



# EvaluationWeb® PS Version 2.1 Excel/CSV Records: Using Case Numbers Correctly

## Background

EvaluationWeb® Partner Services (PS) file uploads using the Microsoft Excel® Version 2.1 (.xls or .xlsx) template or comma-separated values (.csv) have two validation rules concerning how client roles and relationships are specified in a record. These roles and relationships must be indicated correctly before the file can be committed to the EvaluationWeb database.

## What is a record?

Although Excel is primarily a tool for creating spreadsheets, the PS dataset works more like a relational database—it cannot be presented in a single flat data table because it consists of data from multiple data tables.

Because of this, PS Version 2.1 Excel files must have 11 worksheets (as separate tabs) in the .xls or .xlsx file when uploaded. Comma-separated values (CSV) files can only consist of a single worksheet, so you must submit 11 worksheets in one combined ZIP file. In either case, if your file does not contain all 11 worksheets, you will receive an error message.

Because you can use Excel to create CSV files, we will refer to both file types as Excel files in the remainder of this document for the sake of simplicity.

Cell A1 in all Excel worksheets must always contain **PS V2.1** followed by the name of the worksheet, as seen in the example on the right. Note that worksheet names are case sensitive and do not contain spaces, as seen in the list below.

	A
1	PS V2.1 AsAnIndex

- AsAnIndex
- AsAPartner
- AttemptToLocate
- Client
- Deletion
- PartnerElicitation
- ExposureNotification
- Cases
- Referral
- Risks
- Session
- Site

**NOTE**  
The **Deletion** worksheet is an optional 12<sup>th</sup> worksheet that can be included in zipped CSV files.

Two of the above worksheets, **Client** and **Site**, are considered to be primary worksheets. They are unique in that a single **agencyId/localClientId** combination may appear only once in the Client worksheet and a single **siteId** may appear only once on the **Site** worksheet. However, there is no similar rule for the other worksheets. It would be perfectly reasonable, for example, for the same **agencyId/localClientId/siteId** combination to appear multiple times on the **Sessions** worksheet since the same client could have had multiple sessions at the same site location.

Since data for a single client is spread across the various worksheets, you can think of a client record as the complete set of information about that client across all worksheets (except for the **Deletions** and **Site** worksheets).

**NOTE**

If a client has a session on the **Session** worksheet, the **siteld** for that session must appear as a site record on the **Site** worksheet.

## Validation Rules

The validation rules in question are:

- Client may not be named as both a partner and an index in the same case
- Client may not be named as a partner more than once in a single case

These rules validate how index patients and partners are connected in an Excel record and in the EvaluationWeb database. The element that links clients is the case number, which is denoted as **partnerServiceCaseNumber**. We will refer to this number as ‘case number’ in the rest of this document.

**Warning**

Using the **partnerServiceCaseNumber** incorrectly will:

- Prevent your data from being committed to the database and submitted to CDC
- Prevent your data from being included in CDC analyses for HIV prevention and management research.

## Understanding Case Number and Client ID

You may think of a person’s case number and **localClientId** as being somewhat similar in function to a person’s phone number and name.

Like a person’s name, **localClientId** identifies a person as distinct from other individuals. Note that:

- All clients have a **localClientId**
- A client’s **localClientId** never changes.
- A client record corresponds to all information associated with one **localClientId** in a file.

Like phone numbers, case numbers are used to establish networks and contact and between clients. Note that:

- Every index patient has a case number, and this number never changes.
- Since case numbers are used to connect clients, repeating a case number in a single record connects a client to him- or herself, which will lead to one of the validation error messages above.
- Errors must be corrected before you can commit a file to the database.

## Common Partner Services Scenarios

In your day-to-day collection of PS data, you might gather an index patient's demographic information, risk information, etc., and also elicit the names of the index's partners. The result might be a paper or electronic record listing the index patient and all of his or her partners.

However, this format—an index patient followed by a list of partners—is not the structure that EvaluationWeb accepts for partner services upload records in Excel files. Instead, below are guidelines for two common scenarios:

### **Scenario 1**

Grace is an index patient who identifies Steve and Thomas as partners

1. Create a record for Grace which has her case number (on the **Client**, **Cases** and **AsAnIndex** worksheets).
2. Create a record for Steve on both the **Client** and **AsAPartner** worksheets.
3. Add Grace's case number to Steve's record on the **AsAPartner** worksheet. This makes Steve a partner to Grace.
4. Create a record for Thomas on both the **Client** and **AsAPartner** worksheets.
5. Add Grace's case number to Thomas's record on the **AsAPartner** worksheet. This makes Thomas a partner to Grace.

#### **Note**

The possible network structures for index patients and partners are endless—a client could be a partner to many index patients, an index patient could have many partners, etc. Therefore, the scenarios here are just two possibilities out of many.

You have now correctly established the link between these clients—Steve is identified as a partner to Grace in his record, and Thomas is identified as a partner to Grace in his record.

### **Scenario 2**

Martin and Alex are index patients who identify Grace as a partner.

1. Create records for Martin and Alex in the **Client**, **Case** and **AsAnIndex** worksheets. Each of these records should have a distinct **localClientId** and **partnerServiceCaseNumber**.
2. Add Martin's and Alex's case numbers to Grace's record (on the **AsAPartner** worksheet). This makes Grace a partner to both Martin and Alex.

You have now correctly established the link between these clients—Grace is identified as a partner to Martin and to Alex in her record.

Once your PS data follow the structure explained above, EvaluationWeb can upload your file, extract the data, and submit them to the database. More information on Excel structure is given in the next section.

## Case Number Usage in Excel

Multiple case numbers may appear in a single Excel client record depending on how many roles a client has (index, partner or both) and how many index patients the client is a partner to.

### *Index-Only Client*

This type of client has the role of index patient, but partners have not been identified.

#### Example - James

- James tested HIV positive and is being referred to Partner Services.
- Like all clients, his record has his **agencyId** (654321) in Column A and his unique **localClientId** (10000) in Column B of the **Client** worksheet.

	A	B
1	PS V2.1 Client	
2	agencyId	localClientId
3	654321	10000

- James was assigned the **partnerServiceCaseNumber** 100, which appears on the **Cases** and **AsAnIndex** worksheets.

	A	B	C	D	E	F
1	PS V2.1 Cases					
2	agencyId	localClientId	partnerServiceCaseNumber	caseOpenDate	caseCloseDate	dateOfRe
3	654321	10000	100	1/10/2012	3/31/2012	1/10/
4	654321	10000	100	1/5/2015		

**Note:** The screen shot above shows that this case was opened on 01/10/2012, closed on 03/31/2012, and then reopened on 01/05/2015. The only situation in which you would repeat a row like this with the same localClientId and partnerServiceCaseNumber on the Cases worksheet is when a case was closed and reopened.

	A	B	C	D
1	PS V2.1 AsAnIndex			
2	agencyId	localClientId	collectedDateForClient	partnerServiceCaseNumber
3	654321	10000	1/10/2012	100

- Since James is not a partner to anyone, there is no row for him on the **AsAPartner** worksheet.

	A	B	C
1	PS V2.1 AsAPartner		
2	agencyId	localClientId	partnerServiceCaseNumber
3			

- This is only a partial record; see [Appendix A](#) for James's expanded Excel record.

### Partner-Only Client

This type of client has the role of partner but is not him- or herself an index patient. This kind of PS record can occur when a client is identified as a partner by an index patient.

#### Example

- Rafael was named as a partner by Mark.
- Like all clients, Rafael's record has his **agencyId** (654321) in Column A and his unique **localClientId** (20000) in Column B of the **Client** worksheet. Mark, the index patient, is also a client in the same agency and has his own unique **localClientId** (25000), so he is listed in the following row.

	A	B
1	PS V2.1 Client	
2	agencyId	localClientId
3	654321	20000
4	654321	25000

- Since Rafael isn't an index patient at this point, there is no row for him in the **AsAnIndex** or **Cases** worksheets. Instead, there is a row for **Mark**, since he is the index patient.

	A	B
1	PS V2.1 AsAnIndex	
2	agencyId	localClientId
3	654321	25000

	A	B	C
1	PS V2.1 Cases		
2	agencyId	localClientId	partnerServiceCaseNumber
3	654321	25000	200

- Rafael's client ID appears on the **AsAPartner** worksheet since he has the role of Partner. In this worksheet, we also add **Mark's** case number (200), which links Rafael to Mark.

	A	B	C
1	PS V2.1 AsAPartner		
2	agencyId	localClientId	partnerServiceCaseNumber
3	654321	20000	200

- This is only a partial record; see [Appendix B](#) for Rafael's expanded Excel record.

### Dual Index and Partner Client

This type of client has the role of index patient and at the same time is a partner to one or more other index patients.

#### Example

- Talia tested HIV positive and was referred to Partner Services.
- Like all clients, Talia’s record contains her **agencyId** (654321) in Column A and her unique **localClientId** (30000) in Column B of the **Client** worksheet.
- Since she is an index patient, she was assigned a **partnerServiceCaseNumber** (300), which appears in the **Cases** and **AsAnIndex** worksheets (among other information).
- Later during separate interviews, Talia was elicited as a partner by two other index patients:
  - Javier (**localClientId** = 34000; **partnerServiceCaseNumber** = 400)
  - Miguel (**localClientId** = 35000; **partnerServiceCaseNumber** = 500)

	A	B
1	PS V2.1 Client	
2	agencyId	localClientId
3	654321	30000
4	654321	34000
5	654321	35000

	A	B	C
1	PS V2.1 Cases		
2	agencyId	localClientId	partnerServiceCaseNumber
3	654321	30000	300
4	654321	34000	400
5	654321	35000	500

	A	B	C	D
2	agencyId	localClientId	collectedDateForClient	partnerServiceCaseNumber
3	654321	30000	3/31/2014	300
4	654321	34000	1/20/2015	400
5	754321	35000	5/1/2015	500

- Since Talia has been elicited as a partner, her client ID also appears in two rows of the **AsAPartner** worksheet – one row for each case in which she is a partner.

	A	B	C
1	PS V2.1 AsAPartner		
2	agencyId	localClientId	partnerServiceCaseNumber
3	654321	30000	400
4	654321	30000	500

- We list Javier’s and Miguel’s case numbers in Talia’s **AsAPartner** worksheet, connecting Talia as a Partner to Javier and Mark.

### Special Case: Out-of-Jurisdiction Partner

This type of client has the role of partner, and has been identified by an out-of-jurisdiction (OOJ) index patient.

#### Example

- Sam was identified as a partner by Suzanne, an OOJ index patient.
- Like all clients, Sam's record has an **agencyId** (654321) in Column A and his unique **localClientId** (40000) in Column B of the **Client** worksheet.

	A	B
1	PS V2.1 Client	
2	agencyId	localClientId
3	654321	40000

Client

- Since he is a partner, he also has a row on the **AsAPartner** worksheet.
- In Sam's **AsAPartner** worksheet, he has a locally developed case number for Suzanne in order to indicate that he is a partner to an OOJ index patient. (This is optional for partners of out-of-jurisdiction index patients; this cell may be left blank.)

	A	B	C
1	PS V2.1 AsAPartner		
2	agencyId	localClientId	partnerServiceCaseNumber
3	654321	40000	OOJ

AsAPartner

- Since Sam is not an index patient at this point, there is no row for him on the **AsAnIndex** worksheet. Also, there is no row for Suzanne on the **AsAnIndex** or **Cases** worksheets because she does not reside within the jurisdiction.

	A	B	C	D
1	PS V2.1 AsAnIndex			
2	agencyId	localClientId	collectedDateForClient	partnerServiceCaseNumber
3				
4				

AsAnIndex

	A	B	C
1	PS V2.1 Cases		
2	agencyId	localClientId	partnerServiceCaseNumber
3			
4			

partnerServiceCases

## Tips for Avoiding Case Number Validation Error Messages

- The same case number should never be repeated in a client record unless the same case is closed and reopened.
  - Remember, a client record in an Excel file refers to all the information associated with a client on all the worksheets of the file.
  - Multiple case numbers may appear in a record, but none should be repeated unless the case is closed and reopened.
  - One case number can appear for a client as an index patient.
  - Other case numbers appear each time the same client is being reported as a partner to other index patients.
- Use only one case number per index patient / partner relationship.
  - If you have subsequent interviews, phone calls, data collecting interactions, etc., with a client, you do not need a distinct case number for each encounter.
- Don't create a new case for a client with an existing closed case.
  - A closed case should be re-opened if needed to add new information or update the client's record.
- When submitting an updated record, be sure to submit the full record, not just the updated information.
  - If you submit the updated information only, the previous information already saved in the database will be lost (that is to say, replaced with null values).

### Warning

A common error is putting the same case number more than once in a client's record—once in the **AsAnIndex** worksheet and one or more times again in the **AsAPartner** worksheet. Avoid this, because repeating a case number like this is essentially saying that the client is a partner to him- or herself, and you will receive an error message when you upload the file.

## Appendix A

### James - Index-Only Client Sample Excel/CSV

#### Client worksheet

	A	B	C	D	E	F	G
1	PS V2.1 Client						
2	agencyId	localClientId	birthYear	ethnicity	raceValueCode1	raceValueCode2	raceValueCode3
3	654321	10000	1979	E1	R1		

#### Client worksheet (continued)

	H	I	J	K	L	M
1						
2	raceValueCode4	raceValueCode5	stateOfResidence	birthGenderValueCode	currentGenderValueCode	otherCurrentGender
3				4	1	1
4						

James's **localClientId** is 10000, and his **agencyId** is 654321. This **agencyId** / **localClientId** combination may not be repeated in the **Client** worksheet (although it may be repeated in other worksheets).

#### Risks worksheet

	A	B	C	D	E	F	G
1	PS V2.1 Risks						
2	agencyId	localClientId	dateCollectedForRiskProfile	noClientRiskFactors	withMale	withFemale	withTransgender
3	654321	10000	1/10/2012		1	1	0
4	654321	10000	1/5/2015		1	1	1

#### Risks worksheet (continued)

	H	I	J	K	L	M	N	O
1								
2	vaginalOrAnalSexWithoutCondomPS	vaginalOrAnalSexWithDUPS	injectionDrugUse	shareDrugInjectionEquipment	otherRisk1	otherRisk2	otherRisk3	otherRisk4
3		0	1	0				
4		1	0	0				

James completed two risk profiles: one on 01/10/2012 and another on 01/05/2015.

#### Cases worksheet

	A	B	C	D	E	F	G
1	PS V2.1 Cases						
2	agencyId	localClientId	partnerServiceCaseNumber	caseOpenDate	caseCloseDate	dateOfReport	reportedToSurveillance
3	654321	10000	100	1/10/2012	3/31/2012	1/10/2012	1
4	654321	10000	100	1/5/2015			

James's **partnerServiceCaseNumber** is 100.

The jurisdiction has closed and re-opened this case repeatedly for adding new information as needed.

### AsAnIndex worksheet

	A	B	C	D
1	PS V2.1 AsAnIndex			
2	agencyId	localClientId	collectedDateForClient	partnerServiceCaseNumber
3	654321	10000	1/10/2012	100

### AttemptToLocate worksheet

	A	B	C	D	E	F
1	PS V2.1 AttemptToLocate					
2	agencyId	localClientId	partnerServiceCaseNumber	attemptToLocateOutcome	reasonForUnsuccessfulAttempt	enrollmentStatus
3	654321	10000	100	2		1

### PartnerElicitation worksheet

	A	B	C	D
1	PS V2.1 PartnerElicitation			
2	agencyId	localClientId	partnerServiceCaseNumber	timePeriodForRecallInMonths
3	654321	10000	100	12

### PartnerElicitation worksheet (continued)

	E	F	G	H
1				
2	totalNumberOfNamedPartners	totalNumberOfNamedMalePartners	totalNumberOfNamedFemalePartners	totalNumberOfTransgenderPartners
3	0	0	0	0

### AsAPartner worksheet

	A	B	C	D	E
1	PS V2.1 AsAPartner				
2	agencyId	localClientId	partnerServiceCaseNumber	partnerDateCollected	partnerType
3					

**Note**

The **AsAPartner**, **ExposureNotification**, and **Referral** worksheets do not contain any data about James because he is only an index patient. However, even though they are blank, all of these worksheets must still be submitted in the upload.

### ExposureNotification worksheet

	A	B	C	D
1	PS V2.1 ExposureNotification			
2	agencyId	localClientId	partnerServiceCaseNumber	partnerNotifiability
3				
4				

### Referral worksheet

	A	B	C	D	E	F	G	H	I	J
1	PS V2.1 Referral									
2	agencyId	localClientId	partnerServiceCaseNumber	referralDate	referredToHIVTesting	referredToMedicalCare	firstMedicalCareAppointment	HIVTestPerformed	HIVTestResult	HIVTestResultsProvided
3										

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### Session worksheet

	A	B	C	D	E	F
1	PS V2.1 Session					
2	agencyId	localClientId	partnerServiceCaseNumber	interventionId	siteId	sessionDate
3	654321	10000	100	123456	17001	1/10/2012
4	654321	10000	100	123456	17001	3/1/2012
5	654321	10000	100	123456	17021	1/5/2015

### Site worksheet

	A	B	C	D	E	F
1	PS V2.1 Site					
2	agencyId	siteId	siteTypeValueCode	zip	siteCounty	siteState
3	654321	17001	F02.01	12345	789	4
4	654321	17021	F04.05	23456	345	4

#### Note

Every **siteId** listed in the **Session** worksheet must also appear once in the **Site** worksheet, along with its **agencyId**. The same **agencyId / siteId** combination may be repeated in the **Session** worksheet since it's quite likely that the same site location would host multiple sessions, but it may not be repeated in the **Site** worksheet.

## Appendix B

### 'Rafael' – Partner-Only Client Sample Excel/CSV

#### Client worksheet

	A	B	C	D	E	F	G
1	PS V2.1 Client						
2	agencyId	localClientId	birthYear	ethnicity	raceValueCode1	raceValueCode2	raceValueCode3
3	654321	20000	1987	E1	R1	R5	
4	654321	25000	1980	E2	R5		

Rafael's **agencyId** is 654321, and his **localClientId** is 20000. Rafael was named as a partner to an index patient from the same agency named Mark, who **localClientId** is 25000. There should be client records for both Rafael and Mark.

#### Client worksheet (continued)

	H	I	J			
1						
2	raceValueCode4	raceValueCode5	stateOfResidence	birthGenderValueCode	currentGenderValueCode	otherCurrentGender
3				4	1	1
4				4	1	1

#### Risks worksheet

	A	B	C	D	E	F	G
1	PS V2.1 Risks						
2	agencyId	localClientId	dateCollectedForRiskProfile	noClientRiskFactors	withMale	withFemale	withTransgender
3	654321	20000	1/21/2012	1	1	0	0
4	654321	20000	1/5/2015	1	0	0	0
5	654321	25000	1/3/2012	66			

Rafael completed two risk profiles, but Mark was not asked about his risk factors. That's why the two rows for Rafael have a value of 1 for **noClientRiskFactors**, and the one row for Mark has a value of 66 (Not Asked). Every client in the file must have at least one row in the **Risks** table and must have a value for **noClientRiskFactors**. This field must never be left blank for any client, whether index, partner or both.

#### Risks worksheet (continued)

	H	I	J	K	L	M	N	O
1								
2	vaginalOrAnalSexWithoutCondomPS	vaginalOrAnalSexWithIDUPS	injectionDrugUse	shareDrugInjectionEquipment	otherRisk1	otherRisk2	otherRisk3	otherRisk4
3	1		99	0				
4	0		1	1	1			
5								

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### Cases worksheet

	A	B	C	D	E	F	G
1	PS V2.1 Cases						
2	agencyId	localClientId	partnerServiceCaseNumber	caseOpenDate	caseCloseDate	dateOfReport	reportedToSurveillance
3	654321	25000	200	1/3/2012		1/3/2012	1

**Note**

Cases originate from the index patient only, not the partner. Notice that the **Cases** worksheet has a row for Mark (**localClientId** = 25000) but not for Rafael, as does the **AsAnIndex** worksheet. The **partnerServiceCaseNumber** for the case in which Mark is the index patient is 200 – and any clients who are partners to Mark as an index patient (like Rafael) will use that **partnerServiceCaseNumber** in the **AsAPartner**, **ExposureNotification**, **Referral**,

### AsAnIndex worksheet

	A	B	C	D
1	PS V2.1 AsAnIndex			
2	agencyId	localClientId	collectedDateForClient	partnerServiceCaseNumber
3	654321	25000	1/3/2012	200
4				

### AttemptToLocate worksheet

	A	B	C	D	E	F
1	PS V2.1 AttemptToLocate					
2	agencyId	localClientId	partnerServiceCaseNumber	attemptToLocateOutcome	reasonForUnsuccessfulAttempt	enrollmentStatus
3	654321	20000	200	1	89	
4	654321	20000	200	2		1
5	654321	25000	200	2		1

Beginning with partner services version 2.1 (XML and Excel), **AttemptToLocate** could apply to a client **AsAnIndex** or **AsAPartner**, and multiple attempts could be documented for the same client. Notice that there were two attempts to locate Rafael and one attempt to locate Mark.

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### Partner Elicitation worksheet

	A	B	C	D
1	PS V2.1 PartnerElicitation			
2	agencyId	localClientId	partnerServiceCaseNumber	timePeriodForRecallInMonths
3	654321	25000	200	12
4				

### Partner Elicitation worksheet (continued)

	E	F	G	H
1				
2	totalNumberOfNamedPartners	totalNumberOfNamedMalePartners	totalNumberOfNamedFemalePartners	totalNumberOfTransgenderPartners
3	1	1	0	0
4				

### AsAPartner worksheet

	A	B	C	D	E
1	PS V2.1 AsAPartner				
2	agencyId	localClientId	partnerServiceCaseNumber	partnerDateCollected	partnerType
3	654321	20000	200	1/21/2012	3
4					

**Note**

There are no rows for Mark on the **AsAPartner**, **ExposureNotification**, or **Referral** worksheets because those only apply to clients who are partners, like Rafael.

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**ExposureNotification** worksheet

	A	B	C	D
1	PS V2.1 ExposureNotification			
2	agencyId	localClientId	partnerServiceCaseNumber	partnerNotifiability
3	654321	20000	200	6

**ExposureNotification** worksheet (continued)

	E	F	G	H
1				
2	actualNotificationMethod	previousHIVTest	selfReportedHIVTestResult	dateOfLastHIVTest
3	2	0		

**Referral** worksheet

	A	B	C	D	E
1	PS V2.1 Referral				
2	agencyId	localClientId	partnerServiceCaseNumber	referralDate	referredToHIVTesting
3	654321	20000	200	1/21/2012	1

**Referral** worksheet (continued)

	F	G	H	I	J
1					
2	referredToMedicalCare	firstMedicalCareAppointment	HIVTestPerformed	HIVTestResult	HIVTestResultsProvided
3	1	1	1	1	1

*continued on next page*

### Session worksheet

	A	B	C	D	E	F
1	PS V2.1 Session					
2	agencyId	localClientId	partnerServiceCaseNumber	interventionId	siteId	sessionDate
3	654321	20000	200	123456	17021	1/21/2012
4	654321	20000	200	123456	17021	1/5/2015
5	654321	25000	200	123456	17001	1/3/2015
6						

Sessions

### Site worksheet

	A	B	C	D	E	F
1	PS V2.1 Site					
2	agencyId	siteId	siteTypeValueCode	zip	siteCounty	siteState
3	654321	17001	F02.01	12345	789	4
4	654321	17021	F04.05	23456	345	4

Site