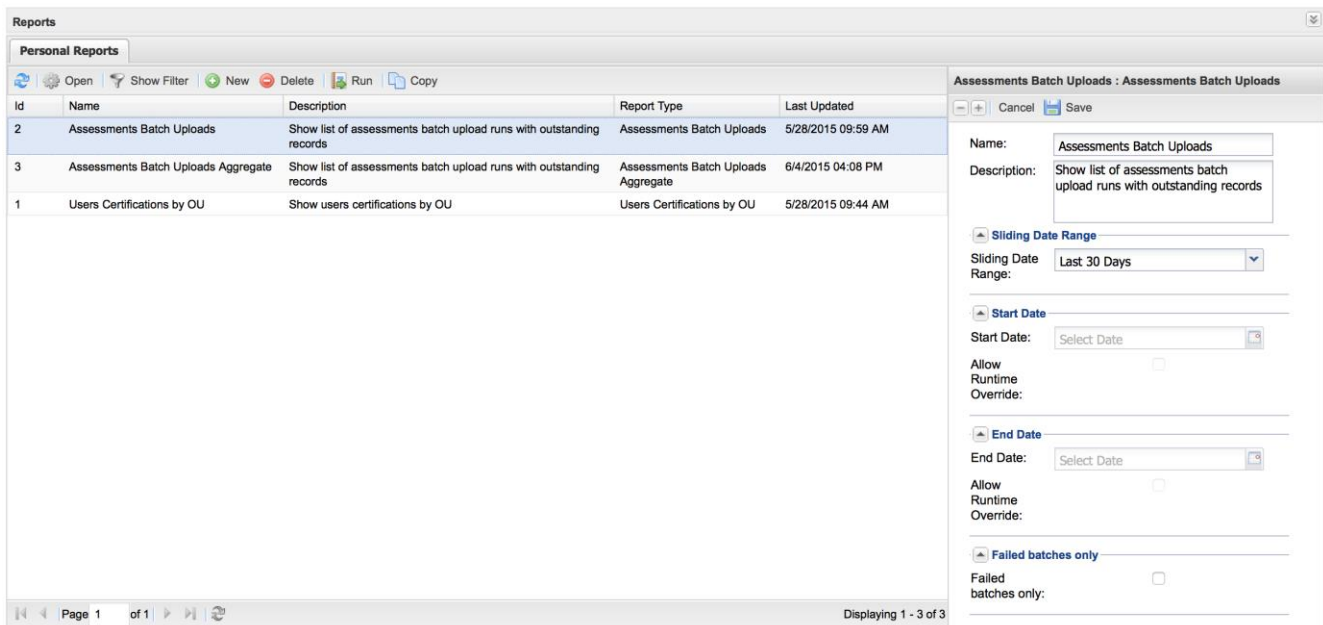
Both reports can be run from the "Reports" UI clicking on the yellow icon on the home page. You will be presented with the list of your personal reports and you can create a new report clicking on the "New" button. This will show you the list of available report templates from which you can select one of the batch upload reports.



Once you select a template, you can select the report parameters using the panel on the right. You will only be able to select reporting units you are responsible for. After saving the report configuration using the "Save" button, you can run the report selecting it from the list of reports and clicking "Run" (immediate or delivered). The report might also be available in the list of shared reports if a system administrator has already configured it and shared it with you.

You can watch a training video on how to use the reports UI here:

<https://youtu.be/ZTMD219N1MY>



Assessments Batch Uploads

This report lists all the batch upload runs for the selected reporting units and for the specified date range. You can further filter the list of batch runs to only show those that contains errors.

For each reporting unit, the report lists:

- total number of assessments the users tried to upload for the Reporting Unit. This also includes scheduled batch uploads
- total number of records successfully uploaded
- total number of records that failed to upload
- total number of outstanding records. An outstanding record is an assessment that failed to upload and has never successfully been re-uploaded based on assessment external ID. Once an assessment is successfully uploaded, it is removed from the count of outstanding records

For each batch run, the report lists:

- the batch run ID
- the batch execution time
- number of records contained in the batch file
- number of records that were successfully uploaded
- number of records that failed to upload
- number of outstanding records
- list of outstanding records. For each outstanding record the report shows:
 - the assessment external ID
 - the assessment client identifier and, if a client is found for the specified identifier, client name

Batch ID	Batch Time	Total Records	Success Count	Failure Count	Outstanding
Assessments Batch Uploads by OU					
Period: 5/5/2015 to 6/5/2015					
A Better Way (ABETTERWAY)					
OU Totals:		6	0	6	4
13	May 27, 2015 7:57:14	3	0	3	2
<u>Outstanding:</u> Assessment External ID: 1428098748348, Client Identifier: 2552544635 Assessment External ID: 1428098748347, Client Identifier: 2552544635					
12	May 27, 2015 7:56:19	3	0	3	2
<u>Outstanding:</u> Assessment External ID: null, Client Identifier: null Assessment External ID: 1428098748347, Client Identifier: 2552544635					
Jun 4, 2015, 11:57 AM					
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Assessments Batch Uploads Aggregate

This report shows the aggregate summary of all batch uploads stats by reporting unit for the selected time frame and reporting units.

For each reporting unit, the report lists:

- number of records users tried to upload
- number of records that were successfully uploaded

- number of records that failed to upload
- number of outstanding records

Assessments Batch Uploads by OU				
Period: 5/5/2015 to 6/5/2015				
OU	Uploaded	Success	Failures	Outstanding
A Better Way (ABETTERWAY)	6	0	6	4

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