



**Office of  
Mental Health**

# **Security Management System**

## **Patient Characteristics Survey Module**

# Security Management System –Discussion Points

- Overview: Role of a Security Manager, Steps to become a Security Manager
- How to Access & Use SMS
- PCS Module - Assigning PCS User Access in SMS (Supervisor vs. Submitter)
- What's coming up in PCS 2015? (Data Upload Feature notification)
- Questions?



## Why SMS? & What is the Role of the Security Manager?

The Security Management System puts user access under the control of the Security Manager

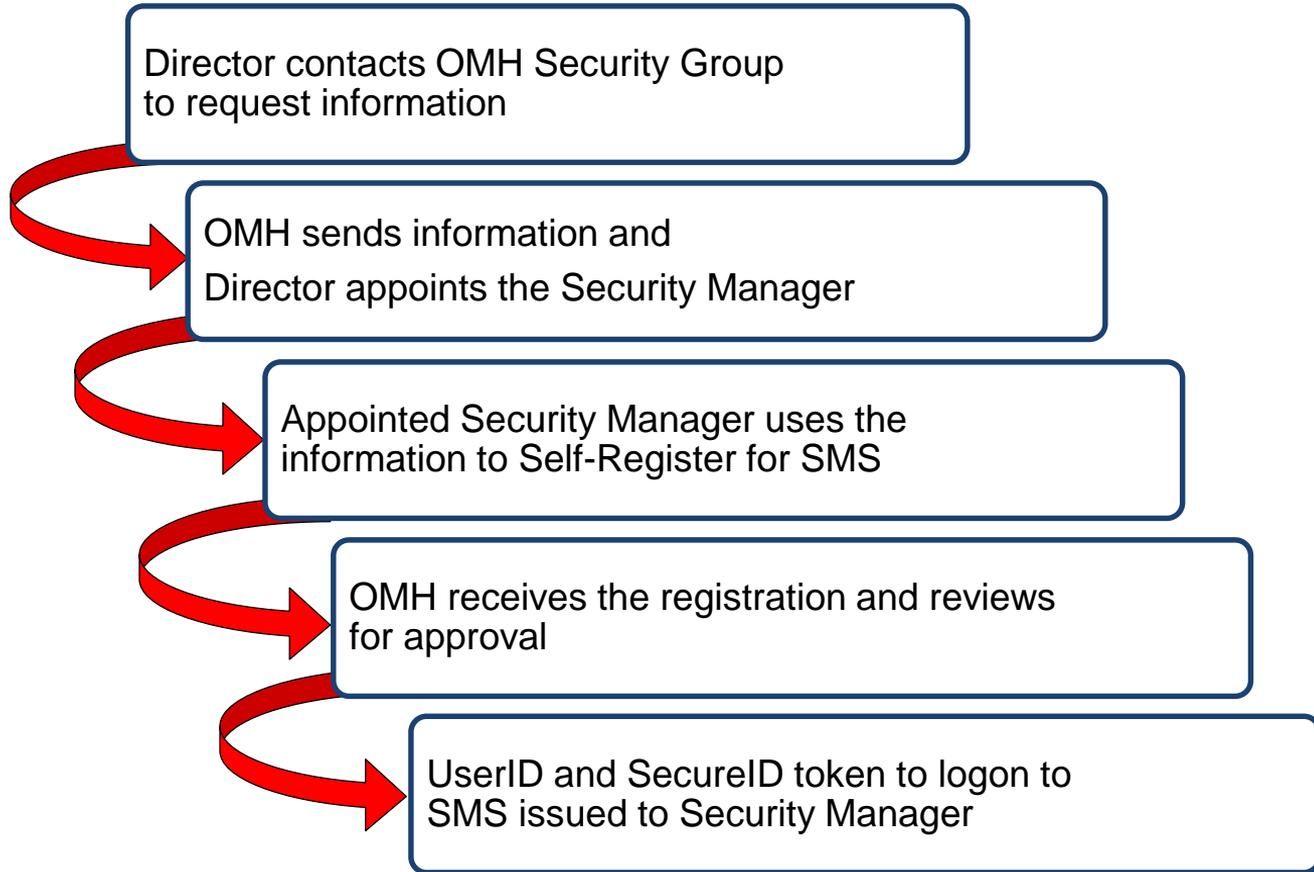
### A Security Manager:

- Knows who should and should not be granted access
- Makes sure their staff's access is correct and updated on a regular basis
- Adds & Deactivates Users
- Acts as a point of contact at the facility for Users seeking access
- Resets users passwords
- Only one at your facility who has access to use SMS to register PCS users

**NOTE:** A facility may have one or more Security Manager, as needed.



# How does one become a Security Manager?



Contact the Help Desk at 1-800-HELP NYS (800-435-7697) for further assistance.



# OMH Website: <http://www.omh.ny.gov>

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"Promoting the mental health of all New Yorkers with a particular focus on facilitating hope and recovery for adults with serious mental illness and children with serious emotional disturbances."



The OMH Website has a link to Resources for Providers...



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# Information for Service Providers

- **[Mental Health Provider Data Exchange \(MHPD\)](#)**

The MHPD is a Web-based application designed to support an accurate and timely master directory of providers in the New York State public mental health system. The MHPD enables local mental health authorities and providers to use the ease of the Internet to verify or request changes to program information they are required to submit to OMH.

- **[Patient Characteristics Survey \(PCS\)](#)**

- [PCS 2015 Data Collection](#) - Programs funded or licensed by OMH report client-level demographic, clinical, and service descriptions for persons they served during the week of the survey. All survey data are submitted to OMH electronically using the Web-based PCS application. This page provides mental health providers with information about the 2015 survey timeframe and requirements for preparing for and obtaining access to the Web-based PCS application.
- [Patient Characteristics Survey \(PCS\) Portal](#) - The PCS provides a comprehensive one-week "snapshot" of the population served by New York State's public mental health system. View demographic, clinical, and service-related information for each person who receives a mental health service during the specified one-week period using the dynamic Portal Summary or Planning Reports.

- **[Security Management System \(SMS\)](#)**

The Security Management System (SMS) is an OMH Web-based application that state and local facilities use to grant their staff access to secured OMH Web-based applications including the Patient Characteristics Survey (PCS) and PSYCKES Medicaid.

Security Management System Home Page, where you will find information about SMS, a user manual, and links to the application itself.



# Security Management System Homepage

## Security Management System

The Security Management System (SMS) is an OMH Web-based application that state and local facilities will use to grant their staff access to secured OMH Web-based applications including the Patient Characteristics Survey (PCS) and Psychiatric Services and Clinical Knowledge Enhancement System (PSYCKES) Medicaid. The role of Security Manager is important and the New York State Office of Mental Health (OMH) recognizes that performing the duties of this position requires time and effort. The SMS has been designed to minimize the time requirements for the Security Manager to add and remove users and expand or reduce users' access to sensitive information. By appointing a responsible person to authorize data access, each facility in the public mental health system will be able to control access in a secure manner that offers the flexibility to accommodate staff turnover, reassignment or leave.

- [Description of SMS](#)
- [Signing CNDA Prior to Using SMS](#)
- [Guidelines for Selecting a Security Manager](#)
- [SMS Application \(User ID and Token Required\)](#)
- [Webinar: Granting Access to the Patient Characteristics Survey using the SMS](#) 
- [SMS Reference Manual](#) 
- [OMH Adaptive Logon Setup Instructions](#) 
- [Frequently Asked Questions](#)

### Contact us:

For help with Self-registration, Training Enrollment or accessing the SMS application, please [contact the OMH Helpdesk](#) at 1-800-HELP-NYS (1-800-435-7697). Please [send feedback and recommendations](#) on the SMS application and/or Self-registration.

Comments or questions about the information on this page can be directed to the [OMH Helpdesk](#).



# How to use the Security Management System

- Log in using your User ID and passcode (PIN + token).
- A security manager can have a hard or soft token, but must have a token as they cannot access SMS with a password.



**NEW YORK STATE**  
**Office of Mental Health**

**Statement of Access and Confidentiality**

**WARNING:** This computer system is solely for the use of authorized users for official purposes. Users of this system have no expectation of privacy in its use. To ensure that the system is functioning properly, individuals using this computer system are subject to having all of their activities monitored and recorded by system personnel. Use of this system evidences an express consent to such monitoring.

Unauthorized or improper use of this system may result in administrative disciplinary action and civil and criminal penalties. By continuing to use this system you indicate your awareness of, and consent to, these terms and conditions of use. If you do not agree to the conditions stated in this warning, LOG OFF IMMEDIATELY.

**This resource requires an RSA SecurID log in. Please identify yourself by entering your user ID and your PASSCODE.** ?

User ID:

PASSCODE:

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- A **hard token** is a thumb sized electronic device with a 6 to 8 digit number that changes once a minute that functions as a secure password. It will be mailed to you from OMH. A PIN is a 4-digit number personal to you that you set up when you get your token.



- A **soft token** is installed on your computer. You type your pin in the box and copy and paste your 8 digit token number into your salute log in.



# Once you log in, you will see the SMS User list

New York State Monday, August 10, 2015

**omh** Security Management System [SMS]

Office of Mental Health Test Facility (for user manual) Your Name

Go To **Help** About Logout

## Users

**User List:** User Count = 168

Select a userID from the list below to grant the user access to an application. If an individual is not listed, you can create a userID for him/her by clicking on the "New User" button and completing the "New User" screen.

Note: The list below may not include all OMH userIDs at your agency. In rare circumstances, UserIDs will not be displayed. If you need to grant access to a user missing from the list and you know the individual already has an OMH userID, please click on the "New User" button and then enter the individual's OMH userID on the "New User" screen.

Edit User ID	Name	Token Assigned
MHPD_P22222222, Provider P.		no
L2222B2	2name, Bas	requested: 01/29/2015
TRAIN84	84, Training	requested: 07/13/2015

**Search Criteria:**

Agency: Test Facility (for user manual)

Application: ---- Any Application ----

User ID:

Last Name:  First Name:

Name:

Show Deactivated User

Show Security Manager

- Shows all the users at your facility who have OMH User IDs
- Search Criteria allows you to narrow down your user list, making it easier to locate a particular user
- The Help Manual which you can access through the "Help" menu above, has more information



# Assigning PCS User Access in SMS

New York State Tuesday, August 11, 2015

**om** Security Management System [SMS]

Office of Mental Health Test Facility (for user manual) Your Name

**Go To** **Help** **About** **Logout**

## Users

**User List:** **User Count = 168**

Select a userID from the list below to grant the user access to an application. If an individual is not listed, you can create a userID for him/her by clicking on the "New User" button and completing the "New User" screen.

Note: The list below may not include all OMH userIDs at your agency. In rare circumstances, UserIDs will not be displayed. If you need to grant access to a user missing from the list and you know the individual already has an OMH userID, please click on the "New User" button and then enter the individual's OMH userID on the "New User" screen.

Edit User ID	Name	Token Assigned
 MHPD_P22222222, Provider P.		no
 L2222B2	2name, Bas	requested: 01/29/2015
 TRAIN84	84, Training	requested: 07/13/2015

**New User**

Click the pencil icon to edit a User

Click the New User button to add a user



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## Edit User Screen

- Check the box for either “Submitter” or “Supervisor”
- If choosing Submitter, select Unit/Sites from the PCS Access list
- Click “Update”
- Any field with an asterisk is required and must be filled before clicking “Update”

New York State Monday, July 20, 2015

**om** Security Management System [SMS] Your Name

Office of Mental Health Test Facility (for user manual)

Go To Logout

**Edit User**

**User Information:**

User ID: TRAIN84

Name: \* First Name: [Training] M.I.: [ ] \* Last Name: [84]

Date of Birth: [ ] Gender: [ ]

Title: [ ]

\* Email: [istchjm@omh.ny.gov]

\* Work Phone #: [(518) 473-1961] Ext.: [ ]

\* Agency: [Test Facility (for user manual)]

SecurID® Token: [Not assigned]

Token Type Needed:  Software Token  Hardware Token

Token Requested: [07/13/2015]

Assurance Level 2: [No]

Last Updated By: [Sms M. Security Manager on 07/13/2015 11:44:31 AM]

[New User] [Update] [Deactivate] [Reset Password] [Users]

**Patient Characteristics Survey [PCS]**

Authentication: [Password or Token]

Groups:

PCS Submitter Dev A Person assigned by the Security Manager to enter/edit data and view/print reports in the PCS application for the units or sites with which he is associated.

PCS Supervisor Dev Allows user to see and enter data for ALL unit/sites, and further allows user to upload and download facility data and reports.

PCS Access:

Facility/Unit/Site Name
<input type="checkbox"/> Facility: [2222] - Test Facility (for user manual)
<input type="checkbox"/> Unit: [008] - ACME Mohawk Clinic
<input type="checkbox"/> Unit: [009] - Advocacy (test whether added to PCS)
<input type="checkbox"/> Unit: [005] - AOT for tst
<input type="checkbox"/> Unit: [003] - Blended Case Management
<input type="checkbox"/> Unit: [002] - Test Facility - HCBS Waiver
<input type="checkbox"/> Unit: [007] - Test Facility Licensed Program #1
<input type="checkbox"/> Unit: [006] - Test Unit D



New York State  
**om**  
 Office of Mental Health  
 Security Management System [SMS]  
 Test Facility (for user manual) Monday, July 20, 2015  
 Your Name  
 Go To Help About Logout

### Edit User

**User Information:**

User ID: TRAIN84

Name: \* First Name: Training M.I.: Last Name: 84

Date of Birth: Gender:

Title:

\* Email: listchjm@omh.ny.gov

\* Work Phone #: (518) 473-1961 Ext.:

\* Agency: Test Facility (for user manual)

SecurID® Token: Not assigned

Token Type Needed:  Software Token  Hardware Token

Token Requested: 07/13/2015

Assurance Level 2: No

Last Updated By: Sms M. Security Manager on 07/13/2015 11:44:34 AM

**Message from webpage**

When you deactivate a user, it will remove their access to all OMH applications (i.e., CAIRS, NIMRS, ALFS, PCS, PSYCKES).

Are you sure you want to deactivate this user's access to all OMH applications?

## Employees that Leave your Employment

- To remove access for a user that leaves your employ, the Security Manager clicks the deactivate button
- Be careful when deactivating a user as it will remove ALL accesses to ANY OMH database
- Click ok to confirm deactivation

The user's password has been reset.

Close

#### User Information:

User ID:

Name: \* First Name:  M.I.:  \* Last Name:

Date of Birth:  Gender:

Title:

\* Email:

\* Work Phone #:  Ext.:

\* Agency:

SecurID® Token:

Token Type Needed:  Software Token  Hardware Token

Assurance Level 2:

Last Updated By:  on **07/21/2015 02:57:22 PM**

New User

Update

Deactivate

Reset Password

Users

## Reset password:

Users frequently forget their password. This feature will allow you to easily generate a new password that will be emailed to the user. Once you click Reset Password, you will receive a pop-up message, click close.

## Users Button:

Will take you out of the Edit User screen and back to the list of users



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# Selecting the Correct User Access

- **Submitter** – A User assigned to enter data and view/print reports in PCS for the Units or Sites with which the User is associated.
- **Supervisor** – A User allowed to see and enter data for **ALL** Unit/Sites at the Facility, to upload and download Facility data and reports, and access the PCS restricted portal. The Supervisor certifies that the Facility has completed its data entry by approving or locking Unit/Sites when they are done or requesting a waiver for a particular Unit/Site that has not provided data.



- Once “PCS Submitter” has been selected, the PCS Access list becomes available.
- To assign a Submitter to all unit/sites, click the box on the Facility line and all the boxes below will automatically be populated
- To expand a Unit on the list in order to select specific Sites, click the plus sign. To collapse, click the minus sign.
- Select the appropriate Unit/Sites for which the User needs access.

# Assigning Unit/Sites to a Submitter

## Patient Characteristics Survey [PCS]

Authentication: Password or Token

Groups:

Group Name	
<input checked="" type="checkbox"/>	PCS Submitter Dev A Person assigned by the Security Manager to enter/edit data and view/print reports in the PCS application for the units or sites with which he is associated.
<input type="checkbox"/>	PCS Supervisor Dev Allows user to see and enter data for ALL unit/sites, and further allows user to upload and download facility data and reports.

PCS Access:

Facility/Unit/Site Name	
<input type="checkbox"/>	Facility: [2222] - Test Facility (for user manual)
<input type="checkbox"/>	Unit: [008] - ACME Mohawk Clinic
<input checked="" type="checkbox"/>	Site: [1000] - ACME Mohawk Clinic
<input type="checkbox"/>	Site: [1001] - ACME Mohawk Satellite 1
<input checked="" type="checkbox"/>	Site: [1002] - ACME Mohawk Satellite 2
<input checked="" type="checkbox"/>	Unit: [009] - Advocacy (test whether added to PCS)
<input type="checkbox"/>	Unit: [005] - AOT for tst
<input type="checkbox"/>	Unit: [003] - Blended Case Management
<input type="checkbox"/>	Unit: [002] - Test Facility - HCBS Waiver
<input type="checkbox"/>	Unit: [007] - Test Facility Licensed Program #1

Show units and sites not assigned to the PCS Submitter group:

To see which Unit/Sites have not been assigned, click this box and a list will appear.



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# Unit/Sites that have not been assigned...

		Facility/Unit/Site Name	
<input type="checkbox"/>	<input type="checkbox"/>	Facility:	[2222] - Test Facility (for user manual)
	<input type="checkbox"/>	Unit:	[008] - ACME Mohawk Clinic
	<input checked="" type="checkbox"/>	Site:	[1000] - ACME Mohawk Clinic
	<input type="checkbox"/>	Site:	[1001] - ACME Mohawk Satellite 1
	<input checked="" type="checkbox"/>	Site:	[1002] - ACME Mohawk Satellite 2
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Unit:	[009] - Advocacy (test whether added to PCS)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Unit:	[005] - AOT for tst
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Unit:	[003] - Blended Case Management
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Unit:	[002] - Test Facility - HCBS Waiver
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Unit:	[007] - Test Facility Licensed Program #1

Show units and sites not assigned to the PCS Submitter group:

		Facility/Unit/Site Name	
<input type="checkbox"/>	<input type="checkbox"/>	Facility:	[2222] - Test Facility (for user manual)
	<input type="checkbox"/>	Unit:	[008] - ACME Mohawk Clinic
		Site:	[1001] - ACME Mohawk Satellite 1
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Unit:	[005] - AOT for tst
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Unit:	[002] - Test Facility - HCBS Waiver
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Unit:	[007] - Test Facility Licensed Program #1

- Supervisors have access to all Unit/Sites.

- Note:** ACME Mohawk Clinic (Site code 1000) and Satellite 2 (Site code 1002) have been assigned, and do not appear on the second list.

- Any Unit/Sites that appear on the second list have not yet been assigned to a Submitter.

New York State  
**om** Security Management System [SMS]  
 Office of Mental Health Test Facility (for user manual) Tuesday, July 21, 2015  
 Your Name  
 Go To Help About Logout

**Edit User**

The user's information has been updated. [Close](#)

**User Information:**

User ID: MHPD\_P2222

Name: \* First Name: Provider M.I.: P \* Last Name: 2222

Date of Birth: 01/01/2001 Gender: Male

Title: Title

\* Email: mhpd\_p2222@omh.state.ny.us

\* Work Phone #: (123) 456-7890 Ext.:

\* Agency: Test Facility (for user manual)

SecurID® Token: Not assigned

Token Type Needed:  Software Token  Hardware Token

Assurance Level 2: No

Last Updated By: Tester name on 07/21/2015 01:16:22 PM

[New User](#) [Update](#) [Deactivate](#) [Reset Password](#) [Users](#)

## When Finished with Editing

- Click “Logout” to logout of SMS then close the program
- Click “Close” to return to Edit User screen for this user

Or

- Click “Users” to return to User List and choose another user



# What's Coming Up in PCS...

- In mid September, we will be conducting PCS trainings via WebEx, and there will be a recorded version for those who cannot attend a training session. The PCS Users Manual will also be available for review.
- The Practice Platform will be available starting September 17th for Users to practice entering and importing data prior to the survey week. Any practice data will be erased before the survey starts.
- More information will be sent out to PCS Coordinators in September.



# Using the Data Upload Feature

Facilities that store their records electronically have the option of formatting their data and uploading it to the PCS. More information is available on line at:

[www.omh.ny.gov](http://www.omh.ny.gov).

Please review this information carefully before deciding to use the electronic upload feature. You will be able to test this feature in the Practice Platform.

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### • Patient Characteristics Survey (PCS)

- **PCS 2015 Data Collection** - Programs funded or licensed by OMH report client-level demographic, clinical, and service descriptions for persons they served during the week of the survey. All survey data are submitted to OMH electronically using the Web-based PCS application. This page provides mental health providers with information about the 2015 survey timeframe and requirements for preparing for and obtaining access to the Web-based PCS application.
- [Patient Characteristics Survey \(PCS\) Portal](#) - The PCS provides a comprehensive one-week "snapshot" of the population served by New York State's public mental health system. View demographic, clinical, and service-related information for each person who receives a mental health service during the specified one-week period using the dynamic Portal Summary or Planning Reports.



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## The 2015 Patient Characteristics Survey (PCS)



The PCS is the only OMH data source that contains client-level demographic, social, clinical, and insurance characteristic across all public mental health service programs. Due to an exceptional level of cooperation and participation from service providers, the PCS has proved to be a reliable resource for helping to manage New York State's public mental health system, complying with federal reporting requirements, and assisting local governments with the mental health services planning process.

This page provides a reference for the training sessions and manuals used during data collection. Data collection for the 2015 Survey starts in the spring with the Facility Survey and is completed in the fall when all public mental health service agencies describe persons they served during the week of October 19 through October 25 using the PCS web-based application. Most facilities manually enter data into the application's forms, while some facilities elect to extract data from their electronic information systems and upload it to the application.

1. [PCS Calendar – Important Dates](#)
2. [Preparing for and Getting Access to the PCS](#)
3. [2013\\* PCS Application](#) (User Identification and Password Required)
4. [Survey Form](#) (for informational purposes only)
5. [Using the 2013 PCS application:](#) [User Manual](#)
6. [Guidelines](#)
7. [What's New for 2015](#)
8. [Using the Data Upload Feature](#)
9. [Frequently Asked Questions](#)
10. [PCS 2013\\* Webinar Training](#) [ [Presentation Slides](#) ]
11. [Reports and Data Briefs](#)

\* The 2015 PCS Application, 2015 User Manual and Training materials will be available when the Practice Platform goes live in September.



## Using the Electronic Data Upload Feature

If your facility maintains an electronic information system, you may prefer to use the **Upload** feature of the PCS Application. This Upload feature will allow you to extract data from your information system, manufacture a text file containing answers to the PCS questions, and then upload the text file to the PCS Application. You may test the uploading of your data file by using the PCS Practice Platform available in late September. Any data entered into the Practice Platform will be deleted before the actual survey starts. **Before deciding to use the Upload feature, please consider the following:**

- a) **The number of people you serve.** Typically, a facility serving hundreds of clients during the survey week will benefit from using the upload feature as it replaces the need to manually enter a large quantity of PCS records. A facility serving few clients may not receive the same benefit.
- b) **How many of the PCS questions can be answered by your information system.** Each provider is expected to complete all the questions in the [2015 Survey](#) . But you may elect to upload a file even if some of the PCS questions do not exist in your own information system by simply placing a blank (or blanks) at the appropriate spot in the file. Any uploaded record can be opened in the application and the blanks (and other invalid responses) will be flagged by the application. All invalid responses must be corrected manually by the user. For a list of each question and its set of valid responses, please see the link below entitled "File Layout for Data Upload."

Please read each of the documents below carefully before deciding to proceed.

- 1) [File Layout for Data Upload](#) 
- 2) [Validations](#) 
- 3) [Valid County/Zip Code combinations](#) 
- 4) [Valid DSMIV Diagnosis Accepted in the 2015 PCS](#) 
- 5) [Valid DSMV Diagnosis Accepted in the 2015 PCS](#) 

If your agency decides to upload the data, please complete the [data upload notification form](#) and add the PCS Home Page to your favorites. DSMV diagnosis and other documents will be added to this page later in the year.

- When you click on Using the Data Upload feature, a document with specifics on how to use the feature appears.
- Click on data upload notification form link at bottom of document



## Data Upload Notification Form Patient Characteristics Survey (PCS) Unit

As it becomes available, please send information regarding the file upload to our Survey Coordinator and the additional email address shown below.

**Facility Code (4 digits):**

**Facility Name or Company:**

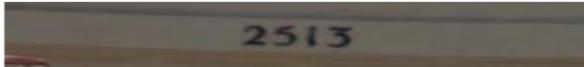
Additional contact (Survey Coordinator is updated in the Facility Survey in MHPD):

**Your E-Mail:**

**Your Name:**

**Phone:**

Note: The PCS Unit will attempt to notify you of information as it becomes available. In addition, please add the PCS Home Page to your favorites and check the Web site periodically for updated documents.



Enter the words above:

[Get another CAPTCHA](#)

[Get an audio CAPTCHA](#)

[Help](#)

This form enables visitors to [www.omh.ny.gov](http://www.omh.ny.gov) to submit information to OMH by **UNSECURE EMAIL**. E-mail sent to OMH through this site is not secure, so visitors should **NOT** transmit personal or medical information about themselves or other persons using this function. **OMH CANNOT GUARANTEE THE PROTECTION/ INACCESSIBILITY BY OTHERS OF INFORMATION INCLUDED ON THIS FORM AND SENT TO OMH.**

Clear Form

Send Mail

# Data Upload Notification form

**Note:** You must be assigned a Supervisor role to upload a data file to PCS.



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# Security Management System PCS Module

If you have any questions,  
email us at  
[PCS@omh.ny.gov](mailto:PCS@omh.ny.gov)

