



For Aging and Long-Term Services Department Databases
Business Operations Guide
July 2022



WellSky Databases

Business Operations Guide

As stewards of New Mexico Aging and Long-Term Services Department (NMALTS) resources, staff are responsible for conducting their work in the highest ethical fashion. The NMALTS expects each person to exercise sound judgment in serving the community. The NMALTS acknowledges the challenges inherent in the environment of a large, complex organization. This business operations guide provides a framework for appropriate stewardship of NMALTS resources regarding the use of its consumer services databases. Adhering to the standards and practices in this business operations guide is important to achieving our tradition of excellence in serving older New Mexicans.

The Administration for Community Living (ACL), NMALTS's federal oversight agency, administers programs authorized through a variety of statutes. The NMALTS and its AAAs strive to maintain compliance to these statutes.

About Community Living

All people, regardless of age or disability, should be able to live independently and participate fully in their communities. Every person should have the right to make choices and to control the decisions in and about their lives. This right to self-determination includes decisions about their homes and work, as well as all the other daily choices most adults make without a second thought.

Older Americans Act

Congress originally passed the [Older Americans Act](#) (OAA) in 1965 in response to concern by policymakers about a lack of community social services for older persons. The OAA has been reauthorized and amended numerous times, since it was first enacted in 1965. In the 116th Congress, both the House and the Senate passed legislation that would reauthorize the OAA for a five-year period. On March 25, 2020 the President signed the Supporting Older Americans Act of 2020 (P.L. 116-131) which authorizes appropriations for OAA programs through FY2024.

The document contained herein is subject to change.

Table of Contents

About Community Living.....	2
Older Americans Act.....	2
OVERVIEW.....	5
Purpose.....	5
Background.....	5
Authority.....	5
Applicability.....	5
Distribution.....	5
Accessibility.....	5
Revision History.....	6
State Unit on Aging (SUA) Update July 2022.....	7
Ageing & Disability (A&D) [Formerly SAMS] Users.....	8
1. WellSky User Group.....	8
2. WellSky User Group Chair.....	10
3. System Administrators (NMALTSO).....	12
4. Agency Users.....	13
5. All Ageing & Disability (A&D) Users.....	14
6. Provider Users.....	17
Older Americans Act Performance System (OAAPS).....	18
7. Purpose, State Responsibilities, AAA Responsibilities, Resources.....	18
ENTERING CONSUMER DATA.....	19
8. Privacy and Confidentiality.....	19
9. Use of Data.....	19
10. Security.....	20
11. Registering Consumers.....	20
12. Minimum Standards of Required Data to be Collected from Consumers.....	21
13. Consumer Groups for Non-Registered Clients Only.....	21
14. Registration Process.....	22
15. Linking Caregivers to Care Recipients.....	23
16. Registration for a Waiting List.....	23
17. Frequency of Data Collection.....	23
18. Data Reconciliation, Verification and Validation.....	23
19. Working in Ageing & Disability (A&D).....	24
20. Reporting.....	26
21. Change Request Forms.....	27
22. WellSky Human Services/APSS Database.....	28
23. Ombudsman.....	30

APPENDIX 32

ATTACHMENT 1—References 33

ATTACHMENT 2—Forms 34

 Confidentiality Agreement 35

 Add—Change Request Form 36

 NMALTSO WellSky Portal User Request 37

 WellSky—A&D Training for NMALTSO, Agencies, and Providers..... 38

ATTACHMENT 3—Abbreviations, Acronyms, and Terms..... 39

 Abbreviations and Acronyms 39

 Terms 39

ATTACHMENT 4—AAA/Provider Minimum Required Elements for Assessments 40

OVERVIEW

Purpose

This business operations guide provides standards and practices for creating, planning, programming, monitoring, budgeting, and executing WellSky databases. It applies to all individuals at all levels who prepare, enter, manage, collect, report, review, approve, disseminate and/or use the databases (Users). This document serves as overall guidance and may be supplemented; supplements are stand-alone documents that are created, updated, and rescinded by the author and held above the minimum standards. All records created as a result of practices in this guide must be maintained and disposed of in accordance with NMALTSO requirements. Detailed references are listed in Attachment 1.

Background

New Mexico aging programs and services have used **WellSky** software since 1998 for meeting the reporting requirements of the US Administration for Community Living/Administration on Aging. This software is the basis of the New Mexico aging programs information system.

Authority

Includes Titles III and VII of the federal Older Americans Act of 1965 (OAA); State Performance Report, OMB Control No.: 0985-0072); the federal Health Insurance Portability and Accountability Act of 1996 (HIPAA); the New Mexico Accountability in Government Act, NMSA 1978 6-3A-1 *et seq.*; agreements between NMALTSO and New Mexico Area Agencies on Aging (AAA), including the Indian Area Agency on Aging (IAAA) and other governmental entities as specifically referenced in this Guide.

Applicability

This guide applies to all users of WellSky software and the Aging & Disability (A&D), Human Services, Central Registry, Ombudsman databases.

Distribution

This guide is distributed to all licensed WellSky database users.

Accessibility

This guide is accessible online for printing by individual users and may not be distributed without the express permission of the NMALTSO or the AAAs.

Revision History

Document #	Formerly SAMS, SAMS Business Operations Guide 2018 Rebranded, WellSky Business Operations Guide December 2018 (WBOG)
Effective Date	Immediately upon release
Revision Date	6/25/2021
Revision #	010, 011, 012, 013
Page #	1–38
Approval	The ALTSD senior management

Date	Revision #	Change	Reference Section
6/26/18	001	Update SBOG Form 510	Attachment 2—Forms
11/29/2018	002	Annual Update SBOG	Entire Document
8/7/2019	003	ACL Statutes	Page 2
8/7/2019	004	1.3.4	Page 6 (italics)
8/7/2019	005	10.1.4	Page 17(italics)
8/7/2019	006	Annual Update WBOG	Entire Document
8/17/2020	007	ALTSD WellSky Databases	Entire Document
8/17/2020	008	APS + Ombudsman	Section to be developed
12/10/2020	009	APS Revision 20 + 21	Page 25
6/25/2021	010	Replaced SAMS with A&D	Pages 1–38
6/25/2021	011	Replaced Mediware with WellSky	Pages 1–38
6/25/2021	012	Replaced SAMScan with ServiceScan	Pages 1–38
6/25/2021	013	Created State Unit on Aging (SUA) Update	Page 7
6/28/2021	014	Revised testing process for new staff	Page 37
9/9/2021	015	Revised WellSky A&D Training List	Page 37
12/9/21	016	Revised WellSky A&D Training List	Page 37
6/28/22	017	Replaced Harmony with WellSky	Throughout the document
6/28/22	018	Replaced Aging & Disability with A&D	Throughout the document
6/28/22	019	Deleted Form 530—no longer applicable	Page deleted
6/28/22	020	Replaced Ombudsmanager with Ombudsman	Throughout the document
6/28/22	021	Replaced Harmony with APSS Human Services	Throughout the document
7/1/22	022	Updated OAAPS references to meet ACL guidance	Pages: 2, 7,18, 19, 21, 22, 23, 24,28, 30, 31, 33, 39, 40, 41
7/1/22	023	Removed external license application. NM SUA will pay for all WellSky licenses.	

State Unit on Aging (SUA) Update July 2022

- On **March 11, 2020**, **Gov. Lujan Grisham** declared a statewide public health emergency in **Executive Order 2020-004**. The governor is authorized to provide emergency funding out of the General Fund to assist agencies in delivering whatever resources and services are necessary to minimize economic and physical harm to New Mexicans during a declared state of emergency under NMSA 1978, Section 12-11-23 through 12-11-25. This funding addressed emergency response and disaster relief efforts to address the effects of the COVID-19 public health emergency.
- **Administration for Community Living (ACL) Guidance**—OLDER AMERICANS ACT COVID-19 GUIDANCE provides a Comprehensive Guidance Reference compiled as of 7/08/2020 (updates in red font) See the following link for the detailed guidance provided by ACL. <https://acl.gov/COVID-19>
- **SUA Crosswalk** published in June 2020 outlines the Units of Service and how the services apply to data entry (A&D database) allowing for new pandemic funding sources.
- An **SUA working team** consisting of the AAA Administrators of the A&D database, ALTSD representatives from the Aging Network Division and ALTSD IT division were assembled to determine the required COVID-19 service categories. These services were made available in the A&D database on 7/1/2020.
- During the **FFY20 and FY21**, **ACL guidance** required that all services tied to expenditures. This includes the identification of all COVID-19 funding sources. Since receiving this guidance, the SUA facilitated a demonstration by WellSky of the Fund Identifiers feature in the A&D database. It was determined that using Fund Identifiers will be the most efficient method for tracking services and expenditures.
- **Fund Identifiers**—Fund Identifiers specify the funds that will be used to pay for consumer services such as Medicaid, OAA, or State. Fund IDs can be associated with services either at the time of service, or after services have been delivered using the A&D (A&D) Bulk Unit Distribution feature.
- **OAAPS**—Older Americans Act Performance System is the software tool used by State Units on Aging (SUAs) to submit the required State Performance Report (SPR) to the Administration for Community Living (ACL). The [Title III State Performance Report \(SPR\), OMB Control No.: 0985-0072](#) summarizes data collection requirements for the SPR.
 - ✦ NMALTSO is requiring that the Area Agencies on Aging utilize the OAAPS tool and all required system processes to report to the SUA. The AAAs shall make any changes to their client assessment forms to match the reporting requirements in OAAPS. For more information please see section 7 of this guide.
- **OAAPS** implementation timeframe:
 - ✦ October 2021 (FY2022): Began collecting Title III data using the New SPR requirements.
 - ✦ January 2023: AAAs will submit FY2022 data into Title III OAAPS
 - ✦ Not later than January 31, 2023: NMALTSO shall submit the SPR through OAAPS to ACL.
- Both **ACL and WellSky** have held webinars for the State SUAs and team meetings throughout 2021–2022 to resolve issues and update the status of the implementation of OAAPS.
- **Units of Service Definitions**—The **OAAPS Unit of Service Definitions** were finalized **May 2021** with an Implementation Date of 10/1/2021. The Units of Service Definitions came from the [Title III State Performance Report Appendix A Definitions](#).
- In **FY22** the **SUA** began implementing a state-wide data collection system using **ServiceScan** for more timely and accurate data collection. The rollout is continuing in **FY23** and will be facilitated when supply chain issues of ordered equipment are resolved.

Aging & Disability (A&D) [Formerly SAMS] Users

1. WellSky User Group

1.1. Persons affected: All members of the WellSky User Group

1.2. Standards:

1.2.1. The WellSky User Group:

1.2.1.1. Is a voluntary group, established by the NMALTSO, comprised of NMALTSO, AAA, and Provider users of the WellSky databases

1.2.1.2. The group is to have NMALTSO representative(s), representative(s) from each AAA, and may have representative(s) from each Provider level user

1.2.2. Decisions in the WellSky User Group will:

1.2.2.1. Be based on consensus of the members in attendance

1.2.2.2. Become recommendations made to NMALTSO senior management team

1.3. Responsibilities:

1.3.1. NMALTSO division directors are responsible for ensuring compliance with these standards and practices

1.3.2. NMALTSO, AAA, and Provider users are expected to adhere to these standards and related practices when participating in WellSky user group meetings

1.3.3. NMALTSO designated users shall coordinate, facilitate, and/or participate in WellSky user group meetings

1.3.4. AAAs and other Providers may assign representatives to participate in the WellSky user group

1.4. Practices: This section covers the activities performed by the WellSky user group. All attendees at WellSky user group meetings are considered participating members.

1.4.1. WellSky user group members shall:

1.4.1.1. Commit to WellSky user group participation

1.4.1.2. Attend meetings

1.4.1.3. Review draft documents, as requested, and provide comments

1.4.1.4. Share expertise

1.4.1.5. Assist with WellSky strategic planning, as requested

1.4.2. NMALTSD designated staff shall:

- 1.4.2.1. Schedule, attend, and facilitate regular meetings (or designate an acting facilitator in the absence of designated NMALTSD staff)
- 1.4.2.2. Create an agenda with WellSky user group member input
- 1.4.2.3. Distribute the agenda and draft notes of previous meeting to all user group members no less than 7 calendar days prior to each scheduled meeting
- 1.4.2.4. Provide reports if needed
- 1.4.2.5. Report decision items, and make recommendations to NMALTSD senior management team
- 1.4.2.6. Take accurate notes (including attendance records) of each user group meeting
- 1.4.2.7. Ensure that user group members have the option to attend in person, by phone, or internet

2. WellSky User Group Chair

2.1. Persons affected: WellSky User Group Chairs

2.2. Standards:

- 2.2.1. The WellSky User Group chair(s) is a user of the WellSky databases and is appointed by the NMALTSO cabinet secretary
- 2.2.2. The WellSky user group chair(s) is expected to discharge his/her duties with care, skill, prudence, and diligence while conducting business
- 2.2.3. Decisions of the WellSky user group are to be submitted by the chair(s) as recommendations to NMALTSO senior management team

2.3. Responsibilities:

- 2.3.1. NMALTSO division directors are responsible for ensuring compliance with these standards and practices
- 2.3.2. The WellSky user group chair(s) is expected to adhere to these standards and related practices when participating in WellSky user group meetings
- 2.3.3. NMALTSO designated staff shall coordinate, facilitate, and/or participate in the WellSky user group as chair(s)

2.4. Practices: This section covers the activities performed by the WellSky user group chair(s). All attendees at WellSky user group meetings are considered participating members. The WellSky user group chair(s) shall:

- 2.4.1. Commit to WellSky user group participation
- 2.4.2. Attend meetings
- 2.4.3. Review draft documents, as requested, and provide comments, feedback, and expertise
- 2.4.4. Assist with WellSky strategic planning, as requested by NMALTSO management which may include:
 - 2.4.4.1. Ensuring that each AAA has a program representative
 - 2.4.4.2. Identifying AAA and provider business practices being used with WellSky
 - 2.4.4.3. Identifying and implementing “best practices” of monitoring, evaluating, and reporting WellSky data, and of training WellSky users
- 2.4.5. Assess risks associated with WellSky users and implement mitigation strategy(s)
- 2.4.6. Schedule, attend, and facilitate regular meetings of the user group (or designate an acting facilitator in the absence of designated NMALTSO chair(s))
- 2.4.7. Create an agenda for each meeting with WellSky user group member input
- 2.4.8. Distribute the agenda and draft notes of previous meeting to all user group members no less than 6 calendar days prior to each scheduled meeting
- 2.4.9. Provide reports if needed

- 2.4.10. Report user group decision items, and make recommendations to the NMALTSO senior management team
- 2.4.11. Appoint a participating member to take accurate meeting notes (including attendance records) of each user group meeting
- 2.4.12. Ensure that user group members have the option to attend meetings in person, by phone, or internet

3. System Administrators (NMALTSD)

3.1. **Persons affected:** NMALTSD IT WellSky System Administrators

3.2. **Standards:** The administrator of the WellSky database is to be an employee of the NMALTSD assigned by the NMALTSD Chief Information Officer (CIO)

3.3. **Responsibilities:**

3.3.1. Serve as liaison with WellSky to manage the database and the application, establish policies and operating practices, assign user logins, contract with WellSky to license use of the A&D database.

3.3.2. Coordinate individual efforts to facilitate communication and cooperation between all users

3.3.3. Cooperate with the NMALTSD and AND/SSB to facilitate data review and duplicate resolution

3.3.4. Maintain an up-to-date list of each user and his/her assigned user ID

3.3.5. Make changes if a new user is added; if a user no longer requires access to the A&D database; if a user terminates employment; or if security is compromised

3.4. **Practices:**

3.4.1. User ID changes or additions are to be submitted to the administrator by AAA users via email or fax. Each submission is to include the level of access required; a signed confidentiality agreement and assurance of training. Under normal circumstances, changes and additions are to be made by the administrator within 5 business days.

3.4.2. If data is compromised, a Provider is to notify its AAA immediately upon discovery; AAAs are to notify the administrator immediately upon discovery or notification from a Provider. Notification is to include the user's name and organization. The ~~Harmony~~ WellSky portal user ID and database user IDs are to be disabled as soon as possible by the NMALTSD or AAA administrator.

3.4.3. Each NMALTSD division is to provide training and user support (help desk) for its users and to help ensure data quality

3.4.4. Each NMALTSD division is to conduct assessments of users of the WellSky database regarding data entry and collection efforts

3.4.5. The administrator(s) is to enforce NMALTSD standards and security/confidentiality agreements

3.4.6. The administrator(s) is to attend meetings of the WellSky User Group

4. Agency Users

4.1. **Persons affected:** AAA users and NMALTSO divisions

4.2. **Standards:** AAA users are to comply with NMALTSO policy and security/confidentiality agreements

4.3. **Responsibilities:**

4.3.1. Work collaboratively with the NMALTSO on issues related to the database

4.3.2. Utilize the WellSky databases, and related administrative tables

4.3.3. Provide feedback to the NMALTSO on all WellSky database system related activities

4.3.4. Develop additional operational guidance for provider level users as approved by the NMALTSO

4.3.5. Monitor the users under its auspices regarding security, data collection, and other issues

4.3.6. Provide ongoing training and technical assistance as needed

4.3.7. Ensure that data entered in the WellSky databases is accurate and entered no later than the 15th working day of the month following the month for which data is being reported

4.3.8. Validate data entered into the WellSky databases application by users under its auspices no later than the 15th working day of the month following the month for which data is being reported

4.3.9. Establish dates by which provider level users are to enter and validate data

4.3.10. The Contractor and providers shall make every effort to collect all information on the client intake and assessment forms. Missing data shall not exceed 7% for any category.

4.3.11. Review provider and site information every state fiscal year and update as necessary

4.3.12. Report to the NMALTSO misuse of data or failure to comply with New Mexico WellSky databases policies and procedures

4.3.13. Notify the NMALTSO at least two weeks in advance when WellSky A&D hosting licenses are needed

5. All Aging & Disability (A&D) Users

5.1. **Persons affected:** All users of the A&D database

5.2. **Standards:**

- 5.2.1. Access to A&D data will be as broad as possible, consistent with the classification of the data, role(s) and responsibilities of a user, and level of training
- 5.2.2. Data will be classified according to its sensitivity as per the standards defined in this document
- 5.2.3. Internal information is intended for use by, and made available to, NMALTSB, AAA and Contract Provider (Provider) who have a business need to know
- 5.2.4. Legally/Contractually restricted information is required to be protected by applicable law or statute (Example: HIPAA), and includes information that, if disclosed to a non-user or a user without the appropriate classification to access the data, may expose the NMALTSB to criminal and civil penalties and the individual user to the same
 - 5.2.4.1. Only those authorized may enter consumer service data and service units, or create and run reports, in the A&D database
 - 5.2.4.2. If users consistently enter erroneous data during a quarter, users may be subject to loss of Aging and privileges up to and including termination of users' authorizations by their supervisors
 - 5.2.4.3. If any NMALTSB employee allows unauthorized access to the A&D database, he or she may be subject to discipline, up to and including dismissal. If NMALTSB employees allow unauthorized access to the A&D database, they may be subject to loss of A&D privileges, up to and including termination of user authorization
- 5.2.5. Data regarding consumers receiving services or assessments through Providers is to be entered in the A&D database. NMALTSB divisions, AAAs, and Providers are to develop standards and practices ensuring compliance with NMALTSB—A&D database policies and procedures.

5.3. **Responsibilities:**

- 5.3.1. NMALTSB Division Directors are responsible for ensuring compliance with these standards and practices
- 5.3.2. NMALTSB, AAA, and Provider users shall adhere to these standards and related practices when entering data and creating and running reports in the A&D database
- 5.3.3. Designated NMALTSB users, AAAs and Provider users will review, monitor, and ensure accurate data entry
- 5.3.4. *If altering data after the 15th of the current month, entities at all levels who have the authority to lock or unlock the A&D database will notify the NMALTSB Information Technology Division (IT) and the NMALTSB and AND/SSB when locking and unlocking the A&D database. If this process is not followed, access to locking and unlocking the A&D database may be revoked.*

- 5.4. Practices:** This section covers database activities performed by A&D users
- 5.4.1. Each A&D user
 - 5.4.1.1. Is designated as a member of the NMALTS&D, one of the AAAs, or a Provider
 - 5.4.1.2. Must sign a Confidentiality Agreement—WellSky Business operations guide (WBOG) Form 500
 - 5.4.1.3. Will receive a secure login in from the NMALTS&D IT Division
 - 5.4.2. Two weeks prior to requiring A&D access, a WellSky User Request Form—WBOG Form 510 must be submitted to NMALTS&D IT. IT staff will:
 - 5.4.2.1. Add a WellSky portal user account and set the password
 - 5.4.2.2. Set the password to be changed by the user on initial login
 - 5.4.2.3. Set user access role(s) for A&D users internal to NMALTS&D, AAA administrators will set user access role(s) for their users
 - 5.4.2.4. Provide the login link, username, and password to the A&D user
 - 5.4.3. A&D training requirements
 - 5.4.3.1. Users must complete training per their designation prior to using the A&D database, and document training on WBOG Form 540
 - 5.4.3.2. NMALTS&D IT will provide user access only after WBOG Form 540 is completed submitted to NMALTS&D DIU, which shall keep all completed forms on file
 - 5.4.3.3. A NMALTS&D or AAA user will send directions, including screenshots showing the location of the training modules in the WellSky portal, to newly designated users
 - 5.4.3.4. The user will complete all identified *WellSky Training* modules in the WellSky portal under *WellSky Quick Links* for his/her role as a NMALTS&D, AAA, or Provider user prior to using the A&D database
 - 5.4.3.5. After completing the identified training modules, the user will be qualified to access the A&D database
 - 5.4.4. Each NMALTS&D division, AAA, and Provider must develop its own standards and practices to align with the NMALTS&D— A&D database policies and procedures. These standards and practices must:
 - 5.4.4.1. Document efforts to protect information and be complete and comprehensive so that a reasonable observer would agree that appropriate steps are being taken to safeguard information from accidental or unauthorized release
 - 5.4.4.2. Inform parties of the sensitivity and intended use of the information
 - 5.4.4.2.1.1. Clarify the business driver for the information
 - 5.4.4.2.1.2. Alert the parties to the protections required
 - 5.4.4.3. Clearly describe the shared responsibilities for information protection

- 5.4.4.4. Contain safeguards and best-practices as a condition for access
- 5.4.4.5. Provide a baseline for technical, security, and process qualifications required to use the A&D database
- 5.4.4.6. Define under what circumstances, if any, the values of data items may be changed
- 5.4.4.7. Have clear requirements for training
- 5.4.4.8. Deliver a clear definition of shared responsibility and accountability
- 5.4.4.9. Include a component to certify employee adherence
- 5.4.5. After an A&D user has completed required A&D training, and been certified as to policy and procedure compliance, the NMALTSO, an AAA, or a Provider may allow the user to enter data in the A&D production database
- 5.4.6. If a user leaves the NMALTSO, an AAA, or a Provider, NMALTSO IT must be contacted immediately (within 24 hours) to disable the user account
- 5.4.7. If a user is inactive for three months, the user account and the portal account will be deactivated by an AAA or by NMALTSO IT
- 5.4.8. Locking and unlocking the A&D database
 - 5.4.8.1. Each entity that has the authority to lock or unlock the A&D database is to submit a Helpdesk ticket to NMALTSO IT with a copy to NMALTSO DIU when locking and unlocking the database. Each Helpdesk ticket will include, as a minimum, the start date for locking/unlocking the database and the end date for locking/unlocking the database
 - 5.4.8.1.1. AAAs are to submit a Helpdesk ticket to NMALTSO IT with a copy to NMALTSO DIU before locking or unlocking the A&D database. If this process is not followed, access to locking and unlocking the A&D database may be revoked
 - 5.4.8.1.2. The Aging & Disability Resource Center (ADRC) and Office of Alzheimer's and Dementia Care (OADC) are to submit Helpdesk tickets to NMALTSO IT with a copy to NMALTSO DIU for the A&D database to be locked or unlocked
 - 5.4.8.1.3. NMALTSO IT and NMALTSO DIU are to verify that the database is locked on the end date

6. Provider Users

6.1. Persons affected: Provider users

6.2. Standards: All Provider level users are to function under the direction of an applicable AAA regarding the use of A&D database

6.3. Responsibilities:

6.3.1. Participate in A&D database training

6.3.2. Develop and provide end user training as required and approved by an applicable AAA

6.3.3. Register consumers and enter data and assessments into the A&D database or send data to an AAA to enter data and assessments into the A&D database

6.3.4. Collect service data and enter it into the A&D database monthly or send data to an applicable AAA to enter into the A&D database

6.3.5. Ensure that data entered in the A&D database is accurate, and is entered and validated by the date established by an applicable AAA

6.3.6. Comply with NMALTS policy, security/confidentiality agreements and additional operational guidance as developed by an applicable AAA

Older Americans Act Performance System (OAAPS)

7. Purpose, State Responsibilities, AAA Responsibilities, Resources

7.1. Purpose: OAAPS is the software tool used by State Units on Aging to submit the annual State Performance Report (SPR) to ACL. The SPR is the annual report on State formula grants under Titles III and VII (Chapters 3 & 4) of the Older Americans Act. After SUAs submit their SPR, ACL staff use the tool to review and approve the submissions. The OAAPS software includes features for data entry, validation, quality analysis, and approval.

7.2. State Responsibilities:

7.2.1. Enter state level data

7.2.2. NMALTSO has given the AAAs responsibility for PSA and provider data entry into OAAPS

7.2.3. Reviewing and approving AAA submissions. Return AAA submissions for corrections if necessary

7.2.4. Entering data identified as the responsibility of the State

7.2.5. Merging data entered by the State with approved submissions by the AAAs to create the State-level submission for ACL

7.2.6. Validate State-level data set and generating variances

7.2.7. Provide explanations for variance as needed and submitting for ACL for review.

7.3. AAA Responsibilities:

7.3.1. Enter Data

7.3.2. Validate Data

7.3.3. Generate Variances

7.3.4. Enter Variance Explanations

7.3.5. Submit data to NMALTSO

7.4. OAAPS Resources:

7.4.1. NMALTSO and the Area Agencies on Aging can find a myriad of useful information on the resource page of the ACL OAAPS Website.

7.4.1.1. <https://oaaps.acl.gov/Resources/oaapsRes>

ENTERING CONSUMER DATA

8. Privacy and Confidentiality

- 8.1. Through the course of serving consumers, coordinating care, and working with WellSky, users will collect highly personal and confidential information about consumers. Examples of confidential information include Social Security numbers, medical conditions, income, assets, living arrangements and relationships with family members. Such information must be treated as completely confidential. Any breach of confidentiality concerning consumers may result in severe penalties up to dismissal, as well as possible prosecution to the fullest extent of the law, where applicable.
- 8.2. The NMALTSO Confidentiality Agreement as attached in form WBOG 500 is incorporated by reference into this guidance and must be followed by all WellSky users
- 8.3. AAAs must provide training and guidance to staff regarding: WellSky Database Policy, Privacy Policies, and form WBOG 500 (Confidentiality Agreement)
- 8.4. Confidential information and documents must:
 - 8.4.1. Be stored in locked cabinets when not in use
 - 8.4.2. Not be used in any area where they can easily be observed
 - 8.4.3. Not be removed from a work site without specific authorization to do so
 - 8.4.4. Follow state and federal records retention policies
- 8.5. Users must:
 - 8.5.1. Immediately notify their supervisors of any possible violation of consumer confidentiality
 - 8.5.2. Shut down and log out when a workstation is unattended
- 8.6. Individual consumer files are not to be downloaded to any hard drive, CD, thumb drive or other media

9. Use of Data

- 9.1. Data collected is used by the NMALTSO, the AAAs and service providers to:
 - 9.1.1. Develop care plans and/or coordinate care for consumers
 - 9.1.2. Meet federal Administration for Community Living/Administration on Aging reporting requirements through the [Title III State Performance Report \(SPR\), \(OMB Control No.: 0985-0072\)](#), last revised date: 07/20/2021, expiration date: 07/31/2024. The Older Americans Act (OAA) gives ACL authority to collect this level of data, see § 203(f)(1).
 - 9.1.3. Meet reporting requirements of the New Mexico Accountability in Government Act, NMSA 1978 6-3A-1 *et seq.*
 - 9.1.4. Administer a coordinated, efficient, and effective service delivery system by measuring service units and costs
 - 9.1.5. Provide additional reports and projections for planning, reporting, and forecasting

10. Security

- 10.1.** Crucial to protecting consumer information and to protecting the system from intrusion, security is every user's responsibility and must be maintained at all times. User access to WellSky is defined by user role. All WellSky users must adhere to the following:
- 10.1.1. Complete training and read, sign, and follow form WBOG 500 (Confidentiality Agreement)
 - 10.1.2. Never share user IDs or passwords with anyone; all user IDs and passwords must remain confidential and secure
 - 10.1.3. Log out when the system is unattended or access to the WellSky database is no longer needed
 - 10.1.4. Protect computers used to access WellSky with anti-virus software with the most recent anti-virus profiles and anti-virus protection enabled
 - 10.1.5. Maintain the operating system and the web browser software used to access Harmony with the most recent security patches and software upgrades
- 10.2.** If security is compromised:
- 10.2.1. Provider level users shall notify the appropriate AAA immediately upon discovery
 - 10.2.2. AAAs and Agency level users are to notify the NMALTS administrator immediately upon discovery or notification from a Provider
 - 10.2.3. Notification must include the user's name and organization; the Harmony user ID will be disabled as soon as possible
 - 10.2.4. As soon as the administrator becomes aware that data security has been compromised, he/she must immediately notify the CIO so that it may take all necessary steps to investigate the incident and limit further data loss or intrusion. In addition, within ten calendar days of discovery or notification of a likely security breach, the administrator must notify the consumer or consumers in writing that their individual data has likely been compromised

11. Registering Consumers

- 11.1.** Certain types of consumers must be individually registered in the WellSky database system so that services received can be tracked to individual consumers. At a minimum, the following types of consumers must be registered (AAAs may add more requirements):
- 11.1.1. Consumers receiving social supportive services, home-delivered meals, adult day care, congregate meals, and health promotion/disease prevention
 - 11.1.2. Caregivers and care recipients receiving respite care, supplemental services, counseling, support group services, and/or caregiver training
 - 11.1.3. Grandparents and other older adult caregivers serving children receiving respite care, supplemental services, counseling, support group services, and/or caregiver training
 - 11.1.4. Consumers contacting the ADRC—*users cannot change or update social security numbers or dates of birth on consumers who are enrolled for services with the AAAs without consultation with the affected AAAs*

- 11.1.5. Adult Protective Services has begun using the AAA Nutritional Services assessment as part of all APS investigations. The AAAs shall require Aging Network Providers who receive referrals of clients to accept any Department approved assessments, such as Adult Protective Services assessments, to determine appropriate or necessary services. Acceptance of such assessments will allow providers to expedite referral for immediate services to vulnerable APS clients.

12. Minimum Standards of Required Data to be Collected from Consumers

- 12.1. Assessment tools/documents shall be modified to contain the appropriate data elements as required by ACL through the Title III State Performance Report (SPR), OMB Control no.: 0985-0072 as well as meet the required definitions and service unit measures listed in the [Title III State Performance Report Appendix A Definitions](#).
- 12.1.1. Area Agencies on Aging shall submit all of their updated assessment forms to NMALTS, Aging Network Division, not later than September 1, 2022 for review and approval.

13. Consumer Groups for Non-Registered Clients Only

- 13.1. Data entry regarding service use by non-registered consumers is to be entered in the *consumer group* category. In accordance with each respective AAA policy, non-eligible individuals (those who do not have a consumer record) may purchase services that must be tracked and accounted for in the A&D database
- 13.2. Providers that offer the Family Caregiver Program (Title III) must set-up and utilize at least one additional *consumer group*: Caregiver Program

Type of Funding Source	Entities	EXAMPLE
Title III and state general funds and local funds	Federally recognized — PSA 1, PSA 2, PSA 3, PSA 4 Federally designated — ABQ/BernCo AAA, Non-Metro AAA	All reports, rosters and routes are to be identified with the name of the PSA administered by an AAA—the Provider—the consumer group type (Example: PSA2—City of Santa Fe—eligible consumers Title III)

- 13.3. *Consumer groups* shall be created in A&D using the following parameters:

13.3.1. Eligible Consumers—Title III

- 13.3.1.1. Consumer age is 60 or older or a spouse of someone age 60 or older
- 13.3.1.2. Provider name

13.3.2. Guest Meals (Paying Guests)

- 13.3.2.1. Consumer age is less than 60 (not eligible)
- 13.3.2.2. Provider name

13.3.3. Staff Meals (Staff age 59 or younger)

- 13.3.3.1. Consumer age is less than 60 (not eligible)
- 13.3.3.2. Provider name

13.3.4. Services for IAAA Non-Registered Consumers (guests, staff, and volunteers)

- 13.3.4.1. Consumer age is 50 or older (or as determined by Tribal Administration)
- 13.3.4.2. Agency name

14. Registration Process

14.1. Registration

- 14.1.1. Paper or automated registration forms are to be completed with the following minimum data:
 - 14.1.1.1. Consumer legal name, gender, residential address, last 4 digits of SSN, DOB, phone number, ethnicity, Provider and AAA
 - 14.1.1.2. Activities of Daily Living (ADL) or Instrumental Activities of Daily Living (IADL) assessments/reassessments
 - 14.1.1.3. Nutrition assessments/reassessments—Nutrition assessments shall contain the same information and score in the same way as the [“Determine Your Nutritional Health” Checklist](#)
- 14.1.2. Consumer data must be entered into the A&D database within 10 working days:
 - 14.1.2.1. Prior to registering a consumer, users are to search the statewide database to determine if a consumer is already registered
 - 14.1.2.2. If assessment reveals a need for service(s) not available from the initial provider then the initial provider is to make a referral; the consumer record is to be shared
- 14.1.3. With regard to the Non-Metro and Albuquerque/Bernalillo County AAAs, the following services may require creation of a care plan/service plan in order to allow for data entry: chore services, home-delivered meals, homemaker services, home repair/renovation/maintenance, personal care, evidence-based services, and respite

14.2. Data to Be Collected

- 14.2.1. Data collected includes the minimum data needed to develop care plans, coordinate care, develop service invoices and meet reporting requirements
- 14.2.2. Data is collected on consumers (persons served) and services provided (units)
- 14.2.3. Data collected on consumers who require consumer registration may include first name, last name, gender, residential address, date of birth, last four digits of social security number, ethnicity, race, phone number, health information and assessments, limitations in performing ADLs, limitations in performing IADLs, nutrition assessments and caregiving responsibilities
- 14.2.4. Additional data may be requested to develop care plans, coordinate services and provide benefits counseling
- 14.2.5. Data collected on services includes service provider, service site (if applicable), date of service, service program, service, subservice (if applicable) and units of service provided
- 14.2.6. An AAA may require the collection of additional data and its providers may collect additional data if approved by the AAA
- 14.2.7. All forms used to collect data must comply with guidance from the NMALTS and the AAA as well as meet the level of detail required by ACL.

15. Linking Caregivers to Care Recipients

- 15.1. Caregivers and care recipients must be registered and their consumer records must be linked in the A&D database under *details* in the A&D database record
- 15.2. Sometimes consumers directly request services from multiple providers; therefore, prior to registering a consumer, users are to search the statewide database to determine if a consumer is already registered

16. Registration for a Waiting List

- 16.1. Consumers must be registered even if they cannot be provided with service immediately
- 16.2. It is important to document unmet needs
- 16.3. The AAA shall report to NMALTSO the status of waitlists quarterly and strategies to reduce or eliminate the waitlists.

17. Frequency of Data Collection

- 17.1. Service data is to be collected at the time of service and entered into the A&D database weekly

18. Data Reconciliation, Verification and Validation

- 18.1. Accuracy of data is critical. Users are the key to accurate data. Each month, the data entered in the system is to be reviewed or approved at the AAA Level or Agency user level
- 18.2. Each AAA is to have policies and procedures in effect to validate data entered into the A&D database at the Provider level and the AAA level
- 18.3. Validation is to be accomplished by the 15th calendar day of each month
- 18.4. NMALTSO IT is to lock the database at close of business on the 15th calendar day of the month. If the 15th day falls on a weekend or a holiday, the database is to be locked the following working day
- 18.5. If a Provider or an AAA has ample reason, the database may be unlocked by the AAA administrator or NMALTSO IT, upon submission of a helpdesk ticket, to allow for data entry or adjustment

19. Working in Aging & Disability (A&D)

19.1. Reports, rosters, and routes

19.1.1. All reports, rosters and routes are to be identified as follows:

Reports, Rosters, and Routes—Naming Convention		
Report, Roster, Route	Entities	EXAMPLE
<input checked="" type="checkbox"/> Report <input checked="" type="checkbox"/> Roster <input checked="" type="checkbox"/> Route	AAAs— ABQ/BernCo AAA, Non-Metro AAA, Indian AAA, Navajo AAA PSAs Administered— PSA 1, PSA 2, PSA 3, PSA 4, PSA 5, PSA 6	All reports, rosters and routes are to be identified with the name of the PSA administered by an AAA—the Provider—the data type <i>(Example: PSA2—City of Santa Fe—Meals)</i>
<input checked="" type="checkbox"/> Report	Provider Organization that receives funding directly from the ALTSD— *Example— Alzheimer's Association	All reports are to be identified with ALTSD—the Provider Organization—the data type <i>(Example: ALTSD—Alzheimer's Association—Education)</i>
<input checked="" type="checkbox"/> Report	Provider Organization that receives funding directly from an AAA— *Example— Alzheimer's Association	All reports are to be identified with the name of the PSA administered by the AAA—the Provider Organization—the data type <i>(Example: PSA1— Alzheimer's Association—Homemaker Respite)</i>
<input checked="" type="checkbox"/> Report	Divisions, Bureaus, and sub-entities in the ALTSD	All reports are to be identified with the name of the ALTSD Division—the sub-entity—the data type <i>(Example: AND—OADC—performance measure 7)</i>

19.1.2. Users have access to all rosters and routes. Users are not to make changes to roster(s) or route(s) of users other than those for which they have responsibility

19.1.3. Users who track service delivery may have access to consumer data. Users may update existing data when necessary to ensure accuracy, as well as for care planning and care coordination

19.2. Activity and Referral

- 19.2.1. AAA or ADRC users are to submit complaints from consumers through an “*Activity and Referral*” in which “*consultation*” is to be selected in the action field; the organization being complained about is to be selected in the agency field; “*referred*” is to be selected in the status field; and “*consumer complaint*” is to be recorded in the subject field
- 19.2.2. In order to coordinate care, the ADRC, the AAAs and some providers can send “*Activity and Referral*” requests through the A&D database to one another following the A&D database training protocol. Notes must be added to the “*Activity and Referral*” that explain the status of the referral. Entries in the “*Activity and Referral*” field must be reviewed within **three business days** of their creation, and their status changed to “*Received*”. Activities and referrals must be reviewed by applicable AAA or ADRC Agency Level Users before a status change is made

19.3. Default Agency

- 19.3.1. Consumers may be served by multiple AAAs or Providers. Each AAA or Provider serving a consumer may update the consumer record, including the “Default Agency”. However, the “Default Agency” is to be determined by the permanent residence of the consumer, and the “Default Agency” is not to be changed unless a consumer’s permanent address changes
- 19.3.2. Consumer records are not to be deleted from the A&D database by users. If an error occurs and a consumer record needs to be deleted, the user is to email a *Change Request Form* to the “Default Agency” with consumer identifying information and the reason deletion is necessary
- 19.3.3. Any duplicate consumer records are to be merged by the “Default Agency”. If there is more than one “Default Agency” as a result of duplication, the staff of the Agencies are to initiate verbal communication prior to merging duplicate records. Users within and between “Default Agencies” are to be alerted that potential duplicate records need to be merged and reach concurrence on who should merge the records. The NMALTS/AND/SSB will perform regular duplicate reviews and notify the agencies involved. A search is to be conducted prior to creating a consumer record to avoid adding a duplicate record

19.4. Default Provider

- 19.4.1. Consumers may be served by multiple service providers. Each service provider serving a consumer may update the consumer record, including the “Default Provider”
- 19.4.2. The “Default Provider” is determined by the permanent residence of a consumer or the level of care being provided. Any temporary residence of a consumer is to be identified under the “*Locations*” field in consumer “*Details*”

19.5. Care Enrollment

- 19.5.1. Consumer records may include multiple care enrollments for various categories of services
- 19.5.2. The start date of care enrollment is to be the date when a consumer is enrolled for services. An end date is to be entered when a service is completed
- 19.5.3. Consumers are to have only one care plan per care program with a start date of when a consumer is to start receiving services and an end date of 12/31/2060. Consumers may have more than one care plan if they move out of the state or are admitted into an institutional facility for a period of time and then return to community living. Providers can create multiple service plans with different services and providers under one care plan

19.6. Consumer IDs created by the A&D database will be permanent and will not change unless a correction is made to a consumer’s DOB or SSN; in which case, A&D will automatically update the ID

19.7. Re-Assessments must be completed as specified by state and federal policies

20. Reporting

20.1. Each AAA and the NMALTSO have access to the statewide database and can run reports to validate data; accuracy and timing of data entry is critical

20.2. The following reports can be retrieved directly from the A&D database:

20.2.1. Monthly meal count report

20.2.2. Quarterly performance-based budgeting report and annual A&D report (State Program Report)

20.3. When saving report definitions in the A&D database, users are to identify reports with the following:

Reports, Rosters, and Routes—Naming Convention		
Report, Roster, Route	Entities	EXAMPLE
<input checked="" type="checkbox"/> Report	AAAs— ABQ/BernCo AAA, Non-Metro AAA, Indian AAA, Navajo AAA PSAs Administered— PSA 1, PSA 2, PSA 3, PSA 4, PSA 5, PSA 6	All reports, rosters and routes are to be identified with the name of the PSA administered by an AAA—the Provider—the data type (Example: PSA2—City of Santa Fe—Meals)
<input checked="" type="checkbox"/> Report	Provider Organization that receives funding directly from the ALTSO— *Example— Alzheimer’s Association	All reports are to be identified with ALTSO—the Provider Organization—the data type (Example: ALTSO—Alzheimer’s Association—Education)
<input checked="" type="checkbox"/> Report	Provider Organization that receives funding directly from an AAA— *Example— Alzheimer’s Association	All reports are to be identified with the name of the PSA administered by the AAA—the Provider Organization—the data type (Example: PSA1— Alzheimer’s Association—Homemaker Respite)
<input checked="" type="checkbox"/> Report	Divisions, Bureaus, and sub-entities in the ALTSO	All reports are to be identified with the name of the ALTSO Division—the sub-entity—the data type (Example: AND—OADC—performance measure 7)

21. Change Request Forms

- 21.1. NMALTSO Provider Addition or Change Request forms (Provider Add-Change Request WBOG Form 520 and WellSky User Request WBOG Form 510) are to be used by AAAs and submitted to the NMALTSO to request changes in the administrative structure of the A&D database
- 21.2. Completed Change Request forms are to be reviewed and approved by a designated administrative authority prior to submission to the NMALTSO
- 21.3. Change Request forms are to be completed for the following:
 - 21.3.1. Issuance of or changes in A&D database portal IDs
 - 21.3.2. Issuance of or changes in A&D permission levels
 - 21.3.3. Additions to and/or changes of towns, cities or zip codes
 - 21.3.4. Additions to and/or changes to and/or deactivation of providers or sites
 - 21.3.5. Additions to and/or changes to and/or removal of services
 - 21.3.6. Other changes to the administrative structure as may be needed

22. WellSky Human Services/APSS Database

This section has been completed by Adult Protective Services (APS)

22. APS Intake

22.1. Persons affected: APS Intake staff

22.2. Standards: Access WellSky/APSS database to input confidential identifying participant data and generate reports for review by APS Investigative Supervisors

22.3. Use of Data

22.3.1. Create WellSky/APSS Intake regarding issues of Abuse Neglect and/or Exploitation (ANE) of the Alleged Victim (AV)

22.3.2. Gather participant information for all parties named by the Reporting party such as names, demographic information, date of birth and diagnosis of AV

22.3.3. Identify and record allegations of ANE

22.3.4. Search and verify prior history regarding the AV by conducting a search by name of the AV

22.3.5. Attach documentation, if necessary, to intake report for review

22.3.6. Ensure all data fields are completed and submit intake for review

22.4. Referring clients to Nutrition Service Providers

22.4.1. Adult Protective Services has begun using the AAA Nutritional Services assessment as part of all APS investigations. The AAAs shall require Aging Network Providers who receive referrals of clients to accept any Department approved assessments, such as Adult Protective Services assessments, to determine appropriate or necessary services. Acceptance of such assessments will allow providers to expedite referral for immediate services to vulnerable APS clients.

22.5. Adult Protective Services (WellSky/APSS) Users

22.5.1. Persons affected: APS Investigative Caseworkers, Supervisors, and supportive staff

22.5.2. Standards:

22.5.2.1. Access users to WellSky/APSS data are to comply with the policies and procedures set by APS

22.5.2.2. Users will ensure data is protected in accordance to its sensitivity and per the standards of the APS

22.5.3. Responsibilities:

22.5.3.1. APS investigative staff and supporting staff will use WellSky/APSS information and data to investigate on issues of Abuse, Neglect and Exploitation (ANE) for any vulnerable adult in the State of New Mexico

22.5.3.2. Users will gather and input information obtained in an investigation into WellSky/APSS in accordance to APS Policy and Procedures

22.6.3.3. Users will ensure accurate data entry

22.6.3.4. Investigative staff will use WellSky/APSS to input and secure investigative information into the system to reflect efforts and outcomes of each investigation

22.6.3.5. Users are responsible to using WellSky/APSS tools to conduct a thorough intake, screening, and investigation

22.7.4. Practices:

21.7.4.1. Each APS Personnel

21.7.4.1.1. Is a designated member of APS

21.7.4.1.2. Will received a secure login in from NMALTSO IT Division

21.7.4.1.3. Each designated member will receive training on WellSky/APSS

21.7.4.1.4. Member will follow confidentiality and proper data entry per APS policies and procedures

21.7.4.1.5. Each member will use the data to conduct investigations of A.N.E.

23. Ombudsman

This section was completed by the Ombudsman.

23. Long-Term Care Ombudsman Program (LTCOP)

23.1 Persons affected: LTCOP staff and designated volunteers—regional coordinators, ombudsman supervisors, Deputy Ombudsman, State Ombudsman, ALTSD senior staff, ombudsman volunteers

23.2 Standards: Access WellSky/Ombudsman database to input confidential identifying participant data, program details, and ombudsman activities and for review by LTCOP regional coordinators, Deputy Ombudsman, and State Ombudsman

23.3. Use of Data: WellSky/Ombudsman is the system of record for New Mexico LTCOP

23.3.1. Create Cases regarding complaints regarding problems related to the health, safety, welfare, and rights of individuals who live in long-term care facilities (system of record) 23.3.1.1 Gather information necessary to complete investigation

23.3.1.1.1 Resident level information

23.3.1.1.2 Complainant level information

23.3.1.1.3 Facility level information

23.3.1.1.4 Perpetrator level information

23.3.1.1.5 Complaint details (description, documents/ attachments, activities)

23.3.1.2 Categorize components of complaint investigation for trend analysis

23.3.1.2.1 Categorize types of complaints

23.3.1.2.2 Categorize outcomes

23.3.1.2.3 Categorize dispositions

23.3.1.2.4 Time related details (time/date and length of investigation)

23.3.2 Input LTCOP ombudsman activities for reporting and trend analysis

23.3.3 Input LTCOP program details for reporting and trend analysis

23.3.3.1 LTCOP staff activities

23.3.3.2 Ombudsman volunteer activities

23.3.3.3 State long-term care system details (facilities, capacity, etc.)

23.4 Responsibilities:

23.4.1 LTCOP WellSky/Ombudsman authorized users will use information and data to conduct investigations related to complaints regarding problems related to the health, safety, welfare, of individuals living in long-term care facilities

23.4.2 Users will gather, and input information obtained in an investigation into WellSky in accordance with LTCOP Policy and Procedures.

23.4.3 Users will ensure timely and accurate data entry

23.4.4 LTCOP regional coordinators will ensure the input of secure and complete investigative information into the system to reflect efforts and outcomes of each investigation.

23.4.5 LTCOP regional coordinators will ensure input of LTCOP ombudsman activities and program details.

23.5 Practices:

23.5.1. Each LTCOP regional coordinator, ombudsman supervisor, Deputy Ombudsman, and State Ombudsman:

23.5.1.1 Is a designated member of LTCOP.

23.5.1.2 Will received a secure login in from NMALTSO IT Unit.

23.5.1.3 Will receive training on Well Sky.

23.5.1.4 Will follow confidentiality and proper data entry per LTCOP policies and procedures.

23.5.1.5. Will use the data to conduct investigations and perform other ombudsman activities

APPENDIX

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ATTACHMENT 1—References

1. Older Americans Act of 1965
2. Administration for Community Living/Administration on Aging – Title III State Performance Report (SPR), OMB Control No.: 0985-0072 Expires 07/31/2024)
3. Aging and Disability Administrator Guide Dec 2020
4. Aging Disability User Guide R20 September 2021
5. Next Gen Customer Portal User Guide (2/2/2021)
6. ServiceScan User Guide Oct2020
7. Department of Health and Human Services, Memorandum: Guidance on the Administrative Simplification Provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA)
8. New Mexico Aging and Long-Term Services Department, Confidentiality Agreement
9. New Mexico Aging and Long-Term Services Department, Training Form
10. New Mexico Aging and Long-Term Services Department, Area Plan Guidelines
11. State Agency on Aging, State Action Memorandum, SAM 98-8, dated August 21, 1998
12. State Agency on Aging Memorandum dated October 14, 1998 Subject: Meal Count Signatures

ATTACHMENT 2—Forms

1. Confidentiality Agreement, *WBOG Form 500*
2. Add/Change Request Form, *WBOG Form 520*
3. NMALTS WellSky Portal User Request, *WBOG Form 510*
4. Aging & Disability WellSky Training for NMALTS, Agencies, Providers, *WBOG Form 540*



NEW MEXICO AGING AND LONG-TERM SERVICES DEPARTMENT

Confidentiality Agreement

This CONFIDENTIALITY AGREEMENT is intended to maintain the privacy of confidential, personal information that may be provided by clients/ consumers in the course of accessing services. Confidential, personal information may be provided and maintained in several forms—verbal, written or electronic (such as in a computer database). This CONFIDENTIALITY AGREEMENT must be signed by all persons who will access the A&D database, Ombudsman, APSS—Human Services databases (containing confidential, personal information) before they are provided with passwords to access the A&D database, Ombudsman, APSS—Human Services.

I understand that in the course of my work with the A&D database, Ombudsman, APSS—Human Services databases and NM Aging and Long-Term Services Information Systems, I may learn certain facts about individuals being served that are of a highly personal and confidential nature. Examples of confidential information are Social Security numbers, names of clients/consumers, medical conditions and treatments, income, assets, living arrangements and relationships with family members. Such information must be treated as completely confidential and is not to be shared with any unauthorized person without exception, including family members. Any breach of confidentiality concerning clients/consumers may result in severe penalties up to dismissal, as well as possible prosecution to the fullest extent of the law, where applicable.

Guidelines to follow to maintain confidential information are:

1. Secure confidential information and documents in locked cabinets when not in use;
2. Do not leave confidential information or data where it can easily be observed;
3. Do not remove any confidential information from an organization’s office without specific authorization to do so;
4. Properly dispose of (shred) all confidential information when no longer needed;
5. Properly mark and secure confidential information before transmittal;
6. Immediately notify a supervisor or an authorized person of any possible violation of confidentiality;
7. Talk to a supervisor or an authorized person regarding any questions about confidentiality and/or any possible violation of such confidentiality.
8. When using the A&D database, Ombudsman, APSS—Human Services;
 - o Keep all user logins and passwords confidential and secure;
 - o Shut down the A&D database, Ombudsman, APSS—Human Services application and log out when the workstation is unattended;
 - o Never delete or remove data from the A&D database, Ombudsman, APSS—Human Services.

Only authorized users who have signed this confidentiality agreement may use or view A&D, Ombudsman, APSS—Human Services.

I agree not to disclose client/consumer information of a personal and confidential nature to anyone except to those individuals with a valid need to know that my employer has identified after assuring that a client/consumer has signed a release of information form. **My signature below warrants that I have read, understand, and will follow this NM Aging and Long-Term Services Department CONFIDENTIALITY AGREEMENT.**

For NMALTSO employees, any breach of confidentiality concerning clients/consumers may result in severe penalties up to dismissal, as well as possible prosecution to the fullest extent of the law, where applicable.

For AAAs, any breach of confidentiality concerning clients/consumers may result in severe penalties and loss of A&D privileges up to and including termination of user authorization. Additional penalties may be determined by the AAA.

For Providers, any breach of confidentiality concerning clients/consumers may result in severe penalties and loss of A&D privileges up to and including termination of user authorization. Additional penalties may be determined by the Provider.

Mark those that apply:

A&D User Ombudsman User APSS—Human Services User

Signature			
Print name		Date	Click here to enter a date.
Name of Employer Organization			
Email Address		Phone	
Program Director			
Signature			
Print name		Date	Click here to enter a date.

A&D Business Operations Guide Form 500—Version 7.2022



Add—Change Request Form

PURPOSE: This form is to be submitted with a Helpdesk ticket to request an addition or change to the A&D database. By submitting this form, you are officially notifying NMALTS&D of the requested addition or change to the A&D database.

Person requesting change		
First Name	Last Name	Agency/Provider/Site
Work Phone	E-Mail	Request Date

Provider, Site, Service, Sub-Service—Request

<input type="checkbox"/> Add Provider	<input type="checkbox"/> Deactivate Provider	<input type="checkbox"/> Add Site	<input type="checkbox"/> Deactivate Site
<input type="checkbox"/> Add Service	<input type="checkbox"/> Deactivate Service	<input type="checkbox"/> Add Sub-Service	<input type="checkbox"/> Deactivate Sub-Service
<input type="checkbox"/> Add State Reporting Tool (OAAPS) Mapping	<input type="checkbox"/> Deactivate OAAPS Mapping	<input type="checkbox"/> Describe Type, Service or Sub-Service or Permission Level	
<input type="checkbox"/> Update Provider Information			
<input type="checkbox"/> Other			

Name of Provider/Site to add, update or deactivate:	Phone:	Hours of Operation:	Website:
Street Address:	City:	State: NM	Zip:
			Provider/Area Agency on Aging

Location:	Accessibilities:	Eligibilities:
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Service Area(s):	Additional Phone Number(s):	Languages:
	Cell:	Other:

Services Provided:	Other Information:
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This request has been approved by the A&D User Group (SUG). (If approved by SUG, the justification sections below are not required.)

Justification Section—New Service(s) or Sub-Service(s) Requested:

Description of request:

Why is the request necessary?

What would be the impact of implementing this request? (Who will be effected?)

Justification Section—Projected Outcome

Pros	Cons

Process Checklist

Completed and Dated	Step Number	Action	Responsibility
<input type="checkbox"/>	1. Fill out form	Complete the Add—Change Request Form	Requestor
<input type="checkbox"/>	2. Submit form to NMALTS&D Helpdesk	IT with SUG, when appropriate, determines viability of the request	IT and/or SUG
<input type="checkbox"/>	3. Implement request	IT notifies the requestor of the decision	IT
<input type="checkbox"/>	4. Reject request	IT notifies the requestor of the decision	IT



NMALTSD WellSky Portal User Request

Request Date:

New User Information		
User Request	Agency	Provider
First Name	Middle Initial (not required)	Last Name
Work Phone	Email Address	
Previous User Information (if applicable)		
Name	Portal ID	Email Address
A&D Access		
<input type="checkbox"/> A&D	<input type="checkbox"/> A&D I&R	<input type="checkbox"/> Other
Other Applications		
<input type="checkbox"/> ServiceScan Desktop	<input type="checkbox"/> Import/Export Utility	<input type="checkbox"/> Other
<input type="checkbox"/> ServiceScan Mobile	<input type="checkbox"/> OAAPS	
<input type="checkbox"/> Assessment Designer	<input type="checkbox"/> Mobile Assessments (ABQ Only)	
<input type="checkbox"/> Assessment Analyzer	<input type="checkbox"/> Microsoft Access	
Notes		
Please enter any additional comments or questions below.		

WellSky—A&D Training for NMALTS, Agencies, and Providers

1. A&D Training Modules

Below is a list of each A&D application training modules and the length of time it is likely to take to complete. The time does not consider how long it will take each user to complete the quiz and perform the hands-on exercises.

Users must score at least a 70% or better to move on to the next training section.

Training Modules:

Check Complete	#	Video Topic	Time	Score	Date Complete	Survey Link
<input type="checkbox"/>	1	NEW Aging and Disability Next Generation Intro	12:09			
<input type="checkbox"/>	2	A&D Activities and Referrals	10:58			https://www.surveymonkey.com/r/Z8P9882
<input type="checkbox"/>	3	A&D Consumer List	8:41			https://www.surveymonkey.com/r/2STK8NV
<input type="checkbox"/>	4	A&D Consumer Records	21:28			https://www.surveymonkey.com/r/DLQZY3M
<input type="checkbox"/>	5	A&D My Settings	12:40			
<input type="checkbox"/>	6	NEW Aging and Disability Assessments	20:37			https://www.surveymonkey.com/r/BSD8GHM
<input type="checkbox"/>	7	A&D Care Plan Basics	24:37			https://www.surveymonkey.com/r/2SBCB79
<input type="checkbox"/>	8	A&D Service Deliveries	13:40			https://www.surveymonkey.com/r/DLXFYZF
<input type="checkbox"/>	9	A&D Navigation and Grid Usage	9:41			
<input type="checkbox"/>	10	A&D Journals	6:36			https://www.surveymonkey.com/r/9PXKJHP
<input type="checkbox"/>	11	A&D Service Orders	12:40			https://www.surveymonkey.com/r/2BWRKYG
<input type="checkbox"/>	12	A&D Dashboards	11:32			
<input type="checkbox"/>	13	A&D IR Calls	28:21			
<input type="checkbox"/>	14	A&D Word Document Templates	19:38			
<input type="checkbox"/>	15	A&D Automated Workflows	20:19			
<input type="checkbox"/>	16	A&D Saved Searches	17:18			https://www.surveymonkey.com/r/2QQM2F5
<input type="checkbox"/>	17	A&D Consumer Merge	11:59			
<input type="checkbox"/>	18	A&D Reports	13:59			https://www.surveymonkey.com/r/2WZJ66Y
<input type="checkbox"/>	19	A&D Roster Definitions	17:23			https://www.surveymonkey.com/r/2WQD89Z
<input type="checkbox"/>	20	A&D ESD Rosters	14:08			https://www.surveymonkey.com/r/2SJ8QTZ
<input type="checkbox"/>	21	A&D Claims	21:22			
<input type="checkbox"/>	22	A&D Service Delivery Confirmation Wizard	11:30			https://www.surveymonkey.com/r/23CQ9BQ
<input type="checkbox"/>	23	A&D Caregiver_Care Recipient.mpg	18:55			https://www.surveymonkey.com/r/2S5W6WG
<input type="checkbox"/>	24	A&D File Attachments.mpg	12:36			https://www.surveymonkey.com/r/2S9LGSG
<input type="checkbox"/>	25	SHIP Reports.mpg	13:32			
<input type="checkbox"/>	26	NEW Next Gen Customer Portal for Users	5:21			
<input type="checkbox"/>	27	NEW Consumer Records Part 1	13:42			https://www.surveymonkey.com/r/DLQZY3M
	28	NEW Consumer Records Part 2				https://www.surveymonkey.com/r/WLKK9MV
<input type="checkbox"/>	29	NEW Next Gen Customer Portal for Admins	16:57			
<input type="checkbox"/>	30	NEW Mobile Assessments Video				https://www.surveymonkey.com/r/2JVKVWK
	31					

2. **A&D Sandbox** (practice)—after completion of the above Training Modules and prior to being granted access to the live A&D database, training components as assigned by the users' supervisor, are to be completed.

I have completed the A&D database training modules checked above.

Name		Date
Signature		
Supervisor's Signature		

ATTACHMENT 3—Abbreviations, Acronyms, and Terms

Abbreviations and Acronyms

AAA	Area Agency on Aging
A&D	Aging & Disability—or A&D®—a relational database that allows New Mexico Aging Network providers to manage consumers and the services offered to them. The software application is provided under a license agreement with WellSky, Inc. The agreement contains restrictions on the use of the software and is protected by copyright law. Reverse engineering of the software is prohibited. All users are covered by this license agreement.
ADRC	Aging & Disability Resource Center
DIU	Data Integrity Unit
HIPAA	Health Insurance Portability and Accountability Act of 1996
IAAA	Indian Area Agency on Aging
NMALTSD	New Mexico Aging and Long-Term Services Department—the state agency that requires its aging network contractors to enter consumer data in the A&D database
PSA	Planning and Service Area
OAA	Older Americans Act
OMB	Office of Management and Budget
WBOG	WellSky Business Operations Guide

Terms

Agency	AAA and its employees, other NMALTSD contract organizations utilizing A&D, distinct units within the NMALTSD utilizing A&D
Business Driver	People, knowledge, and conditions that initiate and support activities for which the business was designed
Consumer	Any person receiving services or assessments, or who may receive services or assessments for whom data is entered into A&D
Data Integrity	The overall completeness, accuracy and consistency of data; it can be maintained through the use of various error checking methods and validation procedures
WellSky-Customer Portal	The portal provided by WellSky for the A&D database used by the NMALTSD and its aging network. The customer portal provides the NMALTSD and its contractors with web-based access to the A&D database. The service is available 24 hours a day, 7 days a week, except for periodic scheduled maintenance. Access to the customer portal is limited by user ID
Manager	The person who has control or direction of an division, bureau, agency, or entity
Provider	Contracted Aging Network service provider and its employees, including NMALTSD and AAA contracted Aging Network service providers
Regulation Reference Authority	Includes the Older Americans Act of 1965, as amended in 2016; Reporting Requirements for Title III and VII of the Older Americans Act; the New Mexico Accountability in Government Act, NMSA 1978; contracts between the NMALTSD, AAAs, other Agency-Level contractors, and service providers
Service Delivery	The act of providing services (chore work, case management, personal care, home delivered meals, homemaking, adult day care, congregate meals, and transportation are examples of services)
State Unit	The NMALTSD and its employees
Units of Service	Title III State Performance Report Appendix A Definitions
WellSky	A supplier of software for health care and human service providers and payers that provides the NMALTSD WellSky Customer Portal and A&D database

ATTACHMENT 4—AAA/Provider Minimum Required Elements for Assessments

Services for older adults funded by Titles III B/C/D						
Registered Services, Demographic data are required for the following services:						
1. Personal Care*	2. Homemaker*	3. Chore*	4. Home Delivered Nutrition* **	5. Adult Day Care/Health*	6. Case Management*	7. Assisted Transportation
8. Congregate Nutrition**	9. Nutrition Counseling**	10. Legal Assistance (Aggregated, de-identified demographic data required)				

*Data on Activities of Daily Living (ADLs) and Instrumental Activities of Daily Living (IADLs) are required for services 1-6

**Nutrition Risk Scores are required for services 4, 8, and 9

Non-Registered, No Demographic Data Required

1. Transportation	2. Nutrition Education	3. Information and Assistance	4. Health Promotion: Evidence-Based	5. Health Promotion: Non-Evidence-Based
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Services for Caregivers of Older Adults and Older Relative Caregivers (caring for Children and Adults with Disabilities) (age under 60) funded by Title III E

Demographic Data is Required for the following Caregiver services:

1. Counseling	2. Training	3. Respite (all types)	3.1 In-Home Respite	3.2 Out-of-Home Respite (day)
3.3 Out-of-Home Respite (overnight)		3.4 Other Respite	4. Supplemental Services	5. Assistance: Case Management

No Demographic Data is Required for the following Caregiver services:

1. Support Groups	2. Assistance: Information and Assistance	3. Information Services (public)
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Demographics and Consumer Characteristics:

1. Age (Older Adult Titles III B/C/D)

1.1. <60	1.2. 60-64	1.3. 65-74	1.4. 75-84	1.5. 85+
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2. Age (Caregiver—Title III E)

2.1. 18-49	2.2. 50-59	2.3. 55-59	2.4. 65-74	2.5. 65-74	2.6. 75-84	2.7. 85+
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2.8 Children receiving care: An individual who is not more than 18	2.9 Adult with disabilities receiving care (18-59)
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3. Gender

3.1. Female	3.2. Male	3.3. Other
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4. Ethnicity

4.1. Hispanic or Latino: Of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race	4.2. Not Hispanic or Latino: Not of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race
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5. Race

5.1. American Indian or Alaska Native	5.2. Asian	5.3. Black or African American	5.4. Native Hawaiian or Pacific Islander	5.5. White
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6. Minority Standards

6.1. Minority	6.2. Not Minority
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7. Poverty Status

7.1. At or Below Poverty	7.2. Above Poverty
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8. Geographic Distribution

8.1. Rural	8.2. Urban
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9. Household Status (Older Adult)			
9.1. Lives Alone	9.2. Lives with Others	9.3. Lives in Long Term Care Facility	
10. ADL Limitations (Older Adult)			
10.1. 0-1	10.2. 2	10.3. 3+	
11. IADL Limitations			
11.1. 0-1	11.2. 2	11.3. 3+	
12. Nutrition Risk Score (Older Adult): Indicates the person's total score on the DETERMINE your Nutritional Risk checklist published by the Nutrition Screening Initiative.			
13. Relationship (Caregiver)			
13.1. Husband	13.2. Wife	13.3. Domestic partner, including civil union	13.4. Son/Son-in-Law
13.5. Daughter/Daughter-in-law	13.6. Sister	13.7. Brother	13.8. Grandparent
13.9. Parent	13.10. Other Relative	13.11. Non-Relative	