Assessment Upload

New functionality in the Harmony SAMS application enables an authorized user to import or export XML data to or from a SAMS assessment form. Each assessment has an associated XSD schema that is available from SAMS. This functionality may be deployed to AGD organizations that store MDS-HC data in their own system-or-record, so as to reduce redundant data entry

Assessment Import (into SAMS) is used to create a new assessment only; assessment data is editable in SAMS after upload for review, correction, or completion by the user. **Assessment Export** (out of SAMS) can be used at any time by an authorized user to create valid XML from a particular assessment, containing all assessment responses and the assessment narrative.

Overview of the Functionality

What is it?

Import: This SAMS functionality enables an authorized user at an authorized organization to upload consumer-specific assessment responses into a SAMS assessment form to create a new assessment. The assessment responses must be in a specially formatted XML document that conforms to an XSD schema available within SAMS. Improperly formatted upload documents will fail. Responses that do not match the target assessment form are discarded. Upload may be used only to create a new assessment form: data may not be uploaded to modify an existing assessment. Once the user imports data into the new SAMS assessment, the SAMS assessment remains editable for up to seven (7) calendar days, so the responses may be inspected or modified before the user saves and closes the assessment.

Export: an authorized SAMS user may view a consumer assessment and export a valid XML document that contains all of the assessment's responses and its narrative.

What is it not?

This new functionality is ***not* an application or data collection tool**. There is no User Interface. Organizations that wish to deploy Assessment Upload are assumed to have their own application in which consumer assessment information is stored. For such organizations, SAMS Assessment Upload is offered to reduce redundant data entry.
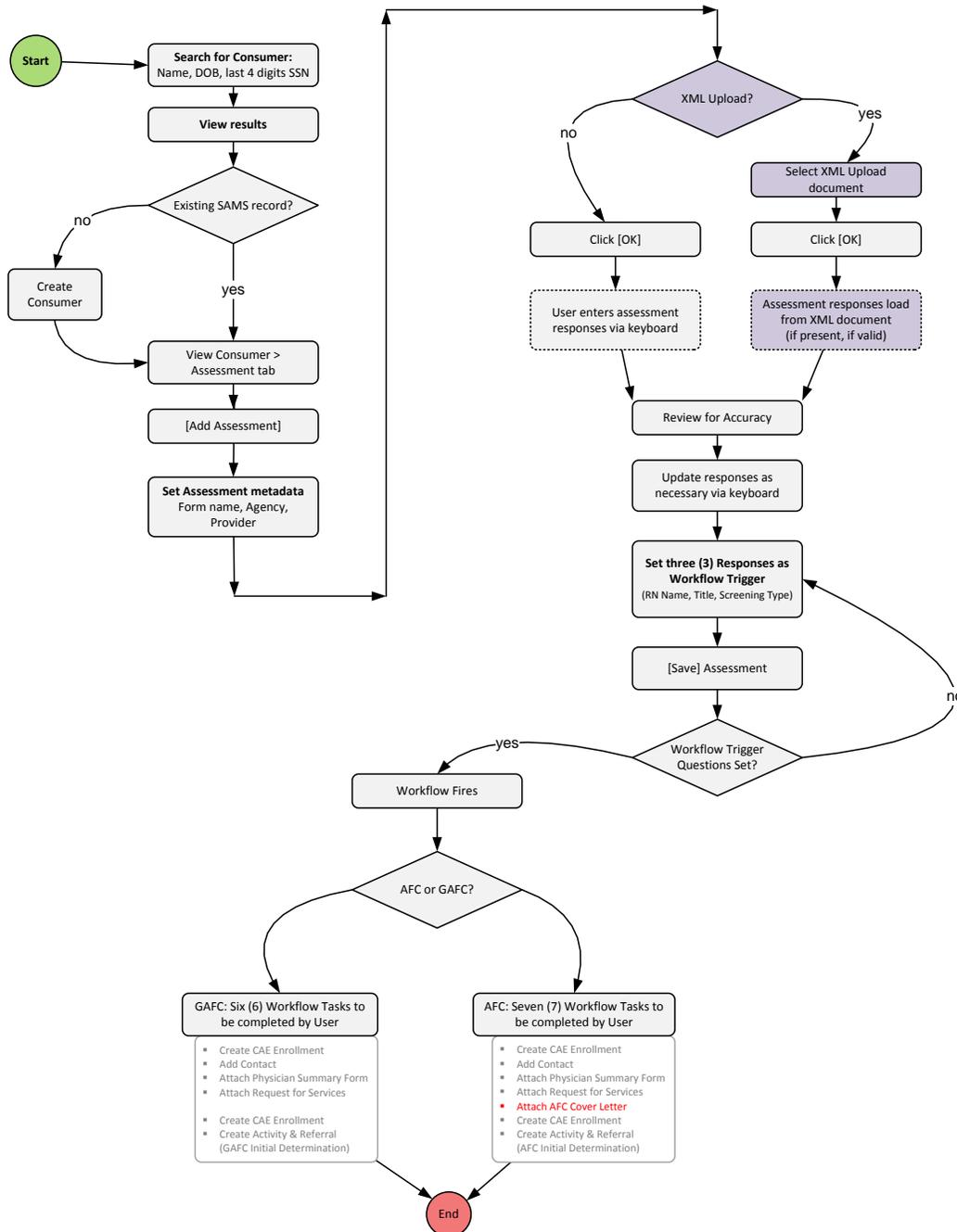
Assessment Upload is ***not* a loosening of the requirement to enter MDS-HC assessment data for each consumer** presented for AFC & GAFC Initial Determination. For example, a document scan of a paper MDS form is not data. With this functionality, organizations now have the option to enter MDS data into their own system, and then import it to SAMS, or to enter MDS data in SAMS and export it for use in their own system.

Assessment Upload is ***not* part of a new process within SAMS**: the same step-by-step process defined in the AGD User Guide continues to obtain. The same assessment questions, if present in the assessment when it is saved by the user, will trigger the same SAMS workflow steps.   A human SAMS user must navigate the application and perform certain user-driven tasks & processes to successfully

prepare a consumer record for AFC/GAFC Initial Determination by Coastline. For example: locate/create a consumer, attach documents, and create appropriate Activity & Referral.

Process Flow: Assessment Upload vs. Keyboard Entry

This flowchart shows the difference between keyboard data entry or assessment upload, with respect to the user's interaction with the system.

Start

Search for Consumer:
Name, DOB, last 4 digits SSN

View results

Existing SAMS record?

no → Create Consumer

yes

View Consumer >
Assessment tab

[Add Assessment]

Set Assessment metadata
Form name, Agency,
Provider

XML Upload?

no

yes

Select XML Upload
document

Click [OK]

Click [OK]

User enters assessment
responses via keyboard

Assessment responses load
from XML document
(if present, if valid)

Review for Accuracy

Update responses as
necessary via keyboard

Set three (3) Responses as
Workflow Trigger
(RN Name, Title, Screening Type)

[Save] Assessment

Workflow Trigger
Questions Set?

no

yes

Workflow Fires

AFC or GAFC?

GAFC: Six (6) Workflow Tasks to
be completed by User
- Create CAE Enrollment
- Add Contact
- Attach Physician Summary Form
- Attach Request for Services

- Create CAE Enrollment
- Create Activity & Referral
(GAFC Initial Determination)

AFC: Seven (7) Workflow Tasks to
be completed by User
- Create CAE Enrollment
- Add Contact
- Attach Physician Summary Form
- Attach Request for Services
- Attach AFC Cover Letter
- Create CAE Enrollment
- Create Activity & Referral
(AFC Initial Determination)

End

Deployment

SAMS Assessment Upload was designed to encourage organizations to be innovative with their IT system, and build appropriate custom solutions to best leverage their resources. Most of all it is designed to recognize the value of your users' keystrokes and to reduce redundant data entry.

We expect to identify an initial pilot group for deployment, which will consist of the following steps:

1. Info session & orientation
2. AGD Support will issue two User Accounts to a SAMS testing environment; the accounts will have a user role that includes Assessment Upload privileges.
3. Technical staff at the organization will review available SAMS materials (XSD, blank SAMS Assessment forms, and XML exports of consumer assessments) to understand the characteristics of a valid XML upload document.
4. Technical staff will assess the capabilities of their own systems & people to design a solution that best meets the needs of their organization, while producing the output of a valid XML upload document.
5. Technical staff will test their solution in the SAMS testing environment.
6. AGD Support will certify the organization's solution and update User Accounts in the production environment
7. Technical & Clinical staff will train their users and/or adapt their workflows & staffing to deploy the solution

We anticipate that the timing and duration of steps 3, 4, and 5 will be varied, as each organization is likely to have different internal systems (custom-built and self-operated, or operated by a vendor).

Please note that AGD Support, SIMS Support, and Harmony Information Systems will have limited availability to interact with the technical resources at individual organizations as they design their solution; or to investigate, resolve, or explain quirks or deficiencies of their internal systems.

Expectations for Participating Organizations

Harmony has provided an XML schema, and authorized users may export XML documents from SAMS that are valid and uploadable, and can be used for reference. In addition, the user facing user interface screens may be printed out, the better to map your data into the AGD/SAMS data.

Technical Expectations

We expect that your technical representative(s) have sufficient knowledge of XML and of your system of record to:

- analyze the SAMS XML materials
- design & implement a prototype transformation or process, that produces an XML Upload document containing the consumer's data
- Log into a SAMS testing environment in order to test the uploadability of candidate XML documents. Two user accounts will be provisioned per organization.
- Get your organization certified. Your organization's upload process will be certified by AGD Support through a process (not yet defined).

- Document your new process for internal end-users & support staff
- Train appropriate end-users
- Implement the new process to your production environment.
- Support your internal end users as needed to produce valid upload documents
- Once your organization has been certified, your AGD Point-person will request new or updated user accounts with upload permission in SAMS production.

Clinical Expectations

Collaborate with your organization's technical staff to design an appropriate solution that matches your system-of-record and the capabilities of your staff that will be SAMS end-users. Validate your solution, so that your clinical director is confident that the data uploaded to SAMS matches the data in your clinical system of record.

Once Assessment Upload is deployed, it remains the responsibility of your organization's clinical staff to review all assessment data, whether uploaded or entered by the user in SAMS. Each individual response for every consumer's assessment should be reviewed by clinical staff for any screening presented to Coastline, and updated in SAMS as necessary by the end-user. The RN's signature & title in the appropriate assessment fields represent that professional's clinical judgment that all of the data elements in SAMS are correct.

Support

Due to the one-by-one nature of this deployment, where each organization designs & implements their own solution, it is expected that there will be limited involvement with AGD Support staff during deployment of Assessment Upload.

Document History

date	comment
Oct 20, 2015	First draft to CGH
Oct 28, 2015	Updates to [What Is It NOT?] section.